INNOECOFOOD - Eco-innovative technologies for improved nutrition, sustainable production and marketing of agroecological food products in Africa

Grant agreement no: 101136739

Deliverable D1.7

Ethical, Environmental and Gender indicators, and action plan

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1. Summary

Within the scope of INNOECOFOOD's main goal — establishing innovative production/business ECOHUBS and improving local aquaculture farms — the project will train rural farmers, youth, and women. The training will focus on the innovative production and processing of nutritious aquaculture fish, blue-green cyanobacteria (spirulina), and selected insect value chains at both pilot and large-scale levels, transforming these into certified, marketable human food products and feed. The project, therefore, entails ethical, environmental, and gender considerations that must be carefully addressed.

To have an overall view of ethical, environmental and gender issues of the consortium, all Partners were asked to provide details of their Ethics Committees and Ethics approval procedures, including for sensory and consumer surveys, and animal welfare and experimentation. Additionally, data was gathered on aspects related to good management practices for the environment, and on the current situation of gender equality in the consortium.

This deliverable addresses ethical and environmental practices, as well as the monitoring of gender balance and gender indicators adopted by each Partner. It also includes Action Plans to be implemented by the INNOECOFOOD consortium to ensure compliance with ethical, environmental, and gender requirements where they are not yet being followed.

2. Ethical Indicators

INNOECOFOOD has identified several ethical issues that require specific attention on the following points:

- ethics approval procedures in the countries and communities where the research is going to take place in (for human participants as well as for animal experiments) (WPs 3,4,6,7,8);

- vulnerability of the participants and actions to avoid stigmatization (WPs 6,7,8);

- privacy, data safety and right of withdrawal (WPs 6,7,8);

- risks for staff involved in handling pathogens (WPs 3,6,7);

- risks for the welfare of project staff deriving from the context in which the field research is taking place and plan of action for emergencies (WPs 2-7);

- ensuring that the use of AI does not infringe on individual rights (WPs 2-8);

- ensuring that the principle of the 3Rs is ensured in the animal experimentation part of the project (WPs 3,5).

To address these topics, Partners were asked to complete a questionnaire (Annex 1).

2.1 Human Ethics

The following questions related to **Human Ethics** were asked to INNOECOFOOD Partners (P 2-7, 9, 12, 15):

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Q1. Regarding Human participants, which measures to avoid stigmatization and vulnerability of participants will you follow? Provide evidence (e.g. examples of Informed Consent Forms and Information sheets)

Q2. Regarding Human participants, how will you handle privacy and data safety obtained from sensory and consumer surveys?

Q3. How will you assure that AI does not infringe on individual rights?

Q4. What are the rules for ethical approval of surveys in the different institutions/countries? Provide evidence (e.g. national legislation)

Q5. Will you deal with contaminants (either chemical or microbiological)? If yes, does your institution has the required authorizations? Provide evidence (e.g. national authorizations)

Q6. Regarding environment, safety and health of staff, how will risks associated with handling pathogens be minimized? Provide evidence (e.g. laboratory rules in place)

Q7. Regarding environment, safety and health of staff, how will wastes and other likely contaminated material be handled? Provide evidence (e.g. laboratory rules in place; national regulations)

Q8. What are the rules and procedures for approval of tasks that pose biosafety issues? Provide evidence (e.g. national authorizations)

All Partners dealing with Human Ethics (P 2-7, 9, 12, 15) will ensure that participants fully understand the project's goals and their role within the project, including potential risks that may occur, before signing a consent form; participation must be voluntary, and no coercion will be used (**Q1**).

Participants will be informed that collected data is strictly confidential, used only for the intended purpose, after which data is destroyed. All Partners will ensure confidentiality, by coding data to remove personal identifiers in line with Health Insurance Portability and Accountability Act (HIPAA); data will be securely stored in a server with access only for project participants (**Q2**). On this matter, FSPN-A will train Partners on data collection, processing, analysis, data privacy and security protocols. Informed consent forms and information sheets will be kept by Partners and submitted to the external expert advisor on request.

Regarding the use of AI, Partners will ensure that is only being used for measuring animal and environmental parameters (**Q3**). Any inadvertent collection of information on humans will be protected under the Data Protection Act.

All institutions will follow institutional and national guidelines for the ethical approval of surveys (**Q4**). MAKERERE follows Uganda National Council for Science & Technology guidelines (https://www.uncst.go.ug); CSIR has an Internal Review Board (IRB) that grants ethical approval for studies on humans and animals (https://www.csir.org.gh/index.php/r-d/research-ethics/irb-iacuc/irb-sop); UNAM follows the National Council for Research, Science and Technology and the University Policy on Ethics (Annex 2); CLAR follows National Law No. 151 of 2020; FSPN-A follows the National Guidelines on Research

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Licensing (https://www.nacosti.go.ke/nacosti/Docs/QUICK%20DOWNLOADS/GUIDELINES_ON_RESEARCH_LICENSING_AND_INSTITUTIONAL_AFFILIATION_compressed.pdf); ICIPE will follow Strohm (2020) Standards for research ethics across East Africa. These will include Ethics approval from an accredited IRB, a national research permit from NACOSTI and a local research permit from the county of research.

When dealing with contaminants (**Q5**), CSIR-FRI will analyze the level of toxins (mycotoxins and histamine), metallic contaminants, pesticides residues, and microbiological contaminants in food products and agricultural produce. Their laboratories are either accredited to or comply with the requirement of ISO/IEC 17025 (https://www.foodresearchgh.org/services/analytical-services/chemical-analysis). ICIPE will follow the institution's Policy Guide to Environmentally Conscientious Laboratory Operations on the use of chemical and microbiological contaminants. The remaining Partners do not foresee dealing with contaminants.

To minimize risks associated with handling pathogens (**Q6**), all Partners will follow operating procedures that are in place. Partners will ensure that involved personnel are well trained and understand the potential risks associated with handling harmful substances and are aware of the necessary safety rules; ensure that all necessary protective gears such as gloves, masks and protective clothes are worn during work to minimize harm; and ensure proper handling, transportation, and disposal of all harmful substances. On this matter, FSPN-A will create a training guide for Trainers of Trainers (TOTs) in liaison with ECOHUBs and Living Labs.

Partners will follow established laboratory procedures and national standards (**Q7**), ensuring that waste materials are segregate based on their nature e.g., solid, soft, biological, chemical, radioactive and further ensuring that wastes are properly stored to avoid leakages and spills. Accordingly, FSPN-A will create a training guide for Trainers of Trainers (TOTs) in liaison with ECOHUBs and Living Labs.

Approval of tasks that pose biosafety issues will follow national and international regulations (**Q8**). TAFIRI follows Fisheries Regulation 2009, Part IV (Aquaculture Development and Management) (https://trade.tanzania.go.tz/media/The%20Fisheries%20Regulations%20,2009.pdf); MAKERERE follows Uganda National Council for Science & Technology guidelines (https://www.uncst.go.ug/details); CSIR-FRI follows the National Biosafety Authority (https://nba.gov.gh/); UNAM follows National Biosafety Policies; CLAR follow the instructions in the laboratory biosafety manual issued by the World Health Organization; ICIPE we will ensure that rules and procedures for approval of tasks that pose biosafety issues are implemented as per ICIPE's Institutional Bio-Safety and Bio-Security Policy. The remaining Partners do not foresee biosafety issues.

2.2 Animal Ethics

The following questions related to **Animal Ethics** were asked (P 1 -7):

Q1. Does the ECOHUB/Living lab have the required permits to operate? Provide evidence (e.g. copy of permits), or explain how it will be obtained.

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Q2. Does the ECOHUB/Living lab have appropriate authorizations for the supply of animals? If yes, please provide evidence (e.g. copy of authorizations).

Q3. Which are the rules for project authorizations in the different institutions to ensure animal welfare? Provide evidence (e.g. national/institutional rules and procedures for animal experimentation approval).

Q4. Is training in fish handling available for staff? If yes, provide evidence (e.g. supporting documents for training activities).

Q5. Will staff obtain certificates/permits to handle the fish? If yes, how will permits be obtained? Provide evidence (e.g. copies of training/personal licenses of staff involved in animal experimentation).

Q6. Which are the Regulations/Procedures for health and disease control that you will follow? Provide evidence (e.g. national/institutional regulations).

Q7. Which are the Regulations/Procedures for animal transportation? Provide evidence (e.g. national/institutional regulations).

Q8. Regarding Animal experimentation, do you follow the principle of the 3 Rs? Provide evidence (e.g. how you address the 3 Rs).

Q9. Regarding Animal experimentation, which refinement techniques will you use to minimize fish pain and distress?

Q10. Regarding Animal experimentation, do you expect that there will be a need to anesthetize fish? If yes, which methods will you apply?

Q11. How will fish be killed?

Partners involved in Animal Experimentation (P 1-7), except KMFRI and CSIR-FRI, have the required permits to operate (**Q1**). KMFRI and CSIR-FRI have applied for a permit, and are awaiting approval; CIIMAR animal facility (BOGA) is licensed and inspected by the Portuguese Authority on the protection of animals used in experimentation with scientific or education purposes (DGAV – General Directorate of Food and Veterinary) (Annex 2); TAFIRI has the permits from COSTECH and TAFIRI Research Clearance certificates (Annex 2); MAKERERE relies on KAMOS (Private Partner), who has an operating license/business license; for UNAM, the living lab operations are under small scale farmers which do not require permits, but are registered by the Ministry of Fisheries and Marine Resources; CLAR is established as a National Center for Aquaculture Research (Ministerial Decree No. 1419 of 1994).

Animals will be supplied by licensed and authorized hatcheries (**Q2**).

Regarding rules and procedures for animal experimentation approval (**Q3**), all Partners, except KMFRI, follow national and institutional ethical committees. CIIMAR has an Ethical Committee and an Animal Welfare Body (ORBEA) to comply with high ethical standards in research concerning the use of animals, tissues or any elements that may cause harm to the environment. All experimental activities involving animals have to be previously authorized by these committees and then by the national Directorate of

Food and Veterinary (DGAV) (Annex 2); TAFIRI follows the national welfare act of 2008; MAKERERE follows Uganda National Council for Science & Technology guidelines (https://www.uncst.go.ug/details); CSIR-FRI follows the institute Institutional Review Board (IRB) guidelines (https://www.csir.org.gh/index.php/r-d/research-ethics/irb-iacuc/irb-sop#); UNAM has its own Ethical Clearance Committees that deals with ethics, but this Partner is not directly working with animals; CLAR will follow the Ethics Committee for Scientific Research and the Use of Experimental Animals at the university.

Training in fish handling (**Q4**) is available at CIIMAR and CLAR; KMFRI, TAFIRI, MAKERERE will develop training modules in fish handling for training staff. This question does not apply to UNAM. In what respects to permits for staff handling fish (**Q5**), at CIIMAR all personnel involved in the fish trial proposed under this project already have permits for animal experimentation; teams from KMFRI, TAFIRI and CLAR will obtain permits; MAKERERE, UNAM and CSIR do not foresee the need for certified staff.

Regarding procedures for health and disease control (**Q6**), all Partners will follow national authorities' recommendations, the World Organization for Animal Health (WOAH) and Aquatic Animal Health Code.

Permits and regulations for animal transportation (**Q7**) will be acquired at the national level, when applicable. At this stage, these permits are not yet in place.

All Partners are committed to follow the principles of 3Rs in animal experimentation (**Q8**). This includes applying refinements techniques (**Q9**), such as maintaining fish under optimal conditions, ensuring adequate density, good water quality, appropriate light intensity, photoperiod, water temperature, and the use of nutritionally balanced feeds. Experimental systems will be equipped with technology to continuously monitor water quality parameters and adjust as necessary. During trials, fish welfare is monitored, and fish are anesthetized before handling to minimize pain and distress. When there is the need to anesthetize the fish for procedures, MS222 or clove oil will be used (**Q10**). Regarding fish killing (**Q11**), methods include anesthetic overdose, and a sharp blow to the head or incision in the spinal cord to ensure fish will be killed before tissue collection. TAFIRI uses an alternative method which involves immersion of fish in ice water causing them to die gradually by losing consciousness and die due to lower temperatures.

2.3 Genetic material

During the WPL 3-month meeting, it was identified another ethical issue related to the **collection and transport of Spirulina strains** from African countries to Europe (WP4). On this matter, Partners (P 2-7, 10) were asked to answer the following questions:
Q1. Will you need documentation showing compliance with the UN Convention on Biological Diversity (e.g. access permit and benefit sharing agreement)? Provide evidence.
Q2. Will you need import licenses/Material Transfer Agreement (MTA)? Provide evidence (e.g. copy of licenses/MTA)

BMAEU is the leading Partner of WP4, involving the optimization of production of selected spirulina species. This Partner will need to collect and isolate *Spirulina platensis* samples alive from the ECOHUB

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area of the relevant countries in Africa and transport them to Turkey in water, and optimize them at BMAEU facilities. Furthermore, after the optimization process, the team must return optimized Spirulina samples back to the respective ECOHUB centers, then cultivate for mass production. In this context, the necessary permits and approvals are required on a country-by-country basis for the live transfer of Spirulina specimens between Turkey and African countries. For this, the necessary permit application has been made to the Turkish Ministry of Agriculture and Forestry and permits to entry and exit of living Spirulina strains into and out of Turkey have been granted (**Q1**) (Annex 2). At this point, the Genetic Material Transfer Agreements Between Turkey and Ghana, Kenya, Tanzania and Egypt are signed and results from the procedures at these countries are being waited (Q2).

2.4 Ethics Action Plan (EthicAP)

2.4.1 Human Ethics

This ethical action plan is designed to ensure that all partners maintain high ethical standards in their research and operations, ensuring that all partners comply with ethical standards in human research, data privacy, use of AI, handling of contaminants, pathogen safety, laboratory waste management, and biosafety.

Actions:

- Ensure participants fully understand the project's goals, their roles, and potential risks before signing a consent form.
- Create clear, comprehensive information sheets and consent forms.
- Train project staff on how to effectively communicate this information to participants.
- Guarantee that participation is voluntary with no coercion.
- Monitor recruitment practices to ensure ethical standards are maintained.
- Inform participants that their data will be kept confidential, used only for the intended purpose, and destroyed afterward.
- Implement data coding to remove personal identifiers and ensure data is securely stored on servers with restricted access.
- Keep informed consent forms and information sheets available for review by an external expert advisor.
- Restrict AI use to measuring animal and environmental parameters.
- Protect any inadvertently collected human information under the Data Protection Act.
- Ensure all surveys and research involving human participants receive proper ethical approval, adhere to the guidelines set by each partner's national and institutional review boards, and submit the necessary documents for ethical review and approval before commencing research.
- Maintain comprehensive records of ethical approvals.
- Ensure the safe analysis and handling of contaminants regularly audited in lab practices to maintain high standards.
- Minimize risks associated with handling pathogens through the implementation of proper training and safety protocols.
- Establish protocols for the safe handling, transportation, and disposal of harmful substances.

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- Ensure proper segregation, storage, and disposal of laboratory waste to avoid leaks and spills.
- Regularly review and update biosafety protocols to align with the latest regulations and monitor compliance through periodic audits and reviews.

2.4.2 Animal Experimentation

This ethical action plan aims to ensure that all partners engaged in animal experimentation uphold high ethical standards, comply with regulatory requirements, and implement the principles of the 3Rs. Continuous training, monitoring, and adherence to national and international guidelines will ensure the humane treatment of animals throughout the research process. Regular reviews and updates will be conducted to address emerging ethical challenges and maintain compliance.

Actions:
- Ensure all partners have the necessary ethical approval for all animal experimentation activities before the start of operations.
- Regularly review and ensure compliance with permit requirements and keep a record of all permits and related documentation.
- Ensure all animal suppliers are licensed and authorized; maintain a list of approved hatcheries and regularly verify their credentials.
- Monitor the supply chain to ensure ethical treatment and proper handling of animals during transportation.
- Submit all experimental protocols involving animals for approval by the respective ethical committees and national authorities.
- Maintain comprehensive records of ethical approvals and protocols.
- Provide adequate training in fish handling to ensure humane treatment, and ensure all personnel handling fish have the required permits, where necessary.
- Follow best practices for health and disease control in aquatic animals, implement regular health checks and disease control measures.
- Ensure all necessary permits for animal transportation are in place.
- Implement the principles of Replacement, Reduction, and Refinement in animal experimentation.

2.4.3 Transfer of Genetic Material

By following this action plan, BMAEU will effectively manage the collection, transport, optimization, and mass cultivation of *Spirulina platensis*, ensuring compliance with all necessary regulations and achieving the objectives of WP4.

Actions:
- Notify and coordinate with African ECOHUB and Living Labs about the sampling schedule.
- Follow up with African coordinators to ensure they have applied for the necessary permits.
- Maintain regular communication with African authorities to track the progress of permit applications.

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- Track the progress of the permit application submitted to the Turkish Ministry of Agriculture and Forestry.
- Keep all Partners informed about the expected timeline and any potential delays.
- Arrange logistics for sample collection, including transportation and storage facilities.
- Ensure compliance with international transport regulations for live biological materials.
- Establish a buffer period in the project timeline to accommodate potential delays in permit approvals, and work on alternative plans if permits are delayed.

3. Environmental Indicators

Environmental indicators related to how Partners handle wastewater, waste, contaminants, and pathogens can provide insight into the environmental impact of their activities. These indicators provide valuable information for evaluating environmental performance, identifying areas for improvement, and ensuring the protection of human health and the environment.

Concerning Environmental indicators, partners were asked to answer the following questions (P 1-12, 14, 16-19):

Q1. Waste Management

Q1.1 Do you track the amount and types of wastes generated to identify opportunities for waste reduction, reuse and recycling?

Q1.2 Do you recycle? If yes, which wastes are recycled and how the process is implemented?

Q2. Waste water Management

Q2.1 Does wastewater discharge meets regulatory standards set by local, regional, or national environmental agencies? If yes, please provide a summary of how wastewaters are handled

Q3. Contaminant Management

Q3.1 When dealing with chemical hazardous wastes, which are the specific measures governing the handling, storage and disposal of contaminated material? Show evidences (SOP)

Q3.2 In case no specific actions are implemented concerning the management of chemical hazardous wastes, do you monitor the concentration of these chemicals in groundwater, soil, and biota released to the environment? If yes, which is the periodicity?

Q3.3 Do you apply remediation actions to mitigate contamination from chemical hazardous wastes, such as soil and groundwater remediation techniques? If yes, specify.

Q4. Microbiological (pathogen) Management

Q4.1 Do you monitor the presence of microbial pathogens such as bacteria, viruses, and protozoa used in your facilities in wastes (water and contaminated consumables)? Provide the evidence (SOP) for the specific measures taken to avoid releasing into the environment.

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All Partners track the amount and types of wastes generated and recycle (**Q1**). Different types of wastes are recycled or reused, depending on the Partner. The treatment of effluents complies with the legal requirements (**Q2**) in all Partners, except CSIR-FRI, who is in the process of regulating wastewater discharges.
When dealing with chemical hazardous wastes, and when applicable, Partners follow standard operating procedures (**Q3.1**). Chemicals are stored in designated areas and disposal/treatment is mostly done by the national environmental agencies. Regarding monitoring of chemicals in groundwater, soil and biota, and the use of remediation actions, most Partners, except CSIR-FRI (who monitors surface and groundwater, and occasionally biota, and use septic tanks, soak pits and natural papyrus wetlands to mitigate contamination), answered that this does not apply (**Q3.2, Q3.3**).
Regarding microbial pathogens (**Q4**), this does not apply to Partners 1, 4, 6, 10, 16, 17, either because they don't deal with this type of contamination, or they follow the proper procedures for disposal of biohazard biological agents. P 2, 3, 5, 7, 11, 12, 18 monitor and/or follow SOPs to minimize microbial hazards into wastes.

3.1 Environmental Action Plan

This environmental action plan is designed to ensure all partners comply with best practices for waste management, effluent treatment, chemical handling, and pathogen control. The plan is segmented based on the unique requirements and current practices of each partner, with a focus on harmonizing procedures and addressing gaps in compliance.

Recommendations:

- Categorize wastes uniformly to streamline recycling and reuse processes.
- Develop guidelines for recycling and reusing different types of wastes specific to each partner's operations.
- Conduct regular training sessions for staff on waste segregation and recycling protocols.
- Raise awareness about the environmental impact of improper waste disposal.
- Ensure all partners comply with legal effluent discharge requirements.
- Review and update SOPs for handling chemical hazardous wastes, ensure that all partners strictly follow these SOPs.
- Ensure all chemicals are stored in designated, secure areas.
- Strengthen partnerships with national environmental agencies for the disposal and treatment of hazardous wastes.
- Enhance the monitoring of chemicals in groundwater, soil, and biota, and implement effective remediation actions.
- Establish a reporting system for environmental monitoring data and use this data to identify contamination trends and take proactive remediation measures.
- Review and update SOPs for monitoring and disposal of microbial pathogens to prevent contamination and emphasize the importance of following SOPs to prevent biohazard contamination.

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4. Gender Indicators

INNOECOFOOD is a gender responsive project committed to realizing and strengthening the role of women as key contributors to sustainable food systems throughout its implementation cycle and beyond.

4.1 Partner's Gender balance

INNOECOFOOD has an excellent gender ratio, with 51.7 % women (76/147 participants) and 48.3 % men (71/147 participants) in the whole consortium (Figure 1), with 4 out of the 9 Work Packages being led by women. The project consortium has more women in research (59 out of 76 women participating in the project) than men (52 out of 71 men participating in the project). Within the researchers' community, percentage of junior females is also higher than junior males (Figure 1).
Considering all 147 participants in the project, gender equality between researchers is almost achieved with 40.1 % of women and 35.4 % of men. The remaining 24.5% involved in the project are not researchers.

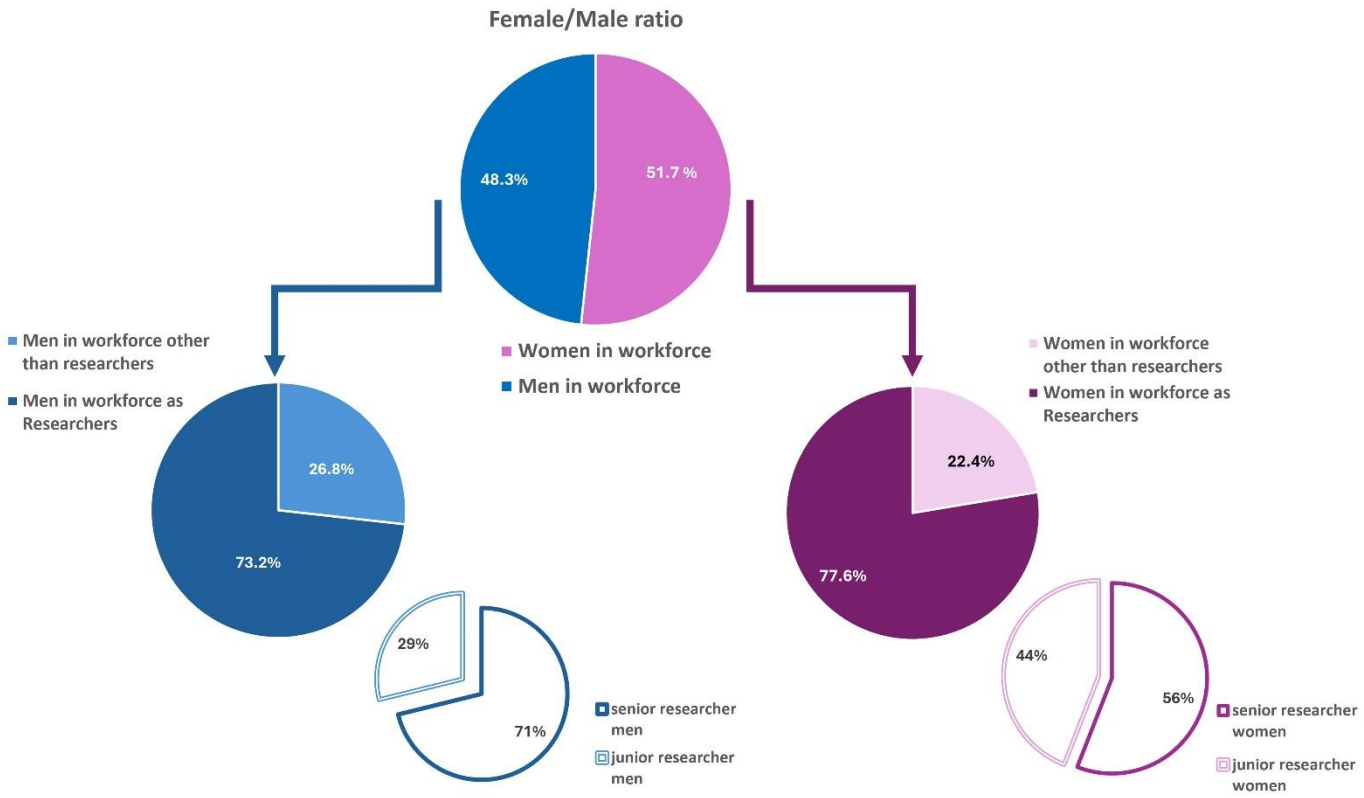

Figure 1. Female/Male ratio in INNOECOFOOD workforce, with percentage of women and men in research and other areas, and percentage of senior and junior female/male researchers.

No Partner in the INNOECOFOOD consortium has a team composed exclusively by men, whereas only 1 Partner (NKSB) is exclusively composed by women. Out of 20 Partners, 1 has less than 25% females

(INNOTECH) and 6 (CSIR-FRI, CLAR, JKUAT, BMAEU, SPARKY, INNOTECH) have less than 50% women in their team involved in the project. The remaining 14 Partners have 50% or more women working in the INNOECOFOOD (Figure 2).

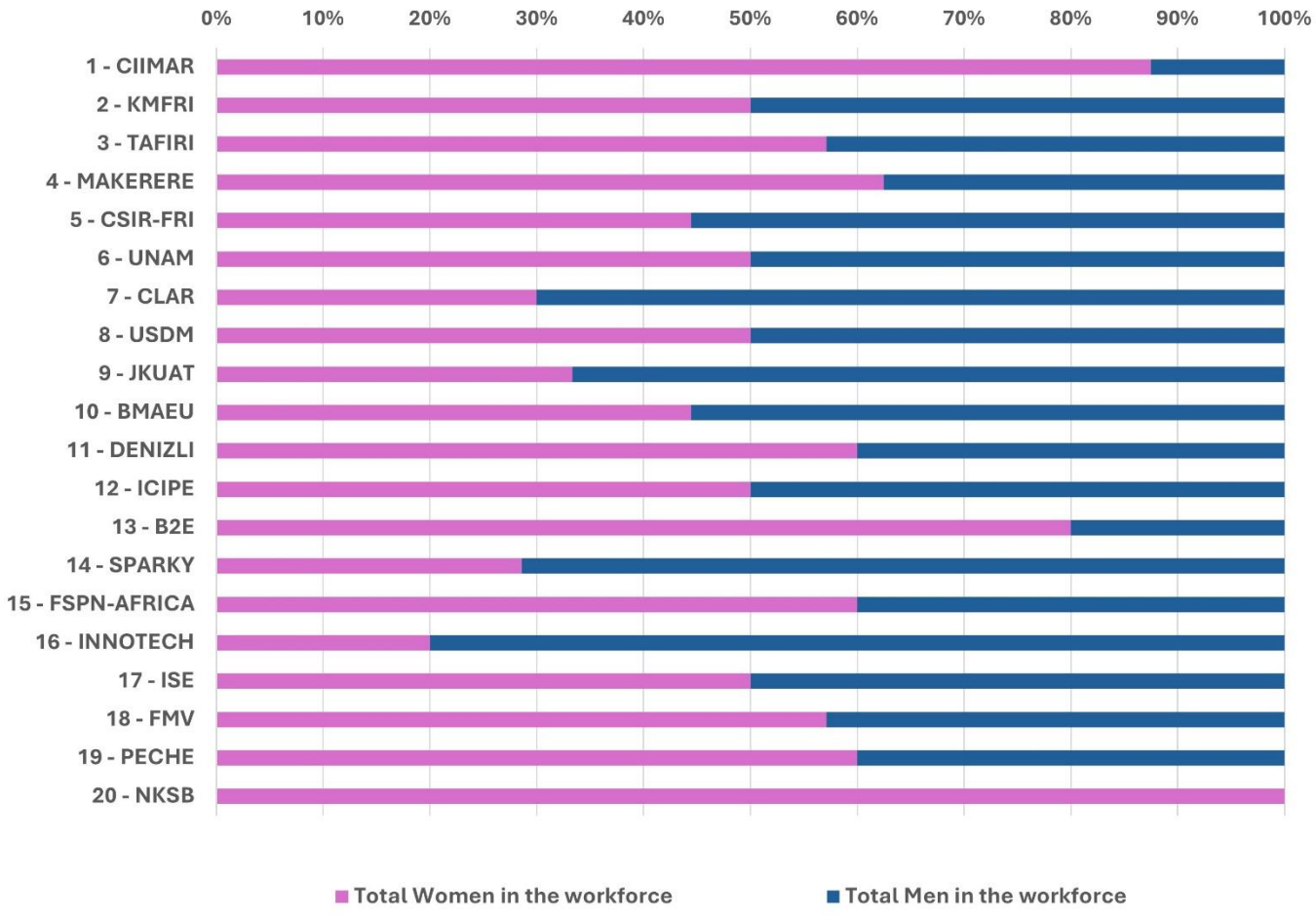

Figure 2. Female/Male ratio, by Partner, in INNOECOFOOD workforce, with percentage of women and men in research and other areas.

4.2 Partner's Gender Indicators

Partners were asked to provide information about gender actions taken at their institutions and already performed in the beginning of the project. Each Partner was given the possibility to reply "Yes", "No" or "Not applicable" for each action (Figure 3).

More than 94% of the participating institutions has an equal opportunities policy (action A) and 68.4% have a Gender Action Plan (GAP) implemented in their institution (Action B) and discuss GAP issues in project meetings (action H) (CIIMAR, KMFRI, MAKERERE, CSIR-FRI, UNAM, JKUAT, ICIPE, BMAEU, DENIZLI, B2E, FSPN-A, ISE, FMV) (Annex 3).
Almost 79% of the consortium actively searches for female applicants (action C), and in 84% of Partners women are required to be represented on the interviewing panel (action D). Organization of events

addressing female researchers at all levels are promoted by 84% of the consortium (action E), and 79% organize local events for women (action J).

More than 94% of the consortium offers the possibility of career breaks, prolongation of PhD studies due to pregnancy and provision of child-care facilities (action F). Almost 90% promote family friendly policies (e.g. provide more than the national legal minimum paternity leave; family friendly and flexible working conditions) (action K) and all Partners encourage women to attend international meetings (action I). 94% of Partners make an effort to ensure equal payment between genders (action O).

Specifically concerning actions in the scope of the INNOECOFOOD project, approximately 89 % of Partners encourage women to apply for project positions (action L) and encourage women to get involved in project activities, such as workshops (action M).

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Figure 3. Total Partners' Gender action replies (in %) from all participants in the INNOECOFOOD workforce.

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4.3 Gender's Action Plan

Presently, women researchers are well represented in the INNOECOFOOD consortium (40%), which indicates that women's participation in research is and will be encouraged and promoted on the long-term (44% of women in research are junior researchers).
The INNOECOFOOD GAP considers that the following actions and activities are envisaged by the consortium Partners to ensure and maintain gender equality:

a) Encourage women to apply for research positions.
b) Maintain equality in the occupation of leading positions in the project by women.
c) Ensure the promotion of equal opportunities in recruitment at all levels.
d) Implement as far as possible an equal proportion of women and men in the research activities and in the scientific management of the project.
e) Encourage women to participate in the coordinating, management, scientific and advisory committees.
f) Promote gender awareness and equality issues at the institutional level by each Partner.
g) Each Partner will annually report back to the Project Coordinator and Project Manager about gender issues, and data will be presented at the consortium meetings (M18 and M36) in order to monitor the progress made in terms of gender balance.
h) Each Partner must consider gender issues in the selection of human volunteers to the surveys and focus groups foreseen in the project.
i) Encourage women to take courses in research leadership at all levels.
j) Link with high schools and universities to trigger the interest of women in the project research activities.
k) Use the system of quotas in order to promote gender equilibrium in people benefiting from study visits of researchers between Partners, so that the proportion of women will not be allowed to fall below the proportion of eligible women applicants.
l) Avoid weekend meetings in order to prevent loss of time available for family life and personal social interaction.
m) Initiate a mentoring system to assist women in building better networks within the scientific community and encouraging women to undertake mentoring activities at the project meetings, by promoting close contacts between young promising women scientists and senior well-established researchers. Together they will identify and set up goals and strategies to implement over a given time (3 years) and identify and forecast any potential pitfalls in the choice of career moves. Mentors will give advice and encourage young researchers to apply for suitable positions, grants, etc. The intention is to keep the mentorship transnational, with each mentor supporting up to two early researchers, and mentorship for graduate students should be coordinated with the thesis supervisor.
n) Gender equality must be considered in the organization of seminars and workshops throughout the project.

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5. List of Annexes

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Annex 1 – Questionnaire on Ethical, Environmental, and Gender Indicators

ETHICAL ISSUES

INNOECOFOOD has identified several ethical issues that require specific attention (see below).

Please address the questions in the excel sheets "Humans" / "Animals" / "Genetic material" when applicable.

Evidence is required, and may be sent attached to the email

Ethics self-assessment	**WP**
ethics approval procedures in the countries and communities where the research is going to take place in (for human participants as well as for animal experiments)	3,4,6,7,8
vulnerability of the participants and actions to avoid stigmatization	6,7,8
privacy, data safety and right of withdrawal	6,7,8
risks for staff involved in handling pathogens	3,6,7
risks for the welfare of project staff deriving from the context in which the field research is taking place and plan of action for emergencies	2,3,4,5,6,7
ensuring that the use of AI does not infringe on individual rights	2,3,4,5,6,7,8
ensuring that the principle of the 3Rs is ensured in the animal experimentation	3
procedures in place to enable the transfer of genetic material (live Spirulina strains) from Africa to Turkey	4

		Project Partner								
		2 - KMFRI	**3 - TAFIRI**	**4 - MAKERERE**	**5 - CSIR-FRI**	**6 - UNAM**	**7 - CLAR**	**9 - JKUAT**	**12 - ICIPE**	**15 - FSPN-AFRICA**
1	Regarding Human participants, which measures to avoid stigmatization and vulnerability of participants will you follow? **Provide evidence** (e.g. examples of Informed Consent Forms and Information sheets)	Consent forms will be developed together with the questionnares	1. abide to Informed Consent principles by ensuring that participants fully understand all about the research and their roles including potential risks that may occur	Study team will interaction with and explain project activities to the participants in the local languages they understand.	Informed consent will be sort from articiants. Members of the innocofood project https://www.csir.org.gh/index.php/r-d/research-ethics/irb-iacuc/irb-sop	Consent is required and voluntary participation	We at CLAR follow the instructions of the research ethics procedures by Egyptian universities, which have measures to avoid stigmatization and vulnerability of participants. https://science.asu.edu.eg/ar/page/48/%D8%A7%D8%AE%D9%84%D8%A7%D9%82%D9%8A%D8%A7	Researchers to sign data confidentiality forms with human participants; Researchers to use language that is understood by local fisherfork and stakeholders; Description of the indemnity arrangements, where applicable; Participation must be voluntary and no coercion will be used;	Informed consent will be obtained from participants; data on sensory analysis will be collected in individual boothes	1.Informed Consent Forms 2. Coding data to remove personal identifiers in line with Health Insurance Portability and Accountability Act (HIPAA) 3. Using data only for the intented purpose after which the data is destroyed.
2	Regarding Human participants, how will you handle privacy and data safety obtained from sensory and consumer surveys?	By treating personal data with confidence and in accordance with set data protection regulations	Ensure anonymity in data collection and make sure that the collected data can not be linked back to other participants unless permission given	Participants will provide their feedback in confidence and anonymity. Database will be maintained for 2yrs. Study team will apply robust cybersecurity protocols	Data will be locked safely in cabinets or lockers and where not needed again, destroyed.	Data to be used for the purpose it was collected for and not to be shared without permission.	They are informed that the data is confidential and will only be used for scientific research purposes; they are also free to participate. And all of the information collected from each one will be anonymous.	Through informed consent and participation: Anonymization and/or Aggregation of data whenever possible to minimize the risk of identifying individuals. Rights to Access and Rectification: The data protection act guarantees a participant access and rectification of data	Questionnaires will be de-identified and data handled confidentially by the research team	1. Informed Consent Forms 2. Access to data will be restricted to project partners only. 3. Training partners on data collection, processing,analysis ,data privacy and security protocols.
3	How will you assure that AI does not infringe on individ	The use of AI is only for measuring animal and environmental parameters	The use of AI is only for measuring animal and environmental parameters	The use of AI is only for measuring animal and environmental parameters	The use of AI is only for measuring animal and environmental parameters	The use of AI is only for measuring animal and environmental parameters	The use of AI is only for measuring animal and environmental parameters	The use of AI is only for measuring animal and environmental parameters	The use of AI is only for measuring animal and environmental parameters	The use of AI is only for measuring animal and environmental parameters
4	What are the rules for ethical approval of surveys in the different institutions/countries? **Provide evidence** (e.g. national legislation)	We have guidelines that ensure research is done in accordance to professional ethics. Evidence attached	1. Ensure informed consent from the respondents that they voluntary agree to participate with fully willingness. 2. Ensure confidentiality that participant responses are kept confidential and anonymous (when applicable) unless they explicit consent is obtained to disclose their information 3. Ensure special care is taken when involving vulnerable populations such as disabled people and elderly individual	Uganda National Council for Science & Technology guidelines, https://www.uncst.go.ug/details	CSIR has an Internal Review Board (IRB) that grants ethical aproval for studies on humans and animals. https://www.csir.org.gh/index.php/r-d/research-ethics/irb-iacuc/irb-sop	National Council for Research, Science and Technology is National Body responsible for Research Permits, then the University is having a Policy on Ethics.	Article (3) of Law No. 151 of 2020 requires that the following conditions be met for collecting, processing and retaining personal data: 1- That personal data is collected for legitimate, specific and declared purposes for the person concerned. 2- It must be correct, sound and secure. 3- To be processed in a lawful and appropriate manner for the purposes for which it was collected. 4- It should not be kept for longer than the period necessary to fulfill its specified purpose.	N/A	Strohm (2020) Standards for research ethics across East Africa will be applied;these will include Ethics approval from an accredited IRB, a national research permit from NACOSTI and alocal research permit from the county of research	https://www.nacosti.go.ke/nacosti/Docs/QUICK%20DOWNLOADS/GUIDELINES_ON_RESEARCH_LICENSING_AND_INSTITUTIONAL_AFFILIATION_compressed.pdf
5	Will you deal with contaminants (either chemical or microbiological)? If yes, does your institution has the required authorizations? **Provide evidence** (e.g. national authorizations)	N/A	N/A	N/A	Yes - as in analysis to ascertain the level of toxins (mycotoxins and histamine), metallic contaminants, pesticides residues, and microbiological contaminanats in food products and agricultural produce. Our laboratories are either accredited to or comply with the requirement of ISO/IEC 17025.	N/A	N/A	N/A	Yes. We will ensure that *icipe's* Policy Guide to Environmentally Conscientous Laboratory Operations on the use of chemical and microbiological contaminants is implemented.	N/A
6	Regarding environment, safety and health of staff, how will risks associated with handling pathogens be minimized? **Provide evidence** (e.g. laboratory rules in place)	Laboratory operating procedures are in place	1.Ensure that involved personnel are well trained and understand the potential risks associated with handling harmful substances and are aware of the necessary safety rules. 2. Ensure that all necessary Protective gears such as gloves, masks and protective clothes are worn during work to minimize harm 3. Ensure proper handling, transportation and disposal of all harmful substances.	N/A	CSIR has rules and regulations in place for all laboratories. https://www.csir.org.gh/index.php/r-d/research-ethics/irb-iacuc/irb-sop	N/A	Follow the occupational safety conditions on which the organization's employees are trained	N/A	We will ensure that *icipe's* Institutional Biosafety & Biosecurity Policy will be implemented	Training guide for Trainers of Trainers (TOTs) in liason with ECOHUBs and Living Labs
7	Regarding environment, safety and health of staff, how will wastes and other likely contaminated material be handled? **Provide evidence** (e.g. laboratory rules in place; national regulations)	To follow laboratory rules	1. Ensure that waste materials are segregate based on their nature e.g., solid, soft, biological, chemical, radioactive 2. Ensure that wastes is properly stored to avoid leakages and spills according to laboratory regulations	The project team will treat waste and ensure compliance to National Environment Management Authority (NEMA) discharge standards, https://nema.go.ug/sites/all/themes/nema/docs/effluent_discharge_regulations.pdf	Pathogens that are no longer needed are destroyed or discarded according to Ghana Standards Authority management and control systems. gsa.gov.gh	General waste and toxic waste management procedures for Laboratories.	By incenration of this waste and burying it in an unused place, completely outside the place of production, using quicklime before and above the buried materials, the burial process is completed.	N/A	We will ensure that *icipe's* Environment & Waste Management Policy will be implemented	Training guide for Trainers of Trainers (TOTs) in liason with ECOHUBs and Living Labs
8	What are the rules and procedures for approval of tasks that pose biosafety issues? **Provide evidence** (e.g. national authorizations)	Some are In place others to be formulated	Fisheries Regulation 2009	Uganda National Council for Science & Technology guidelines, https://www.uncst.go.ug/details	The National Biosafety Authority is in lace to regulate biosafety issues. https://nba.gov.gh/	National Biosafety Policy exists.	Despite the fact that Egypt's national law regulating biosafety has not yet been promulgated, we at CLAR follow the instructions in the laboratory biosafety manual issued by the World Health Organization.	N/A	We will ensure that *icipe's* rules and procedures for approval of tasks that pose biosafety issues are implemented as per *icipe's* Institutional Bio-Safety and Bio-Security Policy	

		Project Partner						
		1 - CIIMAR	**2 - KMFRI**	**3 - TAFIRI**	**4 - MAKERERE**	**5 - CSIR-FRI**	**6 - UNAM**	**7 - CLAR**
1	Does the EcoHub/living lab has the required permits to operate? **Provide evidence** (e.g. copy of permits), or explain how it will be obtained	Yes. CIIMAR animal facility (BOGA) is licensed and inspected by the Portuguese Authority on the protection of animals used in experimentation with scientific or education purposes (DGAV –General Directorate of Food and Veterinary). (attachment 2: DGAV Accreditation)	To be acquired	Yes, permits from COSTECH and TAFIRI Research Clearance certificates	KAMOS (Private partner) has an operating licence/business licence	Permit application is done, awaiting approval	No. Our living lab operationans are under smal scale farmers which do not require permits but are registered by the Ministry of Fisheries and Marine Resources.	Yes, in 1991, the decision was issued to establish the CLAR as a National Center for Aquaculture Research. Ministerial Decree No. 1419 of 1994.
2	Does the EcoHub/Living lab have appropriate authorizations for the supply of animals? If yes, please provide evidence (e.g. copy of authorizations)	No. CIIMAR will not supply animals. All animals used for experimentation are originated from fish farms after veterinary inspection.	To be acquired	no	No, living lab will receive fry and fingerlings from authorised hatcheries	Yes, renewable and will be updated when an application is made to the Fisheries Commission of Ghana	No.	Yes, according to Ministerial Decree No. 1419 of 1994, CLAR has appropriate authorizations for the supply of animals.
3	What are the rules for project authorizations in the different institutions to ensure animal welfare? **Provide evidence** (e.g. national/institutional rules and procedures for animal experimentation approval)	CIIMAR has an ETHICAL COMMITTEE and an Animal Welfare Body (ORBEA) to comply with high ethical standards in research concerning the use of animals, tissues or any elements that may cause harm to the environment. All experimental activities involving animals have to be previosuly authorised by these commitees and then by the national Directorate of Food and Veterinary (DGAV). (attachment 3: Composition ORBEA-CIIMAR)		Will use the national welfare act of 2008	Uganda National Council for Science & Technology guidelines, https://www.uncst.go.ug/details	CSIR-Ghana, found at www.csir-irb.rhinno.com	UNAM has its own Ehtical Clearance bodies or Committees that deals with ethics. We are not directly working with animals.	1: Preserving experimental animals by researchers, with the need to recognize and protect these living creatures from pain, disorder, and fear when they remember these experiments. 2: Taking into account scientific planning and caution for any experiments conducted on animals based on a scientific information research methodology that is approved by the Ethics Committee for Scientific Research and the Use of Experimental Animals at the university.
4	Is training in fish handling available for staff? If yes, **provide evidence** (e.g. supporting documents for training activities).	Yes, CIIMAR provides the CalAqua course - one of the few Laboratory Animal Science Courses in the European Union specifically designed for the use of aquatic animals as experimental models, with particular emphasis on aquatic vertebrates (fish and amphibians) and cephalopods. The completion of Cal-Aqua allow the certification as Research Technician to perform animal experimentation, according to Article 31º (2.-a.c and d) of Decree-Law 113/2013, formerly known as "FELASA B Category", CALAQUA currently in its 24th edition. (attachment 4: CALAQUA program)	To be acquired	Not yet, but will involve future trainings	Yes, training modules in fish handling will be developed and used for training staff	Yes	No.	Yes, attached to the mail an example of the announcement for the CLAR's training courses
5	Will staff obtain certificates/permits to handle the fish? If yes, how will permits be obtained? **Provide evidence** (e.g. copies of training/personal licences of staff involved in	All personel involved in the fish trial proposed under this project already have permits for animal experimentation.	Yes, will be optained from Kenya fisheries service	Most of the staff involved is graduates from fisheries colleges trained in different fish aspects including fish handling protocols	N/A	No	No.	Yes, attached to the mail an example of the certificates of CLAR's training courses
6	Which are the Regulations/Procedures for health and disease control you will follow? **Provide evidence** (e.g. national/institutional regulations)	Regulation will follow national authorities recommendations (DGAV). CIIMAR has an appointed veterinarian to provide guidance on health and disease control.	Quarantine and screening for new stocks	Not yet in place	The World Organisation for Animal Health (WOAH) Aquatic Animal Health Code and manual		National Policies. Though we are not working directly with animals	Implement infection control policies and procedures for university hospitals that comply with the National Infection Control Guide and the instructions of the Global Center for Disease Control and the World Health Organization.
7	What are the Regulations/Procedures for animal transportation? **Provide evidence** (e.g. national/institutional regulations)	Animals will be transported from authorised fish farms according to the certficates provided by their local entities (e.g. DGAV in Portugal).	To be acquired from Kenya Fisheries Department	Not yet in place	We shall obtain Movement permit for live aquatic organisms (Fish (Aquaculture) Rules & Fish (Beach Management) Rules)	Fish transportation permit. www.fishcom.gov.gh	National Veterinary Policies where Permits to transport animals are issued.	
8	Regarding Animal experimentation, do you follow the principle of the 3 Rs? **Provide evidence** (e.g. how you address the 3 Rs)	Yes. The use of models or cells will be used whenever possible to replace animal experimentation (REPLACE); whenever replacement is not possible, the number of fish used will be minimised to the minimum possible ensuring statistical robustness (REDUCE); the experimental conditions will be optimal for the species concerning environmental factors and acess to food (REFINE);	Yes	Yes, 1. Striving to find alternatives to animal testing when it is possible 2. Strive to minimize the number of animal used in experiments 3. Strive to minimize any potential pain, suffering, or distress that may occur during animal experimentation	Yes, team will try to find allternatives to animals; were possible, recalculate the minimum number of animals required for the experiment and ensure optimum experimental conditions to minimise potential pain and distress	Yes, based on CSIR Ethical clearance guidelines. Exp'tal ponds designated for replacement of fish, reduction in the population size and refinement of animates use	Yes	
9	Regarding Animal experimentation, which refinement techniques will you use to minimize fish pain and distress?	Fish will be maintained under optimal conditions specific to each species, ensuring adequate density, excellent water quality, appropriate light intensity, photoperiod, water temperature, and the use of nutritionally balanced feeds. Experimental systems are equipped with technology to continuously monitor water quality parameters and adjust as necessary. During trials, fish welfare is monitored using a Standard Operating Procedure (SOP). All fish are anesthetized before handling to minimize pain and distress.	Killing by use of asphyxia	1. Employing appropriate anesthetics and analgesics 2. Ensure acclimation of the experimental animals to the new environment before experimentation 3. Simulate and enrich environment in the rearing structure imitating the natural habitat of the animal 4. Regular monitoring of experimental organisms for their behavior and health to early detect sign of distress. 5. Employing appropriate stocking densities during experimentation	Will adopt the Australian Guidelines to promote the wellbeing of animals used for scientific purposes: The assessment and alleviation of pain and distress in research animals in addition to optmising environmental culture conditions including minimizing handling time & frequency	BAP: aeration and procedural stress management, less stock density	N/A	Providing a suitable environment for the fish and achieving the fish welfare in a way that does not affect the results of the experiment
10	Regarding Animal experimentation, do you expect there will be a need to anesthetize fish? If yes, which methods will you apply?	yes. It will be used before fish manipulation to collect blood samples.	No	Yes, Using clove oil by dissolving in water to create a solution and submerge the fish until they become anesthetized	N/A	anesthetic. i.e. MS 222	N/A	Use natural materials such as clove oil, and also use safe materials such as Ms222
11	How will fish be killed?	After an anesthesic overdose (2-Phenoxyethanol, 0,5 mL/L), a sharp blow to the head will ensure fish will be killed before tissue collection.	Team to agree	Fish will be immersed in ice water causing them to die gradually by losing consciousness and die due to lower temperatures	Sacrificing the fish will follow procedures oultined by Shoko et al. 2015	anesthetic. i.e. MS 222	N/A	This involves cutting the spinal cord or destroying the brain quickly

		Project Partner						
		2 - KMFRI	**3 - TAFIRI**	**4 - MAKERERE**	**5 - CSIR-FRI**	**6 - UNAM**	**7 - CLAR**	**10 - BMAEU**
1	Will you need documentation showing compliance with the UN Convention on Biological Diversity (e.g. access permit and benefit sharing agreement)? **Provide evidence**	To be acquired	Yes, to be applied whenever require	N/A	Yes, through the National Biosafety Authority when an application is made. https://nba.gov.gh/	No		Yes, we would need that documentation. In the WP 4, we are responsible for, we need to collect and isolate spirulina platensis samples alive from the ECOHUB area of the relevant countries in Africa and bring them to Turkey in water and optimize them here. Furthermore, after the optimization process, we must return optimized Spirulina samples back to the respective ECOHUB centers, then cultivate for mass production. In this context, the necessary permits and approvals are required on a country-by-country basis for the live transfer of Spirulina specimens between Turkey and African countries. For this, the necessary permit application has been made to the Turkish Ministry of Agriculture and Forestry and the procedures are ongoing. We expect the result of our application within the next two weeks at the latest. At the same time, we have notified the relevant African coordinators to apply for the necessary permits from the relevant African countries and we are waiting for the results from them. As proof, please find attached our application to the ministry.
2	Will you need import licences/ Material Transfer Agreement (MTA)? **Provide evidence** (e.g. copy of licences/MTA)	To be acquired	Yes, to be applied whenever required	Yes, MTA Copy to be attached in due course when the need arises	Yes, through the Plant Protection and Regulatory Services Department. Licenses will be issued when request are made with invoices. Mofa.gov.gh/site/directorates/technical-directorates/plant-protection-regulatory-services	Yes. For materials emanting from EcoHubs mainly for testing and extrusion based products. We need an import permit for some of these materials.		No, We don`t think so. Since the Turkish Ministry of Agriculture and Forestry decides and permits the entry and exit of living materials/organisms into and out of Turkey, the approval and permission we receive from the ministry can also be used as a license and material transfer permit.

Funded by the European Union

INNO ECOFOOD

These indicators provide valuable information for evaluating environmental performance, identifying areas for improvement, and ensuring the protection of human health and the environment

	Project Partner																
	1 - CIMAR	2 - KMFRI	3 - TAFIRI	4 - MAKERERE	5 - CSIR-FRI	6 - UNAM	7 - CLAR	8 - USDM	9 - JKUAT	10 - BMAKU	11 - DENIZLI	12 - ICIPE	14 - SPARKY	16 - INNOTECH	17 - ISE	18 - FMV	19 - PECHE
1. Waste Management																	
1.1 Do you track the amount and types of wastes generated to identify opportunities for waste reduction, reuse and recycling?	Yes. Namely for plastic and chemical waste.	yes	Yes	Yes, liquid waste	Yes	Yes	The waste is divided into glasswares, plastics, organic waste, and paper waste, and it is collected and communicated with the authorities affiliated with the Ministry of Environment		YES	Yes	YES	YES		No	Yes. We track the amounts and types of waste and take care of waste reduction, reuse and refurbishment. The responsibility lies with the waste officer.	Yes	YES
1.2 Do you recycle? If yes, which wastes are recycled and how the process is implemented?	Yes. There are recycling containers in various places throughout CIMAR building for recyclable urban waste. Plastic, paper and glass.	Yes, we recycle water bottles to avoid plastic pollution, we use by-products from fish such as oil for making fish feeds and scales for making decorations	Yes, 1. Waste water from fish farming to be re-used to irrigate crops and vegetables near fish ponds. 2 wastes from fish processing reused as fish/animal feed ingredient i.e protein source	Liquid waste	Sometimes - food waste, for food/feed processing	Yes	CLAR does not recycle waste.		JKUAT has a sewage treatment plant that reduces COD and BOD before waste water is released to environment; JKUAT has established incampus wetlands through which biodiversity is reserved and storm water and water from the farms is released for reuse in the wetlands; JKUAT can	NO		YES. Food waste collected from the guest house is used as a feed substrate for insect rearing (BSF). Generated insect frass is used in production of organic frass fertilizer. Other bio-degradable wastes are composted and used as manure		Yes, all waste is recycled. Household waste via the municipal waste disposal system, organic waste is composted on the site, production waste is separated and recycled by scrap dealers or recycling service providers.	The recycled content depends on the type of waste. We are planning to introduce a target value (for 2030) for the recycled content of commercial waste. Individual types of waste such as IT hardware were converted to recycling and refurbishment by waste disposal	Yes. The waste produced in FMV's Services\Laboratories\Hospital (paper, plastic, reagents, biological material) is collected daily by FMV's waste management team for specific bags/bobbows, which qualifies the level of risk, and stored in containers. The	Recycle damaged bread to make bread crumbs
2. Waste water management																	
2.1 Does wastewater discharge meets regulatory standards set by local, regional, or national environmental agencies? If yes, please provide a summary of how wastewaters are handled	Wastewater from the bioterium is directed to the municipal water treatment facility. Experimental rooms designated for toxicology and infection trials are equipped with specialized water treatment systems tailored to the requirements of the effluent produced.	yes it does through sewerage systems and use of costructed wetlands	1. Waste water reuse by irrigating to surrounding crops and vegetables, 2. Construction of wetland/lagoon for treating the water before discharged to the environment	Wastewater from mini fish processing plant, use of septic tank and soak pit; wastewater from ponds released to papyrus wetlands before feeding into the lake	No. Regulations on waste water discharge underway	Yes	There are sewage stations that comply with the standards and are affiliated with the government that receive sewage and wastewater and treat them in 3 stages (Ki Akbasa water station is 5 kilometers away from CLAR).		National Regulations: The Environmental Management and Coordination Act (EMCA) of 1999 established the National Environment Management Authority (NEMA) to oversee environmental management in Kenya, including water quality. NEMA has developed various regulations and standards for water quality, including the Environmental Management (Water Quality) Regulations, 2006. Water Quality Regulations These regulations set	NO	As there will be a closed and continuous production of Spirulina and the wastewater generated will be reused in the closed production system, it will meet and comply with local, regional or national wastewater regulations and practices.	NO	YES. Wastewater discharge meets the regulatory standards set by the national environmental agency. It is tested internally at dudoville campus on a quarterly basis to ensure no contaminants are released as effluent after which the discharge is safely disposed into the sewer lines. On Melle campus, there is a water treatment plant where wastewaters are tested and treated internally, also on a quarterly basis, in accordance with the national environment agency's regulations before safe disposal into the lake.		Waste water is only produced in small quantities and can be disposed of via the municipal waste water system	yes, wastewater discharge meets regulatory standards. Process water is neutralized and released into the public waste water system	Yes. The treatment of effluents complies with the legal requirements, and is the responsibility of the Municipal Services of the Lisbon City Council.	Yes/Certified as per Nema requirements
3. Contaminant Management															public network initiated.		
3.1 When dealing with chemical hazardous wastes, what are the specific measures governing the handling, storage and disposal of contaminated material? Show evidences (SOP)	All waste is treated by the company EGEO, which adopts the purpose of the circular economy, valuing, favoring forms of treatment that lead to the reuse, recycling and valorization of the waste that is produced by us. Example: regeneration and subsequent commercialization of solvents. For evidence, we have the annual waste report that we make on the APA website (attachment 1: MIRR 2023 - CIMAR)	We have laboratory standard operating procedures	No hazardous chemical will be used	We will treat waste and ensure compliance to National Environment Management Authority (NEMA) discharge standards, https://nema.go.ug/sites/all/themes/nema/docs/effluent_discharge_regulations.pdf	Labs follow GLP, and hazardous waste/chemicals are stored in designated areas, and then the EPA (Environmental Protection Agency) is contacted to direct the disposal/treatment by a third part agency.	ISO standards and Disposal of waste and hazardous materials	There are rooms designated for storing chemical materials, equipped with industrial safety and fire-extinguishing means. The necessary measures are taken in accordance with Labor Law No. 12 for 2001, Occupational Safety and Health and Securing the Work Environment.		When handling Chemicals with hazardous waters, the Environmental Management and Coordination Act (Cap 387) and the Waste Management Regulations, 2006 govern the handling of hazardous waste in Kenya. These regulations require producers of hazardous waste to treat it in a designated facility before disposal. They must also ensure safe handling and storage, including proper labeling and packaging. Storage regulations specify strict storage requirements for hazardous waste which include storing secure, designated areas with secondary containment to prevent	YES (eop)	In closed and continuous Spirulina production, there is no formation of dangerous chemical waste. The chemicals used in the culture are necessary inorganic chemicals for cell growth and development. The amount of these chemicals will be monitored and measured within the culture, and they will be reused along with the waste water that will also be reused. Therefore, there doesn't seem to be any chemical waste danger or risk in our operation.		There are specific measures on governing the handling, storage and disposal of contaminated material as per icipe's Environment and Waste Management Policy		Chemical hazardous waste occurs very rarely and is stored and disposed of in accordance with German environmental regulations.		The Waste Management Plans of FMV took into account, with the necessary adaptations, the management rules laid down for all stages of the process: sorting, packaging, transport, storage, treatment, recovery and disposal (final destination). According to the SOP (https://www.fmv.ulisboa.pt/uploads/2017/10/SGeb81797164c.pdf) to minimize Chemical hazardous wastes all chemical products are risk evaluated and preventive measures are in place.	N/A
3.2 In case no specific actions are implemented concerning the management of chemical hazardous wastes, do you monitor the concentration of these chemicals in groundwater, soil, and biota released to the environment? Which is the periodicity?	Not applicable. All residues are delivered to EGEO.	It is a function of the National Environmental Management Authority	N/A	N/A	Yes, water quality (surface and groundwater) and sometimes in biota	N/A	Random samples of water and soil are analyzed at CLAR. No organisms are released into the environment, and experimental organisms are discarded		It would be necessary to monitor periodically based on Environmental Management and Coordination Act.		Yes, but these chemicals will be monitored during the cultivation and the waste water which is reused, and where these chemicals will be found.		There are specific actions that are implemented on a quarterly basis concerning the management of chemical hazardous wastes, as detailed in icipe's Environment and Waste Management Policy		No, not necessary	no	We have preventive measures implemented (see SOP) and the treatment of effluents complies with the legal requirements, and is the responsibility of the Municipal Services of the Lisbon City Council.	N/A
3.3 Do you apply remediation actions to mitigate contamination from chemical hazardous wastes, such as soil and groundwater remediation techniques? If yes, specify.	Not applicable.	No	N/A	Septic tanks, soak pits; use of natural papyrus wetlands	The EPA is contacted to direct how biological waste is treated or disposed the filtration of designated wetland.	N/A	There are no chemical wastes released into the soil.		Environmental Management and Coordination Act (EMCA) 1999, Kenya, does recommend remediation actions to mitigate contamination from chemical hazardous wastes, including soil and groundwater remediation techniques. These techniques aim to remove, destroy, or contain the contaminants to prevent further harm to human health and the environment. Some common techniques include:Soil	NO	No. Since the aim of the WP4 is to make mass production of spirulina and there is no such a contamination and risk for hazardous chemical, there will be no need for remediation process.		YES. Chemical hazardous waste is treated quarterly before release into the effluent system to ensure compliance with regulations and prevent contamination to the soil and ground water		No, not necessary	no, not relevant	Not applicable.	N/A
4. Microbiological (pathogen) Management																	
4.1 Do you monitor the presence of microbial pathogens such as bacteria, viruses, and protozoa used in your facilities in wastes (water and contaminated consumables)? Provide the evidence (SOP) for the specific measures taken to avoid releasing into the environment.	No. All residues containing biohazard biological agents are delivered to a company that manages this waste (Ambipombal)	Yes	Conducting regular sampling in facilities where contamination is mostly likely to occur	N/A	Yes for bacteria only (as main organism used).	No	Pathogens are monitored in the laboratory's earthen ponds and water channels. In the event that any experiment is conducted with one of the pathogens present in the water, it is collected in designated tanks in laboratories and treated with disinfectants that are safe for the environment before disposal.		EMCA 1999 does provide guidance on managing and disposing of hazardous waste, which can include contaminated water and consumables, including:**Chemical analysis**:Detects the presence of specific chemicals associated with pathogens. **Microbiological analysis**:Directly detects and identifies pathogens using techniques like culturing or molecular methods. **Indicator organisms**: Monitors the presence of organisms that indicate the potential presence of pathogens	YES (eop)	Since the spirulina biomass produced in ECOFUBS will be used for human consumption, it must specifically take into account that there are potential risks of microbial contamination. Spirulina is often produced in open ponds is prone to contamination including bacteria and protozoa. However, Spirulina that is grown in closed environments yields biomass that is free of contaminants and contamination, which makes the process of its production and incorporation into food more		YES. Monitoring is implemented as per icipe's Guide to Environmentally Conscientious Laboratory Operations		No, not necessary	N o, not relevant, we don't use any microbial pathogens.	SOP are in place to minimize microbial hazards into wastes. Hazardous hospital and laboratory biological waste falls into group 2 - biohazardous hospital waste is stored in a black bag (to identify the hazard) and/or in bobbows. All biological wastes are properly separated, packaged and collected by the company Stericycle - Waste Management. Legionella assessment for hot water and condicioning airs equipment are monitored.	N/A

Partners' Gender balance

Funded by the European Union

Gender of researchers and other workforce involved in the project

Please restrict your answers only to the number of people **working in the INNOECOFOOD project**

Please note that:

1. "Researchers" number must include all people involved in scientific/innovation activities, including postdocs and PhD students

2. The number of staff from each partner should also include those working in Third Parties (when applicable)

Project Partner	Number of senior female researchers	Number of junior female researchers (MSc, PhD students, post-doc < 3 years)	Number of senior male researchers	Number of junior male researchers (MSc, PhD students, post-doc < 3 years)	Number of females in the workforce other than researchers	Number of males in the workforce other than researchers	Total number of females in the workforce	Total number of males in the workforce	
1 - CIIMAR	6	1	1	0	0	0	7	1	
2 - KMFRI	3	3	5	1	0	0	6	6	
3 - TAFIRI	2	2	2	1	0	0	4	3	
4 - MAKERERE	2	0	3	0	3	0	5	3	
5 - CSIR-FRI	2	1	3	1	1	1	4	5	
6 - UNAM	0	2	2	0	0	0	2	2	
7 - CLAR	3	0	7	0	0	0	3	7	
8 - USDM	1	1	1	1	1	1	3	3	
9 - JKUAT	1	0	2	0	0	0	1	2	
10 - BMAEU	2	2	2	2	0	1	4	5	
11 - DENIZLI	1	1	2	0	1	0	3	2	
12 - ICIPE	1	7	3	4	2	3	10	10	
13 - B2E	3	0	0	0	1	1	4	1	
14 - SPARKY	0	0	0	0	2	5	2	5	
15 - FSPN-AFRICA	0	2	0	0	4	4	6	4	
16 - INNOTECH	1	0	2	2	0	0	1	4	
17 - ISE	1	2	1	2	0	0	3	3	
18 - FMV	3	1	1	1	0	1	4	3	To be hired 1 MSc/post-doc
19 - PECHE	0	1	0	0	2	2	3	2	
20 - NKSB	1	0	0	0	0	0	1	0	

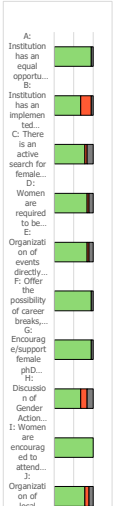
Partners' Gender actions

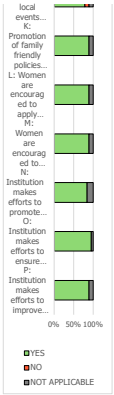
Funded by the European Union

Please select "Yes", "No" or "Not applicable" from the drop-down list, in each action, in your institution column.
The actions refer to gender actions performed at each institution and specific gender actions within INNOECOFOOD performed at each institution.
* If your institution has a Gender Action Plan (GAP) please send a copy to Ana Faria (afaria@ciimar.up.pt)

Yes
No
Not applicable

	Project Partner																				TOTAL						
Actions	**1 - CIIMAR**	**2 - KMFRI**	**3 - TAFIRI**	**4 - MAKERERI**	**5 - CSIR-FRI**	**6 - UNAM**	**7 - CLAR**	**8 - USDM**	**9 - JKUAT**	**10 - BMAEU**	**11 - DENIZLI**	**12 - ICIPE**	**13 - BZE**	**14 - SPARKY**	**15 - FSPN-AFR**	**16 - INNOTEC**	**17 - ISE**	**18 - FMV**	**19 - PECHE**	**20 - NKSB**	**YES**	**NO**	**NOT APPLICABLE**	**sum**	**% Yes**	**% No**	**% Not applicable**
A: Institution has an equal opportunities policy	Yes	Yes	Yes	Yes	Yes	Yes	Yes		Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Not applicable	18	0	1	19	94.73684211	0	5.263157895
B: Institution has an implemented Gender Action Plan (GAP)	Yes	Yes	No	Yes	Yes	Yes	No		Yes	Yes	Yes	Yes	Yes	Not applicable	Yes	No	Yes	Yes	No	No	13	5	1	19	68.42105263	26.31578947	5.263157895
C: There is an active search for female applicants	Not applicable	Yes	Yes	Yes	Yes	Yes	Not applicable		Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	No	Yes	Not applicable	15	1	3	19	78.94736842	5.263157895	15.78947368
D: Women are required to be represented on the interviewing panel	Yes	Yes	Not applicable	Yes	Yes	Yes	Yes		Yes	Yes	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes	Yes	Not applicable	16	1	2	19	84.21052632	5.263157895	10.52631579
E: Organization of events directly addressing female researchers at all levels, promoting and assisting gender equality, family issues, among others	Yes	Yes	Yes	Yes	Yes	Yes	Yes		Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	No	Not applicable	Not applicable	16	1	2	19	84.21052632	5.263157895	10.52631579
F: Offer the possibility of career breaks, prolongation of PhD studies due to pregnancy and provision of child-care facilities	Yes	Yes	Yes	Yes	Yes	Yes	Yes		Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Not applicable	18	0	1	19	94.73684211	0	5.263157895
G: Encourage/support female phD students	Yes	Yes	Yes	Yes	Yes	Yes	Yes		Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Not applicable	18	0	1	19	94.73684211	0	5.263157895
H: Discussion of Gender Action Plan (GAP) issues within internal institutional meetings	Yes	Yes	Not applicable	Yes	Yes	Yes	No		Yes	Yes	Yes	Yes	Yes	Not applicable	Yes	No	Yes	Yes	No	Not applicable	13	3	3	19	68.42105263	15.78947368	15.78947368
I: Women are encouraged to attend international meetings	Yes	Yes	Yes	Yes	Yes	Yes	Yes		Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	19	0	0	19	100	0	0
J: Organization of local events for women	Yes	Yes	Yes	Yes	Yes	Yes	Not applicable		Yes	Yes	Yes	Yes	Yes	Yes	Yes	No	Yes	No	Yes	Not applicable	15	2	2	19	78.94736842	10.52631579	10.52631579
K: Promotion of family friendly policies (e.g. providing more than the national legal minimum paternity leave; family friendly and flexible working conditions)	Yes	Yes	Yes	Not applicable	Yes	Yes	Not applicable		Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	17	0	2	19	89.47368421	0	10.52631579
L: Women are encouraged to apply for INNOECOFOOD positions	Yes	Yes	Yes	Yes	Yes	Yes	Yes		Yes	Yes	Yes	Yes	Yes	Yes	Yes	Not applicable	Yes	Yes	Yes	Not applicable	17	0	2	19	89.47368421	0	10.52631579
M: Women are encouraged to get involved in INNOECOFOOD activities, such as workshops	Yes	Yes	Yes	Yes	Yes	Yes	Yes		Yes	Yes	Yes	Yes	Yes	Yes	Yes	Not applicable	Yes	Yes	Yes	Not applicable	17	0	2	19	89.47368421	0	10.52631579
N: Institution makes efforts to promote women participation in labor-market	Yes	Yes	Yes	Yes	Yes	Yes	Yes		Yes	Yes	Yes	Yes	Yes	Not applicable	Yes	Not applicable	Yes	Yes	Yes	Not applicable	16	0	3	19	84.21052632	0	15.78947368
O: Institution makes efforts to ensure equal pay between genders	Yes	Yes	Yes	Yes	Yes	Yes	Yes		Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Not applicable	18	0	1	19	94.73684211	0	5.263157895
P: Institution makes efforts to improve the gender balance in leadership positions	Yes	Yes	Yes	Yes	Yes	Yes	Yes		Yes	Yes	Yes	Yes	Yes	Yes	Yes	Not applicable	Yes	Yes	Yes	Not applicable	17	0	2	19	89.47368421	0	10.52631579




local events...
K: Promotion of family friendly policies...
L: Women are encouraged to apply...
M: Women are encouraged to...
N: Institution makes efforts to promote...
O: Institution makes efforts to ensure...
P: Institution makes efforts to improve...
0%
50%
100%
YES
NO
NOT APPLICABLE

Annex 2 – Ethical Licenses and Guidelines

Grant agreement: 101136739

Ministério da
Agricultura,
do Desenvolvimento
Rural e das Pescas

DGV
Direcção-Geral
de Veterinária

CERTIFICADO DE ATRIBUIÇÃO DE CREDITAÇÃO

Ao abrigo do ponto iii), da alínea e), do nº 3 da Portaria nº 1005/92, de 23 de Outubro, é atribuída a LUÍSA MARIA PINHEIRO VALENTE creditação como pessoa competente (investigadora-coordenadora) para a prática de experimentação animal.

Lisboa, 14 de Julho de 2008

O Director Geral

As) Carlos Agrela Pinheiro

FERNANDO BERNARDO
Subdirector-Geral

REPÚBLICA PORTUGUESA | AGRICULTURA, FLORESTAS E DESENVOLVIMENTO RURAL

dgav Direção-Geral de Alimentação e Veterinária

Ex mo Senhor
Prof. Doutor Vítor Vasconcelos
Diretor do Centro Interdisciplinar de Investigação Marinha e Ambiental (CIIMAR)
Terminal de Cruzeiros do Porto de Leixões
Avenida General Norton de Matos s/n
4450 – 208 MATOSINHOS

2017-07-10 015610

Nossa referência	Vossa referência	Vossa data
0421/000/000 /2017		

Assunto: **PROTEÇÃO DOS ANIMAIS UTILIZADOS PARA FINS CIENTÍFICOS – ATRIBUIÇÃO DE PERMISSÃO ADMINISTRATIVA DE FUNCIONAMENTO PROVISÓRIA ÀS INSTALAÇÕES DO ESTABELECIMENTO *BOGA (TCRL)* DESTINADAS À UTILIZAÇÃO DE ANIMAIS PARA FINS CIENTÍFICOS DO CIIMAR**

Sobre o assunto referenciado em epígrafe, cabe-me informar V. Exª que é atribuída ao Diretor do Centro Interdisciplinar de Investigação Marinha e Ambiental (CIIMAR), permissão administrativa de funcionamento provisória como **criador (para utilização interna)** e **utilizador** de animais **(espécies do meio aquático)** para fins científicos, no que diz respeito às instalações do estabelecimento BOGA (TCrL), ao abrigo do artigo° 21°, do Decreto-lei n° 113/2013, de 7 de Agosto, relativo à "proteção dos animais utilizados para fins científicos".

Mais se informa V. Exª que, muito embora tenham sido constatadas - na altura da última visita realizada pela técnica da Divisão de Bem-estar Animal, desta Direção Geral, Ana Paula Martins, - boas condições de alojamento para os animais no estabelecimento em apreço, consideramos que, pelo facto de ainda necessitarmos de visitar as instalações com animais alojados e avaliar o seu funcionamento em geral, a permissão administrativa de funcionamento provisória terá validade até que seja concluída a visita final, a agendar oportunamente.

Finalmente, mais se informa que anexamos a respetiva permissão administrativa de funcionamento provisória.

Com os melhores cumprimentos,

P/ O Diretor Geral

Fernando Bernardo

GRAÇA MARIANO
SUBDIRETORA-GERAL
Por Delegação de Competências n.º 12801/2016
Publicado no DRE IIª série n.º 201 de 19 de outubro de 2016

DBEA/APM

ATRIBUIÇÃO DE PERMISSÃO ADMINISTRATIVA DE FUNCIONAMENTO PROVISÓRIA

Ao abrigo do nº 21º, do Decreto-Lei nº 113/2013, de 7 de Agosto, é outorgada permissão administrativa de funcionamento provisória, no que diz respeito ao **estabelecimento BOGA (TCrL) de alojamento de animais (espécies do meio aquático) para fins científicos do Centro Interdisciplinar de Investigação Marinha e Ambiental (CIIMAR)**.

Lisboa, 5 de Julho de 2017

THE UNITED REPUBLIC OF TANZANIA

MINISTRY OF LIVESTOCK AND FISHERIES

TANZANIA FISHERIES RESEARCH INSTITUTE (TAFIRI)

When responding please quote:

Ref. No: TAFIRI/HQ/RES.CLEARANCE/VOL. II/52 **Date:** 24.04. 2024

Dr. Deogratias Mulokozi,
TAFIRI – Kigoma Centre,
P.O. Box 90,
KIGOMA - TANZANIA

Re: **APPLICATION FOR FISHERIES AND AQUACULTURE RESEARCH ETHICAL CLEARANCE**

Reference is made to the above subject.

2. The Institute acknowledges the receipt of your application package for Fisheries and Aquaculture Research Technical and Ethical Clearance, pertaining to the research project entitled **"***Eco-innovative technologies for improved nutrition, sustainable production, and marketing of agro-ecological food products in Africa".*

3 According to Regulation 13 (1) and (3) of the Tanzania Fisheries Research Institute (Fisheries and Aquaculture Research) Regulations, 2020, it is mandatory for research proposals to be reviewed by the Tanzania Fisheries and Aquaculture Research Technical and Ethical Committee (TaFReTEC) for approval. However, it is important to note that, the Board of Directors of TAFIRI is currently working on the establishment of TaFReTEC. The Institute has reviewed your research proposal on behalf of TaFReTEC, and has found it to align with the National Fisheries and Aquaculture Research Agenda (2021 – 2025). The proposed research aims to establish innovative production ECOHUBS and improve local aquaculture cage farms in lakes using artificial intelligence (AI) and internet of things (IoT) in Tanzania and other five African countries. It will also build the capacity of fish farmers –

youth and women to innovatively produce and process nutritious aquaculture feed formulation ingredients as well as actively engage in other activities along the fish culture value chain. The project is crucial for improving and commercializing aquaculture products in Tanzania.

4. Subject to Regulation 13(5), I am pleased to inform you that your research project "*Eco-innovative technologies for improved nutrition, sustainable production, and marketing of agro-ecological food products in Africa*" has been approved with minor corrections (comments are attached).

5. Please note that, your research project extends for 36 months, spanning from January 2024 to December 2026. As per regulations, Research Technical and Ethical clearance is issued annually, making it mandatory to renew it each year. Thus, you will be required to renew it in January 2025, along with complying with all other provisions outlines in the Tanzania Fisheries Research Institute (Fisheries and Aquaculture Research) Regulations, 2020. Moreover, considering your plan of culturing fish, algae (Spirulina) and insects, as well as producing and certifying fish feeds that will meet international market standards, the process will involve sampling and transporting some samples abroad for detailed molecular laboratory analysis and certifications. Doing so, compliance with the legal and other regulatory frameworks of both our country and the destinations is mandatory. Additionally, before shipping the samples for laboratory work, it is essential to execute the Material and Data Transfer Agreement with TAFIRI as well as application for the Nagoya permits.

6. Thank you for your cooperation.

Dr. Mary A. Kishe

For: **DIRECTOR GENERAL**

Republic of Turkey
Ministry of Agriculture and Forestry
General Directorate of Agricultural Research and Policies (TAGEM)

Issue : 92190712-605.99-14704668
Subject : Research Authorization

RECTORATE OF BURDUR MEHMET AKİF ERSOY UNIVERSITY
(General Secretariat)
Interest : Your letter dated 13.06.2024 and numbered 97973013-730.06.01.01-E.404873

In the letter of interest, one of the faculty members of your University Faculty of Arts and Sciences, Asst. Prof. Dr. Seyit YÜZÜAK serve as work package leader and executing partner in the European Horizon project titled " Eco-innovative technologies for improved nutrition, sustainable production and marketing of agroecological food products in Africa", short name "INNOECOFOOD". In order to ensure the establishment and sustainable production of Spirulina farms in the African countries in question, which is one of the 3 main work packages planned, it is requested to give the necessary permission to isolate "Spirulina sp" (blue algae green algae) samples from the African countries in question, bring them to our country (Turkey), optimize them in the laboratories within your university and bring them back to the African countries in question.

In this context, the documents sent in the annex of the letter have been examined and our General Directorate has no objection in carrying out the project studies and bringing Spirulina sp. samples from the African countries in question, provided that the issues specified in the Letter of Commitment and Material Transfer Agreement (MTA) are fully complied with, the Spirulina sp. samples brought are not taken to any water source or other laboratory other than your laboratory and a copy of the project result report is sent to our General Directorate.

I kindly request your information and necessity.

Dr. Mustafa Altug Atalay
On behalf of the Minister
Director General

Annex Approval and related documents (16 Pages)

Verification Code: 58A19049-A3AF-42BA-A863-C14505D9A2BB
Verification Address: https://www.turkiye.gov.tr/tarim-ebys

Üniversiteler Mah. Dumlupınar Bulvarı, Eskisehir Yolu 10. Km, 06800, Çankaya/Ankara, Tel: (0312) 307 60 00, http://www.tarim.gov.tr/TAGEM
Bilgi için:Gülnur Penbe ÖZDEMIR, Mühendis, Telefon No:(312) 315 76 22-1353

*This document was translated to English by Dr Seyit YUZUAK, who is the participant contact for BMAEU

T.C.
TARIM VE ORMAN BAKANLIĞI
Tarımsal Araştırmalar ve Politikalar Genel Müdürlüğü

Sayı : 92190712-605.99-14704668
Konu : Araştırma İzni

BURDUR MEHMET AKİF ERSOY ÜNİVERSİTESİ REKTÖRLÜĞÜNE
(Genel Sekreterlik)

İlgi : 13.06.2024 tarihli ve 97973013-730.06.01.01-E.404873 sayılı yazınız.

İlgi yazıda, Üniversiteniz Fen-Edebiyat Fakültesi öğretim üyelerinden Dr. Öğr. Üyesi Seyit YÜZÜAK'ın kısa adı "INNOECOFOOD" olan "Afrika'da eko-yenilikçi teknolojileri kullanarak agro-ekolojik gıda ürünlerinin geliştirilmesi, bu gıda ürünlerinin sürdürülebilir üretimi ve pazarlanması" başlıklı Avrupa Horizon projesinde iş paketi lideri ve yürütücü ortak olarak, planlanan 3 ana iş paketinden biri olan Spirulina çiftliklerinin söz konusu Afrika ülkelerinde kurulumunun ve sürdürülebilir üretiminin sağlanması amacıyla söz konusu Afrika ülkelerinden "Spirulina sp" (mavi-yeşil su yosunu) alg örneklerinin izole edilerek ülkemize getirilmesi ve üniversiteniz bünyesindeki laboratuvarlarda optimize edilerek tekrar söz konusu Afrika ülkelerine geri götürülebilmesi için gerekli iznin verilmesi istenmektedir.

Bu kapsamda, yazı ekinde gönderilen belgeler incelenmiş olup, Taahhütname ve Materyal Transfer Anlaşmasında (MTA) belirtilen hususlara eksiksiz uyulması, getirilen Spirulina sp. örneklerinin laboratuvarınız haricinde hiçbir su kaynağına veya başka bir laboratuvara götürülmemesi ve proje sonuç raporunun bir suretinin Genel Müdürlüğümüze gönderilmesi şartıyla proje çalışmalarının yürütülmesinde ve söz konusu Afrika ülkelerinden Spirulina sp. örneklerinin getirilmesinde Genel Müdürlüğümüzce sakınca görülmemiştir.

Bilgilerinizi ve gereğini rica ederim.

Dr. Mustafa Altuğ ATALAY
Bakan a.
Genel Müdür

Ek: Onay ve ilgili evraklar (16 Sayfa)

Üniversiteler Mah. Dumlupınar Bulvarı, Eskişehir Yolu 10. Km, 06800
Çankaya/Ankara
Tel: (0312) 307 60 00 Faks:
http://www.tarim.gov.tr/TAGEM
KEP Adresi : tarimveormanbakanligi@hs01.kep.tr

Bilgi için:Gülnur Penbe ÖZDEMİR
Mühendis
Telefon No:(312) 315 76 22-1353

Republic of Turkey

Ministry of Agriculture and Forestry

General Directorate of Agricultural Research and Policies (TAGEM)

For the European Horizon project titled " Eco-innovative technologies for improved nutrition, sustainable production and marketing of agroecological food products in Africa", short name "INNOECOFOOD", the material authorization application of Aquaculture Genetic Resources (SUGK) has been approved.

Edited By	**Examined By**	**Suitable By**
Dr. Gulnur Ozdemir	Muharrem Aksungur	Dr. Suleyman Aslan
Engineer	Coordinator	Head of Department

Respectfully Offer with the Appropriate Opinion

Dr. Ibrahim Halil Sozmen

Deputy Director General

Approval

Dr. Mustafa Altug Atalay

Director General

*This document was translated to English by Dr Seyit YUZUAK, who is the participant contact for BMAEU

Ek-1

T.C.
TARIM VE ORMAN BAKANLIĞI
Tarımsal Araştırmalar Ve Politikalar Genel Müdürlüğü

Kısa adı INNOECOFOOD olan "Afrika'da eko-yenilikçi teknolojileri kullanarak agro-ekolojik gıda ürünlerinin geliştirilmesi, bu gıda ürünlerinin sürdürülebilir üretimi ve pazarlanması" başlıklı araştırma projesi için SÜGK materyal izin başvurusu uygun görülmüştür.

Düzenleyen
Dr. Gülnur ÖZDEMİR
Mühendis
13/06/2024

Tetkik Eden
Muharrem AKSUNGUR
Koordinatör
13/06/2024

Uygundur
Dr. Süleyman ASLAN
Daire Başkanı
13/06/2024

Uygun Görüşle Arz Ederim
Dr. İbrahim Halil SÖZMEN
Genel Müdür Yardımcısı

ONAY
Dr. Mustafa Altuğ ATALAY
Genel Müdür

BİLİMSEL ARAŞTIRMALARA İLİŞKİN TAAHHÜTNAME

Kısa adı INNOECOFOOD olan "Afrika'da eko-yenilikçi teknolojileri kullanarak agro-ekolojik gıda ürünlerinin geliştirilmesi, bu gıda ürünlerinin sürdürülebilir üretimi ve pazarlanması" isimli araştırma için **Spirulina sp. tatlu su alg (yosun)** materyalinin kullanımında, 09.06.2015 tarih ve 29381 sayılı Resmi Gazete'de yayımlanan Su Ürünleri Genetik Kaynaklarının (SÜGK) Araştırma Amaçlı Kullanılması ve Yurt İçine Girişi ile Yurt Dışına Çıkarılması Hakkında Yönetmelikte belirtilen şartlara uyacağımı kabul ve taahhüt ederim.

TARAFLAR

Dr.Mustafa Altuğ ATALAY
Genel Müdür
Genel Müdürlük

Araştırmacılar

1: Dr. Öğr. Üyesi Seyit YÜZÜAK (Yürütücü)

2: Doç. Dr. Rıza AKGÜL

3: Doç. Dr. Füsun AKGÜL

LETTER OF COMMITMENT

I hereby agree and commit to abide by the rules as set forth by the legislation on "The Use of Aquaculture Genetic Resources for Research Purposes and Import or Export of the Material" published in the Official Gazette dated 09.06.2015 and numbered 29381 throughout the Project called **"Eco-Innovative Technologies for Improved Nutrition, Sustainable Production and Marketing of Agro-ecological Food Products in Africa" (acronym: INNOECOFOOD)** that incorporates **Spirulina sp. freshwater algae** material.

PARTIES

Dr.Mustafa Altuğ ATALAY
Genel Müdür
General Directorate

Researchers

1: Asst. Prof. Dr. Seyit YUZUAK (Project PI)

2: Assoc. Prof. Dr. Rıza AKGÜL

3: Assoc. Prof. Dr. Fusun AKGUL

MATERYAL TRANSFER ANLAŞMASI
(MTA)

1. Tanımlar

SÜGK: Su ürünleri genetik kaynakları; gıda, yem ve tarımsal üretim amaçlı kullanılan ya da potansiyel kullanım alanı bulunan, su ürünlerine ait tür, alt tür, varyete, hat, soy, ekotip, suş ve topluluklar ile yeni oluşturulan varyete, hat ve hibritleri,

Biyolojik materyal: Yukarıda tanımı yapılan SÜGK'na ait sperma, embriyo, oosit, yüzgeç, otolit, kabuk, kıskaç, doku, hücre, hücre kültürü, doku kültürü, kan, serum, plazma, diğer vücut sıvıları v.b. materyalleri,

Alıcı: Su ürünleri genetik kaynakları talep eden araştırıcı ve kurumu,

Gönderici: Su ürünleri genetik kaynakları gönderen kurumu, ifade eder.

Gönderici, **"Afrika'da eko-yenilikçi teknolojileri kullanarak agro-ekolojik gıda ürünlerinin geliştirilmesi, bu gıda ürünlerinin sürdürülebilir üretimi ve pazarlanması"** isimli çalışmada kullanılmak üzere gönderilecek SÜGK **(Spirulina sp. örneklerinin maksimum 20 adet 50 mL santrifüj tüplerinde tatlı su içinde canlı olarak Türkiye'ye getirilmesi, (INNOECOFOOD adlı ve 101136739 Hibe Sözleşme numaralı) Avrupa Birliği Horizon Projesi kapsamında Burdur Mehmet Akif Ersoy Üniversitesi algal laboratuvarlarında optimum büyüme kosullarında optimize edilerek tekrar örneğin gönderildiği Afrika ülkesine geri götürülmesi]** göndermeden önce alıcı araştırıcı ve kurumdan aşağıdaki koşulları kabul etmesi istenir:

1. Gönderilen SÜGK kar amacı güdülmeyen bilimsel araştırmalar için kullanılır.
2. SÜGK yalnızca yukarıda yazılı amaç için, ya da göndericinin yeniden yazılı iznini almak koşulu ile ikincil amaç için kullanılır.
3. Alıcı, SÜGK'yı göndericinin yazılı izni olmadan üçüncü şahıslara veremez. Alıcı üçüncü şahıslardan gelebilecek istekleri göndericiye bildirir. SÜGK üçüncü şahıslara devredildiğinde bu protokolün aynısı gönderici ile yeni alıcı arasında yapılarak imzalanır.
4. Alıcı, SÜGK'nı BM İnsan ve Hayvan Hakları Evrensel Beyannamesine uygun olarak kullanır.
5. Alıcı materyal üzerinde sahiplik, fikri ve sınai hak iddiasında bulunamaz.
6. İlgili bilimsel araştırmalar ortak araştırmalar olup, sonuçları alıcı ve gönderici tarafından ortak olarak rapor edilir. Raporda SÜGK'nın nereden alındığı belirtilir.
7. SÜGK materyali kullanılarak ticarete konu olabilecek bir ürün veya teknolojinin orijin materyalinin SÜGK olduğunu ve sahibinin Bakanlık olduğunu kabul eder.
8. Bu anlaşma ile gönderilecek SÜGK araştırma için kullanılacak olduğu ve bazı tehlikeli özelliklerinin var olduğu alıcı tarafından kabul edilir. Alıcının ülkesinin karantina, biyogüvenlik düzenlemeleri ve kuralları ile uygun olarak bütün sorumluluğu almayı taahhüt eder. SÜGK materyalini sağlayan kurum bu konuda sorumlu değildir.
9. Gönderici ve alıcı yapılacak ortak bir yayınla ya da doğabilecek patent hakkı ve ticari gelişmelerle ilgili haklarını çalışma başlangıcında karşılıklı olarak belirler.
10. Bu anlaşma aşağıdaki iki durumdan birinin gerçekleşmesi halinde son bulur.
    a. Araştırmanın veya belirlenen ikincil amaçların sonlanması durumunda,
    b. Taraflardan herhangi birinin diğerine gönderdiği yazılı uyarıyı takiben 30 gün içinde.

Anlaşma kurallarına uymama; fikri ve sınaî mülkiyet haklarının ihlali veya sağlık tehdidi oluşturan riskler dışında bu anlaşma 9 uncu maddenin 3. fikrasının (b) bendinde yer alan materyali sağlayan tarafın yazılı uyarısı ile bitirilecek olursa alıcının araştırmasının engellenmemesi için ve alıcının isteği üzerine materyali sağlayan kurum bir yıla kadar varan bir süre içinde anlaşmanın sonlanacağı bir tarih belirleyebilir.

11. Alıcı bu anlaşmanın bitiminde bütün örnekleri geri vermeyi veya ortadan kaldırmayı kabul eder.

12. Gönderici, SÜGK toplama, hazırlama ve göndermek için bir ücret talep ediyorsa bu ücret burada belirtilir.

13. Bu anlaşmanın yürütülmesinde alıcı ve gönderici kurum amirleri sorumludur. Anlaşmazlık halinde ihtilafın çözümü için her iki ülke mahkemeleri de yetkilidir.

Bu anlaşma iki kopya olarak hazırlanır, her sayfası imzalanır ve kopyalardan biri alıcıya verilir.

ÇALIŞMA KONUSU

Başlığı: "Afrika'da eko-yenilikçi teknolojileri kullanarak agro-ekolojik gıda ürünlerinin geliştirilmesi, bu gıda ürünlerinin sürdürülebilir üretimi ve pazarlanması"

Özeti: Kısa adı "INNOECOFOOD" olan bu proje, altı Afrika ülkesinde yapay zeka ve nesnelerin interneti teknolojilerini kullanarak yenilikçi üretim ECOHUBS merkezleri kurmayı ve yerel su ürünleri çiftliklerini geliştirmeyi amaçlamaktadır. Avrupa Birliği ve Afrika Birliği pazarlarını ve ticaretini desteklemek için INNOECOFOOD, kırsal kesimdeki çiftçileri, gençleri ve kadınları, besleyici su ürünleri yetiştiriciliği (yayın balığı ve tilapia), mavi-yeşil siyanobakteri (spirulina) ve böcek üretimi ve işlenmesi konularında eğitecek ve bunlar sertifikalı pazarlanabilir insan gıda ürünleri ve yem olarak işlenecektir. Bu proje, Avrupa Birliği'nin "tarladan sofraya" yaklaşımı çerçevesinde hazırlanmış olup, iklim açısından akıllı sürdürülebilir yerel kaynakları ve yenilenebilir enerjileri kullanan yenilikçi soğutma ve kurutma süreçlerini içeren üretim, tüketim ve döngüsel sistemleri barındırmakta, ve Avrupa ve Afrika'daki 20 ortak ve kırsal topluluklardan oluşan, deneyimli ve çok aktörlü bir konsorsiyumdan oluşmaktadır. Projenin amaçları şunlardır: - Su ürünleri yetiştiriciliği uygulamalarının (yaşayan laboratuvarlar) kapsamını belirlemek ve çeşitli Afrika ülkelerinde su ürünleri yetiştiriciliği değer zincirlerinin (balık ve Spirulina) ve böceklerin üretimi, işlenmesi ve pazarlanması için yenilenebilir güneş / rüzgar enerjisi kullanan dört sürdürülebilir ve yenilikçi tarımsal kırsal ECOHUB merkezlerini Avrupa Birliği ve Afrika Birliği yeşil anlaşma ve ticaretine uygun bir şekilde kurmak. - Su ürünleri yetiştiriciliği ECOHUB merkezleri ve canlı laboratuvar alanlarında sensörler, yapay zeka ve nesnelerin interneti teknolojisini kullanarak eko-çiftlik balık, spirulina ve böceklerin, sürdürülebilir yemlerin ve hasat sonrası işleme teknolojilerinin üretimini optimize etmek. - Uygun bitkisel ürünlerin kapsamı; balık atığı besin maddelerinin geri dönüşümü, balık, spirulina ve böcek yan ürünlerinden yapay zeka sensörleri ve nesnelerin interneti kullanarak güneş enerjili kurutma ve ekstrüzyon işlemi aracılığı ile yeni ürünler elde etmek. - Beslenme ve duyusal kaliteyi, mikrobiyolojik ve kimyasal güvenliği, tüketici kabulünü, yaşam döngüsü analizi etkisini doğrulamak. Balık, spirulina ve böcek işleme ve ürünleri tüketimi, pazarlaması ve ticareti için gereken sertifikasyon programlarının uygulanması. Bir veri tabanı oluşturmak ve ECOHUBS merkezlerinde 120 genç ve 120 kadını ve 5000 kırsal çalışanı yerel olarak eğitmek.

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MATERIAL TRANSFER AGREEMENT

1. Definitions

"Aquatic Genetic Resources" means any species, subspecies, variety, line, breed, ecotype, strain or community including new varieties, lines and hybrids developed, belong to fisheries and are used for food, feed and agricultural production or pose potential for use shall be hereinafter referred to as **AqGR.**

"Biologic Material" means sperm, embryo, oocyte, fin, otolith, shell, pincer, tissue, cell, cell culture, blood, serum, plasma or any other AqGR material thereof explained above.

"Recipient" means an institution or a researcher who requests the AqGR.

"Provider" means the providing institution for AqGR.

AqGR specified as (**Spirulina sp. samples will be brought to Turkey alive in fresh water in maximum 20 pieces in 50 mL centrifuge tubes, optimized under optimum growth conditions in the algal laboratories of Burdur Mehmet Akif Ersoy University within the scope of the European Union Horizon Project, (Grant # 101136739 and acronym INNOECOFOOD) and taken back to the African country where the sample was sent)** and is to be used for the study "**Eco-Innovative Technologies for Improved Nutrition, Sustainable Production and Marketing of Agro-ecological Food Products in Africa**" hereby transferred from the ***Provider*** to the ***Recipient*** institution or researcher shall be subject to the terms and conditions explained below:

1. **AqGR** provided shall be used for nonprofit scientific researches.

2. The **AqGR** shall only be used for the purpose of the study mentioned above. The **AqGR** cannot be used for any other purpose (secondary use) without the written consent of ***Provider.***

3. ***Recipient*** cannot provide the **AqGR** to third parties without the written consent of ***Provider***. ***Recipient*** shall inform the ***Provider*** about requests that may come from third parties. When the **AqGR** is transferred to third parties this same protocol is carried out and signed between ***Provider*** and new recipient.

4. ***Recipient*** shall use the **AqGR** in accordance with UN- Universal Declaration of Human and Animal Rights.

5. ***Recipient*** cannot claim ownership, intellectual and industrial property rights over the material.

6. Relevant scientific research is considered as collaborative research and the results of research shall be jointly reported by ***Recipient*** and ***Provider***. The place where the **AqGR** is obtained shall be specified in the report.

7. ***Recipient*** acknowledges that the **AqGR** is the origin material of a product or technology that could be subject to trade by means of using the **AqGR** and ownership of this product or technology belongs to the MoFAL.

8. ***Recipient*** acknowledges that the **AqGR** to be provided by this agreement will be used for research and has some hazardous properties. ***Recipient*** undertakes to take full responsibility in accordance with quarantine, bio-safety regulations and rules of its country. The institution providing the **AqGR** material shall not be responsible in this regard.

9. ***Provider*** and ***Recipient*** shall mutually determine their rights that may arise from a joint publication or patent and commercial development rights at the beginning of the study.

10. This agreement shall be terminated in the event of the realization of either one of the following two provisions:
    a. Termination of research or designated secondary objectives,
    b. Within 30 (thirty) days as of the delivery of the written notice of any of the parties sent to the other party.

    Failure to comply with agreement rules; if this agreement is terminated with the written notice of ***Provider*** in paragraph (b) of article 10 except for the infringement of intellectual and industrial property rights or risks constituting health threat, ***Provider*** may determine a date on which the agreement will be terminated within a period of time up to one year upon the request of ***Recipient*** so that the research is not prevented.

11. ***Recipient*** shall agree to provide all samples back or dispose the samples at the conclusion of this agreement.

12. If ***Provider*** demands a fee for collecting, preparing or providing the **AqGR**, this fee shall be specified herein.

13. Institution supervisors of ***Recipient*** and ***Provider*** shall be responsible for the execution of this agreement. In case of dispute, courts of both countries shall be authorized to resolve the dispute.

This agreement is drawn up in two copies, each page of the agreement is signed and one of the copies is given to ***Recipient***.

SUBJECT OF THE STUDY

Title: "Eco-Innovative Technologies for Improved Nutrition, Sustainable Production and Marketing of Agro-ecological Food Products in Africa

Short Explanation: INNOECOFOOD aims to establish innovative production/ business ECOHUBS and improve local aquaculture farms using AI and IoT in six African countries. To support EU-AU markets and trade, INNOECOFOOD will train rural farmers, youth and women to innovatively produce and process nutritious aquaculture catfish and tilapia, blue-green cyanobacteria spirulina, and insect value chains that will be processed into certified marketable human food products and feed. This farm to fork approach, reaching TRL7, will be achieved by using climate smart sustainable local resources, innovative chilling and drying processes using renewable energy, reduced water consumption and circular systems within the ECOHUB by an experienced multi-actor consortium comprising 20 partners in Europe and Africa and rural communities. The specific objectives are to: - Conduct scoping of aquaculture practices (living labs) and establish four sustainable and innovative agribusiness rural ECOHUBS using renewable solar/wind energy for the production, processing and marketing of aquaculture value chains (fish and Spirulina) and insects in diverse African countries, to address AU and EU green deal and trade. - Optimize the production of eco-farmed fish, spirulina and insects, sustainable feeds and post-harvest processing technologies using sensors, AI and IoT technology in aquaculture ECOHUBS and living labs sites. - Scope suitable plant products; up cycle fish waste nutrients and make novel products from fish and co-products, spirulina and insects by solar powered drying and extrusion processing, using AI sensors and IoT. - Validate nutritional and sensory quality, microbiological and chemical safety, consumer acceptance, life cycle analysis impact, and implement certification schemes for fish, spirulina and insect processing and products, for consumption, marketing and trade. - Create a database and train locally 120 youth and 120 women in the ECOHUBS and 5000 rural workers.

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Dr.Mustafa Altuğ ATALAY
General Manager

Republic of Namibia
Annotated Statutes

Aquaculture Act 18 of 2002

(GG 2888)
brought into force on 3 December 2003 by GN 245/2003 (GG 3104)

ACT

To regulate and control aquaculture activities; to provide for the sustainable development of aquaculture resources; and to provide for related matters.

(Signed by the President on 23 December 2002)

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BE IT ENACTED by the Parliament of the Republic of Namibia as follows:-

PART I
INTERPRETATION

Definitions

1. In this Act, unless the context indicates otherwise -

"advisory council" means the Aquaculture Advisory Council established by section 3;

"aquaculture" means the farming and ranching of aquatic organisms;

"aquaculture development zone" means any zone or area in Namibia, including water and land, created under Part VI for the primary purpose of aquaculture and in which specific measures are taken to encourage the development of aquaculture;

"aquaculture facility" includes any equipment, construction or site in which aquaculture is conducted;

"aquaculture product" means the aquatic organisms or part thereof, whether alive or dead, which are being, or have been farmed in an aquaculture facility in Namibia, or which are being, or have been ranched, in Namibian waters;

"aquatic organisms" include live forms of fauna and flora that exist in water, excluding mammals, birds, amphibians and reptiles, except for those amphibians and reptiles declared to be aquatic organisms by the regulations;

"inspector" means an aquaculture inspector designated under section 36;

"licence" means a licence issued under section 13;

"licensee" means the holder of a licence;

"local authority" means a local authority council established by the Local Authorities Act, 1992 (Act No. 23 of 1992);

"Minister" means the Minister responsible for fisheries;

"Ministry" means the Ministry headed by the Minister;

"Namibian waters" means the inland waters of Namibia as well as the internal waters and territorial sea, as defined in the Territorial Sea and Exclusive Economic Zone of Namibia Act, 1990 (Act No. 3 of 1990) and includes the seabed up to the high water mark and further includes private water as defined under section 1 of the Water Act, 1956 (Act No. 54 of 1956);

[The Water Act 54 of 1956 was repealed by the Water Resources Management Act 11 of 2013.]

"natural phenomenon" includes harmful algal blooms;

"Permanent Secretary" means the Permanent Secretary of the Ministry;

"person" includes a natural person, a corporate entity, a traditional community and a conservancy;

"pollution" means the direct or indirect introduction of pollutants into the air, water or land which have, or may have, a harmful or detrimental effect on human health or well being or on the environment;

"prescribed" means prescribed by regulation;

"regional council" means a regional council established under section 2 of the Regional Councils Act, 1992 (Act No. 22 of 1992);

"sea ranching" means the type of aquaculture in which aquaculture products are intentionally released, without restriction, into the marine environment for the purpose of harvesting them when they mature;

"site" means an area of land or water, including the seabed, in respect of which a person has applied for a licence;

"this Act" includes any regulation or notice made under this Act;

"traditional authority" means a traditional authority established in terms of section 2 of the Traditional Authorities Act, 2000 (Act No. 25 of 2000);

"vehicle" means any conveyance capable of transporting goods or persons.

PART II
AQUACULTURE POLICY

Minister determines policy

2. (1) The Minister must from time to time, taking into account relevant economic, social and environmental factors and on the basis of the best scientific information available and in consultation with the advisory council, formulate the general policy with regard to aquaculture in Namibia with a view to -

(a) the promotion of sustainable aquaculture;

(b) the management, protection and conservation of marine and inland aquatic ecosystems;

(c) the promotion and operation of aquaculture projects.

(2) In determining the general policy to be applied in a particular area, the Minister must consult with the regional council and any local authority council or traditional authority in that area.

Establishment of the Aquaculture Advisory Council

3. There is established a council, known as the Aquaculture Advisory Council, to advise the Minister in relation to any matter on which the Minister is required to consult the advisory council under this Act, any matter which the Minister refers to the advisory council for investigation and advice and on matters relating to aquaculture policy.

Constitution of the advisory council

4. (1) The advisory council consists of the Permanent Secretary and such other persons as the Minister may appoint, including -

(a) two staff members of the Ministry;

(b) one person nominated by the Association of Regional Councils;

(c) one person nominated by the Association of Local Authorities;

(d) one person nominated by the Council of Traditional Leaders;

(e) four persons who, in the opinion of the Minister, have knowledge in matters relating to aquaculture, fisheries and eco-systems or any other expertise relevant to the issues on which the Minister is required to consult the advisory council under this Act.

(2) The Minister may from time to time and for such period and on such terms and conditions as the Minister may determine, appoint any person to assist the advisory council in an advisory capacity.

(3) The Minister must appoint one member of the advisory council to act as chairperson and one other member of the advisory council to act as vice-chairperson.

Disqualification for membership of advisory council

5. A person does not qualify for membership of the advisory council if he or she -

(a) has been declared mentally ill under any law; or

(b) has, during the period of ten years immediately preceding the date of the commencement of this Act or at any time after that date, been convicted of a criminal offence and sentenced to imprisonment without the option of a fine.

Term of Office of members of advisory council

[The word "Office" in the heading should not be capitalised.]

6. A member of the advisory council, other than the Permanent Secretary, holds office for a period of three years and is at the expiry of that period eligible for reappointment.

Vacation of office and filling of vacancies

7. (1) A member of the advisory council, other than the Permanent Secretary, ceases to hold office if he or she -

(a) becomes subject to a disqualification referred to in section 5;

(b) resigns that office by written notice to the Minister;

(c) is absent from three consecutive meetings of the advisory council without its leave;

(d) is convicted of an offence under this Act; or

(e) is removed from office under subsection (2).

(2) The Minister may, by notice in writing, remove a member of the advisory council from office if the Minister, after giving the member a reasonable opportunity to be heard, is satisfied that such member -

(a) is incapacitated by physical or mental illness; or

(b) for any other good reason is unfit or unable to discharge the functions of a member or to represent the interests which he or she is required to represent.

(3) If a member of the advisory council dies, or a member's office becomes vacant in accordance with subsection (1), the Minister must appoint a person to fill the vacancy for the unexpired portion of that member's term of office.

Meetings of advisory council

8. (1) The first meeting of the advisory council must be held at such time and place as the Minister may determine and thereafter, meetings of the advisory council are held at least once every calendar year at such times and places as the advisory council may determine.

(2) Meetings of the advisory council may be held by telephone conference and any member may participate in a meeting of the advisory council by means of telephone or other communication facilities that permit all persons participating in the meeting to communicate with each other.

(3) The chairperson must convene a special meeting of the advisory council upon the written request of -

(a) the Minister or

(b) at least four members of the advisory council.

(4) The chairperson, or, in his or her absence, the vice-chairperson or, in the absence of both the chairperson and the vice-chairperson, such member as the members present may elect, must preside at meetings of the advisory council.

(5) Two-thirds of the membership of the council forms a quorum at a meeting of the advisory council.

(6) A decision of the majority of the members present at the meeting or participating in the meeting by telephone or other means of communication constitutes the decision of the advisory council and, in the event of an equality of votes, the person presiding has a casting vote in addition to his or her deliberative vote.

(7) A decision of the advisory council or an act performed under the authority of such a decision is not rendered invalid by reason only of a vacancy on the advisory council or the fact that a person who is not entitled to sit as a member of the advisory council did so sit when the decision was taken, if such decision was taken by the requisite majority of members of the

advisory council who were present at the time and entitled to vote or participated in the meeting by telephone or other communication facilities.

(8) The advisory council may permit any person, other than a member of the advisory council, who has an interest in any matter to be considered at any meeting, or any representative of that person, to attend and to take part in such discussions of the advisory council as in the opinion of the advisory council relate to such matter, but such person or representative is not entitled to vote.

(9) The chairperson of the advisory council must cause a record to be kept of the proceedings of its meetings and must cause that record to be submitted to the Minister as soon as possible after a meeting of the advisory council.

(10) The advisory council may make rules relating to procedure at its meetings and at meetings of committees established under section 9.

Committees of advisory council

9. (1) The advisory council may from time to time establish committees to perform, subject to the directions of the advisory council, such of its functions as the advisory council may determine.

(2) The advisory council may appoint as a member of a committee any person who is not a member of the advisory council, but at least one member of the committee must be a member of the advisory council.

(3) The chairperson of the committee must be appointed by the advisory council from amongst the members of the advisory council.

Performance of administrative work and financing

10. (1) The administrative work pertaining to the functions of the advisory council or a committee of the advisory council shall be performed by staff members in the Ministry made available for that purpose by the Permanent Secretary.

(2) Expenditure incurred in relation to the performance of the functions of the advisory council, including the remuneration, allowances and expenses payable to a member of the advisory council, to a member of a committee established under section 9 and to a person appointed as an advisor under section 4(2), who is not in the full-time employment of the State, shall be defrayed out of money appropriated by Parliament for such purposes.

(3) Different allowances under subsection (2) may be determined according to the different offices held by the persons concerned or the work performed by them.

PART III
AQUACULTURE LICENCES

Aquaculture to be conducted only with a licence

11. A person may not engage in aquaculture -

(a) without a licence issued by the Minister in terms of section 13; or

(b) contrary to any condition which may be imposed by the Minister in terms of section 14(4).

Application for aquaculture licence

12. (1) An application for a licence must be made to the Minister in the prescribed manner and form and be accompanied by such documents and information as the Minister may require.

(2) After receipt of an application under subsection (1), the Minister must, with the concurrence of the Minister responsible for environment and in accordance with such legislation or policy dealing with environmental assessments determine whether the applicant is required to submit an environmental assessment of the proposed aquaculture project.

(3) When considering an application submitted under subsection (1) the Minister may have regard to -

(a) the technical and financial ability of the applicant to exercise the rights sought in the application in a satisfactory manner;

(b) the species of aquatic organisms that the applicant proposes to farm and the method of aquaculture that the applicant proposes to employ;

(c) any other matters applicable to the licence that, in the opinion of the Minister, are relevant.

(4) The applicant shall give notice of the application, at the applicant's expense, in such prescribed manner and to such person or persons, including the public in general, as the Minister may determine, and such notice shall invite all those to whom it is addressed to submit in writing to the Permanent Secretary, within thirty days from the date of the notice, any objections to or representations in connection with the application.

(5) If, before a licence is issued, there is any change in the particulars submitted under subsection (1) or, where an environmental assessment is required, any change in the information on which the environmental assessment is based, the applicant shall immediately communicate such change or changes in writing to the Minister.

(6) If more than one person applies for a licence covering all or part of the same site, preference in relation to that site shall be given to the applicant who, in the Minister's opinion, is the best overall applicant based on the information contained in the applications.

Issue of licences

13. (1) The Minister may not issue a licence unless the Minister is satisfied that -

(a) all the information required under section 12 is complete;

(b) the applicant has obtained any authorization, permit or approval which may be required under the laws relating to land or water use;

(c) where an environmental assessment is required under section 12(2), an environmental clearance for the project has been issued in accordance with the relevant laws;

(d) where the applicant is not the owner of the site, the application is accompanied by the written consent of the owner of the site authorising the applicant to use the site.

(2) Before making a decision on any application, the Minister may consider -

(a) any representations or objections received under section 12(4);

(b) whether the grant of a licence will create a significant risk of pollution or otherwise adversely affect the environment;

(c) whether the site in respect of which a licence is sought is unsuited for aquaculture or for the type of aquaculture planned, having regard to its general characteristics, traffic requirements, or the risk of conflict with other activities being undertaken or proposed in the vicinity of the proposed site;

(d) any other matters applicable to the licence that, in the opinion of the Minister, are relevant.

(3) Subject to subsections (1) and (2) the Minister may -

(a) issue the licence;

(b) issue the licence subject to any conditions the Minister considers appropriate;

(c) reject the application.

Content of Licences

[The word "Licences" in the heading should not be capitalised.]

14. (1) A licence must be issued for the site defined in the licence and must specify the species of aquatic organisms that may be farmed and harvested at the site.

(2) A licence confers upon the licensee an exclusive right to farm and harvest aquaculture products within the site defined in the licence.

(3) Where a licence is issued for sea ranching purposes, it confers upon the licensee an exclusive right to release and harvest aquaculture products within the site defined in the licence.

(4) The Minister may issue a licence subject to any conditions the Minister considers appropriate, including without limitation conditions related to -

(a) the quantities of aquatic organisms which may be introduced and retained at the site;

(b) the structures and equipment which may be used and the maintenance practices to be followed at the site;

(c) water quality;

(d) the composition of the feed which may be used;

(e) the types of manures or fertilizers which may be used;

(f) the use of hormones for controlling reproduction or promoting growth;

(g) the use of any drugs, antibiotics or other chemicals;

(h) the disposal of dead or diseased aquaculture products, material or waste resulting from aquaculture;

(i) the keeping of records;

(j) the duration of the licence; and

(k) such other conditions as the Minister may consider appropriate.

Fees

15. The Minister may, after consulting the advisory council, by notice in the *Gazette* determine any fees which are payable in respect of licences.

Change in structure, equipment and maintenance practices

16. Where a licence contains a condition or conditions in respect of the structure, equipment and maintenance practices that may be employed in the aquaculture facility, the licensee shall not alter the structure, equipment or maintenance practices therein without the prior written approval of the Minister.

Records and reports

17. (1) Any licensee shall, in relation to the aquaculture activity authorized in the licence, keep such records and furnish the Permanent Secretary with such information and in such form as may be prescribed.

(2) All licensees shall maintain the records referred to in subsection (1) at their usual place of business for a period of five years.

(3) Any inspector or any staff member of the Ministry authorized in writing by the Minister may demand the production of such records or information for inspection from any person who is required to keep and maintain any record or information under subsection (1), and may take extracts from, or make copies of, any such records or information.

(4) Any inspector or any staff member authorized under subsection (3) may at all reasonable times, and on production of the Minister's written authority, enter any aquaculture facility or site and any premises, other than a dwelling house, for the purpose of exercising any power conferred by that subsection.

Renewal of licence

18. (1) A licensee may apply for the renewal of a licence in the form and manner prescribed by the Minister, and accompanied by such documents and information as the Minister may require, at any time prior to the expiry date of the licence.

(2) If an application for renewal is received by the Minister prior to the expiry date of the licence, the Minister may extend the expiry date of the licence for a period not exceeding six months to permit an evaluation of the application, and the Minister may -

(a) renew the licence;

(b) renew the licence subject to any conditions the Minister considers appropriate; or

(c) refuse to renew the licence in accordance with subsection (3), before the expiry date or the extended expiry date of the licence.

(3) The Minister may refuse to renew a licence if -

(a) the licensee has failed to comply with any condition of the licence and has failed to remedy such non-compliance within a reasonable period;

(b) the licensee contravenes or fails to comply with any provision of this Act;

(c) the Minister is of the opinion that non-renewal is warranted for the purposes of aquaculture management;

(d) the Minister is of the opinion that non-renewal is warranted to ensure the protection and conservation of the environment;

(e) the licensee has ceased to conduct aquaculture operations.

(4) If the Minister fails to renew the licence or fails to renew the licence under subsection (2) before the expiry date or before the extended expiry date of the licence, the licence is deemed not to have expired and the licence is automatically renewed on its existing terms and conditions for a period of one year.

Suspension or cancellation of licence

19. (1) The Minister may suspend or cancel a licence at any time if -

(a) the licensee has failed to comply with any condition of the licence and has failed to remedy such non-compliance within a reasonable period;

(b) the licensee has ceased to conduct aquaculture operations;

(c) the licensee has not commenced aquaculture activities within twelve months of the issue of the licence or within such longer period as may be stipulated in the licence;

(d) the Minister is of the opinion that suspension or cancellation is required to ensure protection and conservation of the environment;

(e) the licensee has failed to report the presence of any disease or harmful organism as required under section 25(1) or the licensee has failed to take all possible measures to prevent the spread of disease or of any harmful organism as required under section 25(3); or

(f) the licensee has failed to treat or destroy any aquatic organism that is or may be diseased or that contains or may contain parasites as required under section 25;

(g) the licensee contravenes or fails to comply with any provision of this Act.

(2) The Minister, instead of suspending or cancelling a licence under subsection (1), may issue in writing a variation of the licence allowing the continuation of aquaculture under such conditions as the Minister may determine.

Notification of decisions

20. Where the Minister refuses to grant a licence to an applicant under section 13 or refuses to renew a licence under section 18 or suspends or cancels a licence under section 19, the Minister must in writing notify the licensee of the decision and the reasons for the decision.

Takeover of aquaculture facility by the Minister

21. (1) The Minister may take over and operate an aquaculture facility if -

(a) the aquaculture facility is abandoned;

(b) it is necessary for public safety;

(c) the aquaculture facility is operating without a licence;

(d) the licence for the aquaculture facility has been suspended or cancelled under sections 19.

(2) Where the Minister takes over an aquaculture facility under subsection (1), the Minister has all the powers, duties and privileges of a licensee of that aquaculture facility and may -

(a) operate the aquaculture facility;

(b) deal with or dispose of any aquatic organisms farmed or ranched at the aquaculture facility and any equipment located at the aquaculture facility in such manner as the Minister may direct.

(3) Any payment received by the State from the disposal of aquatic organisms under subsection (2) shall be applied to the payment or part payment of -

(a) any costs incurred by the Minister in taking over and operating the aquaculture facility;

(b) any costs incurred by the Minister in removing any aquaculture facility or part thereof and restoring the site under section 22.

(4) Any balance remaining after payment or payments referred to in subsection (3) shall be remitted to the licensee or operator of an aquaculture facility.

Cessation of Aquaculture

[The word “Aquaculture” in the heading should not be capitalised.]

22. (1) The Minister may by written notice require a licensee, a former licensee or any other person who ceases to carry on aquaculture to remove any aquaculture facility or part thereof and to restore the site to the standard specified in the notice or, if no standard is specified, to a condition acceptable to the Minister within the period specified in the notice.

(2) If any person to whom a notice is issued under subsection (1) fails to comply with such notice within a reasonable time, the Minister may cause the aquaculture facility, or part thereof, to be removed and the site to be restored.

(3) Any expenses incurred by the Minister under subsection (2) shall be recoverable from the person to whom the notice was issued under subsection (1).

Transfer of licence

23. (1) A licence issued under this Act is not transferable except with the prior written approval of the Minister.

(2) Upon receipt of a request in writing to transfer a licence, the Minister may request from the applicant such information as the Minister considers necessary.

(3) The Minister may approve the request, approve the request with such conditions as the Minister considers appropriate, or refuse the request.

(4) In the event that the Minister approves the request, the Minister must issue a new licence which states the name of the new licensee and any conditions imposed by the Minister under subsection (3).

Register of licences

24. (1) The Permanent Secretary must keep a register showing every licence issued under this Act or transferred under section 23 and such particulars as may be prescribed.

(2) The register is available for inspection by any person at such place, during such times and upon payment of such fees, if any, as may be prescribed.

PART IV
MANAGEMENT AND CONTROL MEASURES

Report of disease or harmful organism

25. (1) Any licensee or other person engaged in aquaculture shall immediately report to the Permanent Secretary or an inspector the presence of any disease or harmful organism in an aquaculture facility.

(2) The Permanent Secretary may, upon the advice of the Minister responsible for public health, where there is deemed to be a significant risk to any aquatic organism or to the environment -

(a) order the isolation, quarantine or treatment of any aquatic organism infected or thought to be infected with a disease or harmful organism;

(b) destroy or restrict the movement of any aquatic organisms infected or thought to be infected with a disease or harmful organism;

(c) quarantine any aquaculture facility in which the Permanent Secretary reasonably suspects that a disease or harmful organism is present.

(3) Any licensee or other person engaged in aquaculture must take all possible measures to prevent the spread of disease or of any harmful organism in or from an aquaculture facility, including the destruction of aquatic organisms or aquaculture products and the disinfection of aquaculture facilities, and the licensee shall immediately comply with any measures that the Permanent Secretary may direct for that purpose.

Water quality monitoring

26. (1) The Minister must, for the purpose of aquaculture, cause a water quality monitoring system to be established and maintained to provide timely information to licensees of the occurrence or imminent occurrence of any pollution or natural phenomenon which may have a harmful or detrimental effect on the aquatic environment or any aquaculture product.

(2) Where any area of Namibian waters in which aquaculture is conducted is affected by any pollution or natural phenomenon, the Minister must immediately order the testing of the water of the affected area and of the aquaculture products farmed in or with such water to determine -

(a) whether aquaculture activities can be undertaken and continued; and

(b) in consultation with the Minister responsible for public health, whether the aquaculture products farmed therein are fit for human consumption;

(c) in consultation with the Minister responsible for trade prevent the sale or marketing of aquaculture products that are unfit for human consumption.

(3) If the results of the tests ordered by the Minister under subsection (2) show that -

(a) the water quality of the affected area is unsuitable for the continuation of aquaculture; or

(b) the aquaculture products farmed therein are not fit for human consumption,

(c) the Minister must immediately, by notice in at least two newspapers circulating in the country, order the closure of the aquaculture facility and may prohibit the sale or marketing of aquaculture products farmed therein.

(4) As soon as tests demonstrate that the water quality of any area closed under subsection (3) is suitable for aquaculture or that aquaculture products farmed therein are fit for human consumption, the Minister may, by way of notice referred to in subsection (3) -

(a) order the reopening of a closed area;

(b) in consultation with the Minister responsible for public health allow the sale or marketing of aquaculture products farmed in or with such water.

Introduction and transfer of aquatic organisms

27. (1) A person may not, without written permission granted by the Minister, introduce or cause to be introduced into Namibia or any Namibian waters any species of aquatic organism or any genetically modified aquatic organism or transfer any species of aquatic organisms from one aquaculture facility in Namibia to another or from any location in Namibia to another.

(2) The permission granted by the Minister under subsection (1) may be subject to such conditions as the Minister may determine.

(3) The Minister must not issue any approval under this section unless the impact of any introduction or transfer of any aquatic species or genetically modified aquatic organism has been assessed, if so required, in accordance with the legislation or policy dealing with environmental assessments.

Import and export of live aquatic organisms

28. (1) A person may not without written permission granted by the Minister import or export aquatic organisms.

(2) The Minister may grant an approval for the import or export of live aquatic organisms subject to such conditions the Minister considers appropriate.

(3) The Minister may inspect any aquatic organisms before or after they are imported and inspect any aquatic organisms that are destined for export.

(4) The Minister may seize, hold, quarantine, disinfect or destroy any live aquatic organisms that have been imported or that are destined for import or export.

Handling and marketing of aquaculture products

29. A licensee or any other person may not, for the purpose of marketing, remove or transport from any site or sell, display or offer for sale, any aquaculture product or aquatic organisms without complying with the regulations.

Aquaculture in conservation areas or other protected areas

30. Where authorized under the management plan of any proclaimed conservation area or any other protected area, aquaculture within that area is subject to the specific law governing such proclaimed conservation or protected areas.

PART V
OWNERSHIP OF AQUACULTURE PRODUCTS

Ownership of aquaculture products

31. (1) All aquaculture products of the species specified in a licence are, while contained within the boundaries of the site, the exclusive property of the licensee until sold, traded, transferred or otherwise disposed of by the licensee.

(2) All aquaculture products referred to in subsection (1), which are released or which escape into the natural environment, remain the exclusive property of the licensee as long as the licensee can prove their identity.

PART VI
AQUACULTURE DEVELOPMENT ZONES

Purposes

32. The purposes of an aquaculture development zone are -

(a) to attract, promote or increase the development of aquaculture facilities in areas which are particularly suitable for aquaculture;

(b) to manage and control aquaculture in those areas;

(c) to encourage the transfer of technology and the development of responsible aquaculture practices;

(d) to generate or increase employment in aquaculture;

(e) to protect aquaculture developments;

(f) to ensure responsible planning of aquaculture.

Creation

33. (1) The Minister may by notice in the *Gazette* -

(a) declare any area of Namibia or Namibian water, including sub-aquatic lands, as an aquaculture development zone;

(b) determine the location and extent, and define the physical boundaries of an aquaculture development zone.

(2) Before declaring a place as an aquaculture development zone, the Minister must consult with the advisory council and any Ministry having jurisdiction in the proposed aquaculture development zone and undertake an environmental impact assessment with regard to the aquaculture development zone and establish the development objectives of the aquaculture development zone.

(3) The Minister may, by notice in the *Gazette,* in order to protect the aquaculture activities undertaken in an aquaculture development zone, specify restrictions and conditions on the conduct of activities and uses in -

(a) the aquaculture development zone;

(b) the waters draining into an aquaculture development zone; and

(c) any land or water area adjacent to an aquaculture development zone.

(4) The Minister may, by notice in the *Gazette*, abolish an aquaculture development zone or alter its boundaries.

Conduct of aquaculture in aquaculture development zones

34. The Minister may, by notice in the *Gazette*, specify restrictions and conditions on the conduct of aquaculture in an aquaculture development zone, or part thereof, as the Minister considers necessary, including -

(a) the aquatic species which may be farmed;

(b) the conditions subject to which aquaculture and any related activities may be conducted;

(c) the number and size of the aquaculture facilities that may be established within an aquaculture development zone, and the carrying capacity of the aquaculture zone concerned.

Other Activities

[The word “Activities” in the heading should not be capitalised.]

35. A person may not, unless authorized in writing to do so by the Minister, conduct any business or undertaking other than aquaculture in aquaculture development zones.

PART VII
ENFORCEMENT

Inspectors

36. (1) Subject to the Public Service Act, 1995 (Act No. 13 of 1995) the Minister may designate any staff member in the Ministry as an inspector for the purposes of this Act.

(2) The Minister, with the concurrence of the Minister responsible for any other Ministry or a regional council or a local authority council, may designate, by notice in the *Gazette*, a staff member of that Ministry, regional council or local authority council, as the case may be, as an inspector for the purposes of this Act.

(3) The Minister, after consultation with the relevant Minister, regional council or local authority council referred to in subsection (2), may at any time withdraw or alter a designation made under that subsection.

Powers of inspectors

37. (1) An inspector may -

(a) enter any aquaculture facility and inspect that aquaculture facility, its structure, equipment, tanks and ponds, any aquaculture product therein and any document or record required under this Act;

(b) stop, enter and search any vehicle, vessel or aircraft which may be transporting aquaculture products;

(c) question any person who, in the opinion of the inspector, may be capable of furnishing any information which the inspector may require;

(d) require any person employed or present on any aquaculture facility to assist in the examination of such aquaculture facility or any document in order to ascertain whether this Act has been complied with;

(e) seize any aquatic organism or aquaculture product or any sample of an aquatic organism or aquaculture product, which the inspector suspects is diseased or infected with parasites or has not been farmed in accordance with a licence issued under this Act or has been removed or transported from any site in contravention of this Act;

(f) require any licensee or any person responsible for an aquaculture facility to treat or destroy any aqua tic organism that is or may be diseased or that contains or may contain parasites.

(2) Where an inspector on reasonable grounds suspects that an offence under this Act has been committed, the inspector may -

(a) seize any vehicle, vessel or equipment or any other means which the inspector reasonably suspects has been used in the commission of that offence or where such seizure is reasonably necessary to preserve evidence;

(b) require any person who may have information concerning a possible offence to furnish his or her name and address.

(3) If any aquatic organism or aquaculture product seized under subsection (1)(e) -

(a) is found not to be diseased or infected, the Minister must return it to its owner or, if its return is not practicable, the Minister may dispose of it as the Minister thinks fit; or

(b) is found to be diseased or infected with parasites, the Minister may disposed of it as the Minister thinks fit.

(4) An inspector shall, before exercising any powers conferred under subsections (1) and (2), produce an official certificate of identity, issued by the Minister for that purpose, to any person in respect of whom the inspector intends to exercise any such power.

Disposal of aquaculture products and other seized articles

38. (1) Where articles are seized under section 37, the provisions of Chapter 2 of the Criminal Procedure Act, 1977 (Act No. 51 of 1977) shall apply to such seizure.

(2) Notwithstanding section 37(l)(e) any aquaculture product seized under that section that is likely to perish may be disposed of in such manner as the circumstances may require.

PART VIII
OFFENCES AND PENALTIES

Offences

39. A person is guilty of an offence who -

(a) without lawful authority causes the release of any aquaculture products or aquatic organisms or both from an aquaculture facility;

(b) without the written permission of the Permanent Secretary introduces or causes to be introduced into any Namibian waters any species of aquatic organisms or any genetically modified aquatic organism or transfers any species of aquatic organisms from one aquaculture facility to another;

(c) without the written permission of the Minister imports or exports any aquatic organism;

(d) assaults, obstructs, threatens or intimidates an inspector in the exercise of the powers conferred, or in the performance of the inspector's duties under this Act;

(e) engages in aquaculture without a licence;

(f) interferes with the operation of an aquaculture facility without the permission of the licensee or of an inspector pursuant to any provision of this Act;

(g) harvests aquatic organisms or aquaculture products in an aquaculture facility without the consent of the licensee;

(h) knowingly harvests and sells or offers or displays for sale diseased or toxic aquaculture products, or aquaculture products from an aquaculture facility that has been closed by the Minister;

(i) fails to keep such records or to provide such information as may be required under this Act;

(j) fails to report the presence of a disease or harmful organism or to take measures to prevent the spread of disease or any harmful organism or to treat or destroy any aquatic organism that is or may be diseased or that contains or may contain parasites as required under this Act;

(k) for the purposes of marketing, removes or transports from any site or sells, displays or offers for sale any aquaculture product or aquatic organisms without complying with the provisions of this Act;

(1) fails to provide to an inspector his or her name and address as required under this Act;

(m) fails to remove an aquaculture facility, or part thereof, or to restore a site as required under this Act;

(n) contravenes the terms and conditions of a licence;

(o) knowingly provides false information in relation to an application for a licence or in relation to aquaculture or to an aquaculture facility.

Penalties

40. (1) A person convicted of an offence -

(a) under section 39(a), (f), (g), (j), (k), (m) and (n) is on conviction liable to a fine not exceeding N$4 000 or imprisonment for a period not exceeding twelve months or to both such fine and imprisonment;

(b) under section 39(b), (c), (d), (e), (h), (i), (l) and (o) is on conviction liable to a fine not exceeding N$8 000 or imprisonment not exceeding two years or to both such fine and imprisonment.

(2) A person who commits a subsequent offence under this Act is on conviction liable to a penalty not less than N$10 000 in addition to any other penalty which may be imposed in respect of that offence.

[The word "of" is missing after the word "penalty": "a penalty **of** not less than N$10 000**".]**

Indemnity

41. The Minister, the Permanent Secretary or any employee of the State or of a regional council or local authority council is not personally liable for anything done or not done in good faith.

Forfeiture

42. Where any person commits an offence under this Act, the court, in addition to any other penalty it may impose, may -

(a) order that any vehicle or any other means used in or in connection with the commission of such offence or any aquaculture products harvested in the commission of such offence be forfeited to the State;

(b) revoke, or suspend any licence issued to such person under this Act for such period as the court considers appropriate.

PART IX
GENERAL

Regulations

43. (1) The Minister may, when appropriate, make regulations in relation to any matter permitted or required to be prescribed in terms of this Act or which the Minister considers necessary or expedient to prescribe for achieving the purposes of this Act.

(2) Without prejudice to the generality of subsection (1), regulations under subsection (1) may -

(a) establish a programme for the surveillance and monitoring of diseases of aquatic organisms;

(b) prescribe the form of any licence or other approval which is issued, granted or given under this Act;

(c) prescribe the duration of any licence and the conditions which are applicable to the renewal of any such licence;

(d) prescribe the health certification requirements to be met prior to the import or export of live aquatic organisms or prior to the export of any aquaculture product;

(e) prescribe measures for the prevention, treatment and eradication of diseases in aquatic organisms;

(f) prescribe procedures to be followed for isolating, quarantining, gathering, disposing and destroying diseased aquaculture products;

(g) prohibit the introduction, import or export of defined species of aquatic organisms;

(h) provide for the establishment of aquaculture development zones;

(i) regulate or prohibit the removal, transportation, sale, display for sale or disposal of any aquaculture produce or aquatic organism;

(j) regulate the import and export of aquatic organisms and aquaculture products and impose conditions on the import, export and marketing, of aquatic organisms and aquaculture products;

(k) regulate or prohibit the discharge in the sea of any pollution from offshore aquaculture facilities;

(l) regulate or prohibit the collection of wild seeds;

(m) regulate the farming of aquarium fish and endangered species of aquatic organisms;

(n) regulate or prohibit the use of drugs, antibiotics or other chemicals to control disease;

(o) regulate or prohibit the use of hormones for controlling reproduction or as growth promoters;

(p) relate to the register, records or other documents to be kept for the purposes of this Act, the information to be recorded therein and the inspection thereof;

(q) relate to the erection of structures and installations and the maintenance of equipment used in aquaculture facilities;

(r) relate to the erection, maintenance, protection of and control over boundary beacons, buoys or other marks used for demarcating aquaculture sites.

(3) Regulations made under subsection (2) may -

(a) apply to aquatic organisms, aquaculture products or aquaculture facilities in general or to a particular species of aquatic organisms, aquaculture products or to a specific aquaculture facility or may differentiate between different species of aquatic organisms, aquaculture products or different categories of aquaculture or aquaculture facilities, or in respect to any other matter which the Minister may consider appropriate.

(b) prescribe penalties for any contravention of or failure to comply with their provisions not exceeding a fine of N$ 1 000 or imprisonment for a period not exceeding three months.

Delegation of powers

44. (1) The Minister may -

(a) on conditions determined by the Minister, delegate to any staff member of the Ministry any power conferred upon the Minister by or under this Act, except the power to make regulations; and

(b) by notice in the *Gazette*, and on such conditions as may be specified therein, delegate, in respect of any particular species of aquatic organisms or in respect of a defined area, any power conferred upon the Minister by or under this Act, except the power to make regulations, to any person employed by a regional council or local authority council or to any person appointed by a local authority council.

(2) Any person to whom a power has been delegated under subsection (1) may, with the prior approval of the Minister, delegate that power to any person to whom the Minister could have delegated such power.

(3) The Permanent Secretary may, on conditions determined by the Permanent Secretary, delegate to a staff member of the Ministry or to any person employed by a regional council or local authority council, any power conferred upon the Permanent Secretary under this Act.

Exemptions

45. The Minister may by notice in the *Gazette,* subject to such conditions as the Minister may specify, exempt -

(a) any person who conducts any scientific investigation, experiment or research; or

(b) any other person or category of persons whom the Minister considers appropriate on other grounds than those referred to in paragraph (a),

from any or all of the provisions of this Act, and may at any time cancel or amend an exemption so granted.

Use of drugs, antibiotics or chemicals

46. The Minister, in exercising any power or responsibility under this Act in relation to the use of drugs, antibiotics or other chemicals to control diseases in aquaculture products, must act with the concurrence of the Minister responsible for public health.

Transitional

47. Any person who is engaged in aquaculture at the commencement of this Act shall within twelve months of that date apply for a licence in accordance with section 12 of this Act, and any aquaculture operations undertaken thereafter shall comply with the provisions of this Act.

Codes of practice

48. (1) The Minister, after consultation with the advisory council, may by notice in the *Gazette*, issue codes of practice related to aquaculture.

(2) The Minister must ensure that every code of practice issued is available at such places and during such times as may be prescribed.

Short title and commencement

49. This Act is called the Aquaculture Act, 2002 and shall come into force on a date fixed by the Minister by notice in the *Gazette.*

Republic of Namibia
Annotated Statutes

Environmental Management Act 7 of 2007

(GG 3966)
brought into force on 6 February 2012 by GN 28/2012 (GG 4878)

ACT

To promote the sustainable management of the environment and the use of natural resources by establishing principles for decision making on matters affecting the environment; to establish the Sustainable Development Advisory Council; to provide for the appointment of the Environmental Commissioner and environmental officers; to provide for a process of assessment and control of activities which may have significant effects on the environment; and to provide for incidental matters.

(Signed by the President on 21 December 2007)

BE IT ENACTED by the Parliament of the Republic of Namibia, as follows:

[The statement above normally appears below the ARRANGEMENT OF SECTIONS, but it appears above the ARRANGEMENT OF SECTIONS in the *Government Gazette* publishing this Act.]

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[The inconsistent capitalisation of the word "State" is reproduced in this Act as it appears in the *Government Gazette*.

This Act mixes typically British and typically American variants of the word "cancel" – for example, "cancelled" with a double "l" but "cancelling" with one "l".]

PART I
DEFINITIONS AND OBJECT OF ACT

Definitions

1. In this Act, unless the context indicates otherwise -

"activity" means a physical work that a proponent proposes to construct, operate, modify, decommission or abandon or an activity that a proponent proposes to undertake;

"Advisory Council" means the Sustainable Development Advisory Council established by section 6;

"assessment" means the process of identifying, predicting and evaluating -

(a) the significant effects of activities on the environment;

(b) the risks and consequences of activities and their alternatives and options for mitigation with a view to minimise the effects of activities on the environment and to maximise the benefits and to promote compliance with the principles set out in section 3;

"assessment report" means a report that presents the procedures and findings of an assessment;

"authorisation" means an approval, licence, permit or other authorisation by a competent authority in respect of a listed activity;

"biological diversity" means the variability among living organisms from all sources, including amongst others, terrestrial and aquatic ecosystems and the ecological complexes of which they are part, and this includes diversity within species, between species and of ecosystems;

"competent authority" means -

(a) an organ of state which is responsible, under any law, for granting or refusing an authorisation; or

(b) the competent authority identified in terms of section 30;

"Criminal Procedure Act" means the Criminal Procedure Act, 1977 (Act No. 51 of 1977);

"environment" means the complex of natural and anthropogenic factors and elements that are mutually interrelated and affect the ecological equilibrium and the quality of life, including -

(a) the natural environment that is the land, water and air, all organic and inorganic material and all living organisms; and

(b) the human environment that is the landscape and natural, cultural, historical, aesthetic, economic and social heritage and values;

"environmental clearance certificate" means an environmental clearance certificate issued in terms of section 34 or 37, authorising a listed activity to be undertaken;

"Environmental Commissioner" means the Environmental Commissioner appointed in terms of section 16;

"environmental officer" means an environmental officer appointed in terms of section 18;

"environmental plan" means an environmental plan referred to in section 24;

"Fund" means the Environmental Investment Fund of Namibia established by section 2 of the Environmental Investment Fund of Namibia Act, 2001 (Act No. 13 of 2001);

"listed activity" means an activity listed in terms of section 27(1) or 29;

"Minister" means the Minister responsible for environment;

"Ministry" means the Ministry responsible for the administration of matters relating to the environment;

"organ of state" means -

(a) any office, ministry or agency of State or administration in the local or regional sphere of government; or

(b) any other functionary or institution -

(i) exercising a power or performing a function in terms of the Namibian Constitution; or

(ii) exercising a public power or performing a public function in terms of any law,

but does not include a court or a judicial officer;

"Permanent Secretary" means the Permanent Secretary of the Ministry;

"person" includes an organ of state;

"premises" includes land and any building, structure, vehicle, ship, vessel, aircraft or container;

"prescribe" or "prescribed" means prescribe or prescribed by regulation;

"proponent" means a person who proposes to undertake a listed activity;

"regulation" means a regulation made under this Act;

"review" when used in Part VIII, means the process of determining whether an assessment has been carried out correctly or whether the resulting information is adequate in order to make a decision;

"significant effect" means having, or likely to have, a consequential qualitative or quantitative impact on the environment, including changes in ecological, aesthetic, cultural, historic, economic and social factors, whether directly or indirectly, individually or collectively;

"staff member" means a staff member as defined in section (1) of the Public Service Act, 1995 (Act No. 13 of 1995);

"sustainable development" means human use of a natural resource, whether renewable or non-renewable, or the environment, in such a manner that it may equitably yield the greatest benefit to present generations while maintaining its potential to meet the needs and aspirations of future generations including the maintenance and improvement of the capacity of the environment to produce renewable resources and the natural capacity for regeneration of such resources; and

"this Act", includes any notice or regulation issued or made under this Act.

Object of Act

2. The object of this Act is to prevent and mitigate, on the basis of the principles set out in section 3, the significant effects of activities on the environment by -

(a) ensuring that the significant effects of activities on the environment are considered in time and carefully;

(b) ensuring that there are opportunities for timeous participation of interested and affected parties throughout the assessment process; and

(c) ensuring that the findings of an assessment are taken into account before any decision is made in respect of activities.

PART II
PRINCIPLES OF ENVIRONMENTAL MANAGEMENT

Principles of environmental management

3. (1) The principles set out in subsection (2) -

(a) guide the implementation of this Act and any other law relating to the protection of the environment;

(b) serve as the general framework within which environmental plans must be formulated; and

(c) serve as guidelines for any organ of state when making any decision in terms of this Act or any other law relating to the protection of the environment.

(2) The following are the principles of environmental management: -

(a) renewable resources must be used on a sustainable basis for the benefit of present and future generations;

(b) community involvement in natural resources management and the sharing of benefits arising from the use of the resources, must be promoted and facilitated;

(c) the participation of all interested and affected parties must be promoted and decisions must take into account the interest, needs and values of interested and affected parties;

(d) equitable access to environmental resources must be promoted and the functional integrity of ecological systems must be taken into account to ensure the sustainability of the systems and to prevent harmful effects;

(e) assessments must be undertaken for activities which may have a significant effects on the environment or the use of natural resources;

[The word "effects" should be singular to be grammatically correct.]

(f) sustainable development must be promoted in all aspects relating to the environment;

(g) Namibia's cultural and natural heritage including, its biological diversity, must be protected and respected for the benefit of present and future generations;

[The comma after the word "including" was probably intended to appear after the word "heritage", to offset the phrase "including its biological diversity".]

(h) the option that provides the most benefit or causes the least damage to the environment as a whole, at a cost acceptable to society, in the long term as well as in the short term must be adopted to reduce the generation of waste and polluting substances at source;

(i) the reduction, re-use and recycling of waste must be promoted;

(j) a person who causes damage to the environment must pay the costs associated with rehabilitation of damage to the environment and to human health caused by pollution, including costs for measures as are reasonably required to be implemented to prevent further environmental damage;

(k) where there is sufficient evidence which establishes that there are threats of serious or irreversible damage to the environment, lack of full scientific certainty may not be used as a reason for postponing cost-effective measures to prevent environmental degradation; and

(l) damage to the environment must be prevented and activities which cause such damage must be reduced, limited or controlled.

PART III
GENERAL FUNCTIONS AND POWERS OF MINISTER

Functions of Minister

4. The Minister's functions are to -

(a) determine policies for the management, protection and use of the environment;

(b) prepare and publish policies, strategies, objectives and standards for the management and protection of the environment;

(c) co-ordinate environmental management at national level; and

(d) monitor and ensure compliance with this Act.

Powers of Minister in respect of waste

5. (1) In this section -

(a) "disposal site" means a site used for the accumulation of waste with the purpose of disposing or treatment of such waste; and

(b) "waste" means any matter, whether gaseous, liquid or solid or any combination thereof, which is from time to time listed by the Minister by notice in the *Gazette* or by regulation as an undesirable or superfluous by-product, emission, residue or remainder of any process or activity.

(2) The Minister, after following the consultative process referred to in section 44 may, by notice in the *Gazette* or by regulation, declare a site to be a waste disposal site.

(3) Where a waste disposal site already exists in terms of any law, the Minister may approve that site as a waste disposal site for the purpose of this section.

(4) A person may not discard or cause to be discarded waste or dispose of it in any other manner, except -

(a) at a disposal site declared or approved by the Minister in terms of this section; or

(b) in a manner or by means of a facility or method and subject to such conditions as the Minister may prescribe.

(5) Any person who contravenes subsection (4) commits an offence and is on conviction liable to a fine not exceeding N$500 000 or to imprisonment for a period not exceeding 25 years or to both such fine and such imprisonment.

PART IV
SUSTAINABLE DEVELOPMENT ADVISORY COUNCIL

Establishment of Advisory Council

6. There is established an advisory council to be known as the Sustainable Development Advisory Council.

Functions of Advisory Council

7. The functions of the Advisory Council are to -

(a) promote co-operation and co-ordination between organs of state, non-governmental organisations, community based organisations, the private sector and funding agencies, on environmental issues relating to sustainable development;

(b) advise the Minister -

(i) on the development of a policy and strategy for the management, protection and use of the environment;

(ii) on the conservation of biological diversity, access to genetic resources in Namibia and the use of components of the environment in a way and at a rate that does not lead to the long-term decline of the environment, thereby maintaining its potential to meet the needs and aspirations of present and future generations;

(iii) on appropriate methods of monitoring compliance with the principles set out in section 3;

(iv) on the need for, and initiation or amendment of legislation, on matters relating to the environment; and

[The comma after "legislation" should have been placed after "of".]

(c) perform other functions assigned to it by the Minister.

Composition of Advisory Council

8. (1) The Advisory Council consists of the following members appointed by the Minister -

(a) four persons who represent the interests of the State; and

(b) four persons whom the Minister reasonably believes represent the interests of organisations, associations or institutions concerned with environmental matters.

(2) The Environmental Commissioner is an *ex efficio* member of the Advisory Council, but may not vote at its meetings.

[The Latin phrase above should be "*ex officio*".]

(3) Persons appointed as members of the Advisory Council must have the necessary knowledge of, or experience in, matters relating to the functions of the Advisory Council.

(4) When any nomination in terms of subsection (1)(a) becomes necessary, the Minister must invite the State to nominate persons within a period of 30 days from the date of the invitation.

(5) When any nomination in terms of subsection (1)(b) becomes necessary, the Minister must invite the public, organisations, associations or institutions by notice in the *Gazette* and in any other appropriate manner, to nominate persons within a period of 30 days from the date of the notice.

(6) If, after the Minister has invited nominations in terms of subsections (4) or (5), the Minister receives no or insufficient nominations within the period specified in the notice, the Minister may appoint the required number of persons who qualify for appointment in terms of this section.

(7) The Minister must designate one of the members of the Advisory Council as chairperson.

(8) The Minister must, as soon as possible after appointing the members of the Advisory Council, make known in the *Gazette* -

(a) the name of every person appointed as a member;

(b) the period for which the appointment is made; and

(c) the date from which the appointment takes effect.

(9) The Advisory Council may with the approval of the Minister co-opt any person to assist it in its functions, but the person co-opted may not vote at meetings of the Advisory Council.

(10) The Advisory Council may establish one or more committees consisting of members only or consisting of members and non-members to perform, subject to the Advisory Council's directions, functions the Advisory Council may assign to such committee.

Term of office of members of Advisory Council

9. Subject to section 10, a member of the Advisory Council holds office for a term of three years and may be reappointed at the end of that term.

Vacation of office and filling of vacancies

10. (1) The office of a member of the Advisory Council becomes vacant if the member -

(a) is absent from three consecutive meetings of the Advisory Council without the permission of the Advisory Council;

(b) through a written notice addressed to the Minister, resigns from office;

(c) ceases to represent the State, organisation, association or institution for which the member has been appointed; or

(d) is for any other reasonable cause removed from office by the Minister.

(2) Before removing a member from office in terms of subsection (1)(d), the Minister must -

(a) in writing notify the member concerned of the grounds on which the member is to be removed from office;

(b) give the member an opportunity to make oral or written representations on the matter to the Minister or to any person designated by the Minister; and

(c) consider any representations made in terms of paragraph (b).

(3) If a member of the Advisory Council dies or vacates office before the expiry of his or her term of office the Minister must, in accordance with section 8, appoint a person to fill the vacancy for the unexpired portion of the term for which that member was appointed.

Meetings of Advisory Council

11. (1) The Advisory Council must meet at least two times a year.

(2) The first meeting of the Advisory Council must be held at a place, date and time determined by the Minister and thereafter any meeting of the Advisory Council must be held at a place, date and time determined by the chairperson of the Advisory Council.

(3) The chairperson may at any time call a special meeting of the Advisory Council, at the request of the Minister or of a majority of the members.

(4) At the first meeting of the Advisory Council the members must elect from among their number a deputy chairperson.

(5) The chairperson of the Advisory Council, or in the absence of the chairperson, the deputy chairperson, presides at meetings of the Advisory Council, or if both the chairperson and deputy chairperson are absent from the meeting, or are unable to preside at the meeting, the members must elect a member to preside at the meeting.

(6) At any meeting of the Advisory Council -

(a) a majority of the members of the Advisory Council forms a quorum;

(b) a decision of a majority of members of Advisory Council present at a meeting is the decision of the Advisory Council; and

(c) if, there is an equality of votes, the person presiding at the meeting has a casting vote in addition to that person's ordinary vote.

[The comma after the word "if" is superfluous.]

(7) The Advisory Council determines the procedures to be followed at its meetings.

(8) As soon as possible after a meeting of the Advisory Council has taken place, the chairperson must cause a copy of the minutes to be submitted to the Minister.

Administration of Advisory Council

12. (1) The Permanent Secretary must -

(a) make staff members in the Ministry available to perform the clerical work for the Advisory Council in the performance of its functions; and

(b) designate a staff member of the Ministry as secretary of the Advisory Council.

(2) The expenditure resulting from the performance of the duties and functions of the Advisory Council in terms of subsection (1) must be paid from the State Revenue Fund from moneys appropriated for that purpose by Parliament.

Allowances of members of Advisory Council and committees

13. Members of the Advisory Council and of a committee of the Advisory Council who are not in the full time employment of the State are entitled to such allowances as the Minister, with the concurrence of the Minister responsible for finance, may determine.

Disclosure of interest

14. (1) If a member of the Advisory Council or of a committee of the Advisory Council has a direct or indirect financial or other interest in a matter being dealt with or about to be dealt with by the Advisory Council or a committee of the Advisory Council, the member must as soon as is possible after the relevant facts come to the member's knowledge, disclose the nature of the interest to the chairperson of the Advisory Council.

(2) Any disclosure made under this section must be noted in the minutes of the relevant meeting of the Advisory Council.

(3) A member of the Advisory Council or of a committee of the Advisory Council who contravenes subsection (1) commits an offence and is on conviction liable to a fine not exceeding N$10 000 or to imprisonment for a period not exceeding two years or to both such fine and such imprisonment.

Annual report

15. (1) As soon as possible after the end of each financial year as defined in the State Finance Act, 1991 (Act No. 31 of 1991), the Advisory Council must prepare an annual report in accordance with subsection (2).

(2) The annual report must include -

(a) a report on the activities of the Advisory Council; and

(b) any other matter the Minister may consider necessary to be included in the report.

(3) As soon as possible after the annual report has been prepared, the chairperson of the Advisory Council must cause a copy of the report to be submitted to the Minister.

(4) The Minister must lay a copy of the Advisory Council's annual report before the National Assembly within 30 days of receipt thereof, if the National Assembly is then in ordinary session, or if the National Assembly is not then in ordinary session, within 30 days after the commencement of the next ordinary session.

PART V
ENVIRONMENTAL COMMISSIONER AND ENVIRONMENTAL OFFICERS

Appointment of Environmental Commissioner

16. (1) The Minister must, subject to the laws governing the public service, appoint a person who is suitably qualified and experienced in environmental matters -

(a) to be the Environmental Commissioner; and

(b) to be the Deputy Environmental Commissioner, who must perform the duties and functions of the Environmental Commissioner when there is no Environmental Commissioner or when the Environmental Commissioner is absent or is for any other reason unable to perform his or her functions.

(2) The Environmental Commissioner may perform any duty or function or exercise any power of an environmental officer.

(3) The Permanent Secretary must make staff members of the Ministry available to assist the Environmental Commissioner in the performance of any duty or function or the exercise of any power in terms of this Act.

Functions of Environmental Commissioner

17. (1) The Environmental Commissioner must perform the functions set out in subsection (2), subject to the general or specific policy directives of the Minister.

(2) The functions of the Environmental Commissioner are to -

(a) advise organs of state on the preparation of environmental plans;

(b) receive and record applications for environmental clearance certificates;

(c) determine whether a listed activity requires an assessment;

(d) determine the scope, procedure and methods of an assessment;

(e) review the assessment report in accordance with this Act;

(f) issue environmental clearance certificates in terms of this Act;

(g) maintain a register of environmental assessments undertaken in terms of this Act;

(h) maintain a register of environmental clearance certificates issued and environmental plans approved in terms of this Act;

(i) conduct inspections for monitoring compliance with this Act; and

(j) perform any other duty or function which the Minister may assign or prescribe.

Appointment of environmental officers

18. (1) Subject to the laws governing the public service, the Minister may appoint environmental officers, as he or she may consider necessary for carrying out the provisions of this Act.

(2) If the Minister considers it necessary, and subject to such conditions as the Minister may from time to time and in consultation with the Minister responsible for finance determine, the Minister may appoint any person who is not in the full-time employment of the

State as an environmental officer in any particular case or may so appoint such person to assist an environmental officer appointed in terms of subsection (1).

(3) Before appointing persons employed in any other organ of state, as environmental officers, the Minister must obtain the consent of the relevant employer.

(4) The Minister may withdraw the appointment of an environmental officer.

(5) Each environmental officer appointed in terms of subsection (1) or (2) must be furnished with a certificate of appointment in the form determined by the Permanent Secretary and stating that he or she has been appointed as an environmental officer, but if his or her appointment as environmental officer is limited to any particular function or functions his or her certificate must state such limitation.

(6) When performing any function or duty or exercising any power in terms of this Act, an environmental officer must on demand by any person in relation to whom the function, duty or power is performed or exercised, produce the certificate of appointment.

Entry and inspection

19. (1) In this section "member of the police" means a member of the Namibian Police Force as defined in section 1 of the Police Act, 1990 (Act No. 19 of 1990).

(2) To the extend that this section authorises the interference with the privacy of persons homes, correspondence or communications as contemplated in Article 13(1) of the Namibian Constitution, this section is enacted on the authority of Sub-Article (2) of that Article.

[The word "extent" is misspelt in the *Government Gazette*, as reproduced above. There should be an apostrophe after "persons" in the phrase "persons homes".]

(3) An environmental officer may, on the authority of a warrant issued in terms of subsection (5) -

(a) in order to obtain evidence, enter premises where he or she has reason to believe that any provision of this Act has been or is being contravened;

(b) direct the person in control of or employed at the premises -

(i) to deliver any book, record or other document that relates to the investigation and which is in the possession or under the control of that person;

(ii) to furnish such information as he or she has with regard to that matter; and

(iii) to render such assistance as the environmental officer requires in order to enable him or her to perform his or her duties or functions under this Act;

(c) inspect any book, record or other document and make copies of it or excerpts from it;

(d) seize any, material, substance, book, record or other document which is or may be relevant to a prosecution under this Act and keep it in his or her custody, but the person from whose possession or control any book, record or document has been taken, may, at his or her own expense and under supervision of the environmental officer concerned, make copies of it or excerpts from it; and

[The comma after the phrase "seize any" is superfluous.]

(e) take samples of any material or substance seized in terms of paragraph (d), for analysis.

(4) An environmental officer conducting a search under subsection (3) and (10) may -

(a) request a member of the police to assist in the exercise of the powers referred to in this section; and

(b) request any person to assist as an interpreter or otherwise in the exercise of the powers referred to in this section.

(5) A warrant referred to in subsection (3) must be issued by a judge of the High Court or by a magistrate who has jurisdiction in the area where the premises in question are situated, and may only be issued if it appears from information on oath that there are reasonable grounds for believing that any material, substance or other things contemplated in subsection (3) is on or in such premises, and must specify which of the acts mentioned in that subsection may be performed in terms of the warrant by the person to whom it is issued.

(6) Any environmental officer executing a warrant in terms of this section must immediately before commencing the execution -

(a) identify himself or herself to the person in control of the premises, if such person is present, and hand to such person a copy of the warrant or, if such person is not present, affix such copy in a prominent place on the premises; and

(b) supply such person at the request of such person, with particulars regarding his or her authority to execute such a warrant.

(7) A person may not enter or search any premises unless he has audibly demanded admission to the premises and has notified the purpose of his or her entry, unless such person is, on reasonable grounds, of the opinion that any material, substance or other things contemplated in subsection (3) may be destroyed if such admission is first demanded and such purpose is first notified.

(8) Any entry and search in terms of this section must be executed by day, unless the execution of it by night is justifiable and necessary.

(9) A warrant contemplated in this section may be issued on any day and is effective until -

(a) it is executed;

(b) it is cancelled by the person who issued it or, if such person is not available, by any person with similar authority;

(c) one month from the date of its issue; or

(d) the purpose for which the warrant was issued, no longer exists, whichever occurs first.

[The comma after the word "issued" is superfluous. The placement of the phrase "whichever occurs first" appears to be in error. The provision was probably intended to read as follows:

(9) A warrant contemplated in this section may be issued on any day and is effective until -

(a) it is executed;

(b) it is cancelled by the person who issued it or, if such person is not available, by any person with similar authority;

(c) one month from the date of its issue; or

(d) the purpose for which the warrant was issued no longer exists,

whichever occurs first.]

(10) An environmental officer may without a warrant enter on any premises and search for, seize and remove anything referred to in subsection (3), if -

(a) the person who is competent to do so consents to such entry, search, seizure and removal; or

(b) there are reasonable grounds to believe that -

(i) a warrant would be issued to the environmental officer if he applied for such warrant; and

(ii) the delay in obtaining such warrant would defeat the purpose of the search.

(11) A material or substance seized in terms of this section must be dealt with as contemplated in Chapter 2 of the Criminal Procedure Act.

Compliance orders

20. (1) For the purpose of this section "exceptional circumstances" includes circumstances in which the delay necessary to issue a written order that meets the requirements of subsection (2) would result in danger to human life or the environment.

(2) An environmental officer may issue a compliance order to a person whom the environmental officer has reason to believe -

(a) has contravened this Act; or

(b) has contravened a condition of an environmental clearance certificate.

(3) A compliance order must set out -

(a) the name of the person to whom the order applies;

(b) the provision or condition which has been contravened;

(c) details of the nature and extent of the contravention;

(d) any steps that are required to be taken and the period within which those steps must be taken; and

[The word "and" at the end of paragraph (d) appears to be in error.]

(e) any penalty that may be imposed in terms of this Act if those steps are not taken;

(f) the procedure to be followed in lodging an objection to the compliance order with the Minister; and

(g) any other prescribed matter.

(4) In exceptional circumstances a compliance order may be given orally, but within a period of seven days after such order is given, a written order must be issued in accordance with subsection (3).

(5) A person who receives a compliance order must comply with that order within the time period stated in the order unless the Minister has agreed to suspend the operation of the compliance order under section 21.

(6) Where a person fails to take any measures specified in the compliance order without raising an objection an environmental officer may take the measures or cause them to be taken.

(7) Any costs incurred by the environmental officer in connection with any action taken under subsection (6) may be recovered from the person referred to in that subsection as a debt owing to the State.

(8) Any person who, without good reason, fails or refuses to comply with a compliance order commits an offence and is liable on conviction to a fine not exceeding N$500 000 or to imprisonment for a period not exceeding 25 years or to both such fine and such imprisonment.

Objections to compliance order

21. (1) Any person issued with an order in terms of section 20, may apply to the Minister in the prescribed form and manner for the review of the order within -

(a) 14 days after receiving that order; or

(b) such longer period as may be allowed by the Minister on good cause shown.

(2) After considering the application made in terms of subsection (1), and any other relevant information, the Minister may confirm, modify or cancel all or part of the order.

(3) If the Minister confirms or modifies all or part of a compliance order, the applicant must comply with that order as confirmed or modified, within the time period specified in it.

(4) The Environmental Commissioner must in the prescribed form and manner notify the person referred to in subsection (1), of the decision made in terms of subsection (2) and the reasons for the decision.

[The comma after the phrase “subsection (1)” is superfluous.]

Offences in relation to environmental officers

22. (1) A person commits an offence if the person -

(a) hinders or obstructs an environmental officer in the performance of the environmental officer’s duties and functions or the exercise of the environmental officer’s powers;

(b) without lawful excuse, refuses or fails to answer any question put by an environmental officer;

(c) intentionally furnishes false and misleading information to an environmental officer; or

(d) falsely claims to be an environmental officer.

(2) A person convicted of an offence contemplated in subsection (1) is liable to a fine not exceeding N$20 000 or to imprisonment for a period not exceeding two years or to both such fine and such imprisonment.

PART VI
ENVIRONMENTAL PLANS

Objects of environmental plans

23. The objects of environmental plans are to -

(a) co-ordinate and harmonise the environmental policies, plans, programmes and decisions of the various organs of state that exercise functions that may affect the environment or are entrusted with powers and duties aimed at the achievement, promotion, and protection of a sustainable environment, in order to -

(i) minimise the duplication of procedures and functions; and

(ii) promote consistency in the exercise of functions that may affect the environment; and

(b) enable the Minister to monitor the achievement, promotion and protection of a sustainable environment.

Environmental plans

24. (1) For the purpose of this Part, the Minister may identify and list by notice in the *Gazette* or by regulation organs of state which are exercising functions that may affect the environment.

(2) Every organ of state identified and listed in terms of subsection (1), must prepare an environmental plan in the prescribed form and manner.

(3) Every organ of state contemplated in subsection (1), must in the preparation of an environmental plan take into consideration every other environmental plan already adopted with a view to achieving consistency among such plans.

(4) The Environmental Commissioner may, at the request of an organ of state assist with the preparation of an environmental plan.

[There should be a comma after the phrase “at the request of an organ of state”, to offset that phrase. Alternatively, the comma after the word “may” could be omitted.]

(5) The Minister may issue guidelines to assist organs of state in the preparation of environmental plans.

Approval of environmental plans

25. (1) Every organ of state required to submit an environmental plan must submit the plan to the Environmental Commissioner within the prescribed period.

(2) The Environmental Commissioner must scrutinise every environmental plan and -

(a) recommend the approval of the plan to the Minister;

(b) report to the Minister as well as to every other identified organ of state on the extent to which the environmental plan concerned fails to comply with -

(i) the principles set out in section 3;

(ii) the objects of environmental plans specified in section 23; or

(iii) any relevant environmental plan,

and set out the changes needed in the environmental plan concerned.

(3) Where the environmental plan is approved by the Minister, the relevant organ of state must adopt and publish its plan in the *Gazette* within 90 days of the approval and the plan becomes effective from the date of publication.

(4) The exercise of functions by organs of state may not be delayed or postponed on account of -

(a) the failure of any organ of state to submit an environmental plan;

(b) the scrutiny of any environmental plan by the Environmental Commissioner;

(c) the amendment of any environmental plan following scrutiny of the plan by the Environmental Commissioner; or

(d) the failure of any organ of state to adopt and publish its environmental plan.

Compliance with environmental plans

26. (1) Every organ of state must exercise every function it may have, or that has been assigned or delegated to it, by or under any law, and that may significantly affect the protection of the environment, substantially in accordance with the environmental plan prepared and approved in accordance with this Part, but any substantial deviation from an environmental plan must be reported to the Environmental Commissioner.

(2) Every organ of state identified and listed in terms of section 24(1) must report annually to the Minister on the implementation of its adopted environmental plan.

(3) The Environmental Commissioner monitors compliance with environmental plans and may -

(a) take any steps or make any inquiries the Commissioner considers necessary in order to determine if environmental implementation plans are being complied with by organs of state; and

(b) if, as a result of any steps taken or inquiry made under paragraph (a), the Commissioner is satisfied that an environmental implementation plan is not substantially being complied with, serve a written notice on the organ of state concerned, calling on it to take such specified steps as the Commissioner considers necessary to remedy the non-compliance.

(4) A copy of every environmental plan must be made available for public inspection, without charge, at the office of the Enviromental Commissionr during office hours.

[The term "Environmental Commissioner" is misspelt in the *Government Gazette,* as reproduced above.]

PART VII
ENVIRONMENTAL ASSESSMENT

Listing of activities and prohibition in respect of listed activities

27. (1) The Minister, after following the consultative process referred to in section 44, may list, by notice in the *Gazette*, activities which may not be undertaken without an environmental clearance certificate.

(2) Activities listed, under subsection (1), may include activities in respect of any of the following areas -

(a) land use and transformation;

(b) water use and disposal;

(c) resource removal, including natural living resources;

(d) resource renewal;

(e) agricultural processes;

(f) industrial processes;

(g) transportation;

(h) energy generation and distribution;

(i) waste and sewage disposal; chemical treatment;

(j) recreation; and

(k) any other area which the Minister considers necessary for the purpose of listing.

(3) Despite any other law to the contrary, a person may not undertake a listed activity, unless the person is a holder of an environmental clearance certificate in relation to that activity.

(4) Any person who contravenes subsection (3) commits an offence and is on conviction liable to a fine not exceeding N$500 000 or to imprisonment for a period not exceeding 25 years or to both such fine and such imprisonment.

Exemption

28. The Minister may in a notice under section 27 make provision for the granting of an exemption in respect of an activity.

Provisions relating to listing of activities

29. (1) The Minister may amend the list referred to in section 27(1), by -

(a) adding an activity to the list;

(b) removing an activity from the list; or

(c) making other changes to the particulars on the list;

(2) The Minister must comply with section 27(1) before amending the list referred to in that section.

(3) Any person may make representations to the Minister on the desirability of having an activity listed in terms of section 27(1) or delisted in terms of this section.

(4) The Minister is not bound by a representation made under subsection (3).

Procedure for identifying competent authorities

30. (1) Where no person or authority is, in terms of any other law, charged with the responsibility of granting authorisation in respect of a listed activity the Minister must in the notice under section 27(1) identify a person or authority who is responsible for grating authorisation in respect of that activity.

[The word "granting" is misspelt in the *Government Gazette*, as reproduced above.]

(2) The Minister or any other organ of state may under subsection (1) be identified as the competent authority.

(3) The Minister may agree with an organ of state that applications for environmental clearance certificates in respect of which the Minister is identified as the competent authority be dealt with by that organ of state.

Effect of authorisations under other laws

31. (1) Despite any other law to the contrary, a competent authority may not issue an authorisation unless the proponent has obtained an environmental clearance certificate in terms of this Act.

(2) An authorisation issued contrary to subsection (1) is invalid.

PART VIII
ENVIRONMENTAL ASSESSMENT PROCESS

Application for environmental clearance certificate

32. (1) A person who is required to obtain an environmental clearance certificate must, in the prescribed form and manner and on payment of the prescribed fee, apply to the relevant competent authority for an environmental clearance certificate in respect of the listed activity to be undertaken.

(2) The competent authority must in the prescribed manner forward the application referred to in subsection (1) to the Environmental Commissioner, if the proponent complies, in respect of the proposed activity, with any requirements prescribed by law in respect of that activity.

Registration of application and determining whether assessment is required

33. (1) When an application is made for an environmental clearance certificate, the Environmental Commissioner must -

(a) register the application in the prescribed assessment register, and

(b) within the prescribed time, decide whether the proposed activity requires an assessment.

(2) In making a decision in terms of subsection (1)(b), the Environmental Commissioner must -

(a) follow the consultative process referred to in section 44; and

(b) take into account -

(i) any comment received in terms of the consultative process;

(ii) the significant effect of the proposed activity on the environment;

(iii) the nature and extend of the proposed activity;

[The word "extent" is misspelt in the original *Government Gazette*, as reproduced above.]

(iv) the principles set out in section 3; and

(v) any other matter that may be prescribed.

(3) A decision under subsection (1) does not exempt the proponent from complying with other requirements prescribed in respect of the proposed activity under any other law.

Procedure where assessment is not required

34. (1) Where the Environmental Commissioner has under section 33, decided that the proposed activity does not require an assessment the Environmental Commissioner may -

[The comma after the phrase "under section 33" is superfluous as written. If it was intended to appear here, there should also be a comma after the word "has", to offset the phrase "under section 33". Alternatively, the comma may have been intended to appear after the word "assessment".]

(a) grant the application and, on payment of the prescribed fee, issue an environmental clearance certificate to the proponent; or

(b) refuse the application and provide the proponent with reasons for the refusal.

(2) The Environmental Commissioner must within the prescribed time and in the prescribed form and manner -

(a) notify the proponent of the decision made in terms of subsection (1); and

(b) provide the proponent with the environmental clearance certificate, if issued.

(3) Any person who fails to comply with any condition attached to the environmental clearance certificate in terms of subsection (1) commits an offence and is on conviction liable to a fine not exceeding N$500 000 or to imprisonment for a period not exceeding 25 years or to both such fine and such imprisonment.

Procedure where assessment is required

35. (1) Where the Environmental Commissioner has under section 33 decided that the proposed activity requires an assessment the Environmental Commissioner must -

(a) determine -

(i) the scope of the assessment; and

(ii) the procedures and methods for conducting the assessment;

(b) in the prescribed manner -

(i) notify the proponent that an assessment of the proposed activity is required to be carried out and prepared by the proponent, at the proponent's own expense, in accordance with the scope, procedures and methods determined under paragraph (a); and

(ii) state a reasonable period within which the assessment report must be submitted to the Environmental Commissioner.

(2) An assessment report must consist of the matters as prescribed.

(3) When determining the scope, procedures and methods of an assessment the Environmental Commissioner must follow the consultative process referred to in section 44.

(4) The Environmental Commissioner may vary the scope, procedures and methods determined under subsection (1)(a) -

(a) in accordance with modifications proposed by the proponent; or

(b) if the Environment Commissioner considers it necessary to complete an effective and timely assessment of the proposed activity.

(5) The Environmental Commissioner may, on application of the proponent and on good cause shown extend the period stipulated under subsection (1)(b)(ii) for the submission of the assessment report.

(6) If, upon submission of the assessment report by the proponent, it appears to the Environmental Commissioner that the prescribed requirements in respect of the contents of the assessment report have been complied with the Environmental Commissioner must -

(a) at the cost of the proponent, notify the application in the prescribed manner; or

(b) direct the proponent to notify the application in the prescribed manner.

(7) A notification of an application under subsection (6) must -

(a) contain the prescribed particulars in relation to the application;

(b) state that the application and assessment report are available for inspection at the office of the Environmental Commissioner;

(c) invite written submissions in relation to the application and assessment to be lodged with the Environmental Commissioner; and

(d) specify the closing date for submissions.

(8) Where the proponent is directed under subsection (6)(b) to notify the application the proponent must furnish proof of the notification to the Environmental Commissioner as soon as is possible after the date of the publication of the notification.

Review

36. (1) Within a reasonable time after the closing date referred to in section 35(7)(c), the Environmental Commissioner must review the application and may take any action the Environmental Commissioner considers appropriate for the review of the application, including -

(a) consulting any person, institution, or authority on any matter concerning the application, the assessment or any submission received in relation to the application;

(b) carrying out, or appointing a person or a committee of persons to carry out, an investigation, including a process of public consultation, in relation to any matter concerning the application, the assessment or any submission; or

(c) holding a public hearing.

(2) At least 14 days before the date fixed for the holding of a public hearing in accordance with subsection (1)(c), the Environmental Commissioner must give notice of the public hearing -

(a) in the prescribed manner to the proponent;

(b) in writing to every person from whom a submission in relation to the application has been received; and

(c) by publication of the notice in the prescribed manner.

(3) The notice in terms of subsection (2) must -

(a) specify the date, time and place of the public hearing; and

(b) contain a brief description of the nature of the application.

Environmental Commissioner's decision

37. (1) After reviewing the assessment report in terms of section 36, the Environmental Commissioner may -

(a) grant the application, and on payment of the prescribed fee, issue an environmental clearance certificate to the proponent; or

(b) refuse the application and provide the proponent with reasons for the refusal.

(2) The Environmental Commissioner must within the prescribed time and in the prescribed form and manner -

(c) notify the proponent of the decision made in terms of subsection (1); and

(d) provide the proponent with the environmental clearance certificate, if issued.

[The paragraphs in subsection (2) are incorrectly lettered as (c) and (d) in the *Government Gazette*, as reproduced above. There are no paragraphs (a) and (b) in this subsection.]

(3) Any person who fails to comply with any condition attached to an environmental clearance certificate in terms of subsection (1) commits an offence and is on conviction liable to a fine not exceeding N$500 000 or to imprisonment for a period not exceeding 20 years or to both such fine and such imprisonment.

Record of decisions

38. (1) The Environmental Commissioner must, in accordance with subsection (2), keep a record of decisions made under sections 33, 34 and 37.

(2) The record of decisions must be kept in the prescribed form and must consist of information that may be prescribed.

(3) A copy of the record must be made available for public inspection at the office of the Environmental Commissioner during office hours.

Amending conditions of environmental clearance certificate

39. (1) The Environmental Commissioner may amend a condition of an environmental clearance certificate -

(a) if the certificate holder consents to or requests for the amendment; or

(b) at the initiave of the Environmental Commissioner, by giving written notice to the holder of the certificate.

[The word "initiative" is misspelt in the *Government Gazette*, as reproduced above.]

(2) The Environmental Commissioner may require the holder of the environmental clearance certificate to make an application in the prescribed form and manner to the Environment Commissioner for the proposed amendment.

(3) In considering an application to amend an environmental clearance certificate the Environmental Commissioner must have regard to the same matters which he or she was required to consider when deciding the initial application for that environmental clearance certificate.

(4) The Environmental Commissioner may only amend a condition of the environmental clearance certificate under this section if he or she is satisfied that the -

(a) amendment will not have a significant effect on the environment; and

(b) interests of any other person are not adversely affected.

(5) In amending an environmental clearance certificate the Environmental Commissioner must follow the consultative process referred to in section 44.

Duration of environmental clearance certificate

40. (1) An environmental clearance certificate becomes effective and operates from the date endorsed on the certificate.

(2) An environmental clearance certificate remains effective for a period not exceeding three years, subject to cancellation or suspension under section 42.

Prohibition on transfer of environmental clearance certificate

41. (1) A person may not transfer an environmental clearance certificate except with the permission of the Environmental Commissioner.

(2) An application for the transfer of an environmental clearance certificate must be made in the prescribed form and manner.

Suspension or cancellation of environmental clearance certificate

42. (1) Subject to subsection (3), the Environmental Commissioner may, by notice to the holder of the environmental clearance certificate suspend or cancel an environmental clearance certificate if the holder of the certificate -

[The comma after the word "may" is superfluous as written. There should be a second comma after the first use of the word "certificate", to offset the phrase "by notice to the holder of the environmental certificate". Alternatively, the comma after the word "may" could be omitted.]

(a) has contravened any condition of the certificate;

(b) has contravened this Act; or

(c) is convicted of an offence in terms of this Act.

(2) An environmental clearance certificate may be suspended under subsection (1) -

(a) for the period specified in the notice of suspension; or

(b) until the Environmental Commissioner is satisfied that the person concerned has rectified the failure which led to the suspension.

(3) Except in a situation that the Minister considers to be an emergency that warrants action without notice to the holder of the environmental clearance certificate, the Minister may not suspend or cancel an environmental clearance certificate without first giving the holder an opportunity to be heard.

(4) The Environmental Commissioner may, for good reason shown, reinstate an environmental clearance certificate cancelled or suspended under subsection (1).

(5) In suspending, canceling or reinstating an environmental clearance certificate in terms of this section, the Environmental Commissioner must follow the consultative process referred to in section 44.

Offences relating to this Part

43. (1) A person commits an offence, if the person -

(a) alters or forges an environmental clearance certificate or any notice, order or document issued under this Part;

(b) knowingly gives false information in any application for an environmental clearance certificate made under this Part;

(c) without lawful excuse, fails or refuses to give data or information, or gives false or misleading data or information when required to give information in terms of this Part; or

(d) makes any false entry or declaration in any register, record or document required to be kept in terms of this Part.

(2) A person convicted of an offence -

(a) contemplated in subsection (1) is liable to a fine not exceeding N$100 000 or imprisonment for a period not exceeding ten years or to both such fine and such imprisonment; and

(b) who after such conviction continues in the course of conduct which constituted such offence, commits a continuing offence and is liable to a fine not exceeding N$10 000 or to imprisonment for a period not exceeding one year or to both such fine and such imprisonment in respect of every day on which he continues with the conduct.

PART IX
SPECIAL PROVISIONS RELATING TO ENVIRONMENTAL ASSESSMENTS

Consultation

44. (1) When in terms of this Act the Minister or the Environmental Commissioner is required to consult, the Minister or the Environmental Commissioner, as the case may be -

(a) must consult the organ of state whose area of responsibility may be affected by the performance of the function or duty or the exercise of the power; and

(b) may, where appropriate, consult any other interested or affected person.

(2) When in terms of this Act the Minister or the Environmental Commissioner is required to consult any person or organ of state, such consultation is regarded as having been satisfied if a written notification of intention to act has been made to that person or organ of state and no response has been received within a reasonable time.

Appointment of external specialist

45. The Environmental Commissioner may with the approval of the Minister appoint an external specialist reviewer and may recover costs from the proponent in instances where -

(a) the technical knowledge required to review any aspect of an assessment is not readily available within the Ministry; or

(b) a high level of objectivity is required which is not apparent in the documents submitted, in order to ascertain whether the information contained in such documents is adequate for decision-making.

Assessment costs may be recovered

46. The Environmental Commissioner may order the proponent to pay prescribed fees or charges for all or part of the costs that are incurred by or on behalf of the Ministry, as the case may be, in carrying out an assessment under this Act.

Access to environmental information

47. Organs of state are entitled to have access to prescribed environmental information held by any person where that information is necessary to enable such organs of state to perform their duties in terms of this Act or any other law concerned with the protection of the environment or the use of natural resources.

International environmental agreements

48. The Minister may introduce legislation in Parliament or make such regulations as may be necessary for giving effect to an international environmental agreement to which Namibia is a party, and such legislation and regulations may deal with the following -

(a) the co-ordination of the implementation of the agreement;

(b) the allocation of responsibilities in terms of the agreement, including those of other organs of state;

(c) the gathering of information, including for the purposes of compiling and updating reports required in terms of the agreement and for submission to Parliament;

(d) the dissemination of information related to the agreement and reports from international meetings;

(e) initiatives and steps regarding research, education, training, awareness raising and capacity building;

(f) ensuring public participation;

(g) implementation of and compliance with the provisions of the agreement, including the creation of offences and the prescription of penalties where applicable; and

(h) any other matter necessary to give effect to the agreement.

PART X
GENERAL PROVISIONS

Delegation

49. (1) The Environmental Commissioner may delegate the exercise of any of his or her powers, and the performance of any of his or her duties or functions, to -

(a) the holder of an office in the Ministry, who has the qualifications set out in section 16(1); or

(b) an organ of state.

(2) A delegation referred to in subsection (1) -

(a) must be in writing;

(b) may be subject to conditions; and

(c) does not prevent the exercise of the power or the performance of the duty by the Environmental Commissioner.

(3) The Environmental Commissioner may withdraw any delegation made in terms of subsection (1).

Appeals to Minister

50. (1) Any person aggrieved by a decision of the Environmental Commissioner in the exercise of any power in terms of this Act may appeal to the Minister against that decision.

(2) An appeal made under subsection (1), must be noted and must be dealt with in the prescribed form and manner.

(3) The Minister may consider and determine the appeal or may appoint an appeal panel consisting of persons who have knowledge of, and are experienced, in environmental matters to advise the Minister on the appeal.

[The comma after the word "experienced" should appear after the phrase "experienced in".]

(4) The Minister must consider the appeal made under subsection (1), and may confirm, set aside or vary the order or the decision or make any other appropriate order including an order that the prescribed fee paid by the appellant, or any part thereof, be refunded.

(5) Any expenditure resulting from the performance of duties by the appeal panel in terms of subsection (3) must be paid from the State Revenue Fund from moneys appropriated by Parliament for that purpose.

(6) An appeal made under subsection (1) does not suspend the operation or execution of the decision pending the decision of the Minister, unless the Minster, on the application of a party, directs otherwise.

[The word "Minister" is misspelt in the *Government Gazette* in its second appearance in subsection (6), as reproduced above.]

Appeal to High Court against Minister's decision

51. (1) Any person aggrieved by a decision of the Minister made in terms of section 50(4) or a decision under section 21 may appeal, on points of law only, against that decision to the High Court within the prescribed time and in the prescribed manner.

(2) The appeal must be proceeded with as if it were an appeal from a Magistrate's Court to a High Court.

Limitation of liability

52. The State or any other person is not liable for any damage or loss caused by -

(a) the exercise of any power or the performance of any duty under this Act; or

(b) the failure to exercise any power, or perform any function or duty under this Act,

unless the exercise of or failure to exercise the power, or performance or failure to perform the duty was unlawful, negligent or in bad faith.

Offence by a body corporate and jurisdiction

53. (1) If an offence under this Act which has been committed by a body corporate is proven to have been committed with the consent or connivance or, or to be attributable to any neglect on the part of -

[The second appearance of the word "or" in subsection (1) appears to be a misspelling of the word "of" ("with the consent or connivance **of").]**

(a) any director, member, trustee, manager or other similar officer of the body corporate; or

(b) any person who was purporting to act in the capacity of a director, member, trustee, manager or similar officer,

that person as well as the body corporate is deemed to have committed the offence and is liable to be proceeded against and punished accordingly.

(2) Despite any other law to the contrary, a magistrate's court has jurisdiction to impose any penalty provided for in terms of this Act.

Forfeiture and payment into Fund

54. (1) A court convicting a person of an offence under this Act may, in addition to any penalty imposed in respect of that offence -

(a) order that the any equipment, record, register, document or any other material object that was used for the purpose of or in connection with the commission of the offence be forfeited to the State; and

(b) summarily enquire into and assess the monetary value of any advantage gained or likely to be gained by that person in consequence of that offence and impose on that person a fine to a maximum equal to the monetary value so assessed or, in default of payment of the fine, to imprisonment for a period not exceeding one year.

(2) Section 35 of the Criminal Procedure Act applies with necessary changes to a forfeiture under subsection (1).

(3) Money received as payment of a penalty following a conviction in terms of this Act, or the proceeds from the sale of anything declared forfeited in terms of section 35 of the Criminal Procedure Act following a conviction in terms of this Act, or any fee or charge payable in terms of this Act, must be paid into the Fund.

Act to bind State

55. This Act binds the State.

Regulations

56. (1) The Minister may make regulations relating to -

(a) the disposal of certain types of waste;

(b) the granting of exemption from any provision of this Act and the conditions subject to which such exemption may be granted;

(c) the requirements for listing or delisting of activities in terms of section 27 or 29;

(d) what constitutes an activity for purposes of listing or delisting in terms of section 27 or 29, and for that purpose the Minister may -

(i) categorise activities according to size, production or storage capacity, timing, geographical location, potential for significant effects, type of industry to which the activities are related, type of proponent or on any other basis that the Minister considers appropriate, and

(ii) provide differently for the different categories of activities;

(e) the form and content of an application, for an environmental clearance certificate, the transfer, amendment or renewal of the certificate;

(f) the form and content of a register, record or any other document required to be kept under this Act;

(g) fees payable for any application made in terms of this Act and the manner of payment of fees;

(h) fees payable for request for records and other information kept in terms of this Act;

(i) the assessment process;

(j) the content of an assessment report;

(k) the procedure and time limits within which organs of state must do anything required to be done in terms of this Act;

(l) time limits not otherwise provided for under this Act for things required or permitted to be done under this Act, which time limits may differ for different categories of projects, events or circumstances;

(m) the manner and form for delivering or a document or for giving notice under this Act;

[Paragraph (m) is incorrect as it stands and may have been intended to read as follows:
"the manner and form for delivering **of** a document or for giving notice under this Act;**".]**

(n) any matter which in terms of this Act is required or permitted to be prescribed; and

(o) generally any other matter in respect of which it is necessary or expedient to make regulations in order to achieve the object of this Act.

(2) A regulation made under subsection (1) may prescribe a penalty for any contravention of, or failure to comply with any provision thereof, not exceeding a fine of N$100 000 or imprisonment for a period not exceeding 10 years or to both such fine and such imprisonment.

[The comma after the phrase "for any contravention of" is superfluous as written. If it was intended to appear here, there should be a second comma after the phrase "or failure to comply with" to offset that phrase. Alternatively, the comma after the phrase "for any contravention of" could be omitted. In addition, the word "to" in the phrase "to both such fine and such imprisonment**" is superfluous.]**

Existing authorisation

57. (1) A person who, on the date of commencement of this Act, undertakes a listed activity under an authorisation may continue to undertake such activity for a period not exceeding one year, or such longer period as the Minister may on application approve.

(2) A person who wishes to continue with a listed activity in terms of an authorisation contemplated in subsection (1) after its expiry in terms of that subsection must apply for an environmental clearance certificate, in terms of this Act before its expiry.

[The comma after the word "certificate" appears to be in error. It was possibly intended to appear after the phrase "after its expiry in terms of that subsection".]

(3) If a person has lodged an application in terms of subsection (2) the relevant authorisation in respect of which the application has been lodged remains valid until such time as the application has been dealt with in terms of this Act.

Short title and commencement

58. (1) This Act is called the Environmental Management Act, 2007, and commences on a date determined by the Minister by notice in the *Gazette*.

(2) Different dates may be determined under subsection (1) in respect of different provisions of this Act.

UNAM
UNIVERSITY OF NAMIBIA

RESEARCH ETHICS POLICY, REGULATIONS AND GUIDELINES

RESEARCH ETHICS POLICY,

REGULATIONS AND GUIDELINES

Custodian	Pro Vice Chancellor: Research, Innovation and Development
Responsible Division	Centre for Research and Publications
Contact Officer	Director: Centre for Research and Publications
Status	Approved Policy
Recommended by	PVC: RID Forum
Approved by	Senate
Approval Date	TBC
Effective Date	06/05/2019
Resolution Number	TBC
Review cycle	Every 5 years
Policy amended/replaced	Research Ethics Policy of 2013

Related legislation, policies and regulations	
Legislation and/or other regulatory obligations	**Organizational policies, procedures, guidelines and regulations**
• The University of Namibia Act (Act No. 18 of 1992) • Higher Education Act No. 26 of 2003 • Research Science & Technology Act, 2004 (Act No. 23 of 2004) • Access to Genetic and Biological Resources and Associated Traditional Knowledge Act 2 of 2017	• Delegation of Authority Policy and Framework • UNAM Research Policy • Conflict of interest policy • Policy on Academic Integrity

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1.0 ACRONYMS AND ABBREVIATIONS

Acronym/ Abbreviation	Explanation
Ad Hoc REC	Ad Hoc Research Ethics Committee
AREC	Animals Research Ethics Committee
EEREC	Environment and Engineering Research Ethics Committee
CID	Centre for Innovation and Development
CIOMS	Council for International Organizations of Medical Sciences
CRP	Centre for Research and Publications
HREC	Human Research Ethics Committee
ICH	International Conference on Harmonization of Technical Requirements For Registration of Pharmaceuticals For Human Use
IPR	Intellectual Property Right
IRB	Institutional Review Board
MoU	Memorandum of Understanding
NCRST	National Commission on Research, Science and Technology
NIH	National Institute of Health
PVC: RID	Pro Vice Chancellor for Research, Innovation and Development
REC	Research Ethics Committee
UNAM	University of Namibia
UREC	University of Namibia Research Ethics Committee
URPC	University of Namibia Research and Publications Committee
WHO	World Health Organization

2.0 DEFINITIONS

Terms	Definition
Anonymity	Refers to non-disclosure of information of participants in research studies
Authorship	Lists of persons who have made substantial contributions to a study.
Beneficence and non-maleficence	Beneficence is the obligation to do good. Non-maleficence is the obligation of researchers to do no harm.
Collaborating Partner	Researchers from other institutions cooperating and conducting research under the auspices of UNAM.
Confidentiality	Researchers must ensure that data is not disclosed to third parties during the collection, dissemination and storage of information as this might cause harm, stigma or distress.

Conflict of interest	A situation in which a person has a private or personal interest sufficient to appear to influence the objective exercise of research.
Data Management	Refers to the storing, protection and overall handling of relevant research records (e.g. written procedures, membership lists, lists of occupations, affiliation of members, submitted documents, minutes of meetings and correspondence for a period of 5 years after completion of the studies – excluding longitudinal studies, and make these available upon request.
Ethical Guidelines	Are rules and procedures whose purpose is to improve on prevailing practice and remedy its defects.
Ethics	Refers to moral standards and how these apply to the systems and organizations through which modern societies produce and distribute goods and services, and to the people who work in these organizations.
Ethics and responsibility	Means that researchers are obliged to do what is morally right and be answerable for all aspects and consequences of their research activities.
Fabrication	The invention of data and results, recording or reporting them with the intention of misleading or deceiving the intended audience
Falsification	The manipulation of research materials, equipment, processes or changing results, such that the research is not accurately presented in the research report. This include intentional provision of misleading research information or deliberate false reporting of research results
Financial interest	A situation where a researcher's judgment or performance is unduly influenced by secondary interests such as financial or other professional benefits, which may influence the integrity of the research process and/or the reporting of the research findings
Human participant	A subject on whom an investigator conducts research or who participates in research.
Informed consent	Refers to a process that requires providing relevant information to a participant, ensuring that the participant adequately understands the nature of the study and has agreed or refused to participate without having been subjected to coercion, or undue influence.
Innovation	Process of implementing new or significantly improved products (goods and services) or new marketing methodologies on how the new or existing organizations conduct their business practices to deliver new good and services.
Institutionalized persons	Are persons that are kept in confinement.
Integrity	Refers to values of 'truth' and 'honesty, which are fundamental to all forms of scientific research, creative and scholarly endeavors.

Justice	Refers to a specific principle to ensure the fair distribution of both burdens and benefits of research and is of particular relevance when research involves human participants.
Peer Review	Provision of fair, prompt and rigorous evaluations and respect for confidentiality when reviewing other's work.
Publication Acknowledgement	Researchers must indicate names and roles of those who made significant contributions to the research, including funders, and other persons, even though they do not meet authorship criteria.
Research	Refers to any form of disciplinary inquiry that aims to contribute to a body of knowledge or involves a disciplined inquiry at any level which is designed to demonstrate mastery of research skills and techniques.
Research Affiliates	Refers to a researcher conducting transitory research-related undertakings by using the University of Namibia research facilities through collaborating with researchers in faculty, centers and schools.
Research Associate	Refers to a person from another institution attached to UNAM to conduct research.
Research data management	Covers the planning, collecting, organizing, managing, storage, security, backing up, preserving, and sharing data according to legal, statutory, ethical and funding body requirements.
Research ethics	Refers to the moral standards that govern research. It includes moral standards governing research on Human subjects, Animals, Environment and Engineering, Business research and other specialized areas.
Scientific validity	Use of accepted scientific principles and methods , including statistical techniques, to produce reliable and valid data
Staff member	Any person appointed by UNAM whether full time or part-time.
Technology	Refers to machinery and equipment developed from the application of scientific knowledge.
Research Records	Refers to clear and accurate records of all research in ways that allows verification and replication of their work by others.
Unexpected death	Is any death that occurs prior to the approved experimental endpoint.
Visiting Scholars	Refer to an academic from an institution that visits a host university to teach, lecture, or execute research on a topic for which the scholar is valued.
Vulnerable and marginalized populations	Include the economically disadvantaged, racial and ethnic minorities, the uninsured, low-income, children, the elderly, the homeless, those living with HIV and Aids, and those with other chronic health conditions, including mental illness.

3.0 INTRODUCTION

Ethical considerations are critical in the conduct of research. Research ethics are standards of conduct that distinguish between right and wrong practices in research. UNAM is committed to principles of honesty, objectivity and respect for intellectual property, responsible conduct of research, confidentiality and non-discrimination. UNAM has formulated this Research Ethics Policy in order to establish fundamental principles of research ethics and scientific integrity, which will serve as the foundations for all research activities conducted at UNAM. UNAM supports scientific and ethical practices aligned to internationally acceptable norms that are fundamental to research.

This Research Ethics Policy has been developed from the principle of internationally acceptable ethical guidelines and codes of good practice for the different categories and disciplines of researchers working with animals, humans, the environment, engineering and others. The Policy defines the application of ethical principles and guidelines in the responsible conduct of research in an enabling academic environment.

This Policy also guides the processes for the establishment, operation and review of ethical policy and ethical procedures applied to research conducted by staff members, students, visiting scholars, collaborating research partners, research affiliates and research associates of UNAM.

4.0 POLICY OBJECTIVES

This Policy seeks:

4.1 To direct research agenda that takes into consideration ethical issues with strategic focus on and alignment with local, national, regional and international priorities.

4.2 To provide a broad framework that will guide and direct ethical conduct of research, innovation and related activities.

4.3 To provide a framework to maintain co-operative relationships with respect to ethical issues among the various Campuses, Faculties, Centres, Academics and other Units undertaking research.

4.4 To facilitate the effective promotion of both general and specific research activities based on good ethical code of conduct.

4.5 To ensure adherence to ethical research practices.

4.6 To ensure that the dissemination of research findings is guided by a good ethical code of conduct and practice through publications in peer-reviewed journals, books and other scholarly outlets.

5.0 SCOPE

This Policy applies to:

5.1 All UNAM staff members and students.

5.2 All visiting scholars, collaborating research partners, research affiliates and research associates conducting research at UNAM.

5.3 All externally funded research and research collaborations for which ethical clearance is sought from UREC.

6.0 ACCOUNTABILITY AND RESPONSIBILITY

6.1 The **Pro-Vice Chancellor: Research, Innovation and Development (PVC: RID)** is the custodian of this Ethics Policy and shall be responsible for providing strategic guidance and overseeing the administration, management and adherence to the ethical principles and regulations as stated in this Policy and in line with the UNAM's mission.

6.2 The **Director of Centre for Research and Publications (CRP)** shall be responsible and accountable for implementing the policy and overseeing ethical clearance matters.

6.3 **URECs** shall be established as oversight Committees responsible for promoting and protecting the rights and welfare of research participants, animals and the environment. An Ad hoc Committee shall be constituted to clear all other research projects that do not concern human participants, animals and the environment.

6.4 URECs shall review and provide ethical clearance for all research at UNAM that falls within their areas of jurisdiction and report the outcome to the Director: CRP.

6.5 The **URECs Chairpersons** shall be responsible for facilitating and chairing the URECs committees and ensure that the process of ethical clearance is fair and just.

6.6 The **Campus/Faculty/Centre Research Representatives** shall be responsible for facilitating the approval of research proposals as well as submitting the applications of ethical clearance to the respective URECs.

6.7 Staff and students are responsible for adhering to ethical principles in research projects.

6.8 Researchers are answerable for all ethical activities in research.

7.0 POLICY STATEMENT

7.1 The CRP shall ensure that no research shall be conducted without prior ethical clearance and hence all applications shall be submitted for ethical clearance.

7.2 All UNAM researchers and associates will uphold high ethical standards.

7.3 All UNAM researchers and associates will apply to the relevant URECs for ethical clearance, unless otherwise stipulated in the procedures.

7.4 UNAM researchers and associates may appeal the outcome of an ethical clearance application as per the approved guidelines.

7. 5 The final decision of the UREC with respect to ethical clearance shall be binding.

7.6 No UNAM researcher or associate shall conduct research without prior ethical clearance unless exempted by this policy.

7.7 The CRP shall provide ethical clearance services at a fee to researchers not associated with UNAM.

7.8 The URECs shall maintain excellence in the processing and approval of applications for ethical clearance.

7.9 The CRP shall provide ethics training to UREC members and to other staff involved in research administration on a regular basis.

8.0 SANCTIONS

Staff members and students who breach or violate the content of this Policy or its Regulations and Guidelines shall be subjected to disciplinary action specified in terms of the UNAM Disciplinary Policy and Procedures. Minor violations should be discussed and resolved at Departmental or Faculty level.

All forms of dishonesty as prescribed in UNAM's Policies will be regarded as serious offences. Complaints or awareness of misconduct by researchers or members of URECs will be investigated and managed according to the UNAM Disciplinary Policy and Procedures.

9.0 PROCEDURES

The procedures of this policy are contained in the Regulations, Guidelines and Forms that are part of this policy.

REGULATIONS AND GUIDELINES

A. ETHICAL CONDUCT

A1 Researchers shall ensure informed consent based on the principle of self-determination, honesty, objectivity, and respect for intellectual property, avoiding harm and conferring benefits on research participants.

A2 Researchers shall be required to maintain high standards of integrity and honesty. Academic dishonesty shall include but not limited to the fabrication, and falsification

A3 The investigator shall ensure confidentiality of participants' research data. Participants must be told the limits, legal or otherwise, to the investigators' ability to safeguard confidentiality and the possible consequences of breaches of confidentiality. Participants must also be informed who will have access to their information, especially when their data will be used in future research, and how confidentiality will be safeguarded in this regard.

A4 Investigators should ensure that research participants who may suffer injury as a result of participation are entitled to free medical treatment for such injury and such financial or other assistance as would compensate them equitably for any resultant impairment, disability or handicap. In the case of death as a result of their participation, their dependants are entitled to compensation. Participants must not be asked to waive this right to compensation.

A5 Researchers shall store their research data for a period of five years after completion of the project.

B. COMPOSITION AND FUNCTIONS OF UNAM RESEARCH ETHICS COMMITTEES (URECs)

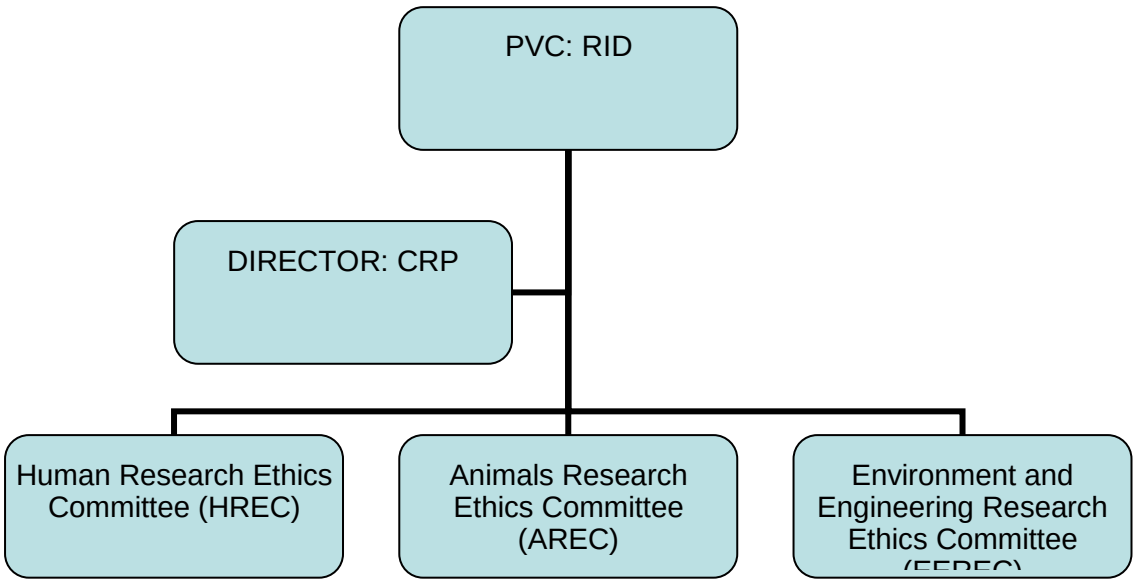
B1. UNAM RESEARCH ETHICS COMMITTEES (URECs)

B1.1 The following URECs will be constituted at UNAM as committees that report to PVC: RID as per Figure 1. The existing Interim UREC shall be replaced by the newly constituted committees as indicated below:

B1.1.1 Human Research Ethics Committee (HREC)

B1.1.2 Animals Research Ethics Committee (AREC)

B1.1.3 Environmental and Engineering Research Ethics Committee (EEREC)



B1.2 Proposals that do not address human, animal, environment and engineering research will be cleared by an Ad Hoc Research Ethics Committee (Ad Hoc REC) constituted by the Director: CRP.

B1.3 The Director: CRP and the Deputy Director: Centre for Postgraduate Studies shall be permanent members of the Ad Hoc REC.

B2. COMPOSITION OF THE URECs:

B2.1 The UREC shall normally consist of FIVE members from multidisciplinary backgrounds relevant to the UREC.

B2.2 The UREC may co-opt up to two (2) other experts and one (1) lay person (who represents the community/society) to participate in the discussions to meet requirements for expert diversity.

B2.3 The Director: CRP shall be an ex officio member of the URECs except the Ad Hoc REC for which he/she shall chair.

B2.4 The URECs shall meet monthly or more frequently to perform their duties.

B2.5 The members of UREC shall be proposed to the CRP by respective APVCs/Deans/ Associate Deans/ Directors and eventually appointed by the PVC: RID.

B2.6 The composition of the UREC must be balanced in gender distribution.

B2.7 The substantive members must be sufficiently grounded in research and have the requisite expertise as evidenced by a PhD degree to be able to make informed decisions.

B2.8 Conflict of interest should be avoided during discussions, but where unavoidable, such interest should be declared.

B2.9 UREC shall consider a system for membership that allows for continuity as well as the development and transfer of expertise.

B2.10 A list of proposed UREC members and their areas of specialization shall be submitted to the PVC: RID for formal appointment.

B3. TERMS OF REFERENCE OF THE URECs

The URECs are expected to perform the following duties:

B3.1 Review the ethical compliance of all research with reference to all the prescribed ethical principles and values of international, national and scientific standards.

B3.2 Ensure the protection of human participants, animals and the environment and that appropriate safeguards are put in place by the researcher.

B3.3 Include members who are familiar with vulnerable populations when processing research that concerns such groups.

B3.4 Ensure that researchers sign a confidentially agreement covering all materials and intellectual property rights submitted for review.

B3.5 Meet monthly or more frequently if necessary.

B3.6 Communicate review decisions to applicants timeously.

B3.7 Monitor and evaluate ethical compliance of approved research projects and take measures against non-compliance.

B3.8 Require undergraduate research supervisors to submit ethical approval checklists of their undergraduate research to Campus/Faculty/Centre Research Committees for monitoring.

B3.9 Submit monthly Reports to the Director: CRP, who shall provide the PVC: RID with quarterly UREC reports.

B3.10 Communicate to the PVC: RID Forum on matters concerning their mandate for notification or action, if needed.

B3.11 Independent advisors/consultants may be invited to the UREC meetings to provide advice.

B3.12 All UREC members, including independent advisors/consultants will sign the applicable confidentiality agreement.

B3.13 Each UREC shall appoint its own Chairperson during its first meeting.

B3.14 In the event that a conflict of interest arises with respect to a member of UREC, such member should withdraw from the meeting. This conflict should be communicated

by such member to the Chairperson of the committee, who in such an instance may co-opt another person to participate in the decision-making.

B3.15 The Term of Service for UREC members shall be four (4) years, renewable once.

B4. MANDATE OF THE URECs:

The mandate of the URECs shall be to:

B4.1 Apply and act in accordance with the UNAM Research Ethics Policy, Regulations and Guidelines in the ethical review process.

B4.2 Review the ethical compliance of all research falling under their thematic areas with reference to all prescribed ethical principles and values in these guidelines.

B4.3 Approve or disapprove research projects submitted for ethical clearance.

B4.4 Provide recommendations to applicants on the ethical compliance of their research.

B4.5 Monitor and evaluate ethical compliance of research and take measures against non-compliance.

B4.6 Report all decisions of ethical review and matters of interest to the Director: CRP for consideration and action if needed. Decisions taken will be communicated to the respective researchers.

C. REVIEW AND APPROVAL OF ETHICAL CLEARANCE APPLICATIONS

In order to approve a research, the respective UREC shall determine whether the following requirements have been met:

C.1 Risks to participants are minimized by using procedures which are consistent with sound research design and which do not necessarily expose participants to risk; and whenever appropriate, by using procedures already being performed on the participants for diagnostic or treatment purposes.

C.2 Risks to participants are reasonable in relation to anticipated benefits.

C.3 Selection of participants is equitable.

C.4 That informed consent will be sought from each prospective participant or the participant's legally authorized representative.

C.5 That informed consent will be appropriately documented.

C.6 Where appropriate, the research plan makes adequate provision for monitoring the data collected to ensure the safety of participants.

C.7 Where appropriate, there are adequate provisions to protect the privacy of participants and maintain the confidentiality of data.

C.8 When some or all of the participants are likely to be vulnerable to coercion or undue influence, such as children, prisoners, pregnant women, mentally disabled persons,

or economically/educationally disadvantaged persons, additional safeguards have been included in the study to protect the rights and welfare of those participant.

C1. TYPES OF ETHICAL REVIEWS

The following ethical review processes are available at UNAM:

C1.1 Full Ethical Review

A Full Ethical Review includes all postgraduate and postdoctoral research involving humans, animals (tissue, bodily fluids); fauna and flora (plant materials); the environment and engineering. This embraces research involving:

C1.1.1 Vulnerable and marginalized populations: children, institutionalized persons, the aged, and persons living with HIV and AIDS.

C1.1.2 Sensitive and controversial issues (cultural, social, legal, sexual preferences, etc.), as determined by the UREC.

C1.1.3 Experimental drugs or devices.

C1.1.4 Invasive procedures, animal studies and studies that may pose risks to the environment.

C1.1.5 Documents required for Full Ethical Review:

- C.1.1.5.1 UREC Application Form (Annex 1);
- C.1.1.5.2 Investigator's Declaration Form (Annex 2);
- C.1.1.5.3 Protocol (Annex 3), if applicable
- C.1.1.5.4 Checklist (Annex 4);
- C.1.1.5.5 A full proposal;
- C.1.1.5.6 A detailed Participant Information Sheet (where applicable) together with the Informed Consent Form (Annex 5);
- C.1.1.5.7 The research instrument (questionnaire; research questions, etc.);
- C.1.1.5.8 Application for Ethics Review of Research Involving Human and Animal Tissue and Bodily Fluids; and Plant Material (Annex 6);
- C.1.1.5.9 All relevant documents such as MOUs, Budgets and others, where applicable.

C1.2 Expedited Review

Expedited reviews must be undertaken by at least three members of the UREC who shall provide a written assessment and approval thereof. The Chairperson, together with two additional members will grant approval for the Expedited Review. The researcher must

specify in a letter why an Expedited Review is necessary. The Expedited Review must be completed within 10 days of receipt of application.

Ethical clearance may be expedited subject to the following:

C1.2.1 The application is a replication of a proposal that was approved by the UREC previously.

C1.2.2 The recommendation of an initial Full Ethical Review allows for an Expedited Review after recommendations were satisfactorily executed.

C1.2.3 All research that does not include humans, animals or the environment may be subjected to Expedited Review.

C1.2.4 The research is part of a wider project for which ethical clearance has been obtained from UREC by the Principal Investigator (PI).

C1.2.5 A previously approved proposal that has been resubmitted for ethical review as a result of changes to the original protocol.

C1.3 Exempted Review

Some research proposals will be exempted from ethical review if such proposals involve secondary data analysis and/or do not involve human or animal participants. In order to qualify for Exempted Review, the research must not pose more than minimal risk.

Minimum risk is the probability of physical, emotional or psychological harm that is normally encountered in the routine interaction with the environment, tissues and human samples, vulnerable people such as students, patients and people with disabilities, elderly people, veterans, children and marginalized communities.

Research that involves analysis of texts such as records in the public domain, literary works (e.g. fiction), speeches and other forms of texts that may be used for linguistic, literary or rhetorical criticism will be exempted from ethical clearance. Researchers whose proposals qualify for Exempted Review shall only need to notify the CRP on the nature of their study. This notwithstanding, investigators must demonstrate that their work will not violate intellectual property rights, will avoid plagiarism and must explain why their proposals should not be subjected to ethical review.

C.1.4 Undergraduate Research Review

All undergraduate research (including Honours degrees and other Level 8 qualifications) should be reviewed for scientific merit and ethical compliance by individual supervisors/lecturers of students at the departmental level, except when the project is part of a bigger project that has already been reviewed. Undergraduates must ensure that they

understand and apply the Research Ethics Guidelines. These reviews will be guided by a uniform UNAM review checklist provided by the CRP and will be monitored by the relevant Research Committees within Campuses, Faculties and Centres. Undergraduate research must not violate intellectual property rights and plagiarism rules. Undergraduate Research Review is only applicable when:

C1.4.1 The research is part of an undergraduate course offered by UNAM.

C1.4.2 The research does not pose more than minimum risk (as defined in section C.1.3).

C1.5 Researchers from Other Institutions who are not UNAM staff or Students

Researchers from other institutions who wish to conduct research at UNAM will need to apply to the Director: Centre for Research and Publications (CRP) for permission to undertake their research. The Director: CRP may grant permission to undertake research at UNAM following the University's decision-making structures. The application for permission to conduct research must be accompanied by the following:

C1.5.1 Letter of application.

C1.5.2 A full proposal.

C1.5.3 A detailed Participant Information Sheet (where applicable), together with the Informed Consent Form.

C1.5.4 The research instruments (questionnaire; research questions, etc.).

C1.5.5 All documents indicating ethical approval from other institutions, research collaborations e.g. MOUs, Sponsorship agreements, Protocol Budgets, Institutional Ethical Clearance, Research Permits, Work Permits as well as all other relevant documentation (where applicable).

C1.5.6 Where ethical approval from other institutions is not available, the researcher must apply for ethical clearance from the appropriate UREC at UNAM.

D. ADMINISTRATIVE FEES ON RESEARCH

The CRP shall levy Administrative Fees on all research not executed by UNAM staff or students. This shall include externally funded research projects and external researchers undertaking research at UNAM. The Administrative Fee shall be calculated at **15%** to **20%** of the total project budget depending on the complexity of the project. Administrative Fees cover expenses for administration, monitoring and evaluation of ethical compliance of projects; UREC training and conference attendance in research ethics matters, getting a layperson/person of interest representation in URECs as well as consultants when needed on URECs. Researchers who write proposals to be funded externally should therefore include a UNAM Administrative Fee as part of their budgets.

E. RESEARCH ETHICS TRAINING OF STAFF MEMBERS

UNAM staff members doing research shall require initial and continued educational opportunities regarding research ethical reviews related to human participants, fauna and flora, engineering and the environment. The educational opportunities shall also target UREC members. Capacity-building for the URECs may include, but is not limited to the following activities:

E1. Establishing and strengthening independent and competent ethical review processes/committees.

E2. Strengthening research capacity.

E3. Developing technologies appropriate to research.

E4. Educating the community from which research participants will be drawn.

F. SUBMITTING AN APPLICATION FOR ETHICAL REVIEW

F1. REQUIRED DOCUMENTATION

The following documents should be prepared and submitted. All the relevant application forms/annexes are available on the UNAM Intranet.

F1.1 The resolution and resolution number of the relevant Campus/Faculty/School/Centre Research Committee as per the UNAM Research Policy.

F1.2 Signed application form (Annex1).

F1.3 Investigators Declaration (Annex 2).

F1.4 Proposal Synopsis (Annex 3).

F1.5 Checklist (Annex 4).

F1.6 Participant Information Leaflet and consent Form (Annex 5).

F1.7 Application for Ethics Review of Research Involving Human Tissue and Bodily Fluids (Annex 6).

F1.8 Questionnaires, diary cards, and/or case report forms intended for research participants (where applicable).

F1.9 Investigator(s)'s updated, signed and dated curriculum vitae (CV).

F1.10 Materials to be used (including advertisements) for the recruitment of potential research participants.

F1.11 Written and other forms of information for potential research participants (clearly identified and dated) in the language(s) understood by the potential research participants. Translations must be verified by a competent person in the vernacular.

F1.12 All other supporting documentation as indicated in Annex 4.

F1.13 A summary of all previous decisions (e.g. those leading to a negative decision or modified proposal) by other URECs or regulatory authorities for the proposed study (whether in the same location or elsewhere) and an indication of modification(s) to the proposal made on that account. The reasons for previous negative decisions must be provided.

F1.14 All relevant prescribed permits and access benefit agreements with communities must accompany the application.

F1.15 Any additional information specific to the project, as may be required by the UREC.

F2. APPLICATION PROCEDURE

All applications for ethical clearance should be submitted according to the following procedure:

F2.1 The Chairperson of the relevant Campus/Faculty/School/Centre Research Committee (as per the Research Policy) shall submit electronic applications for ethical clearance for all projects approved by the Committee to the CRP at least 14 days prior to scheduled UREC meeting dates as specified in the UNAM daily calendar.

F2.2 All applications must be in the English language.

F2.3 Applicants may be expected to clarify issues in person on request of the UREC.

F2.4 Incomplete applications will not be accepted and will be referred back.

F3. THE TURN-AROUND TIME OF APPLICATIONS FOR ETHICAL CLEARANCE

F3.1 Applications for ethical clearance shall have a turnaround time of not more than one month.

F3.2 The UREC members must review submitted documents at least one week (using a checklist) before a scheduled meeting. Individual members of the UREC may request supplementary documentation from applicants and will communicate these to the applicants.

F3.3 All correctly completed application forms received by the CPR prior to the mentioned date will be considered and the outcome will be communicated electronically within a week of the UREC meeting date.

F4. REVIEW PROCESS

All properly submitted applications will be reviewed in a timely fashion and according to an established review procedure. The UREC Meeting requirements are as follows:

F4.1 The different URECs shall meet at least once a month as indicated in the UNAM Calendar.

F4.2 Quorum: In case of a Full Ethics Review, at least three members of the constituted committee will form a quorum.

F4.3 UREC members should receive relevant documentation of the Review Meeting at least seven days in advance.

F4.4 Minutes of proceedings of UREC meetings must be taken and there should be an approval procedure for the minutes.

F4.5 Minutes of meetings will be safely kept according to UNAM procedures.

F4.6 The applicant may be invited to present the proposal or elaborate on specific issues.

F5. DECISION-MAKING

In making decisions on applications, the UREC should take the following into consideration:

F5.1 URECs must have sufficient time to discuss and make decisions on application for ethical clearance of research projects.

F5.2 Decisions should be determined by consensus.

F5.3 Only substantive Members will partake in decision making.

F5.4 The outcome of an ethical review must be communicated to the applicant within one week.

F6. COMMUNICATING A DECISION

The UREC Chairperson shall communicate the decision to the applicant, copied to Director: CRP. This communication shall include the following:

F6.1 The names of the applicants and exact title of the research proposal reviewed.

F6.2 The clear identification of the proposal for research or amendment, date and version number (if applicable) on which the decision is based.

F6.3 A clear statement of the decision reached and any other information as needed.

F6.4 Signature of the Chairperson (or other authorized person).

F6.5.1 Non-approval of an ethical review application will be accompanied by an explanation of the reasons for such non-approval.

F6.5.2 In case of conditional approval of an ethical review, the applicant will be provided with clear suggestions for revision of the project/application as well as the re-application procedure.

F7. APPEAL PROCEDURES

F7.1 The applicant may appeal to the CRP a negative decision pertaining to the application.

F7.2 The CRP will appoint an appeal review committee that may include members of the initial UREC.

F7.3 The applicant shall provide reasons for the appeal in writing to the CRP, and present the case in person at the appeal committee.

F7.4 The outcome of the appeal committee shall be final and binding

F8. FOLLOW-UP PROCEDURES

The CRP should establish a follow-up procedure to track the progress of all studies for which a positive decision has been reached, from the time the decision was taken until the termination of the research. The ongoing lines of communication between the CRP and the applicant should be clearly specified. The follow-up procedure should take the following into consideration:

F8.1 the quorum requirements, the review procedure, and the communication procedure for follow-up reviews, which may vary from the requirements and procedures for the initial decision on an application;

F8.2 the follow-up review intervals should be determined by the nature and the events of research projects, although each protocol should undergo a follow-up review at least once a year;

F8.3 The following events require the follow-up review of a study:

F8.3.1 Any protocol amendment likely to affect the rights, safety, and/or well-being of the research participants or the conduct of the study;

F8.3.2 Serious and unexpected adverse events related to the conduct of the study or study product, and the response of investigators, sponsors, and regulatory agencies;

F8.3.3 Any event or new information that may affect the benefit/risk ratio of the study.

F8.3.4 The decision of a follow-up review should be issued and communicated to the applicant, indicating a modification, suspension, or termination of the UREC's original decision or confirmation that the decision is still valid;

F8.3.5 In the case of the premature suspension/termination of a study, the applicant should notify the UREC of the reasons for suspension/termination; a summary of results obtained in a study prematurely suspended/terminated should be communicated to the UREC;

F8.3.6 The UREC should receive notification from the applicant at the time of the completion of a study.

F8.4. The UREC should receive a copy of the final report of the study.

G. RESEARCH INVOLVING HUMAN PARTICIPANTS

Research on human participants is ethically justified by the prospect of discovering new techniques and materials that benefit society. Such research can be ethically justifiable only if it is undertaken in ways that respect, protect and with due care to the participant of that research and are morally acceptable within the communities in which the research is undertaken. Moreover, because scientifically invalid research is unethical in that it exposes research participants to risks without possible benefits, investigators and sponsors must ensure that proposed studies involving human participants conform to generally acceptable scientific principles, based on adequate knowledge of the pertinent scientific literature.

G1. INFORMED CONSENT

For all research involving human subjects, the investigator must obtain the voluntary informed consent of the prospective participant. In the case of an individual who is not capable of giving informed consent, the permission of a legally authorized representative

should be obtained. The UREC members should consider the following in relation to informed consent:

G1.1 Process;

G1.2 Language;

G1.3 Comprehension;

G1.4 Documentation of information to the participant and consent;

G1.5 Renewing consent;

G1.6 Cultural considerations;

G1.7 Consent to use biological materials (including genetic materials) for research purposes from those participating in clinical trials;

G1.8 Consent to use medical records and biological specimens;

G1.9 Consent to use secondary research or biological specimens;

G1.10 Specification of obligations of sponsors and investigators;

G1.11 Specification of incentives to participate in the study;

G1.12 Assent in the case of children and persons with diminished capabilities.

G2. BENEFITS AND RISKS

For all research involving human participants, the investigator must ensure that potential benefits and risks are reasonably balanced and risks are minimized. Rigorous statistical analysis of proposals is required for all investigations and approval will hinge on proof of statistical review.

G2.1 Interventions or procedures that hold out the prospect of direct diagnostic, therapeutic or preventive benefit for the individual participant must be justified by the expectation that they will be at least as advantageous to the individual participant, in the light of foreseeable risks and benefits, as any available alternative. Risks of such 'beneficial' interventions or procedures must be justified in relation to expected benefits to the individual participant.

G2.2 Risks of interventions that do not hold out the prospect of direct diagnostic, therapeutic or preventive benefit for the individual must be justified in relation to the expected benefit to society (generalizable knowledge). The risks presented by such interventions must be reasonable in relation to the importance of the knowledge to be gained.

G3. RESEARCH INVOLVING POPULATIONS AND COMMUNITIES WITH LIMITED RESOURCES

Before undertaking research in a population or community with limited resources, the sponsor and the researcher must make every effort to ensure that:

G3.1 Groups or communities to be invited as participants in research are selected in such a manner that benefits of the research are equitably distributed with the community.

G3.2 The research is responsive to the health needs and the priorities of the population or community in which it is to be undertaken.

G3.3 Any intervention or product developed, or knowledge generated, will reasonably be made available for the benefits of that population or community.

G3.4 In principal, special justification for inviting vulnerable individuals to serve as research participants is provided, and if such individuals are selected, the means of protecting their rights and welfare are strictly applied.

G4. RESEARCH INVOLVING CHILDREN

Before undertaking research involving children, the investigator must ensure that:

G4.1 A parent or legal representative of each child has given permission;

G4.2 The consent of each child has been obtained to the extent of the child's capabilities;

G4.3 A child's refusal to participate or continue in the research shall be respected.

G5. RESEARCH INVOLVING INDIVIDUALS WITH MENTAL OR BEHAVIOURAL DISORDERS

Before undertaking research involving individuals with mental or behavioral disorders, the investigator must ensure that:

G5.1 Such persons will not be participants of research that might equally well be undertaken on persons whose capacity to give adequately informed consent is not impaired.

G5.2 The purpose of the research is to obtain knowledge relevant to the particular health needs of persons with mental or behavioral disorders.

G5.3 The consent of each participant has been obtained to the extent of that person's capabilities, and a prospective participant's refusal to participate in research shall always be respected, unless in exceptional circumstances.

G5.4 In cases where prospective participants lack the capacity to consent, permission is obtained from a responsible family member or a legally authorized representative in accordance with the applicable law.

G6. RESEARCH INVOLVING WOMEN

Investigators, sponsors or UREC should not exclude women of reproductive age from biomedical research. The potential for becoming pregnant during a study should not, in itself, be used as a reason for precluding or limiting participation. However, a thorough discussion of the risks to the pregnant woman and to her fetus is a prerequisite for the woman's ability to make a rational decision to enroll in a clinical study. In this discussion, if participation in the research might be hazardous to a fetus and if a woman becomes pregnant, the sponsors/investigators should guarantee the prospective participant a pregnancy test and access to effective contraceptive methods if not pregnant, before the research commences. Where such access is not possible, for legal or religious reasons, investigators should not recruit such women who might become pregnant to avoid possible hazardous research.

Pregnant women should be presumed to be eligible for participation in research. Investigators and UREC should ensure that prospective participants who are pregnant are adequately informed about the risks and benefits to themselves, their pregnancies, the fetus and their subsequent offspring, and to their fertility. Research in this population should be performed only if it is relevant.

G7. RESEARCH INVOLVING THE USE OF HUMAN TISSUE AND OTHER HUMAN SAMPLES

The research must indicate any known or potential benefits to the scientific community and/or humans from the study, as well as explain what new information is expected from the research, and its anticipated value. The research must identify what type of human tissue and human samples will be collected, and describe:

G7.1 How the samples will be stored;

G7.2 What universal precautions for handling the human tissue/human samples will be followed;

G7.3 The procedures or safeguards in place for each type of human tissue and human sample, and procedures that will be used in this study to protect persons working with these;

G7.4 How long the samples will be stored;

G7.5 Who will have access to the samples for future use;

G7.6 How samples will be disposed of upon completion of the study;

G7.7 Justification for banking the human tissue;

G7.8 If the research is a multi-centered study;

G7.8.1 The study details, indicating the source/supplier for each type of human tissue or human samples to be used;

G7.8.2 Where will the human tissue /human samples be used (location);

G7.8.3 Has the protocol been submitted to another REC/IRB;

G7.8.4 Indicate the procedures to be completed on each type of human tissue or human samples;

G7.8.5 Whether a written informed consent was obtained for the use of the human tissue or human samples;

G7.8.6 How anonymity of participants and confidentiality of data will be ensured, and describe the procedures to ensure security of data;

G7.8.7 What type of record-keeping will be employed (paper records/electronic records).

G8. CHOICE OF CONTROL IN CLINICAL TRIALS

As a general rule, research participants in the control group of a trial of a diagnostic, therapeutic, or preventive intervention should receive an established effective intervention. In some circumstances it may be ethically acceptable to use an alternative comparator, such as placebo or “no treatment”. In non-therapeutic/quasi-experimental research a control group must also receive the intervention withheld from them during the research project, after completion of the project.

Placebo may be used:

G8.1 When there is no established effective intervention.

G8.2 When withholding an established effective intervention would expose participants to, at most, temporary discomfort or delay in relief of symptoms.

G8.3 When use of an established effective intervention as comparator would not yield scientifically reliable results and use of placebo would not hold any risk of serious or irreversible harm to the participants.

G9. FINANCIAL INTEREST/CONFLICT OF INTEREST

Researchers should disclose all actual, potential or perceived conflicts of interest which may interfere with their objectivity. Researchers should conduct research according to established national and international laws and guidelines. Researchers should demonstrate the potential contribution of the proposed research to either scientific knowledge, students’ skills or to society at large.

G10. COLLABORATIVE RESEARCH, AUTHORSHIP AND INTELLECTUAL PROPERTY RIGHT

Collaborative research projects must be submitted for ethical clearance as stipulated in these guidelines. Sub-themes in collaborative research will undergo separate ethics review. Ethical clearance of collaborative projects may qualify for expedited review as stipulated in these guidelines.

Authorship and intellectual property rights must be clarified between collaborating research institutions and be stipulated in a MoU or Agreement/Contract. This MoU or Agreement/ Contract must be included in the documents needed for ethical clearance.

H. RESEARCH ON ANIMALS, ENVIRONMENT AND ENGINEERING

H1. PROTECTION OF ANIMALS

H1.1 Permission

All researchers who wish to conduct research or perform teaching projects/practical exercises that involve the use of live animals must apply for a permit from the Ministry of Environment and Tourism and produce proof of such a permit to the Ethics Committee of the University *before* research commences. This includes the use of animals in research, teaching, field trials, product testing, diagnosis, the production of biological products and environmental studies.

Projects involving animals may only commence with approval in writing from the Ethics Committee. The validity period of such approvals, including extensions is 36 months. Extensions of this period may be granted by the Ethics Committee. Each request for an extension will be judged on its own merits. The extension request must be submitted to the Ethics Committee in writing.

H1.2 Biosafety

If the project involves the use of recombinant DNA, potential pathogens, radioactive isotopes or other hazardous substances, the project needs clearance from the National Biosafety Council, or the Office of the Environmental Commissioner. Proof of clearance should be provided to the relevant UREC before commencement of the project.

H1.3 Re-use of Animals:

Individual animals may not be used in more than one scientific activity, either in the same or different projects, without the approval of the Ethics Committee. However, appropriate re-use of animals may reduce the total number of animals used in a project, result in better experimental design, reduce distress or avoid pain to other animals. When considering approval for the re-use of animals, the Ethics Committee must take into account:

H1.3.1 the pain or distress and any potential long-term accumulative effects caused by any previous procedures;

H1.3.2 the total time that an animal will be used;

H1.3.3 the pain or distress likely to be caused by the next and subsequent procedures;

H1.3.4 whether an animal has fully recovered from the previous procedure before being used in the next procedure.

H1.4 Release and re-homing of animals:

The Ethics Committee with the aid of a veterinarian or environmental officer can assess the suitability of animals for re-homing or release into the wild. The Ministry of Environment and Tourism should also be contacted in case animals need to be re-homed or released.

H1.5 Unexpected deaths of animals and adverse events:

The Ethics Committee and the Ministry of Environment and Tourism must be notified in writing of any unexpected deaths or adverse events within 72 hours.

H1.6 Monitoring and inspection of animals and animal facilities:

The Animal Ethics Committee or an officer designated by that Committee may inspect any animal facility at any time by prior arrangement with the Principal Investigator. It is recommended that researchers make themselves available to the Committee during the inspections so that they may discuss their work with the Committee. The approval number for a protocol must be displayed prominently on each cage/aviary/area in which animals are held and on the appropriate notice board within the facility containing these animals.

H.2 PROTECTION OF THE ENVIRONMENT

H2.1 Requirements:

The fauna and flora of Namibia must be protected during all research projects. Due care must be displayed when performing research in public and communal environments and the necessary permission must be obtained before research commences in such environments.

H2.2 Field work and the environment:

For studies that involve field work, but no collection of animals, plants or other artefacts, researchers should perform their field work with the greatest care and respect for the environment.

H3. ENGINEERING RESEARCH

Engineering research focuses on practical fields of design, manufacture or construction of machines, engines, equipment, appliances, electro-mechanical devices, nano-devices,

sensors, structures, buildings, infrastructure, transport systems, vehicles, communication systems, electrical power transmission systems, mining operations, mineral processing, materials processing, bio-engineering, artificial intelligence, robotics etc. Information Technology research involves activities such as computing, high-speed computation, micro-processors, cable and fiber communication, wireless communication and distributed networks. In the design and execution of such research projects, due consideration must be given to the protection of persons, animals, plants and the environment.

H4. HUMAN EMBRYONIC STEM CELL RESEARCH

The goals of stem cell research are widely accepted in the biomedical research community and endorsed by diverse scientific societies worldwide. Long-term goals of stem cell research include improvements in human health and the relief of disease, infirmity, and human suffering through advances in knowledge and new clinical tools.

There are, however, scientific, socio-cultural, religious, ethical and legal issues in human stem cell research and the UREC will adopt the guidelines prepared by the International Society for Stem Cell Research in the review, and approval of Human Embryonic Stem Cell research at UNAM.

H5. RESEARCH INVOLVING BIOHAZARDOUS MATERIALS

To ensure safe research activities that involve the use of hazardous materials, UREC approval must be obtained. Research must be conducted safely and in accordance with applicable national laws and UNAM's regulations and best practices.

Biohazardous materials (biological, chemical, radioactive) may include bacteria, viruses, plasmids, cell-lines, recombinant DNA, human (or primate) body fluids (including blood) and all forms of penetrating radiation.

Ethical review and approval must ensure research is carried out in a way that prevents accidents and minimizes exposure to hazardous agents and conditions, prevents degradation of the environment through responsible waste management and active waste reduction, conserve resources and minimizes losses, and achieves regulatory compliance.

I. DATA MANAGEMENT AND STORAGE

I1. The research data management plan which explains how research data will be handled during and after the completion of the research project must be explained and shared with the research participants beforehand.

I2. In cases where a researcher intends to re-use existing data owned by another researcher, the researcher has to comply with the intellectual property rights, copy

right and licensing conditions associated with that data. The researcher is also required to obtain permission to re-use data, clarify the research data's ownership when necessary and always provide appropriate attribution and citation.

I3. The research data must be stored for a period of five years after which is discarded following acceptable environmental standard

J. ACKNOWLEDGEMENTS

The University of Namibia acknowledges that the above guidelines were developed by using ideas and provisions from the following documentation:

J1. Declaration of Helsinki

J2. Belmont Report

J3. National Institute of Health (NIH) Guidelines for the Conduct of Research Involving Human Subjects

J4. World Health Organization (WHO) Operational Guidelines for Ethics Committees that Review Biomedical Research

J5. Council for International Organizations of Medical Sciences (CIOMS) International Ethical Guidelines for Biomedical Research Involving Human Subjects.

J6. ICH Good Clinical Practice Guidelines

K. ANNEXES

The following annexes are included:

K1 Application form (ANNEX 1)

K2 Investigator's Declaration Form (ANNEX 2)

K3 Synopsis Protocol (ANNEX 3)

K4 Applicant's Checklist (ANNEX 4)

K5 Participant Information Leaflet and Consent Form (ANNEX 5)

K6 Application for Ethics Review of Research Involving Human and Animal Tissue and Bodily Fluids; and Plant Material (ANNEX 6)

ANNEXES

ANNEX 1

APPLICATION FORM

UREC NUMBER: (For Official Use)

Original UREC Trails Application Forms must be made available to the Centre for Research and Publications upon request

SECTION 1: DETAILS OF APPLICANT/PRINCIPAL INVESTIGATOR		
Title, First name, Surname:	**Staff/Student number:**	***PROJECT ID NUMBER (Official Use)***
Professional Status:		
University DIVISION:		
University DEPARTMENT:		
Complete Postal Address:		
Telephone No:	**E-mail address:**	
Registration with MOHSS* ☐ Yes ☐ No x	**Registration #:**	
Note: • *or equivalent statutory health council registration no. as appropriate* • *if registration is pending, submit proof of application* • *if a non-medically trained PI is overseeing research which involves medical procedures, the application must include a medical doctor registered with the MOHSS as a co-investigator*		
SECTION 2: TITLE OF STUDY		
Title of Research Project:		
Sponsor's Protocol No. (if applicable):		
Sponsor's Details (if applicable):		
Is this a sub-study (new research question) linked to an existing/main study? ☐ Yes ☐ No		**If yes, HREC #:**

SECTION 3: STUDY FOR DEGREE PURPOSES	☐ Yes ☐ No	**Undergraduate** ☐	**Postgraduate** ☐
Name of Degree:		**Supervisor:**	
Division:			
Department:		**E-mail:**	

SECTION 4: DETAILS OF COLLABORATING INVESTIGATORS		
Name and Title	**Position and role**	**Division AND Department**
1.		
2.		
3.		
4.		

SECTION 5: DETAILS OF SUB-INVESTIGATORS		
Name and Title	**Position and role**	**Division AND Department**
1.		
2.		
3.		

SECTION 6: WHERE WILL THE STUDY BE CONDUCTED?	
1. Windhoek Central Hospital	
2. Oshakati Hospital	
3. ……. Hospital	
4. Faculty of Medicine and Health Sciences	
5. Other: please list	

SECTION 7: HUMAN SUBJECTS RESEARCH PROTECTION	
1. Does the research involve human subjects who are alive?	☐Yes
Dead (includes identifiable tissues specimens)?	☐Yes
Medical records only?	☐ Yes ☐
Students, staff or alumni of the University of Namibia	☐Yes ☐
2. Will any medicine be tested during the investigation?	☐Yes ☐
2.1 If Yes to question 2, is the medicine approved by the Medicines Control Council?	☐ Yes ☐
2.2 If Yes to question 2.1, is the medicine registered for the dose which will be used in this specific project?	☐ Yes ☐ No
2.3 If Yes to question 2.1, is the medicine registered for the indication(s) which will be used in this specific project?	☐ Yes ☐ No
2.4 If No to question 2.1, is the medicine approved by the Medicines Control Council for your use in this specific project?	☐ Yes ☐ No
2.5 If No to question 2.2 and/or 2.3, is the medicine approved by the Medicines Control Council for your use in this specific project?	☐ Yes ☐ No
3. Will any radioactive material be administered to the patient during the	☐Yes ☐
4. Is any biohazardous material (*) involved in the project? (*) *"Biohazardous material" refers to recombinant DNA molecules, viruses, fungi, parasites, bacteria and all other potentially biohazardous material or products that are dangerous to both the*	☐Yes ☐ No

experimental patient and the researcher.	

SECTION 8: RESEARCH WITH CHILDREN	
1. Does your research involve children? *(A child is defined as a person younger than*	☐Yes
If No, please continue to section 9	
If Yes, please specify the age range of potential child	

1.1 Indicate whether the child research is *Therapeutic* or *Non-therapeutic* *(Please check [✓] the appropriate box below and provide a brief justification)*	
1.1.1 **Therapeutic research** = Interventions that hold out the prospect of direct health-related benefit for the child participant; OR	
1.1.2 **Non-therapeutic research =** Interventions that do not hold out the prospect of direct health-related benefit for the child participant but results may be produced that significantly contribute to generalisable knowledge about the child participant's condition.	
1.1.3 Brief justification:	

1.2 Indicate which risk category is applicable to your research involving children (Please check [✓] the appropriate box below and provide a brief justification)	
1.2.1 "The research poses no more than minimal risk to the child (that is, the risk commensurate with daily life or routine medical or psychological examinations – referred to as 'negligible risk' in some guidelines).	
1.2.2 The research poses more than minimal risk but holds out the prospect of direct benefit for the child participant.	
1.2.3 The research poses a minor increase over minimal risk, with no prospect of direct benefit to the child participant, but will likely yield generalisable knowledge about the condition under study.	
1.2.4 The research does not meet the conditions for the risk categories above but presents a reasonable opportunity to further the understanding, prevention, or alleviation of a serious problem affecting the health or welfare of children.	
1.2.5 Brief justification:	

1.3 This research is essential research for children and presents a reasonable opportunity to further the understanding, prevention, or alleviation of a serious problem affecting the health or welfare of children.	☐ Yes ☐ No

SECTION 9: STUDY TYPE			
1. Industry Sponsored Clinical Trial		**2. Self Initiated Clinical Trial**	
3. Retrospective Record Review		**4. Laboratory-Based Research**	
5. Qualitative Research		**6. Prospective Descriptive Study**	
7. Other		**Please state type if 'Other':**	

SECTION 10: HOW IS THIS RESEARCH FUNDED? *(State approximate total budget)*			
1. Industry	**N$**	**2. NIH/US government funded research , etc.**	**N$**

3. Other international grant funded research (e.g. Wellcome Trust)	**N$**	**4. National grant funded research (e.g. NCRST, etc.)**	**N$**
5. Harry Crossley funded research	**N$**	**6. Research funded solely from UNAM URPC budget**	**N$**
7. Self funded research	**N$**	**8. Non-sponsored student research for degree purposes at the University of Namibia**	

SECTION 11: DISCLOSURES

1. Have you acquainted yourself with the code of conduct regarding the ethics of research at this Institution and do you undertake to fully comply with it at all times?	☐Yes ☐ No
2. Has this study been, or is it likely to be, submitted to any other Research Ethics Committee?	☐ Yes ☐ No
2.1 If yes, please name the Committee(s) and provide outcome, i.e. approved/rejected. *(If approved, attach approval letter)*	
3. Has the Principal investigator or any of the co-investigators previously been/or are presently being investigated for alleged research misconduct?	☐ Yes ☐No
3.1 If yes, please provide details and dates	
4. Are any of your intended research participants in other research studies and/or trials?	☐ Yes ☐ No
4.1 If yes, please provide details	
5. Are you presently a Principal Investigator (PI) in other research and/or clinical trial activities?	☐ Yes ☐ No
5.1 If yes, please provide details and % of your time allocated to each	
6. Have you completed a Payment instruction form: Health/Human or Payment instruction form: Clinical trial AND attached proof of payment to this application (Health/Human research)?	☐ Yes ☐No
7. Does this protocol comply with the Helsinki Declaration of 2013? *(See http://www.wma.net/en/30publications/10policies/b3/)*	☐ Yes ☐ No
7.1 If no, please explain with full justification	
8. Does the protocol provide insurance for research-related adverse events?	☐ Yes ☐ No
8.1 If yes, please describe:	

8.2 If no, please justify:	
8.3 Is there provision for insurance?	☐ Yes ☐ No
8.4 If no, please justify:	
9. Does the project involve the use of diagnostic test results (e.g. those obtained by imaging or by laboratory testing)?	☐ Yes ☐ No
9.1 If yes, has the applicant consulted a professional from a relevant diagnostic discipline (e.g. radiology or pathology, as applicable)?	☐ Yes ☐ No
9.2 Please provide the name, position, and discipline of person consulted:	

SECTION 12: SIGNING OF APPLICATION		
Applicant	**Supervisor** *(only for student research)*	**Head of Division**
…… Print name …… Signature …… Date	…… Print name …… Signature …… Date	…… Print name …… Signature …… Date

ANNEX 2

INVESTIGATOR'S DECLARATION

UREC NUMBER: (Official Use)

The Principal Investigator, Supervisor, as well as all Sub-and Co-Investigators must each sign a separate declaration

SECTION 1: INVESTIGATOR'S DETAILS AND ROLE IN THIS RESEARCH (For Official Use)				
Title: First Name, Surname:		**Staff/Student #**		**CRP Project #**
Professional Status:				
Faculty/Department/Division:				
Telephone No:		**E-mail:**		
Role (mark with x)	☐ **Principal Investigator**	☐ **Co-Investigator**	☐ **Sub-Investigator**	**Supervisor**

SECTION 2: PROJECT TITLE

SECTION 3: CONFLICT OF INTEREST (OBLIGATORY) PLEASE INDICATE

I, (Title, Full name) …….. declare that:

- I have no financial or non-financial interests, which may inappropriately influence me in the conduct of this research study; OR
- I do have the following financial or other competing interests with respect to this project, which may present a potential conflict of interest (attach a separate detailed statement).

Signature…… Date……...

SECTION 4: DECLARATION (OBLIGATORY)

I, (Title, Full Name) ……. declare that:

- **I have read through the submitted version of the research protocol and all supporting documents and I am satisfied with their contents.**
- I am **suitably qualified and experienced** to perform and/or supervise the above research study.
- I agree to conduct or supervise the described study personally in accordance with the relevant protocol and will only change the protocol after approval by the **UREC,** except when urgently necessary to protect the safety, rights, or welfare of subjects. In such case, I am aware that I should notify the UREC without delay.
- I agree to timeously report to the UREC **serious adverse events** that may occur in the course of the investigation.
- I agree to maintain **adequate and accurate records** and to make those records available for inspection by the appropriate authorized agents when necessary.
- agree to comply with all other requirements regarding the obligations of clinical investigators and all other pertinent

requirements in the Declaration of Helsinki (2013), as well as Namibian and ICH GCP Guidelines and the Ethical Guidelines of MOHSS, as well as applicable regulations pertaining to health research.

- I agree to comply with all regulatory and monitoring requirements of the UREC.
- I agree that I am conversant with the above guidelines.
- I will ensure that every patient (or other involved persons), shall at all times be **treated in a dignified manner and with respect.**
- I will submit all required reports within the stipulated timeframes.

Signature……. Date……

ANNEX 3

PROTOCOL SYNOPSIS

(Not longer than 2 typed pages)

Name:
Staff/Student Number:
Title:

1. **Introduction, Motivation and Literature (1 paragraph)**

2. **Research Questions (1 paragraph)**

3. **Study Objectives/Aims (4 lines)**

4. **Research Methodology (clear, concise and to the point. 5 lines)**

5. **Ethical Considerations (State clearly and how these fit the research context. 4 lines)**

ANNEX 4

CHECKLIST

(To be typed by the applicant and checked by Centre for Research and Publications)

UREC NUMBER: (For Official Use)

PROJECT TITLE:

SECTION 1: CHECKLIST - COMPLETION OF APPLICATION FORM		
Have you completed all the sections in the application form? Please answer yes, no or not applicable in the "applicant column".	**Applicant**	**Admin Office**
	Y / N / NA	**Y / N / NA**
Section 1: Details of Applicant/Principal Investigator		
UNAM staff number		
Faculty		
Department		
Registration with Appropriate Ministry (MOHSS, etc.)		
Registration number (where applicable)		
Section 2: Title of Study		
Is this a sub-study linked to an existing main study?		
Section 3: Study for degree purposes		
Study for degree purposes		
Name of degree		
Supervisor indicated in case of study purposes?		
Section 4: Details of collaborating investigators		
Section 5: Details of sub-investigators		
Section 6: Where will the study be conducted?		
Section 7: Human subjects research protection		
Section 8: Research with children		
Section 9: Study type		
Section 10: Is the research funded?		
Is the approximate total budget stated?		
Have you paid the HREC review fee? (Where applicable)		
Section 11: Disclosure(s) submitted?		
Did you complete ALL questions?		
Have you completed a Payment instruction form: Health/Human or Payment instruction form: Clinical studies AND attached proof of payment to this		

application (Health/Human research)?		
Section 12: Signing of Application		
Applicant Signature		
Supervisor Signature (only for student research)		
HOD Signature		
SECTION 2: CHECKLIST - COMPULSORY DOCUMENTS ATTACHED		
Have you attached the following compulsory documents? Please answer yes, no or not applicable in the "applicant column".	**Applicant** **Y / N / NA**	**Admin Office** **Y / N / NA**
1. Application form		
2. Checklist		
3. Study protocol		
3.1 Page numbers on protocol		
4. Protocol synopsis or summary (not exceeding 2 pages)		
5. Participant Information and Consent Form (ICF)		
6. Investigator CVs and Investigator Declarations attached?		
6.1 Principal Investigator *(insert name)*:		
• **CV attached?** • **Declaration attached?** • **Declaration signed?** • **Conflict of interest signed?**		
6.2 Supervisor (*insert name):* ***[only for student research]***		
• **CV attached?** • **Declaration attached?** • **Declaration signed?** • **Conflict of interest signed?**		
6.3 Sub/Co-Investigator 1 *(insert name):*		
• **CV attached?** • **Declaration attached?** • **Declaration signed?** • **Conflict of interest signed?**		
6.4 Sub/Co-Investigator 2 *(insert name):*		
• **CV attached?** • **Declaration attached?** • **Declaration signed?** • **Conflict of interest signed?**		

6.5 Sub/Co-Investigator 3 ***(insert name):***		
• **CV attached?** • **Declaration attached?** • **Declaration signed?** • **Conflict of interest signed?**		
6.6 Sub/Co-Investigator 4 ***(insert name):***		
• **CV attached?** • **Declaration attached?** • **Declaration signed?** • **Conflict of interest signed?**		
7. Budget		
8. Questionnaires		
9. Other measuring tools/instruments		
10. Recruitment material / Advertisement(s)		
11. MOHSS or other letters of approval to conduct research		
12. Material Transfer Agreement		
13. Proof of payment for UREC review fee (External applications only)		

Section 3: CHECKLIST - INFORMED CONSENT FOR RESEARCH

To be completed by Applicant

Element	**Applicant**
	Y / N / NA
1. That consent is being sought from the participant to participate in research.	
2. Statement of the purpose of the research and where it will be conducted.	
3. The expected duration of the participant's involvement in the research.	
4. The total number of participants that will be involved at this site.	
5. A description of all the processes and procedures to which the participant will be subjected to, emphasizing any experimental procedures that are innovative that have not yet been used in medical practice.	
6. The principal investigator's name and contact details.	
7. Explanation of participant's responsibilities during the research.	
8. Detailed explanation of any randomization process (where applicable).	
9. Circumstances that may result in the project being terminated or the participant being withdrawn.	
10. A description of foreseeable risks and discomforts.	
11. A description of benefits to the participant or others both during and after the research. If there are no expected benefits, the participants must specifically be made aware of this, and this must be reflected on the Informed Consent Form (ICF)	

12. Disclosure of alternative procedures and course of treatments available if applicable	
13. Description of extent to which confidentiality will be maintained and protected.	
14. Statement that sponsors of the study, study monitors or auditors or UREC members may need to inspect research records.	
15. Statement that the Research Ethics Committee has approved the research.	
16. Contact details of the committee (UREC)	
17. Explanation of how research-related injury will be managed and details of insurance if applicable.	
18. Explanation as to whom to contact in the event of research-related injury.	
19. Statement that participation in the study is entirely voluntary.	
20. Participants are free to withdraw at any point without explanation or any negative consequences. Their routine health care will not be adversely affected.	
21. Participants must be informed of their rights to be told any new relevant information that arises during the course of the trial and the ICF should be revised where appropriate to incorporate this information. Revisions must be submitted to the UREC.	
22. The study will be conducted according to the International Declaration of Helsinki and other applicable international ethical codes for research on human participants.	
23. Any expense to which the participant may be liable.	
24. Explanation regarding payment for participation or out of pocket expenses.	
25. Identity of the funder, where applicable and any potential conflict of interests.	
26. Simple, clear language has been used (Maximum Grade 8 reading level) and all medical and technical terms have been explained.	

Section 4. PROTOCOL CHECKLIST *To be completed by Applicant*	
Element	Applicant **Y / N / NA**
1. Does the study have relevance and scientific or clinical value and applicability to the proposed research population?	
2. Does the protocol include an adequate literature review?	
3. Is the selection of subjects equitable and appropriate; adequate consideration and protection of vulnerable research populations.	
4. Is the design and methodology appropriate to answer the research question?	
5. Is the methodology clearly described, in sufficient detail?	
6. Is the statistical analysis plan, including sample size calculations, clearly outlined and justified?	
7. Are the inclusion and exclusion criteria clearly defined and appropriate?	
8. Have risks been minimized and is there an acceptable balance between potential risks and benefits?	
9. Does the PI have the necessary qualifications, expertise, facilities, and time and support staff, to carry out the proposed research?	

10. Has a section on 'Ethical Considerations' been included in the protocol?	
11. Has the informed consent process been clearly explained in the protocol?	
12. Are issues relating to protection of privacy and confidentiality of data adequately addressed, especially if the study involves a retrospective review of clinical records?	
13. Has a waiver of informed consent been requested if the study involves a retrospective review of clinical records?	
14. Does the study involve collection of DNA/RNA and, if so, has consent been adequately sought for this?	

ANNEX 5

PARTICIPANT INFORMATION LEAFLET AND CONSENT FORM

TITLE OF THE RESEARCH PROJECT:

REFERENCE NUMBER:

PRINCIPAL INVESTIGATOR

ADDRESS

CONTACT NUMBER

You are being invited to take part in a research project. Please take some time to read the information presented here, which will explain the details of this project. Please ask the study staff or doctor any questions about any part of this project that you do not fully understand. It is very important that you are fully satisfied that you clearly understand what this research entails and how you could be involved. Also, your participation is **entirely voluntary** and you are free to decline to participate. If you say no, this will not affect you negatively in any way whatsoever. You will also be free to withdraw from the study at any point, even if initially you do agree to take part.

This study has been approved by the Research Ethics Committee at The University of Namibia and will be conducted according to the ethical guidelines and principles of the international Declaration of Helsinki, South African Guidelines for Good Clinical Practice and Namibian National Research Ethics Guidelines.

What is this research study all about?

a) *Where will the study be conducted; are there other sites; total number of participants to be recruited at your site and altogether.*

b) *Explain in participant friendly language what your project aims to do and why you are doing it?*

c) *Explain all procedures.*

d) *Explain any randomization process that may occur.*

e) *Explain any randomization process that may occur.*

f) *Explain the use of any medication, if applicable.*

1. Why have you been invited to participate?

a) *Explain this question clearly.*

2. What will your responsibilities be?

a) *Explain this question clearly.*
b) *Explain how long the participant will be expected to participate in the study (i.e. 2 hours, 4 days, etc.)*

3. Will you benefit from taking part in this research?

a) *Explain all benefits objectively. If there are no personal benefits then indicate who is likely to benefit from this research, e.g. future patients.*

4. Are there in risks involved in your taking part in this research?

a) *Identify any risks objectively.*

5. If you do not agree to take part, what alternatives do you have?

a) Clearly indicate in broad terms what alternative treatment is available and where it can be accessed, if applicable.

6. Who will have access to your medical records?

a) Explain that the information collected will be treated as confidential and protected. If it is used in a publication or thesis, the identity of the participant will remain anonymous. Clearly indicate who will have access to the information.

7. What will happen in the unlikely event of some form of injury is incurred as a direct result of your taking part in this research study?

a) Clarify issues related to insurance cover if applicable. If any pharmaceutical agents are involved will compensation be according to ABPI guidelines? (Association of British Pharmaceutical Industry compensation guidelines for research-related injury which is regarded as the international gold standard). If yes, please include the details here. If no, then explain what compensation will be available and under what conditions.

8. Will you be paid to take part in this study and are there any costs involved?

9. Is there anything else that you should know or do?

a) You should inform your family practitioner or usual doctor that you are taking part in a research study. (Include if applicable).

b) You should also inform your medical insurance company that you are participating in a research study. (Include if applicable).

c) You can contact Dr ……..…….….. at tel …… if you have any further queries or encounter any problems.

d) You can contact the Health Research Ethics Committee **at +264 061 2063061** *if you have any concerns or complaints that have not been adequately addressed by your study doctor.*

e) You will receive a copy of this information and consent form for your own records.

10. Declaration by participant

By signing below, I ……..……. agree to take part in a research study entitled *(insert title of study)*.

I declare that:

a) I have read or had read to me this information and consent form and it is written in a language with which I am fluent and comfortable.

b) I have had a chance to ask questions and all my questions have been adequately answered.

c) I understand that taking part in this study is **voluntary** and I have not been pressurized to take part.

d) I may choose to leave the study at any time and will not be penalized or prejudiced in any way.

e) I may be asked to leave the study before it has finished, if the study doctor or researcher feels it is in my best interests, or if I do not follow the study plan, as agreed to.

Signed at (*place*) .....……. on (*date*) ……..…….. 2005.

…… ……

Signature of participant Signature of witness

11. Declaration by investigator

I *(name)* declare that:

- I explained the information in this document to ……..
- I encouraged him/her to ask questions and took adequate time to answer them.
- I am satisfied that he/she adequately understands all aspects of the research, as discussed above.
- I did/did not use an interpreter. (*If an interpreter is used then the interpreter must sign the declaration below.*

Signed at (*place*) .....……. on (*date*) ……..…….. 20…..

…… ……

Signature of investigator Signature of witness

12. Declaration by interpreter

I *(name)* declare that:

a) I assisted the investigator (*name*) ……. to explain the information in this document to (*name of participant*) ……..…….. using the language medium of (Oshiwambo, Oshiherero, Afrikaans, etc.)

ANNEX 6

APPLICATION FOR ETHICS REVIEW OF RESEARCH INVOLVING HUMAN AND ANIMAL TISSUE AND BODILY FLUIDS AND PLANT MATERIALS

UREC NUMBER: (For Official Use)

Original Human Tissue and Bodily Fluids Forms must be made available to the Centre for Research and Publications upon request

SECTION 1: GENERAL INFORMATION

1. Principal Investigator:	E-mail:
Department:	
2. Co-Investigator:	E-mail:
Department:	
3. Supervisor:	E-mail:
Department:	
4. Student Investigator:	E-mail:
Department:	

5. <u>Project Level</u>

Faculty Research ☐

Post-Doctoral Research ☐

Thesis Research: PhD ☐ MA ☐ MSc ☐

Other: (Specify)

---

6. Funding Status

Is this project funded? Yes ☐ ☐ No

If Yes: Sponsor's Name: ----------

Funding period: ----------

If No: Is funding sought? Yes ☐ ☐ No

7. Is this research a multi-center study?

Yes ☐ ☐ No

If **YES**, which Institutions are involved (Name(s) and country must be provided).

---

8. Has this Research Protocol been submitted to another REC/IRB?

Yes ☐ ☐ No

If **YES**, provide the REC/IRB date of ethics review and the decision.

REC/IRB Name ----------

REC/IRB Decision Details ----------

Date of decision taken:----------

9. Will you be using or processing biological materials such as blood, tissue, cells or bodily fluids in the proposed research?

Yes ☐ ☐ No

If **NO**, skip question 9.

If **YES**, what will you be using or processing? (Check all that apply).

☐ Blood

☐ Tissue

☐ Urine

☐ Saliva

☐ Cell lines

☐ Other Biological material. Specify type: ----------

---

10. For each type tissue, fluids or materials checked, indicate the procedures to be completed on each.

---

11. Study Details: Indicate the Source/Supplier for each type of tissue, fluid or materials to be used.

☐ Health Care Facility Type ----------

☐ Commercial Supplier Type ----------

☐ Donation Type ----------

☐ Other: Please specify Source ----------

12. Where will the tissue, fluid or materials be used?

☐ On Campus Specify Location ----------

☐ Off Campus Specify Location ----------

13. If the tissue, fluid or materials are to be used on more than one day, indicate how it will be stored, security, facility, etc.

---

14. What is the plan for the final disposition of each type of tissue, fluid or materials upon completion of the study?

Note: unused/excess tissue may present a threat to the privacy of donors. Justification is required for banking the tissue.

☐ Kept for future use by Principal Investigator. If yes, was Informed Consent granted by participants?

Explain the details of reasons for future use.

☐ Transferred to another researcher(s) (Provide researcher's name(s) & Institution.

☐ Disposal (Specify method and by whom).

☐ Other (Explain in detail).

15. Potential benefits from the study

Identify and describe any known or potential benefits to the community (scientific) and public from the study. Explain what new information is expected from the conduct of this project and its anticipated value.

---

16. Potential risks to handlers/researchers

a) Will any universal precautions for handling tissue, fluids or materials be followed? **Explain in detail.**

Yes ☐
No ☐

---

b) For each type of tissue, fluid, materials and procedures to be used in this study, provide a description of any known or anticipated risks to the persons working with the tissues and/or procedures.

---

c) Describe the procedures or safeguards in place for each type of tissue, fluids, materials and procedures used in this study to protect persons working with these substances.

---

17. Informed Consent process

a) Was written informed consent originally obtained for use of the tissue, fluids, materials in the research?

Yes ☐ No ☐

18. Anonymity of participants and confidentiality of data

a) Is the sample donor identifiable or is the sample anonymized (i.e. No possibility of trace back to the donor)?

Donor identifiable ☐
Sample anonymized ☐

b) Describe the procedures to ensure security of data, etc.

---

c) Describe the duration and location of secure data storage, and the method to be used for final disposition of the data.

☐ **Paper Records**

☐ Confidential shredding after ---------- years

☐ Data will be retained indefinitely, in a secure location. Specify the location

---

☐ **Not applicable**

☐ **Other** (Provide details on type, retention period and final disposition, if applicable.

☐ **Electronic Records**

☐ Erasing electronic data after ---------- years.

☐ Data will be retained indefinitely in a secured location. Specify location

---

☐ Not Applicable

Specify location: ----------

19. Did you agree with the community on access and benefit sharing if relevant to the research?

Yes ☐

No ☐

20. If yes, attach the agreement

21. Investigator's agreement

This application for Ethics review of Research with Tissue, Fluids, and materials describes all the procedures for which human tissue/fluids are necessary. I agree that all procedures will be carried out according to the description in this application, and by or under the direct supervision of trained and competent staff members. Any modification to the existing procedures or human tissue/fluids use must be submitted in writing to the Centre for Research and Publications for prior ethics review and clearance.

_____ _____

Principal Investigator's Signature Date

FOR OFFICIAL USE ONLY:

_____ _____

Signature **Date**

Partners Against Hunger

FSPN-AFRICA

DATA PROTECTION POLICY

2023-2026

Fundamental Statements

VISION

A sustainable food system in Africa where all communities live in harmony

STRATEGIC DESTINATION

A world free of hunger

MISSION

To deliver sustainable food and Nutrition security for peaceful coexistence across Africa by promoting partnerships with other stakeholders to support youth and women in Agriculture.

CORE VALUES

Servant leadership & amp; integrity

Innovation

Professionalism

Sustainability

Teamwork

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Article 1: Aim of the Data protection policy

FSPN-Africa Initiatives and programmes (hereafter referred to as 'FSPN-Africa') acknowledge that information technology should be at the service of every citizen. Information technology development shall take place in the context of international cooperation. Information technology shall not violate human identity, human rights, privacy, or individual or public liberties. FSPN Africa is committed to international compliance with data protection laws.

This Data Protection Policy applies worldwide to FSPN-Africa and is based on globally accepted, basic principles of data protection. Ensuring data protection is the foundation of trustworthy relationships and the reputation of FSPN-Africa as a credible organization. The Data Protection Policy ensures an adequate level of data protection as prescribed by relevant legal frameworks, including in countries that do not yet have adequate data protection laws. FSPN Africa's data protection policy is meant to be a practical and easy-to-understand document to which all FSPN-Africa departments, stakeholders and partners can refer to.

Article 2: Scope of the Data Protection Policy

This Data Protection Policy applies to all entities of FSPN-Africa, including network and branch offices in all countries of operation.

1) The policy applies to all FSPN-Africa staff and governance members.
2) The provision of this policy may also be applied to any person employed by an entity that carries out missions for FSPN Africa.
3) In particular, this policy applies to implementing partners, suppliers, sub-grantees, stakeholders, and other associated entities.

FSPN-Africa's Data Protection Policy applies to all personal data that FSPN-Africa holds relating to identifiable individuals, meaning any information relating to an identified or identifiable individual.

Article 3: FSPN-Africa's sets of data and definitions

FSPN-Africa's Data Protection Policy applies to all sets of personal data, currently stored, maintained and handled by FSPN-Africa, and more specifically to the following identified sets of personal data:

- FSPN-Africa's personnel, including national and international staff, interns and volunteers
- FSPN-Africa's direct and indirect beneficiaries, including interviewees,

- FSPN-Africa's individual donors and sympathizers.
- FSPN-Africa's contractors, suppliers, consultants, implementing partners currently under contract with FSPN-Africa.

Personal data herein referred to means any information relating to a natural person who is or can be identified, directly or indirectly, by reference to an identification number or to one or more factors specific to his physical, physiological, mental, economic, cultural, or social identity.

This can include in particular:

- Names of individuals
- Postal or living addresses
- Email addresses
- Telephone numbers
- Identity card and passport
- Date and place of birth
- Identification of relatives
- Fingerprints
- Business reference
- Geo-referencing

Processing of personal data means any operation or set of operations in relation to such data, whatever the mechanism used, especially the obtaining, recording, organization, retention, adaptation or alteration, retrieval, consultation, use, disclosure by transmission, dissemination or otherwise making available, alignment or combination, blocking, deletion or destruction.

Article 4: Application of National Laws and sources of authority

FSPN-Africa has its headquartered in Kenya and observes the laws of Kenya and of the European Union, including the Act on Data Protection of 8th November 2019 (the Data Protection Act, the "DPA") and the Observance to the General Data Protection Regulation (GDPR) in May 2018. Making Kenya the third in Eastern Africa to have legislation in relation to data protection. It also operates in 2 countries currently and is still in prospect of expansion to other African countries.

FSPN-Africa Country Operations observe the laws of their country. This Data Protection The policy comprises internationally accepted data privacy principles without replacing the existing national laws. It supplements the national data privacy laws. The relevant national law will take precedence in the event that it conflicts with this Data Protection Policy, or it has stricter requirements than this Policy. The content of this

Data Protection The policy must also be observed in the absence of corresponding national legislation.

The reporting requirements for data processing under national laws must be observed. Each entity of FSPN-Africa, including network and branch offices is responsible for compliance with this Data Protection Policy and its legal obligations. At the same time, FSPN Africa has rules and standards that seek to create a consistent approach and which, in some cases, may be stricter than national or local laws.

This Policy must, therefore, be followed in addition to the relevant national and local laws on data protection. In the event of conflicts between national legislation and the Data Protection Policy, FSPN-Africa will work with the relevant country offices to find a practical solution that meets the purpose of the Data Protection Policy.

The purpose of the policy is aimed at guiding FSPN-Africa staff and must be considered together with:

1) FSPN-Africa's Code of Conduct and policies that are annexed to it;
2) FSPN-Africa's global manuals and guidelines.

Article 5: Principles for Processing Personal Data

1. Fairness and Lawfulness

- When processing personal data, the individual rights of the data subjects must be protected. Personal data must be collected and processed in a legal and fair manner.
- Collected data shall be adequate, relevant and not excessive in relation to the purposes for which they are obtained and their further processing.
- Individual data can be processed upon voluntary consent of the person concerned.

2. Restriction to a specific purpose

- Personal data can be processed only for the purpose that was defined before the data was collected. Personal data shall be obtained for specified, explicit and legitimate purposes, and shall not subsequently be processed in a manner that is incompatible with those purposes. Subsequent changes to the purpose are only possible to a limited extent and require justification.
- However, further data processing for statistical, scientific and historical purposes shall be considered compatible with the initial purposes of the data collection, if it is not used to take decisions with respect to the data subjects.

3. Transparency

- The data subject must be informed of how his/her data is being handled. In general, personal data must be collected directly from the individual concerned. When the data is collected, the data subject must either be made aware of, or informed of:
    a) The purpose of data processing;
    b) Categories of third parties to whom the data might be transmitted.
- Processing of personal data must have received the consent of the data subject or must meet one of the following conditions: compliance with any legal obligation to which FSPN-Africa is subject; the protection of the data subject's life; the performance of a public service mission entrusted to FSPN-Africa.

4. Confidentiality and Data Security

- Personal data is subject to data secrecy. It must be treated as confidential on a personal level and secured with suitable organisational and technical measures to prevent unauthorized access, illegal processing or distribution, as well as accidental loss, modification or destruction.

5. Deletion

- Personal data shall be retained in a form that allows the identification of the data subjects for a period no longer than is necessary for the purposes for which they are obtained and processed. There may be an indication of interests that merit protection or the historical significance of this data in individual cases. If so, the data must remain on file until the interests that merit protection have been clarified legally, or the corporate archive has evaluated the data to determine whether it must be retained for historical purposes.

6. Factual Accuracy and Up-to-datedness of Data

- Personal data on file must be correct, complete, and if necessary, kept up to date. Suitable steps must be taken to ensure that inaccurate or incomplete data are deleted, corrected, supplemented or updated.

Article 6: Data Processing

1. Consent to Data Processing

- Individual data can be processed upon the consent of the person concerned. Declarations of consent must be submitted voluntarily. In certain exceptional circumstances, consent may be given verbally.

2. Data processing Pursuant to Legitimate Interest

- Personal data can also be processed if it is necessary to enforce a legitimate interest of FSPN-Africa. Legitimate interests are generally of a legal (such as filing, enforcing or defending against legal claims), audit or financial nature. Personal data may not be processed based on a legitimate interest if, in individual cases, there is evidence that the interests of the individual merit protection. Before data is processed, it must be determined whether there are interests that merit protection. Control measures that require the processing of personal data can be taken only if there is a legal obligation to do so or there is a legitimate reason. Even if there is a legitimate reason, the proportionality of the control measure must also be examined. The justified interests of the organization in performing the control measure (e.g. compliance with legal provisions and internal rules of the organization) must be weighed against any interests meriting protection that the individual affected by the measure may have in its exclusion, and cannot be performed unless appropriate.

3. Telecommunications and Internet

- Telephone equipment, e-mail addresses, intranet and internet along with internal social networks are provided by FSPN-Africa primarily for work-related assignments. They are a tool and an organizational resource. They can be used within the applicable legal regulations and internal FSPN-Africa communication policies. In the event of authorized use for private purposes, the laws on the secrecy of telecommunications and the relevant national telecommunication laws must be observed if applicable.
- There will be no general monitoring of telephone and e-mail communications or intranet/ internet use. To defend against attacks on the IT infrastructure or individual users, protective measures can be implemented for the connections to the network used by FSPN-Africa that block technically harmful content or that analyze the attack patterns. For security reasons, the use of telephone equipment, e-mail addresses, the intranet/internet and internal social networks can be blocked for a temporary period. Evaluations of this data from a specific

- person can be made only in a concrete, justified case of suspected violations of policies and/or procedures of FSPN-Africa. The evaluations can be conducted only by investigating departments while ensuring that the principle of proportionality is met. The relevant national laws must be observed in the same manner as the FSPN-Africa regulations.

3. Telecommunications and Internet

All individuals who are the subject of personal data held by FSPN-Africa are entitled:

- To request information on which personal data relating to him/her has been stored, how the data was collected, and for what intended purpose. If there are further rights to view the employer's documents (e.g. personnel Staff ID) for the employment relationship under the relevant employment laws, these will remain unaffected. If personal data is transmitted to third parties, individuals should be informed of such a possibility. If personal data is incorrect or incomplete, the data subject can demand that it be corrected or supplemented.
- To request his/her data to be deleted if the processing of such data has no legal basis, or if the legal basis has ceased to apply. The same applies if the purpose behind the data processing has lapsed or ceased to be applicable for other reasons. Existing retention periods and conflicting interests meriting protection must be observed.
- To object to his/her data being processed, this must be taken into account if the protection of his/her interests takes precedence over the interest of the data controller owing to a particular personal situation. This does not apply if a legal provision requires the data to be processed.

Article 7: Transmission of Personal Data

Transmission of personal data to recipients outside or inside FSPN-Africa is subject to the authorization requirements for processing personal data under Section 6 and requires the consent of the data subject. The data recipient must be required to use the data only for the defined purposes.

In the event that data is transmitted to a recipient outside FSPN-Africa, this recipient must agree to maintain a data protection level equivalent to this Data Protection Policy. This does not apply if the transmission is based on a legal obligation.

The processing of personal data is also permitted if national legislation requests require or authorize this. The type and extent of data processing must be necessary for the legally authorized data processing activity and must comply with the relevant statutory provisions. If there is some legal flexibility, the interests of the individual that merit protection must be taken into consideration.

In certain circumstances, FSPN-Africa Data Protection Policy allows personal data to be disclosed, based on a legal obligation, to law enforcement agencies, without the consent of the data subject. Only FSPN-Africa's Executive Director can validate any such disclosure in writing, ahead of the disclosure, after ensuring the request is legitimate, motivated by the requester, appropriate, necessary and does not pose a threat or direct risk to FSPN Africa.

Before approving such disclosure, FSPN-Africa's Executive Director will check that the recipient of the data uses the data for the defined purposes only and that it demonstrates the capacity and will to abide by such an obligation. Where necessary, FSPN Africa's Executive Director will refer to legal advisers for advice, and to FSPN-Africa's Committee for validation, notably but not only in cases involving direct security threats and implications or global organizational risks including reputation.

Article 8: Subject access and modification requests to personal data

All FSPN-Africa staff and external individuals to the NGO can contact FSPN-Africa to request rights as listed in Article 6 section 4 - Rights of the Data Subject to be applied.

Individual subject access requests from individuals should be addressed by email or in writing. If not in writing, the request should be taken and handled by a duly authorized FSPN-Africa staff and registered in a log for reference and follow-up.

Any individual subject access request received by FSPN-Africa will be duly verified before being handled, with the verification of the identity of anyone making a subject access request, before handing over any information. FSPN-Africa will ensure to respond to individual requests in a timely manner.

FSPN-Africa will ensure that any data subject, including but not only personnel, individual donors and sympathizers, and beneficiaries, have the means to contact FSPN-Africa to verify the data FSPN-Africa holds about them, and can have authorized FSPN-Africa personnel update and correct personal information. Such an obligation entails the following:

- FSPN-Africa staff should have access to their personal files and to any information held by FSPN-Africa on them, by simple request to the Human Resources department, to be presented and corrected by a duly authorized staff only. The consultation of any information on any other staff is strictly prohibited.
- Individual donors and sympathizers listed by FSPN-Africa can reach out to FSPN-Africa to check the data held by FSPN-Africa and have it corrected as well as deleted. Information on this right and on how to reach out to FSPN-Africa for such a purpose should be clearly indicated on the FSPN Africa website, as well as on the main media of communication to Individual donors and sympathizers, including donation receipts and donor documentation, and upon request when

- calling FSPN-Africa HQ. Such responsibility lies at the global level with the FSPN-Africa Head of Human Resources.
- FSPN Africa's current direct and indirect beneficiaries (including survey interviewees) shall have access to FSPN-Africa to check any data FSPN holds on them, to ensure its correctness, fairness, and to have it modified and updated upon request by duly authorized FSPN-Africa personnel. For such a purpose, FSPN-Africa teams at the country level should set up and maintain a complaints response mechanism that is both open and accessible to individuals, with limited constraints, while ensuring that any request by individuals is duly followed by appropriate corrective measures and communications. Contact information to uphold this right and reach out to FSPN-Africa for such a purpose should be clearly indicated on the FSPN Africa website as well as on other means of public information at the country level. Such responsibility lies with the FSPN-Africa Country Focal Point at the country level and with FSPN-Africa's Heads of Programmes and Research at the global level.
- FSPN-Africa contractors and suppliers can reach out to FSPN-Africa Hub to check data held by FSPN-Africa and have it corrected. Such responsibility lies with the HQ officer in charge of Hub
- FSPN-Africa implementing partners shall have access to FSPN-Africa to check any data FSPN-Africa holds on them, to ensure its correctness, and fairness, and to have it modified and updated upon request by duly authorized FSPN personnel. Such a responsibility lies with the FSPN-Africa Country Focal Point at the country level and with the FSPN-Africa head of Programmes at the global level

Article 9: Providing information

FSPN-Africa aims to ensure that individuals are aware that their data is being processed, and that they understand:

1) How the data is being used.
2) How to exercise their rights.

To these ends, the current policy is shared with all FSPN-Africa staff and available on request by individuals. A version of this Policy is also available upon request to FSPN-Africa HQ. Any subscriber or user of an electronic communication service shall be informed in a clear and comprehensive manner by FSPN-Africa, except if already previously informed, regarding the purpose of any action intended to provide access, by means of electronic transmission, to information previously stored in their electronic connection terminal device, or to record data in this device; the means available to them to object to such action.

Article 10: Confidentiality of Processing Personal data is subject to data secrecy.

Any unauthorized collection, processing, or use of such data by employees is prohibited. Any data processing undertaken by an employee that he/she has not been authorized to carry out as part of his/her legitimate duties is unauthorized. The "need to know" principle applies. Duly-authorized employees may have access to personal information only as is appropriate for the type and scope of the task in question. This requires a careful breakdown and separation, as well as implementation, of roles and responsibilities.

Employees are forbidden to use personal data for private or commercial purposes, to disclose it to unauthorized persons, or to make it available in any other way. Supervisors must inform their employees at the start of the employment relationship about the obligation to protect data secrecy. This obligation shall remain in force even after employment has ended.

Article 11: Processing Security

Personal data must be safeguarded from unauthorized access and unlawful processing or disclosure, as well as accidental loss, modification or destruction. This applies regardless of whether data is processed electronically or in paper form. Before the introduction of new methods of data processing, particularly new IT systems, technical and organizational measures to protect personal data must be defined and implemented. These measures must be based on the state of the art, the risks of processing, and the need to protect the data (determined by the process for information classification).

The technical and organizational measures for protecting personal data are part of FSPN Africa's IT management and must be adjusted continuously to the technical developments and organizational changes.

Article 12: Data Protection Control

Compliance with the Data Protection Policy and the applicable data protection laws is checked regularly with data protection audits and other controls. The performance of these controls is the responsibility of FSPN-Africa's Executive Director or appointed representative. The results of the data protection controls performed by the appointed representative must be reported to the Executive Director.

FSPN-Africa's Committee must be informed of the primary results as part of the related reporting duties. On request, the results of data protection controls will be made available to the responsible data protection authority. The responsible data protection

authority can perform its own controls of compliance with the regulations of this Policy, as permitted under national law.

Article 13: Violation, sanction and reporting

Any failure to comply with the current policy or to deliberately violate the rules set in the policy will result in the launch of an appropriate investigation by FSPN-Africa. Depending on the gravity of the suspicion or accusations, FSPN-Africa may suspend staff or relations with another stakeholder during the investigation. This will not be subject to challenge. Depending on the outcome of the independent investigation, if it comes to light that anyone associated with FSPN-Africa has deliberately violated the rules set in the policy for its personal profit or any other usage of personal data, or has systematically and deliberately contravened with the principles and standards contained in this document, FSPN-Africa will take immediate disciplinary action and any other action which may be appropriate to the circumstances. This may mean, for example, for:

Personnel	Action
Employees	Disciplinary action/dismissal;
Trustees, officers and interns	Ending the relationship with the organisation;
Partners	Withdrawal of funding/support;
Contractors and consultants	Termination of contract.

Depending on the nature, circumstances and location of the case and violation, FSPN-Africa will also consider involving authorities such as the police to ensure the protection of personal data and victims. The reporting of suspected or actual violations of this policy is a professional and legal obligation of all staff and partners. Failure to report information can lead to disciplinary action. FSPN-Africa encourages its staff and stakeholders to report suspected cases that involve any FSPN-Africa staff, consultants, board members, guests, or staff of FSPN-Africa's partner organizations, their board members, staff and or suppliers.

FSPN-Africa encourages its staff and stakeholders to report suspected cases through the following means:

1) Staff and interns can report contacting;
    a) Standard lines of hierarchy (contained in staff Terms of Reference);
    b) The Head of Human Resources.
2) Beneficiaries and their representatives can report using the Complaints and Response Mechanism (CRM)

3) Suppliers and contractors can use the confidential email address; transparency@fspnafrica.org.

All reports will be treated as confidential in line with FSPN-Africa's Code of Conduct and FSPN-Africa's Human Resources guidelines. FSPN-Africa will not tolerate false accusations which are designed to damage a member of staff's reputation. Anyone found making false accusations will be subject to investigation and disciplinary action.

Article 14: Responsibilities

FSPN-Africa's Committee is responsible to ensure that the legal requirements, and those contained in this Data Protection Policy, for data protection, are met (e.g. national reporting duties). The management staff is responsible for ensuring that organisational, Human Resources and technical measures are in place so that any data processing is carried out in accordance with data protection. The managers must ensure that their employees are sufficiently trained in data protection Compliance with these requirements is the responsibility of the relevant employees.

Article 15: Implementation of the policy

This policy has been approved by FSPN-Africa's Executive Director on November 2020 and comes into effect immediately. It could be reviewed regularly.

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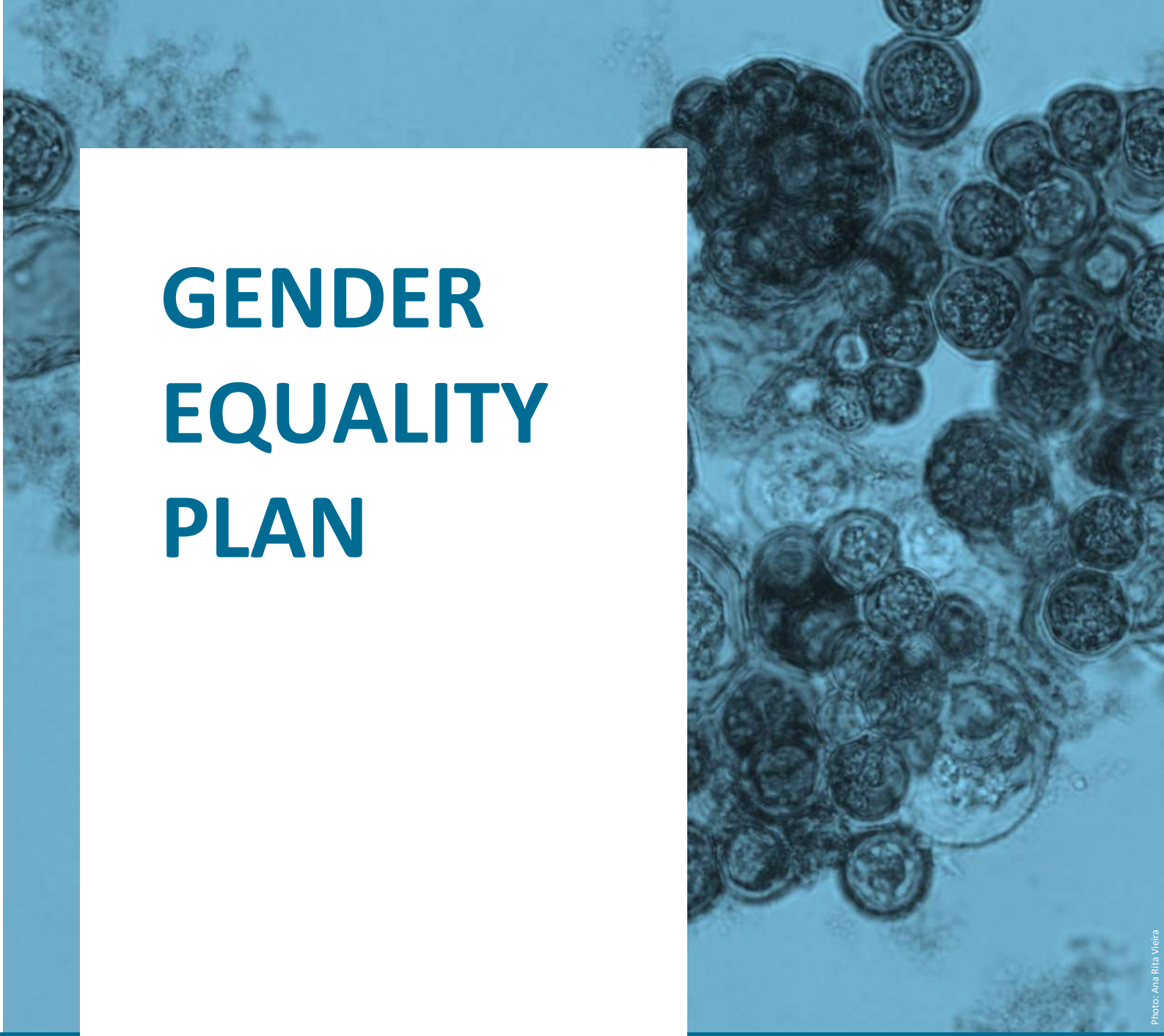
Annex 3 – Gender Action Plans adopted by Partners



GENDER EQUALITY PLAN

Photo: Ana Rita Vieira

ciimar

2022

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I. EXECUTIVE SUMMARY

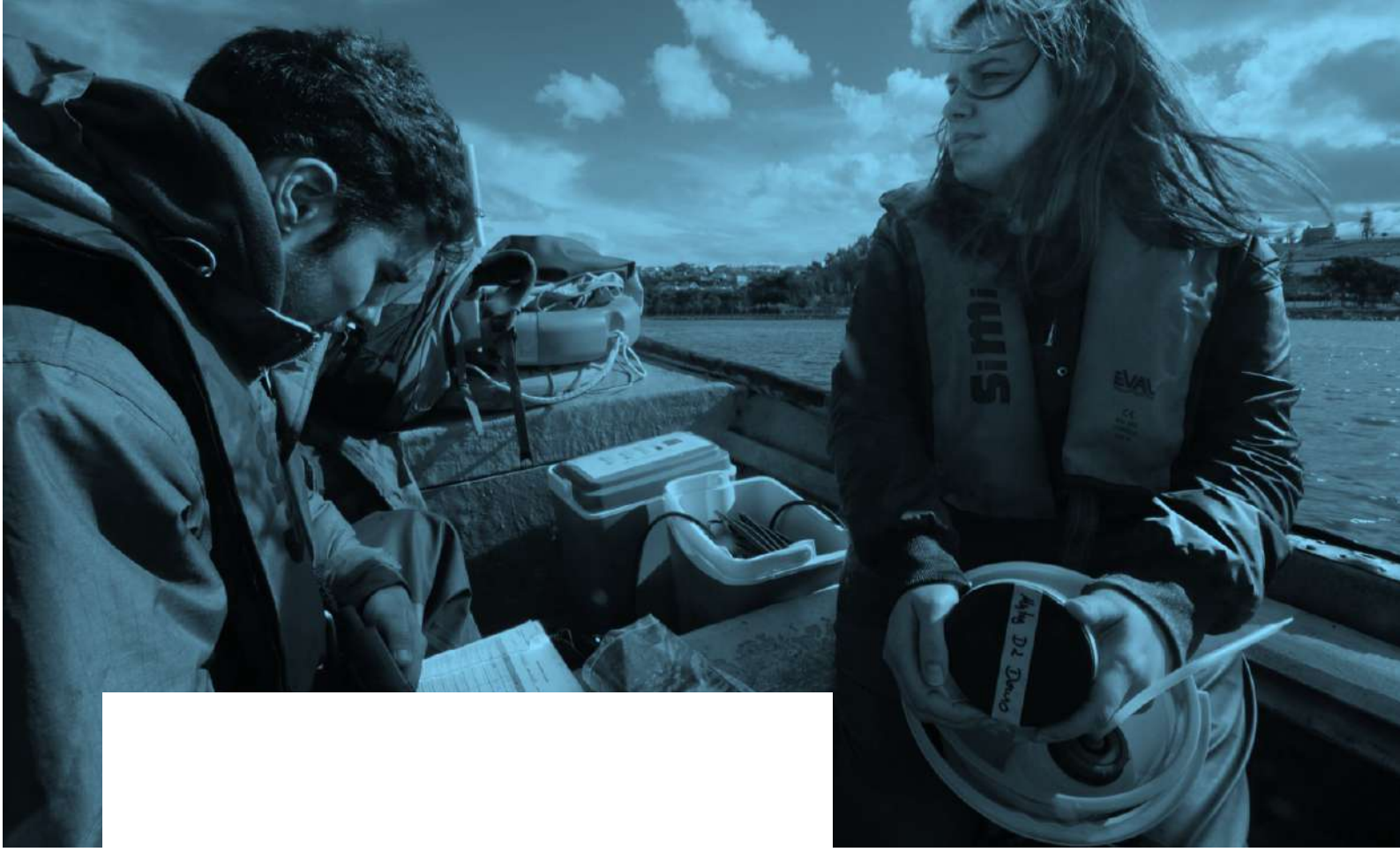
CIIMAR as a leading research and advanced training institution of the University of Porto, working at the frontier of Ocean Knowledge and Innovation, commits to its core values and high ethical standards, promoting equal access and treatment, regardless of gender and social issues, political, ethnic or religious. In this context CIIMAR was already disposed to carry out the proposes of this GEP, assuming that gender equality is a basic principle and urgent social demand.

Following the four mandatory process-related requirements from Horizon Europe (public documents, dedicated resources, data collection and monitoring, and training), as well as the five recommended content-related thematic areas, it was established a framework for understanding gender equality in CIIMAR R&I, setting aims and objectives to implement effective action to achieve the main goals in these essential topics.

Assuming the challenge of the equality benefits on research and innovation, by attracting and retaining talents, that establishes gender quality as a cross-cutting priority, CIIMAR took the opportunity to identify gaps and to reflect on the theme.

GEP comes into practice in 2022, for a 3 years' period, and will be actively communicated to all CIIMAR members, namely: researchers, technicians and students.

With the implementation of this plan, the Board of Directors, as the leading body, is the responsible for all the commitments set out and approves its content as duly signed herein:



II. FRAMEWORK

CIIMAR is a leading research and advanced training institution of the University of Porto, established in 2000 that mobilises a multidisciplinary, highly skilled and motivated team (677 members, including 225 integrate members and 452 collaborators), working at the frontier of knowledge and innovation. CIIMAR's mission is to promote transdisciplinary research, technological development, and training, contributing to advances in scientific knowledge and sustainability of the marine and coastal environments.

CIIMAR constitutes a Research Unit from national scientific system, integrating an associated laboratory and participating in collaborative laboratories, evaluated and funded by FCT, with Excellent, for the period 2020-2023. FCT is the Portuguese public agency that supports science, technology and innovation, in all scientific domains, under responsibility of the Ministry for Science, Technology and Higher Education.

CIIMAR's legal form is a private association, non-governmental and non-profit, who was recently granted with public utility status. It's composed by individual and collective members (Institute of Biomedical Sciences Abel Salazar, Faculty of Sciences, Pharmacy, Law and Engineering, University of Porto and Polytechnic of Porto) that constitute the General Assembly. The associates elect a Board of Directors, composed of five elements, that supervises and defines the policy for scientific and technical activities and oversees the everyday management. The Centre has a Scientific Board, composed of all PhD members of the institution, which functions as an internal body with general responsibilities to advise and monitor the scientific and technical activities.

The organizational model of CIIMAR also includes an External Scientific Advisory Board that provides independent evaluation and advice on the scientific activity of the institution and is composed of four distinguished members of the international scientific community.

Another important advisory body is the Ethical Committee, composed professors of recognized merit from University of Porto, on the most varied areas: from sciences - biological, natural and pharmaceutical, to engineering and law.

The researchers are organised into three main Research Lines, each with one coordinator. Each Research Line is subdivided into several Research Groups and these into Research Teams, which are headed by one principal investigator.

CIIMAR's established Supporting Offices Units and Technological Platforms Services that, under the supervision of the Board of Directors, provide daily support and develop essential actions, from purely administrative matters to those supportive of general use of research facilities and services.

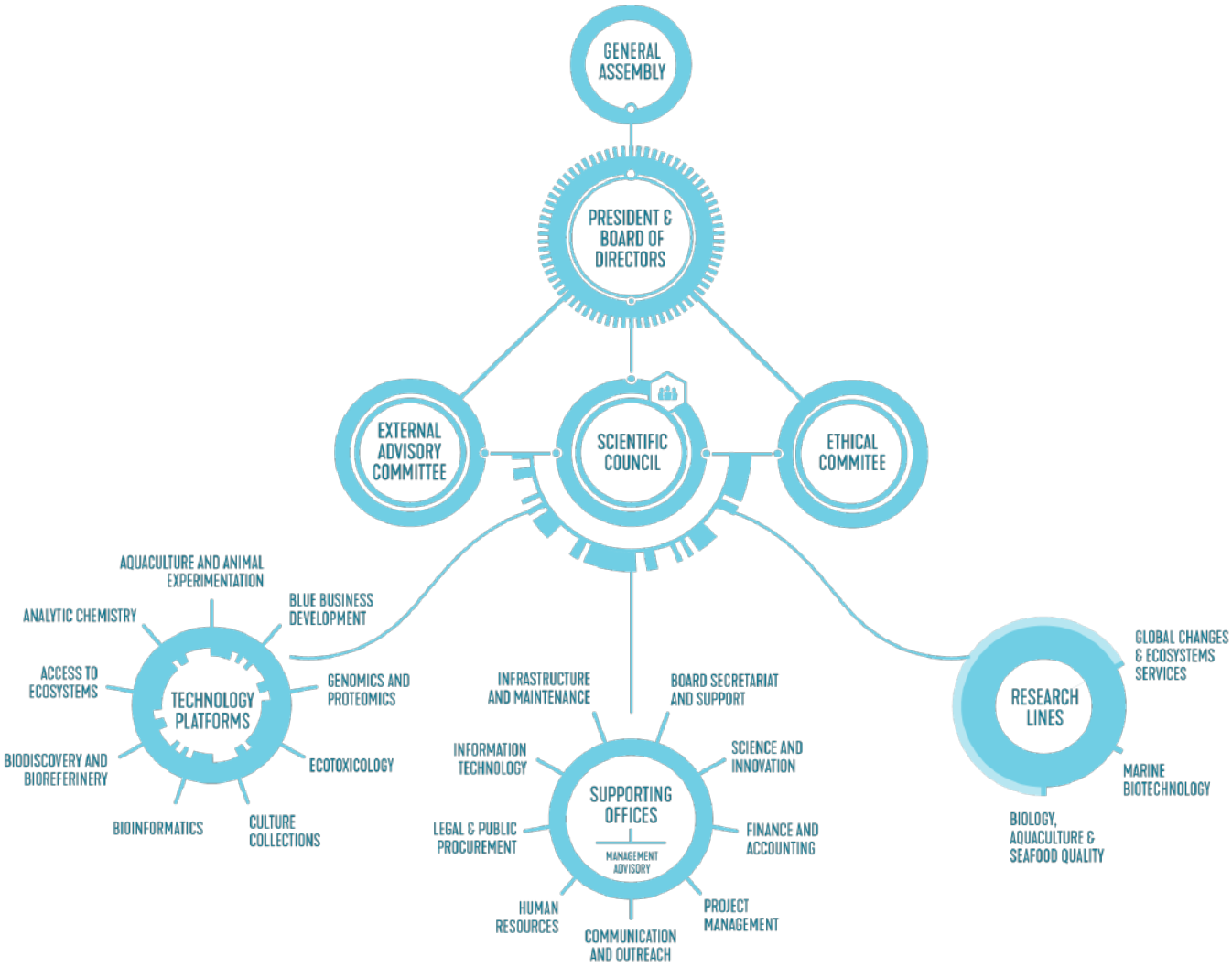


IMAGE 1: CIIMAR Organization.

The composition of the CIIMAR Team is very heterogeneous, besides the own resources, researchers and technicians, CIIMAR also integrates researchers/professors from other institutions, as well as research fellows and students from various study cycles.

CIIMAR provides innovative solutions towards the ocean's sustainability, driving oceans' value to tackle tomorrow´s societal needs. CIIMAR fields of expertise cover three research domains: **Global Changes** and **Ecosystem Services, Biology, Aquaculture and Seafood Quality**, and **Marine Biotechnology**, addressing important economic and societal challenges and contributing to achieving UN Sustainable Development Goals.

To deliver its mission and build a shared understanding and valorisation of the ocean, CIIMAR is strongly committed to Excellence, Innovation, Partnerships, Public Engagement and Sustainability. In this perspective, CIIMAR conforms to the following Sustainable Development Goals: Life Under Water, Zero Hunger, Good Health and Well-Being, Quality Education, Clean Water and Sanitation, Affordable and Clean Energy, Climate Action, and, importantly Gender Equality.

IMAGE 2: CIIMAR Sustainable Development Goals.

Gender equality has gained major attention in the recent years, in particular from governing entities. Although an important progress is being achieved, through the implementation of national and institutional policies and measure, there is still a long way to walk towards gender equality.

Indeed, according to the *She Figures 2021*[1], gender inequalities are still present in European R&I institutions:

- 32.8% of researchers were women in 2018;
- Women made up 26.2% of grade A (full professorship or equivalent) academic positions in 2018;
- The proportion of women heads of institutions in higher education was 23.6% in 2019;
- Women made up 31.1% of the members of scientific boards in 2019;
- There were twice as many men than women among authors of scientific publications between 2013 and 2017;
- Between 2013 and 2017 only 20% of international patent applications included a woman and 47% of inventors' teams were all men.

[1] European Commission, Directorate-General for Research and Innovation, She figures 2021: gender in research and innovation : statistics and indicators, Publications Office, 2021

CIIMAR understands the relevance of implementing the Gender Equality Plan and its contribution to the quality and impact of research and innovation, for the creation of a better working environment and to attract and retain talent.

CIIMAR believes, everyone and every institution has to contribute to change the actual panorama. In this perspective, CIIMAR embraces the compromise of adopting mechanisms that will allow the full recognition of parity between women and men through the implementation of a Gender Equality Plan (GEP), having as pillar the European Strategy for 2020-2025[2], the Human Resources Strategy for Researchers (HRS4R) in accordance with the guidelines of the Universal Declaration of Human Rights, and, furthermore, the provisions of the Constitution of the Portuguese Republic (Article 13) and the Labor Code (Articles 23 to 65), promoting gender equality as an essential human right for the development of society and for the full participation in society of men and women as persons.

CIIMAR will also keep focused on applications evaluation procedures as well as on the funding decision processes and their results, concerning the impact of gender equality in research activities.

[2] Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions: A Union of Equality: Gender Equality Strategy 2020-2025

IV. BASELINE ASSESSMENT AND ANALYSIS

Considering CIIMAR engagement on the development of a Gender Equality Plan and on the achievement of gender equality goals, the Research Team gender data were collected.

The objective was to identify gender inequalities, find their causes in order to review the actual practices or/and establish new actions and measures.

According to the organization context, several actors were considered, such as: Researchers, Supporting offices and Services and the students of different cycles.

The relevant indicators were selected according to CIIMAR's mission, responsibilities and core activities. Among others, CIIMAR's relevant data on gender equality includes:

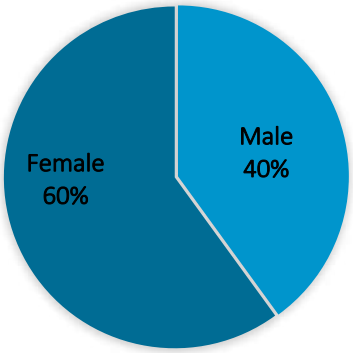
- Team numbers by gender at all levels, including researchers, supporting offices and services and advanced training students, with or without a contractual relation to the institution;
- Country of origin;
- Proportion of women and men in leadership positions and in CIIMAR internal and external bodies;
- Proportion of men and women in research teams;
- Proportion of women and men among employed researchers/technicians;
- Proportion between women and men as first or last author of CIIMAR scientific publications;

- Percentage of research projects conducted by men and women, and the corresponding funding amounts;
- Percentage of international patent applications proposed by women and the inventors' teams gender;

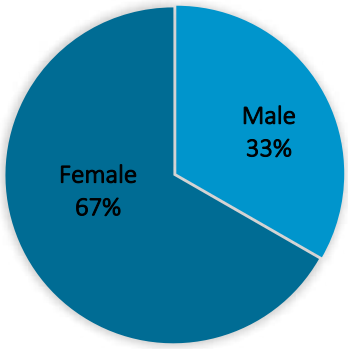
LEADERSHIP

Considering the leadership in its different levels, the Board of Directors, the Fiscal Council and the Ethical Committee are representative of the female gender majority. On the opposite side is the External Scientific Advisory Board and the Board of the General Assembly. All the leadership levels are recommended for review and improvement in the next term.

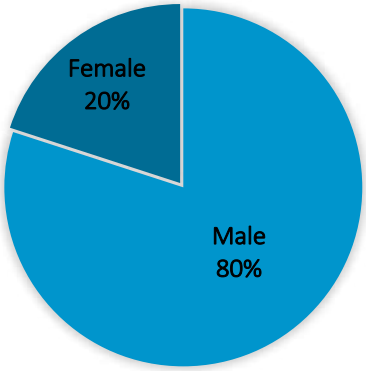
BOARD OF DIRECTORS



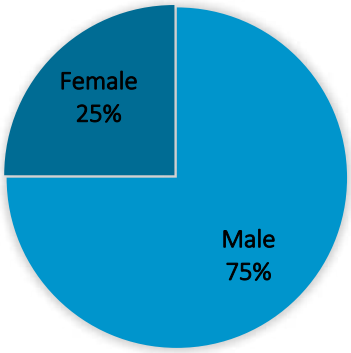
FISCAL COUNCIL



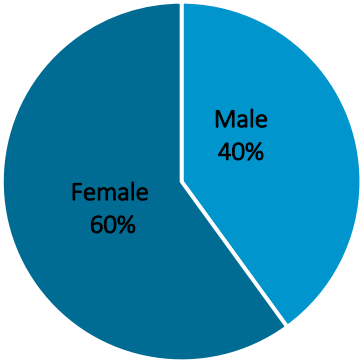
GENERAL ASSEMBLY



EXTERNAL SCIENTIFIC ADVISORY BOARD

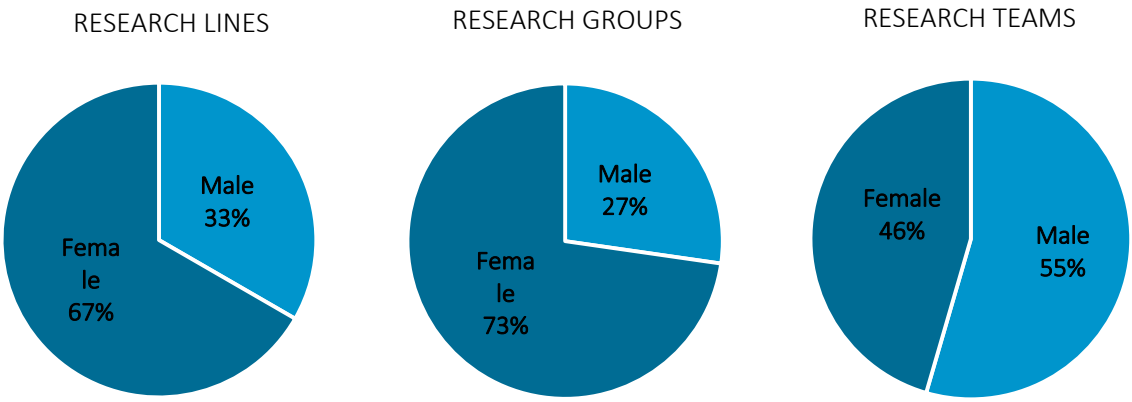


ETHICAL COMMITEE

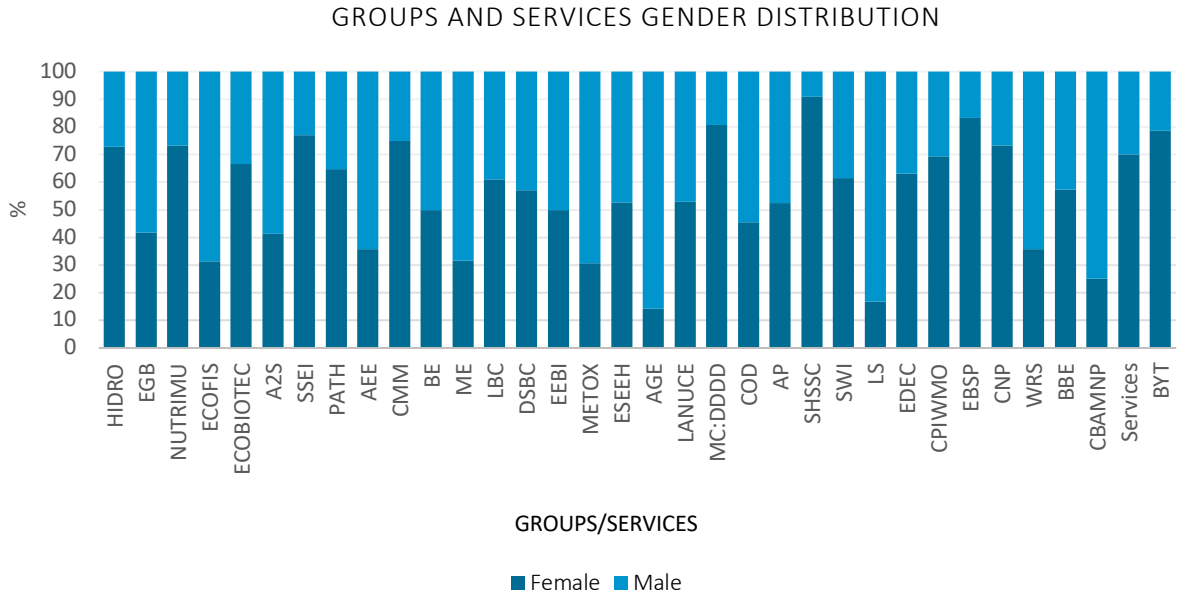


RESEARCH ORGANIZATION

Taking a look at the research organization, and considering that the Centre is scientifically organized in three **Research Lines**, which are subdivided in eleven **Research Groups** and thirty-three **Research Teams**, the female gender is predominant in Research Lines, and Research Groups, and equivalent in Research Teams. To support all its structure CIIMAR has different professional Supporting Offices Units.



Although in general terms the number of women is superior to men, the gender distribution in the research teams and supporting offices is not uniform and do not seem to follow any kind of pattern, as we can see in the table below.

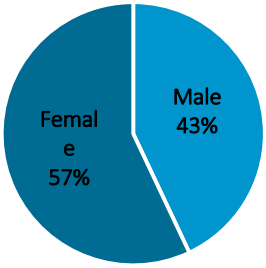


Acronyms	Research Teams designations
HIDRO	Hydrobiology
EGB	Evolutionary Genomics and Bioinformatics
NUTRIMU	Nutrition and Immunobiology
ECOFIS	Ecophysiology
ECOBIOTEC	Bioremediation and Ecosystem Functioning
A2S	Animal Health and Aquaculture
SSEI	Sustainability and Social and Educational Innovation
PATH	Histomorphology, Physiopathology and Applied Toxicology
AEE	Aquatic Ecology and Evolution
CMM	Coastal Monitoring and Management
BE	Benthic Ecology
ME	Marine Energy
LBC	Coastal Biodiversity
DSBC	Deep-Sea Biodiversity and Conservation
EEBI	Estuarine Ecology and Biological Invasions
METOX	Coastal and Marine Environmental Toxicology
ESEEH	Ecotoxicology, Stress Ecology and Environmental Health
AGE	Animal Genetics and Evolution
LANUCE	Nutrition, Growth and Quality of Fish
MC:DDDD	Medicinal Chemistry: Drug Discovery and Drug Design
COD	Coastal and Ocean Dynamics
AP	Animal Pathology
SHSSC	Safe and Healthy Seafood and Sustainable Consumption
SWI	Soil/Water Interactions
LS	Law of the Sea
EDEC	Endocrine Disruptors and Emergent Contaminants
CPIWMO	Contaminant Pathways and Interaction with Marine Organisms
EBSP	Emergent Biotechnologies and Seafood Processing
CNP	Cyanobacterial Natural Products
WRS	Water Resources Systems
BBE	Blue Biotechnology and Ecotoxicology
CBAMNP	Chemistry and Biological Activity of Marine Natural Products
Services	CIIMAR SERVICES
BYT	BYT Program

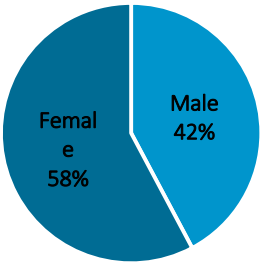
RESEARCH TEAM AND SUPPORTING OFFICES

Analysing globally the Team it is clear the predominance of the female gender, such as when exploring only integrated or collaborator members.

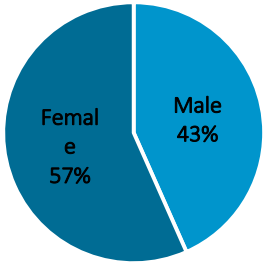
GLOBAL TEAM



INTEGRATED MEMBERS



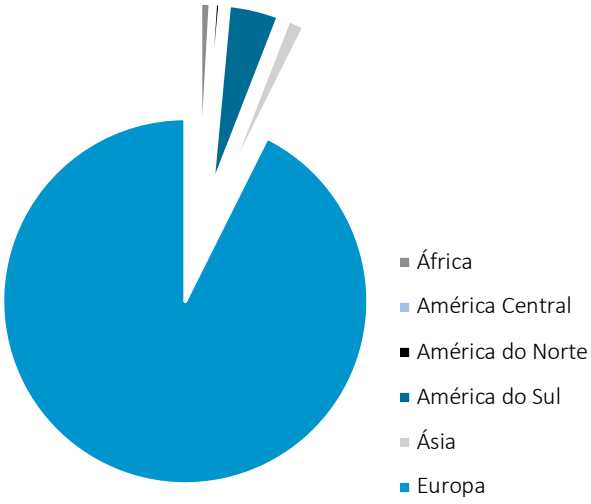
COLLABORATOR MEMBERS



Nationalities

The nationality of CIIMAR members is heterogeneous. Although the majority is from the European Continent, there are also members from American, Asian and African Continents.

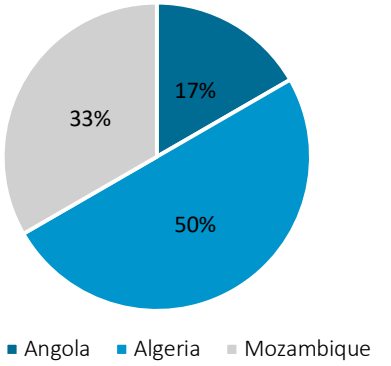
TEAM MEMBERS NATIONALITIES (%)

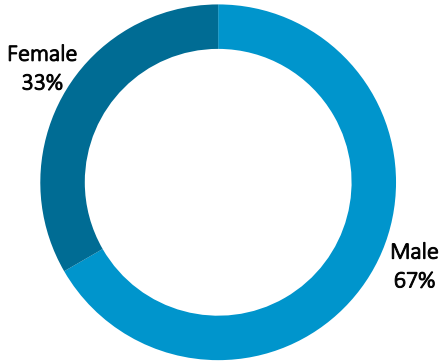


Considering only the more representative nationalities, it is possible to check the origin countries of CIIMAR members, organized by the different continents, and its corresponding division by gender.

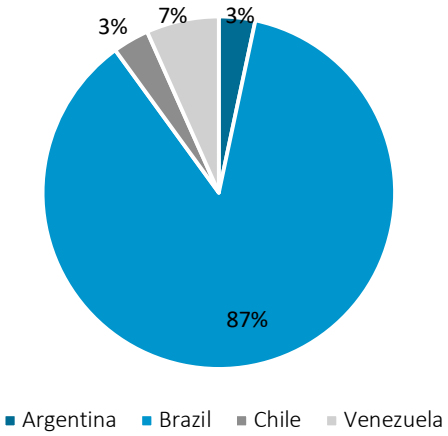
It is observed that the male gender is predominant in the Team members originated from America, Asia, Africa and Europe, in opposition to Portugal's case.

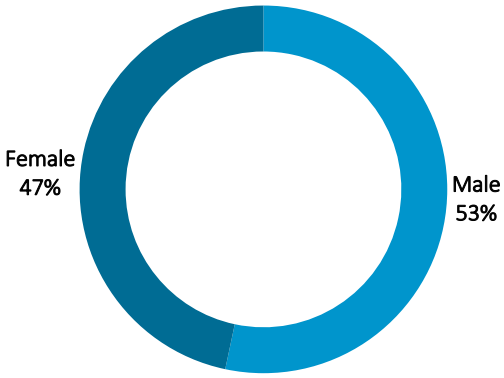
AFRICA



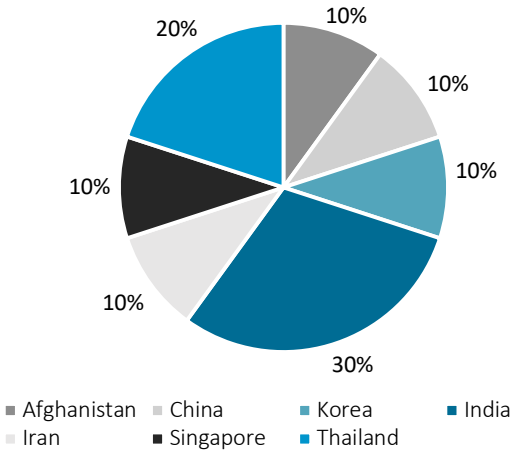


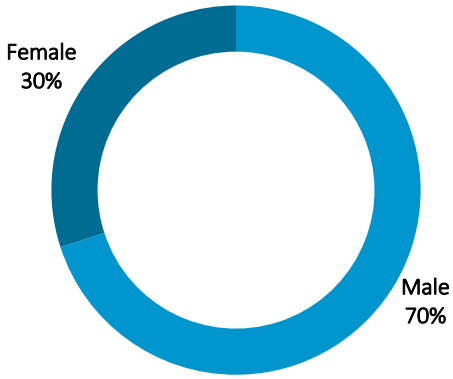
SOUTH AMERICA

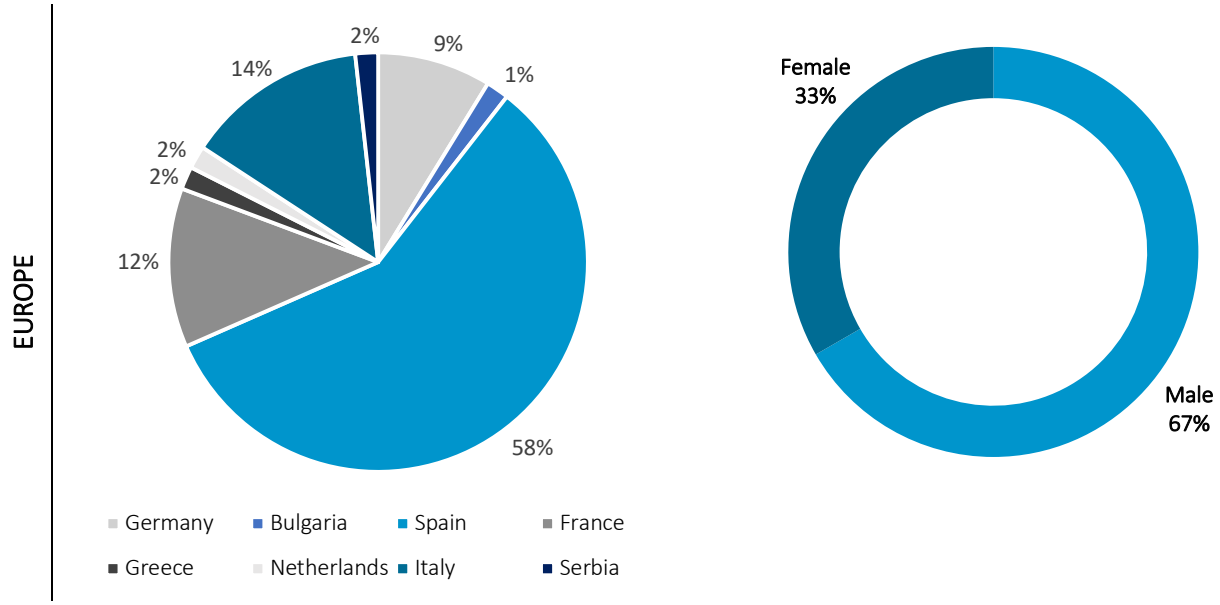




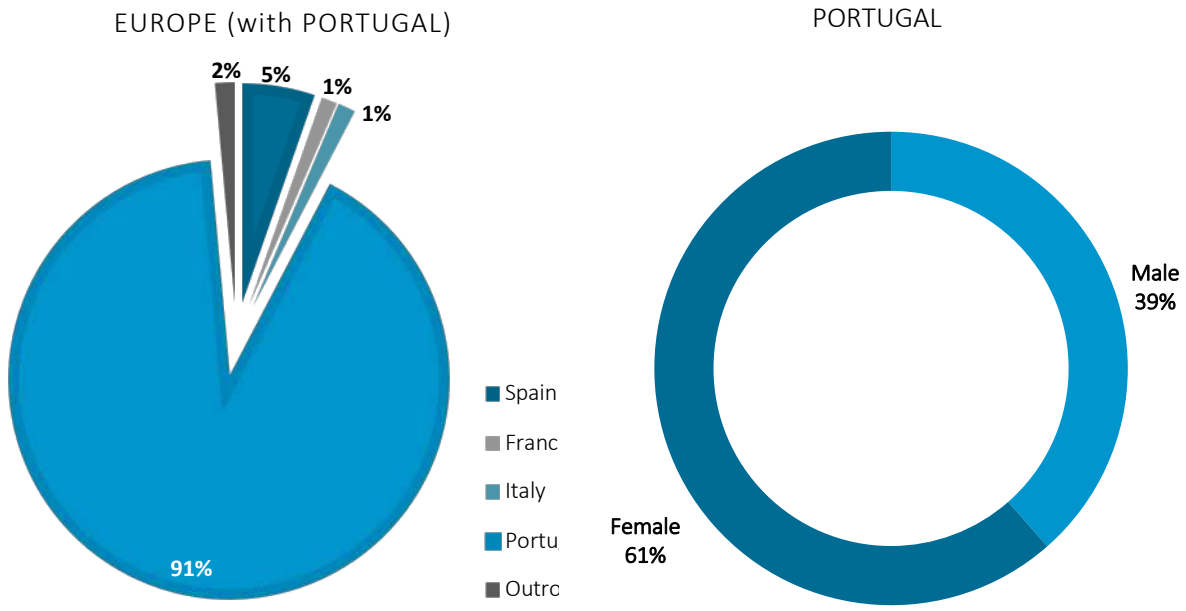
ASIA







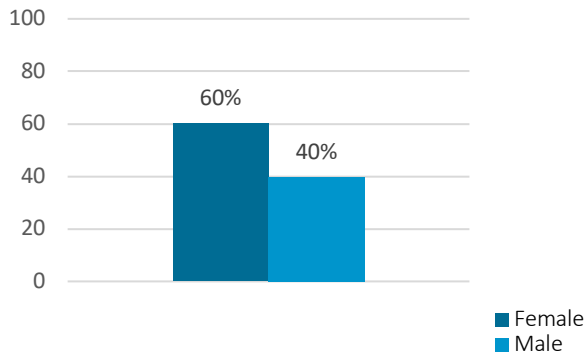
According to the analysed data, and concerning the European Team members only, Portugal is, as expectable, the country of origin most frequent in its members and the number of women is superior to men.



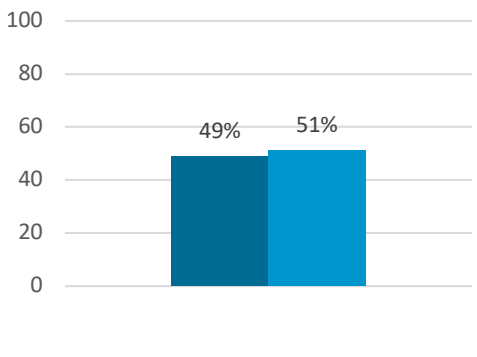
Professional situation

CIIMAR Team members have various and different professional situations, almost all composed with a superior percentage of women, with the exception of the University Staff, composed mainly with academic career members.

RESEARCHERS

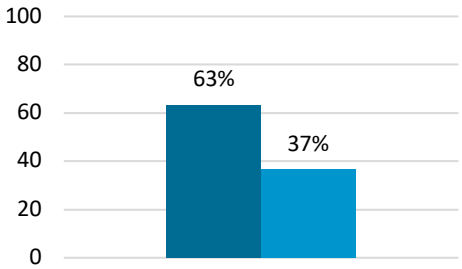


UNIVERSITY STAFF

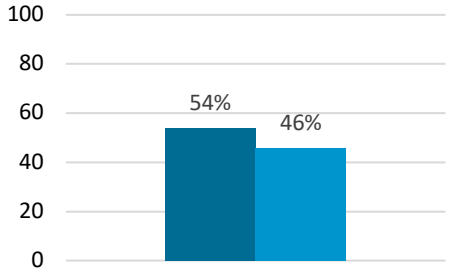


Female
Male

SUPPORTING OFFICES AND SERVICES

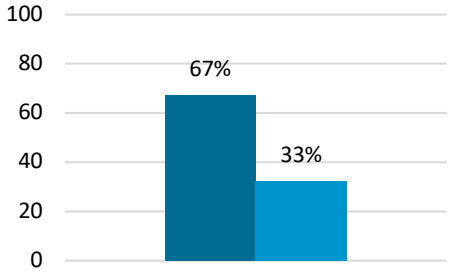


OTHER PROFESSIONAL SITUATIONS

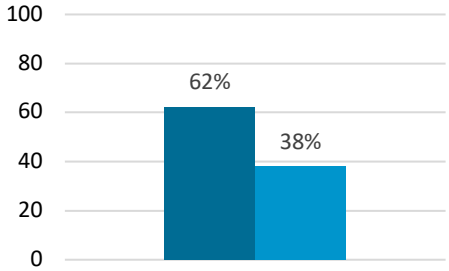


Female
Male

CIIMAR RESEARCH FELLOWS

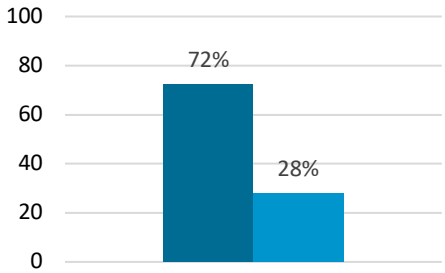


PHD RESEARCH FELLOWS



Female
Male

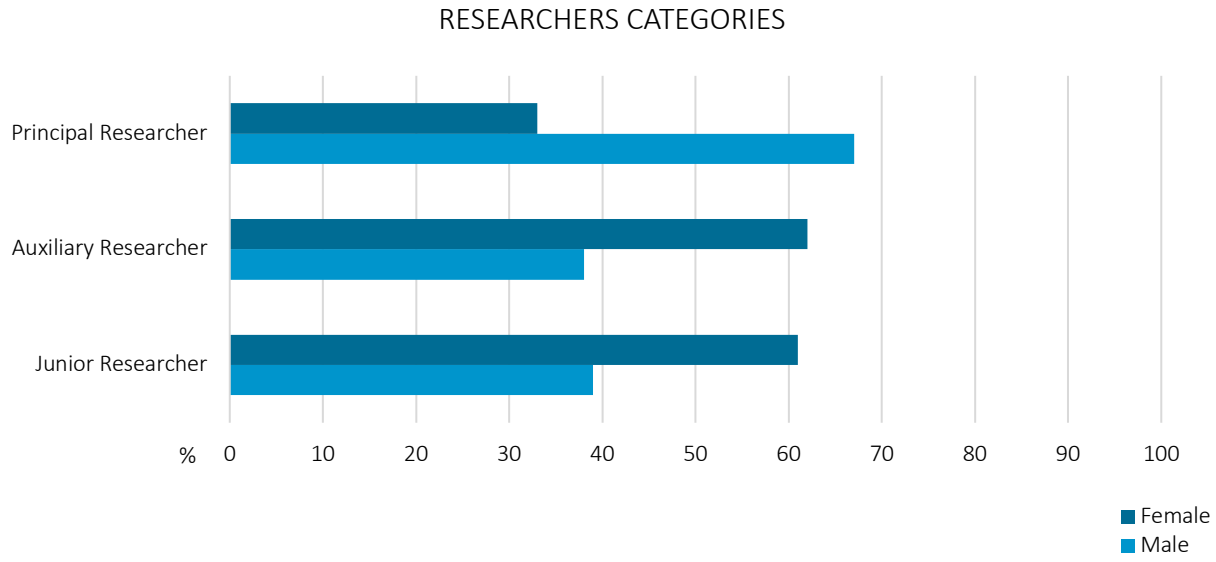
POST-DOCTORAL RESEARCH FELLOWS



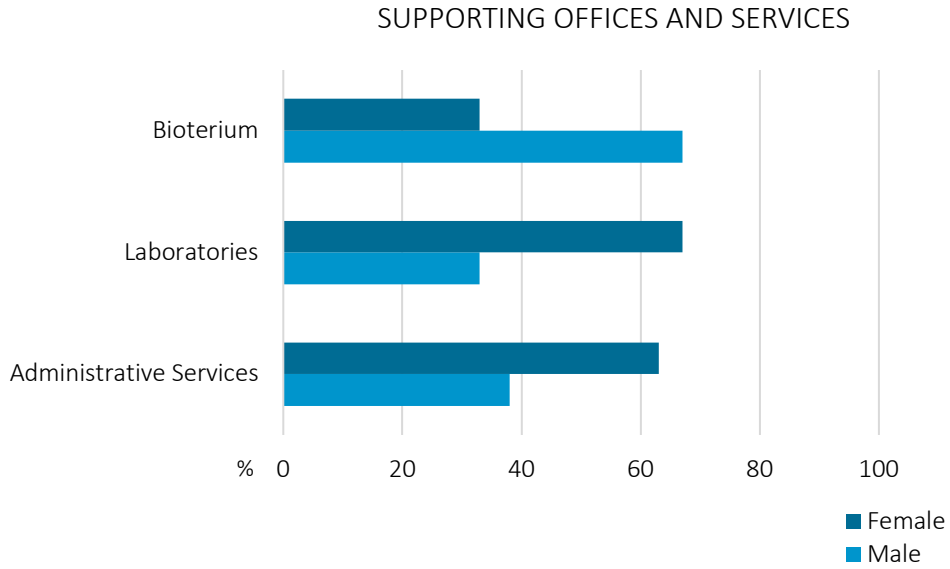
Female
Male

Professional Categories

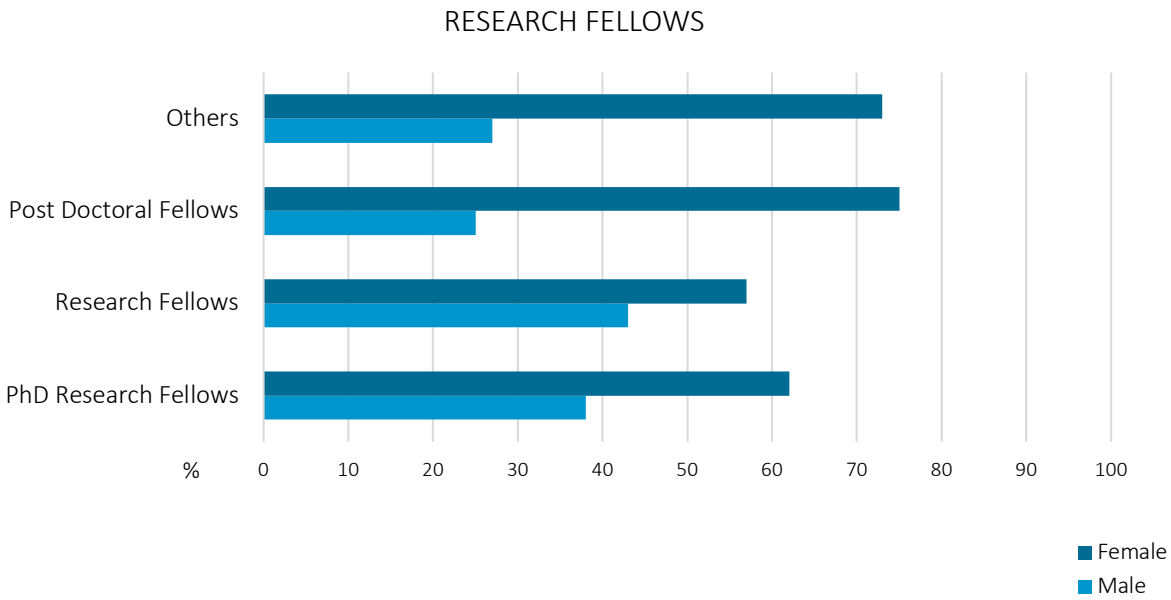
Regarding the distribution of hired researchers by professional category, excluding the "Principal Researcher", the female gender is predominantly. It's worth of note that the number of "Principal Researcher" is very reduced compared with the other categories (Junior Researcher 61, Auxiliary Researcher 29 and 3 Principal Researcher).



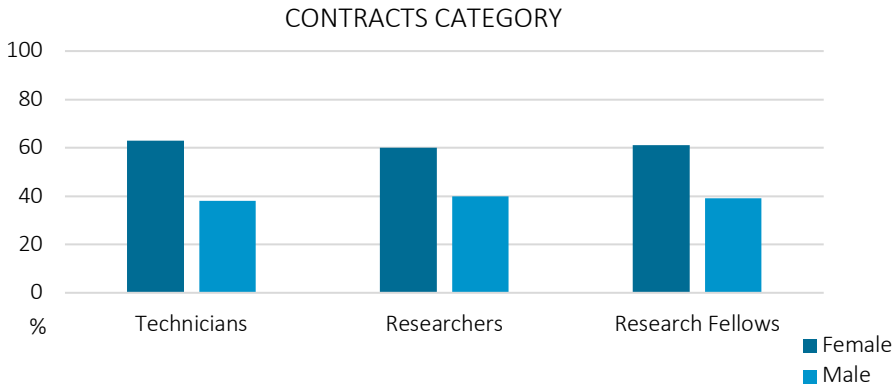
In the same line, and regarding the support and services staff, excepting for the *Bioterium*, the remaining services are also composed by a higher number of women.



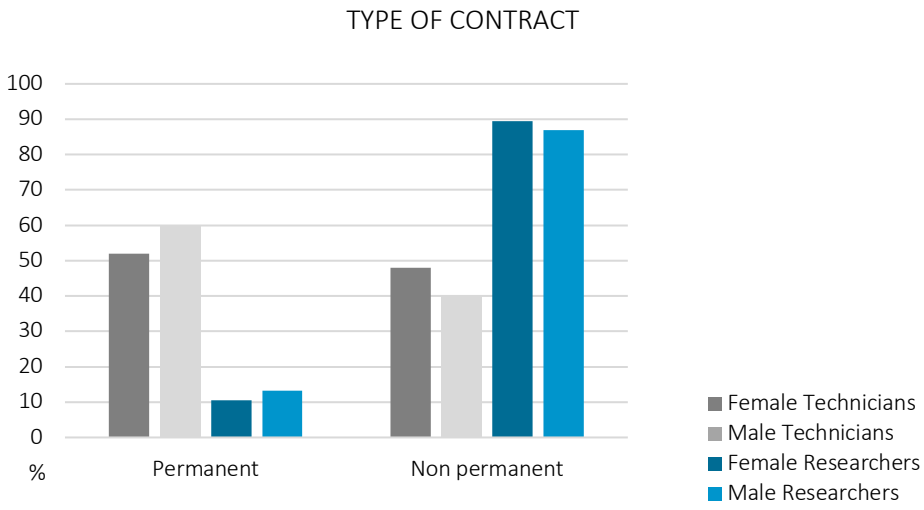
Concerning CIIMAR PhD Research Fellows and other Research Fellows, the dispersion remains, being the number of women on the top.



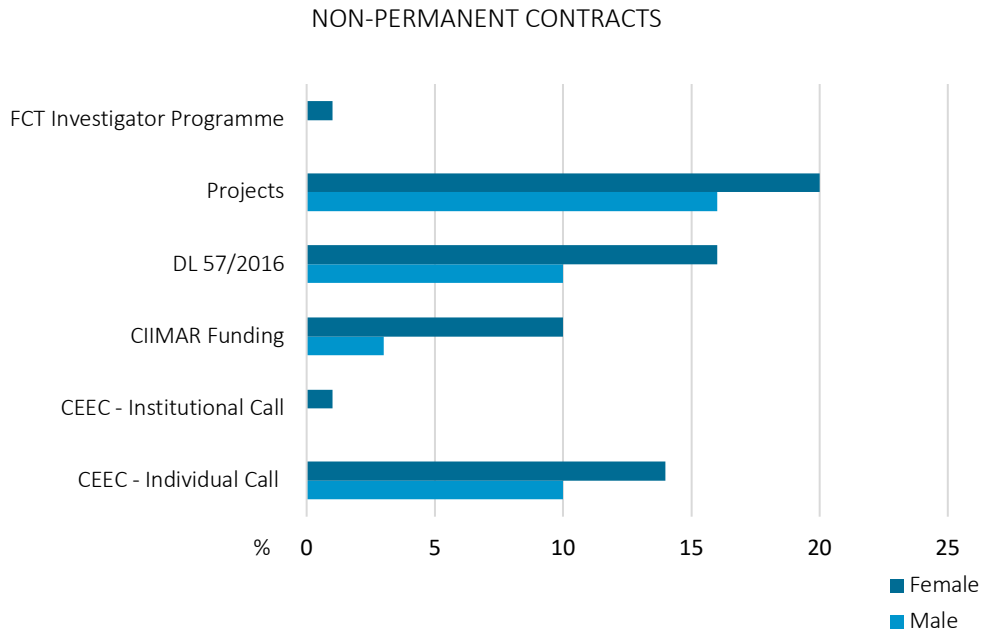
Considering only the work contracts with CIIMAR it is possible to indicate that in all the categories there are more women than men.



Studying the type of contracts, we recognize that the male gender has a highest percentage of permanent contracts in all the categories.



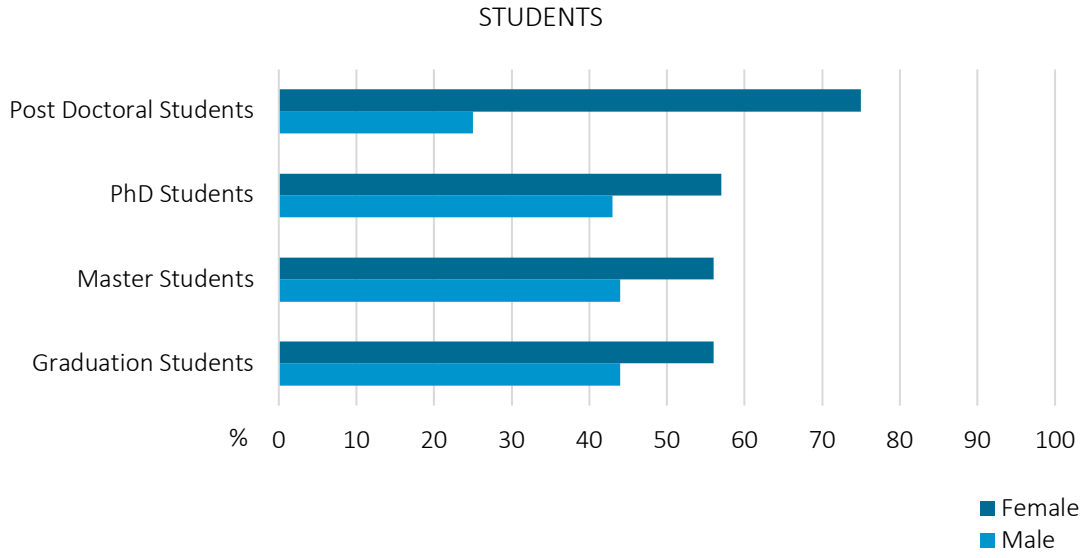
Mainly non-permanent contracts were established in the scope of projects or funding programs, as shows the chart below.



Comparing monthly salaries or allowances, in the Technicians contracts case, the salary of men is 10% higher, but in Researchers and Researcher Fellows it is equivalent.

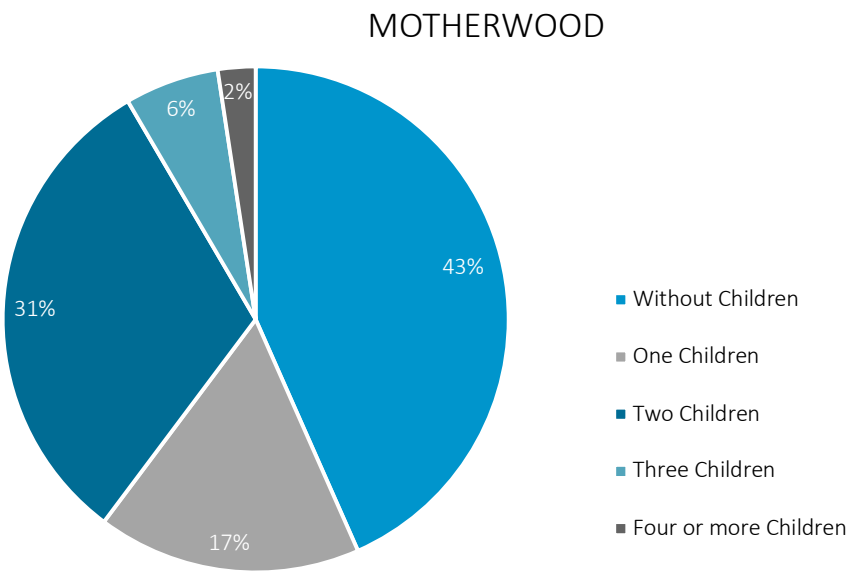
Students

Regarding the different study cycles, the student's distribution is presented below.
According to the data, and once again, the female gender corresponds to the majority of students of the different cycles.



FAMILY CARING AND EDUCATIONAL RESPONSIBILITIES

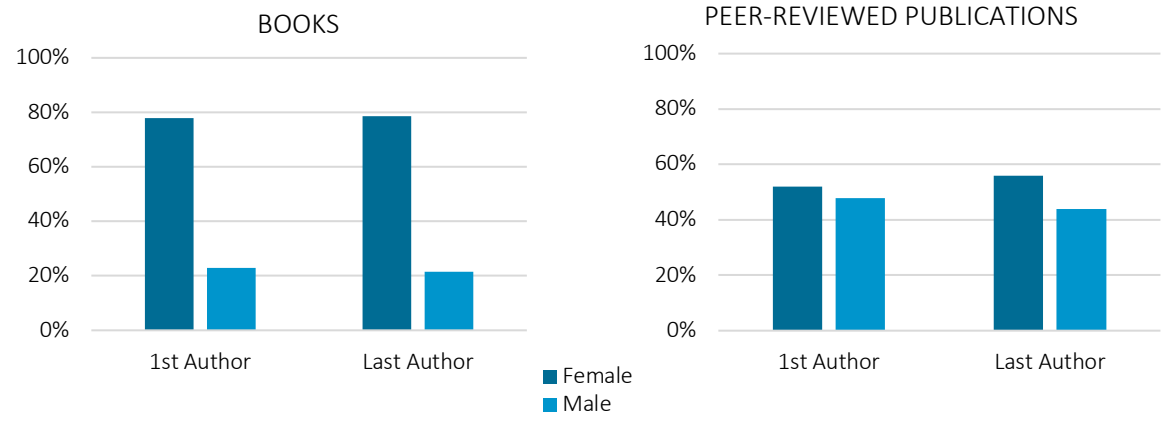
Focusing in the female gender and motherhood, more than fifty percent has children, mainly two.

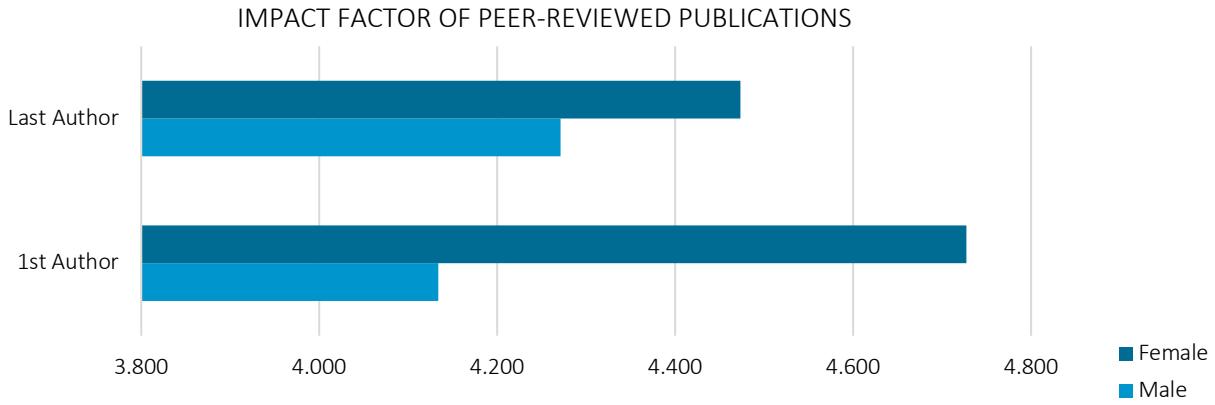


SCIENTIFIC INDICATORS

Publications

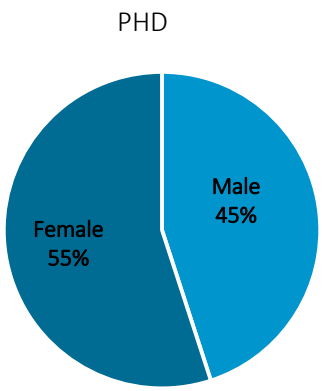
Analysing the scientific production of CIIMAR researchers, considering books and peer-reviewed publications in which the first or last author had affiliation to CIIMAR, it is easily confirmed that women published more than men. inclusively, the average impact factor of women is higher than men.

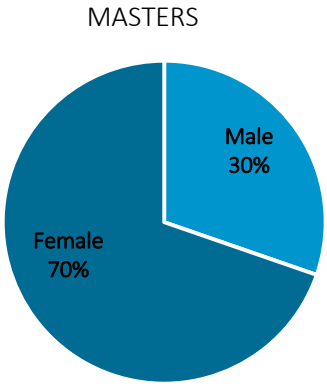




Advanced Training

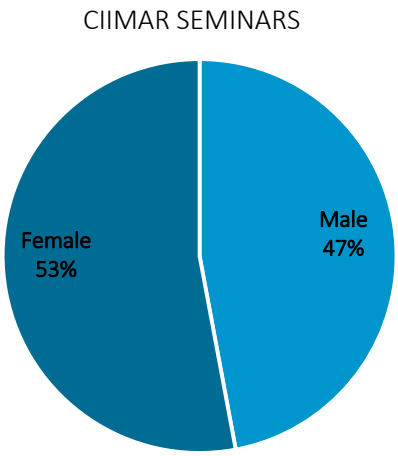
According to the data of the conclusion of study cycles, the number women that completed is higher.





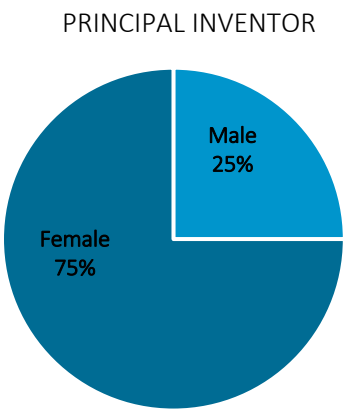
Oral Communications

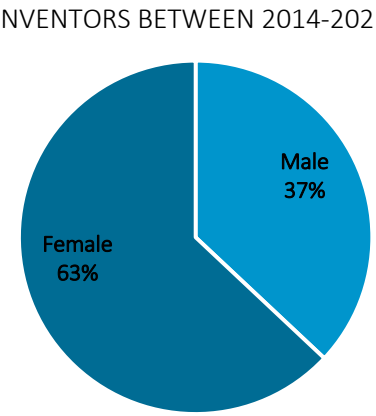
As to the CIIMAR Seminars (NEPTUNE, OCEANUS and NAUTILUS) the difference between the gender participants seems irrelevant.

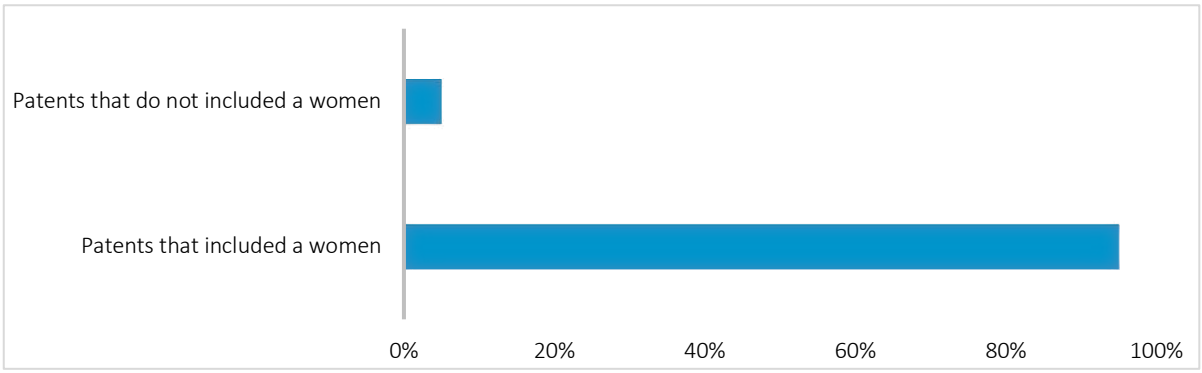


Patents

Regarding the patent application, analysing the historical of CIIMAR, it is possible to conclude that most patents have a woman as the main inventor, and that only a small percentage of patents do not have women on the team.

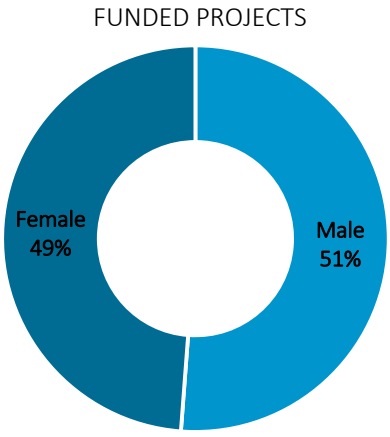




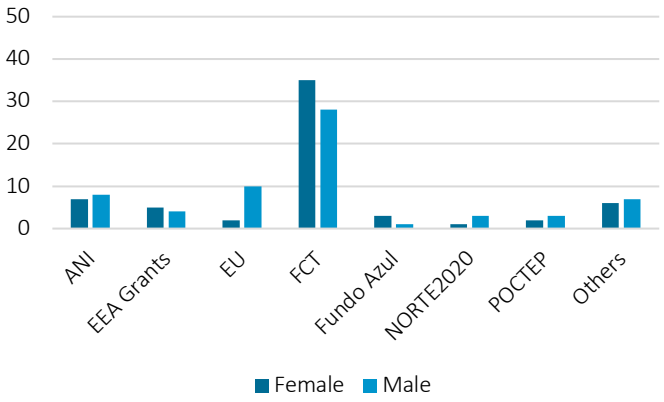


Competitive R&D Project Funding

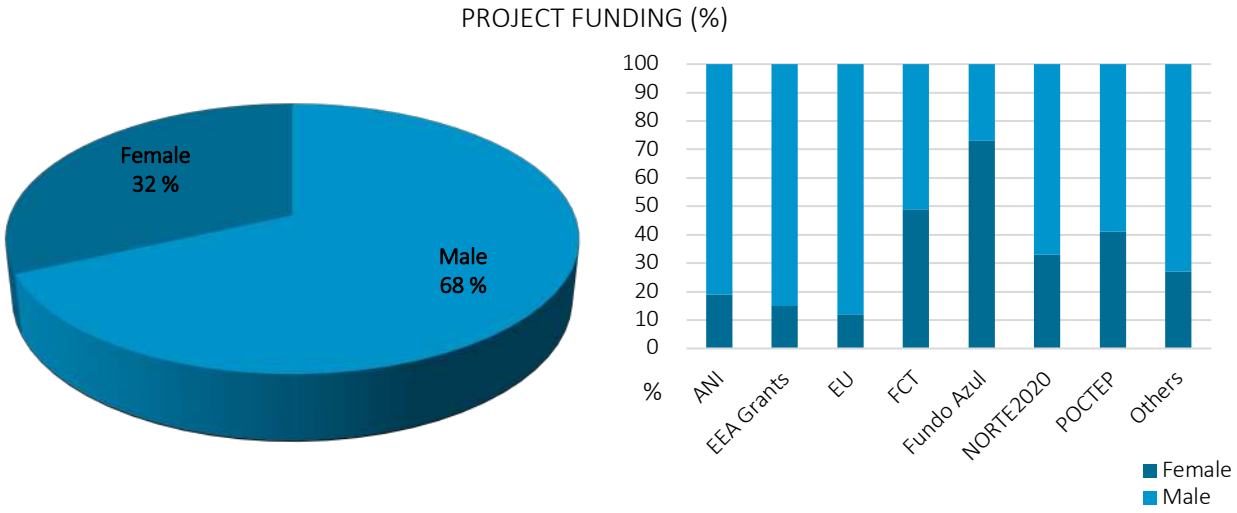
Looking over competitive R&D project funding it is possible to figure that the percentage of approved and funded projects is similar in terms of gender.



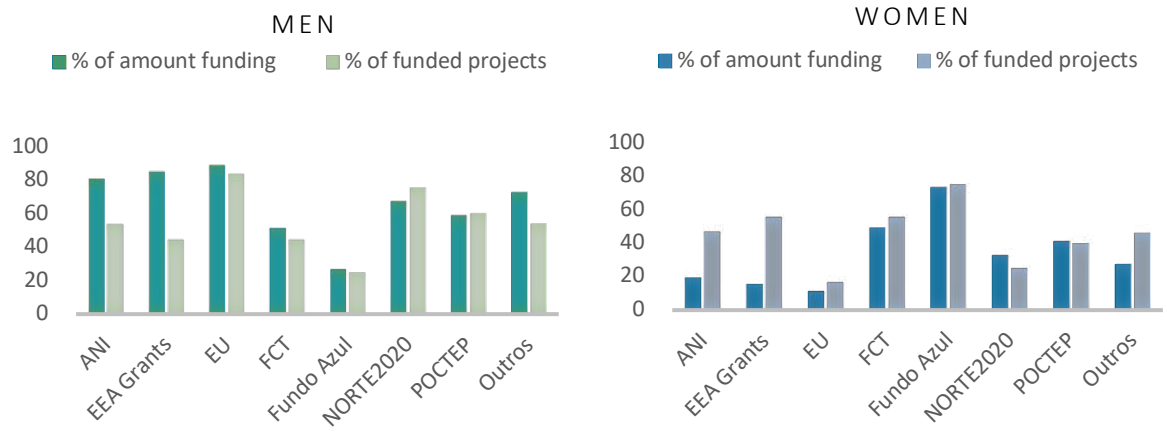
It is also possible to analyse the approved projects by the different founding institutions/Programs.



In terms of funding amounts percentage, although the number of projects funded is similar in both genders, it is clear that men gathers a highest percentage of the global CIIMAR projects funding.



Corroborating the above conclusions, it is possible to compare the percentages of funding amounts with the funded projects in the following charts.



COVID BALANCE

Since march 2020, CIIMAR has been adapting services and research to the pandemic context. However, initially, the laboratory work got compromised either because of the impossibility to use the infrastructure, but also, for the burden of family caring and education responsibilities.

The necessary adaptions to new ways of working were taken, including online management and collaboration. the conditions for the remote work were created and encouraged.

Progressively, and in order to restart the laboratory activities several measures were implemented:

- implementation of two daily and alternative six-hour shifts;
- registration with CIIMAR identification card mandatory, in order to detect the possible contacts in case of positive covid-19 cases;
- hands disinfection with an alcohol-based solution;
- definition of maximum capacity of each laboratory and offices;
- use of mask mandatory;

After an initial period of adaptations, with implications for the scientific and financial execution of projects, it was possible to continue working.

V. ACTION PLANNING

CIIMAR's Gender Equality Plan is based on the analysis of the representation of female and male genders in the universe of researchers and employees.

Having now an understanding of the key differences and gaps between women and men and having a good panorama on CIIMAR's gender balance, it's possible to set well defined objectives and measures for each thematic area, according to the recipient group, as well as the articulation with the United Nations 2030 Agenda for Sustainable Development, which aims to create a new global model to end poverty, promote prosperity and well-being for all, protect the environment and combat climate change.

The plan will focus on Gender Equality - goal 5 of the 17 SDGs that realize a common vision for Humanity and which aims to adopt and strengthen the promotion of gender equality and the empowerment of all women and girls, at all levels , namely: ending all forms of discrimination; eliminating all forms of violence; recognizing and valuing work; promoting social protection policies; promoting shared responsibility within the home and family; ensuring the full and effective participation of women and equal opportunities for leadership at all levels of decision-making; carrying out reforms to give women equal rights to economic resources; increasing the use of basic technologies, in particular information and communication technologies, in order to promote the empowerment of women.

Aiming to cover all the recommended content areas that affect gender equality in R&I institutions, such as work life balance, recruitment and career progression, gender equality in decision-making processes and prevention of harassment, CIIMAR's Action Plan for Gender Equality takes into account the 5 principal areas:

01) **Work-life balance and organisational culture:** promote gender equality on the organizational culture, ensuring an open and inclusive working environment and work-life balance;
02) **Gender balance in leadership and decision-making**: continue to guarantee the share of woman in leadership and decision making;
03) **Gender equality in recruitment and career progression:** ensure that women and men get equal chances to develop their careers;
04) **Integration of the gender dimension into research and advanced training contents:** incorporate sex and gender in the research targets and developing methodologies that incorporate sex and gender analysis;
05) **Measures against gender-based violence including sexual harassment**: ensure clear institutional policies on sexual harassment and other forms of gender-based violence.

As part of it's Gender Equality Plan (GEP) CIIMAR commits to the following:

1. Public document: The GEP is available and public on the CIIMAR's website (http://www2.ciimar.up.pt/), which was actively communicated within the institution.

2. Dedicated resources: A Gender Equality Committee with dedicated resources and expertise in gender equality was created to ensure a good implementation of the plan. This committee, balanced in terms of gender, includes representatives of: Board of Directors; Human Resources Office; Legal Office; Staff; PhD Students; Research Line Global Changes and Ecosystem Services; Research Line Biology, Aquaculture and Seafood Quality; Marine Biotechnology.

3. Data collection and monitoring: Relevant gender disaggregated data on personnel will be collected and analysed annually.

4. Training: Awareness-raising activities and training actions on gender equality are planned. These activities and actions will cover unconscious gender biases training aimed at staff and decision-makers, including communication activities that focuses on specific topics relevant for CIIMAR context.

To achieve the proposed goals, CIIMAR establishes the actions defined in the following tables, and considering the timeline from now until the first monitoring process.

01) WORK-LIFE BALANCE AND ORGANISATIONAL CULTURE

OBJECTIVES	TARGET	MEASURES	AUDIENCE	INDICATORS	OFFICES	ODS(S)
Implement the commitment and policy for gender equality	Engaging the hole organization	Promote and publicize the policy for gender equality	Researchers, Collaborators and Fellowships	Publicize the plan on several platforms	HR; Communication and outreach	ODS5 ODS16
Training related to gender equality	Awareness raising on gender equality	Training/Awareness Sessions	Researchers, Collaborators and Fellowships	Number of training actions	HR	ODS5 ODS16
Promote measures of flexibility of space and time	Contribute to a policy of reconciling professional and family life	Remote work	Researchers, Collaborators and Fellowships	Number of workers in special regimes	HR	
		Flexible schedule				
		Continuous time schedule				
Disseminate and encourage the use of parenting support measures and their combination with professional life	Contribute to a policy of reconciling professional and family life parenting promotion	Informative contents regarding parenting rights and legal protection regimes	Researchers, Collaborators and Fellowships	Monitoring CIIMAR initiatives; Satisfaction surveys	HR; Juridical; Communication and outreach; Science and Innovation Office	ODS5, ODS10, ODS6
		Full Christmas allowance for the year in which the worker was on maternity - no need to request compensatory benefit at social security				
		Worker's birthday				
		Celebration of the birthdays of the month				
		Welcome email: “Look who’s new!”				
		Benefits: yoga, football team; UP/CMM benefits for collaborators and family				
		Commemorative days, e.g.: CIIMAR’s anniversary; Family day; International Women's Day; International Day for the Elimination of Violence against Women; International Women's Equality Day				
		International Day of Women and Girls in Science – BLUE WOMAN Talent - Award				

02) GENDER BALANCE IN LEADERSHIP AND DECISION-MAKING

OBJECTIVES	TARGET	MEASURES	AUDIENCE	INDICATORS	OFFICES	ODS(S)
Promote parity on governance bodies and top positions	Contribute to a policy of parity	Regulation and good practices development	Board of Directors; Team leaders	Share of women and men in leadership positions	Board of Directors	ODS5, ODS10, ODS6
Promote parity on advisory internal and external bodies						
Commit to gender equality issues internally and externally		Parity policies		Number workshops realized; Number of participants	HR; Juridical	
		Conferences				

03) GENDER EQUALITY IN RECRUITMENT AND CAREER PROGRESSION

OBJECTIVES	TARGET	MEASURES	AUDIENCE	INDICATORS	OFFICES	ODS(S)
Define the recruitment and progression policy	Contribute to equality in recruitment and career	Recruitment Code of Conduct Career's Regulation	Researchers; Collaborators	Available documents	Board of Directors; HR; Juridical	ODS5, ODS10, ODS6
Promote gender equality in the recruitment of researchers, technicians and grants	Contribute to a policy of gender equality in recruitment	Provide guidelines to the jury	Researchers; Jurys	Impact of good practice guides; Share of Women and men in evaluation committees	Board of Directors; HR	ODS5, ODS10, ODS6
		Propose the constitution of joint juries				
		Review the announcements according to equality criteria				
		Gender-inclusive language in internal and institutional communications				
Promote gender equality in the career assessment and progression	Contribute to a policy of gender equality	Propose the constitution of joint juries	Researchers; Collaborators	KPI; Satisfaction surveys	Board of Directors; HR	ODS5, ODS10, ODS6

04) INTEGRATION OF THE GENDER DIMENSION INTO RESEARCH CONTENT

OBJECTIVES	TARGET	MEASURES	AUDIENCE	INDICATORS	OFFICES	ODS(S)
Promote the discussion about equality issues in science	Contribute to a policy of gender equality	Promote a balanced level of representation between genders	Researchers; Collaborators and Fellowships	Share of women and men in research teams	Science and Innovation Office; HR	ODS5, ODS10, ODS6
Ensure the gender dimension in research and teaching	Incorporate sex and gender analyses in research	Promote an award to projects focused on the gender dimension	Researchers; Fellowships	Number of projects proposed; CIIMAR initiatives	Science and Innovation Office; Communication and outreach	

05) MEASURES AGAINST GENDER-BASED VIOLENCE INCLUDING SEXUAL HARASSMENT

OBJECTIVES	TARGET	MEASURES	AUDIENCE	INDICATORS	OFFICES	ODS(S)
Promoting a culture of mutual respect and of Zero Tolerance Toward Sexual Harassment And Violence	Contribute to a policy of gender equality	Regulations and good practices	Researchers; Collaborators and Fellowships	Participation in events	HR; Communication and outreach	ODS5, ODS10, ODS6
Alert for harassment issues and its different dimensions	Reduce inequalities	Communication and dissemination channels	Researchers; Collaborators and Fellowships	Site views	HR; Communication and outreach	
Receive and direct complaints	Support the victims	Constitution of a support committee Make available an email for complaints	Researchers Collaborators Fellowships	Number of cases followed up by the committee	HR; Committee; TI	ODS5, ODS10, ODS6

IMAGE 3: Sustainable Development Goals.

VI. METHODOLOGY, MONITORING AND EVALUATION

CIIMAR GEP is a result of a process to improve gender equality in which the leadership is fully compromised.

It started with the audit phase, the collection of gender-disaggregated data of processes and practices, essential for the planning phase of setting objectives and targets for the GEP alongside a roadmap of actions and measures.

The next step is the implementation phase. In order to ensure a good implementation of the GEP, CIIMAR will carry out monitoring and reporting of the data collected on an annual basis, reviewing the progress in agreement with GEP aims and objectives. GEP includes a set of indicators which will allow monitoring the success of the implementation of the plan and provide space for learning and feedback to enable adjustments and improvements to future interventions.

GEP is a formal document published on CIIMAR's website and signed by the top management that will be continuously disseminated and communicated across the institution. Regular reports will allow ongoing organizational review of GEP's impact and engage all the institution.

Effective monitoring will depend on developing relevant indicators for each measure. CIIMAR intends to be able to consider new data for the next monitoring/reviewing process like:

- Number of female and male candidates applying for research positions;
- Number of women and men having left the institution in past years, specifying the number of years spent in the organisation;

- Numbers of staff by gender applying for/taking parental leave, for how long and how many returned after taking the leave;
- Number of training hours/credits attended by women and men;
- Wage gaps by gender and job;
- Number of news in the media of research activities of women and men;
- Share of women and men among reviewers, heads of panels, scientific events organization and participation.

VII. TEAM

Isabel Regal Teixeira | Juridical Support

Joana Moreira da Silva | Science and Innovation Office

Marlene Cruz | Human Resources Office

SOURCES

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KENYA MARINE AND FISHERIES RESEARCH INSTITUTE

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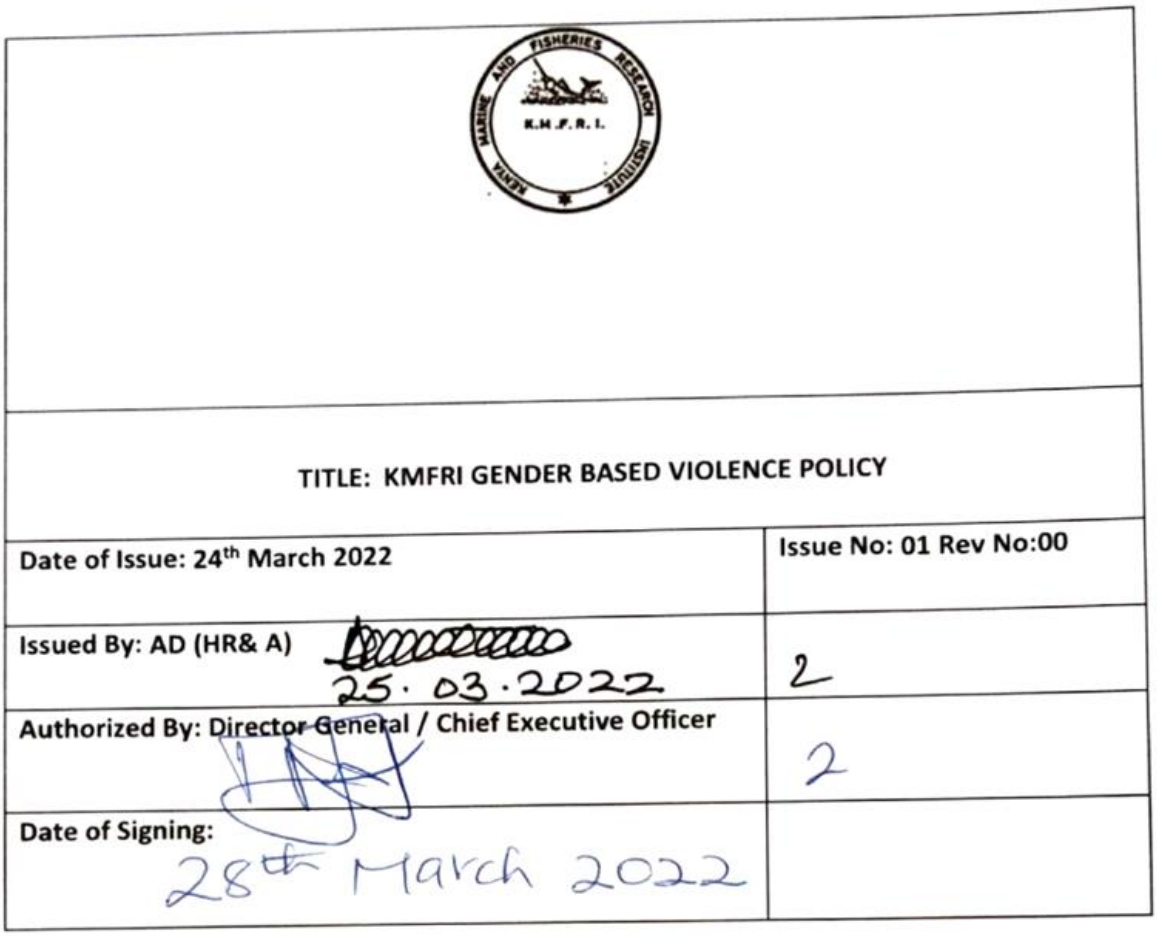
March, 2022



TITLE: KMFRI GENDER BASED VIOLENCE POLICY	
Date of Issue: 24th March 2022	Issue No: 01 Rev No:00
Issued By: AD (HR& A) 25.03.2022	2
Authorized By: Director General / Chief Executive Officer	2
Date of Signing: 28th March 2022	

1.0 DOCUMENT CHANGES

Date	Changes	Authorized by	Ref. No.

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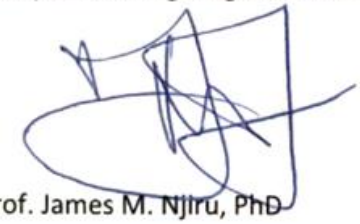
FOREWORD

Kenya has a progressive Constitution and has made major strides in developing legislative and policy frameworks on response, prevention and management of workplace Policy on Gender Based Violence (GBV). At the international and regional level, there exist a series of instruments that protect women and girls against GBV. Kenya is a signatory to most of the commitments in these instruments and have a horde of legislative and policy frameworks to addressing GBV. KMFRI Gender Based Violence Policy (KGBVP) was prepared to provide guidance to the management on critical elements and considerations for workplace Policy on GBV. This Policy on GBV should be read alongside the KMFRI Gender Mainstreaming Policy (KGMP) prepared with support of the National Gender and Equality Commission (NGEC). I encourage KMFRI staff to domesticate the Policy to their departmental needs. I believe this Policy framework will further provide a mechanism for coordinating the response to workplace GBV and urge the KMFRI Board of Management to provide adequate resources and enhance comprehensive response to workplace GBV. The policy framework is hoped to bring long-term and sustained change within the insitution.



Prof. James M. Njiru, PhD

Director General/CEO -KMFRI

ABBREVIATIONS AND ACRONYMS

GBV	Gender Based Violence
GD	Gender Discrimination
GM	Gender Mainstreaming
GMC	Gender Mainstreaming Committee
ILO	International Labour Organization
KMFRI	Kenya Marine and Fisheries Research Institute
SH	Sexual Harassment
SFP	Sexual Harassment Policy

DEFINITION OF TERMS

Gender	Refers to the characteristics of women, men, girls and boys that are socially constructed. This includes norms, behaviours and roles associated with being a woman, man, girl or boy, as well as relationships with each other. As a social construct, gender varies from society to society and can change over time.
Gender-based violence	Any harmful act that is perpetrated against a person's will and that is based on socially ascribed (i.e. gender) differences between males and females. It includes acts that inflict physical, sexual or mental harm or suffering, threats of such acts, coercion, and other deprivations of liberty. These acts can occur in public or in private.
Inclusion	Refers to reducing inequalities based on social backgrounds, identities, roles and power relations. Providing inclusive services means giving equitable access to resources for all. In the long term, inclusion also focuses on facilitating access to opportunities and rights for all by addressing, reducing and ending exclusion, stigma and discrimination.
Internal clients	Employees, applicants for employment, paid or unpaid interns, attachees and non-employees, including those with KMFRI responsibilities, those who carry out business in the name of the KMFRI, and third-parties conducting business with the KMFRI(independent contractors, and those employed by companies contracting to provide services in the workplace). Harassers can be a superior, a subordinate, a coworker, or anyone in the workplace including an independent contractor, contract worker, vendor, client, customer, or visitor.
External clients	All other individuals dealing with KMFRI to supply or acquire information or services; this may include but not limited to independent contractors, suppliers, consumers of KMFRI outputs (fish feeds, fingerlings etc).

Sexual and gender-based violence (SGBV)	Refers to categories that include, but are not limited to, sexual violence, intimate partner violence, trafficking, forced/early marriage, sexual harassment, forced prostitution, femicide, female genital mutilation, sexual exploitation and abuse, and denial of resources, opportunities and services.
Sexual harassment	Making of unwelcome, unwanted, unsolicited, offensive, humiliating, intimidating or inappropriate sexual advances or requests or the exposure or display of any pornographic or sexually obscene material to any person against his/her will with a view to using the same as a basis for employment or advancement in career of a victim or with the effect of interfering with a victim's work performance or with the effect of creating an offensive working, or living environment.
Prostitution	The buying or selling of sexual services
Rape	An intentional and unlawful penetration of one person by another with his/her genital organs without the other's consent.

1. Introduction

1.1 Background

This policy is based on international good practices where as defined by International Labour Organization (ILO), sexual harassment is "a sex-based behaviour that is unwelcome and offensive to its recipient", which is consistent with the provisions of the National Labour Laws: CAP.226 Part II Section 6 of the Employment Act (2007): Section 21 of the Public Officers Ethics Act (2003), and in Section 23 of the Sexual Offences Act (2006).

KMFRI is committed to articulating gender mainstreaming and zero tolerance to sexual and gender-based violence and identification of punishments that can be recommended for such prohibited conduct so as to provide a work environment that is free from sexual harassment in any form. As such this policy is developed to provide guidelines, information and intervention strategies which will ensure KMFRI is devoid of workplace GBV.

This policy will ensure a dynamic approach that promotes the inclusion of gender and diversity as the foundation for KMFRIs actions, in particular KMFRIs institutional arrangements, operations and programme cycles. Implementation will require more than technical steps; it will require resources and a real transformation of KMFRIs traditional power structures, institutional cultures and behavior. KMFRI is committed to the actualization of this transformation.

Mandate

To undertake research in marine and freshwater fisheries, aquaculture, environmental and ecological studies, and marine research including chemical and physical oceanography, in order to provide scientific data and information for sustainable development of the Blue Economy.

Vision

A Centre of Excellence in innovative research in marine, fisheries and the Blue Economy for development.

Mission

To generate and disseminate scientific information for sustainable development of the Blue Economy.

Core Values

To fulfil her mandate and realize its mission, the operations of KMFRI are guided by the following core values:

i) Integrity

ii) Transparency

iii) Accountability

iv) Professionalism

v) Team work

vi) Equity and equality

KMFRI strategic model

The strategic intent of KMFRI, which is embodied in the Vision, Mission, Core Values, Key Result Areas, Strategic Objectives and Strategies are outlined in KMFRI Strategic Plan (2017 – 2022) which also fits within the Medium Term Plan (MTP)III framework. The Vision, Mission, Core Values have already been discussed in the earlier section where the mandate of KMFRI was presented.

1.2 Purpose

The purpose of this policy is to ensure that KMFRI practices gender mainstreaming (GM) while ensuring a zero-tolerance culture to any form of gender discrimination (GD) and gender-based violence (GBV) in the workplace where all incidences will be treated with seriousness, fairness and objectivity. All incidents of GBV and GD shall be promptly investigated while ensuring utmost respect and confidentiality. Any person found to have violated the policy, disciplinary action, up to and including dismissal from employment. The complainant shall not be victimized.

1.3 Scope

Applicability

This policy applies to KMFRI's internal and external clients, and covers all unwelcome GBV or requests as outlined in this policy document. KMFRI recognizes that GBV and GD can occur between any individuals, regardless of their sex, gender or sexual orientation. What matters is that the GBV and GD is unwanted and unwelcome by the person against whom the conduct is directed.

2. Policy statement

Kenya Marine and Fisheries Research Institute (KMFRI) is committed to providing a safe environment for all its employees free from any form of workplace GBV and GD. Any employee or individual covered by this policy who is found to have engaged in GBV and GD or Retaliation will be subject to remedial and/or disciplinary action, up to and including termination of employment pursuant to KMFRI's disciplinary processes. Effective corrective action will be taken whenever GBV or GD is found to have occurred. KMFRI's internal and external clients are required to cooperate with any internal investigation, and should be empowered to do so without fear of retaliation.

This protection from retaliation is not intended to prohibit supervisors from taking action, including disciplinary action, in the usual scope of their duties and based on legitimate performance related or other non-retaliatory factors. The retaliation provisions in this policy are not intended to protect persons making intentionally false complaints and any party who brings such an intentionally false complaint may be subject to disciplinary action.

All GBV and GD is prohibited whether it takes place within KMFRI premises or outside, including at social events, fieldwork and other business trips, training sessions or conferences whether sponsored or not sponsored by KMFRI.

3. Legislative and regulatory context

The Government has made commitments that would remove the systemic barriers that allow GBV to thrive. While this is commendable, Kenya has seen a steady rise in GBV frameworks that reduce aggravation of sexual and GBV violations in the country. In June 2021, the Government of Kenya unveiled a policy brief titled "Kenya's Roadmap to advancing gender equality, ending all forms of gender-based violence and female genital mutilation by 2026."

Additionally, there are existing policy and legislative framework that make provision for prosecution. This includes:

The **Constitution of Kenya (2010):** It guarantees equality and freedom from discrimination, human dignity, the right to freedom and security of the person, protection from slavery, servitude and forced labour, and the rights of children. It further provides that fundamental rights and freedoms may not be limited.

GD is also covered int he Constitution of Kenya Article 10 section (2) where the national values and principles of governance include— (b) human dignity, equity, social justice, inclusiveness, equality, human rights, non- discrimination and protection of the marginalized. And Article 27 (4) The State shall not discriminate directly or indirectly against any person on any ground, including race, sex, pregnancy, marital status, health status, ethnic or social origin, colour, age, disability, religion, conscience, belief, culture, dress, language or birth (5) A person shall not discriminate directly or indirectly against another person on any of the grounds specified or contemplated in clause (4).

The Employment Act (2007), CAP.226 Part II Section 5 and 6 directs against SGBV and GD in employment respectively. This offence is addressed in Section 21 of the Public Officers Ethics Act (2003), and is criminalized in Section 23 of the Sexual Offences Act (2006).

Protection against Domestic Violence Act (2015): This Act is the only legislation in Kenya that solely addresses violence within the family set-up and seeks to protect persons in a domestic relationship including relatives and children. It creates prosecutable offenses including economic

violence, emotional abuse, stalking, interference from in laws as well as virginity testing and sexual violence in marriage. Remarkably, a person can report abuse on behalf of a victim.

The **National Policy for Prevention and Response to gender-based violence (2014):** It was written with the principal objective of accelerating the implementation of legislation, policies and programmes for prevention and response to GBV by state and non – state actors for the realization of a society where men, women, boys and girls are free from all forms violence.

The **Victim Protection Act (2014):** It was enacted with the aim of giving effect to the rights and protecting the dignity of victims of crime. The Act intends to achieve this through provision of better information, support services, reparations and compensation from the offender and establishment of programs to assist vulnerable victims. This is crucial in prosecution of GBV offences where victims are mostly disadvantaged and often undergo re-victimization in the justice process.

The **Sexual Offences Act (2006):** It defines sexual offences and makes provision for the investigation and prosecution of offences with particular regard to offences against children, persons with disabilities as well as offences perpetrated by persons in authority or in positions of trust.

4. Confidentiality

Confidentiality is an extremely important issue for people who have concerns about GBV or GD and offences. Administrators responsible for implementing this policy will respect the privacy and confidentiality of individuals reporting or accused of sexual offences to the fullest extent. However, the institute is obligated to investigate all allegations that might be serious enough to constitute sexual offences as defined in Section 23 of the Sexual Offences Act (2006) and thus confidentiality cannot be guaranteed unless a legally protected relationship exists.

Confidential consultations may be available from individuals who, by law, have special professional status, such as mental health counsellors, physicians, chaplains, church ministers, and/or personal attorneys. In these cases, the level of confidentiality depends on what legal protections are held by specific persons receiving the information. Whichever person, the complaining or accused parties choose to discuss their concerns with, the issue of confidentiality should be addressed with them before specific facts or identities are disclosed.

To avoid and minimize malicious allegations, there is no provision for anonymous complaints under this Policy. In any investigation of GBV allegations, the accused must promptly be made aware of the complaint and of the identity of the complainant(s). In most situations, it is possible to consult with these individuals initially without disclosing one's name or department. It is important to understand, however, that when an administrator knows what constitutes sexual discrimination or harassment, he/she has an obligation to immediately start investigation into the matter. An investigation requires that the complainant be identified so that the accused can be assured of fairness.

5. Resources for Information and Assistance

Prevention is considered an action of choice as opposed to reactive response to GBV. All members of the institute should feel free at any time to seek advice from any of the resources listed here when attempting to deal with behaviour they believe is discriminatory. Questions concerning this Policy may be addressed to the institute's ADHR&A and GM Chairman. These individuals are prepared to help all members of the institute to understand the Policy. They are able to explain the options available for resolving concerns related to GBV in work settings at the institute.

Additional copies of this Policy and forms are available from the Director, Library, Head of Department, and KMFRI website.

6. Service Delivery/ operations in KMFRI

To achieve goals in this policy KMFRI shall:

- Incorporate a gender and diversity analysis in all of KMFRIs departments, programmes, operations, services and tools, in order to ensure dignity, access, participation and safety for persons of any gender, sexual orientation, age, color, disability, socio-economic and legal status, faith, nationality and ethnic origin. This analysis will cover the full management cycle, from assessment to planning, monitoring and data collection, evaluation and reporting. It will be facilitated through the implementation of the existing policies.
- Ensure community engagement and accountability to acknowledge people's self-determined priorities, especially focusing on the most vulnerable to discrimination, exclusion and violence.
- Integrate measures to prevent and respond to sexual and gender-based violence (including sexual exploitation and abuse by humanitarian actors) in all programmes and operations.
- Ensure that personnel with specialized training in protection, gender and inclusion issues technically supervise programmes and operations, and that all staff and volunteers hold core competencies in protection, gender and inclusion and the "do no harm" principle.
- Seek opportunities to share knowledge about gender, GBV and intersectionality with each other and collaborate to develop better ways to promote equality, embrace diversity, understand intersectionality and strengthen participation and access to equal opportunities for those discriminated, neglected or marginalized.
- Undertake specific programmes and activities to promote diversity inclusion, equality, open-minded attitudes towards gender inclusion and to develop interpersonal skills such as critical thinking, non-violent communication, empathetic listening and mediation.

6.1 Treatment of GBV and GD reports

Each office and person involved in advising complainants on sources of assistance or investigating a reported incident must avoid comments that might dissuade victims from pursuing their rights or constitute threats of retaliation. Threats may include "fear of being embarrassed", "fear of

retaliation" and "lack of assertiveness". Such behaviour by an adviser or investigator is in itself discriminatory and is a violation of this policy.

During investigation, relevant matters to consider may include (but are not limited to):

i) The nature of the conduct;
ii) The circumstances of the incident;
iii) The risk of harm to the alleged perpetrator or others;
iv) Whether the GBV breaches a professional code of conduct specific to the member of staff in question;
v) Whether the GBV took place in the course of employment or not;
vi) The potential impact of the GBV on the individual's ability to effectively carry out their duties.

6.2 Procedures and options for reporting/filing complaints and investigation

Staff harassed or discriminated against by Staff

A staff member who believes he/ she has been a victim of sexual harassment or discrimination may attempt to resolve the matter initially through GM / Complaints committee most directly concerned, unless this is the person accused of GBV and GD) within 7 calendar days of the last incident of alleged GBV. During the period a staff complainant is under review by the committee, the time limits for filing an internal grievance will be suspended. Additional information about this process is available from the ADHR&A. In the event that the mediation procedure fails, a staff is encouraged to pursue the grievance redress mechanism within the institute.

6.3 Complaint and Investigation Process in Cases of GBV and GD

It is essential that GM committee treats complaints concerning these and other possible violations regarding this policy very seriously, when such concerns are raised about its staff, as described in the investigation procedures and resort to disciplinary proceedings when complaints are substantiated.

The focus of the investigation is to:

- Find out if the staff member has breached the organization's policy
- Recommend appropriate and proportionate disciplinary action

- Protect individuals from being abuse or exploited
- Highlight issues relating to poor practice/performance
- Identify aspects of programme delivery or performance that increase risks of abuse or exploitation by staff.

6.4 Core Principles of an Investigation

Thoroughness: investigations must be conducted in a diligent, complete and focused manner.

Confidentiality: complainants, witnesses and the subject of allegations have a right to confidentiality other than in certain, exceptional circumstances.

Safety Paramount: the safety and welfare needs of the victim/survivor and/or complainant are paramount.

Competent, Responsible, Independent Investigators: people conducting investigations and preparing reports should be responsible, independent and have received training.

Impartiality: investigations must be conducted in a fair and equitable way.

Investigators must be free of any influence that could impair their judgement.

Objectivity: evidence to support and refute the allegation, must be gathered and reported in an unbiased and independent manner

Timelines: investigations must be conducted and reported in a timely way

Accuracy and Documentation: investigation reports and their conclusions must be supported by adequate documentation.

7. Implementation of this policy

The GBV policy will be implemented in close consultation with KMFRIs ADHR and GM committee action plan which will be developed and a budget allocated. The GM committee will establish , coordinate and guide the implementation of this policy.

8. Policy review

The policy takes effect upon the date it is signed and will be reviewed after every three years or when need arises in adherence to statutory requirements.

9. Monitoring and evaluation of the GBV policy

KMFRI management shall continuously facilitate review and amendment of all policies to ensure adoption of Codes of Conduct aimed at tackling GBV in the workplace while designing appropriate GBV prevention and response mechanisms.

KENYA MARINE AND FISHERIES RESEARCH INSTITUTE

KMFRI GENDER MAINSTREAMING POLICY (KGMP)

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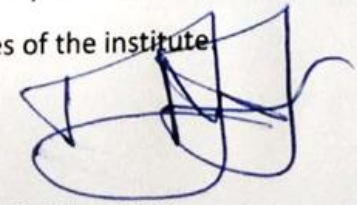
FOREWORD

The development of the KMFRI Gender Mainstreaming Policy (KGMP) has come at a time when Kenya is in the process of implementing the Vision 2030 aimed at transforming Kenya into "a newly-industrializing, middle income country providing a high quality of life to all its citizens in a clean and secure environment". Thus, the Government recognizes that gender mainstreaming is intrinsically linked to sustainable development and as such, this Policy is informed by various Government policy documents and statutory frameworks expected to propel gender equality. Kenya Marine and Fisheries Research Institute (KMFRI) continues to be consistent with the government's efforts for addressing gender inequalities at all levels of government and by all stakeholders. Moreover, the policy takes cognizance of efforts required to ensure gender mainstreaming across all KMFRI's operations in order to generate efficient and equitable productivity outcomes. The Policy further provides a basis for the Institute to accentuate its commitment to addressing any existing imbalances by taking into account the different needs and skills of women and men, and other special interest groups for the enhancement of gender equality.

To ensure that gender equality is integrated into the design, implementation and evaluation of policies and programs and projects, the policy identifies key thematic areas, namely: governance and workforce composition; training and awareness creation; Work environment, infrastructure and facilities; structures, systems, policies procedures and operations. This Gender Mainstreaming Policy therefore provides provisions to guide gender responsive planning, operations and practices within KMFRI and sets out strategies for integration of gender perspectives in the workplace. It is therefore envisaged that this policy will provide a framework for advancement of both men and women as well as other special interest groups for greater efficiency in resource allocation and utilization for empowerment of all. This Policy and its implementation will be subjected to monitoring and review for effective and efficient implementation taking into account emerging issues. The Board of Management will strive to ensure that it promotes equal opportunities and the full participation of staff and stakeholders in the activities of the institute.



Prof. James M. Njiru, PhD

Director General/CEO -KMFRI

ABBREVIATIONS AND ACRONYMS

AGPO	Access to Government Procurement Opportunities
AIDS	Acquired Immune Deficiency Syndrome
BPA	Beijing Platform of Action
CEDAW	Convention on the Elimination of all forms of Discrimination
HR	Human Resources
KMFRI	Kenya Marine and Fisheries Research Institute
MDGs	Millennium Development Goals
MDAs	Ministries, Departments and Agencies
NGEC	National Gender and Equality Commission
NGO	Non-Governmental Organizations
PWDs	persons with disability
PC	performance contracting
QMS	Quality Management Systems Procedure Manual
SIGs	Special Interest Groups
UN	United Nations

DEFINITION OF TERMS

Affirmative Action	Action taken on temporary basis in favour of a disadvantaged group so as to enhance equity.
Empowerment	A process through which men, women, boys and girls acquire knowledge, skills and attitudes to critically analyze their situations and take appropriate action to improve their status or that of the marginalized groups in the society.
Engender	The process of ensuring that planning and programming is appreciative of and takes into account the gender differences and concerns.
Gender	This refers to the socially determined power relations, roles, responsibilities and entitlements for men and women, boys and girls.
Gender Analysis	The process of examining roles, responsibilities or any other aspects with regard to women and men, girls and boys, with a view to identifying gaps, raising concerns and addressing them; investigating and identifying specific needs of girls and boys, women and men for policy and programme development and implementation.
Gender Discrimination	Refers to unequal or preferential treatment to individuals or groups based on their gender that results into reduced access or control of resources and opportunities.
Gender Equality	Refers to equal treatment of women and men, boys and girls so that they can enjoy the benefit of development including equal access to and control of opportunities and resources.
Gender equity	Refers to the practice of fairness and justice in the distribution of benefits, access to and control of resources, power, opportunities and services. It is essentially, the elimination of all forms of discrimination based on gender.

Gender Mainstreaming	This is the consistent integration of gender concerns into the design, implementation, monitoring, and evaluation of policies, plans, programmes, activities and projects at all levels. Gender mainstreaming involves: (i) Making men's and women's concerns and experiences an integral part of the design, implementation, monitoring and evaluation of policies and programs in all sectors of society; (ii) Changing policies and instructions so that they actively promote gender equality; (iii) Rethinking socio-cultural values and development goals in the long-term.(get
Gender Parity	This is a numerical concept referring to equal number of girls and women, boys and men relative to their respective numbers in the population.
Gender Responsiveness	Refers to action taken to correct gender imbalances.
Gender Roles	These are socially assigned roles and responsibilities as opposed to biologically determined functions.
Gender Sensitization	The process of developing people's awareness, knowledge and skills on gender issues.
Participation	A general term used to refer to active involvement in enrolment, retention, progression, performance and transition.
Provisions	Refers to policy pronouncements on actions to be taken or the resources provided.
Sex Disaggregated Data	Classification of information on the basis of sex; that is male or female.
Gender-Based Violence	Refers to violence meted out to people belonging to a given gender.
Sexual Harassment	Unwelcome acts of a sexual nature that cause discomfort to the targeted person. These include words, persistent request for sexual favor, gestures, touch, suggestions coerced sexual intercourse or rape.

CHAPTER ONE

INTRODUCTION

1.1 Background

Kenya Marine and Fisheries Research Institute (KMFRI) is a State Corporation established in 1979 by the Science and Technology Act, Cap 250 of the Laws of Kenya, which has since been repealed by the Science, Technology and Innovation Act No. 28 of 2013 which has recognized KMFRI as a national research institution under section 56, fourth schedule.

Mandate

To undertake research in marine and freshwater fisheries, aquaculture, environmental and ecological studies, and marine research including chemical and physical oceanography, in order to provide scientific data and information for sustainable development of the Blue Economy.

Vision

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Core Values

To fulfil her mandate and realize its mission, the operations of KMFRI are guided by the following core values:

i) Integrity

ii) Transparency

iii) Accountability

iv) Professionalism

v) Team work

vi) Equity and equality

1.2 Gender Mainstreaming

The process of assessing the implications for women and men of any planned action, including legislation, policies or programs, in all areas and at all levels. It is a strategy for making women's as well as men's concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of policies and programs in all political, economic and societal spheres so that women and men benefit equally and inequality is not perpetuated. Mainstreaming is about engendering all operations to ensure a gender perspective approach and attainment of gender equality. It entails re-organization, improvement, development and evaluation of policy processes, so that a gender equality perspective is incorporated in all policies, programs and projects at all levels and at all stages.

1.3 Rationale

A comprehensive gender policy framework is essential in order to guide gender mainstreaming in KMFRI. Equality between women and men is a necessary condition for the achievement of productivity, economic growth as well as social cohesion in the workplace. Occupational segregation in the workplace has led to a focus on diversity and inclusion because it gives access to a range of perspectives to make the best decisions about how to improve productivity. It is critical in the elimination of gender disparities and enhancement of gender equity and equality in KMFRI through systematic programming of target interventions. Thus, this policy establishes mechanisms to eliminate all gender disparities in all KMFRI operations.

The Constitution of Kenya 2010 provides for equality and freedom from discrimination bestowing the duty to address the needs of special interest groups within the society by all state organs and public officers. This has been operationalized through performance contracting (PC) that requires all government Ministries, Departments and Agencies (MDAs) to integrate gender mainstreaming in the work place. It further requires the domestication and implementation of the National policy of gender and development**,** 2019 to organizational needs.

1.4 Scope

This Policy applies to all staff employed by KMFRI on a permanent, contract or temporary basis, attachés, interns as well as the external clients. The gender mainstreaming policy provisions will apply in the design of programs and/or projects to be implemented by KMFRI at all levels. This Policy aims at achieving equality of opportunity and outcomes with respect to access to and control of resources and services; and equality of treatment that meets the specific and distinct needs of different categories of women and men. The policy guidelines, proposals and provisions in this gender policy framework will apply specifically and directly to all centers, stations and departments in the organizational structures of KMFRI.

1.5 Legal and Policy Framework

1.5.1 Introduction

The government of Kenya is a signatory to several international protocols, conventions and treaties relating to the protection of human rights of women, girls as well as persons with disabilities. Article 2(5) & (6) of the Constitution of Kenya 2010, provides the general rules of international law and conventions ratified by Kenya to form part of the law of Kenya. KMFRI is therefore committed to attain gender equality as underlined in the International, regional and National legal and policy instruments described below.

1.5.2 International Legal & Policy Framework

i) The Universal Declaration of Human Rights (UDHR), 1948

It is an international instrument adopted by the United Nations General assembly that enshrines the rights of freedom of all human beings. The declaration is a statement of principles approved as common standard of achievement for all peoples and all nations.

ii) International Covenant on Economic and Socio-Cultural Rights, 1966

It is a multi-lateral treaty adopted by the UN general assembly to guarantee economic, social and cultural rights among them the right to work, social security, education and right to take part in cultural life.

iii) Convention on Elimination of all forms of Discrimination Against Women (CEDAW), 1979

CEDAW defines what constitutes discrimination against women and provides a basis for the realization of equality between women and men through ensuring women have equal access to opportunities in political and public life, including the right to employment. State parties are required to take all appropriate measures, including legislation and temporary measures to ensure that women enjoy their human rights and fundamental freedoms.

iv) Beijing Declaration and Platform for Action, 1995

It was a resolution adopted to promulgate a set of principles concerning the equality of women and men. It flagged 12 key areas where urgent action was needed to ensure greater equality for women and men, girls and boys laying concrete ways for countries to bring about change. The 12 key areas included, women and Poverty, Education and training for women, women and health, violence against women, women and armed conflicts, women and Economy, women in power and decision making, Institutional mechanisms, human rights of women, women and the media, women and the environment and the girl child.

v) The Convention on the Rights of Persons with Disability (CRPD), 2008

CRPD is a UN treaty that defines the rights of persons with disability and protects them from any form of discrimination to ensure that they enjoy all human rights and fundamental freedom and the attainment of full equality within the society.

vi) The Sustainable Development Goals (SDGs) 2015

SDGs supports the achievement of gender equality by ending all forms of discrimination, violence and any harmful practices against women and girls by 2030. Specifically Goal 5 calls for full participation of women and equal opportunities for leadership at all levels of political and economic decision-making.

vii) The International Labour Organization Conventions

The Equal Remuneration no. 100, 1951 supports the principle of equal renumeration for both men and women workers for work of equal value. In addition, the Employment and Occupation Convention no. 111, 1958 provides for equal opportunity, occupation and non-discrimination in

the field of employment and economic security and as such, discrimination shall constitute a violation of rights articulated by the Universal Declaration of Human Rights.

1.5.3 Regional Legal & Policy framework

i) African Charter on Human and people's Rights (Banjul Charter), 1981

The charter is intended to promote and protect human rights and basic freedoms in the African continent. It further provides every individual equality before the law, enjoyment of human rights and freedom without discrimination.

ii) Protocol to the African Charter on Human and people's Rights on the Rights of Women in Africa (Maputo Protocol), 2005

The protocol obligates all state parties to combat all forms of discrimination against women through appropriate legislative, institutional and other measures. It also lays emphasis on social welfare with government obligated to adopt and enforce legislative and other measures to guarantee women equal opportunities in work, career advancement and other economic opportunities.

iii) Africa Agenda 2063, 2013

Agenda 2063 promotes attainment of full gender parity. Specifically, aspiration 6 calls for An Africa, whose development is people-driven, relying on the potential of African people, especially its women and youth, and caring for children. Agenda 2063 therefore requires that we live in a more inclusive society where all the citizens are actively involved in decision making in all aspects and where no child, woman or man is left behind or excluded, on the basis of gender, political affiliation, religion, ethnic affiliation, locality, age or other factors.

iv) The African Youth Charter, 2006

The Charter outlaw's discrimination of youth by providing that every young person be entitled to the enjoyments of the rights and freedoms irrespective of their race, ethnic group, color, sex, language, religion, political or other opinion, national and social origin, fortune, birth or other status.

v) Solemn Declaration on Gender Equality in Africa, 2004

This declaration addresses the responsibility for tackling violence against women and gender-based discrimination by calling for member states' continual action towards achieving gender equality and reinforcing their commitment to international and regional women's rights instruments.

vi) East Africa Community Gender Policy

The policy provides a framework, intended to accelerate the realization of gender equality in the Partner States by promoting non-discrimination and gender equality in processes of governance and promoting the participation of women and men by entrenching enabling gender policies and frameworks.

1.5.4 National Legal & Policy Framework

i) Constitution of Kenya, 2010

The constitution provides for implementation of rights and fundamental freedoms for all. It recognizes the aspirations of all Kenyans for a government based on the essential values of human rights, equity, inclusiveness, social justice, equality, non-discrimination and protection of the marginalized as some of the principles of governance. It compels the state and state organs the duty of addressing the needs of the special interest groups. The Constitution directs the State to take legislative and other measures to implement the principle that not more than two-thirds of the members of elective or appointive bodies are of the same gender. Further, the State shall put in place affirmative action programmes designed to ensure the youth, minorities and marginalised groups are provided special opportunities for access to employment. The State shall also ensure the progressive implementation of the principle that at least five percent of the members of the public in elective and appointive bodies are persons with disabilities.

ii) Employment Act, 2007

The Act promotes equality of opportunity in employment in order to eliminate discrimination at the work place. It ensures that no employer can discriminate directly or indirectly against an employee, in respect of recruitment, training, promotion, terms and conditions of employment, termination of employment or other matters arising out of employment.

iii) Health Act, 2017

The Act provides that every person has the right to the highest attainable standards of health. All employers are required to establish lactation stations at the workplace that are adequately provided with necessary equipment and facilities including hand washing equipment, refrigerator or appropriate cooling facilities, electrical outlets for breast pumps, a small table and comfortable seats. Further, the Act requires employers to grant all nursing employees break intervals in addition to the regular times off for meals to breastfeed or express milk.

viii) National Policy on Gender and Development, 2019

The policy seeks to enhance gender equality and women's empowerment in national development. It applies specifically and directly to all Government Ministries, Departments and Agencies with an aim to achieving equality of opportunity and outcomes with respect to access to and control of resources and services. It calls for concerted efforts and allocation of adequate resources to the processes of institutionalizing gender equality for a fairer and transformed society in which women and men will benefit including in decision making.

ix) Kenya Vision 2030

Vision 2030 blueprint prioritizes gender equality in the social pillar since gender inequality is viewed as one of the key developmental challenges facing the country. It aims to mainstream gender by addressing access to opportunities, empowerment, capabilities and vulnerabilities. It also advocates for affirmative action for at least 30% representation of women at all decision-making levels.

x) National Gender and Equality Commission Act, 2011

The Act establishes the National Gender and Equality Commission charged with the mandate to promote gender equality and freedom from discrimination in accordance with Article 27 of the Constitution. The functions of the Commission include: to monitor, facilitate and advise on the integration of the principles of equality and freedom from discrimination in all national and county policies, laws, and administrative regulations in all public and private institutions; and to co-ordinate and facilitate mainstreaming of issues of gender, persons with disabilities and other marginalized groups in national development and to advise the Government on all aspects thereof. Additionally, the Act mandates the Commission to conduct audits on the status of

special interest groups including minorities, marginalized, groups, persons with disability, women, youth and children.

xi) Public Procurement and Asset Disposal Act, 2015

The Act provides for promotion of competition and ensures that competitors are treated fairly. It also reserves a percentage of all public tenders to be awarded to youth, women and PWDS.

xii) Persons with Disabilities Act, 2003

The Act provides for non-discrimination for persons with disability in access to opportunities for suitable employment. It also provides for access of assistive devices, appliances and other equipment to persons with disabilities as well as access to available information and technical assistance to all institutions, associations and organizations concerned with the welfare and rehabilitation of persons with disabilities. It further provides for consultations with the Government in the formulation of suitable curricula for vocational rehabilitation centers and other training facilities for persons with disabilities.

xiii) KMFRI Human Resource management Policies and procedure manual

The Institute commits to upholding the national values and principles of governance by providing for adequate and equal opportunities for appointment, training and advancement, at all levels. It further aspires to observe human dignity, equity, social justice, inclusiveness, equality, human rights, non-discrimination and protection of the special interest groups.

CHAPTER TWO

SITUATION ANALYSIS

2.1 Governance and Workforce Composition

Table 1: Staff distribution by Gender as at 31st January 2021

Center/Station	Male	%	Female	%	Youth	%	Disability	%	Total
Baringo	31	89	4	11	0	0	0	0	35
Kegati	30	64	17	36	0	0	0	0	47
Kisumu	75	61	48	39	2	2	8	7	123
Mombasa	158	65	84	35	18	7	4	2	242
Nairobi	6	43	8	57	1	7	0	0	14
Naivasha	23	70	10	30	0	0	0	0	33
Sagana	22	69	10	31	4	13	1	3	32
Sangoro	49	79	13	21	1	2	0	0	62
Turkana	28	93	2	7	1	3	1	3	30
Total	**422**	**68**	**196**	**32**	**27**	**4**	**14**	**2**	**618**

Table 2 Staff distribution across job cadre by Gender as at 31st December 2021

Job Cadre	Total	Male	%Male	Female	%Female	Disability
Support Staff (CSG 16 & CSG 17 or equivalent) [A-D or equivalent] (RI.1 - RI.2)	**11**	6	**55%**	5	**45%**	-
Operative Staff-Entry level for certificate/Diploma (CSG 12 – CSG 15 or equivalent) [E-H or equivalent] (RI.3 - RI.6)	**285**	190	-	95	-	-
Technical Staff –Entry level for Bachelors (CSG 8 – CSG 11 or equivalent) [J-N or equivalent] (RI.7 - RI.11)	**293**	199	-	94	-	-
Middle Management (CSG 6 & CSG 7 or equivalent) [P-Q or equivalent] (RI.12 - RI.13)	**29**	22	-	7	-	-
Senior Management (CSG 3 – CSG 5 or equivalent) [R-T or equivalent] (RI.14 - RI.15)	**4**	3	**75%**	1	**25%**	-
CEO (CSG 1 & CSG 2 or equivalent) [U and above or equivalent] (RI.18)	**1**	1	-	-	-	-
TOTAL	**623**	**421**		**202**		

The Institute had six hundred sixty-six (623) staff; 421 male and 202 female as at 31st December 2021 who are on permanent and pensionable terms (Table 2). The staff have been categorized into six cadres namely; Support Staff, Operative Staff, Technical Staff, Middle Management, Senior Management and CEO or Policy Level. Support Staff cadre had 6 male and 5 female translating to 45%, Operative Staff cadre had 285 male and 95 female translating to 33%, Technical Staff cadre had 293 male and 94 female translating to 32%, Middle Management cadre had 29 male and 7 female translating to 24%, Senior Management cadre had 4 male and 1 female translating to 25% and CEO cadre had one male.

Only the support staff and the operative staff cadre have met the constitutional requirement of not more than two thirds gender principle.

Table 3: Distribution of staff by station/centers as at 31st January 2022

Center/Station	Male		Female		Youth		Disability		Total
Baringo	31	89%	4	11%	0	0%	0	0%	**35**
Kegati	30	64%	17	36%	0	0%	0	0%	**47**
Kisumu	75	61%	48	39%	2	2%	8	7%	**123**
Mombasa	158	65%	84	35%	18	7%	4	2%	**242**
Nairobi	6	43%	8	57%	1	7%	0	0%	**14**
Naivasha	23	70%	10	30%	0	0%	0	0%	**33**
Sagana	22	69%	10	31%	4	13%	1	3%	**32**
Sangoro	49	79%	13	21%	1	2%	0	0%	**62**
Turkana	28	93%	2	7%	1	3%	1	3%	**30**
Total	**422**	**68%**	**196**	**32%**	**27**	**4%**	**14**	**2%**	**618**

Table 1 & 3 above illustrates the distribution of KMFRI employees across all stations. Table 3 captures data in terms of percentages of female, male, youth and people with disability as posted in KMFRI stations. The distribution is as follows; in Baringo station 89% of employed staff are Male while 11% are Female. Youth and people with disability have 0% representation. In Kegati Station, Males are 64%, Females 36%, in the Youth and Disability category, there is 0% representation. In Kisumu Centre/station Male 61%, Female 39%, Youth 2% and Disability 7%.

Mombasa Centre/Station Male 65%, Female 35%, Youth 7% and Disability 2%. Nairobi Station Male 43%, Female 57%, Youth and Disability the representation was 0%. Naivasha Station Male 70%, Female 30%, Youth and Disability representation was 0%. Sagana Station Male 69%, Female 31%, Youth 13%, Disability 3%. Sangoro Station Male 79%, Female 21%, Youth 2%, Disability 0%. Turkana Station Male 93%, Female 7%, Youth 3%, Disability 3%.

Though working towards Gender Mainstreaming, KMFRI is yet to ensure not more than two thirds of either gender representation during appointments, recruitments, employment, selection to various committees, and training opportunities at all levels.

2.2 Training and Awareness Creation

Knowledge and skills improvement is encouraged in the institute where the management supports employees to undertake training programmes offered by recognized institutions offering trainings both locally and overseas in case where such trainings are not available locally or where the training sponsor requires that the programme be undertaken abroad. Training needs assessment are carried out by the Heads of Departments and handed over to the Human Resource Department who forward the compiled TNA report to the training committee for its recommendations which are further taken up by the Director General's office for approval. The approved recommendations are forwarded to the HR Department for actioning.

Table 4: Staff training for the FY 2020/2021

Variable	Count	Percentage
Male	77	63%
Female	46	37%
Youth (<35 yrs)	10	8%
Disability	0	0%

Both male and female officers are nominated to undertake training in various professions. The institute undertakes capacity building and sensitization in different areas and targets special interest groups as included in the eligibility to tender under the Access to Government Procurement Opportunities (AGPO), road safety mainstreaming, gender mainstreaming, non-communicable diseases, alcohol and drug abuse, disability mainstreaming, mental health, HIV and AIDs among others.

2.3 Work environment, Infrastructure and Facilities

The work environment includes the physical location, infrastructure, facilities, equipment, materials or processes utilised, and the tasks of an employee while in the performance of his/her work. As such, the working environment impacts an employee's sense of well-being, health and motivation at work. It is the employer's responsibility to ensure that the working conditions of workers are conducive since these conditions directly affect the level of an employee's productivity. All staff members, regardless of their sex or position, perceive themselves to be stakeholders in achieving the organization's objectives. KMFRI has adopted the positive working environment agenda, aimed at *'making working life productive, rewarding, enjoyable and healthy for all employees'* hence, KMFRI has:

i) Supported nursing mothers, PWDS, employees with medical conditions, and employees with parental responsibilities who drop their children to school by providing a lactation room, flexible working hours;
ii) Provided support services to deter gender discrimination by providing sign language interpreters to stakeholders with hearing impairments;
iii) Designed gender responsive facilities for use by persons with physical disabilities such ramps, lifts, brailed service charter, and gender friendly toilets.

However, infrastructure and facilities need to be improved in centres and stations outside the headquarters such as ramps, accessible disability friendly toilets, lactation stations and sign language interpretation in all its operations including in the field programs.

2.4 Structures, Systems, Policies, Procedures and Operations

KMFRI ascribes to the best corporate governance practices in the management of its Human Resource, advised by the realization that they are the most critical to its success. A gender mainstreaming and social inclusion support structure is enshrined in the human resource management policies and procedures manual where provision of equal employment opportunities to all regardless of gender, religion, ethnicity, disability and race is included. An internal gender mainstreaming support structure has been set up, i.e. a gender mainstreaming committee for the organizational analysis and the development of a gender mainstreaming strategy which includes the development of this policy.

i) Structures

The adoption of the gender approach by the various structures, systems, procedures and programmes is neither direct nor homogeneous, and there are no monitoring and evaluation measures. In addition, the lack of human and financial resources available and the lack of disaggregated data by gender, consequently constitute barriers to implementing a policy of gender mainstreaming. Analyses have shown that the distribution of tasks between men and women is still done according to a traditional view. For example, in the appointment of staff into substantive committees at the institute in order to contribute to the efficient operation of the institution, women largely make a real but invisible contribution to the productivity of the institution. This is because their contribution to the committees that provide strategic decisions is least recognized. Women contribution is largely concentrated in the ad hoc committees and other appointments while in the substantive committees, they are least represented (26%) (Table 1). The establishment of this policy aimed to eradicate the stereotypes prevalent in the institution seems necessary in this regard. The low presence of women in these substantive positions reflects their low leadership involvement and their limited presence in the governing of the institution. This further applies to the engagement of persons with disability (PWDs) and the youth.

Table 5: Appointment to various committees and taskforces for the FY 2020/21

	Actual		Total	Percentage	
Committee	**Male**	**Female**		**Male**	**Female**
Human Resource Management Advisory Committee	8	1	9	89	11
Senior Advisory committee	5	2	7	71	29
Junior Advisory committee	5	2	7	71	29
Succession planning implementation committee	5	1	6	83	17
Job description analysis committee	8	2	10	80	20
Training committee	4	5	9	44	56
Budget implementation committee	10	1	11	91	9
KMFRI performance management committee	7	2	9	78	22

	Actual		Total	Percentage	
Committee	**Male**	**Female**		**Male**	**Female**
KMFRI research policy committee	7	3	10	70	30
Performance improvement implementation committee	5	1	6	83	17
Standing committee for development of policies	4	3	7	57	43
Budget implementation policy	2	0	2	100	0
ADHOC committee for disciplinary matters for senior officer	4	1	5	80	20
ADHOC Committee to review the choice of appraisal tool	3	3	6	50	50
Committee to draft KMFRI's request for recategorization for	7	2	9	78	22
Information Security Management System committee	4	1	5	80	20
Committee for developing the KMFRI institutional Repository policy	2	2	4	50	50
Overall percentage				**74**	**26**

Other appointments	**Male**	**Female**	**Total**	**Male**	**Female**
Training policy	4	3	7	57	43
Interview panel for support services panel	6	2	8	75	25
Appointment to enhance the proposed KMFRI bill of parliament	8	1	9	89	11
Retreat for finalization of human resource instruments	8	2	10	80	20
Interview panel for support services personnel	3	1	4	75	25
Description analysis committee for 3rd cycle remuneration review	8	2	10	80	20
Roll of honour	3	3	6	50	50
Intellectual property rights	7	3	10	70	30
Succession planning policy	5	2	7	71	29
Draft regulations in rewards recognition and sanctions policy	2	3	5	40	60
Communication strategy	4	3	7	57	43
Performance improvement plan	3	2	5	60	40
Coaching and mentoring policy	3	2	5	60	40
Guidelines for bond on training KMFRI staff	3	3	6	50	50
Guidelines on public participation	2	2	4	50	50
Talent management Policy	4	3	7	57	43
Internship and attachee policy	2	2	4	50	50
Development of operation procedures for reporting loss of	3	3	6	50	50
Overall percentage				**62**	**38**

Source: KMFRI appointment to committee's file

ii) Procedures and processes

In undertaking its mandate of provision of products and services to its clients, the institute has a procedures manual that defines the operational guidelines and contains KMFRI best practices that define her systematic approach to implementing business expectations, plans, and work routines towards achieving the set mission targets. The ISO 9001:2015 Quality Management Systems Procedure Manual (QMS) issue no. 2 provides a framework where employees can review action guidelines and new employees can be efficiently introduced to KMFRI's business operations. In the manual, it establishes a standard of performance, so that all employees may be evaluated fairly and impartially. Although the manual is gender neutral, there is need for it to capture the gender needs.

CHAPTER THREE

POLICY GOAL, OBJECTIVES & GUIDING PRINCIPLES

3.1 The Goal

The overall goal of this policy is to promote gender equality, inclusion and non-discrimination in all KMFRIs operations.

3.2 Objectives

i. To facilitate an enabling work environment for women and men that is gender responsive.
ii. To provide equal opportunities for women and men.
iii. To strengthen organizational values, norms and practices that promote gender equality and inclusion;
iv. To enhance the capacity of staff and stakeholders on gender equality and inclusion.

3.3 Guiding Principles

i. Equality, equity, affirmative action and non-discrimination,
ii. Transparency, accountability and good governance
iii. Respect of the rule of law
iv. The inseparability of public and private spheres of life
v. Inclusion and integration of the special interest groups.
vi. Recognition of differences, diversities and inequalities among women and men

CHAPTER FOUR

POLICY PRIORITY ACTIONS

4.1 Introduction

This chapter discusses the priority actions for addressing gender issues in KMFRI. An organization that is gender responsive has gender concerns anchored in all its key processes including policies, plans, budgets, programmes, projects and activities.

Priority Area: Work environment

Objective: To provide a conducive environment to all women and men for optimum productivity

Strategies:

i) Provide disability friendly facilities such as ramps, lifts, washrooms, parking areas
ii) Establish lactation stations in all centers, stations and buildings.
iii) Provide sign language interpretation services in all KMFRI services including in field operations, scientific research findings dissemination and stakeholders' engagement.
iv) Reinforce implementation of flexi-working hours to nursing mothers, employees with parental responsibilities.
v) Engender the institute's service charter, electronic and print media communication for PWDs with hearing and visual impairment
vi) Provide clear signage and direction within KMFRI area

Priority Area: Equal opportunities

Objective: To promote fair recruitment and selection practices, retention, equal distribution of working resources and improve gender balance in the organization with a long-term goal of attaining the 50:50 percent for both women and men

Strategies:

i) Provide equitable employment opportunities, retention and allocation of resources to male and female employees.
ii) Implement the 30% of procurement opportunities to women, youth and persons with disabilities.
iii) Increase women participation in all cadres including at decision making levels.

iv) Implement the statutory requirement on affirmative action to correct gender imbalances, 5% on PWDs, inclusion of the youth and minorities and marginalized.

v) Ensure equal opportunities for training and career development for both local and international opportunities.

vi) Ensure gender balance while constituting committees

vii) Collect and utilize sex disaggregated data in all programs, projects and processes and at all levels.

Priority Area: Organizational culture

Objective: To promote a gender sensitive organizational culture and social relations by eliminating all forms of discrimination, and marginalization.

Strategies:

i) Engender all institutional policies

ii) Integrate gender as a cross-cutting theme in all programs, projects, procedures, practices and activities

iii) Include special interest groups in all institutional programs and projects in all levels.

iv) Conduct continuous sensitization to staff in all cadres on gender

v) Develop information, educational and communication materials on gender and circulate to staff.

vi) Feature gender related content in the institute's communication platforms.

vii) Disseminate and implement gender related policies including GBV and sexual harassment policy

viii) Establish structures to act on any discrimination cases reported

ix) Recognize and reward gender champions at the workplace

x) related policies including gender mainstreaming policy, gender based violence and sexual harassment policy,

xi) Encourage staff to break the silence of discrimination including by the support staff, interns and attachés

Priority Area: Capacity Building

Objective: To enhance the capacity of staff on gender equality for sustained productivity.

Strategies

i) Train senior managers on gender responsiveness and inclusive leadership

ii) Train human resource staff on gender analysis and mainstreaming as the official custodians of institutional data

iii) Hold continuous trainings to gender mainstreaming committee

iv) Conduct continuous sensitization to staff at all levels, stations and centers

v) Replicate the gender mainstreaming committee in all the KMFRI stations and centers

vi) Establish and strengthen partnerships and collaborations in gender mainstreaming

vii) To equip staff with capacity to collect and use gender disaggregated data.

CHAPTER FIVE

IMPLEMENTATION FRAMEWORK

5.1 Introduction

The implementation of this policy will be a collective effort by all levels of the KMFRI Structure. The successful implementation of this policy objective will depend on collective effort, willingness, and accountability of all stakeholders within the Management. This policy provides to the Management an opportunity for promoting and enhancing gender equality as per the roles provided below:

5.2 Board of Management

a) Support the implementation of this policy
b) Abide by the policy
c) Ensure all institutional policies are engendered

5.3 The Director General/ CEO

a) Approve this policy
b) Ensure the full implementation of this policy
c) Provide adequate allocation of resources for implementation of the policy
d) Appoint gender mainstreaming committee for implementation of this policy
e) Advising the BOM on gender mainstreaming matters
f) Establish a structure for reporting gender mainstreaming violations

5.4 Senior Management

a) Ensure communication, implementation and compliance of this policy at all respective levels
b) Monitor gender mainstreaming compliance at all respective levels

5.5 Gender Mainstreaming Committee

a) Spearhead implementation of this policy
b) Review and report on gender mainstreaming to relevant institutions
c) Disseminate the policy to management, staff and stakeholders
d) Advice management on emerging gender mainstreaming requirements
e) Coordinate implementation of the policy
f) Conduct gender analysis to assess the development impact of men and women
g) Ensure that gender needs and concerns are integrated into the implementation plan and evaluate the effectiveness of the policies and programs;

h) Capacity building programs;
i) Establish partnership to support gender mainstreaming efforts;
j) Develop annual work plans for gender mainstreaming activities
k) Provide organizational capacity for the implementation of all gender activities as outlined in KMFRI Gender Policy.

5.6 Staff

a) Familiarize with the provisions of this policy
b) Adhere to the provisions of the policy
c) Participate in gender mainstreaming activities
d) Report any violations of the policy

CHAPTER SIX

MONITORING, EVALUATION & REVIEW

6.1 Monitoring and Evaluation

Monitoring will be cardinal to the effective and efficient implementation of the KMFRI Gender Policy. This entails the collection, analysis and use of the data and information to determine the progress of implementation.

Periodic evaluation of programme processes with a view to using the findings for programme improvement and planning, and impact assessment will be an integral part of the design, development and implementation of the Policy. Consequently, gender-responsive monitoring and evaluation mechanisms will be instituted. Activities in this area will include identification of gender responsive indicators and targets, training of implementing personnel on monitoring and evaluation concepts and procedures, conducting the monitoring and evaluation, and using the findings for planning interventions.

6.2 Review of Policy Document

This Policy shall be reviewed after three years or as need arises to take into account emerging issues and trends.

The principles, strategies and the organization's arrangements outlined in this gender policy, represent the pursuit of the recognition of the equality of all persons by the Constitution of the Republic of Kenya, and the respect of the human rights provided for in the Universal Declaration of Human Rights that all organizations provide equal opportunity for both men and women citizens.

MAKERERE UNIVERSITY

GENDER EQUALITY POLICY

JULY 2009

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APPENDIX 1: MONITORING AND IMPLEMENTATION MATRIX

1.0 INTRODUCTION

1.1 BACKGROUND

Makerere University is committed to the promotion of gender equality and women's empowerment where all students, academic, administrative and support staff, female and male, enjoy equal opportunities, human rights and non-discrimination in all spheres of University life.

This commitment is demonstrated by institutionalization of affirmative action in the University's admission processes (1990) and the establishment of two institutional mechanisms: the Department of Women and Gender Studies (1990/91), an academic unit; and the Gender Mainstreaming Division (GMD 2002), an administrative unit. Prior to the institution of the GMD as a unit, the University Senate and Council had approved the Gender Mainstreaming Programme (GMP) in 2001/2002. Further, in the seven-year University Strategic Plan: 2000/01-2006/07, Gender Mainstreaming was ranked among the six strategic priorities of Makerere University.

Indeed ever since the establishment of the Gender Mainstreaming Division (GMD) in 2002, the question was never *whether* the University needs a Gender Equality Policy, but *when* the policy would be developed. Now, more than ever before, the need for the policy is critical to the continued growth and strategic integration of the gender mainstreaming perspective in all University functions.

When the University was founded in 1922 it was very much a men-only institution with a masculinist culture. Its motto at the time spoke volumes about the kind of institution it was: "Let's Be Men!" Makerere's concern with gender justice dates back to 1945 when the first six female students were admitted to the University. The motto eventually changed to "We Build for the Future" and more women were admitted. It was, however, in the 1990s when the University started pursuing a broader gender agenda by taking definite steps forward.

In recognition of that earlier commitment to gender mainstreaming, the ten-year University Strategic Plan 2008/2009 - 2018/2019 made a deliberate effort to integrate gender mainstreaming, alongside other "cross-cutting issues" (quality assurance and internationalization) into its "core and support functions while at the same time providing an environment that will ensure their growth and consolidation."

Despite these positive developments, gaps still exist in terms of institutionalizing gender mainstreaming in a substantive manner. There are marked gender gaps in all the major areas of the core functions of the University as noted below:

(a) Policy Formulation

General University policy formulation is still gender blind. Apart from the Anti Sexual Harassment Policy, other policies of the University do not incorporate clear principles of gender equality and equity.

(b) Student Enrolment, Retention and Performance

In 1990, Makerere University instituted affirmative action in favour of female applicants (1.5 points scheme) geared to increasing the number of female students admitted to the University. The number of female students accessing University education had over time been relatively small compared to that of male students: for instance, the percentages of the female students admitted to the science programmes ranged from 13% in 1988/1989 to 17% in 1989/1990; and for the Humanities, the percentage was 20% in 1988/1989 and 31% in 1989/1990. Although progressive improvement has been registered, bringing the percentage to 33% for science programmes in 2008/2009 and to 45% for the Humanities in the same year, the enrolment of female students is still lowest in the science programmes (it is still below the original target percentage of 35%). Even for the Humanities, the percentage is still below the desired level for gender equality, which is 50%. The gender gap has been further exacerbated by the new government policy on students' scholarships that is biased in favour of science-based programmes, hence marginalizing the humanities where females predominate.

The existing physical infrastructure and staff establishment do not match with the increased student population. While large numbers of students are admitted, the University does not offer sufficient student support services. There is inadequate lecture space and accommodation for students, especially female students, to ensure retention and successful completion of their study programmes.

(c) Women's participation in Decision-Making

Gender gaps persist in all decision-making organs of the University and at all levels of governance. By June 2009 there were only 10 women out of a total of 25 members on the University Council (40%) and in Senate there are 10 women out of a total of 54 members (18%). At the level of top management, there is a gross gender imbalance, with only two female members out of a total of ten, making a percentage of only 20% of female representation at that level. Among the Deans/Directors of academic units, there are only two female Deans/Directors out of twenty, which makes only 10% of female representation.

The Makerere University Gender Equality Policy (MUGEP) shall be the vital tool for the integration of gender into unit and management structures, programmes and functions. This Policy provides the framework to guide the gender mainstreaming process; the regulations for the integration and enforcement; as well as the actors to track the progress of the implementation and ensure compliance.

(d) Mainstreaming Gender in Planning Units

Planning Units have largely not embraced gender mainstreaming in their planning, budgeting and implementation processes. The gender committees in planning units have been invisible and ineffective in mainstreaming gender within the respective planning units. This policy is to empower planning units to mainstream gender in plans, budgets and Monitoring and Evaluation tools for greater impact towards gender equality and mutual accountability. The

current Gender Mainstreaming Sentinel Sites shall be integrated into mainstream structures of the University as Unit Gender Mainstreaming Committees

1.2 RATIONALE

This Gender Equality Policy is a statement of Makerere University's commitment to taking positive steps in gender planning for the institution's sustenance, the promotion of gender justices, the management and prevention of gender violence, discrimination and injustice. This Policy commits Makerere University to making human and financial capacity and resources available to support the quest for gender justice.

1.2.1 *A Blueprint for Gender-Responsiveness*

This Gender Equality Policy signals the position of the University on gender issues as part of its vision, mission and core business. The policy prepares the University and provides guidelines for adjudicating and responding to gender issues as they arise in the institution, the community and society at large. The policy signals Makerere's commitment to taking positive steps in gender planning for the institution's sustenance, the promotion of gender justice, the management and prevention of gender violence, discrimination and injustice. The policy commits the University to making human and financial capacity and resources available to support the quest for gender justice.

1.2.2 *A Human Right*

The attainment of equity and gender equality is regarded as absolutely essential from a human rights perspective. Makerere University is required to take into account the rights of all its members, irrespective of gender. A Gender Equality Policy will confirm and institutionalize the rights, responsibilities and duties of all stakeholders in Makerere University.

1.2.3 *A Prerequisite for Sustainable Development*

It is now a well-established fact that gender equality is central to sustainable development where every member of society is treated with respect and dignity, affording them equal opportunity to realize their full potential. In order to seriously address the adverse effects of gender inequality to sustainable development, the government of Uganda established a Gender Team in 2002 to coordinate and manage the integration of gender into the Uganda Poverty Eradication Action Plan (PEAP) as a cross-cutting issue. Education is an empowering force to support sustainable development and therefore, Makerere University has a crucial role to play in contributing to the broader societal goal of gender equality. This can only be achieved by the University investing in eliminating all the social and structural impediments that stand in the way of women's full participation in higher education.

1.2.4 *A Benchmark for Institutional Advancement*

Gender equality has become one of the most important areas by which the quality and effectiveness of an academic institution is judged. A Gender Equality Policy provides an institutional framework within which actions on gender can be taken at all levels. It

further provides a framework that enables the University and all its stakeholders to undertake initiatives that are mutually beneficial and lead to the promotion of gender justice and equity. An effective Gender Equality Policy is supported by detailed rules and regulations to guide the institutions towards more effective equity and equality strategies.

1.2.5 *Key to Problem Solving*

The integration of gender in programme planning and implementation is seen as integral to solving many institutional and societal problems. For example, tackling the HIV/AIDS pandemic has remained a big challenge in Uganda because of not paying serious attention to the gender dimensions underlying the scourge. Gender mainstreaming in development interventions, especially in research and innovations ensures that poverty is addressed with a gender perspective for the benefit of males and females in society.

2.0 THE POLICY ENVIRONMENT FOR GENDER EQUALITY

2.1 NATIONAL RELEVANCE

The MUGEP is in line with the constitution of the Republic of Uganda. It provides for the recognition of gender equality as well as equality of persons and outlaws all forms of discrimination including that based on sex. Objective VI of the constitution requires the state to ensure gender balance and fair representation of marginalized groups on all constitutional and other bodies. It further obligates the State to take affirmative action in favour of groups marginalized on the basis of historical prejudices, socio-cultural negative attitudes and practices. Article 33 elaborates the rights of women, including their right to dignity and realization of their full potential and advancement.

The National Gender Policy of 1997 as well as the National Action plan on Women, support the mainstreaming of gender in the national development process. On its part, Makerere University developed a Gender Mainstreaming programme and instituted the Gender Mainstreaming Division (GMD) in 2000 and 2002, respectively. The GMD has the responsibility for mainstreaming gender into all faculties, departments, and organs of the University, a task that is currently hampered without the backing of a comprehensive Gender Equality Policy.

2.2 REGIONAL ENVIRONMENT

Within the African continent, the African Union has provided benchmarks for gender parity. In addition, African member states have now ratified the Protocol to the African Charter on Human and People's Rights on the rights of Women in Africa (Maputo Protocol). The Uganda government has ratified and signed the Gender Parity principle and the process to ratify the Maputo Protocol is underway. The African Union has set a benchmark of 50% for women's participation in decision-making processes. The regional environment has, therefore, provided a positive gender policy framework within which the adoption of the MUGEP would illustrate the University's commitment to supporting the regional agenda for gender and development.

2.3 THE INTERNATIONAL ENVIRONMENT

Uganda is signatory to several international conventions and declarations that provide for human rights and freedoms. The Universal Declaration of Human Rights (UDHR) provides a common understanding of the human rights and freedoms referred to in the UN Charter and it serves as a common standard of achievement for all nations in conjunction with the Bill of Rights. Moreover, the Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW), which Uganda ratified in 1985, emphasizes affirmative action as a strategy for closing the gender gap towards substantive equality. The Beijing Platform for Action (1995) inspired the government of Uganda to formulate its Gender Policy and the National Action Plan on Women.

In light of the institutional, national, regional and international developments and positions on issues of gender equity, equality, and women's empowerment, Makerere University is committed to its role and mandate as a leading national and world-class institution by situating itself strategically at the forefront of responsiveness to the gender mainstreaming of its functions. This Gender Equality Policy is the engine to propel the gender mainstreaming process forward, as well as provide the checks and balances for it.

3.0 DEFINITION OF TERMS

Sex

Sex refers to the biological differences/determinants between men and women which are universal and determined at birth. It is a useful analytical category that distinguishes biological differences between men and women from socially constructed differences (GMD, 2007).

Gender

Makerere University recognizes that gender as a concept is not static. For the purposes of this policy, the term gender is used in the sense that society and culture apportion characteristics, requirements and expectations to males and females. Individual members of a society are assigned norms of behaviours, roles and duties on the basis of their sex. Biology bestows only a small portion of those attributes and roles; the greater part of what we are as men and women is bestowed on us by culture and society. That is why it is said that we are *born* female and male but *learn* to be feminine and masculine. The MUGEP offers the opportunity for Makerere to address the significant gendered dimensions of the work and study that men and women perform within its community. The concept of Gender in the context of the MUGEP should, therefore, be seen as an integral part of a wider and deeper understanding of human experiences, including both physical and emotional needs, perceptions, motivations, relationships and structures (GMD, 2007).

Gender Equality

In promoting gender equality, Makerere University is not denying the differences that exist between men and women. "Gender equality requires equal enjoyment by women and men of socially-valued goods, opportunities, resources and rewards. Gender equality does not mean that men and women become the same, but that their opportunities and life chances are equal. In other words, gender equality is the absence of discrimination which is based on a person's sex, in opportunities, allocation of resources and benefits, human rights, and in access to services such as education.

Gender equality may, therefore, be measured in terms of whether there is equality of opportunity, or equality of results or outcomes. Gender equality in the MUGEP context means that Makerere University will promote programmes and policy interventions aimed at enhancing equal access to opportunities and increasing women's control over key resources and decision-making. A Gender Equality Policy signals an institution's position on gender issues as part of its vision, mission and core business. It prepares the institution and provides guidelines for adjudicating and responding to gender issues as they arise in the institution, the community and society at large (Gender Mainstreaming Division, 2007; Derbyshire 2004).

Women's Empowerment

Women's empowerment is used in the sense of giving women the tools or equipping them with knowledge, skills, and capacity to fully participate in decision-making and access to power. Empowerment presupposes full participation on the basis of equality in all spheres of society. It also denotes availing women with the opportunity to realize their full potential and capacities (Gender Mainstreaming Division, 2007).

Gender Equity

Gender equity goes beyond formal equality of the sexes and emphasizes substantive forms of justice which may entail treating men and women differently, when appropriate, in order to achieve outcomes that are fair and just. It requires fairness and justice in the distribution of responsibilities, access to and control over resources, and access to benefits between women and men. Gender equity embraces affirmative action where and when necessary and it is a step towards gender equality (Derbyshire, 2002).

Gender Analysis

Gender analysis is the process which examines the differences and disparities in the roles that women and men play, the power imbalances in their relations, their needs, constraints and opportunities and the impact of these differences in their lives. A gender analysis in Makerere University would examine how the differences between women and men determine differential access to benefits, opportunities and responsibilities in all University functions. For gender mainstreaming to be effectively implemented, gender analysis must be done in all the university operations, including: teaching and learning, research, governance and administration, knowledge transfer partnerships, student and staff welfare, public space, and organizational culture (UNDP, 2001).

Discrimination

Discrimination occurs when a person or group of people are treated less favourably than another person or groups of people in comparable circumstances. Gender-based discrimination entails unfair and differential treatment meted out to persons based on their sex.

Affirmative Action

Affirmative Action is designed to help eliminate effects of past and present forms of discrimination. It is a process in which institutions identify areas of improvement, set goals, and take positive steps to enhance opportunities for marginalized groups, including women. Affirmative Action in the context of this Policy focuses on deliberate

actions to provide equal opportunities in education, training, employment, and promoting qualified categories of people where they are underrepresented.

Gender Mainstreaming

In the context of Makerere University, gender mainstreaming is the strategy for making women's and men's concerns and experiences an integral dimension of the University functions, so that women benefit equally, thus ensuring that gender inequality is not perpetuated. Gender mainstreaming does not simply entail inclusion of women in the University's overall agenda already decided by men, but it involves a transformative process that requires changes in structures, procedures and cultures. The objectives of gender mainstreaming in Makerere University is, therefore, to make women's concerns and experiences an integral part of designing, implementing, monitoring and evaluating programmes, structures, policies and practices, and all decisions in the University functions and organizational culture (Derbyshire, 2002).

A Gender Responsive Policy

A gender-responsive policy incorporates basic principles for addressing the imbalances and inequalities that have resulted from socially and culturally constructed differences between men and women in a given society. It is in effect a blueprint or guideline for implementing action (GMD, 2007, Derbyshire, 2002).

Gender Neutral/Blindness

A policy is said to be gender neutral/blind when it ignores or fails to take into account sex composition and/or gender characteristics and their effects on an activity. Gender Committees in Planning Units (Sentinel Sites) (GMD, 2007; UNDP,2001)

Sentinel Sites

Sentinel Sites in planning units are focal points that the GMD works closely with to mainstream gender in the planning, budgeting and monitoring and evaluation within those particular units. This policy proposes that the Sentinel Sites be integrated into mainstream structures of the University as Unit Gender Mainstreaming Committees.

4.0 THE OVERARCHING POLICY STATEMENT

Achieving gender equality and non-discrimination for all staff and students is a strategic objective of Makerere University. The University explicitly plans to integrate gender as a cross-cutting issue into both its core and support functions.

As the oldest and most prestigious institution of higher learning in the country, Makerere University is committed to lead the next generation on the way to securing equality of opportunity for women and men whether as students, staff members or external users of our facilities.

In realising gender equality, the University shall endeavour to do everything within its means not to overlook the diversities among and between members of the university community, particularly disability, social class and age.

Achieving gender equality and equity at Makerere University is a long-term process. The University is committed to working with all stakeholders within and outside the university, guided by the strategic actions outlined herein.

4.1 POLICY VISION

A gender-responsive University in which substantive gender equality is realized.

4.2 POLICY MISSION

To enable the University excel in providing a gender-responsive organizational environment and to integrate gender into the functions of the University in order to attain gender equality and women's empowerment.

5.0 GUIDING PRINCIPLES

In line with the National Gender Policy Principles which emphasise gender equality and equity, affirmative action, gender as a crosscutting issue in all sectors and levels and the need to take into consideration the impact of household and family relations on gender equality, the guiding principles for our Gender Equality Policy are:

(a) Women and men in the University are not a homogenous group; therefore the inter- and intra-sex differences must be taken into account to achieve substantive equality and equity;
(b) Gender equality means that the different behaviour, aspirations and needs of women and men are considered, valued and favoured equally;
(c) Intra household family relations may have adverse effect on the University functioning;
(d) Transformation in individual consciousness about gender equality and women's rights as well as organisational culture and governance are a prerequisite for gender equality and women's empowerment; and
(e) Sustainable development is possible only if based on equal partnership and mutual respect between women and men.

6.0 POLICY OBJECTIVES

This Gender Equality Policy is an instrument for the necessary changes at all levels of the University functions and for addressing the root causes of gender inequality and the subtle ways in which they are sustained within the University practices. As an instrument for change, the key Policy objectives and actions focus on change at the personal level and at transforming the formal and informal rules and practices of the organisation that are based on patriarchal norms and ideologies. These are the determinants of the rules of gender inequality in all organizations.

6.1 OVERALL OBJECTIVE

The overall objective of the MUGEP is to define a common value system of gender equality and equity as well as women's empowerment within the core functions of the University, namely, teaching and learning, research and innovation, knowledge transfer and networking, while specifying strategic interventions for institutional and organisational change.

7.0 PREAMBLE

WHEREAS, the Makerere University Council is committed to serving all its stakeholders with equality and equity and to open doors of opportunity for quality education to women and men, especially in areas that will enhance national development; and

WHEREAS, the commitment is reflected in the goals set forth in the University ten-year strategic plan of 2008/2009 - 2018/2019; the institutionalisation of affirmative action in 1990; the establishment in 2002 of the Gender Mainstreaming Division; and the adoption in 2006 of the Anti-Sexual Harassment Policy; and

WHEREAS, the profile of University students is fast changing and becoming more diverse in several ways, including gender, age, ethnicity, national origin, (dis)abilities, social class and the University is responsible to provide support services that accommodate the educational needs for all; and

WHEREAS, the University Council recognizes the importance of global engagement and designing its programmes and research to be responsive to international developments and institutions thus providing opportunities for students and staff to participate in international academic exchange; and

WHEREAS, the University Council affirms the value of forging networking opportunities and partnerships with stakeholders outside the university through field attachments, internships and other practical experiences outside the traditional ivory tower culture; and

WHEREAS, gender and gender relations play a critical role in all programmes and facets of the university at all levels, with implications for all members of the university community and making gender awareness and analyses central to all functions of the university;

DO HEREBY enact the Makerere University Gender Equality Policy this .....day of 2010

7.1 ENGENDERING THE CURRICULUM

Makerere University shall take all necessary steps to engender the curricula of all its academic programmes.

Strategic Actions:

i. Create a framework for engendering the University curriculum
ii. Review and engender all existing curricula and ensure that new programmes are gender responsive.
iii. Impart gender analytical skills and knowledge to all staff to enable them engender the University teaching and learning programmes and build a gender responsive environment.

iv. Design and implement a mandatory cross cutting core course on Gender and Development for all first year undergraduate and postgraduate students.

7.2 A SECURE ENVIRONMENT

The University Management and Administration shall promote a gender friendly and inclusive secure environment at the university in order to ensure effective protection of bodily integrity and dignity of every member of the University community.

Strategic Actions:

i. Implement policy and regulations on sexual harassment
ii. Develop and enforce guidelines for ensuring a secure environment that includes street and security lighting, posting security personnel at strategic points, providing night surveillance services, availing hotlines for emergencies, etc. Particular attention should be paid to halls of residence and private hostels,
iii. The University shall institute concrete mechanisms to address gender-based violence against students and staff.
iv. Strengthen counselling services and allocate adequate resources for prevention, management and rehabilitation of survivors of gender-based violence at the University.

7.3 STUDENT ENROLMENT, RETENTION AND PERFORMANCE

Makerere University Council shall support programmes aimed at improving gender balance in the enrolment, retention and performance of students across all disciplines.

Strategic Actions

i. Continue to support affirmative action programmes to address gender gaps and imbalances in the enrolment of students to all its programmes, particularly for females in science-based programmes.
ii. Provide student support services that enhance successful completion of their programmes.
iii. Establish linkages with educational institutions and other stakeholders to increase enrolment and retention of disadvantaged female and male students.
iv. Develop mechanisms for monitoring the performance and retention of students by gender.
v. Institute a mentoring system as a support mechanism for increasing the enrolment and retention of students, especially for female students in science-based disciplines and professions at Makerere University.
vi. Establish a loan scheme to assist students meet their tuition and related financial obligations.

7.4 STAFF RECRUITMENT, TRAINING, PROMOTION & RECOGNITION

Makerere University Council shall invest in endowments, infrastructure and resources to support activities aimed at improving gender balance in the recruitment, promotion, retention and performance of staff members at all academic and administrative levels.

Strategic Actions:

i. Review staff appointments criteria to include gender-responsive considerations.
ii. Review the criteria for accessing staff development opportunities in order to accommodate the various gender roles and needs of members of staff.
iii. Recognize and reward staff members who have excelled in their fields and service to the University and the wider community.

7.5 WOMEN'S PARTICIPATION IN DECISION-MAKING

The University shall adopt proactive measures to increase the participation of women in decision-making through recruitment, promotion and retention in order to eliminate the existing gender imbalances within the systems, structures and all core activities of the University.

Strategic Actions

i. Design and implement programmes that ensure equal opportunities and affirmative action.
ii. Design and implement a gender-responsive cross generational leadership and mentoring programme, particularly for young female staff in the science disciplines.
iii. Establish and implement programmes with adequate facilities and resources to support the multiple roles of University staff, particularly their career, studies and care-giving roles.
iv. Develop and implement a gender sensitive and responsive human resource policy.
v. Develop a data bank of qualifications, specialities and experiences of women and utilise it as a basis for appointing more women on the supreme University governing bodies such as the University Council, Senate, Appointments Board and other related bodies.
vi. Review the current system of representation to all supreme governing organs and devise a mechanism to ensure that it alternates between male and female in constituencies where there is an odd number (e.g., one representative) and 50/50 for constituencies with even numbers.

7.6 ORGANISATIONAL CULTURE

The University shall promote and enforce a gender-responsive organisational culture to eliminate patriarchal-based inequities in all University activities.

Strategic Actions

i. Develop and enforce policy guidelines on the use of gender inclusive language throughout the University.

ii. Review and update all existing University policies, forms and procedures to eliminate sexist language and establish gender equality.
iii. Develop and operationalise a policy prohibiting public display of visual aids and materials that are demeaning to women and men.
iv. Develop and enforce a gender-sensitive code of conduct for University staff and students.
v. Organize special gender awareness orientation programmes for new members of University governing bodies, staff and students.

7.7 NETWORKING AND KNOWLEDGE TRANSFER PARTNERSHIPS

The University shall promote and support gender equality networks and partnerships in order to develop strong gender equality advocacy and activism within and outside the University.

Strategic Actions:

i. Develop and disseminate guidelines on engendering outreach programmes at the national, regional and international levels.
ii. Develop and implement programmes that promote grassroots linkages and civil society organisations for greater gender activism.
iii. Design and disseminate technologies for outreach programmes that are gender responsive.
iv. Encourage and support the participation of university staff and students in national, regional and international conferences and other fora that enhance knowledge and sharing on gender issues.

7.8 RESEARCH AND INNOVATIONS

The University shall adopt a gender-responsive research environment that improves our understanding of national development issues and impacts positively on the lives of women and men.

Strategic Actions

i. Design and carry out a gender-focussed research skills training programme for staff members.
ii. Develop guidelines to ensure that all research processes and innovations, irrespective of discipline, integrate gender analysis.
iii. Design and implement an affirmative action programme to encourage participation of female members of staff, with specific budget allocations to support their multiple roles in society.
iv. Develop and regularly update a databank that is relevant to enhancing equal opportunity for both genders and link it to the University's management tools.
v. Expand dissemination outlets of international standards for gender-focused research and publications.
vi. Design programmes to enhance women's and men's information and communication technologies (ICT) skills for research.

7.9 RESOURCE MOBILIZATION AND GENDER BUDGETING

The University shall actively promote resource mobilization and gender budgeting processes as a way of ensuring adequate and sustainable budget allocations for effective institutionalisation of gender mainstreaming as a cross-cutting issue within the core activities of the University.

Strategic actions:

i. Develop and implement a resource mobilization strategy for financing the Gender Equality Policy objectives.
ii. Design guidelines and implement a gender budgeting training programme for all key staff involved in University planning and budgeting processes.
iii. Earmark budgetary resources, on the basis of a well-clarified percentage, for funding gender mainstreaming processes in all the core functions of the University.
iv. Establish a mechanism for financial accountability for resources allocated for gender mainstreaming.

7.10 STAFF AND STUDENT WELFARE

The University shall plan and provide for the welfare of all its staff and students in order to achieve optimal productivity.

Strategic actions:

i. Engender human resource policies
ii. Formulate and implement a gender-sensitive policy on disability including accessibility to the University buildings and facilities.
iii. Construct both a functioning Staff Club and a Student Union Building with adequate facilities and catering for all.
iv. Formulate and implement a policy on pregnant and parenting students and sensitise all relevant University Makerere staff on sexual and reproductive rights of students.
v. Invest in childcare facilities on University campuses for the benefit of parenting staff and students.
vi. Accredit and set standards for private hostels that accommodate Makerere University students.
vii. Improve and strengthen the delivery of gender-responsive health services in the University hospital.
viii. Establish a gender-sensitive medical insurance scheme for staff members.
ix. Enforce timely payments of terminal and contractual benefits for staff members.

7.11 CREATION OF THE GENDER MAINSTREAMING DIRECTORATE

Makerere University shall elevate the Gender Mainstreaming Division into a Directorate called Gender Mainstreaming Directorate reporting to the Vice-Chancellor so as to enhance its capacity to facilitate and monitor the implementation of the GEP

Strategic actions:

i) Seek approval of the repositioning of the Division to Directorate by Senate, Quality Assurance, Establishment Committee and Council.
ii) If approved, establish the Gender Mainstreaming Directorate by lobbying for more space and staffing.
iii) Implement the GMD Resource Mobilisation Strategy to enable the Directorate to access more resources and invest in a viable income generating enterprise.
iv) The Gender Mainstreaming Directorate will organise six regular meetings for this Gender Mainstreaming Committee (GMC) every year to assess progress, monitor and evaluate the Gender Mainstreaming Directorate/Programme, consider implementation strategies and develop sustainability strategies.

8.0 MONITORING, EVALUATION AND ACCOUNTABILITY FOR GENDER EQUALITY

8.1 RESPONSIBILITY FOR IMPLEMENTATION OF THE GENDER EQUALITY POLICY

All individuals in the University, and all those associated with the University have a responsibility to adhere to the Policy and apply it in their day-to-day activities and in all dealings with, or on behalf of the institution. The overall responsibilities in relation to this Policy are as follows:

The University Council

The University Council, as the employer, supreme governing body and the ultimate financial accounting authority of the University, is responsible for ensuring that the institution fulfils its legal and fiscal responsibilities for promoting gender equality and eliminating discrimination. In order to fulfill this responsibility, Council will receive an annual progress report on the monitoring and implementation of the Policy to enable its members to ensure that the Policy is being operationalized. Council will further monitor progress on the implementation of the Policy. Council discharges this responsibility through the management structures of the University.

The Vice Chancellor

The Vice Chancellor, who gives a consistent and high profile lead on gender equality issues, is responsible for ensuring that the Policy is effectively implemented and that staff are aware of their responsibilities, accountabilities, and training needs; ensuring that appropriate action is taken against staff or students who breach or violate the Policy. The Vice Chancellor will also oversee the engendering of public relations as well as the printing and design-related functions. The Vice Chancellor relies on the Deputy Vice Chancellors and other members of the Top Management team to take forward the gender equality agenda ensuring that it is given priority and is fully operationalised.

Deputy Vice-Chancellors and other members of Top Management

The Deputy Vice Chancellors and top managers take responsibility for activities of strategic importance to the University, for example: The research agenda, health and safety, teaching and learning, human resources, support and information services,

planning and budgeting, estates strategy, etc. In each of their respective portfolios, the University Officers and Managers shall be duty-bound to incorporate gender equality priorities and implementation strategies.

Principals, Deans/Directors, Heads of Departments/Divisions and Sections

The above-mentioned stakeholders are responsible for the implementation of the Gender Equality Policy within their areas responsibility. This involves putting the policy and its strategies and procedures into practice; making sure all staff are aware of their responsibilities, and receive support and training in carrying these out; and taking action against staff or students who discriminate on grounds of gender.

Staff and Students

All staff and students have a role to play in promoting gender equality, and in creating and maintaining an environment where there is zero tolerance to harassment and discrimination.

Partners, Contractors and Service Providers

All partners, associates, contractors, professional, statutory and accredited bodies, and those who provide services to the University are responsible for complying with the Gender Equality Policy.

8.2 INSTITUTIONAL AND REGULATORY FRAMEWORKS

The implementation of the Gender Equality Policy requires a well-coordinated and guided institutional framework to translate goals, objectives and strategies into action programmes at all levels of the University functions. The implementation of the policy will, therefore, be operationalised through the existing University institutional structures or in new structures.

Enhancing Organizational Capacity to Implement MUGEP

Makerere University will aim to maximize its own institutional capacity and marshal political will to achieve the objectives of the MUGEP by providing adequate support, guidance and training to staff and students. In addition, organizational structures, working practices and management styles that reflect the principles of gender equality and equal opportunities will be promoted throughout the University.

There shall be a Gender Mainstreaming Directorate of Makerere University reporting to the Vice-Chancellor so as to enhance its capacity to facilitate and monitor the implementation of the GEP. The existing Senate Committee on Gender Mainstreaming shall then be transformed into the University Gender Mainstreaming Committee, which shall be a joint Committee of Council and Senate. In turn, the current Gender Mainstreaming Sentinel Sites shall be integrated into mainstream structures of the University as Unit Gender Mainstreaming Committees.

University Gender Mainstreaming Committee (GMC)

The current mandate of the Senate Committee on Gender Mainstreaming will need to be upgraded for this committee to oversee the establishment and operationalisation of the Directorate and also to report to both the University Council and Senate on policy

matters. The proposal therefore is to have a joint Council and Senate Committee on Gender Mainstreaming which shall provide the overall supervision of the Gender Mainstreaming Programme. It is also proposed that this Committee will have different technical working groups or sub-committees that will oversee the implementation of the different aspects of Gender Mainstreaming Programme.

Technical Working Groups / Sub-Committees

The Gender Mainstreaming Committee will have Technical Working Groups (TWGs) or Sub-committees composed of members drawn from relevant university units to offer expertise and extra support to the Gender Mainstreaming Directorate. Examples are as follows:

a) Anti-Sexual Harassment Sub-committee
b) Female Scholarship Initiative (FSI) Sub-committee
c) Technical Working Group on Engendering the University Curricular
d) Women and Leadership Sub-committee
e) Resource Mobilization Sub-committee
f) GMD Student Peer Trainers Sub-Committee

Unit Gender Mainstreaming Committees

For purposes of effective implementation of MUGEP, there shall be a Unit Gender Mainstreaming Committee at each University Planning Unit whose mandate will be to coordinate, supervise, monitor and evaluate implementation of the Makerere University Gender Equality Policy at unit level.

8.3 COMMITMENT TO PROACTIVE IMPLEMENTATION OF THE MUGEP

Makerere University is set to proactively eliminate gender discrimination and focus on substantive gender equality rather than formal equality. To realize that commitment, an elaborate monitoring and implementation matrix is appended to this Policy as *Appendix 1.*

The monitoring and implementation matrix outlines the steps the University will take to operationalise the identified policy resolutions. The University shall identify and make available appropriate resources to implement the monitoring and action matrix. The current and subsequent monitoring and implementation matrices shall constitute the University Gender Equality Strategic Action Plans which shall be the major tools for monitoring the implementation of the Gender Equality Policy and achieving its objectives. These tools shall take into account both qualitative and quantitative measures of achieving Gender Equality at Makerere University.

8.4 MONITORING AND EVALUATION

Regular and timely monitoring of progress regarding this policy and associated action plans will be carried out by the Gender Mainstreaming Division and where, appropriate, with the Human Resources Directorate, Directorate of Quality Assurance, Planning and Development Department, and Finance Department and Directorate of Information, Communications and Technology Services, under the oversight of the University Gender Mainstreaming Committee. The Unit Gender Mainstreaming Committees will review their progress on the implementation of gender equality

activities annually and submit them to the University Gender Mainstreaming Committee for consideration and forwarding to Senate and on to Council.

The Gender Mainstreaming Division shall annually produce gender data that supports the implementation and monitoring of the MUGEP. It will also have the responsibility for tasking working groups to produce reviewed and updated versions of this Policy triennially.

This Policy and annual progress reports will be published on the University website. In addition to formal publicity via committee discussions, outcomes and continuing work will be disseminated through publications, Internet and promotional materials.

This policy will become effective on approval by the University Council.

9.0 REFERENCES

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COUNCIL FOR SCIENTIFIC AND INDUSTRIAL RESEARCH

CSIR POLICIES AND REGULATIONS

CPR 009: GENDER POLICY

AUGUST, 2020

LIST OF ABBREVIATIONS

CSIR	-	Council for Scientific and Industrial Research
DDG	-	Deputy Director-General
DG	-	Director-General
R&D	-	Research and Development
S&T	-	Science and Technology
SDG	-	Sustainable Development Goal

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1. Introduction

The Council for Scientific and Industrial Research (CSIR) Ghana is the foremost national science and technology institution in Ghana mandated to carry out scientific and technological research for national development. It is mandated to pursue, among others, the implementation of government policies on scientific research and development, coordinate R&D activities in the CSIR and other S&T institutions nationwide and assist the government in the formulation of S&T policies for national development.

The CSIR is further required to commercialize appropriate technologies, in partnership with the private sector and other stakeholders, and encourage in the national interest, scientific and industrial research of importance for the development of agriculture, health, medicine, environment, technology and other service sectors of the economy of Ghana.

The CSIR which is a scientific and an academic organization has been perceived as a male dominant place of work. Its main job is to research into agriculture production and related activities to improve upon production and quality of products. The Institutes that render services are also scientifically inclined. Work that demands intellectual acuity such as R and D is erroneously seen as 'man's work'. As a result, it has been taken for granted and appointment of staff has been skewed in favour of the male sex. It is important to note that as at 2017, only 15% of Senior Members were females. All Deputy Director-Generals of CSIR have been males until 2008. The problem is that there are very few female staff who work with the CSIR across the various categories compared to their male counterparts. Finally, it is meant to put procedures in place to bridge the gender gap and make CSIR an organization with gender-responsive activities.

1.1 Policy Framework

This policy is in line with the Sustainable Development Goal 5, target 5.5 which seeks to achieve gender equality and empower all women and girls target (SDG 5, Target 5.5: 'Ensure women's full and effective participation and equal opportunities for leadership at all levels of decision-making in political, economic and public life'). This target expects that there will be strengthened efforts to ensure women's full participation in all spheres of life. The implication is that, by documenting and implementing this policy, efforts would be made to help attain the Sustainable Development Goals (SDG) in Ghana. The CSIR is committed to incorporating international conventions and treaties relating to gender rights into its activities and operations. The United Nation's Convention on the Elimination of all forms of Discrimination (CEDAW, 1979, articles 10 and 11), are particularly of great importance to this Policy. The Policy also articulates gender policies of the Beijing Declaration and Platform for Action, Annex 1; 1995, Maputo Protocol to the African Charter on Human and People's Rights: the Rights of Women in Africa, 2004, Articles 2, 3, 4, 5, 12, 13, 23 and 25; African Union Gender Policy, 2009; and Ghana National Gender Policy, 2016, Chapter 5.

The CSIR has existing provisions on sexual harassment and other provisions which are general to human rights (Sections 71, 72 and 73 of the Revised Senior Members' Conditions of Service, 2008 and Article XV of the Collective Bargaining Agreement, 2007). This Policy, however, seeks to address specific gender issues in the CSIR.

1.2 Scope of Policy

The policy covers all matters related to gender mainstreaming and the prevention of gender-based violence at CSIR.

1.3 General Goal

The general goal of this Council Policy is:
To mainstream gender equality and women's empowerment concern in the country (worldwide) into the CSIR governing Council process in order to improve equitably staff employment, further training, promotions or upgrade, representation of committees and programmes, and other social, engagements.

This goal will be implemented by the CSIR Head Office through the Institute broad objectives and from past national experiences regarding its achievements and challenges in attaining gender parity at all levels of human activities. To this end it is to feed into (and to accelerate) the national agenda of mainstreaming gender and pursuing Gender Equality following the Beijing Conference in 1995.

1.4 Objectives

The objectives are:

i. To explicitly state the Council's commitment towards gender.
ii. To provide a direction towards building gender related agenda.
iii. To create equal opportunities and a conducive environment for women and men at all CSIR Institutes.
iv. To promote equal representation and participation of women in decision making at the professional/ programmatic and administrative levels.
v. Ensure that gender equity is integrated into CSIR strategic planning and that policy development, operational practices and procedures are all informed by equality of opportunity.
vi. Ensure that the dignity and integrity of both men and women in CSIR are equally respected and valued, regardless of status or occupation.

vii. Advocate for a governance, administrative and research culture that is gender sensitive in all aspects of the Council's operations, including recruitment, selection and service deliver.

viii. Prevent discrimination and violence at work and in work-related activities.

ix. Ensure that all staff within the Council are aware of their rights and responsibilities regarding gender-based violence in the workplace.

x. Reinforce effective personnel management and appropriate workplace behaviour by entrenching high ethical standards and respect for others in the Institute's plans and procedures.

xi. Manage risks and reduce the potential for direct and indirect social and financial costs associated with gender-based violence.

xii. Provide guidance for the informal and formal resolution of incidents of gender-based violence at the workplace.

1.5 Gender

1.5.1 Operational definition of Gender

Gender refers to the attributes and opportunities associated with being male and female and the socio-cultural relationships between women and men. These attributes, opportunities and relationships are socially constructed and are learned through socialization processes. They are context specific and changeable. In most societies there are differences and inequalities between women and men in activities undertaken, access to and control over resources as well as decision-making opportunities. Gender is part of the broader socio-cultural context, which also takes into consideration factors such as class, race, economic status, ethnic group and age. The Council adopts gender perspective, which means focusing on both women and men and their relationships with each other and resources.

The Council aims at mainstreaming gender by creating an enabling working environment that in turn attracts and helps to retain gender sensitive staff. A mere statement of policy and objectives does not ensure the concerns relating to addressing the gender. Towards achieving the above

objectives, clear indicators need to be defined to evaluate and assess the organizations commitment towards gender equity on a periodic basis.

1.5.2 Definition of some key terms

Discrimination: It refers to the biases, prejudices and intolerance that people suffer from on account of their sex, race, social status, religion, health condition or related factors.

Gender: Gender is used to describe those characteristics of men and women which are socially constructed, while sex refers to those which are biologically determined. It refers to the roles, privileges, resources, responsibilities that society assigns a person because they are born male or female.

Gender awareness: Gender Awareness is consciousness and recognition by an institution and staff of the importance of gender and its effects on their objectives, plans and programs.

Gender Equality: The absence of discrimination, on the basis of a person's sex, in providing opportunities, in allocating resources and benefits or in access to services.

Gender Equity: Fairness and justice in the distribution of benefits and responsibilities between men and women. The concept recognizes that men and women have different needs and strengths and that these differences should be identified and addressed to rectify the imbalance between the sexes.

Gender Gap: Gender Gap is the difference in the scores between men and women on attitudes, interest, behaviour, knowledge and perspectives on particular issues.

Gender Inequality: The ways in which males and females are treated differently in relation to opportunities and responsibilities in the society.

Gender Mainstreaming: Gender mainstreaming is the process of assessing the implications for men and women of any planned action, including legislation, policies or programs, in any area and at all levels. It is a strategy for making women's as well as men's concerns and experiences an integral dimension in the design, implementation, monitoring and evaluation of policies and programs in all political, economic and social spheres so that inequality is not perpetuated.

Gender Roles:	Clusters of socially or culturally defined or learned expectations about how male and female members of a society should behave in specific situations. Gender roles are usually based on stereotypical beliefs that males and females possess distinct, mutually exclusive physical and psychological characteristics which determine their behavior and characteristics.
Sex:	The biological differences between men and women which are normally universal and are determined at birth. It is the physiological state of being a male or female.
Assault:	Assault represents a continuum of forcible physical forms of pressure that compel individuals to engage in any activity against their will.
Gender based violence:	An umbrella term for any harmful act that is perpetrated against a person's will based on abuse of power and privilege of the socially ascribed (gender) differences between males and females. It takes the form of actions that result in physical, sexual and psychological harm or suffering to a person and affront to their human dignity, whether occurring in public or private life. It is men who predominantly carry out such violence, but men are increasingly becoming victims of Gender based violence.
Harassment:	Threatening to commit an action against another person, stalking and cyber stalking. Sexual harassment includes, but is not limited to words, persistent requests for sexual favours or dates, gestures, intercourse and rape.
Intimidation	Workplace intimidation is an intentional and malicious attempt to cause a co-worker/student to feel inadequate or afraid. Intimidation includes verbal threats, unjust criticism, sabotage or sexual harassment and physical violence.
Perpetrator:	Any staff who engages in gender based workplace violence.
Sexual misconduct:	Any unwelcome behaviour of a sexual nature that is committed without consent or by force, intimidation, coercion or manipulation. The term includes gender based violence, sexual assault, sexual exploitation and sexual intimidation. Sexual misconduct can be committed by men or women, and it can occur between people of the same or different sex.

Sexism: Conduct by Management or staff that is offensive in nature, leading to alienation of members of both sexes. Alienating messages may be overt and intentional or subtle and unintentional, but they denigrate the working or learning experiences of both men and women.

Survivor: A person who has experienced gender based violence and is taking medical, legal and psychological steps to overcome their trauma.

Victim: Any staff who is the object of gender based workplace violence. A victim is compelled to behave as expected out of fear.

Violence: A means of control and oppression that ranges from emotional, social or economic force, coercion or pressure to physical harm. It may be overt in the form of physical assault or covert in the form of intimidation, threats and deception. Violence can be a one-time incident or repeat over time.

2. Policy Statement

This policy seeks to promote equality and equity in the CSIR in the context of the vision and mission of the Council to enhance research and development. The goal is to develop and establish gender mainstreaming in the CSIR.

3. Guiding Principles for the Council

The guiding principles that lay beneath this Policy are:

i. The respect for Human Rights. This is fundamental to every human being. There are no separate rights for women and separate rights for men. As a result, women's rights are human rights which should be respected.

ii. Diversity of women. There are notably some heterogeneities in women such as disability which creates indifferent abilities in women. This kind of concerns are important and will matter in taking decisions and policy to guide staff.

iii. Sustainability of our Development. Often said and reemphasised here that gender issues are a sustainable development issue. Gender equality is a necessary policy to ensure sustainability in the national development plan.

iv. Mutual Co-existence. There is a strong drive for women and men to co-exist and build positive gender relations beneficial to all.

v. Productivity of women. Women staff will be conscious of their productivity at work when accorded their human rights, recognise their diversity, and promote mutual co-existence between women and men. This makes a smart economic sense.

4. Policy Provisions

A. The Council shall, to the fullest extent possible without violating any existing rules, regulations, statutory requirements, contractual obligations and collective bargaining agreements, designate and direct all staff within the Council to follow these guidelines.

i. There shall be zero tolerance for any form of gender-based violence in the workplace;
ii. Every Institute will take all reasonable measures to foster a safe work environment for all staff.

In accordance with existing statutes and regulations, the Council shall hold staff accountable under this policy who engage in the following confirmed behaviour:

i. Misuse Council's resources to commit an act of gender-based violence;
ii. Commit an act of gender-based violence from or at the workplace or from any other location while on official business;
iii. Misuse their job-related authority and/or resources in order to negatively affect victims and/or in perpetrating an act of gender-based violence;
iv. Threaten, harass or abuse a person at the workplace, from the workplace, or on Council business using any workplace resources such as work time, workplace phones, fax machines, mail, e-mail or other means;
v. Falsely accuse any staff of gender-based violence;

c). No staff will be penalized or disciplined in the workplace solely for being a victim of gender-based violence. The Council is committed to working with victims of gender-based violence to prevent abuse and harassment from recurring in the workplace.

d). Victims of gender-based violence shall be provided with appropriate support and assistance, including legal, medical and psychological support.

e). Staff who are identified as perpetrators of gender-based violence will face an investigation that may culminate in disciplinary measures instigated against them.

f). Any staff found to have threatened, harassed or abused someone at the workplace or from the workplace, is subject to corrective or disciplinary action, up to and including dismissal.

B. The following systems would be put in place and necessary strategies would be tried out internally and externally at every Institute within the Council.

At Corporate Level

1. The CSIR shall establish a Gender Unit at the Head Office. The Gender Unit shall be coordinated by a minimum of three and a maximum of five staff appointed by the Director-General (D-G)/Management. The functions of the unit will be:

- To develop a strategic plan and coordinate activities of the Gender Desks in all Institutes.
- Monitor and evaluate the implementation of gender mainstreaming activities of the Gender Desks of the Institutes.
- Submit mid-year and annual reports to the Deputy Director-General (DD-G).
- To seek and liaise with other organisations to support Gender activities at the Gender Unit/Desk.
- To raise awareness on gender-related issues for all staff.
- To represent the CSIR at Gender programmes where invitation to participate is open.

2. The Deputy Director-General (DD-G) will be responsible for implementation of this policy in the Council whilst Institute Directors will be responsible for implementation of the policy at the Institute level**.**

Institutional level:

a. **Staff composition/representation**

i. Every Institute shall recruit adequate women staff and ensure the balance also at senior levels; with an objective of achieving a numerical gender balance in all posts at all levels;

ii. Ensuring equal opportunities among male and female staff for personal growth, in promotion benefits, training and working conditions;

iii. Ensuring equitable representation and participation of men and women in the core group, in various functional committees of the Institute.

b. Workplace

i. Every Institute shall provide a safe and secure workplace for women staff, free from sexual harassment with a Gender Complaints committee to look into specific concerns;

ii. Providing an enabling and friendly work environment where both men and women enjoy and actively participate in work;

iii. Extending work related concessions and relaxations for women staff depending upon the situations and requirements; e.g., providing secure transport facilities when they work late hours; giving relaxation over travel time for the next day for those in the field; ensuring security measures along with minimum basic facilities for women staff traveling in the field;

iv. Analysis of gender disaggregated roles and work patterns, and make special efforts to reduce the work load of women;

v. Ensuring equal wages to equal work for both men and women;

vi. Making special efforts to constantly identify vulnerable women and provide them the necessary support and guidance;

vii. Sensitizing the men and mobilizing their support towards gender balance.

c. Staff capacity building

i. Every Institute shall facilitate staff capacity building processes and trainings to enhance perspectives and conceptual clarity on Gender issues *(for all the staff members*). It will be an important component of the induction programme;

ii. Ensuring that all trainings (internal and external) facilitated by the Institutes are gender-sensitive. – e.g., training content/methodology/mode of facilitation;

iii. Conducting Gender trainings for both men and women; and ensuring participation of women in all meetings and trainings.

d. Council policies and systems

i. Every Institute shall make all HR systems and policies gender-sensitive and responsive, and integrating gender indicators into staff performance appraisal systems;

ii. Incorporating and explicitly mentioning gender sensitivity as an essential element in the tasks/job profiles in all terms of reference, including TORs for external clients and consultants;

iii. Ensuring that the conceptual clarity and sensitivity on gender issues will be one of the important selection criteria in recruitment processes and capacity building efforts of staff;

iv. Initiating and building the advocacy around gender balance and making efforts to integrate gender concerns into the scaling up and mainstream developmental programs.

e. Staff benefits

i. Every Institute shall follow all statutory requirements related to maternity and paternity leaves;

ii. Ensuring that staff and public access to and use of information technology is gender equitable.

5. Roles and Responsibilities

i. Institutes Directors and Administrators shall ensure the sustenance of a gender friendly environment by promoting gender equity and eliminating discrimination across all Institute's Divisions by formulating and enforcing such policies as may facilitate this.

ii. The (D-G) shall receive and consider bi-annually, a progress report from the Directors on steps taken or being taken to provide a gender friendly environment in the Institute.

iii. Institutes shall formulate strategies or in consultation with the Gender Desk Officer at the CSIR Head Office to address gender issues in policies, programs and projects.

iv. Institutes will lay emphasis on training and sensitization on, and promotion of, gender sensitive practices in order to ensure that gender-equity perspectives is incorporated in all levels of service delivery.

6. Breach of the Policy

All staff are expected to adopt a work ethic that adheres to the letter of this policy. Any member of staff who contravenes this policy shall be subject to the appropriate disciplinary procedures. Service providers and visitors to every Institute of the Council shall recognize and ensure sufficient conformity to the Council's gender policies in their undertakings in relation to the Council. Any other person who has a responsibility for ensuring compliance with the policy, and contravenes any of the rules will be subjected to appropriate action by the relevant authority.

7. Review of Policy Document

The Gender Policy shall be reviewed every five years. The gender mainstreaming committee in consultation with the Director of Administration, may from time to time add to or alter these policy statements where clear justification exists and is recommended by Council.

8. Recommendations

The following below are the recommendations proposed for Management to consider.

1. Establish Gender Desk at the CSIR Head Office,
2. Establish Gender Unit at the Institute (and if applicable at Stations) level,

3. Create a baby friendly room (nursery) at Council facility to accommodate and provide a serene atmosphere for nursing mothers to leave their babies and attend to them when necessary,
4. Accommodate and promote paternity leave for male staff to take turns to attend to their children at critical moments,
5. Ensure equal opportunities among all genders in recruitments, training, appointments, promotions and upgrade, programme attendance, and project participation,
6. Constitute a gender-based standing Committee at all CSIR Institutes and Stations to swiftly deal with gender-based complaints,
7. Ensure periodic gender sensitization programme for Institute staff to remind staff of gender related issues, and
8. Ensure new staff receive briefing on Council gender policy.

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Appendix A Staff Strength of CSIR Institutes by Sex (2017)

Name of Institution	Staff Strength							
	Senior Member		Senior Staff		Junior Staff		Total	
	Male (%)	Female (%)	Male (%)	Female (%)	Male (%)	Female (%)	Male	Female
ARI	9.5	5.0	18.7		8.0	5.3	81.7	18.3
BRRI	16.7	3.4	29.6	11.2	35.2	3.9	81.5	18.5
CRI	10.5	2.5	21.6	8.6	45.2	11.6	77.3	22.7
FRI	12.8	9.4	26.2	23.5	22.8	5.3	61.7	38.3
FORIG	16.7	7.1	25.5	9.2	33.5	7.9	75.7	24.3
INSTI	19.7	5.6	22.5	16.9	32.4	2.8	74.6	25.4
IIR	16.7	4.6	4.0	18.5	17.6	2.8	74.1	25.9
PGRRI	9.3	2.3	3.2	6.2	41.9	8.5	82.9	17.1
OPRI	8.4	0.4	37.2	5.9	38.5	9.6	84.1	15.9
SARI	11.4	2.2	24.7	5.7	46.7	9.2	82.9	17.1
STEPRI	21.2	15.4	28.8	17.3	15.4	1.9	65.4	34.6
SRI	9.6	1.3	2.1	7.4	4.9	11.8	79.5	20.5
WRI	18.7	5.6	26.6	19.2	28.0	1.9	73.4	26.6
Head Office	17.2	3.8	36.0	22.6	17.2	3.2	70.4	29.6
Total	**12.6**	**3.9**	**26.1**	**11.0**	**38.6**	**7.8**	**77.3**	**22.7**

Appendix B CSIR Gender Mainstreaming Action Plan

Objective	Issues	Strategy	Activity	Responsibility	Timeline
1. Develop a gender policy	Disparity between men and women	Establish equality and equity for men and women.	Sensitization workshop from top to bottom (staff and management) Sensitization of interview panel	Gender Unit	Short term
	Job dissatisfaction	Improve and motivate working conditions for maximum output for staff	Set up a unit to handle the gender issues		Short term and long term
	Does not encourage more women to apply	To increase the number of females in management positions	Develop policy recommendations Where both applicants (male and female) are equally qualified during recruitment, the female is given a preferential option.		Medium term
2. More women in leadership positions	Less women in STEM	Increase women in STEM by 40% by the year 2027	Establish scholarship quotas for women	Government; CSIR	Long term
	Less women with qualifications in leadership	Train more women in leadership skills	Develop and implement special training in management and HR	Institute Directors (particulars)	Short to medium term
	Insufficient coaching and mentoring	Provide opportunities for networking between senior and newly recruited staff	Develop guidelines for mentoring	DDG; senior members; RSA	Short term

3. Establish equity measures in CSIR	Less women in senior management positions	Encourage women to contend for all positions at CSIR.	All adverts should have a line that says 'women are encouraged to apply' Sensitization of the Deputy Director-General and Institute Directors. Sensitization of Research Scientists and Technical staff	Management	Short term
	Less women employed at CSIR	Support women in higher education through mentoring programme.		Council and Management	Medium term
	Local positions topped by men – very few women are project leaders	Give women priority for funding in CSIR pool.	Encourage women to contest for positions at all levels of CSIR. Create a special research fund for women. Where there is a group research such as an institute's research or national research programme, there shall be equitable representation of qualified males and females. Where individual Scientists develop research proposals, efforts should be made to incorporate gender concerns such as proportionate representation of farmer field schools, demonstration farms, etc.	Management	Long term
	Women get pregnant and have to take care of babies during the promotion periods.	Women given equity for publication and promotion periods – more time to make up given maternity leave.	Establish a crèche and day care centres.	Council / Management	Long term

	Women get pregnant and have to take care of babies during the promotion periods.	Women given equity for publication and promotion periods – more time to make up given maternity leave.	Establish a crèche and day care centres.	Council / Management	Long term
4. Sensitizing CSIR staff at all levels on gender mainstreaming	Lack of awareness amongst management and staff on gender	To create awareness at DMC level	Gather information and numbers – information gathering and analysis Organise a workshop on gender	Gender Committee / Possible gender consultant	Medium term (1 year)
		To create awareness at the institute level	Initial information gathering		18 months
			Training of Trainers (gender focal persons)		
			Seminars		
			Focus group discussions (by gender committee and trainers)		
			Workshops		

5. Establish a gender unit	No unit in existence	Create a gender unit across CSIR	• Conduct a Needs assessment • Create stakeholder consultation groups • Employ a gender specialist who will take charge • budget allocation (1% per institution) • M&E – staff interviews	Reps from CSIR and stakeholder management (local unions) Management and HR and staff reps	1 to 3 years
		Build capacity at local institutes on gender issues Institutes shall establish and equip the Gender Desk to handle gender-related issues. Sensitization of all staff on professional conduct	• Build capacity of those who run the offices in the institutes • Setup and run offices • M&E - Impact assessment Where the issue is above the Gender desk such as sexual harassment, violence or any such unprofessional conduct, the matter shall be referred to the Director to apply the Conditions of Service as in Sections 71, 72 and 73 of Senior Members; and Article XV of the Collective Bargaining Agreement .	Gender Unit	1 to 3 years and continuous

6. Increasing the number of women in CSIR	More men than women at CSIR	Create a mentoring programme for younger students and academics	Mentor females at senior high school and undergraduate levels. Mentor and coach younger female scientists in the institutes	Older / experienced scientists	Medium term
		Develop policies to support increasing the number of women at CSIR	Work with management to identify key policies needed.	Top management	Long term
		Create a female friendly environment to maintain already employed female staff	Setting up a crèche. Provide paternity leave	Top management and all staff	Medium and long term
Creation of Infant-friendly Room	Every institute should create an infant-friendly room to take care of infants* of nursing staff.		Institute directors are encouraged to create the Infant-friendly Rooms and support their operations. Sensitization of all staff of the creation of the Infant-friendly Rooms to ease nursing parents' stress	Institute Directors	
7. The establishment of a budget to conduct gender activities					

MISCELLANEOUS

EFFECTIVE DATE

These policies and regulations on Gender shall be deemed to have come into effect on the 30th AUGUST, 2020.

APPROVED SIGNATORIES

Approved by Management on the 30th August, 2020.

……..
PROF. ROBERT KINGSFORD-ADABOH
CHAIRMAN OF COUNCIL

……..
PROF. VICTOR K. AGYEMAN, PhD, ESQ, FGIF
DIRECTOR-GENERAL

Republic of Namibia

NATIONAL GENDER POLICY

(2010 - 2020)

Ministry of Gender Equality and Child Welfare (MGECW)

Windhoek, Namibia

March 2010

FOREWORD

It is of the utmost importance to the Namibian Government to improve the status of women in society and to eradicate injustices of the past. To this end, measures have been put in place to ensure equitable access to economic resources and opportunities, as well as social justice for both women and men.

The guiding principles of the National Gender Policy are informed by national and international legal instruments for the promotion of gender equality, which the Namibian government has signed. These include the SADC Declaration on Gender and Development and its Addendum on the Prevention and Eradication of Violence against women and children; the SADC Protocol on Gender and Development; The Beijing Declaration and Platform for Action (BPFA); The Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW, 1997) and its Optional Protocol; and The Millennium Development Goals (MDGs), among others.

Therefore the overarching goal of the National Gender Policy is to achieve gender equality and the empowerment of both female and male persons in Namibia. In this respect, the policy framework provides mechanisms and guidelines for all sectors and other stakeholders for planning, implementing and monitoring gender equality strategies and programmes in order to ensure that these would facilitate gender equality and women's empowerment.

The implementation of the National Gender Policy will create the necessary synergies for the achievement of national development objectives through the framework of the National Development Plans (NDPs), which are the main instruments for implementing policies and programmes to achieve Vision 2030. In the Third National Development Plan (NDP3), five core areas were identified which are to be mainstreamed through sector programmes and programming processes. They include Gender, HIV and AIDS, Poverty, Environment, and Information Communication Technology (ICTs).

This National Gender Policy seeks to create an enabling environment for sectors to mainstream gender in line with NDP directives.

I call upon all stakeholders identified in the implementation framework to support and contribute towards the implementation of the National Gender Policy through organisational structures and policies, and to avail the required resources within their programmes for effective implementation of the National Gender Policy.

HIFIKEPUNYE POHAMBA

PRESIDENT OF THE REPUBLIC OF NAMIBIA

PREFACE

The National Gender Policy was designed with the objective to effectively contribute to the attainment of the objectives of Vision 2030, in order to create a society in which women and men enjoy equal rights and access to basic services. It serves also to provide opportunities for women and men to participate in and contribute towards the political, social, economic and cultural development of Namibia.

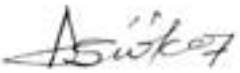
When a review of the first gender policy of Namibia – formulated in 1997 - was carried out, it emerged that progress in the advancement of gender equality was made in the economic, political and legal spheres. More specifically, the review process showed that notable progress was evident in the area of education. For example, the enrolment of girls in schools now matches or surpasses that of the boys at every level. This demonstrates the likelihood of achieving the engendered MDG targets on education by 2015. Progress was also made in the area of legal reforms, with the development of a legal framework through laws seeking to address gender inequalities and issues of economic and social injustices, brought about by past discriminatory laws and cultural practices, patriarchal ideologies and historical imbalances.

Despite the progress made, many challenges remain in programming for gender equality. Women in Namibia are facing increased prevalence of HIV and AIDS, high rates of gender based violence (GBV), and continued pervasive gender- and intra-household inequalities, which exacerbate poverty. This is more pronounced among the 44 per cent female-headed households in rural areas. Other developmental challenges include a high maternal mortality rate and the sexual exploitation of women and girls. Women continue to be under-represented at most levels of decision-making, both in the public and private sectors, on special committees, religious groups, Boards and other institutions in Namibia. Likewise, within the family setting, gender inequalities continue to undermine women's financial independence and personal autonomy, thus affecting their ability to exercise rights in other spheres.

In order to address gender inequality and promote women's empowerment, the National Gender Policy will focus on the following key programme areas: Poverty and Rural Development; Education and Training; Health, Reproductive Health and HIV and AIDS; Gender based Violence; Trade and Economic Empowerment; Governance and Decision-Making; Media, Information and Communication; the Environment; Issues of the Girl-Child; Legal Affairs and Human Rights; Peace-building, Conflict Resolution and Natural Disaster-Management; and Gender Equality in the Family Context.

As proposed in the Guiding Principles, programming for gender equality will be guided by a mainstreaming strategy for policies, programmes and structures of line Ministries and stakeholder institutions. Responsibility for the implementation of the National Gender Policy lies with all stakeholders identified in Chapter 5. They will also be accountable for gender equality results. It is incumbent on partners to develop plans, budgets and strategies to operationalise the Gender Policy at the sector programme level.

I would like to express my sincere gratitude to the staff of the Directorate of Gender Equality, and all the stakeholders who provided valuable input during the compilation of this Policy. Furthermore, I wish to express my appreciation to MDG-F for their support during the formulation of the National Gender Policy.



HON. DOREEN SIOKA

MINISTER OF GENDER EQUALITY AND CHILD WELFARE

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LIST OF ABBREVIATIONS

AIDS	Acquired Immuno-Deficiency Syndrome
ALAN	Association for Local Authorities in Namibia
BPFA	The Beijing Declaration and Platform for Action
CBO	Community-Based Organisation
CEDAW	Convention on the Elimination of all forms of Discrimination Against Women
COSDECs	Community Skills Development Centres
CRC	Convention on the Rights of the Child
CSOs	Civil Society Organizations
EMU	Emergency and Management Unit
FAWENA	Forum for African Women Educationalists in Namibia
FBO	Faith-Based Organisation
GBV	Gender Based Violence
GMBS	Gender and Media Baseline Study
GMS	Gender Management System
HIV	Human Immuno-deficiency Virus
ICT	Information and Communication Technology
KRAs	Key Result Areas
LAC	Legal Assistance Centre
MAWF	Ministry of Agriculture, Water and Forestry
MBESC	Ministry of Basic Education, Sport and Culture
MDGs	Millennium Development Goals
MGECW	Ministry of Gender Equality and Child Welfare
MHETEC	Ministry of Higher Education, Training and Employment Creation
MOHSS	Ministry of Health and Social Services
MRLGHRD	Ministry of Regional, Local Government, Housing and Rural Development
MTP3	Medium-Term Plan 3
NANGOF	Namibia Non-Governmental Organisations Forum
NASOMA	National Social Marketing Association
NAWA	National Association of Women with AIDS
NDP	National Development Plan
NGC	National Gender Commission
NGMP	National Gender Mainstreaming Programme
NGO	Non-Governmental Organisation
NGP	National Gender Policy
NGPA	National Gender Plan of Action
NIED	National Institute for Education Development
NLFS	Namibia Labour Force Survey
NPC	National Planning Commission
NYS	National Youth Service

OPM	Office of the Prime Minister
OVC	Orphans and Vulnerable Children
PEP	Post-Exposure Prophylaxis
PGC	Parliamentary Gender Caucus
PPR	Program on Poverty Reduction
PRM	Programme Results Matrix
SADC	Southern African Development Community
SIAPAC	Social Impact Assessment and Policy Analysis Corporation
SMEs	Small and Medium Enterprises
SOE	State-owned Enterprise
SRH	Sexual and Reproductive Health
STIs	Sexually Tansmitted Infections
STDs	Sexually Transmitted Diseases
TWG	Thematic Working Groups
TOTs	Training-of-Trainers
UDHR	Universal Declaration on Human Rights
UN	United Nations
UNAM	University of Namibia
UNFPA	United Nations Population Fund
UNSCR	United Nations Security Council Resolution
UNTOC	United Nations Convention against Transnational Crime
VTC	Vocational Training Centre
WCPU	Women and Child Protection Unit

CHAPTER 1

1. BACKGROUND

1.1 Introduction

The First National Gender Policy was compiled and adopted in 1997. This marked an important step towards the attainment of gender equality in Namibia. It was aimed at closing the gaps which were created by past socio-economic, political and cultural inequalities which existed in the Namibian society. The Policy document provided a framework to guide the implementation of programmes aimed at meeting expectations of the Namibian people, especially women, to attain fundamental freedoms and to be equal to their male counterparts with regard to participation in all developmental programmes and nation-building efforts. In order to realise the goals and objectives set out in the National Gender Policy, the National Gender Plan of Action - formulated as a five-year Plan covering the period 1998 to 2003 - was adopted a year later, in 1998. By adhering to a process of consultation, the current National Gender Policy and the Gender Plan of Action have now been reviewed. The findings emanating from the review process indicate that the level of success achieved has been more in some areas of implementation than in others. It was also found that there are many factors which hindered the full implementation of the Policy and the accompanying Action Plan. These include inadequate knowledge of gender mainstreaming, a lack of skills regarding gender analysis and poor coordination between the stakeholders and the MGECW, as the lead Agency.

Since the first Policy was formulated in 1997, there are new and emerging issues at national, regional and global level which might influence the attainment of gender equality. Among them are the worsening of HIV/AIDS pandemic, international economic development issues, globalisation and climate change, and human trafficking. All these factors have a disproportional and direct impact on the livelihoods of women and girl-children. While these issues present challenges, they also provide opportunities to address issues of gender equality.

This Policy is designed to provide guidance for stakeholders and institutions at all levels, and to ensure that they always consider a gender perspective in their planning and programming processes. The priority areas of focus for Namibia in this Policy include:

- Poverty and Rural Development
- Education and Training
- Health, Reproductive Health and HIV and AIDS
- Gender Based Violence
- Trade and Economic Empowerment
- Governance and Decision-Making
- Media, Information and Communication
- Environment

- Issues of the Girl-Child
- Peace-Building and Conflict Resolution, and Natural Disaster-Management
- Legal Affairs and Human Rights
- Gender Equality in the Family Context

A multi-sectoral approach to the implementation of the Policy will be strengthened to ensure effective service-delivery for gender and women's programmes.

1.2 Intended Policy Outcome

The goal of this Policy document is to guide actions towards the integration and mainstreaming of gender perspectives in the broad development framework, which will be in line with the objectives of NDP3, as well as the aspirations of Vision 2030. This will depend on effective implementation and the efficient utilisation of the allocated resources, leading to the creation of a society in which women and men enjoy equal rights and equal access to basic services, as well as opportunities to participate in and contribute towards the political, social, economic and cultural development of Namibia.

1.3 Legal and Policy Context

The Namibian Constitution provides the foundation for principles of gender equality in Namibia. Article 10 of the Constitution states that:

"All persons are equal before the law. No persons may be discriminated against on the grounds of sex, race, colour, ethnic origin, religion, creed or social or economic status".

In addition, Article 23(3) states that: *"In the enactment of legislation and the application of any policies and practices contemplated by [the Constitution], it shall be permissible to have regard to the fact that women in Namibia have traditionally suffered special discrimination, and that they need to be encouraged and enabled to play a full, equal and effective role in the political, social, economic and cultural life of the nation".*

Another relevant provision of the Constitution is Article 95(a), which stipulates that:

"The State shall actively promote and maintain the welfare of the people by adopting, inter alia, policies aimed at the following: enactment of legislation to ensure equality of opportunity for women, to enable them to participate fully in all spheres of Namibian society"…

These constitutional provisions form the basis of the commitment of the Namibian government to the improvement of the status of women in society, and to the eradication of the injustices of the past. Towards this end, measures have been put in place to promote economic and social justice for women.

The National Gender Policy conforms to the provisions of several national, regional and international legal instruments which the Namibian government has adopted, signed and/or ratified for the promotion of gender equality. These include:

- SADC Declaration on Gender and Development and its Addendum on the Prevention and Eradication of Violence against Women and Children
- SADC Protocol on Gender and development
- The Beijing Declaration and Platform for Action (BPFA)
- The Convention on the Elimination of All Forms of discrimination Against Women (CEDAW, 1997), and its Optional Protocol
- The Millennium Development Goals (MDGs)
- The Convention on the Rights of the Child (1990)
- The Protocol to the African Charter on Human and Peoples' Rights on the Rights of Women in Africa (2003)
- The UN Convention against Transnational Crime, 2000 (UNTOC) and the Protocol to Prevent, Suppress and Punish Trafficking in Persons, especially Women and Children, known as the Palermo Protocol
- The UN Security Council Resolution 1325 on Women, Peace and Security (2000)
- The International Conference on Population and Development (1994)
- The Universal Declaration on Human Rights (UDHR)
- International Covenant on Civil and Political Rights (ICCPR)
- International Covenant on Economic, Social and Cultural Rights (ICESCR)

National Policy Frameworks adopted by the government for promoting gender mainstreaming in Namibia include the National Development Plans (NDPs), and Vision 2030 which recognises the NDPs as the main instruments to implement policies and programmes to achieve the Vision. The Third National Development Plan (NDP3) represents the first systematic attempt to translate the Vision 2030 objectives into concrete policies and actions. NDP3 identified five core areas which are to be mainstreamed through sector programmes and programming processes. They include Gender, HIV and AIDS, Poverty, the Environment, as well as Information, Communication and Technology. The Gender Policy seeks to create an enabling environment for institutions and sectors to mainstream gender perspectives in line with the NDP directives.

CHAPTER 2

2. SITUATION ANALYSIS

Overall, the assessment of achievements of gender equality efforts in Namibia provides a mixed picture of the progress and obstacles encountered during the implementation of the first National Gender Policy and the Second National Development Plan (NDP 2). Significant progress in the advancement of gender equality has been made in economic, political and legal spheres. This is an indication of increased recognition of the need to address gender issues in the Namibia's development programmes.

2.1 Progress, Achievements and Challenges in gender equality

The struggle for gender equality in Namibia over the last decade has achieved mixed results. Women are thriving in certain sectors of society and key policy objectives have been achieved. For instance, the enrolment of girls in schools now matches or surpasses boys at every level. Legal reforms were carried out in order to address gender inequalities and redress issues of economic and social injustices brought about by past, discriminative cultural practices, patriarchal ideologies and historical imbalances. This led to the enactment of new laws. However, significant challenges remain. The maternal mortality rate is high, reported cases of rape have increased annually, and women continue to be under-represented in decision-making roles in Namibia. There are areas of Namibian society - such as higher education - where boys and men also face gender based challenges. The following analysis provides a brief portrait of the current situation of women in Namibian society.

2.1.1 Poverty and Rural Development

Poor households (including the severely poor) currently make up around 28% of all households in the country, while the severely poor households stand at 4%. The 2008 MDG Country Progress Report indicates that both figures have decreased significantly since the beginning of the 1990s. The 2012 target of reducing the number of severely poor households in the country has already been achieved. We believe that meeting the target for reducing the number of the poor households, is possible.

Despite progress made, challenges and obstacles remain on the way to achieving gender equality. Women in Namibia continue to experience pervasive gender and intra-household inequalities. This contributes greatly towards poverty. Poverty is most pronounced among the 44% of female-headed households in rural areas. Approximately 67% of the population live in rural areas, a decline from 72% in 1991. About 52% of the population in rural areas are female. This slightly skewed sex ratio in rural population is the result of migration by men to urban areas in search of employment. In the populous northern regions of the country where 42.6% of the population live, women who care for small children and the elderly are the main participants in subsistence agriculture and maintain rural homesteads, while men are away in urban areas. Most rural Namibians depend on subsistence agriculture, often in

conjunction with cash income and pension remuneration. However, 36% of rural Namibians have no source of income other than that which comes from their involvement in subsistence agriculture.

2.1.2 Gender, Education and Training

Namibia has recorded encouraging results in terms of the enrolment of girls compared to boys from primary school through to tertiary education. There are 102 girls for every 100 boys in primary school. For every 100 boys in secondary school, there are 113 girls. This trend continues right through to tertiary education where female students outnumber their male counterparts. Despite the high enrolment figures of girls at the primary and secondary education levels, there are still disparities among the administrative regions of the country. For instance, the enrolment figures for girls in Omaheke stands at 50.1%, in Caprivi it is 48.5%, while in Khomas Region the figure is 51.7%. These were statistics for school enrolment during 2006[1]. Male and female learner retention rates are approximately equal. However, female learners face unique challenges in completing their education; these include inadequate prevention and management of learner pregnancies, economic pressures on young girls from family members and financial dependence on older men ("Sugar Daddies").

There has been a steady increase in enrolment of female students in various fields of study. In the humanities and social sciences the figure grew from 51% in 1997 to 67% in 2007; Medical and Health Services as fields of study increased from 81% in 1997 to 89% in 2007; the field of Economics Management Science attracted 46% of students in 1997 and this increased to 58% in 2007; Education grew from 52% in 1997 to 75% in 2007; Science as a field of study grew from 37% in 1997 to 49% in 2007; Law, as a field selected by students, grew from 45% in 1997 to 60% in 2007; and Agriculture as a field of study grew from 36% in 1997 to 46% in 2007. It is only the Centre for External Studies which experienced a decline from 75% in 1997 to 66% in 2007. Graduation figures of men in relation to women at the University of Namibia, in all faculties, have been decreasing in recent years, necessitating action to ensure that men continue to be represented in all educational and employment sectors, including the traditionally female-dominated sectors such as teaching and nursing. In 2007, only 465 men graduated in comparison to 934 females.

According to the Second Progress Report for Namibia (2008) on the Millennium Development Goals, the national literacy rate in 2006 was higher for females (94%) than for males (91%). However, there are regional disparities in the literacy rates, with the Kunene and Omaheke Regions having the lowest rates (68% and 74 %, respectively), while the Karas (96%), Khomas (97%) and Oshana Regions (96%) had the highest rates. Similarly, Community Skills Development Centres' (COSDECs) reports indicate that about 55% of students were females in 2005/06. However, the situation in Vocational Education and Training Centres seems to be different. In these institutions more male than female students enrolled in 2005/06, namely 67% and 33%, respectively.

2.1.3 Gender, Health, Reproductive Health, and HIV & AIDS

Namibia has expanded its Primary Health Care Programme in addition to introducing initiatives to address health issues such as HIV and AIDS, safe motherhood, tuberculosis and malaria. In the area of gender and health, indicators show that the overall fertility rate has dropped from an average of

[1] Emis Education Statistics 2006, Ministry of Education, 2008 Edition

6.1 in 1991 to 4.1 in 2001, and 3.7 in 2006. This can be attributed to women's greater participation in the formal economy, higher levels of education and better access to and utilisation of contraceptives. Another factor which could contribute to the decrease in the fertility rate is the impact of AIDS and the fear of contracting HIV. The Maternal Mortality Ratio in Namibia has increased from 271 deaths per 100,000 live births in the year 2000, to 449 per 100,000 in 2006, while contraceptive usage stands at 65% in urban areas and 45% in rural areas. Furthermore, 93% percent of births in urban areas are assisted by skilled birth attendants compared to 66% of births in rural areas. These statistics indicate that more needs to be done to improve maternal health in the rural areas.

Namibia also has one of the highest HIV prevalence rates in the world, with women accounting for 53% of all reported new HIV cases. In 1992, the HIV prevalence rate among pregnant women was 4.2%. Within ten years it increased to 22%, in 2002. The 2004 prevalence rate was 19.7%, while the 2006 prevalence rate increased to 19.9%. Women who die from AIDS are, on average, 5-10 years younger than men. The percentage of young women living with HIV is 29 percent compared to only 8 percent for young men. Some of the consequences of HIV and AIDS include the domestic burdens of women and girls as they have to provide the lion's share of home-based care for those who are ill, as well as support for affected families. Female-headed households and poorer women are more affected by this as they have less to spend. In this context HIV and AIDS constitute a serious challenge not only to health but also to development as a whole.

2.1.4 Gender Based Violence (GBV)

Gender Based Violence (GBV) and sexual exploitation include domestic violence and rape. Sexual exploitation may include commercial sex work, coercive sexual relationships, transactional relationships and human trafficking. Research indicates that, globally, human trafficking has reached epidemic proportions over the last decade. At both national and regional levels, trafficking in persons is recognised as a growing problem necessitating urgent responses in terms of policies and legal frameworks to guide programming. In the SADC Region, 'women and girls are the majority of those trafficked for the purpose of sexual exploitation; men are trafficked for the purposes of labour, while children are generally trafficked for domestic servitude and child-minding'.[2] All of these issues continue to affect Namibian women and prevent them from living in a safe and healthy environment.

Namibia now has a strong legal framework to address various forms of gender based violence and sexual exploitation through the Combating of Rape Act No. 8 of 2000 and the Combating of Domestic Violence Act No. 4 of 2003. However, problems with ineffective implementation and inconsistent criminal enforcement remain significant barriers to protecting Namibian women from all forms of GBV. Women and Child Protection Units (WCPUs) represent progress in terms of the protection of vulnerable members of society. They must, however, be strengthened in order to effectively carry out their mandated roles.

Despite stronger laws, the prevalence of GBV has increased in Namibia over the last decade. For instance, reported cases of rape or attempted rape per region have increased in all regions of the country over the years, namely, from 564 in 1991 to 778 in 1997, 901 in 2001 and 1,100 in 2006.

[2] Draft 10-Year SADC Strategic Plan of Action on Combating Human Trafficking, Especially Women and Children – 2009-2019.

Reported cases of assault with intent to do grievous bodily harm are the most prevalent and rampant type of GBV. In 2005, 6,637 cases of this form of violence were perpetrated against women, while 3,350 cases were perpetrated against men, 241 against young girls, and 131 against young boys. Sex work is also becoming more prominent and detrimental to a larger subset of women. A recent report estimates that sex workers in Windhoek earn an average of N$30 per sex act, and that the sex workers would often settle for less in situations where they are threatened, bribed or simply desperate. Perceptions of the acceptability of violence must also change. Currently, 41% of Namibian men and a third of Namibian women believe that wife-beating (battering) is justified for one or other reason.

2.1.5 Trade and Economic Development

The 2004 Namibia Labour Force Survey (NLFS) recorded a total number of 369,863 private households, with about 1.7 million residents. The majority of the population lives in the rural areas, namely 63.2 % as compared to 36.8% in the urban areas. For example, the Khomas Region where the capital city, Windhoek, is located, has the largest population of about 61,646 private households with 253,277 persons. In 2001, there was a total sex ratio of 95 women for every 100 men. However, in the latest NLFS the aforesaid figure has dropped to 91.3 women per 100 men.

Currently, women's participation in the labour force is lower than that of men, at 49% to 60%, respectively. Gender variations also occur when comparisons are drawn between subsistence agriculture and wage employment. Studies show that 44% of female-headed households depend on subsistence agriculture, and only 28% make a living from wage employment. In contrast, more than 50% of men depend on wage labour and only 29% from subsistence farming. The overall share of women aged above 15 years in wage employment in non-agricultural sectors, is relatively low at 47%.

2.1.6 Decision-Making and Political Empowerment

Women's representation and participation in decision-making in Parliament and managerial levels have fluctuated over time, as well as across sectors. By 2008, women representation in Parliament reached 30.8%. A closer analysis, however, reveals significant disparities. There are only 5 female Ministers out of 22, 5 Deputy Ministers out of 20, and only 7 female Members of the National Council out of 26. Women are under-represented in Regional Councils, where only 13 out of 107 councillors are female, and there are only 3 women amongst the 13 Regional Governors. Women, however, are well represented on Local Authority Councils where they constitute 45% of all Councillors. This is primarily as a result of affirmative action initiatives enacted in the Local Authorities Act. However, upon closer scrutiny, it emerges that only 8 out of 30 mayors are female, while at the Deputy Mayor level, the ratio is 50/50. As a signatory to the SADC Protocol on Gender and Development, the Government has committed itself to achieving the target of 50% representation of women in decision-making positions by 2015.

2.1.7 Gender, Media, Research, Information and Communication

While the majority of our population comprises women who live in rural areas, the local media display a strong urban bias in their coverage. More than 40 percent of news stories in the media cover events or are related to events in the Khomas Region, Windhoek, in particular. This figure rises to nearly 60 percent when national stories are included. The Gender and Media Baseline Study of 2003 (GMBS) found that only 19 percent of news sources are women, and that women are typically portrayed as

victims, objects of beauty or in unusual stories rather than as spokespersons or in a professional capacity. Current media coverage of women gives little insight into women's contributions to the development process. Although there are a number of women working in the media industry in Namibia, they are still under-represented in decision-making positions, and the issues which affect women more than men are not given equal prominence in media coverage.

The media also fail to adequately cover issues of HIV and AIDS. Only 4% of stories in all media monitored focus on or mention HIV and AIDS, and stories of women with HIV and AIDS are almost non-existent. As an example of this extreme situation, a one-month analysis of media sources showed that men constituted 100% of all those living with HIV and AIDS quoted in the media, in sharp contrast to the rest of the SADC region, where women with HIV and AIDS constituted 52% of such sources (GMBS). However, media outlets are increasingly making an effort to be gender sensitive and to promote media diversity, pluralism, self-sufficiency and independence.

2.1.8 Gender and the Environment

Due to Namibia's topography of arid and semi-arid areas, the country receives low rainfall and experiences frequent drought. The majority of Namibians live in rural areas. Their livelihood depends mainly on the natural environment for food and shelter. Other resources essential for daily sustenance and wellbeing, including grazing, firewood, water and fruits, also come from the natural environment. Women are the primary users of these environmental resources. In most rural communities, women and girls constitute 75% of the workforce responsible for fetching water and collecting firewood. Fetching water is primarily a female task given that 36% of rural households have daughters fetching water, as compared to 15% which have sons fetching water. Through amendments to the Nature Conservation Ordinance No. 4 of 1975, the government has opened up new opportunities for community members to benefit from the utilisation of natural resources. The law has put in place a progressive policy of Community-Based Natural Resource Management, whose flagship is the establishment of Community Conservancies. The Community Conservancies have already started to generate remarkable benefits for their members many of whom are women. It is also hoped that these programmes, combined with adequate female representation in their implementation, would contribute towards greater recognition of the role of women in the protection, management and sustainable utilisation of the environment.

2.1.9 The Girl-Child

Although Namibia has made progress in terms of enrolment of girls in primary school, they tend to gradually drop out in upper primary and high school as a result of pregnancy, poverty, HIV and AIDS, sexual harassment, early marriages and other cultural practices. Educational marginalisation, gender insensitive teaching and learning methodologies are exacerbated by the low status afforded to women and girls. The number of girls dropping out of school is still high, threatening retension rates and the completion of studies by girl-children at upper primary and secondary levels. Teenage pregnancy is reported to be the main cause of school drop-out by girls[3] with a rate of 23.9% in the Kavango Region and 21% in the Ohangwena Region[4]. Early marriage is yet another factor in female school drop-out rates. Although there are laws in place that set the minimum age for civil marriage at 18, girls as young as 13 are being married under customary law. In the age group 15 – 19 years, 1.7% of girls are married compared to 0.1% of boys.[5]

[3]Ministry of Education (MoE) (2008a).
[4]Ministry of Education (MoE) (2007).
[5]Ministry of Health and Social Services (MHoSS), Namibia Demographic and Health Survey (2000).

The Government and relevant stakeholders are implementing measures to address the challenges faced by girl-children. Some of the policies being implemented include the education sector HIV and AIDS Policy, the National Policy on Orphans and Vulnerable Children and the Education-for-All Policy.

The Government adopted the Educational Sector Policy for Prevention and Management of Learner Pregnancy in Namibia which provides teenage mothers access to education before and after giving birth.

Education before giving birth: the pregnant girl may choose to continue with her education at school until 4 weeks before her expected due date, as certified by a health care provider, or take a leave of absence from an earlier date if this is advised by a health care provider on medical grounds, or if she feels unable or unwilling to continue attending school during any stage of pregnancy.

Education after giving birth: The girl may continue with her education after giving birth provided that:

- a social worker (or Principal if no social worker is readily available) is satisfied that the infant will be cared for by a responsible adult.
- a health care provider provides a statement that the learner-parent is in a suitable health and wellbeing
- a health care provider provides a statement that the infant is in a suitable state of health and wellbeing
- The learner-parent and her parents, primary caretaker or guardian provide a signed statement with an exposition on how the infant will be cared for and an undertaking to maintain open communication with the school.

2.1.10 Gender, Legal Affairs and Human Rights

Namibia has a comprehensive legal framework and a bouquet of laws to promote gender equality and protect the rights of women. Several laws have been enacted for this purpose including the Combating of Rape Act, the Domestic Violence Act and the Maintenance Act. Policies have also been put in place including the policy on Learner Pregnancy as well as the National Policy on Orphans and Vulnerable Children (OVCs). However, major hurdles still exist for gender equality within the legal domain. To overcome these hurdles, Namibia must effectively implement the existing progressive laws and policies throughout the country and at all levels of society. Access to justice and legal literacy, particularly for rural women, also continue to limit the effective realisation of the human rights of women in Namibia. As a signatory to the SADC Protocol on Gender and Development and other regional and international instruments, Namibia is obliged to ensure a comprehensive legal framework protecting the fundamental rights of both sexes, as well as effective access to the justice system.

Namibia enacted new laws in order to address gender inequalities and redress issues of economic and social injustices brought about by past, discriminative cultural practices, patriarchal ideologies and historical imbalances. These include;

- Combating of Domestic Violence Act (No. 4 of 2003). This legislation makes domestic violence a specific crime and has a broad definition of domestic violence which includes physical abuse, sexual abuse, economic abuse, intimidation, harassment and serious emotional-, verbal- or

psychological abuse.

- Maintenance Act (No. 9 of 2003). This law provides that both parents have a legal duty to provide for their children who are unable to support themselves, regardless of whether the children were born inside or outside of marriage, and whether or not parents are subject to any other system of customary law which might not recognise one or both parents' liability to the child.
- Combating of Rape Act (No. 8 of 2000). Even from an international perspective, this is one of the most progressive laws on rape. The Act gives greater protection to young girls and boys against rape. It provides for more stringent minimum sentences for rapists, and defines marital rape as an offence in the eyes of the law.
- Married Persons Equality Act (No. 1 of 1996). This Act specifies equality of persons within civil marriage and does away with the legal definition of a man as head of the household. The Act also provides women who are married in community of property equal access to bank loans and equal power to administer joint property. It stipulates that immovable property may be registered in both spouses' names.
- Affirmative Action (Employment) Act (No. 29 of 1998). This Act identifies affirmative action as a set of measures to ensure that all Namibians have equal employment opportunities, and are equitably represented in the workforce, focusing on previously disadvantaged groups such as women and the disabled.
- Communal Land Reform Act (No. 5 of 2002). This legislation gives widows who reside in rural areas the right to remain on land allocated to their deceased husbands. It also provides that the right of a widow to remain on the land, is not affected by re-marriage.
- Labour Act (No. 11 of 2007). This law provides for maternity leave (with the addition of maternity benefits under the Social Security Act No. 34 of 1994), and prohibits discrimination on the basis of pregnancy, as well as providing stronger protection against sexual harassment in the workplace.
- The Children's Status Act (No. 6 of 2006). This Act provides for equal treatment of children born outside marriage in relation to those born in a marriage; especially on issues of inheritance. The Act also provides for equal guardianships and custody for unmarried parents.

These laws have far-reaching effects on gender relations. They create a legal basis for gender equality and provide formal recourse to justice. However, inconsistent implementation and ineffective enforcement efforts continue to undermine the ability of these laws to achieve gender equality.

2.1.11 Women and Peace-Building, Conflict Resolution and Natural Disaster Management

Namibia is a signatory to UN Security Resolution 1325 on Women, Peace and Security. In this respect, the government has committed itself to mainstreaming gender in peace-keeping activities, and promoting the participation of women in institutions and decision-making bodies that are involved in peace-keeping and crisis prevention missions. Although Namibia is not engaged in any major conflict, Namibian citizens have participated in peace-keeping and conflict resolution missions in Africa and other parts of the world. Gender sensitisation is important to ensure the protection of women's rights in conflict areas.

Currently, women do not play a significant role in natural disaster management. Since any natural disaster would necessarily impact on women and the family, it is important that women be consulted before deciding on effective management strategies.

2.1.12 Gender Equality in the Family Context

The family remains the cornerstone of Namibian life, and gender equality in the family context is vital to ensuring equal rights for women in our society. Namibia has developed a strong legal framework to promote gender equality within the family. Statutory laws such as the Maintenance Act, the Married Persons Equality Act and the Children's Status Act promote equal rights and responsibilities of married persons and parents in the family context. Unfortunately, little has been done to remove gender discrimination in the context of customary law and traditional practices.

Despite progress achieved during the post-independence dispensation, attitudes and cultural perceptions continue to promote unequal power relationships in the family. The Demographic and Health Survey (2000) found that 15% of Namibians do not believe a woman may refuse to have sex with her husband and 16% of men believe that a husband has the right to have sex with women other than his wife if his wife refuses to engage in sex with him on a particular occasion. In addition, issues such as customary marriage and divorce, inheritance and the rights of children have not been sufficiently addressed as yet in the law or policy framework.

CHAPTER 3

3. POLICY FRAMEWORK – VISION, GOAL, OBJECTIVES AND GUIDING PRINCIPLES

3.1 Vision

The revised National Gender Policy derives its direction and focus from Vision 2030 and the Namibian Constitution. This Policy envisions the creation of a society that is just, moral, tolerant and safe, and where legislative, socio-economic and political structures are in place to eliminate marginalisation, while ensuring peace, equality and equity between females and males in all spheres of life.

3.2 Goal

To achieve gender equality and the empowerment of women in the socio-economic, cultural and political development of Namibia.

3.3 Purpose and objectives of the Gender Policy

3.3.1 Purpose

The overarching goal of the National Gender Policy is to achieve gender equality and the empowerment of both female and male persons in Namibia. To that end, the policy framework aims to serve the following purposes:

3.3.1.1 To provide mechanisms and guidelines for all sectors and other stakeholders for planning, implementing and monitoring gender equality strategies and programmes in order to ensure effective strategies for gender equality and women's empowerment.

3.3.1.2 To create an enabling environment for the empowerment of women in order to ensure their full participation in socio-economic and decision-making processes in all sectors and at all levels.

3.3.1.3 To define mechanisms and structures for institutional frameworks that can coordinate and guide implementation of gender equality programmes amongst partners and in the society, and to monitor and evaluate gender programming.

3.3.1.4 While the policy aims to address gender equality, it is important to note that due to continuing inequality affecting women more than men in access to opportunities in decision-making, access to resources and unequal gender relations, the Policy will highlight women's needs in order to close the inequality gaps.

3.3.1.5 Provide guidelines for the implementation, monitoring and evaluation of regional and international instruments.

3.3.2 Policy Objectives

3.3.2.1 Reduce and, eventually, eradicate poverty by improving access to and control of productive resources and services such as land, credit, markets, employment and training for women.

3.3.2.2 Strengthen institutional mechanisms to address the needs of women.

3.3.2.3 Reduce gender inequalities in education, increase school completion rates for girls and improve women's access to vocational training, science and technology.

3.3.2.4 Improve women's and girls' reproductive rights, health and HIV and AIDS status.

3.3.2.5 Reduce the prevalence of gender based violence, and increase protection for women and children.

3.3.2.6 Improve access to and control of productive resources and services such as land, credit, markets, employment and training for women.

3.3.2.7 Increase women's access to all levels of decision-making and participation in the political and public spheres.

3.3.2.8 Promote women's access to information and communication technology, and eliminate negative media portrayals of women and girls.

3.3.2.9 Enhance the role and benefits of women in environmental protection and management.

3.3.2.10 Promote and protect the rights of girls and eliminate discrimination against them in education and training, and in the family.

3.3.2.11 Promote the human rights of women and eliminate social, cultural and economic discrimination against women, with specific focus on implementation and enforcement of current laws, and increasing women's access to justice.

3.3.2.12 Increase and strengthen women's participation in conflict resolution and promote women's contribution to peace-building and natural disaster-management.

3.3.2.13 Promote gender equality in family relationships, and provide greater protection for women in all spheres of family life, including marriage, divorce, maintenance and inheritance.

3.4 Principles of Gender Equality

The principles enumerated in this Policy are intended to guide sector programmes among partners and stakeholders in the different interventions they will undertake to promote gender equality and women's empowerment. These principles are derived from the provisions of the Constitution of Namibia, Vision 2030 as well as national and international legal frameworks and instruments to which Namibia subscribes. The following principles should be internalised and considered as partners design, implement and evaluate their programmes.

- **Gender Equality between Women and Men:** Gender equality is an important principle and a prerequisite for sustainable development and economic growth in Namibia. It implies a situation of equal opportunities and participation and equitable distribution of resources between men and women.
- **Women's Rights are Human Rights:** Women's rights are enshrined in the Constitution of Namibia and, as a general rule, a human rights approach should be adopted in programme design.
- **Gender Mainstreaming** will be adopted and upheld as the strategy for strengthening women's empowerment, and to eliminate gender inequalities in all sectors and institutional policies, laws and programmes. Such a strategy will promote gender analysis of all programmes and the use of gender disaggregated data to inform planning and policy development.
- **Resource Allocation:** Implementation of the Gender Policy is a national responsibility, and all sectors will be responsible for providing budgetary and human resources needed for its implementation.
- **Affirmative Action** will be instituted as a necessary measure to fast-track equality. This is an important and necessary strategy in redressing historical imbalances and for enhancing women's empowerment.
- **Customary, Cultural and Religious Practices** should not discriminate against women. While it is recognised that there are customary and traditional practices that guide ways of life among communities, such practices should not contradict the interpretation, promotion and protection of women's rights and gender equality.
- **Role of Men:** Recognition of the role of men and boys in mitigating gender based violence, HIV and AIDS and promoting gender equality, is an important part of the strategy.
- **Gender Based Violence:** Advance the principle of zero-tolerance for gender based violence at all levels.
- **Promote Partnerships and Collaboration:** Gender equality can be achieved only through broad-based collaboration with stakeholders at different levels including civil society, traditional authorities and faith-based groups, in the implementation and monitoring of the National Gender Policy.

These principles and subsequent programmes should recognise differential impact of interventions on different categories of women, based on factors such as class, culture, religion, race, disability and geographic location.

CHAPTER 4

4. POLICY PROGRAMME AREAS, OBJECTIVES AND STRATEGIC ACTIONS

The Namibia National Gender Policy has identified the following key programme areas for reducing gender inequalities: Poverty and Rural Development; Education and Training; Health, Reproductive Health and HIV/AIDS; Gender based Violence; Trade and Economic Empowerment; Governance and Decision-Making; Media, Information and Communication; the Environment; Issues of the Girl-Child; Legal Affairs and Human Rights; Peace-building, Conflict Resolution, and Natural Disaster Management; and Gender Equality in the family context. The proposed strategic actions and interventions are informed by the Situation Analysis in Chapter 2. In view of the cross-cutting nature of gender concerns, responsibility for implementation of the strategic actions lies with all stakeholders, including the government, civil society and the private sector. A multi-sectoral approach to the implementation of the policy will be strengthened to ensure effective service-delivery for gender- and women's programmes.

4.1 Gender, Poverty and Rural Development

Policy Objective: Reduce gender inequalities and improve access to productive resources to enable poor women and girls to overcome poverty.

The 2001 Population and Housing Census registered 67 percent of Namibia's population as rural dwellers (down from 72 percent in 1991). Eighty-five (85) percent of the country's poor people -defined as those living in households that spend 60 percent of their total income on food – are in rural areas. Therefore, poverty in Namibia is mainly a rural phenomenon, and rural residents across the country are worse off than their urban counterparts. Rural populations are more disadvantaged in terms of income, education, health-care and employment opportunities outside the subsistence-farming arena. Poverty is complex and has many causes and outcomes. The gender analysis indicates that poverty is linked to the unequal access to and distribution of resources, a lack of control over productive resources and limited participation in political and economic institutions. Women, particularly those from rural and urban remote areas, have no access to credit facilities to establish small scale businesses.

Poverty assessment reports by the NPC invariably point to differential access to productive resources among women in the different communities in Namibia. This has implications for the livelihoods of a majority of those affected. The causes of this gender differentiation can be categorised as structural, referring to legislation and macro-economic policies and cultural practices limiting women's entitlements in terms of access to land and discriminating against them in terms of inheritance practices. As part of cultural expectations, women spend vast amounts of time on unpaid tasks - referred to as the 'care economy'. These include tasks such as chores in the home and subsistence

farming, neither of which is recognised nor valued as work. Studies providing comparisons of men and women's time-use indicate that women spend more time than men on reproductive work and this denies them opportunities to engage in more productive activities. Reducing poverty will require investments in women and girls' education and training, health, employment, access to resources, improved livelihoods and a reduction in their vulnerability to violence.

Strategies

4.1.1 Review, analyse and modify policies and programmes on poverty reduction to ensure that these take women, and particularly rural women, into account in effective ways.

4.1.2 Restructure, target and allocate necessary financial, technical and human resources to incorporate women into the development of agricultural, mining, tourism and the fishing sectors, which currently form part of the backbone of the Namibian economy, in order to appropriately ensure household and food security for the purpose of attaining food self-sufficiency in the nation.

4.1.3 Adopt specific measures to address women and youth's unemployment, in particular their long-term employment status.

4.1.4 Increase agricultural services that would improve the knowledge, skills in farming and fishing practices of women, youth and farm labourers, by ensuring that extension service- officers have a gender proportion which mirrors the population they serve and are trained to provide gender-aware services.

4.1.5 Introduce measures to integrate men and women living in poverty and socially marginalised groups into productive employment and mainstream economic activities.

4.1.6 Enable women to have access to land and affordable housing. This can be realised by, among others, removing all obstacles to access which have so far hindered women's ability to obtain land and housing.

4.1.7 Collaborate with stakeholders to improve the delivery of health, education and social services so that women and girls living in poverty, including those with disabilities, have access to such facilities, particularly in the rural areas.

4.1.8 Develop and revise laws, policies and other practices to ensure that gender perspectives are incorporated into all aspects of economic policy–making, including planning and programming, in order to ensure equal rights and access to economic resources, in order to eradicate poverty.

4.1.9 Undertake time-use studies to provide statistical means to recognise and make visible the work done by women, including unpaid and domestic work, and their contribution towards national economies.

4.1.10 Promote access to modern, appropriate and affordable technology and support services.

4.1.11 Enhance the access of women and men, including women entrepreneurs, in rural and remote urban areas to financial services by strengthening links between the formal banks and intermediary lending organisations and agencies to be established within reach of the rural communities.

4.1.12 Provide training for women and intermediary institutions with a view to mobilising capital for those institutions, and to increase the availability of credit to women.

4.1.13 Encourage all financial institutions to use methods that are effective in terms of reaching men and women living in poverty, including developing innovations to reduce banking bureaucracy and transaction costs.

4.1.14 Request banks to simplify banking practices, for example, reducing the minimum deposit and other requirements, that have prevented disadvantaged groups - women in particular - from opening bank accounts.

4.1.15 Encourage participation, joint ownership and the mainstreaming of women in decision making positions in institutions providing credit and other financial services.

4.1.16 Establish a Gender Development Fund to ensure the development of sustainable gender-awareness activities aimed at eradicating poverty.

4.2 Gender, Education and Training

Policy Objective: Reduce gender inequalities in education, improve school completion rates for girls and increase women's access to vocational training, science and technology

Education is a fundamental human right and a tool for transformation in the process of achieving gender equality objectives. In addition, research indicates that literacy among women is an important key to improving health, nutrition and education in the family, and to empowering women to participate in decision-making processes.

In this regard, the government of Namibia recognises the central role that education plays in improving opportunities for all its citizens for employment and economic well-being. Education patterns indicate that Namibia has done well in terms of enrolment of girls and boys at primary, secondary and tertiary levels. This can be attributed to the Government's promotion of the importance of education for all since Independence. Namibia aims at eliminating gender disparities at all levels of education no later than 2015, to comply with the MDGs 2 and 3 on "Education for All" and "Gender Equality and Women's Empowerment", respectively.

Despite the overall improvement in the education of girls, significant regional disparities remain a serious concern. Therefore, there is a need to improve access, equity and quality of education in all regions, particularly in science, mathematics and technological subjects, for girls and women. Other challenges and constraints, in relation to education, include cultural practices, bias, stereotypes which negatively influences access, retention and development of girls across the school curriculum; sexual harassment in educational institutions which could result in pregnancies and exposure to HIV, and inadequate gender-responsive pedagogy in primary, secondary and tertiary institutions.

Broad Strategies

4.2.1 Strive for balanced male-female participation rates in pre-primary-, primary-, secondary- and tertiary education, especially for the most disadvantaged and marginalised groups.

4.2.2 Eliminate gender disparities in access to all areas of pre–primary, primary-, secondary- and tertiary education, by ensuring that as of early school-years and continuously, both girls and boys, men and women, shall have access to career guidance, training, bursaries and loans.

4.2.3 Enhance gender sensitisation in communities at grassroots level, school and tertiary education level, and the work-place, through seminars, workshops and media which stress the need for support from parents and the community-at-large, and to assist the public in understanding the importance of girls' and women's access to education.

4.2.4 In collaboration with all stakeholders, eliminate barriers that interrupt the schooling of pregnant adolescents and young mothers by establishing accessible and affordable child-care facilities within the community and putting in place counselling facilities for learners and their families.

4.2.5 Establish programmes aimed at empowering boys to share responsibility for the prevention of teenage pregnancies, as well as programmes that encourage young fathers to assume parental responsibility.

Strategies to eradicate illiteracy

4.2.6 Continue to fully support efforts towards improving the implementation of the literacy programme for both women and men.

4.2.7 Support efforts to eradicate gender bias in literacy materials, and promote the production of literacy materials that are gender sensitive

4.2.8 Encourage adult and family involvement in learning activities in order to promote literacy for all people in Namibia especially for men, the disadvantaged and marginalised groups.

4.2.9 Recognise that in order for women and men with disabilities to participate in educational programmes - especially those which are meant to address literacy and the development of business skills - educational media should be made accessible in a form that facilitates use by people with disability, such as literature in Braille or large print, or on tape for the blind, and media content which is in sign language, for the deaf.

Strategies to improve women's access to vocational training and science and technology fields

4.2.10 Promote and improve girls' and women's enrolment in and completion of courses of study at Vocational Training Centres (VTCs).

4.2.11 In collaboration with all stakeholders, provide information to girls and women on the availability and benefits of vocational training and training programmes and opportunities in science and technology, available in Namibia and elsewhere.

4.2.12 Improve and enhance access and retention of women and girls in science, mathematics and technology-related fields through motivation and affirmative action.

4.2.13 Encourage gender-balanced participation in all apprenticeship programmes.

4.2.14 Award scholarships and bursaries to girls and women in fields traditionally dominated by men, such as Science and Economics.

4.2.15 Support, financially, training programmes for women and men who are unemployed, particularly in rural areas, to equip them with knowledge and skills that would improve their employment and entrepreneurial opportunities.

4.2.16 Promote and encourage participation, particularly by women, in research related to food-production and in agricultural, extension and education programmes.

Strategies for gender-sensitive education and training materials

4.2.17 Ensure that curricula, textbooks and all teaching/learning materials are free from gender-stereotyped references and illustrations at all levels of education, including teacher training programmes.

4.2.18 Develop training programmes to sensitize students, teachers, principals and school Boards on gender issues.

4.2.19 Ensure, through affirmative action, that female educators, teachers and professors take up managerial roles at various levels in the education hierarchy.

4.2.20 Remove, in collaboration with all stakeholders, all legal, social and cultural barriers to sexual and reproductive health education.

4.2.21 Support gender studies and research activities which can be used as a tool to make the school curricula gender-responsive, and to address the problems that force girls and women out of the education structures.

4.3 Gender, Health, Reproductive Health and HIV and AIDS

Policy Objective: Improve women and men's health, including reproductive health, and prevention/ management of HIV and AIDS

Achieving gender equality and women's empowerment cannot be done without improving women's well-being throughout their life cycle. The Reproductive Health Policy of Namibia indicates that reproductive health covers maternal and infant mortality and cancers of the reproductive system (for example cervical, breast and prostate cancers). It also includes sexually transmitted diseases (STDs), HIV and AIDS and adolescent health. Improving sexual and reproductive health and rights are a strategic priority for achieving gender equality and the empowerment of women. The 2008 MDG Report notes that when inequality limits women's access to economic resources, this compromises their sexual- and reproductive autonomy. In such situations, women and girls are often coerced into unwanted sexual activities.

While efforts have been made to improve the health sector, other basic amenities are lacking especially in the rural areas. Namibia has a limited infrastructure with which to provide people, especially the rural populations, with formal housing, electricity, transportation, and access to water and sanitation facilities. A lack of these basic amenities could have a detrimental effect on the health of rural communities. Again, because more women than men live in the rural areas and female-headed households tend to be poorer than male-headed households, a lack of rural healthcare infrastructure disproportionately affects women and female-headed households.

Challenges in the area of reproductive health and HIV and AIDS include high maternal mortality which stands at 449 deaths per 100,000 births, and adolescent pregnancy which currently stands at 15% for girls between the ages of 15 and 19 years. Adolescent pregnancy holds negative consequences for girls; this includes high risks to their health as they are biologically not mature enough to cope with pregnancy, and high school drop-out rates which limit their opportunities for economic development. Girls are also at an increased risk of contracting STIs, including HIV. There are many root causes contributing to the high HIV prevalence rate in Namibia. These include the low socio-economic status

of women, which causes gender inequality and poverty; gender based violence exacerbated by cultural definitions of manhood and masculinity; high rates of STIs; unwanted pregnancies, unsafe abortions; poor ante- and post-natal care; a general lack of decision-making power for women on issues regarding sexuality; and, biological factors which increase susceptibility of girls and women to HIV and AIDS. Despite intensive education and awareness efforts, there are people who still do not have complete and accurate information about HIV and AIDS. This is particularly true among rural population.

Other factors leading to poor women's health include harmful traditional practices such as early marriages and dry sex. There is limited research on the magnitude and types of harmful practices in Namibia, but several media reports and public outcry indicate that dry sex, widow inheritance, initiation ceremonies for girls and women, treatments for infertility involving sex and unconventional treatments often administered by traditional healers, are practiced in Namibia. Because of traditional gender roles, women and girls are expected to provide care for those infected with and affected by HIV and AIDS. This creates a time burden on women, leaving them with less time to earn an income or learn new skills. It also leads to girls having less time to attend school.

Strategies

4.3.1 Review and incorporate strategies on women's health issues into existing legislation and policies with the goal of ensuring increased sexual and reproductive rights as well as physical, social and mental health for girls and women.

4.3.2 Develop programmes, in collaboration with stakeholders and particularly women's organisations on gender-responsive health services and sexual and reproductive health rights, including a rights-based approach to HIV and AIDS.

4.3.3 Ensure that men and women have equal access to sexual and reproductive health (SRH)-care services, including family-planning and HIV and AIDS treatment.

4.3.4 In collaboration with stakeholders, equip all health-care providers through appropriately-designed gender-aware primary health-care training in the area of reproductive health and rights including HIV and AIDS.

4.3.5 Conduct research and raise public awareness on the impact of abortion and infanticide, and on other options for dealing with unwanted pregnancies.

4.3.6 Establish a common understanding and redefine concepts of manhood and masculinity through Sexual Reproductive Health education.

4.3.7 Advocate for the legislation that would eliminate environmental and occupational health hazards in the workplace and elsewhere, with the intention of protecting women and men, particularly pregnant women.

4.3.8 Support all stakeholders working with women's and men's sexual reproductive health and rights by establishing networks aimed at improving coordination and collaboration.

4.3.9 Reinforce laws and reforms, and promote practices which seek to eliminate discrimination against women and encourage both men and women to take responsibility for their sexual and reproductive behaviour.

4.3.10 Disseminate Sexual Reproductive Health (SRH) information, including HIV and AIDS information, through public health campaigns designed to ensure that women and men, particularly the youth, can acquire accurate knowledge about health issues and the ability to act in accordance with their knowledge.

4.3.11 Ensure, in line with other National Policies such as the National Population Policy for Sustainable Human Development (1996), that comprehensive factual information is available, and that the full range of reproductive healthcare services, such as family planning, parental care, ante-natal care, delivery and post-natal care, prevention and treatment of sexually transmitted infections most importantly HIV and AIDS and other reproductive- and sexual health conditions, are accessible and affordable to all users.

4.3.12 Create awareness - through the media - for the community at large, families and especially medical practitioners, that people with disabilities have the right to health.

4.4 Gender Based Violence (GBV)

Policy Objective: Reduce the prevalence of gender based violence and increase protection for women and girls.

Gender based violence refers to all forms of violence that happen to women, girls, men and boys because of the unequal power relations between them. Causes of gender based violence include customs, traditions and beliefs, illiteracy and limited education, unequal power relations, and the low status of women. The two most common forms of GBV in Namibia are rape and domestic violence, both of which disproportionately affect Namibian women more than men. However, domestic violence has a significant impact on Namibian children as well. Children in abusive homes are more likely to be abused themselves and children exposed to abusive relationships may be more likely to become abusers themselves later in life. Stalking, emotional abuse, and sexual exploitation are also linked to gender based violence.

Sexual exploitation is yet another manifestation of unequal power relations and can take many forms, such as commercial sex work, coercive sexual relationships, economic exploitation and transactional relationships, and human trafficking. Transactional relationships are an especially serious issue. This is particularly prevalent in the case of orphans and vulnerable children (OVCs), but affects girls and women of all ages. Action must be taken to educate young people to avoid this scenario. While information has been scarce on human trafficking, emerging research and documentation in the region indicate that this is a growing problem exacerbated by high poverty levels, gender inequality, unemployment, and limited opportunity for the poor. To address this problem, it is important to put in place a comprehensive and multi-sectoral approach addressing prevention, advocacy and awareness-raising, rehabilitation, integration and repatriation, as well as instituting comprehensive legislation that criminalise human trafficking for ease of prosecuting offenders.

Gender based Violence and sexual exploitation remain serious concerns in Namibia. This is evidenced by recent statistics showing an increase in the number of rape and domestic violence cases reported annually. While Namibia has taken great strides in achieving formal protection for women against GBV through new laws such as the Combating of Rape Act and the Combating of Domestic Violence

Act, effective implementation and consistent enforcement of these laws are lacking. Laws combating sexual exploitation and some forms of gender based violence, such as stalking and trafficking, are less developed and should be a core focus in the fight for gender equality. Concerted action around these issues is vital because women continue to suffer disproportionately and without an adequate remedy. Also, current cultural norms reinforce the acceptability of gender based violence, particularly in rural communities.

Strategies for laws and policies

4.4.1 Continue with law and policy reforms prohibiting all forms of gender based violence and sexual exploitation in homes, work places, schools and communities, and increase implementation and enforcement efforts under existing legislation.

4.4.2 Monitor legislation to ensure its effectiveness in eliminating violence against women and children, particularly with respect to the Combating of Domestic Violence Act and the Combating of Rape Act.

4.4.3 Ensure that perpetrators of gender based violence and sexual exploitation, including domestic violence, stalking, femicide, sexual harassment and rape, are adequately and fairly prosecuted and tried by a court of competent jurisdiction.

4.4.4 Strengthen labour laws and the Public Service Act of 2007 to address issues of sexual harassment in the workplace. Ensure that all institutions have in place policies that define and prohibit sexual harassment.

4.4.5 Strengthen laws and policies prohibiting sexual harassment in educational settings, including harassment amongst learners and sexual harassment by teachers and staff.

4.4.6 Review laws and policies on gender based violence to ensure that they provide for the comprehensive testing, treatment and care of survivors of sexual offences, which shall include emergency contraception and access to post-exposure prophylaxis (PEP) at all health facilities to reduce the risk of contracting HIV and other STIs.

Strategies for access to legal and social services

4.4.7 Increase the number of shelters and places of safety and ensure that adequate support services are provided, such as medical, psychological, free counselling and legal support for women and children who have been subjected to violence, in order to enable them to recover and live normal life.

4.4.8 Support WCPUs with adequate funding to facilitate their work, and provide appropriate training to enable them to attend to GBV cases with compassion and professionally. Ensure that WCPUs are welcoming places for women and children.

4.4.9 Encourage health facilities to strengthen the management of sexual violence and rape, including the provision of emergency contraception and PEP for HIV/AIDS.

4.4.10 Provide functional, accessible, affordable and specialised legal services, including legal aid, to survivors of gender based violence and sexual exploitation.

4.4.11 Provide appropriate training for service providers involved in combating gender based violence and sexual exploitation, including the police, the judiciary, health- and social workers.

Strategies for education and awareness

Work with men - as partners in advocacy - against gender based violence, and promote education, training and awareness-building for male networks aimed at promoting male involvement in preventing GBV.

4.4.12 Raise awareness of women's right to be protected from violence and sexual exploitation through education and awareness campaigns.

4.4.13 Provide women with information on how to access justice, through seminars, campaigns and programmes aimed at reaching grassroot levels.

4.4.14 Support community-based education programmes such as campaigns to raise awareness on GBV, to disseminate information on GBV (including its causes and consequences), and to prevent GBV

4.4.15 Research the extent and magnitude of human trafficking in all its forms, and provide holistic services to survivors.

4.4.16 Strengthen data-collection mechanisms to improve availability and access to data for purposes of effective programming and monitoring of all types of GBV.

Strategies for addressing human trafficking

4.4.17 Review existing legal frameworks and harmonise them with a comprehensive law that regulates the different aspects of human trafficking in Namibia.

4.4.18 Ensure the development of a national policy to guide a multi-sectoral approach to the prevention of human trafficking,

4.4.19 Establish a comprehensive directory and referral network comprised of government, the private sector and civil society service providers on human trafficking.

4.4.20 Ensure that mechanisms are in place to facilitate assistance to the victim, and which guarantee witness-protection, repatriation and prosecution, as well as programmes and facilities for rehabilitation and integration of victims of trafficking.

4.4.21 Provide a coordinated approach to service-delivery aimed at combating human trafficking, especially for women and children

4.4.22 Policies and programmes on human trafficking should be child-friendly, and have the needs and welfare of children as central to such programmes.

4.4.23 Devise programmes which are gender-aware, taking into consideration those who are most vulnerable in acts of trafficking which are driven by differences in gender, which often occur because of existing gender inequalities among boys and girls, men and women.

4.4.24 Implement preventive activities, which include awareness campaigns targeted at educating the general public, especially the most vulnerable and at-risk groups, on the forms of enticement and recruitment methods used by traffickers to ensnare the victim.

4.4.25 Facilitate training activities at various levels for communities and service providers - such as law enforcement personnel, customs and immigration officials, social workers, prosecutors and judges, SCO's and the private sector - on investigation, prevention and prosecution of those involved in trafficking of persons, and on the protection of the victims of trafficking, especially women and children.

4.4.26 Support capacity-building activities including the TOTs, training materials and devising a curriculum on human trafficking for people who are responsible for issues pertaining to trafficking or law enforcement.

4.5 Gender, Trade and Economic Empowerment

Policy Objective: Improve access and control of productive resources and services such as land, credit, markets, employment and training for women

To achieve economic growth, it is important to address the persistent gender inequalities in accessing opportunities, productive resources and decision-making. Currently, women's participation in the formal labour force is lower than that of men, at 49% to that of 60%. Variations also occur when a comparison is drawn between subsistence and wage employment; 44% of female-headed households depend on subsistence agriculture, while only 28% make a living from wage employment. In contrast, more than 50% of men depend on wage labour and only 29% on subsistence farming. The overall share of women aged 15+ years in wage employment in non-agricultural sectors, is relatively low namely, 47%.

Gender dimensions in trade have not been well analysed in Namibia; however, trade policies affect women and men differently due to gender inequalities in access to and control of economical resources and decision-making, as mentioned above. In the context of globalisation, trade liberalisation can affect opportunities and benefits which might enhance the economy or lead to increased inequality and aggravated poverty.

Gender-related challenges in trade and economic empowerment include access to, and control of resources such as credit, land, access to information on markets, business skills and support services, as well as protective labour laws that benefit women and men equally.

Strategies

4.5.1 Enact and review, in accordance with the Constitution of Namibia, legislation that would give women equal access to economic resources including access to credit, capital, mortgage, security and training.

4.5.2 Analyse - from a gender perspective - all policies and programmes with respect to their impact on the economy and on gender inequality.

4.5.3 Encourage, in collaboration with other stakeholders, technical- and financial assistance.

4.5.4 Identify individuals and groups who can provide training, career guidance and counselling aimed at the development of women.

4.5.5 Encourage existing and upcoming businesses to create value-addition and market opportunities, especially for women.

4.5.6 Create supportive environments for women and men in small- and medium enterprises (SMEs) in terms of capacity-building.

4.5.7 Review and devise mechanisms to enable and ensure the full and equal participation of women in the formulation of economic policies and the management of financial institutions.

4.5.8 Allocate public expenditure to enhance and promote women's economic opportunities and ensure equal access, by women, to productive resources.

4.5.9 Promote gender-aware and responsive budgeting processes at the micro- and macro levels, including gender-disaggregated tracking, monitoring and evaluation of budget allocations.

4.5.10 Create, modify and finance programmes and policies that recognise and strengthen women's vital role in food security.

4.5.11 Ensure and enforce implementation of economic policies that have a positive impact on the employment and income of women in both the formal and informal sectors. Specific measures are to be adopted to address women's unemployment.

4.5.12 Adopt and enforce laws and regulations which ensure that women are not denied employment and promotion due to pregnancy, breast-feeding or family responsibilities.

4.6 Gender, Governance and Decision-Making

Policy Objective: Increase women's participation at all levels of decision-making, and provide support for women in governance and decision-making positions

Representation and participation of women at all decision-making levels is a critical goal for gender equality and women's empowerment in Namibia. Namibia has made great progress in promoting women in positions of Local Authority and achieving 30% female participation in Parliament. However, women are still under-represented at most levels of decision-making: in government, the private sector, special committees, religious groups, Boards and other institutions in the community. Women's representation and participation in these governance structures are critical since it ensures that their interests and voices are heard through these decision-making bodies.

Government recognises the need to promote equitable gender representation at all levels of decision-making through measures such as affirmative action as well as the improvement of women's social, economic and political status. This Policy supports the SADC Protocol on Gender and Development which recommends that the minimum target for female representation be raised from 30% to 50% in all SADC member States, by 2015.

Challenges concerning gender equality in decision-making roles include factors such as cultural perceptions regarding the role of men compared to women in decision-making, uneven participation of women in electoral processes, low educational attainment in some regions, and a lack of women empowerment programmes. Namibia also faces challenges in ensuring meaningful and substantive participation of women in decision-making roles. Women must not only be present in positions of power, but their voices must be heard. Increasing the quantity, prominence and authority of women in decision-making positions will entail more adequate training in leadership skills from childhood as well as ongoing training and support for women leaders.

Strategies

4.6.1 Encourage the participation of rural women in decision-making roles at local, regional and national levels by helping them overcome cultural, educational, and geographic barriers.

4.6.2 Facilitate an enabling environment for women in decision-making positions by engaging them in gender-sensitisation and by providing skills-training, mentoring and opportunities for women to play an active and vocal role in important decisions.

4.6.3 Create platforms for building women's and girls' self-esteem, empowerment and assertiveness.

4.6.4 Eliminate cultural practices which perpetuate gender inequality in power and decision making at all levels. Women and men must encourage this change in cultural perceptions, and women in decision-making positions must be supported.

4.6.5 Educate women on issues affecting their lives to ensure they have the information necessary to make informed decisions and to participate effectively in governance and decision-making processes.

4.6.6 Encourage and facilitate participation of women in traditional leadership structures.

4.6.7 Strengthen the Parliamentary Gender Structure(s) to educate and empower female Parliamentarians across political Party lines, and provide training for women Parliamentarians on subjects such as budgeting, speech-writing, public speaking, interviews with the media and lobbying and advocacy skills.

4.6.8 Encourage women's participation in political party structures and ensure that political Parties institute a 50/50 zebra system when preparing Party lists.

4.6.9 Educate women on the importance of voting and encourage their participation in election processes.

4.6.10 Ensure that women participate in decision-making on all forums concerned with democracy, security and peace-making activities, at all levels.

4.6.11 Promote women's recruitment for decision-making positions in government, the private sector and civil society.

4.6.12 Design and make available, in collaboration with other stakeholders, leadership development - and empowerment programmes for women of all ages.

4.7 Gender, Media, Research, Information and Communication

Policy Objective: Promote women's access to information and communication technology and eliminate the negative portrayal of women and girls

The media have an important role to play in informing and educating society on the situation of women, and on gender issues. Gender concerns in the media include the portrayal of women and girls in the media and women's access to, and awareness of, Information and Communication Technologies (ICTs). Another issue is the representation of women in media houses at managerial level and as decision-makers.

Increasingly, information and communication technologies have improved and diversified the way in which messages are transmitted. Media of transmission include television, radio, visual media such as posters and billboards, music, the Internet, print media and community theatre. The aforesaid communication channels serve to increase the content of issues covered, as well as expand the reach into the rural areas.

The media, as identified above, have great potential to promote a positive image of women. However, the media could also perpetuate cultural, social, political and economic stereotypical attitudes and practices, by projecting negative and degrading images of women.

ICTs have great potential to promote women's empowerment through breaking barriers to knowledge, and opening new opportunities in education, political participation, healthcare and income-generation. Through ICTs, women can access information and opportunities through the Internet without leaving their homes, villages or communities, thus bringing positive change for poor women and men, especially in rural areas.

Strategies

4.7.1 Make community radio, alternative video, access to television, public call-in stations, community Internet access, computer networking and alternative print media services accessible to both men and women.

4.7.2 In collaboration with relevant stakeholders, avail resources and implement programmes that would increase women's access to ICT-resources and knowledge, especially to new communication technologies, in a framework of respect for cultural diversity, as well as for regional and local needs and priorities.

4.7.3 Improve women's employment opportunities and career paths in the media industry with guidelines for encouraging women's participation at all levels of decision-making in media enterprises and in senior positions in technology-driven industries, and on government-convened advisory Boards.

4.7.4 Support gender training for journalists and media personnel and sensitise them on how women and men are portrayed, and to what extent and on which issues they are or are not given a voice, including how a lack of women in decision-making positions affect media portrayals through especially sources accessed.

4.7.5 Undertake research to identify areas of concern in the media and undertake appropriate follow-up actions. For example, are both women and men represented on panels for talk shows or are only males accessed to talk on issues such as, for example, the national budget, affecting women and men equally.

4.7.6 Support media organisations in efforts to monitor development issues, and thus contribute to the present and future goal of building democracies based on pluralism and a culture of peace.

4.7.7 Encourage media bodies to review policies on ethical standards, including the principles of gender equality and commitment to gender-aware media portrayals of both men and women.

4.8 Gender and the Environment

Policy Objective: Enhance the role and benefits of women in the environment

Women in Namibia have an important role to play in the management of a sustainable environment. This is largely because of women's engendered roles which include agricultural production, where they contribute towards labour in subsistence farming, fetching water and firewood, as well as preparing food for their families.

Despite their key role in environment utilisation, women continue to be under-represented at policy and decision-making forums on the utilisation of natural resources, environmental development, conservation, forestry and water management. Deterioration of natural resources displaces communities, especially those living in poverty, of whom the majority happen to be women. Poverty and environmental degradation are closely related. Depletion of natural resources adds significantly to women's poverty, and increases the burden of work for women and girls. As a strategy for gender mainstreaming, women should be involved in interventions to achieve the objectives of environmental sustainability.

In line with Vision 2030, Namibia is committed to the objective of ensuring the development of Namibia's natural capital and its sustainable utilisation for the benefit of the country's social, economic and ecological well-being. NDP 3 translates this Vision through its goal of Productive Utilisation of Natural Resources and Environmental Sustainability, and corresponds to MDG-7, which pertains to ensuring environmental sustainability.

Gender challenges in environmental management include the low involvement of women in decision-making on environmental management, environmental hazards, cultural practices and attitudes towards ownership and control of land, inadequate information and education on sustainable environmental management, and the need for gender-responsive environmental policies and programmes.

Strategies

4.8.1 Ensure women's participation on an equal basis with men in decision-making regarding sustainable environmental management, and ensure gender balance in management structures through legislation, where appropriate.

4.8.2 Evaluate all policies and programmes in terms of their environmental impact, and their effect on women's equal access to and use of natural resources.

4.8.3 Educate and increase women's access to information and education, including in the areas of science, technology and economics, thus enhancing their knowledge, skills and opportunities for participation in environmental decisions.

4.8.4 Promote and protect use of the knowledge, innovations and practices of women of indigenous and local communities, and safeguard their existing intellectual property rights.

4.8.5 Put measures in place to reduce risks to women from identified environmental hazards at home, at work and in other environments, including appropriate application of clean technologies, in line with the international Rio Declaration on Environment and Development.

4.8.6 Empower women as producers and consumers so that they can take effective environmental action, along with men, in their homes, communities and workplaces.

4.8.7 Encourage the design of projects in areas of concern regarding the environment that would specifically benefit women and create projects to be managed by women.

4.8.8 Increase the percentage of women, particularly at grassroots level, involved as decision-makers, planners, managers, scientists and technical advisors.

4.8.9 Involve women in the design, development and implementation of policies and programmes for natural resource management and environmental protection and conservation and climate change.

4.8.10 Ensure adequate research to assess how and to what extent women in particular are susceptible or exposed to, or affected by environmental degradation and hazards, including research and data collection on specific groups of women, especially women living in poverty.

4.8.11 Promote access to safe drinking water and sanitation by committing adequate resources, and working closely with civil society to engage in community education.

4.9 The Girl-Child

Policy Objective: Promote and protect the rights of girls and eliminate discrimination against them in education and training

Data and information from the Ministry of Education indicate that there is significant improvement in the position of the girl-child with regard to access to education. Enrolment for females at all school levels has also improved. In the context of MDG-2, Namibia aimed at eliminating gender disparities in primary- and secondary education preferably by 2005, and at all levels of education no later than 2015. The country report indicates that there is positive progress towards meeting the MDG targets on universal access to education.

The occurrence of teenage pregnancies is still a great concern in the country, and there are few or no programmes to support pregnant learners and learner-mothers. There is also little change in attitude towards girls who fall pregnant. However, the Ministry of Education's current Learner Pregnancy Policy makes provision for teenage mothers to return to school after being with their infants for at least a year. The aforesaid Policy is currently under review, in order to provide for more flexibility and to encourage pregnant learners to stay in school for as long as possible, and to return to school as soon as possible, without compromising the health and safety of the infant.

Families hard hit by poverty have also been unable to send or keep their children in school due to the cost of living, interrupting girls' active participation in education. The impact of HIV and AIDS is one of the major contributing factors to girls dropping out of school, because they have to care for siblings and sick family members. Early marriage in some communities is another reason for school drop-outs. Sexual abuse and sexual exploitation of girls by male learners and male adults (including teachers) are other contributing factors that lead to school drop-outs, and which might also lead to teenage pregnancies and HIV infections. These factors also hold negative consequences for the health, emotions and general performance of girls at school.

Moreover, the constant portrayal of girls and women in socially constructed stereotypical roles as cleaners, caregivers and secretaries in teaching and learning materials, in the media and in society at large, does not encourage girls to study science, mathematics and technological subjects.

In addition, the girl-child continues to face challenges from her childhood into adulthood as a result of the many negative socio-cultural attitudes. Child labour is also another challenge where the girl-child is expected to contribute to household chores, even at the expense of school work. Discrimination

against girls, therefore, does not only reinforce gender inequalities, but also undermines girls' integrity and self-esteem.

As a means to creating a safe and secure Namibian society for both girls and boys, the Government has put in place a legal framework, consistent with the Namibian Constitution, for the safeguarding and protection of children and their socio-economic rights. This child rights- framework is currently being revised and improved, through the new Children' Status Act and the Child-Care and Protection Bill which is under discussion. Namibia is also a signatory to the United Nations Convention on the Rights of the Child and is committed to its full implementation.

Strategies to promote and protect the rights of girls and to eliminate discrimination against them in education and training

4.9.1 Implement fully the Convention on the Rights of the Child through appropriate legislative, administrative and all other measures, which shall ensure the fostering of enabling conditions which encourage full respect for the rights of children.

4.9.2 Strengthen effective implementation and monitoring of laws pertaining to child-support, and encourage financial, psychological, moral and spiritual support by both parents.

4.9.3 Eliminate injustice and obstacles faced by the girl-child in relation to inheritance.

4.9.4 Implement and monitor policies, plans of action, and socio-cultural, economic and educational programmes aimed at enhancing the survival, protection, development and advancement of the girl-child.

4.9.5 Finalise, implement and monitor a revised Ministry of Education Policy on Learner Pregnancy which focuses on prevention and management, and encourages pregnant learners to remain in school for as long as possible and to return to school as soon as practicably possible after delivery. It recommends the establishment of programmes to support the pregnant learner and young parents in continuing education within a safe environment, and to prevent future pregnancies.

4.9.6 Create and enforce regulations that are aimed at encouraging educational institutions and the media to adopt and project balanced, non-stereotypical images of girls and boys, and to eliminate degrading and violent portrayals of girls and women.

4.9.7 Implement, monitor and evaluate policies and programmes that enable girls to develop confidence and self-esteem, and to learn to take responsibility for their own lives in order to take charge of their own life decisions.

4.9.8 Promote and support campaigns that focus on educating the public on the importance of girls' health, as well as the need to eliminate harmful cultural practices against the girl-child.

4.9.9 Integrate and reinforce gender awareness training in all teaching training programmes so as to equip teachers with the essential skills and materials for gender-sensitive teaching.

4.9.10 Promote the training of teachers and relevant stakeholders in gender-responsive education regarding the sexual maturation of both girls and boys.

4.9.11 Encourage and support equal participation of girls and boys in extra-curricular activities such as sport, art, drama, debate, etc.

4.9.12 Reinforce and implement laws aimed at protecting the girl-child in the household and the society at large from all forms of physical and mental violence, injury and abuse, which include sexual abuse and rape, child labour, maltreatment, neglect and exploitation.

4.9.13 Protect girls from economic exploitation, trafficking and all forms of violence, including sexual abuse.

4.9.14 Ensure and encourage families to send their children, especially girls and children with disabilities, to school.

4.9.15 Conduct research to establish the magnitude of violence and cultural discrimination against the girl-child.

4.10 Gender, Legal Affairs and Human Rights

Policy Objective: Promote the human rights of women and ensure legal protection of women's rights through an enhanced legal framework, effective implementation of laws and policies, and meaningful access to the justice system

The realisation of women's human rights is an important step towards attaining gender equality. Namibia has one of the most progressive legal systems in Africa, founded upon a progressive and comprehensive Constitution, which prohibits sex discrimination and which authorises affirmative action for women. New laws such as the Combating of Domestic Violence Act, the Combating of Rape Act, the Married Person's Equality Act, and the Maintenance Act provide broad protection and fair treatment for both men and women. New policies, including the Policy on Orphans and Vulnerable Children, the ECD Policy, and the revised Education Sector Policy on Learner Pregnancy (still undergoing review), shows a true commitment to addressing the most pressing needs of marginalised groups in Namibia.

Namibia is signatory to several regional and international instruments such as CEDAW, the SADC Declaration on Gender and Development and its Addendum on Prevention and Eradication of Violence Against Women and Children, the SADC Protocol on Gender and Development, the Beijing Declaration and Platform for Action, the African Regional Platform for Action, and the African Charter on Women's Rights, all of which uphold the principles of gender equality. These instruments have contributed significantly to Namibia's national Vision of full gender equality, and have provided guidelines for national gender equality legislation, programmes and policies.

Despite government's efforts to enact laws and adhere to international agreements designed to protect women from discriminatory practices, the challenges of gender inequality persist. Most critically, implementation of progressive gender-related laws remains ineffective, owing to shortages in funding and human resources, inadequate training and insufficient monitoring. For example, many magistrates courts lack the proper forms under the new Maintenance Act of 2003, and are still using the old forms, denying women and children in those regions effective protection under the new maintenance laws. Furthermore, important legal battles remain, such as those confronting issues of customary laws and harmful social practices; protection of children, particularly step-children; power-sharing and decision-making; and equality in the family.

The lack of meaningful access to justice and a lack of legal literacy are also significant barriers to the full protection of the human rights of women. Many women, especially in rural areas, are still unaware of their rights and legal entitlements. They also lack the resources and sufficient proximity to courts to enable them to effectively access the justice system. The system of legal aid is not sufficiently funded nor staffed to provide services to the most marginalised groups of women, particularly rural women. Attitudes and behaviour of individuals and government institutions continue to perpetuate inequality in terms of access to legal rights.

Strategies for legal affairs and human rights

4.10.1 Work with civil actors and the Law Reform and Development Commission to continuously review and amend or repeal all existing laws and policies in order to address discrepancies, and to revise laws which do not adequately serve the needs of both women and men.

4.10.2 Identify mechanisms to enforce implementation of laws and regulations that address issues of social and economic justice, including the right to sexual and reproductive health and poverty reduction, in order to promote gender equality.

4.10.3 Put identifiable mechanisms in place in all government sectors to monitor the implementation of laws affecting women and children, and to investigate the abuse of women's rights and promote gender equality.

4.10.4 Address the dual mode of customary and constitutional laws.

Strategies for access to justice and legal literacy

4.10.5 Ensure equality in the treatment of women in judicial and quasi-judicial proceedings, including customary and traditional courts.

4.10.6 Encourage increased procedural access to justice; this will entail providing facilities geographically accessible to women, and ensuring that facilities are adequately staffed and stocked with documents and forms - such as maintenance complaint forms and domestic violence protection order applications – which are mostly utilised by women.

4.10.7 Encourage substantive access to justice by ensuring that all laws and policies are being enforced to the fullest, and that actors within the justice system are given the resources, education, ongoing training and support to effectively uphold the laws.

4.10.8 Work with the Ministry of Justice and civil actors to ensure that legal aid is available for women who cannot afford legal representation, including representation in matters which affect women particularly such as divorce, maintenance and domestic violence cases.

4.10.9 Increase legal literacy through intensive human rights education and awareness campaigns at all levels of society.

4.10.10 Demystify the law-making process by disseminating simple information about the process through the media, in educational material and in all Namibian languages, and by ensuring that women have an adequate opportunity to comment on draft laws which would affect them.

4.10.11 Promote education on the human and legal rights of women in the school curriculum, at all levels, and campaign for gender equality between men and women in both the public and private spheres.

4.11 Gender, Peace-Building, Conflict Resolution and Natural Disasters Management

Policy Objective: Increase and strengthen women's participation in conflict resolution, promote women's contribution to peace-building, and involve women in natural disaster- management.

Women are disproportionately affected by conflict situations and natural disasters. Namibia has enjoyed peace and security since Independence. Unfortunately, some of her neighbours and the world-at-large have been subjected to conflicts and wars. In this respect Namibia has sent peace-keepers to such countries as Cambodia, Angola, the DRC and Liberia. Namibia is a signatory to the UN Security Council Resolution 1325 on Women, Peace and Security that was adopted while Namibia was the Chair of the UN Security Council, in the year 2000.

Resolution 1325 recognises the critical role of women in peace-building as well as in conflict prevention, and calls for women's full and equal participation in key institutions and decision-making bodies. The resolution also calls for recognition of the role women play in crisis situations. The Resolution emphasises the use of gender mainstreaming as a strategy to ensure that gender issues are addressed along the prevention-to-relief-to rehabilitation continuum.

Although Namibia is not currently involved in any major conflicts, nor has there been a recent large-scale natural disaster, constant vigilance is warranted. Some areas of concern include separate spaces for women and children in evacuation centres, supplies for reproductive health needs, the physical layout of camps (for security purposes) and separate sanitation facilities for women and men, appropriately situated, to avoid incidents of rape.

In the context of armed conflict, available information indicates that conflicts increase the risk and impact of HIV/AIDS by dislocating communities and bringing fighters into contact with civilians. In these situations women and youth are vulnerable to sexual violence and exploitation. Gender issues are often underestimated and marginalised in international peace operations, relief efforts and integration programmes. Women are also largely absent from decision-making on issues of war and peace.

Natural disasters likewise interrupt normal life and lead to significant displacement and chaos. In these situations women are extremely vulnerable. It is important to not only consider the unique situation of women in armed conflict and natural disasters, but to engage female participation in conflict resolution, peace-keeping and natural disaster management. This would ensure that both genders are adequately protected during precarious times.

Addressing gender issues in peace-building, conflict resolution, and natural disaster management will require a concerted effort by Namibian institutions, particularly the Defence and Security Council and Armed Services, as well as the United Nations and NGOs such as the Red Cross.

Strategies

4.11.1 Ensure gender mainstreaming in peace-keeping, peace-building and natural disaster management.

4.11.2 Sensitise forces participating in peace-keeping missions on gender issues, and ensure that gender sensitisation is part of the preparation of troops and police who are participating in peace-keeping missions.

4.11.3 Create favourable work environments for women in police and defence forces, and encourage women to consider career paths in these areas.

4.11.4 Develop an engendered Emergency and Management Unit (EMU). Expand and strengthen existing structures at local, regional and national levels to be able to respond to national natural disasters.

4.11.5 Ensure the continuity of family- and community life during disaster times, and develop structures to meet the needs of men, women and children.

4.11.6 Advocate for more women to be included in peace-keeping missions at all levels of decision-making and peace-keeping processes.

4.11.7 Ensure that personnel being deployed to conflict areas are aware of the causes of conflict and effective strategies of conflict management.

4.11.8 Ensure measures are in place to punish members of Namibian peace-keeping forces and other peace-keepers present in Namibia who are violating human rights, including violations such as sexual exploitation, rape or other forms of gender based violence.

4.12 Equality in the Family

Policy Objective: Ensure gender equality and respect for the important role of women in all aspects of family life, including steps to protect women's rights in respect of marriage, divorce, maintenance, inheritance and cohabitation.

Inequality in family law remains a key area of gender based discrimination and one of the most neglected topics in Namibia to date. Equality in the family is fundamental to gender equality overall, and affects every Namibian woman in multiple ways. Gender inequalities in the family context can undermine women's financial independence and personal autonomy, thus affecting their ability to exercise rights in other spheres.

Issues such marriage, recognition of customary marriage, divorce, inheritance, cohabitation and children's rights (including step-children) must be addressed on both a policy and practical scale. The issue of maintenance should also be highlighted, since this is one of the concerns most often cited by women. The new law on the Maintenance Act No. 9 of 2003 is a strong one, but it is not well implemented in practice.

Promoting gender equality in the home not only affects the family in the short term, it also provides a foundation for future gender equality. Children often mimic the environment in which they are raised in their own adult life, thus providing a safe and gender-equal home-setting which is likely to perpetuate itself in future generations. Conversely, harmful practices at home can significantly influence children,

and might perpetuate harmful or discriminatory practices in future generations. This not only applies to overt physical abuse or domestic violence. Children also learn from negative behaviours and attitudes exhibited within the home, and are likely to perpetuate those negative behaviours in their own adult life. Thus, the protection of gender equality in the family also means the protection of gender equality in future generations.

The SADC Gender Protocol recognises the importance of a stable and gender-equal home environment as an important foundation for gender equality in society as a whole, as evidenced by Articles dealing with "Marriage and Family Rights" and "Widows' and Widowers' Rights." As a signatory to the SADC Protocol on Gender and Development, Namibia has an obligation to strive towards the realisation of the SADC goals, and to ensure gender equality in the family context.

Strategies for laws and policies

4.12.1 Ensure the effective implementation of current laws and policies promoting equality in the family, including the Married Persons Equality Act, the Maintenance Act, the provisions pertaining to widows in the Communal Land Reform Act, and the Combating of Domestic Violence Act.

4.12.2 Align Customary Laws with the Namibian Constitution, by removing all components that discriminate against women, to bring customary laws in line with the Namibian Constitution.

Strategies for maintenance

4.12.3 Lobby for increased funding to ensure the hiring of maintenance investigators in all magistrates courts.

4.12.4 Equip all magistrates' courts with proper maintenance forms, and provide intensified training on the Maintenance Act to magistrates, maintenance clerks and maintenance officers.

4.12.5 Develop an education campaign to inform women, men and caregivers of their rights regarding child maintenance, and to inform men and women of their obligations under the Maintenance Act.

Strategies for equality in marriage

4.12.6 Reform the law on marriage and divorce and register customary marriage, to provide better protection for women's property rights in civil and customary marriage, and to remove outdated or discriminatory grounds and procedures for divorce.

4.12.7 Work with civil actors to promote education and awareness about gender equality in all familial or intimate relationships, including marriage, customary marriage, and cohabitation, and to encourage young people not to base sexual relationships on financial or transactional considerations.

4.12.8 Engage in research and law reform to identify and enact appropriate protections for vulnerable partners in cohabitation relationships of significant duration.

Strategies for Inheritance and widow and widower's Rights

4.12.9 Enforce SADC Protocol on Gender and Development provision on widow's and widower's rights, and take effective steps to stop the practice of "property grabbing".

4.12.10 Ensure that all close family members who were dependent upon a deceased person are provided with basic maintenance and provide for the equitable division of the property of the deceased in the absence of a Will, so that widows and widowers receive a fair share of the inheritance upon the death of a partner.

Strategies regarding children

4.12.11 Work to enact, implement and enforce laws protecting children and recognising their unique rights.

4.12.12 Eliminate unequal treatment of children within the home, for instance by providing greater legal protection for all children and encouraging non-discriminatory treatment of all children in the family, regardless of their sex.

4.12.13 Take steps to prevent child abuse in the family context through community education and effective implementation of laws on child protection, child rape and sexual abuse and domestic violence.

4.12.14 Protect children from all forms of abuse, including trafficking.

CHAPTER 5

5. INSTITUTIONAL FRAMEWORK

Responsibility for the implementation of the National Gender Policy lies with all stakeholders. All partners involved in the Policy areas of concern outlined in Chapter 2 will be responsible for the implementation of the NGP, and will be accountable for gender equality results. It is incumbent on partners to develop plans, budgets and strategies to operationalise the Gender Policy at the sector programme level.

In 2003, the MGECW developed the National Gender Mainstreaming Programme (NGMP) to guide the gender mainstreaming strategy at national and regional levels among all stakeholders. The NGMP recommended the establishment of a Gender Management System (GMS) in order to operationalise the gender mainstreaming strategy in a systematic way in policies, programmes and structures of line Ministries and among other stakeholder-institutions.

A GMS seeks to establish a comprehensive framework of structures, mechanisms and processes for bringing a gender perspective to all government policies, programmes and projects. Key components of a GMS include an enabling environment; GMS structures; GMS mechanisms and GMS processes.

The structures suggested within the institutional framework will focus on coordination, research, monitoring and evaluation as well as capacity-building as the main mechanisms for implementing the Gender Policy. This Chapter enumerates the institutions and structures and their roles and responsibilities as follows:

5.1 Ministry of Gender Equality and Child Welfare (MGECW)

MGECW will be the lead agency responsible for coordinating and monitoring the implementation of the Gender Policy. Its roles and responsibilities will be to:

- provide a framework for the implementation of the NGP, and oversee the establishment of relevant coordinating structures/committees, at all levels
- undertake capacity-building for gender responsive programmes by providing training on gender sensitisation, gender analysis, gender budgeting and gender planning to all focal points and stakeholders, at all levels;
- set standards for gender mainstreaming, provide and disseminate gender guidelines, and monitor how these are operationalised at sector levels;
- identify topics in need of gender-aware research and initiate/commission studies by relevant institutions;
- in collaboration with sector institutions, develop monitoring and evaluation tools.
- ensure the establishment of appropriate and effective monitoring and evaluation mechanisms, structures and processes and coordinate the implementation, monitoring and evaluation of the NGP and Plan of Action.

- identify indicators to measure progress in policy areas of concern;
- provide guidelines and technical support on gender mainstreaming to sector institutions, the private sector and civil society, in order to improve their effectiveness;
- ensure sector compliance in implementation of gender equality strategies in line with national commitments such as NDP3, poverty reduction strategies and the MDGs; as well as regional and global gender frameworks; including the SADC gender protocol, CEDAW and BPFA.
- provide guidance on implementing, monitoring and evaluating progress in respect of regional, continental and international instruments promoting gender equality; and
- Advise Cabinet on matters related to gender equality and progress towards meeting the goal of women's empowerment and gender equality.
- Provide progress reports to Cabinet and Parliament

5.2. Permanent Gender Task Force

The MGECW which is the lead agency will establish the National Permanent Gender Task Force as well as a similar structure for the regions. The national and regional task force will oversee the implementation and monitoring of the National Gender Policy. This National Permanent Gender Task force will be an advisory, consultative body, comprising key stakeholders in the government, academic institutions, development partners, NGOs, faith groups, media houses and civil society. Responsibilities will include:

- working in conjunction with the MGECW to ensure the achievement of policy objectives outlined in the National Gender Policy (NGP);
- championing MGECW efforts to the larger group of stakeholders, particularly in the national government;
- providing support in overseeing the monitoring of stakeholder policies and programmes for their compliance with NGP and their impact on women's welfare, generally;
- monitoring compliance with regional and international instruments and their alignment to national programmes;
- reaching out through information to and education of the general public, and promoting gender equality among them;
- assessing proposed laws and their effects on women and appropriate lobbying in Parliament;
- lobbying Parliament and development partners for sufficient funding to achieve gender policy objectives; and
- Advising the MGECW and other stakeholders on gender-related research and data-collection.

5.3 Parliament and the Parliamentary Gender Caucus (PGC)

Members of Parliament have an important role to play in making laws of the country and can, therefore, facilitate the goal of gender equality and women's empowerment by ensuring that laws are gender-responsive. The PGC in particular will be vital to enhancing communication between the Parliament and other stakeholders, and should:

- ensure sufficient support for women Parliamentarians and provide proper in-service training to allow them to be active and engaged members of Parliament;
- sensitise both female and male Parliamentarians to gender-related issues;
- monitor all matters pertaining to gender issues and ensure that all laws respect the equal rights of men and women, and address the special issues facing women in Namibia;
- scrutinise national budgets to ensure their gender responsiveness in resource allocations;
- commit adequate resources and support for implementation of gender-related activities;
- create commensurate structures to ensure integration of gender activities and participation of women; and.
- provide support for up coming women leaders and support women's empowerment programmes.

5.4 Gender Focal Points/Units

A gender mainstreaming approach implies the ability to influence programming processes that include policies, legislation and budgets. A position for gender focal points/units will be created at senior level in all sectors. As part of their responsibilities, gender focal points should be able to make decisions regarding implementation of the National Gender Policy and to provide a supervisory role in departmental programmes to ensure that they are gender-aware and responsive. The focal points will be responsible for the implementation of the objectives and guidelines of the Gender Policy, within their respective institutions.

The Gender Focal Points/Units should:

- be created/strengthened and headed by a senior technical person, who would be responsible for day-to-day gender mainstreaming in their sector/institution;
- be responsible for the implementation of the Gender Policy in the sector/institution;
- liaise with the MGECW on matters related to the implementation of the National Gender Policy and Plan of Action;
- ensure integration/mainstreaming of gender concerns in the Ministry's/institution's policies, programmes, budgets and annual work plans;
- ensure sector compliance with national commitments such as NDP3, poverty reduction strategies and the MDGs as they relate to the goal of gender equality;
- build in–house capacity for gender analysis of sector programmes;
- liaise and coordinate with stakeholders on gender issues related to the sector;
- ensure that data and information collected and used in their institution are disaggregated by sex;
- identify indicators to be used in the monitoring and evaluation of sector programmes as they pertain to gender;
- monitor sector progress towards the goal of gender equality; and
- attend meetings/workshops on gender–related issues as organised by MGECW, as the lead Agency.
- provide progress reports on the implementation of gender objectives and strategies as per the NGP and as required by the lead agency

5.5 Development Partners

Development partners play an important role in the Gender context, through finance and implementation of development programmes and coordination with the international community, to ensure greater support for gender policy objectives. The development community should be involved in the Gender context in the following capacity:

- promote and support gender programme areas of development cooperation and partnerships;
- establish appropriate donor coordination mechanisms for ensuring gender responsiveness of development cooperation and partnerships;
- collaborate with MGECW on matters of gender mainstreaming; and
- develop incentives for the promotion of gender equality and women's empowerment in development programmes and policies.

6. MONITORING AND EVALUATION

6.1 Introduction

The goal of the National Gender Policy is to create a strategy for achieving gender equality and women's empowerment in socio-economic development in Namibia. In this respect, it is important that the implementation and impact of the Policy are effectively monitored and evaluated. This Chapter proposes mechanisms and guidelines for such monitoring and evaluation. As enumerated in the institutional framework, responsibility for implementation of the National Gender Policy rests with line ministries, O/M/A and civil society. These stakeholders are equally responsible for the monitoring and evaluation of the specific key areas highlighted in the National Gender Policy. It is, however, the responsibility of the MGECW, as the lead Agency, to coordinate and lead the process.

6.2 The Objectives of Monitoring and Evaluation

Monitoring and evaluation would seek to measure the success and impact of the Policy programmes areas, objectives and strategic actions enumerated in Chapter 4. These programme areas will be monitored to see how well they had enshrined gender equality principles; to measure the effectiveness and impact of the policy and to assess whether, in the long term, there has been positive impact on women in particular, and on society in general. Monitoring and evaluation of the National Gender Policy will be in line with agreed national, regional and international instruments and standards, such as NDP3, MTP3, MDGs, SADC Protocol on Gender and Development, Vision 2030, CEDAW and CRC.

In view of the importance of institutionalising gender in sector policies and programmes, the National Gender Policy emphasises the development of structures and mechanisms through which implementation and coordination will take place. In this regard there will be an expectation of the short-term result of having structures, policies and procedures in place for gender mainstreaming.

Monitoring and evaluations would also assess the long-term impact of the National Gender Policy in respect of the Policy objectives presented in this document, including changes in society from the current state of gender inequality to gender equality, as measured by the indicators proposed below.

6.3 Monitoring and Evaluation Mechanisms

At this point it is proposed that the lead Agency, MGECW, coordinates with the NPC and sector Ministries to ensure that submissions to the NPC by sector/implementing institutions, are gender- responsive. As part of its monitoring mechanism NDP 3 expects that each programme identified under a sub-sector

within a Key Result Areas or sub-Key Result Area, develops a Programme Results Matrix (PRM) (Form L3), which will be submitted to the NPC, annually, for the assessment of progress.
According the to NPC, the PRM is a detailed performance plan for the programme, and will be used for monitoring the implementation and performance of each programme during the NDP3. The information presented in the PRM will include, among others, the following:

- NDP3 goal, indicators, baselines and targets;
- Sub-sector goal, indicators, baselines and targets;
- Programme outcomes, outputs, indicators, means of verification and assumptions and risks;
- Programme activities under each of the outputs; and
- Programme costs by output categorised into development and operating costs, on an annual basis.

The MGECW will liaise with stakeholders and ensure that information submitted for NDP purposes, is gender-responsive

6.4 Indicators on Gender Equality and Women's Empowerment

POLICY AREAS OF CONCERN	INDICATORS
1. Poverty and rural development	• Proportion below poverty line by sex of household Head • Proportion accessing basic services by sex • Access to potable water (% households covered)
2. Gender, Education and Training	• Proportion of girls completing tertiary education • Proportion of girls completing vocational education • Proportion of girls completing secondary- education • Proportion of girls completing primary education
3. Gender, Reproductive Health and HIV & AIDS	• HIV prevalence rate (% of pregnant women) • Maternal mortality rate • Infant mortality • Contraceptive-use rate, including condom-use
4. Gender based Violence	• Prevalence/incidence of GBV • Percentage who received protection services, by sex
5. Gender, Trade and Economic Empowerment	• Proportion of population owning land, by sex • Proportion of population accessing and utilising credit schemes • Percentage of women in employment, both wage- and self-employment, by type.
6. Gender, Governance and Decision-making	• Proportion of women in politics, decision- making and managerial positions (Government, NGOs, private, parastatal and traditional authority)
7. Gender, Media, Information and Communication	• Percentage of women in media organisations
8. Gender and the management of the environment	• Proportion of women in managerial positions, environment institutions and Boards.
9. The girl-child	• Prevalence of teenage pregnancies
10. Gender, Legal Affairs and Human Rights	• Percentage of women girls accessing protection services • Percentage of women aware of their rights
11. Peace-building and natural disasters	• Percentage of women in managerial positions in Defence and Protection services • Percentage of peace-building institutions and committees
12. Gender Equality in the family context	• Average child maintenance award amounts • Percentage of women receiving inheritance from deceased spouses

6.5 Resources

Resources (financial/human/material) will be required for coordination and review of existing laws, gender equality and women's empowerment programmes, capacity-building for service providers and others, law enforcement and legal machinery, and for training in gender mainstreaming, research, and monitoring and evaluation. Therefore, since gender is a cross-cutting concern, all stakeholders are expected to provide financial, human and material resources to ensure effective implementation of the National Gender Policy.

6.6 Implementation Plan

A National Gender Plan of Action will be developed to outline specific activities required to achieve the policy objectives, define the roles of all stakeholders, the timeframes and resources required. The NGPA will spell out the indicators and targets which will help in the monitoring of policy implementation.

6.7 Timeframe for the Namibia National Gender Policy

The policy timeframe will be 10 years (2010-2020) with a mid-term review. This would correspond with NDP 3 reviews.

GLOSSARY OF GENDER CONCEPTS

Gender: refers to social attributes that are learned or acquired during socialisation as a member of a given community. Women and men's gender identity determines how they are perceived and how they are expected to think and act. Gender is an analytical tool for understanding social processes and variables such as race and class, deployed in the distribution of privileges, prestige, power and a range of social and economic resources. Because gender attributes are learned behaviours, they can and do change over time.

Sex: It identifies the biological differences between women and men. Only a small proportion of the difference in the roles assigned by gender can be attributed to physical differences based on sex (such as pregnancy and childbirth, or differences in physiology and bodily functions).

Discrimination: The Convention on Elimination of All Forms of Discrimination Against Women (CEDAW) defines discrimination against women as: "any distinction, exclusion or restriction made on the basis of sex which has the effect or purpose of impairing or nullifying the recognition, enjoyment or exercise by women, irrespective of their marital status, on a basis of equality of men and women, of human rights and fundamental freedoms in the political, economic, social, cultural, civil or any other sphere."

Dry Sex: It is the practice of drying the vagina through herbs, powders or cloth prior to having sexual intercourse. This practice can increase friction during intercourse and is claimed to be more pleasurable to the man. However, it leads to abrasion of the vaginal wall, increasing vulnerability to HIV infection. It also destroys healthy bacteria in the vagina and increases the probability of the tearing of the condom, if used during the sexual act.

Gender equality: This means that women and men have equal opportunities and enjoy the same status. It means that both can realise their full human rights, their potential to contribute to national, political, economic, social and cultural development, and that both can benefit from such results. Gender equality, therefore, is the equal valuing by society of both the similarities and the differences between women and men, and the roles they play.

Gender equity: This implies fairness to women and men. To ensure fairness, measures are often needed to compensate for historical and social disadvantages that prevent women and men from otherwise operating as equals. Such measures could include affirmative action.

Gender analysis: This can be defined as the process by which the differential impact of women and men can be discerned in development. It involves a systematic collection and use of sex disaggregated data – both quantitative and qualitative - which show the different status, conditions, roles and responsibilities of women and men.

Gender relations: These are concerned with how power is distributed between the sexes. They create and reproduce systematic differences in men and women's position within a given society, and define the ways

in which responsibilities and claims are allocated, and how each is given value.

Gender based violence: This means all acts perpetrated against women, men, girls and boys on the basis of their sex, which causes or could cause them physical, sexual, psychological, emotional or economic harm, including the threat to take such acts, or to undertake the imposition of arbitrary restrictions on or deprivation of fundamental freedoms in private or public life, in peace-time and during situations of armed or other forms of conflict, or in situations of natural disasters, that cause displacement of people.

Sexual harassment: This refers to any unwanted, unsolicited sexual advances, sexually derogatory statements or sexually discriminatory remarks.

Gender roles and responsibilities: These refer to tasks and responsibilities typically undertaken by either women or men as ascribed by society. Such allocation of activities on the basis of sex is also known as the sexual division of labour, and is learned and clearly understood by all members of a given society. The sexual division of labour is perhaps the most significant social structure governing gender relations.

Affirmative action: This is a policy, programme or measure that seeks to redress past discrimination against a specific group through active measures to ensure equal opportunity and positive outcomes for members of that group, in all spheres of life.

Gender Sensitive: This is the ability to recognise the differences between and the different needs of women and men. It is the beginning of gender-awareness.

Gender-aware: It recognises inclusiveness in terms of language pertaining to women and men, and the visual depiction of women and men as portraying a variety of roles in society, free of stereotypical or a biased depiction of roles. Furthermore, the term implies a consciousness of mainstreaming gender wherever it is required.

Gender responsive: This refers to taking action to correct gender bias and discrimination in order to ensure gender equality and equity.

Gender mainstreaming: This is the process of identifying gender gaps and making women's, men's, girls' and boys' concerns and experiences integral to the design, implementation, monitoring and evaluation of policies and programmes in all spheres so that they benefit equally.

Access to resources: Resources can be categorised as economic, political or time-related. Economic resources include credit, cash income, and employment while political resources include political representation and leadership. Time is also a critical resource which women often lack. Access gives a person the use of a resource e.g. land to grow crops. Control allows a person to make decisions about who uses the resource or to dispose of the resource, e.g. to sell land. All of this is important since it holds implications for the status and economic wellbeing of women as different to that of men. It is critical that access, control and ownership of resources are available to both men and women.

Human trafficking: means the recruitment, transportation, harbouring or receipt of persons, by means of threat, abuse of power, position of vulnerability, force or other forms of coercion, abduction, fraud or

deception to achieve the consent of a person having control over another person for the purpose of, amongst other things, sexual and financial exploitation (SADC).

Sexual and reproductive rights: It refers to the universal human rights relating to sexuality and reproduction, including sexual integrity and safety of the person, the right to sexual privacy, the right to make free and responsible reproductive choices, the right to sexual information, and the right to sexual and reproductive healthcare.

Women's human rights: The recognition that women's rights are human rights and that women experience injustices s because of their gender.

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JOMO KENYATTA UNIVERSITY
OF
AGRICULTURE AND TECHNOLOGY

GENDER POLICY

2009

To be an institution of global excellence in training, research and innovation for development

VISION

To be an institution of global excellence in training, research and innovation for development

MISSION

To offer accessible quality training, research, and innovation in order to produce leaders in the fields of Agriculture, Engineering, Technology, Enterprise Development, Health and other Applied Sciences to suit the needs of a dynamic world.

CORE VALUES

Our core values are:

- Quality
- Productivity and team work
- Transparency and accountability
- Professionalism
- Innovation
- Integrity
- Self Development

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ABBREVIATIONS

AIDS	Acquired Immune Deficiency Syndrome
ARVs	Anti Retro Virals
ASALS	Arid and Semi-Arid Lands
CEDAW	Convention on the Elimination of All Forms of Discrimination Against Women
CRC	Convention on the Rights of the Child
EFA	Education For All
GBV	Gender-Based Violence
GMC	Gender Mentoring Center
HIV	Human Immunodeficiency Virus
ICT	Information and Communication Technology
IEC	Information, Education and Communication
JKUAT	Jomo Kenyatta University Agriculture and Technology
MDG'S	Millennium Development Goals
SMT	Science, Mathematics and Technology
STI	Sexually Transmitted Infections
UASU	University Academic Staff Union
UNESCO	United Nations Educational,Scientific Cultural Organization
UNTESU	Non-Academic Staff Union
WHO	World Health Organisation

DEFINITION OF TERMS

Affirmative Action	A policy or programme of taking steps to increase the representation of a designated group/s seeking to redress discrimination or bias through active measures in education and employment.
Curriculum	Refers to the content of an education programme.
Date rape	Refers to coerced sexual intercourse during a mutually agreed upon meeting.
Empowerment	This is a process through which men, women, boys and girls acquire knowledge, skills and attitudes to critically analyze their situation and take appropriate action to change the status quo of the underprivileged and other marginalized groups in society.
Engender	The process of ensuring that planning and programming is appropriate for and takes into account the different needs and concerns of females and males.
Gender	This is used to describe those characteristics of women and men, which are socially constructed.
Gender Analysis	The process of examining roles, responsibilities or any other situations with regard to women and men, boys and girls, with a view to identifying gaps, raising concerns and addressing them; investigating and identifying specific needs of girls and boys, women and men for policy and programme development and implementation.
Gender-based violence	Refers to any form of act of violence that results in, or is likely to result in, physical, sexual or psychological harm or suffering to women, girls, men and boys on the basis of gender.
Gender Competencies	Skill and knowledge to perceive and analyze things from a gender perspective.
Gender discrimination	Refers to unequal or preferential treatment 0f individuals or groups on the basis of their gender that results in reduced access to or control of resources and opportunities.

Gender equality	This is the absence of discrimination on the basis of a person's sex in opportunities, in allocation of resources and benefits, or in access to services. It refers to the equal treatment of women and men, boys and girls so that they can enjoy the benefits of development including equal access to and control of opportunities and resources.
Gender Equity	Refers to the practice of fairness and justice in the distribution of benefits, access to and control of resources, responsibilities, power, opportunities and services. It is essentially the elimination of all forms of discrimination based on gender.
Gender Imbalance	Refers to a situation where there is no gender parity
Gender mainstreaming	This is a strategy for making women and men concerns and experiences an integral dimension in the design, implementation, monitoring and evaluation of policies, programmes, activities and projects at all levels in the social, economic and political spheres.
Gender parity	This is a numerical concept referring to equal number of girls and women, boys and men relative to their respective numbers in the population.
Gender responsive	Refers to action taken to correct gender imbalances.
Gender responsive pedagogy	Refers to teaching and learning methodologies and classroom practices that take gender into consideration.
Gender roles	Socially assigned roles and responsibilities as opposed to biologically determined functions.
Gender sensitization	The process of developing people's awareness, knowledge and skills on gender issues.
Gender stereotyping	The assigning of roles, tasks and responsibilities to a particular sex on the basis of pre-conceived prejudices.
Gender Transformative policy	A policy that takes into account the needs of men, women, boys and girls; it also seeks to transform the existing gender relations to be more equitable through the redistribution of resources and responsibilities.

Participation	A general term used to refer to active involvement, enrolment, retention, progression, performance and transition.
Provisions	Refers to policy pronouncements on action to be taken.
Sex	Sex refers to the biological and physiological characteristics of males and females, which are biologically determined by nature. People are born female or male but learn to be girls and boys who grow into men and women.
Sex disaggregated data	Classification of information on the basis of sex; that is male and female.
Sexual harassment	Unwanted acts of a sexual nature that cause discomfort to the targeted person. They include words, persistent request for sexual favours or dates, gestures, touching, uninvited sexual overtures, coerced sexual intercourse and rape.
Strategic interests	Refer to long term non-material needs. They focus on getting more choices, more options and more say.

FOREWORD

Sustainable socio-economic development calls for the participation of all persons. Education has a critical role to play in addressing issues of gender equality and equity in Kenya. Integrating gender perspectives in higher institutions of learning including public Universities is sound public governance and will help to strengthen the impact of gender mainstreaming including in research and future publications. An institutional Gender Policy formalizes the rights and responsibilities of all people. It provides a framework for the planning and programming of gender responsive programmes at management and operational levels.

This Gender Policy provides a framework for staff and students in the planning and implementation of gender responsive education, training and research. It highlights the key concerns and intervention strategies in various aspects including disparities in student enrolment, enhanced governance and management with an aim to enhance overall performance through incorporation of holistic and successful organization practices and adaptation of best practices.

Gender is a cross-cutting issue and the implementation of a Gender Policy requires the commitment, participation and contribution of all staff members and students. Our commitment to integrating gender perspectives will need to be reflected in all academic programmes, work plans, research and publications, in budgeting as well as in technical cooperation activities with other institutions. Departments and offices will be expected to develop plans of action for integrating gender perspectives into their work. These action plans will be used to monitor progress on gender mainstreaming.

The successful implementation of this policy will hinge on unrelenting and concerted effort of all members of the university and will also act as a linkage for liaison and networking for synergy within the University and with other institutions.

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CHAPTER ONE: BACKGROUND TO GENDER POLICY

1.0. Introduction

Education is a human right widely recognized as key to national development. An increase in access and equity in educational opportunities for both females and males, including higher education, is critical to socio-economic growth and productivity, increased individual earnings and, subsequently reduced income inequalities and the reduction of poverty. Equal opportunities in education will contribute significantly to improved health, enhanced democracy, good governance and effective leadership.

Gender mainstreaming is an internationally accepted strategy to promote sensitivity and integration of gender issues and concerns that affect men and women. An important strategy to bring about gender equity and equality through specific interventions is to integrate gender in institutional policies. This will lead to a transformation in which women and men's concerns and experiences are an integral part in the design, implementation, monitoring and evaluation of policies, programmes, activities and projects at all levels. Further, this will enable the needs, concerns and experiences of both men and women to become centrally institutionalized beyond projects and programmes to include systems, structures and to ensure that all actors and stakeholders recognize and understand this strategy. The ultimate goal is to achieve gender equality.

Attainment of gender equity and equality in education and in higher institutions of learning is a core development issue and a goal in its own right. Towards the accomplishment of this goal, the University has developed this Gender Policy, which provides a comprehensive framework of the principles and strategies to be pursued in order to achieve gender equity and equality. It also acknowledges ongoing initiatives globally and in Kenya as well as in the Ministry of Education in bridging the gender gaps in the provision of education. The policy also identifies special measures that the university is to undertake to redress identified gender inequities and inequalities.

Jomo Kenyatta University of Agriculture and Technology is dedicated to excellence in training, research and innovation. Consequently, the university aims to achieve gender equity, equality and inclusiveness of all persons. The University has established the Gender Centre to address gender issues and concerns among them are affirmative action and encouraging males and females to take part in decision making process.

The Jomo Kenyatta University Gender policy is based on the following guiding principles and assumptions:

- The commitment by the institution to ensure an enabling environment that promotes and facilitates gender equality at all levels. This will ensure that adequate resources including academic programmes and staff training are gender responsive to enhance gender parity
- JKUAT will be committed to creating and promoting a gender sensitive work environment within the university and its various campuses. Towards achieving this goal, it would organize regular workshops/seminars and exposure to a variety of other inputs. All JKUAT events/programmes, both internal and external, will have a gender component and address gender specific needs of the participants.
- JKUAT will also ensure a detailed documentation of all the processes related to the activities on the issue of gender within the university. These will be accessible to all those who wish to use the same to promote and strengthen gender equality within their work spheres. In addition, these will be reported in the JKUAT Newsletter and Website regularly.
- Gender mainstreaming will apply in the main with considerations of specific interventions to redress historical imbalances of any gender.
- Gender is a cross-cutting issue and therefore intervention strategies should encompass all University functions, systems and processes.

The national education system has been characterised by gender disparities that go way beyond academic and administrative programmes. This emancipates from a strong

cultural tradition that has tended to impede girls and women education and effective participation in governance and management. Under representation of females in overall enrolment and in positions of leadership has meant that they are rarely part of, or involved in the decision making process. In order to positively transform these attitudes and inclinations, there will be need for regular provision of accurate information as well as affirmative action to address existing disparities. Various activities covering academic programmes, research and publications; multi-media activities; talks and seminars; and related interventions will be put in place. This Policy provides a conceptual framework of the principles and strategies to be pursued in order to achieve gender equity and equality at the university.

This will involve:

1. Collaboration and networking to build synergies and utilize available expertise within and outside the University.
2. Participatory approach in the implementation of the various programmes of activities
3. Specific attention paid to women's and men's concerns.
4. Academic programmes including research, documentation and publications
5. Advocacy and sensitisation.

Attainment of gender equity and equality in education together with institutions of higher learning is, therefore, a core development issue and a goal in its own right.

1.1. LEGAL AND POLICY CONTEXT

The commitment of the Government of Kenya to attain gender equality is underlined in various international and national policy documents. Both the Constitution of Kenya and the Sessional Paper on African Socialism and its Application to Planning in Kenya (1965) outlaw discrimination on the basis of gender and emphasize social justice and equal opportunities with regard to education. The Children's Act (2001) unequivocally stipulates every child's entitlement to education, thus make certain full inclusion of girls

in education. Other policy documents seek to mainstream gender in all sectors, pledge to enforce a policy of equal opportunities, lay emphasis on the education of girls, and stipulate measures for mainstreaming gender in the education sector. They also seek to ameliorate the impact of HIV and AIDS and actions for Most Vulnerable Children. Other Government documents that address gender issues in education are the Poverty Reduction Strategy Paper (2001), Economic Recovery Strategy 2003-2007, National Development Plan (2002-2008), Sessional Paper No. 1 of 2005, and Kenya Education Sector Support Programme (2005) and the Vision 2030.

The Government is also a signatory to international protocols relating to education and human rights of women and girls, including the Universal Declaration on Human Rights (1948), Convention on the Elimination of all Discrimination Against Women [CEDAW] (1979), Convention on the Rights of the Child [CRC] (1989), Beijing Declaration and Platform for Action (1995), Jomtien World Conference (1990), Dakar Framework of Action on EFA (2000), Millennium Development Goals (MDGs) as well as Goals of the African Union. The Sexual Offences Act (2006, Revised 2007) provides for sexual offences, their definition, prevention and the protection of all persons from unlawful sexual acts. All these documents reiterate the need to eliminate all forms of discrimination, enhance the right to education, promote gender equality particularly in education, and gender inclusion and empowerment. The documents also set goals and targets for achievement.

The Ministry of Education developed a Gender Policy in Education in 2007 that re-affirms its commitment and determination to address legal and policy issues in order to facilitate attainment of equality in the education of girls and women. Equally, the University is committed to offer policy guidelines so as to maintain and uphold similar values and virtues, and strengthen university policies and regulations. This forms the framework upon which the JKUAT Gender policy is based.

1.2 THE STATUS OF GENDER DISPARITIES IN EDUCATION AND THEIR UNDERLYING CAUSES IN KENYA

International reports, for example the EFA Global Monitoring Reports by UNESCO, and various reports by the Ministry of Education often indicate that at the national level, Kenya has virtually attained gender parity in enrolment at both the primary and secondary education levels. However, close scrutiny reveals that serious gender disparities in enrolment exist between regions in favour of males with regard to access, retention, completion, performance and transition. The gender gap widens as one goes higher up the education ladder. For instance, female students constitute about 30% of enrolment in Public Universities and about 40% in private universities and are much lower in science based courses. Even with such low enrolment of female students in higher institutions, there are clear disparities in schools/faculties, departments and courses. For instance at JKUAT of female students in SMT is less than 15%. Even further, female staff especially in senior management is few and almost lacking in certain areas.

It is evident that gender disparities in education are often in favour of males and are particularly large in access to and performance in SMT subjects, and in higher education. Although small gender disparities in favour of girls in enrolment, survival, completion and transition are beginning to appear in some provinces, there are few women in technical professions and key governance and management positions, both in the wider society and in the education sector in particular.

Research on Gender and Education has focused on unearthing the underlying causes of gender disparities, and the factors that hinder attempts to reduce and eventually eliminate disparities. Studies reveal that key factors include social, cultural and religious beliefs, attitudes and practices, poverty, child labour, poor learning environment, lack of role models, HIV and AIDS, curriculum, pedagogy and learners' attitudes, among others.

1.3 ONGOING INITIATIVES TO ADDRESS GENDER DISPARITIES IN EDUCATION

In recognition of the importance of gender equity and equality in education, the Government, Strategic Partners and Educational institutions particularly universities have developed strategies and implemented a variety of initiatives to address gender in education. Within Government, legal issues are being addressed through a harmonized framework, and gender issues are addressed in all programmes. The National Plan of Action on EFA 2003-2015, the Report of the Education Sector Review 2003, the Ministry of Education Strategic Plans and Service Charters, Sessional Paper No. 1 of 2005, and the Kenya Education Sector Support Programme have all paid attention to gender and education. The Government has also ratified a number of protocols and conventions with a bearing on gender equality. These include the CEDAW and the CRC, among others. The Government has also set up a Ministry of Gender, Culture and Social Services, and a Gender Commission. The Ministry of Education has established a Gender Desk at the Ministry Head quarters and in various educational institutions to coordinate gender activities.It is in this context that JKUAT has established Gender and Mentoring Center whose goal is to mainstream gender in all its operations

From the foregoing, it is clear that a lot has been done to address gender disparities in education at all levels. The impact, however, has not been as strong as desired especially in institutions of higher learning. There are still glaring disparities that pose challenges to the attainment of gender equity and equality in higher institutions of learning including student enrolment, governance and management.

The challenges to be addressed include:

- Enhanced governance and management;
- Improved enrolment of female students in higher education especially in science related subjects; and,
- Continuous review, evaluation, adoption and adaptation of strategies that work in given situations.

Addressing these and other emerging challenges at the university requires a more comprehensive and holistic approach to programme formulation, and hence the need for this policy.

1.4. RATIONALE

The rapidly changing global, economic, technological and social trends have created the necessity for organisations to re-examine and prioritise their mandate. This transformation is intended to capture and articulate core functions and values with a focus to improved performance. Jomo Kenyatta University of Agriculture and Technology is committed to align the University‘s Strategic objectives to national policy documents, including medium term plans, MDG’s and Kenya’s Vision 2030. It is in the pursuit of this commitment that this policy has been formulated and will be implemented in the university campuses and all its centres.

1.5. GOAL AND OBJECTIVES

The University is committed to:

- Enhancing the principle of equal opportunities for all persons such that no deserving persons are discriminated against on the basis of gender; and,
- Institutionalizing the principle of gender mainstreaming to ensure that opportunities and benefits are equally accessible to both women and men in all its operations.

GOAL

The goal of this policy is to enhance gender mainstreaming at Jomo Kenyatta University of Agriculture and Technology in all its operations. These include academic and staff training programmes, research and policies that give due attention to gender considerations and promote equity and equality among males and females.

POLICY OBJECTIVES

The specific objectives of the Gender Policy are to:

1. Provide qualitative and quantative information on the influence of gender in science and technology;
1. Support all stakeholders in science and technology in order to undertake gender responsive planning, implementation and evaluation of policies, programmes and projects.
2. Increase coverage effectiveness and efficiency of gender interventions in all the university's operations
3. Promote equity and equality between women and men while at the university and ensure that training does not promote inequitable gender roles and relations.
4. Design, develop and implement a curriculum, pedagogy, strategies and materials that are gender responsive
5. Enhance participation of women and men in governance and management of JKUAT.
6. Ensure that working environment within the institution is gender responsive.
7. Eliminate sexual harassment and gender based violence
8. Empower men and women on gender issues within the institution and the surrounding community.
9. Promote gender responsive health programmes such as counseling and life skills including need to address and reduce HIV and AIDS infection rates and impact in the JKUAT community.
10. Promote the participation of both males and females in training and research of science and technology
11. Establish new and strengthen the existing synergies and utilize available expertise to enhance gender responsiveness in science, information, communication and technology

1.6. SCOPE OF THE GENDER POLICY

The Gender Policy provisions will apply to all activities and programmes of Jomo Kenyatta University at all levels including all the campuses and centres.

1.7. GUIDING PRINCIPLES

1. Gender equality will be considered as an integral part of all JKUAT's policies, programs and projects;
2. Achieving gender equality requires the recognition that every policy, program and project affects women and men differently. Women's empowerment is central to achieving gender equality. Therefore, promoting equal participation of women as agents of change in economic, social and political processes is essential to achieving gender equality;
3. Gender equality can only be achieved through partnership between women and men;
4. Achieving gender equality will require specific measures designed to eliminate gender inequalities; and
5. All JKUAT policies, programs, and projects should contribute to gender equality.

CHAPTER TWO: POLICY PROVISIONS

2.0. INTRODUCTION

Education is key to individual, community and national development. An increase in access and quality of education especially higher institutions of learning relative to the national population has a positive impact on increased individual earnings and, thus, reduction of poverty and income inequalities. Higher institutions also contributed to high-level manpower, research and technological development. This will significantly lead to improved health, good governance, research and quality of life for individuals and families. Gender responsiveness and inclusiveness is therefore a mark of administrative efficiency and management.

This Chapter discusses the policy provision and strategies to enhance gender parity at the University. Aspects include Research and Publications, Academic programmes and Scholarships, Governance and Management, Institutional Capacity Building, Gender Responsive Work Environment, Gender-based Violence and Sexual Harassment, Gender Responsive Programmes including Health Services, HIV and AIDS and other support services such as guidance and counseling.

2.1. UNIVERSITY ACADEMIC PROGRAMMES

Background

Although there has been a remarkable growth in university education since independence in 1963 with the establishment of several public and private universities, the national education system still continues to be characterized by gender disparities at the national level, and between various regions in favour of males. This is despite various studies that have proven that educating women is empowering to women themselves and benefits the family as well as the communities. For instance, the affirmative action that allows females girls to be admitted at the public universities two points lower than males was meant to enhance enrolment in universities. Yet disparities still prevail especially in degree courses specifically in science related subjects. Thus, low enrolment of girls and women is still a big challenge in university education.

Objectives

1. To encourage female and male enrolment at the university including post graduate studies and research
2. To foster gender equity among students and staff in academic programmes
3. To enable individuals from all communities and both sexes access University education.
4. To encourage gender responsive pedagogy including teaching/ learning materials and language, research and publications.
5. To promote expression and participation of all persons especially females in academic research and publications, decision-making, problem solving, management in all units, departments and University programmes.

Policy Statements

1. Ensure a gender responsive teaching and learning environment to promote involvement and participation of all categories of people including male and females and persons with special needs at the University.
2. Implement affirmative action in admission of both male and female students from disadvantaged areas such as like urban slums, ASALs and marginalized areas.
3. The University will endeavour to solicit for grants and scholarships to assist the disadvantaged gender
4. The university encourages and promotes the use of gender responsive teaching and learning methods including use of language that is free of any bias
5. Encourage and promote gender-responsiveness in the appointment of administrative management officers

Strategies

1. Encourage both male and female student to enrolment in SMT subjects at both undergraduate and post graduate courses.

2. Source scholarships for girls and boys from disadvantaged circumstances and in areas of specialisation where the specific gender is disadvantaged.
3. Priority will be given to Students from disadvantaged backgrounds in the allocation of scholarships thus enabling them pay fees rather than dropping out, through bursaries and work study.
4. A clear procedure of reporting sexual harassment will be put in place and such cases handled as a matter of urgency.
5. Introduce student orientation programmes that include life skills, guidance and counselling, HIV and AIDs to enhance the well being of male and female students at the university.
6. Students with special needs should be given special support to enable them to achieve their goals irregardless of their gender.
7. Regular talk shops, seminars and consortiums are to be organized at the university and will be facilitated by diverse successful women and men professionals to encourage female and male students to pursue all fields of study to the highest levels.
8. All academic work, research and publications will be free of gender bias including language and statements that favour any gender.
9. All studies will take into consideration both genders unless the study is based on one gender in design and conceptualisation.

2.2. PARTICIPATION AND PERFOMANCE IN (SMT) SUBJECTS AND COURSES

Background

At JKUAT, the foundation of most courses is Science, Mathematics and Technology. SMT is a prerequisite for industrialization and economic development. The general performance in SMT subjects and courses among both women and men is not commensurate with females' participation and performance. A study of the historical development of education reveals that females were encouraged to study humanities and not SMT related subjects and courses. Consequently, necessary infrastructure such as

science laboratories, equipment and other related facilities for learning science and technology subjects were inadequately provided in girls schools The impact of this is glaring in JKUAT where most courses are science oriented and hence attracts few female students. .

Objective

To improve participation, performance and gender equity in SMT courses and professions

Policy statements

1. Develop structures and systems that will create a conducive environment for more women to take up SMT courses in order to reduce disparity.
2. Promote modalities and mechanisms to facilitate survival and enhance participation and performance of women in SMT.
3. Develop a framework for a wider stakeholder participation and achievement in gender responsive science and technology.
4. Provide systems geared towards promoting best practices in the pedagogy of agriculture science and technology.
5. Ensure promotion and implementation of modern agriculture through research.

Strategies

1. Implement affirmative action for qualified females in admission into JKUAT programmes by instituting gender responsive subsidized bridging courses and programmes to enable more females to access science, agricultural and technical courses.
2. Develop a scheme to provide bursaries and scholarships for needy qualified and performing female students through establishment of income generation activities.
3. Lobby for increased recognition and reward of women scientists and technologists by society and labor market.

4. Build females' confidence in science and technology through implementing programmes aimed at bringing on board more female students to take science and technology based courses
5. Conducting career guidance in secondary schools and holding science camps will encourage female students to take up science related course
6. Rewarding best female students during secondary schools' science congress will promote the participation of female students in science and technology.
7. Engender science and technology curriculum and increase access to gender responsive science and technology facilities and equipment.
8. Mobilize resources for science and technology and conduct research with special focus on gender issues in the same.

2.3. GENDER AND INFORMATION, COMMUNICATION AND TECHNOLOGY

Background

The Information and Communication Technologies (ICT) has been a vibrant sector over the recent years. The electronic media, through radio and television is increasingly becoming competitive with the licensing of several radio stations. Both print and electronic media are powerful tools for shaping opinions, educating and entertaining people. The role of ICT is therefore critical in informing people on priority issues such as democracy, education, health, human rights, agriculture and technology for sustainable economic and industrial development. ICT plays an important role in the country's development and social transformation. Currently, a gender digital divide at international and national levels exist with few females in ICT careers and even fewer girls in IT classes, especially in universities and other institutions of higher learning. This scenario is clearly evident in JKUAT where female student enrolment at both masters and doctorate levels is underrepresented, constituting only a quarter of student enrolment.

This in turn creates a disparity where female students have no role models in this discipline.

Objective

To promote gender balance in access and participation in Computer Science, Information systems and Computer Technology.

Policy statements

1. JKUAT is committed to establish mechanisms to provide appropriate and gender responsive training in ICT.
2. Recognizing that ICT is a global issue, the university will endeavor to establish networks and linkages both nationally and internationally so as to provide more opportunities for the support and development of ICT among women and men.
3. Develop modalities to include those with special needs, both women and men, in training of ICT.
4. Increase budgetary allocation and mobilize resources for gender sensitive ICT training to promote a balanced and non-stereo typed portrayal of ICT training.

Strategies

1. Implement affirmative action in admission of qualified female students into ICT training.
2. Conduct organized career guidance in primary and secondary schools in order to remove stereotyping in ICT.
3. Link with other institutions of higher learning nationally, regionally and globally to establish exchange programmes with a special preference to female students in ICT.
4. Develop ICT training facilities that are gender responsive for men and women students with special needs.
5. Sensitize the stakeholders and members of the community on the importance of non-stereotyping ICT training.
6. Implement affirmative action in provision of scholarships for higher education in favor of female students pursuing ICT.

7. Ensure gender equity in appointments of governance and leadership positions in the management of ICT in the university.
8. Initiate an integrative framework for both men and women students.

2.4. GOVERNANCE AND MANAGEMENT

Background

Good governance has become a pertinent area in developmental planning. Most of the challenges bedeviling African governments such as poverty and political strive has been attributed to bad governance and management on the part of the leaders. Good governance is measured through indicators such as, accountability, .democracy ,human rights ,management and administrative efficiency. Inclusivity is a key element of good governance. The area of Governance and management in the education sector has largely been occupied by men. At the universities, gender gaps in top governance and management have been glaring especially in public universities and more gender responsive in private universities. Student leadership is also male dominated often with a female representation where elected are usually assistants.

At JKUAT, there are glaring gender disparities with female dominance in both university staff and student composition. Males also dominate in most positions of leadership among staff and students. This is an area of concern since it leads female students and staff lacking confidence in their leadership ability. There is need to increase female participation in university governance and management, as well as student leadership.

Objective

To enhance and promote gender equity and equality in governance and management to ensure participation of women and men at the university

Policy Statements

1. Institute and provide policy direction and guidelines that ensure gender equity and equality in governance and management.
2. Ensure gender equity in appointment of senior positions at the university.
3. Facilitate the development of training programmes for capacity building of both females and males to enhance their competencies.
4. Ensure gender equality in appointments such as heads of sections ,schools and departments
5. Encourage males and females to seek election and appointment in all governance structures such as heads of section and departments.

Strategies

1. Enforce the 30% policy in appointments where either gender is disadvantaged.
2. Ensure gender equity in appointments of heads of departments and centres.
3. Encourage female appointment and participation in positions of leadership
4. Encourage rotational leadership such as heads of department and sections.
5. Encourage males and females in positions of leadership including seeking for leadership positions in staff and student elections.
6. Create equal opportunities for effective work and personal development
7. Promote equity and equality between males and females in allocation of resources and opportunities.
8. Sensitisation on gender issues and concerns for effective implementation of strategies.
9. Encourage and maintain sex disaggregated data to enhance gender responsiveness.
10. Mainstream gender at all levels of the university and implement women empowerment programmes to ensure female representation in management.

2.5. GENDER EQUITY AND MARGINALISED AND VULNERABLE GROUPS

Background

There is low enrolment of students and employment of staff and thus higher disparities among disadvantaged groups in higher institutions of learning. Students and staff in the category of marginalized and vulnerable groups are mainly from ASALs, children from informal settlements and the orphans including those affected and infected by HIV and AIDS, persons with special needs and those persons displaced as a result of internal and international conflicts. Students with disabilities face challenges related to mobility and access to teaching, learning, and working facilities. Female students who become pregnant while at the university also face challenges related to housing, medical facilities and examinations. Among the marginalized and vulnerable groups, females tend to be the majority and they face a myriad of challenges. This group of people face unique challenges in pursuance of university education.

Objective

To increase access and participation among students and staff at Jomo Kenyatta University including the disadvantaged and vulnerable groups

Policy Statements

1. Sensitize students and staff on inclusiveness so as to appreciate all persons
2. Allocate resources to address the needs of the most vulnerable and marginalized groups
3. Facilitate students with special needs to move around to class and other areas in a convenient and timely manner.
4. Establish monitoring and follow-up mechanisms to address the issues and concerns of the marginalized and persons with special needs
5. Establish mechanisms that enhances all inclusiveness including special examinations and readmission of university students who drop outs.
6. Provide support for learners affected by abject poverty and other forms of discrimination.

Strategies

1. Award specific scholarships and bursaries to the vulnerable and marginalized students and staff undertaking both undergraduate and post graduate studies.
2. Sensitize the JKUAT community to give care and support to persons with special needs including the hearing impaired, visually and physically challenged.
3. Provide facilities that are suitable for challenged male and female students and staff. For example, sanitary facilities including toilets and changing rooms, elevators and learning facilities like brails and projectors, parking lot at the library and other areas.
4. Carry out needs assessment among vulnerable groups as bases to establish their needs and design appropriate mechanisms to address their specific and general concerns.
5. Sensitize the wider University community on the special needs of all staff and students
6. Develop modalities to seek further support including funding for resource provisions for learners affected by abject poverty and other forms of discrimination.
7. Initiate monitoring and mentoring programmes including guidance and counselling to ensure that all students and staff are attached to the existing programmes at the University.

2.6. GENDER AND WORK ENVIRONMENT

Background

Institutional and work environment impact on men and women differently. Critical gender issues in the academic and work environment exist in academic, social amenities, social dimension and management of students and staff in an academic institution such as

the university. Provision of adequate, appropriate and gender responsive social facilities including separate toilets for males and females is key to teaching and learning, and a work environment that aims at effective performance. There is need to be sensitive to the needs and concerns of males and females including persons with special needs. JKUAT is an environment of diversity of staff and students that aims to enable full potential regardless of gender.

Objectives

To create a gender friendly teaching, learning and work environment for all students and staff at the university

Policy Statements

1. Create an environment that is free from sexual harassment for both men and women
2. Enact measures to address the issues that affect males and females such as drug and substance abuse among female and male students as well as staff and pregnancy among female students
3. Enhance security for all male and female students and staff within the university

Strategies

1. Ensure that cases of sexual harassment are given priority and disciplinary action taken against any offenders.
2. Carry out regular drug awareness campaigns in the university to address drug and substance abuse.
3. Enhance mentoring programmes, guidance and counseling of students and counseling for drug and substance abusers
4. Introduce a common curriculum course on drug and substance abuse, gender and HIV and AIDS.

5. Organize seminars and workshops for males and females in order to sensitize them to transform behavior and attitudes patterns pertaining to gender relationships.

2.7. GENDER-BASED VIOLENCE AND SEXUAL HARASSMENT

Background

Gender based violence includes any form or act of violence that results in sexual, physical or psychological harm or suffering to girls, boys, women and men on the basis of gender. Research shows that although both male and female students, as well as female and male staff suffer acts of sexual and gender based violence, girls and women are the most affected and tend to suffer most. These include physical sexual and psychological harm. Violence against women is imminent across social-cultural, political and religious orientations. However GBV against men has been on the increase as recent studies have indicated. Efforts to address gender based violence and sexual harassment is often uncoordinated and most cases go unreported. In essence, the culprits continue to perpetuate the crime unabated. Gender based violence has been rampant in the universities as highlighted by the media.

Objective

To eliminate all forms of Gender-Based Violence and Sexual Harassment at the University

Policy statement

1. Mainstream policies that address GBV and SH.
2. The establishment of clear systems of reporting and dealing with cases of GBV and SH at the university

Strategies

1. Establish a GBV and SH unit to cater for victims and ensure that such cases are treated with confidentiality.

2. Provide support services including health, counseling psychological services and rehabilitation mechanisms for victims of sexual harassment.
3. Punish all perpetrators of GBV and SH irrespective of their gender and status.
4. Formulate a Gender Based Violence and SH policy.
5. Carry out GBV and SH awareness campaign to sensitize men and women on the vice, including rape awareness.
6. Establish and sustain networks with organisations working on the elimination of Gender-Based Violence and Sexual Harassment.

2.8. RESEARCH AND PUBLICATIONS

Background

Research is key to the generation of knowledge and is core activity at the University. Human and social issues are diverse, dynamic and often complex. In that case, knowledge and information is not fixated but is dynamic. Research and publications must enhance gender equity and equality by promoting a gender responsive social environment. Research must of necessity include both gender unless such research, is by virtue of design and conceptualisation, clearly designated to investigate aspects relating to a specified gender. In addition, female members of staff are in the minority in various universities especially in science, research and in publications. Further, certain gender issues may be diverse as research is not exhaustive. Therefore there is a need to research in this areas to fill the gaps. It is important to also ensure that gender responsive research tools are developed so that research outcomes are gender responsive. Universities must encourage and support female members of staff to carry out research.

Objective

To encourage equal participation by females and males in gender responsive research and publications

Policy statements

1. Increase gender responsive research and publications, and findings at all levels in the University.
2. Increase research funding to support female and male members of staff to undertake research to enhance their chances for promotion.
3. Encourage workshops and seminars on gender responsive research, publications and dissemination of findings
4. Adopt gender responsive publications including newsletters, IEC materials, journal articles, course modules and other materials.

Strategies

1. Ensure females and males have equal opportunities to funding for research, with specific regard to the disadvantaged gender or under represented gender.
2. Allocate resources to promote research and publications by males and females, including seminars and workshops to disseminate findings.
3. Gender awareness and sensitization training for all staff members to ensure gender friendly language, teaching and learning materials and research.
4. Enhance and develop research skills among males and female members of staff.

2.9. LINKAGES, NETWORKING AND COLLABORATION

Background

Institutional gender mainstreaming requires effective networking with a variety of stakeholders. Jomo Kenyatta University will continue to establish and strengthen networks and linkages with other institutions including universities in research, policy implementation, information management systems, monitoring and evaluation of institutional programmes to enhance best practice. This will ensure improved quality of services for all persons at all levels using a sector wide approach.

Objective

To establish new, and strengthen existing partnership and collaboration in Gender, Education, Research and Publications

Policy statements

1. Establish new, and strengthen existing partnership and collaboration in gender and education.
2. Continue providing an enabling environment for partner participation in gender and research.
3. Establish mechanisms and fora to facilitate gender consultations, monitoring and evaluation.

Strategies

1. Identify key partners in gender education and research.
2. Sensitise partners including parents and strategic partners and elicit their support for gender programmes.
3. Mobilize resources for gender education and research programmes.
4. Expand gender related programmes at all levels including gender sensitisation and advocacy in guidance and counselling and HIV and AIDS.

2.10. GENDER RESPONSIVE HEALTH SERVICES

Background

The enjoyment of highest attainable standards of health is one of the fundamental rights of every human being. Integrating gender perspective in health is sound policy and will help to strengthen health programmes. This is because gender considerations are central to the provision of quality health services, especially sexual and reproductive health. In addition, it is increasingly well recognized that there are differences in the factors determining health for males and females. The dynamics of gender in health including girls and female vulnerability to HIV and AIDS are of profound importance. Physiological differences between males and females such as menstruation, pregnancy, child bearing, breast feeding, menopause, rites of passage such as circumcision create unique health issues for females as compared to men.

Objective

Integrate gender considerations into health programmes for quality health services at the University.

Policy Statements

1. Develop and implement gender integrated health policies.
2. Implement modalities to enhance health services for male and female students and staff
3. Build capacity for health providers on gender responsiveness.
4. Increase collaboration and partnership to enhance health services for students and staff.

Strategies

1. Demonstrate commitment to responsiveness by creating an enabling environment for mainstreaming gender in health care.
2. Review the existing health policy and guidelines to highlight gender gaps and put measures in place to address them.
3. Provide students and staff with knowledge and skills on enhanced personal health and hygiene.
4. Ensure health consultancy services for males and females within existing university policies.
5. Enhance quality health services for students and staff.
6. Improve sanitation facilities including provision of clean drinking water for staff and students.
7. Develop tools for monitoring and evaluation of health service.
8. Develop and encourage training programmes build capacity to address gender issues in health provision
9. Strengthen the existing university structures and processes and seek to create new ones for purposes of gender mainstreaming with regard to health provision.

2.11. GENDER AND HIV/AIDS

Background

HIV and AIDS continue to be a challenge to social economic development especially in developing countries. HIV and AIDS affect girls and boys, women and men differently due to a combination of factors. These factors are biological, socio-cultural and economic that increases the vulnerability of girls and women o HIV and AIDS. These are further compounded by gender-based violence and sexual harassment such as rape, incest and coerced sex. Both males and females lack life skills and are thus often ill prepared to protect themselves from HIV and AIDS.

Objective

To reduce HIV/AIDS infection rates and impact among students and staff at JKUAT

Policy Statements

1. Empower both women and men to make responsible decisions concerning their sexuality
2. Enhance and promote the implementation of JKUAT HIV and AIDS policy.
3. Facilitate the provision and accessibility of condoms to university staff and students of either gender.
4. Facilitate training of students and staff on reduction and management of HIV and AIDS.

Strategies

1. Train medical personnel to be gender sensitive while dealing with HIV/AIDS and STI patients.
2. Improve gynecological services in the university health unit.
3. Provide free medical services and care for GBV victims.
4. Provide free ARVS to patients.

5. Ensure that patients have the freedom to choose the gender of the health personnel to serve them.
6. Ensure non discrimination on provision on health services whether on gender, age, status or on nature of illness.
7. Provide health facilities that are gender sensitive.

3.0 CHAPTER THREE – IMPLEMENTATION OF GENDER POLICY

3.1 THE IMPLEMENTATION STRUCTURE AND HUMAN RESOURCE REQUIREMENT

Effective implementation of the Policy and co-ordination of gender programmes, will be achieved through two organs: directorate of Gender and Mentoring Centre and a Gender Advisory Board.

3.1.1 The Gender and Mentoring Centre

The university has already created a Gender and Mentoring Centre(GMC)

The mandate of the GMC is to:

- To conduct short training courses which will enhance the understanding of gender issues
- To engage in outreach programmes and advocacy in gender related issues through public lecturers, short courses, seminars, workshops and mass media
- To assist both men and women to recognize and understand their complementary roles in the society through mass media, public lectures, seminars and workshops
- To establish a resource centre for information on gender issues
- To provide consultancy services and counseling on gender and related developmental issues
- To offer mentoring programmes as a basic tool in achieving maximum performance
- To provide short academic programmes in gender and development studies
- Develop strategies for the advancement of gender equity, skills and capacity in gender development
- Facilitate links between the university and like minded institutions and persons
- To conduct research in gender issues within the university and advise the university accordingly for better service delivery
- Facilitate gender mainstreaming in all sectors of the university

Terms of Reference for the Gender and Mentoring Centre

1. Coordinating all gender activities related to education, training and research.
2. Mainstreaming gender issues in the university and training policies, programmes, activities and processes.
3. Mobilizing resources to support gender activities within the university
4. Advocating for gender education
5. Initiating research, gender analysis and audit, and ensuring implementation of key recommendations.
6. Documenting and managing information on gender issues
7. Scaling up and mainstreaming best practices on gender issues in the university.
8. Championing appropriate and necessary affirmative action interventions.
9. Advising the university on gender issues.
10. Undertaking public relations, communication and rapid response to emerging issues.
11. Promoting partnerships and collaboration with gender stakeholders.
12. Linking international developments on gender to national efforts to promote gender issues in the university.
13. Developing monitoring, evaluation and accountability systems.
14. Undertaking monitoring and evaluation of gender programmes in the university.

Structure of the Gender and Mentoring Centre

A Director, of grade 13 and above will head the Gender Mentoring Centre. The Centre will have two other professional members of staff:

1. A programme Coordinator of job grade 12 who will work in an administrative capacity,
2. Administrative Assistant who will be charged with the day to day administration of the office;

3.1.2. The Gender Advisory Board

The gender board will be appointed by the Vice Chancellor and will consist of;

- Representatives from the functional divisions of the university i.e

AA, RPE, APD (of grade 13 and above)

- The Director, of the Gender and Mentoring Centre

Dean of Students
JKUSO chairperson
Non –academic Rep

Terms of Reference for the Gender and Education Advisory Board
The terms of reference for the Gender and Education Advisory Board will be:

To facilitate effective interpretation and implementation of the Gender Policy.
To initiate laws, policies and programmes that promotes gender equity and equality in the university.
To lobby for laws, policies, regulations and programmes that promote gender equity and equality.
To promote public relations, communication and rapid response to emerging issues pertaining to gender.
To ensure gender equity and equality in governance and management in the university..
To mobilize resources for gender related activities.
To support gender sensitization programmes at all levels of the university and society at large.
To establish linkages for gender center and to strengthen existing partnerships and collaborations.
To advise the Ministry of Education on all matters of gender and education, training and research.
To ensure gender is mainstreamed in all university operations including training policies, programmes, activities and processes.
To strengthen organizational / institutional capacity of groups and associations involved in gender in the university
To promote and support local efforts aimed at increasing gender equity and equality in education, training and research in the university..
To ensure scaling up and mainstreaming of best practices in gender . in the university environment.
To initiate research, gender analysis and audit, and ensure implementation of findings to strengthen gender initiatives within the university and the society at large.

The implementation structure will consists of several structures and agencies to allow the effective implementation as shown in the organogram:

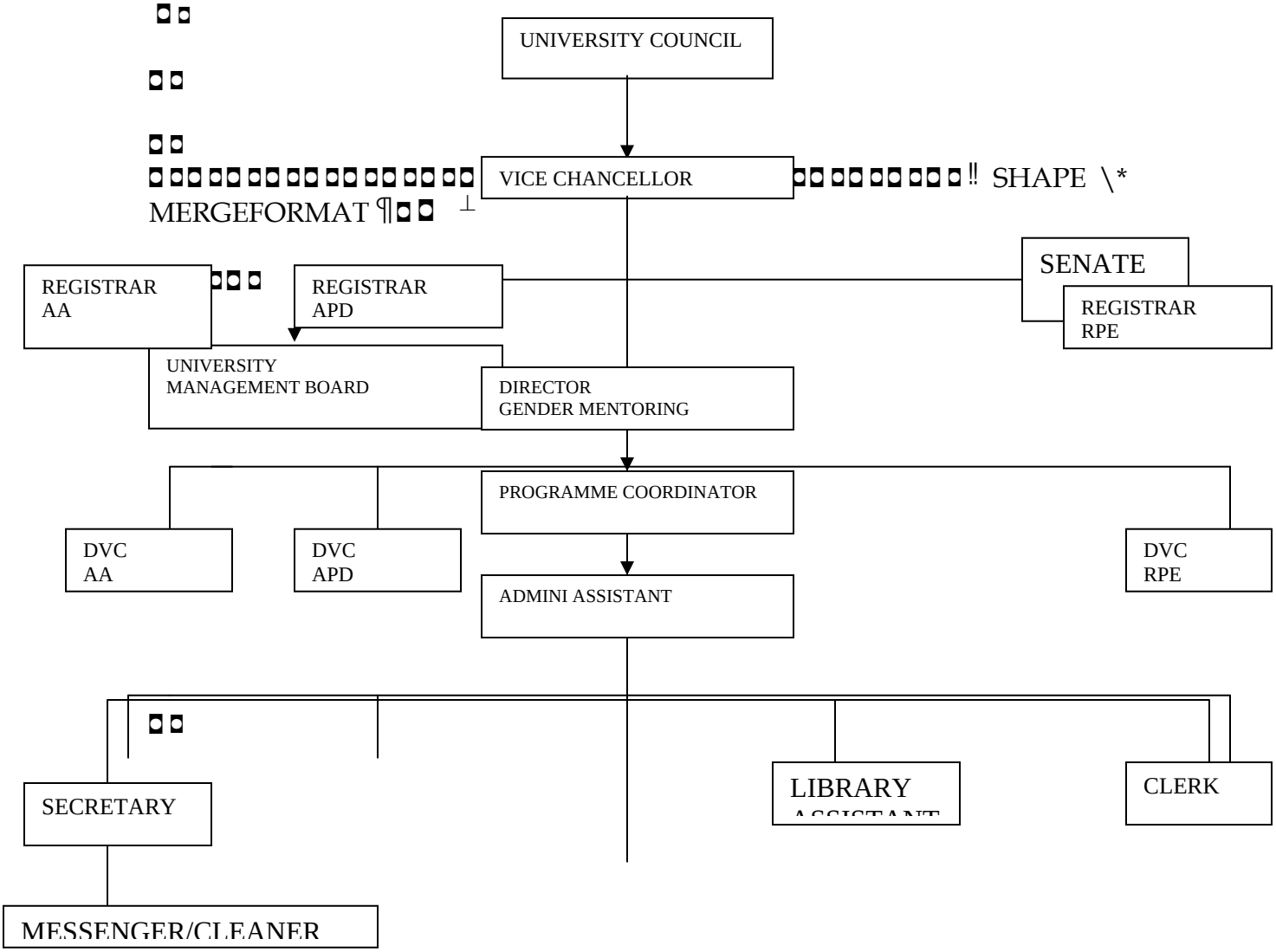
MONITORING AND EVALUATION
Monitoring will be cardinal to the effective and efficient implementation of this Gender Policy. This entails the collection, analysis and use of the data and information to determine the progress of implementation. Additionally, periodic evaluation of programme processes with a view to using the findings for programme improvement and planning, and impact assessment will be an integral part of the design, development and

implementation of the Policy. Consequently, gender-responsive monitoring and evaluation mechanisms will be instituted. Activities in this area will include identification of gender-responsive indicators and targets, training of implementing personnel on monitoring and evaluation concepts and procedures, conducting the monitoring and evaluation, and using the findings for planning interventions.

REVIEW OF POLICY

This Gender Policy will be reviewed every (3) three years to take into account emerging issues and trends.

GENDER AND MENTORING CENTRE AT JOMO KENYATTA UNIVERSITY OF AGRICULTURE AND TECHNOLOGY



BURDUR MEHMET AKIF ERSOY UNIVERSITY

ACTION PLAN FOR GENDER EQUALITY

(GENDER EQUALITY PLAN-GEP)

(2023 - 2026)

Burdur Mehmet Akif Ersoy University attaches importance to ensuring equality of opportunity between men and women in research and development processes and corporate culture.

The basic management approach of our university is based on the development and implementation of a policy that provides and ensures balance, diversity and equality rights between female and male academic, administrative staff and students.

Gender Equality Action Plan of our university aims to prevent inequality between men and women in the institutional structure.

Implementation of this action plan covering a three-year period (2023-2026) is guaranteed by the University Senate, and will be conducted and monitored by Burdur Mehmet Akif Ersoy University Women and Family Studies Application and Research Center (MAKÜ KASAUM).

The plan will be reviewed depending on the evaluation of the implementation results, and changes can be made to the plan if deemed necessary.

Within the scope of Burdur Mehmet Akif Ersoy University Action Plan for Gender Equality, the University Senate undertakes to carry out the studies on the following issues throughout the university.

Burdur Mehmet Akif Ersoy University Policy on Gender Equality

Burdur Mehmet Akif Ersoy University takes decisions to prevent violations of rights based on gender inequality between women and men in its internal and inter-institutional activities, works and studies. In this context; Burdur Mehmet Akif Ersoy University

1. Determines the zero tolerance policy against gender inequality in internal and inter-institutional activities, works and studies.

2. Organizes trainings to prevent gender inequality within the institution.

3. Ensures that the Gender Equality policy is known by those who are affiliated with the institution.

4. The scheme of steps to be followed to prevent all kinds of discrimination and abuse based on gender inequality to be experienced within the institution is made available to employees.

5. The responsibility for the realization and follow-up of the activities in this policy belongs to the Office of the Rectorate.

6. Individuals, boards or centers that will represent the institution receive training on "Egalitarian communication within the institution" to use an egalitarian language in activities such as press releases, web pages, panels, etc. and to ensure equal representation of women and men.

Burdur Mehmet Akif Ersoy University Gender Equality Action Plan

The objectives of Burdur Mehmet Akif Ersoy University Gender Equality Action Plan are as follows;

Objective 1: To create a corporate institutional culture based on gender equality.

Objective 2: To implement practices based on gender equality in personnel development, recruitment and selection processes.

Objective 3: To carry out studies to increase awareness of gender equality among academic, administrative staff and students at the university.

Objective 4: To carry out education and training processes at undergraduate and graduate levels in the field of gender equality.

Objective 5: To provide information about mobbing, harassment, sexual abuse and assault, and verbal and physical abuse, to create accessible contact points, to meet other requirements for ensuring a safety life on campus.

Objective 6: To conduct studies on the work-life balance of university staff.

Objective 7: To carry out studies for developing a common language considering gender equality in internal and external communications of the university.

Objective 8: To develop proposals that will provide architectural diversity suitable for gender equality.

Objective 9: To carry out monitoring and evaluation of studies about GEP.

OBJECTIVE 1: TO CREATE A CORPORATE INSTITUTIONAL CULTURE BASED ON GENDER EQUALITY				
ACTIONS	**STRATEGIES**	**RESPONSIBLE UNIT**	**PERIOD**	**PERFORMANCE INDICATOR**
1. Determining institutional strategic goals to perform the gender equality plan	Increasing the participation of womenin the senior management of the University and other academic and administrative units	-Rectorate -General Secretariat -MAKU KASAUM	2023-2026	-The number of women in senior management -Number of women's participation in units -Reports showing the university's women's participation by year
2. Adopting an approach based on gender equality in all decision-making mechanismsof the university	It is essential to ensurean equal opportunity composition of womenand men (e.g. the critical threshold of 33%) in all representation mechanisms (e.g. university committees, academic, administrative and ethics committees, juries, selection commissions, etc.).	-Rectorate -General Secretariat -MAKU KASAUM	2023-2026	-Number of women appointed to representation mechanisms -Number of women in management positions and all university units
3. Setting goals to increase the professional advancement of administrative, academic and auxiliary female staffand their effectiveness in managerial positionsin all units of the university	Develop leadership training programs for women, including planning, follow-up, mentoring, training and/or retraining. To organize Women in Academia Meetings in order to encourage women to take more part in decision-makingprocesses and to encourage them to take managerial positions	-Rectorate -MAKU KASAUM	2023-2026	-Number of women participating in the Women Leader Training program -Number of speakers invited for women in academia meetings
4. Announcement of Burdur Mehmet Akif Ersoy University Gender Equality Action Plan	Organizing meetings with the participation of representatives from allunits of the university (academic, administrative staff, student representatives)	-Rectorate -MAKU KASAUM	2023	-Number of representatives attending meetings

OBJECTIVE 2: TO IMPLEMENT PRACTICES BASED ON GENDER EQUALITY IN PERSONNEL DEVELOPMENT, RECRUITMENT and SELECTION PROCESSES				
ACTIONS	**STRATEGIES**	**RESPONSIBLE UNIT**	**PERIOD**	**PERFORMANCE INDICATOR**
1. Developing policies with a perspective of gender equality regarding the recruitment and selection processes of the university	The University establishes a recruitment, selection and recruitment system that ensures the followingconditions; - Standardization of processes. - Documentation of procedures at all stages. - All candidates are assessed equally using skills-based selection criteria (i.e. qualifications, skills, competencies, attitudes, experience based on the requirements of the position) and equal evaluation criteria, processes, technical tests and psychological tests (if desired) - Job descriptions/profiles are skills-based and do not discriminate based on gender bias and unequal opportunities. Do not include special requirements related to gender, ethnic origin, age, weight, height, appearance and marital status (exceptions apply for affirmative action). Ensuring that all relevant personnel are aware of the policy	-Rectorate -General Secretariat	2023-2026	-Number of recruitment interviews -Recruitment document -Contract document -Number of information meeting participants
2. Specifically prohibiting of discriminationbased on gender, marital status, age, pregnancy (or the possibility of pregnancy), ethnic origin and other personal characteristics during recruitment and selection.	The University establishesa recruitment, selection and recruitment system that ensures the followingconditions; - Explicitly prohibit asking personal questions about maritalstatus, family or personal circumstances, or other similar personal questions to assess factors that are not related to the job/task/job during job postings, vacancy announcements, recruitment tests and interviews. - There is an explicit prohibition on requesting personal orprivate information during employment reference verification processes.	-Rectorate -General Secretariat	2023-2026	-Recruitment documents -Documents and numbers of vacancy announcements -Recording of interviews and number of interviews

OBJECTIVE 3: TO CARRY OUT STUDIES TO INCREAE AWARENESS OF GENDER EQUALITYAMONG ACADEMIC, ADMINISTRATIVE STAFF and STUDENTS AT THEUNIVERSITY				
ACTIONS	**STRATEGIES**	**RESPONSIBLE UNIT**	**PERIOD**	**PERFORMANCE INDICATOR**
1. Providing trainings on gender equality for academic and administrative staff	To train trainers for representatives from all academic and administrative units to provide in-service trainings that will raise awareness of gender equality. Collect evidence that unit representatives have provided this training to staff in their units. Encouraging participationin in-service trainings once a year	-Rectorate -MAKU KASAUM -General Secretariat -Faculties -Vocational Schools -SKS Department	2023-2026	-Preparation of gender equality handbook and related presentation files (ppt., pdf, etc.), use in trainings and distribution to participants (number of distributions) -Number of information meetings on sexual harassment and sexual assault
2. Raising awareness of gender equality among academic and administrative staff	Preparing informative brochures, booklets, and infographics and organizing events for academic and administrative staff. Producing media contentthat conveys the successstories of successful female academic andadministrative staff. Conducting studies to ensure that the stereotypes that have an impact do not prevent the choice of profession.	-Rectorate -MAKU KASAUM -General Secretariat -Faculties -Vocational Schools -SKS Department	2023-2026	-Number of posters, brochures, etc. -Number of information on the WEB page -Number of meetings where success stories are told -Number of informational meetings on Equal Opportunities for Women and Men
3. Raising awareness of gender equality and violence among students	Providing training on gender equality to student communities. Encouraging communitiesto organize activities related to gender equality. Producing social media content to raise awarenesson gender equality (videos, visuals, infographics, etc.)	-Rectorate -MAKU KASAUM -General Secretariat -Faculties -Vocational Schools -SKS Department	2023-2026	-Number of participants in trainings -Number of Events Held -Number of Content Produced
4. Financially supporting projects (scientific research, thesis, etc.) related to gender equality	Carrying out studies to support scientific researchand student projects / theses on gender equality by the Scientific Research Projects Coordination Unit (BAP) and other relevant units	-Rectorate -MAKU KASAUM -BAP -Institutes -Other Related Academic Units -SKS Department	2023-2026	-Number of supported projects
5. Developing and supporting social responsibility projects related to gender equality	Encouraging students, academic and administrative staff to develop and participate increative projects with high social impact in order to spread and promote gender equality	-Rectorate -MAKU KASAUM -Academic and Administrative Units -SKS Department	2023-2026	-Number of projects expected to create social impact

OBJECTIVE 4: TO CARRY OUT EDUCATION and TRAINING PROCESSES ATUNDERGRADUATE and GRADUATE LEVELS IN THE FIELD OF GENDER EQUALITY				
ACTIONS	**STRATEGIES**	**RESPONSIBLE UNIT**	**PERIOD**	**PERFORMANCE INDICATOR**
1. Ensuring that the "Gender Equality" course is included in all programs as a compulsory or elective course under the same or a different title at the undergraduate / graduate level (If the Gender Equality course is not included in the programs, organizing activities such as conferences, seminars, meetings, events, workshops, etc.)	Adding a course on Gender Equality to the education plans of academic units and/or to the university common elective course pool. Conducting trainings with relevant academic staff in order to provide Gender Equality plan to students in academic units. Developing the content of the course on Gender Equalityand the training materials for the course.	-Rectorate -MAKU KASAUM -Faculties -Vocational Schools -Institutes -OZD Unit	2023-2026	-Establishment of an Gender Equality Training Group consisting of academic staff -Training of trainers numbers -Number of Training Materials prepared -Number of courses offered
Initiate an Interdisciplinary Graduate Program in Gender Equality and Women's Studies	Examine national and international examples. Creating the program curriculum. Conducting the program application process	-Rectorate -MAKU KASAUM -Institutes -Other relevant Academic Units	2023-2026	-Number of graduate programs opened in the field of gender equality and women's studies

OBJECTIVE 5: TO PROVIDE INFORMATION ABOUT MOBBING, HARASSMENT, SEXUAL ABUSE and ASSAULT, and VERBAL and PHYSICAL ABUSE, TO CREATE ACCESSIBLE CONTACT POINTS, TO MEET OTHER REQUIREMENTS FOR ENSURING A SAFETY LIFE ON CAMPUS				
ACTIONS	**STRATEGIES**	**RESPONSI BLE UNIT**	**PERIOD**	**PERFORMANCE INDICATOR**
1. Adopting a zerotolerance policyagainst mobbing, sexist and oppressive violations of human rights, and etc.	Codes of ethical conduct, workplace regulations and/or similar instruments explicitly prohibit the following: - Sexist jokes, inappropriate and offensive use of verbal and nonverbal sexist language. - Sexual and gender-based harassment in the workplace. - Mobbing - Slander (Mansplaining) Meeting the requirements for providing information on sexual abuse and sexual assault, harassment and mobbing, accessible pointsof contact and other requirements to ensure safe living on campus. Employment of female security personnel. Ensuring that female security personnel travel around the campus with mobile vehicles. Encouraging more effective use of the ÖDEMER service and other WhatsApp lines available at the university by students on issues of equal gender equality. Ensuring the formation of violence prevention mechanisms To follow up on harassment andmobbing notifications. To improve the ring facilities within the campus.	-Rectorate -Protection and Security Unit -MAKU KASAUM -Department of Information Processing -Department of Personnel -MAKU PDREM -Legal Consultancy	2023-2026	-Policy document -Handbook on Gender Equality -Mobbing handbook -Sexual Harassment handbook -Defamation leaflet -Gender equality handbook -Number of informative inventories on the concepts of mobbing, harassment and slander on MAKU KASAUM's web page -Number of female security guards -Number of reports of harassment, mobbing, etc. received by ÖDEMER service and other reporting lines -Application number of cases evaluated

OBJECTIVE 6: TO CONDUCT STUDIES ON THE WORK-LIFE BALANCE OF UNIVERSITY STAFF				
ACTIONS	**STRATEGIES**	**RESPONSIBLE UNIT**	**PERIOD**	**PERFORMANCE INDICATOR**
1. Adopting an approach based on gender equality in terms of work hours of staff	The University supports work-life balance by encouragingemployees to adhere tostandard working hoursand promotes joint fulfillment of family responsibilities. The university uses a mechanism to identify staff work-life balanceneeds (e.g. regular datacollection/needs analysis)	-Rectorate -MAKU KASAUM -General Secretariat -Faculties -Vocational Schools -BURDUR MAKU Administrative Units Centers -BAP	2023-2026	-Number of work life balance awareness seminars -Work life balance needs analysis project

OBJECTIVE 7: TO CARRY OUT STUDIES FOR DEVELOPING A COMMON LANGUAGE CONSIDERING GENDER EQUALITY IN INTERNAL AND EXTERNAL COMMUNICATIONS OF THE UNIVERSITY				
ACTIONS	**STRATEGIES**	**RESPONSIBLE UNIT**	**PERIOD**	**PERFORMANCE INDICATOR**
1. Developing a common institutionalcommunication language that supports gender equality	To prepare and disseminate a guidelineto embed a language based on gender equality within the organization Using concepts and sentences that do not discriminate between men and women in all internal and external correspondence. Avoid gender bias in job or position titles or job descriptions. Having a communication strategy that does notinclude gender bias and discrimination. Avoiding the use of images that contain stereotypes about women and men in university communication channels (website, all printed materials, etc.). To observe the balancebetween women and men in the images usedon the university's website and in the news	-Rectorate -General Secretariat -MAKU KASAUM -Faculty ofEducation	2023-2026	-Institution contact form sensitive to gender equality

OBJECTIVE 8 TO DEVELOP PROPOSALS THAT WILL PROVIDE ARCHITECTURAL DIVERSITY SUITABLE FOR GENDER EQUALITY				
ACTIONS	**STRATEGIES**	**RESPONSIBLE UNIT**	**PERIOD**	**PERFORMANCE INDICATOR**
1. Improving of architectural structure of the campus, which is much more available and suitable for gender equality	Lighting all areas within the university in such away that employeesand students feel fully safe Adequate construction of all areas (toilets, showers, changingrooms, places of worship, etc.) organized separately for menand women	-Rectorate -MAKU -KASAUM -Academic andAdministrative Units -Depart. of Construction and Technical Affairs -Faculty of Engineering-Architecture -Architecture and Civil EngineeringDepart.	2023-2026	-Number of illuminated places (showing the increase over the years) -Number of crèches, allocated breastfeeding and milking rooms -Number of paid sanitary napkin machines

OBJECTIVE 9: TO CONDUCT MONITORING and EVALUATION OF STUDIES ABOUT THE GEP				
ACTIONS	**STRATEGIES**	**RESPONSIBLE UNIT**	**PERIOD**	**PERFORMANCE INDICATOR**
1. Monitoring on actions of gender equality plan and receiving feedback from employees and students	Collecting and analyzing all data in a disaggregated manner based on gender differences, Conducting studies to measure staff perceptions of whether their communication among themselves, with students and in external channels contains sexist elements.	-Rectorate -General Secretariat -MAKU KASAUM -Faculties	2023-2026	-Number of studies conducted
2. Monitoring to ensure the effectiveness of steps taken and mechanisms established against gender-based harassment and violence within the institution	Regular review of the functioning of the violence prevention mechanism Taking into account the balance of the number of incoming complaints and resolved cases. Developing tools for periodic monitoring of staff perception of the awareness, accessibility and effectiveness of mechanisms among female and male employees (surveys, etc.)	-Rectorate -General Secretariat -Department of Public Health -PDREM	2023-2026	-Establishment of violence prevention commission -Violence prevention document -Number of violence prevention mechanism development meetings -Number of meetings to announce the studies
3. Evaluation of the university strategic plan in terms of gender equality	Establishing a strategic plan evaluation commission and preparing an evaluation report	-Rectorate -MAKU KASAUM -General Secretariat	2023	-Evaluation Report
4. Preparation of the University's annual report on gender equality plan	Evaluating and reporting the representation of women in the management mechanisms of the university according to equality indicators	-Rectorate -MAKU KASAUM	2023-2026	-Annual evaluation reports
5. Strengthening the Burdur Mehmet Akif Ersoy Women and Family Studies, Application and Research Center	Allocating an office for the Center Employment of full- time employees Development of the Center Web page	-Rectorate	2023	-Recruitment of full- time employees -Office provided -Final version of the web page

Senate Resolution Adopting the Action Plan	
Date	**Number**
28.08.2023	546/1

Prof. Dr. Hakan ÖNER
Rektör Yardımcısı

BURDUR MEHMET AKİF ERSOY ÜNİVERSİTESİ

KADIN-ERKEK FIRSAT EŞİTLİĞİ EYLEM PLANI

(GENDER EQUALITY PLAN-GEP)

(2023 – 2026)

Burdur Mehmet Akif Ersoy Üniversitesi, araştırma geliştirme süreçlerinde ve kurum kültüründe kadın-erkek fırsat eşitliğinin sağlanmasına önem vermektedir. Üniversitemizin temel yönetim anlayışı, kadın ve erkek akademik, idari personel ve öğrenciler arasında denge, çeşitlilik ve eşit haklar sağlayan bir politika geliştirme ve uygulama temeline dayanmaktadır. Kadın-Erkek Fırsat Eşitliği Eylem Planı, kurumsal yapıda kadın ve erkek arasındaki eşitsizliği önlemeyi amaçlamaktadır. Üç yıllık bir dönemi (2023-2026) kapsayan bu eylem planının uygulanması Üniversite Senatosu tarafından garanti altına alınmış olup Burdur Mehmet Akif Ersoy Üniversitesi Kadın ve Aile Çalışmaları Uygulama ve Araştırma Merkezi (MAKÜ KASAUM) tarafından yürütülecek ve izlenecektir. Plan, uygulama sonuçlarının değerlendirilmesine bağlı olarak denetlenecek ve gerekli görülmesi halinde değişikler yapılabilecektir. Burdur Mehmet Akif Ersoy Üniversitesi Kadın-Erkek Fırsat Eşitliği Eylem Planı kapsamında Üniversite Senatosu aşağıdaki hususlarda Üniversite genelinde çalışmalar yapılacağını taahhüt eder.

Burdur Mehmet Akif Ersoy Üniversitesi Kadın-Erkek Fırsat Eşitliği Politikası

Burdur Mehmet Akif Ersoy Üniversitesi kurum içi ve kurumlar arası çalışmalarında kadın-erkek fırsat eşitsizliğine dayalı hak ihlallerini önleyici kararları alır. Bu kapsamda;

1. Kurum içi ve kurumlar arası çalışmalarında kadın-erkek fırsat eşitsizliğine karşı sıfır tolerans politikasını belirler.

2. Kurum içi ve kurumlar arası çalışmalarında kurumsal yapıda kadın-erkek fırsat eşitsizliğini önlemek amacıyla eğitimler yapar.

3. Kadın-erkek fırsat Eşitliği politika belgesinin kurum ile bağı olanlar tarafından bilinmesini sağlar.

4. Kurum içinde yaşanacak kadın-erkek fırsat eşitsizliğine dayalı her türlü ayrımcılık ve kötü muameleyi önlemek üzere izlenecek adımlar şeması çalışanların ulaşımına sunulur.

5. Bu politika belgesindeki çalışmaların gerçekleşmesi ve takip edilmesi sürecinde sorumluluk Rektörlük makamındadır.

6. Kurumu temsil edecek kişi, kurul veya merkezler, basın bildirilerinde, web sayfalarında, panellerde vb. faaliyetlerde eşitlikçi iletişim dili kullanmaları ve kadın-erkek temsilinin eşit olması konusunda "Kurum içi eşitlikçi iletişim" eğitimi alırlar.

Prof. Dr. Hakan ÖNER
Rektör Yardımcısı

Burdur Mehmet Akif Ersoy Üniversitesi Kadın-Erkek Fırsat Eşitliği Eylem Planı

Burdur Mehmet Akif Ersoy Üniversitesi Kadın-Erkek Fırsat Eşitliği Eylem Planının amaçları aşağıdaki gibidir;

Amaç 1: Kadın-erkek fırsat eşitliğine dayalı bir kurum kültürü oluşturmak.

Amaç 2: Personel geliştirme işe alım ve seçim süreçlerinde kadın-erkek fırsat eşitliğine dayalı uygulamalar yapmak.

Amaç 3: Üniversitede akademik, idari personel ve öğrencilere yönelik kadın-erkek fırsat eşitliği konusunda farkındalığın artırılması için çalışmalar yapmak.

Amaç 4: Kadın-erkek fırsat eşitliği alanında ön lisans, lisans ve lisansüstü düzeyde eğitim öğretim süreçlerini yürütmek.

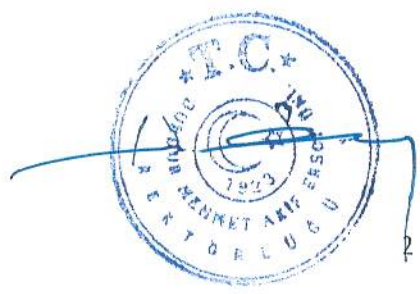
Amaç 5: Kampüste güvenli yaşamın sağlanması için cinsel istismar ve cinsel saldırı, taciz ve mobbing hakkında bilgilendirme, erişilebilir başvuru noktaları ve diğer gereksinimlerin sağlanmasına ilişkin gereklilikleri karşılamak.

Amaç 6: Üniversite personelinin iş-yaşam dengesi konusunda çalışmalar yapmak

Amaç 7: Üniversitenin kurum içi ve dışı iletişimde kullanılan tüm araçlarında kadın-erkek fırsat eşitliğini gözeten bir dil kullanmak için çalışmalar yürütmek.

Amaç 8: Kadın-erkek fırsat eşitliği duyarlılığına sahip mekan çeşitliliğini sağlayacak mimari program önerilerini geliştirmek.

Amaç 9: İzleme çalışmalarını yürütmek.



AMAÇ 1: KADIN-ERKEK FIRSAT EŞİTLİĞİNE DAYALI BİR ÖRGÜT YAPISI OLUŞTURMAK				
EYLEMLER	**STRATEJİLER**	**SORUMLU BİRİM**	**DÖNEM**	**PERFORMANS GÖSTERGESİ**
1. Üniversitenin kadın-erkek fırsat eşitliği politikasını gerçekleştirmek için stratejik kurumsal hedeflerin belirlenmesi	• Üniversite üst yönetimi ve diğer akademik ve idari birimlerin yönetim kademelerinde kadın katılımını artırmak	• Rektörlük • Genel Sekreterlik • MAKÜ KASAUM	2023-2026	• Üst yönetim kadın katılım sayılarını, • Birimlerde kadın katılım sayılarını, • Üniversitenin yıllara göre kadın katılımlarını gösteren raporlar
2. Üniversitenin tüm karar mekanizmalarında kadın-erkek fırsat eşitliğine dayalı bir yaklaşım benimsenmesi	• Tüm temsil mekanizmalarında (ör. üniversiteyi temsil edecek heyetlerde, akademik, idari ve etik kurullarda, jürilerde, seçici komisyonlarda vb.) kadın-erkek fırsat eşitlikçi bir bileşimin (örneğin kritik eşik olan %33) sağlanması esastır.	• Rektörlük • Genel Sekreterlik • MAKÜ KASAUM	2023-2026	• Temsil mekanizmalarında görevlendirilen kadın sayısı • Yönetim kademelerinde ve tüm üniversite birimlerinde kadın katılım sayıları
3. Üniversitenin tüm birimlerinde idari, akademik ve yardımcı kadın personelin mesleki ilerlemelerinin ve yönetsel pozisyonlardaki etkinliklerinin artırılması için hedefler belirlenmesi	• Kadınlar için planlama, takip, rehberlik, eğitim ve / veya yeniden eğitim dahil olmak üzere liderlik eğitimi programları geliştirmek. • Kadınların karar süreçlerinde daha fazla yer almalarını sağlamak, yönetsel pozisyonlarda bulunmak ile ilgili teşvik etmek amacıyla Akademide Kadın Buluşmaları yapmak	• Rektörlük • MAKÜ KASAUM	2023-2026	• Kadın Lider Yetiştirme programına katılan kadın sayıları • Akademide kadın buluşmaları için davet edilen konuşmacı sayısı
4. Burdur Mehmet Akif Ersoy Üniversitesi Kadın-Erkek Fırsat Eşitliği Eylem Planının duyurulması	• Üniversitenin tüm birimlerinden temsilcilerin (akademik, idari personel, öğrenci temsilcisi) katılacağı toplantılar düzenlemek	• Rektörlük • MAKÜ KASAUM	2023	• Toplantılara katılan temsilci sayıları

AMAÇ 2: PERSONEL GELİŞTİRME İŞE ALIM VE SEÇİM SÜREÇLERİNDE KADIN-ERKEK FIRSAT EŞİTLİĞİNE DAYALI UYGULAMALAR YAPMAK				
EYLEMLER	**STRATEJİLER**	**SORUMLU BİRİM**	**DÖNEM**	**PERFORMANS GÖSTERGESİ**
1. Üniversitenin işe alma ve seçim süreçlerine ilişkin kadın-erkek fırsat eşitliği perspektifi taşıyan politikalar geliştirilmesi	Üniversite'nin aşağıdaki koşulları sağlayacak bir istihdam, seçme ve işe alım sistemi oluşturması: • Süreçlerin standartlaştırılmış olması. • Usullerin tüm aşamalarda belgelendirilmesi. • Tüm adaylar, beceriye dayalı seçim kriterleri (yani nitelikler, beceriler, yetkinlikler, tutumlar, pozisyonun gerekliliklerine dayalı deneyim) ve eşit değerlendirme kriterleri, süreçler, teknik testler ve psikolojik testler (istenirse) kullanılarak eşit olarak değerlendirilmesi • İş tanımları / profilleri becerilere dayanması ve kadın-erkek önyargısı ve kadın-erkek fırsat eşitsizliğine dayalı ayrımcılık içermemesi. Kadın-erkek, etnik köken, yaş, kilo, boy, görünüş ve medeni durumla ilgili özel gereksinimleri içermemesi (olumlu ayrımcılık için istisnalar geçerlidir). • Tüm ilgili personelin söz konusu politika hakkında bilgi sahibi olmasının sağlanması	• Rektörlük • Genel Sekreterlik	2023-2026	• İşe alım görüşme sayıları • İşe alım belgesi • Sözleşme belgesi • Bilgilendirme toplantısı katılımcı sayısı
2. İşe alım ve seçim sırasında kadın-erkek, medeni durum, yaş, hamilelik (veya hamilelik olasılığı), etnik köken ve diğer kişisel özelliklere dayalı ayrımcılığı özellikle yasaklamak.	Üniversite'nin aşağıdaki koşulları sağlayacak bir istihdam, seçme ve işe alım sistemi oluşturması: • İş ilanları, kadro duyuruları, işe alım sınavları ve mülakatlar sırasında meslek/görev/işle ilgili olmayan faktörleri değerlendirmek için medeni hal, ailevi veya kişisel durum veya diğer benzer konular ile ilgili kişisel sorular sorulmasının açık bir şekilde yasaklanması. • İstihdam referans doğrulaması süreçleri sırasında kişisel veya özel bilgilerin talep edilmesinin açık bir şekilde yasaklanmış olması.	• Rektörlük • Genel Sekreterlik	2023-2026	• İşe alım belgeleri • Kadro ilan belgeleri ve sayıları • Mülakatların kayıt altına alınması ve mülakat sayıları

AMAÇ 3: ÜNİVERSİTEDE AKADEMİK, İDARİ PERSONEL VE ÖĞRENCİLERE YÖNELİK KADIN-ERKEK FIRSAT EŞİTLİĞİ KONUSUNDA FARKINDALIĞIN ARTIRILMASI İÇİN ÇALIŞMALAR YAPMAK				
EYLEMLER	**STRATEJİLER**	**SORUMLU BİRİM**	**DÖNEM**	**PERFORMANS GÖSTERGESİ**
1. Akademik ve idari personele kadın-erkek fırsat eşitliği eğitimleri verilmesi	• Kadın-erkek fırsat eşitliği farkındalığı yaratacak hizmet içi eğitimleri vermek üzere tüm akademik ve idari birimlerden temsilcilere eğitici eğitimi vermek • Birim temsilcilerinin kendi birimlerindeki personele bu eğitimi verdiğine ilişkin kanıtları toplamak • Hizmet içi eğitimlere yılda bir kere katılımın teşvik edilmesi	• Rektörlük • MAKÜ KASAUM • Genel Sekreterlik • Fakülteler • MYO'lar • SKS Daire Başkanlığı	2023-2026	• Kadın-erkek fırsat eşitliği el kitabının ve buna ilişkin sunum dosyalarının (ppt., pdf vb.) hazırlanması, eğitimlerde kullanılması ve katılımcılara dağıtılması (dağıtım sayısı) • Cinsel taciz ve cinsel saldırı konusunda yapılan bilgilendirme toplantısı sayısı
2. Kadın-erkek fırsat eşitliği konusunda akademik ve idari personelin farkındalığının artırılması	• Akademik ve idari personele yönelik bilgilendirici broşür, kitapçık, infografik hazırlanması, etkinlikler düzenlenmesi • Başarılı kadın akademik ve idari personelin başarı hikayelerinin aktarıldığı medya içeriklerinin üretilmesi • Etkisi olan kalıp yargıların meslek seçimini engellememesi için çalışmalar yapılması	• Rektörlük • MAKÜ KASAUM • Genel Sekreterlik • Fakülteler • MYO lar • SKS Daire Başkanlığı	2023-2026	• Afiş, broşür vb. sayısı • WEB sayfasındaki bilgilendirme sayısı • Başarı hikayelerinin anlatıldığı toplantı sayısı • Kadın-Erkek Fırsat Eşitliği konusunda yapılan bilgilendirme toplantısı sayısı
3. Kadın-erkek fırsat eşitliği ve şiddet konusunda öğrencilerin farkındalığının artırılması	• Öğrenci topluluklarına Kadın-erkek fırsat eşitliği eğitimi verilmesi • Toplulukların kadın-erkek fırsat eşitliği ile ilgili etkinlikler düzenleme konusunda teşvik edilmesi • Kadın-erkek fırsat eşitliği ile ilgili farkındalık yaratacak sosyal medya içerikleri üretilmesi (video, görsel, infografik vb.)	• Rektörlük • MAKÜ KASAUM • Genel Sekreterlik • Fakülteler • MYO'lar • SKS Daire Başkanlığı	2023-2026	• Eğitimlere katılımcı sayısı • Yapılan Etkinlik sayısı • Üretilen İçerik sayısı

4. Kadın-erkek fırsat eşitliği ile ilgili projelerin (bilimsel araştırma, tez vb.) desteklenmesi	• Bilimsel Araştırma Projeleri Koordinasyon Birimi (BAP) ve diğer ilgili birimler tarafından, kadın-erkek fırsat eşitliği konulu bilimsel araştırma ve öğrenci projelerinin/tezlerin desteklenmesi için çalışmalar yapılması	• Rektörlük • MAKÜ KASAUM • BAP • Enstitüler • Diğer İlgili Akademik Birimler • SKS Daire Başkanlığı	2023-2026	• Desteklenen proje sayısı
5. Kadın-erkek fırsat eşitliği ile ilişkili sosyal sorumluluk projelerinin geliştirilmesi ve desteklenmesi	• Kadın-erkek fırsat eşitliğini yayma ve tanıtma amacıyla sosyal etkisi yüksek, yaratıcı projelerin geliştirilmesi ve projelere katılımın sağlanması konusunda öğrenciler ile akademik ve idari personelin teşvik edilmesi	• Rektörlük • MAKÜ KASAUM • Akademik ve İdari Birimler • SKS Daire Başkanlığı	2023-2026	• Sosyal etki oluşturması beklenen proje sayısı

AMAÇ 4: KADIN-ERKEK FIRSAT EŞİTLİĞİ ALANINDA ÖN LİSANS, LİSANS VE LİSANSÜSTÜ DÜZEYDE EĞİTİM ÖĞRETİM SÜREÇLERİNİ YÜRÜTMEK				
EYLEMLER	**STRATEJİLER**	**SORUMLU BİRİM**	**DÖNEM**	**PERFORMANS GÖSTERGESİ**
1.Önlisans/lisans/lisansüstü düzeyde aynı veya farklı bir başlık altında "Kadın-Erkek Fırsat Eşitliği" dersinin, programda zorunlu veya seçmeli ders şeklinde yer almasının sağlanması (Kadın-Erkek Fırsat Eşitliği dersine programlarda yer verilemiyorsa konferans, seminer, toplantı, etkinlik, atölye vb. faaliyetler düzenlenmesi)	• Akademik birimlerin eğitim-öğretim planlarına ve/veya üniversite ortak seçmeli ders havuzuna Kadın-Erkek Fırsat Eşitliği dersi eklenmesi • Akademik birimlerde öğrencilere Kadın-Erkek Fırsat Eşitliği derslerinin verilebilmesi için ilgili öğretim elemanları ile eğitim gerçekleştirilmesi • Kadın-Erkek Fırsat Eşitliği dersi içeriğinin ve rehber eğitim materyalinin oluşturulması	• Rektörlük • MAKÜ KASAUM • Fakülteler • MYO • Enstitüler • OZD Birimi	2023-2026	• Öğretim elemanlarından oluşan Kadın-Erkek Fırsat Eşitliği Eğitim Grubu oluşturulması, • Eğiticilerin eğitimi sayıları, • Hazırlanan Eğitim Materyali sayıları, • Açılan ders sayıları,
2. Kadın-Erkek Fırsat Eşitliği ve Kadın Çalışmaları Alanında Disiplinlerarası Lisansüstü Program açılması	• Ulusal ve uluslararası örnekleri incelemek • Program müfredatını oluşturmak • Program başvuru sürecini yürütmek	• Rektörlük • MAKÜ KASAUM • Enstitüler • Diğer ilgili Akademik Birimler	2023-2026	• Kadın-erkek fırsat eşitliği ve kadın çalışmaları alanında açılan lisansüstü program sayısı

AMAÇ 5: KAMPÜSTE GÜVENLİ YAŞAMIN SAĞLANMASI İÇİN CİNSEL İSTİSMAR VE CİNSEL SALDIRI, TACİZ VE MOBİNG HAKKINDA BİLGİLENDİRME, ERİŞİLEBİLİR BAŞVURU NOKTALARI VE DİĞER GEREKSİNİMLERİN SAĞLANMASINA İLİŞKİN GEREKLİLİKLERİ KARŞILAMAK				
EYLEMLER	**STRATEJİLER**	**SORUMLU BİRİM**	**DÖNEM**	**PERFORMANS GÖSTERGESİ**
1.Üniversitede cinsiyetçi ve baskıcı, mobbing vb. hak ihlallerine karşı sıfır tolerans politikasının benimsenmesi	• Etik davranış ilkelerinin, işyeri düzenlemeleri ve/veya benzeri araçların aşağıda belirtilen durumları açık bir şekilde yasaklaması: • Cinsiyetçi şakalar yapılması, uygunsuz ve saldırgan sözlü ve sözsüz cinsiyetçi dil kullanımı. • İşyerinde cinsel ve cinsiyete dayalı taciz. • Mobbing • İftira (Mansplaining) Kampüste güvenli yaşamın sağlanması için cinsel istismar ve cinsel saldırı, taciz ve mobbing hakkında bilgilendirme, erişilebilir başvuru noktaları ve diğer gereksinimlerin sağlanmasına ilişkin gerekliliklerin karşılanması Kadın güvenlik personeli istihdam edilmesi. Kadın güvenlik personelinin gezici araçlarla yerleşke içinde dolaşmasının sağlanması Üniversitede mevcut ÖDEMER servisi ve diğer Whatsapp hatlarının kadın-erkek fırsat eşitliği konularında öğrenciler tarafından daha etkin kullanımının teşvik edilmesi Şiddeti önleme mekanizmalarının oluşumunu sağlamak Taciz, mobbing bildirimlerinin takibini yapmak Yerleşke içerisindeki ring olanaklarını iyileştirmek	• Rektörlük • Koruma ve Güvenlik Birimi • MAKÜ KASAUM • Bilgi İşlem Daire Başkanlığı • Personel Daire Başkanlığı • MAKÜ • PDREM • Hukuk Müşavirliği	2023-2026	• Politika belgesi • Kadın-Erkek Fırsat Eşitliği El Kitabı • Mobbing el kitabı • Cinsel Taciz el kitabı • İftira el broşürü • Cinsiyet eşitliği el kitabı • MAKÜ KASAUM ın web sayfasında mobbing, taciz ve iftira kavramlarına yönelik bilgilendirici envanter sayısı • Kadın güvenlik görevlisi sayısı • ÖDEMER servisi ve diğer ihbar hatlarına gelen taciz, mobbing vb. ihbar sayısı • Başvurusu değerlendirilen vaka sayısı

AMAÇ 6: ÜNİVERSİTE PERSONELİNİN İŞ-YAŞAM DENGESİ KONUSUNDA ÇALIŞMALAR YAPMAK				
EYLEMLER	**STRATEJİLER**	**SORUMLU BİRİM**	**DÖNEM**	**PERFORMANS GÖSTERGESİ**
1. Üniversitenin personelin çalışma saatleri konusunda kadın-erkek fırsat eşitliğine dayalı bir yaklaşım benimsemesi	• Üniversitenin çalışanlarını standart çalışma saatlerine uymaya teşvik ederek iş-yaşam dengesini desteklemesi ve aile sorumluluklarının ortak bir şekilde yerine getirilmesini teşvik etmesi. • Üniversitenin personel iş-yaşam dengesi ihtiyaçlarını belirlemek için bir mekanizma kullanması. (örneğin düzenli veri toplama/ ihtiyaç analizi)	• Rektörlük • MAKÜ KASAUM • Genel Sekreterlik • Fakülteler • MYO'lar • BURDUR MAKÜ İdari Birimler • Merkezler • BAP	2023-2026	• İş yaşam dengesi farkındalık seminerleri sayısı • İş yaşam dengesi ihtiyaç analizi proje çalışması

AMAÇ 7: KURUM İÇİ VE DIŞI İLETİŞİMDE KULLANILAN TÜM ARAÇ VE ORTAMLARDA KADIN-ERKEK FIRSAT EŞİTLİĞİNİ GÖZETEN BİR DİL KULLANMAK İÇİN ÇALIŞMALAR YÜRÜTMEK				
EYLEMLER	**STRATEJİLER**	**SORUMLU BİRİM**	**DÖNEM**	**PERFORMANS GÖSTERGESİ**
1. Üniversitenin kadın-erkek fırsat eşitliğini destekleyici bir iletişim diline sahip olması	• Kadın-erkek fırsat eşitliğine dayalı bir dilin örgüt içine yerleştirilmesi amacıyla bir rehber hazırlamak ve bu rehberi kurum içinde yaygınlaştırmak • Tüm iç ve dış yazışmalarda kadın-erkek ayrımı gözetmeyen kavram ve cümleler kullanmak. • Meslek veya pozisyon unvanlarında veya iş tanımlarında kadın- erkek yanlılığından kaçınmak. • Kadın-erkek önyargısı, ayrımcılık içermeyen bir iletişim stratejisine sahip olmak. • Üniversite iletişim kanallarında (web sitesi, tüm basılı materyaller vb.) kadın-erkek açısından kalıp yargılar içeren görsel kullanımından kaçınmak. • Üniversitenin web sayfasında, haberlerde kullanılan görsellerde kadın erkek dengesini gözetmek	• Rektörlük • Genel Sekreterlik • MAKÜ KASAUM • KİMER • Eğitim Fakültesi • PDR ABD	2023-2026	• Kadın-erkek fırsat eşitliğine duyarlı Kurum iletişim formu

AMAÇ 8: KADIN-ERKEK FIRSAT EŞİTLİĞİ DUYARLILIĞINA SAHİP MEKAN ÇEŞİTLİLİĞİNİ SAĞLAYACAK MİMARİ PROGRAM ÖNERİLERİNİ GELİŞTİRMEK				
EYLEMLER	**STRATEJİLER**	**SORUMLU BİRİM**	**DÖNEM**	**PERFORMANS GÖSTERGESİ**
1.Üniversitenin fiziksel mekanlarının iyileştirilmesi	• Üniversite içinde tüm alanların çalışanların ve öğrencilerin kendilerini tam olarak güvende hissedeceği biçimde aydınlatılması • Kadın ve erkekler için ayrı ayrı düzenlenmiş tüm alanların (tuvaletler, duşlar, soyunma odaları, ibadethaneler vb.) yeterli biçimde inşa edilmesi	• Rektörlük • MAKÜ KASAUM • Akademik ve İdari Birimler • Yapı İşleri ve Teknik Daire Başkanlığı • Mühendislik-Mimarlık Fakültesi • Mimarlık ve İnşaat Mühendisliği Bölümleri	2023-2026	• Aydınlatılan mekan sayısı (yıllar içinde artışı gösterecek şekilde) • Kreş, ayrılan emzirme, süt sağma odası sayısı • Paralı Hijyenik ped makinası sayısı

AMAÇ 9: İZLEME ÇALIŞMALARINI YÜRÜTMEK				
EYLEMLER	**STRATEJİLER**	**SORUMLU BİRİM**	**DÖNEM**	**PERFORMANS GÖSTERGESİ**
1. Kadın-erkek fırsat eşitliğine ilişkin izleme yapılması, çalışanlardan ve öğrencilerden geribildirimlerin alınması	Tüm verileri kadın-erkek farklılığına dayalı ayrıştırılmış biçimde toplamak, analiz etmek, Çalışanların kendi aralarında, öğrencilerle ve dış kanallarda iletişimlerinin cinsiyetçi öğeler içerip içermediğine dair algısını ölçen çalışmalar yapmak.	• Rektörlük • Genel Sekreterlik • MAKÜ KASAUM • Fakülteler • Merkezler	2023-2026	• Yapılan çalışma sayısı
2. İşyerinde kadın-erkek cinsiyetine dayalı taciz ile şiddet, flört şiddeti ve aile içi şiddete karşı atılan adımların ve kurulan mekanizmaların etkinliğinin sağlaması için izleme yapılması	• Şiddeti önleme mekanizmasının işleyişinin düzenli aralıklarla gözden geçirilmesi • Gelen şikayet çözümlenen vaka sayısı dengesinin dikkate alınması. • Kadın ve erkek çalışanlar arasında mekanizmaların bilinirliği, erişilebilirliği etkinliğine dair personel algısının periyodik olarak izlenmesi için gerekli araçların geliştirilmesi (anket vb.)	• Rektörlük • Genel Sekreterlik • MAKÜ Halk Sağlığı Bölümü • MAKÜ • PDREM	2023-2026	• Şiddeti önleme komisyonunun kurulması • Şiddet önleme belgesi • Şiddet önleme mekanizması geliştirme toplantısı sayıları • Çalışmaların duyurulduğu toplantı sayısı
3. Üniversite stratejik planının kadın-erkek fırsat eşitliği açısından değerlendirilmesi	• Stratejik plan değerlendirme komisyonunun kurulması ve değerlendirme raporu hazırlamak	• Rektörlük • MAKÜ KASAUM • Genel Sekreterlik	2023	• Değerlendirme Raporu
4. Üniversitenin yıllık kadın-erkek fırsat eşitliği raporunun hazırlanması	• Üniversitenin yönetim mekanizmalarında kadın temsilinin eşitliği göstergelerine göre değerlendirilmesi ve raporlaştırılması	• Rektörlük • MAKÜ KASAUM	2023-2026	• Yıllık değerlendirme raporları
5. Burdur Mehmet Akif Ersoy Kadın ve Aile Çalışmaları Uygulama ve Araştırma Merkezinin güçlendirilmesi	• Merkez için bir ofis tahsis edilmesi • Tam zamanlı çalışan istihdam edilmesi • Merkez WEB sayfasının geliştirilmesi	• Rektörlük	2023	• Tam zamanlı çalışan görevlendirmesi • Ofis sağlanmış olması • WEB sayfasının son hali

Eylem Planının Kabul Edildiği Senato Kararının	
Tarihi	**Sayısı**
28.08.2023	546/1

Prof. Dr. Hakan ÖNER
Rektör Yardımcısı

REPUBLIC OF TÜRKİYE MINISTRY OF INTERIOR
DENIZLI GOVERNORSHIP
Denizli EU and Foreign Affairs Office

DENIZLI GOVERNORSHIP

Gender Equality Action Plan

(GEP)

2023-2025

Introduction

In the Eleventh Development Plan of the Republic of Turkey covering the years 2019-2023; human rights in the public sector has been determined as one of the development goals. In addition, policies and measures aimed at increasing women's participation in the workforce and ensuring gender equality are organized under different headings such as "Women", "Priority Areas for Development" and "Rural Areas", "Employment and Working Life" and "Strengthening the Family".

In this context, the 2019-2023 Strategic Plan of the Ministry of Interior has been prepared in line with the strategic objectives determined by the Eleventh Development Plan, and the "Women's Empowerment Strategy Document and Action Plan (2018-2023)" has been developed by the Ministry of Family and Social Services.

In order to fully understand gender equality in public policy, it is necessary to establish an institutional structure for gender-based data collection and monitoring.

Consequently, a strong institutional commitment to mainstreaming gender equality through a coordinated approach is essential to support and promote gender equality.

In this context, in order to ensure gender equality in the 2022-2024 Budget Preparation Guide published by the Presidency of the Republic of Turkey, Strategy and Budget; The importance of gender-sensitive budgeting, which accommodates the different needs and priorities of women and men while providing public services, is emphasized. Likewise, the Budget Preparation Guide for the years 2023-2025 emphasizes the importance of a gender-sensitive budgeting strategy for public institutions.

Gender Equality Plans are important policy and planning tools that offer strong institutional commitments to tackling gender-based challenges. In addition, gender-disaggregated data analysis is an important research component that can support the policy development process for the R&D studies carried out by public institutions in our province.

It undertakes to comply with the principles of equality of opportunity for women and men in all activities of the public institutions of our province and to create an environment free from all kinds of prejudices.

A well-structured gender strategy provides the basic framework within which organizations can incorporate and incorporate gender mainstreaming into their research and

innovation content at the institutional level. The first "Gender Equality Action Plan" (GEP) of the public institutions of our province covering the years 2023-2025 is a working document that aims to establish guidelines and principles for all initiatives aimed at promoting gender equality in research and innovation.

The purpose of this action plan is to establish a framework for setting specific goals for advancing gender equality and to establish an institutional policy to support our commitment to equal opportunity.

This GEP is organized into four parts:

Section I. Institutionalization and Capacity Building for Gender Equality 5

Section II. Recruitment and Career Advancement 6

Section III. Work-Private Life Balance.....7

Section IV. Continuity of Equality and Non-Discrimination in the Workplace 8

Section I. Institutionalization and Capacity Building for Gender Equality

The 1982 Constitution of the Republic of Turkey (Article 10) clearly states that everyone is equal before the law, regardless of language, race, color, gender, political thought, philosophical belief, religion, sect and similar reasons. Men and women have equal rights and the State has an obligation to ensure that equality exists in practice. Measures to be taken for this purpose cannot be considered contrary to the principle of equality. State organs and administrative authorities are obliged to act in accordance with the principle of equality before the law in all their transactions.

In this context, the aim of the GEP plan is to promote the transformation of the institutional structure to strengthen gender equality, while supporting the process to ensure the implementation of the plan.

In order for the GEP to be successful, the following institutional arrangements and assignments will be made:

♣ As the first step of the plan, it consists of data collection and analysis. These data will be qualitative and quantitative data such as the determination of the number of male and female personnel of public institutions in our province, and the determination of demographic data of female and male personnel.

♣ In addition, SWOT analysis based on gender will be made of the public institutions of our province, in order to secure a balanced gender approach; undertakes to comply with the principles of gender equality in all its activities without sacrificing quality and competence.

♣ To raise awareness of the GEP and promote ownership and inclusion, annual meetings will be held with the participation of all staff to discuss relevant issues. These meetings will be held with the participation of the personnel of the public institutions of our province.

Section II. Recruitment and Career Advancement

The Constitution of the Republic of Turkey, the Civil Servants Law No. 657 (DMK) and the Labor Law No. 4857 prohibit discrimination among employees. The relevant legislation contains provisions that prohibit employees from discrimination based on language, race, color, gender, disability, political opinion, philosophical belief, religion or sect in recruitment and workplace.

Pursuant to article 5 of the labor law, no discrimination based on gender can be made in business relations and lower wages cannot be determined for a job of the same or equal value due to gender.

In addition, initiatives to promote initiatives and positive corporate culture will be supported, and mechanisms will be developed to ensure gender balance.

The following activities will be carried out to strengthen recruitment and career development processes:

♣ Gender balance will be taken into account in the meetings and workshops to be held, and in cases where gender balance cannot be achieved, attempts will be made to ensure the minimum participation of women.

♣ Work will be undertaken to increase the proportion of women among applicants and recipients of research grants, awards and funding.

♣ Studies will be carried out in order to prevent unconscious prejudices that potentially affect recruitment processes and training and awareness activities especially targeting management positions.

♣ Studies will be carried out to promote the integration of the gender dimension into research activities.

Section III. Work-Private Life Balance

A healthy work-life balance is important for individual well-being, enhanced productivity and creativity. Our organization, which is a public institution, is tightly bound to the workplace regulations determined by DMK No. 657 and Labor Law No. 4857.

DMK numbered 657 includes 7 various regulations in order to provide a balance between the work life and private life of female employees. For example; In accordance with paragraph (A) of Article 104 of the Law No. 657, "A woman officer; maternity leave is given for a total of sixteen weeks, eight weeks before birth and eight weeks after birth.

In addition, they will be able to work part-time after the end of the postpartum maternity leave period regulated in paragraph (F) of Article 104 of Law No. 657.

13 of the "Regulation on Working Conditions of Pregnant or Nursing Women, Nursing Rooms and Child Care Dormitories", published in the Official Gazette dated 16 August 2013, based on Article 30 of the Occupational Health and Safety Law No. 6331, in order to ensure the participation of female employees in business life. According to the Article : Establishing a breastfeeding room in the workplace, regardless of their age and marital status, in case there are 100-150 female employees, and leaving and caring for children aged 0-6 in case of more than 150 female employees, as well as for breastfeeding workers to breastfeed their children. The employer is obliged to open a nursery.

In this way, it is tried to support the work-private life balance of female employees. We believe that the following actions will contribute to the sustainability of the GEP.

In order to improve the work-life balance, the following actions will be taken:

- ♣ Equality of opportunity and practice between men and women will be promoted.
- ♣ Gender policy will be regularly disseminated through internal communication tools.
- ♣ Gender balance will be observed within the scope of equal access to education.
- ♣ Training will be organized to raise awareness of women's rights in working life.
- ♣ Equality of opportunity surveys between men and women will be conducted to monitor work-private life balance and job satisfaction.

Section IV. Continuity of Equality and Non-Discrimination in the Workplace

Turkey is a member of the UN, NATO, OECD, G-20 and OIC and a candidate country for EU accession. In 1934, Turkish women were among the first women in Europe to gain the right to vote and be elected and to stand for elections. She became a party to the Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW) in 1985 and ratified the Optional Protocol to CEDAW in 2002. Turkey became the first country to sign (2011) and ratify (2012) the Council.

Issues such as the protection and development of human rights based on human dignity, the guarantee of the right of individuals to be treated equally, the prevention of discrimination in the enjoyment of legally recognized rights and freedoms are guaranteed by the constitution and other laws.

Studies will be planned to protect the rights of female personnel working in public institutions in our province according to the above-mentioned provisions.

The following actions will be taken within the scope of equality and fight against discrimination in the workplace:

♣ Training on combating discrimination and awareness will be organized for all employees and managers.

♣ Awareness studies will be planned and policies will be developed in this area to eliminate barriers related to gender discrimination.

♣ Turkey's 11th National Development Plan 2019-2023 will work towards empowering women, preventing discrimination against them, and ensuring that women have equal access to the rights, opportunities and opportunities offered to men.

DENİZLİ GOVERNORSHIP
EU and Foreign Affairs Office

Redife Aslıhan UÇAR
Project Coordinator of Province

Mehmet OKUR
Deputy Governor

BLUE BIOECONOMY
CoLAB

Plan for Gender Equality

Inspired by the Ocean
Driven by the Market
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PLAN FOR GENDER EQUALITY (GE)

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1. FRAMEWORK

"When we talk in terms of gender equality, we must be aware that the concept is more than a goal in itself. Gender equality is a precondition for meeting the challenge of reducing poverty, promoting sustainable development, and building excellent government.**" Kofi Annan**

Equality between women and men is a principle of citizenship enshrined in the 1945 United Nations Charter and the 1948 Universal Declaration of Human Rights. It is also described in several International Labor Organization conventions and the founding legislation of the European Union, particularly since the 1957 Treaty of Rome. Since then, various European policy instruments have promoted gender equality.
Following the guidelines of the Universal Declaration of Human Rights, the Treaty on European Union, the European Pact for Gender Equality, and the provisions of the Constitution of the Portuguese Republic (art. 13) and the Labor Code (art. 23 to 65), gender equality (GE), in addition to being a fundamental human right, is essential to achieving peaceful societies with full human potential and sustainable development. The Constitution of the Portuguese Republic has guaranteed the Principle of Equality since 1976, whereby no citizen can be treated differently in terms of gender, sexual orientation, ethnic origin, among others (Art. 13), just as everyone has the right to work in conditions of equality and dignity, prohibiting any form of discrimination in access to employment, particularly based on gender (Art. 59). Gender equality is also reinforced by specific laws and public policies in Portugal, which aim to combat discrimination and promote equal opportunities for men and women in different sectors. These include the Parity Law (Organic Law no. 3/2006 of August 21), which establishes parity between men and women on candidate lists and political representation quotas, and the Equal Pay Law (Law no. 60/2018 of August 21), which ensures the principle of equal pay for equal work or work of equal value.

The development of public policies, both national and European, has led to a new look at the conditions that allow and facilitate the reconciliation of professional activity with family and personal life. Organizations are becoming increasingly aware of the urgent need to adopt and implement measures to combat gender discrimination.

Bearing in mind the importance of GE, and as a way of demonstrating the commitment of B2E CoLAB Associação para a Bioeconomia Azul - Laboratório Colaborativo (hereinafter " B2E CoLAB CoLAB " or "B2E CoLAB") to the topic, and by the provisions of article 7 of Law no. 62/2017, of August 1, regulated by

Normative Order no. 18/2019, of June 21, B2E CoLAB presents its Gender Equality Plan for 2023 and beyond, intending to achieve effective equal treatment and opportunities for the different genders, thus promoting non-discrimination based on gender.

In this sense, the objectives leading this Gender Equality Plan are as follows:

- Identify B2E CoLAB's gender indicators.
- Identify actions that are already being carried out to promote gender equality, as well as identify weaker points where it is necessary to intervene, introduce changes, and reinforce practices that have already been applied.
- Define and adopt good practices in terms of promoting gender equality, within the framework of compliance with the existing regulations mentioned above in this section, and the relevant international benchmarks.

B2E CoLAB CoLAB and INDICATORS relative to the Staff Board

B2E CoLAB Associação para a Bioeconomia Azul - Laboratório Colaborativo, is a non-profit association operating at full capacity since 2020, focused on shaping a new blue bioeconomy, through research, education, innovation, and business, for a better and more sustainable world.

To fulfill its mission and build a shared understanding and appreciation of the ocean, B2E CoLAB is strongly committed to Excellence, Innovation, Partnerships, Public Engagement, and Sustainability. From this perspective, B2E CoLAB is particularly aligned with the following Sustainable Development Goals: Life Below Water, Zero Hunger, Good Health and Well-Being, Quality Education, and Gender Equality.

Figure 1: B2E CoLAB's Sustainable Development Goals

The GE Plan was prepared based on an internal diagnosis of equal opportunities for women and men and proposes a set of objectives to be achieved for the institution to implement measures and achieve the respective targets to promote GE in B2E CoLAB.

The B2E CoLAB GE Plan will come into force in 2023 and will be communicated to all members. With the implementation of this plan, B2E CoLAB's Board of Directors is responsible for all the commitments made and approves their content.

To achieve its mission, in November 2023 B2E CoLAB will have a staff of 13 employees and 5 executive members of the Board.

Below are some indicators relating to B2E CoLAB's workforce, allowing us to characterize the proportion of men and women in the organization (as of the date of the report).

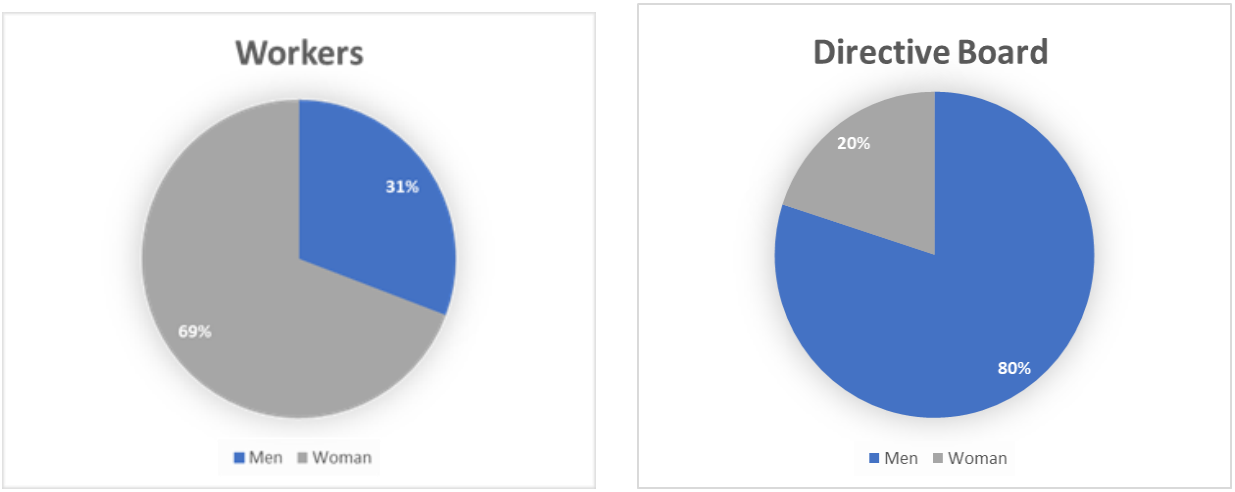

Fig. 2 Relative frequency of women and men among B2E CoLAB COLAB employees and directors.

- Of the 13 workers, 69% are women.
- The Directive Board is made up of 5 members, only one of whom is a woman (20%).

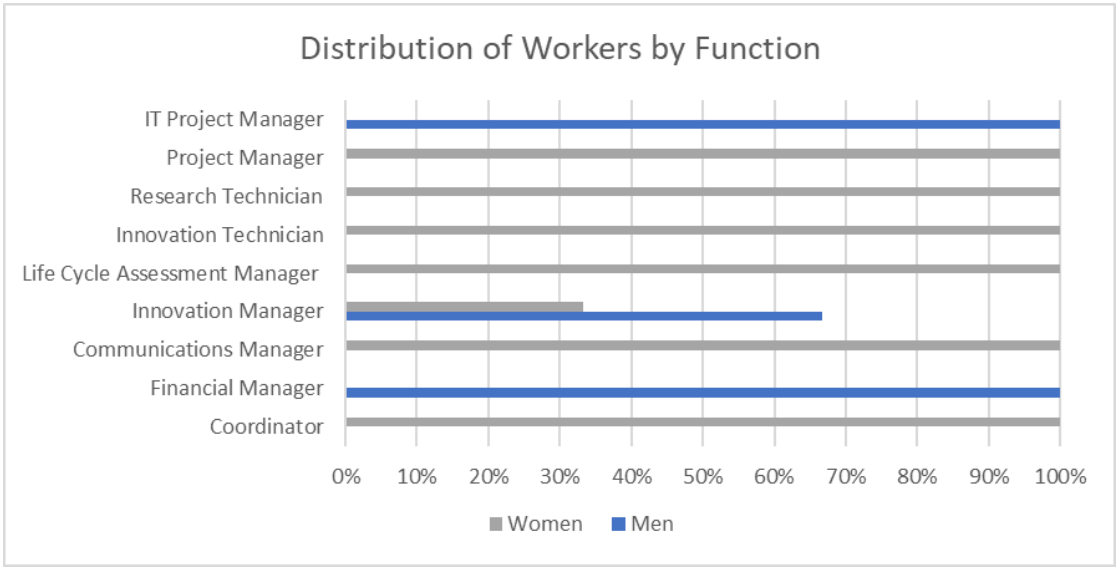

Figure 3: Relative frequency of women and men by function.

- Two men account for 100%, one in each function, of the workers in the IT Project Manager and Finance Manager positions.
- The role of Innovation Manager is held by two men and one woman.
- All the other positions are held by women.

2. DIAGNOSIS OF PRACTICES IMPLEMENTED IN THE B2E CoLAB FAVORING GENDER EQUALITY (GE)

Based on the Guide for the preparation of Equality Plans, made available by CITE - Commission for Equality in Labor and Employment, and under Normative Order No. 18/2019, B2E CoLAB carried out a survey to identify the practices and actions already used that should be reinforced, practices that need to be implemented and forms of evaluation for maintaining them. B2E CoLAB's goal with the implementation of these actions is to ensure a fully inclusive organization concerning GE.

The areas assessed and the organization's practices are described below:

a) Strategy, Mission, and Values

B2E CoLAB considers the GE principle to be an essential condition for the development of its activity. Part of its mission is to promote the creation of highly qualified jobs, of all genders, which actively contribute to increasing the economic and social value of products and services. To this end, B2E CoLAB works to promote equal opportunities in recruitment processes, in the personal development of human resources, encouraging their development and in day-to-day working practices.

B2E CoLAB's values include integrity, cooperation, innovation, and sustainability, which will only be possible if we maintain an internal policy based on respect and valuing people, protecting, and including our employees, their families and society. B2E CoLAB prioritizes the use of inclusive language in its communication and the non-use of stereotypical or sexist images on its website and social networks.

b) Equality in Job opportunities

B2E CoLAB has a transparent recruitment policy, with information on the skills required to fill the vacancy, the duties to be performed, and the amount and frequency of the remuneration previously stipulated in an open call for tenders. The language of the notices is neutral and includes a policy of non-discrimination and equal access where it is made clear that no candidate may be privileged, benefited, disadvantaged or deprived of any right or exempted from any duty on the grounds of ancestry, age, gender, sexual orientation, marital status, family situation, economic situation, education, social origin or condition, genetic heritage, reduced working capacity, disability, chronic illness, nationality, ethnic origin or race, the territory of origin, language, religion, political or ideological convictions and trade union membership. The selection process considers the candidate's competencies, such as experience, training and skills. During the probationary period, B2E CoLAB respects the period of actual performance of the contract, to assess the interest of

maintaining it, ensuring health and safety conditions in the workplace.

B2E CoLAB also considers the principle of gender parity when setting up selection teams, with mixed teams.

c) Initial and continuous training

At B2E CoLAB, all human resources go through an initial induction period where they receive the necessary training on regulations, internal rules, access, equipment, tools, and platforms that can be used.

Everyone must do a minimum of 40 hours of training a year and everyone is encouraged to take part in training on different topics that can in some way develop their skills and competencies, ensuring that access is transversal and equitable throughout the organization.

d) Equality in work conditions

At B2E CoLAB, salaries are proposed exclusively based on skills, training and experience, and gender is not considered in any way when setting contractual salaries.

B2E CoLAB is governed by principles of meritocracy as the basis for the assessment and progression of its human resources, as well as by the principle of equality, without any discrimination based on gender.

B2E CoLAB intends to develop a progression plan for its human resources based on the following principles:

- Recognition of the merit and potential of human resources.
- Equal opportunities, encouraging professional development, valuing the skills and experience of human resources.
- Alignment between the goals and expectations of human resources and strategic guidelines and objectives.
- The career development of each human resource should be based on individual performance, experience, and merit, under the specific rules defined in the aforementioned documents.
- The Performance Management and Evaluation System is based on meritocratic principles as the basis for evaluation and career progression and aims to promote the principle of equality, without any discrimination based on gender.

e) Parental Protection

B2E is committed to ensuring the rights of maternity and paternity for its employees, respecting leave/absence from work in the various situations provided for by law. Within the scope of protection for workers with children up to 3 years old, the possibility of working from home is granted, as well as flexibility of hours

and the possibility of carrying out continuous shifts to workers with children up to 12 years old, regardless of their gender, and by free choice of each one. Employees have the possibility of aiding children and family members when necessary and provided that it is duly justified and documented.

f) Reconciling professional life with family and personal life

B2E CoLAB believes that gender equality issues should cover the entire family sphere of its human resources and that, in addition to ensuring their rights under the law, it strives to maintain a facilitating routine.

Whenever possible, training sessions should take place during normal working hours, so that all human resources can take time out of working hours for family or other activities of personal interest.

Timetables are flexible, as far as possible, to promote a fruitful balance between professional duties and the family life of each human resource.

At B2E CoLAB, regardless of the marital status or family situation of the human resource, the best compromise is always sought when it comes to scheduling vacations, so that, without affecting the normal course of work activities, human resources can reconcile these periods with those of their personal interests and/or needs.

g) Prevention of harassment at work

B2E CoLAB favors an organizational culture based on values and conduct of non-discrimination of any kind and non-tolerance of the practice of any kind of harassment or acts of intimidation, so compliance with respect for the dignity of women and men in the workplace is a priority.

3. MEASURES TO BE IMPLEMENTED TO PROMOTE GENDER EQUALITY (GE) IN THE B2E CoLAB

Based on the diagnosis made, although B2E CoLAB already carries out several actions in the field of Gender Equality, it is considered that some additional measures should be implemented, some new (N), others just as a reinforcement (R) of practices already in place. The actions included will be monitored by the person responsible for implementing the Gender Equality Plan.

Table 1: Objectives of the Gender Equality Plan in B2E CoLAB. For each action, the Type [New (N) or Reinforcement (R)], measures, indicators and target are defined.

Objectives	Type	Measures	Indicators	Goals
Providing information to employees on their rights and duties in the field of equality and non-discrimination	R	Disseminate, in an appropriate and accessible place, information on the rights and duties of workers with regard to equality and non-discrimination based on gender	Evidence of implementation	By the end of the 2nd half of 2024
Ensuring the implementation of the GE Plan, its monitoring, follow-up and sustainability	N	Define and monitor strategic GE KPIs	Evidence of KPI definition and follow-up	KPIs defined and monitored during the reference year
Making B2E CoLAB employees aware of the importance of GE	N	Make B2E CoLAB's GE Plan known to employees	Evidence of sharing the Plan with the entire B2E CoLAB Team	By the end of 2023
	N	Organize an initiative with the entire B2E CoLAB Team aimed at accepting and promoting GE	Evidence of the implementation of the initiative	Initiative carried out during 2024
Guarantee the principle of equality and non-discrimination in access to employment	R	B2E CoLAB undertakes to refer to the "Non-discrimination and equal access policy" in recruitment notices.	Evidence of each new call for tenders	Ongoing until the end of 2025
Ensure an R&S process consistent with the principles of non-discrimination between men and women.	R	Draw up internal guidelines to ensure, whenever possible, fair gender representation on selection teams	Incorporate standards into the Recruitment and Selection procedure.	End of 2024
	R	Include in the procedure recommendations for the R&S teams to present the Managers with a list of candidates that is balanced in terms of gender representation and, ideally, with more candidates from the less representative gender in the position in question, provided there are candidates with suitable qualifications and always based on the insurmountable concept of meritocracy.	Evidence of list in accordance with recommendations	Until the end of 2024
Protect and promote parenthood policies	R	Accompany the return of workers absent for long periods of time due to parental leave and ensure their reintegration into the team, facilitating access to training if necessary.	Follow-up records	Until the end of 2024
Promote the reconciliation of professional, family and personal life for workers.	N	Listen to employees with a view to identifying and implementing other measures to help reconcile work, family and personal life.	Evidence of decision-making	Until the end of 2023

Objectives	Type	Measures	Indicators	Goals
	R	Promoting the approval of teleworking requests for all male and female workers who request it in a justified manner	Evidence of decision-making	Until the end of 2023
Prevent and combat discrimination/harassment at work	R	Actively promoting the culture and practices of combating harassment, discrimination, or intimidation by holding a training and/or awareness-raising session, or by disseminating documents on the subject.	Evidence of the training and/or awareness-raising session, or the dissemination of documents	Until the end of 2024

In the event of a complaint of discrimination and/or harassment, B2E CoLAB will carry out the necessary diagnostic steps with the parties involved, followed by an evaluation procedure and the issuing of an opinion with recommendations and possible measures to be implemented.

The different phases for resolving complaints and/or harassment are detailed below:

1. The complainant must submit their complaint and if they choose to identify themselves, they must request a hearing with B2E CoLAB's Compliance officers. B2E CoLAB has an internal channel dedicated to the submission of complaints, under the responsibility of the Coordination and HR Manager, via the email address IG@B2E CoLAB.pt, known to all employees. Regardless of whether the complaint is anonymous, or a hearing is requested, B2E CoLAB must ascertain, to the best of its ability, knowledge, and obligations, the motives and subject matter of the complaint by the complainant. Part of the investigation into the complaint may involve clarifying the facts with the accused.
2. If, in the light of the findings of fact, and after careful analysis, it is found that the facts presented by the prosecutor are true, disciplinary proceedings will be initiated against the accused, including possible sanctions, including termination of the contract, if this falls within the regulatory framework in force. The prosecutor has the right to consult the course of the proceedings and to consider whether the measure adopted by the company is appropriate; if he or she does not agree, the prosecutor may initiate legal proceedings against the accused. In this context, the accused is responsible for the damage suffered by the complainant, and not B2E CoLAB, which has already followed its full protocol for receiving complaints, establishing and analyzing the facts constituting the complaint of discrimination and/or harassment, and, where appropriate, applying sanctions.

3. If the complainant (whether victim or witness of harassment) so wishes, he or she can use the national or regional mechanisms for handling this type of complaint, namely the authorities for working Conditions - Autoridade para as Condições do Trabalho (ACT) ou à Inspeção Regional do Trabalho.

4. MONITORING/PLAN'S EVALUATION

For the Gender Equality Plan developed in this document to be effective, a constant monitoring process is essential. Therefore, the continuous monitoring and evaluation of the Plan will be carried out by the HR manager who will be appointed for this purpose. This person will be responsible for collecting and analyzing data, as well as monitoring the progress indicators associated with each of the measures that make up this Plan. Based on these results, we will be able to assess the progress made and, if necessary, adjust, proposing corrective measures as soon as a situation is identified that justifies it.

By the end of the last quarter of each year, on a date to be set, this person will have to analyze in greater depth the various indicators defined in the Plan for each of the measures and identify any need for adjustments in the event of deviations or aspects for improvement. In the case of 2023, this analysis should take place by the end of the third quarter.

FOOD SECURITY FOR PEACE AND NUTRITION AFRICA

GENDER MAINSTREAMING POLICY

2022

FSPN - AFRICA

Partners Against Hunger

FOOD SECURITY FOR PEACE AND NUTRITION AFRICA

GENDER MAINSTREAMING POLICY

DOCUMENT NO.	FSPN/POL/P00117/08/22
EFFECTIVE DATE	01/08/2022
APPROVED BY	FSPN-AFRICA BOARD OF MANAGEMENT
SIGNED BY: REGIONAL DIRECTOR & SECRETARY TO BOARD	

VISION

A sustainable food system in Africa where all communities live in harmony

STRATEGIC DESTINATION

A world free of hunger

MISSION

To deliver sustainable food and Nutrition security for peaceful coexistence across Africa by promoting partnerships with other stakeholders to support youth and women in Agriculture.

CORE VALUES

Servant leadership & amp; integrity

Innovation

Professionalism

Sustainability

Teamwork

TAGLINE

Partners Against Hunger

PREFACE

It is critical that a gender perspective is incorporated and institutionalized in the operations of Food Security for Peace and Nutrition Africa. Gender mainstreaming is a global strategy for achieving gender equality, a key driver of sustainable economic development. Gender mainstreaming is also essential for securing both men's and women's human rights and social justice. The FSPN-Africa Board of Management has taken cognizance that gender mainstreaming needs to be complemented with inputs designed to address specific gaps faced in the promotion of gender equality.

The launch of this policy has come at a very timely space especially when the global community is advancing gender equality. There has been systematic progress made for women's rights since the adoption of the Beijing Declaration in 1995. Consequently, this particular policy will address the achievement of Agenda 2030 and its Sustainable Development Goals not forgetting the declining economic performance, poverty and erosion of cultural values have resulted in increased incidences of gender-based crime and violence against men and women.

The Policy seeks to narrow the gender gaps within FSPN-Africa and support greater equality between men and women. This is through ensuring equal opportunities for men and women, girls and boys in areas of enrolment, employment, governance, health, education, training, research, and linkages at Food Security for Peace and Nutrition Africa.

This Policy is guided by five principles namely; gender responsiveness and non-discrimination, alignment and accountability to commitments, transparency, participation and inclusion. It is further grounded on the objectives of formalizing commitments to gender mainstreaming, strengthening capacities for gender mainstreaming and integrating gender in planning, budgeting and operations.

The Policy is aligned with relevant national, regional, and international protocols and instruments on gender equality and women empowerment principles; in particular, the National Gender and Development Policy, the Sessional Paper No.5 of 2005 on Gender Equality and Development and the Constitution of Kenya 2010.

On behalf of FSPN Africa Board of Management, it is my pleasure to launch and approve this Policy for use by the Management in the achievement of gender integration, equity, and equality in FSPN-Africa.

Mrs. Irene Jahenda

CHAIRPERSON

FSPN AFRICA BOARD OF MANAGEMENT

FOREWARD

The FSPN-Africa Gender Policy is consistent with the government's efforts of spurrin economic growth and realization of Vision 2030 by harnessing the full potential of human resource. The Policy provides a basis for the Organization to underscore its commitment to addressing any existing gender imbalances by taking into account the different needs and skills of both men and women. The Organization recognizes the value of every individual and is keen to create an environment that respects the diversity of the stakeholders and the realization of each person's potential.

This Gender Policy guides gender-responsive planning, operations, and practices within FSPN-Africa. It sets out strategies for the integration of gender perspectives in the workplace and the challenges of realizing the various objectives. It highlights women's vital contribution throughout agricultural and rural development's political, economic, cultural and family dimensions. It is therefore envisaged that this Policy will provide a framework for the advancement of both men and women for greater efficiency in resource allocation and utilization for the empowerment of all.

The commitment covers broad areas of Gender and Governance, Gender and the Work Environment, Sexual and Gender-Based Violence, Equitable Food Systems, Gender and Linkages and Gender in Relation to Marginalized and Vulnerable Groups. This Policy and its implementation will be subjected to monitoring and review to gauge the degree of satisfaction of all Food Security for Peace and Nutrition Africa stakeholders.

The Management will ensure that the institution promotes equal opportunities for all genders and the full participation of staff and other stakeholders.

Mr. Kalvince Otieno

MANAGING DIRECTOR
FSPN AFRICA BOARD OF MANAGEMENT

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List of Abbreviations (Acronyms)

ABC	Abstinence, Being faithful, Condoms
AIDS	Acquired Immuno-deficiency Syndrome
ASALs	Arid and Semi-Arid Lands
FSPN-Africa	Food Security for Peace and Nutrition Africa
GBV	Gender Based Violence
HIV	Human Immunodeficienc Virus
HOD	Head of Department
KAIS	Kenya Aids Indicator Survey
MD	Managing Director
SH	Sexual Harassment
VCT	Voluntary Counselling and Testing
WHO	World Health Organization.

Definition of Terms

Affirmative Action	Refers to a policy or programme of taking steps to increase the representation of a designated group(s) seeking to redress discrimination or bias through active measures in education and employment.
Gender Based Violence	Refers to any form or act of violence that results in or is likely to result in physical, social, or psychological harm or suffering to women, girls, men, and boys on the basis of gender.
Gender Bias	Refers to attitudes held by people regarding the superiority or inferiority of gender.
Gender Discrimination	Refers to unequal or preferential treatment of individuals or groups on the basis of their gender that results in reduced access to or control of resources and opportunities.
Gender Empowerment	Is a process through which men, women, boys, and girls acquire knowledge, skills, and attitudes to critically analyze their situation and take appropriate action to change the status quo of the underprivileged and other marginalized groups in society.
Gender Equity	Refers to the equal treatment of women and men, girls and boys to ensure that they enjoy the benefits of development including equal access to and control of resources.
Gender Imbalance	Refers to a situation where there is no gender parity.
Gender Mainstreaming	Is a strategy for making women's and men's concerns and experiences an integral dimension in the design, implementation, monitoring and evaluation of policies, programmes, actions and projects at all levels in the social, economic and political spheres.
Gender Disparity	Is the socio-economic index usually designed to measure the relative access to education of males and females.
Gender Responsive	Refers to an action taken to correct gender imbalance.

Gender Sensitization	Is the process of developing people's awareness, knowledge and skills on gender issues.
Gender	Is used to describe those characteristics of women and men which are socially constructed.
Sexual Harassment	Refers to unwanted acts of a sexual nature that causes discomfort to the targeted person. It includes words, persistent requests for sexual favour or dates, gestures, touching, uninvited sexual overtures, coerces sexual intercourse and rape.

CHAPTER ONE

INTRODUCTION AND OVERVIEW

1.1 Background

This policy builds on the National Policy for Gender and Development of 2000, and Sessional Paper No. 2 of 2006 on Gender Equality and Development which envisaged women's empowerment and mainstreaming the needs of women, men, girls and boys in all sectors of development in Kenya so that they can participate and benefit equally from development initiatives. Kenya's National Development plans such as Kenya's Economic Recovery Strategy for Wealth Creation (20032007), Kenya Vision 2030 and the Medium-Term Plans 2008-2012, 2013-2017 and 2018-2022 have also recognized that women should have equal access to opportunities and assets with men for the purpose of sustainable development.

The Ministry of Public Service, Youth and Gender Affairs, specifically the State Department for Gender Affairs finalized the review of the National Policy on Gender and Development following the Executive Order of May 2015 and Executive Order of June, 2018. This was aimed at integrating gender issues emerging from significant national development blueprints such as Kenya Vision 2030, its Second Medium (2013-2017) and Third Medium Term Plan (2018-2022).

1.2 Introduction

Gender mainstreaming is one of the priority areas that the Strategic Plan (2021-2024) of Food Security for Peace and Nutrition Africa (FSPN-Africa) focuses on. A committee to review the policy was constituted in July 2021. The Committee engaged the National Gender and Equality Commission for technical support that included training of the Organization Committee in preparation for the review of the policy.

This Policy includes contributions from a range of stakeholders, State, and non-State Actors, Gender Officers from National Government Ministries, staff from the Organization and the board of management.

1.3 The Purpose for the Policy Review.

A review of the FSPN-Africa Policy on Gender Mainstreaming was undertaken in order to align it to the new legal framework including the Constitution of Kenya. The review aimed at integrating gender issues emerging from significant national development blueprints such as Kenya Vision 2030, its Second Medium (2013-2017) and Third Medium-Term Plan (2018-2022). This Policy includes contributions from the Board of Management, the Management and the staff.

From a survey carried out at FSPN-Africa in 2021, the level of awareness of the concept of gender mainstreaming is at about 50%. This is an indication that there is a need for sensitization and entrenchment of gender mainstreaming practices in the organization. This also calls for a recognition that the provision of medical care will in all areas take cognizance of the various gender needs.

This Policy in the organization will also lead to the establishment of mechanisms to eliminate all gender disparities in access to employment, recruitment, selection, retention, performance evaluation, promotion, training and career development, deployment, budget allocation, and outcomes.

1.4 Policy Statement

The organization is committed to ensuring a gender-sensitive environment and is determined to institute activities and action. To address issues where men and women are disadvantaged. This will be done through the full and equal participation of staff, clients and stakeholders.

The organization strongly supports the following as the basic principles of Gender Mainstreaming: -

- Equalization of Opportunities: All persons will not be disadvantaged based on their gender and will be accorded equal opportunities as guaranteed this policy document
- Involvement: All employees irrespective of their gender are part and parcel of the organization's workforce. They shall be fully included in aspects of work and their special needs met within their area of deployment
- Involvement: All employees irrespective of their gender are part and parcel of the organization's workforce. They shall be fully included in aspects of work and their special needs met within their area of deployment
- Accessibility: Each employee shall be provided with a copy of the policy document for ease of access
- Gender: This policy applies equally to both men and women employees of the organization. The assumption that issues or problems are neutral from a gender equality perspective should however not be made.

1.5 Policy Objectives

Objectives of the Policy are to:

a. Provide a framework to integrate and mainstream gender into the organization governance, planning and budgeting as well as resultant policies, programmes and plans;

b. Define institutional framework and performance indicators for effective tracking, monitoring, evaluation and reporting implementation of gender equality.

c. Ensure that all staff, male and female, understand and promote the concept of gender equality.

d. Ensure compliance with thirty (30) percent Government gender representation policy.

1.6 Rationale for Policy and policy Frameworks

The reviewed Gender Mainstreaming Policy will help in establishing strategies for making the concerns and experiences of women as well as men an integral part of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres so that women and men benefit equally and inequality is not perpetuated.

1.7 Policy Goal

The overall goal of this policy is to achieve gender equality by creating a just environment where the stakeholders, women and men, have equal access to opportunities at Food Security for Peace and Nutrition Africa.

1.8 Scope of the Policy

The Policy will apply specifically and directly to Food Security for Peace and Nutrition Africa. This Policy aims at achieving equality of opportunity and outcomes with respect to access to and control of FSPN-Africa resources and services; and equality of treatment that meets the specific and distinct needs of different categories of women and men.

The policy also covers broad areas of Gender and Governance, Gender and the Work Environment, Sexual and Gender-Based Violence, Gender and HIV/AIDs, Gender Responsive Health Services, Gender and Linkages and Gender in Relation to Marginalized and Vulnerable Groups.

1.9 The Gender Mainstreaming Committee

The Organization Management is aware that successful implementation and realization of the policy objective will require strong administrative structures and adequate resources. In this respect, the organization has established a Gender Mainstreaming Committee/Champions whose terms of reference include: -

a Networking - Network and collaborate with other institutions for update on new developments and awareness creation.

i Co-ordination - Ensure good coordination for effective implementation of the provision of this policy.

ii Policy review – Formulation of new policy guidelines to conform to national policy on gender mainstreaming.

iii Monitoring and evaluation – Continuously monitor the gender mainstreaming activities in the organization.

iv Reporting - Preparation and submission of quarterly reports to the Management indicating the level of Gender mainstreaming in the organization.

v Deal with any other matter that is incidental to gender mainstreaming in the Organization

1.10 Legal/ Administrative Framework

The Constitution of Kenya and other relevant legislation will be applied in ensuring gender mainstreaming in all sections of the Organization. Such applicable legislations are:

a) Constitution of Kenya, 2010.

b) National Gender and Development Act.

c) Offences Act.

d) The Penal Code.

e) National Gender and Development Policy, 2000.

f) Gender Equality and Development Sessional Paper No. 5 of 2005.

g) Poverty Reduction Strategies Paper, 2001 – 2004.

h) Economic Recovery Strategic Paper, 2003 – 2007

i) United Nations Universal Declaration of Human Rights, 1948.

j) Convention on the Elimination of all Forms of Discrimination of Human Rights, 1979.

k) Applicable FSPN-Africa Policies and Procedures.

- Gender and Linkages
- Gender and HIV/AIDS
- Gender-Based Violence
- Gender and Governance
- Gender and the Working Environment
- Gender Responsive Community Services
- Gender in Relation to Marginalized and Vulnerable Groups

CHAPTER TWO

THEMATIC AREAS AND KEY ISSUES

2.0 Introduction

This section provides an overview of the critical thematic areas that the Organization will focus on. A range of gender-related challenges and priorities are identified in each thematic area, that impact gender in the organization environment.

2.1.1 Gender and Governance

The Organization shall aim to promote equity and equality amongst staff and other stakeholders within its environment. FSPN-Africa is an equal opportunity employer that has succeeded in appointing women to top decision-making positions in a bid to realize the two-thirds gender rule. Women and men will equally participate in governance by having them express their concerns and prepare themselves for an active role in the governance of the Organization.

The Organization will endeavor to ensure equal representation of men and women in decision-making processes. This will be achieved through the promotion of gender-responsive activities in governance; strengthening the existing institutional structures; enabling men and women to participate in governance in a supportive environment and monitoring the implementation of all programs.

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2.1.2 Gender and the Working Environment

The Organization undertakes to provide a conducive working environment by putting in place adequate, appropriate and gender-responsive facilities. There is a need to be sensitive to the needs and concerns of males and females including persons with special needs. This Policy aims at building an open and better working environment for men and women where the well-being of all is safeguarded at all times.

Under Gender and the working environment, the organization will encourage commitment to mainstreaming the promotion of gender equality in everyday work by both words and actions; support networking between women and men across FSPN-Africa; train and sensitize all stakeholders to change attitudes and behaviour patterns towards gender relations; encourage mentality change in the way the various stakeholders relate to one another; enhance health and safety facilities to meet maximum workplace standards; enact regulations to discourage drug and substance abuse; Provide support services and institute disciplinary procedures to deter pornography, personal slur, repeated indecent propositions of sexual themes or jokes,

and prejudicial treatment; collect data periodically on gender interactive relations and gender roles to put in place remedial procedures to achieve equality in all activities; encourage sharing of knowledge and experiences among stakeholders and institutionalize monitoring and evaluation for progress and impact assessment.

2.1.3 Gender Based Violence

Sexual and Gender-Based Violence (SGBV) is based on socially ascribed gender differences between men and women which define power relations between men and women regarding who makes decisions and who owns resources.

Food Security for Peace and Nutrition Africa is committed to eliminating Gender- Based Violence (GBV). The Organization recognizes that any form of GBV is punishable under the Sexual Offences Act of 2009. For this reason, FSPN-Africa shall have zero tolerance for GBV at all organizational levels, be it formal or informal and/or at an individual level. FSPN-Africa is committed to creating and maintaining a conducive working environment, free from any forms of GBV. The Gender Mainstreaming Policy arguments the Gender-Based Violence Policy initiatives to deter any incidence of Gender-Based Violence in the work place.

2.1.4 Gender and HIV/AIDS

The Organization is alive to the reality of HIV/AIDS and acknowledges that there is a need to develop urgent measures aimed at assisting both the infected and affected staff and other stakeholders. Effective strategies under this include: openly discussing HIV/AIDS and sexuality issues with staff and other stakeholders; advocating for positive behaviour change and the ABC of HIV/AIDS prevention; developing appropriate HIV/AIDS prevention materials for use by the organization community; building capacity of staff in life skills with special focus on HIV/AIDS.

2.1.5 Gender Responsive Community Services

In terms of gender, women have more needs than men due to their reproductive and ascribed gender roles. FSPN Africa will adopt various strategies to ensure the provision of gender-responsive services by creating an enabling and supportive environment in community service delivery.

The Organization will undertake a gender analysis of the existing operational policy guidelines to identify gender gaps and put in place mechanisms to address the gaps; enhance capacity to address gender issues in health provision; strengthen the existing institutional structures, process and develop new ones for gender mainstreaming in community programs and projects provision; mainstream gender in the Organization to ensure gender responsiveness in all its programmes and activities and establish a plan

to monitor implementation of gender-responsive and quality health services in the Organization.

2.1.6 Gender and Linkages

Institutional gender mainstreaming cannot be achieved in isolation. It is important for FSPN Africa to establish networks and linkages with relevant agencies in the implementation of the Gender Policy.

In an effort to mainstream gender in programmes and activities, FSPN Africa will collaborate with the local community, through outreach programmes, holding seminars, conferences and workshops on identified themes where the members of the community, staff and other stakeholders will share experiences and learn from one another.

2.1.7 Gender in Relation to Marginalized and Vulnerable Groups

Staff and other stakeholders belonging to marginalized and vulnerable groups are mainly from ASALs, informal settlements, orphans, disabled and displaced groups. People living with disabilities face challenges related to mobility and access to health.

The FSPN Africa Gender Mainstreaming Policy aims at increasing participation and attainment of gender equity by vulnerable and marginalized groups. Furthermore, the The policy seeks to increase access, retention, transition and performance among these groups at FSPN-Africa.

The organization commits to sensitizing the FSPN Africa fraternity on the special needs of staff members and other stakeholders with disabilities; carry out needs assessment among these groups as a base to establish appropriate mechanisms to address their general problems.

CHAPTER THREE

MONITORING AND EVALUATION

3.0 Introduction

The M& E framework will enable the Organization to monitor the implementation of this policy. This will take into account the internal and external environment that may affect the implementation of this Policy.

3.1 Monitoring and Evaluation Framework

3.1.1 Responsibilities for Implementation, Monitoring and Evaluation

The responsibilities for implementation, monitoring and evaluation are as follows;

No	Tasks	Responsibility
1.	Resource allocation, receiving M&E reports, providing feedback and taking action	MD and Board of Management
2.	Receiving and providing feedback on quarterly reports.	Admin
3.	Sensitization of staff on the Gender Policy.	Gender Champions
4.	Implementation of the Policy, preparation and submission of quarterly reports, receiving feedback and implementing decisions.	Operations Office
5.	Design M&E tools, supervise data collection, analyze data and generate M&E reports	RPD
6.	Implement and ensure compliance to the Policy.	All Directors, HODs and Gender Champions

3.1.2 Reporting

The M&E framework will generate the following reports:

i) Quarterly Reports: The gender Mainstreaming Committee shall be required to submit quarterly reports to the Gender and Equality Committee and Management.

Among other issues, the reports will address:

- Advertisement of positions.
- Recruitment

- Creation, classification or abolition of posts.
- Determination or allocation of wages, salaries, pension, accommodation, leave or such other benefits.
- The choice of persons for post-training advancement, transfer, promotion or retrenchment.
- Provision of facilities related to or connected with employment or
- Any other matter related to employment.

ii) Annual Compliance Performance Report: The M& E shall develop an annual compliance performance report and submit it to the management. The report will be validated by stakeholders to:

a) Obtain stakeholder insight on the information generated;

b) Mitigate bias through discussion of the information generated with key implementers;

c) Generate consensus on the findings and gaps;

d) Strengthen ownership and commitment to M&E activities; and

e) Increase Policy compliance level.

3.2 Review of Policy

This Policy shall be reviewed every 3 years unless circumstances dictate for an earlier review.

GENDER MAINSTREAMING COMMITTEE MEMBERS

1. Mrs. Irene Jahenda - Chairperson
2. Ms. Sharon Chacha - Secretary
3. Mr. Hamis Said Hincha - Member
4. Mr. Alfred Akwany - Member
5. Mr. Benadict Isiaho - Member

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Regina Böckler
Zentrale Gleichstellungsbeauftragte der Fraunhofer-Gesellschaft

MANAGEMENT SUMMARY
Gesamt-BfC-Bericht – Berichtsjahr 2021

VORBEMERKUNG

Jährlicher BfC-Bericht
Management Summary für das Berichtsjahr 2021 mit Blick auf die Entwicklung seit 2017

Die Beauftragten für Chancengleichheit (BfC) erstellen unter Federführung und Verantwortung der Zentralen Gleichstellungsbeauftragten (GB) seit 2013 jeweils in der ersten Jahreshälfte einen BfC-Bericht für ihr Institut über das abgelaufene Jahr. Der BfC-Bericht hilft Handlungsbedarfe zu erkennen und geeignete Maßnahmen abzuleiten. Damit ist er eine wichtige Grundlage für die Gleichstellungsarbeit aller Akteurinnen und Akteure am Institut. Der BfC-Bericht soll und darf keinesfalls als Leistungsbewertung der BfC dienen. Die Gleichstellung von Frauen und Männern liegt in der Verantwortung des Arbeitgebers/der Arbeitgeberin. Die BfC unterstützt ihn/sie dabei und dokumentiert mit dem jährlichen BfC-Bericht den aktuellen Stand am Institut bzw. der Einrichtung sowie die Entwicklung über die Jahre. Damit dient der BfC-Bericht als Basis für Gespräche der IL/VL mit der BfC.

Die Daten des Institutsberichtes erhalten die BfC in Form von Exceltabellen mit entsprechender grafischer Aufbereitung. Die BfC kann diese Daten und Grafiken für die Veranschaulichung von Entwicklungen und Verbesserungspotentialen einsetzen.

Zusätzlich wird jede BfC gebeten, sich über einen personalisierten Teilnahmelink an der Online-Befragung für die Erstellung des Gesamtberichtes zu beteiligen. Ein Team des Fraunhofer IAO unter der Leitung von Michaela Friedrich erstellt aus den dabei eingegangenen Daten die jährliche Präsentation (mit anonymisierten Daten) zur Situation der Chancengleichheit bei Fraunhofer und deren Entwicklung über die Jahre hinweg.

Die abgestimmte Aufbereitung der Daten ermöglicht den BfC eine vergleichende Darstellung der Ergebnisse ihres Instituts mit denen des angehörenden Verbundes und von Fraunhofer insgesamt.

Ziele, Nutzen und Nutzung

Ziele und Aufgaben der BfC sind Beratung, Mitwirkung sowie Unterstützung bei Maßnahmen zu den Themen:

- Berufliche Chancengleichheit von Frauen und Männern
- Vereinbarkeit von Beruf und Privatleben
- Schutz vor sexueller Belästigung am Arbeitsplatz

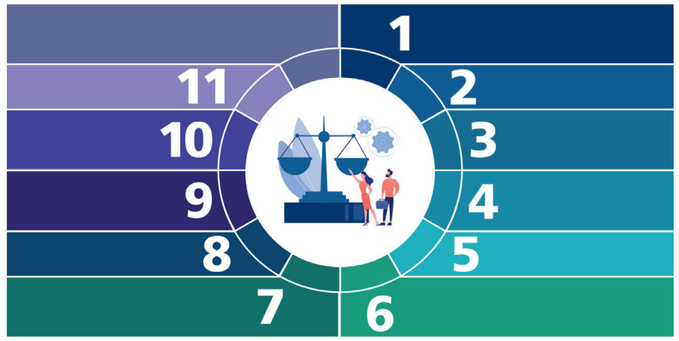
Mit der Etablierung des jährlichen BfC-Berichts an den Instituten und des Gesamt-BfC-Berichts für Fraunhofer soll auf Basis der erhobenen Daten und Fakten ein Beitrag zur verbesserten Umsetzung dieser Ziele geleistet werden. Mit den BfC-Berichten verknüpfen sich folgende Ziele und Erwartungen:

- Dokumentation des jeweiligen IST-Zustandes
- Darstellung der Entwicklung im Laufe der Jahre
- Sichtbarmachen der Aktivitäten und Erfolge
- Handlungsbedarfe erkennen und geeignete Maßnahmen ableiten
- Information, Sensibilisierung und Einbindung aller Mitarbeitenden
- Steigerung der Attraktivität der Fraunhofer-Institute als Arbeitgeber, insbesondere für Frauen
- Sichtbarmachen und Wertschätzung der Arbeit der BfC

Durch die Einführung institutsspezifischer Maßnahmen soll eine **Verbesserung der Rahmenbedingungen für Wissenschaftlerinnen und weibliche Führungskräfte** und damit verbundene **Steigerung der Attraktivität der Fraunhofer-Gesellschaft als Arbeitgeberin** erreicht werden, was letztendlich zu einer **Erhöhung der fachlichen Qualität der Forschung** führt.

Regina Böckler
Zentrale Gleichstellungsbeauftragte
der Fraunhofer-Gesellschaft

Inhalt



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Allgemeine Angaben

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Themenfelder der BfC-Berichte

Teilhabe von Frauen in der Fraunhofer-Gesellschaft
Geschlechterverteilung bei z.B.
- Verschiedenen Beschäftigtengruppen
- Personellen Einzelmaßnahmen
- Prämien und Zulagen
- Fort- und Weiterbildungsmaßnahmen

Angaben zur Stellung und zum Arbeitsumfeld der BfC
- Stellvertretung
- Zugehörigkeit zu einer Regionalen Gruppe
- Teilnahme an Fortbildung(en)
- Integration in Bewerbungsprozesse
- Teilnahme am ILA
- Existenz einer Frauenversammlung
- Zusammenarbeit mit dem Betriebsrat
- Kommunikation der Ergebnisse

Highlights im Berichtsjahr im Bereich Chancengleichheit
- Erstmalige Durchführung einer Veranstaltung oder Maßnahme (Highlight)

Förderprogrammen, Karriere-Entwicklungsmaßnahmen, Nachwuchsförderung
- Anzahl der Frauen in Fraunhofer-spezifischen Programmen

Maßnahmen zur Vereinbarkeit von Beruf und Privatleben am Institut
Fragen nach z.B.
- flexiblen Arbeitszeitmodellen, Telearbeit und Kinderbetreuung
- Kontakt während der Elternzeit
- Mit-Kind-Arbeitsplätze

Weitere Maßnahmen zur Förderung von Mitarbeiterinnen
- Fragen nach weiteren Maßnahmen zur Förderung von Frauen und/oder zur Erhöhung des Frauenanteils (z.B. Workshops für gendergerechtes Führen, für gendergerechte Personalauswahl)

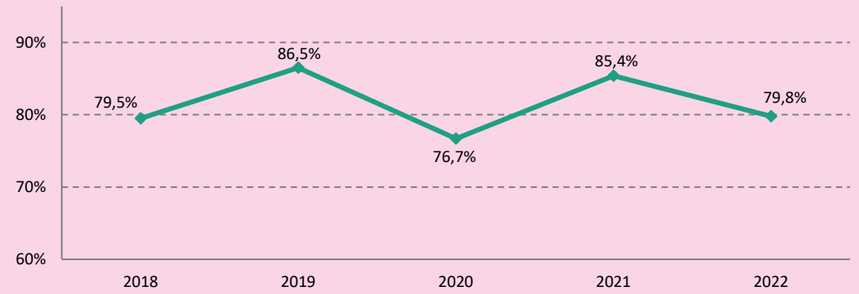
Wie schätzt die BfC die Chancengleichheit von Frauen und Männern an ihrem Institut ein?
Einschätzungen der BfC z. B.
- im Hinblick auf die Erfüllbarkeit der Zielzahlen zum Frauenanteil
- Akzeptanz der BfC-Arbeit am Institut
- Fälle von sexueller Belästigung am Arbeitsplatz

Zusatzfragen zur Corona-Pandemie
- Einbindung der BfC in den Krisenstab
- Umgang mit der besonderen Situation aufgrund der Probleme währende der Corona-Pandemie (Probleme und Lösungsansätze)

Weitere Unterstützung für die BfC
- Welche Unterstützung wünscht sich die BfC von der Zentrale, der Zentralen Gleichstellungsbeauftragten bzw. vom Institut

Lob, Kritik und Anregungen

Abb. 1 Beteiligung der BfC am Gesamt-BfC-Bericht in den Jahren 2018 - 2022 (Berichtsjahr 2017 - 2021)



Rahmendaten

Zeitraum der Befragung:
- 2. Februar bis 29. März 2022

Beteiligung
- 71 von 89 BfC (79,8%)

Format des Berichts
- Anonymisierte Auswertung
- Zusammenfassung der Ergebnisse durch das Fraunhofer IAO
- PowerPoint-Präsentation (111 Folien + 34 Folien im Anhang)

Teil A des Gesamt-BfC-Berichts
Die Daten für Teil A des Gesamt-BfC-Berichts wurden vom zentralen Personalcontrolling für alle Kostenstellen (N = 115) an das Fraunhofer IAO übermittelt

Teil B des Gesamt-BfC-Berichts
- Die Daten aus der Online-Befragung stammen von den Angaben der 71 BfC, die sich an der Online-Befragung beteiligt haben (z. T. mit Freitextfeldern)
- Die Teilnahme und Beantwortung der Fragen ist für die BfC freiwillig
- Die Anzahl der abgegebenen Antworten kann von Frage zu Frage variieren und werden im Bericht angegeben mit N = x ($x \leq 71$)

Inhalt Management Summary – Entwicklungen im Laufe der Jahre

Im vorliegenden **Management Summary** finden sich die wichtigsten Inhalte des Gesamt-BfC-Berichts für das Berichtsjahr 2021. Der Großteil der im Text genannten Ergebnisse wird zusätzlich grafisch dargestellt.

Darüber hinaus wird die Entwicklung der letzten fünf Jahre (2017 - 2021) anhand der **zeitlichen Verläufe dargestellt**. Die Daten zur Teilhabe von Frauen im **Teil A** beziehen sich durchweg auf alle Institute bzw. Kostenstellen und sind somit über die Jahre vergleichbar.

Mit den Daten zu **Teil B** werden die Entwicklungstendenzen aufgezeigt. **Diese Daten sind über die Jahre nicht direkt vergleichbar**, weil sie jeweils aus den Angaben der an der Online-Befragung beteiligten BfC resultieren, d.h. die Bezugsgröße ändert sich jeweils entsprechend der Teilnahmequote der BfC (s. Rahmendaten → Beteiligung). Außerdem werden in Teil B teilweise subjektive Einschätzungen der BfC wiedergegeben.

Kontakt

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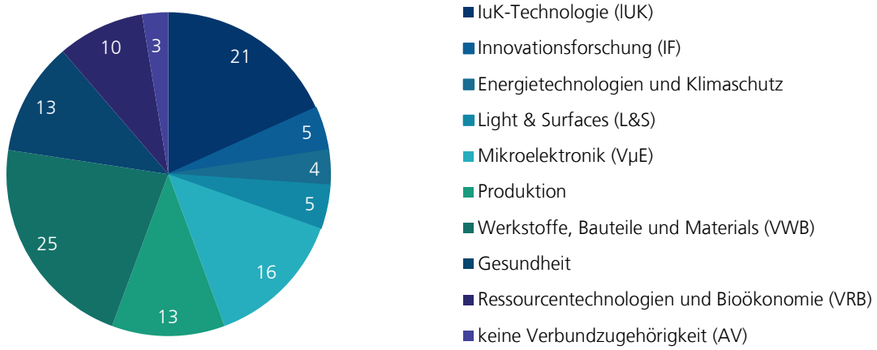
Ergebnisse zu Teil A

Zugehörigkeit zu den Verbünden

Zur fachlichen Abstimmung innerhalb der Fraunhofer-Gesellschaft und zur Bündelung von Kernkompetenzen sind die Fraunhofer-Institute in thematisch orientierten Verbünden organisiert. Abbildung 2 zeigt die Verteilung der Fraunhofer-Institute auf die einzelnen Verbünde. Sieben Institute gehören zudem dem Verbund der Verteidigungs- und Sicherheitsforschung an.

Abb. 2 Angaben zu den Instituten – Verbundzugehörigkeit der Kostenstellen (Anzahl der Kostenstellen je Verbund, N=115)



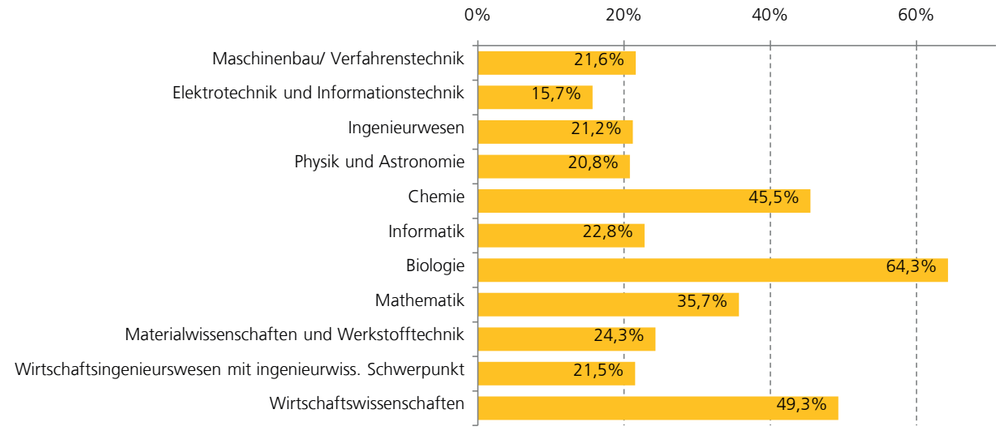
Ergebnisse zu Teil A

Fächergruppen

Abbildung 3 zeigt den Absolventinnenanteil in Deutschland im Jahr 2020. Die Reihenfolge in diesem Diagramm entspricht der Reihenfolge der elf wichtigsten Fächergruppen bei Fraunhofer.

Die Angaben zu den Absolventinnenanteilen in Deutschland basieren auf der Publikation »Bildung und Kultur. Prüfungen an Hochschulen 2020« des Statistischen Bundesamtes (Statistisches Bundesamt 2021). Die hier abgebildeten Zahlen für das Jahr 2020 wurden vom Zentralen Personalcontrolling in München bereinigt und für Fraunhofer aufbereitet. Die Zahlen für das Jahr 2021 lagen zum Zeitpunkt der Erstellung des Gesamt-BfC-Berichts noch nicht vor. Da die Zahlen über die Jahre nur wenig schwanken, können sie dennoch für einen Vergleich mit den aktuellen Fraunhofer-Zahlen herangezogen werden.

Abb. 3 Absolventinnenanteil in Deutschland im Jahr 2020, bestandene Prüfungen insgesamt (Quelle: Statistisches Bundesamt*)



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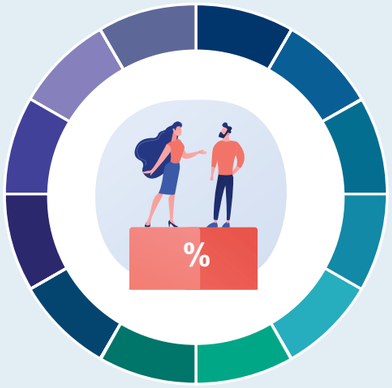
Teilhabe von Frauen



Frauenanteil – Daten zum Stichtag 31.12.2021

35,5% des wissenschaftlichen, technischen und administrativen Personals (WTA) an den Instituten, also in etwa ein Drittel, sind weiblich (nicht berücksichtigt sind hierbei Diplomand/-innen, Studierende, Schüler/-innen sowie Auszubildende).

Von den insgesamt 7688 Frauen sind 49,9% in der Wissenschaft und 50,1% in der Nicht-Wissenschaft beschäftigt.

Der durchschnittliche Frauenanteil weist in unterschiedlich großen Instituten keine signifikanten Abweichungen auf.

Der Frauenanteil bei den wissenschaftlich Beschäftigten erreichte in 2021 erstmalig einen Wert über 25%. Er hat sich im Laufe von vier Jahren von 23,7% auf 25,2% leicht erhöht. (Abb. 4). Bezogen auf alle Beschäftigte war auch in 2021 der Frauenanteil im Bereich Wissenschaft mit 25,2% deutlich kleiner als im nicht-wissenschaftlichen Bereich mit 60%.

Im Teil B des Berichts wurden die Daten zu »sonstiges Personal« (abgeschlossene Bachelor-, Diplom-, Masterarbeiten oder Promotionen) erfasst, welche in den bisherigen Darstellungen nicht berücksichtigt sind. Die Daten hierzu konnten nicht zentral bereitgestellt werden und wurden deshalb im Rahmen der BfC-Befragung erfasst. Hier zeigt sich, dass es eine minimale Steigerung der Frauenanteile beim wissenschaftlichen Nachwuchs im Vergleich zum Vorjahr gibt. Am deutlichsten war der Anstieg bei den in Arbeit befindlichen Promotionen. Der Anteil der Doktorandinnen stieg um knapp zwei Prozentpunkte (von 26,7% in 2020 auf 28,6% in 2021). Der Frauenanteil der im Berichtsjahr an den Instituten der befragten BfC abgeschlossenen Promotionen lag bei 27,7%. Bei den sonstigen betreuten Diplomand/-innen, Studierenden oder Schüler/-innen ohne Arbeitsvertrag betrug der Frauenanteil 31,5% und bei den in 2021 abgeschlossenen Bachelor-, Diplom- und Masterarbeiten lag er bei 25,9%.

Leaky Pipeline

Die Leaky Pipeline beschreibt das Phänomen, dass mit steigender Qualifikation die Frauenanteile sinken und die Männeranteile steigen. Sie kann als Gradmesser für die Chancengleichheit einer (wissenschaftlichen) Organisation betrachtet werden.

Abbildung 5 zeigt einen weiteren Anstieg der Frauenanteile im wissenschaftlichen Bereich über die letzten Jahre auf allen Qualifikationsstufen: In der Führungsebene 1 erreicht der Frauenanteil in 2021 erstmals knapp 10%, in der Führungsebene 2 (ab EG 13 aufwärts) liegt er bei 16,8%. Wissenschaftlerinnen ohne Führungsfunktion stellen 22,7% (ab EG 13 aufwärts) bzw. 31,6% (ab EG 12 abwärts) des wissenschaftlichen Personals.

Insgesamt können im Bereich Wissenschaft in den letzten Jahren und in allen Qualifikationsstufen weitere Anstiege der Frauenanteile beobachtet werden – ein Hinweis, dass der eingeschlagene Weg weiterverfolgt werden muss. Wie die Grafik zeigt, bedarf es zur Erreichung der Zielzahlen in 2025 deutlichere Steigerungen. Deshalb sollten weitere Anstrengungen erfolgen und z.B. strukturelle Maßnahmen ergriffen werden, um eine höhere Repräsentanz von Frauen, insbesondere in Führungspositionen, zu erreichen.

Abb. 4 Zeitlicher Verlauf der Frauenanteile – insgesamt sowie in den Bereichen Wissensaft und Nicht-Wissenschaft

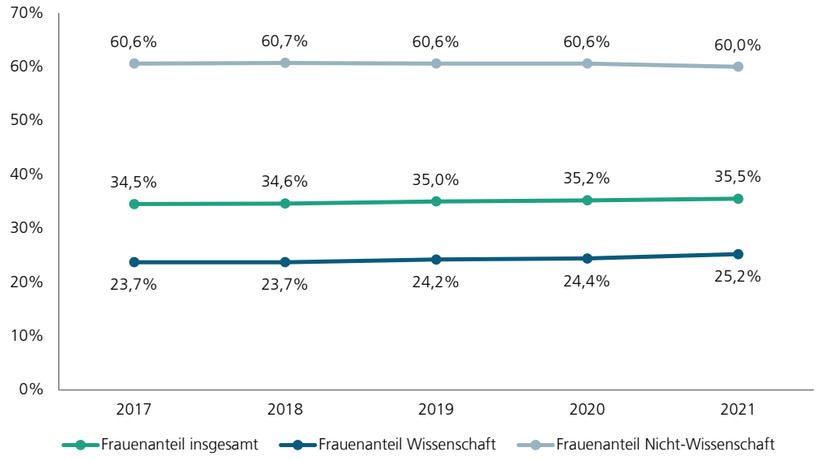
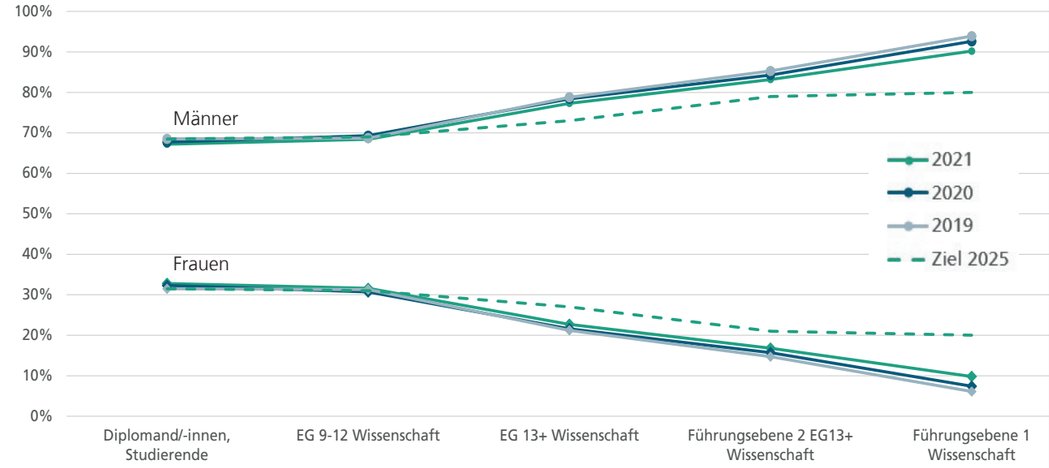


Abb. 5 Leaky Pipeline im Bereich Wissenschaft



Geschlechterverteilung bei unbefristeten und befristeten Stellen

Bereich Wissenschaft

In Abbildung 6 ist zu erkennen, dass die Frauenanteile in den höheren EG-Stufen abnehmen (s. Abb. 5, Leaky Pipeline). Gleichzeitig zeigt sich, dass in der EG 13+ (Wissenschaft) – gemessen am Frauenanteil in dieser EG – Frauen überproportional befristet beschäftigt sind. Daneben ist bei den unbefristeten Verträgen der Frauenanteil mit 18,7% um vier Prozentpunkte niedriger als der Frauenanteil in dieser EG-Stufe (EG 13+, Wissenschaft).

Abbildung 7 zeigt den zeitlichen Verlauf der Frauenanteile in der EG 13+, Wissenschaft sowie der Frauenanteile in dieser EG-Stufe mit befristeten und unbefristeten Verträgen. Trotz einer leicht positiven Tendenz über die Jahre sind die Abstände – mehr Frauen befristet, weniger Frauen unbefristet – nahezu gleich geblieben. Der Anteil an Frauen mit befristeten Verträgen liegt seit 2017 ca. 3 Prozentpunkte höher als der Frauenanteil in dieser EG-Stufe. Bei den unbefristeten Verträgen lag der Unterschied zu den Frauenanteilen 2017 noch bei 5% und hat sich in den Folgejahren geringfügig auf zuletzt 4% verringert.

Abb. 6 Frauenanteile befristet & unbefristet (Wissenschaft)

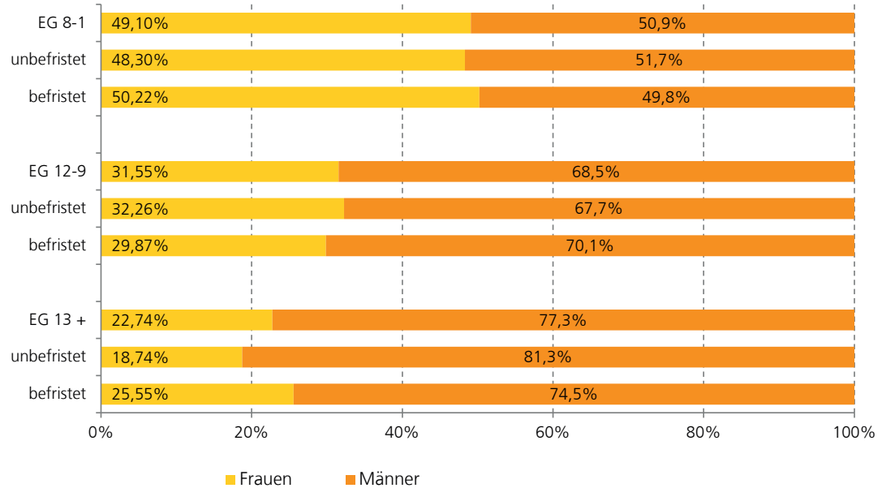
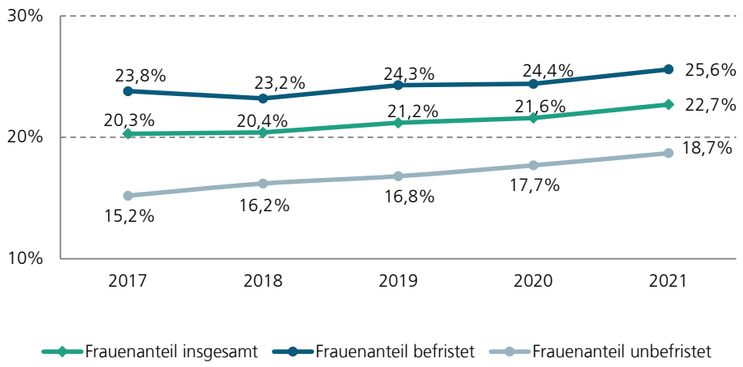


Abb. 7 Zeitlicher Verlauf der Frauenanteile befristet & unbefristet (EG13 aufwärts, Wissenschaft)



Bereich Nicht-Wissenschaft

Im nicht-wissenschaftlichen Bereich sind deutlich mehr Frauen als Männer beschäftigt. Der höchste Frauenanteil ist mit 62% in den mittleren EG-Stufen (EG12-9) zu finden. Abbildung 8 zeigt die Frauen- und Männeranteile bei den befristeten und unbefristeten Stellen im Vergleich zum jeweiligen Frauen- bzw. Männeranteil in diesen EG-Stufen.

In den niedrigen EG-Stufen haben, gemessen am Frauenanteil in dieser EG-Stufe, mehr Frauen einen unbefristeten und weniger einen befristeten Vertrag. In den mittleren EG-Stufen ist das Verhältnis ausgeglichen.

In den Gehaltsstufen EG13+ ist der Frauenanteil mit knapp 62% bei den befristeten Verträgen überproportional höher und liegt mehr als sieben Prozentpunkte über dem Frauenanteil in diesen EG-Stufen.

Im zeitlichen Verlauf der EG 13+, Nicht-Wissenschaft – Abbildung 9 – ist zu sehen, dass sich dieser Unterschied in den letzten Jahren vergrößert hat. In 2018 entsprachen die Frauenanteile sowohl bei den befristeten als auch den unbefristeten Beschäftigungsverhältnissen dem Frauenanteil in diesen EG-Stufen. Während sich diese Tendenz bei den unbefristeten Verträgen in den Folgejahren verstetigt hat, hat sich der Anteil der Frauen mit befristeten Verträgen wieder signifikant erhöht.

Abb. 8 Frauenanteile befristet & unbefristet (Nicht-Wissenschaft)

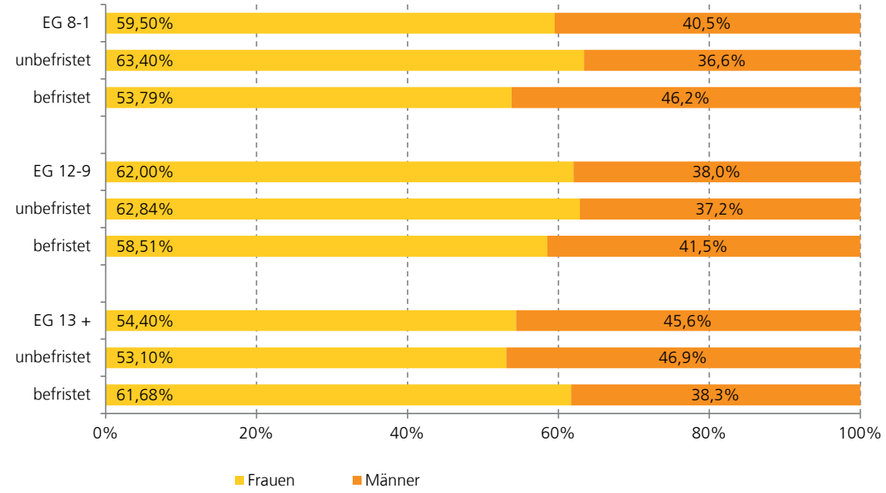
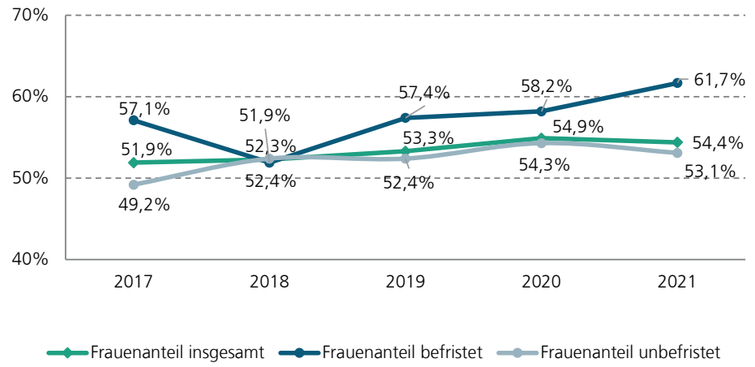


Abb. 9 Zeitlicher Verlauf der Frauenanteile befristet & unbefristet (EG13 aufwärts, Nicht-Wissenschaft)



Geschlechterverteilung bei Neueinstellungen und Austritten

Etwa 39% des neu eingestellten wissenschaftlichen, technischen und administrativen Personals (inkl. Studierende und Auszubildende) war im Berichtsjahr weiblich. Der Frauenanteil bei den Neueinstellungen lag damit höher als bei den Austritten. Dieser lag bei nahezu 33% (s. Abb. 10).

Insgesamt bewegt sich der Frauenanteil bei den Neueinstellungen in den letzten fünf Jahren auf gleichbleibendem Niveau. In 2021 wurde in etwa gleich viel weibliches Personal eingestellt wie im Vorjahr (Abb. 11).

In den Jahren 2017 bis 2019 entsprachen die Frauen- und Männeranteile bei den Austritten in etwa der prozentualen Verteilung beim Gesamtpersonal und haben sich nur geringfügig geändert. In den Jahren 2020 und 2021 ist der Frauenanteil bei den Austritten gesunken und lag zuletzt um knapp drei Prozentpunkte niedriger als der Frauenanteil beim Gesamtpersonal (Abb. 11).

Abb. 10 Geschlechterverteilung bei Neueinstellungen und Austritten (WTA, inkl. Studierende und Auszubildende)

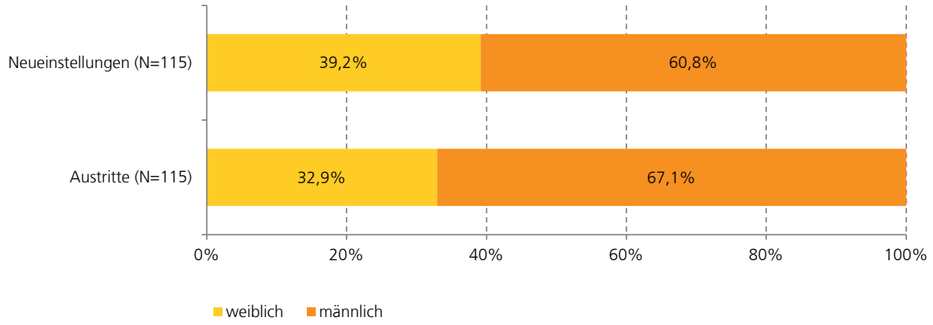
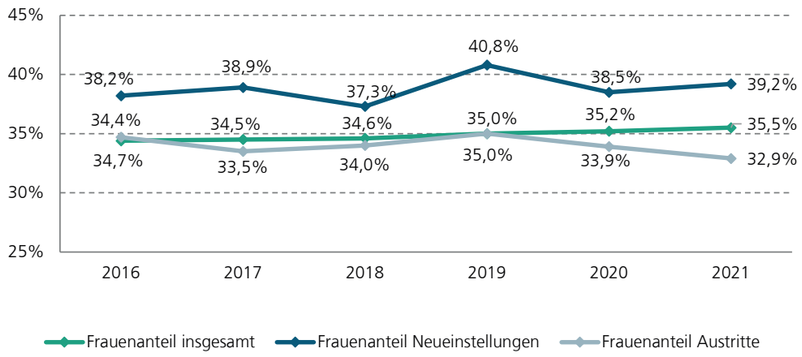


Abb. 11 Zeitlicher Verlauf der Frauenanteile bei den Neueinstellungen und Austritten (WTA, inkl. Studierende und Auszubildende)



Geschlechterverteilung der WTA in den Verbünden

Abbildung 12 zeigt die Geschlechterverteilung beim WTA in den Verbünden. In den meisten Verbünden liegt der Frauenanteil in etwa zwischen 27% und 35%.

Die höchsten Frauenanteile weisen die Verbünde Gesundheit, Innovationsforschung, Ressourcentechnologien und Bioökonomie sowie die Kostenstellen, die keinem Verbund zugeordnet sind (außerhalb von Verbünden), auf.

Geschlechterverteilung bei Führungskräften nach Verbünden

Abbildung 13 zeigt die normierte Anzahl weiblicher Führungskräfte je 100 Mitarbeiterinnen bzw. männlicher Führungskräfte je 100 Mitarbeitern (WTA, Wissenschaft und Nicht-Wissenschaft gesamt; unabhängig der jeweiligen Führungsebene). Insgesamt und auch beim Blick in die einzelnen Verbünde gibt es – jeweils normiert auf einhundert Beschäftigte (m/w) – deutlich weniger weibliche als männliche Führungskräfte. Dies gilt auch für die Verbünde, die ein ausgewogenes Geschlechterverhältnis bzw. einen höheren Frauenanteil am Gesamtpersonal aufweisen.

Abb. 12 Geschlechterverteilung in den Verbünden (WTA)

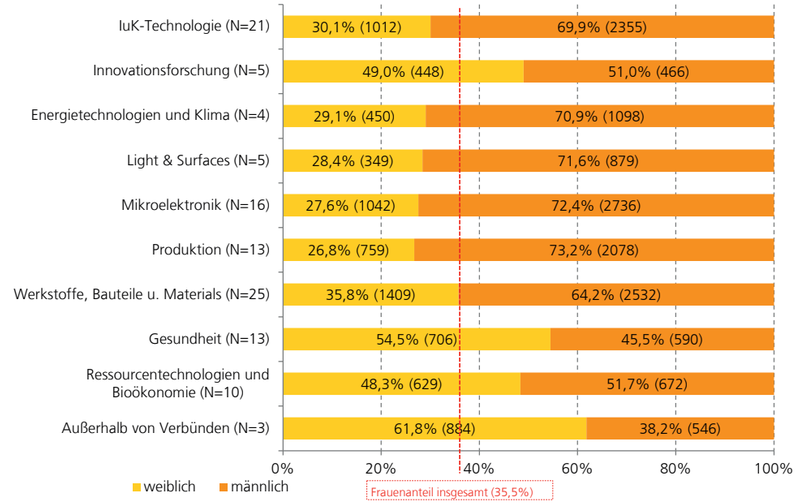
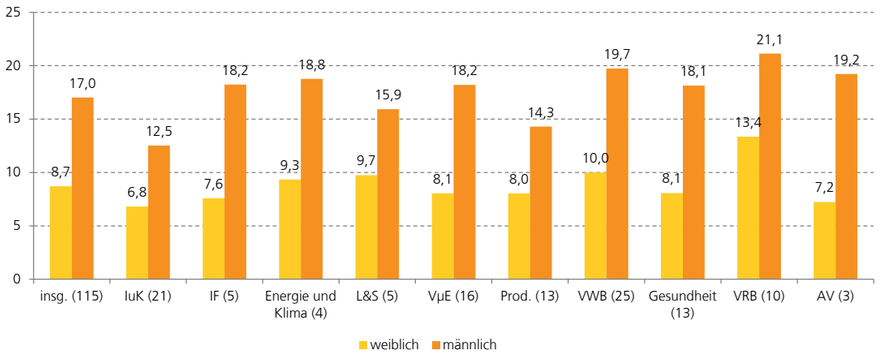


Abb. 13 Normierte Anzahl weiblicher Führungskräfte je 100 Mitarbeiterinnen bzw. männlicher Führungskräfte je 100 Mitarbeitern (WTA, unabhängig von der jeweiligen Führungsebene) in den einzelnen Verbünden



Geschlechterverteilung bei Sonderzahlungen

Abbildung 14 zeigt die Geschlechterverteilung bei den Sonderzahlungen im Berichtsjahr 2021. Der Anteil weiblicher Zulagenberechtigter an den Zulagenberechtigten gesamt lag bei 32,4% und ist damit nochmals leicht angestiegen. Die Anzahl der weiblichen Zulagenberechtigten liegt unterhalb des Frauenanteils aller WTA.

Bezogen auf den Frauenanteil unter den Berechtigten erhalten Frauen seltener Sonderzahlungen als Männer.

Leistungszulagen

Unter den Mitarbeitenden, die im Berichtsjahr Leistungszulagen erhalten haben, sind 31,8% Frauen.

Die Summe der im Berichtsjahr ausgezahlten Leistungszulagen an Frauen lag bei etwas über 27%. Obwohl damit die ausbezahlten Summen im Vergleich zu den Vorjahren weiter angestiegen sind, bleibt der Anteil, der an Frauen ausbezahlt wurde nach wie vor niedriger als der Anteil, der an männliche Beschäftigte ausbezahlt wurde (s. Abb. 15).

Exzellenzprämien

Von den Personen, die im Berichtsjahr Exzellenzprämien erhalten haben, waren etwa 29% weiblich, was einer deutlichen Steigerung im Vergleich zu den Vorjahren entspricht.

Von den insgesamt in 2021 für Exzellenzprämien ausbezahlten Summen ging etwa ein Viertel an Frauen. Das heißt, es haben zwar deutlich mehr Frauen eine Zulage erhalten, als dies in den Vorjahren der Fall war. Insgesamt erhalten die Frauen jedoch nach wie vor niedrigere Summen als Männer. Dieser Unterschied hat sich 2021 im Vergleich zum Vorjahr vergrößert.

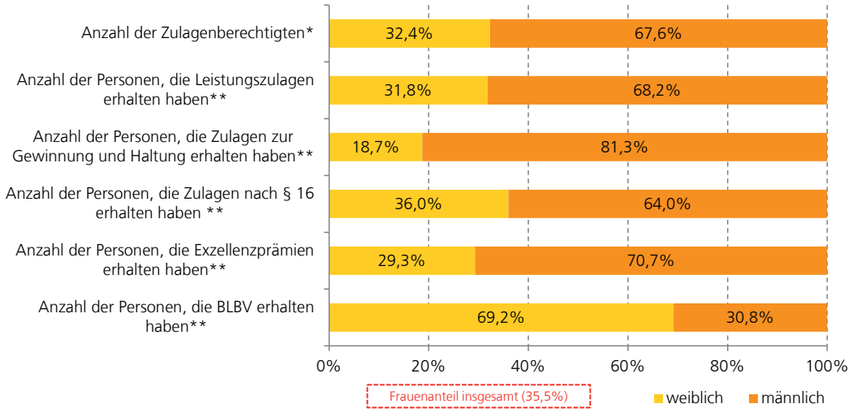
Gewinnung und Haltung

Zulagen zur Gewinnung und Haltung im Berichtsjahr gingen weiterhin überproportional an männliche Zulagenberechtigte.

Dies betrifft sowohl die Anzahl als auch die Höhe der Zulagen: Obwohl Frauen fast 32% der Zulagenberechtigten stellen, sind sie bei der Anzahl (18,6%) und der Höhe (14,2%) der Zulagen deutlich unterrepräsentiert (s. Abb. 17).

Hier liegt eine mögliche strukturelle Benachteiligung von zulagenberechtigten Frauen vor, die einer genauen Prüfung und ggf. daraus abgeleiteter Maßnahmen bedarf.

Abb. 14 Geschlechterverteilung bei Sonderzahlungen



*** Daten beziehen sich auf Zeitraum des Berichtsjahres ** Daten beziehen sich auf Stichtag 31.12.2020**

Abb. 15 Zeitlicher Verlauf der Frauenanteile bei Leistungszulagen

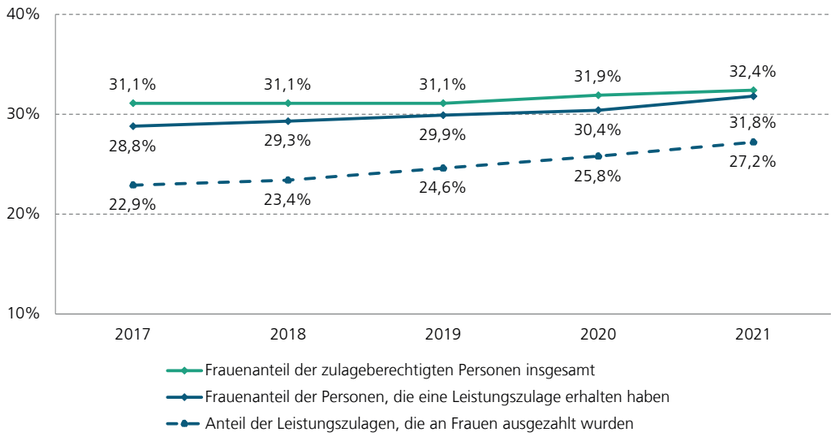


Abb. 16 Zeitlicher Verlauf der Frauenanteile bei Exzellenzprämien

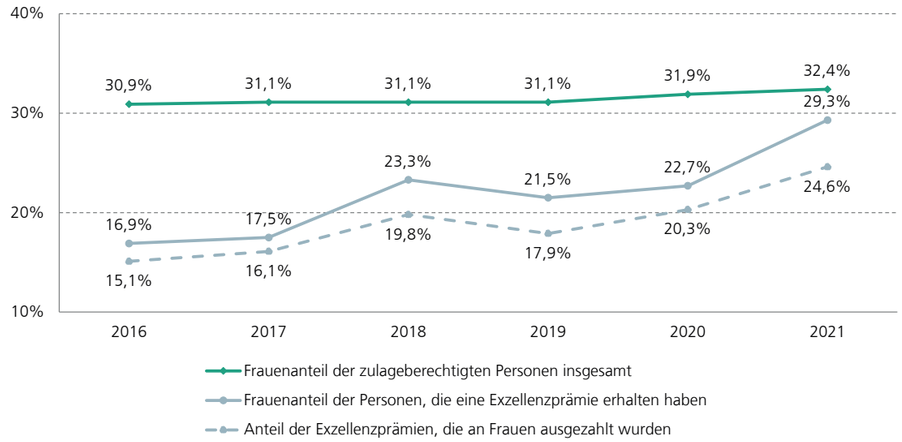
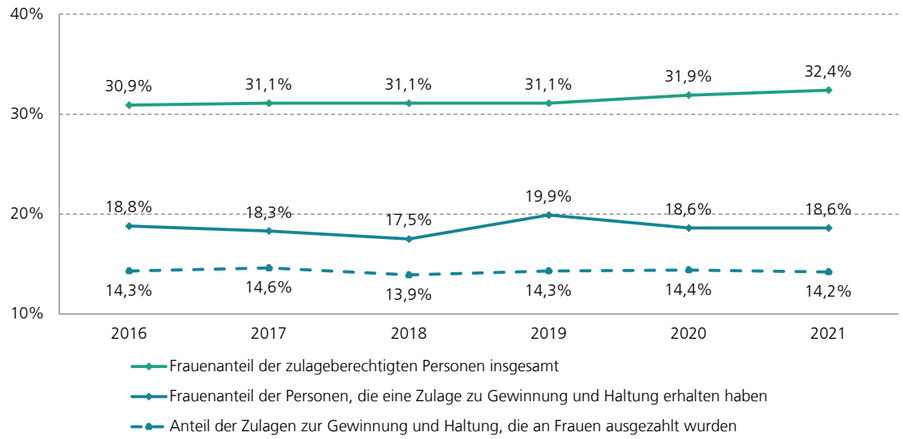


Abb. 17 Zeitlicher Verlauf der Frauenanteile bei Zulagen zur Gewinnung und Haltung



Ergebnisse zu Teil B

Stellung und Arbeitsumfeld der BfC

Das Arbeitsumfeld und die Beteiligung der BfC sowie deren Sichtbarkeit am eigenen Institut hat sich tendenziell verbessert.

Einbindung der BfC im ILA

Für das Berichtsjahr 2021 gaben ca. 45% der beteiligten BfC an, dass sie die Möglichkeit zur Teilnahme am ILA haben (s. Abb. 18). Ein knappes Drittel dieser BfC kann an jeder ILA-Sitzung teilnehmen. (s. Abb. 19).

Abb. 18 Einbindung der BfC in den ILA (N=71)

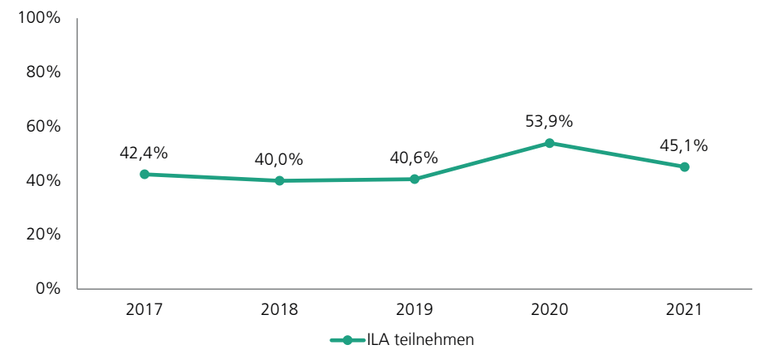
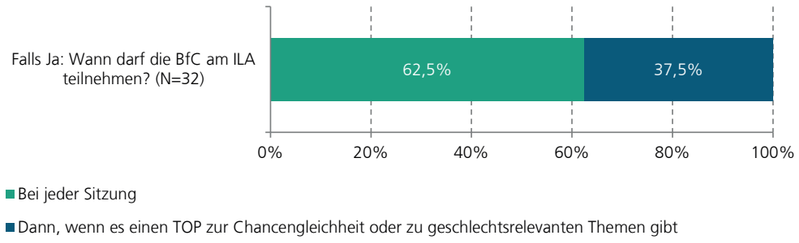
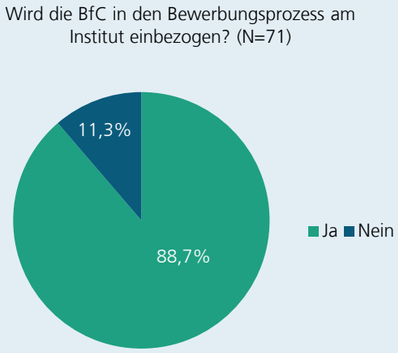


Abb. 19 Beantwortung der Frage: Wann darf die BfC am ILA teilnehmen? (N=32)



Einbindung der BfC im Bewerbungsprozess

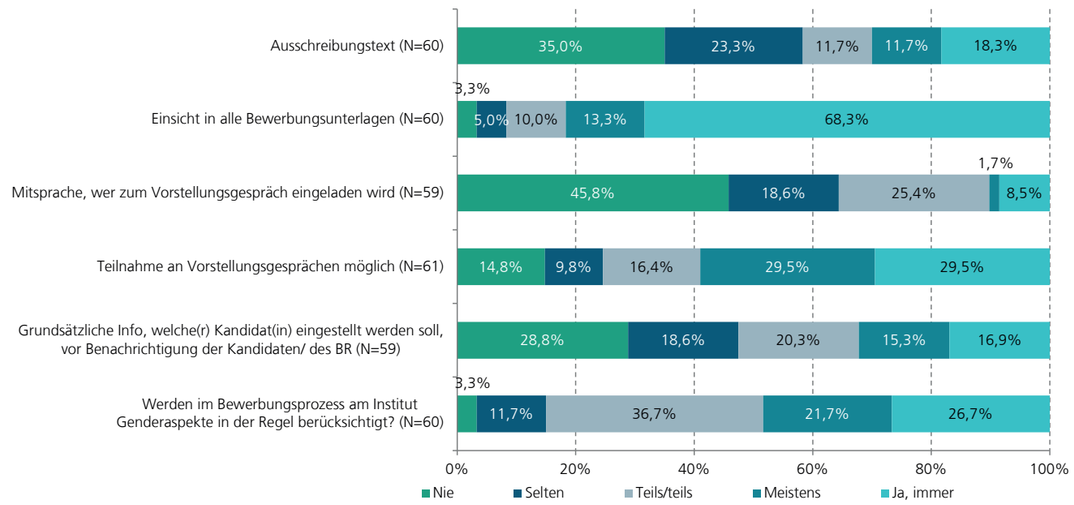


88,7% der beteiligten BfC werden in den Bewerbungsprozess einbezogen. Die Abbildung zur Einbindung in die einzelnen Prozessschritte zeigt, dass eine solche Einbindung je nach Prozessschritt unterschiedlich stark erfolgt (s. Abb. 20).

Von den teilnehmenden BfC wurde mehrfach eine gute Zusammenarbeit mit der Personalabteilung angegeben. Mehrere BfC gaben an, dass sie sich verbindlichere Vorgaben und klare Empfehlungen bzgl. der Beteiligungsrechte der BfC wünschen. Es sollte regelmäßig kommuniziert werden, an welchen unterschiedlichen Stufen im Bewerbungs- und Einstellungsprozess die BfC beteiligt werden muss. Mehrfach wird der Wunsch geäußert, dass ein Nichtsignieren von Personalvorgängen als Botschaft an die verantwortlichen Personen in der Zentrale interpretiert werden solle.

Zitat einer BfC: »Wenn die BfC wiederholt Personalmaßnahmen (bspw. Neueinstellungen) nicht unterschreibt, wäre es sinnvoll und hilfreich, wenn es Konsequenzen (im Sinne von offiziellen Anfragen, woran das liegt) hätte.«

Abb. 20 Beteiligung der BfC im Bewerbungsprozess



Einschätzung der BfC zur Chancengleichheit von Frauen und Männern

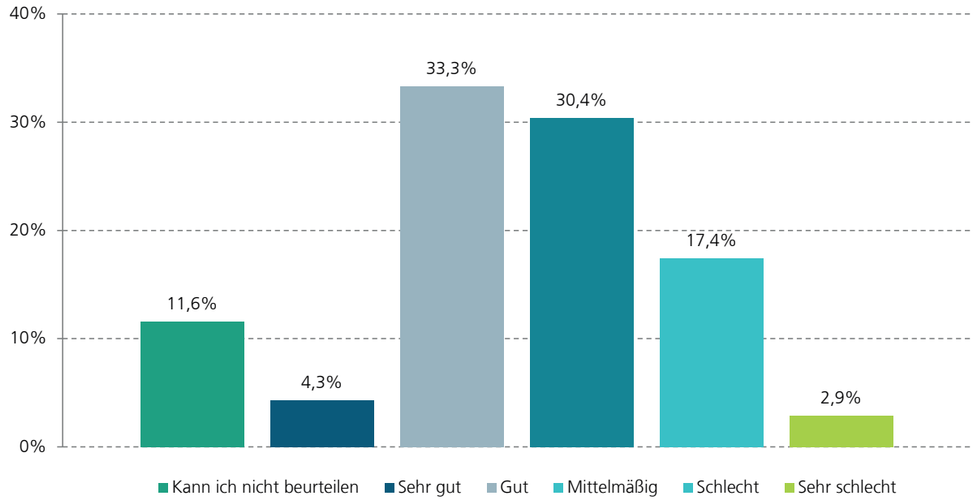
Erreichbarkeit der institutsindividuellen Zielzahlen

Ca. 40% von 69 BfC bewerten die Erreichbarkeit der institutsindividuellen Ziele in Bezug auf die Neueinstellungsquote der Wissenschaftlerinnen an ihrem Institut gut bzw. sehr gut. Mehr als 30% schätzen die Erreichbarkeit mittelmäßig ein und über 20% gaben an, dass sie die Erreichbarkeit der institutsindividuellen Zielzahlen bei den Neueinstellungen an ihrem Institut schlecht bzw. sehr schlecht einschätzen (s. Abb. 21).

Seitens der BfC gab es folgende Anmerkungen:

»Die Erreichbarkeit der Zielzahlen wäre besser, wenn es top-down geregelt werden würde. Da das Bekenntnis von oben fehlt, mangelt es bei den prinzipiell motivierten und zuständigen Stellen an zeitlichen Ressourcen.«

Abb. 21 Einschätzung der BfC bzgl. der Erreichbarkeit der institutsindividuellen Ziele in Bezug auf die Neueinstellungsquote der Wissenschaftlerinnen (N=69)



Stellung der BfC und Akzeptanz von Gleichstellungsmaßnahmen

Die Bewertung der beteiligten BfC hinsichtlich der eigenen Stellung und der Akzeptanz der Gleichstellungsmaßnahmen an ihrem Institut ist in 2021 im Vergleich zu den Vorjahren deutlich gestiegen. Fast zwei Drittel der BfC schätzen ihre eigene Stellung und die Akzeptanz ihrer Arbeit am Institut als gut bzw. sehr gut ein (s. Abb. 22).

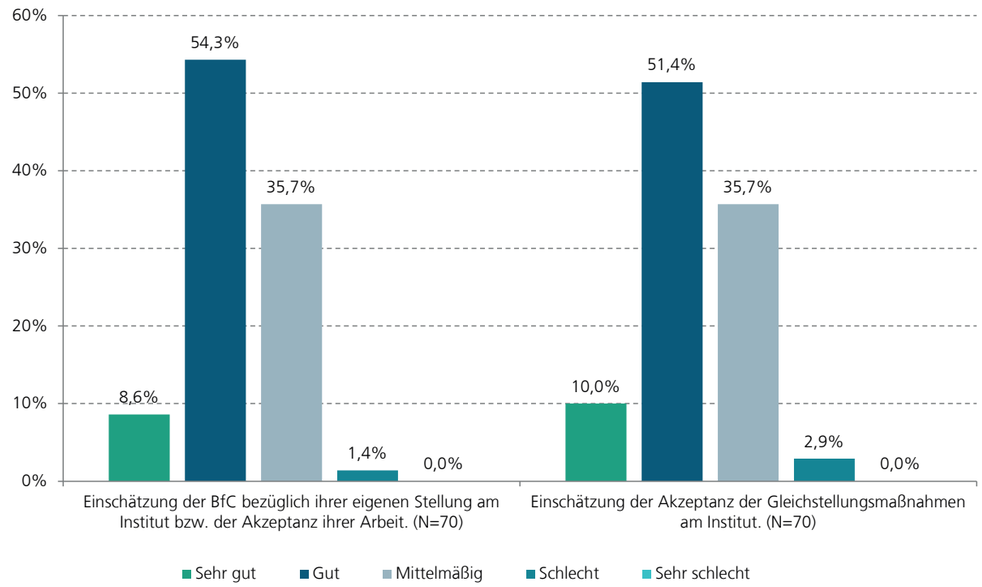
Mehrere BfC gaben an, dass ihre Arbeit von der Institutsleitung unterstützt wird und die Akzeptanz für das Thema Chancengleichheit bei den Führungskräften wächst. Ebenso wurde mehrfach eine gute Zusammenarbeit mit der Personalabteilung angeführt. Positiv wurden auch die Angebote zum Thema Beruf und Privatleben am Institut bewertet.

Zitat einer BfC: »Wir BfC haben große Freiheiten in Bezug auf nahezu alle für die Chancengleichheit relevante Themen (Bewerbungsgespräche, Einstellungen, zeit- und ortsflexibles Arbeiten, Gestaltung von Elternzeit, …)«

Negativ wurden von einigen BfC die zeitlichen Ressourcen für ihre BfC-Tätigkeit bewertet und dass zu wenig Zeit für die Umsetzung von Maßnahmen vorhanden ist. Des weiteren wurde bemängelt, dass die Einbindung der BfC in Personalvorgänge und Entscheidungsprozesse am Institut nicht strukturell verankert ist. Mehrmals wurde angeführt, dass es schwer ist, Chancengleichheit voranzubringen, wenn seitens der Institutsleitung und der Führungskräfte kein Bewusstsein dafür vorhanden ist.

Zitat einer BfC: »Die Kultur wird vor allem vom IL bestimmt, der seine eigene Auffassung von Chancengleichheit hat. Bottom up ist deshalb ein schwer gangbarer Weg.«.

Abb. 22 Einschätzung der BfC bzgl. ihrer eigenen Stellung und der Akzeptanz von Gleichstellungsmaßnahmen am Institut (N=70)



Maßnahmen zur Förderung von Mitarbeiterinnen

Nur etwa 10% der teilnehmenden BfC gaben an, dass es an ihrem Institut neben dem zentral angebotenen TALENTA-Förderprogramm weitere Maßnahmen oder Personalentwicklungsinstrumente für Frauen zur Übernahme von Führung gibt. Nur knapp 9% gaben an, dass dies für das Folgejahr geplant ist (s. Abb. 23). Als weitere Fördermaßnahmen wurden beispielsweise genannt:

- Gespräche zur Karriereplanung
- Mentoringprogramm
- Individuelles Coaching
- Internes Förderprogramm für Wissenschaftlerinnen
- Spezielle Fortbildung für Frauen

An 27% der Institute der teilnehmenden BfC gibt es Führungstandems (s. Abb. 24). Auf die Frage, seit wann es am Institut Führungstandems gibt, wurde von einer BfC angegeben, dass dies an ihrem Jahr seit 2012 der Fall ist und sich dieses Führungsmodell seither verstetigt hat.

Abb. 23 Spezielle Maßnahmen oder Personalentwicklungsinstrumente für Frauen zur Übernahme von Führung

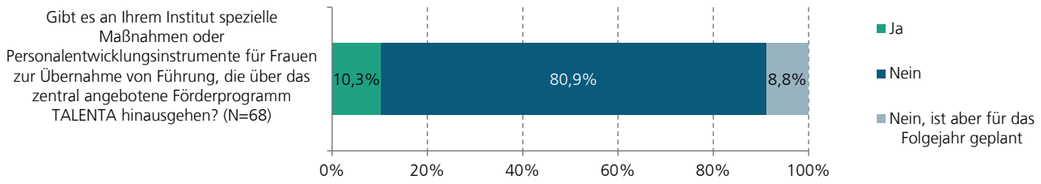
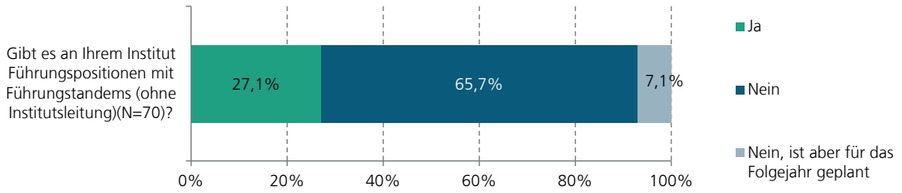


Abb. 24 Führungspositionen mit Führungstandems



Großes Potential besteht weiterhin bei den Schulungsangeboten für Führungskräfte zur gendergerechten Personalauswahl und bei Sensibilisierungsworkshops für gendergerechtes Führen – auch wenn die Angebote im Vergleich zum Vorjahr deutlich angestiegen sind. Eine Weiterbildung der Führungskräfte zur gendergerechten Personalauswahl gab es im Berichtsjahr nur an acht Instituten. An sechzehn weiteren ist eine solche für das Folgejahr geplant (s. Abb. 25).

Folgende bestehende Maßnahmen werden beschrieben bzw: genannt:

- Unconscious-Bias Seminare
- Einzelcoaching für Entscheider*innen im Bewerbungsprozess
- Verpflichtende Weiterbildungsveranstaltungen
- Diversity Training
- Beratung durch die Personalabteilung.

An fünf Instituten der beteiligten BfC gab es einen Sensibilisierungsworkshop für gendergerechtes Führen. Von weiteren 13 BfC wird angegeben, dass dies für das folgende Berichtsjahr geplant sei (s. Abb. 26). An den durchgeführten Workshops nahmen insgesamt 32 Führungskräfte teil.

Bzgl. der Existenz weiterer Maßnahmen zur Erhöhung des Frauenanteils werden folgende Beispiele genannt:

- Teilnahme am ZV Begleitprogramm zur Erhöhung der Zielzahlen
- Internes Förderprogramm für Wissenschaftlerinnen während der Promotion
- AG Chancengleichheit
- Projekttage, um Schülerinnen für naturwissenschaftliche Fächer zu begeistern
- Personalmarketing mit vermehrt weiblicher (Bild-)Sprache
- Beratung der Führungskräfte durch Personalrecruiting
- Ausbau des Personal- und Organisationsentwicklungsteam
- Gezielte Ausschreibungen, in der die Vereinbarkeit von Beruf und Privatleben hervorgehoben wird

Abb. 25 Weiterbildung der Führungskräfte zur gendergerechten Personalauswahl

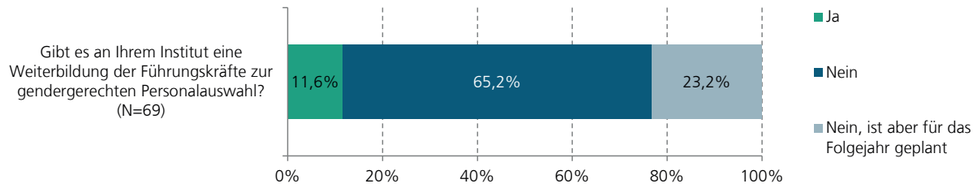
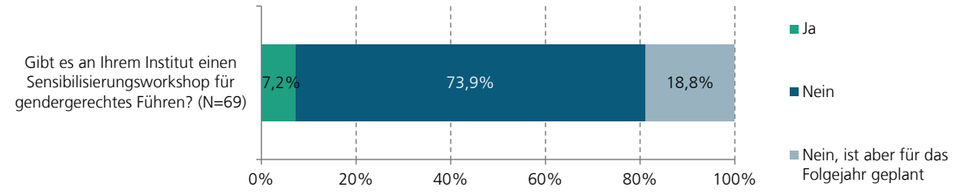


Abb. 26 Sensibilisierungsworkshops für gendergerechtes Führen



Vereinbarkeit von Beruf und Privatleben

Wie bereits im Vorjahr sind an allen Instituten der beteiligten BfC flexible Arbeitszeitmodelle möglich und an nahezu allen Instituten (98,6%) ist es grundsätzlich für alle Mitarbeitende möglich, außerhalb des Instituts zu arbeiten.

Bei Terminfestlegungen wird nach Einschätzung der BfC an der Mehrheit der Institute nach Möglichkeit auf die Belange von Mitarbeitenden mit Familienpflichten bzw. mit flexiblen Arbeitszeiten Rücksicht genommen (s. Abb. 27). Ebenso wird Kontakt zu Mitarbeiterinnen und Mitarbeitern während der Elternzeit gehalten und an mehr als 81% der Institute gibt es weitere Unterstützung für den Wiedereinstieg nach der Elternzeit. Mit-Kind-Büros sind an mehr als 71% der Institute vorhanden.

An fast 70% der Institute wird Beschäftigten, die Eltern geworden sind, ein »Babygeschenk« überreicht (s. Abb. 28). An 40% der Institute, an denen kein »Babygeschenk« überreicht wird, ist die Existenz eines solchen auch nicht bekannt.

Potential besteht weiterhin bei den Unterstützungsangeboten von Eltern im Bereich der Kinderbetreuung. Nur knapp 56% der Institute unterstützen Eltern bei der Kinderbetreuung (z.B. KiTa-Belegplätze) und nur 27,5% der Institute bieten eine Form der Ferienbetreuung an.

An über 90% der Institute gibt es Unterstützung für Mitarbeiter und Mitarbeiterinnen bei anderen familienbedingten Ausfallzeiten – z.B. aufgrund der Betreuung von pflegebedürftigen Angehörigen (s. Abb. 29). So wird beispielsweise eine Beratung durch den pme-Familienservice von 53 der teilnehmenden BfC als Angebot an ihrem Institut genannt. Ähnlich viele gaben an, dass es die Möglichkeit zur Freistellung bzw. Inanspruchnahme von Sonderurlaub gibt. An allen Instituten der teilnehmenden BfC wird Home-Office bzw. Telearbeit als Unterstützung bei anderen familienbedingten Ausfallzeiten angeboten. Unter Sonstiges wurden die Angebote von voiio* genannt (s. Abb. 30).

* Betriebliche Online Plattform mit Angeboten für alle Lebensphasen zur besseren Vereinbarkeit von Beruf und Privatleben.

Abb. 27 Rücksicht auf Familienpflichten der Mitarbeitenden bei Terminfestlegungen (N=71)

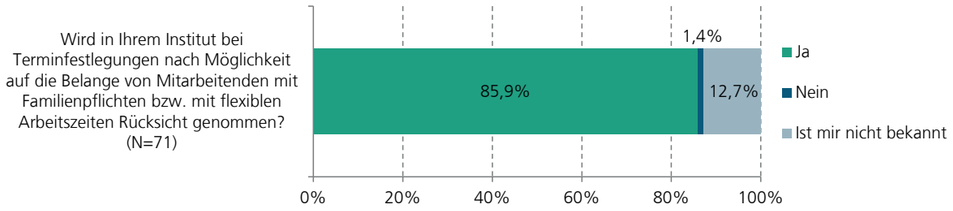


Abb. 28 Babygeschenk für Eltern (N=69)

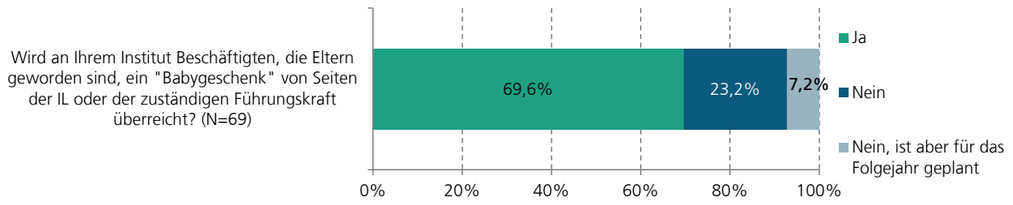


Abb. 29 Unterstützung bei anderen familienbedingten Ausfallzeiten (N=70)

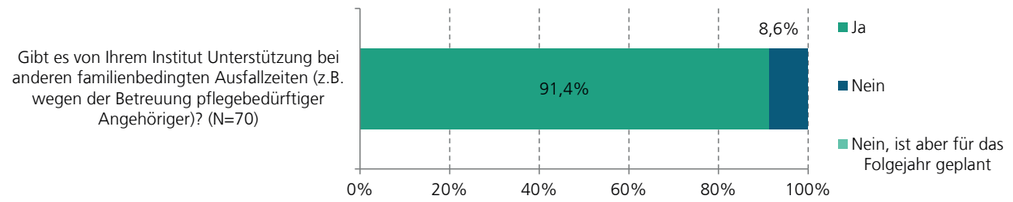
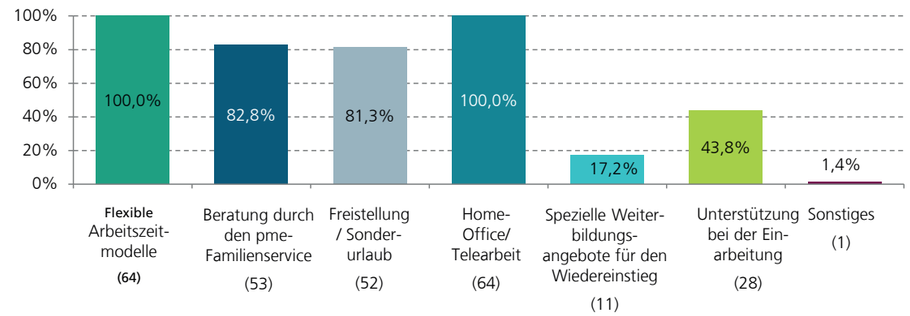


Abb. 30 Formen der Unterstützung bei anderen familienbedingten Ausfallzeiten an den Instituten (N=64)*



*** Die in den Klammern genannten Werte stellen die Anzahl der jeweiligen Nennungen dar. Mehrfachangaben waren möglich.**

Zusatzfragen zur Corona-Pandemie

Alles in allem bewerten 93% der teilnehmenden BfC den Umgang ihres Instituts mit der Corona-Pandemie als »sehr gut« bis »gut« (s. Abb. 31).

Weniger als ein Viertel der BfC wurden in den Corona-Krisenstab ihres Instituts eingebunden. Von denjenigen, die nicht in den Corona-Krisenstab eingebunden wurden, haben 26% erfolglos angefragt, in die Arbeit des Krisenstabs einbezogen zu werden.

Mehr als 61% der BfC haben angegeben, dass an Ihrem Institut die Mitarbeitenden die Möglichkeit hatten, Sonderurlaub zu nehmen (s. Abb. 32). An 40% der Institute konnte nicht frei gewählt werden, in welcher Reihenfolge Sonderurlaub, alter Urlaub oder Überstunden genommen werden. Dabei wurde am Großteil der Institute (92,6 % der Fälle) vom Institut vorgegeben, in welcher Reihenfolge frei genommen werden musste. Insgesamt wurden 2050 Tage Sonderurlaub genommen (davon 30% von Frauen und 70% von Männern).

Abb. 31 Allgemeines Feedback zum Umgang des Instituts mit der Corona-Pandemie (N=71)

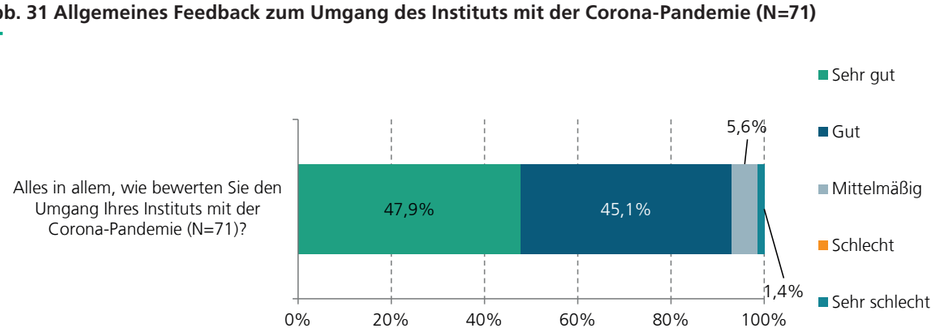
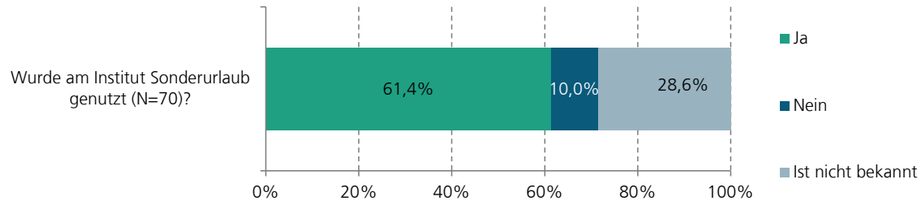


Abb. 32 Inanspruchnahme von Sonderurlaub (N=70)



Highlights

Mehr als 50 % der beteiligten BfC gaben an, dass es im Berichtsjahr an ihrem Institut, ihrer Einrichtung bzw. der Zentrale ein Highlight im Bereich Chancengleichheit gegeben hat. Dabei wurden folgende Highlights genannt:

Strukturelle Verankerung
- Gründung einer Arbeitsgruppe bzw. Steuerungsgruppe zum Thema Chancengleichheit
- Schaffung von Rahmenbedingungen zur Umsetzung der beruflichen Chancengleichheit vor Ort
- Ausbau des Personal- und Organisationsentwicklungsteam mit Diversity-Beauftragten
- Analyse der Bewerbungszahlen
- Überarbeitung des Recruiting-Prozesses speziell mit Blick auf Chancengleichheit
- Erarbeitung einer Vorlage für gendersensible Stellenausschreibungen
- Berücksichtigung von Gender- und Diversityaspekten bei der Neubauplanung
- Abschluss einer Betriebsvereinbarung zu flexiblem Arbeiten

Studien und Befragungen
- Ausschreibung und Betreuung einer Bachelorarbeit zum Thema »Inanspruchnahme von Maßnahmen zur Vereinbarkeit von Familie und Beruf durch Väter: Faktoren der Entscheidung am Beispiel des Fraunhofer IZM“
- Digitale Umfrage unter aktuellen Hiwis zu den Themen »Wie muss ein Arbeitgeber / eine Arbeitgeberin aufgestellt sein, um attraktiv für die nächste Generation an Arbeitnehmerinnen und Arbeitnehmern zu sein?«

Unterstützung und Stärkung der BfC
- Implementierung eines BfC-Dashboard zur besseren Nachverfolgung der Neueinstellungen
- Überarbeitung des Formulars für Vorstellungsgespräche zur frühzeitigen Einbindung der BfC in den Bewerbungsprozess
- Regelmäßiger Austausch im Verbund zum Thema Chancengleichheit
- Einbindung der BfC in das Modul »New Work« des Instituts-Strategieprozesses

Schutz vor sexueller Belästigung am Arbeitsplatz
- Erstellung eines Konzepts
- Veröffentlichung eines Verhaltenskodex
- Einrichten eines Vertrauensrats

Bewusstseins- und Weiterbildung
- Durchführung von Workshops für alle Mitarbeitenden und speziell für Führungskräfte zu den Themen:
  - Unconscious Bias
  - Chancengleichheit
  - Diversity
  - Vereinbarkeit von Beruf und Privatleben
- Vortragsreihen zu den Themen
  - Vereinbarkeit von Beruf und Privatleben
  - »Wir sind Vielfalt«
- Angebot von virtuellen Informationsveranstaltungen von und mit dem pme-Familienservice zu verschiedenen Themen
- Durchführung von Workshops für Frauen zu den Themen
  - Selbstwirksamkeit
  - Wahrnehmung
  - Ambition in der Wissenschaft
- Implementierung eines virtuellen »Diversity-Parcours«
- Start eines zweijährigen Mentoringprogramms für Wissenschaftlerinnen am Beginn ihrer Karriere

Angebote für Eltern
- Einführung eines Babygeschenks
- Gestaltung und Ausstattung eines Mit-Kind-Büros
- Mitgliedschaft im Voiio Familienservice
- Vortrag für Eltern zum Thema »Vereinbarkeit von Familie und Beruf während der Corona-Pandemie«

Spezielle Angebote der BfC
- Sprechstunde für alle Mitarbeitenden
- Organisation einer Frauenversammlung
- Frauen-Stammtisch und Frauennetzwerktreffen

Sonstiges
- Teilnahme am Begleitangebot Chancengleichheit
- Bewerbung für den Fraunhofer-Preis »BestChance«
- Erstellung der Richtlinie »Hilfe bei Konflikten«
- Marketingkampagne Women@Work
- Erstmalige Durchführung des Girls‘ Day im virtuellen Format

Weitere Unterstützung für die BfC

Insgesamt gab es seitens der BfC viel Lob für die Unterstützung durch die Instituts-internen Stakeholder, die Zentrale und das Gleichstellungsbüro. Zur Stärkung ihrer Rolle vor Ort und zur besseren Zusammenarbeit wurden von den BfC u.a. folgende Verbesserungsvorschläge genannt.

Institutsinterne Verbesserungsvorschläge

- Verbesserung des Austauschs von Informationen z.B. durch
  - Möglichkeit zur Teilnahme am ILA für die BfC
  - Proaktive und strukturell verankerte Einbeziehung der BfC in Instituts-interne Prozesse
  - Jour-fixe der BfC mit der Instituts-, Verwaltungs- und Personalleitung
- Wahrnehmung der BfC als Expertin für Chancengleichheit
- Zeitliche und finanzielle Ressourcen sowie mehr Unterstützung der BfC bei der Erarbeitung und Umsetzung von Maßnahmen
- Priorisierung des Themas Chancengleichheit
- Integration von Gleichstellungsaspekten im Recruiting, Onboarding-Prozess und bei allen Personalentwicklungsmaßnahmen
- Strukturierung und Formalisierung der Einstellungsprozesse
- Strategische Personalplanung
- Gemeinsames Erarbeiten von Entfristungskritierien
- Sensibilisierungsmaßnahmen für alle Mitarbeitenden zu Gleichstellungsthemen
- Etablierung von transparenten Prozessen bzgl. Bewerbungen für Fraunhofer-interne Förderprogramme wie z.B. TALENTA

Fraunhofer-weite Verbesserungsvorschläge

- Geschlechterinklusive Sprache in SAP durchsetzen
- Besserer Zugang für die BfC zu den Daten in SAP
- Definition der Rolle der BfC in SAP
- Zentrale Erfassung von Daten zu
  - Fraunhofer-internen Förderprogrammen (TALENTA, StepForward etc.)
  - Laufende und abgeschlossene Promotionsarbeiten
  - Teilnahme an Fortbildungen
- Spezielle Auswertungstools für Reportings und Analysen – insbesondere mit Fokus auf Wissenschaftlerinnen
- GB als vollwertiges Mitglied in allen relevanten Gremien verankern (z. B in der Fraunhofer-Satzung)
- Chancengleichheit auf allen Kanälen thematisieren
- Stärkung der Rolle der BfC als die Expertin für Chancengleichheit durch z.B.
  - Unterstützung bei der Durchsetzung der Beteiligungsrechte der BfC (z.B. durch Rückfragen und evtl. Konsequenzen, bei wiederholt fehlender Sigenatur der BfC bei Personalvorgängen)
  - Meldung der institutsspezifischen Zielzahlen an die BfC
- Verpflichtende Schulungen für alle Mitarbeitenden zu den Themen
  - Unconscious Bias
  - Sexuelle Belästigung am Arbeitsplatz
- Weiterbildungsangebote zum Thema Chancengleichheit in allen Bereichen (Kommunikation, Personal etc.)
- Progressivere Einstellung zu geschlechterinklusiver Sprache und klare Vorgaben (z.B. bei den Intranetseiten)

Interne (Gleichstellungsbüro und BfC-Netzwerk) Verbesserungsvorschläge

- Mehr Vorlauf und Reminder zu Schlüsseltagen (z.B. internationaler Frauentag)
- Stärkung der Rolle der BfC innerhalb der Institute (z.B. Teilnahme der BfC am ILA) und Diskussion dieser Themen im Rahmen der regelmäßig stattfindenden Gespräche mit der Zentrale
- Information des jeweiligen BfC-Teams zu internen Berufungsverfahren

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Plano para a Igualdade de Género, Inclusão e Não Discriminação (PIGIND) da FMV-ULisboa

Na sequência da criação da **Rede para a Igualdade de Género, Inclusão e Não Discriminação** (RIIND) criada pela Reitoria da Universidade de Lisboa, cabe a todas os estabelecimentos que integram a Universidade de Lisboa, criar uma Comissão para a igualdade de género e de oportunidades, bem como desenvolver um plano de ação tendo em conta as suas condições específicas, em especial no que toca às vertentes relacionadas com as atividades de Ensino e Investigação. Este plano permitirá desenvolver uma estrutura, uma cultura e um conjunto de ações que permitam reduzir a desigualdade, incluindo as decorrentes do género, que serão avaliados ao longo do tempo pela monitorização de indicadores comuns a todas as escolas.

A igualdade de género e a redução das desigualdades são dois dos Objetivos de Desenvolvimento Sustentável (ODS) definidos pela Agenda 2030 da Organização das Nações Unidas (ONU) – designadamente os ODS 5 e 10. Trata-se de um debate atual e importante para a construção da sociedade, ao qual a Faculdade de Medicina Veterinária não é alheia.

Entre os objetivos a atingir com este Plano estão o reforço e a consolidação da igualdade de género, no que se refere a docentes e investigadores/as, trabalhadores/as administrativos/as e técnicos/as e estudantes, nos vários níveis da estrutura organizacional; o desenvolvimento de mecanismos que permitam uma efetiva igualdade de oportunidades e inclusão na vida universitária de quem detenha menos recursos ou apresente alguma forma de deficiência ou incapacidade; e o combate a todas as formas de discriminação, sejam as baseadas no sexo e na identidade de género, ou em quaisquer outros aspetos como a orientação sexual, condição étnico-racial, religião ou crença, nacionalidade, grupo social ou opinião política.

Embora continuem a existir desigualdades, fruto de diversas circunstâncias a que a FMV foi ou é alheia, foram realizados progressos significativos nas últimas décadas, resultantes sobretudo:

- da legislação nacional em matéria de igualdade de tratamento
- da integração da perspetiva de género em todas as políticas
- da tomada de medidas específicas de promoção da mulher

Nas décadas recentes assistimos a alterações muito significativas nesta área, como um enorme aumento e depois predominância do número de estudantes do sexo feminino na FMV

que estabilizou na última década em cerca de 80% do total de estudantes, e um aumento muito significativo na carreira docente e de investigação, onde praticamente existe paridade. No entanto, continuam a existir disparidades entre os homens e mulheres, continuando estas últimas a estar sub-representadas nos cargos de decisão ou de coordenação.

A Comissão de acompanhamento do PIGIND

A Comissão criada pelo Despacho interno Nº PD-D-14/2022, de 20 de julho de 2022, do Presidente da FMV deve:

- Elaborar um levantamento da situação da FMV com base nos indicadores gerais definidos no ANEXO I
- Elaborar um plano de ação e medidas a tomar no âmbito das iniciativas definidas no ANEXO II, para promoção da igualdade e inclusão, definindo metas e indicadores de medida (número de iniciativas e abrangência das mesmas), bem como calendarização das ações e os responsáveis pelas mesmas.
- Elaborar relatório anual, avaliando a eficácia das principais ações e iniciativas implementadas para promoção da igualdade e inclusão, levadas a cabo no âmbito do plano de ação que consta no ANEXO II e avaliando o seu impacto nos indicadores gerais relevantes definidos no ANEXO I e emitir recomendações. O relatório anual deve sempre refletir a evolução dos indicadores ao longo dos anos.

Ao nível global da universidade, um membro da Comissão representará a FMV e fará a ligação da FMV à Rede para a Igualdade de Género, Inclusão e Não Discriminação (RIIND) da ULisboa no que respeita às medidas associadas à implementação do Plano para a Igualdade de Género, Inclusão e Não Discriminação da FMV.

A Rede integra um representante de cada Escola, dos Serviços Centrais e dos Serviços de Ação Social, sendo dirigida pelo Reitor, ou por um membro da equipa reitoral por este designado. Esta Rede tem ainda por missão promover a troca de experiências, ações e recomendações relacionadas com a Igualdade de Género, Inclusão e Não Discriminação entre as Escolas e os Serviços da ULisboa, por forma a contribuir para uma universidade inclusiva no seu todo.

ANEXO I – INDICADORES *Por eixo estratégico de ação*

I. Estruturas de Governação e Decisão

1.1. Dados desagregados por género nas diferentes categorias profissionais.

1.2. Dados desagregados por género na direção da Associação de Estudantes.

1.3. Iniciativas existentes na FMV que possam promover a igualdade, não discriminação e inclusão (e.g. iniciativas de inclusão de formação/sensibilização referente à igualdade, inclusão e não discriminação e conciliação no plano de formação da FMV; programas de capacitação e desenvolvimento pessoal no âmbito da liderança no feminino, prémios, integração da temática em UC, ou criação de UC especifica sobre a temática, investigação e/ou publicações relacionadas com a temática).

1.4. Iniciativas que demonstrem "tolerância zero" face a eventuais situações de desigualdade, preconceitos e discriminação.

1.5. Número de reclamações ou denúncias recebidas, relativamente a tratamento discriminatório.

1.6. Dados desagregados por género nos diferentes órgãos de governo da FMV.

II. Recrutamento, Avaliação de Desempenho e Progressão na Carreira

2.1. Dados desagregados por género de novas contratações (vs. candidatos por género).

2.2. Dados desagregados por género nos júris de provas e concursos.

III. Comunicação interna e externa

3.1. Iniciativas de divulgação de informação relativa aos direitos e deveres dos/das trabalhadores/as em matéria de igualdade de género, inclusão e não discriminação.

3.2. Iniciativas de divulgação que possam promover a visibilidade de grupos vulneráveis (e.g. práticas de suporte a estudantes NEE, divulgação de investigações relacionadas com a temática da discriminação).

3.3. Oportunidades de formação proporcionadas nas temáticas da igualdade de género, não discriminação e inclusão.

IV. Equilíbrio Trabalho-Família (vida pessoal)

4.1. Número de horas de licença de parentalidade por género.

4.2. Iniciativas de suporte ao estilo de vida saudável (e.g. incentivos à prática desportiva, alimentação saudável, higiene do sono).

4.3. Iniciativas de divulgação de recursos existentes, na área geográfica da ULisboa, que facilitem a conciliação trabalho-família.

4.4. Iniciativas de suporte parental (e.g. ter em atenção as licenças de parentalidade nos processos de avaliação de desempenho, apoiar a progressão na carreia para quem usa licenças de parentalidade).

4.5. Modalidades de horário para funcionários não docentes.

4.6. Iniciativas de ajustamento de local e horário de trabalho (e.g. oportunidades de teletrabalho, horários contínuos, semanas de quatro dias).

V. Investigação e Ensino

5.1. Dados desagregados por género na investigação.

5.2. Dados desagregados por género dos estudantes dos diferentes ciclos de estudos.

5.3. Dados desagregados por género nos diplomados da ULisboa.

5.4. Dados desagregados por género referentes na participação em programas de mobilidade.

5.5. Dados desagregados por género referentes a estudantes bolseiros.

5.6. Dados desagregados por género referentes a estudantes alojados (residências).

ANEXO II – Plano *de ação a desenvolver anualmente*

FMV-ULisboa, 19 de março de 2023.

O Presidente da Faculdade

Rui Manuel Vasconcelos Horta Caldeira

Professor Catedrático

ANEXO II

Plano para a Igualdade de Género, Inclusão e Não Discriminação (PIGIND) da FMV-ULisboa

Medidas por eixo estratégico de ação	Responsável	Orçamento previsto	Medidas	Prazo de implementação	Indicadores de medida	Realizações	Monitorização 1 Julho	Monitorização 2 Setembro	Monitorização 3 Dezembro
1. Estruturas de Governação e Decisão									
Objetivo: Promover a igualdade de oportunidades e eliminar a discriminação, baseada no género ou em outras componentes.									
Medidas:									
1.1. Fomentar uma representação equilibrada das componentes consideradas relevantes nos diferentes níveis da estrutura organizacional.	Responsável	Orçamento previsto		Prazo de implementação	Indicadores de medida	Realizações	Monitorização 1	Monitorização 2	Monitorização 3
Ação/ Iniciativa 1 - Avaliar os procedimentos de constituição dos orgãos de Governo da Faculdade no sentido de garantir que a sua constituição apresente uma estrutura equilibrada baseada no género ou em outras componentes.	Dr Mingachos + Miguel Cardo			ago/23	1.1.1. Dados desagregados por género nas diferentes categorias profissionais				
Ação/ Iniciativa 2 -									
Ação/ Iniciativa 3									
Ação/ Iniciativa 4									
1.2. Fomentar o intercâmbio de experiências, boas práticas e soluções.	Responsável	Orçamento previsto		Prazo de implementação	Indicadores de medida	Realizações	Monitorização 1	Monitorização 2	Monitorização 3
Ação/ Iniciativa 1 - Realização de ações de sensibilização junto dos estudantes antes da apresentação das listas dos candidatos	Miguel Nunes		Elaboraçao de orientaçao sobre a composiçao das listas de candidatos à AE, que respeitem a paridade, nos termos da Lei 26/2019, de 28 de março.	Até 30 de novembro	1.1.2. Dados desagregados por género na direção da Associação de Estudantes				
Ação/ Iniciativa 2 - Realização de ações de sensibilização junto dos estudantes antes da apresentação das listas dos candidatos aos orgãos de governo da faculdade	Miguel Nunes		Elaboraçao de proposta de inclusao de criterios que respeitem a paridade na composiçao das listas, no edital de abertura de concurso para os orgaos de governo da faculdade, nos termos da Lei 26/2019, de 28 de março.	Até 30 de novembro	1.1.3. Dados desagregados por género dos candidatos aos orgãos de governo da faculdade				
Ação/ Iniciativa 3									
Ação/ Iniciativa 4									
1.3. Fomentar a inclusão da temática da igualdade de género, inclusão e não discriminação nos documentos estratégicos e de planeamento.	Responsável	Orçamento previsto		Prazo de implementação	Indicadores de medida	Realizações	Monitorização 1	Monitorização 2	Monitorização 3
Ação/ Iniciativa 1 - Inclusão da temática na secção Missão, Visão e Valores, nos objetivos estratégicos e nas ações a desenvolver, no plano de atividades da FMV 2023	Dr Mingachos + Miguel Cardo		Elaborar proposta	jan/23	Proposta apresentada				
Ação/ Iniciativa 2 - Identificação de outros documentos de estratégia ou de política da FMV que careçam de adequação quanto à temática da igualdade de género e de oportunidades, inclusão e não discriminação.	Dr Mingachos + Miguel Cardo		Identificar os documentos de estratégia ou de política da FMV que carecem de adequação Apresentar propostas de adequação para os documentos identificados	set/23	Documentos identificados Proposta de adequação apresentada				
Ação/ Iniciativa 3									
Ação/ Iniciativa 4									
1.4. Fomentar a adoção de processos que garantam a igualdade de género, inclusão e não discriminação.	Responsável	Orçamento previsto		Prazo de implementação	Indicadores de medida	Realizações	Monitorização 1	Monitorização 2	Monitorização 3
Ação/ Iniciativa 1 - Propor a inclusão no plano de formação da FMV / ULISBOA, iniciativas formativas que abordem de forma transversal a temática da igualdade de género, inclusão e não discriminação.	Dr Mingachos + Miguel Cardo		Identificar uma área da igualdade de genero, inclusao e não descriminaçao para abordar em ofertas formativa a criar em 2023 para a comunidade da FMV. Divulgar e proporcionar a participaçao de trabalhadores da FMV em cursos relacionados com a temática.	Até junho	1.4.1. Iniciativas existentes na escola/unidade que possam promover a igualdade, não discriminação e inclusão (e.g. iniciativas de inclusão de formação/sensibilização referente à igualdade, inclusão e não discriminação e conciliação no plano de formação da escola/ unidade/ universidade; programas de capacitação e desenvolvimento pessoal no âmbito da liderança no feminino, prémios, integração da temática em UC, ou criação de UC específica sobre a temática, investigação e/ou publicações relacionadas com a temática)				
Ação/ Iniciativa 2 - Elaboração de proposta para que a CPIG receba informação sobre as denúncias relacionadas com desigualdade, preconceitos e discriminação no âmbito do canal de denúncia.	Dr Mingachos + Miguel Cardo		Elaboraçao de informaçao à presidencia, no sentido de propor que as denúncias relacionadas com desigualdade, preconceitos e discriminação no âmbito do canal de denúncia sejam comunicadas anualmente à CPIG em termos de número, âmbito e resultado.	Até junho	1.4.2.a Iniciativas que demonstrem "tolerância zero" face a eventuais situações de desigualdade, preconceitos e discriminação				
Ação/ Iniciativa 3 - Reestruturação dos canais de reclamações ou denúncias e elogios, relativamente a tratamento discriminatório para seguimento das denúncias.	Miguel Nunes +Paula Silveira		Efetuar anualmente o levantamento do nº reclamações ou denúncias recebidas, relativamente a tratamento discriminatório no canal de denuncia e na caixa de sugestoes e elogios e no livro de reclamaçoes (Livro amarelo).	Até Maio	1.4.2. b Número de reclamações ou denúncias recebidas, relativamente a tratamento discriminatório. Número total de reclamações recebidas, independentemente da tipologia. Número de reclamações recebidas relativas a tratamento discriminatório (motivado por questões de género, religiosas, raciais, etc.)				
Ação/ Iniciativa 4									
1.5. Fomentar o equilíbrio qualitativo e quantitativo na representação entre homens e mulheres nos orgãos de direção e coordenação.	Responsável	Orçamento previsto		Prazo de implementação	Indicadores de medida	Realizações	Monitorização 1	Monitorização 2	Monitorização 3
Ação/ Iniciativa 1 - Vêr iniciativa 2 do ponto 1.3					1.5.1. Dados desagregados por género nos diferentes órgãos de gestão da FMV				
Ação/ Iniciativa 2									
Ação/ Iniciativa 3									
Ação/ Iniciativa 4									
2. Recrutamento, Avaliação de Desempenho e Progressão na Carreira									
Objetivo: Promover a igualdade de género, a inclusão e a não discriminação ao nível do recrutamento e nas oportunidades de desenvolvimento de carreira, quer ao nível dos docentes e investigadores/as, quer ao nível técnico e administrativo.									
Medidas:									
2.1 Assegurar a adoção de critérios e procedimentos de recrutamento e seleção que respeitem os princípios da igualdade e não discriminação, baseada no sexo, género ou em outras componentes.	Responsável	Orçamento previsto		Prazo de implementação	Indicadores de medida	Realizações	Monitorização 1	Monitorização 2	Monitorização 3
Ação/ Iniciativa 1 - Ver iniciativa 2 do ponto 1.3									
Ação/ Iniciativa 2									
Ação/ Iniciativa 3									
Ação/ Iniciativa 4									

ANEXO II

Plano para a Igualdade de Género, Inclusão e Não Discriminação (PIGIND) da FMV-ULisboa

2.2 Assegurar a transparência nos processos de avaliação e promoção, por forma a evitar enviesamentos baseados no sexo, género ou em outras componentes discriminatórias.	Responsável	Orçamento previsto		Prazo de implementação	Indicadores de medida	Realizações	Monitorização 1	Monitorização 2	Monitorização 3
Ação/ Iniciativa 1 - Ver iniciativa 2 do ponto 1.3	Dr Mingachos + Miguel Cardo				2.2.1. Dados desagregados por género de novas contratações (vs. candidatos por género)				
Ação/ Iniciativa 2									
Ação/ Iniciativa 3									
Ação/ Iniciativa 4									
2.3 Divulgar os mecanismos legais que permitam a proteção dos/as trabalhadores/as e estudantes no âmbito do seu desempenho escolar, profissional ou de avaliação, nomeadamente no que concerne à proteção da parentalidade.	Responsável	Orçamento previsto		Prazo de implementação	Indicadores de medida	Realizações	Monitorização 1	Monitorização 2	Monitorização 3
Ação/ Iniciativa 1 - Realização de documento de divulgação dos mecanismos legais que permitam a proteção dos/as trabalhadores/as e estudantes no âmbito do seu desempenho escolar, profissional ou de avaliação, nomeadamente no que concerne à proteção da parentalidade	Paula Silveira		Elaboração de esclarecimento sobre a proteção dos trabalhadores no que conserne à parentalidade.	Até Junho					
Ação/ Iniciativa 2									
Ação/ Iniciativa 3									
Ação/ Iniciativa 4									
2.4 Fomentar a adoção de medidas de apoio e coaching, por forma a promover uma representação equilibrada qualitativa e/ou quantitativamente das pessoas detentoras de componentes consideradas discriminatórias nas posições de decisão, de direção e de liderança.	Responsável	Orçamento previsto		Prazo de implementação	Indicadores de medida	Realizações	Monitorização 1	Monitorização 2	Monitorização 3
Ação/ Iniciativa 1 - Ver iniciativa 2 do ponto 1.3	Dr Mingachos + Miguel Cardo								
Ação/ Iniciativa 2									
Ação/ Iniciativa 3									
Ação/ Iniciativa 4									
2.5 Promover, sempre que possível, a paridade de género nos júris, painéis, comissões e demais instâncias de recrutamento e avaliação.	Responsável	Orçamento previsto		Prazo de implementação	Indicadores de medida	Realizações	Monitorização 1	Monitorização 2	Monitorização 3
Ação/ Iniciativa 1 - Ver iniciativa 2 do ponto 1.3	Dr Mingachos + Miguel Cardo				2.5.1. Dados desagregados por género nos júris de provas e concursos				
Ação/ Iniciativa 2									
Ação/ Iniciativa 3									
Ação/ Iniciativa 4									
3. Comunicação Interna e Externa									
Objetivo: incentivar a utilização de uma linguagem livre de termos e/ou sentidos discriminatórios, associados ao sexo, género ou outras componentes de discriminação, e promover a difusão de boas práticas de promoção da igualdade.									
Medidas:									
3.1. Adotar linguagem não discriminatória, quer interna quer externamente.	Responsável	Orçamento previsto		Prazo de implementação	Indicadores de medida	Realizações	Monitorização 1	Monitorização 2	Monitorização 3
Ação/ Iniciativa 1 - Elaboração de documento de boas práticas para a utilização de linguagem não discriminatória	Cristina Mateus		Elaboração de documento de boas práticas para a utilização de linguagem não discriminatória	Até setembro					
Ação/ Iniciativa 2									
Ação/ Iniciativa 3									
Ação/ Iniciativa 4									
3.2. Adotar uma política de marketing e publicidade livre de estereótipos associados a discriminação de género ou outros, e que promova a diversidade.	Responsável	Orçamento previsto		Prazo de implementação	Indicadores de medida	Realizações	Monitorização 1	Monitorização 2	Monitorização 3
Ação/ Iniciativa 1 - criar concurso de ideias na faculdade para a criação de publicidade institucional associada à discriminação de género ou outros, e que promova a diversidade. Este concurso pode contar com participantes de outras escolas da Ulisboa (em conjunto com equipas de estudantes da FMV para aumentar a competitividade) e terá um prémio e exposição e entrega de prémios dos trabalhos num congresso científico do CIISA	Comissão	1000 EUR		Até Novembro					
Ação/ Iniciativa 2									
Ação/ Iniciativa 3									
Ação/ Iniciativa 4									
3.3. Disseminar boas práticas que possam servir de modelo para a promoção da igualdade de género, inclusão e não discriminação.	Responsável	Orçamento previsto		Prazo de implementação	Indicadores de medida	Realizações	Monitorização 1	Monitorização 2	Monitorização 3
Ação/ Iniciativa 1 - Criar a iniciativa de divulgação, em local público a designar, de boas práticas desenvolvidas na FMV e por outras instituições públicas ou privadas.	Paula Silveira+Miguel Nunes Comissão e Gab. Imagem		Divulgar na página da FMV, Facebook da FMV, boas práticas desenvolvidas na FMV e por outras instituições públicas ou privadas.	Até setembro	3.3.1. Iniciativas de divulgação de informação relativa aos direitos e deveres dos/das trabalhadores/as em matéria de igualdade de género, inclusão e não discriminação				
Ação/ Iniciativa 2									
Ação/ Iniciativa 3									
Ação/ Iniciativa 4									
3.4. Difundir informação sobre publicações científicas, projetos de investigação, teses de doutoramento e dissertações de mestrado que possam contribuir para a promoção da igualdade de género e inclusão na sociedade.	Responsável	Orçamento previsto		Prazo de implementação	Indicadores de medida	Realizações	Monitorização 1	Monitorização 2	Monitorização 3
Ação/ Iniciativa 1 - Ver iniciativa 1 do ponto 3.3.	Dr Mingachos + Miguel Cardo								
Ação/ Iniciativa 2									
Ação/ Iniciativa 3									
Ação/ Iniciativa 4									
3.5. Fomentar ações de divulgação e extensão promotoras da igualdade de género e inclusão destinadas a públicos externos à FMV	Responsável	Orçamento previsto		Prazo de implementação	Indicadores de medida	Realizações	Monitorização 1	Monitorização 2	Monitorização 3
Ação/ Iniciativa 1 - Ver iniciativa 1 do ponto 3.3.	Paula Silveira+Miguel Nunes				3.5.1. Iniciativas de divulgação que possam promover a visibilidade de grupos vulneráveis (e.g. práticas de suporte a estudantes NEE, divulgação de investigações relacionadas com a temática da discriminação) 3.5.2. Oportunidades de formação proporcionadas nas temáticas da igualdade de género, não discriminação e inclusão. Temas abordados nas ações de formação. Número de horas de formação proporcionadas. Número de participantes. Número de mulheres participantes. Número de pessoas com deficiência participantes.				
Ação/ Iniciativa 2									
Ação/ Iniciativa 3									

ANEXO II

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Ação/ Iniciativa 4								
4. Equilíbrio Trabalho-Família (vida pessoal)								
Objetivo: Desenvolver e disseminar diferentes práticas que promovam a conciliação entre o trabalho e a vida familiar (pessoal), a igualdade e a inclusão.								
Medidas:								
4.1 Desenvolver e implementar ações que possam promover o equilíbrio na participação de homens e mulheres na vida familiar.	**Responsável**	**Orçamento previsto**	**Prazo de implementação**	**Indicadores de medida**	**Realizações**	**Monitorização 1**	**Monitorização 2**	**Monitorização 3**
Ação/ Iniciativa 1 - Realização de documento de divulgação dos mecanismos legais e procedimentos internos que protegem o equilíbrio na participação de homens e mulheres na vida familiar.	Paula Silveira		Até Stembro	4.1.1. Número de horas de licença de parentalidade por género. Número total de horas de licença de parentalidade. Número total de horas de licença de parentalidade gozadas pela mãe. Número total de horas de licença de parentalidade gozadas pelo pai.				
Ação/ Iniciativa 2 - Divulgação dos mecanismos existentes que promovem o estilo de vida saudável na FMV (e.g. incentivos à prática desportiva, alimentação saudável, higiene do sono).	Paula Silveira		Até Stembro	4.1.2. Iniciativas de suporte ao estilo de vida saudável (e.g. incentivos à prática desportiva, alimentação saudável, higiene do sono)				
Ação/ Iniciativa 3 - Divulgação dos mecanismos existentes que facilitem, na área geográfica da ULisboa, a conciliação trabalho-família	Paula Silveira		Até Stembro	4.1.3. Iniciativas de divulgação de recursos existentes, na área geográfica da ULisboa, que facilitem a conciliação trabalho-família				
Ação/ Iniciativa 4								
4.2 Divulgar as oportunidades existentes, nos termos da lei, para o gozo de flexibilidade de horário e de local de trabalho, considerando as necessidades específicas de cada indivíduo.	**Responsável**	**Orçamento previsto**	**Prazo de implementação**	**Indicadores de medida**	**Realizações**	**Monitorização 1**	**Monitorização 2**	**Monitorização 3**
Ação/ Iniciativa 1 - Realização de documento de divulgação das oportunidades existentes, nos termos da lei, e respetiva tramitação interna de suporte parental (e.g. ter em atenção as licenças de parentalidade nos processos de avaliação de desempenho, apoiar a progressão na carreira para quem usa licenças de parentalidade)	Paula Silveira		Até Setembro	4.2.1. Iniciativas de suporte parental (e.g. ter em atenção as licenças de parentalidade nos processos de avaliação de desempenho, apoiar a progressão na carreira para quem usa licenças de parentalidade)				
Ação/ Iniciativa 2 - Realização de documento de divulgação das oportunidades existentes, nos termos da lei, e respetiva tramitação interna, relativas às modalidades de horário para funcionários não docentes, Horário flexível. Horário contínuo. Horário rígido. Horário desfasado. Isenção de horário.	Paula Silveira		Até Setembro	4.2.2. Modalidades de horário para funcionários não docentes. Horário flexível. Horário contínuo. Horário rígido. Horário desfasado. Isenção de horário.				
Ação/ Iniciativa 3								
Ação/ Iniciativa 4								
4.3 Promover os direitos de proteção e assistência à família (e.g., licença de parentalidade) e os recursos (e.g., creche, protocolos com ATL, prática desportiva e de tempos livres, atividades culturais) que possam apoiar os membros da comunidade académica e seus familiares no seu desenvolvimento pessoal.	**Responsável**	**Orçamento previsto**	**Prazo de implementação**	**Indicadores de medida**	**Realizações**	**Monitorização 1**	**Monitorização 2**	**Monitorização 3**
Ação/ Iniciativa 1 - elaboração de proposta à presidência da FMV de procedimento mais favorável para análise e autorização de pedidos de licença de parentalidade, teletrabalho, horário contínuo e semana de quatro dias.	Paula Silveira		Até Junho	4.3.1. Iniciativas de ajustamento de local e horário de trabalho (e.g. oportunidades de teletrabalho, horários contínuos, semanas de quatro dias)				
Ação/ Iniciativa 2								
Ação/ Iniciativa 3								
Ação/ Iniciativa 4								
5. Investigação e Ensino								
Objetivo: Pugnar para que os princípios da igualdade de género, inclusão e não discriminação estejam presentes nas principais atividades de investigação e nas diferentes vertentes do ensino.								
Medidas:								
5.1 Promover a incorporação, sempre que adequado, de variáveis relacionadas com o sexo, género e outras componentes discriminatórias nos estudos e projetos a desenvolver.	**Responsável**	**Orçamento previsto**	**Prazo de implementação**	**Indicadores de medida**	**Realizações**	**Monitorização 1**	**Monitorização 2**	**Monitorização 3**
Ação/ Iniciativa 1 - Elaborar proposta de inclusão de fatores de ponderação relacionados com a paridade nos critérios de avaliação de candidaturas a estudos e projetos internos do CIISA.	Dr Mingachos + Miguel Cardo		Até Junho	5.1.1. Dados desagregados por género na investigação. Direção de Unidades de I&D. Investigador Responsável de Projetos Financiados. 1º autor de publicações ou edições de publicações. Prémio da Ulisboa/CGD (prémios e menções honrosas atribuídas).				
Ação/ Iniciativa 2								
Ação/ Iniciativa 3								
Ação/ Iniciativa 4								
5.2 Incentivar e divulgar os resultados de investigação ligados a uma perspetiva de igualdade de género, inclusão e não discriminação.	**Responsável**	**Orçamento previsto**	**Prazo de implementação**	**Indicadores de medida**	**Realizações**	**Monitorização 1**	**Monitorização 2**	**Monitorização 3**
Ação/ Iniciativa 1								
Ação/ Iniciativa 2								
Ação/ Iniciativa 3								
Ação/ Iniciativa 4								
5.3 Incorporar, sempre que adequado, os temas da igualdade de género e inclusão nos planos de estudo.	**Responsável**	**Orçamento previsto**	**Prazo de implementação**	**Indicadores de medida**	**Realizações**	**Monitorização 1**	**Monitorização 2**	**Monitorização 3**
Ação/ Iniciativa 1 - Enviar correspondência ao Conselho pedagógico da FMV no sentido de avaliar a possibilidade de incorporar na receção aos estudantes o tema da igualdade de género e inclusão.	Dr Mingachos + Miguel Cardo		Até junho					
Ação/ Iniciativa 2								
Ação/ Iniciativa 3								
Ação/ Iniciativa 4								
5.4 Incentivar a criação de unidades curriculares ou outras ações de formação nas áreas da igualdade de género, inclusão e não discriminação.	**Responsável**	**Orçamento previsto**	**Prazo de implementação**	**Indicadores de medida**	**Realizações**	**Monitorização 1**	**Monitorização 2**	**Monitorização 3**
Ação/ Iniciativa 1 - Desencadear os contactos necessários para avaliar a possibilidade de criação de uma Unidade curricular opcional nas áreas da igualdade de género, inclusão e não discriminação, com a participação de docentes de outras escolas da Ulisboa.	Dr Mingachos + Miguel Cardo		Até junho					
Ação/ Iniciativa 2								
Ação/ Iniciativa 3								
Ação/ Iniciativa 4								
5.5 Monitorizar as principais vertentes da investigação e ensino (publicações, financiamentos, matrículas em ciclos de estudo, sucesso escolar, etc.) a partir de variáveis relevantes para a igualdade de género, inclusão e não discriminação.	**Responsável**	**Orçamento previsto**	**Prazo de implementação**	**Indicadores de medida**	**Realizações**	**Monitorização 1**	**Monitorização 2**	**Monitorização 3**
Ação/ Iniciativa 1 - Monitorização dos dados relevantes das variáveis para a igualdade de género, inclusão e não discriminação nas principais vertentes da investigação e ensino (publicações, financiamentos, matrículas em ciclos de estudo, sucesso escolar, etc.)	Miguel Nunes		Prazo dependente dos prazos definidos na RIENO	5.5.1. Dados desagregados por género nos diferentes cursos para os estudantes				

Ação/ Iniciativa 2 - Monitorização dos dados relevantes das variáveis para a igualdade do género, inclusão e não discriminação nas principais vertentes da investigação e ensino (publicações, financiamentos, matrículas em ciclos de estudo, sucesso escolar, etc.)	Miguel Nunes	Prazo dependente dos prazos definidos na RIIND	S.S.2. Dados desagregados por género nos diplomados da FMV. (Licenciatura. Mestrado. Doutoramento)
Ação/ Iniciativa 3 - Monitorização dos dados relevantes das variáveis para a igualdade de género, inclusão e não discriminação nas principais vertentes da investigação e ensino (publicações, financiamentos, matrículas em ciclos de estudo, sucesso escolar, etc.)	Miguel Nunes	Prazo dependente dos prazos definidos na RSIND	S.S.3. Participação em programas de mobilidade. Estudantes participantes em programas de mobilidade. Estudantes bolseiros dos SASUL participantes em programas de mobilidade. Estudantes com estatuto de trabalhador-estudante participantes em programas de mobilidade
Ação/ Iniciativa 4 - Monitorização dos dados relevantes das variáveis para a igualdade de género, inclusão e não discriminação nas principais vertentes da investigação e ensino (publicações, financiamentos, matrículas em ciclos de estudo, sucesso escolar, etc.)	Miguel Nunes	Prazo dependente dos prazos definidos na RIIND	S.S.4. Dados desagregados por género referentes a estudantes bolseiros
Ação/ Iniciativa 5 - Monitorização dos dados relevantes das variáveis para a igualdade de género, inclusão e não discriminação nas principais vertentes da investigação e ensino (publicações, financiamentos, matrículas em ciclos de estudo, sucesso escolar, etc.)	Miguel Nunes	Prazo dependente dos prazos definidos na RIIND	S.S.5. Dados desagregados por género referentes a estudantes alojados (residências)