

International Foundation Against Infectious Diseases in Nigeria (IFAIN)



Institutional Governance, Compliance and Due Diligence Framework

1. Organisational Overview

The International Foundation Against Infectious Diseases in Nigeria (IFAIN) is a Nigerian-led non-profit research organisation dedicated to advancing scientific research, surveillance, and implementation science to combat infectious diseases across Nigeria and Africa.

The organisation works at the interface of research, public health policy, and health system strengthening, collaborating with governments, universities, research institutes, and global health organisations, and development partners.

Mission

To generate high-quality scientific evidence and strengthen institutional and national capacity for the prevention, detection, and control of infectious diseases in Nigeria and across Africa.

Strategic Focus Areas

- Infectious disease surveillance
- Antimicrobial resistance research
- Vaccine effectiveness studies
- Genomic surveillance
- Laboratory systems strengthening
- Digital health and data science
- Health systems implementation research
- Capacity building for African scientists
- Health Systems Strengthening

2. Governance Structure

IFAIN operates under a governance structure designed to ensure accountability, transparency, and strategic oversight.

Board of Trustees

The Board of Trustees provides overall governance oversight and is responsible for:

- organisational policy and strategy
- fiduciary oversight
- risk governance
- compliance with regulatory obligations
- appointment and oversight of the Chief Executive Officer

Executive Leadership

The Chief Executive Officer (CEO) provides strategic leadership and is responsible for:

- operational management
- programme delivery
- institutional partnerships
- financial stewardship
- organisational compliance

Senior Management Team

The Senior Management Team oversees:

- scientific programmes
- finance and operations
- partnerships and strategy
- monitoring and evaluation
- research governance.

3. Code of Conduct

IFAIN maintains a Code of Conduct that applies to all staff, consultants, partners, and volunteers.

The Code promotes a culture of:

- integrity
- professionalism
- respect
- accountability
- scientific excellence.

All personnel are expected to conduct themselves in a manner that upholds the reputation and values of the organisation.

4. Anti-Fraud, Corruption and Bribery Policy

IFAIN maintains a zero-tolerance policy towards fraud, corruption, bribery, and financial misconduct.

Key Controls

The organisation maintains strong financial and administrative controls including:

- segregation of duties
- independent financial oversight
- transparent procurement processes
- periodic internal and external audits
- donor compliance monitoring

All allegations of fraud or corruption are investigated promptly and may result in disciplinary or legal action.

5. Conflict of Interest Policy

IFAIN requires all staff, board members, and collaborators to disclose any actual or perceived conflicts of interest.

Conflicts may arise in relation to:

- procurement decisions
- research collaborations
- financial interests
- authorship and intellectual property.
- Roles of their family and close relations

All conflicts must be formally declared and managed to ensure transparency and impartiality.

6. Financial Management and Internal Controls

IFAIN operates robust financial management systems consistent with international donor standards.

Financial Governance

The organisation maintains:

- approved project budgets
- clear financial approval hierarchies
- documentation for all expenditures
- periodic financial reconciliation
- independent financial audits.

Accounting systems ensure accurate reporting and compliance with donor requirements.

7. Procurement and Contract Management Policy

IFAIN operates transparent procurement processes designed to ensure:

- fairness and competition
- value for money
- accountability
- compliance with donor procurement regulations

Procurement thresholds determine when competitive quotations or tenders are required.

Contracts with suppliers and service providers are documented and reviewed to ensure compliance with organisational and donor requirements.

8. Travel and Subsistence Policy

This policy outlines allowable travel and subsistence expenses for official organisational activities.

Key principles include:

- value for money
- compliance with donor guidelines
- prior travel approval
- documentation of expenses.

Air travel is normally undertaken in economy class unless justified for long-haul travel.

9. Safeguarding Policy

IFAIN is committed to protecting staff, children, vulnerable adults, research participants, and community members from harm, exploitation, or abuse.

Safeguarding Measures

The organisation ensures:

- safeguarding training for staff
- codes of conduct during fieldwork
- safe reporting mechanisms
- safeguarding risk assessments in programmes.

All safeguarding allegations are investigated promptly.

10. Anti-Bullying and Harassment Policy

IFAIN is committed to maintaining a workplace free from harassment, bullying, intimidation, and discrimination.

Unacceptable behaviours include:

- verbal, physical or emotional abuse
- sexual harassment
- discrimination
- workplace intimidation.

A formal grievance procedure allows staff to report concerns confidentially.

11. Risk Management Framework

IFAIN adopts a structured organisational risk management approach.

Risk Categories

Risks assessed include:

- financial risks
- operational risks
- research risks
- cybersecurity risks
- safeguarding risks
- reputational risks.

Every research project maintains a project risk register which is reviewed periodically.

12. Research Integrity and Responsible Conduct of Research

IFAIN adheres to internationally recognised standards for responsible research conduct.

Research Integrity Principles

The organisation promotes:

- scientific rigour
- transparency in data reporting
- responsible authorship
- ethical conduct of research and treatment of research participants.

All research involving human participants undergoes ethical review and approval by recognised ethics committees.

13. Research Misconduct Procedures

IFAIN maintains procedures for addressing allegations of research misconduct.

Research misconduct includes:

- fabrication of data
- falsification of results
- plagiarism
- unethical research practices.

Investigations are conducted transparently and may involve independent review panels.

14. Data Governance, Data Management and Cybersecurity

IFAIN ensures responsible management of research data and digital infrastructure.

Data Governance Principles

- controlled access to sensitive data
- secure storage systems
- compliance with data protection laws
- responsible data sharing practices.

Cybersecurity Measures

The organisation implements:

- secure digital infrastructure
- encrypted data systems
- access controls
- cybersecurity awareness training.

15. Trusted Research and Research Security

IFAIN adheres to international trusted research principles to ensure that research partnerships are conducted responsibly.

This includes:

- due diligence on collaborators
- conflict of interest declarations
- compliance with export control regulations
- ethical review of research activities.

These measures ensure research is conducted for legitimate scientific and public health purposes.

16. Grant and Project Management Framework

IFAIN maintains strong systems for managing donor-funded projects.

Grant Management Systems

The organisation ensures:

- clear project governance structures
- financial monitoring of grants
- milestone tracking
- compliance with donor reporting requirements.

Project managers oversee implementation and ensure alignment with project objectives.

17. Partnership Due Diligence Framework

Before entering collaborations, IFAIN conducts due diligence on partner organisations.

Due diligence assesses:

- governance structures
- financial integrity
- institutional reputation
- compliance capacity.

This ensures that partnerships maintain the highest ethical and scientific standards.

18. Environmental Sustainability Policy

IFAIN recognises the importance of reducing the environmental footprint of its operations.

The organisation promotes:

- reduced paper usage
- energy-efficient office practices
- environmentally responsible procurement
- sustainable travel practices.
- Responsible waste disposal

IFAIN also supports research on climate-sensitive infectious diseases.

19. Equality, Diversity and Inclusion Policy

IFAIN promotes diversity, equity, and inclusion across all organisational activities.

The organisation ensures:

- equitable recruitment practices
- gender equity in research participation
- inclusive engagement with communities.

Respect for cultural diversity is embedded across programmes.

20. Monitoring, Compliance and Policy Review

Implementation of these policies is overseen by the Chief Executive Officer and Senior Management Team, with strategic oversight from the Board of Trustees.

Policies are periodically reviewed to ensure alignment with:

- international governance standards
- donor requirements
- organisational growth.

Annex: Institutional Policy Library

The following policies form part of the IFAIN governance and compliance framework:

1. Anti-Bullying and Harassment Policy
2. Anti-Fraud and Anti-Corruption Policy
3. Code of Conduct
4. Conflict of Interest Policy
5. Data Governance and Cybersecurity Policy
6. Environmental Sustainability Policy
7. Equality, Diversity and Inclusion Policy
8. Financial Management Policy
9. Grant Management Framework
10. Institutional Risk Register
11. Laboratory Biosafety and Biosecurity Policy
12. Organisational Governance Charter
13. Partnership Due Diligence Policy
14. Procurement Policy
15. Research Governance Framework
16. Research Integrity Policy
17. Research Misconduct Procedures
18. Risk Management Framework
19. Safeguarding Policy
20. Travel and Subsistence Policy
21. Trusted Research Framework
22. Whistleblowing Policy

Annex 1

International Foundation Against Infectious Diseases in Nigeria (IFAIN)

Anti-Bullying and Harassment Policy

1. Purpose

To ensure a safe, respectful, and inclusive workplace free from harassment, bullying, or discrimination.

2. Scope

This policy applies to all staff, consultants, volunteers, and collaborators.

3. Policy Statement

IFAIN does not tolerate any form of bullying, harassment, or discrimination in the workplace or during organisational activities.

4. Examples of Unacceptable Behaviour

- Verbal, physical and emotional abuse or intimidation, including shouting at staff, using threatening language, or making verbal threats.
- Sexual harassment, including unwelcome sexual advances, comments, or conduct of a sexual nature.
- Discriminatory behaviour, including actions or remarks that demean or exclude individuals based on ethnicity, gender, religion, disability, age, or other protected characteristics.
- Workplace bullying, including cyberbullying and repeated behaviour that intimidates, undermines, or unfairly targets another person.
- Hostile, degrading, or humiliating conduct that creates an intimidating or unsafe working environment.
- Disrespect for personal boundaries

5. Reporting Procedures

Complaints may be reported to:

- Human resources or organisational leadership
- Confidential reporting mechanisms

6. Investigation Process

All complaints will be investigated promptly, fairly, and confidentially.

7. Disciplinary Measures

Where misconduct is confirmed, disciplinary actions may include:

- formal warning
- suspension
- termination of employment or contract
- reporting to relevant law enforcement agency as required by Nigeria laws

Annex 2

International Foundation Against Infectious Diseases in Nigeria (IFAIN)

Anti-Fraud and Anti-Corruption Policy

1. Purpose

The purpose of this policy is to ensure that IFAIN maintains the highest standards of integrity and transparency in all its operations. The organisation adopts a zero-tolerance approach to fraud, corruption, bribery, and financial misconduct.

2. Scope

This policy applies to:

- Board members
- Staff including consultants and contractors
- Volunteers
- Research collaborators
- Implementing partners and suppliers
- Community members engaged in research

3. Policy Statement

IFAIN is committed to ensuring that all organisational resources are used responsibly and for their intended purposes. Any act of fraud, bribery, corruption, or financial misrepresentation is strictly prohibited.

4. Definitions

Fraud: Intentional deception to secure unfair or unlawful gain.

Corruption: Abuse of entrusted power for private gain.

Bribery: Offering, giving, receiving, or soliciting something of value to influence a decision.

5. Prohibited Practices

The following practices are strictly prohibited:

- Bribery or facilitation payments
- Misappropriation of organisational funds
- Manipulation of procurement processes
- False financial reporting
- Personal use of organisational resources
- Undisclosed conflicts of interest

6. Prevention Measures

IFAIN implements the following controls:

- Segregation of financial duties
- Transparent procurement procedures
- Financial audits
- Budget oversight and expenditure approvals
- Documentation of all financial transactions
- Avoidance of cash transactions

7. Reporting Fraud or Corruption

All suspected cases must be reported through the Whistleblowing Mechanism.

Reports may be submitted confidentially to:

- The Chief Executive Officer
- Designated compliance officer
- Board governance or audit committee

8. Investigation and Disciplinary Action

All allegations will be investigated promptly. Confirmed misconduct may result in:

- Disciplinary action
- Termination of employment or contract
- Legal action where applicable including reporting to law enforcement agencies

Annex 3

INTERNATIONAL FOUNDATION AGAINST INFECTIOUS DISEASES IN NIGERIA (IFAIN)

CODE OF CONDUCT POLICY

1. PURPOSE

The IFAIN Code of Conduct defines the standards of ethical behaviour, professionalism, and integrity expected of all individuals associated with the organisation. It ensures that all activities are conducted in a manner consistent with IFAIN's mission, values, and obligations to funders, partners, research participants, and the communities we serve.

2. SCOPE

This policy applies to:

- All employees (full-time, part-time, temporary)
- Consultants and contractors
- Research fellows and students
- Volunteers and interns
- Members of the Board of Trustees
- Partner organisations acting on behalf of IFAIN

3. CORE VALUES

All conduct at IFAIN shall reflect the following principles:

- Integrity: Acting honestly, transparently, and ethically
- Excellence: Upholding the highest standards in research and operations
- Accountability: Taking responsibility for actions and decisions
- Equity & Inclusion: Promoting fairness, diversity, and respect
- Partnership & Collaboration: Fostering collaboration, shared humanity, and collective success

4. GENERAL STANDARDS OF CONDUCT

All personnel are expected to:

- Conduct themselves professionally at all times
- Treat colleagues, partners, and stakeholders with dignity and respect
- Comply with all applicable laws, regulations, and donor requirements
- Avoid behaviour that may bring IFAIN into disrepute
- Use organisational resources responsibly and only for authorised purposes

5. RESEARCH ETHICS AND INTEGRITY

IFAIN is committed to the highest standards of scientific integrity. All personnel must:

- Adhere to approved research protocols and ethical guidelines (e.g., NHREC, IRB approvals)
- Ensure informed consent and protection of research participants
- Maintain accuracy and honesty in data collection, analysis, and reporting
- Avoid fabrication, falsification, or plagiarism
- Disclose conflicts of interest in research activities
- Ensure appropriate authorship and acknowledgement of contributions

6. SAFEGUARDING AND PROTECTION

IFAIN has zero tolerance for abuse, exploitation, or harm.

All personnel must:

- Protect children, vulnerable populations, and research participants
- Avoid any form of sexual exploitation, abuse, or harassment
- Not engage in transactional sex or exploitative relationships
- Immediately report safeguarding concerns

7. ANTI-HARASSMENT AND NON-DISCRIMINATION

IFAIN promotes a safe and inclusive workplace.

Prohibited behaviours include:

- Harassment (verbal, physical, psychological, or sexual)
- Bullying or intimidation
- Discrimination based on gender, age, ethnicity, religion, disability, sexual orientation, or any protected status

All individuals have the right to a respectful work environment.

8. CONFLICT OF INTEREST

Personnel must:

- Declare any personal, financial, or professional interests that may influence their work
- Avoid situations where personal interests conflict with organisational responsibilities
- Not use their position for personal gain

All conflicts must be disclosed and documented.

9. FINANCIAL INTEGRITY AND ANTI-FRAUD

IFAIN maintains strict financial accountability.

All personnel must:

- Ensure accurate and transparent use of funds
- Follow procurement and financial management procedures
- Not engage in fraud, bribery, or corruption
- Avoid accepting or offering inappropriate gifts or inducements

10. CONFIDENTIALITY AND DATA PROTECTION

Personnel must:

- Protect confidential organisational, research, and personal data
- Comply with data protection regulations and agreements
- Not disclose sensitive information without authorization
- Ensure secure storage and handling of data

11. USE OF ORGANISATIONAL RESOURCES

IFAIN resources must be used responsibly:

- For official purposes only
- In a cost-effective and accountable manner
- In compliance with donor requirements

Misuse of resources is strictly prohibited.

12. SOCIAL MEDIA AND PUBLIC COMMUNICATION

Personnel must:

- Represent IFAIN professionally in all communications
- Avoid sharing confidential or sensitive information
- Ensure accuracy and integrity in public statements
- Seek appropriate approval for official communications

13. REPORTING MISCONDUCT

IFAIN encourages a culture of transparency and accountability.

All personnel have a duty to report:

- Ethical breaches
- Fraud or corruption
- Safeguarding concerns
- Misconduct or policy violations

Reports can be made through:

- Line managers
- HR or Compliance Officer
- Confidential whistleblowing channels

14. WHISTLEBLOWER PROTECTION

IFAIN prohibits retaliation against individuals who report concerns in good faith.

All reports will be:

- Treated confidentially
- Investigated promptly and fairly
- Addressed with appropriate action

15. DISCIPLINARY MEASURES

Violations of this Code may result in:

- Verbal or written warnings
- Suspension
- Termination of employment or contract
- Reporting to relevant authorities

Severity of action will depend on the nature of the violation.

16. IMPLEMENTATION AND TRAINING

IFAIN will:

- Provide regular training on the Code of Conduct
- Ensure all personnel sign acknowledgment of compliance
- Integrate the Code into onboarding and performance management

17. REVIEW AND UPDATES

This policy will be reviewed:

- Annually
- In response to regulatory or donor requirements
- As part of organisational governance strengthening

18. ACKNOWLEDGEMENT

All personnel must sign to confirm that they:

- Have read and understood the Code
- Agree to comply with its provisions
- Understand the consequences of violations

Annex 4

International Foundation Against Infectious Diseases in Nigeria (IFAIN)

Conflict of Interest Policy

1. Purpose

The purpose of this policy is to ensure that all decisions made within the International Foundation Against Infectious Diseases in Nigeria (IFAIN) are conducted with integrity, transparency, and impartiality.

This policy establishes procedures for identifying, declaring, and managing actual, potential, or perceived conflicts of interest that may arise during the conduct of organisational activities. Maintaining public trust and scientific credibility requires that decisions affecting research, procurement, partnerships, and financial management are free from undue influence or personal gain.

2. Scope

This policy applies to:

- Members of the Board of Trustees
- The Chief Executive Officer
- Senior Management Team
- All employees
- Consultants and contractors
- Volunteers
- Research collaborators
- Individuals involved in procurement or grant management decisions

The policy applies to both financial and non-financial conflicts of interest.

3. Policy Statement

IFAIN is committed to ensuring that organisational decisions are made solely in the best interests of the organisation and the public health mission it serves.

All individuals associated with IFAIN must:

- avoid situations where personal interests conflict with organisational responsibilities
- disclose any actual or potential conflicts of interest
- cooperate with procedures to manage or mitigate conflicts.

Failure to disclose relevant conflicts may result in disciplinary action.

4. Definition of Conflict of Interest

A conflict of interest arises when an individual's personal, financial, or professional interests could improperly influence—or appear to influence—their judgement or actions in relation to IFAIN's activities.

Conflicts may be:

Actual Conflict - A direct conflict currently exists.

Potential Conflict - Circumstances may lead to a conflict in the future.

Perceived Conflict- A reasonable third party might believe a conflict exists, even if none actually does.

5. Types of Conflicts of Interest

Financial Conflicts

Examples include:

- ownership or financial interest in a company supplying goods or services to IFAIN

- receiving payment (commission, honoraria) from organisations affected by IFAIN decisions
- holding shares in entities that may benefit from organisational decisions.

Professional Conflicts

Examples include:

- involvement in competing research projects
- personal relationships influencing professional decisions
- supervisory relationships involving family members.

Research Conflicts

Examples include:

- financial relationships with companies related to research outcomes
- undisclosed interests influencing research design or reporting
- personal gain linked to intellectual property arising from research.

6. Disclosure Requirements

All individuals covered by this policy must disclose conflicts:

- upon appointment or engagement with IFAIN
- annually
- whenever new conflicts arise

Disclosures should include:

- financial interests
- consulting relationships
- ownership of relevant companies
- close family relationships relevant to organisational decisions, operations and vendors or collaborators

7. Conflict of Interest Register

IFAIN maintains a Conflict of Interest Register to document disclosed conflicts.

The register is maintained by the Office of the Chief Executive Officer or designated compliance officer.

The register includes:

- name of the individual
- nature of the conflict
- date of disclosure
- mitigation measures implemented.

8. Management of Conflicts

When a conflict is identified, appropriate management actions may include:

- recusal from decision-making processes
- withdrawal from procurement or recruitment panels
- independent review of decisions
- disclosure in research publications

The appropriate response will depend on the nature and severity of the conflict.

9. Board-Level Conflicts

Members of the Board of Trustees must disclose conflicts related to:

- organisational partnerships
- financial decisions
- strategic collaborations

Board members with conflicts must recuse themselves from discussions or decisions where the conflict exists.

10. Conflicts in Procurement

Individuals involved in procurement processes must declare any relationship with potential suppliers.

Where conflicts exist:

- the individual must not participate in procurement decisions
- the procurement process must be independently reviewed.

11. Conflicts in Research

Researchers must disclose conflicts related to:

- funding sources
- industry collaborations
- intellectual property interests.

Where applicable, conflicts must also be disclosed in research publications and grant applications.

12. Failure to Disclose

Failure to disclose a conflict of interest may result in:

- disciplinary action
- removal from decision-making roles
- termination of employment or contract

In serious cases, misconduct may be reported to relevant authorities or funding organisations.

13. Responsibilities

Board of Trustees

Responsible for ensuring that organisational governance practices appropriately address conflicts of interest.

Chief Executive Officer

Responsible for:

- enforcing this policy
- ensuring disclosures are recorded
- managing conflicts appropriately

Staff and Collaborators

Responsible for:

- declaring conflicts of interest
- complying with mitigation measures

14. Training and Awareness

IFAIN will promote awareness of conflict of interest issues through:

- staff orientation programmes
- governance training
- research integrity training

15. Policy Review

This policy will be reviewed periodically to ensure alignment with:

- international governance standards
- donor compliance requirements
- organisational growth

Conflict of Interest Disclosure Form

Name:

Position:

1. Do you have any financial interests related to IFAIN activities?
☐ Yes ☐ No
2. Do you hold ownership or shares in any company that may interact with IFAIN?
☐ Yes ☐ No
3. Do you have consulting relationships that may affect your responsibilities?
☐ Yes ☐ No
4. Do you have family or personal relationships that may create conflicts?
☐ Yes ☐ No

If yes, please provide details:

Declaration

I confirm that the information provided above is accurate and complete.

Name:

Signature:

Date:

Annex 5

International Foundation Against Infectious Diseases in Nigeria (IFAIN)

Data Management and Cybersecurity Policy

1. Purpose

To ensure the responsible management, protection, and security of organisational and research data.

2. Scope

Applies to all staff, researchers, consultants, and partners handling organisational data.

3. Data Governance Principles

IFAIN ensures that data is:

- accurate
- secure
- ethically collected
- responsibly shared

4. Data Security Measures

Measures include:

- controlled access to sensitive data
- password protection
- secure cloud storage systems
- regular data backups
- encryption for sensitive datasets

5. Cybersecurity Protection

The organisation implements:

- secure digital infrastructure
- system monitoring
- cybersecurity awareness training

6. Data Sharing

Data sharing must comply with:

- ethical approvals
- data protection regulations
- institutional agreements.

International Foundation Against Infectious Diseases in Nigeria (IFAIN)

Environmental Sustainability Policy

1. Purpose

This policy outlines IFAIN's commitment to environmentally responsible operations.

2. Policy Statement

IFAIN recognises the importance of reducing environmental impact while advancing global health research.

3. Sustainability Commitments

The organisation promotes:

- reduced paper usage through digital systems
- energy-efficient office practices
- environmentally responsible procurement
- responsible waste management; where possible reduce, reuse or recycle
- sustainable travel practices
- adherence to environmental laws and regulations
- environmental awareness and education

4. Climate-Sensitive Health Research

IFAIN also supports research examining the relationship between environmental change and infectious diseases.

5. Implementation

Environmental sustainability considerations are integrated into policies, decision making processes, programme design and organisational operations.

Annex 7

INTERNATIONAL FOUNDATION AGAINST INFECTIOUS DISEASES IN NIGERIA (IFAIN) EQUALITY, DIVERSITY AND INCLUSION (EDI) POLICY

1. PURPOSE

IFAIN is committed to fostering an inclusive, equitable, and respectful environment where all individuals are valued and able to contribute fully.

This policy establishes the principles and framework through which IFAIN promotes:

- Equal opportunity
- Diversity of perspectives and backgrounds
- Inclusion in all organisational processes and partnerships

2. SCOPE

This policy applies to all aspects of IFAIN's work, including:

- Recruitment and employment
- Research design and implementation
- Partnerships and collaborations
- Community engagement
- Capacity building and training
- Governance and leadership

3. POLICY STATEMENT

IFAIN is committed to:

- Providing equal opportunities for all individuals regardless of background
- Promoting diversity across all levels of the organisation
- Ensuring inclusive participation in research and programme implementation
- Eliminating discrimination, harassment, and exclusion
- Embedding EDI principles into organisational culture and decision-making

4. DEFINITIONS

- Equality: Fair treatment and access to opportunities for all individuals
- Diversity: Representation of different identities, experiences, and perspectives
- Inclusion: Creating an environment where all individuals feel respected, valued, and able to participate fully

5. GUIDING PRINCIPLES

IFAIN's EDI approach is grounded in:

- Equity over uniformity – recognising different needs and addressing barriers
- Respect for human dignity – valuing all individuals
- Participation and voice – ensuring inclusive decision-making
- Accountability – embedding EDI into systems and leadership

6. NON-DISCRIMINATION

IFAIN prohibits discrimination on the basis of:

- Gender or gender identity
- Age
- Ethnicity or nationality
- Religion or belief
- Disability
- Marital status
- Socioeconomic background
- Any other protected or relevant characteristic

All decisions must be based on merit, fairness, and organisational need.

7. INCLUSIVE RECRUITMENT AND EMPLOYMENT

IFAIN will:

- Use transparent and merit-based recruitment processes
- Promote diversity in hiring panels
- Ensure fair access to opportunities
- Provide reasonable accommodations for persons with disabilities
- Promote gender balance and representation in leadership
- Support flexible working arrangements where feasible

8. INCLUSIVE WORKPLACE CULTURE

IFAIN is committed to creating a workplace where:

- All individuals feel safe, respected, and valued
- Diverse perspectives are encouraged and heard
- Bullying, harassment, and exclusion are not tolerated
- Staff well-being is prioritised

9. EDI IN RESEARCH AND PROGRAMMES

IFAIN will integrate EDI principles into research and implementation by:

- Ensuring inclusive study designs
- Engaging diverse populations and communities
- Considering gender and social determinants of health
- Addressing barriers to participation
- Ensuring equitable access to interventions

10. PARTNERSHIP AND COLLABORATION

IFAIN will:

- Promote equitable partnerships, particularly with local and African institutions
- Avoid extractive research practices
- Ensure fair recognition of contributions (e.g., authorship, leadership roles)
- Support capacity strengthening among partners

11. ACCESSIBILITY AND ACCOMMODATION

IFAIN will:

- Provide reasonable accommodations for staff and participants with disabilities
- Ensure accessibility in physical and virtual environments
- Adapt communication formats where necessary

12. PREVENTION OF HARASSMENT AND EXCLUSION

IFAIN has zero tolerance for:

- Harassment (including sexual harassment)
- Bullying or intimidation
- Microaggressions or exclusionary behaviour

All concerns will be taken seriously and addressed promptly.

13. REPORTING AND COMPLAINTS

Individuals are encouraged to report EDI-related concerns through:

- Line managers
- HR or Compliance Unit
- Confidential reporting channels

All complaints will be:

- Treated confidentially
- Investigated fairly and promptly
- Addressed with appropriate corrective action

14. ROLES AND RESPONSIBILITIES

Board of Trustees

- Provide oversight and strategic direction on EDI

CEO and Senior Management

- Ensure implementation and accountability

HR and Compliance Units

- Monitor compliance and handle complaints
- Provide guidance and training

All Staff and Partners

- Uphold EDI principles in daily work

15. TRAINING AND CAPACITY BUILDING

IFAIN will:

- Provide regular EDI training and awareness programmes
- Integrate EDI into onboarding processes
- Promote continuous learning and reflection

16. MONITORING AND EVALUATION

IFAIN will:

- Track diversity metrics (e.g., gender balance, representation)
- Assess inclusivity in programmes and partnerships
- Incorporate EDI indicators into performance management
- Report on EDI progress to leadership and donors

17. BREACHES AND DISCIPLINARY ACTION

Violations of this policy may result in:

- Formal warnings
- Mandatory training
- Disciplinary action
- Termination of employment or partnership

19. REVIEW AND UPDATES

This policy will be:

- Reviewed annually
- Updated based on organisational learning and donor expectations
- Strengthened through staff and partner feedback

Annex 8

INTERNATIONAL FOUNDATION AGAINST INFECTIOUS DISEASES IN NIGERIA (IFAIN)

FINANCIAL MANAGEMENT POLICY

1. PURPOSE

This policy establishes the framework for sound financial management, accountability, and transparency at IFAIN. It ensures that all financial resources are:

- Managed efficiently and responsibly
- Used in accordance with donor and regulatory requirements
- Properly recorded, monitored, and reported
- Protected against fraud, misuse, and financial risk

2. SCOPE

This policy applies to all financial activities, including:

- Budgeting and planning
- Fund management and disbursement
- Procurement and payments
- Accounting and financial reporting
- Asset management
- Sub-award and partner fund management
- Audit and compliance

3. GUIDING PRINCIPLES

IFAIN's financial management is guided by:

- Accountability: Clear responsibility for financial decisions
- Transparency: Accurate and open financial reporting
- Value for Money: Efficient use of resources
- Compliance: Adherence to donor, statutory, and regulatory requirements
- Segregation of Duties: Separation of financial responsibilities to reduce risk
- Integrity: Zero tolerance for fraud and corruption

4. FINANCIAL GOVERNANCE STRUCTURE

Board of Trustees

- Provides financial oversight and approves annual budgets
- Reviews audited financial statements

CEO

- Overall accountability for financial management

Finance Manager / CFO

- Day-to-day financial operations
- Financial reporting and compliance
- Budget monitoring

Programme Leads

- Budget ownership and expenditure oversight

Finance Team

- Transaction processing, record keeping, and reporting

5. BUDGETING AND FINANCIAL PLANNING

- Annual organisational and project budgets must be developed and approved
- Budgets must align with strategic priorities and donor requirements
- All project budgets must be approved before implementation
- Budget revisions require formal approval

6. ACCOUNTING SYSTEMS AND RECORD KEEPING

IFAIN will:

- Maintain a reliable accounting system (e.g., QuickBooks or equivalent)
- Record all financial transactions accurately and timely
- Maintain supporting documentation for all transactions
- Ensure records are retained in line with donor and statutory requirements

7. BANKING AND CASH MANAGEMENT

7.1 Bank Accounts

- All funds must be held in approved institutional bank accounts
- Separate accounts may be maintained for specific projects where required

7.2 Signatories

- At least two authorised signatories required for transactions
- Signatories must be approved by the Board

7.3 Cash Handling

- Cash transactions should be minimised
- Petty cash must be controlled with strict limits and documentation

8. EXPENDITURE MANAGEMENT

All expenditures must:

- Be budgeted and authorised
- Be supported by valid documentation (invoices, receipts)
- Follow procurement and approval procedures
- Represent value for money

9. PROCUREMENT AND PAYMENTS

9.1 Procurement

- Transparent and competitive procurement processes must be followed
- Multiple quotations required above defined thresholds
- Conflict of interest must be declared

9.2 Payments

- Payments must be approved before processing
- Payment methods include bank transfers and approved digital systems
- No payments without supporting documentation

10. PAYROLL AND STAFF COSTS

- Salaries must be approved and aligned with contracts
- Payroll must be processed through formal systems
- Statutory deductions must be remitted as required
- Timesheets must be used for staff working across projects

11. FINANCIAL REPORTING

IFAIN will:

- Produce monthly, quarterly, and annual financial reports
- Provide donor-specific financial reports as required
- Ensure reports are accurate, timely, and compliant

12. MONITORING AND BUDGET CONTROL

- Regular budget vs. actual expenditure analysis must be conducted
- Variances must be explained and addressed
- Programme leads are accountable for budget performance

13. SUB-AWARD AND PARTNER FINANCIAL MANAGEMENT

IFAIN will:

- Conduct due diligence on partners before fund disbursement
- Use formal agreements with clear financial terms
- Disburse funds in tranches linked to deliverables
- Require financial reporting and supporting documentation
- Conduct audits where necessary

14. INTERNAL CONTROLS

IFAIN maintains strong internal controls, including:

- Segregation of duties
- Approval hierarchies
- Regular reconciliations (bank, cash, accounts)
- Documentation and audit trails
- Access controls for financial systems

15. FRAUD, BRIBERY, AND CORRUPTION

IFAIN has zero tolerance for:

- Fraud or financial mismanagement
- Bribery or corruption
- Misuse of funds

All suspected cases must be reported and investigated promptly.

16. ASSET MANAGEMENT

- All assets must be recorded in an asset register
- Assets must be tagged and tracked
- Regular asset verification must be conducted
- Disposal of assets must follow approved procedures

17. AUDIT AND ASSURANCE

17.1 Internal Audit

- Periodic internal reviews of financial processes

17.2 External Audit

- Annual independent audit of financial statements
- Compliance with donor audit requirements

18. FOREIGN EXCHANGE MANAGEMENT

IFAIN will:

- Monitor exchange rate risks for foreign-funded projects
- Maintain foreign currency accounts where necessary
- Use appropriate exchange rate policies
- Document exchange gains/losses transparently

19. DOCUMENT RETENTION

- Financial records must be retained for at least 5 years (or as required by donors)
- Records must be securely stored and accessible for audit

20. ROLES AND RESPONSIBILITIES

Role	Responsibility
Board	Oversight and approval
CEO	Overall accountability
Finance Manager	Financial operations and reporting
Programme Leads	Budget management
Staff	Compliance with procedures

21. TRAINING AND CAPACITY BUILDING

IFAIN will:

- Train staff on financial policies and procedures
- Build financial management capacity across teams
- Ensure understanding of donor requirements

22. NON-COMPLIANCE AND SANCTIONS

Violations may result in:

- Disciplinary action
- Recovery of funds
- Termination of employment or contracts
- Reporting to authorities and donors

23. REVIEW AND UPDATES

This policy will be:

- Reviewed annually
- Updated based on regulatory and donor requirements
- Strengthened through audit findings and organisational learning

Annex 9

IFAIN Grant Management and Compliance Policy

1. Purpose

This policy establishes procedures for the effective management of grants and donor-funded projects within IFAIN.

It ensures that grant resources are managed responsibly and that project implementation complies with donor regulations.

2. Scope

This policy applies to:

- all donor-funded projects administered by IFAIN
- principal investigators and project leads
- finance and administrative staff
- collaborating institutions managing sub-awards.

3. Grant Lifecycle Management

Grant management within IFAIN follows a structured lifecycle:

1. Proposal development
2. Grant award acceptance
3. Project implementation
4. Financial management
5. Monitoring and reporting
6. Project close-out.

4. Roles and Responsibilities

Principal Investigators / Project Leads

Responsible for:

- scientific and technical leadership
- implementation of project activities
- adherence to project timelines.

Finance and Administration

Responsible for:

- financial oversight of grants
- budget monitoring
- compliance with donor financial requirements.

Organisational Leadership

Responsible for ensuring institutional compliance with donor obligations.

5. Financial Management of Grants

Grant funds must be used solely for approved project activities.

Financial controls include:

- approved project budgets
- documented expenditures
- regular financial monitoring
- periodic financial reporting to donors.

6. Monitoring and Reporting

Project teams must provide:

- technical progress reports
- financial reports
- monitoring and evaluation outputs.

Reports must comply with donor reporting schedules.

7. Sub-awards and Partner Management

When working with partner institutions, IFAIN ensures that:

- sub-awards are governed by formal agreements
- partners comply with donor requirements
- financial and programmatic oversight is maintained.

8. Compliance with Donor Requirements

All grants must comply with:

- donor funding agreements
- financial regulations
- ethical research requirements.

9. Grant Close-out

At project completion, the following activities are required:

- submission of final technical reports
- financial reconciliation
- archiving of project documentation.

10. Policy Review

This policy will be reviewed periodically to ensure alignment with evolving funding landscapes.

Annex 10

International Foundation Against Infectious Diseases in Nigeria (IFAIN)

IFAIN Institutional Risk Register

Purpose

The Institutional Risk Register provides a structured mechanism for identifying, assessing, and mitigating risks that may affect the operations, programmes, and reputation of IFAIN. Risk management is integrated into organisational governance to ensure that risks are proactively managed and opportunities for improvement are identified.

Risk Assessment Framework

Risks are assessed using two dimensions:

Likelihood

- 1 – Rare
- 2 – Unlikely
- 3 – Possible
- 4 – Likely
- 5 – Almost Certain

Impact

- 1 – Insignificant
- 2 – Minor
- 3 – Moderate
- 4 – Major
- 5 – Severe

Risk Rating = Likelihood × Impact

Institutional Risk Register

Risk Category	Risk Description	Likelihood	Impact	Risk Rating	Mitigation Measures
Financial	Misuse or mismanagement of project funds	2	5	10	Strong financial controls, segregation of duties, audits
Operational	Delays in project implementation	3	3	9	Project monitoring systems, milestone tracking
Compliance	Non-compliance with donor regulations	2	4	8	Grant compliance reviews and internal audits
Reputational	Scientific misconduct or ethical breach	2	5	10	Research integrity policies and ethics review
Data Security	Data breach or cyberattack	3	4	12	Secure servers, cybersecurity training
Safeguarding	Harm to research participants or communities	1	5	5	Safeguarding training and reporting systems
Partnership	Collaboration with non-compliant partners	2	4	8	Partner due diligence procedures
Human Resources	Loss of key personnel	3	3	9	Succession planning and talent development

Risk Monitoring

The risk register is reviewed:

- Quarterly by Senior Management
- Annually by the Board of Trustees
- During project inception for donor-funded projects

Annex 11:

IFAIN Laboratory Biosafety and Biosecurity Policy

1. Purpose

This policy establishes procedures to ensure the safe handling, storage, and management of biological materials used in research activities conducted or supported by IFAIN.

The policy promotes compliance with international biosafety and biosecurity standards.

2. Scope

This policy applies to:

- laboratories conducting research under IFAIN projects
- laboratory staff and researchers
- collaborating institutions handling biological materials.

3. Biosafety Principles

All laboratory work must follow internationally recognised biosafety principles, including:

- protection of laboratory personnel
- prevention of environmental contamination
- safe handling of infectious materials.

4. Risk Assessment

Before laboratory work begins, risk assessments must be conducted to evaluate:

- potential biological hazards
- required containment measures
- appropriate biosafety levels.

5. Laboratory Safety Practices

Laboratories must implement:

- staff training on biosafety and biosecurity policies and practices
- standard operating procedures for handling pathogens
- use of appropriate personal protective equipment
- safe waste disposal practices
- incident reporting systems.

6. Biosecurity Measures

Biosecurity measures ensure that biological materials are not misused.

These measures include:

- controlled access to laboratory facilities
- inventory management of biological materials
- secure storage of samples.

7. Training and Competency

Laboratory personnel must receive appropriate training in:

- biosafety and biosecurity policies and practices
- laboratory safety protocols
- incident response procedures.

8. Incident Reporting

Any laboratory accident, exposure, or biosafety breach must:

- be reported immediately to organisational leadership and relevant authorities
- be evaluated with a root-causes analysis, with appropriate documentation made
- have remedial processes implemented to forestall a repeat

9. Compliance with National and International Standards

Laboratory work must comply with:

- national regulatory requirements
- international biosafety guidelines
- ethical research standards.

10. Policy Review

This policy will be reviewed periodically to ensure compliance with evolving biosafety standards.

Annex 12

International Foundation Against Infectious Diseases in Nigeria (IFAIN)

IFAIN Organisational Governance Charter

Purpose

This Governance Charter establishes the principles and structures guiding the governance of IFAIN to ensure accountability, transparency, and effective leadership.

Governance Principles

IFAIN operates according to the following principles:

- Accountability
- Transparency
- Ethical leadership
- Scientific excellence
- Responsible stewardship of resources

Governance Structure

Board of Trustees

The Board of Trustees provides strategic oversight and fiduciary governance.

Key responsibilities include:

- setting organisational policies and strategy
- approving annual budgets
- ensuring regulatory compliance
- overseeing risk management
- appointing and supervising the CEO

The Board meets periodically to review organisational performance.

Chief Executive Officer

The CEO is responsible for:

- strategic leadership
- operational management
- organisational growth
- stakeholder engagement
- implementation of Board policies.

The CEO reports directly to the Board of Trustees.

Senior Management Team

The Senior Management Team supports the CEO and oversees:

- programme delivery
- research governance
- finance and administration
- monitoring and evaluation
- partnerships and strategy.

Decision-Making Authority

Decision-making authority within IFAIN follows defined delegation structures to ensure clarity and accountability.

Major strategic decisions require Board approval, while operational decisions are managed by the executive leadership.

Governance Review

The Governance Charter is reviewed periodically to ensure alignment with:

- regulatory requirements
- international best practices
- organisational growth.

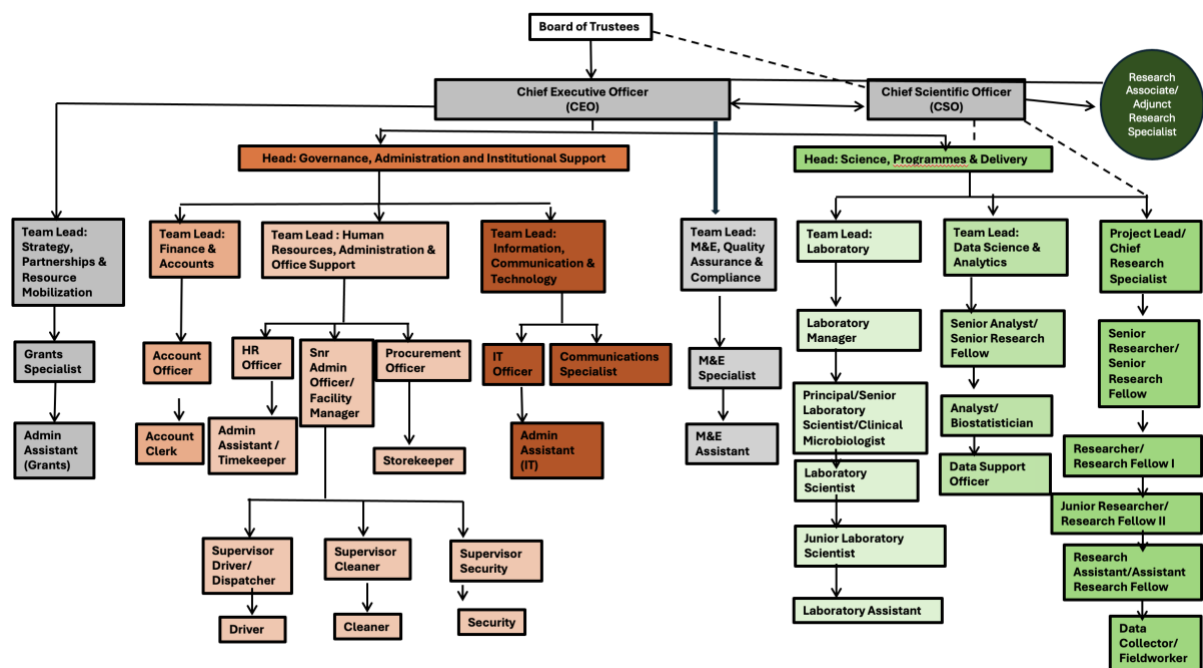


Figure: IFAIN Organisational Chart

Annex 13

INTERNATIONAL FOUNDATION AGAINST INFECTIOUS DISEASES IN NIGERIA (IFAIN) PARTNERSHIP DUE DILIGENCE POLICY

1. PURPOSE

This policy establishes a structured and transparent framework for assessing, approving, and managing partnerships to ensure that all collaborations entered into by IFAIN are:

- Ethical, lawful, and aligned with IFAIN's mission
- Financially and operationally sound
- Compliant with donor and regulatory requirements
- Low-risk and capable of delivering high-quality outputs

2. SCOPE

This policy applies to all partnerships including:

- Research collaborations
- Sub-awards and sub-contracts
- Consortium partnerships
- Technical service agreements
- Academic and institutional collaborations
- Private sector and NGO partnerships

3. GUIDING PRINCIPLES

All partnership decisions at IFAIN shall be guided by:

- Integrity: Ethical and transparent engagement
- Accountability: Clear roles, responsibilities, and reporting
- Value for Money: Efficient use of resources
- Equity: Fair and inclusive partnerships
- Risk Awareness: Proactive identification and mitigation of risks
- Alignment: Consistency with IFAIN's strategic goals

4. RISK-BASED APPROACH

IFAIN adopts a proportionate, risk-based due diligence approach, whereby:

- Higher-risk partnerships undergo enhanced due diligence
- Lower-risk partnerships undergo standard checks
- Risk level determines the depth of review, approval level, and monitoring frequency

5. DUE DILIGENCE PROCESS

5.1 Initiation

- Identification of potential partner
- Completion of Partnership Due Diligence Request Form
- Preliminary screening by Programme Lead

5.2 Risk Assessment

Each potential partner is assessed across the following domains:

A. Legal and Regulatory Compliance

- Registration status and legal identity
- Compliance with national laws and regulations
- Litigation history
- Sanctions and watchlist screening

B. Governance and Leadership

- Organisational structure and leadership
- Board oversight mechanisms
- Policies (Code of Conduct, Safeguarding, Anti-Fraud, etc.)
- Decision-making processes

C. Financial Capacity

- Financial statements (audited where available)
- Financial management systems (e.g., accounting software)
- Internal controls and audit history
- Ability to manage donor funds

D. Technical and Operational Capacity

- Track record in relevant projects
- Human resources and expertise
- Infrastructure and systems
- Delivery capacity

E. Safeguarding and Ethics

- Safeguarding policies and procedures
- Protection of vulnerable populations
- Ethical approvals and compliance (for research)

F. Reputation and Integrity

- References from previous partners
- Public reputation and media review
- History of misconduct or non-performance

G. Data Protection and Confidentiality

- Data management systems
- Compliance with data protection standards
- Information security practices

5.3 Risk Categorisation

Partners are classified as:

- Low Risk – Minimal concerns; standard monitoring
- Medium Risk – Some gaps; mitigation measures required
- High Risk – Significant concerns; enhanced controls or reconsideration

5.4 Approval Process

Risk Level	Approval Authority
Low	Programme Lead / Director
Medium	Senior Management Team
High	CEO and/or Board of Trustees

No partnership may proceed without documented approval.

6. RISK MITIGATION MEASURES

Where risks are identified, mitigation strategies may include:

- Capacity strengthening support
- Additional financial controls (e.g., tranche payments)
- Increased reporting requirements
- Joint implementation arrangements
- Enhanced monitoring and audits

7. PARTNERSHIP AGREEMENTS

All partnerships must be governed by formal agreements, including:

- Scope of work and deliverables
- Budget and payment terms

- Reporting requirements
- Compliance with donor regulations
- Intellectual property rights
- Data sharing and confidentiality clauses
- Safeguarding and ethical requirements
- Termination clauses

8. MONITORING AND OVERSIGHT

IFAIN ensures continuous oversight through:

- Regular technical and financial reporting
- Performance reviews against deliverables
- Periodic audits and site visits
- Risk reassessment during project lifecycle

9. SUB-CONTRACTOR MANAGEMENT

For sub-contractors, IFAIN will:

- Conduct full due diligence prior to engagement
- Ensure compliance with donor requirements
- Include clear contractual obligations
- Monitor performance and financial accountability
- Require evidence of deliverables before payment

10. DOCUMENTATION AND RECORD KEEPING

IFAIN will maintain records of:

- Due diligence assessments
- Supporting documentation (financials, policies, etc.)
- Risk ratings and approvals
- Contracts and agreements
- Monitoring reports

All records shall be securely stored and accessible for audit.

11. NON-COMPLIANCE AND TERMINATION

IFAIN reserves the right to:

- Suspend or terminate partnerships where risks are unacceptable
- Withhold payments for non-performance
- Report serious breaches to relevant authorities or funders

12. ROLES AND RESPONSIBILITIES

Programme Leads

- Initiate due diligence process
- Monitor partner performance

Finance Team

- Assess financial capacity and controls
- Monitor fund utilisation

Compliance/HR Unit

- Review policies and safeguarding measures

Senior Management

- Approve medium-risk partnerships
- Oversee risk management

Board of Trustees

- Approve high-risk or strategic partnerships

13. TRAINING AND CAPACITY BUILDING

IFAIN will:

- Train staff on due diligence procedures

- Provide guidance to partners on compliance expectations
- Strengthen partner capacity where necessary

14. REVIEW AND CONTINUOUS IMPROVEMENT

This policy will be:

- Reviewed annually
- Updated in line with donor requirements and best practices
- Strengthened based on lessons learned

Annex 14

International Foundation Against Infectious Diseases in Nigeria (IFAIN)

Procurement and Vendor Due Diligence Policy

1. Purpose

This policy establishes procedures for the procurement of goods, services, and works by IFAIN in order to ensure that all procurement activities are conducted in a transparent, fair, competitive, and accountable manner.

The policy ensures that organisational procurement practices meet the standards required by international funders and regulatory authorities.

2. Scope

This policy applies to:

- all staff involved in procurement activities
- consultants or contractors authorised to procure goods or services
- suppliers and vendors engaged by IFAIN
- procurement activities under donor-funded projects.

3. Procurement Principles

All procurement undertaken by IFAIN shall adhere to the following principles:

Transparency- Procurement processes must be open and documented.

Fair Competition- Qualified suppliers must have equal opportunity to compete.

Value for Money- Procurement decisions must ensure optimal use of organisational resources.

Accountability- Procurement decisions must be clearly documented and auditable.

4. Procurement Thresholds

Procurement procedures vary depending on the value of the procurement.

Low-Value Purchases- Routine purchases below defined thresholds may be approved by authorised officers with proper documentation.

Medium-Value Purchases- Require at least three written quotations from qualified suppliers.

High-Value Procurements- Require formal competitive tendering and review by senior management. Specific thresholds may be adjusted in accordance with donor requirements.

5. Vendor Due Diligence

Before engaging suppliers, IFAIN conducts due diligence to ensure that vendors meet acceptable standards.

Vendor assessments may include:

- verification of legal registration
- confirmation of tax compliance
- evaluation of financial stability
- assessment of reputation and past performance
- confirmation of absence of corruption or fraud concerns.

6. Conflict of Interest in Procurement

Staff involved in procurement must declare any conflicts of interest related to vendors or suppliers.

Individuals with conflicts must recuse themselves from procurement decisions.

7. Documentation and Record Keeping

All procurement transactions must be documented, including:

- purchase requests
- quotations or tenders
- vendor selection justification
- contracts or purchase orders
- invoices and payment records.

8. Contract Management

Contracts with vendors must clearly define:

- scope of work
- deliverables
- payment terms
- timelines
- compliance requirements.

9. Monitoring and Compliance

Procurement activities are subject to periodic review through:

- internal audits
- financial compliance reviews
- donor monitoring.

10. Policy Review

This policy will be reviewed periodically to ensure alignment with evolving donor requirements and organisational needs.

Annex 15

International Foundation Against Infectious Diseases in Nigeria (IFAIN) IFAIN Research Governance Framework

Purpose

The Research Governance Framework establishes standards for conducting high-quality, ethical, and responsible research within IFAIN.

It ensures compliance with international research standards and regulatory requirements.

Core Principles

IFAIN research activities are guided by:

- scientific integrity
- ethical conduct
- transparency
- respect for research participants
- responsible data management.

Ethical Review

All research involving human participants must obtain approval from a recognised ethics committee before commencement.

Research must comply with:

- national ethics regulations as defined by the Nigeria National Health Research Ethics Committee (NHREC), and other applicable national health ethics committee
- international research ethics standards.

Responsible Conduct of Research

IFAIN researchers must adhere to good scientific practice, including:

- accurate data collection and analysis
- transparent reporting
- responsible authorship
- avoidance of plagiarism and falsification.

Data Governance

IFAIN research data must be managed in accordance with:

- ethical approvals
- confidentiality requirements
- data protection laws.

Data access is restricted to authorised personnel.

Research Partnerships

IFAIN promotes responsible research collaboration.

All partners must demonstrate:

- ethical compliance
- institutional integrity
- alignment with research objectives.

Research Integrity Investigations

Allegations of research misconduct will be investigated according to established procedures.

Possible actions include:

- internal review
- independent investigation
- reporting to relevant regulatory authorities.

Research Capacity Building

IFAIN prioritises strengthening research capacity through:

- mentorship programmes
- training for early-career scientists
- collaborative research networks.

Monitoring and Compliance

Research activities are monitored to ensure compliance with:

- ethics approvals
- donor requirements
- organisational research standards.

Annex 16

INTERNATIONAL FOUNDATION AGAINST INFECTIOUS DISEASES IN NIGERIA (IFAIN) RESEARCH INTEGRITY POLICY

1. PURPOSE

This policy establishes the principles and standards that ensure all research conducted by or under the auspices of IFAIN is:

- Ethical and responsible
- Scientifically rigorous and credible
- Transparent and reproducible
- Compliant with national and international standards

2. SCOPE

This policy applies to:

- All research activities (clinical, epidemiological, laboratory, modelling, implementation research)
- All personnel involved in research
- All stages of research (design, conduct, analysis, reporting, dissemination)
- All collaborations and partnerships

3. POLICY STATEMENT

IFAIN is committed to upholding the highest standards of research integrity and ensuring that all research:

- Respects the dignity, rights, and safety of participants
- Generates reliable and valid evidence
- Contributes to public health impact and policy
- Is conducted free from misconduct or bias

4. CORE PRINCIPLES OF RESEARCH INTEGRITY

All research at IFAIN shall adhere to:

- Honesty – in all aspects of research
- Rigour – using appropriate and robust methodologies
- Transparency – in methods, data, and reporting
- Accountability – for research processes and outcomes
- Respect – for participants, communities, and colleagues
- Stewardship – responsible use of resources and data

5. ETHICAL APPROVAL AND COMPLIANCE

All research must:

- Obtain approval from relevant ethics committees (e.g., NHREC, institutional IRBs)
- Comply with national and international ethical guidelines
- Adhere to approved protocols
- Obtain informed consent from participants
- Ensure confidentiality and data protection

No research shall commence without ethical approval.

6. RESEARCH DESIGN AND CONDUCT

Researchers must:

- Use scientifically sound methodologies
- Ensure appropriate study design and sample size
- Maintain accurate and complete records
- Follow standard operating procedures (SOPs)
- Ensure quality assurance throughout the research process

7. DATA MANAGEMENT AND GOVERNANCE

IFAIN requires that:

- Data are collected, stored, and managed securely
- Data are accurate, complete, and verifiable
- Data sharing complies with agreements and ethical approvals
- Personal data are protected in line with regulations
- Data are retained for required periods

8. PUBLICATION AND AUTHORSHIP

IFAIN promotes responsible dissemination of research:

- Results must be reported honestly and without fabrication or falsification
- All contributors must be appropriately acknowledged
- Authorship must reflect actual contributions (aligned with international standards)
- Conflicts of interest must be disclosed
- Duplicate or redundant publication is prohibited

9. RESEARCH MISCONDUCT

Research misconduct includes:

- Fabrication: Making up data or results
- Falsification: Manipulating research processes or data
- Plagiarism: Using others' work without proper attribution
- Misrepresentation: Selective reporting or misleading interpretation

IFAIN has zero tolerance for misconduct.

10. CONFLICT OF INTEREST

All researchers must:

- Disclose any financial, professional, or personal interests
- Avoid situations that may compromise objectivity
- Ensure transparency in funding and affiliations

11. COLLABORATION AND PARTNERSHIPS

IFAIN will:

- Promote equitable and ethical collaborations
- Ensure clear agreements on roles, responsibilities, and authorship
- Avoid exploitative or extractive research practices
- Support capacity building among partners

12. SUPERVISION AND MENTORSHIP

IFAIN is committed to:

- Providing appropriate supervision for early-career researchers
- Promoting ethical research practices through mentorship
- Supporting capacity development in research integrity

13. SAFEGUARDING IN RESEARCH

Researchers must:

- Protect participants, especially vulnerable populations
- Minimise risk and harm
- Ensure confidentiality and privacy
- Report any safeguarding concerns

14. REPORTING AND INVESTIGATION OF MISCONDUCT

14.1 Reporting

Concerns about research misconduct can be reported to:

- Line managers
- Research leads

- Compliance or Ethics Officer
- Confidential reporting channels

14.2 Investigation

IFAIN will:

- Investigate allegations promptly and fairly
- Ensure confidentiality and due process
- Protect whistleblowers from retaliation

14.3 Outcomes

Depending on findings, actions may include:

- Correction or retraction of publications
- Disciplinary measures
- Reporting to funders or regulatory bodies

15. TRAINING AND CAPACITY BUILDING

IFAIN will:

- Provide training on research ethics and integrity
- Promote awareness of best practices
- Integrate research integrity into onboarding and professional development

16. MONITORING AND COMPLIANCE

IFAIN will:

- Monitor compliance with research protocols
- Conduct periodic audits and reviews
- Ensure adherence to donor and regulatory requirements

17. BREACHES AND DISCIPLINARY ACTION

Violations of this policy may result in:

- Disciplinary action
- Suspension or termination of research activities
- Withdrawal of funding
- Reporting to relevant authorities

18. REVIEW AND CONTINUOUS IMPROVEMENT

This policy will be:

- Reviewed annually
- Updated in line with evolving standards
- Strengthened through lessons learned

Annex 17

INTERNATIONAL FOUNDATION AGAINST INFECTIOUS DISEASES IN NIGERIA (IFAIN) RESEARCH MISCONDUCT PROCEDURES POLICY

1. PURPOSE

This policy establishes clear procedures for:

- Reporting, assessing, and investigating allegations of research misconduct
- Ensuring fairness, transparency, and confidentiality
- Protecting whistleblowers and respondents
- Maintaining the integrity and credibility of research conducted by IFAIN

2. SCOPE

This policy applies to:

- All research conducted by or under the auspices of IFAIN
- All individuals engaged in research activities
- All stages of research (design, conduct, analysis, publication)

3. DEFINITION OF RESEARCH MISCONDUCT

Research misconduct includes, but is not limited to:

- Fabrication: Making up data or results
- Falsification: Manipulating data, equipment, or processes
- Plagiarism: Using others' work without proper attribution
- Misrepresentation: Selective reporting or misleading interpretation
- Failure to obtain ethical approval
- Breach of confidentiality or data protection requirements
- Improper authorship practices
- Undisclosed conflicts of interest

Honest error or differences in interpretation do not constitute misconduct.

4. GUIDING PRINCIPLES

All procedures will be conducted in accordance with:

- Fairness and due process
- Confidentiality
- Impartiality
- Timeliness
- Protection of all parties involved
- Transparency of outcomes

5. ROLES AND RESPONSIBILITIES

CEO

- Overall accountability for integrity processes
- Approves investigation outcomes

Research Integrity/Compliance Officer

- Receives and manages allegations
- Coordinates investigations
- Maintains records

Investigation Panel

- Conducts independent and impartial investigations
- Provides findings and recommendations

HR Unit

- Supports disciplinary processes

Board of Trustees

- Oversight of serious or high-risk cases

6. REPORTING ALLEGATIONS

6.1 Who Can Report

- Staff, researchers, students
- Partners or collaborators
- Research participants or the public

6.2 How to Report

Reports may be submitted via:

- Email to designated Research Integrity Officer
- Line manager or supervisor
- Confidential whistleblowing channels

6.3 Information Required

Reports should include (where possible):

- Description of the alleged misconduct
- Names of individuals involved
- Supporting evidence
- Dates and context

Anonymous reports may be considered if credible.

7. INITIAL ASSESSMENT (SCREENING PHASE)

Upon receipt of an allegation:

- A preliminary assessment is conducted within 5–10 working days
- Determine whether:
 - The allegation falls within the definition of misconduct
 - There is sufficient information to proceed

Outcomes:

- Dismissal (if unfounded)
- Referral to other processes (e.g., HR grievance)
- Escalation to formal investigation

8. FORMAL INVESTIGATION PROCEDURE

8.1 Establishment of Investigation Panel

- Independent panel of at least 2–3 members
- Expertise relevant to the case
- No conflicts of interest

8.2 Investigation Process

The panel will:

- Review all evidence and documentation
- Interview relevant parties
- Assess research records and data
- Ensure fair hearing for the respondent

8.3 Timeline

- Investigations should be completed within 30 working days, where feasible

8.4 Standard of Proof

Decisions will be based on the balance of probabilities.

9. OUTCOMES AND DECISIONS

Possible findings:

- No misconduct
- Minor breach (requiring corrective action)
- Serious misconduct

9.1 Actions May Include

- Correction or retraction of publications
- Additional training or supervision
- Disciplinary action (warning, suspension, termination)
- Notification to funders, journals, or regulatory bodies

10. RIGHT OF RESPONSE AND APPEAL

- Respondents have the right to:
 - Be informed of allegations
 - Respond to evidence
 - Appeal decisions within a defined timeframe (e.g., 10–15 working days)
- Appeals will be reviewed by an independent authority

11. CONFIDENTIALITY

- All proceedings will be handled confidentially
- Information will be shared only on a need-to-know basis
- Identities of parties will be protected where possible

12. WHISTLEBLOWER PROTECTION

IFAIN prohibits retaliation against individuals who report concerns in good faith.

Protection measures include:

- Confidential handling of identity
- Protection from victimisation or discrimination
- Support throughout the process

13. RECORD KEEPING

IFAIN will maintain:

- Records of all allegations and investigations
- Evidence and documentation
- Decisions and actions taken

Records will be securely stored and retained in accordance with policy.

14. REPORTING TO EXTERNAL BODIES

IFAIN will report serious cases to:

- Research funders
- Ethics committees
- Journals or publishers
- Regulatory authorities

15. INTERIM MEASURES

Where necessary, IFAIN may:

- Suspend research activities
- Restrict access to data
- Reassign responsibilities

This is to protect participants, data integrity, and organisational reputation.

16. TRAINING AND AWARENESS

IFAIN will:

- Provide training on research integrity and misconduct
- Promote awareness of reporting mechanisms
- Encourage a culture of ethical research

17. MONITORING AND REVIEW

- All cases will be reviewed for lessons learned
- Policy effectiveness will be assessed periodically

- Improvements will be implemented where needed

18. BREACHES AND SANCTIONS

Failure to comply with this policy may result in:

- Disciplinary action
- Termination of employment or contract
- Withdrawal of funding
- Reporting to relevant authorities

20. REVIEW AND UPDATES

This policy will be:

- Reviewed annually
- Updated in line with evolving standards
- Strengthened based on institutional experience

Annex 18

INTERNATIONAL FOUNDATION AGAINST INFECTIOUS DISEASES IN NIGERIA (IFAIN) RISK MANAGEMENT FRAMEWORK

1. PURPOSE

This framework establishes a structured approach for identifying, assessing, managing, and monitoring risks that may impact IFAIN's:

- Strategic objectives
- Programme delivery
- Financial integrity
- Research quality and ethics
- Reputation and partnerships

2. OBJECTIVES

The Risk Management Framework aims to:

- Promote proactive risk identification and mitigation
- Strengthen decision-making and organisational resilience
- Ensure compliance with donor and regulatory requirements
- Protect staff, participants, assets, and data
- Enhance accountability and governance

3. SCOPE

This framework applies to all categories of risk, including:

- Strategic risks
- Operational risks
- Financial risks
- Research and ethical risks
- Reputational risks
- Safeguarding risks
- Legal and regulatory risks
- Partnership and sub-award risks

4. GUIDING PRINCIPLES

IFAIN's approach to risk management is guided by:

- Proportionality: Effort aligned with level of risk
- Integration: Embedded into all organisational processes
- Accountability: Clear ownership of risks
- Transparency: Open reporting and documentation
- Continuous Improvement: Learning and adaptation
- Resilience: Preparedness for uncertainty

5. RISK MANAGEMENT PROCESS

IFAIN adopts a five-step risk management cycle:

Step 1: Risk Identification

- Identify potential risks across all activities
- Use tools such as brainstorming, audits, and stakeholder consultations

Step 2: Risk Assessment

Each risk is assessed based on:

- Likelihood (Probability of occurrence)
- Impact (Consequences if risk occurs)

A risk score is calculated to prioritise risks.

Step 3: Risk Mitigation

Appropriate strategies are developed, including:

- Avoidance
- Reduction (controls and safeguards)
- Transfer (e.g., insurance, partnerships)
- Acceptance (for low-risk scenarios)

Step 4: Monitoring and Review

- Regular review of risk status
- Updating mitigation measures
- Tracking emerging risks

Step 5: Reporting

- Reporting to management and Board
- Integration into programme and financial reporting

6. RISK CATEGORIES

IFAIN classifies risks into the following categories:

6.1 Strategic Risks

- Misalignment with organisational goals
- Funding sustainability challenges
- Failure to achieve strategic objectives

6.2 Operational Risks

- Programme delivery delays
- Human resource constraints
- Systems and infrastructure failures

6.3 Financial Risks

- Misuse or mismanagement of funds
- Exchange rate fluctuations
- Budget overruns

6.4 Research and Ethical Risks

- Non-compliance with ethical standards
- Data integrity issues
- Research misconduct

6.5 Safeguarding Risks

- Harm to participants or vulnerable populations
- Sexual exploitation and abuse

6.6 Reputational Risks

- Negative publicity
- Poor stakeholder relationships
- Non-compliance with donor expectations

6.7 Legal and Regulatory Risks

- Non-compliance with laws and regulations
- Contractual disputes

6.8 Partnership Risks

- Weak partner capacity
- Non-compliance by sub-contractors
- Delivery failures

7. RISK SCORING MATRIX

Risks are assessed using a Likelihood × Impact matrix:

Impact \ Likelihood	Low (1)	Medium (2)	High (3)
Low (1)	1	2	3
Medium (2)	2	4	6
High (3)	3	6	9

Risk Levels

- 1–2: Low Risk (Monitor)
- 3–4: Medium Risk (Mitigate)
- 6–9: High Risk (Immediate action required)

8. RISK REGISTER

IFAIN will maintain a central Risk Register that includes:

- Risk description
- Risk category
- Likelihood and impact scores
- Risk rating
- Mitigation measures
- Risk owner
- Status and review date

9. ROLES AND RESPONSIBILITIES

Board of Trustees

- Provides oversight of organisational risk
- Reviews high-level risks

CEO

- Overall accountability for risk management
- Ensures framework implementation

Senior Management Team

- Identifies and manages risks within their areas
- Reports to the Board

Programme Leads

- Manage project-level risks
- Maintain risk registers

Finance Team

- Manage financial risks and controls

All Staff

- Identify and report risks
- Comply with mitigation measures

10. RISK APPETITE

IFAIN adopts a balanced risk appetite:

- Low tolerance for:
 - Fraud and corruption
 - Safeguarding violations
 - Research misconduct
- Moderate tolerance for:
 - Innovation-related risks

- Programme implementation challenges

11. RISK MITIGATION STRATEGIES

Examples include:

- Strong internal controls
- Staff training and capacity building
- Partner due diligence
- Insurance and legal safeguards
- Monitoring and evaluation systems
- Contingency planning

12. INCIDENT MANAGEMENT AND ESCALATION

- All incidents must be reported promptly
- High-risk incidents escalated to Senior Management and Board
- Corrective actions implemented immediately

13. BUSINESS CONTINUITY AND RESILIENCE

IFAIN will:

- Develop business continuity plans
- Ensure backup systems for data and operations
- Maintain emergency response protocols

14. MONITORING AND REPORTING

- Monthly programme-level risk reviews
- Quarterly organisational risk reports
- Annual Board-level risk review

15. TRAINING AND CAPACITY BUILDING

IFAIN will:

- Train staff on risk identification and management
- Promote a risk-aware organisational culture

16. INTEGRATION WITH OTHER POLICIES

This framework is aligned with:

- Financial Management Policy
- Partnership Due Diligence Policy
- Safeguarding Policy
- Research Integrity Policy
- Code of Conduct

17. COMPLIANCE WITH INTERNATIONAL STANDARDS

This framework aligns with:

- ISO 31000 Risk Management
- NIHR governance requirements
- Wellcome Trust risk expectations
- WHO risk management principles

18. REVIEW AND CONTINUOUS IMPROVEMENT

This framework will be:

- Reviewed annually
- Updated based on emerging risks
- Strengthened through audits and lessons learned

Annex 19

International Foundation Against Infectious Diseases in Nigeria (IFAIN) Safeguarding Policy

1. Purpose

This policy ensures that all individuals engaged with IFAIN activities are protected from abuse, exploitation, neglect, or harm.

2. Scope

Applies to:

- Staff
- Consultants
- Volunteers
- Research teams
- Community partners

3. Policy Statement

IFAIN is committed to safeguarding:

- Children
- Vulnerable adults
- Research participants
- Community members engaged in research
- IFAIN staff and researchers

4. Safeguarding Principles

The organisation commits to:

- preventing harm and exploitation
- promoting safe working environments
- responding promptly to safeguarding concerns

5. Safeguarding Measures

IFAIN implements:

- Safe recruitment practices including background checks, reference verification, and appropriate screening procedures may be conducted to ensure that staff and volunteers are suitable and safe to work with vulnerable individuals and communities.
- safeguarding training for staff
- codes of conduct for field activities
- safeguarding risk assessments for programmes
- reporting mechanisms for safeguarding incidents

6. Reporting Safeguarding Concerns

All safeguarding concerns must be reported immediately to designated organisational leadership.

All reports are handled confidentially and investigated appropriately.

Annex 20

INTERNATIONAL FOUNDATION AGAINST INFECTIOUS DISEASES IN NIGERIA (IFAIN)

TRAVEL AND SUBSISTENCE POLICY

1. PURPOSE

This policy provides guidelines for the planning, approval, and reimbursement of:

- Official travel
- Accommodation and meals
- Subsistence and incidental expenses

It ensures that travel is:

- Necessary and cost-effective
- Safe and compliant with donor requirements
- Properly documented and accounted for

2. SCOPE

This policy applies to:

- Domestic and international travel
- Field visits, conferences, trainings, and meetings
- Travel undertaken under donor-funded projects
- Travel by staff, consultants, and authorised participants

3. GUIDING PRINCIPLES

IFAIN travel shall be:

- Essential: Only undertaken when necessary
- Cost-effective: Value for money at all times
- Compliant: In line with donor and organisational rules
- Accountable: Fully documented and auditable
- Safe: Prioritising staff well-being and security

4. TRAVEL AUTHORISATION

4.1 Pre-Approval Requirement

All travel must be approved in advance using a Travel Authorisation Form.

4.2 Approval Levels

Travel Type	Approval Authority
Local/Project Travel	Programme Lead
National Travel	Director / Senior Management
International Travel	CEO

4.3 Travel Justification

Requests must include:

- Purpose of travel
- Expected outcomes
- Budget estimate
- Funding source

5. TRAVEL PLANNING AND BOOKING

- Travel must be booked in advance to secure best rates
- Economy class is the standard for all air travel
- Preferred vendors or approved travel agents should be used
- Travel itineraries must be documented

6. TRANSPORTATION

6.1 Air Travel

- Economy class for all staff
- Upgrades only with prior approval and justification

6.2 Ground Transportation

- Use of official vehicles where available
- Taxis or ride-hailing services (e.g., Uber/Bolt) permitted where necessary
- Car hire must be justified and approved

6.3 Mileage (if applicable)

- Reimbursement for use of personal vehicles at approved rates
- Must be supported by distance and purpose

7. ACCOMMODATION

- Must be reasonable, safe, and cost-effective
- Mid-range hotels are standard
- Luxury accommodation is not permitted unless justified and approved
- Receipts are required for reimbursement

8. DAILY SUBSISTENCE ALLOWANCE (DSA)

8.1 Definition

DSA covers:

- Meals
- Local transport (within city)
- Incidental expenses

8.2 Rates

- Rates will be based on:
 - Project Funder guidelines
 - IFAIN-approved internal rate schedule

8.3 Payment

- May be paid as per diem or reimbursed against receipts
- Must not result in double payment (e.g., meals already provided)

9. OTHER ELIGIBLE EXPENSES

Reimbursable expenses may include:

- Visa fees
- Travel insurance
- Conference registration fees
- Vaccinations (for international travel)
- Official communication expenses

All must be:

- Approved in advance
- Supported by receipts

10. NON-REIMBURSABLE EXPENSES

IFAIN will not reimburse:

- Personal expenses
- Alcohol (unless explicitly allowed by donor rules)
- Entertainment costs
- Fines or penalties
- Upgrades without approval

11. ADVANCES AND RECONCILIATION

11.1 Travel Advances

- May be issued prior to travel
- Must be approved and documented

11.2 Retirement of Advances

- Must be completed within 5–10 working days after travel
- Requires submission of:
 - Receipts
 - Travel report
 - Expense reconciliation

Unretired advances may be recovered from salary.

12. TRAVEL REPORTING

All travellers must submit a Travel Report, including:

- Purpose and outcomes of travel
- Key findings or deliverables
- Recommendations or next steps

13. HEALTH, SAFETY AND SECURITY

IFAIN will:

- Ensure travel risk assessments where necessary
- Provide guidance on safety and security
- Require compliance with local laws and regulations
- Support emergency response where needed

14. INSURANCE

- Appropriate travel insurance must be arranged for international travel
- Coverage should include:
 - Medical emergencies
 - Evacuation
 - Trip disruptions

15. COMPLIANCE WITH DONOR REQUIREMENTS

Where donor-funded:

- Donor travel policies take precedence
- Any deviations must be justified and approved

16. ROLES AND RESPONSIBILITIES

Travellers

- Comply with policy
- Ensure accurate reporting and documentation

Programme Leads

- Approve travel requests
- Ensure budget availability

Finance Team

- Process advances and reimbursements
- Verify compliance and documentation

Management

- Oversight of travel policy implementation

17. FRAUD AND MISUSE

Misuse of travel funds constitutes financial misconduct and may result in:

- Disciplinary action
- Recovery of funds
- Termination of employment or contract

18. RECORD KEEPING

All travel-related documents must be retained, including:

- Approvals
- Receipts
- Reports
- Reconciliation forms

19. REVIEW AND UPDATES

This policy will be:

- Reviewed annually
- Updated based on donor requirements and operational needs

Annex 21

International Foundation Against Infectious Diseases in Nigeria (IFAIN)

Trusted Research Framework

1. Purpose

This framework ensures that research conducted by IFAIN adheres to the highest standards of integrity, ethics, and security.

2. Core Principles

IFAIN research is guided by:

- ethical conduct
- scientific rigour
- transparency
- responsible collaboration

3. Research Governance

Research activities must undergo:

- ethical review
- institutional oversight
- peer review of protocols

4. Partner Due Diligence

All research partners are assessed for:

- institutional credibility
- compliance with ethical standards
- alignment with research objectives

5. Conflict of Interest

Researchers must disclose any financial or professional conflicts that may influence research outcomes.

6. Research Security

IFAIN ensures that research collaborations comply with international standards on research integrity and security.

Annex 22:

International Foundation Against Infectious Diseases in Nigeria (IFAIN)

Whistleblowing Policy

1. Purpose

This policy provides a safe and confidential mechanism for reporting concerns about wrongdoing within the organisation.

2. Scope

Applies to:

- Staff
- Consultants
- Volunteers
- Research partners
- Beneficiaries and stakeholders

3. Policy Statement

IFAIN encourages individuals to report concerns regarding misconduct, illegal activities, unethical practices, or risks to organisational integrity.

The organisation is committed to protecting whistleblowers from retaliation.

4. Reportable Concerns

Concerns may include:

- Fraud or corruption
- Financial misconduct
- Harassment or discrimination
- Safeguarding violations
- Research misconduct
- Misuse of organisational resources
- Cybersecurity breaches

5. Reporting Channels

Concerns may be reported through:

- Confidential email reporting mechanism
- Direct reporting to senior management
- Anonymous reporting mechanisms

6. Protection of Whistleblowers

IFAIN guarantees:

- Protection from retaliation
- Confidential handling of reports
- Fair and impartial investigation

7. Investigation Process

Reports will be reviewed and investigated by appropriate organisational leadership or designated committees.