


CLAIMS MECHANISM		Página 1 de 4	
Code: DO 07 Approval date: October 2 nd , 2017 Effective date: October 2 nd , 2017	Scope: All AVINA Prepared by: DCE Approved by: CEO		

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1. INTRODUCTION

In our commitment to transparency in management and open dialogue, Fundación Avina has created a space to receive any comments or concerns related to projects approved by Fundación Avina that present situations requiring the organization's attention and immediate action.

Through the present Claims Mechanism, Fundación Avina provides guidelines that apply to the concerns received and creates a space to: seek joint solutions to topics of interest and concern in communities; systematize the various situations that arise in terms of attention, monitoring, and solutions; and capture lessons learned to improve management and strengthen relationships of trust with all the communities where various actions are supported.

2. OBJECTIVE

To establish a mechanism through which anyone may submit concerns regarding the development of various projects with direct or indirect Fundación Avina participation, ensuring an effective channel for listening to and dialoguing with communities or individuals directly or indirectly related to the organization's activities.

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3. PRINCIPLES GOVERNING THE CLAIMS MECHANISM


Fundación Avina bases its management on the organizational values expressed in our Code of Ethical Conduct: respect, honesty, responsibility, solidarity, and modesty. These values reflect not only our institutional commitment, but also our expectations of the various actors with whom we associate. In addition, the values governing the Claims mechanism reaffirm:

- Our commitment to equity in both the processes and the outcomes.
- Our respect for freedom of expression from those within the organization as well as from outside parties.
- Our commitment to ensuring the existence of a platform to address concerns that may arise during the development of actions in the field.
- Our responsibility to consider each situation as part of the whole of our various actions to oversee in the field.
- Our will to constantly give attention to the application of the Claims mechanism process, at all hierarchical levels of the organization.
- Our openness to considering all possible solutions to situations that concerning individuals or communities that arise from activities tied to Fundación Avina's actions in the field.

4. GENERAL PROVISIONS FOR THE CLAIMS PROCESS

To ensure proper claims processing via the Claims Mechanism, Fundación Avina has established the following provisions:

- a. All claims must be directly related to an active project funded by Fundación Avina.
- b. Anonymous claims or claims without clear grounds will not be processed.
- c. Similarly, if the claimant cannot be contacted following receipt of the claim, the claim will not advance in the process.
- d. When claims are submitted to titled personnel, confidentiality will be maintained, if requested, to the degree transparency permits and, primarily, when the claim implies a potential threat to the claimant's integrity.
- e. Specific situations that previously have been reviewed and dismissed will not be considered unless new evidence is presented.
- f. Claims will be excluded in specific situations when the subject is actively involved in arbitration or judicial processes at the time of receipt of the claim.
- g. The project tied to the claim will not be suspended unless a final decision is made justifying its closure.

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- h. If a submitted claim relates to a potential conflict among the partners implementing an Avina-supported project and one or more communities or their representative(s), and it is determined necessary that the Foundation act as the deciding party, then Fundación Avina will apply the principles governing the present Claims mechanism, with particular focus on finding collaborative and transparent solutions to resolve the situation presented. In this manner, Fundación Avina promotes: (i) listening to all parties involved; (ii) recording and documenting relevant aspects to inform an institutional decision; (iii) making decision(s) that will not penalize the most vulnerable and will maintain institutional relationships among Fundación Avina and its partners; and (iv) formalizing an official communication to be shared with all parties regarding Avina's decision on the claim submitted.

5. INTERNAL RESPONSIBILITIES SURROUNDING THE CLAIMS MECHANISM


Strategic Communications Division will be responsible for making available a Claims form on Fundación Avina's web page www.avina.net for any interested party to present concerns to the organization in a transparent, open, easy, and simple manner.

This instruction ensures the exchanges corresponding to each situation can be attended to according to the nature of the Claim. In this way, everything associated with the claim will be transferred immediately to the **Risk Committee**¹ which will evaluate the commentary and initiate a process of review, evaluation, planning, solution seeking and response to the corresponding person. It is important to point out that each registered Claim will be treated jointly by the actors directly involved, whether internal or external to the organization.

6. FLOW OF ATTENTION TO CLAIMS

Upon claim receipt, it will be verified whether: (1) the claim is appropriately related to an active project, and (2) the situation described is clearly tied to this same project. Based on the initial information received, Fundación Avina will determine, in no more than 15 days, if the claim will advance in the process to consultations, with the participation of all actors involved. Based on the information collected, an action plan will be developed to establish the parties responsible for undertaking the various tasks identified to facilitate resolution of the situation in question. The

¹ The Risk Management Committee (RMC) is comprised of permanent members and temporary members who can be convened ad hoc as merited by specific risks. The permanent members include the Director of the Platform Innovation with Purpose, the Strategic Communications Director, and the Chief Financial Officer. The coordination for the RMC currently relies on the Director of Innovation with Purpose. It also has a Technical Secretariat's support.

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Risk Management Committee will monitor these actions closely. Upon conclusion of a proper investigation, a final decision will be made and formally communicated to all parties involved.

The time required for steps taken following receipt of the request (claim) will depend on the complexity of each case. Fundación Avina reserves the right to move forward within a time frame that will ensure due process.

The general management process applied to the Claims Mechanism is as follows:



7. CLAIMS REPORTS

The system lists all Claims made within a time period including the date, person's complete name, e-mail address, project in question, title and description of the Claim, and final resolution. In this way, one may simply access the historical detail of Claims registered and their corresponding status.

8. LANGUAGES

All claims may be submitted in Spanish, English or Portuguese. The respective language of the claim will serve as the basis for subsequent exchanges.