

STEWARDSHIP READINESS INSTITUTE

Ethics Review & Complaints Process

Version 1.0 — 2026

I. Purpose

The Stewardship Readiness Institute (SRI) maintains an Ethics Review and Complaints Process to ensure responsible deployment of Institute frameworks and to address concerns regarding certification conduct, institutional use, or ethical compliance.

This process supports accountability, transparency, and trust across all professional engagements involving SRI instruments.

II. Scope

This process applies to concerns involving:

- Certified SRI Facilitators
- Licensed institutions
- Pilot program deployments
- Misuse or misrepresentation of SRI frameworks
- Breach of confidentiality or ethical standards

The process addresses professional conduct related specifically to SRI framework deployment.

III. Guiding Principles

Ethics review procedures are guided by:

- fairness and neutrality
- confidentiality protection

- proportional response
- non-retaliation
- developmental correction where possible

The purpose of review is corrective governance rather than punishment.

IV. Submission of Concerns

Concerns may be submitted by:

- assessment participants
- institutional representatives
- certified facilitators
- partner organizations

Submissions should include:

- description of concern
- relevant context
- date(s) of occurrence
- supporting documentation where available

Concerns may be submitted through:

ethics@sri-governance.org

Anonymous submissions may be reviewed when sufficient information is provided.

V. Review Process

Upon receipt, the Institute follows a staged review process.

Step 1 — Initial Assessment

The Institute determines whether the concern falls within SRI governance scope.

If outside scope, referral guidance may be provided.

Step 2 — Information Review

Relevant materials may be requested, including:

- deployment documentation
- facilitator response
- institutional clarification

Confidentiality is maintained throughout review.

Step 3 — Determination

Possible outcomes include:

- no action required
- clarification or guidance issued
- corrective recommendation
- certification warning
- temporary suspension
- certification revocation

Responses are proportional to findings.

VI. Confidentiality

All parties involved in a review process are expected to maintain confidentiality.

Information is shared only with individuals necessary for review resolution.

Public disclosure occurs only where required for participant protection or legal obligation.

VII. Non-Retaliation

Individuals raising concerns in good faith shall not be subject to retaliation within Institute processes.

Retaliatory conduct constitutes an independent ethical concern.

VIII. Appeals

Facilitators or institutions subject to disciplinary action may request reconsideration within thirty (30) days of determination.

Appeals are reviewed under Institute governance procedures.

Future Advisory Council participation may support independent review as governance expands.

IX. Record Management

Ethics reviews are documented internally for governance continuity.

Records are retained consistent with Institute data governance policies.

X. Governance Evolution

As SRI transitions toward multi-steward governance, ethics review responsibilities may be delegated to:

- Ethics Review Committee
- Advisory Council panel
- Independent governance stewards

Such transitions will be publicly documented.

XI. Limitation of Authority

The Institute's Ethics Review Process governs certification and framework authorization only.

It does not replace:

- organizational HR processes
- legal proceedings
- professional regulatory bodies

XII. Commitment to Responsible Stewardship

The Stewardship Readiness Institute affirms that expanding authority requires expanding mechanisms for accountability and review.

This process exists to preserve trust in developmental governance practice.