

# Protection from Sexual Exploitation and Abuse (PSEA): A Practical Guide and Toolkit for UNICEF and Partners

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## Acknowledgments

Resources from many organisations are referenced and linked as resources throughout this Toolkit. The valuable work done on PSEA by these and many other organisations is acknowledged here.

## Note

*This is the final draft version of the PSEA Toolkit. It is undergoing copy editing and graphic design. The graphic designed version is expected to be available by late February 2020, and will replace this one on the website, using the same link.*

## Glossary

<b>Beneficiaries</b>	The individuals, groups, or organizations that directly or indirectly benefit from an intervention, project, or program.
<b>Child</b>	A person under the age of 18, regardless of the age of majority or age of consent locally.
<b>Complainant</b>	The person who initially notifies UNICEF or its partners of the sexual exploitation and abuse allegation.
<b>Gender-based violence (GBV)</b>	An umbrella term for violence directed toward or disproportionately affecting someone because of their actual or perceived gender identity. Sexual exploitation and abuse is a form of GBV.
<b>Implementing partners (“partners”)</b>	Entity responsible and accountable for implementation of the intended programme. It may include government institutions, intergovernmental organizations, civil society organizations and UN agencies.
<b>Informed consent</b>	The voluntary agreement of an individual who has the capacity to give consent, and who exercises free and informed choice.
<b>Personnel</b>	This include UNICEF or partners’ employees as well as sub-contractors, consultants, interns or volunteers associated with or working on behalf of UNICEF or the partner organization.
<b>Sexual exploitation and abuse (SEA)</b>	<p>“Sexual exploitation” is any actual or attempted abuse of a position of vulnerability, differential power or trust for sexual purposes, including, but not limited to profiting monetarily, socially or politically from the sexual exploitation of another.</p> <p>“Sexual abuse” is the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions. This includes non-contact and online sexual exploitation and abuse.</p>
<b>Survivor</b>	Refers to a person who is, or has been, sexually exploited or abused.
<b>Whistleblower</b>	Any UN or partner agencies’ personnel who reports SEA
<b>Zero-tolerance policy</b>	UN policy establishing that sexual exploitation and abuse by UN personnel (including by partners) is prohibited and that every transgression will be acted upon.

Note: For additional definitions relating to PSEA, see: UN, [Glossary on Sexual Exploitation and Abuse](#), 2<sup>nd</sup> edition, July 2017.

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## 1. Introduction

### 1.1. Background

All forms of sexual exploitation and abuse (SEA) are a violation of human rights and an abuse of a position of power over a vulnerable population that the United Nations and other humanitarian and development actors have pledged to protect. SEA can lead to serious, sometimes life-long, adverse consequences for the survivors, particularly child survivors. Furthermore, SEA undermines the integrity and reputation of the UN and other humanitarian and development actors and can threaten the security of their personnel and operations. Recent failures by UN agencies and NGOs to respond effectively to allegations underscore the urgent need to scale up efforts.<sup>1</sup>

UNICEF is fully committed to improving protection from sexual exploitation and abuse (PSEA) and takes a leadership role in addressing outstanding challenges. Notably, as the Inter-Agency Standing Committee (IASC)'s Principals' Champion on SEA and Sexual Harassment for 2018/19, UNICEF's Executive Director will focus on scaling up: (i) safe and accessible reporting mechanisms, (ii) quality, survivor-centered support, and (iii) accountability for every child and adult survivor in all humanitarian responses. Delivering on these commitments involves ensuring UNICEF and its partners have adequate safeguards and take appropriate action to tackle SEA.

UNICEF developed this Guide and Toolkit ("the Toolkit") to support partners to strengthen their policies and practices on PSEA. Partners may include – but are not limited to – government institutions, inter-governmental organizations, and civil society organizations, including NGOs. Partners' subcontractors are subsumed within this definition. In addition, the Toolkit provides technical advice and support for partners with contractual agreements to fully comply with SEA-related aspects of UNICEF's Partnership Cooperation Agreement (PCA).<sup>2</sup>

This toolkit is primarily intended for UNICEF partner organizations but the content may also be useful for individual UNICEF teams and other organizations. The Toolkit uses the term "organizations" throughout to refer to UNICEF, partners and other agencies that may be using the Toolkit. UNICEF also plans to release a series of additional knowledge products for personnel, partners and other stakeholders to complement this Toolkit and bolster joint efforts for a more systematic, widespread response to SEA.

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<sup>1</sup> [Independent Panel Review of the UNICEF Response to PSEA](#), UNICEF, New York, NY, 2018; *Reuters*, "[Rise in sexual abuse cases in aid groups as more victims speak up](#)", February 10, 2019.

<sup>2</sup> UNICEF amended its PCA in June 2018 to ensure its partners' policies and procedures on PSEA fully comply with UN standards.

## 1.2. About the Toolkit

### Objectives

The Toolkit is designed to strengthen the capacities of organizations in fulfilling their responsibilities to prevent and respond to SEA. It specifically aims to:

- Increase organizations' understanding and support of PSEA;
- Support organizations in strengthening their systems on PSEA;
- Improve coordination, communication and coherence among UNICEF, partners and other relevant actors relating to PSEA;
- Contribute to improved accountability towards affected populations.

### Structure

The Toolkit's structure enables organizations with different capacities and needs to focus on the aspects of PSEA that require the most urgent attention. Its seven sections are:

- **Organizational Self-Assessment:** includes a set of core standards and accompanying indicators to help organizations identify their strengths related to PSEA and areas where improvements are needed.
- **Foundations:** presents relevant definitions, policies and standards.
- **Prevention:** provides guidance on organization-wide policies and procedures, training for personnel, and risk assessment, mitigation and prevention in all programming efforts.
- **Reporting:** provides guidance on internal and external reporting mechanisms to enable or facilitate prompt and confidential reporting.
- **Assistance:** provides guidance on facilitating immediate, professional survivor-centered assistance and follow-up, either directly or through referral to other service providers.
- **Investigation:** provides guidance on ensuring prompt and adequate investigations and follow-up.
- **Toolkit:** contains a set of practical tools, such as sample forms, templates, and checklists.

Throughout these sections, the Toolkit emphasizes the need for organizations to **engage beneficiaries and local communities** in all their PSEA efforts, given that they are most directly affected by these abuses and have unique knowledge and skills.

## 2. Organizational Self-Assessment

This organizational self-assessment is intended to give organizations a baseline for tracking progress of their organizational capacities on PSEA. These standards are aligned with the [United Nations Protocol On Allegations Of Sexual Exploitation And Abuse Involving Implementing Partners](#) and relevant international standards, including [the IASC \(Inter-Agency Standing Committee\) Minimum Operating Standards for PSEA \(MOS-PSEA\)](#) and the [Core Humanitarian Standard on Quality and Accountability \(CHS\)](#).

Partners may use this self-assessment to develop an understanding of their organizational strengths and areas of improvement on PSEA.

Based on the assessment's findings, organizations may develop an action plan that reflects identified areas for improvement on PSEA (see [Tool 1: Sample Template for Action Plan on PSEA](#)). Organizations may revisit this assessment at regular intervals (i.e. every six or 12 months). The assessment can also help identify areas where they require external support from partners, such as trainings, technical advice, funding or increased coordination with inter-agency activities.

To support organizations' efforts in addressing identified capacity gaps, this Toolkit provides practical guidance and tools on PSEA organizational policies and procedures, including an extensive list of additional resources in each section.

Instructions on the rating system for the assessment:

The table below provides (a) **core standards** on PSEA organizational policies and procedures which are the minimum requirement and (b) **indicators** to support the fulfillment of the minimum requirements of each core standard. Organizations may use the “comment” section to document the organization’s recent progress as well as support needs.

**1 – Absent: The organization is not working towards this standard.**

Give this score if the organization does not meet the requirement

**2 – Progressing: The organization has made some progress towards applying this standard, but certain aspects need to be improved.**

Give this score if the organization partially meets the standard, e.g., meeting one or two of the indicators

**3 – Adequate: The organization fully meets this standard.**

Give this score if the organization fully meets the standard and all indicators.

After reviewing and scoring the organization’s compliance with these standards, add up the totals for each standard to obtain a total score. This total score indicates the organization’s current capacities on PSEA and its related risk rating.

Total Score	PSEA Organizational Capacities	SEA Risk Rating
8 or less	Low	High
9 – 14	Needs improvement	Moderate
15 – 18	Adequate	Low



Standard and Indicators	1	2	3	Proof of evidence
<p><b>Core Standard 1: Organizational Policy</b></p> <p>An organizational policy on PSEA exists and describes appropriate standards of conduct, other preventive measures, reporting, monitoring, investigation and corrective measures. (see: <a href="#">PSEA Toolkit Section 4.2.1. Policies</a>).</p> <p><u>Indicator 1:</u> Organizational policy includes: a) a definition of SEA (that is aligned with the <a href="#">UN's definition</a>); b) a description of behavior expected of personnel on- and off-duty (reflecting the <a href="#">IASC's Six Core Principles Relating to SEA</a><sup>3</sup>); and c) an explicit statement of zero-tolerance for SEA (i.e. SEA as a ground for disciplinary actions, which may result in termination of employment).</p> <p><u>Indicator 2:</u> The organizational policy on PSEA (e.g. code of conduct) is signed by all personnel, including employees, volunteers, contractors, and others.</p> <p><u>Indicator 3:</u> The organization displays information on PSEA policy and procedure, including the code of conduct and reporting channel details, in its own offices and at project sites.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p><input type="checkbox"/> Code of conduct</p> <p><input type="checkbox"/> PSEA policy</p> <p><input type="checkbox"/> Documentation of standard procedures for all personnel to receive/sign PSEA policy</p> <p><input type="checkbox"/> Other (please specify):</p> <p>_____</p>

Standard and Indicators	1	2	3	Proof of evidence
<p><b>Core Standard 2: Organizational Management and HR Systems</b></p> <p>The organization's management and HR systems account for PSEA by:</p> <p><u>1:</u> The organization's contracts and partnership agreements include a standard clause requiring contractors, suppliers, consultants and sub-partners to commit to a zero-tolerance policy on SEA and to take measures to prevent and respond to SEA, and</p> <p><u>2:</u> There is a systematic vetting procedure in place for job candidates (e.g. reference checks, police records, Google searches) in accordance with local laws regarding employment, privacy and data protection, including checking for prior involvement in SEA or other safeguarding concerns. (see : <a href="#">PSEA Toolkit Section 4.2.2. Procedures</a>).</p> <p><u>Indicator 1:</u> The organization defines roles and responsibilities of personnel with specific PSEA-related responsibilities in their contracts and/or ToR.</p> <p>Indicator 2: There is a defined system for reporting and responding to allegations of SEA.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p><input type="checkbox"/> ToR (e.g. with PSEA responsibilities)</p> <p><input type="checkbox"/> Contracts/partnership agreements</p> <p><input type="checkbox"/> Recruitment procedure (e.g. reference check with questions related to SEA/child safeguarding)</p> <p><input type="checkbox"/> Other (please specify):</p> <p>_____</p>




<sup>3</sup> The Core Principles were updated in September 2019.

Standard and Indicators	1	2	3	Proof of evidence
<p><b>Core Standard 3: Mandatory Training</b></p> <p><u>Required 1:</u> The organization holds mandatory trainings for all personnel on the organization’s SEA policy and procedures and the training includes 1) a definition of SEA (that is aligned with the <a href="#">UN’s definition</a>); 2) a prohibition of SEA; and 3) actions that personnel are required to take (i.e. prompt reporting of allegations and referral of survivors).</p> <p>(see: <a href="#">PSEA Toolkit Section 4.3.1. Training</a>).</p> <p><u>Indicator 1:</u> The organisation has a formal documented PSEA training package.</p> <p><u>Indicator 2:</u> The organization requires all personnel to participate in its PSEA training on a recurring basis and retains an internal record of attendance (i.e. name of trainees, date of training, type of training, training provider).</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Annual training plan</li> <li><input type="checkbox"/> Training agenda</li> <li><input type="checkbox"/> Attendance sheets</li> <li><input type="checkbox"/> Other (please specify): _____</li> </ul>

Standard and Indicators	1	2	3	Proof of evidence
<p><b>Core Standard 4: Reporting</b></p> <p>The organization has mechanisms and procedures for personnel, beneficiaries and communities, including children, to report SEA allegations that comply with core standards for reporting (i.e. safety, confidentiality, transparency, accessibility) and ensures that beneficiaries are aware of these.</p> <p>(see <a href="#">PSEA Toolkit Section 4.3.2. Awareness-raising</a> and <a href="#">Section 5.2. Reporting Mechanisms</a>).</p> <p><u>Indicator 1:</u> The organization has communication materials on PSEA and reporting channels available in locally relevant languages and presented in a way that all groups, including children, understand.</p> <p><u>Indicator 2:</u> The organization has a description of how personnel and beneficiaries can report SEA allegations and the organization’s procedures for handling these allegations, including those involving personnel of other entities.</p> <p><u>Indicator 3:</u> The organization limits the number of people with access to reported information and removes identifying information of those involved when sharing information.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Communication materials</li> <li><input type="checkbox"/> PSEA awareness-raising plan</li> <li><input type="checkbox"/> Description of reporting mechanism(s)</li> <li><input type="checkbox"/> Whistleblower policy</li> <li><input type="checkbox"/> Other (please specify): _____</li> </ul>

Standard and Indicators	1	2	3	Proof of evidence
<p><b>Core Standard 5: Assistance and Referrals</b></p> <p>The organization has a system to ensure survivors of SEA, including children, receive immediate professional assistance, referring them to relevant service providers.</p> <p>(see <a href="#">PSEA Toolkit Section 6.2. Assistance and Referrals</a>).</p> <p><u>Indicator 1:</u> The organization has an updated list of local service providers and/or contact with local GBV coordination mechanisms (i.e. GBV sub-cluster) for all programme sites/areas.</p> <p><u>Indicator 2:</u> The organization has a procedure to guide the referral process, outlining the steps that personnel, particularly those receiving complaints, need to take, including follow-up to referrals.</p> <p><u>Indicator 3:</u> The organization has a referral form for survivors of GBV/SEA.</p>	☐	☐	☐	<p>☐ List of service providers</p> <p>☐ Description of referral process for survivors of GBV/SEA</p> <p>☐ Referral form for survivors of GBV/SEA</p> <p>☐ Other (please specify): _____</p>
<p>Comments:</p>				

Standard and Indicators	1	2	3	Proof of evidence
<p><b>Core Standard 6: Investigations</b></p> <p>The organization has a process for investigation of allegations of SEA and can provide evidence that it has appropriately dealt with past SEA allegations, if any, through investigation and corrective action.</p> <p>(see <a href="#">PSEA Toolkit Section 7.2. Investigation Procedures</a>).</p> <p><u>Indicator 1:</u> The organization has a process for reviewing allegations of SEA and deciding on the need for investigation and other next steps (e.g. assistance for adult/child survivors and/or others, need for investigation); this involves a system for recording all SEA allegations involving its personnel and its response measures.</p> <p><u>Indicator 2:</u> The organization has access to an experienced, impartial and trained investigator to conduct an investigation on SEA; this may involve using in-house capacity, hiring an external investigator, or getting a commitment of partner(s) for support.</p> <p><u>Indicator 3:</u> The organization has a system for providing organizational oversight of an investigation (e.g. information-sharing/communications, risk assessments), including disciplinary measures in case of substantiated allegations.</p>	☐	☐	☐	<p>☐ Written process for review of SEA allegations</p> <p>☐ Dedicated resources for investigation(s) and/or commitment of partner for support</p> <p>☐ PSEA investigation policy/procedures</p> <p>☐ Other (please specify): _____</p>
<p>Comments:</p>				

TOTAL PER RATING (i.e. count all 1s, 2s and 3s)			
<b>GRAND TOTAL</b> (i.e. 1s + 2s + 3s)			
<b>PSEA organizational capacities</b>			
<b>SEA Risk Rating</b>			

PSEA Assessment of [Name of the Organisation]:

Assessment completed by: \_\_\_\_\_

Email address: \_\_\_\_\_

Signature \_\_\_\_\_ Date of Assessment \_\_\_\_\_

## 3. Foundations

### 3.1. Introduction

Global policies established by the UN and the Inter-Agency Standing Committee (IASC) guide efforts by UN agencies and partners to address SEA. These bodies recognize the need for a more concerted effort of the aid sector to tackle SEA and also focus on protecting the rights and well-being of affected communities. Simultaneously, individual UN entities and NGOs have taken the initiative to reinforce their respective policies on PSEA, as part of their PSEA commitments outlined in the [UN Secretary General’s Special Measures for Protection from Sexual Exploitation and Abuse \(ST/SGB/2003/13\)](#) and the [IASC Minimum Operating Standards for PSEA \(MOS-PSEA\)](#). The following provides an overview of relevant definitions and global policies and standards.

### 3.2. Definition

The [UN Secretary-General Bulletin \(“Special Measures for Protection from Sexual Exploitation and Abuse” \(ST/SGB/2003/13\)](#) introduced the following standard definition for sexual exploitation and abuse, which applies to any sector and context<sup>4</sup>:

- **“Sexual exploitation”** is any actual or attempted abuse of a position of vulnerability, differential power or trust for sexual purposes, including, but not limited to profiting monetarily, socially or politically from the sexual exploitation of another.
- **“Sexual abuse”** is the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions.

SEA are forms of gender-based violence (GBV), which describes any harmful act perpetrated against a person’s will that is based on socially ascribed differences between women and men. Furthermore, SEA may also involve child safeguarding violations if the “conduct by (the organization’s personnel) causes significant harm to a child including any kind of physical, emotional or sexual abuse, neglect or exploitation”<sup>5</sup>, highlighting the need for focused attention on children as part of PSEA efforts.<sup>6</sup>

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<sup>4</sup> In terms of the definition of SEA, it is important to distinguish between SEA and sexual harassment. In both instances sexual misconduct is perpetrated by personnel of UN agencies or its partners. However, the survivors of SEA are beneficiaries or community members, while the survivors of sexual harassment are personnel of UN agencies or partners themselves. This Toolkit only covers SEA. For sexual misconduct that involves personnel of UN agencies or its partners as survivors, see [SG Bulletin on Prohibition of discrimination, harassment, including sexual harassment, and abuse of authority \(ST/SGB/2008/5\)](#).

<sup>5</sup> PCA, para. 14.1 (d)

<sup>6</sup> UNICEF, [Child Safeguarding Toolkit for Business, A Step-by-Step Guide to Identifying and Preventing Risks to Children who Interact with your Business](#), UNICEF, May 2018. For practical guidance on child safeguarding, see: Keeping Children Safe, [Child Safeguarding Standards and How to Implement Them](#), 2014

### 3.3. Global Policies and Standards

The UN and IASC have each developed global policies to tackle SEA that are complementary and serve as benchmarks for quality programming. Key documents are:

- [IASC Six Core Principles \(2002; updated 2019\)](#), in which IASC encourages agencies to integrate the following items into their respective codes of conduct:
  - 1) “Sexual exploitation and abuse by humanitarian workers constitute acts of gross misconduct and are therefore grounds for termination of employment.
  - 2) Sexual activity with children (persons under the age of 18) is prohibited regardless of the age of majority or age of consent locally. Mistaken belief regarding the age of a child is not a defence.
  - 3) Exchange of money, employment, goods, or services for sex, including sexual favours or other forms of humiliating, degrading or exploitative behaviour is prohibited. This includes exchange of assistance that is due to beneficiaries.
  - 4) Any sexual relationship between those providing humanitarian assistance and protection and a person benefitting from such humanitarian assistance and protection that involves improper use of rank or position is prohibited. Such relationships undermine the credibility and integrity of humanitarian aid work.
  - 5) Where a humanitarian worker develops concerns or suspicions regarding sexual abuse or exploitation by a fellow worker, whether in the same agency or not, he or she must report such concerns via established agency reporting mechanisms.
  - 6) Humanitarian workers are obliged to create and maintain an environment which prevents sexual exploitation and abuse and promotes the implementation of their code of conduct. Managers at all levels have particular responsibilities to support and develop systems which maintain this environment.
- [Secretary-General’s Bulletin \(2003\)](#) (“Special Measures for Protection from Sexual Exploitation and Abuse” (ST/SGB/2003/13) (“SG’s Bulletin”)
  - Incorporates the aforementioned principles
  - Stipulates that SEA “constitute(s) serious misconduct (and) therefore grounds for disciplinary measures, including summary dismissal”
  - Obliges UN staff and all entities and individuals who have cooperative agreements with the UN to report incidents of abuse

In addition, UN agencies and partners are committed to pursuing a **survivor-centered approach** for responding to GBV, including SEA. This approach seeks to empower survivors and promote

their recovery by prioritizing their rights, needs and wishes.<sup>7</sup> Key standards for applying this approach include:

- **Safety:** The safety and security of the survivor is the primary consideration.
- **Confidentiality:** Survivors have the right to choose to whom they will or will not tell their story, and information should only be shared with the informed consent of the survivor. (For more information on informed consent, including of children, see [Section 6.2. Assistance and Referrals](#))
- **Respect:** Respect for the choices, wishes, rights and dignity of the survivor should guide the decisions by organizations. The role of case managers is to provide the survivor with the information s/he needs to make informed decisions and to facilitate recovery.
- **Non-discrimination:** survivors should receive equal and fair treatment regardless of their age, gender, race, religion, nationality, ethnicity, sexual orientation or any other characteristics.

### 3.4. Additional Resources

#### Key documents (selection)

- [UN Protocol on Allegations of Sexual Exploitation and Abuse Involving Implementing Partners](#), March 2018.
- Secretary-General's Bulletin: [Special Measures for Protection from Sexual Exploitation and Sexual Abuse](#) (ST/SGB/2003/13) ("SG's Bulletin"), October 2003.
- Secretary-General's Bulletin, [Staff Rules and Staff Regulations of the United Nations \(ST/SGB/2018/1\)](#), January 2018.
- IASC, [Plan of Action and Core Principles of Codes of Conduct on Protection from Sexual Abuse and Exploitation in Humanitarian Crisis](#), June 2002.
- IASC, [Statement of Commitment on Eliminating Sexual Exploitation and Abuse by UN and Non-UN Personnel](#), December 2006.
- IASC, [Minimum Operating Standards for PSEA \(MOS-PSEA\)](#), January 2016.
- IASC, ["Global Review of Protection of Sexual Exploitation and Abuse from UN, NGO, IOM and IFRC personnel"](#), July 2010.

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<sup>7</sup> IASC, [Guidelines for Integrating Gender-Based Violence Interventions in Humanitarian Action: Reducing Risk, Promoting Resilience and Aiding Recovery](#), 2015, p.46-47

- IASC, [Guidelines to Implement the MOS-PSEA](#), June 2013.

#### Overviews on PSEA/SEA

- UN Website on PSEA: <https://www.un.org/preventing-sexual-exploitation-and-abuse/>
- IASC PSEA Taskforce: <http://www.pseataskforce.org/>
- Interaction PSEA overview <https://www.interaction.org/topics/prevention-of-sexual-exploitation-and-abuse/><sup>8</sup>
- The Core Humanitarian Standard on Quality and Accountability (CHS) Alliance – Protection from Sexual Exploitation and Abuse <https://www.chsalliance.org/what-we-do/psea>
- International Council of Voluntary Agencies (ICVA), [The Long Run to PSEA](#), June 2018.

## 4. Prevention

### 4.1. Introduction

The long-term goal of PSEA is to create an environment where beneficiaries are safe and respected and can access the protection and assistance they need without fear of any form of exploitation or abuse. However, there is growing recognition that “no country, no institution and no family is immune from sexual exploitation and abuses”<sup>9</sup> and a need to prioritize preventative measures.

By creating organizational systems and raising awareness among personnel, beneficiaries and local populations regarding PSEA, organizations can lay the groundwork for more effective reporting of and response to violations. Likewise, effective reporting and response structures can also serve as a prevention measure, for example by encouraging survivors and witnesses to report violations or helping deter potential perpetrators.

This section covers the following key areas of SEA prevention:

- Types of policies and procedures needed and how to monitor their effectiveness
- Features of effective training and awareness-raising
- Risk assessment and risk management for programming

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<sup>8</sup> [IASC Statement of Commitment on Sexual Harassment and Abuse, 12 February 2018.](#)

<sup>9</sup> [Address to High-Level Meeting on the United Nations Response to Sexual Exploitation and Abuse](#), by António Guterres, 18 September 2017.



## 4.2. Policies and Procedures

Managers at all levels are responsible for putting in place adequate PSEA policies and procedures, overseeing their implementation and revising them as needed.<sup>10</sup> Having adequate systems in place makes it easier for management and personnel – even those with limited knowledge on gender-based violence (GBV), SEA, child protection, justice and other related to concerns – to assume responsibilities and work jointly on this issue. Senior managers, in particular, need to demonstrate their commitment to PSEA and create an environment where all personnel prioritize accountability to beneficiaries and local communities.

### 4.2.1. Policies

Policy documents demonstrate an organization’s commitment to preventing and responding to SEA and taking strong action in response to allegations. Organizations can either use their existing documents, such as their codes of conduct, to articulate their organization’s policy or create a stand-alone PSEA policy, depending on their capacities and needs.<sup>11</sup> In general, they should consider the following aspects when creating or strengthening these policy documents:

- **Incorporate core content**, including 1) a definition of SEA (that is aligned with the [UN’s definition](#)); 2) a clear description of behavior expected of personnel on-and off-duty (reflecting the [IASC’s Six Core Principles Relating to SEA](#)); 3) an explicit statement of zero tolerance for SEA (i.e. SEA as a ground for disciplinary actions, which may result in termination of employment).
- **Explicitly protect** individuals, including personnel (former and current), who report misconduct from any form of retaliation, such as adverse employment action (e.g. termination, compensation decreases, poor work assignments) for personnel and withdrawal of access to goods and services for beneficiaries.<sup>12</sup>
- **Consult relevant stakeholders**, such as personnel, beneficiaries and communities (including children); local government authorities and informal structures (e.g. women’s and human rights groups); and those with specific expertise on GBV, child protection and related issues.
- **Make the policy relevant**, ensuring that it is written in a manner that is applicable to the various contexts (i.e. local/national/global) the organization works in and is easy to understand for all of its target audiences, including personnel, beneficiaries and

<sup>10</sup> For further reference on PSEA minimum operating standards policies and procedures, see IASC, [PSEA-MOS](#), January 2016

<sup>11</sup> For sample codes of conduct, see International Rescue Committee (IRC), [the IRC Way. Our Standards for Professional Conduct](#) and the [Code of Conduct for Norwegian Refugee Council \(NRC\) Staff](#), which includes references to PSEA. For sample PSEA policies, see [CESVI PSEA Policy](#) and the [International Federation of Red Cross and Red Crescent Societies \(IFRC\) Secretariat PSEA Policy](#)

<sup>12</sup> For sample Whistleblower policies, see: Oxfam America, [Whistleblower Protection Policy](#); CARE International UK, [Whistleblowing Policy](#)

communities (including children).

- **Get sign-off from senior leadership** to ensure they will provide the support needed to put the policies into practice.
- **Publicize the policy widely** by distributing it among personnel, beneficiaries, communities and others (e.g. posters in public places, intranet/internet, copy with contracts, child-friendly materials) and integrating it into training and awareness-raising efforts (see [Section 4.3. Training and Awareness-raising](#)).
- **Require all personnel to sign** their receipt and acknowledgement of relevant policies (see [Section 4.3.1. Awareness-raising](#)).

#### 4.2.2. Procedures

Procedures outline how to put PSEA-related policies into effect and create the organizational infrastructure to support their implementation. The following actions can help establish or reinforce organizational procedures:

- **Clarify roles and responsibilities**, in particular of managers, HR, and personnel as per the organization's policies (see [Tool 2: Sample Roles and Responsibilities on PSEA](#)). This may include designating PSEA focal point(s) to assume key responsibilities, such as the development of internal systems, training and awareness-raising of personnel, and coordination with other relevant actors (see [Tool 3: Sample Terms of Reference \(ToR\) for PSEA Focal Points](#)).
- **Update HR processes** (as needed) to align hiring practices (e.g. job announcements, background/reference checks, interview process), sub-contractor contracts and partnership agreements, and performance processes and disciplinary measures (in the event of proven allegations) with SEA policies (see [Tool 4: Checklist for PSEA-Sensitive Recruitment, Contracting and Performance Management](#)).
- **Prepare an appropriate process for reporting and responding to allegations** (see [Section 5: Reporting](#), [Section 6: Assistance](#), and [Section 7: Investigation](#)). This may include guidance on how field offices can adapt these processes to their specific local context.
- **Integrate PSEA into the organization's planning, programming and operational processes** (e.g. strategic planning, budgeting, programme cycle management) and ensure the organization allocates sufficient human and financial resources.

#### Accountability

Accountability measures allow organizations to monitor the implementation of policies and

procedures on PSEA and make improvements as needed. Accountability also entails sharing relevant information and feedback with beneficiaries and local communities. This helps build trust in the organization and encourages them to report any serious concerns in the future. Organizations should take the following measures to ensure accountability:

- **Monitor the implementation and effectiveness of strategies on PSEA** by including one or more indicators in monitoring frameworks (e.g. percentage of reported survivors who requested assistance who were referred within 48 hours of referral/receipt of case, percentage of employee terminations for SEA offences).
- **Include regular opportunities for community-level monitoring.** Ask questions about awareness, experiences or observations related to programming (e.g. power dynamics, quality of services, engagement with communities), including SEA, and availability and use of reporting mechanisms.
- **Regularly communicate to personnel, beneficiaries, and others regarding the organization's efforts** and respond to their feedback on programming, including SEA-related issues without providing details on specific cases (e.g. "In the past six months, we received feedback about x, y, and z by x number of people. Because of this, we have made the following changes..."). This involves keeping survivors, witnesses, alleged perpetrators and complainants informed on relevant aspects of the investigation process (see [Section 7.2. Investigation Procedures](#)).
- **Review and learn** from actual incidents within or outside their organization (e.g. staff meetings, PSEA trainings) and adapt PSEA policies and procedures periodically to reflect lessons learned.
- **Document and share progress, opportunities and challenges** in prevention and response with senior management and other key stakeholders (e.g. donors, partners, independent bodies, inter-agency groups, communities), including in relevant reports (e.g. annual, donor reports).

### 4.3. Training and Awareness-raising

Misconceptions and a lack of willingness or capacity by some personnel to adequately address SEA frequently prevent organizations from implementing PSEA policies. Training and awareness-raising of personnel play a central role in building an organizational culture that does not tolerate abuse. These efforts can help address knowledge gaps and create a more open discourse on SEA, which remains a sensitive issue in many cultures.

#### 4.3.1. Training

Organizations should organize mandatory training on PSEA for all their personnel on a regular basis (see [Tool 5: Sample PSEA Training Agenda](#)). Organizations can draw on existing training modules to develop training content that is most relevant for their participants.<sup>13</sup> In order to make their trainings most effective, organizations should:

- **Include core content**, such as 1) a clear definition of SEA (that is aligned with the [UN's definition](#)); 2) a clear prohibition of SEA; and 3) actions that personnel are required to take (i.e. prompt reporting of allegations and referral of survivors). It is also essential to familiarize personnel with the organization's reporting and referral procedures and provide them with relevant contact details (e.g. PSEA focal points).
- **Offer in-person, highly interactive trainings** to ensure that personnel retain the information and are able to apply it in practice. For example, actual scenarios and case studies -set in the participants' local context if possible- can help them understand how to use standards and rules in practice.
- **Adapt training content to the audience** by describing their PSEA-specific roles and responsibilities and presenting examples of SEA that participants might encounter in their everyday work.
- **Increase accountability** by requiring participants to acknowledge in writing their responsibilities for complying with the code of conduct and the consequences for breaching it.
- **Offer regular re-fresher trainings** to ensure that personnel are aware of the latest policies and procedures.<sup>14</sup>

#### 4.3.2. Awareness-raising

Organizations should conduct activities to raise awareness among their personnel, beneficiaries and local communities, including children, and others on PSEA and their organization's relevant policies and procedures. For example, some beneficiaries and community members may not understand what SEA is, why it is dangerous, what their rights are, and what they can do to prevent and respond to incidents. Personnel also need continuous reminders so that they can realize their roles and responsibilities in reporting and responding to SEA. Awareness-raising

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<sup>13</sup> For example, UNICEF provides a free [PSEA e-learning course](#) (through Agora) that contains relevant content for both UN and partner personnel. Other online trainings include [Interaction Prevention of Sexual Exploitation and Abuse Training Guide](#), December 2013; UN Training on PSEA, <https://www.un.org/preventing-sexual-exploitation-and-abuse/content/training>, and specifically focused on PSEA focal points, OCHA, [Inter-Agency Training for PSEA Focal Point](#), (see PSEA Taskforce website, "Focal Point").

<sup>14</sup> PSEA-MOS requires members to conduct annual refresher training (MOS-PSEA).

efforts may include the following actions:

- **Develop core PSEA messages for**
  - **Beneficiaries and community members** covering 1) beneficiary rights (i.e. assistance is free; the right to information about the project/program; the right to be treated with respect, the right to report inappropriate behavior, etc.) 2) prohibited behaviour of personnel; 3) how to report complaints (e.g. hotlines, contact of PSEA focal points)
  - **Personnel** covering 1) definition and prohibition of SEA, 2) relevant roles and responsibilities, 3) the organization's reporting and referral procedures, including relevant contact details (e.g. PSEA focal points) (see [Section 4.3.1. Training](#); see [Section 5.2. Reporting Mechanisms](#))
- **Adapt communication messages, materials and channels to the various target audiences, including children**, using relevant languages and a communication style that is appropriate and accessible to the audience, especially to groups considered at higher risk of abuse (see [Tool 6: PSEA Risk Assessment and Management for Safe Programmes](#)). For example, adolescent girls may be more comfortable discussing personal issues as part of peer-to-peer discussions, while some personnel may prefer to receive information in a memo or short email. Always test communication materials and messages with the target audience before dissemination.
- **Widely publicize PSEA-related information** by using a variety of communication channels (e.g. website, social media, staff/community meetings, posters, radio or television announcements, town criers, story boards). In some cases, there may be opportunities to work with other organizations on awareness-raising activities, including as part of GBV and child protection campaigns. Organizations should highlight beneficiary rights in project/program awareness materials before and during implementation.

#### 4.4. Risk Mitigation and Safe Programming

Humanitarian and development projects can exacerbate existing risks of SEA or create new risks, depending on their scope and scale. For example, in areas where beneficiaries and communities struggle economically and violence against women and children is more prevalent, organizations should anticipate that some personnel may attempt to abuse their power, particularly if they are in charge of distributing food, water, health supplies, and/or cash. SEA incidents may occur even when programmes do not directly involve beneficiaries, for example when personnel interact with participants off-site or in their free time. There are also risks of online SEA whereby perpetrators use information and communication technology (e.g.

emails, texts, social media, communication apps) to commit abuses.<sup>15</sup>

In order to identify and mitigate or avoid risks of SEA through programming<sup>16</sup>, organizations should take the following actions:

- **Conduct thorough and inclusive risk assessments** on SEA before designing projects, if possible as part of the initial needs assessment (see [Tool 6: PSEA Risk Assessment and Management for Safe Programmes](#)).<sup>17</sup> This may include site safety mapping, focus group discussions with intended beneficiaries and other stakeholders (including women, children, local authorities/communities, etc.) and other relevant research methods. As part of this assessment, it is useful to identify groups that are most marginalized and at heightened risk of SEA (e.g. children with disabilities) to ensure that design strategies are as targeted and effective as possible.<sup>18</sup>
- **Consult with beneficiaries and local communities**, including at-risk groups (e.g. adolescent girls, people with disabilities, Lesbian, Gay, Bisexual, Transgender, Intersex (LGBTI) communities), as part of the initial needs assessment and routine monitoring to identify locally relevant risks and protection measures (that are in line with international laws and standards). Consultations should be safe and culturally appropriate.
- **Incorporate general prevention and safety measures for SEA** in the organization's standard programme design, such as:
  - Ensure that safe recruitment practices are followed for hiring programme personnel, including local volunteers, day laborers, etc.; this includes using a recruitment panel that includes at least one woman (see [Tool 4: Checklist for PSEA-Sensitive Recruitment, Contracting and Performance Management](#))
  - Ensure that all personnel are PSEA-trained and have signed the code of conduct, and reporting and response procedures are set up before the start of the programme.
  - Include female personnel in programme implementation teams, where possible specifically if their roles require direct interactions with beneficiaries (e.g. food

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<sup>15</sup> For example, some types of online SEA include online grooming (i.e. establishing a relationship with a person to facilitate either online or offline sexual contact), production, dissemination and possession of online SEA materials (i.e. depicting sexualized images of person), sextortion (i.e. coercing and blackmailing children for sexual purposes) and live streaming of sexual abuse. For more information regarding online SEA and other types of online violence, see: UNODC, [Online Child Sexual Exploitation and Abuse](#), in: E4J University Module Series: Cybercrime (accessed July 15, 2019); UNICEF, [Child Safety Online Global Challenges and Strategies](#), 2011.

<sup>16</sup> Risk prevention means reducing the likelihood of SEA occurring whereas risk mitigation means reducing the adverse impact of SEA.

<sup>17</sup> World Bank Group, [Working Together to Prevent Sexual Exploitation and Abuse: Recommendations for World Bank Investment Projects, Report of the Global Gender-Based Violence Task Force](#), July 2017.

<sup>18</sup> For a list of at-risk groups, see IASC, [Guidelines for Integrating GBV Interventions in Humanitarian Action](#), September 2015, p. 11-12.

distributions, health clinics, child-friendly spaces, schools/temporary learning spaces, community centers), given that the majority of perpetrators of SEA are men.

- Ensure that there are shared responsibilities of processes during programme intervention so that more than one person is involved (“segregation of duties”).
  - Engage women and at-risk groups in the planning, design, implementation and monitoring of activities to the extent possible and if safe for those involved
  - Provide assistance interventions in safely accessible and well-lit areas.
  - Design programmes in a manner that limits one-on-one interactions between beneficiaries, particularly children, wherever possible.
  - Proactively communicate information about aid distribution procedures to the community (“aid is free”; beneficiary s; administrative requirements; how to report concerns; etc.) and take advise from the community to engage effectively.
  - Prominently display in their offices and on work sites SEA-related information and the organization’s policies and procedures, including how to report inappropriate behavior by the organization’s personnel, using a language and communication style that personnel and communities can understand.
- **Take programmatic actions** to minimize SEA risks and help connect survivors to appropriate care in cross-sectoral programming and in distinct sectors (see [Tool 7: Sample Programmatic Actions by Sector for Minimizing PSEA Risks](#)). Organizations should also ensure that SEA-related prevention and safety measures are reflected in programme budgets and monitoring frameworks.

#### 4.5. Additional Resources

##### Policies and procedures

- Interaction, [Interaction Step by Step Guide to Addressing Sexual Exploitation and Abuse](#), June 2010.
- Keeping Children Safe, [Child Safeguarding Standards and How to Implement Them](#), 2014
- CHS Alliance, [PSEA Implementation Quick Reference Handbook](#), 2017.

##### Training modules

- Interaction, [Interaction Prevention of Sexual Exploitation and Abuse Training Guide](#), December 2013.
- UNICEF [PSEA e-learning course](#) (through Agora)

- UN Training on PSEA, <https://www.un.org/preventing-sexual-exploitation-and-abuse/content/training>

OCHA, [Inter-Agency Training for PSEA Focal Point](#), (see PSEA Taskforce website, “Focal Point”).

#### Recruitment process

- IASC, [Challenges and options in improving recruitment process in the context of PSEA by our own staff](#), April 2014.
- The Steering Committee for Humanitarian Response, [The Misconduct Disclosure Scheme](#), December 2018.

#### Risk mitigation and risk management

- UN Peace Operations, [UN Peace Operations, Sexual Exploitation and Abuse Risk Management Tool](#), June 2018.
- IASC, [Guidelines for Integrating GBV Interventions in Humanitarian Action](#), September 2015.
- [Global Protection Cluster Protection Mainstreaming Tool Kit](#), 2017

## 5. Reporting

### 5.1. Introduction

Survivors and witnesses rarely speak out on SEA due to fear of potential repercussions (e.g. losing assistance, retaliation), a lack of adequate reporting channels, and other factors. Similarly, personnel also do not always share information or concerns of potential SEA, for example due to fear of revenge (e.g. bullying or job loss) or because they do not want to cause problems for their colleague(s) or harm their organization’s reputation.

Organizations can (re-)design their reporting channels to reflect these concerns and encourage safe and confidential reporting by personnel and beneficiaries, as part of their overall commitments to PSEA. More effective reporting of SEA is also an essential step to ensure survivors receive appropriate assistance and to end impunity.

This section covers the following key aspects of reporting SEA allegations:

- Core principles of effective reporting
- Types of reporting mechanisms
- Awareness-raising on available reporting channels



- Sharing reported information with UNICEF.

## 5.2. Reporting Mechanisms

Organizations can use both internal and external reporting mechanisms to facilitate reporting of SEA allegations or concerns by personnel and beneficiaries. Where possible, they should seek to incorporate PSEA reporting mechanisms into broader feedback or complaints mechanisms in order to benefit from these channels' levels of trust, discreteness, and resources. Regardless of the accountability mechanism(s) used, partners will need to have their own reporting procedures to facilitate prompt and confidential internal reporting to senior management and subsequently UNICEF and other relevant actors. Reporting mechanisms should also have the ability to refer SEA complaints involving personnel of another entity (e.g. UN agency, NGO) to the respective entity for follow-up, where legally possible.

Organizations should consider the following elements when (re-)designing and using reporting mechanisms:

- **Ensure that reporting mechanisms adhere to core principles of effective reporting:**
  - **Safety:** avoid creating or exacerbating risks for those reporting allegations or concerns, as well as other parties involved (e.g. survivor, alleged perpetrator). This involves ensuring that referral procedures and protection measures (e.g. whistleblower policy) are set up before promoting the use of a reporting mechanism (see [Section 6:2. Assistance and Referrals](#)). Organizations should also restrict access to incident reports and keep reports stored safely (e.g. using passwords or encryptions for computers and lock offices when unattended).
  - **Confidentiality:** enforce strict information-sharing practices, i.e. limiting the number of people who have access to the reported information; using code names when referring to those involved and omitting information that could reveal their identity (e.g. date of birth, address, phone number, description of unique physical traits); and keeping information on the identity and personal information separate from incident and related reports. People should also have the option of anonymous reporting.
  - **Transparency:** obtain prior informed consent of the complainant, unless the complainant is a UN or partner personnel, who have a mandatory obligation to report SEA. Organizations should share confidentiality procedures with all complainants, explaining clearly how information will be shared, with whom and for what purpose, including for investigations and assistance to survivors. This also includes notice of the organization' obligations for mandatory reporting (see

### 5.3. Reporting Allegations to UNICEF).

- **Accessibility:** make reporting mechanisms easy-to-use and remove potential barriers for usage (e.g. difficult or foreign language, costs and time needed for using them), keeping in mind their target audiences, including people of different ages, genders, educational backgrounds, abilities, etc.<sup>19</sup>
- **Identify to what extent their organization can use existing inter-agency complaints mechanisms** to enhance internal reporting. This includes assessing to what extent these inter-agency mechanisms adhere to above-mentioned core reporting standards and allow access to reports concerning their personnel for response and follow-up. Likewise, organizations should ensure that their reporting mechanisms align with inter-agency mechanisms in-country. The in-country PSEA network (where it exists) or other coordination bodies can help organizations identify relevant complaints mechanisms in-country. It may also be worth identifying relevant regional or international bodies that personnel, beneficiaries and/or others can access, in case they do not trust in-country mechanisms.
- **Give personnel and beneficiaries, including children, access to multiple reporting mechanisms (internal/external)** that meet their needs and preferences to the extent possible. For example, some people may be too embarrassed to talk to a person about an incident, while others may not feel comfortable sending sensitive information via email. Similarly, some community members (or personnel) may not trust internal reporting channels and prefer to share information with an external body (see point below on [community-based complaints mechanism](#)). Possible reporting mechanisms (internal/external) may include in-person reporting to designated personnel (e.g. direct supervisors, PSEA focal points or internal oversight offices), inter-agency staff, or others<sup>20</sup>; reporting via free phone hotlines, SMS, text messaging or email;<sup>21</sup> or use of secure suggestion/complaint boxes (with no specific signage on them to avoid any direct association with SEA) .
- **Support the establishment and functioning of community-based, inter-agency complaint mechanisms** that are equipped to handle GBV complaints, including SEA. Community-based inter-agency mechanisms allow communities that receive services from multiple organizations to access one channel for reporting allegations involving personnel, thus facilitating more streamlined, efficient reporting. These mechanisms

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<sup>19</sup> For information on child-friendly complaints mechanisms, see: UNICEF, [Child-friendly Complaint Mechanisms](#). National human rights institutions (NHRIs) Series: Tools to support child-friendly practices, February 2019.

<sup>20</sup> This involves providing the designated people with clear instructions on how to record and report complaints (i.e. what forms to use, how to treat information, when and how to report complaints).

<sup>21</sup> For example, the U-Report is a free social messaging system that allows everyone to speak out about development issues. <https://ureport.in/>

should be free to use and usually include various reporting channels (e.g. dedicated phone lines, complaint boxes, e-mail addresses, help desks and/or designated trusted persons).<sup>22</sup>

- **Consult beneficiaries and local communities** (including women, children, people with disabilities, and other relevant stakeholders) on risk factors for SEA; challenges for raising complaints; preferred methods for reporting; and how to make reporting mechanisms safe, confidential, transparent and accessible.
- **Widely publicize all available reporting channels** to personnel, beneficiaries and local communities (see [Section 4.3.2: Awareness-raising](#)). Importantly, organizations should inform personnel about mandatory reporting both in writing (e.g. memo, detailed email) and verbally (e.g. meeting, conference call), incorporating the following content:
  - A clear description of behaviours that constitute SEA, stressing the need to report when in doubt about a case
  - The obligation of all personnel to report any suspicions or concerns and consequences for failing to report (e.g. disciplinary measures)
  - The option of reporting information anonymously
  - The organization's protections for those who makes an allegation in good faith (e.g. whistleblower policy, protection plans for complainants)
  - Details regarding who to report to and what information to share to allow for proper response and follow-up
  - Explanation of how the organization will use the information (i.e. who will receive the reports and the internal procedure for response and follow-up).
- **Ensure that the report of the alleged incident** ([Tool 8: Sample Incident Report Form on SEA Allegations](#)<sup>23</sup>) is as detailed as possible while adhering to aforesaid standards of effective reporting see [core principles of effective reporting](#)). Organization should train personnel who may receive complaints (e.g. PSEA focal points, protection officers, M&E officers) on relevant procedures and remind them to:
  - Use the complainant's own wording to describe facts, violations and persons involved in the case to the extent possible.

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<sup>22</sup> [IASC Best Practice Guide Inter-Agency Community-Based Complaints Mechanisms](#), September 2016

<sup>23</sup> Organizations can adapt this sample incident report form or use the IASC, [Model Complaints Referral Form \(SEA\)](#) (accessed July 16, 2019).

- Indicate where relevant information is missing and add essential contextual information where needed.
- Remember that their role is not to investigate but rather to relate the facts for others to follow-up.

### 5.3. Reporting Allegations to UNICEF

Partners' reporting obligations partially derive from their relationship with UNICEF. As a part of the UN system, UNICEF is required to report any SEA allegation involving its own or its partners' personnel to the UN Secretary-General on a quarterly basis. Accordingly, beyond reporting to their own management, partners are required to "promptly and confidentially, in a manner that assures the safety of all involved, report allegations of sexual exploitation and abuse" arising from their Partnership Agreement to UNICEF.<sup>24</sup> Partners can submit their concerns or suspicions to the UNICEF Head of Office in-country or the UNICEF Director, Office of Internal Audit and Investigations (OIAI), through the email hotline ([integrity1@unicef.org](mailto:integrity1@unicef.org)).

Furthermore, partners should keep UNICEF (through the head of the respective country office) informed on reported cases by sharing regular updates on findings relating to the case, the investigation process and outcome (see [Section 7.3. Involvement of UNICEF in Investigation Process](#)) and referrals for survivors and others.

### 5.4. Additional Resources

- [IASC Best Practice Guide Inter-Agency Community-Based Complaints Mechanisms](#), September 2016
- Save the Children, [Programme Accountability Guidance Pack. A Save the Children Resource](#), 2013 (particularly chapter 4 "Handling feedback and complaints", p. 25-42)
- Transparency International, [Complaints Mechanisms Reference Guide for Good Practice](#), 2016 (Note: This guide is focused on anti-corruption and malpractice but contains guidance that is applicable to other types of complaints mechanisms.)

## 6. Assistance

### 6.1. Introduction

Global policies and commitments on PSEA emphasize a survivor-centred and rights-based approach that supports the survivors to receive the protections and remedies they desire, need and are entitled to. Furthermore, supporting survivors to access quality services in a timely

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<sup>24</sup> PCA, para. 14.4.

manner is essential to help survivors, beneficiaries and others regain trust in the integrity of aid organizations. UNICEF is committed to working with partners to provide and/or facilitate quality services to survivors, as part of ongoing child protection (CP) and GBV programming.<sup>25</sup>

This section covers the following key aspects of facilitating assistance to survivors:

- Eligibility criteria for assistance
- Types of service needs (e.g. psycho-social, medical, legal)
- Referral processes, including informed consent/assent
- Survivor-centered approaches to service provision

## 6.2. Assistance and Referrals

It is the responsibility of organizations to ensure survivors of SEA allegedly perpetrated by their personnel receive immediate professional assistance, either by providing them with direct services or referring them to relevant service providers where consent is given. Organizations should consider the following aspects when facilitating assistance:

- **Ensure that survivors have access to assistance** regardless of decisions by organizations or others to investigate the case and regardless of the outcome of an investigation. Survivors are also not required to identify the perpetrator or prove that they are survivors of SEA to access services. As appropriate organizations should account for the protection and support needs of witnesses, complainants, alleged perpetrators and other individuals connected to the case (see: [Section 7.2. Investigation Procedures](#)).
- **Have an updated list of local service providers**, which should provide options for both children and adult survivors where relevant (e.g. names of a pediatric and adult medical care provider). In many cases, organizations can use or adapt the mapping of existing GBV and CP services and referral pathways of relevant inter-agency bodies, such as the in-country PSEA Network and in-country GBV and CP coordination groups. Especially in cases involving children, organizations should also consult with UNICEF country offices.<sup>26</sup> The table below provides an overview of the types of services survivors may need.

Type of service	Description
Safety	<ul style="list-style-type: none"> <li>• Immediate safety or protection measures for survivors and witnesses to address the risk of retaliation or further violence, such</li> </ul>

<sup>25</sup>Witnesses, complainants/whistleblowers and alleged perpetrators may also have protection and support needs due to the allegation. For more information on this, see: [Section 7.2. Investigation Procedures](#).

<sup>26</sup> In some cases, organizations may also be able to access additional funding to provide specialized services through the Trust Fund in Support of Victims of Sexual Exploitation and Abuse (the “Trust Fund”) established by the Secretary-General. For more information on the Trust Fund, see: <https://conduct.unmissions.org/remedial-trust-fund>

	as survivor safety planning, safe shelter (i.e. space that offers temporary safety to individuals fleeing harm), relocation support
<b>Medical care</b>	<ul style="list-style-type: none"> <li>• Medical care, including post-exposure prophylaxis (PEP) to prevent HIV ((within 72 hours of possible exposure); treatment for Sexually Transmitted Infections (STIs), pregnancy care, emergency contraception</li> </ul>
<b>Psychosocial support</b>	<ul style="list-style-type: none"> <li>• Mental health care, emotional and practical support, either individually or community-based</li> </ul>
<b>Legal services</b>	<ul style="list-style-type: none"> <li>• Legal assistance services, including free legal counselling, legal representation and other support (Note: If possible, such legal representation and support should be provided independently from the alleged perpetrator’s employer.)</li> </ul>
<b>Basic material assistance</b>	<ul style="list-style-type: none"> <li>• Provision of food, clothing, shelter, school re-integration and livelihood support to the survivor</li> </ul>
<b>Support for children born as a result of SEA</b>	<ul style="list-style-type: none"> <li>• Medical and psychosocial care and pursuit of paternity and child support claims, in conjunction with relevant national governments</li> </ul>

- **Have a set procedure to guide the referral process** that is aligned with existing inter-agency procedures and protocols. The process should outline the steps that personnel, particularly those receiving complaints, need to take and should provide them with updated referral forms (see graphic below and [Tool 9: Sample Referral Form](#)). Make sure that those involved in the process are adequately trained on how to safely and confidentially refer GBV/SEA cases for assistance, including those cases involving children. If possible, the process should entail referring the survivor first to a case manager or social worker, who can then facilitate referral to other appropriate services. If organizations are unable to conduct the referral process on their own, they should contact external and pre-identified GBV or CP service providers or organizations for support.

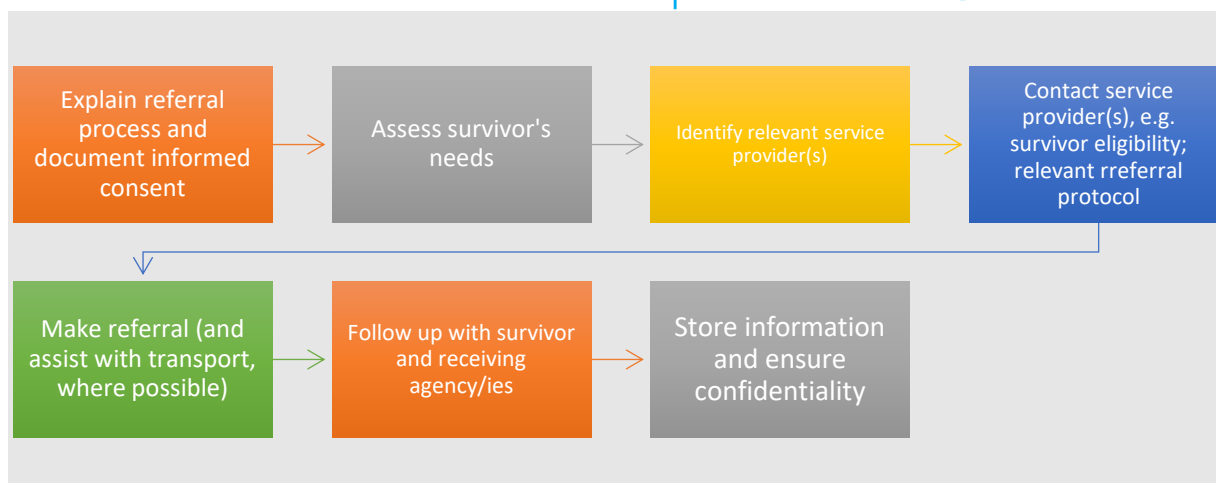


Figure 1: This graphic outlines key steps involved in the referral process. Please note that caseworkers should be flexible in applying these steps and should adapt this process to meet the needs of the survivor, including those who are children.

- **Always obtain informed and voluntary consent** before facilitating assistance, respecting the right of a person<sup>27</sup>, including children (depending on their age and capacities), to freely choose which type of support services they want to access or to decline services entirely. To ensure informed consent, caseworkers must ensure that the adult or child survivor fully understands the services available and the referral process, potential risks and benefits of receiving services, and what information will be collected and how it will be used, including confidentiality and its limits (see point below regarding “[confidentiality](#)”). During this consultation, caseworkers should avoid raising unrealistic expectations among survivors particularly in locations where adequate services are limited, such as remote or emergency settings.<sup>28</sup>

When dealing with children, caseworkers should communicate the information in a child-friendly manner, adapting it to the child’s age, maturity, language, gender and culture (i.e. simplifying content) and obtain informed consent from both the child (taking into account his/her evolving capacities) and one of the child’s parents or guardians.<sup>29</sup> At the same time, it is essential for organizations to ensure that the best interest of the child serve as the primary guide for making decisions regarding assistance

<sup>27</sup> Persons with disabilities may need specific support to enable their ability to provide informed consent depending on the nature of their disability (e.g. physical, intellectual, mental).

<sup>28</sup> For guidance on how to support survivors in areas where GBV actors are not present, see Global Protection Cluster / IASC, [GBV Pocket Guide](#), March 2018.

<sup>29</sup> For younger children, who are by law or nature too young to agree to the services, caseworkers should seek their “informed assent,” an affirmative agreement to accept the services and ask for parents’ permission. For more information on informed consent and informed assent, see Inter-agency Guidelines for Case Management and Child Protection. The Role of Case Management in the Protection of Children: A Guide for Policy and Programme Managers and Caseworkers, [http://www.cpcnetwork.org/wp-content/uploads/2014/08/CM\\_guidelines\\_ENG\\_.pdf](http://www.cpcnetwork.org/wp-content/uploads/2014/08/CM_guidelines_ENG_.pdf)

and referrals (see point below on “[the best interests of the child](#)”).

- In the case of children, **prioritize the best interests of the child**, choosing the course of action that is most effective in protecting the child’s rights to safety and ongoing development. For example, in some cultures, the survivor’s parents/caregivers may want (or force) the girl to get married to the alleged perpetrator to “protect family dignity” or for other reasons, which violates the girl’s rights and exposes her to additional harm. In such instances, experienced caseworkers can help the girl and her parents/caregivers make informed decisions, applying the best interests of the child principle. Depending on their in-house expertise and the complexity of the case, organizations may also need to request technical support from UNICEF and/or other GBV and CP partners.

- **Respect confidentiality**, protecting identifying information of all those involved in the alleged incident. Organizations should collect, share and store information on these cases safely and according to agreed-upon data protection policies (also see “[principles of effective reporting](#)”). In particular, organizations should share this information only with a limited number of individuals and on a “need-to-know” basis and ensure this happens with the survivor’s explicit permission.

In exceptional cases, organizations may need to refer cases – even without the survivor’s informed consent – when there are safety concerns for the survivor or others or when they are required by law to report crimes. Organizations should always explain to survivors (and/or their guardians where appropriate) these limitations of confidentiality (see “[informed consent](#)”).

- **Consider potential risks for survivors (and their families) and take safety precautions, as needed.** This means being careful to avoid causing any additional harm to survivors (and their families) as a result of how the case is being managed (e.g. possible revenge acts due to mishandling of case information). Organizations should also be careful to manage survivors’ expectations regarding the organization’s capacity to ensure the survivor’s safety.

### 6.3. Additional Resources

Assistance for all survivors

- UN Victim Assistance Protocol (forthcoming).
- [Guidelines for Integrating Gender-Based Violence Interventions in Humanitarian Action Reducing risk, promoting resilience and aiding recovery](#), IASC, 2015.
- [SEA Victim Assistance Guide: Establishing Country-Based Mechanisms for Assisting](#)



[Victims of Sexual Exploitation and Abuse by UN/NGO/IGO Staff and Related Personnel](#), ECHA/ECPS UN and NGO Task Force on Protection from Sexual Exploitation and Abuse, April 2009.

- [Minimum Standards for Prevention and Response to Gender-based Violence in Emergencies](#), UNFPA, 2015.
- [UN Victim Assistance Strategy](#)

Assistance for child survivors

- [Caring for Child Survivors of Sexual Abuse: Guidelines for health and psychosocial service providers in humanitarian settings](#), International Rescue Committee/UNICEF, 2012
- [Inter-agency Guidelines for Case Management and Child Protection. The Role of Case Management in the Protection of Children: A Guide for Policy and Programme Managers and Caseworkers](#), The Child Protection Working Group, January 2014

## 7. Investigation

### 7.1. Introduction

Investigating allegations is essential to implementing the zero-tolerance policy of the UN and its partners on SEA and increasing accountability for violations. Organizations are required to ensure that investigations of allegations of SEA involving their personnel take place without delay. However, conducting such investigations can be a dangerous, complex and oftentimes costly undertaking. Even in cases where organizations have strong PSEA policies that include disciplinary measures against perpetrators, they may lack the internal capacities or resources needed to conduct or oversee the needed investigations; there may also be a lack of qualified investigators in the locations they work in and/or weak capacities of national and local law enforcement agencies.

This makes it even more essential for organizations to assess their investigation capacities early-on (see [Section 2: Organizational Self-Assessment](#)) and work with relevant donors and/or other partner organizations to identify options to meet their needs and capacities (e.g. using pro-bono legal services, requesting a partner to sponsor/deploy investigator(s)).

This section covers the following key aspects of investigations:

- Internal processes for reviewing allegations
- Management of investigations

- Follow-up to investigations
- Involvement of UNICEF in investigation processes involving partners.

## 7.2. Investigation Procedures

Organizations should have a standard process (or policy)<sup>30</sup> to ensure investigations of SEA allegations follow due process and protect the safety and rights of those involved, including survivors, witnesses and alleged perpetrators. They should also ensure that investigations are survivor-centered, respecting survivors' rights to safety, confidentiality, respect and non-discrimination (see [Section 3: Foundations](#)). The following are some key points for organizations to consider when managing (or overseeing) investigations:

- **Set up an internal process for reviewing** all allegations and deciding on next steps, including the need for an internal investigation and/or referral to local law enforcement authorities (where appropriate as determined by the organization and when possible, the survivor)<sup>31</sup>; immediate consequences for alleged perpetrator in terms of their work (e.g. suspension, change of job responsibilities); assistance for survivors and others; and communication with the parties involved, partners and others. Some criteria for making decisions regarding the investigation process include the nature of the abuse (i.e. breach of the organization's code of conduct/national criminal law), reliability of source(s) of allegation, availability of hard evidence (e.g. photographs), and risk(s) for the survivor(s) associated with the investigation process. In general, organizations should always keep a record explaining the rationale for their course of action; this is particularly useful if they decide to revisit the case at a later stage.
- **Deploy or hire experienced, impartial and trained investigator(s)** who are qualified to handle cases that require a high degree of sensitivity and confidentiality (see [Tool 10: Sample Terms of Reference for Investigator of SEA Allegations](#)).<sup>32</sup> The investigator(s) should speak the language of witnesses and be familiar with local laws if possible.<sup>33</sup>

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<sup>30</sup> Note that IASC-MOS requires members to create an investigation policy, which provides a clear framework that assists organizations to conduct quality, confidential, safe, and transparent investigations into allegations of misconduct involving personnel.

<sup>31</sup> Organizations may choose not to refer a case to local law enforcement if they believe the local context or the country's governance or legal structures are not robust enough to protect the survivor(s) and others involved in the case or even put them in danger. Considerations into whether to report to national law enforcement include the nature of the complaint, wishes of the survivor and his/her capacity to give informed consent, and concerns about the legal/judicial processes in that specific country. In cases where it is determined not to report to local authorities, it is advisable for organizations to consult with a lawyer and keep documentation and evidence to support their decision.

<sup>32</sup> Organizations can draw on several resources to bolster their capacities to conduct investigations. In particular, OCHA has established an [investigations fund](#) to provide rapid grants to IASC entities to support investigations into SEA and sexual harassment allegations. The CHS Alliance also maintains a pool of certified PSEA Trainers and Investigators (for names of consultants, see: [CHS Alliance Approved Trainers and Investigators](#)).

<sup>33</sup> If this is not the case, organizations should consider hiring discreet, independent and professional interpreters and local lawyers to support investigator(s). Depending on the case and cultural context, it may also be beneficial to select a female investigator if possible.

Furthermore, it is critical to agree with the investigator(s) from the outset on the scope of the investigation, coordination and communication processes (e.g. regular check-ins with managers), deliverables and timelines, contingency plans, and other key aspects of the investigation.

- **Identify and manage conflicts of interest** by verifying that personnel and external experts involved in the investigation do not have personal or professional relations to the survivor, witnesses, complainants/whistleblowers, or the alleged perpetrator or have a vested interest in the outcome of the investigation, which may compromise their objectivity. If and when organizations become aware of such a conflict of interest, they should immediately remove the concerned individual from the case, stop them from further contact with all parties involved in the case, and request them to agree in writing to keep information on the case confidential.
- **Manage information-sharing and communications** in order to protect those directly involved as well as the integrity of the process. This involves:
  - Distinguishing between communications on the process of an investigation (e.g. state of investigation process), which should be transparent, and details relating to the case (e.g. identity of parties involved, details of incident), which should be treated confidentially.
  - Defining which individuals need to have access to what type of information.
  - Having a secure information-management system for keeping electronic and non-electronic data with access limited to those directly involved in managing or overseeing the investigation (e.g. using password protection for computers and keeping them in a secure place; keeping paper documents and other evidence in locked cabinets in a secure room; avoiding any identifying information in written communications, such as emails, WhatsApp and others).
  - Providing investigators (internal/external) with access to relevant internal documents, records and personnel, as well as adequate and administrative support to conduct investigations effectively.
  - Requesting all parties directly involved in the investigation process (e.g. investigators, survivors, witnesses, alleged perpetrators, designated managers/personnel) to keep the content of their interviews confidential (see [Tool 11: Sample Confidentiality Reminder Note for SEA Investigations](#)).
  - Setting up a system for keeping survivors, witnesses, alleged perpetrators and complainants informed on relevant aspects of the investigation process (i.e. determining who is responsible for sharing what type of information with whom).

and at what frequency).

- **Provide adequate protection and other support to survivors, witnesses and complainants/whistleblowers, and alleged perpetrators** (as part of their duty of care for personnel) throughout the investigation process as needed. Organizations should adapt their support to each person’s specific needs and wishes (accounting for age, gender, abilities, other factors) to offer adequate support, closely working with protection actors and those providing services to survivors and others (See [Section 6.2: Assistance and Referrals](#)). For example, individuals directly involved in the case may require independent legal counsel and/or an advisor/support person to provide emotional support, share updates on the investigation, and to serve as a liaison with the investigation team as needed. Child survivors and witnesses are likely to require additional support to ensure that the investigation process is conducted in a child-friendly manner (e.g. child-friendly interview techniques, engagement of parents/caretaker).<sup>34</sup>
- **Assess and manage risks relating to the investigation process** by conducting a comprehensive risk assessment (see [Tool 12: Template for Risk Assessment and Management during SEA Investigations](#)). If risks are substantial, organizations should develop more robust protection plans. It is important for organizations to review their risk assessments (and protection plans) regularly as the situation may be evolving.
- **Follow up on investigation outcomes**, including through the following actions:
  - Make the outcomes of the investigation available to the survivor and accused party and follow up with them to find out if they require additional psychosocial or other support (see [Section 6.2: Assistance and Referrals](#)).
  - In case a complaint is substantiated, take appropriate disciplinary actions against the perpetrator that corresponds to the severity of the offense committed, ranging from a written reprimand to dismissal. Update personnel files of the perpetrator accordingly and share relevant information with potential employers as part of their background checks to the extent legally possible.<sup>35</sup>
  - Report the case to relevant local law enforcement authorities, including the police and/or judicial authorities, and, if the case concerns a child, relevant child protection institutions, as needed and where considered appropriate by the

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<sup>34</sup> UNICEF/UNODC, [Handbook for Professionals and Policymakers on Justice Matters involving Child Victims and Witnesses of Crime](#), Criminal Justice Handbook Series, UN, New York, 2009, as well as its [child-friendly version](#))

<sup>35</sup> For example, the inter-agency misconduct disclosure scheme adopted by the Steering Committee for Humanitarian Response (SCHR) establishes a minimum standard for organisations to share information as part of their recruitment process about people who have been found to have committed sexual abuse, sexual exploitation or sexual harassment “misconduct” during employment. <https://www.schr.info/the-misconduct-disclosure-scheme>

organization and when possible, the survivor.<sup>36</sup>

- Use investigation reports to identify institutional weaknesses in preventing and responding to PSEA that require changes in the organization’s policies, procedures and staffing (see [Section 4.2.3 Accountability](#)).

### 7.3. Involvement of UNICEF in Investigation Process

UNICEF requires its partners to “properly and without delay investigate allegations of sexual exploitation and abuse... by (their) employees, personnel, or subcontractors” based on its own obligations under the [UN Protocol on SEA Allegations Involving Implementing Partners](#). In order to “determine whether the partner has taken appropriate investigative and corrective actions”, partners should “keep UNICEF informed during the conduct of the investigation, without (violating) due process rights of any persons involved.”<sup>37</sup>

Upon completion of the investigation, partners should also “promptly provide reports on the outcome of the investigations” and if requested, share “any relevant details... and evidence... for examination and further use by UNICEF” to the extent legally possible.<sup>38</sup> In cases where competent national authorities are conducting (or have conducted) the investigation, UNICEF may relieve the partner of its contractual obligation to conduct an internal investigation. In those cases, partners should support UNICEF in obtaining information on the status and outcome of the investigation to the extent legally possible.<sup>39</sup>

Partners should confidentially share this information with the UNICEF head of office in country or the UNICEF Director, Office of Internal Audit and Investigation ([integrity1@unicef.org](mailto:integrity1@unicef.org)) in a manner that assures the safety of all involved.

### 7.4. Additional Resources

Complaints and investigation processes

- IASC, [Model Complaints and Investigation Procedures and Guidance Related to SEA](#) (Draft), 2004.
- IASC, [Guidelines to Implement the Minimum Operating Standards for PSEA](#), March 2013.
- IASC, [Fund for Investigations into Sexual Exploitation, Abuse, and Sexual Harassment](#), April 2019
- Keeping Children Safe, [Management of Child Safeguarding Allegations](#), 2016.
- WHO, [Ethical and safety recommendations for researching, documenting and](#)

<sup>36</sup> See footnote above regarding “[referral to local law enforcement agencies](#)”

<sup>37</sup> PCA, para. 14.5

<sup>38</sup> PCA, para. 14.5

<sup>39</sup> PCA, para. 14.5

[monitoring sexual violence in emergencies](#), 2007.

- CHS Alliance, [Investigation of Cases of Sexual Exploitation and Abuse by Aid Workers: Challenges and Recommendations](#), Background paper to 2016 CHS Alliance PSEA Conference 5-6 September 2016: Bangkok, Thailand.
- CHS Alliance, [Guidelines for Investigations - A guide for humanitarian organisations on receiving and investigating allegations of abuse, exploitation, fraud or corruption by their own staff](#), 2006 (revised in 2015).
- International Council of Voluntary Agencies (CVA), [Building Safer Organisations: Training materials on receiving and investigating allegations of abuse and exploitation by humanitarian workers](#), 2007.

Investigations involving child survivors and witnesses

- UNICEF/UNODC, [Handbook for Professionals and Policymakers on Justice Matters involving Child Victims and Witnesses of Crime](#), Criminal Justice Handbook Series, UN, New York, 2009, as well as its [child-friendly version](#)).

## 8. Toolkit

### Tool 1: Sample Template for Action Plan on PSEA

ACTION	PERSON RESPONSIBLE	REQUIRED/AVAILABLE RESOURCES (e.g. financial, HR, logistics)	TARGET DATE FOR COMPLETION	STATUS <small>(i.e. not started/in progress/completed)</small>
<p><b>Core Standard 1: Organizational Policy</b></p> <p>An organizational policy on PSEA exists and describes appropriate standards of conduct, other preventive measures, reporting, monitoring, investigation and corrective measures. (see: <a href="#">PSEA Toolkit Section 4.2.1. Policies</a>).</p>				
<p><u>Example 1:</u> Revise HR Policy to include definition of SEA; standards of behaviour; &amp; zero tolerance of SEA;</p>	Ginia	n/a	30 March 2019	In progress
<p><u>Example 2:</u> Revise code of conduct to include specific aspects related to SEA</p>	Marcus	n/a	30 March 2019	In progress
<p><u>Example 3:</u> xxx</p>				
<p><b>Core Standard 2: Organizational Management and HR Systems</b></p> <p>The organization's management and HR systems account for PSEA by:</p> <p><u>1:</u> The organization's contracts and partnership agreements include a standard</p>				

ACTION	PERSON RESPONSIBLE	REQUIRED/AVAILABLE RESOURCES (e.g. financial, HR, logistics)	TARGET DATE FOR COMPLETION	STATUS (i.e. not started/in progress/completed)
<p>clause requiring contractors, suppliers, consultants and sub-partners to commit to a zero-tolerance policy on SEA and to take measures to prevent and respond to SEA, and</p> <p><u>2:</u> There is a systematic vetting procedure in place for job candidates (e.g. reference checks, police records, Google searches) in accordance with local laws regarding employment, privacy and data protection, including checking for prior involvement in SEA or other safeguarding concerns.</p> <p>(see : <a href="#">PSEA Toolkit Section 4.2.2. Procedures</a>).</p>				
<p><u>Example 4: Revise templates for partnership agreement and service contract to include clause on PSEA</u></p>	Severine	n/a	31 May 2020	Not started
<p><b>Core Standard 3: Mandatory Training</b></p> <p><u>Required 1:</u> The organization holds mandatory trainings for all personnel on the organization’s SEA policy and procedures and can provide documentation evidencing regular training, and</p> <p><u>Required 2:</u> The training includes 1) a definition of SEA (that is aligned with the <a href="#">UN's definition</a>); 2) a prohibition of SEA; and 3) actions that personnel are required to</p>				



ACTION	PERSON RESPONSIBLE	REQUIRED/AVAILABLE RESOURCES (e.g. financial, HR, logistics)	TARGET DATE FOR COMPLETION	STATUS (i.e. not started/in progress/completed)
<p>take (i.e. prompt reporting of allegations and referral of survivors).</p> <p>(see: <a href="#">PSEA Toolkit Section 4.3.1. Training</a>).</p>				
<p><u>Example 5: Develop full day face to face PSEA training package, meeting criteria described in section 4.3.1</u></p>	Ginia to hire consultant	Required \$1000	31 May 2020	Not started
<p><u>Example 6: Revise Orientation Package for new staff to include requirement for PSEA training</u></p>	Rana	n/a	30 April 2020	
<p><u>Example 7: Include PSEA Refresher training in annual all staff retreat as standing agenda item</u></p>	Chief, HR	n/a	31 January 2020	
<p><b>Core Standard 4: Reporting</b></p> <p>The organization has mechanisms and procedures for personnel, beneficiaries and communities, including children, to report SEA allegations that comply with core standards for reporting (i.e. safety, confidentiality, transparency, accessibility) and ensures that beneficiaries are aware of these.</p> <p>(see <a href="#">PSEA Toolkit Section 4.3.2</a>. Awareness-raising and <a href="#">Section 5.2</a>.)</p>				

ACTION	PERSON RESPONSIBLE	REQUIRED/AVAILABLE RESOURCES (e.g. financial, HR, logistics)	TARGET DATE FOR COMPLETION	STATUS (i.e. not started/in progress/completed)
<a href="#">Reporting Mechanisms</a> ).				
<b>Example 8:</b> Design, translate and widely disseminate awareness-raising and reporting mechanisms posters in all work sites	Sophie	Required: \$1500 (translation, design, printing)  <u>Available:</u> \$300 (translation)	1 May 2019	Not started
<b>Core Standard 5: Assistance and Referrals</b>  The organization has a system to ensure survivors of SEA, including children, receive immediate professional assistance, referring them to relevant service providers.  (see <a href="#">PSEA Toolkit Section 6.2. Assistance and Referrals</a> ).				
<b>Example 9:</b> Using Tool 9 as template, develop Referral Form	Innocent	n/a	15 January 2019	Completed
<b>Example 10:</b> Advocate for local PSEA Network to develop Contact List of qualified Service Providers for referrals for use by all NGOs in sector	Susan	n/a	31 March 2020	Not started
<b>Core Standard 6: Investigations</b>  The organization has a process for				

ACTION	PERSON RESPONSIBLE	REQUIRED/AVAILABLE RESOURCES (e.g. financial, HR, logistics)	TARGET DATE FOR COMPLETION	STATUS (i.e. not started/in progress/completed)
investigation of allegations of SEA and can provide evidence that it has appropriately dealt with past SEA allegations, if any, through investigation and corrective action. (see <a href="#">PSEA Toolkit Section 7.2. Investigation Procedures</a> ).				
<u>Example 11: Adapt and adopt Tools 10, 11, and 12 for Investigations</u>	Ahmed	n/a	30 April 2020	In progress
Example 12: Apply to IASC, <a href="#">Fund for Investigations into Sexual Exploitation, Abuse, and Sexual Harassment</a> , April 2019 for any future investigations	Magnano	n/a	As required	For future use

## Tool 2: Sample Roles and Responsibilities on PSEA

Note: Organizations are strongly encouraged to integrate PSEA-related roles and responsibilities into their personnel’s existing terms of references, particularly if their involvement is more substantial (e.g. PSEA focal point).

Personnel	Sample Roles and Responsibilities
<b>Management</b>	<ul style="list-style-type: none"> <li>• Provide oversight of PSEA prevention and response</li> <li>• Review and update PSEA-related policies and guidance</li> <li>• Ensure attention and resources to PSEA across the organization</li> <li>• Facilitate and oversee investigations of SEA allegations</li> <li>• Coordinate with other organizations on PSEA, including donors</li> </ul>
<b>PSEA Focal Point</b> <small>(in coordination with gender/GBV/CP personnel where available)</small>	<ul style="list-style-type: none"> <li>• Support senior management to meet their PSEA-related responsibilities</li> <li>• Report concerns or issues with PSEA implementation to senior management</li> <li>• Receive reports of SEA allegations and coordinate the response</li> <li>• Conduct training and awareness-raising of personnel and others on PSEA</li> <li>• Coordinate with other relevant actors on PSEA, including inter-agency efforts</li> </ul>
<b>Human Resources</b>	<ul style="list-style-type: none"> <li>• Conduct screening for past SEA violations, and other code of conduct and policy violations (e.g. fraud, corruption, abuse of power), as part of recruitment process</li> <li>• Ensure all personnel sign the organization’s code of conduct</li> <li>• Integrate a PSEA clause in contract agreements, including when subcontracting</li> <li>• Support communication with personnel during investigation of SEA allegations</li> <li>• Keep PSEA-related documents of personnel on file, including signed codes of conduct</li> </ul>
<b>All Personnel</b>	<ul style="list-style-type: none"> <li>• Uphold the code of conduct and PSEA-related policies</li> <li>• Actively participate in SEA-related trainings and awareness-raising efforts, including support for dissemination of PSEA materials</li> <li>• Report allegations of SEA through the designated reporting channels</li> <li>• Participate in investigations of SEA allegations as appropriate</li> <li>• Identify and mitigate/avoid SEA-related programme risks (<i>particularly for personnel involved in programming</i>)</li> </ul>

### Tool 3: Sample Terms of Reference (ToR) for PSEA Focal Point<sup>40</sup>

Note: Organizations can adapt this sample ToR to include their organization's mandate and mission, commitments to PSEA and specific expectations for PSEA focal points within their organization. Where possible, organizations should consider having at least two focal points in each office, including one female and one male focal point.

#### Terms of Reference:

#### Protection from Sexual Exploitation and Abuse (PSEA) Focal Point

##### 1. Background

[Include brief description of the organization's commitment and policies on PSEA.]

##### 1. Purpose

The purpose of the PSEA focal point is to have a designated staff member who supports senior management in coordinating the development and implementation of PSEA policy and procedures.

##### 2. Scope of Work

Key roles and responsibilities of PSEA focal points include:

###### Prevention

- Conduct periodic assessments of [name of organization]'s PSEA policies and practices and suggest improvements to senior management.
- Conduct training and awareness-raising sessions on PSEA for all personnel on a regular basis.
- Work with human resource and other relevant personnel (name other relevant personnel working on related issues, e.g. gender, CP) on PSEA-related aspects, including ensuring that all personnel sign the code of conduct and that screening for past SEA violations is a regular part of the recruitment process.
- Facilitate awareness-raising campaigns with beneficiaries and local communities on the definition of SEA, the standards of conduct expected of [name of organization]'s personnel, and the various mechanisms for raising SEA allegations or concerns, including contact details.

<sup>40</sup> Adapted from various sample ToR, including Terms of Reference for in-country Network on Protection from Sexual Exploitation and Abuse by UN/NGO/IGO Personnel, produced by the ECHA/ECPS UN and NGO Task Force on Protection from Sexual Exploitation and Abuse, November 2008; Terms of Reference for Focal Points on Protection from Sexual Exploitation and Abuse by individuals providing humanitarian services within the Syrian refugee emergency response Jordan, produced by PSEA Network Jordan, March 2016.

**Reporting allegations of SEA**

- Manage the development of internal procedures for personnel to report incidents of sexual exploitation and abuse safely and confidentiality.
- Receive reports of SEA allegations and related information and coordinate the response according to relevant procedures.
- Report concerns or issues with PSEA implementation to senior management.

**Response to SEA allegations**

- Once a complaint is received, coordinate [name of organization]'s response, including referral of SEA survivors for immediate, professional assistance and referral of the case for further investigations to [name of organization's entity responsible for handling internal investigations].

**Other responsibilities**

- Coordinate [name of organization]'s PSEA activities with relevant organizations, including inter-agency initiatives, as appropriate.
- Support senior management in implementing other PSEA-related activities, as appropriate.

**3. Competencies and Experiences**

- Proven integrity, objectivity and professional competence
- Demonstrated sensitivity and knowledge of cultural and gender issues; experience in GBV programming is preferred
- Fluent in [name of locally relevant language(s)]
- Demonstrated experience of working directly with local communities
- Proven communication skills

Upon appointment, the focal point will undergo organization-specific training on PSEA, as soon as feasible.

## Tool 4: Checklist for PSEA-Sensitive Recruitment, Contracting and Performance Management<sup>41</sup>

### **Checklist for PSEA-Sensitive Recruitment, Contracting and Performance Management**

- Include a sentence in job announcements to notify candidates that background and reference checks will be conducted and ethics is part of annual performance appraisals
- Require applicants to self-declare prior issues of sexual or other misconduct, termination of past employment, criminal records, and concerns registered with government authorities regarding contact with children, and to consent to the disclosure of any such information by their former employers during verification of references
- Conduct background checks (e.g. police records, Google searches) and contact references to vet for former misconduct in accordance with local laws regarding employment, privacy and data protection
- Ensure gender-balanced interview panels during hiring processes and conduct gender neutral interviews<sup>42</sup>
- Ask candidates interview questions about ethics and ethical dilemmas (e.g. What's your idea of an ethical organization? Tell me about a time when you faced an ethical challenge.)
- Require candidates to review and sign the code of conduct before being offered a contract
- Include a PSEA clause<sup>43</sup> in employment contracts, including when subcontracting
- Outline disciplinary measures in the event of proven SEA allegations (e.g. termination of contract)
- Include training in PSEA as part of onboarding process and provide refresher courses at regular intervals during employment tenure
- Include adherence to code of conduct (e.g. participation in PSEA trainings) in performance appraisals of staff
- Include in the performance appraisals of senior staff their effectiveness in creating and maintaining an environment which prevents and responds to SEA
- Freeze professional advancement/recruitment opportunities of individuals under investigation
- In cases of confirmed misconduct, take robust disciplinary action (e.g. dismissal, suspension,

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<sup>41</sup> Based on IASC, [PSEA-MOS](#), January 2016; IASC, [Summary of IASC Good Practices: Preventing Sexual Exploitation and Abuse and Sexual Harassment and Abuse of Aid Workers](#), May 2018.

<sup>42</sup> Also see [UNICEF Gender Balance Strategies and Tools](#), accessed July 8, 2019

<sup>43</sup> Organizations can adapt the following language for the PSEA clause: "The Contractor shall take all appropriate measures to prevent sexual exploitation or abuse of anyone by its employees or any other persons engaged and controlled by the Contractor to perform any services under the Contract. Any breach of the provision by the Contractor shall entitle [name of organization] to terminate the contract with immediate effect."

written censure or other administrative/corrective measures) and, where this involves possible criminal conduct, consider reporting the incident to local law enforcement authorities<sup>44</sup>

- Maintain an internal database documenting any disciplinary measures on personnel, including dismissals, to avoid rehiring them at a later point in time
- Systematically share relevant information of personnel known to have committed SEA with other potential employers during background checks, to the extent legally possible.

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<sup>44</sup> Organizations may choose not to refer a case to national law enforcement (see previous footnote on [referral to local law enforcement agencies](#))



## Tool 5: Sample PSEA Training Agenda

Note: Organizations should modify this training agenda based on the specific audience.

ACTIVITY	EST. TIME	RESOURCES
<b>INTRODUCTION</b>		
<b>Welcome and introduction</b> <ul style="list-style-type: none"> <li>• Introduction of trainer(s) and learners</li> <li>• Overview of training agenda</li> <li>• Expected learning outcomes</li> </ul>	<b>15 min</b>	<ul style="list-style-type: none"> <li>• Handout: Training agenda</li> </ul>
<b>SESSION 1: UNDERSTANDING SEXUAL EXPLOITATION AND ABUSE</b>		
<b>Presentation: Key definitions and concepts</b> <ul style="list-style-type: none"> <li>• Definition of SEA</li> <li>• UN Zero-Tolerance Policy on SEA</li> <li>• Roles and responsibilities of personnel in preventing and responding to SEA</li> </ul>	<b>15 min</b>	<ul style="list-style-type: none"> <li>• Handouts: Copies of SG’s Bulletin (<a href="#">ST/SGB/2003/13</a>), organization’s code of conduct and other relevant documents</li> </ul>
<b>Case scenarios: Is this SEA?</b> <ul style="list-style-type: none"> <li>• Present practical scenarios and discuss which ones may be cases of SEA and why</li> </ul>	<b>45 min</b>	
<b>Group exercise: Impacts of SEA</b> <ul style="list-style-type: none"> <li>• Ask learners to identify the (potential) consequences of SEA on a) the survivor(s), b) the community, c) the organization, and d) others</li> </ul>	<b>30 min</b>	
<b>SESSION 2: TAKING ACTION AGAINST SEA</b>		
<b>Presentation: Overview</b>	<b>20 min</b>	<ul style="list-style-type: none"> <li>• Handout of relevant tools</li> </ul>

<ul style="list-style-type: none"> <li>• Overview of responses to SEA (prevention, reporting, investigation and referral)</li> <li>• Guiding principles (including survivor-centered approach)</li> </ul>		<p>of UNICEF’s <i>PSEA Practical Guide Toolkit for UNICEF and Partners</i> (e.g. organizational self-assessment, action plan template, PSEA risk assessment and mitigation)</p>
<p><b>Group discussion: Prevention</b></p> <ul style="list-style-type: none"> <li>• Discuss how to identify and mitigate risks of SEA in their context (What are warning signs? Why are they ignored? What more can the organization do to prevent SEA?)</li> </ul>	<p><b>45 min</b></p>	
<p><b>Presentation: Reporting</b></p> <ul style="list-style-type: none"> <li>• Mandatory reporting</li> <li>• How to report SEA allegations, including confidentiality issues and “the best interest of the child”</li> <li>• Protections for those reporting SEA allegations</li> </ul>	<p><b>20 min</b></p>	<ul style="list-style-type: none"> <li>• Handout with contact information of reporting channels and policy for protecting whistleblowers and/or complainants</li> </ul>
<p><b>Presentation: Investigations</b></p> <ul style="list-style-type: none"> <li>• Overview of investigation process</li> <li>• Consequences for personnel if allegations are substantiated</li> <li>• Responsibilities of personnel to fully participate in any investigation</li> </ul>	<p><b>15 min</b></p>	
<p><b>Presentation: Assistance</b></p> <ul style="list-style-type: none"> <li>• Service needs of survivors (and witnesses)</li> <li>• Survivor-centered approaches and informed consent</li> <li>• Referral pathways</li> </ul>	<p><b>10 min</b></p>	
<p><b>CONCLUSIONS</b></p>		

<p><b>Conclusions</b></p> <ul style="list-style-type: none"><li>• Summary of key learnings</li><li>• Ask each learner to provide at least one answer to the question: “How do you plan to apply what you just learned in your work?”</li><li>• Feedback on training</li></ul>	<p><b>20 min</b></p>	<p>Feedback forms</p>
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## Tool 6: PSEA Risk Assessment and Management for Safe Programmes

Area	Questions to Consider for Risk Assessment	Possible Management strategy(ies)
<b>Profile of beneficiaries</b>	<ul style="list-style-type: none"> <li>• What is the demographic profile of the population in the target areas (e.g. sex, age, education level, income level, household size, percentage of female- and child-headed households, marriage age, religion, race/ethnicity, migration status, etc.)?</li> <li>• What are some of their characteristics of the population that may render individuals more susceptible to SEA? Which groups are particularly vulnerable?<sup>45</sup></li> </ul>	<ul style="list-style-type: none"> <li>• Adapt awareness-raising efforts on PSEA to meet specific needs of beneficiaries</li> <li>• Conduct targeted messaging campaigns for those groups that are highly susceptible to SEA</li> </ul>
<b>Profile of personnel</b>	<ul style="list-style-type: none"> <li>• Is there an adequate gender balance of personnel involved in programming, particularly of personnel directly engaging with beneficiaries and local communities or responsible for recruitment?</li> <li>• Have personnel been sufficiently vetted and trained in regards to PSEA?</li> </ul>	<ul style="list-style-type: none"> <li>• Re-adjust gender balance of personnel involved in programming</li> <li>• Recruit additional female personnel involved in programming as needed</li> <li>• Conduct (refresher) training(s) on PSEA (e.g. annually), specifically focused on possible risks associated with the specific programme</li> <li>• Review HR files of personnel and conduct additional screening to identify previous misconduct as needed</li> </ul>

<sup>45</sup> For a list of at-risk groups, see pages 11-12 of the IASC, [Guidelines for Integrating GBV Interventions in Humanitarian Action](#), September 2015. Also note that some individuals may have overlapping vulnerabilities (e.g. adolescent girls, mothers with disabilities).

<p><b>Programme approaches</b></p>	<ul style="list-style-type: none"> <li>• Does the programme create or exacerbate existing imbalances between personnel and members of the community?</li> <li>• Does the programme involve direct interaction between personnel and beneficiaries, especially children?</li> <li>• How are personnel delivering goods and services (i.e. private/public, working in pairs/alone, gender-mixed)?</li> <li>• Do personnel wear visible forms of identification (e.g. caps, vests, T-Shirts) when conducting programme activities?</li> <li>• Are external visitors allowed to attend programme activities unaccompanied? Who is in charge of making these decisions?</li> </ul>	<ul style="list-style-type: none"> <li>• Arrange periodic monitoring visits by someone in a management or programme oversight role</li> <li>• Change location(s) of distribution to make it more public</li> <li>• Ensure that personnel wear visible forms of identification (e.g. caps, vests, T-Shirts) when conducting programme activities and provide such forms of identification where needed</li> <li>• Restrict access of external visitors to programme activities, to the extent possible</li> <li>• Ensure that programme participants are regularly informed of their rights, of expected behaviour of personnel, and how to report concerns</li> </ul>
<p><b>Programme context</b></p>	<ul style="list-style-type: none"> <li>• Where do programme activities take place (camp, informal settlement, host community, rural/urban setting, etc.)? What are specific risks associated with this location (e.g. lack of availability of complaints mechanisms or service providers, insecurity)?</li> <li>• What is the attitude of beneficiaries towards GBV concerns? How comfortable would beneficiaries be reporting SEA concerns?</li> <li>• Is there an inter-agency mechanism for community feedback/complaints in this location?</li> </ul>	<ul style="list-style-type: none"> <li>• Create a more secure environment at programme location (e.g. install lights, hire night guards)</li> <li>• Work with communities to adapt complaints mechanisms to meet their needs</li> <li>• Ensure that beneficiaries are aware of and can access inter-agency mechanisms for complaints in the programme location(s)</li> </ul>

## Tool 7: Sample Programmatic Actions by Sector for Minimizing PSEA Risks

Note: Before taking any programmatic actions, organization should ensure that programme design reflects SEA risks (see [“General prevention and safety measures”](#)). The following table outlines sample programmatic actions organizations can additionally take in distinct sectors to minimize SEA risks and help connect survivors to appropriate care. For more examples, please see: IASC, [Guidelines for Integrating GBV Interventions in Humanitarian Action](#), September 2015).

SECTOR	Sample Programmatic Actions
<b>Child Protection (CP)</b>	<ul style="list-style-type: none"> <li>✓ Work with GBV specialists to develop child/adolescent-friendly messaging on GBV (“safe/unsafe touch”, etc.) and how to report abuse.</li> <li>✓ Ensure adequate supervision and monitoring of family tracing and reunification activities, particularly when children travel with personnel.</li> <li>✓ Build capacity of community-based CP mechanisms on how to respond to GBV/SEA cases.</li> <li>✓ Support the development and implementation of standard operating procedures (SOPs) that specifically address how to manage GBV/SEA cases involving children.</li> <li>✓ Support GBV service providers to ensure services are accessible and appropriate for children and adolescents.</li> </ul>
<b>Education</b>	<ul style="list-style-type: none"> <li>✓ Assess the costs associated with school or vocational training (e.g. school fees/supplies, transportation) and associated risks for exploitation.</li> <li>✓ Minimize situations where a student’s advancement depends on a single teacher and ensure regular supervision of school staff.</li> <li>✓ Help ensure female students’ and teachers’ menstrual health and hygiene (MHH) needs are met, both to improve school attendance and to reduce risk of sexual exploitation in exchange for MHH.</li> <li>✓ Ensure students and school staff have access to reporting mechanisms and raise awareness on SEA risks in schools.</li> <li>✓ Include GBV and psychological first aid (PFA) in capacity-building plans for teachers and other school staff.</li> </ul>

<p><b>Health</b></p>	<ul style="list-style-type: none"> <li>✓ Consider integrating GBV response services into existing health interventions (sexual and reproductive health, antenatal services, etc.) to minimize stigma and increase accessibility.</li> <li>✓ Work with GBV/CP/protection actors to identify and address potential barriers for survivors in accessing health services (e.g. availability of private space for examination, presence of same-sex health workers).</li> <li>✓ Coordinate with other health partners to address gaps in knowledge and equipment for providing GBV services to both adult and child survivors.</li> <li>✓ Ensure health workers understand mandatory reporting on SEA and can communicate their reporting obligations to survivors; develop a system to enable health workers to access support from GBV/CP specialists, if needed.</li> <li>✓ Train health services providers on survivor-centered approaches of working with GBV survivors, as needed, and set up systems to protect confidential patient information.</li> </ul>
<p><b>Nutrition</b></p>	<ul style="list-style-type: none"> <li>✓ Monitor challenges different beneficiaries (e.g. child-headed households, people with disabilities, etc.) are facing in accessing services (e.g. registration, ration cards) and work with relevant organizations to address them.</li> <li>✓ Consider co-locating nutrition services with a health facility and/or a women-friendly space to help facilitate referrals for GBV/SEA survivors.</li> <li>✓ Share information about available reporting and response mechanisms related to GBV/SEA during meetings with beneficiaries and communities (e.g. mother-to-mother support group discussions).</li> </ul>
<p><b>Water, Sanitation and Hygiene (WASH)</b></p>	<ul style="list-style-type: none"> <li>✓ Assign women to roles that require direct interaction with beneficiaries and local communities (e.g. hygiene promoters; latrine/bathing facility/water point monitors).</li> <li>✓ Ensure women are adequately represented in WASH committees.</li> <li>✓ In consultation with communities, especially women and children, identify access concerns and risks for different beneficiaries related to WASH (e.g. water buckets that are too heavy for children; lighting in toilets, MHH).</li> <li>✓ Monitor potential abnormal behavior in women and children’s behavior related to WASH (e.g. if it takes women and children unusually long to collect water).</li> </ul>

<b>Communication for Development (C4D)</b>	<ul style="list-style-type: none"><li>✓ Work with other programmes to develop and disseminate SEA-related information materials for their respective beneficiaries (e.g. programme eligibility criteria, distribution procedures, reporting mechanisms, etc.).</li><li>✓ Support GBV/CP/protection actors to create simplified versions of the referral pathway for use in community outreach activities (e.g. use of locally-appropriate drawings or symbols).</li><li>✓ Work with GBV specialists to ensure that community-based complaints mechanisms respect global standards for safe and ethical GBV data management and information sharing (e.g. confidentiality of incident data).<sup>46</sup></li></ul>
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<sup>46</sup> See [WHO Ethical and safety recommendations for researching, documenting and monitoring sexual violence in emergencies](#)



## Tool 8: Sample Incident Report Form for SEA Allegations

This sample incident report form is intended for organizations’ internal reporting processes. If reports are shared with UNICEF or others, this should be done confidentially and in a manner that assures the safety of all involved (see [Section 5.2. Reporting Mechanisms](#)).

### **Sample Incident Report Form for SEA Allegations**

**CONFIDENTIAL:** Please restrict access to this document and keep it stored safely (e.g. using passwords or encryptions for computers and locking lock offices when unattended). Always use code names when referring to individuals involved in the case, omit information that could reveal identities (e.g. date of birth, address, phone number, description of unique physical traits) and keep information on the identity and personal details of persons involved separate from incident and related reports.

1. Details on how, when, and by whom, the allegation was received:
  
2. Description of alleged incident, including dates, times and locations:
  
3. Description of alleged or suspected survivors (e.g. name, age, gender, ethnic origin/nationality, specific needs):
  
4. Description of alleged or suspected perpetrators (e.g. name, age, gender, nationality, organizational affiliation/position, previous record of misconduct):
  
5. Actions taken by organization in response to allegations to date (e.g. referral for assistance, investigations, notification of UN/Host Government):
  
6. Actions taken by other organizations or entities (e.g. UN, Host Government) in response to the allegation:
  
7. Requested support from partners (e.g. support for SEA survivors, investigations)

Report transmitted by:	
Name:	Contact info (email, phone):
Title:	Date:

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## Tool 9: Sample Referral Form<sup>47</sup>

### **REFERRAL FORM**

**CONFIDENTIAL: Please restrict access to this document and keep it stored safely.**

Note: Please share copies of filled out referral forms with the survivor and receiving agency and keep a copy for the organization's internal records and follow-up.

Referring agency	
Agency/org:	Contact:
Phone:	Email:
Location	

Receiving agency	
Agency/org:	Contact:
Phone:	Email:
Location	

Survivor information	
Name:	Phone:
Address:	Age:
Sex	Nationality:
Language:	ID number
If survivor is a minor (under 18)	
Name of primary caregiver:	Relationship to child:
Contact information for caregiver:	Is child separated or unaccompanied? <input type="checkbox"/> Yes <input type="checkbox"/> No
Caregiver is informed about referral? <input type="checkbox"/> Yes <input type="checkbox"/> No (If no, explain)	

Background Information/Reason for referral and services already provided	
Has the survivor been informed of the referral? <input type="checkbox"/> Yes <input type="checkbox"/> No (If no, explain below)	Has the survivor been referred to any other organization?

<sup>47</sup> Adapted from: IASC Reference Group for Mental Health and Psychosocial Support in Emergency Settings, [Inter-Agency Referral Form and Guidance Note](#), 2017

	c Yes <input type="checkbox"/> No (If yes, explain below)

Services requested		
<input type="checkbox"/> Mental Health Services	<input type="checkbox"/> Protection Services	<input type="checkbox"/> Shelter
<input type="checkbox"/> Psychosocial Support	<input type="checkbox"/> Legal Assistance	<input type="checkbox"/> Material Assistance
<input type="checkbox"/> Social Services	<input type="checkbox"/> Education	<input type="checkbox"/> Nutrition
<input type="checkbox"/> Medical Care	<input type="checkbox"/> Livelihood Support	<input type="checkbox"/> Support for children born as a result of SEA
Please explain any requested services:		

Consent to release information. (Read with survivor/ caregiver and answer any questions before s/he signs below. Sign on behalf of survivor/caregiver if consent is given verbally and survivor/caregiver cannot sign.)
I, _____ ( <b>survivor name</b> ), understand that the purpose of the referral and of disclosing this information to _____ ( <b>name of receiving agency</b> ) is to ensure the safety and continuity of care among service providers seeking to serve the client. The service provider, _____ ( <b>name of referring agency</b> ), has clearly explained the procedure of the referral to me and has listed the exact information that is to be disclosed. By signing this form, I authorize this exchange of information.
Signature of responsible party (survivor or caregiver if a child):
Date (DD/MM/YY):

Details of Referral
Any contact or other restrictions? <input type="checkbox"/> Yes <input type="checkbox"/> No (If yes, please explain below)
Referral delivered via: <input type="checkbox"/> Phone (emergency only) <input type="checkbox"/> E-mail <input type="checkbox"/> Electronically (e.g., App or database) <input type="checkbox"/> In Person
Follow-up expected via: <input type="checkbox"/> Phone <input type="checkbox"/> E-mail <input type="checkbox"/> In Person. By date (DD/MM/YY):
Information agencies agree to exchange in follow up:

Name and signature of recipient:	Date received (DD/MM/YY):
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## Terms of Reference: Investigator of SEA Allegations

### 1. Background

[Include brief description of the SEA allegation and other relevant information that may support the investigation.]

### 2. Purpose and Objectives

The purpose of this investigation is to conduct a thorough, objective and effective investigation of the above-mentioned reported SEA allegations and other related incidents, in accordance with professional standards and best international practice.

Specific objectives are to:

- 1) Assess whether the allegations reasonably amount to SEA, and possibly, an offence under national law;
- 2) Review evidence presented and gather further evidence that might support or undermine the allegations;
- 3) Present a summary of the evidence and conclusions.

### 3. Scope of Work

Key deliverables are:

- Work plan, including detailed methodology of investigation (e.g. review of relevant documents, site visit(s), interviews with relevant stakeholders)
- Recommended plan of actions for protecting survivors, witnesses, alleged perpetrators and the organization during investigation process
- Investigation report, including
  - 1) Executive Summary
  - 2) Introduction
  - 3) Allegations (i.e. listing all allegations; names of the organization's policies/code of conduct and laws potentially violated)
  - 4) Investigative approach (e.g. interviews, review of documents)

<sup>48</sup> Adapted from: Scoping tool for Terms of Reference (adapted from SOS Children's Villages International), included in: Keeping Children Safe, [Management of Child Safeguarding Allegations](#), 2016.

- 5) Chronology of events
- 6) Analysis of evidence
- 7) Retaliation and protection risks (and steps taken to address them)
- 8) Analysis of adequacy of organization's response to SEA allegation
- 9) Conclusions regarding evidence to substantiate or not the allegation(s)
- 10) Recommendations (including areas of improvement for the organization's response to PSEA)

#### **4. Key Required Skills and Experiences**

- Experienced, reliable professional investigator with experience in dealing with highly sensitive cases
- Trained in conducting interviews, including with children and people who experienced trauma
- Demonstrated sensitivity and knowledge to cultural diversity and gender issues, including GBV experience if possible
- Fluent in relevant languages for interviews with personnel and other witnesses, including (specify)
- Proven communication and organizational skills

## Tool 11: Sample Confidentiality Reminder Note for SEA Investigations

### Confidentiality Reminder for SEA Investigations

You have been asked to provide assistance in an investigation of allegations of sexual exploitation or abuse involving personnel that is currently being undertaken. You may be interviewed, asked to provide documents, computer files and other records, or asked to assist in some other way. Internal investigations are a key part of our organization's commitment to preventing and responding to sexual exploitation and abuse.

As a participant in an investigation, there are certain points you need to know:

1. **Co-operate.** You are encouraged to co-operate with the investigations and respond to all questions and requests from investigators honestly and fully.
2. **Keep it confidential.** You must keep confidential the fact that an investigation is underway and anything discussed with you as part of the investigation.
3. **No retaliation.** Our organization does not tolerate any type or threat of retaliation against anyone who reports a violation or cooperates in an investigation.
4. **Don't play detective.** Do not try to carry out your own inquiries or exhort witnesses as this may disrupt the ongoing investigation.
5. **No obstruction.** Never attempt to interfere with or obstruct an investigation.

Your compliance with these requirements is imperative. Violations can potentially result in severe discipline up to and including discharge and referral to criminal charges.

Thank you very much for assisting the organization with its investigation. If you learn or remember anything else that might be relevant to the investigation, or if you have any questions please contact me.

Name:

Email:

Phone:

Mobile:

## Tool 12: Template for Risk Assessment and Management During SEA Investigation<sup>49</sup>

**CONFIDENTIAL:** Please restrict access to this document and keep it stored safely.

RISK ASSESSMENT				MANAGEMENT			
No.	Who is at risk?	Identified risk(s)	Likelihood of risk*	Previous measures to manage risk(s) to date	Additional mitigation measures	By whom?	By when
<i>Example</i>	<i>Survivor</i>	<i>Alleged perpetrator pressuring survivor to withdraw allegations</i>	<i>Medium</i>	<i>Verbal communication to alleged perpetrator to abstain from contact with survivor (3 February 2019)</i>	<i>Written warning to alleged perpetrator regarding consequences of continued contact</i>	<i>Anne</i>	<i>By 5 March 2019 (immediately)</i>
1.							
2.							
3.							

\* High/Medium /Low

<sup>49</sup> Adapted from Template of SOS Children's Village, in: Keeping Children Safe, *Management of Child Safeguarding Violations*, 2016.  
<https://www.keepingchildrensafe.org.uk/how-we-keep-children-safe/capacity-building/resources/management-child-safeguarding-allegations>