



TOOLKITS FOR ADDRESSING PSEA

TOOLKIT D

EXAMPLES OF FLOWCHARTS



Global Affairs
Canada

Affaires mondiales
Canada



D) EXAMPLES OF FLOWCHARTS

FOREWORD

This toolkit aims to provide your organization with flowcharts to support the development of programs on the Prevention of Sexual Exploitation and Abuse (PSEA). The six documents gathered here were produced by several different organizations and have been selected among the Digna database. The documents are samples of visually-friendly diagrams, and might be used as examples for each organization to develop their own pathways regarding the procedures on PSEA.

The flowcharts listed here vary in complexity. They all present good practices, whether regarding the actions to be taken immediately after the receipt of a complaint or disclosure; or, in more general terms, the conduction of monitoring and evaluation of the PSEA programs.

Digna deems some documents as particularly useful for the development of organizations' procedures.

For example, the pathways found in the Inter-Agency PSEA-CBCM Best Practice Guide – document 1 in this toolkit – comprise four spheres of action and it is a very complete flowchart kit example. In turn, the cycles shown by Regional Safe Spaces Network / UNHCR and Save the Children – documents 5 and 6 in this toolkit – are simple and straightforward visuals on the processes to be followed by the organizations for constant action and evaluation.

Digna is committed to provide your organization with clear and useful tools. We hope they will help your work while presenting information on PSEA in an organized and visually-friendly way.



LIST OF DOCUMENTS

1

Inter-agency complaint handling flowchart / Victim assistance referral pathway / How staff can report SEA – Inter-Agency PSEA-CBCM Best Practice Guide, 2016, Annex 4, pp. 90-93.

2

Feedback and complaint flow diagram – Sample provided by Educo (Member of the ChildFund Alliance), Plan International, Save the Children UK, War Child UK and World Vision International, Interagency Study on Child-Friendly Feedback and Complaint Mechanisms within NGO programs. Phase one report, survey findings, 2015, p. 3.

3

Complaint Referral Flow Chart – Regional Safe Spaces Network / UNHCR, Regional Toolkit for Protection from Sexual Exploitation and Abuse, Sexual Harassment (PSEA/PS) and Inter-Agency Community-Based Complaint Referral Mechanism in the Americas, 2019, p. 22.

4

Regional PSEA focal points cross-border and inter-agency complaint referral pathway – Regional Safe Spaces Network / UNHCR, Regional Toolkit for Protection from Sexual Exploitation and Abuse, Sexual Harassment (PSEA/PS) and Inter-Agency Community-Based Complaint Referral Mechanism in the Americas, 2019, pp. 28-30.

5

Vision for effective complaint mechanisms – Regional Safe Spaces Network / UNHCR, Regional Toolkit for Protection from Sexual Exploitation and Abuse, Sexual Harassment (PSEA/PS) and Inter-Agency Community-Based Complaint Referral Mechanism in the Americas, 2019, p. 85.

6

The safeguarding cycle – Save the Children, Safeguarding in Emergencies Toolkit, 2019, p. 37.



USEFUL:

- to develop a PSEA Policy and Code of Conduct (ANC 03-20: Breakout Session 2)
- to reach partners and beneficiaries (ANC 03-20: Breakout Session 3)
- to conduct risk assessment (ANC 03-20: Breakout Session 4)

ANC = Annual National Conference

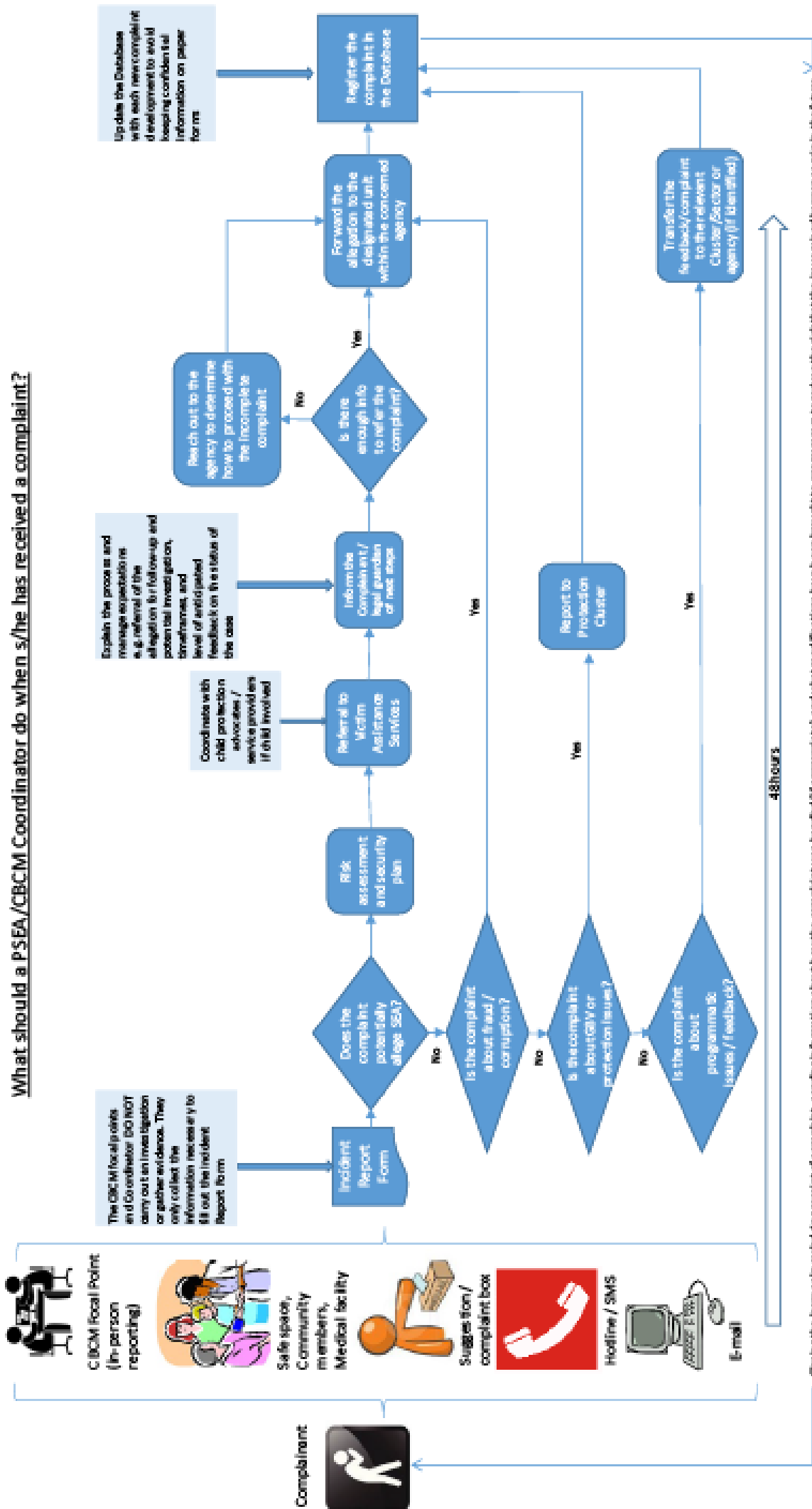


INTER-AGENCY COMPLAINT HANDLING FLOWCHART / VICTIM ASSISTANCE REFERRAL PATHWAY / HOW STAFF CAN REPORT SEA
INTER-AGENCY PSEA-CBCM BEST PRACTICE GUIDE, 2016

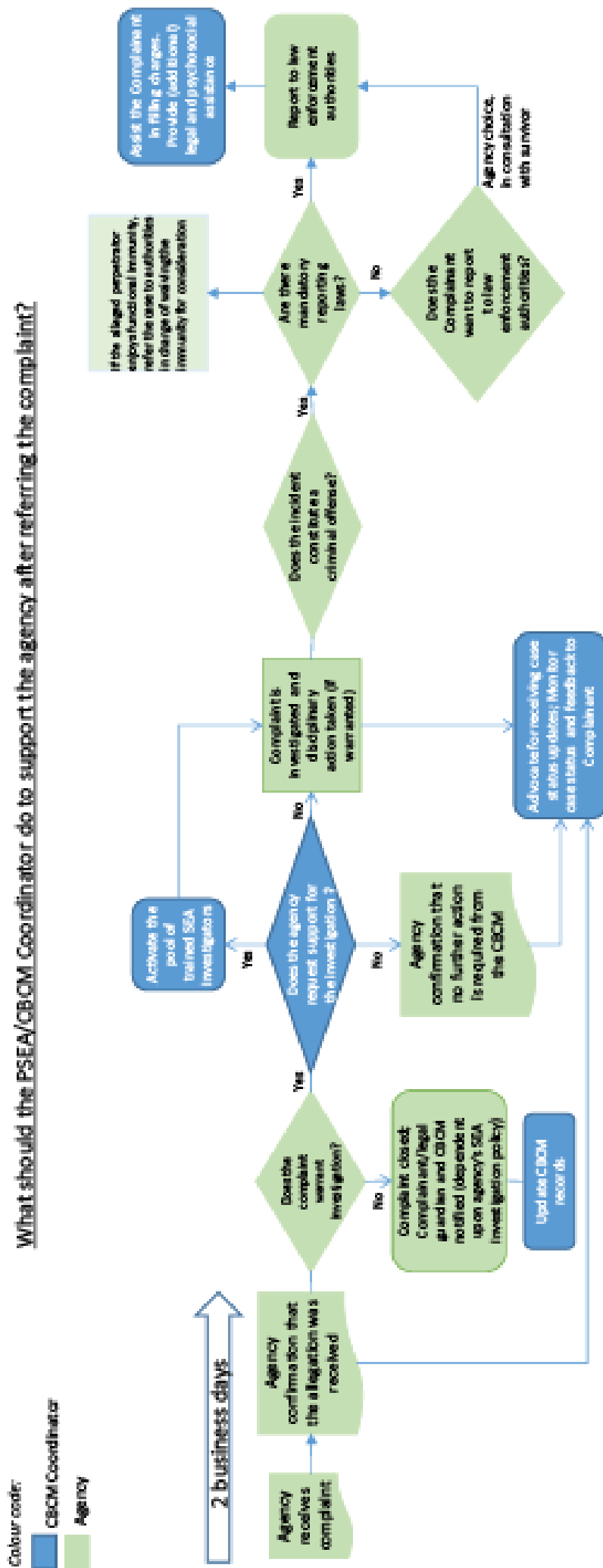
90

4d. Generic Inter-Agency Complaint Handling Flowchart

ANNEX 4



INTER-AGENCY COMPLAINT HANDLING FLOWCHART / VICTIM ASSISTANCE REFERRAL PATHWAY / HOW STAFF CAN REPORT SEA
INTER-AGENCY PSEA-CBCM BEST PRACTICE GUIDE, 2016



Case status updates may include (in line with the agreed-upon CBCM SOPs):

- When the investigative unit received the complaint;
- When/whether an investigation began, or if the complaint was determined an insufficient basis to proceed;
- When the investigation concluded;
- The outcome of the investigation; and
- When/whether the outcome (or any information) was provided to the survivor, or if providing feedback is prohibited by the investigating agency's internal policies.

ANNEX 4

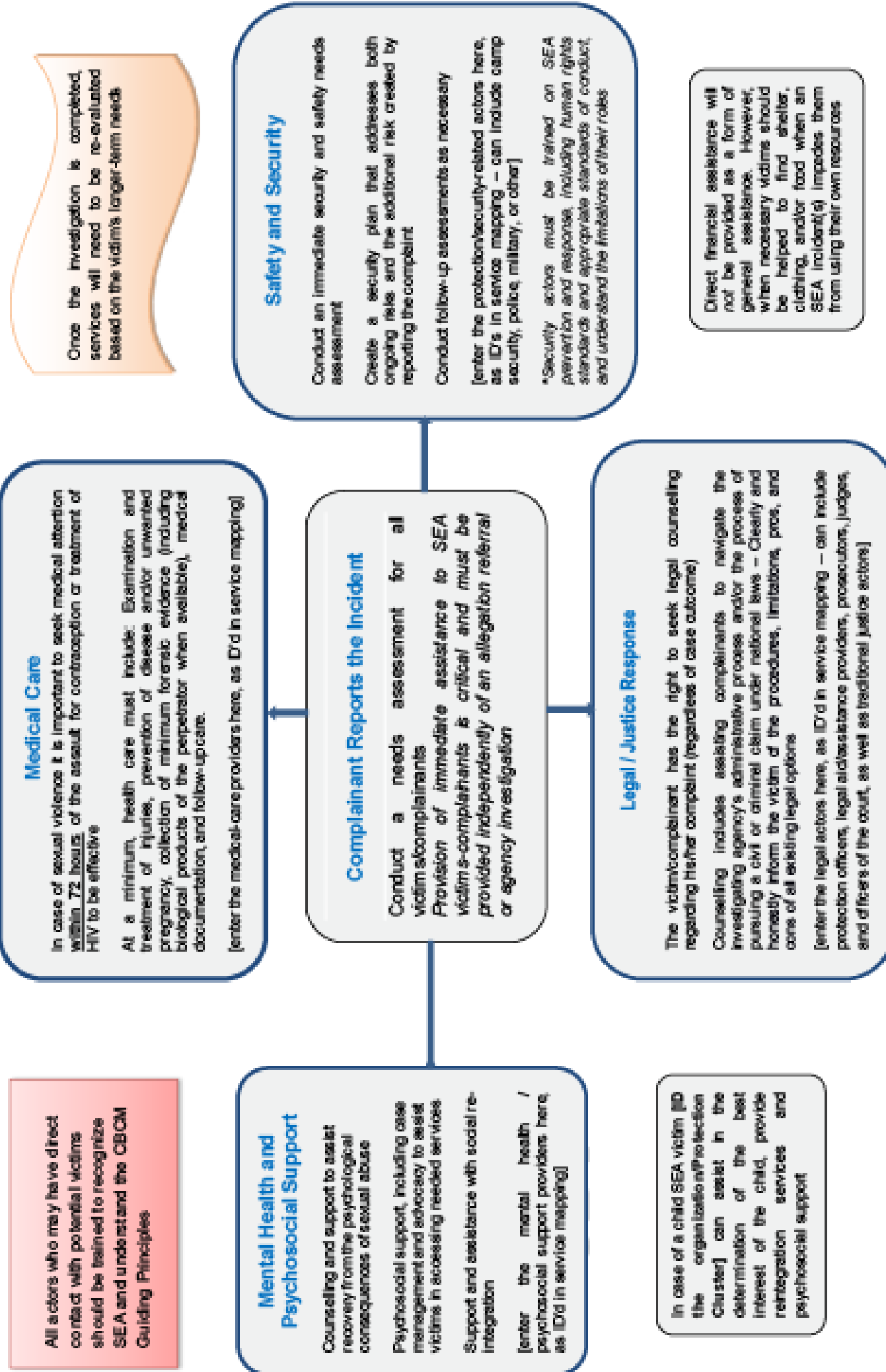


INTER-AGENCY COMPLAINT HANDLING FLOWCHART / VICTIM ASSISTANCE REFERRAL PATHWAY / HOW STAFF CAN REPORT SEA

INTER-AGENCY PSEA-CBCM BEST PRACTICE GUIDE, 2016

ANNEX 4

SAMPLE Victim Assistance Referral Pathway (SEA complaints)



INTER-AGENCY COMPLAINT HANDLING FLOWCHART / VICTIM ASSISTANCE REFERRAL PATHWAY / HOW STAFF CAN REPORT SEA
INTER-AGENCY PSEA-CBGM BEST PRACTICE GUIDE, 2016

Reporting Sexual Exploitation and Abuse (SEA)

What UNHCR staff need to know and what they need to do ?




How to report misconduct?

Anyone having concerns or suspicions about possible misconduct by a UNHCR staff member (or anyone with a contractual link to UNHCR), regardless of their position, should report such concerns directly to UNHCR's Inspector General's Office (IGO).

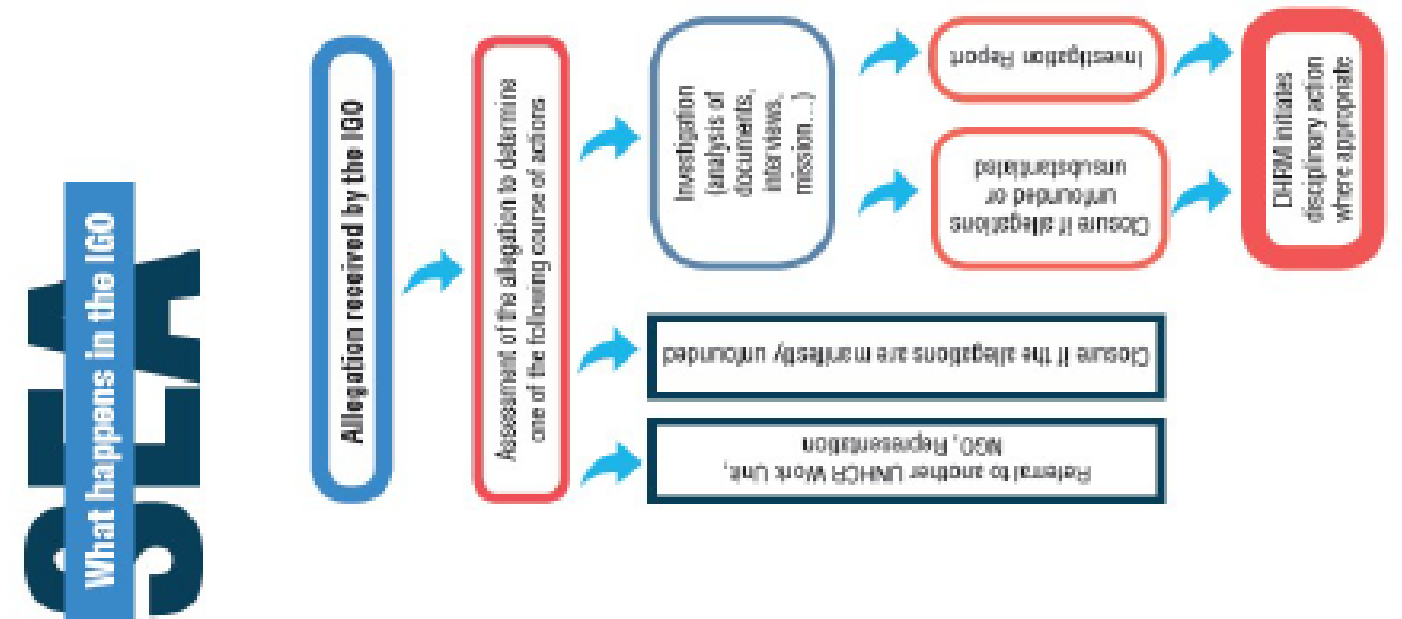
Contact details
The IGO keeps the information it receives confidential.
The IGO's contact details are as follows:

- Email:** inspector@unhcr.org
- Website:** www.unhcr.org/pdp/complaints.php
- IGO Helpline:** +41 22 730 8844
- Fax:** +41 22 730 7380

You can also report your concerns directly to an IGO staff member.



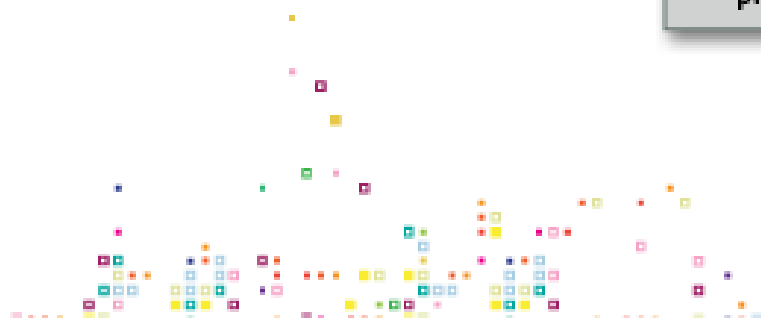
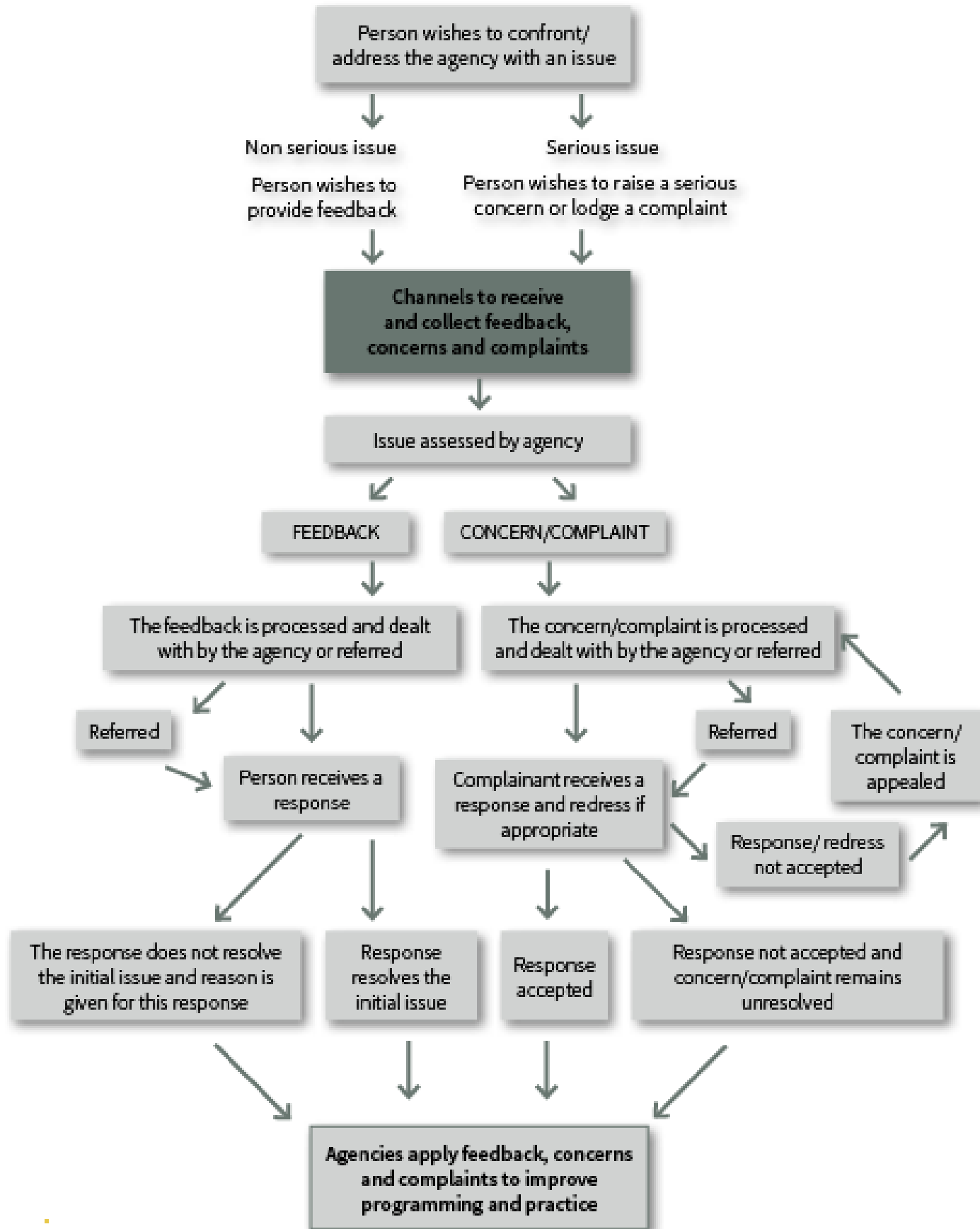
ANNEX 4



FEEDBACK AND COMPLAINT FLOW DIAGRAM

EDUCO (MEMBER OF THE CHILDFUND ALLIANCE), PLAN INTERNATIONAL, SAVE THE CHILDREN UK, WAR CHILD UK AND WORLD VISION INTERNATIONAL, INTERAGENCY STUDY ON CHILD-FRIENDLY FEEDBACK AND COMPLAINT MECHANISMS WITHIN NGO PROGRAMS. PHASE ONE REPORT, SURVEY FINDINGS, 2015

Figure 1. Generic feedback and complaint flow diagram

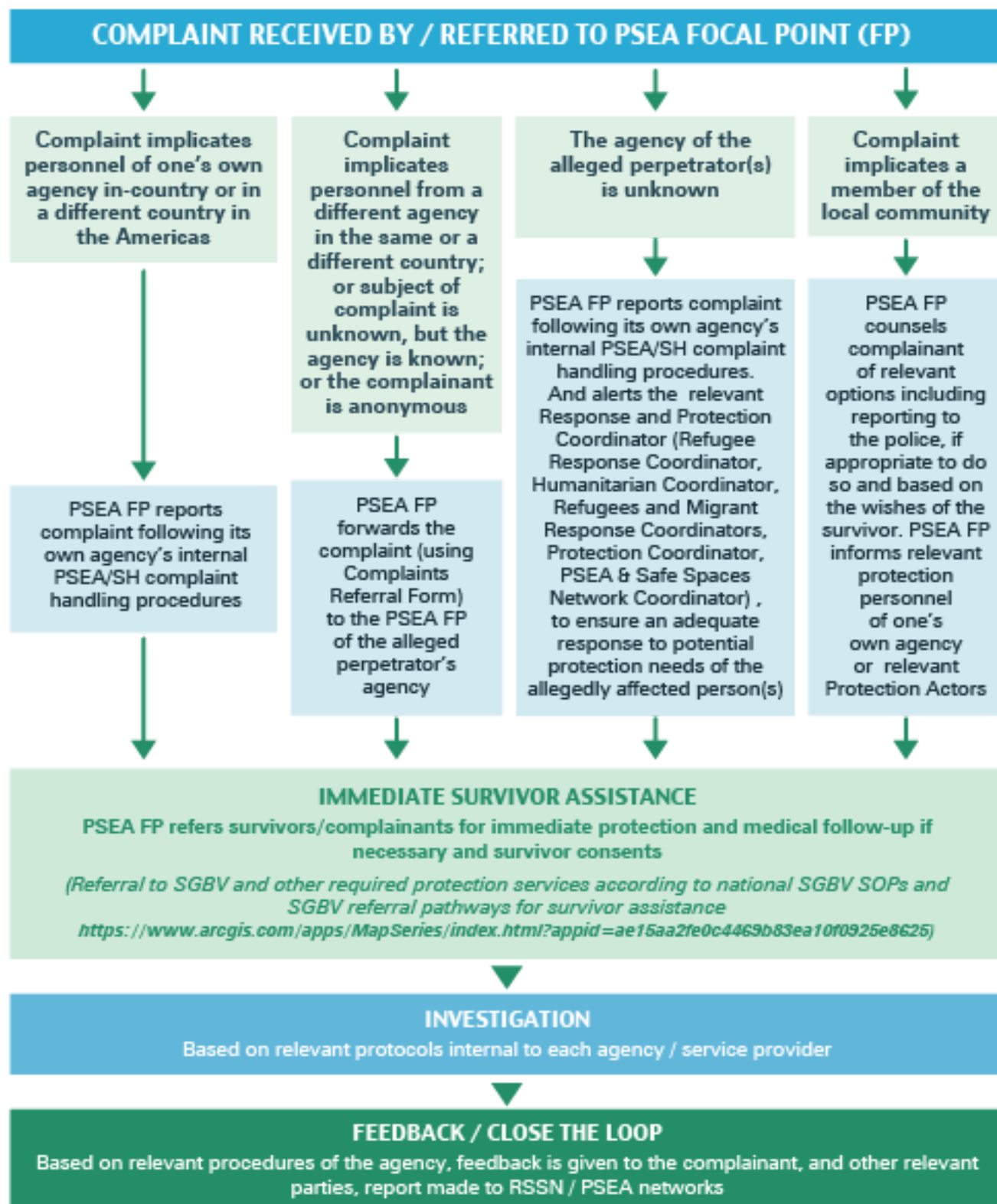


COMPLAINT REFERRAL FLOW CHART

REGIONAL SAFE SPACES NETWORK / UNHCR, REGIONAL TOOLKIT FOR PROTECTION FROM SEXUAL EXPLOITATION AND ABUSE, SEXUAL HARASSMENT (PSEA/PS) AND INTER-AGENCY COMMUNITY-BASED COMPLAINT REFERRAL MECHANISM IN THE AMERICAS, 2019

REGIONAL INTER-AGENCY COMMUNITY-BASED COMPLAINT REFERRAL MECHANISM IN THE AMERICAS
For Regional Cross-Border and Inter-Agency referrals of SEA/SH complaints

Fig 1: Cross-border Inter-agency Complaint Referral Flow Chart



REGIONAL PSEA FOCAL POINTS CROSS-BORDER AND INTER-AGENCY COMPLAINT REFERRAL PATHWAY

REGIONAL SAFE SPACES NETWORK / UNHCR, REGIONAL TOOLKIT FOR PROTECTION FROM SEXUAL EXPLOITATION AND ABUSE, SEXUAL HARASSMENT (PSEA/PS) AND INTER-AGENCY COMMUNITY-BASED COMPLAINT REFERRAL MECHANISM IN THE AMERICAS, 2019

REGIONAL INTER-AGENCY COMMUNITY-BASED COMPLAINT REFERRAL MECHANISM IN THE AMERICAS
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9 REGIONAL PSEA FOCAL POINTS CROSS-BORDER AND INTER-AGENCY COMPLAINT REFERRAL PATHWAY

TELLING SOMEONE AND SEEKING HELP (DISCLOSING / SUBMITTING A COMPLAINT)

Survivor / Complainant tells personnel either in person (i.e. to agency staff or community volunteer; during monitoring visit; at registration services) or via phone or email	Survivor / Complainant tells someone else (e.g. family member, friend, community member) and that person tells a humanitarian worker (i.e. in person; via hotline; at registration services)	Survivor self-reports to a medical / health or case manager / psychosocial "entry point"	Unspecified/generic "in-the-air" allegation of SEA/SH (i.e. where the service provider of the alleged perpetrator(s) is uncertain or unknown)
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IMMEDIATE RESPONSE OF PERSONNEL RECEIVING COMPLAINT / REPORT / SUSPICION / ALLEGATION OF SEA/SH

- When in direct receipt of a complaint: provide a safe, caring environment and respect the confidentiality and wishes of the survivor/complainant; explain that all personnel of service providers are obliged to report to their agency and/or investigative body when they become aware of SEA/SH by a fellow worker; reassure survivor/complainant that information will be kept private and shared strictly on a needs to know basis in consideration of the wishes of the survivor; provide counselling on the available solutions.
- Collect minimum necessary information and complete the Complaint Referral Form (with minimum details required); PASSWORD PROTECT the form.
- **DO NOT** try to ascertain whether or not the allegation is true or to make any investigation into the allegation.
- Follow internal complaint handling procedures
- Complete a Complaint Referral Form (with any details known) and PASSWORD PROTECT form.
- **DO NOT** try to ascertain whether or not the allegation is true or to make any investigation into the allegation.



REPORTING SEA/SH COMPLAINTS

Where the complaint / report concerns your agency / service provider:

- Raise the complaint confidentially with your agency PSEA Focal Point or Manager, or Investigative Body, as soon as possible.
- **Where the PSEA Focal Point is the subject or involved in a complaint or allegation** refer the complaint to your Alternate PSEA Focal Point, Manager, or Investigative Body, as soon as possible.
 - **Where both PSEA Focal Points are involved**, raise the complaint with the senior management, or an established investigative body of your agency directly (e.g. see details below), as soon as possible.



REGIONAL PSEA FOCAL POINTS CROSS-BORDER AND INTER-AGENCY COMPLAINT REFERRAL PATHWAY

REGIONAL SAFE SPACES NETWORK / UNHCR, REGIONAL TOOLKIT FOR PROTECTION FROM SEXUAL EXPLOITATION AND ABUSE, SEXUAL HARASSMENT (PSEA/PS) AND INTER-AGENCY COMMUNITY-BASED COMPLAINT REFERRAL MECHANISM IN THE AMERICAS, 2019

REGIONAL PSEA FOCAL POINTS CROSS-BORDER AND INTER-AGENCY COMPLAINT REFERRAL PATHWAY

Where the complaint / report concerns another service provider the PSEA Focal Point should:

Complete a Complaint Referral Form (password protected and confidentially) to the concerned service provider PSEA Focal Point or Manager, or Investigative Body, by email or hand-posted letter, as soon as possible.

- **Where the concerned service provider’s PSEA Focal Point is the subject or involved in the complaint or allegation**, refer the complaint to their Alternate PSEA Focal Point, Manager, or Investigative Body, as soon as possible.
- **Where both the PSEA Focal Points are involved**, raise the complaint with the senior management of your agency or an established investigative body (e.g. see details below) as soon as possible.

See ‘Annex VII’ for list of regional PSEA Focal Points and Alternates, and investigative Bodies²⁵.



RESPONSE OF PSEA FOCAL POINT OF THE SERVICE PROVIDER OF CONCERN

- | | |
|---|---|
| <ul style="list-style-type: none"> • Respect the confidentiality and wishes of the survivor • Keep information on strict needs to know basis • Refer to agency Complaint and Investigation Policy and Procedures | <p>Alert the relevant Response and Protection Coordinator (Refugee Response Coordinator, Humanitarian Coordinator, Refugees and Migrant Response Coordinators, Protection Coordinator, PSEA & Safe Spaces Network Coordinator) s, to ensure an adequate response to potential protection needs of the allegedly affected person(s) in consultation with investigative services.</p> |
|---|---|



INVESTIGATION INITIATED BY INVESTIGATION BODY OR SENIOR MANAGEMENT OF SERVICE PROVIDER
in line with agency investigation policy and procedures and the Regional Inter-Agency Complaint Referral Mechanism

Upon planning an investigation, agencies are encouraged to contact the Regional or National (as appropriate) level UNHCR PSEA Focal Point on potential risks for concerned populations as a measure to ensure adequate security and safety for survivors and witnesses throughout an investigation process.



THE PROTECTION NEEDS OF THE SURVIVOR, COMPLAINANT, WITNESSES, WHISTLE-BLOWERS, ALLEGED PERPETRATOR OR SUBJECT OF THE COMPLAINT, are considered and referrals are made to the appropriate Protection Services via the RSSN service referral online map and SGBV/CP, and other protection referral pathways.

<https://www.arcgis.com/apps/MapSeries/index.html?appid=ae15aa2fe0c4469b83ea10f0925e8625>

- Refer to protection, SGBV, CP services included in the RSSN service referral online map and the national referral pathways for information on protection services and provide comprehensive information on available services and support to survivors of SEA/SH / SGBV
- **If agreed and requested by survivor**, obtain informed consent and make referrals to protection services
- When family/guardians make a decision on behalf of the child, ensure the best interest of the child is given priority. A trusted adult should be accompanying the child. Assent will be sought from the child to proceed with service referrals.
- Accompany the survivor to assist his/her in accessing services
- For survivors of sexual violence ensure immediate (within 72 hours) access to medical care.



25. The interactive PSEA/SH referral pathway is included in the RSSN service referral online map and can be consulted in the following link: <https://www.arcgis.com/apps/MapSeries/index.html?appid=ae15aa2fe0c4469b83ea10f0925e8625>



REGIONAL PSEA FOCAL POINTS CROSS-BORDER AND INTER-AGENCY COMPLAINT REFERRAL PATHWAY

REGIONAL SAFE SPACES NETWORK / UNHCR, REGIONAL TOOLKIT FOR PROTECTION FROM SEXUAL EXPLOITATION AND ABUSE, SEXUAL HARASSMENT (PSEA/PS) AND INTER-AGENCY COMMUNITY-BASED COMPLAINT REFERRAL MECHANISM IN THE AMERICAS, 2019

REGIONAL INTER-AGENCY COMMUNITY-BASED COMPLAINT REFERRAL MECHANISM IN THE AMERICAS
For Regional Cross-Border and Inter-Agency referrals of SEA/SH complaints

AGENCY CARRIES OUT RELEVANT ADMINISTRATIVE AND DISCIPLINARY MEASURES FOR PERSONNEL WHERE NECESSARY, IN LINE WITH THE POLICY AND PROCEDURES OF THE AGENCY CONCERNED



WHEN IN RECEIPT OF A REFERRAL FROM ANOTHER AGENCY, THE PSEA FOCAL POINT SHOULD ACKNOWLEDGE RECEIPT OF THE COMPLAINT OR REPORT AND CONFIRM THAT THE MATTER WAS ADDRESSED (considering confidentiality and best interest of the survivor)



PSEA FOCAL POINTS SHARE ANONYMIZED STATISTICAL DATA AND INFORMATION OF SEA/SH COMPLAINTS AND REFERRALS (AS DEFINED IN THE REGIONAL MECHANISM) WITHIN THE PSEA NETWORK, RSSN AND OTHER RELEVANT PROTECTION GROUPS

INVESTIGATIVE BODIES

UN Office of Internal Oversight Services (OIOS)

Report online: <https://oios.un.org/content/contact-us> | Call: +1 212 963 1111 (24 hours)

UNHCR Inspector General's Office (IGO)

Report online: <https://www.unhcr.org/uk/making-complaint.html> | Call: +41 22 7398844
Email: inspector@unhcr.org



VISION FOR EFFECTIVE COMPLAINT MECHANISMS

REGIONAL SAFE SPACES NETWORK / UNHCR, REGIONAL TOOLKIT FOR PROTECTION FROM SEXUAL EXPLOITATION AND ABUSE, SEXUAL HARASSMENT (PSEA/PS) AND INTER-AGENCY COMMUNITY-BASED COMPLAINT REFERRAL MECHANISM IN THE AMERICAS, 2019

TOOLS

ACCESSIBILITY

Can be used by as many people as possible, from as many groups as possible, in all locations

TRANSPARENCY

Members of concerned populations know it exists, have input into its development, and possess enough information on how to access it and ensure it is adhered to. Consultation with and participation by concerned populations will help ensure that your complaint mechanism is confidential, accessible, safe and transparent.

TIMELINESS

An effective mechanism will deal with complaint in a timely manner. The timeline for acknowledgment and response should be stated in the procedures.

REPORTING

The outcomes of an investigation should be reported to the relevant parties. Learning from complaints and investigations need to be integrated into adjusting programme activities, policies and practices.

5. VISION FOR EFFECTIVE COMPLAINT MECHANISMS

For complaint mechanisms to be effective and to be trusted by concerned populations, and personnel, complaints must be responded to and complainants should be kept informed of the outcome of action taken, within an appropriate timeframe. This is known as 'closing-the-loop' – if feedback is not provided, then the loop is not considered 'closed' and the system cannot be truly effective or accountable to all parties involved.



DOCUMENT 6

THE SAFEGUARDING CYCLE

SAVE THE CHILDREN, SAFEGUARDING IN EMERGENCIES
TOOLKIT, 2019



EXIT PLANNING

When Save the Children finishes our humanitarian operations in a certain area, we often hand over project responsibility to partners – either institutional (e.g. local government), implementing partners (local NGOs or community leaders or groups). Where this happens, it is important that you spend some time training the community leader, groups or partner on safeguarding, to ensure that they are able to continue operating in a safe way.

It is also critical to ensure that any open safeguarding cases in the area are still supported by Save the Children. Responsibility for open Save the Children cases (and any new cases) cannot be handed over to partners.

You will need to work with the operations team to find a way to continue your case management of the safeguarding/PSEA case. This might involve you or the Survivor's Advocate communicating by phone with the survivor or setting certain times and locations to meet in future to discuss the progress of the case and any additional support needs.

If Save the Children's operations included medical or psychosocial support to GBV survivors, and the survivor has been accessing these services, it is crucial that his or her access to this support (whoever is taking it over) continues uninterrupted. This is particularly important if the survivor is receiving HIV treatment, or psychosocial treatment.



TOOLKITS

This is a summary of the eight toolkits



A

EXAMPLES OF CODES OF CONDUCT - POLICY PROGRAMS

This toolkit contains eleven documents, which are samples of principles, guidelines and codes of conduct, and might be used as examples for each organization to develop their own recommendations regarding PSEA.

B

EXAMPLES OF RISK ASSESSMENT AND MANAGEMENT

This toolkit contains five documents, which are samples of useful tools to identify risk indicators and strategies to manage them, and might be used as examples for each organization to develop their own risk management systems.

C

EXAMPLES OF REPORT FORMS

This toolkit contains four documents, which are samples of report and referral forms, and instructions on how to proceed while processing a disclosure. They could be used as examples for each organization to develop their own forms regarding PSEA.

D

EXAMPLES OF FLOWCHARTS

This toolkit contains six documents, which are samples of visually-friendly diagrams. They could be used as examples for each organization to develop their own pathways regarding the procedures on PSEA.

E

EXAMPLES OF PSEA AUDIT AND SELF-ASSESSMENT - CONTACTS WITHIN THE ORGANIZATIONS AND PARTNERS

This toolkit contains seven documents, which are samples of contact lists and check-lists. They could be used as examples for each organization to produce their own call trees and self-assessment forms regarding PSEA.

F

EXAMPLES OF FEEDBACK FORMS

This toolkit contains two documents, which are samples of feedback forms. They could be used as examples for each organization to develop their own feedback materials on PSEA.

G

EXAMPLES OF MONITORING SURVEYS - EVALUATION TOOLS

This toolkit contains five documents, which are samples of monitoring surveys and evaluation tools. They could be used as examples for each organization to develop their own evaluation materials regarding PSEA.

H

EXAMPLES OF VISUALS

This toolkit contains four documents, which are samples of visual information materials. They could be used as examples for each organization to develop their own visually-friendly documents regarding PSEA.