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PSEA/PEAS

TOOLKITS FOR ADDRESSING PSEA

PREVENTING SEXUAL EXPLOITATION AND ABUSE

Global Affairs Canada
Affaires mondiales Canada

CCIC CCCI

DIGNA - CENTRE OF EXPERTISE ON THE PREVENTION OF SEXUAL EXPLOITATION AND ABUSE
CANADIAN COUNCIL FOR INTERNATIONAL CO-OPERATION

TOOLKITS FOR ADDRESSING PSEA

INTRODUCTION

As Canadians and the global community grapple with different forms of gender-based violence, Canada's international development and humanitarian sector, in partnership with the Canadian government, are playing a prominent role to effectively reduce the number of incidents related to sexual exploitation and abuse. Through a feminist approach, Digna - a Centre of Expertise on the Prevention of Sexual Exploitation and Abuse at the Canadian Council for International Co-operation and funded by Global Affairs Canada – aims to provide organizations with best practices and practical tools to enable 1) work towards the prevention of sexual exploitation and abuse (SEA), and 2) address SEA incidents in a more informed way, having a survivor-centered approach as the base for action.

In order to publicly and broadly address the topic, Digna was going to hold a national conference in Ottawa, on March 25th, 2020. Due to the COVID-19 pandemic crisis, and to comply with the public health agencies' measures and recommendations to keep people safe and prevent the spread of the disease, the event was postponed.

While the conference is on hold, Digna continued to work on the collection of data and the development of materials related to the PSEA. Four topics particularly addressed in the toolkits include: developing a PSEA policy and code of conduct, reaching partners and beneficiaries, risk assessment, and processing a disclosure, among others.

The toolkits explore strategies that can be used while working towards the prevention of SEA. Based on the database of resources under compilation by Digna, we have developed eight different toolkits. In general terms, they unpack what many different organizations from the international development and humanitarian sector have done to address SEA. This includes their approaches to managing risk, their strategies and the best practices they have put forth. This document provides the full set of toolkits, each available individually on Digna's website. Overall, the eight toolkits provide over forty straightforward and practical documents. Each toolkit also contains a foreword and a short commentary on its content. In addition, the complete bibliographical references of each one of the documents are available, as well as the website where they can be found and downloaded. The next page has a summary of the eight toolkits.

Digna is committed to providing your organization with clear and useful tools. We hope they will help your work developing PSEA policies, as well as reaching partners and beneficiaries in a respectful and ethical way.

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.

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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.

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TOOLKITS FOR ADDRESSING PSEA

TOOLKIT A

EXAMPLES OF CODES OF CONDUCT - POLICY PROGRAMS

Global Affairs Canada
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A) EXAMPLES OF CODES OF CONDUCT / POLICY PROGRAMS

FOREWORD

This toolkit aims to provide your organization with guidance for the development of policy programs on the Prevention of Sexual Exploitation and Abuse (PSEA). The eleven documents gathered here were developed by several different organizations and have been selected among the Digna database. The documents 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.

Many of the codes of conduct listed here share six core principles. In addition, such documents explicitly present good practices and actions that should be carried out. For instance, the respect for fundamental human rights, and actions that are considered misconducts and should be avoided, such as engaging in relationships with beneficiaries. In general, the codes of conduct selected in this toolkit regard most particularly humanitarian workers; but Digna considers they should be extended to other members of the organization, its partners, and to the general population.

Digna deems some documents as particularly interesting for the development of organizations' guidelines. For example, the booklet developed by Concern Worldwide Ethiopia – document 4 in this toolkit – provides visuals to explain the Organizational Program Participants Protection Policy to community members. In turn, the table provided by Humanitarian Accountability Partnership (HAP) International – document 5 in this toolkit – merges core principles for a code of conduct and a statement of commitment on eliminating PSEA in a single document. For its part, the checklist developed by International Code of Conduct Association (ICoCA) – document 11 in this toolkit – is an easy way to examine which points have already been covered by the organization's policies.

Digna is committed to provide your organization with clear and useful tools. We hope they will help you develop PSEA policies, as well as reach partners and beneficiaries in a respectful and ethical way.

LIST OF DOCUMENTS

1. **The Code of Conduct. A template for Addressing Sexual Violence in Small and Medium ICOs** – AQOCI, 2019.

2. **Common Codes of Conduct** – Inter-Agency PSEA-CBCM Best Practice Guide, 2016, Annex 4, pp. 71-73.

3. **Kenya Code of Conduct Undertakings** – Kenya Refugee Program Prevention of Sexual Exploitation and Abuse Committee, Police Training Module: A Guide for Trainers, 2010, Handout 9, p. 28.

4. **Booklet to raise awareness about Program Participants Protection Policy (P4)** – Concern Worldwide Ethiopia, Booklet aimed at explaining the organizational Program Participants Protection Policy to community members, 2000.

5. **Table containing 6 core principles for Codes of Conduct + Statement of Commitment on Eliminating SEA** – Humanitarian Accountability Partnership (HAP) International, To Complain or Not to Complain: Still the Question - Consultations with humanitarian aid beneficiaries on their perceptions of efforts to prevent and respond to sexual exploitation and abuse, 2008, p. 13.

6. **Six core principles re. SEA** – Inter-Agency Standing Committee (IASC), IASC Global Standard Operating Procedures on Inter-Agency Cooperation in Community-Based Complain Mechanisms, 2016, p. 46.

LIST OF DOCUMENTS

7 **Six core principles re.SEA** – 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. 40.

8 **Staff code of conduct for PSEA** – 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. 108-109.

9 **Types of Referral to consider** – Save the Children, Safeguarding in Emergencies Toolkit, 2019, p. 21.

10 **Overall principles for a survivor-focused, trauma-informed approach** – Save the Children, Safeguarding in Emergencies Toolkit, 2019, p. 30.

11 **Guidelines PSEA: Checklist** – International Code of Conduct Association (ICoCA), Guidelines for Private Security Providers on Preventing and Addressing Sexual Exploitation and Abuse, 2019, pp. 20-21.

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

The Code of Conduct

A Template for addressing sexual violence in small and medium ICOs

By Emilie Macot, produced for AQOCI

28/08/2019

CODE OF CONDUCT FOR ALL WORKERS IN EMERGENCIES

This Code of Conduct has been developed for agencies and other actors that are involved in emergency response and reconstruction activities after an emergency. They have a duty of care to affected women, girls, boys and men of all ages and a responsibility to ensure that they are treated with dignity and respect. All workers should ensure that certain minimum standards of behaviour are observed, regardless if the person is on or off duty.

In order to prevent sexual exploitation and all forms of abuse including sexual, physical, emotional and neglect, the following core principles should be respected by anyone engaging in humanitarian assistance or taking part in reconstruction activities in Fiji:

- All workers have to ensure assistance is delivered in a way that is safe, respectful, with dignity, and equally accessible to women, girls, boys and men of different ages and abilities.
- Sexual exploitation and all forms of abuse by workers providing humanitarian assistance constitute acts of gross misconduct and are therefore grounds for termination of employment.
- Sexual activity with children (persons under the age of 18 years) 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.
- Exchange of money, employment, goods, services or false promises for sex including sexual favours or other forms of humiliating, degrading or exploitative behaviour is prohibited, including favouritism or procurement of such services for third parties. This includes exchange of assistance that is due to beneficiaries.
- Sexual relationships between humanitarian workers and affected women, girls, boys and men, are strongly discouraged since they are based on inherently unequal power dynamics. Such relationships undermine the credibility and integrity of humanitarian aid work.
- Where a worker develops concern or suspicions regarding sexual abuse and exploitation or other forms of abuse by a fellow worker, whether in the same agency or not, he or she must report such concerns via established reporting mechanisms.
- Workers providing humanitarian assistance are obliged to create and maintain an environment which prevents sexual exploitation and all forms of abuse and promotes the implementation of this Code of Conduct. Managers at all levels have particular responsibility to support and develop systems which maintain this environment.

United Nations Nations Unies

Office of the Resident and Humanitarian Coordinator in the Philippines

Typhoon Haiyan Humanitarian Response Code of Conduct

All responding organisations and entities, including members of the UN system, international and national NGOs, military personnel, government authorities, civil society and private contractors have a duty of care to people affected by Typhoon Haiyan. This duty of care includes a responsibility to ensure that each individual, regardless of sex, age and ability, is treated with dignity and respect, receives assistance equally and safely, and that proper standards of behaviour and accountability are observed.

The women, men, girls and boys affected by this typhoon are the primary stakeholders of the humanitarian response and have a basic right to participate in the decisions that affect their lives, receive the information they need to make informed decisions and to complain if they feel the help they receive is not adequate or has unwelcomed consequences.

Sexual exploitation and abuse[1] (SEA) of those we seek to assist constitute the most serious breach of accountability towards the victims of the typhoon. It erodes the confidence and trust of affected communities and the host country in all those providing assistance. This damages our collective image and integrity.

ANNEX 4

All responders to this emergency are bound by the legal frameworks of their respective governing institutions. For example, the UN's Special Measures for Protection from Sexual Exploitation and Sexual Abuse[2] prohibits certain behaviours. These standards are widely accepted as non-negotiable by the humanitarian community, including the NGO community:

- Sexual activity with children (persons under the age of 18) regardless of the age of majority or consent locally. Mistaken belief in the age of a child is not a defence
- Sexual favours exchanged for any form of assistance, including food or non-food items
- Use of children or adults to procure sexual services for others
- Exchange of money, employment, goods or services for sex with prostitutes or any other member of the local population, visits to brothels or places which are declared off-limits

Further:

- Sexual relationships between staff and those receiving assistance are strongly discouraged
- Any suspicions of SEA by a fellow worker of the same or another agency must be reported via established reporting mechanisms
- Staff are obliged to create and maintain an environment that prevents SEA, and managers are particularly charged with developing systems that enable this.

Section 13 of the Government of the Philippines' Magna Carta of Women specifies that, in reference to women affected by disasters, "the State shall… ensure their full protection from sexual exploitation and other gender-based violence committed against them". Military personnel are also governed by such rules.

[1] Sexual exploitation means 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 means the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal of coercive conditions.

[2] United Nations Secretary-General's Bulletin ST/SGB/2003/13

30/F Yuchengco Tower, RCBC Plaza, Ayala Avenue, Makati City
Postal Address: P.O. Box 7285 Domestic Airport Post Office Lock Box 1300 Domestic Rd., Pasay City, Philippines
Telephone No. (632) 901-0100 • Fax (632) 901-0200, (632) 901-0464 •
Cable Address : UNDEVPRO Manila • Email: undp-pool@i-next.net • undpadm@i-next.net • fo.phs@undp.org (INTERNET)
www..un.org.ph / registry.ph@undp.org

Any violation of this Code of Conduct constitutes serious misconduct. SEA will be investigated and may lead to drastic disciplinary measures, including summary dismissal, suspension, immediate repatriation, and in the case of contractual partners, termination of the contract. Immunity, when it exists, will be waived by the Secretary-General should such immunity impede the course of justice.

Luiza Carvalho
Resident and Humanitarian Coordinator

30/F Yuchengco Tower, RCBC Plaza, Ayala Avenue, Makati City
Postal Address: P.O. Box 7285 Domestic Airport Post Office Lock Box 1300 Domestic Rd., Pasay City, Philippines
Telephone No. (632) 901-0100 • Fax (632) 901-0200; (632) 901-0404 •
Cable Address : UNDEVPRO Manila • Email: undevpro@i-next.net • undpadm@i-next.net • fo.phi@undp.org (INTERNET)
www.un.org.ph / registry.phi@undp.org

HANDOUT 9

KENYA CODE OF CONDUCT UNDERTAKINGS

Humanitarian Workers will

- **Respect and promote the fundamental human rights of all**
- **Treat all beneficiaries and others fairly according to international and Kenyan law, and appropriate local customs**
- **Uphold highest standards of accountability, efficiency, competence, integrity and transparency in executing responsibilities**
- **Never engage in sexual exploitation and abuse of beneficiaries in any circumstances**
- **Never engage in humiliating, degrading or exploitative behavior**
- **Never abuse their position to withhold protection, humanitarian assistance, and services or provide preferential treatment to solicit sexual favors/gifts.**
- **Never commit any act or form of harassment that could cause physical, sexual, psychological harm or suffering**
- **Never exploit vulnerability of beneficiaries or allow them to be put in compromising situations**
- **Never engage in sexual activity with children – persons under 18 years. A mistaken belief is not a defense.**
- **Never condone or participate in corrupt or illegal activities**
- **Never accept or exchange money for services, employment, goods or services for sex for services which are to be provided for free**
- **Ensure all breaches of the Code are reported to senior management or HR managers through established reporting systems**
- **Create and maintain an environment that prevent sexual exploitation and abuse**
- **Not purposely make false accusations against a fellow worker**

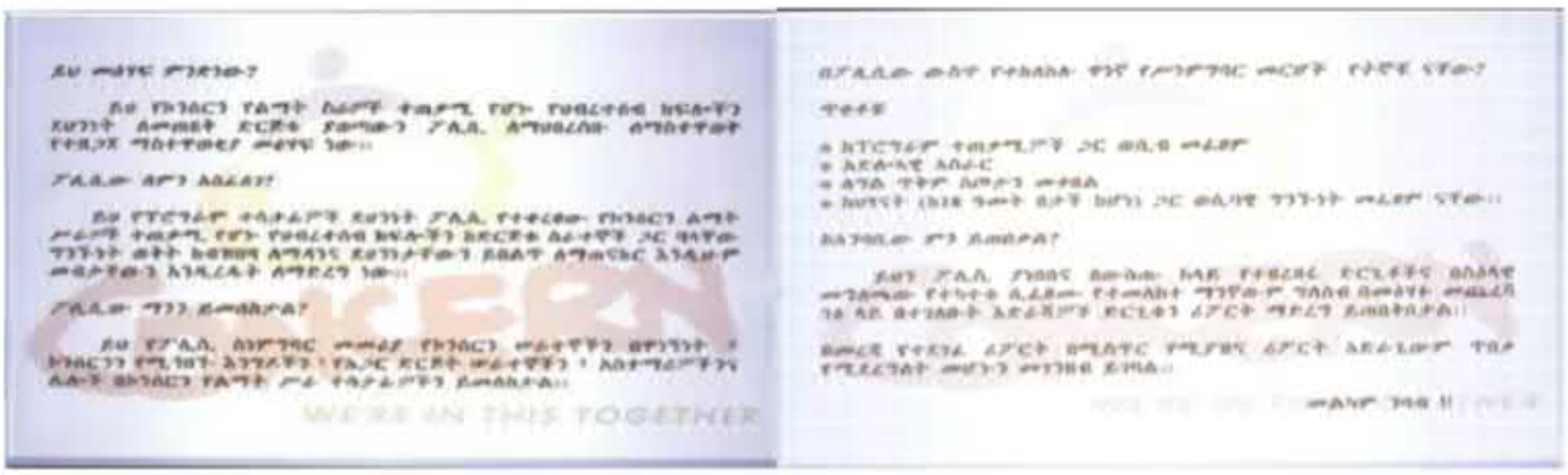
DOCUMENT 4

BOOKLET TO RAISE AWARENESS ABOUT P4

CONCERN WORLDWIDE ETHIOPIA, BOOKLET AIMED AT EXPLAINING THE ORGANIZATIONAL PROGRAM PARTICIPANTS PROTECTION POLICY TO COMMUNITY MEMBERS, 2000

Scanned copy of Concern Worldwide Ethiopia's booklet aimed at explaining the organisational Programme Participants Protection Policy to community members – *translation from Amharic to English is shown below each scanned page.*

Concern Ethiopia
Program Participant Protection Policy
A booklet prepared to raise the awareness of beneficiaries about the P4
June 2000 /Ethiopian Calendar



What is this booklet?
This booklet is an educational material designed to make concern development program beneficiaries aware about the program protection policy of the organization.

Why the policy?
Concern's Programme Participant Protection Policy has been developed to ensure the maximum protection of programme participants from exploitation and to clarify the responsibilities of Concern staff and the standards of behaviour expected of them.

Who is the policy applicable on?
This policy is applicable principally on Concern employees, visitors, partner organizations and their employees, teachers and others who are involved in Concern's development and relief work.

Which are the principal conducts the policy categorizes as inappropriate behaviour?
Some are:

- *Sexual relationship with program beneficiaries*
- *Discrimination*
- *Soliciting personal gifts*
- *Sexual relationships with children (a person under the age of 18)*

What is expected of the reader?
Any one who has read this document and witnessed a violation of the codes of conducts discussed in the booklet and depicted in the drawings has a responsibility of reporting the violation using the addresses indicated at the back of this booklet.

Reports of violations supported by evidence will be handled confidentially and protection to the witness will be extended.

Enjoy reading!

DOCUMENT 4

BOOKLET TO RAISE AWARENESS ABOUT P4

CONCERN WORLDWIDE ETHIOPIA, BOOKLET AIMED AT EXPLAINING THE ORGANIZATIONAL PROGRAM PARTICIPANTS PROTECTION POLICY TO COMMUNITY MEMBERS, 2000

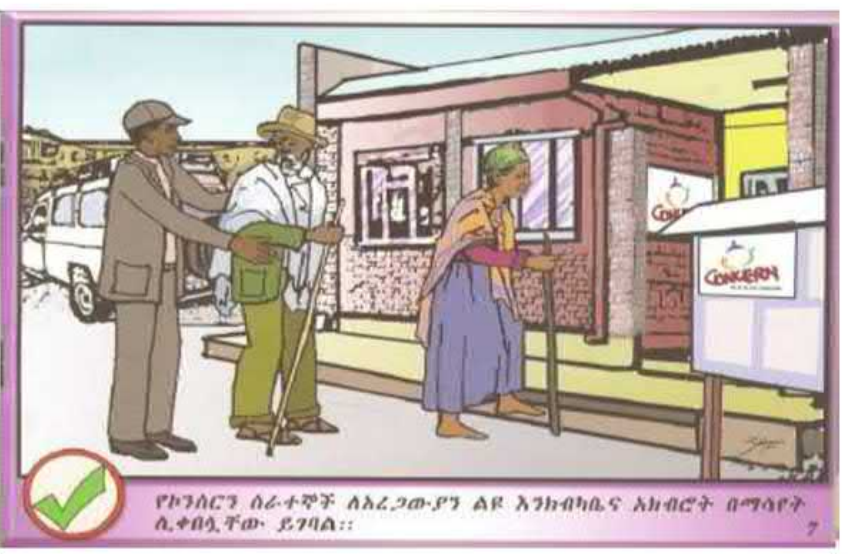
Awarding goods that are due to programme participants for other parties in order to obtain payments for personal benefit is highly prohibited.

Goods from the organisation must be distributed in public by holding discussions with program participants.

Any threatened or actual act of physical harassment against women is highly prohibited.

Women have the right to be equally treated, contribute to and benefit from the organisation's programs.

Any act of discrimination against the elderly is prohibited.



Concern's employees must demonstrate and extend special care and respect for the elderly.

DOCUMENT 4

BOOKLET TO RAISE AWARENESS ABOUT P4

CONCERN WORLDWIDE ETHIOPIA, BOOKLET AIMED AT EXPLAINING THE ORGANIZATIONAL PROGRAM PARTICIPANTS PROTECTION POLICY TO COMMUNITY MEMBERS, 2000

Hampering the participation of the disabled in programs is prohibited.

Disabled people have the right to become equal program participants like any other member of the society.

Abusing position of responsibility to engage in sexual harassment against women contravenes Concern's Code of Conduct.

Concern employees should not, under any circumstances, accept sexual favours victimizing women as negotiating ground for obtaining personal benefits.

Sexual activity between a Concern staff member and a child is prohibited.

Teachers are responsible for nurturing children with full care without discrimination.

DOCUMENT 4

BOOKLET TO RAISE AWARENESS ABOUT P4

CONCERN WORLDWIDE ETHIOPIA, BOOKLET AIMED AT EXPLAINING THE ORGANIZATIONAL PROGRAM PARTICIPANTS PROTECTION POLICY TO COMMUNITY MEMBERS, 2000

If you seek additional information on the P4 and other related issues please contact

Mrs Hiwot Emishaw ,
Addis Ababa Head Office
Telephone: 0116 611730 /extension 243/

Wolaita Sodo office
Zelalem Mengistu
Telephone : 046 5512427

Wollo Kombolcha office
Miss zehara Said
Telephone: 033 5510298/ 033 5511906

Or write to

Concern Ethiopia
P.O.Box: 2434
Addis Ababa

You can also visit the Concern office near you.

DOCUMENT 5

TABLE CONTAINING 6 CORE PRINCIPLES FOR CODES OF CONDUCT + STATEMENT OF COMMITMENT ON ELIMINATING SEA

HUMANITARIAN ACCOUNTABILITY PARTNERSHIP (HAP) INTERNATIONAL, TO COMPLAIN OR NOT TO COMPLAIN: STILL THE QUESTION - CONSULTATIONS WITH HUMANITARIAN AID BENEFICIARIES ON THEIR PERCEPTIONS OF EFFORTS TO PREVENT AND RESPOND TO SEXUAL EXPLOITATION AND ABUSE, 2008

2. The March 2004 Interagency Standing Committee (IASC) Draft Protocol outlining core principles to be incorporated into codes of conduct, staff rules and regulations (principles below).

3. The December 2006 Statement of Commitment on Eliminating Sexual Exploitation and Abuse by UN and non-UN personnel (below).[8]

Six (6) core principles to be incorporated into codes of conduct and staff rules and regulations (IASC Draft Protocol March 2004)	Statement of Commitment on Eliminating Sexual Exploitation and Abuse by UN and non-UN Personnel (December 2006)
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 in 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. Sexual relationships between humanitarian workers and beneficiaries are strongly discouraged since they are based on inherently unequal power dynamics. 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, s/he must report such concerns via established agency reporting mechanisms. 6. Humanitarian agencies 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.	1. Develop organisation-specific strategies to prevent and respond to sexual exploitation and abuse. 2. Incorporate our standards on sexual exploitation and abuse in induction materials and training courses for our personnel. 3. Prevent perpetrators of sexual exploitation and abuse from being (re-)hired or (re-)deployed. 4. Ensure that complaint mechanisms for reporting sexual exploitation and abuse are accessible and that focal points for receiving complaints understand how to discharge their duties. 5. Take appropriate action to the best of our abilities to protect persons from retaliation where allegations of sexual exploitation and abuse are reported involving our personnel. 6. Investigate allegations of sexual exploitation and abuse in a timely and professional manner. 7. Take swift and appropriate action against personnel who commit sexual exploitation and abuse. 8. Provide basic emergency assistance to complainants of sexual exploitation and abuse. 9. Regularly inform our personnel and communities on measures taken to prevent and respond to sexual exploitation and abuse. 10. Engage the support of communities and governments to prevent and respond to sexual exploitation and abuse by our personnel.

[8] The entire Statement of Commitment on Eliminating Sexual Exploitation and Abuse by UN and non-UN personnel can be found through this link: http://www.huwu.org/Depts/dpko/CDT/statement.pdf

33. Trinidad and Tobago Red Cross Society
Ms Delia Chatoor, President

34. Winrock International Institute for Agricultural Development (Winrock International)
Mr Frank Tugwell, President and Chief Executive Officer

35. Women's Commission for Refugee Women and Children
Ms Carolyn Makinson, Executive Director

36. World Vision International
Kevin J. Jenkins, President and Chief Executive Officer

Status as of December 2011

Appendix 2: Six core principles relating to sexual exploitation and abuse[4]

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. Sexual relationships between humanitarian workers and beneficiaries are strongly discouraged since they are based on inherently unequal power dynamics. 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."

4 See Report of the Inter-Agency Standing Committee Task Force on Protection from Sexual Exploitation and Abuse in Humanitarian Crises of 13 June 2002, Plan of Action, Section I.A.

DOCUMENT 7

SIX CORE PRINCIPLES RE. SEA

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

33. **Trinidad and Tobago Red Cross Society**, Ms. Delia Chatoor, President.
34. **Winrock International Institute for Agricultural Development (Winrock International)**, Mr. Frank Tugwell, President and Chief Executive Officer.
35. **Women's Commission for Refugee Women and Children**, Ms. Carolyn Makinson, Executive Director.
36. **World Vision International**, Kevin J. Jenkins, President and Chief Executive Officer

Status as of December 2011

APPENDIX 2
SIX CORE PRINCIPLES RELATING TO SEXUAL EXPLOITATION AND ABUSE[4]

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 benifiting from such humanitarian assistance and protection that involves improper use of rank or position is prohibited. Such relationships undermine the credibility and integriry 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."

4. *https://interagencystandingcommittee.org/principals/documents-public/iasc-six-core-principles-relating-sexual-exploitation-and-abuse-2002*

DOCUMENT 8

STAFF CODE OF CONDUCT FOR PSEA

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

TOOL 10

EXAMPLE: STAFF CODE OF CONDUCT FOR PREVENTION OF SEXUAL EXPLOITATION AND ABUSE (SEA) AND SEXUAL HARASSMENT (SH)

The highest standards of ethical and professional conduct are expected of all staff, representatives, contracted parties, volunteers working for the protection of and provision of services to concerned populations in the Americas Region.

This Code of Conduct applies to all [Name of service provider/agency] _____ staff/personnel and our partners, including all service providers, i.e., all people and organizations involved in the provisions of services including, contractors, sub-contractors, day laborers, and volunteers and all are expected to sign it. This Code of Conduct is based on the Secretary-General's Bulletins on 1. Special Measures for Protection from Sexual Exploitation and Abuse (ST/SGB/2003/13) and on 2. Prohibition of discrimination, harassment, including sexual harassment, and abuse of authority (ST/SGB/2008/15).

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DOCUMENT 8

STAFF CODE OF CONDUCT FOR PSEA

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

IV. Any sexual relationship between those providing humanitarian assistance and protection and a person benefiting 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.

V. Service providers, personnel providing assistance to concerned populations are obliged to create and maintain an environment that prevents sexual exploitation and abuse. Managers at all levels have an additional responsibility to do so.

VI. Where service provider or personnel has **concerns or suspicions** regarding sexual exploitation or abuse by a service provider, personnel he/she **must report** such concerns. In [SITE – add specificity of the site/operation] _____ , a confidential complaint can be made by or on behalf of a survivor by contacting:
[Names, numbers, email etc. for complaint referral pathways].
_____
_____

In order to prevent **sexual harassment**, I commit to respect the following principles and conditions:

I. Sexual harassment at the workplace, or in connection with work, constitutes unacceptable behaviour and will **not be tolerated**.

II. Sexual harassment is a form of **sex discrimination** which negatively affects the working environment and adversely impacts the dignity and well-being of a person.

III. Something can be considered sexual harassment even if the alleged harasser did not intend for it to be. It does not have to be intentionally directed at a specific person.

IV. Failure to promote and maintain a respectful work environment may result in disciplinary action, including summary dismissal.

V. All service providers and personnel are obliged to create and maintain an environment that **prevents sexual harassment**. Managers at all levels have an additional responsibility to do so.

VI. Where an individual has concerns regarding an incident of sexual harassment, he/she should report such concerns. In [specific site/operation] _____ , a formal or informal process can be initiated by contacting:
[Specificities of office/operation]
_____
_____

By signing this Code of Conduct, I hereby agree to uphold its principles to the best of my ability at all times.

Name and Signature: _____

Title: _____

Date: _____

DOCUMENT 9

TYPES OF REFERRAL TO CONSIDER

SAVE THE CHILDREN, SAFEGUARDING IN EMERGENCIES TOOLKIT, 2019, P. 21.

SAFE AND ETHICAL REFERRAL

As Save the Children's *Sexual Violence Brief Programmatic Guidelines* note, referral pathways should include the following information:

- Specific information on how and where a survivor can access services
- Types of services available (health, psychosocial, police/security, legal/judicial) and specific local contact information
- Any costs involved with accessing referral services (including transportation) and how these will be covered – Save the Children will cover these costs for survivors of abuse perpetrated by our staff, partners or volunteers. Survivors do not need to prove that the perpetrator works for us before receiving after-care funded by Save the Children – the most important thing is treatment.
- Programmatic sources of support available
- Any protocols for having someone accompany survivors (if needed)
- Follow up services and other forms of support

Be aware that some traditional justice systems (for example, local elders' groups) suggest that money from perpetrators, to give to a survivor of sexual abuse, or their family members, is an appropriate response to abuse. Others may recommend that the perpetrator marries the victim. Save the Children cannot engage in traditional justice mechanisms that are not in the best interest of children, and even where traditional justice mechanisms have been chosen by the survivor, an investigation is still required by Save the Children and support to the survivor/victim must also be offered by us, independently of the local or traditional justice mechanism.

TYPES OF REFERRAL

Children and adults in the community who experience abuse or harm due to Save the Children's action, or inaction, may have a variety of needs. You should include these on your referral pathway:

1. MEDICAL ASSISTANCE

- Post-exposure prophylaxis
- Treatment for sexually transmitted infections
- Emergency contraception
- Care of wounds
- Treatment for life-threatening complications
- Support for children conceived as a result of sexual abuse or exploitation; as well as their mother

2. PSYCHOSOCIAL ASSISTANCE

- Counselling, or local equivalent (survivor/victim support groups/organisations)
- Family mediation
- Reintegration assistance
- Community sessions

3. LEGAL ASSISTANCE OR SUPPORT TO ACCESS FORMAL JUSTICE

- Travel costs to visit a Police station
- Legal clinics or support groups
- Access to legal representation

4. PROTECTION ASSISTANCE

- Safe shelters
- Relocation assistance
- Transport assistance

DOCUMENT 10

OVERALL PRINCIPLES FOR A SURVIVOR-FOCUSED, TRAUMA-INFORMED APPROACH

SAVE THE CHILDREN, SAFEGUARDING IN EMERGENCIES TOOLKIT, 2019

Save the Children will also offer basic material assistance where needed (for example, food, clothes, hygiene kits, shelter) as well as support with school re-integration, livelihoods and family conflict resolution, where needed. All this support is offered on a case-by-case basis.

Access to basic mental health and psychosocial support is also available through Save the Children (sometimes through our own programming, if not then through local services), and access to legal services.

Save the Children's overall principles for a survivor-focused, trauma-informed approach are:

SAFETY:
the safety & security of the survivor is the priority

CONFIDENTIALITY:
must be strictly adhered to in all aspects of handling a safeguarding case

DO NO HARM:
take no actions that could **make things worse** for the survivor

INFORMATION:
must be stored safely within DATIX and all data protection requirements adhered to

BEST INTEREST:
all actions are determined by **the best interest of the child or adult survivor;** and in collaboration with them where possible

NON-DISCRIMINATION:
Save the Children provides **fair and equal treatment** to anyone in need of support as a result of a possible safeguarding violation(s)

EMPOWERMENT:
showing respect for the choices, wishes, rights and **dignity of the survivor**

WORKING:
with **local survivor activist groups** wherever possible to ensure responses are culturally and ethnically appropriate

PHOTO: MOHAMMED AWADH / SAVE THE CHILDREN PHOTO

DOCUMENT 11

GUIDELINES PSEA: CHECKLIST

INTERNATIONAL CODE OF CONDUCT ASSOCIATION (ICOCA) GUIDELINES FOR PRIVATE SECURITY PROVIDERS ON PREVENTING AND ADDRESSING SEXUAL EXPLOITATION AND ABUSE. 2019, PP. 20-21

Annex I – Checklist

POLICIES AND PROCEDURES

- ☐ A PSEA-specific policy has been developed or PSEA has been embedded in existing policies and procedures.
- ☐ A work plan to implement the PSEA policy has been developed.
- ☐ Implementation of the work plan is constantly monitored.
- ☐ The PSEA policy is regularly reviewed.

CODES OF CONDUCT

- ☐ The company code of conduct explicitly prohibits SEA.
- ☐ The company code of conduct sets out standards of conduct and employees' responsibilities with regard to PSEA.
- ☐ The company code of conduct is translated into a language or languages that personnel understand.

RECRUITMENT, PERFORMANCE APPRAISAL AND DISCIPLINE

- ☐ A PSEA focus is integrated in the recruitment process.
- ☐ PSEA is embedded in company performance appraisal procedures.
- ☐ Disciplinary procedures for SEA abuses are established and communicated to personnel.

TRAINING AND RAISING AWARENESS

- ☐ All personnel receive initial and recurrent PSEA training.
- ☐ Managers receive specific training on their PSEA responsibilities.
- ☐ The content of training is adapted to the operating environment.
- ☐ When it develops and delivers PSEA training, the company considers drawing on support from PSEA experts and local civil society organisations.
- ☐ Where possible, PSEA training sessions are opened and closed by a senior manager.
- ☐ The company uses a range of tools to make staff aware of PSEA.

OPERATION DESIGN AND RISK ASSESSMENT

- ☐ The company runs SEA risk assessments before each operation.
- ☐ If necessary, the company adopts additional risk mitigation measures to prevent SEA.
- ☐ The company considers drawing on support from local civil society organisations to help identify risks and assess the degree to which its risk mitigation measures are appropriate and effective.

DOCUMENT 11

GUIDELINES PSEA: CHECKLIST

INTERNATIONAL CODE OF CONDUCT ASSOCIATION (ICOCA) GUIDELINES FOR PRIVATE SECURITY PROVIDERS ON PREVENTING AND ADDRESSING SEXUAL EXPLOITATION AND ABUSE. 2019, PP. 20-21

AGREEMENTS WITH PARTNERS AND SUBCONTRACTORS

- ☐ The company assesses the ability of partners or subcontractors to comply with PSEA standards of conduct before it implements operations with them.
- ☐ PSEA clauses are included in agreements with partners and subcontractors.
- ☐ The company constantly monitors implementation of PSEA clauses contained in contracts.

SEA COMPLAINTS AND INVESTIGATION

- ☐ The company adopts a survivor-centred approach when it receives and investigates SEA complaints.
- ☐ The company takes the gravity and peculiarities of SEA into account when it appoints an investigating team.
- ☐ The investigation process is driven by values: investigations are prompt, thorough, impartial, documented, and safe.
- ☐ Appropriate disciplinary action is taken against SEA perpetrators.
- ☐ All instances of sexual violence are reported to the competent authorities, based on the wishes of the survivor and an assessment in line with Section 3.1.4 of the ICoCA Guidance on Company Grievance Mechanisms.
- ☐ The reasons behind SEA incidents are investigated. Investigations assess whether additional risk mitigation measures need to be adopted to prevent reoccurrence.

SURVIVOR ASSISTANCE

- ☐ The company considers providing immediate assistance to survivors before their allegations of SEA have been substantiated.
- ☐ The company considers providing longer term assistance to survivors whose SEA claims have been substantiated.
- ☐ Assistance strategies are designed to meet the individual's needs, wishes and best interests.
- ☐ The company respects the rights of SEA survivors to be informed, treated with dignity, and involved at every stage of the assistance provision process.
- ☐ The company assesses whether the assistance provided has been appropriate and effective, in order to improve assistance in the future.

digna
PSEA/PEAS

TOOLKITS FOR ADDRESSING PSEA

TOOLKIT B

EXAMPLES OF RISK ASSESSMENT AND MANAGEMENT

Global Affairs Canada
Affaires mondiales Canada

CCIC CCCI

B) EXAMPLES OF RISK ASSESSMENT AND MANAGEMENT

FOREWORD

This toolkit aims to provide your organization with guidance on risk assessment and management while working on the Prevention of Sexual Exploitation and Abuse (PSEA). The five documents gathered here were developed by different organizations and have been selected among the Digna database. The documents 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.

Some documents focus on the identification of risks, whereas others provide suggestions for mitigation. In addition, all the documents provide valuable tools on which aspects should be taken into consideration while conducting an objective risk assessment. In general, the documents are complementary, and Digna considers that a combination of the text and tables they bring forth would enhance the quality not only of the documents themselves, but of the work developed by the organization.

Digna deems some documents as particularly interesting for the development of organizations' risk management systems. For example, the risk assessment guidelines developed by Save the Children – document 2 in this toolkit – show the different sectors that should be taken into consideration while assessing risks. For its part, the tool presented by Nottinghamshire and Nottingham City Safeguarding Children Boards – document 5 in this toolkit – is a straightforward way of covering important risk-related aspects.

Digna is committed to provide your organization with clear and useful tools. We hope they will help your work while developing systems to objectively assess and manage risks related to PSEA.

LIST OF DOCUMENTS

1. **Risk assessment and strategies for safe operations and programs** – 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. 99-101.

2. **Risk assessment for planned programs** – Save the Children, Safeguarding in Emergencies Toolkit, 2019, pp. 18-19.

3. **Identifying and Assessing Risks** – Cornwall and the Isles of Scilly Safeguarding Children Board (SCB), Children Abused Through Sexual Exploitation - Risk Assessment Toolkit, 2014, pp. 5-12.

4. **Intervention and Disruption Strategies** – Cornwall and the Isles of Scilly Safeguarding Children Board (SCB), Children Abused Through Sexual Exploitation - Risk Assessment Toolkit, 2014, pp. 16-23.

5. **Sexual Exploitation Risk Assessment Tool** – Nottinghamshire Safeguarding Children Board / Nottingham City Safeguarding Children Board, MULTI AGENCY Sexual Exploitation Risk Assessment Tool, no date, pp. 2-6.

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

DOCUMENT 1

RISK ASSESSMENT AND STRATEGIES FOR SAFE OPERATIONS AND PROGRAMS

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

TOOL 8

RISK ASSESSMENT AND STRATEGIES FOR SAFE OPERATIONS AND PROGRAMMES [1]

NOTE

This template forms part of the PSEA/SH Project in the Americas region and should be used in coordination with other tools e.g. **Tool 1: Model SOPs for PSEA and complaint handling mechanisms** and **Tool 4: Steps to set-up a community-based complaint mechanism**. This tool is intended to be used as part of the process any service provider undertakes to establish PSEA / SH systems and to be used by PSEA Focal Points and/or other personnel who have specific experience and expertise in protection of vulnerable persons as part of their role.

AREA	QUESTIONS TO CONSIDER FOR RISK ASSESSMENT	POSSIBLE MANAGEMENT STRATEGIES
PROFILE OF CONCERNED POPULATION	• 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, ethnicity, migration status, etc.)? • What are some of their characteristics that may render them more susceptible to SEA? Which groups are particularly vulnerable?[2]	• Adapt awareness-raising efforts on SEA and complaint mechanisms to meet specific needs of target concerned populations e.g. high visibility at borders, transit areas • Conduct targeted information campaigns for population groups that are highly susceptible to SEA e.g. LGBTI
PROFILE OF PERSONNEL	• Is there an adequate gender balance of personnel involved in provision of services and programming (i.e. at least 50% female), particularly of personnel directly engaging with affected women and children? • Have personnel been sufficiently vetted e.g. background checks, references? • Have personnel received a comprehensive induction on code of conduct, PSEA/SH and complaint mechanisms?	• Re-adjust gender balance of personnel involved in service provision and direct work with concerned populations • Recruit additional female personnel involved in direct service provision and operations • Review HR files of personnel and conduct additional screening for previous misconduct where needed

1. This tool is adapted from UNICEF draft PSEA field toolkit piloted in 2019
2. 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).

DOCUMENT 1

RISK ASSESSMENT AND STRATEGIES FOR SAFE OPERATIONS AND PROGRAMS

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

PROFILE OF PERSONNEL	• Are all personnel regularly trained on PSEA/SH and complaint mechanisms?	• Conduct (refresher) training on SEA/SH for all personnel on a regular basis, specifically focused on possible risks associated with the context and programme activities e.g. shelters, mobile population • Include training and capacity building on PSEA/SH for personnel in programme plans and budgets, and ensure personnel receive regular refresher trainings • Ensure that all personnel are informed and updated on PSEA/SH, complaint and referral mechanisms, inter-agency systems for referrals, PSEA focal points' names and contacts.
OPERATIONAL/ PROGRAMME APPROACHES	• In what ways could the operation/programme create or exacerbate existing imbalances between personnel and members of the concerned population? • How do personnel communicate, make themselves known, and share information (including on PSEA, complaint mechanisms) to concerned populations and host communities? • Does the operation/programme involve direct interaction between personnel and concerned populations, especially children? • How are personnel providing services (e.g. private/public, working in pairs/alone, gender-mixed)? • Are external visitors allowed to attend operation/programme activities unaccompanied? Who is in charge of making these decisions?	• Have multi-disciplinary teams for assessments and monitoring e.g. include protection and PSEA focal points • Include assessment of language, literacy, communication preferences in needs assessments and monitoring and, based on this provide regular, accessible information (including on the agency, the programme deliverables, PSEA commitments, complaint mechanisms etc.) • Arrange periodic site visits by PSEA focal points or other independent observer, to assess potential risks and review solutions to actual negative effects reported or observed • Regularly assess the locations, timings of services provided to ensure they are safe for people to access, they ensure adequate privacy and create safe spaces for vulnerable groups • While in respect of the context and the need for discretion, protection and privacy for vulnerable populations, consider the visibility requirements of personnel to ensure that they are appropriately identifiable / accessible • Restrict access of external visitors to operations/programme activities, as needed. Ensure that external visitors have received security briefings, signed a Code of Conduct and are accompanied by personnel at all times

DOCUMENT 1

RISK ASSESSMENT AND STRATEGIES FOR SAFE OPERATIONS AND PROGRAMS

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

OPERATIONAL/ PROGRAMME CONTEXT	• Where are services provided (e.g. shelters, safe houses, camps, informal settlement, host community, rural/urban setting, etc.)? What are specific risks associated with the location (e.g. lack of availability of complaints mechanisms or service providers, insecurity, remoteness)? • What is the attitude of concerned populations towards SGBV concerns? How comfortable would they be to raise concerns and make complaints regarding SEA? • Are systems / mechanisms in place and functioning whereby concerned populations are facilitated to raise concerns and submit complaints to service providers in the operational/ programme area? • Are service providers coordinating and working together to ensure that concerned populations are protected from SEA/SH by all personnel operating in the area?	• Create a more secure environment in operation/ programme locations (e.g. install lights, hire appropriate and trained night security guards) • Establish Standard Operating Procedures (SOPs) for community-based complaint mechanisms e.g. for individual service providers and/or jointly with a group of providers covering a specific operational area • Work with concerned populations to design, monitor and adapt feedback and communication channels, and complaints mechanisms to meet their needs • Agree and establish inter-agency complaint referral mechanisms and SOPs • Ensure referral pathways for SGBV, child protection, other services are established and are understood by relevant personnel e.g. field personnel, PSEA FPs • Report transparently (in respect of confidentiality) on statistics of complaints received, investigated, results.

DOCUMENT 2

RISK ASSESSMENT FOR PLANNED PROGRAMS

SAVE THE CHILDREN, SAFEGUARDING IN EMERGENCIES TOOLKIT, 2019

In addition to ensuring that you have enough staff and funding, there are other, very practical steps that you will need to take to ensure our programmes are safe for children – one key step is risk assessing your programmes and processes. This will help to ensure that your programme is as safe as possible for children and adults.

When completing a risk assessment, the identification of risks should focus on risks that are "caused" by the implementation of Save the Children activities and by our staff, as well as risks that exist nearby, that we may accidentally expose children to (e.g. mines, armed groups, water that children can drown in).

WHAT SHOULD IT COVER?

For any risk assessment, consider different safeguarding risks associated with:

- The **target groups** of children and adults involved in the programme
- The **location/setting** in which programme activities will be conducted
- Specific programme or **advocacy activities**
- **The staff** or **personnel involved** in project activity, including Save the Children staff, NGO and government partners, volunteers, incentive workers, contractors, and community structures
- Any possible **confidential communication** of **sensitive information** (internal and external), including ethical considerations (e.g. in media and communications work)
- The existing **environmental** and **social risks** in the context
- Other children and community members who may be nearby or may **interact with staff** or the programme site (for example, school children nearby who may access a construction site)
- Any other **harm that could be caused** to the community by the programme

DOCUMENT 2

RISK ASSESSMENT FOR PLANNED PROGRAMMES

SAVE THE CHILDREN, SAFEGUARDING IN EMERGENCIES
TOOLKIT, 2019

WHO RUNS THE RISK ASSESSMENT?

Each sector lead is responsible for completing a safeguarding risk assessment for their own area. The overall risk assessment is co-owned by the Internal Controller (if you have one) and the Child Safeguarding national lead. Do review our sector-by-sector child safeguarding risk guidelines. You will need to regularly check that the mitigations outlined in the risk assessment are being delivered. This will include regular trips to field locations and programme sites. These visits should be surprise visits wherever possible (if security allows).

Remember that risk assessment and risk management are dynamic processes – doing a risk assessment only at the beginning of the response is not enough. You will need to work with the Internal Controller to continually monitor how effectively each sector is mitigating the safeguarding risks.

A key part of effective risk assessment is also ensuring that children are meaningfully engaged and sharing their views. One way to do this is to run a child-led safeguarding risk assessment workshop (for ages 5 – 12) find more information here.

SECTOR-BY-SECTOR RISK ASSESSMENTS

You can find the sector-by-sector risk briefings here:

- CASH — CLICK HERE
- WASH — CLICK HERE
- HEALTH — CLICK HERE
- NUTRITION — CLICK HERE
- SUPPLY CHAIN — CLICK HERE
- EDUCATION — CLICK HERE
- SAFETY & SECURITY — CLICK HERE

PHOTO: JONATHAN HYAMS/SAVE THE CHILDREN

Step 1: Identify the Risk Indicators
Indicators of Child Sexual Exploitation

Name of Young Person: **DOB:**
Name of Person Completing Form: **Date:**

Lower Level Indicators- one or more indicators identified	✓
Overt sexualised dress	
Sexualised risk taking including on internet	
Unaccounted for monies or goods	
Associating with unknown adults	
Association with other young people at risk of CSE or who are being sexually exploited	
Reduced contact with family and friends and other support networks	
Sexually transmitted infections	
Experimenting with drugs and/or alcohol	
Poor self image	
Eating disorders	
Superficial self harm	
Medium Level Indicators- any of the above and ONE or more of these indicators	✓
Getting into cars with unknown adults	
Regularly coming home late or going missing	
Associating with known CSE adults	
Being groomed on the internet	
Clipping i.e. offering to have sex for money or other payment and then running before sex takes place	
Disclosure of a physical assault with no substantiating evidence to warrant a S47 enquiry, then refusing to make or withdrawing a complaint	
Being involved in CSE through being seen in hotspots i.e. known houses or recruiting grounds	
Having an older boyfriend/girlfriend	
Non school attendance or excluded	
Staying out overnight with no explanation	
Breakdown of residential placements due to behaviour	
Unaccounted for money or goods including mobile phones, drugs and alcohol	
Multiple sexually transmitted infections	
Self harming that requires medical treatment	
Repeat offending	
Gang member or association with gangs	
High Level Indicators- any of the above and ONE or more of these indicators	✓
Child under 13 engaging in sexual activity	
Pattern of street homelessness and staying with an adult believed to be sexually exploiting them	
Child under 16 meeting different adults and exchanging or selling sexual activity	
Being taken to clubs and hotels by adults and engaging in sexual activity	
Disclosure of serious sexual assault and then withdrawal of statement	
Abduction and forced imprisonment	
Being moved around for sexual activity	
Disappearing from the 'system' with no contact or support	
Being bought/sold/trafficked	
Multiple miscarriages or terminations	

Indicators of CSE in conjunction with chronic alcohol and drug use	
Indicators of CSE alongside serious self harming	
Receiving rewards of money or goods for recruiting peers into CSE	

Step 2: Identify Additional Vulnerability Factors

Additional Vulnerability Factors Form

Name of Young Person: **DOB:**

Underlying Vulnerability Factors	Comment
Witnessing/experiencing domestic violence	
Children and young people 'Looked After'	
Patterns of abuse and/ or neglect in family	
Homelessness/sofa surfing	
Substance misuse by parents/carers/child	
Learning disabilities, special needs or mental health issues	
Homophobia	
Breaks in adult relationships	
Death, loss or illness of a significant person in the child's life	
Financially unsupported	
Some form of family conflict	
Lack of love and security	
Adult prostitution	
Migrant/refugee/asylum seeker	
Other, please specify	

Name of Professional/Person Completing:

Date:

Review Date:

Step 3: Complete the Risk Factors Matrix

RISK LEVEL	NUMBER OF INDICATORS	BEHAVIOURS	✓	REQUIRED ACTION (BRIEF POINTS) CONSIDERATIONS
Low Risk Low risk cases do not usually meet the threshold for Social Care intervention but should have individual or multi agency intervention through the CAF.	ONE OR MORE INDICATORS IDENTIFIED	Overt sexualised dress		If needs cannot be met by individual agency, then refer to consideration for a CAF to be initiated. Notify MISPER Police Officer if the child or young person is going missing. Keep detailed records of incidents/risks and use the Information Report Form to share information on victims/perpetrators. **No child under 13 can be categorised as LOW.** **No child with a learning disability can be categorised as LOW.** Contact CSE Manager for advice and resources if risk escalates. Ensure information is recorded.
		Sexualised risk taking, including on the internet		
		Unaccounted for monies or goods		
		Associating with unknown adults		
		Associating with other young people who are at risk of CSE or who are being sexually exploited		
		Reduced contact with family/friends		
		Sexually transmitted infections		
		Experimenting with drugs/alcohol		
		Poor self image		
		Eating disorder		
		Superficial self harm		

RISK LEVEL	NUMBER OF INDICATORS	BEHAVIOURS	✓	REQUIRED ACTION (BRIEF POINTS) CONSIDERATIONS
Medium Risk As indicated above, the indicators are a guide to assisting the exercise of professional judgement. In relation to the medium level indicators, should professional judgement determine that there is reasonable cause to suspect that the child is suffering or likely to suffer significant harm requiring investigation under S47 of the	Any of the above AND ONE OR MORE INDICATORS IDENTIFIED	Getting into cars with unknown or known CSE adults		Discuss with Line Manager and contact CSE Manager for advice if required. Consideration to convene Strategy discussion regarding S47 investigation. Consideration to be given to convene a CSE Meeting. If Strategy discussion not required, assessment to be completed within 10 working days. The completed assessment should be sent to the Principal Officer 3 working days prior to the CSE meeting. Employ immediate disruption tactics; see disruption toolkit Consider if the offending is symptomatic, coerced or criminal Inform the Missing &CSE Forum by completing the CSE Information Forum Ensure information is recorded.
		Regularly coming home late or going missing		
		Associating with known CSE adults		
		Being groomed on internet		
		Clipping i.e. offering to have sex for money or other payment and then running before sex takes place		
		Disclosure of physical assault with no substantiating evidence to warrant a S47 enquiry, then refusing to make or withdrawing a complaint		
		Being involved in CSE through being seen in hot spots i.e. known houses or recruiting grounds		
		Older boy/girlfriend		
		Non school attendance or excluded		
		Staying out overnight with no explanation		

RISK LEVEL	NUMBER OF INDICATORS	BEHAVIOURS	✔	REQUIRED ACTION (BRIEF POINTS) CONSIDERATIONS
Children Act, then the procedures detailed under the higher level of risk should be followed.		Breakdown of placements due to behaviour		
		Unaccounted money or goods i.e. mobiles, drugs, alcohol, clothing		
		Multiple sexually transmitted infections		
		Self harming requiring medical assistance		
		Repeat offending		
		Gang association or membership		

DOCUMENT 3

IDENTIFYING AND ASSESSING RISKS

CORNWALL AND THE ISLES OF SCILLY SAFEGUARDING CHILDREN BOARD (SCB), CHILDREN ABUSED THROUGH SEXUAL EXPLOITATION - RISK ASSESSMENT TOOLKIT, 2014

RISK LEVEL	NUMBER OF INDICATORS	BEHAVIOURS	✓	REQUIRED ACTION (BRIEF POINTS) CONSIDERATIONS
High Risk It is envisaged that the use of an Initial Child Protection Conference (ICPC) in cases of sexual exploitation will be relatively rare, but will take place where there are a number of other concerns in as well as concerns around sexual exploitation; in particular neglectful or collusive parenting. Where sexual exploitation remains the critical	Any of the above and ONE OR MORE OF THESE INDICATORS	Child under 13 engaging in sexual activity		A referral to the MARU for a S47 enquiry. Discuss with CSE Manager. Joint investigation with the Police and Social Care. Initiate of update social work assessment and use the CSE risk assessment toolkit to guide or update assessment. Use key disruption tactics. Abduction Notice. Health, Police and Children's Social Care alerts. UKHTC/UKBA. Cross reference with Teenage Pregnancy and Domestic Violence strategies. Harm reduction/detox programmes.
		Pattern of street homelessness and staying with an adult believed to be sexually exploiting them		
		Child under 16 meeting different adults and exchanging or selling sexual activity		
		Being taken to clubs/hotels for sexual activity with adults		
		Disclosure of sexual assault and then withdrawal of statement		
		Abduction and forced imprisonment		
		Being moved around for sexual activity		
		Disappearing from the 'system' with no contact with support		
		Being bought/sold/ trafficked		
		Under 16 with multiple miscarriages or terminations		

RISK LEVEL	NUMBER OF INDICATORS	BEHAVIOURS	✓	REQUIRED ACTION (BRIEF POINTS) CONSIDERATIONS
issue and there is no evidence of parental abuse or neglect, a Principal Officer for Child Protection and Review (POCP&R) will chair a CSE Meeting.		Indicators of CSE in conjunction with chronic alcohol and drug use		Psychiatric assessment/intensive support. Reinforce criminality of offender; gather information for Police and Social Care. Ensure information is recorded.
		Indicators of CSE alongside serious self harming		
		Receiving rewards of money or goods for recruiting peers into CSE		

Intervention Strategies

Common strategies are outlined below:

1)	Disrupting the young person's relationship with other young people suspected of introducing them to adults involved in violence, gang activity, drugs and sexual exploitation.
2)	Disrupting the young person's contact with adults suspected of being involved in violence, drugs and sexual exploitation.
3)	Gather and record information to assist prosecution and disruption of adults or other young people suspected of being involved in violence, gang activity, drugs and sexual exploitation. Corroboration of evidence is very important to prevent reliance on the young person's statement.
4)	Promote positive relationships with family, friends and carers.
5)	Physically protect the young person. Emergency Protection Order or Police Protection if required and at the discretion of the relevant authority.
6)	Maintain contact whilst absent; 'compassion banking'.
7)	Enhance the return procedure to ensure it is a positive experience.
8)	Set clear boundaries to acceptable behaviour and motivate positive behaviour through reward.
9)	Empower the parent/carer/ foster carer, remember they are a key partner in protecting the child or young person and gathering information to disrupt perpetrators.
10)	Build the young person's self-esteem.
11)	Raise the young person's awareness of CSE and the dangers of risk taking behaviours.
12)	Consider health needs of young person.
13)	Involve the young person in diversionary activities.
14)	Make home a more attractive place to live.
15)	Achieve normality.
16)	Make school a more attractive place to go.
17)	Provide specialist support through other agencies.
18)	Plan on positive change for the future and set small targets to achieve monthly.
19)	Where a young person is refusing or reluctant to engage, and is involved in soliciting or grooming peers discuss with the Police.

Disruption Strategies

This tool identifies which disruption tactics may be used for the individual child, who is responsible and can monitor the progress.

Strategic Aim	Intervention Options	Responsible	R	A	G
Disrupt the young person's relationship with other young people suspected of introducing them to adults involved in violence, gang activity and sexual exploitation.	• Identify whom the young person is spending time with and recognise negative relationships. • Prevent visits to the home by other young people who may either deliberately or unwittingly be recruiting the young person. • Screen telephone calls to the home. • Complete information report forms on known associates and any risk they pose.				
Disrupt the young person's contact with adults or young people suspected of being involved in violence, drugs and sexual exploitation.	• Implement the Abduction Warnings and Orders strategy. • Recognise and acknowledge abusive relationships. • Deny individuals suspected of abusing, grooming, or recruiting the young person access to the child's home. • Secure mobile phones and Sim cards, particularly if supplied by abusers and pass to the Police. • Consider removing mobile phones at night for the purpose of charging the batteries and monitor internet, call and text use.				
Gather information to assist prosecution and disruption of adults suspected of being involved in violence, gang activity, drugs, sexual exploitation.	• Obtain as much information as possible to identify associates and those who pose a risk to children and young people. Good information includes full names, nick names, telephone numbers, addresses and car registrations etc. • Keep accurate records and retain the information on children's personal files; it is important to date and time the information and note who is involved in incidents and any interventions. • Send information to the MARU and CSE Manager.				

Strategic Aim	Intervention Options	Responsible	R	A	G
	• Note down any licensed body or property and send information to CSE Manager. • Ensure all network group members are updated at meetings and as and when information is accessed. • Be aware of specific agency responsibility and interventions re Abduction Orders, licensing remedies, checks on persons etc.				
Promote positive relationships with family, friends and carers.	• Carers/parents should be actively engaged in searching for the young person to show that they care. • Promote positive relationships with family and friends. • Promote the need for carers/parents to show attention. • Encourage honesty. Reinforce the nature of the crime. • Involve parents/young person in tackling the problem and in Network and CSE Meetings. • Identify suitable long-term key workers who can befriend the young person.				
Physically protect the young person.	• It is permissible to physically intervene to prevent a young person running from care as an emergency intervention. • However, physical intervention does not offer a long-term risk management strategy and if the only way to prevent the young person repeatedly running away is by physically restraining the young person on a regular basis, an alternative placement should be considered. • Consider removing and preserving clothing and passing it to the Police if it will aid the Police in an investigation • Police and Social Care Protection Powers to be used as appropriate.				
Maintain contact whilst absent.	• Ring the young person's mobile phone. • There must be 24/7 contact available so that the young person does not feel isolated during evenings or at weekends.				

Strategic Aim	Intervention Options	Responsible	R	A	G
	• Ensure the number of the Missing People Helpline and Childline is in the young person's mobile phone address book or text the numbers to them. • Compassion banking - send text messages to the young person. Consider using "text language" that the young person relates to, tell them you are worried and care about their safety and encourage them to contact you or another adult. • Consider informing appropriate outreach workers, Safer Neighbourhood Teams, border alerts (UKBA/UKHTC) and agencies in other cities such as Social Care, Police and specialist services. • If whereabouts are unknown consider publicity and posters; their design should be young person centred.				
Enhance the return procedure to ensure it is a positive experience.	• Identify an individual that the young person respects and wants to talk to. This person should conduct the return interview on every occasion wherever possible. This will ensure consistency and facilitate a positive relationship between the young person and the interviewer. • Interviews by Police Officers that are no more than an admonishment of the young person should be avoided, as these may exacerbate the situation. Threats to prosecute for wasting Police time or threats to take out an ASBO are rarely effective at engaging young people who regularly go missing, and are unlikely to positively change their behaviour. • Independent interviews should be arranged and would preferably be conducted by Staff who have received specialist training and have a good relationship with the young person.				

Strategic Aim	Intervention Options	Responsible	R	A	G
	• Return home interviews should be followed up by active support of the young person to ensure the return interview is seen as a positive experience. • Where child or young person is involved in petty offending consider Restorative Justice Solutions as the offending could be symptomatic of abuse; particularly recognised in young males.				
Set clear boundaries to acceptable behaviour and motivate positive behaviour.	• Consult the young person and agree rewards and penalties. • Consider reward schemes i.e. monetary/ vouchers. • Be flexible. • Adopt a behaviour management strategy. • Give the young person more independence in response to responsible behaviour.				
Empower the parent/ carer/ foster carer.	• Raise the awareness of parent, carers and foster carers of relevant policies, procedures, their responsibilities, duties, legal powers, their options and restrictions upon them. • Consider family support services. • Maintain active support of parents, carers and foster carers. • Raise the awareness of parents and carers to help them to identify the signs of child sexual exploitation and encourage use of the information report forms. • Consider Parenting Orders. • Provide training in self-protection.				
Build the young person's self-esteem.	• Identify and encourage positive activities that the young person may engage in and encourage the young person to make positive contributions at home, school, leisure or work; positive activities should build self-esteem, not just entertain.				

Strategic Aim	Intervention Options	Responsible	R	A	G
	• Assist the young person to look at the consequences of their behaviour. • Take time to explain the issues and keep the young person informed. • Involve the young person in looking at alternatives and decision making.				
Raise the young person's awareness of the dangers.	• Work with schools to raise awareness of risk. • Develop or identify internet sites aimed at young people to raise their awareness of the dangers of going missing. They must be young person focussed, accessible and user friendly to ensure that young people will be attracted to them and motivated to use them i.e. 'Think U Know' websites. • Arrange input by professionals to groups or individuals explaining the dangers. • Organise individual or group discussions with adults that the young person respects. • Facilitate peer mentoring (buddies) by young people who have been through similar experiences and learnt how to cope and protect themselves from exploitation. • Arrange personal safety training for the young person and family.				
Consider the health needs of the young person.	• Sexual health and contraceptive advice. • Medical treatment if suffering neglect, injury or poor health. • Therapeutic Interventions.				
Involve the young person in diversionary activities.	• Enable the young person to participate in exciting positive activities and leisure activities such as drama or dance. • Activity weekends or team building exercises through multi agency provision. • Arrange work experience opportunities or vocational				

Strategic Aim	Intervention Options	Responsible	R	A	G
	training. • Use all agencies involved such as YOS, Police, Voluntary Sector and Social Care.				
Make home a more attractive place to live.	• Identify push/pull factors and deal with them. • Tackle relationship problems. • Address domestic violence issues. • Tackle drug/ alcohol problems of other family members. • Consider an alternative placement that gives the young person a feeling of more independence and responsibility. • Consider a placement that has continuity of staff and extra support for evening shifts. • Consider extended stay with a family member in a different city to break the cycle. • Consider specialist placement options.				
Achieve normality.	• Enforce bed times. • Enforce waking times. • Promote attendance at school. • Encourage young people to eat together at meal times.				
Make school a more attractive place to go.	• Tackle bullying, truancy and peer pressure. • Provide 'Personal, Social and Health Education'. • Encourage engagement with alternative and educational provision. • Provide funding for after school activities.				
Provide specialist support through other agencies.	• Sexual, Drug and Alcohol Counselling and other Services. • Therapeutic Services. • Advocacy Services. • Mentoring Services. • Child and Adolescent Mental Health Services (CAMHS). • Involve Education Welfare. • Involve Youth Services.				

Strategic Aim	Intervention Options	Responsible	R	A	G
	• Raise awareness of "drop in" support groups. • Refer to Voluntary Sector for support. • Positive activities. • Provide self-referral systems so that young people can refer themselves. • Provide parent-referral systems that deal with parent's concerns that their young people will be taken into care if they report abuse.				
Plan on positive change and set small targets to achieve monthly	• Targets need to be agreed with young person and parents.				
Where a young person is refusing or reluctant to engage, and is involved in soliciting or grooming peers, ensure all engagement and disruption activities detailed above have been considered.	• Where the police are considering criminal action against children and the final decision rests with the police, they should consult with partner agencies through the CSE meetings to ensure that all alternatives and appropriate actions have been considered for that child, in line with ACPO guidance in relation to not criminalising young people where possible.				

MULTI AGENCY Sexual Exploitation Risk Assessment Tool

Child details			
Name		Name also known as	
Date of birth		Age	
Gender		Sexual orientation	
Ethnicity		Religion	
Address		Post code	
Telephone number		First language	
Child has a disability			
Specify disability			
Communication needs			
Is the child Looked After?			
Child's legal status if accommodated			
Is the child subject to a child protection plan?			
Is the child currently missing/ regularly going missing?			
Did the child participate in completing tool?			
Date risk assessment tool completed			

Professional(s) details completing the assessment			
Name		Telephone number	
		E-mail	
Placement information for Looked After Child			
Placement type			
Placement address & details			
Other Professionals involved			

DOCUMENT 5

SEXUAL EXPLOITATION RISK ASSESSMENT TOOL

NOTTINGHAMSHIRE SAFEGUARDING CHILDREN BOARD / NOTTINGHAM CITY SAFEGUARDING CHILDREN BOARD, MULTI AGENCY SEXUAL EXPLOITATION RISK ASSESSMENT TOOL, NO DATE

MULTI AGENCY Sexual Exploitation Risk Assessment Tool

Vulnerability Factors	
Live in a chaotic or dysfunctional family	☐
History of domestic abuse within the family or own relationship	☐
History of sexual abuse within the family	☐
History of physical abuse, emotional abuse or neglect	
Parents with mental health problems	☐
Parents with drugs or alcohol abuse	☐
Bereavement or loss including loss of sibling	☐
Lack of protective factors within family unit including love and security	☐
Social or learning difficulties	☐
Low self-esteem or confidence	☐
Unsure of their sexual orientation	☐
Unsure of gender identity	☐
Drugs or alcohol misuse by child	☐
Looked after child	☐
Sexually active	☐
Homeless including sofa surfing	☐
Migrant, refugee or asylum seeker	☐
Previous victim of CSE by child or a sibling	☐
Under 13 years of age	☐
Significant physical health issues or learning disability for parent/carer	☐
Financially unsupported	☐
Parent/care involved in prostitution	☐
Subject of bullying	☐
Mental health problems	

Early Indicators of CSE/LOW	
Early experimenting with drugs or alcohol	☐
Absent/truanting from school	☐
Lack of interest in education	☐
Frequent poor behaviour	☐
Returning home late	☐
Becoming estranged from family	☐
Hostility towards other family members or friends	☐
Physically aggressive to other family members	☐
Mood swings	☐
Detached from age related activities	☐
Secretive behaviour	☐
Change in appearance	☐
Secretive relationships	☐
Secretive about internet use	☐

N.B. No child under 13 or with learning difficulties can be categorised as low risk

Additional detail/evidence regarding vulnerabilities	Additional detail/evidence regarding indicators

SEXUAL EXPLOITATION RISK ASSESSMENT TOOL

NOTTINGHAMSHIRE SAFEGUARDING CHILDREN BOARD / NOTTINGHAM CITY SAFEGUARDING CHILDREN BOARD, MULTI AGENCY SEXUAL EXPLOITATION RISK ASSESSMENT TOOL, NO DATE

MULTI AGENCY Sexual Exploitation Risk Assessment Tool

Strong Indicators of CSE/MEDIUM		Serious indicators of CSE/HIGH	
Considerable change in school performance	☐	Recruiting others into exploitative situations	☐
Exclusion from school due to behaviour	☐	Meeting unknown adults	☐
Association with other victims of CSE	☐	Previous victim of CSE	☐
Sexually active under 13 yrs.	☐	Chronic alcohol or drug misuse	
Pregnancy, miscarriage and/or termination including if under 13 yrs.	☐	Unexplained gifts: clothes, phones, money, jewellery, drugs, cigarettes	☐
Multiple or recurring STI's	☐	Over sexualised appearance	☐
Missing or absent from home or care	☐	Being groomed to meet via the internet	☐
Found in areas with no known connection	☐	Engaging in sexual activity with adults	☐
Involvement in exploitative relationships	☐	Presence or frequenting red light areas	☐
Association with risky adults	☐	Visiting nightclubs with adults	☐
Unexplained relationships with adults	☐	Visiting hotels with adults	☐
Receiving calls/texts from unknown persons	☐	Transported from town to town for sexual activity with adults.	☐
Multiple boyfriends/girlfriends	☐	Associating with known CSE perpetrators	☐
Clipping – offering sex for money with intention to rob and run away	☐	Linked to hotspot CSE areas i.e. taxi ranks, bus stations, off licences and take-aways	☐
Change in physical appearance – weight loss or eating disorder	☐	Information of direct involvement in CSE from reliable sources.	☐
Forming relationships via the internet	☐	Serious self-harming	☐
Older boyfriend/girlfriend	☐	Sexual assault disclosure then withdrawal	☐
Entering or leaving unknown vehicles	☐		
Self-harming and/or suicidality/suicide ideation	☐		
Over sexualised behaviour for age	☐		
Sexualised risk taking (including internet)	☐		
Gang involvement	☐		
Multiple callers to address	☐		
Unexplained physical injuries	☐		
Involvement in crime	☐		
Poor self-image	☐		
Breakdown of LAC placement due to behaviour	☐		
Additional detail/evidence regarding indicators		Additional detail/evidence regarding indicators	

MULTI AGENCY Sexual Exploitation Risk Assessment Tool

No. of indicators:	LOW		MED		HIGH		

Professional's analysis :
Using the guidance and considering your personal analyses in each area, give your final view regarding risk. Please include in this section any locations of concern and/or any persons of concern (including nicknames).

The child is assessed as	LOW	MED	HIGH
Professional's name and signature			
Manager's name and signature			

MULTI AGENCY Sexual Exploitation Risk Assessment Tool

Manager's comments and view :	
Date	

For ALL agencies other than children's social care this form does not replace a referral.

County: All agencies please send a copy of the completed form to cse.riskassessment@nottscc.gcsx.gov.uk **FOR INFO**

City: CHILDREN'S SOCIAL CARE ONLY please ALWAYS send a copy of the completed form to racheal.osborne@nottinghamcity.gcsx.gov.uk **and** evelyn.hailwood@nottinghamcity.gcsx.gov.uk

digna
PSEA/PEAS

TOOLKITS FOR ADDRESSING PSEA

TOOLKIT C

EXAMPLES OF REPORT FORMS

Global Affairs Canada
Affaires mondiales Canada

CCIC CCCI

C) EXAMPLES OF REPORT FORMS

FOREWORD

This toolkit aims to provide your organization with examples of report forms to be used in the programs on the Prevention of Sexual Exploitation and Abuse (PSEA). The four documents gathered here were developed by different organizations and have been selected among the Digna database. The documents are samples of report and referral forms, and instructions on how to proceed while processing a disclosure, and might be used as examples for each organization to develop their own forms regarding PSEA.

Digna deems some documents as particularly interesting for the development of this kind of form within the organizations. For example, the form produced by the Inter-Agency Standing Committee (IASC) – document 1 in this toolkit – is a very complete instrument to collect information after an incident has taken place. In turn, the list provided by Save the Children – document 3 in this toolkit – is a visually-friendly roll of recommendations (do's and don'ts) to help handle a spontaneous disclosure.

Digna is committed to provide your organization with clear and useful tools. We hope they will help your work while developing PSEA documents for processing disclosures.

LIST OF DOCUMENTS

1. **Incident Report Form / Complaints Referral Form** – Inter-Agency Standing Committee (IASC), Global Standard Operating Procedures on Inter-Agency Cooperation in Community-Based Complaint Mechanisms, May/2016, pp. 55-59.

2. **Inter-Agency complaints referral form** – 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. 92.

3. **Handling a spontaneous disclosure: Do's and Don'ts** – Save the Children, Safeguarding in Emergencies Toolkit, 2019, p. 31.

4. **Child SE Information Form** – Cornwall and the Isles of Scilly Safeguarding Children Board (SCB), Children Abused Through Sexual Exploitation - Risk Assessment Toolkit, 2014, p. 28.

USEFUL:

- to develop a PSEA Policy and Code of Conduct (ANC 03-20: Breakout Session 2)
- to process a disclosure (ANC 03-20: Breakout Session 5)

ANC = Annual National Conference

Sample Incident Report Form

File Number: _____

Personal Information

Important

Gathering information at the time of reporting is a crucial element of the process. The report should be objective and precise, focusing on the facts and relevant information that will help when it is time to act.

When a child discloses maltreatment or abuse, make sure to ask the questions needed to have a clear understanding of what the child is saying and to ensure the security and welfare of the child. DO NOT SEARCH FURTHER.

- Inform the person that all information given in the complaint will remain confidential.
- Be receptive of the complainant and listen to what he or she has to say.
- Write a clear record of what is said by the complainant in his own words. Take the time to cross-check with the complainant that you understand everything before writing.
- Allow the complainant to read what you have written. If the complainant is illiterate, read out the text to ensure that what you have written is what he or she meant. Ask the person if he or she is satisfied with what you have written. If they are not, correct the text with them.

Information from the complainant:

Full Family Name :	Full Given Name:
Date of complaint receipt :	Telephone :
Camp/Axis : ☐ Goma ☐ Masisi Centre ☐ Kitchanga Other _____	Address : Camp/Block : Community :
*Complaint Category : ☐ 5 ☐ 6 ☐ Other (specify): _____	

Complaint Category:

- Category 5: Complaints of violations of the Humanitarian Code of Conduct and sexual exploitation or abuse against an adult (man or woman) (processing time from 4 weeks to 3 months)
- Category 6: Complaints of violations of the Humanitarian Code of Conduct and sexual exploitation or abuse against a child (boy or girl under age 18) (processing time from 4 weeks to 3 months)

56

The *complaint* (Use the complainant's words verbatim and ask questions to get as much important information as possible. At a minimum, the complainant should indicate who, what, how, where and when the complaint is about.)

Date of the Incident (When): _____

Full name of the victim (Who): _____

Age of the victim: _____

Where? _____

How? _____

What? _____

Information about the accused: (please encrypt the name of the accused)

Name of accused: _____

Position held by the accused: _____

Organization for which the accused work(s): _____

Relationship to the victim: _____

Current residence of the accused (if known): _____

Gender: _____

Physical description of the accused: _____

Complaint Category:

- Category 5: Complaints of violations of the Humanitarian Code of Conduct and sexual exploitation or abuse against an adult (man or woman) (processing time from 4 weeks to 3 months)
- Category 6: Complaints of violations of the Humanitarian Code of Conduct and sexual exploitation or abuse against a child (boy or girl under age 18) (processing time from 4 weeks to 3 months)

Specifically for complaints of sexual exploitation and abuse:

Has the victim been informed of the available medical care? ☐ Yes ☐ No

If yes, has the victim sought medical treatment after the incident? ☐ Yes ☐ No

If yes, who provided treatment? _____

If no, refer the complainant to the nearest medical care, and follow up that he or she receives the available services.

Has the victim contacted the police? ☐ Yes ☐ No

If yes, what has been done? _____

If no, did the victim require the assistance of the police, and if not, why? _____

Has the victim contacted legal services? ☐ Yes ☐ No

Full name of the PSEA Focal Point:

Organization/Agency: _____

Gender: ☐ Female ☐ Male

Complaint Category:

- Category 5: Complaints of violations of the Humanitarian Code of Conduct and sexual exploitation or abuse against an adult (man or woman) **(processing time from 4 weeks to 3 months)**
- Category 6: Complaints of violations of the Humanitarian Code of Conduct and sexual exploitation or abuse against a child (boy or girl under age 18) **(processing time from 4 weeks to 3 months)**

58

IASC Model Complaints Referral Form (Sexual Exploitation and Abuse)

Name of Complainant: _____ Ethnic origin/Nationality: _____

Address/Contact details: _____

_____

Age: _____ Sex: _____ Identity no: _____

Name of Victim (if different from Complainant): _____

Ethnic origin/Nationality: _____

Address/Contact details: _____

_____

Age: _____ Sex: _____ Identity no: _____

Name(s) and address of Parents, if under 18: _____

_____

_____

Has the Victim given consent to the completion of this form? ☐ YES ☐ NO

Date of Incident(s): _____ Time of Incident(s): _____ Location of Incident(s): _____

Physical & Emotional State of Victim (Describe any cuts, bruises, lacerations, behaviour, and mood): _____

_____

Witnesses' Names and Contact Information: _____

_____

_____

Brief Description of Incident(s) (Attach extra pages if necessary)

_____

_____

_____

Name of Accused person(s): _____ Job Title of Accused person(s): _____

Organisation Accused person(s) Works For: _____

Address of Accused person(s) (if known): _____

_____

Age: _____ Sex: _____

Physical Description of Accused person(s): _____

_____

_____

INCIDENT REPORT FORM / COMPLAINTS REFERRAL FORM

Have the police been contacted by the victim? ☐ YES ☐ NO If yes, what happened? _____

_____

If no, does the victim want police assistance, and if not, why? _____

_____

Has the victim been informed about available medical treatment? ☐ YES ☐ NO

If Yes, has the victim sought Medical Treatment for the incident? ☐ YES ☐ NO

If Yes, who provided treatment? What is the diagnosis and prognosis: _____

_____

What immediate security measures have been undertaken for victim? _____

_____

Who is responsible for ensuring safety plan (Name, Title, Organisation): _____

_____

Any other pertinent information provided in interview (including contact made with other Organizations, if any): _____

_____

Details of referrals and advice on health, psychosocial, legal needs of victim made by person completing report: _____

_____

Report completed by: _____

Name Position/Organisation Date/Time/Location

Has the Complainant been informed about the Organisation's procedures for dealing with complaints? ☐ YES ☐ NO

Signature/thumb print of Complainant signaling consent for form to be shared with relevant mgt structure* and SRSG/RC/HC _____

Complainant's consent for data to be shared with other entities (check any that apply):

_____

_____

Police ☐ _____ Camp leader (name) ☐ _____

Community Services agency ☐ _____

Health Centre (name) ☐ _____ Other (Specify) ☐ _____

Date Report forwarded relevant management structure*: _____

Received by relevant management structure*: _____

Name Position Signature

DOCUMENT 2

INTER-AGENCY COMPLAINTS REFERRAL FORM

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

TOOL 5

INTER-AGENCY COMPLAINTS REFERRAL FORM
(FOR SEXUAL EXPLOITATION AND ABUSE / SEXUAL HARASSMENT)

* Information contained in this form is CONFIDENTIAL. All Forms must be PASSWORD PROTECTED.
https://enketo.unhcr.org/x/#psDGQsdd

Name of Complainant: _____ **Ethnic origin/Nationality:** _____
Address: _____ **Identity no:** _____
Age: _____ **Sex:** _____
How does complainant prefer to be contacted (give details): _____

Name of survivor (if not the complainant): _____ **Ethnic origin/Nationality:** _____
Identity no: _____
Address/Contact details: _____ **Sex:** _____ **Age:** _____

Name(s) and address of parent/guardian, if under 18: _____
How does survivor prefer to be contacted (give details): _____
Has the survivor given consent to the completion of this form and referral?
☐ Yes ☐ No ☐ Don't know

Date of incident(s): _____ **Time of incident(s):** _____ **Location of incident(s):** _____

Brief description of incident(s) in the words of the survivor / complainant: _____

Name of accused person(s): _____ **Position / Job title of person(s):** _____

Service provider/agency accused person(s) works for: _____
Address or location where accused person(s) works: _____

AGENCY RECEIVING COMPLAINT

Name of PSEA Focal Point: _____ **Name of person completing form:** _____ **Position / Job title:** _____

Agency: **Signature:** **Date completed:**

REFERRAL TO AGENCY OF CONCERN PSEA FOCAL POINT

Name of agency/name of person (PSEA Focal Point) report forwarded to: _____
Name and position of person report forwarded to: _____
Date of referral: _____

ACKNOWLEDGMENT OF RECEIPT

Name: _____ **Agency:** _____ **Position / Job title:** _____

Signature: **Date received:**

DOCUMENT 3

HANDLING A SPONTANEOUS DISCLOSURE: DO'S AND DON'TS

SAVE THE CHILDREN, SAFEGUARDING IN EMERGENCIESTOOLKIT, 2019

Please do not proactively encourage disclosure, unless you are well-trained on GBV, PSEA or Child Safeguarding.

HANDLING A SPONTANEOUS DISCLOSURE:

DO...

- Allow the survivor to approach you
- Ask how you can support with any urgent basic needs
- Ask the survivor if they are comfortable talking to you or would prefer to talk to someone else
- Provide practical support like offering water or a private place (e.g. no risk of being overheard – but not out of eyesight or hearing of another adult if with a child)
- Offer to secure an immediate place of safety if required (especially if they have just fled a traumatic situation and can't articulate what they need)
- Try to listen more than you speak – it may take time for a survivor to share what they need to
- Treat any information shared with confidentiality, including identity of survivor and the subject of concern, but do be clear on the limits of confidentiality (for example, you must report and act if the person disclosing is a child or is at immediate risk of harm)
- Share culturally appropriate statements of comfort and support
- Share information on all services available
- Share with the survivor of the process of reporting and next steps; when they can expect to hear more

DO NOT...

- React in a culturally inappropriate or overly emotional way – survivors need you to be in control and able to listen and effectively support – they shouldn't have to worry about supporting you
- Promise to keep secrets – you'll need to tell someone who can help, or make any promises that you cannot keep (for example, regarding prosecution)
- Ignore someone who approaches you and shares a safeguarding concern or experience
- Pressure the survivor into sharing more information
- Take photos or record the conversation (taking written notes is OK, but explain what you are doing and why)
- Make comparisons between the person's experience and others (including your own, if applicable)
- Openly doubt or contradict what someone tells you
- Exaggerate your skills or influence, or make false promises or provide false information
- Offer your own advice/opinion;
- Assume that you know what someone wants or needs
- Make assumptions about someone's experience

CHILD SEXUAL EXPLOITATION INFORMATION FORM

NAME OF PERSON COMPLETING FORM:	DATE:
ANY INFORMATION ON YOUNG PERSON/S ie First name	ASSOCIATES/ADDRESSES/HOTSPOTS
ALLEGED PERPETRATOR/S	POLICE ACTIVITY
SOURCE OF INFORMATION :	

28

digna
PSEA/PEAS

TOOLKITS FOR ADDRESSING PSEA

TOOLKIT D

EXAMPLES OF FLOWCHARTS

Global Affairs Canada
Affaires mondiales Canada

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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

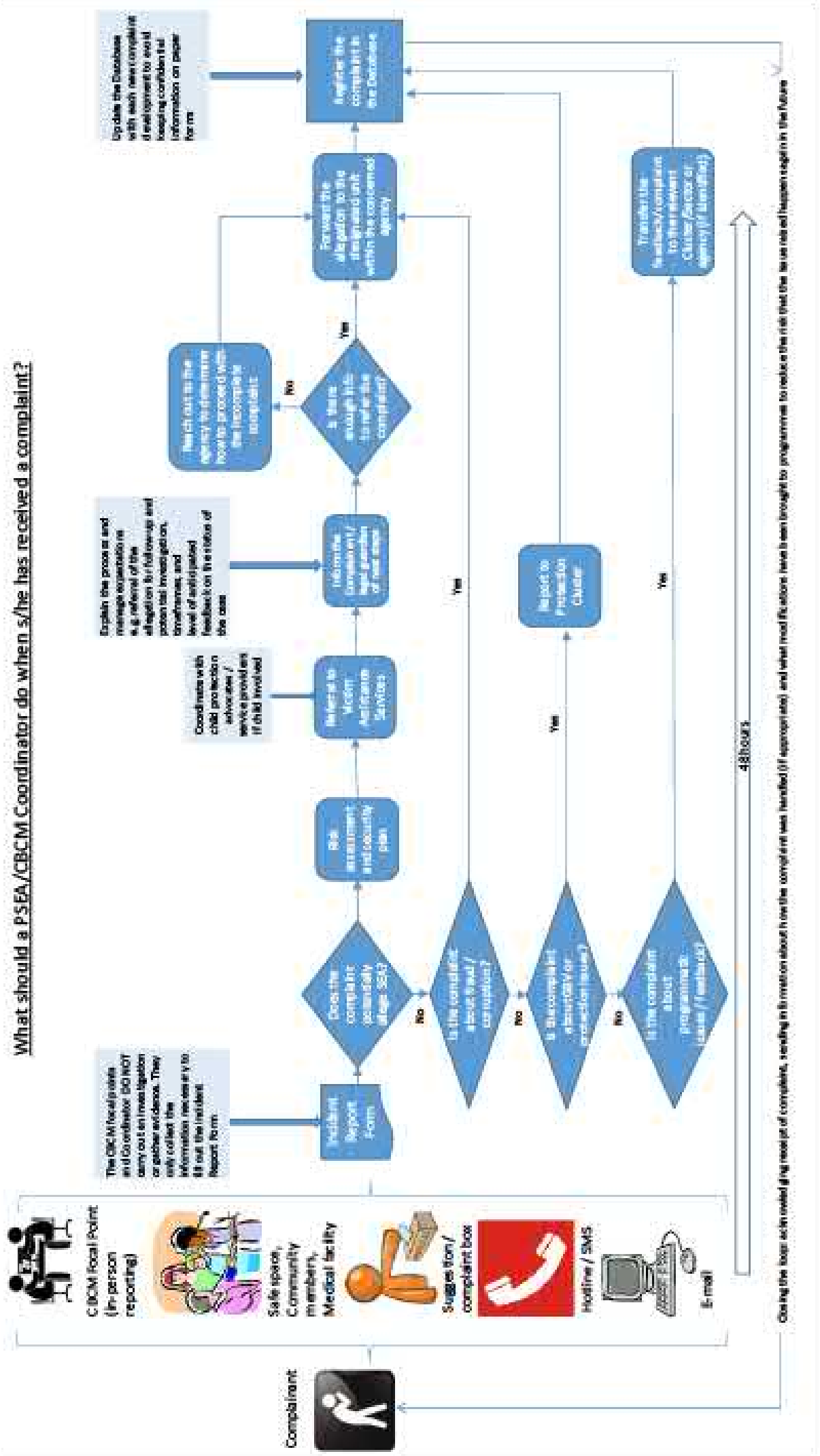
DOCUMENT 1

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

INTER-AGENCY PSEA-CBCM BEST PRACTICE GUIDE, 2016

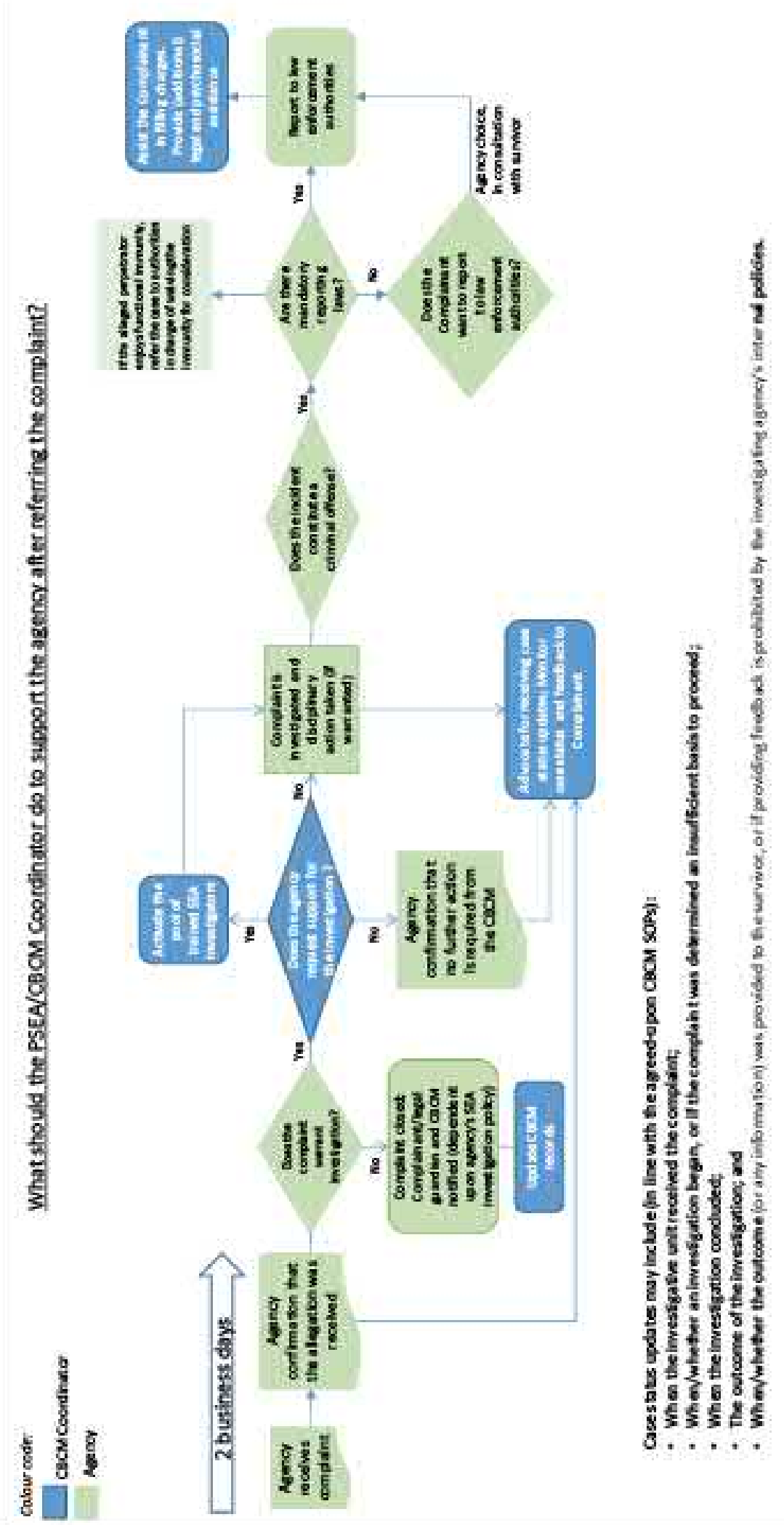
ANNEX 4

4d. Generic Inter-Agency Complaint Handling Flowchart



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

INTER-AGENCY PSEA-CBCM BEST PRACTICE GUIDE, 2016



ANNEX 4

ANNEX 4

SAMPLE Victim Assistance Referral Pathway (SEA complaints)

All actors who may have direct contact with potential victims should be trained to recognize SEA and understand the CBCM Guiding Principles

Medical Care

In case of sexual violence it is important to seek medical attention within 72 hours of the assault for contraception or treatment of HIV to be effective

At a minimum, health care must include: Examination and treatment of injuries, prevention of disease and/or unwanted pregnancy, collection of minimum forensic evidence (including biological products of the perpetrator when available), medical documentation, and follow-up care.

[enter the medical-care providers here, as ID'd in service mapping]

Once the investigation is completed, services will need to be re-evaluated based on the victim's longer-term needs

Mental Health and Psychosocial Support

Counselling and support to assist recovery from the psychological consequences of sexual abuse

Psychosocial support, including case management and advocacy to assist victims in accessing needed services

Support and assistance with social re-integration

[enter the mental health / psychosocial support providers here, as ID'd in service mapping]

Complainant Reports the Incident

Conduct a needs assessment for all victim s/complainants

Provision of immediate assistance to SEA victim s-complainants is critical and must be provided independently of an allegation referral or agency investigation

Safety and Security

Conduct an immediate security and safety needs assessment

Create a security plan that addresses both ongoing risks and the additional risk created by reporting the complaint

Conduct follow-up assessments as necessary

[enter the protection/security-related actors here, as ID's in service mapping – can include camp security, police, military, or other]

**Security actors must be trained on SEA prevention and response, including human rights standards and appropriate standards of conduct, and understand the limitations of their roles*

In case of a child SEA victim [ID the organization/Protection Cluster] can assist in the determination of the best interest of the child, provide reintegration services and psychosocial support

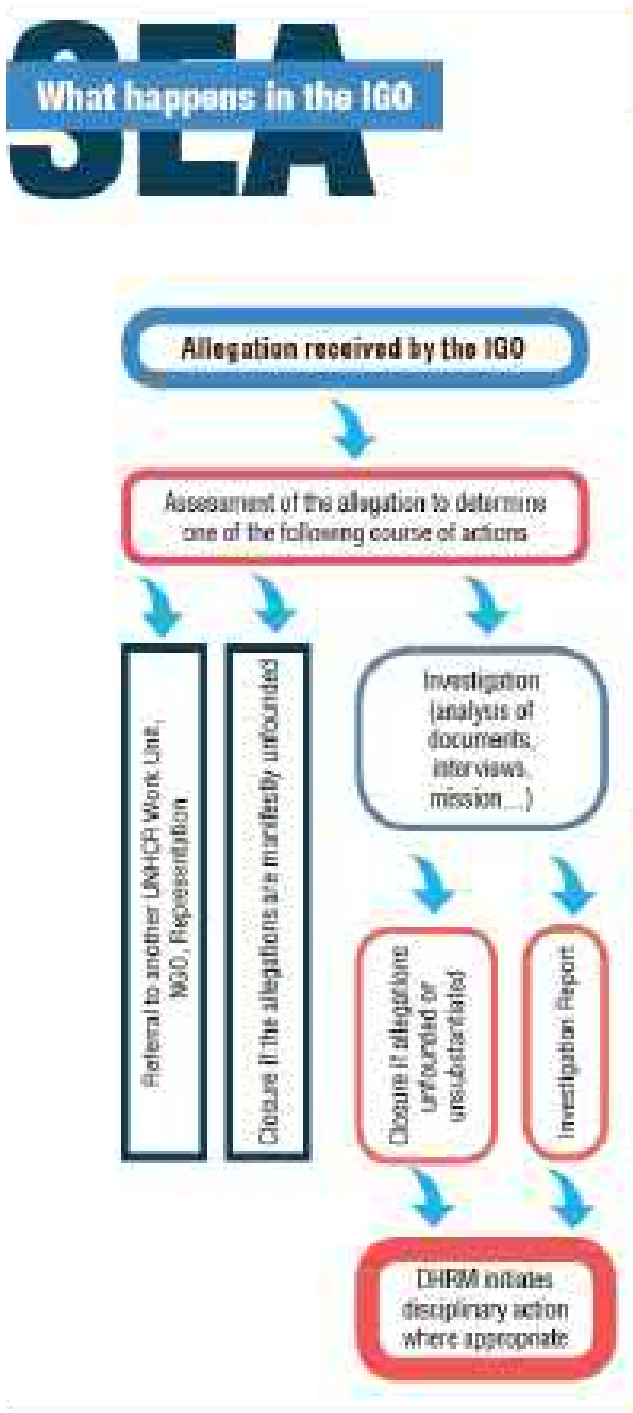
Legal / Justice Response

The victim/complainant has the right to seek legal counselling regarding his/her complaint (regardless of case outcome)

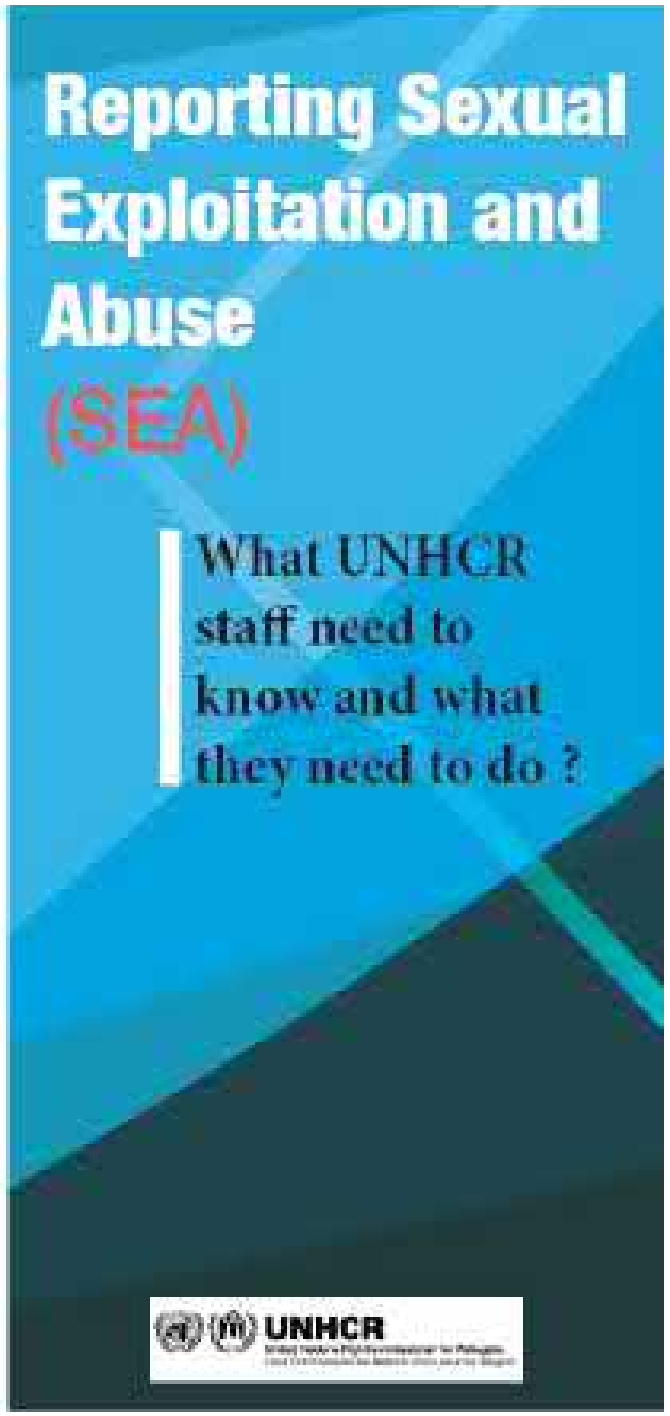
Counselling includes assisting complainants to navigate the investigating agency's administrative process and/or the process of pursuing a civil or criminal claim under national laws – Clearly and honestly inform the victim of the procedures, limitations, pros, and cons of all existing legal options

[enter the legal actors here, as ID'd in service mapping – can include protection officers, legal aid/assistance providers, prosecutors, judges, and officers of the court, as well as traditional justice actors]

Direct financial assistance will *not* be provided as a form of general assistance. However, when necessary victims should be helped to find shelter, clothing, and/or food when an SEA incident(s) impedes them from using their own resources


SEA
What happens in the IGO
Allegation received by the IGO
Assessment of the allegation to determine one of the following course of actions
Referral to another UNHCR Work Unit, NGO, Representation
Closure if the allegations are manifestly unfounded
Investigation (analysis of documents, interviews, mission...)
Closure if allegations unfounded or unsubstantiated
Investigation Report
DHRM initiates disciplinary action where appropriate

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/php/complaints.php
IGO Hotline
+41 22 739 8844
Fax
+41 22 739 7388
You can also report your concerns directly to an IGO staff member.
UNHCR


Reporting Sexual Exploitation and Abuse (SEA)
What UNHCR staff need to know and what they need to do ?
UNHCR

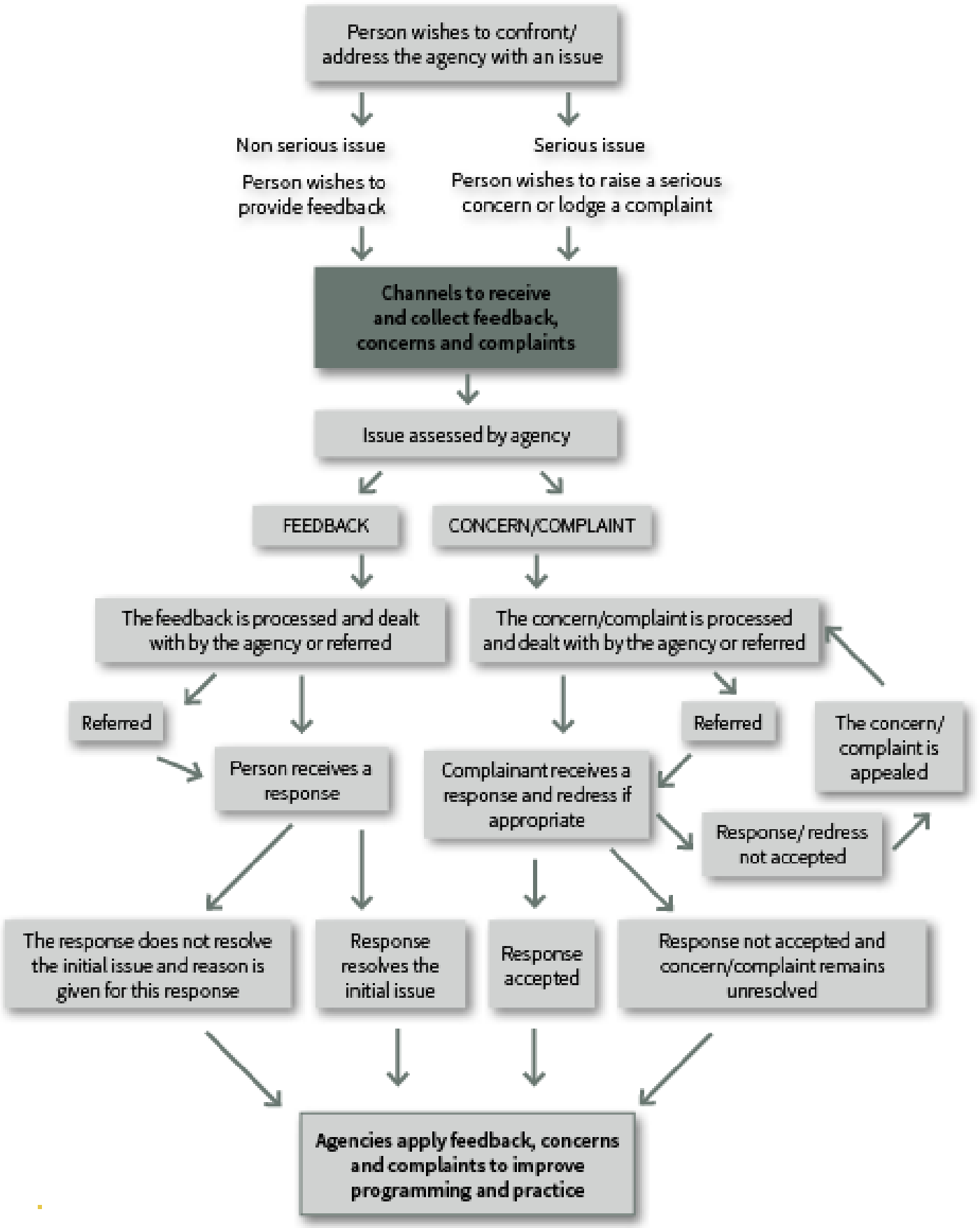
ANNEX 4

DOCUMENT 2

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



DOCUMENT 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

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

COMPLAINT RECEIVED BY / REFERRED TO PSEA FOCAL POINT (FP)

Complaint implicates personnel of one's own agency in-country or in a different country in the Americas	Complaint implicates personnel from a different agency in the same or a different country; or subject of complaint is unknown, but the agency is known; or the complainant is anonymous	The agency of the alleged perpetrator(s) is unknown	Complaint implicates a member of the local community
PSEA FP reports complaint following its own agency's internal PSEA/SH complaint handling procedures	PSEA FP forwards the complaint (using Complaints Referral Form) to the PSEA FP of the alleged perpetrator's agency	PSEA FP reports complaint following its own agency's internal PSEA/SH complaint handling procedures. And alerts the relevant Response and Protection Coordinator (Refugee Response Coordinator, Humanitarian Coordinator, Refugees and Migrant Response Coordinators, Protection Coordinator, PSEA & Safe Spaces Network Coordinator) , to ensure an adequate response to potential protection needs of the allegedly affected person(s)	PSEA FP counsels complainant of relevant options including reporting to the police, if appropriate to do so and based on the wishes of the survivor. PSEA FP informs relevant protection personnel of one's own agency or relevant Protection Actors

IMMEDIATE SURVIVOR ASSISTANCE

PSEA FP refers survivors/complainants for immediate protection and medical follow-up if necessary and survivor consents

(Referral to SGBV and other required protection services according to national SGBV SOPs and SGBV referral pathways for survivor assistance https://www.arcgis.com/apps/MapSeries/index.html?appid=ae15aa2fe0c4469b83ea10f0925e8625)

INVESTIGATION

Based on relevant protocols internal to each agency / service provider

FEEDBACK / CLOSE THE LOOP

Based on relevant procedures of the agency, feedback is given to the complainant, and other relevant parties, report made to RSSN / PSEA networks

DOCUMENT 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

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, communitymember) 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)

↓

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.

DOCUMENT 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

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 Bodies[25].

↓

RESPONSE OF PSEA FOCAL POINT OF THE SERVICE PROVIDER OF CONCERN

- 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

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.

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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 e 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*

DOCUMENT 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

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

DOCUMENT 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

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

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.

37

digna
PSEA/PEAS

TOOLKITSIFOR ADDRESSING PSEA

TOOLKITIE

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

Global Affairs Canada
Affaires mondiales Canada

CCIC CCCI

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

FOREWORD

This toolkit aims to provide your organization with lists and check-lists useful for the development of programs on the Prevention of Sexual Exploitation and Abuse (PSEA). The six documents gathered here were developed by different organizations and have been selected among the Digna database. The documents are samples of contact lists and check-lists, and might be used as examples for each organization to produce their own call trees and self-assessment forms for PSEA.

The documents listed here regard the preparedness and self-assessment of the organizations' procedures.

Digna deems some documents as particularly useful for the development of similar tools within the organizations.

For example, the list of contacts provided by Regional Safe Spaces Network / UNHCR – document 3 in this toolkit – comprises a prompt way of knowing who to reach out to within both organizations and partners, and highlights the importance of this information to be periodically updated. For its part, the checklist developed also by Regional Safe Spaces Network / UNHCR – document 5 in this toolkit – is a complete instrument for self-auditing regarding preparedness for PSEA.

Digna is committed to provide your organization with clear and useful tools. We hope they will help your work while developing PSEA instruments that allow self-assessment and updated available information on contacts.

LIST OF DOCUMENTS

1. **Mainstreaming PSEA checklist: Audit your organization** – Inter-Agency PSEA-CBCM Best Practice Guide, 2016, Annex 4, pp. 102-104.

2. **Survey Questions** – 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 programmes. Phase one report, survey findings, 2015, pp. 35-37.

3. **PSEA focal points and alternatives** – 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. 55-58.

4. **Consultation on organizational policies and procedures for PSEA and complaint procedures** – 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. 80-81.

5. **PSEA self-audit checklist** – 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. 95-98.

6. **Online Self-assessment –** Keeping the Children Safe

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)

ANC = Annual National Conference

ANNEX 4

4h. Audit Your Organization Against the IASC Minimum Operating Standards for PSEA

Determine to what level your organization has implemented each of the pillars below. Mark the appropriate column to the right with a ✓ indicating:

a. implemented

b. partially implemented

c. not implemented

d. do not know

Pillar 1: Management and coordination:

- Effective policy development and implementation
- Cooperative arrangements
- Dedicated department / focal point committed to PSEA

		a.	b.	c.	d.
1.	A policy stating standards of conduct, including acts of SEA, exists and a work plan to implement the policy is in place.				
2.	The policy/standards of conduct have been conveyed to current staff and senior management (at HQ and field level) on repeated occasions (such as inductions and refresher trainings).				
3.	SG's Bulletin (ST/SGB/2003/13) or respective codes of conduct are included in general contract conditions.				
4.	Procedures are in place to receive written agreement from entities or individuals entering into cooperative arrangements with the agency that they are aware of and will abide by the standards of the PSEA policy.				
5.	A dedicated department/focal point have the overall responsibility for the development and implementation of PSEA policy and activities.				
6.	The responsible department/focal point is required to regularly report to senior management on its progress on PSEA through the Senior Focal Point on PSEA.				
7.	Staff members dealing with PSEA have formalised responsibility for PSEA in their job description, performance appraisal or similar.				
8.	They have received systematized training on PSEA and the time committed to PSEA is commensurate with the scale of implementation required under the current situation of the organization.				

Pillar 2: Engagement with and support of local community population

- Effective and comprehensive communication from HQ to the field on expectations regarding raising beneficiary awareness on PSEA.
- Effective community based complaints mechanisms (CBCM), including victim assistance.

		a.	b.	c.	d.
1.	The HQ has communicated in detail the expectations regarding beneficiary awareness raising efforts on PSEA (including information on the organisation's standards of conduct and reporting mechanism).				
2.	The HQ has distributed examples of awareness-raising tools and materials to be used for beneficiary awareness raising activities.				
3.	The HQ urges its field offices to participate in community-based complaint mechanisms that are jointly developed and implemented by the aid community adapted to the specific locations.				
4.	There is guidance provided to the field on how to design the CBCM to ensure it is adapted to the cultural context with focus on community participation.				
5.	There is a mechanism for monitoring and review of the complaint mechanism.				
6.	The organisation has written guidance on the provision of victim assistance.				

ANNEX 4

Pillar 3: Prevention

- Effective recruitment and performance management.
- Effective and comprehensive mechanisms are established to ensure awareness-raising on SEA amongst personnel.

		a.	b.	c.	d.
1.	The organisation makes sure that all candidates are required to sign the code of conduct before being offered a contract.				
2.	Each organisation commits to improving its system of reference checking and vetting for former misconduct.				
3.	Supervision and performance appraisals include adherence to participation in Code of Conduct trainings (or similar) that includes PSEA.				

4.	Performance appraisals for Senior Management include the adherence to create and maintain an environment which prevents sexual exploitation and abuse and promotes the implementation of the ST/SGB/2003/13 or code of conduct.				
5.	Staff receives annual refresher training on the standards of conduct, learn about the mechanism to file complaints and reports of misconduct and the implications of breaching these standards.				
6.	Training on misconduct (specifically mentioning SEA) forms part of the induction process.				
7.	Staff members are aware of their obligation to report SEA/ misconduct and are aware that there is a policy for Protection from retaliation in place.				

ANNEX 4

Pillar 4: Response

- Internal complaints and investigation procedures in place

		a.	b.	c.	d.
1.	Written procedures on complaints/reports handling from staff members or beneficiaries are in place.				
2.	Staff members are informed on a regular basis of how to file a complaint/report and the procedures for handling these.				
3.	Standard investigation operating procedures or equivalent issued and used to guide investigation practice.				
4.	Investigations are undertaken by experienced and qualified professionals who are also trained on sensitive investigations such as allegations of SEA.				
5.	Investigations are commenced within 3 months and information about out come is shared with the complainant.				
6.	Substantiated complaints have resulted in either disciplinary action or contractual consequences and, if not, the entity is able to justify why not.				

DOCUMENT 2

SURVEY QUESTIONS

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 PROGRAMMES. PHASE ONE REPORT, SURVEY FINDINGS, 2015

Annexes

Annex 1. Survey questions

What mechanisms are in place for children?

- ☐ What mechanisms or activities currently exist within your organisation that allow you to gather feedback or complaints from children?
- ☐ Please give examples of all options, activities or mechanisms available to children and youth (complaint boxes, meetings, court yard sessions, one-to-one contact, mobile phones, all others?)
- ☐ For each mechanism identified, how often are they used?
- ☐ What efforts are made to ensure anonymity?

How were the mechanisms set up?

- ☐ Have you consulted with groups of children on how they would like to share feedback to inform the setting up of these mechanisms?
- ☐ If yes, which methodology have you used for consultation, and what was the outcome?
- ☐ If no, if we were to consult with children on their preferred feedback mechanism/activity, then what do you think children will tell us?

Information sharing

- ☐ How do children know about (how are they made aware of) the feedback mechanisms/activities in your organisation?
- ☐ Generally, what information sharing methods do children find most useful and accessible? (leaflets, billboard, flex print, community level meetings, one-to-one contact, etc.)
- ☐ How do you ensure that children are aware of their valuable role in providing feedback, particularly where safeguarding issues are concerned? (How do we ensure that children know their opinion matters?)

DOCUMENT 2

SURVEY QUESTIONS

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 PROGRAMMES. PHASE ONE REPORT, SURVEY FINDINGS, 2015

Who do we hear from?

- ☐ Which groups of children are providing feedback? (disaggregate by age, gender, vulnerability, frequency of providing feedback)
- ☐ For each group of children identified above, which types of feedback mechanisms/activities do they most prefer to use, and which do they least prefer to use? Why do they have this preference? How do you know about this preference?
- ☐ Are there any groups of children who are reluctant, unable or unwilling to give their feedback? Which groups?
- ☐ Why are they reluctant, unable or unwilling? How do you know this? How do you support these children?

What are we hearing?

- ☐ In general, what kinds of issues have you heard feedback from children on?
- ☐ Are we recording what we hear? How do we do this?
- ☐ Specifically, do the mechanisms in place manage to solicit concerns about safeguarding issues, including safety of programmes, breaches of our code of conduct, and sexual exploitation and abuse? If yes, which mechanisms or which features of mechanisms proved helpful? If not, what were the reasons?
- ☐ Have we managed to protect confidentiality when sensitive issues were reported?
- ☐ What has been key, in your experience, to keeping feedback from children confidential?
- ☐ Were there any cases where we did not manage to respond to a sensitive issue raised by a child as per our procedures or any harm was done? If yes, how did we deal with that?

Appropriateness and effectiveness of the mechanisms

- ☐ Do children face any challenges to providing feedback with the existing mechanisms/activities? If yes, what types of challenges do they face?
- ☐ In your opinion, are the existing mechanisms effective in soliciting and handling feedback from children?
- ☐ How do we deliver the responses to children? (i.e. How do children know that adults have heard/read their concerns and are responding to them?)
- ☐ Are we or partners able to handle the amount of feedback data that is received and deliver the responses in a timely manner?
- ☐ What have been the challenges in managing feedback mechanisms for children?

DOCUMENT 2

SURVEY QUESTIONS

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 PROGRAMMES. PHASE ONE REPORT, SURVEY FINDINGS, 2015

What are our lessons learnt?

- ☐ Do you have any suggestions on what suitable feedback/complaint mechanisms/activities for children should look like?
- ☐ Which of the mechanisms/activities will work better for children living in rural and urban locations? Girls, boys? Humanitarian or development contexts?
- ☐ What features of a feedback mechanism/activity make them specifically child-friendly?
- ☐ Have the mechanisms proved a value added for the programme? That is, have they helped us hear more from children? Have they helped us hear about issues we were not hearing about before? Have we, as a result of the feedback, made changes to our programmes? What kinds of changes were made?

Staff capacity

- ☐ What skills are necessary for our staff to be able to set up and manage feedback mechanisms for children?
- ☐ Are staff clear about their roles and responsibilities for seeking and handling feedback from children and how the relevant policies such as safeguarding and code of conduct are linked to the process?
- ☐ Has any support been provided to staff (agency as well as partner) to set up and manage these mechanisms? If yes, what was done?

DOCUMENT 3

PSEA FOCAL POINTS AND ALTERNATIVES

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

ANNEX VII

PSEA FOCAL POINTS AND ALTERNATIVES

NOTE

This contact list will be updated every 6 months by the Regional PSEA Network and will be available online on the RSSN service referral map in the Americas Region; *https://www.arcgis.com/apps/MapSeries/index.html?appid=ae15aa2fe0c4469b83ea10f0925e8625*

List Dated: 01 October 2019

AGENCY	FULL NAME	TITLE	EMAIL	TEL NO	COUNTRY
Asociación Lambda	**Focal Point: Carlos Valdes**	Director	charly251@hotmail.com	45710633	Guatemala
	Alternate: Estuardo Juarez	Case manager	estuardo.moscoso1980@gmail.com	55475236	
Cruz Roja Guatemalteca	**Focal Point: Héctor López**	Coordinator	hector.lopez@cruzroja.gt	54478970	Guatemala
	Alternate: Gladys Coton		gladys.cotom@cruzroja.gt	41736008	
Pastoral de Movilidad Humana	**Focal Point: Walter Paxtor**	Coordinator	pastoral.rpm@gmail.com	59968894	Guatemala
	Alternate: Amilcar Vasquez	Coordinator	movhuceg@yahoo.com	59228504	
Refugio de la Niñez	**Focal Point: Rosibel Najera**	Manager	coordinacionraicesdeamor@refugiodelaniñez.org.gt	55275798	Guatemala
	Alternate: Oty Morales	Psychologist		55275798	
ODHAG	**Focal Point: Mario Ramirez**	Psychologist	mramirez@odhag.org.gt	49559535	Guatemala
	Alternate: Evelyn Martinez	Social Worker	emartinez@odhag.org.gt	55627324	
Asociación Lambda	**Focal Point: Carlos Valdes**	Director	charly251@hotmail.com	45710633	Guatemala
	Alternate: Estuardo Juarez	Case manager	estuardo.moscoso1980@gmail.com	55475236	
Cruz Roja Guatemalteca	**Focal Point: Héctor López**	Coordinator	hector.lopez@cruzroja.gt	54478970	Guatemala
	Alternate: Gladys Coton		gladys.cotom@cruzroja.gt	41736008	
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Refugio de la Niñez	**Focal Point: Rosibel Najera**	Manager	coordinacionraicesdeamor@refugiodelaniñez.org.gt	55275798	Guatemala
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ODHAG	**Focal Point: Mario Ramirez**	Psychologist	mramirez@odhag.org.gt	49559535	Guatemala
	Alternate: Evelyn Martinez	Social Worker	emartinez@odhag.org.gt	55627324	
Casa del Migrante Scalabrini	**Focal Point: Astrid Montenegro**	Coordinator	asticha22@gmail.com	53175004	Guatemala
	Alternate: Karina Lopez	Social Worker	kopez2100@gmail.com	59806099	
UNHCR Guatemala	**Focal Point: Amanda Solano**	Protection Officer	solano@unhcr.org		Guatemala
	Alternate: Susan Carrera	Protection Assistant	carrera@unhcr.org		

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

AGENCY	FULL NAME	TITLE	EMAIL	TEL NO	COUNTRY
UNHCR Mexico	**Focal Point: Margarita Bonilla**	Ass. Field Officer	bonilla@unhcr.org		Mexico
	Alternate: Sofia Cardona	Resettlement Associate	cardona@unhcr.org		
UNHCR El Salvador	**Focal Point: Inti Alvarado**	Associate Protection Officer	ALVARADI@unhcr.org		El Salvador
	Alternate: Andrea Astacio	Protection Assistant	astacio@unhcr.org		
UNHCR Honduras	**Focal Point: Lara Zunelli**	Eligibility Officer	ZUNELLI@unhcr.org		Honduras
UNHCR Costa Rica	**Focal Point: Miguel Urbano**	Associate Durable Solutions Officer	urbano@unhcr.org	22420741	Costa Rica
	Alternate: Kelleen Corrigan	Senior Protection Officer	CORRIGAK@unhcr.org	84506001	
HIAS	**Focal Point: Gabriela Núñez**	Country Director	gabriela.nunez@hias.org	87774466/ 40004427	Costa Rica
RET Internacional	**Focal Point: Jazmin Monge**	Project Officer	j.monge@theret.org	22342523/ 40356913	Costa Rica
	Alternate: Rodrigo Zuniga			40356913	
CENDEROS	**Focal Point: Cristina Valerio**	Immediate Assistance Coordination	c.valerio@cenderos.org	87102441	Costa Rica
Consultorio Jurídico Universidad de la Salle	**Focal Point: Fidelina Mena**	Director	fidemenac76@gmail.com		Costa Rica
Glasswing	**Focal Point: Laura Sequeira**	Country Director	lsequeira@glasswing.org	88591808	Costa Rica
DNI Costa Rica	**Focal Point: Karin van Wijk**	General Coordinator	coordinaciongeneral@dnicostarica.org	88871618	Costa Rica
UNHCR ROPAN	**Focal Point: Itza de Gracia**	Program Associate	degracia@unhcr.org	66231820	Panama
	Alternate: María Lorena Suarez	Regional Protection Officer	suarezm@unhcr.org	64122396	
UNHCR Brazil	**Focal Point: Gabriela Cortina**	Resettlement Officer	cortina@unhcr.org		Brazil
Asociación Lambda	**Focal Point: Carlos Valdes**	Director	charly251@hotmail.com	45710633	Guatemala
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	Alternate: Maria Lorena Suarez	Regional Protection Officer	suarezm@unhcr.org	64122386	
UNHCR Brazil	**Focal Point: Gabriela Cortina**	Resettlement Officer	cortina@unhcr.org		Brazil
HIAS VENEZUELA	**Focal Point: Angelica Sarmiento**	Program Manager	angelica.sarmiento@hias.org	4122665115	Venezuela
	Alternate: Jenny Fernandez	National Project Coordinator	jenny.fernandez@hias.org	4122665114	
NRC	**Focal Point: Adriana Arias**	Lawyer	adriana.arias@nrc.no	0414-7267323	Venezuela
	Alternate: Rosa Godoy	Lawyer	rosa.godoy@nrc.no	4247566243	
JRS-VENEZUELA	**Focal Point: Juan Carlos Ramirez Molina**	Agro-food engineer	tsc.sjrven@gmail.com	0416-7791107	Venezuela
	Alternate: Mariajosé García Romero	Political Sciences	ts.sjrven@gmail.com	0424-7368202	
UNHCR Venezuela	**Focal Point: Carolina Mateos**	Senior Protection Officer	mateos@unhcr.org		Venezuela
	Alternate: Adriana Negry	Protection Officer (SGBV/ CP)	negryle@unhcr.org		
APOYAR	**Focal Point: Dania Carina González Tovar**		apoyotecnico4@apoyar.org	3132883150	Colombia
	Alternate: Maria Claudia Velandia Lara		apoyotecnico@apoyar.org	3015566114	

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

AGENCY	FULL NAME	TITLE	EMAIL	TEL NO	COUNTRY
Comité Internacional de Rescate	**Focal Point: Edith Guerrero**	Manager of protection and empowerment of women	edith.guerrero@rescue.org	3127049367	Colombia
	Alternate: Lina Castro	Gender Focal Point	Lina.Jimena.Castro@rescue.org	3127055681	
Comité Internacional de Rescate	**Focal Point: Carlos Miranda**	Child Protection Manager	carlos.mirandasanguino@rescue.org	3127070507	Colombia
	Alternate: Natali Dulce	Child Protection Focal Point	Maria.Dulcey@rescue.org	3127080345	
UNHCR Colombia	**Focal Point: Chelsea Sommer**	Associate Protection Officer CBP	sommer@unhcr.org		Colombia
	Alternate: Saskia Loochkartt	Associate Community Services Officer, Protection	loochkar@unhcr.org		
HIAS	**Focal Point: Margarita Ron**	Coordinator of the Psychosocial and Social Work Program	margarita.ron@hias.org	999882272	Ecuador
NRC	**Focal Point: Brigitte Quintero**	Technical Officer ICLA	brigitte.quintero@nrc.no	986230340	Ecuador
Kimirina	**Focal Point: Maria Elena Acosta**	Technical Director	eacosta@kimirina.org	2449585/ 0992826255	Ecuador
Dialogo Diverso Ecuador	**Focal Point: Jorge Medradan Jordan**	Facilitator of personal and group processes	micasafueradecasa@dialogodiverso.org	(+) 593 999889801	Ecuador
	Alternate: Aitor Narbarte	Psychologist	psicologia@dialogodiverso.org	(+)593 999889801	
Fundacion Ecuatoriana Equidad	**Focal Point: Alejandra Quintero**		mquintero@fequidadecuador.org	983882018	Ecuador
	Alternate: Efrain Soria	Psychologist	coordinacion@fequidadecuador.org	996671112	
Casa de Acogida "Manos Unidas Tejiendo Progreso"	**Focal Point: Vanessa Rodriguez Casanova**	Administrator	ca.manosunidastulcan@gmail.com	990165000	Ecuador
	Alternate: Gabriela Rodas	Protection Assistant (SGBV)	rodasher@unhcr.org	939436405	
NRC (Norwegian Refugee Council)	**Focal Point: Mileidy Capurro Tapia**	Team Leader ICLA, Tulcán Office	mileidy.capurro@nrc.no	(593)9880 23010	Ecuador
	Alternate: Harold Freire	ICLA Assistant	harold.freire@nrc.no	(593) 98834 9895	
ASA	**Focal Point: Monica Barreno**	Social Worker	coordinacion.asa2019@gmail.com	997034499	Ecuador
	Alternate: Nathali Herrera	Psychologist	psicologia.asa2019@gmail.com	999733421	
UNHCR Ecuador	**Focal Point: Juan Pablo Terminiello**	Protection Assistant	terminie@unhcr.org		Ecuador
	Alternate: Diego Nardi	Protection Associate Officer	NARDID@unhcr.org		
UNHCR Peru	**Focal Point: Collen Roberts**	Protection Officer (CB/ SGBV/CP)	robertco@unhcr.org		Peru
	Alternate: Natalia Al-Bani Asensio	Protection Officer (SGBV)	albani@unhcr.org		
WORLD VISION CHILE	**Focal Point: Paola Avello Ramos**	National Coordinator ESF	paola_avello@wvi.org	569429 48124	Chile
	Alternate: Natalia Cuello	Local Coordinator ESF	natalia_cuello@wvi.org	5695004 7562	
UNHCR Chile	**Focal Point: Silvana Lauzan**	Snr Prot Associate	lauzans@unhcr.org		Chile

DOCUMENT 4

CONSULTATION ON ORGANIZATIONAL POLICIES AND PROCEDURES FOR PSEA AND COMPLAINT PROCEDURES

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

TOOL: DISCUSSION GUIDE

Name of partner: _____

Partner representative(s) name and role: _____

Location and Date: _____

Relationship with other service providers: _____

Main activities implemented by partner: _____

GUIDING QUESTIONS	RESPONSES
Make a brief introduction of the subject and make sure that all participating understand the purpose of the consultation and how the responses can be used. Please refer to the first section of this guidance note in preparation of the consultations.	
Question 1 - 10 relate to organisational policies and procedures for PSEA/SH and complaint procedures	
1. Does your organization have a Code of Conduct (CoC) that includes protection from sexual exploitation and abuse and sexual harassment (SEA/SH)?	
2. Does your organisation have a policy on prevention and protection from SEA/SH?	
3. Does your organization have clear procedures for handling complaints on SEA/SH (from staff or concerned people)?	
4. Does your organization have a SEA/SH investigation policy/procedure in place?	
5. Does your organisation have the capacity to **initiate** an investigation of a SEA/SH complaint within 72 hours of receipt? If not, what procedure would you follow in [name of site] _____ ?	
6. Does your organisation have assigned PSEA focal points, in [name of site] _____? Do they have clear TORs of their responsibilities?	
7. Has your staff given or received any training on PSEA/SH (within the last 12 months)?	
8. Are protection risks, for concerned populations assessed and well understood by your programmes and staff?	
9. Are risks of SEA of communities and concerned populations assessed and reviewed regularly in your programme activities?	
10. Does your organization participate in any coordination groups in relation to Protection, SGBV, PSEA in [programme / operational site] _____?	

DOCUMENT 4

CONSULTATION ON ORGANIZATIONAL POLICIES AND PROCEDURES FOR PSEA AND COMPLAINT PROCEDURES

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

GUIDING QUESTIONS	RESPONSES
Questions 22 – 24 relate to awareness raising of PSEA feedback and community-based complaint mechanisms with communities / concerned populations	
22. Has your organization informed people/ concerned persons of their rights regarding protection from SEA? If so, give details: methods, how many people reached etc.?	
23. Has your organisation informed people/ concerned persons of how they can raise a concern, provide feedback or make a complaint in [site]? If so, give details: methods, how many people reached etc.?	
24. In your area of operation does your organisation ensure that all concerned populations, from all back grounds and origins, women, girls, men and boys, people of all sexual orientations and gender identities, indigenous populations, people with functional diversity and others, can access, use and are informed about their rights and how to provide feedback and submit a complaint? Please give examples of how this is done, what methods have been used.	
Questions 25 – 28 relate to organisational policies and procedures to prevent and protection personnel from sexual harassment (SH)	
25. Does your organization have a clear staff policy on prevention of sexual harassment, bullying, abuse of power within the organization?	
26. Has your organisation informed its personnel on its anti-bullying, zero-tolerance of sexual harassment and any abuse of power in the workplace and in the field?	
27. Does your organization have clear policies and procedures on grievances and whistle-blowing for personnel? Are personnel made aware of this policy and of how to use it?	
28. Is an dedicated HR function exist in your organization to manage issues of sexual harassment, and other forms of harassment by personnel?	
FINAL ROUND-UP QUESTIONS	
29. What key challenges does your organization have to setting up PSEA/SH systems in your organisation? i.e. complaint mechanisms, reporting and referral systems, PSEA policies etc.	
30. Are there any questions or anything else that the partner wants to discuss in relation to the consultation?	

DOCUMENT 5

PSEA SELF-AUDIT CHECKLIST

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

TOOL 7

PSEA/SH SELF-AUDIT CHECKLIST

https://enketo.unhcr.org/x/#H7Z8Xocn

This self-auditing tool has been developed as part of the Americas Regional PSEA Network to support service providers (offices, agencies) to understand where they stand in relation to preventing sexual exploitation and abuse (SEA) and sexual harassment (SH). The self-audit process supports the identification of gaps and provides direction on the next steps you and your agency can take to strengthen ongoing work to protect those with whom we work.

As part of continuing efforts to strengthen the prevention of SEA/SH in the Americas, the results of the self-audit can be shared with the PSEA Network Focal Points. This can promote a collective response to PSEA/SH and can assist service providers to take specific measures to address and focus on identified weaknesses.

For the purposes of this checklist, the term 'Code of Conduct' refers to a service provider's own Code of Conduct for its personnel, as long as it makes explicit its commitment to PSEA/SH and incorporates the PSEA/SH principles.

For each statement, each box should be ticked:
A = fully in place; B = partially in place; C = not in place.

Grouping the results into Mostly As/Bs or Cs, will give an indication of your agency's progress. It should also be noted that boxes highlighted in yellow are considered to be essential and therefore a priority for PSEA/SH. It these are "B" or "C", then these would be critical areas to focus on.

1	RECRUITMENT AND INTERVIEWS	A	B	C
A	The service provider has a Gender Policy and monitors the gender-balance of staffing and strives to be gender-balanced, at all levels of responsibility, in both main and sub-offices and among nationally and internationally contracted staff and community workers.			
B	During the recruitment / interview process, the service provider discusses policies regarding relations between staff and concerned population and assesses interviewee's responses to Code of Conduct related questions.			
C	References are rigorously gathered and follow a specific format /checklist while respecting the principle of confidentiality. They should include questions about disciplinary actions.			
D	All personnel (e.g. staff, consultants, contractors, volunteers) contracts or templates include the main principles of the Code of Conduct or have the Code of Conduct attached, which should also be available in the language of the relevant country.			
E	All job advertisements reaffirm the provider's/agency's commitment to the Code of Conduct and PSEA/SH.			
F	Applicants must fill in job application forms, which require the applicant to give information about criminal convictions, reasons for leaving previous jobs and periods when no employer is listed.			

DOCUMENT 5

PSEA SELF-AUDIT CHECKLIST

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

2	RECRUITMENT AND INTERVIEWS	A	B	C
A	There is an orientation/induction process for all personnel, including community volunteers, contractors etc., which includes administrative procedures and human resources as well as programmatic and operational issues.			
B	Guidance is provided to new employees on the cultural context, gender equality principles, and appropriate behaviour expected of personnel as well as complaint, investigation and disciplinary procedures and consequences.			
C	During the orientation process, personnel are taken through the Code of Conduct, which includes PSEA/SH principles, by a manager/supervisor to ensure they understand the issues and have their questions answered.			

3	MANAGEMENT	A	B	C
A	Senior management work to ensure an organizational culture which eliminates sexual exploitation and abuse, and sexual harassment. For example, PSEA/SH is included as part of the performance goals for managers and performance is rated in accordance with the implementation of these goals. Senior managers make regular announcements on these issues and personnel are reminded that the organization takes these issues seriously.			
B	The agency/office has developed and incorporated into personnel rules and regulations a Code of Conduct, which includes principles related to protection from sexual exploitation and abuse and protection from sexual harassment, as well as appropriate investigation and disciplinary procedures when violations of core principles occur.			
C	Senior managers are required, and are evaluated on their ability, to promote the standards outlined in the Code of Conduct internally to the agency to personnel, with other agencies/service providers, and among concerned populations.			

4	AWARENESS RAISING / TRAINING	A	B	C
A	The Code of Conduct including PSEA/SH principles (either a simplified or complete version) is displayed in all operational and office areas.			
B	The agency/office has distributed the Code of Conduct and PSEA/SH policies and guidelines, in English or translated versions, to all personnel.			
C	A manager is responsible for ensuring that a training strategy is being implemented to raise awareness of gender equality, SGBV, human rights, SEA/SH prevention and response, and the Code of Conduct among all personnel, in addition to procedures for reporting incidences, whether substantiated or not (including consultants, contractors, incentive staff, security guards, collaborators etc).			
D	Personnel who have direct contact with concerned populations receive more in depth training on causes and consequences of SGBV and SEA on a regular basis.			

5	REPORTING AND COMPLAINTS MECHANISMS	A	B	C
A	The agency/office has established, together with concerned populations, a confidential and safe SEA reporting system suitable for personnel and concerned populations.			
B	The agency/office has established policies, procedures and mechanisms to facilitate the reporting of SH by personnel, including, for example, a whistle blowing policy and staff grievance procedures.			
C	Mechanisms to facilitate anonymous SEA/SH complaints are available, e.g. complaints box / telephone hotline / email address.			
D	The agency/office raises awareness of its reporting, feedback and complaints mechanisms through public information campaigns			
E	Personnel who receive complaints are trained in how to handle complaints, including reception of feedback complaints and referrals to relevant response and support services, and other service providers of concern.			

DOCUMENT 5

PSEA SELF-AUDIT CHECKLIST

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

F	SOPs for complaint mechanisms stress the importance of confidentiality and data protection and are known and applied by all personnel, including ICT and other technical staff.			
G	The agency/office has a clear, updated and documented guideline on reporting cases to the investigative service.			
H	The agency/office promotes a culture and environment in which women, girls, men and boys from diverse backgrounds and with specific needs, such as people with disabilities, older people, LGBTI and people with low literacy, are listened to and respected as individuals.			
I	The agency/office provides regular feedback on complaints to concerned populations ensuring the inclusion women, girls, men and boys from diverse backgrounds and with specific needs, such as people with disabilities, older people, people with disabilities LGBTI and illiterate people			

6	RESPONSE	A	B	C
A	The Agency/office promotes the development of a culture, which ensures that reported abuses are immediately reported upwards and acted upon, ensuring that all confidential information is channelled correctly and handled with the utmost discretion			
B	Responses are 'survivor-centred', keeping the needs of the survivor at the forefront of any investigation process.			
C	The agency/office responds to reported cases according to their internal standard guidelines on complaints and investigation procedures and guidance related to SEA/SH and consulting with the PSEA Network as required. Regional/Country operation Child Protection & SGBV SOPs and IASC guidelines are also taken into account.			
D	The agency/office will coordinate investigations with other agencies when and if appropriate, in accordance with the agreed referral pathways.			
E	The agency/office has / or has access to a team of personnel (female and male) with the skills and expertise to investigate SEA and SH cases.			
F	The agency/office ensures that all cases are properly documented and followed up to ensure that the survivor receives the optimum support required through appropriate referral processes, this also includes availability of counselling services for personnel in the event of an incident of sexual harassment.			
G	Coordination with the authorities is carefully assessed in consideration of a survivor-centred approach, the agency's HR and administrative procedures and the applicable national laws.			

7	PREVENTION	A	B	C
A	The agency/office has its own Code of Conduct, which incorporates the six principles related to sexual exploitation and abuse[1] and commits to a **zero tolerance** policy on sexual exploitation and abuse, and sexual harassment.			
B	The agency/office has an action plan in place for mainstreaming PSEA/SH in all sectors and programmes using a participatory approach.			
C	Clear policies/guidelines are in place for concrete measures to prevent increased vulnerability of concerned populations and to minimize the risk of malicious/false allegations against personnel (i.e., regulations around number of personnel present in one space).			
D	Clear policies/guidelines are in place for qualification criteria to prioritize vulnerable individuals in the provision of basic services, which are strictly monitored.			
E	Budgets include PSEA/SH funding lines for promotional materials/trainings etc.			
F	The agency/office promotes regular interaction between concerned populations and senior personnel.			

1. As per the Secretary-General's Bulletin, Special Measures for protection from sexual exploitation and abuse which can be accessed at http://www.unhcr.org/405ac6614.html

DOCUMENT 5

PSEA SELF-AUDIT CHECKLIST

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

G	The agency/office ensures (or encourages) that all personnel complete* an on-line training on PSEA and SH, and that this is repeated on a regular basis.			

8	MONITORING AND EVALUATION	A	B	C
A	The agency/office has established safe and confidential procedures for monitoring incidences, to better identify trends and improve the assessment of programme risks.			
B	Regular programmatic monitoring and evaluation incorporates PSEA as a standing item.			
C	Regular consultations with concerned populations on service provision and delivery of assistance (distribution of commodities, health services, education, etc.) take place.			
D	Senior managers regularly visit the field, project sites.			
E	Senior managers analyse trends and ensure reporting to relevant investigative bodies of SEA/SH incidents.			

9	COMMUNITY AWARENESS RAISING	A	B	C
A	The agency/office has strengthened the mass information systems to ensure that all members of concerned populations, regardless of sex, age and diversity, receive information in appropriate forms to inform them that goods and services are their entitlement and do not require payment of any kind.			
B	The agency/office has disseminated the Code of Conduct amongst concerned populations, and community leaders can advise their communities on the Code / expected behaviours of personnel and the reporting mechanisms.			
C	The agency/office ensures that copies of the Code of Conduct, translated into local languages, are freely available to concerned populations.			
D	Information on complaints mechanisms are displayed prominently at service deliver and provision sites and translated into local languages.			
E	The agency/office ensures that field staff have the ability to promote and encourage standards of accountability and their Code of Conduct to concerned populations in their programmes.			

10	COORDINATION	A	B	C
A	A focal point at a senior level, and an alternate, have been appointed within the agency for the implementation / follow up of PSEA/SH activities. The focal point and senior management are committed to implementing SEA/SH inter-agency referral pathways.			
B	The agency/office has strengthened collaboration and coordination among all sectors and partners in addressing SEA/SH with an emphasis on the needs of survivors, e.g. case management, advocacy and emotional support.			
C	The PSEA focal point or her/his alternate attends regular coordination meetings with all actors to ensure a concerted effort in prevention and response to sexual exploitation and abuse, and sexual harassment.			

11	EXTERNAL/IMPLEMENTING PARTNERS	A	B	C
A	All contracts with external implementing partners or service providers (including transporters, warehouse staff, guards etc.) incorporate the core principles of the Code of Conduct, which includes PSEA/SH, as part of the agreement			
B	It is written into the contract that any violation of the Code of Conduct by that implementing partner can result in termination of the contract.			
C	All implementing partners are aware that they are responsible for ensuring the Code of Conduct is made known to concerned populations with whom they are working.			
D	All community-based organisations, partners and government officials participate in SEA/SH trainings offered by the agency/office.			

Self-Assessment[1]
Keeping Children Safe

Policy

The organisation develops a policy that describes how it is committed to preventing and responding appropriately to, harm to children.

1. The organisation has a written child safeguarding policy, approved by the relevant management body, to which all staff and associates (including partners) are required to adhere:
( ) In place
( ) Partially done
( ) Not in place

2. The UN Convention on the Rights of the Child and other Conventions and Guidelines pertaining to children informs the approach of the organisation:
( ) In place
( ) Partially done
( ) Not in place

3. The policy is written in a way that is clear, easily understandable and is publicised, promoted and distributed widely to all relevant stakeholders, including children:
( ) In place
( ) Partially done
( ) Not in place

4. The organisation is clear that all children have equal rights to protection, and that some children face particular risks and difficulties in getting help, because of their ethnicity, gender, age, religion or belief, disability, or sexual orientation:
( ) In place
( ) Partially done
( ) Not in place

5. The policy addresses safeguarding children from harm through misconduct by staff, associates and others, from poor practice, and from its operational activities where these may harm children or put them at risk due to poor design and/or delivery, for example:
( ) In place
( ) Partially done
( ) Not in place

[1] This self-assessment is available online at https://www.keepingchildrensafe.global/your-self-assessment/ and it was made into Word/Pdf documents by the CCIC PSEA Hub's team in April 2020.

6. The organisation makes clear that ultimate responsibility for ensuring the safety of children rests with senior executives (CEO and Directors) and managers:
( ) In place
( ) Partially done
( ) Not in place

People

The organisation places clear responsibilities and expectations on its people and supports them to understand and act in line with these.

1. There are written guidelines for behaviour (Code of Conduct) that provide guidance on appropriate/expected standards of behaviour of adults towards children and of children towards other children:
( ) In place
( ) Partially done
( ) Not in place

2. Recruitment processes have strong child safeguarding checks in place. Recruitment advertisements, interviews and contracts all outline a commitment to child safeguarding:
( ) In place
( ) Partially done
( ) Not in place

3. The organisation is open and aware that when it comes to child safeguarding matters, issues can be easily identified, raised and discussed. All members of staff, volunteers and associates have training on child safeguarding:
( ) In place
( ) Partially done
( ) Not in place

4. Children are made aware of their right to be safe from abuse, and are provided with advice and support on keeping themselves safe, including information for children, parents/carers about where to go:
( ) In place
( ) Partially done
( ) Not in place

5. The organisation designates key people at different levels (including at Director level) as "focal points" with clearly defined responsibilities, to champion, support and communicate on child safeguarding, and for effective operation of child safeguarding:
( ) In place
( ) Partially done
( ) Not in place

Procedures

The organisation creates a child safe environment through a systematic process of implementing child safeguarding procedures.

1. The organisation requires local mapping exercises to be carried out that analyse the legal, social welfare, and child protection arrangements in the contexts in which it works:
( ) In place
( ) Partially done
( ) Not in place

2. There is an appropriate process for reporting and responding to child protection incidents and concerns that fits with the local systems for dealing with incidents of child abuse (as identified in the mapping exercise):
( ) In place
( ) Partially done
( ) Not in place

3. The identification and mitigation of child safeguarding risks is incorporated into risk assessment processes at all levels, from identification of corporate risks through to planning an activity involving or impacting on children:
( ) In place
( ) Partially done
( ) Not in place

4. Adequate human and financial resources are made available to support development and implementation of child safeguarding measures:
( ) In place
( ) Partially done
( ) Not in place

5. There are clear procedures in place that provide step-by-step guidance on how to report safely which are linked to the organisation's disciplinary policy and procedures:
( ) In place
( ) Partially done
( ) Not in place

6. Child safeguards are integrated with, and actively managed into existing business processes and systems (strategic planning, budgeting, recruitment, programme cycle management, performance management, procurement, and so on) to ensure safeguarding children is a feature of all key aspects of operations:
( ) In place
( ) Partially done
( ) Not in place

Accountability

The organisation monitors and reviews its safeguarding measures.

1. Arrangements are in place to monitor compliance with, and implementation of, child safeguarding policies and procedures through specific measures and /or integration into existing systems for quality assurance, risk management, audit, monitoring and review:
( ) In place
( ) Partially done
( ) Not in place

2. There is a system of regular reporting to key management forums, including Director level, to track progress and performance on child safeguarding, including information on safeguarding issues and child protection cases:
( ) In place
( ) Partially done
( ) Not in place

3. External or independent bodies such as Boards of Trustees, oversight committees are used to monitor performance in this area and hold senior executives to account in relation to child safeguarding:
( ) In place
( ) Partially done
( ) Not in place

4. Opportunities exist for learning from practical case experience, and this to be fed back into organisational development:
( ) In place
( ) Partially done
( ) Not in place

5. Policies and practices are reviewed at regular intervals and formally evaluated every three years:
( ) In place
( ) Partially done
( ) Not in place

6. Progress, performance, and lessons learned are reported to key stakeholders (management forums and external or independent bodies where relevant) and included in your organisation's annual reports:
( ) In place
( ) Partially done
( ) Not in place

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TOOLKITSIFOR ADDRESSING PSEA

TOOLKITIF

EXAMPLES OF FEEDBACK FORMS

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F) EXAMPLES OF FEEDBACK FORMS

FOREWORD

This toolkit aims to provide your organization with feedback forms for the Prevention of Sexual Exploitation and Abuse (PSEA) programs. The two documents gathered here were produced by different organizations and have been selected among the Digna database. The documents are samples of feedback forms and might be used as examples for each organization to develop their own materials regarding PSEA.

The forms listed here regard different groups of people. The one developed by Inter-Agency Standing Committee (IASC) – document 1 in this toolkit – is related to the communication with the victim complainant, whereas the ones provided by Regional Safe Spaces Network | UNHCR – document 2 in this toolkit – regard broader groups of interested populations.

Digna is committed to provide your organization with clear and useful tools. We hope they will help your work while developing PSEA feedback forms that take into consideration both the survivors and the larger groups involved in the organizations' programs.

LIST OF DOCUMENTS

1

Feedback Form: Communicating with the Victim/Complainant – Inter-Agency Standing Committee (IASC), Global Standard Operating Procedures on Inter-Agency Cooperation in Community-Based Complaint Mechanisms, May 2016, Annex 4 pp. 106-108.

2

Feedback forms for consultation with concerned populations in PSEA and community-based 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, pp. 73-77.

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 process a disclosure (ANC 03-20: Breakout Session 5)

ANC = Annual National Conference

Generic Feedback Form
Communicating with the Victim/Complainant

Date complaint brought to CBCM: _____

Date of CBCM's first contact with victim/complainant: _____

Services:

Victim/complainant referred for assistance services? Yes / No

If Yes, which:

Security [date] ;
Medical [date] ;
Legal [date] ;
Mental Health / Psychosocial [date]

Information communicated to victim/complainant before being referred for assistance services: _____

_____

_____

_____

_____

_____

Information given by: [name; agency] Date: _____

Victim/complainant's reported satisfaction with referral and services provided: [date]

___Highly Satisfied

___Satisfied

___Could improve

___Not satisfied___

Additional comments: _____

_____

_____

_____

_____

_____

Referral to Agency:

Date CBCM referred complaint to agency: _____

Date CBCM notified victim/complainant: _____

Information communicated to victim/complainant at the time of allegation referral to investigating agency: _____

_____

_____

_____

_____

Information given by: [name; agency] Date: _____

Agency acknowledged receipt of allegation: [date / agency name]

Victim/complainant notified of receipt: _____ By Agency; _____ By CBCM;
Date: _____

Agency communications with victim/complainant (if known): [may include: When/ whether an investigation has commenced, or that the complaint was determined an insufficient basis to proceed; When the investigation concluded; The outcome of the Investigation] _____

_____

_____

_____

_____

_____

Victim/complainant reported satisfaction with complaint handling: [date]__

____Highly Satisfied

____Satisfied

____Could improve

____Not satisfied____

Additional comments: _____

_____

_____

_____

_____

Follow-up:

Any follow-up communications with the victim/complainant: [date] _____

_____

_____

_____

_____

_____

Information given by: [name; agency]

Any follow-up communications with the victim/complainant: [date] _____

_____

_____

_____

_____

_____

Information given by: [name; agency]

Any follow-up communications with the victim/complainant: [date] _____

_____

_____

_____

_____

_____

Information given by: [name; agency]

DOCUMENT 2

FEEDBACK FORMS FOR CONSULTATION WITH CONCERNED POPULATIONS IN PSEA AND COMMUNITY-BASED 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

TOOL A: INTRODUCTORY PARAGRAPH

** General guidance that should be contextualized and adapted to use as an introductory briefing for the consultation group.*

My name is _____ and this is my colleague _____ . I work for _____ and she/he works for _____ . [Introduce your role, your agency etc. if not known. Ask for names and any other basic information you would prefer].

We have invited you here today to ask for your feedback on how we can improve our services to you. We want to improve the ways we communication on important issues with you. And how we can set-up clear and confidential ways for you to raise any questions or concerns that you have about our work or about the way our personnel behave in their work and when delivering services.

There can sometimes be situations where personnel do not act in the way that is expected of them by their agency. Humanitarian workers, personnel and service providers have strict rules of behaviour which must be followed. [Using the IASC 6 Basic Standards for PSEA[2] clearly explain what the rules of behaviour/conduct are and what is prohibited by service providers. Explain that personnel are dismissed if they do no conduct in the right way or do wrong. This includes: any humiliating, degrading or exploitative behaviour; any form of exploitation and abuse (including sexual) of a member of the concerned population; sexual activity with children; any exchange of money, jobs, goods or services for sex or sexual favours; sexual relationships between personnel and concerned population. Explain that personnel are obliged to report any suspicions/incidents of wrong-doing by any personnel from any service provider. Explain rules of confidentiality are respected at all times].

We want to make sure that you have ways of communicating with service providers, which are best, safe and confidential for you. Your feedback is important to us, so that we set-up ways to communicate on these sensitive issues that will work best for you and in your situations. Our intention is to ensure that you can raise a concern or report incidents at any point to the most relevant personnel, and from any service provider, and that you receive a clear response safely and confidentially.

Your participation is completely voluntary and don't feel that you must answer questions that you are not happy to do so. We would like to have a general discussion and we will not ask for your specific stories or names. If at any time you would like to ask us something individually then please see either of us the end of the meeting.

Other than our discussion and the information that we will share with you regarding the issues we discuss, there are no other direct benefits related to this meeting.

We will keep this conversation confidential, and we will treat everything that you say today with respect, and we will only share the answers you give as general responses. We ask that you also keep everything confidential and private to this discussion in this space.

Is it ok if we take some notes to record the main points of our conversation?

We expect our discussion to last for at most an hour.

Do you have any questions before we begin?

2. *https://interagencystandingcommittee.org/principals/documents-public/iasc-six-core-principles-relating-sexual-exploitation-and-abuse-2002*

DOCUMENT 2

FEEDBACK FORMS FOR CONSULTATION WITH CONCERNED POPULATIONS IN PSEA AND COMMUNITY-BASED 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

TOOL B: GUIDING QUESTIONS AND RESPONSE FORM

* *Use form can be used to record feedback given during each consultation group.*

Country: _____ **Location of consultation:** _____

Date: _____ **Facilitators names:** _____

Type of group/persons (i.e. women, girls, men, boys, others, older people, age, leaders, people with diverse capacities and SOGI etc.): _____

Total Number of participants: women:____ men:____ girls:____ boys:____ others:____

Status of people (i.e. indigenous, refugees, IDP): _____

The following are guiding questions and facilitators may use different words adapted to the context and background of the population and community to dicuss the different topics:

GUIDING QUESTIONS	RESPONSES
First ask general questions to enquire about what service providers/agencies they have contact with and what services are being provided in their area. Ask a few general questions regarding they current situation to open up the conversation.	
Questions 1 - 11 relate to how people raise concerns or complaints about personnel to service providers:	
1. For you, what are the best / clearest ways that announcements are made, and information is shared with you by service providers about their work and the services? What works best and is clear for everyone? Examples: posters, face to face, radio, visual leaflets, through conversation etc.	
2. In what ways could communication materials /methods be made better, clearer for you in your current situation?	
3. **In terms of the provision of services:** What do you consider to be unfair/bad/not good provision of services in your experience? (explore what is expected from the services provided and of service providers)	
4. If you experience unfair/bad/not good service provision from a service provider, who would you raise a concern or submit a complaint to? (If people say that they wouldn't raise complaints it is important to explore a different word i.e. report, denouncement etc. that they relate to. You can use the next step of questions about how people raise issues within the community to facilitate a conversation on this)	
5. How do you expect service provider personnel to behave in their work with you and when providing services to you? (explore what behaviour is expected of personnel of service providers)	

DOCUMENT 2

FEEDBACK FORMS FOR CONSULTATION WITH CONCERNED POPULATIONS IN PSEA AND COMMUNITY-BASED 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

GUIDING QUESTIONS		RESPONSES
6. If you experienced a situation where personnel of service providers did not behave in this way and you experienced misconduct from service providers, what can you do, who would you raise a concern or submit a complaint to?		
7. Do you consider these ways to submit complaints to be confidential? Do you prefer to submit complaints in an anonymous way? If so, why?		
8. How would you prefer to submit a complaint to service providers in your area? Examples: in writing (complaint box, letter); face-to-face discussions; by phone; through another family member; through community gatherings; online tools; social networks; e-mail; Other ways, please explain		
9. What would you expect to happen upon the submission of the complaint?		
10. What would prevent you, or other people you know, from submitting a complaint to a service provider?		
11. Are there any safety and security risks for you or other members of the community who submit a complaint? Which ones?		
12. How would you prefer to receive feedback from service providers about your complaint? Examples: in writing (complaint box, letter); face-to-face discussions; by phone; through another family member; through community gatherings; online tools; social networks; e-mail; Other ways, please explain		
13. Who would you prefer to provide feedback/ respond to you about your complaint?		
14. What would you change in the current way that complaints are submitted and responded to by service providers?		
15. Are there any types of complaints that you would never recommend submitting to anybody?	If yes, which types of complaints and why?	
	If yes, what do you think that should be changed so that this type of complaints can also be submitted and responded?	

DOCUMENT 2

FEEDBACK FORMS FOR CONSULTATION WITH CONCERNED POPULATIONS IN PSEA AND COMMUNITY-BASED 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

GUIDING QUESTIONS		RESPONSES
15. Are there any types of complaints that you would never recommend submitting to anybody?	How and to whom would you prefer to submit this type of complaint?	
	How and by whom would you prefer to receive feedback to this type of complaint?	
16. If the person who receives the complaint is not able to help you, would you like your complaint to be referred to those who can deal with it upon your consent and with confidentiality? If yes, please explain why? If no, please explain why?		
17. In your view, what would be the best way to provide this referral?		
Question 18 - 22: these can be used to facilitate discussion about how people raise issues, concerns, complaints within their communities/groups		
18. Are there certain people within your group/ community/situation that you can best speak to or report issues you experience with service providers and personnel? Who are they, what is their role?		
19. How would they usually deal with these issues/reports made to them? What would you expect to happen?		
20. How do they normally give feedback to you about the issue or report made?		
21. Are there any barriers faced by people to raise issues and complaints about service providers within your community/group? If so, what are they? (Do they feel that it is confidential, how; do they feel that there would be retaliation, don't think anything would happen etc.)		
22. Are there ways that these barriers could be removed, so that people can more easily raise concerns or make a complaint about service providers and personnel?		
END • Tie-up the discussion and thank participants for their time. • Explain again that their feedback is confidential and explain how you are to use the information given.		

DOCUMENT 2

FEEDBACK FORMS FOR CONSULTATION WITH CONCERNED POPULATIONS IN PSEA AND COMMUNITY-BASED 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

TOOL C: CONSOLIDATED FEEDBACK FORM FOR PILOT COUNTRY

** This form can be used to consolidate and summarize feedback received from all the consultations with concerned population groups, in order to facilitate the analysis of the information gathered.*

Country: _____ **Location of consultation:** _____

Number of groups consulted: _____ **Number of individuals:** _____

Total numbers: F____ , M ____ , Girls ____ , Boys ____ , People with diverse SOGI _____
People with diverse capacities ____ , Youth ____ , Older people ____ , Key informant _____

Status of concerned populations: _____

GUIDING QUESTIONS	RESPONSES
1. What are the common words used for 'complaint'?	
2. What are the common risks people face within their groups/communities?	
3. What common issues are faced by service providers and personnel?	
4. What barriers do people face to raise issues and what are the preferred ways to raise issues and deal with complaints in their communities?	
5. What ways/mechanisms are known to people to raise a complaint about service provision or personnel to service providers?	
6. What are the preferred ways to submit a complaint to service providers?	
7. What are the preferred ways to receive feedback from service providers about complaints?	
8. What are the preferred ways that referrals could be made between service providers?	
9. What are the main risks/barriers faced by people to making a complaint to service providers?	
10. What are preferred communication methods?	

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TOOLKITSIFOR ADDRESSING PSEA

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EXAMPLES/OF/MONITORING SURVEYS///EVALUATION TOOLS

Global Affairs Canada
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CCIC CCCI

G) EXAMPLES OF MONITORING SURVEYS / EVALUATION TOOLS

FOREWORD

This toolkit aims to provide your organization with monitoring and evaluation tools for the development of programs on the Prevention of Sexual Exploitation and Abuse (PSEA). The five documents gathered here were developed by different organizations and have been selected among the Digna database. The documents are samples of monitoring surveys and evaluation tools, and might be used as examples for each organization to develop their own materials regarding PSEA.

The questionnaires listed here comprise a broad spectrum of monitoring procedures on PSEA. In addition, such documents present good practices for evaluation regarding both the organizations themselves and the ultimate beneficiaries of PSEA programs. In general, the surveys selected in this toolkit can be utilized separately or combined, and could be extended to reach both the organization and their partners.

Digna deems some documents as particularly useful for the development of organizations' evaluation tools. For example, the evaluation guides developed by the National GBV Task Force in Liberia – document 2 in this toolkit – exemplifies how to address both governmental and non-governmental agencies. In turn, the survey developed by the Committee for the Coordination of Services to Displaced Persons in Thailand (CCSDPT) – document 3 in this toolkit – comprises questions regarding not only knowledge on PSEA, but also attitudes and practices. For its part, the mapping survey from Regional Safe Spaces Network / UNHCR – document 5 in this toolkit – assesses the organization and maps their current measures on PSEA.

Digna is committed to provide your organization with clear and useful tools. We hope they will help your work while developing PSEA monitoring and evaluation tools.

LIST OF DOCUMENTS

1. **Monitoring Survey: Questionnaire** – Inter-Agency PSEA-CBCM Best Practice Guide, 2016, Annex 4, pp. 110-112.

2. **Evaluation Guides for Focus Group Discussion (With Community Members), for Interviews with Government Agencies, and for Interviews with NGOs/UN Agencies (Humanitarian Assistance Community)** – National GBV Task Force, Ministry of Gender and Development, Evaluation: National SEA Awareness Campaign, Liberia, 2008, pp. 31-36.

3. **Knowledge, Attitudes, and Practices (KAP) Survey** – Committee for the Coordination of Services to Displaced Persons in Thailand (CCSDPT), 2009.

4. **Beneficiary Based Consultation (BBC) Discussion Guide** – Humanitarian Accountability Partnership (HAP) International, To Complain or Not to Complain: Still the Question - Consultations with humanitarian aid beneficiaries on their perceptions of efforts to prevent and respond to sexual exploitation and abuse, 2008, pp. 56-57.

5. **PSEA Mapping Survey** – 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. 102-107.

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)
- to process a disclosure (ANC 03-20: Breakout Session 5)

ANC = Annual National Conference

Questionnaire:

Consent: Before proceeding; randomly select one eligible respondent from the selected household ("HH")

"My name is _____from [name of your organization]. I am collecting information related to sexual exploitation and abuse. I would like to talk to you about this, if you are comfortable discussing the issue. The interview will take about 10 minutes. All the information that you provide will remain strictly confidential.

May I start?"

[If permission is given, continue]

Name of the interviewer:

ANNEX 4

I. Background			
01	Date of interview [DD-MM-YYYY]		
02	Time of interview began [HH-MM]		
03	Time of interview ended [HH-MM]		
04	HH Number		
05	Geographical area		
06	Sex of the respondent	Female.... 1 Male 2	
07	Age of the respondent [Years] How old are you?		
08	How long have you lived in here?	Less than 6 months..... 1 > 6 months, but < 1 year..... 2 > 1 year, but below 2 years..... 3 2 years and above..... 4	

II. SEA knowledge			
09	Are you aware that humanitarian staff have standards of conduct?	Yes..... 1 No..... 2 I don't know.....3	
10	Do you know what Sexual Exploitation and Abuse is?	Yes..... 1 No..... 2 I don't know.....3	
11	Can you tell me an example of SEA? **(Do not read answer choices out loud; circle if they mention any of the following)**	Relations with beneficiaries under 18 years old Monetary benefits for sex Relations between students and teachers at school Relations with humanitarian aid worker at assistance setting Relations for benefit of Shelter Etc...	
12	Is this an issue that you are concerned about in this camp/community?		
13	If "Yes", what types of sexual exploitation and abuse incidents are you most concerned about in this community?		
14	Where do you think these cases of sexual exploitation and abuse can happen?	At school .....1 At market.....2 At home.....3 At food distribution centre.....4 At water points.....5 Any other place.....6	
15	What is your basic source of information on sexual exploitation and abuse-related issues in this camp?	Health facilities.....1 Women's centers.....2 Mass campaign sessions .....3 Electronic medias/ radios.....4 Through awareness creation....5 Others (specify).....6	
16	Have you participated in any awareness-raising events about SEA since you came to the village/area/ camp?	Yes.....1 No.....2 I don't know.....3	

ANNEX 4

III. SEA reporting			
17	If you suspect/witnessed/were subjected to sexual exploitation and abuse, what would you do? **(If the answer is "I don't Know", skip Q.18)**	Nothing.....1 I will report the case.....2 I don't know what to do.....3 Other (specify).....4	
18	Do you know where to report abuses? **(If the answer is No, skip Q.19)**	Yes.....1 No.....2	
19	If Yes, where / to whom?	Names of different organizations....1 Names a CBCM channel (specify)...2 Other(specify).....3	
20	Do you feel you have adequate knowledge of where and how to report sexual exploitation and abuse in this community?	Yes.....1 No.....2 I don't know.....3	

IV. SEA service delivery			
17	In your opinion do survivors of sexual exploitations and abuse get services/ support from any support service-giving organization?	Yes.....1 No.....2 I don't know.....3	
18	What services are available for survivors of sexual exploitation and abuse? **(Do not read answer choices out loud; circle if they mention any of the following)**	Medical.....1 Legal.....2 Safety/security.....3 Psychosocial..... 4 Material.....5	

ANNEX 4

Thank You!

II. Evaluation Tools

(A) GUIDE FOR FOCUS GROUP DISCUSSIONS

NATIONAL SEA AWARENESSCAMPAIGN
EVALUATION GUIDE FOR
FOCUS GROUP DISCUSSION

Target Groups: Community Members

Introduction:

Good morning / afternoon. My name is _____ an evaluation consultant hired by the GBV-Taskforce under the auspices of the UNDP. I am here to discuss about the SEA Campaign that was launched by the Liberian Government in collaboration with the humanitarian assistance community on December 4, 2006. These discussions are supposed to be held in six different counties in Liberia with different groups of people like you, the NGOs people, the UN Agencies and many other people.

The purpose of our discussion is to understand whether the reasons for the campaign was launched are met or not. So information gather from you people and others, will provide us the sense of what was done better and what could have been better.

So we need you honest and full participations not only to achieve purpose of the evaluation, but also make the campaign a success: create a conducive environment free of SEA and enable everyone (men, women, and children to live a dignity and freedom.

We thank for coming to talk to me. We should all observe confidentiality in whatever discussed. That means, whatever discussed should remain here and nothing should be personally counted against someone. Feel free and be honest in talking with me. I will be taking down notes or recording as we discuss; because I can't remember everything that people will say in the discussion. Do I have your permission to do so? OK thank!

We have a set of questions here that our discussion will base on. So before starting, do you need any clarification on my terms of reference?

Name of Group Discussed with: _____ **Date:** _____

Location: _____ **Time Started:** _____ **Time Ended:** _____

Facilitated By: _____

DOCUMENT 2

EVALUATION GUIDES FOR FOCUS GROUP DISCUSSION (WITH COMMUNITY MEMBERS), FOR INTERVIEWS WITH GOVERNMENT AGENCIES, AND FOR INTERVIEWS WITH NGOS/UN AGENCIES (HUMANITARIAN ASSISTANCE COMMUNITY)

NATIONAL GBV TASK FORCE, MINISTRY OF GENDER AND DEVELOPMENT,
EVALUATION: NATIONAL SEA AWARENESS CAMPAIGN, LIBERIA, 2008

QUESTIONS

1. Have you heard about SEA? Yes / / No / /

(a) If yes, what have you heard about SEA

2. What's in your own mind, do you consider as acts of SEA or not?

3. Are you aware of SEA in this community? Yes / / No / /

(a) If yes, how does it happen?

(b) Who are the main perpetrators?

(4.) What specific thing do they use as means of exploitation?

5. How SEA affects:

(a) The survivor?

(b) The perpetrator; and

(c) The you community

6. If you are aware about issue SEA, What do you do?

7. When you sometimes you report SEA, what the reactions of the authority to your report?

8. What will you like to see happening to people who commit SEA?

9. Are you aware that organizations working in your community have rules and regulation governing their activities? Yes / / No / /

10. Are you aware of the SEA campaign launched by the GBV Task force: the Liberian Government in collaboration with humanitarian assistant community in 2006? Yes / / No / /

11. Was the campaign effective or helpful in preventing SEA? Yes / / No / /

(a) If yes, what was most helpful about it?

(b) If no, what could have been better?

(B) GUIDE FOR INTERVIEWS WITH GOVRNMENT AGENCIES

SEA CAMPAIGN EVALUATION
GUIDE FOR
INTERVIEWS

Target Groups: Government Ministries and Agencies

Introduction:

Good morning / afternoon. My name is _____ an evaluation consultant Hired by the GBV-Taskforce under auspices of the UNDP. I am here to evaluate SEA Campaign that was launched by the Liberian Government in collaboration with the humanitarian assistance community on December 4, 2006. This interview will be held in six counties with the prominent stakeholders who include: NGO staff, the UN Agency staff, local authorities, and other well-known community members.

The purpose e of this interview is to evaluate the effectiveness and impact of the SEA campaign as relates to its overall goal and intended objectives. Information obtains from you, will provide us the sense of what was done better and what could have been better.

Strictly confidentiality is important and therefore; will be observed in whatever discussed. Feel free and be honest in talking with me. I will be taking down notes recording as we discuss; because I can't remember everything that people will say in the discussion. Do I have your permission to do so? OK thanks!

We have a set of questions here that our discussion will base on. So before we start, do you need any clarification about my terms of reference?

Name of Group Discussed with: _____ **Date:** _____

Location: _____ **Time Started:** _____ **Time Ended:** _____

Facilitated By: _____

Questions for Government Ministries / Agencies

1. Are you aware of the SEA campaign launched by the GBV Task force: the Liberian Government in collaboration with humanitarian assistant community in 2006? Yes / / No / /

2. Is your ministry / agency member of the GBV- Taskforce in Liberia? Yes / / No / /

3. Have you heard about SEA? Yes / / No / /

(a) If yes, what have you heard about SEA?

b. What does it mean to you?

3. Are you aware of any occurred incidence of SEA in institution? Yes / / No / /

(a) If yes, can you give examples of incidents?

(b) Who are the main perpetrators?

4. Is your organization involved in activities to prevent SEA? Yes / / No / /

5. What action does your agency take in respect to SEA?

6. Does your institution have specific rules or COC to prevent SEA? Yes / / No / /

7. Was the campaign effective or helpful in the prevention of SEA? Yes/ / No / /

(a) If yes what is most helpful about it?

8. What was least helpful?

(a) How could it be improved?

9. Since the launching of the campaign what specific activities are you under taking to continue public awareness on the issues of SEA in your institution of work?

(C) GUIDE FOR INTERVIEWS WITH NGOS/UN AGENCIES

NATIONAL SEA AWARENESSCAMPAIGN
EVALUATION GUIDE FOR
INTERVIEWS

Target Groups: Humanitarian Assistance Community

Introduction:

Good morning / afternoon. My name is _____ an evaluation consultant hired by the GBV-Taskforce under the auspices of the UNDP. I am here to evaluate the National SEA Campaign awareness that was launched by the Liberian Government in collaboration with the humanitarian assistance community on December 4, 2006. This interview will be held in six counties with the prominent stakeholders who include: NGO staff, the UN Agency staff, local authorities, and other well-known community members.

The purpose of this interview is to evaluate the effectiveness and impact of the SEA campaign as relates to its overall goals intended objectives. Information obtains from you, will provide us the sense of what was done better and what could have been done better.

Strictly confidentiality is important and therefore; will be observed in whatever discussed. Feel free and be honest in talking with me. I will be taking down notes or recording as we discuss; because I can't remember everything that people will say in the discussion. Do I have your permission to do so? OK thanks!

Do you need any clarification of my terms of reference before we proceed?

Name of Group Discussed with: _____ **Date:** _____

Location: _____ **Time Started:** _____ **Time Ended:** _____

Facilitated By: _____

DOCUMENT 2

EVALUATION GUIDES FOR FOCUS GROUP DISCUSSION (WITH COMMUNITY MEMBERS), FOR INTERVIEWS WITH GOVERNMENT AGENCIES, AND FOR INTERVIEWS WITH NGOS/UN AGENCIES (HUMANITARIAN ASSISTANCE COMMUNITY)

NATIONAL GBV TASK FORCE, MINISTRY OF GENDER AND DEVELOPMENT,
EVALUATION: NATIONAL SEA AWARENESS CAMPAIGN, LIBERIA, 2008

QUESTIONS FOR NGOS

1. Is your organization involved in activities that prevent SEA?

(a) If yes, what specific activities?

2. Are you aware of the SEA campaign launched by the Government of Liberia in collaboration with the humanitarian community in 2006?

(a) If yes, what specific role did your organization play in the launching?

3. Was the campaign effective or helpful in the prevention of SEA? Yes / / No / /

(a) If yes what is most helpful about it?

(b) How could be improved?

4. What changes (positive or negative) have occurred in your dealing with the issue of SEA since the campaign was launched?

5. How does SEA affect your organization?

6. What specific steps does your organization take against staff who commit SEA?

7. Since the launching of the campaign what specific activities are you under taking to continue raising public aware on the issues of SEA in your community of work?

8. Are you aware of reporting mechanisms for SEA?

9. How do you monitor SEA incidence?

10. What would you recommend as successful means of preventing SEA in Liberia?

DOCUMENT 3

KNOWLEDGE, ATTITUDES, AND PRACTICES (KAP) SURVEY

SAMPLE PROVIDED BY COMMITTEE FOR THE COORDINATION OF SERVICES TO DISPLACED PERSONS IN THAILAND (CCSDPT), 2009

Preventing Sexual Abuse and Exploitation

KAP Survey

Camp	
Gender of respondent	
Location of interview	

1. **What is your age?**
   a. 15 to 17
   b. 18 to 26
   c. 27 to 40
   d. 40 to 60
   e. 61 +

2. **When did you arrive in this camp?**
   a. 0 to 1 year ago
   b. 2-3 years ago
   c. 4-5 years ago
   d. 6-10 years ago
   e. More than 10 years ago

3. **Which ethnic group do you belong to?**
   a. Kayah
   b. Kayan
   c. Kayaw
   d. Karen
   e. Karenni
   f. Burmese
   g. Shan
   h. Pa-o
   i. Chin
   j. Mon
   k. Rohingya
   l. Other: _____

4. **What is your marital status?**
   a. Single
   b. Married, spouse living in camp
   c. Married, spouse living outside camp
   d. Divorced or separated
   e. Spouse died

f. Boyfriend/girlfriend

5. **At the moment, do you have a job in the camp?**
   a. Yes
   b. No

6. **If yes, my job is:** _____

Please choose one answer to the next four questions about what sexual abuse and exploitation is.

7. **Sexual abuse and exploitation by humanitarian workers is:**
   a. A violent argument between a refugee wife and her husband
   b. An NGO worker who gives rations, clothes, ration cards or other things that refugees need in exchange for sex with a refugee

8. **Sexual abuse and exploitation by humanitarian workers is:**
   a. When a refugee man forces another refugee to have sex.
   b. When a refugee who works for a NGO uses his or her power as an NGO worker to force another refugee to have sex.

9. **Sexual abuse and exploitation by humanitarian workers is:**
   a. A neighbor who asks a refugee child to undress and abuses him or her.
   b. An Or Sorr who rapes a refugee woman.

10. **Sexual abuse and exploitation by humanitarian worker is:**
    a. A resettlement officer who helps a refugee in the resettlement process if that refugee agrees to have sex with that officer.
    b. A male refugee who hits and beats a refugee woman

11. **The people most likely to sexually abuse or exploit a refugee are:**
    a. Or Sors
    b. Thai military
    c. Thai Police
    d. Camp leadership
    e. Outside NGO workers
    f. Camp-based (refugee) NGO staff
    g. Camp security
    h. UNHCR staff
    i. Teachers employed by an NGO
    j. Other: _____

12. **Who is most likely to be asked for sexual favours from aid workers?**

    a. Young women in the communities

b. All women living here
c. Widowed, separated or single women or mothers
d. Children
e. Men
f. Other (please indicate)

Do you agree with the following statements?

13. Have you heard of humanitarian workers sexually abusing or sexually exploiting refugees in the camp?
a. Yes
b. No

14. Have you heard of the PSAE project before?
a. Yes
b. No

15. Food, clothes, living materials, medical care, education, or any other help provided to refugees are free. As refugees, we are able to obtain these without sexual threats or being asked to do something sexual.
a. Yes
b. No

16. Someone I know has been asked by Or Sors, NGO workers, incentive-staff or other humanitarian workers, to do something sexual.
a. Yes
b. No

17. The NGOs who work in the camp have a policy about what their staff can and can not do with refugees, especially in relation to sexual relationships.
a. Yes
b. No
c. I don't know.

18. The Or Sors and Thai military personnel who work in the camps have a policy about what their staff can and can not do with refugees, specifically in relation to sexual relationships.
a. Yes
b. No
c. I don't know.

19. Every person employed by an NGO must sign and follow a Code of Conduct which says that exchanging food, clothes, medicine or any other kind of help for sex is not acceptable.

a. Yes
b. No
c. I don't know

20. If a humanitarian worker sexually abuses a refugee, I can report it:
a. Yes
b. No
c. I don't know

21. I know where to report sexual abuse and exploitation of a refugee:
a. Yes
b. No
c. I don't know

22. Do you think sexual abuse and exploitation is a big problem in this camp?
a. Yes
b. No
c. I don't know.

Please choose one answer for the next six questions:

23. For me the best way to report sexual abuse and exploitation by humanitarian workers is by:
a. Speaking with someone from the Camp Committee
b. Speaking with someone from NGO where the perpetrator works
c. At a health center
d. At the GBV committee center
e. Writing what happened on a piece of paper and putting that piece of paper in a complaints box at the NGO in question
f. Writing what happened on a piece of paper and putting that piece of paper in a complaints box another NGO
g. Speaking with an UNHCR representative
h. Going to the Legal Assistance Center (LAC)
i. Other: _____

24. I think reporting sexual abuse and exploitation of refugees by humanitarian staff is:
a. Easy
b. Difficult
c. Impossible
d. Leads to problems in the camp

25. Why do you think sexual abuse and exploitation occurs?
a. Women here are attractive

b. Aid workers don't live here with their families
c. Everyone who has power over someone else will exploit someone else
d. Refugees have no control over their situation and must rely on aid agencies for everything
e. SAE doesn't occur here
f. Other (please indicate)

26. Giving a community member extra food, goods or any other advantages if he/she agrees to have sex with an aid worker is not wrong as long as both agree to do it.

a. I agree
b. I disagree
c. I don't know

27. What do you think about someone who agrees to have sex with an aid worker in exchange for food?

a. It's her own fault
b. She is a bad influence for our community
c. She agreed to it so she can't blame the man
d. I don't want any contact with her
e. I would try to console and support her
f. Other (please indicate)

28. Is it necessary to have a project or a program to combat sexual abuse and exploitation by humanitarian workers inside the camp?

a. Yes
b. No

29. Please make any other comments about sexual abuse and exploitation in the camps.

Beneficiary Based Consultation (BBC)

Discussion Guide for Groups and Individuals in (insert country or camp name)[71]

INTRODUCTION

- (give name) I am a researcher with the Humanitarian Accountability Partnership, or "HAP." HAP is an NGO in the country of Switzerland. Through training, HAP helps aid agencies build their capacity to prevent and respond to exploitation and abuse of beneficiaries by their staff.
- HAP *is independent* and does not provide health, education, food or other services to refugees or other populations affected by humanitarian crises

In other situations, we have heard about…

- An aid worker distributing food rations asks young girls to go off with them in exchange for extra food.
- A resettlement registrar tells a refugee that if she's his girlfriend, her resettlement will go more quickly than others ahead of her. *(Aid workers are foreign, national or local staff. They include salaried, incentive or volunteer workers--anyone giving goods/services in (insert country or camp name).* *
  - We're here to learn more about sexual exploitation and abuse reporting/responses from you.
  - We're not here to collect information on specific cases.
  - *Why do we want to know?* Your feedback will help HAP and aid agencies improve their work. Information we learn will be included in a report which will be completed by March 2008.
  - If you choose to talk with us, our discussion will take around an hour.
  - We won't write down or use your name. Whatever you say to us is confidential.
  - We'll repeat key points at the end of this discussion to be sure we've clearly understood your opinions/experiences
  - If you don't want to talk to us or become uncomfortable with this discussion, it is okay to leave at *any time*.
  - Are you willing to participate? May I have your permission to begin?

* *Note: The BBC researchers found it helpful to come up with a list of possible SEA scenarios with translators and keep using them to illustrate and explain SEA if a discussion group got stuck.*

1. We talked about… (*offer other SEA examples*) Do similar problems happen here? Is SEA a concern for you? If so, how could/do aid workers sexually abuse beneficiaries?

2. In what ways do aid agencies stop sexual exploitation and abuse by their staff and volunteers? Do you think their prevention efforts work? Why or why not?

3. Have aid organizations asked you and your community how SEA by aid workers or volunteers should be prevented? When? How have aid organisations acted on your suggestions?

[71] December 2007 version.

DOCUMENT 4

BENEFICIARY BASED CONSULTATION (BBC) DISCUSSION GUIDE

HUMANITARIAN ACCOUNTABILITY PARTNERSHIP (HAP) INTERNATIONAL, TO COMPLAIN OR NOT TO COMPLAIN: STILL THE QUESTION - CONSULTATIONS WITH HUMANITARIAN AID BENEFICIARIES ON THEIR PERCEPTIONS OF EFFORTS TO PREVENT AND RESPOND TO SEXUAL EXPLOITATION AND ABUSE, 2008

4. If you were concerned about sexual abuse or exploitation by an aid worker, would you report it? If yes, ask how would you report it? How and to whom would you report the problem?

5. Do you know of anyone who has complained about sexual abuse or exploitation by an aid worker? What happened? Was the person who had the problem given emergency assistance such as medical care, counseling or moving them for their own protection?

6. Have you ever heard about any investigations into SEA related misconduct by an aid worker?

7. What were the results of the investigation? What did you think of the results? How were they shared with your community?

8. Has the risk/potential for sexual abuse or exploitation changed in any way since you have been receiving assistance? How?

9. Do you feel safer as a result of NGO efforts to prevent and respond to SEA? How? What has changed?

10. How should SEA prevention and response by aid agency staff of beneficiaries be improved?

11. Is there anything else you would like to add on this topic that I have not already asked you about?

DOCUMENT 5

PSEA MAPPING SURVEY

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

TOOL 9
PSEA/SH MAPPING SURVEY

https://enketo.unhcr.org/x/#sfoZIv2u

NOTE

This survey can be used as an online survey (e.g. survey monkey) or through a questionnaire format, depending on how many offices, or personnel, it aims to cover. It should be compiled by the most relevant and appropriate representative, manager or PSEA Focal Points of the agency in consultation with relevant colleagues for specific areas of enquiry.

The objective of this survey can be used to update information and map-out the current measures that are in operation to prevent and respond to Sexual Exploitation and Abuse (SEA) against concerned populations, and Sexual Harassment (SH) in the workplace. The information gathered from the results of the survey can be used to support the development of an agency's systems and regional, country and operational community-based complaint mechanisms, and inter-agency and cross-border referral mechanisms in the Americas region.

Please take into consideration when completing this survey, the activities of your agency, office and partners you work with in your area of operation and programmes.

1. Please insert the name of the office

2. Please enter the name of staff member completing survey information for your office

3. Please select the coordination groups that the office is a member of at the national level?

- ☐ Regional Interagency Coordination Platform for Refugees and Migrants
- ☐ PSEA Focal Point Network
- ☐ Regional Safe Spaces Network
- ☐ Protection Working Group
- ☐ Sexual and Gender-based violence sub-working group
- ☐ Child protection sub-working group
- ☐ Inter-Sector Working Group
- ☐ UNDGLAC: Gender Group
- ☐ UNDGLAC: Protection
- ☐ UNDGLAC: Youth
- ☐ UNDGLAC: SGDs
- ☐ Other, *please indicate.*

4. How many partners do you work with in your area of operation?

☐ 0-5 ☐ 6-10 ☐ 10+ | List name of partners

DOCUMENT 5

PSEA MAPPING SURVEY

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

** (Following Points I – IV are based on the IASC PSEA Pillars and SOPs AND the UNHCR Emergency Handbook on PSEA)*

I. MANAGEMENT AND COORDINATION
Effective policy development and implementation
5. Have all staff been given a copy of the Secretary-General's Bulletin, especially new staff appointed in emergencies?
☐ YES ☐ NO
6. Have all staff been given a copy of the IASC Six Core Principles related to PSEA/SH?
☐ YES ☐ NO
7. Has any communication / refresher information / reaffirmation of your agency's Code of Conduct and PSEA / SH commitments been given to staff within the past year
☐ YES ☐ NO
8. Have staff received any training on PSEA and SH in your office in the past year?
☐ YES ☐ NO
9. Has your agency's relevant policies i.e. Policy on Discrimination, Harassment, Sexual Harassment and Abuse of Authority been disseminated to all staff?
☐ YES ☐ NO
Cooperative Arrangements
10. Is your Code of Conduct, including PSEA / SH, written into all implementing/cooperative partner agreements?
☐ YES ☐ NO
11. Are all partners made aware of your agency's commitments to PSEA/SH?
☐ YES ☐ NO
12. When selecting suppliers/vendors does your agency ask for information on the standards of behviour/conduct it expects from its personnel?
☐ YES ☐ NO
13. When contracting suppliers/vendors in your operation is PSEA / SH included in contracts?
☐ YES ☐ NO
A dedicated department/focal point is committed to PSEA among personnel
14. Does your office currently have an appointed PSEA Focal Point and Alternate?
☐ YES *(Names, title, email address, phone number)* ☐ NO
15. Do partners in your area of operation have PSEA Focal Points?
☐ YES ☐ NO
16. Does your office have a PSEA action plan in place?
☐ YES ☐ NO

DOCUMENT 5

PSEA MAPPING SURVEY

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

17. Has the PSEA Focal Point, or an alternative staff member, conducted any PSEA / SH awareness-raising sessions with:

- ☐ Staff
- ☐ Partners
- ☐ Communities / concerned populations
- ☐ Government counterparts
- ☐ None

18. Has your office provided support to partners on establishing PSEA systems:

- ☐ Training on PESA
- ☐ Training on setting up community-based complaint mechanisms
- ☐ Any other *please specify*

19. What specific challenges to establishing PSEA systems does your office have?

20. What specific challenges to establishing PSEA systems do partners have?

21. Have SEA / SH risks been analysed in your area of operation and activities?

☐ YES ☐ NO

II. ENGAGEMENT WITH AND SUPPORT OF LOCAL COMMUNITY POPULATION

Effective and comprehensive communication from head office to field offices on expectations regarding raising awareness on PSEA with concerned populations

22. Have any communication or awareness raising campaigns for concerned populations/ communities on PSEA been implemented in your area of operation (by you or partners)?

☐ YES *(please provide details)*

☐ NO

Effective community-based complaint mechanisms

23. Are complaint mechanisms available to concerned populations and communities in your operations / programmes?

☐ YES ☐ NO ☐ To some degree

24. Are these mechanisms functioning systematically?

☐ YES ☐ NO ☐ To some degree

25. What key challenges are faced in your operations to setting-up community -based complaint mechanisms?

DOCUMENT 5

PSEA MAPPING SURVEY

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

26. Are the complaint mechanisms coordinated between your agency and other service providers, partners in your programme and operational area?

☐ YES *(please provide details)*

☐ NO *(please give reasons why)*

27. Are the complaint-mechanisms developed and implemented in consultation with concerned populations and communities?

☐ YES ☐ NO

28. Which of the complaint mechanisms below are operational in your programme and operational area?

☐ Programmatic/operational complaint mechanism
☐ SEA & misconduct complaint mechanism
☐ Integrated SEA/programmatic/operation related complaint mechanism
☐ Other, *please specify*

29. In which offices (head, field, sub offices) do you implement complaint mechanisms to receive programmatic/operational complaints?

30. Which of the below tools do you use to receive programmatic/operational complaints?

☐ Complaint box
☐ Hotline
☐ E-mail
☐ Community Volunteers/Focal Points
☐ Community Gatherings/Meetings with the community
☐ Protection monitoring
☐ Outreach
☐ Other, *please specify*

31. How do you provide feedback to concerned populations / communities on programmatic/ operational complaints?

a. After processing the complaint in accordance to internal procedures:

☐ By phone
☐ By e-mail
☐ Individual counselling
☐ Through Community Volunteers/Focal Points
☐ Through Community Gatherings/meetings with the community
☐ During protection monitoring
☐ During outreach
☐ Other, *please specify*

DOCUMENT 5

PSEA MAPPING SURVEY

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

b. On the spot:

- ☐ By phone
- ☐ By e-mail
- ☐ Individual counselling
- ☐ Through Community Volunteers/Focal Points
- ☐ Through Community Gatherings/meetings with the community
- ☐ During protection monitoring
- ☐ During outreach
- ☐ Other, *please specify*

32. In which field offices do you implement complaint mechanisms to receive SEA/misconduct?

33. Which of the below tools are used to receive SEA/misconduct complaints?

- ☐ Complaint box
- ☐ Hotline
- ☐ E-mail
- ☐ Community Volunteers/Focal Points
- ☐ Community Gatherings/Meetings with the community
- ☐ Protection monitoring
- ☐ Outreach
- ☐ Other, *please specify*

34. How do you provide feedback to concerned populations/communities on programmatic/ operational complaints?

a. After processing the complaint in accordance to internal procedures:

- ☐ By phone
- ☐ By e-mail
- ☐ Individual counselling
- ☐ Through Community Volunteers/Focal Points
- ☐ Through Community Gatherings/meetings with the community
- ☐ During protection monitoring
- ☐ During outreach
- ☐ Other, *please specify*

b. On the spot:

- ☐ By phone
- ☐ By e-mail
- ☐ Individual counselling
- ☐ Through Community Volunteers/Focal Points
- ☐ Through Community Gatherings/meetings with the community
- ☐ During protection monitoring
- ☐ During outreach
- ☐ Other, *please specify*

35. Which methods are most used by concerned populations/communities to make programmatic/ operational complaints?

36. Which methods are most used by concerned populations/communities to make SEA/misconduct complaints?

III. PREVENTION

Effective recruitment and performance management

37. Does your agency and office have appropriate recruitment and performance management systems in place to prevent SEA/SH?

☐ YES ☐ NO

38. Does your agency have a Whistle Blowing policy, Sexual Harassment Policy and Grievance procedures in place?

☐ YES
☐ NO, *descibe gaps*

IV. RESPONSE

Internal complaints and investigation procedures are in place

39. Are all staff in your office/operation clear on mandatory reporting requirements, how to report incidents and what to expect?

☐ YES
☐ NO, *please explain what is required?*

40. Are staff informed about how they can address grievances within the agency?

☐ YES ☐ NO

41. Are there inter-agency complaint referral mechanisms being implemented for SEA/misconduct complaints?

☐ YES ☐ NO

42. Do partners have **programmatic/operational** complaint-referrals investigation mechanisms?

☐ YES *(please give examples)*

☐ NO

43. Do partners have **SEA/misconduct** complaint-referrals investigation mechanisms?

☐ YES *(please give examples)*

☐ NO

digna
PSEA/PEAS

TOOLKIT SI FOR ADDRESSING PSEA

TOOLKIT TIH

EXAMPLES OF VISUALS

Global Affairs Canada
Affaires mondiales Canada
CCIC CCCI

H) EXAMPLES OF VISUALS

FOREWORD

This toolkit aims to provide your organization with examples of visuals to help the development of programs on the Prevention of Sexual Exploitation and Abuse (PSEA). The four documents gathered here were developed by different organizations and have been selected among the Digna database. The documents are samples of visual information materials, and might be used as examples for each organization to develop their own visually-friendly documents regarding PSEA.

Digna deems some documents as particularly useful for the development of organizations' visuals. For example, the poster produced by Concern Worldwide Rwanda – document 1 in this toolkit – shows how a summarized set of information can be easily and collectively produced alongside interested groups of people.

In turn, the materials produced by Regional Safe Spaces Network / UNHCR, – document 3 in this toolkit – exemplify how to merge organizations' procedures in printable documents to be readily available.

Digna is committed to provide your organization with clear and useful tools. We hope they will help your work while developing visually-friendly information materials on PSEA.

LIST OF DOCUMENTS

1. **Program Participant Protection Policy: Poster** – Concern Worldwide Rwanda, 2000.

2. **Booklet to raise awareness about Program Participants Protection Policy (P4)**. – Concern Worldwide Ethiopia, Booklet aimed at explaining the organizational Program Participants Protection Policy to community members, 2000.

3. **Visual information materials on PSEA reporting** – 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. 93-94.

4. **Suggestions for communicating safeguarding messages** – Save the Children, Safeguarding in Emergencies Toolkit, 2019, p. 35.

USEFUL:

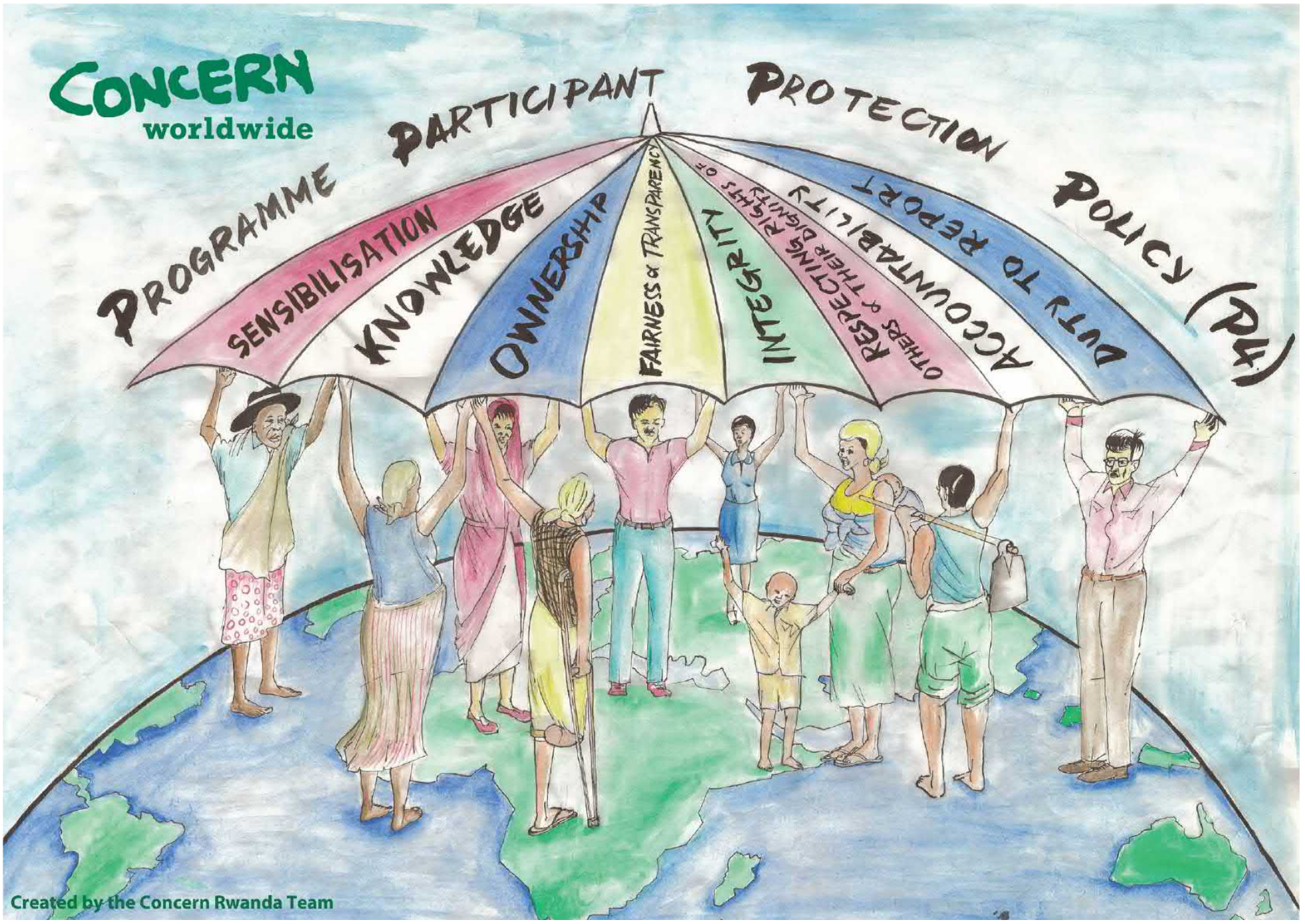
- to develop a PSEA Policy and Code of Conduct (ANC 03-20: Breakout Session 2)
- to reach partners and beneficiaries (ANC 03-20: Breakout Session 3)

ANC = Annual National Conference

DOCUMENT 1

PROGRAM PARTICIPANT PROTECTION POLICY: POSTER

CONCERN WORLDWIDE RWANDA, 2000



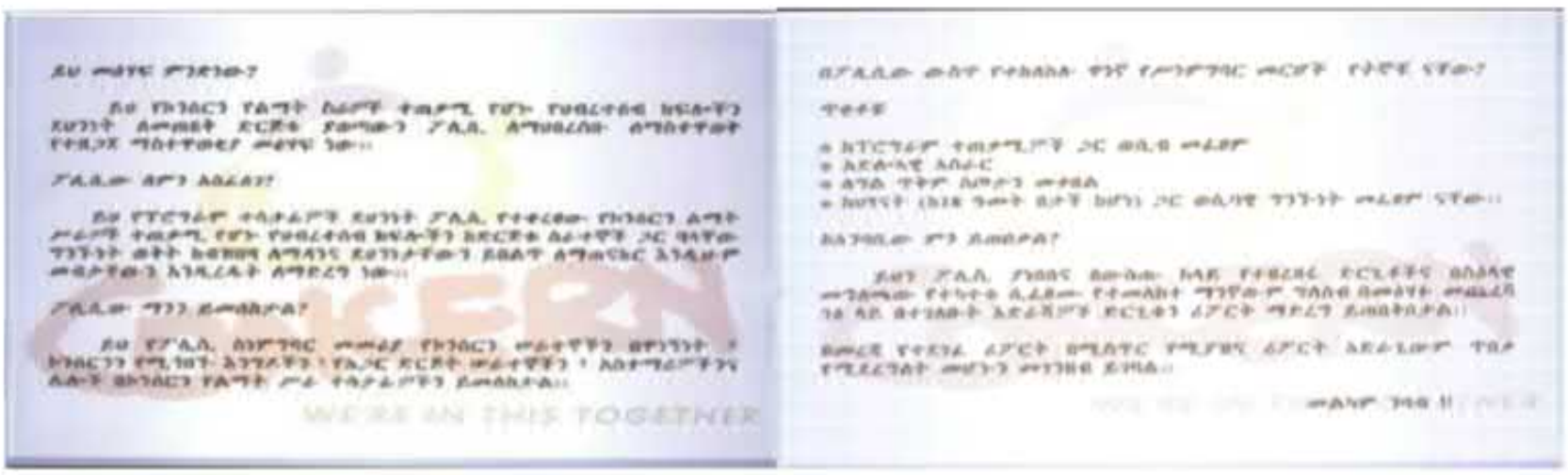
DOCUMENT 2

BOOKLET TO RAISE AWARENESS ABOUT P4

CONCERN WORLDWIDE ETHIOPIA, BOOKLET AIMED AT EXPLAINING THE ORGANIZATIONAL PROGRAMME PARTICIPANTS PROTECTION POLICY TO COMMUNITY MEMBERS, 2000

Scanned copy of Concern Worldwide Ethiopia's booklet aimed at explaining the organisational Programme Participants Protection Policy to community members – *translation from Amharic to English is shown below each scanned page.*

Concern Ethiopia
Program Participant Protection Policy
A booklet prepared to raise the awareness of beneficiaries about the P4
June 2000 /Ethiopian Calendar



What is this booklet?
This booklet is an educational material designed to make concern development program beneficiaries aware about the program protection policy of the organization.

Why the policy?
Concern's Programme Participant Protection Policy has been developed to ensure the maximum protection of programme participants from exploitation and to clarify the responsibilities of Concern staff and the standards of behaviour expected of them.

Who is the policy applicable on?
This policy is applicable principally on Concern employees, visitors, partner organizations and their employees, teachers and others who are involved in Concern's development and relief work.

Which are the principal conducts the policy categorizes as inappropriate behaviour?
Some are:

- *Sexual relationship with program beneficiaries*
- *Discrimination*
- *Soliciting personal gifts*
- *Sexual relationships with children (a person under the age of 18)*

What is expected of the reader?
Any one who has read this document and witnessed a violation of the codes of conducts discussed in the booklet and depicted in the drawings has a responsibility of reporting the violation using the addresses indicated at the back of this booklet.

Reports of violations supported by evidence will be handled confidentially and protection to the witness will be extended.

Enjoy reading!

DOCUMENT 2

BOOKLET TO RAISE AWARENESS ABOUT P4

CONCERN WORLDWIDE ETHIOPIA, BOOKLET AIMED AT EXPLAINING THE ORGANIZATIONAL PROGRAMME PARTICIPANTS PROTECTION POLICY TO COMMUNITY MEMBERS, 2000

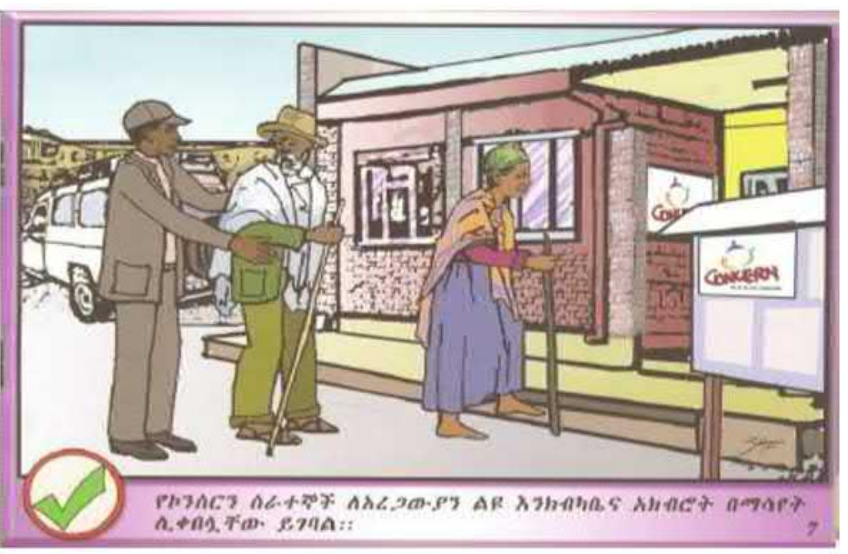
Awarding goods that are due to programme participants for other parties in order to obtain payments for personal benefit is highly prohibited.

Goods from the organisation must be distributed in public by holding discussions with program participants.

Any threatened or actual act of physical harassment against women is highly prohibited.

Women have the right to be equally treated, contribute to and benefit from the organisation's programs.

Any act of discrimination against the elderly is prohibited.



Concern's employees must demonstrate and extend special care and respect for the elderly.

DOCUMENT 2

BOOKLET TO RAISE AWARENESS ABOUT P4

CONCERN WORLDWIDE ETHIOPIA, BOOKLET AIMED AT EXPLAINING THE ORGANIZATIONAL PROGRAMME PARTICIPANTS PROTECTION POLICY TO COMMUNITY MEMBERS, 2000

Hampering the participation of the disabled in programs is prohibited.

Disabled people have the right to become equal program participants like any other member of the society.

Abusing position of responsibility to engage in sexual harassment against women contravenes Concern's Code of Conduct.

Concern employees should not, under any circumstances, accept sexual favours victimizing women as negotiating ground for obtaining personal benefits.

Sexual activity between a Concern staff member and a child is prohibited.

Teachers are responsible for nurturing children with full care without discrimination.

DOCUMENT 2

BOOKLET TO RAISE AWARENESS ABOUT P4

CONCERN WORLDWIDE ETHIOPIA, BOOKLET AIMED AT EXPLAINING THE ORGANIZATIONAL PROGRAMME PARTICIPANTS PROTECTION POLICY TO COMMUNITY MEMBERS, 2000

If you seek additional information on the P4 and other related issues please contact

Mrs Hiwot Emishaw ,
Addis Ababa Head Office
Telephone: 0116 611730 /extension 243/

Wolaita Sodo office
Zelalem Mengistu
Telephone : 046 5512427

Wollo Kombolcha office
Miss zehara Said
Telephone: 033 5510298/ 033 5511906

Or write to

Concern Ethiopia
P.O.Box: 2434
Addis Ababa

You can also visit the Concern office near you.

DOCUMENT 3

VISUAL INFORMATION MATERIALS ON PSEA REPORTING

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

TOOL 6

VISUAL INFORMATION MATERIALS ON PSEA/SH REPORTING IN THE AMERICAS

Leaflet for concerned populations and communities

DOCUMENT 3

VISUAL INFORMATION MATERIALS ON PSEA REPORTING

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

Poster for concerned populations and communities

Poster for personnel and service providers

DOCUMENT 4

SUGGESTIONS FOR COMMUNICATING SAFEGUARDING MESSAGES

SAVE THE CHILDREN, SAFEGUARDING IN EMERGENCIES TOOLKIT, 2019

8. **Think creatively!** Here are some suggestions for communicating Safeguarding messages:

On existing planned information & education communication (IEC) materials for other sectors – banners, posters, handouts

RADIO SPOTS OR RADIO SHOWS

DIRECT CONVERSATIONS WITH COMMUNITY LEADERS

LOCAL PRESS – ARTICLES, ADVERTS

COMIC-BOOK FORM

MEGAPHONES AT DISTRIBUTIONS

Working with **religious leaders** to include CSG messages in their speeches/sermons

Posters on infrastructure commonly used (e.g. water tanks, latrines) or in places that women and children often use (CFS, mother and baby centre, health centre, market place)

COMMUNITY MEETINGS (ENSURE YOU INVITE Q&A)

Illustrations in programme sites such as health care points, Child Friendly Spaces, Temporary Learning spaces, Community centres

DISCUSSION GROUPS, WITH TRAINED CSG/PSEA STAFF

EDUCATIONAL GAMES OR SONGS

STORY-TELLING IN GROUPS

INTEGRATED INTO LESSON PLANS AT SCHOOLS

THEATRE PERFORMANCES

TRAINING SESSIONS FOR KEY ADULT TARGET GROUPS

WALLET-SIZED CARDS WITH FEEDBACK AND REPORTING MECHANISM ON

PUPPET SHOWS

FOCUS GROUP MEETINGS