# MEASURING MULTILATERAL PERFORMANCE
## ON PREVENTING AND RESPONDING TO SEA AND SH

MOPAN

Multilateral Organisation Performance Assessment Network

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This note is written for those seeking to understand how well Multilateral Organisations (MOs) are equipped and faring in preventing and addressing sexual exploitation and abuse (SEA) and sexual harassment (SH) and planning to design an assessment. This includes **organisations** who plan stocktaking exercises to identify and remedy significant gaps in their practises, preparedness or response to SEA and SH, and **donors, bilateral aid agencies, and member states** interested in monitoring the progress of organisations they fund in addressing and preventing SEA and SH effectively, and who may be developing due diligence standards to do so.

In this note, MOPAN presents the 16 indicators related to SEA and SH that we currently use to measure multilateral performance and results. For those seeking greater depth in addressing and preventing SEA and SH abuses, we also present a toolkit of 24 more granular measures on assessing SEA and SH and guidance on how to do so.

We invite the international community to take this as a starting point and continue to shape these measures on the basis of experience. We also invite you to share your experience using these indicators or to offer suggestions for improving them by contacting us at **secretariat@mopanonline.org** or **www.mopanonline.org - @MOPAN**.

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# Acknowledgements

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1  Contributing experts are identified by the titles they held in 2019 at the time they were consulted.

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# Acronyms

| | |
|---|---|
| **CBCM** | Community-based complaints mechanisms |
| **CEB** | Chief Executives Board for Co-ordination |
| **CHS** | Core Humanitarian Standard on Quality and Accountability |
| **DAC** | Development Assistance Committee |
| **GA** | General Assembly |
| **GBV** | Gender-based violence |
| **IASC** | Inter-Agency Standing Committee |
| **IFI** | International Financial Institution |
| **IOM** | International Organization for Migration |
| **IP** | Implementing partner |
| **KPI** | Key performance indicator |
| **MDB** | Multilateral Development Banks |
| **M&E** | Monitoring and Evaluation |
| **MO** | Multilateral organisation |
| **MOPAN** | Multilateral Organisation Performance Assessment Network |
| **MOS** | Minimum Operating Standards |
| **NGO** | Non-governmental organisation |
| **OECD** | The Organisation for Economic Co-operation and Development |
| **PSEA** | Protection from sexual exploitation and abuse |
| **SEA** | Sexual exploitation and abuse |
| **SG** | Secretary-General |
| **SH** | Sexual harassment |
| **SOP** | Standard operating procedure |
| **UN** | United Nations |
| **UNDP** | United Nations Development Programme |
| **UNFPA** | United Nations Populations Fund |
| **UNHCR** | United Nations High Commissioner for Refugees |
| **UNICEF** | United Nations International Children's Emergency Fund |
| **UNRWA** | United Nations Relief and Works Agency for Palestine Refugees in the Near East |
| **UN-Women** | The United Nations Entity for Gender Equality and the Empowerment of Women |
| **WFP** | World Food Programme |
| **WHO** | World Health Organisation |

# Introduction

*There is no place for sexual exploitation, sexual abuse or sexual harassment in international aid. They undermine the values for which international organisations stand, and the credibility of the entire aid system.*

*Sexual exploitation and abuse (SEA) inflicts harm on the very people seeking protection from armed conflict, natural disasters, or other emergencies. Recently unveiled allegations in the Democratic Republic of Congo of SEA committed by aid workers during the Ebola crisis have confirmed that such crises exacerbate the risk of sexual violence.[2] They also confirm that we have a long way to go to end it.*

*The pervasiveness and cost of sexual harassment (SH) have also become a growing concern over the last decade in particular, including in multilateral organisations (MOs). Increasing international pressure to address and sanction SEA and SH has led MOs and their members to make strong commitments to prevent and end this behaviour and to offer support and justice for victims/survivors, as a norm.*

*How far have organisations come in advancing toward these norms? We at MOPAN, the Multilateral Organisation Performance Assessment Network comprising the major funders of the multilateral system, have developed the first set of indicators to measure progress. We are keen to make them available to practitioners for use as an integral part of organisational performance measures.*

**MOPAN members** called on MOPAN to include the performance of MOs in preventing and responding to SEA and SH in its assessments **to know how far MOs have come in SEA and SH prevention and response**. In early 2020, in consultation with several key entities working to set standards and good practice, we developed 16 targeted indicators. We subsequently integrated these indicators into our assessment methodology to allow for a comprehensive, comparable and systematic picture across the board.[3] This note presents these 16 indicators together with insights gained through the MOPAN case study on which they were based. In addition, it presents MOPAN+, a toolkit of 24 more granular indicators for use by organisations seeking greater depth in their own assessments.

As the norms and guidance on SH and SEA evolve, these indicators are a starting point for measuring progress, embodying standards towards which organisations are expected to strive and ultimately fulfil.

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# I. Evolving SEA and SH norms in multilateral organisations

## Defining SEA and SH

SEA and SH are both forms of gender-based violence. Both have their roots in gender inequality and power differentials. The United Nations (UN) defines SH as occurring in contexts with power differentials between members of personnel and connected with work. It defines SEA as occurring between MO personnel and an external person who is typically from the affected and/or local population. The main differences concern the victim (or 'survivor'), perpetrator treatment, and possible responses and sanctions.

**UN Definitions:**

**"Sexual exploitation"** means "any actual or attempted abuse of 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."

*Source: UN Secretary-General's Bulletin on protection from sexual exploitation and abuse (PSEA), (ST/SGB/2003/13)*

**"Sexual abuse** means the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions."
*Source: Ibidem*

**"Sexual harassment** is any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offence or humiliation, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment. Sexual harassment may occur in the workplace or in connection with work."
*Source: UN System Model Policy on Sexual Harassment, 2018*

The fight against SH accelerated in the 1970s and 80s when some national courts first recognised it as a form of discrimination. International efforts to combat SEA have continued since these misconducts were recognised in 2002, after scandals had emerged in West Africa. Since then, many international norms for tackling SEA and SH have been established, notably by the United Nations (UN), and good practices recorded. Civil society and inter-agency fora, and in particular the Inter-Agency Standing Committee (IASC), and the bilateral donor community drove these norms, which have guided the policies that most MOs have put in place today. Organisations are expected to adapt their policies and practices to their contexts and characteristics as norms and frameworks evolve and good practice emerges.

**On SEA, notably the UN has made considerable efforts to develop uniform guidance that applies across the system, and that has evolved significantly over time, reflecting learning and new evidence. This is partly a result of the considerable amount of resources that have been devoted to the issue in peace operations.** UN guidance builds on the UN Secretary-General's (SG) Bulletins on Special Measures for protection from SEA (2003)[4], on protection against retaliation for reporting misconduct (2017)[5], the Victims' Assistance Strategy (2008)[6], the Victims' Assistance Protocol (2019)[7], and the UN Protocol on Allegations of SEA involving Implementing Partners (2018)[8]. Annual reports from the SG provide an update on their implementation. The Interagency Standing Committee Minimum Operating Standards on Protection from SEA[9] provide a common set of requirements to

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4   Secretary-General's Bulletin: Special measures for protection from sexual exploitation and sexual abuse (ST/SGB/2003/13), 9 October 2003
5   Secretary General's Bulletin: Protection against retaliation for reporting misconduct and for cooperating with duly authorized audits or investigations (ST/SGB/2017/2/Rev.1), 20 January 2017
6   UN Comprehensive Strategy on Assistance and Support to Victims of SEA by UN Staff and Related Personnel (A/RES/62/214), 7 March 2008
7   UN Protocol on the Provision of Assistance to Victims of Sexual Exploitation and Abuse, 12 December 2019
8   UN Protocol on allegations of SEA involving implementing partners (no code), 21 March 2018
9   Interagency Standing Committee (IASC) Minimum Operating Standards on Protection from SEA by own personnel (MOS-PSEA)

guide MOs on effectively addressing SEA. They emphasise the significance of organisational commitment by designing and implementing relevant policies, raising staff awareness, applying a code of conduct, and engaging with and supporting victims/ survivors, among others. Organisations working in humanitarian and fragile contexts were the first to address the problem but it is now widely recognised that development partners and International Financial Institutions (IFIs) and Multilateral Development Banks (MDBs) are equally at risk for not only SH, but also SEA abuses, and that guidance on addressing these abuses is equally relevant for their institutions.

**For SH, key references** include the 2018 UN General Assembly Resolution[10] and the 2018 UN System Model Policy on SH[11], which contains the uniform definition of sexual harassment approved by the Chief Executives Board. Most recently, the UN SG's Bulletin on Addressing discrimination, harassment, including sexual harassment, and abuse of authority[12] has come into force (2019). It is binding on UN Secretariat entities and includes the Model Policy definition of SH.

## Do these norms apply to all organisations?

**The organisational reach of SEA and SH norms varies.** Organisations that implement projects, and therefore directly interact with beneficiaries, have to be equipped to address SEA and SH within their own ranks. Conversely, organisations that work entirely or predominantly through implementing partners need additional safeguards to ensure partner compliance with policies. IFIs and MDBs that lend to sovereign states that are then responsible for implementing these programmes and projects, further need to ensure that their borrowers respect SEA and SH norms and frameworks.

**International norms address protection from SEA and SH but some MOs may lack explicit policies to combat SEA or SH abuses.** SEA and SH norms derive from international human rights norms, such as the Universal Declaration of Human Rights, the International Covenant on Civil and Political Rights, the Convention on the Elimination of All Forms of Discrimination against Women, and the Convention of the Rights of the Child. Standards of conduct for the international civil service prohibit "any kind of harassment", including sexual.[13] Several other international standards, including those of member states and donors, implicitly require that all organisations that they govern or fund have SEA and SH policies and provisions in place.

**Donor expectations are rising about the prevention of and response to SEA and SH for their own bilateral interventions and for those they fund multilateral partners to undertake.** In October 2018 at the London Safeguarding Summit, 22 donors committed to adhere to international standards on SEA, namely the Minimum Operating Standards on the Protection from SEA (MOS-PSEA) and the SEA elements of the Core Humanitarian Standard, and pledged to ensure that their implementing partners do the same. A wider group of 30 donors in July 2019 built on this by adopting the Development Assistance Committee (DAC) Recommendation on Ending SEAH in Development Co-operation and Humanitarian Assistance.[14] It addresses humanitarian assistance and development co-operation, and sets expectations for operational policies and procedures, committed leadership, response and support mechanisms, international co-ordination and monitoring, evaluation and learning.

> *Prevention of SEA should remain a priority in all sectors in which the UN operates - peace, humanitarian, and development. We all must work together to strengthen accountability to drive a cultural transformation across our complex, yet similar systems, through a series of initiatives to prevent and respond to SEA.*
>
> *Jane Holl Lute, Special Co-ordinator on improving UN response to sexual exploitation and abuse*

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10 Intensification of efforts to prevent and eliminate all forms of violence against women and girls: sexual harassment, (A/RES/73/148), 11 January 2019
11 UN System Model Policy on Sexual Harassment, 1 December 2018
12 Secretary-General's Bulletin: Addressing discrimination, harassment, including sexual harassment, and abuse of authority (ST/SGB/2019/8), 10 September 2019
13 International Civil Service Commission (2012): Standards of Conduct for the International Civil Service
14 DAC Recommendation on Ending Sexual Exploitation, Abuse, and Harassment in Development Co-operation and Humanitarian Assistance Key Pillars of Prevention and Response

## Box 1. The DAC Pillars of Prevention and Response

1. Policies, professional conduct standards, organisational change, leadership

2. Survivor/victim-centred response and support mechanisms

3. Organisational reporting, response systems, and procedures

4. Training, awareness raising, and communication

5. International co-ordination

6. Monitoring, evaluation, shared learning, and reporting

Source: DAC Recommendation on Ending SEAH in Development Co-operation and Humanitarian Assistance, OECD, 2019

The legal agreement on the administration of UN pooled funding, signed in 2019 by Member States donors and the UNDP Multi-Partner Trust Fund Office in 2019, to mainstream the consideration of SEA and SH as a programmatic risk to the fund, is another recent example.[15]

The Convention and accompanying Recommendation to combat violence and harassment in the world of work, adopted by the International Labour Conference in 2019, constitutes a reference point for countries and organisations mandated by member states. This is the only international treaty dealing with violence and harassment in the world of work, and is binding once ratified.

## Do tools exist to monitor and report on progress?

No harmonised methodology or assessment mechanism currently exists for **measuring** and monitoring MOs' performance on SEA and SH against which they could **report** changing their practices and behaviour. However, several tools and reporting mechanisms do exist and others are being developed. Several hubs, including the IASC website[16] and the UK's Safeguarding Resource and Support Hub,[17] have started to collect available tools and are good places to consult progress.

**The MOPAN indicators are among the earliest methodologies to have been put in place to monitor and measure progress on both SEA and SH.** The Interagency Standing Committee's Minimum Operating Standards[18] - which are currently being updated - remain a key reference on SEA, and are complemented by the PSEA Country-Level Framework. The framework provides a template for humanitarian country teams outlining the priority results towards which to jointly work.[19] The Preventing SEAH Index and Handbook developed by the Core Humanitarian Standard on Quality and Accountability (CHS) Alliance and updated in October 2020[20], is another comprehensive tool for SEA, focused primarily on international NGOs. Other tools that partially cover SEA include a self-audit tool by InterAction developed by Keeping Children Safe.[21]

In the absence of a harmonised tool to track performance, some organisations, such as UNHCR[22] or UNICEF[23], created methodologies when they undertook their own independent reviews of the implementation of their SEA policies. Since 2017, all members of the UN SG's Senior Management Group are required to provide their own action plans for SEA, which serve as individual frameworks against which they report internally (see above). Starting in 2020, the Heads of United Nations Agencies, Funds and Programmes, departments, offices, regional commissions, peace operations and special political missions, and Resident Co-ordinators, are asked to provide an action plan. As such, the number of action plans has risen from 35 in 2017 to 207 in 2020.[24]

For SH, the UN Chief Executives Board is implementing its commitment to "reporting annually on sexual harassment using the data collection mechanism created for that purpose."[25] However, we know of no

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15 Standard Memorandum of Understanding for Multi-Partner Trust Funds 2019, http://mptf.undp.org/document/legal

16 https://psea.interagencystandingcommittee.org/. The IASC website also offers a PSEA Global Dashboard that tracks progress against IASC commitments in humanitarian response: https://psea.interagencystandingcommittee.org/dashboard

17 https://safeguardingsupporthub.org/documents

18 IASC Minimum Operating Standards Protection from Sexual Exploitation and Abuse by own Personnel (MOS-PSEA) (2012)

19 Inter-Agency Standing Committee, IASC PSEA Country Level Framework (July 2020). The IASC has produced a 'Compilation of PSEA indicators', 1 April 2020, available on its website. It is currently reviewing its guidance for monitoring 21 SEA indicators at the country level in line with the IASC Plan for Accelerating PSEA in Humanitarian Response at Country Level (2018)

20 https://www.chsalliance.org/get-support/resource/pseah-index/

21 Keeping Children Safe – A Toolkit for Child Protection, https://resourcecentre.savethechildren.net/library/keeping-children-safe-toolkit-child-protection,

22 available at https://www.unhcr.org/research/evalreports/5d5bb2637/evaluative-review-unhcrs-policies-procedures-prevention-response-sexual.html

23 Independent Panel Review of the UNICEF Response to PSEA (September 2018), available at https://digitallibrary.un.org/record/1656591?ln=en

24 Chief Executives Board for Co-ordination, CEB/2018/2, Summary of deliberations at its 2nd regular session of 2018, 7 and 8 November 2018, published 18 January 2019, https://digitallibrary.un.org/record/3792232?ln=en

25 Ibidem

comprehensive inter-agency frameworks currently available that monitor performance (beyond the collection of numeric data) that would be comparable to the SEA-related frameworks.

**Reports and assessments against these frameworks are starting to be undertaken, but few are publicly available.** UN Agencies, Funds and Programmes report their progress on SEA and SH to their Boards. UN organisation heads send an annual certification letter to the UN SG, typically in January, providing assurance that allegations have been reported through the UN SG's mechanism and handled appropriately, and that PSEA training was offered. These letters, which are not publicly available, feed into the UN SG report[26], which provides a source for monitoring UN system-wide progress,

but rarely disaggregates performance reporting. It is thus not possible to track the progress of individual organisations (beyond the SEA statistics through the UN public reporting website)[27]. No comparable joint annual reporting mechanism exists for SH, which is addressed by the UN Office of Human Resources and the Sexual Harassment Task Force of the UN Chief Executives Board, beyond the statistical data on disciplinary actions taken by agencies against personnel (including cases of SH).

The first MOPAN assessments of MOs to include an assessment of SEA and SH based on the 16 indicators presented above will be published in 2021[28] as a first step towards a more systematic assessment of SEA and SH efforts.

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26  The UN Secretary-General's reports can be found at https://www.un.org/preventing-sexual-exploitation-and-abuse/content/secretary-generals-reports

27  Data has been available in real time since March 2019 at https://www.un.org/preventing-sexual-exploitation-and-abuse/content/data-allegations-un-system-wide

28  The assessments cover ILO, OCHA, UNDP, UNEP, UNICEF, and UNOPS.

# II. How does MOPAN measure progress on SEA and SH?

## Three levels: Policy, application & results

**MOPAN measures organisational performance on a given issue by asking three questions:** (i) Is a **policy** in place? (ii) Are there systems, tools, guidance and capacity to **apply** it? (iii) Is all of this leading to positive **results**? Recognising that measures must be tailored to the context of each organisation, MOPAN's indicator framework for SEA and SH draws on international norms and internationally recognised good practice.

**With respect to preventing and addressing SEA and SH, the three distinct levels of an organisation's performance** could be described as follows: Level 1 verifies the presence of policies, standards, and systems to tackle SEA and SH. Level 2 assesses how far MOs have come in changing their management processes, raising awareness, applying their policies, standards, systems and guidance. It also assesses how far they've come in putting resources toward preventing, sanctioning and reporting SEA and SH, while protecting and assisting victims/survivors. But what 'results' should we aim for?

### Figure 1. SEA/SH Results Pyramid



Level 1
**Results**
achieved

Level 2
**Application**
of policies, systems, tools;
change management

Level 3
**Standards, policies, guidance**
in place
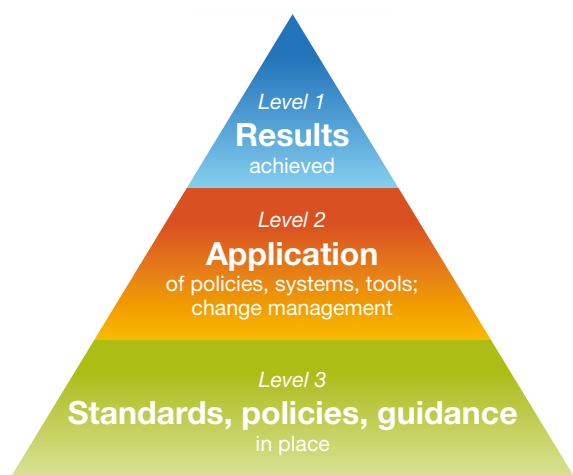
The vision is to rid the world of SEA and SH – or, "zero occurrence". The prerequisite for this, at the level of individual organisations, is accountability, or

"zero impunity". This means, in an ideal case, that all allegations are followed up on, all perpetrators held to account, all those who report or blow the whistle feel safe doing so, and all victims/survivors receive justice.

**The number of allegations of SEA/SH is not a measure of organisational accountability.** Numbers can indicate trends, zero allegations do not equate to a clean bill of organisational health. Low numbers should be questioned, as they are often warning signs of an organisational culture where speaking up is difficult or where reporting systems do not properly function. Conversely, rising numbers could reflect either a worsening situation or improved efforts to tackle the problem. It would, therefore, be too simplistic to reduce the assessment of progress towards reaching organisational integrity by looking strictly at the number of reported cases. Against this background, the vision of 'good performance' of organisations is to ensure that they put all measures in place they reasonably can to prevent SEA and SH, and respond appropriately when it does occur (for an example, see UNHCR's vision).

> [The UNHCR vision is to provide] a trusted, respectful and inclusive environment where the people we serve and those who work for the organization feel safe, heard, equipped and empowered to speak up for themselves and others and to take robust and visible action, as appropriate, to eradicate sexual exploitation and abuse as well as sexual harassment.
>
> *Addressing SEA and SH Strategy and Action Plan 2018;
> https://www.unhcr.org/our-fight-against-sexual-exploitation-abuse-and-harassment.html*

**MOPAN's current indicator framework (MOPAN 3.1) uses a generic approach that can be adapted to different types of MOs and activities.** SEA and SH indicators are situated within the organisational performance area (Key Performance Indicators [KPIs] 1-8) rather than the results area (KPIs 9-12). They focus on the presence and application of policy

and procedures regarding SEA and SH.[29] They do not focus on their effectiveness. This is due to the difficulties in measuring the incidence of SEA and SH as well as outcomes of prevention and response. This remains a topic of ongoing debate in the sector.

Specifically, the SEA and SH indicators (4.7 and 4.8 respectively) are embedded in KPI 4 - 'Organisational

systems are cost- and value-conscious and enable transparency and accountability; an additional one is embedded in the section on risk (KPI 5). The framework then tests performance against prevention and response procedures, specifically related to policies, international standards and their implementation, resources, reporting and response to survivors. MOPAN integrated these 16 new indicators into its framework in the spring of 2020,

29 http://www.mopanonline.org/ourwork/themopanapproach/MOPAN_3.1_Methodology.pdf

**Box 2. MOPAN Indicators 4.7 and 4.8: Prevention of, and response to sexual exploitation and abuse, and to sexual harassment**

| **4.7 Prevention of, and response to sexual exploitation and abuse (SEA)** |
|---|
| 1. Organisation-specific dedicated policy statement(s), action plan and/or code of conduct that address SEA are available, aligned to international standards, and applicable to all categories of personnel |
| 2. Mechanisms are in place to regularly track the status of implementation of the SEA policy at headquarters and at field levels |
| 3. Dedicated resources and structures are in place to support implementation of policy and/or action plan at HQ and in programmes (covering safe reporting channels, and procedures for access to sexual and gender-based violence services) |
| 4. Quality training of personnel/awareness-raising on SEA policies is conducted with adequate frequency |
| 5. The organisation has clear standards and due diligence processes in place to ensure that implementing partners prevent and respond to SEA |
| 6. The organisation can demonstrate its contribution to interagency efforts to prevent and respond to SEA at field level, and SEA policy/best practice co-ordination fora at headquarters |
| 7. Actions taken on SEA allegations are timely and their number related to basic information and actions taken/reported publicly |
| 8. The MO adopts a victim-centred approach to SEA and has a victim support function in place (stand-alone or part of existing structures) in line with its exposure/risk of SEA |
| 9. Intervention design is based on contextual analysis including of potential risks of SEA and other misconduct with respect to host populations* |

| **4.8 Prevention of, and response to sexual harassment (SH)** |
|---|
| 1. Organisation-specific dedicated policy statements and/or codes of conduct that address SH available, aligned to international standards and applicable to all categories of personnel |
| 2. Mechanisms are in place to regularly track the status of implementation of the policy on SH at headquarters and at field levels |
| 3. The MO has clearly identifiable roles, structures and resources in place for implementing its policy/guidelines on SH at headquarters and in the field: support channel for victims, a body co-ordinating the response, and clear responsibilities for following up with victims |
| 4. All managers have undergone training on preventing and responding to SH, and all staff have been trained to set behavioural expectations (including with respect to SH) |
| 5. Multiple mechanisms can be accessed to seek advice, pursue informal resolution or formally report SH allegations |
| 6. The organisation ensures that it acts in a timely manner on formal complaints of SH allegations |
| 7. The organisation transparently reports the number and nature of actions taken in response to SH in annual reporting and feeds into inter-agency human resources mechanisms |

*In the MOPAN methodology, this element (5.4.5) is part of Micro-indicator 5.4, 'Detailed risk […] management strategies ensure the identification, mitigation, monitoring and reporting of risks'.

and is since applying them across its assessments. The indicators draw as far as possible on secondary evidence previously compiled by the organisation being assessed or another competent body, rather than on primary evidence.[30]

## What is the added value of the MOPAN SEA/SH indicators?

The MOPAN SEA/SH indicators are in many ways not novel. They are closely aligned with the DAC Recommendation on PSEAH, and - the SEA part - with the MOS-PSEA of the IASC, and based on existing norms and best practice, as outlined in Section I of this Note.

What distinguishes MOPAN indicators from other frameworks or mechanisms is that they are part of an **external, independent, third-party assessment**, commissioned **jointly** by the MOPAN member states. A SEA/SH component will be applied in the assessments of all multilateral organisations chosen for review by MOPAN - not only those that participate in the IASC, or/and are part of the UN, but also Global Funds, MDBs or IFIs. It is applied to humanitarian or development-oriented organisations alike.

Unlike the IASC's MOS, with their PSEA country-level framework, the MOPAN methodology is only applied at the **corporate** level.

Another feature that distinguishes the SEA/SH component in MOPAN assessments from other progress reviews on PSEAH is that MOPAN only **draws on publicly available information**, such as evaluations and PSEAH assessments that have previously been undertaken – apart from a small number of first-hand interviews. MOPAN undertakes such interviews during the MOPAN assessment process with PSEA focal points, the Ombudsman, legal and ethics offices, and others involved in PSEAH efforts.

Finally, MOPAN assessments – including their SEA/SH component – are all published online with **unrestricted access**, at **www.mopanonline.org**.

## The four areas of SEA and SH indicators

**MOPAN's indicators on SEA and SH cover four areas: Policy, management and leadership; Prevention; Reporting and complaints; and Response, accountability and transparency. They also include two overarching principles: a survivor- and victim-centred approach; and international co-ordination.**

**"Putting the victim first",** as called for in the *UN SG report on Special Measures for protection from SEA* in 2017,[31] means to place the survivor's dignity, experiences, rights, needs, and wants at the centre of the process, from program design to reporting, investigations and response. There is no uniform definition; although elements exist notably in the Victims' Assistance Strategy and the Victims' Assistance Protocol (for SEA); a definition of a victim-centred approach for SH is currently under development by the UN Chief Executives Board.

> "In the context of sexual exploitation and abuse and sexual harassment, a **victim-centred approach** is a way of engaging with victim(s) that prioritizes listening to the victim(s), avoids re-traumatization, and systematically focuses on their safety, rights, well-being, expressed needs and choices, thereby giving back as much control to victim(s) as feasible and ensuring the empathetic and sensitive delivery of services and accompaniment in a non-judgmental manner."
>
> *Source: UNHCR, Policy on a Victim-Centred Approach in UNHCR's response to Sexual Misconduct, December 2020, https://www.unhcr.org/5fdb345e7.pdf*

**International co-ordination** – among agencies, and between agencies and member states - the second overarching principle, also matters equally in all four

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30   The SEA component measures categories similar to the ones contained in the 22 MOS-PSEA Key Indicators (IASC), but was developed specifically with applicability to multilateral organisations, measurability, and availability of secondary evidence in mind; and is less comprehensive. This is because MOPAN provides a snapshot of an MO's organisational effectiveness across several key areas; however, the drawback of producing this holistic view is that the number of indicators that can be examined for each area is necessarily limited. Prioritisation of SEA and SH indicators was undertaken through a case study in 2019.

31   A/71/818, Special measures for protection from sexual exploitation and abuse: a new approach, Report of the Secretary-General, 28 February 2017, https://undocs.org/A/71/818

areas. Partnership efforts are needed to set clear standards and expectations, invest in prevention, align and harmonise existing measures and reporting, respond to survivors' and victims' needs, and ensure that action in SEA and SH prevention and response is consistent and system-wide.

> *Establishing more channels to report allegations is not enough. We must do more to create an environment of trust where victims feel safe coming forward, and are confident they will receive support.*
>
> *Jane Connors, United Nations Victims' Rights Advocate*

The four areas and two overarching principles guiding the MOPAN indicators are aligned with the six pillars of the DAC Recommendation on Ending SEAH (see Figure below). They draw on international norms and current good practice. As international practice is still evolving, there is a preference in assessments to focus on 'good' rather than 'best practice'.

**Figure 2. Four dimensions of indicators and their alignment with the six Pillars of the DAC Recommendation**



**International co-ordination**

**Putting victims first**

**Policy, management & leadership**

Examples:
- Policies, norms on SEA/SH
- Leadership statement
- Code of conduct includes SEA/SH
- Management structures for SEA/SH
- Track policy implementation

**Prevention**

Examples:
- Mandatory training
- Awareness raising
- Contextual risk assessment
- Screening when hiring
- Due diligence on implementing partners

**Reporting & complaints**

Examples:
- Environment of trust
- Complaint mechanisms field / HQ
- Evidence of their use
- Whistle-blower protection
- Timeliness of response
- Clear processes for handling complaints

**Response, accountability & transparency**

Examples:
- System for organisational accountability
- Timely, regular, public reporting on allegations
- Assistance to victims
- Victim-centred response
- M&E, learning

**Note:** The MOPAN indicators are broadly aligned with the DAC Recommendation on Ending Sexual Exploitation, Abuse, and Harassment in Development Co-operation and Humanitarian Assistance. The DAC Recommendation is built around six pillars, listed in Box 1. *Policy, leadership and management* aligns to DAC Pillar 1; *Prevention* aligns to DAC Pillar 4, *Reporting and complaints* aligns to DAC Pillar 3; *Response, accountability and transparency* aligns to DAC Pillars 3 and 4; *Putting victims first* aligns to DAC Pillar 2; and *International co-ordination* to DAC Pillar 5.

# III. What are we asking of organisations? What do we expect?

## 1. Policy, management & leadership

**What are we asking?** Policies and procedures are the backbone of an organisation's efforts to eradicate SEA and SH. These should be in line with relevant international SEA and SH standards and be championed and communicated by the organisation's leadership. This alignment can be examined by asking a number of questions: Do they include a roadmap or implementation plan? Are they well communicated to staff? Are codes of conduct mandatory for all categories of personnel to prevent, report on and respond to SEA and SH? Do they track policy implementation? Are SEAH accountabilities and responsibilities clearly allocated in the management line? Does the organisation have dedicated, resourced structures supporting the implementation of these policies and protocols at headquarters and at country levels?

**What do we expect?** Organisations must have SEA and SH policies in place. For UN organisations, they must be in line with the SG's bulletin (ST/SGB/2019/8) on Addressing discrimination, harassment, including sexual harassment, and abuse of authority, that make them "prohibited conduct". These policies must use the internationally agreed definitions of SEA and SH and prohibit sex with a minor and transactional sex as per the six IASC Core Principles[32]. Organisations should have capacity in place to carry out these functions and track their progress regularly at headquarters and in the field. For UN organisations, the basis is the UN SG's Bulletin (ST/SGB/2003/13)[33] prohibiting SEA, and defining the responsibilities of all managers to prevent SEA, to take appropriate actions and report through proper channels. Emerging good practice in the UN is to immediately report SEA cases to the Executive Head. All organisations exposed to SEA should align their policies with the IASC Minimum Operating Standards. **On SH,** UN agencies are expected to comply with the relevant UN SG's

Bulletins (ST/SGB/2008/5) and (ST/SGB/2019/8) and to have a policy in line with the Uniform Definition and Model Policy (2019). **Non-UN organisations**, or those associated to the UN, including IFIs, are expected to have similar standards in place, for all categories of personnel, complemented by an action plan. In all MOs, accountability and responsibility for preventing SEA and SH are clearly allocated in the management line and a requirement that leadership be held to account must be explicit.

**What are the challenges?** The more an organisation relies on implementing partners, service providers, suppliers, or services borrowers, the more attention it should devote to policies and structures that ensure accountability along the entire 'supply chain', especially in terms of SEA. With regard to SH, organisations with high proportions of temporary or short-term personnel, local staff, volunteers, and interns, must be especially vigilant about having policies and structures in place that protect all types of employees. Ensuing power differentials make an insecure workforce more vulnerable (and less likely to speak up) than regular/official staff.

## 2. Prevention

**What are we asking?** Do organisations have operational prevention mechanisms that apply to their staff and implementing partners? These should include robust training of managers to address SEA and SH, and measures to ensure awareness of personnel of the policy through training and other means, and also apply to contractors and implementing partners. Is training considered to be mandatory for all staff? Has relevant staff received training? Is training delivered online, or in person, knowing that situation-based face-to-face training is best? Is training built into performance assessments? Are SEA risks considered part of the contextual analysis and programme design? Are organisations screening individuals, contractors, and implementing partners before contracting them? Are organisations using due diligence mechanisms such as Clear Check

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32  IASC, Six Core Principles Relating to Sexual Exploitation and Abuse, 12 September 2019
33  Secretary-General's Bulletin: Special measures for protection from sexual exploitation and sexual abuse (ST/SGB/2003/13), 9 October 2003.

or the Inter-Agency Misconduct Disclosure Scheme to prevent perpetrators from moving through the aid sector?

**What do we expect?** **All organisations should have mandatory training in place for personnel on SH;** and **for SEA where the type of work and specific context suggest it**. Training should be adjusted for the context, updated regularly and built into staff performance assessments.

The organisation should make **contextual risk assessments part of a programme design** that gauges the risk, or how an initiative might increase the vulnerability of affected people. The nature of SEA requires that an organisation support awareness-raising activities for the host community about its risk and illicit nature, and mechanisms to help potential victims. Guidance for assessing project-related and contextual risk factors related to SEA exists in multiple forms.[34]

**Clear standards and due diligence processes to ensure that implementing partners prevent and respond to SEA.** UN organisations are expected to comply with the minimum requirements of the UN protocol on SEA involving implementing partners, and strongly encouraged to use the related capacity assessment tool, a uniform matrix that is being piloted at the time of writing[35]. A standard clause on SEA in all partnership agreements and with borrowing governments (in the case of IFIs/MDBs) is crucial. Organisations need to visibly invest in due diligence related to SEA when selecting implementing partners, and voluntarily use tools such as the UN Partner Portal[36] that requires partners to sign SEA provisions, and report SEA allegations involving implementing partners through the UN SG's annual report. Having standard operating procedures (SOP) to guide processes for handling SEA related misconduct is also good practice.

**What are the challenges?** Many areas require clarification. Consistent in-person training coverage

is seen as costly and challenging for many organisations. The harmonised tool to assess the capacity of implementing partners mentioned above can provide a common baseline, and has recently become mandatory, but the extent to which partners' actual performance in protecting from SEA is being monitored remains unclear.[37] Reporting allegations for the Quarterly Report of the SG is mandatory for UN agencies, funds and programmes, including for implementing partners; but we know of no similar such reporting system outside the UN. Assessment of IFIs/MDBs may be more challenging given that their borrowers and implementing partners are often governments, and systems may not be uniformly applicable to sovereign states.

## 3. Reporting & complaints

**What are we asking?** What can an organisation do to enable victims/survivors to come forward to seek assistance and advice, and report SEA or SH? Does the organisation's culture facilitate this? Is the organisation doing all they can to ensure that victims/survivors know it will be heard, taken seriously, and that their dignity is protected? Is the organisation set up to receive complaints and provide advice and follow-up, through its internal channels (for SH and SEA)? Is there a clearly signposted, anonymous reporting mechanism? And, for SEA, does the organisation support external, e.g. community-based mechanisms, while ensuring that complaints lodged through them reach the organisation's investigative units?

**What do we expect?** Organisations need to **build an enabling environment** that will eventually allow victims/survivors to come forward. Victims must trust that they will be offered adequate advice, assistance, access to medical and psychosocial services, to a competent and independent investigation, and an operational and transparent justice system, and are protected from retaliation. Only in organisations that promote a "speak-up culture" and demonstrate a will to end impunity will victims/survivors believe that they will be supported, and that cases will come to light. The responsibility and accountability for their support is placed on the organisation.

Organisations should **offer multiple – formal and**

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34   UN Secretariat entities are encouraged to use the Misconduct Risk Assessment tool https://conduct.unmissions.org/sites/default/files/misconduct_risk_mngt_tools_consolidated_vf_24_09_2019.pdf. The World Bank and UNICEF have established guidelines for assessing project-related and contextual risk factors related to SEA.
35   IASC, (Interim) Harmonized Implementation Tool, UN Implementing Partner PSEA Capacity Assessment, September 2020
36   https://www.unpartnerportal.org/landing/

37   https://www.chsalliance.org/get-support/resource/pseah-index/

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informal — **mechanisms** through which victims/survivors can seek advice, lodge a complaint, report abuses, and get assistance. All agencies can be expected to have a clear complaint mechanism to receive formal reports of SH[38] or SEA[39]; having case managers is seen as good practice. They can also be expected to have one or more informal reporting mechanisms. Formal reporting mechanism for SEA must be complemented with support to external mechanisms, such as community-based complaints mechanisms (CBCM). This takes into account that while some SEA victims/survivors may choose to report or seek assistance with someone who works for the organisation, others will not trust or be willing to co-operate with the very organisation their perpetrator worked for, and are more likely to lodge a complaint or seek assistance through independent community-based complaint mechanisms that allow them to report in ways that are contextual and specific to their culture. It is, however, worth noting that victims/survivors in some circumstances may also shy away from community-based mechanisms, especially when they do not want their communities to know about the abuses. Victim assistance is often provided through existing GBV response programmes, which are not specific to SEA. This allows a SEA victim/survivor to seek assistance without immediately being identified as such (and potentially stigmatised or ostracised).

**The investigations and reporting mechanisms must be endowed with the capacity** to take necessary (and timely) action. There needs to be proof that an organisation is doing its utmost to resolve cases in a timely manner.

> *Whistle-blowers and those who report SEA and SH frequently face retaliation, and fear of reporting is widespread. Organisations need to put robust whistle-blower protection systems and policies in place, and work with whistle-blowers to ensure that they are being honoured.*
>
> *Miranda Brown, Whistle-blower*

**Each organisation should have a** policy that protects whistle-blowers or individuals who report misconduct, including **cases of SH or SEA,** from retaliation, and there should be evidence that the organisation is implementing and honouring it.

**What are the challenges?** SEA and SH go mainly unreported. For SH victims/survivors, this can be because this misconduct is still widely tolerated, because many are unaware of what it constitutes and fear reprisals from their employer and/or do not believe that their organisations' reporting mechanism or redress would be effective. Similarly, SEA victims/survivors will only come forward when they trust that they will gain, and not lose, from doing so. An enabling environment – coupled with a broad range of reporting opportunities, and protection and services for victims/survivors, will encourage individuals to come forward. An additional challenge is reflected in ongoing discussions on the breadth of evidence required for SEA and SH claims, especially as sexual misconduct often occurs without witnesses. Due to this constraint, the available evidence may not reach the threshold of the formal investigatory system.

## 4. Response, accountability & transparency

**What are we asking?** How responsive are MOs to SEA and SH issues? Are they providing prompt and adequate assistance to victims/survivors, maintaining their confidentiality, and addressing and responding to claims adequately and transparently? Are their approaches victim-centred? Are their investigators trained to deal with SEA and SH cases? Are organisations taking sanctions in a timely manner, are their systems for organisational accountability working? And do organisations transparently and regularly share data on allegations and follow-up measures externally and internally?

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38  For SH, in addition to opportunities for formal reporting, often shepherded by Ethics, Investigations, HR offices, or helplines (e.g. the UN application, SpeakUp, on the Prevention of SH and Abuse in the Workplace), options for informal resolution should also be offered, through an Ombudsman, Conduct and Discipline Team, staff counsellors, staff representative bodies, workplace advisors, staff lawyers, victim support officers/rights advocates, Office of the Special Adviser on Gender Issues and Advancement of Women).

39  For SEA, organisations should strive to follow good practice for example contained in the 2016 Best Practice Guide: Inter-Agency Community-Based Complaint Mechanisms by the IASC (shepherded by IOM), and to offer individual guidance/accompaniment, through a case manager and Field Victims' Rights Advocates (FVRA). Such FVRAs are currently in place in only four locations, namely in peace operations settings in the Central African Republic, the Democratic Republic of the Congo, Haiti, and South Sudan.

**What do we expect?** Depending on the case, if an allegation is substantiated, organisations are expected to take administrative and/or disciplinary action; or, with the consent of the victims and survivors (unless this involves a minor), to refer the case to national authorities for possible civil action and/or criminal prosecution. In response to allegations, organisations have to take appropriate and timely action. To be in a position to undertake investigations of SEA and SH, relevant offices require specific capacity and expertise.

**Organisations are expected to report publicly on the number of SEA allegations and actions taken**; mechanisms exist through the UN (for SEA, the UN SG's reporting system; SH data through the Office of Human Resources); others are generally expected to report through their governing bodies. As noted earlier, to prevent re-hiring SEA/SH perpetrators, MOs should also share this information using databases for reference checks of candidates.

**Organisations are expected to protect victims/ survivors and witnesses**, **and provide assistance to survivors/victims.** UN system-wide expectations are outlined in the Victims' Assistance Protocol, such as safety and protection, medical care, psychosocial support, education, livelihood support and basic material assistance, legal services, and support for children born as a result of sexual exploitation and abuse. [40] Where organisations cannot provide such services, they are expected to have well-defined procedures in place for prompt referral to qualified service providers who can assist victims and survivors in a safe and confidential manner.

**What are the challenges?** While reporting and taking action on allegations, responses must be victim-centred; i.e. "the rights and best interests of victims/survivors shall guide how assistance and support are designed and provided. Assistance and support to child victims/survivors (under age 18) shall be provided in a manner consistent with the rights enshrined in the Convention on the Rights of the Child […]."[41] An inherent tension can exist between obligatory reporting (to prevent further abuse) and, in some cases, respecting the reluctance of the victim or survivor to come forward. A victim/survivor cannot be forced to report. She/he can choose not to be involved in a case reported on their behalf. Providing clarity to the victim/survivor on the process is therefore crucial. Where the victim/survivor decides to report, she/he can merely be supported through an administrative investigation conducted by the MO, or (where relevant and safe) assisted, with local authorities, in a criminal investigation. Tensions also exist between expectations around data transparency. Whereas Member states and other external stakeholders tend to push for maximum transparency,[42] data must be aggregated in line with guidance from the UN and other bodies, and is anonymised.

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40  UN Protocol on the provision of assistance to victims of SEA, 12 December 2019,
    https://www.un.org/en/pdfs/UN%20Victim%20Assistance%20Protocol_ English_Final.pdf

41  ibidem
42  The 2019 Standard Memorandum of Understanding for MPTFs contains such an agreement on transparency.

# IV. MOPAN+ Toolkit on SEA/SH: Suggestions for indicators

**In complement to the current MOPAN 3.1 indicator framework that encompasses a broad array of organisational performance issues including preventing SEA/SH,** and is used by MOPAN members to assess the perfomance of multilateral organisations, we are presenting a larger set of indicators here as well. This set is not used in MOPAN assessments, but aims to spur dialogue and collaboration among MOs and other stakeholders for addressing and improving assessment issues on SEA and SH: the MOPAN+ Toolkit on SEA/SH.

**Comprising 24 indicators, the MOPAN+ Toolkit on SEA and SH covers the same four dimensions: Policy, management and leadership; Prevention; Reporting and complaints; and Response, accountability and transparency.** It focuses on policies and their application, but does not focus on results. More granular than the MOPAN 3.1 indicators, they require more evidence gathering. They break down some MOPAN 3.1 indicators into

several measures on SEA (indicator 4.7.4 is split into 1.4 and 1.5), and on SH (indicator 4.8.3 is split into 2.3, 2.4 and 2.5). The toolkit includes new indicators (3.1-3.4) that apply to both SEA and SH and address organisational culture among other things. It can be used for deeper assessment of multilateral performance to prevent and address SEAH. As noted earlier, the SEA component measures categories similar to those contained in the 22 MOS-PSEA Key Indicators (IASC), but was developed specifically with applicability to multilateral organisations, measurability, and reliance on secondary evidence in mind; and is less comprehensive. This is because MOPAN provides a snapshot of an MO's organisational effectiveness across a few key areas; however, the drawback of producing this holistic view is that the number of indicators that can be examined for each area is necessarily limited. Prioritisation of SEA and SH indicators was undertaken through a case study in 2019.

## *MOPAN+ Toolkit on SEA/SH*

| 1. Prevention of, and response to sexual exploitation and abuse | | |
|---|---|---|
| **Indicators** | **Guidance for assessing this indicator** | **Possible sources of evidence** |
| **1.1. Organisation-specific dedicated policy statement(s), an action plan and/or code of conduct addressing SEA are available, aligned to international standards and applicable to all categories of personnel.** | MOs with exposure to SEA risk are expected to have an organisation-specific policy for SEA in place. In the UN, SEA policy should align with the SG's bulletin (ST/SGB/2003/13) or IASC six principles and the minimum standards; many organisations beyond the UN are doing so as well (CHS Alliance, as well as several donor countries). It is expected that every UN organisation with field operations and programmes have an action plan or risk mitigation strategy in place, submitted to the SG (see most recent Fact Sheet of SG initiatives on SEA).<br><br>A code of conduct should be in place that explicitly rules out SEA, and, applies to every member of personnel, and ideally requires signing. Not all codes of conduct will mention SEA; so it is noteworthy. | • Document review:<br>Available policies and action/implementation plans, organisation-specific policy; Annual Action Plan (submitted to the UN Secretary General in the case of the UN). |

| Indicators | Guidance for assessing this indicator | Possible sources of evidence |
|---|---|---|
| **1.2. Mechanisms are in place to regularly track the status of implementation of the SEA policy at headquarters and at field levels.** | Mechanisms to track the status of implementation can take various forms, depending on an organisation's maturity: from a report on the implementation of the SEA policy by the Head of the MO to the governing body or UN SG in the case of CEB members or other instances, to undertaking self-assessments or independent reviews on addressing SEA (e.g. see UNICEF, UNHCR).<br><br>Evidence can be found in Annual Certification, Assurance Statement Letters, or End of Year Management Letters to the SG (confirming that the MO has reported all allegations to the UN and conducted training), and independent reviews or self-assessment reports. Some organisations have templates for country directors to report annually to the head of agency or similar annual internal reports. | • **Document review:** Annual Certification (confirming that the MO has reported all allegations to the UN and conducted training); Independent reviews of progress on addressing SEA.<br><br>• **Interviews:** Evidence of uptake and implementation in headquarters' interviews (e.g. human resources lead, SEA/SH focal point, programme staff, partner liaison), interviews with field offices include an enquiry into support to SEA at country or regional levels. |
| **1.3. Dedicated resources and structures are in place to support the implementation of a SEA policy and/or action plan at headquarters and in programmes (covering safe reporting channels and procedures for access to sexual and gender-based violence services).** | Organisations are expected to have capacity in place for PSEA. This can range from a focal person to a dedicated unit at HQ, and PSEA Focal Points in the field to support the implementation of the SEA policy organisation-wide.<br><br>This will entail verifying the availability of dedicated financial resources i.e. whether budget documents contain provisions for supporting the implementation of SEA policy, related accountability mechanisms (investigators, dedicated disciplinary team), which are regarded as a critical means of deterrence (and hence prevention), and related outreach; and for personnel fully or partially responsible for SEA prevention/response. Sponsoring PSEA co-ordinator(s) at the field level is good practice; IASC asks MOs to do this voluntarily. | • **Document review:** Budget documents (containing provisions for personnel with full or partial responsibility for SEA prevention/response). The SG bulletin provides information on whether there is a PSEA focal point at P4 level in L2 and L3.<br><br>• **Interviews at headquarters:** Evidence of capacity to implement SEA policy at headquarters (e.g. PSEA focal point, programme staff, partner liaison)<br><br>• **Interviews with field offices:** Include enquiring into support for PSEA at country or regional levels. |

| Indicators | Guidance for assessing this indicator | Possible sources of evidence |
|---|---|---|
| **1.4. Staff training on SEA policies is conducted with adequate frequency.** | Training should be required by the organisation's SEA policy/action plan.<br><br>Pre-deployment SEA training is mandatory for all UN personnel. As of 11/2020, training and e-learning on 'Prevention of SEA' are mandatory for all peacekeeping, UN Secretariat, IOM, UNAIDS, UNDP, UNFPA, UNHCR, UNICEF, UNOPS, UNRWA, UN-Women, and WFP personnel (see Fact Sheet on SG initiatives); training should also be provided to contractors, interns, consultants, etc.<br><br>Refresher training on the standards of conduct should be annual and mandatory.<br><br>Ideally, dedicated PSEA training modules are scenario-based, reviewed regularly, and go beyond online training modules. Good practice is considered to integrate these into standard organisational training (e.g. induction, emergency preparedness, security, etc.). | • **Document review:** SEA Policy/action plan with a requirement for training; training modules and materials, especially standard ones.<br><br>Communications from management to all staff about the training.<br><br>• **Interviews** with staff (in the field and at headquarters) to verify the provision of training, its uptake and effectiveness. Interviews (with field offices and at headquarters) can probe the provision of training, its uptake, and effectiveness. |
| **1.5. Awareness-raising on SEA policies is conducted with adequate frequency.** | Awareness-raising (in field operations) is done in two ways – jointly with other organisations, and by the MO itself. MOs are expected to contribute to inter-agency efforts that entail participatory processes with community members and other associated stakeholders to support understanding of SEAH, that it is unacceptable by the organisations' standards, and of the ways in which it can be reported. These efforts, accessible to literate and illiterate individuals, and adapted to each context in terms of language, terminology and awareness of cultural norms (that may be challenged) are most important. In addition to this, an organisation also needs to have capacity to do minimal outreach independently through external communications and carefully chosen focal points, so as to raise beneficiary awareness on PSEA, access to referral services, and reporting. This would also include information about community-based reporting mechanisms. "Adequate" frequency is to be judged with respect to the organisation's exposure to SEA risk. | • **Examples of good practice:** Training modules developed jointly for implementing partners, community meetings, radio spots, text messages, communication of phone numbers or email addresses through which SEA can be reported, and on community complaint-based mechanisms. |

| Indicators | Guidance for assessing this indicator | Possible sources of evidence |
|---|---|---|
| **1.6. The organisation has clear standards and due diligence processes in place to ensure that partners prevent and respond to SEA. (For UN agencies: the organisation has undertaken steps to implement the UN Protocol on SEA Allegations involving Implementing Partners).** | The UN Protocol on SEA Allegations involving Implementing Partners (2018) sets standards for UN partners on SEA prevention, reporting, investigations, and corrective action.<br><br>Implementing the Protocol entails steps such as: updated partnership agreement templates to include mandatory SEA clauses; a checklist for screening IPs; a toolkit for partners, training, and field monitoring. These can be covered through the document review. An IASC training/learning Package on Protection from Sexual Misconduct (both SEA and SH) for UN partner organisations was published in 2020 (led by IOM). | • **Document review:** Use of template of implementing partnership agreements integrating SEA; annexes to the annual SG report; staff surveys.<br><br>• **Headquarters and in-country interviews:** Internal controllers, partnership management to verify that internal controls are applied to all partners.<br><br>• **Partner Survey:** Knowledge and uptake of SEA policies. |
| **1.7. Intervention design for programmes/ projects is based on a contextual analysis that includes the potential risks of sexual abuse and misconduct with respect to host populations.** | The contextual analysis informing intervention designs should include an analysis of potential risks of SEA and misconduct. Programming tools (e.g. country programmes, programme or project design, etc.) explicitly include a requirement to implement procedures for safeguarding beneficiaries. In organisations that are exposed to the risk of SEA, this risk analysis is expected to feed into the corporate risk register. | • **Document review:** Programming guidance, risk management framework, application of SEA and gender-based risk assessment in strategic planning (e.g. existing gender country analytics; data on gender dynamics, existing service provision for survivors), (child) protection policy, staff survey.<br><br>• **Interviews** with risk management focal points at headquarters and in the field and with field programme staff. |
| **1.8. The organisation can demonstrate its contribution to interagency efforts to prevent and respond to SEA at field level, and SEA policy/best practice co-ordination fora at headquarters level.** | Inter-agency co-ordination, collaboration, harmonised approaches and lesson learning are crucial for the success of PSEA. Organisations are expected to show a commitment (corporate statement) to participate in such inter-agency collaboration to prevent, investigate, and report on SEA.<br><br>At HQs, this means participating in the IASC, High Level Steering Group on SEA or similar mechanisms. The submission of a SEA action plan to the UN Office of Special Co-ordinator or a formal endorsement of IASC minimum standards on SEA/SG bulletin would attest to this intent.<br><br>In field operations, these contributions include participation in and support to inter-agency country structures such as PSEA Networks/Task Forces and having dedicated co-ordinators. | • **Document review:** To identify international commitments regarding participation in related interagency processes.<br><br>• **Document review and Interviews:** Participation in interagency processes to prevent and combat SEA (IASC, HLSG, etc.).<br><br>• **Interviews** with task force focal point(s) and possibly PSEA focal points in the field. |

| Indicators | Guidance for assessing this indicator | Possible sources of evidence |
|---|---|---|
| **1.9. The number of SEA allegations, related basic information and actions taken are reported (for UN agencies: in line with UN standards for reporting and including implementing partner cases).** | This indicator assesses the organisation's reporting on allegations. The MO is expected to report publicly on SEA allegations (aggregated from formal and informal reporting channels), and actions taken. UN entities report through the UN SG's reporting system (20 entities as of 12/2019).<br><br>To prevent re-hiring, MOs should also share this information via the Clear Check database (UN CEB entities), Inter-Agency Misconduct Disclosure Scheme by the Steering Committee for Humanitarian Response (other MOs), or similar initiatives. | • **Document review:** For the UN, an annual certification letter to the governing body and SG that all credible allegations have been reported and that training is offered; publications by the ombudsman's office and ethics office, reporting available SG Annual Report annexes and staff survey. UN system-wide data on allegations. |
| **1.10. The organisation takes prompt action on SEA allegations.** | This indicator assesses the timeliness of the organisation's response to SEA complaints. One of the bases i.e. the IASC Plan for Accelerating Protection from SEA in Humanitarian Response at Country Level, aims to provide prompt, quality assistance to all victims/survivors of SEA.<br><br>No hard benchmarks exist for assessing timeliness (given that cases vary in complexity), but there should be evidence of best efforts to respond to complaints in a timely manner. | • **Document review:** For UN bodies, UN system-wide data on allegations.<br><br>• **Interviews** with SEA prevention case managers, investigations offices, and other staff. |
| **1.11. The organisation has a victims' rights function in place for SEA, either as a stand-alone or as part of existing structures, in line with its exposure to SEA.** | This indicator uses the availability of a victim support function as a proxy for the organisation's capacity to assist victims/survivors in a manner seeking to uphold their rights, dignity and well-being. It asks whether the organisation has the capacity to respect the requirements specific to SEA cases (e.g. a different approach to investigations, ensure that victims/survivors are informed of the progress and outcomes of actions or processes that concern them) and is taking these seriously.<br><br>The function's role is to refer SEA survivors to safe and confidential victim assistance. As of late 2020, there are 4 Field Victims' Rights Advocates, many gender-based violence assistance and referral functions in the field and other structures.<br><br>A better measure would be the implementation of the Protocol on providing assistance to SEA victims, published in February 2020 and transmitted to all Resident Co-ordinators. Although it is too early to measure compliance, it may be interesting to ask how an organisation intends to implement this. | • **Document review:** To assess that a victims' rights function exists, verify services available to all personnel and affected individuals.<br><br>• **Interviews** with staff in the field and at headquarters to determine the uptake and quality of services. |

| 2. Prevention of, and response to sexual harassment | | |
|---|---|---|
| **Indicators** | **Guidance for assessing this indicator** | **Possible sources of evidence** |
| **2.1. Organisation-specific dedicated policy and/or codes of conduct addressing SH are available, aligned to international standards and applicable to all categories of personnel.** | The organisation has an organisation-specific policy for SH in place. For UN entities, the policy aligns with the SG bulletin from 2019 (ST/SGB/2019/8), with the 2018 UN Model Policy on sexual harassment, and other good practice (e.g. UN Women, "Towards an End to SH" pps. 8-9). Action plans are good practice especially when a policy is first issued, but they are not mandatory. Codes of conduct – that make the signatures of personnel mandatory, in the ideal - should explicitly rule out SH. Ideally, MO management has appointed an individual/oversight body to regularly review policy implementation, identify lessons learned and best practices and ensure that the SH policy is a living document that is adapted and improved over time. | • **Document review:** Available policies and action/implementation plans, organisation-specific policy, UN: Annual Action Plan (submitted to the SG). |
| **2.2. Mechanisms are in place to regularly track the status of SH policy implementation at HQ and at field levels.** | The MO should be reporting on the implementation of its SH policy as part of its regular annual reporting to its Executive Board (UN Funds and Programmes), the GA (UN agencies), or a similar body (other MOs). Documentary evidence can be found in the Board agenda (standard item), independent reviews of progress addressing SH, and independent expert reviews. Headquarters interviews can reveal evidence of uptake and implementation (e.g. HR lead, SH focal point, programme staff, partner liaison); field staff interviews can indicate the degree of policy implementation at country/regional levels, provided that administrative, junior and national staff and staff unions are included. | • **Document review:** Independent reviews of progress in addressing SH, independent expert reviews.<br><br>• **Headquarters interviews:** Evidence of uptake and implementation (e.g. Human resources lead, SH focal point, programme staff, partner liaison).<br><br>• **Field staff interviews:** Enquire about policy implementation at country or regional levels. Go beyond HR and towards administrative, junior grades and national staff and staff unions, etc. |

| Indicators | Guidance for assessing this indicator | Possible sources of evidence |
|---|---|---|
| **2.3. The organisation has a holistic mechanism in place to support the implementation of its SH policy, with clearly identified roles and structures.** | It is important that an MO have a clear mechanism to support the implementation of SH policy, and that it be holistic, i.e. include all HQ divisions and the field level.<br><br>This can be a standing committee or group of focal persons, or a dedicated body in place to support the implementation of SH policy at HQ and field. However, it should not consist of a single individual.<br><br>This body should have a mandate to co-ordinate the necessary response. For instance, protective action may require co-ordination among several divisions, including HR, a disciplinary team, staff counsellor/medical, legal, investigations, etc. | • **Document review:** Check available policies, action/ implementation plans, risk registers, management letters, gender policies/ strategies for SH to find roles/responsibilities. Budget documents (provisions for personnel with full or partial responsibility for SH prevention/response). Independent reviews of progress on addressing SH.<br><br>• **Headquarters interviews:** Probe for evidence of clear responsibilities in implementation at HQ (e.g. HR lead, SH or joint SEAH focal point, programme staff, etc.).<br><br>• **Interviews with field offices:** Include enquiry into a holistic approach to implementation at headquarters (Human resources lead, SH or joint SEA/SH focal point, programme staff, etc.) and support to SH capacity at country or regional levels. |
| **2.4. The organisation has resources in place for implementing its SH policy/guidelines at headquarters and in the field.** | The organisation allocates appropriate financial and human resources to its SH implementation mechanism. Resources should be dedicated to accountability mechanisms (investigators, dedicated disciplinary team), which are regarded as a critical means of deterrence/prevention of SH. Where the same function supports persons affected by SEA and SH, it should have the means to address both distinctly. | • **Document review:** Budget documents (provisions for personnel with full or partial responsibility related to SH prevention/response; and their operational budget). |

| Indicators | Guidance for assessing this indicator | Possible sources of evidence |
|---|---|---|
| **2.5. The organisation has clearly identifiable support channels in place for SH victims and clear responsibilities for following up with them, and a body that co-ordinates the response.** | Organisations need clearly established and identifiable channels for victims/survivors to report their needs/concerns and obtain advice. These should include clearly established responsibilities for following up with victims/survivors. Having a case manager in place is good practice. Where the same function supports persons affected by SEA and SH, it should have procedures for addressing the distinct needs of each class of affected individual.<br><br>Organisations need an appropriate body/standing committee to co-ordinate the necessary response because protective action may require co-ordination among several divisions (e.g. HR, Staff Counsellor, Medical, Legal, Investigations, etc.) and clearly established accountability mechanisms. | • **Document review:** Services available to (all) personnel and affected individuals; check available policies and action or implementation plans, risk registers, management letters, gender policies/strategies, as well as budgets to find roles/responsibilities, and services available to (all) personnel and individuals affected by SH.<br><br>• **Headquarters interviews:** Evidence of clear responsibilities in implementation at headquarters (e.g. HR lead, SH or joint SEA/SH focal point, programme staff, etc.).<br><br>• **Interviews with field offices:** Include enquiry into capacity to support on SH matters at country or regional levels and to determine service uptake and quality. |
| **2.6. All managers have received training on preventing and responding to SH, and all staff has been trained to set behavioural expectations (including on SH).** | It is good practice to have dedicated SH training modules for managers whether stand-alone or incorporated into the MO's broader management/leadership training. In the UN, in line with the Model Policy on SH, staff are required to undertake mandatory training, including during induction or on-boarding, to set behavioural expectations, and to attend other training opportunities related to SH to the extent possible. An IASC training / learning Package on Protection from Sexual Misconduct (both SEA and SH) for UN partner organisations has been published in 2020 (led by IOM).<br><br>It is good practice for SH training to be scenario-based, go beyond an online training module, include a bystander approach, and be repeated (refresher courses). Organisations should also raise awareness of SH through internal communications. Documentary evidence can be found in training modules and materials and in annual reports on training delivered, action plans, management letters, risk register (mitigation), staff surveys. Interviews at headquarters and with field offices can be used to probe the provision of training, its uptake and effectiveness. | • **Document review:** Training modules and materials, annual report on training delivered, action plans, management letters, risk register (mitigation), and staff survey.<br><br>• **Interviews** (field and headquarters) to verify the provision, uptake and effectiveness of training. |

| Indicators | Guidance for assessing this indicator | Possible sources of evidence |
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| **2.7. Several mechanisms can be accessed to seek advice, pursue informal resolution, or formally report allegations of SH.** | This element assesses whether survivors of SH can use a range of informal and/or anonymous mechanisms to address SH, from seeking advice, counselling, medical care, managerial intervention, informal resolution to formal complaint mechanisms. This can involve an ombudsman or other officials (see element 3). It is important that these channels have gender-sensitive reporting mechanisms and processes in place, and that evidence shows that they are being used.<br><br>An anti-retaliation policy should be applicable to both formal and informal reporting processes, and be respected. Documentary evidence on mechanisms in place can include the MO's website, reports of the ethics office and the ombudsman's office, staff perception surveys, SH information brochures. Headquarters and field interviews could provide evidence of use and trust in formal and informal reporting channels. | • **Document review:** Complaint mechanisms in place (e.g. website, ethics office report, ombudsman's office report, SG Annex 1), review of staff perception study/survey, informational brochures, etc.<br><br>• **Headquarters and field interviews:** Evidence that formal and informal reporting channels are used. |
| **2.8. The organisation ensures that it acts in a timely manner on formal complaints of SH allegations.** | There is no universal/professional standard for assessing the timeliness of an investigation or disciplinary process in response to a complaint. Timeliness will have to be judged. The best time indicator is how long the organisation takes to impose a disciplinary measure after a formal complaint has been made. To measure that an MO makes its best effort, it is important to find out whether/how the MO monitors timeliness so as to understand its own bottlenecks and learn for the future. | • **Documentary evidence:** Includes reporting by the ombudsman's office, ethics office, staff surveys, etc. Interviews can provide information on timeliness (average number of days for response, and efforts to improve timeliness).<br><br>• **Document review:** Reporting and publications by the ombudsman's office the ethics office.<br><br>• **Interviews:** Timeliness (average number of days for response, efforts to improve timeliness).<br><br>• **Staff surveys**, if available. |

| Indicators | Guidance for assessing this indicator | Possible sources of evidence |
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| 2.9. The organisation transparently reports the number and nature of actions taken in annual reporting. | This indicator looks into how the MO reports on its handling of SH cases.<br><br>MOs can be expected to report on SH cases and responses annually to the GA (UN agencies), the Executive Board (UN funds and programmes) or equivalent, in an anonymised manner. Although annual disciplinary reports are often Board-internal, the essence of reporting on misconduct, including SH, should be made public in annual reporting.<br><br>UN agencies also report data through the SG's compendium of disciplinary measures. MOs are expected to share this information with all personnel.<br><br>To comply with due process requirements and to respect the confidentiality of those involved, MOs tend to report on their disciplinary cases (including SH) in an anonymised manner, providing information on the nature of the case, time between complaint and disciplinary action, and the type of disciplinary action taken. | • **Document review:** Annual compendium of disciplinary measures (UN Office of Human Resources), Annual Disciplinary Reports (for non-UN organisations), Annual report to the Executive Board (UN funds and programmes), or equivalent. |

| 3. Indicators applicable to both SEA and SH | | |
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| Indicators | Guidance for assessing this indicator | Possible sources of evidence |
| 3.1. Accountabilities and responsibilities for protecting from SEA and SH are clearly allocated in the organisation's management; leadership is held to account. | The organisation's senior management takes ownership of the SEA and SH policies and responsibility for implementing them. The terms of reference for senior managers include accountability for implementing SEA and SH measures. | • **Document review:** Policies and action/implementation plans, organisation-specific policy; terms of reference for senior managers; corporate communications to staff on SEA/SH, etc.<br><br>• **Interviews** with staff and management |
| 3.2. Organisational culture supports protection from SEA and SH | The values an organisations upholds, the behaviours it promotes, its openness and transparency, and whether or not it encourages, challenges and addresses power imbalances, are all crucial for SEA and SH but difficult to measure. The CHS Alliance Handbook for implementing PSEAH describes an organisational culture that supports protection from SEA and SH as one where "staff understand the organisation's shared values that help to prevent SEAH; staff have the opportunity to discuss and challenge attitudes, behaviours and practice that underpin SEAH; senior leadership models the organisation's shared values which help to prevent SEAH, and the organisation's policies and practices address issues of gender, diversity and empowerment." | • **Document review:** Corporate messages, communications, annual self-assessment on implementing the UN System-Wide Action Plan for Gender Equality.<br><br>• **Interviews** with staff and management. |

| Indicators | Guidance for assessing this indicator | Possible sources of evidence |
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| **3.3. Policies and measures are in place and are being applied to protect whistle-blowers and individuals who report, from retaliation.** | Organisations should have a policy in place that protects whistle-blowers and other individuals who report allegations of SEA or SH, from retaliation. Assessments should look into evidence and reporting that this protection policy is being applied, specifically in relation to SEA and SH. | • **Document review** (or establish in interviews if needed).<br><br>• **Headquarters and field interviews/surveys:** Do staff trust these policies/protection mechanisms? Interviews with whistle-blowers: how have they been protected against retaliation? Independent staff surveys: does staff feel protected against retaliation if they disclose SEAH cases? |
| **3.4. The organisation prevents the hiring of candidates with a history of prohibited conduct.** | The organisation undertakes reference checks of external candidates during recruitment to ensure that individuals with a documented history of sexual misconduct are not appointed or engaged. It also feeds any information about (alleged) offenders into existing candidate screening applications such as ClearCheck, a centralised job candidate-screening application by the UN-CEB that captures information on offenders and alleged offenders, or the Inter-Agency Misconduct Disclosure Scheme by the Steering Committee for Humanitarian Response (for MOs outside the CEB), or similar initiatives. | • **Document review:** Documentary evidence on the use of candidate screening applications can be found in annual reports to the Executive Board/GA or equivalent and in annual disciplinary reports (usually internal) if available.<br><br>Regarding ClearCheck implementation: the list of participating MOs is included in the Fact sheet on the SG's initiatives to prevent and respond to SEA Section II: Transparency, accountability and ending impunity, item no. 10. |

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