



# MANUAL ON PREVENTION AND RESPONSE TO SEXUAL EXPLOITATION AND ABUSE (PSEA)

Operationalizing practical  
actions to guide leadership,  
headquarters and field teams



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None of the images in this manual are meant to represent survivors of sexual exploitation and abuse.

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## KEY TERMS<sup>1</sup>

**Affected Person/s** refers to persons who look to or benefit from Red Cross and Red Crescent protection or assistance. This may include any person in the country or local community where we are operating.

**Abuse** refers to actual or threatened neglect, emotional, physical and/or sexual exploitation and abuse (including sexual harassment) of any child, young person or adult by any member of our staff, volunteers and associated personnel.

**Child** refers to every human being below the age of 18 years.

**Community-based complaints mechanism (CBCM)** refers to trusted channels through which members of an affected community can safely report complaints and seek help. It builds on engagement with the community where individuals are able and encouraged to safely report grievances in a confidential way if needed – including SEA incidents – and those reports are referred to the appropriate entities for follow-up.

**Gender-based violence (GBV)** is an umbrella term for any harmful act that is perpetrated against a person's will and that is based on socially ascribed (i.e. gender) differences between males and females. It includes acts that inflict physical, sexual or mental harm or suffering, threats of such acts, coercion, and other deprivations of liberty. These acts can occur in public or in private.

**Humanitarian worker / personnel** refers to any person in the service of the organization, including all staff, volunteers, interns and consultants.

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<sup>1</sup> All definitions are taken from the **IFRC Secretariat Policy on Prevention and Response to Sexual Exploitation and Abuse, Pledge on Prevention and Response to Sexual Exploitation, Abuse and Sexual Harassment** and/or **IASC Guidelines for Integrating Gender-Based Violence Interventions in Humanitarian Action**.

**“Retaliation” or “retaliatory action”** means any direct or indirect detrimental action recommended, threatened or taken because an individual has reported a suspicion of alleged misconduct or participated in an authorized audit or investigation. Retaliation may include adverse administrative actions, such as, but not limited to, unwarranted poor performance evaluations, changes in job duties or other negative decisions affecting the individual’s terms and conditions of employment. Retaliation may also take the form of verbal abuse or harassment.

**Survivor/victim** refers to a person who has experienced sexual exploitation or abuse. The terms ‘victim’ and ‘survivor’ can be used interchangeably. ‘Victim’ is a term often used in the legal and medical sectors. ‘Survivor’ is the term generally preferred in the psychological and social support sectors because it implies resiliency.

**Third-Party Personnel** refers to any person who is employed by a third-party and made available to the IFRC, without being IFRC Personnel, such as by means of a service agreement between the IFRC and a service provider.

**Whistleblower** refers to an individual who reports a concern regarding wrongdoing. Whistleblowers provide information, based on a reasonably held suspicion that a wrongdoing has occurred.

**Zero tolerance** refers to zero tolerance of Red Cross and Red Crescent Movement staff and volunteers engaging in any form of sexual exploitation or abuse. In practice, this is a commitment to immediate operational response when a concern is raised and an obligation on any staff, volunteers and associated personnel to report concerns as soon as they arise. It includes protection of, and non-retaliation towards, whistleblowers or anyone else reporting concerns. Zero tolerance to SEA includes a prohibition on transactional sex by aid personnel, regardless of local legislation.

# Overview: Prevention and Response to Sexual Exploitation and Abuse (PSEA) in the Red Cross and Red Crescent Movement

## 1) Introduction

This Manual aims to support Red Cross and Red Crescent leadership, headquarters and personnel in field operations, helping them understand just how important it is to both prevent and respond to sexual exploitation and abuse. It also incorporates practical solutions that adhere to minimum standards in line with the Inter-agency Standing Committee Minimum Operating Standards on PSEA (IASC MOS-PSEA)<sup>2</sup>.

It is mostly geared towards individuals within National Societies and Red Cross and Red Crescent humanitarian response who do not have specific expertise in PSEA. With the right guidance, such non-PSEA specialists can play a key part in helping reduce the risk of sexual exploitation and abuse (SEA) for affected populations and colleagues by, for example, taking on the role of a PSEA officer or acting as a focal point. Some areas of the Manual, however are flagged up as warranting specialist expertise (for example, HR, trained protection or professional investigator) in order for it to be implemented.

Consistency of approach is important, and we are grateful to the numerous Red Cross Red Crescent Movement (“Movement”) actors who contributed to this Manual. The Manual will continue to be developed with feedback from those working in humanitarian response and National Society development.

There are two parts to the Manual each outlining the different, yet complementary, actions for a) leadership and headquarters staff and b) operational and field staff and volunteers. It is structured to provide practical, accessible guidance for teams and is supplemented with useful training material, including online resources.

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<sup>2</sup> The **Pledge on Prevention and Response to Sexual Exploitation, Abuse and Sexual Harassment (2019)** calls for all Movement actors to implement good practice based on minimum standards e.g. in accordance with the IASC MOS-PSEA.

## What is sexual exploitation and abuse (SEA)?

SEA is any form of sexual exploitation or abuse caused, intentionally or unintentionally, by Red Cross and Red Crescent Movement people, operations or projects. This includes SEA of persons (adult or child) that come into contact with or benefit from our protection or assistance, as well as SEA of Red Cross and Red Crescent personnel. SEA is a form of gender-based violence.

SEA in childhood or adulthood impacts not only on the survivor but also their family, friends and communities. SEA has numerous potential consequences that can last a lifetime, with serious adverse effects on emotional and psychological well-being, social acceptance, health, education, employment, crime and/or economic well-being.

As well as harming the people we serve, SEA erodes trust in the Red Cross and Red Crescent Movement and can have serious reputational, financial and legal consequences.

### What SEA looks like

A humanitarian worker attempts to engage in sexual activity with a community member they are supporting through the project.

A woman gives her consent to have sex with her employer in exchange for a paid staff/volunteer position.

A humanitarian worker is “satisfying their own sexual needs and desires” within the affected community without understanding the power dimension.

A humanitarian worker uses sex trade workers outside work hours.

A senior member of staff makes sexual remarks about the body, clothing or appearance of staff or volunteers at the office.

Some organizations use the term “PSEAH”. The “H” in PSEAH represents **sexual harassment**. While sexual harassment is closely linked to sexual exploitation<sup>3</sup> and abuse<sup>4</sup>, it is also unique. The laws, policies and procedures for responding to harassment can be specific and separate from exploitation and abuse. Content that is specific to sexual harassment is highlighted within a separate box throughout the Manual.

3 For example, in a case of ‘quid pro quo’ sexual harassment, an employee might have lost their job because they rejected sexual overtures from their employer.

4 For example, in a case of ‘hostile work environment’ sexual harassment, pervasive sexist behavior from co-workers may have created odious conditions of employment.



**Prevalence of sexual harassment** within a team, office or organization is indicative of an organizational culture which is conducive to SEA. Sexually harassing behaviors are not typically isolated incidents; rather, they are usually a series or pattern of sometimes escalating incidents and behaviors.



### **Why does SEA happen?**

SEA often results from power imbalances associated with gender, age, disability or where an individual belongs to a minority group including sexual minorities. In addition, the risks of sexual exploitation and abuse are heightened where there is crisis, conflict and forced displacement. Emergency affected community members often have multiple layers of vulnerability towards SEA. In this context, humanitarian workers are often in a position of relative power and privilege in relation to emergency affected populations. Those most at risk are often women, children, people with disabilities and sexual minorities. Men can be targeted too.

Most people who have experienced SEA don't report such violations. This may be because of fear of reprisal or stigma, lack of information on how to report concerns, or lack of trusted services to help support healing, recovery and justice.

SEA is a form of power abuse which we know does not happen because of a few "bad seeds" but rather is a product of conducive situations and contexts where power is misused and without consequence. For example, there may be risk of SEA when professional standards of behavior are not clearly communicated and enforced and so staff and volunteers feel less inclined to speak out about concerns. As well, professional standards may exceed the law on SEA, causing confusion as to which standards to follow.

### **Example of a conducive context**

In a gender analysis on the Ebola response, CARE noted: "The influx of Ebola responders and associated cash flow may also inadvertently have created conditions which favourise economic or sexual exploitation and abuse. The visibility and rise of such incidents is likely correlated with parallel increases in community resistance against Ebola response efforts."



## Red Cross and Red Crescent commitments

PSEA is a part of the Red Cross and Red Crescent commitment to 'do no harm'. The Red Cross and Red Crescent Movement approach to PSEA is underpinned by the **Fundamental Principles of humanity and impartiality**. Our commitment to PSEA is reinforced through the following Red Cross and Red Crescent strategy, resolution, pledge and policies:

**IFRC Strategy 2030** includes: "We also deepen our efforts to prevent, identify and respond to instances and allegations of behavior that are contrary to our humanitarian principles and values. We will support widespread implementation of IFRC policies on Gender and Diversity as well as Prevention of Sexual Exploitation and Abuse and, will constantly monitor and update these policies and practices as necessary."<sup>5</sup>

**Red Cross and Red Crescent Movement Resolution on the Prevention and Response to Sexual and Gender Based Violence in Emergencies (December 2015)** provides a foundation for efforts to address PSEA across all operations of all National Societies and parts of the Movement. It calls upon all components of the Movement "to adopt and enforce zero tolerance policies on sexual exploitation and abuse of beneficiaries by their staff and volunteers, and subject these individuals to sanctions for their actions".

**Pledge on Prevention and Response to Sexual Exploitation, Abuse and Sexual Harassment (2019)** is also a foundational document which promotes zero tolerance towards SEA and sexual harassment. It calls for the strengthening of organizational capacity and capability across the Movement to prevent and respond to abuse, exploitation and harassment caused by our people, operations and projects, and outlines a four-year action plan.

**Council of Delegates Statement on Integrity of the International Red Cross and Red Crescent Movement (2019)** includes a commitment on PSEA.

**IFRC Secretariat Policy on Prevention and Response to Sexual Exploitation and Abuse** sets out "policy, rules and actions intended to prevent Red Cross and Red Crescent personnel or our partners from engaging in any form of sexual exploitation and abuse and to respond where it has occurred."<sup>6</sup>

**IFRC staff Code of Conduct** and **ICRC staff Code of Conduct** set out clear prohibitions for staff in relation to SEA.

**Do no harm** is about ensuring that humanitarian operations do not have any negative effects endangering affected persons, for example as a result of unplanned or poorly planned services or as a result of systemic failure to safeguard.

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<sup>5</sup> IFRC. (2019). *Strategy 2030*.

<sup>6</sup> IFRC (2018). *IFRC Secretariat Policy on Prevention and Response to Sexual Exploitation and Abuse*.

### **IFRC staff Code of Conduct - Sexual abuse and exploitation**

All Staff shall:

17. Not commit any act of sexual exploitation, sexual abuse or sexual violence. This prohibition extends to **all forms of sexual abuse or exploitation** and includes not **reporting** concerns or suspicions regarding any violation by a co-worker (whether fellow Staff or an individual working for a partner organization).

18. Not engage in any sexual activity with **persons (adult or child) that look to or benefit from the Federation's protection or assistance**, or with any **persons under the age of 18** years, regardless of the age of majority or consent locally (mistaken belief in the age of a child is not a defense). Sexual activity includes all forms of activity and abuse of a sexual nature, with or without physical contact and whether or not either party is aware of such abuse.

19. Not **exchange** money, employment, goods or services for sex, including sexual favors or other forms of **humiliating, degrading or exploitative behavior**. This prohibition extends to engagement with **sex trade workers**.

20. Not produce, procure, distribute or use **pornographic material** in Federation offices or on Federation equipment, including reading/surfing pornographic websites or message boards or sending pornographic emails.

### **Guidelines and standards**

Ensuring PSEA systems are in place is a minimum standard for all humanitarian agencies and is also increasingly an expectation from partners and donors, including national governments and UN agencies. When we do not have these systems in place, it is a risk for the people we serve and a reputational risk for our Movement.

The **Pledge on Prevention and Response to Sexual Exploitation, Abuse and Sexual Harassment (2019)** calls for all Movement actors to implement good practice based on minimum standards in accordance with the **Inter-agency Standing Committee Minimum Operating Standards on (IASC MOS-PSEA)**.

A good first step is to carry out an organizational assessment against the IASC MOS-PSEA (see section 3 of this Manual for further information on how to carry out an assessment and develop a PSEA action plan).

It is important to coordinate with other actors at field level to ensure implementation of minimum standards in coordination with other actors and sectors. This may involve engagement with the PSEA network and/or regular consultation with the protection cluster and sexual and gender-based violence (SGBV) working group.

Other guidelines and standards that may be useful for reference include the **Secretary-General's Bulletin on special measures for prevention of sexual exploitation and abuse (2003)**; **DAC recommendation on ending SEAH (2019)**; **Core Humanitarian Standard on Quality and Accountability (CHS)**; and **minimum standards for Age and Disability Inclusion in Humanitarian Action**.

**IFRC and partner National Societies have advisors available who may provide support for strengthening PSEA against minimum standards.**

## 2) Key messages

Any form of SEA perpetrated by humanitarian workers is one of the most serious breaches of humanitarian accountability. It has a direct impact on the confidence and trust of affected communities, as well as the host country and other Movement and humanitarian actors, which is why the following messages are important for us all<sup>7</sup>:

- The Red Cross and Red Crescent Movement approach to PSEA is underpinned by the **Fundamental Principles of humanity and impartiality** and principle of 'do no harm'.
- We respect social, cultural and religious differences among Movement personnel but **zero tolerance to sexual exploitation and abuse must apply in all locations, in all cultures and with all Red Cross and Red Crescent partners**.
- While any organization, community or family in any country worldwide can be affected by sexual exploitation and abuse, **the risks are heightened where there is crisis, conflict and forced displacement**. People most at risk are often women, children, people with disabilities and sexual minorities. Men can be targeted too.
- At a minimum, we must all ensure we do not cause or contribute to sexual exploitation and abuse, and **report all concerns as soon as possible**, in line with organizational procedures and/or the procedures set out in this Manual.
- **It is everyone's responsibility** to establish an environment built on integrity and respect, in which volunteers and staff are comfortable at work, and people of all genders, ages and abilities feel safe to participate in our projects and services. Senior leadership, managers, employees and volunteers all have a unique and integral part to play in creating this culture.
- Sexual exploitation and abuse are **rooted in unequal gendered power dynamics**. It is important to address all forms of power abuse which can lead to and reinforce sexual exploitation and abuse. We can do this by analyzing and improving organizational culture, programming and partnerships to help stamp out imbalance.

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<sup>7</sup> These messages reinforce the commitments within the **Pledge on Prevention and Response to Sexual Exploitation and Abuse and Sexual Harassment (2019)**.

# Getting the PSEA basics in place for my National Society: A guide for leaders and staff in headquarters

## 3) Organizational PSEA assessment for National Society partners

### Why internal preparedness is important

The long-term goal of PSEA is to create an environment where all staff, volunteers and community members feel safe and respected. Community members should always be able to access the protection and assistance they need without fear of any form of exploitation or abuse. To do this requires a shift in attitudes and behaviors which we are well aware will take time. We understand that there is no easy fix but also know that some preventative measures will be effective and can be put in place quickly.

**A self-assessment process is useful practice for a National Society to undertake for strengthening PSEA; it is also increasingly an expectation from many partners and donors, including governments and UN.**

### How internal preparedness can be supported

The most effective internal assessments require perspective and input from different stakeholders within any organization. One method for gathering feedback is to organize an inter-departmental meeting or focus group discussion. This can include National Society leadership, governance, human resources (“HR”), legal, security, operational and technical personnel. It is important that PSEA, protection and/or gender staff are involved and that there is representation from all levels of the organization and not just its senior staff. Bringing together a mix of genders, age groups and abilities helps introduce a variety of perspectives into the process. As well, consultations may be conducted with external partners, for example by inviting technical and/or legal input which the National Society may be less familiar with.

### What specific questions can help a National Society prepare to take action?

The suggested criteria for assessment are the eight standards within the IASC Minimum Operating Standards on PSEA (IASC MOS-PSEA). See **Tool 1** for an assessment framework that can be used to carry out an assessment against the eight standards within the IASC MOS-PSEA. This framework is based on, and aligned to, the **UNICEF Implementing Partner PSEA Capacity Assessment, which is mandatory for organizations receiving UNICEF funding.**

### **What might an organizational action plan look like?**

The **Pledge on Prevention and Response to Sexual Exploitation, Abuse and Sexual Harassment (2019)** sets out a PSEA action plan for organizations to complete within four years, as well as indicators for measuring progress. This is designed to be achievable for all Red Cross and Red Crescent organizations, with support from Movement partners. **Tool 2** sets out the action plan and indicators within the **Pledge**. The following sections describe actions that may contribute to strengthening PSEA.

### **4) Designating PSEA focal points**

The main objective of a PSEA focal point is to help senior management actively prevent and respond to sexual exploitation and abuse by strengthening PSEA policy and supporting the development and delivery of a PSEA action plan.

The PSEA focal point role might involve:

- Monitoring and oversight of the PSEA action plan
- Working in coordination with a PSEA network/other actors
- Co-leading the development/review of a PSEA policy
- Holding Code of Conduct briefings with emphasis on PSEA
- Being the internal focal point (not investigator or case handler) for SEA complaints and concerns
- Contributing to developing and updating a guide on referrals to health and other services that SEA survivors may need, in cooperation with gender-based violence and legal expertise
- Helping to ensure that PSEA is included in every plan, program activity, and donor cooperation agreement
- Serving as liaison between the organization and donors on PSEA issues

The extent of responsibilities will vary depending on the role and whether it's focused on strengthening PSEA within a program, service, organization or group of organizations.

See **Tool 3** for an example of Terms of Reference, including person specification for a PSEA Officer.

#### **Good practices**

- Two focal points in each office - one female and one male
- Ensure focus on the underlying issues of gender and inclusion
- Focal points should coordinate with a PSEA network/other actors to ensure updated knowledge and, importantly, peer support

## 5) Supporting development of PSEA policies

### Why PSEA policies are important

It is essential for PSEA policy to be established so that organizations can address pertinent issues such as the behavior of staff and volunteers. Policies provide the basis for communications, compliance and consistent decision-making. They also enable organizations to hold staff and volunteers to account when they are in breach of a policy they have signed up to.

#### Good practice for PSEA policies and procedures

- be clear and accessible for everyone
- reflect the philosophy and values of the organization
- recognize gender specific vulnerabilities and promote gender equality
- establish standards of behavior which exceed the minimum standard required by law, where necessary
- respect the best interests of the child, if the organization interacts with children
- ensure that issues are dealt with in a consistent way
- provide continuity as members come and go
- sit with HR or a similar function (a requirement for any policy requiring access to sensitive information about personnel and others)
- be owned and directed by leadership to ensure implementation

### Actions

It is recommended that a working group is established for the development or strengthening of PSEA policies. A working group might include representation from National Society leadership, governance, human resources ("HR"), legal, security, operational and technical personnel. It is important that any PSEA, protection and/or gender staff are involved in the working group.

PSEA policies might include staff Code of Conduct, PSEA, child protection, anti-harassment, security and disciplinary policies.

Key principles and rules of conduct on which to base a PSEA policy include: zero tolerance towards SEA, principles of fair investigation, a survivor-centered approach and whistleblower protection.



A National Society's Code of Conduct, staff regulations and other instructions must be adapted to reflect the content of a PSEA policy and international (IASC) standards, including zero tolerance towards sexual exploitation and abuse. This means an updated version of the staff Code of Conduct is often necessary. Red Cross and Red Crescent organizations may either adopt **IFRC's staff Code of Conduct** or **ICRC's staff Code of Conduct** or develop their own Code, including zero tolerance to SEA. Similarly, National Societies may adopt **IFRC's PSEA Policy** or develop their own policy with reference to **IFRC's guidelines for a PSEA policy development process** (see **Tool 4**).

**HR and/or legal professionals can provide support for development of appropriate PSEA policies, in line with local legislation. In addition, IFRC can guide National Societies in developing PSEA policy and procedures, including providing briefings and training on PSEA.**

**An anti-harassment policy, with a commitment to providing a work environment that is free from workplace harassment and sexual harassment, and that promotes mutual respect, self-esteem and dignity, will be supportive to PSEA policy.**

## **6) Recruitment and induction procedures, including screening**

### **Why screening is important**

If someone poses a risk of perpetrating sexual exploitation or abuse, including sexual harassment or any other form of harm to the people we serve, staff or volunteers, they must not be involved in delivering any Red Cross and Red Crescent activities.

Taking steps to ensure that our personnel do not pose any risk to the people we serve, or to other personnel, is crucial. That's why we have screening measures in place that start before someone is selected to work or volunteer with the Red Cross and Red Crescent and continue throughout their appointment. Screening personnel for PSEA applies to everyone in an organization.

### **Actions**

Share the IFRC **Code of Conduct** and **PSEA Policy** or local National Society PSEA policies with all personnel.

All personnel must sign the staff Code of Conduct and PSEA Policy, acknowledging they have read the policies and agree to their terms.

Make sure all personnel complete a **briefing** on PSEA as part of their induction. This should include briefing on expected standards of behavior, PSEA policy and how to **recognize, respond to and report concerns**, as well as training which explains **power and privilege** and how it can lead to SEA. This can be done using National Society, IFRC or external agency tools.

### **Data protection**

means complying with the rules and regulations in the given country in terms of how the information should be stored and when it needs to be deleted. For example, Article 10 of the European Union General Data Protection Regulation (GDPR) states that any employer who is processing criminal convictions personal data can only do so where a lawful basis exists to justify that processing and national law permits that processing (and puts in place appropriate safeguards).

Ensure all personnel have completed a screening. There is no one comprehensive check but a combination of checks is recommended, as appropriate for the role and responsibilities of the staff member and whether they have contact with people in crisis. For example:

- **Questions at interview** which test values and understanding of PSEA.
- **A police record check.** Where this is not viable, local community leaders can be asked to certify that personnel do not pose harm.
- **At least two personal references** confirming the person does not pose a risk to others.<sup>8</sup>
- **A Statement of Conduct** from the current and most recent employers to cover a period of five years (if possible). See **Tool 5** for a legally robust Statement of Conduct template, developed through the Inter-Agency Misconduct Disclosure Scheme<sup>9</sup>.
- Personnel should sign a **personal statement** confirming that they have never been convicted of, are not currently suspected of, or are not being prosecuted for, any offence involving any type of harm to another person. They must declare that there is no element which could affect their suitability to work with volunteers, staff or people the Red Cross and Red Crescent works with in communities.

A **probationary period** for new recruits (e.g. a 3-6 month period) provides an opportunity for review of performance and, in the case that an individual is not demonstrating a good fit with the values and behavior expected by the organization, the probationary period may be extended or the contract terminated.

**Maintain screening records** in line with relevant data protection rules and regulations, including the application form, interview form, personal and police reference checks.

## **7) Safe organizational culture**

### **Why organizational culture is important**

Environments built on integrity and respect, where staff and volunteers feel able to voice concerns and everyone takes an active role in contributing to safety-related behaviors, help to prevent incidents of SEA. As well, if they do occur, they can be addressed and dealt with quickly.

**Senior leadership, managers, employees and volunteers all have a unique part to play in creating a culture of safety.**

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<sup>8</sup> Delegates should already have this completed as part of recruitment but it is still important to double check with your Human Resources department.

<sup>9</sup> In 2019, IFRC was among 15 agencies that joined the Steering Committee for Humanitarian Response's (SCHR's) new Inter-Agency Misconduct Disclosure Scheme, which addresses the specific problem of known sexual abusers moving within and between different humanitarian and development agencies. National Societies are encouraged to join the scheme. It is also possible to implement the referencing scheme without being a member of SCHR.

## **Actions**

Changing the culture of an organization requires vision, objectivity and a willingness to change. The following actions will contribute to creating an environment in which staff and volunteers feel safe and SEA is prevented and addressed.

**Gender-balanced, diverse and inclusive teams:** Diversity is a first step in ensuring dignity and respect for all. There is evidence that a higher presence of women is credited with lower SEA<sup>10</sup>.

**Good governance, accountability and transparency:** A PSEA focal point at senior leadership/Board level is an important step for ensuring that SEA is taken seriously, dealt with fairly and consistently, and that any necessary action will be taken.

**Zero tolerance for unacceptable behavior:** Clear standards for acceptable behavior in the organization, and the consequences for deviation from these standards, should include zero tolerance towards a) SEA b) stigma associated with SEA c) retaliation towards whistleblowers or anyone else reporting concerns, and d) discrimination, harassment and bullying.

**Staff and volunteers speak out and challenge poor behavior:** Receiving no reports, or very few, might be cause for concern in itself. For example, this might imply that reporting mechanisms are not accessible or well-designed for the context. Leadership communications, briefings and trainings which explain power and privilege and how it can lead to SEA, as well as how to recognize, respond and report concerns will help encourage reporting. Safe spaces where staff can reflect and share issues, and leaders are willing to listen and engage in conversations where uncomfortable challenges are raised and not shut down, can help create a culture in which staff and volunteers regulate their own behavior and the behavior of colleagues.

**Robust procedures for responding to concerns:** Standard operating procedures should require consistent implementation of measures for PSEA and monitoring of effectiveness, for example survivor surveys on quality of response.

**Safe practices in recruitment, induction, people management and programming:** Key PSEA risks, and actions which need to be regularly monitored, should be identified prior to service delivery. It is important that PSEA resources are in place. PSEA focal points should be designated and PSEA integrated into job/role descriptions for all staff and volunteers.

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<sup>10</sup> The presence of more women is credited with higher reporting of sexual and gender-based violence, as well as lower incidents of sexual exploitation and abuse.

## 8) Funding proposal guidelines

### Why it is important to integrate PSEA

As part of Red Cross and Red Crescent commitments to protect people, all proposals and projects should include action to prevent and respond to sexual exploitation and abuse. Global minimum standards clearly lay-out the need for PSEA to be included in all projects and proposals. Additionally, commitments to PSEA reflected in Red Cross and Red Crescent strategy, policies and resolution/pledges<sup>11</sup> including that Movement actors should implement good practice based on minimum standards in accordance with the **Inter-agency Standing Committee Minimum Operating Standards on (IASC MOS-PSEA)**.

Each Red Cross and Red Crescent project will be unique, and the actions required will vary based on the context. It is important therefore that PSEA issues are built into programming from the outset. This should include an initial risk assessment, referrals mapping and complaints mechanism established for SEA concerns.

**Donor requirements related to PSEA are increasing – PSEA is often part of due diligence and evaluation processes, and PSEA activities and results must be measured and integrated to project reporting.**

### Actions

In order to help ensure that projects and services are safe and inclusive, a joined up approach to PSEA, community engagement and accountability (CEA) and protection, gender and inclusion (PGI) is recommended. The following **minimum actions** (based on Movement standards<sup>12</sup>) are to be included within all projects and services:

**Complaints mechanism:** Integrate a mechanism to listen and act on feedback and complaints from the communities we work with into the project design documents. This should include concerns related to abuse, sexual exploitation and abuse, misuse of funds, fraud and corruption. It should be designed with the participation of the community members of all genders, ages and abilities, and staff and volunteers should be trained on how to manage it.

**Referrals:** Make plans to map referral pathways including quality of services, community perception of services, and barriers to access. Disseminate referral pathways to staff, volunteers and community members who express concerns. Services should include child protection, health care (including sexual and reproductive health care service), trafficking in persons, counseling and legal services, at a minimum.

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<sup>11</sup> See Red Cross and Red Crescent commitments on page 7.

<sup>12</sup> These minimum actions are based on the **IFRC CEA Guide, IASC MOS-PSEA, and dignity, access, participation and safety (DAPS) of affected communities (PGI minimum standards)**.

**Information sharing:** Introduce plans to ensure that communities, particularly the most vulnerable and marginalized, receive timely, accurate and accessible two-way information. This should include, but is not limited to, information on who we are, our Fundamental Principles, rights (including right to be treated with respect, and right to receive humanitarian assistance free of charge and without being exploited or harmed), overview of program activities, contact details and how to report a concern. Where relevant, it should also include life-saving information, such as weather forecasts or health-related messaging. Channels of communication should depend on the preferences of members of the community, especially vulnerable or marginalized groups.

**Inclusion:** Introduce plans to ensure the program is accessible for people of all genders, ages, abilities and backgrounds. These plans should be informed by the collection and analysis of disaggregated data, and focus group discussions with vulnerable groups. Where this is not possible (for example at the early stages of a rapid onset emergency or in areas with limited access to the affected population) estimates can be provided using national and international statistics, data gathered by other organizations, or through small scale surveys or key informant interviews with people working with vulnerable people of all genders, ages and abilities in the community. Design and plan support to ensure additional action is taken to include the most vulnerable in the program.

**Risks:** When planning project activities, analyze protection risks and capacities, including risks of sexual exploitation and abuse by humanitarian workers, and ensure mitigating actions are integrated throughout the intervention. This includes keeping information safe, secure and confidential (when processed and forwarded internally and transmitted externally); safe spaces for program activities; gender-balanced teams; and supervision/checks to ensure staff and volunteers are never alone with a child (under 18) or vulnerable adult<sup>13</sup>.

**Indicators:** Ensure the community acts as a key source of information and, where possible, and an active participant to the evaluation participates in evaluation, including levels of satisfaction and accessibility to the program, and how it was delivered (for example, community members of all genders, ages and abilities felt safe and able to participate).

The extent and level of action on PSEA to be taken within any project will depend on its specific context, timeline, funding and National Society capacity. However, all projects should aim to reach the above-mentioned aims, as a minimum. Where other parts of the Movement and/or external partners are working together with the National Society, efforts should be made to coordinate PSEA support and to align approaches, as much as possible.

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<sup>13</sup> Refer to **Washington Group questions**.



Key indicators linked to the above minimum actions include:

- Action plan for mitigating risks within the program
- Progress against the action plan
- Branch-level training with staff and volunteers on CEA, PSEA and PGI
- Community members of all genders, ages and abilities have been involved in the design of the system and their level of satisfaction with it assessed.
- Feedback and complaints, including SEA concerns, are collected from community members based on preferred channels, and response and outcomes to SEA concerns are documented and tracked.

Please see **Tool 6** for further examples of outputs and activities which can support proposal development, monitoring and evaluation.





# Integrating PSEA into projects and services: A guide for operations and field teams

Operations and field teams often have to consider many themes, issues and competing priorities. PSEA may be considered a basic minimum standard to help ensure that programs and services 'do no harm'. It is also part of the **Core Humanitarian Standard for quality and accountability** and a requirement of many donors, including governments and UN.

## 9) Carrying out a SEA risk assessment

### Why PSEA risk assessment is important

It is important to carry out SEA risk assessments for all projects and services which are community-facing. This will help identify and minimize the risks of SEA caused by our people, operations, projects and services.

**The assessment should be carried out with guidance from staff with expertise in PSEA, gender and/or protection.**

### Actions

**Plan the SEA assessment:** Decide on whether it will be a standalone assessment or integrated into a broader capacity and/or needs assessment. Establish the assessment team, which should include project/service delivery staff who have a good rapport with groups vulnerable to SEA, with technical support/guidance from an appropriate adviser.

**Situation analysis:** Identify national laws relating to SEA and whether there are risks in reporting SEA allegations to the authorities; existing trends in sexual and gender-based violence, human trafficking and abuse, including child abuse, in the project communities; community attitudes, customs and practices which may contribute to SEA, including harmful gender norms such as early marriage and female genital mutilation; power imbalances and discriminatory practices which restrict access to resources for minority groups; informal justice and protection systems.

### Vulnerable groups towards SEA

SEA often results from power imbalances associated with gender, age, disability or minority groups. Emergency affected community members often have multiple intersecting layers of vulnerability towards SEA. People most at risk are often women, children, people with disabilities and sexual minorities. Men can be targeted too.

**Organizational and staffing assessment:** Have project/service delivery staff and volunteers signed and been briefed on PSEA policy and staff Code of Conduct? Are safe practices established, related to recruitment screening, induction and complaints mechanism for SEA concerns? Is there a balance of gender representation in the project/service delivery team?

**Project assessment:** Are there risks of SEA in project delivery? For example, is the project targeting people with complex vulnerabilities? Is there frequent contact with children and/or vulnerable adults? Does the work involve intimate care such as in a hospital or care setting? Do community members have to travel to access assistance through the project? Are high value items being distributed and/or will assistance be delivered inconsistently?

**Community consultation:** Gather perspectives on the risks of SEA in relation to planned project activities. Involve people of all gender identities, ages and abilities, with a focus on particularly vulnerable groups towards SEA.

**Mitigating actions:** Identify practical actions that can be integrated to the project/service to address SEA risks.

**SEA risk assessment format**

<b>Project Title</b>				
<b>Organization(s)</b>				
<b>Procedure for Investigation and Response</b>				
<b>Vulnerable Group</b>	<b>SEA risks</b>	<b>Action</b>	<b>Who is involved?</b>	<b>When and how will this be monitored?</b>

### **Examples of practical actions to address SEA risks**

- gender-balanced teams/increased number of female staff
- supervision/accompaniment of staff and volunteers, for example staff and volunteers should work in pairs, whenever possible, and NEVER be alone with a child. In the case that staff and volunteers must work alone, a system should be established for monitoring movements and security
- designate PSEA focal points and ensure they are well known to volunteers, staff and community members
- map referrals and share referrals pathways with staff and volunteers
- establish a complaints mechanism for SEA concerns, in consultation with groups vulnerable to SEA
- train groups vulnerable towards SEA on how to claim their right to be safe and protected from abuse
- identify safe spaces for project activities
- train staff and volunteers in developing rapport and trust with community members
- collaborate with local women's groups, disabled people's organizations and child protection actors to help shape PSEA programming

## **10) Raising awareness with volunteers, staff and communities**

### **Why awareness raising is important**

We know that raising awareness is effective at reducing the risks of SEA. It also helps reinforce our accountability to communities by sharing information and building trust in the Red Cross and Red Crescent. PSEA should be an integral part of community engagement and accountability (CEA). In order to prevent and respond to SEA in the right way, it is crucial that everyone in the organization and affected communities understand the root causes of SEA. This includes their rights and obligations in relation to PSEA, what they can expect from the Red Cross and Red Crescent, as well as how to safely report a concern.

PSEA is relevant to all personnel. Senior staff, security, drivers and first responders all have a part to play.... no one should be left out.

**The IFRC communication skills training materials** include slides and exercises, for a one-day basic training on improving communication skills. This training pack is aimed at front-line volunteers and comprises training on the seven Fundamental Principles and Code of Conduct; communication skills; managing complaints; and conflict resolution.

## **Actions**

**Staff and volunteers** should be briefed on their PSEA obligations when joining the National Society. But it is not enough for them to just sign the staff Code of Conduct. It is important that they fully understand its contents, particularly our zero tolerance of SEA and the implications should staff breach the Code of Conduct. Adequate training on the Fundamental Principles and mandate of the Red Cross and Red Crescent must also be carried out so they can explain it clearly to communities and realize their roles and responsibilities in reporting and responding to SEA.

At the **community level**, orientation meetings should be held to discuss assessment and project plans with communities, explaining who we are; our Fundamental Principles; rights (including right to be treated with respect, and right to receive humanitarian assistance free of charge and without being exploited or harmed); overview of program activities; contact details and how to report a concern. Information should be visual, child-friendly and accessible for vulnerable groups towards SEA.

**Regular awareness raising** is important to reinforce key messages. But be mindful of staff turnover. You will need to re-introduce PSEA for each specific context, including whenever there is large mobilization or recruitment of volunteers to respond to a disaster or an emergency. We recommend arranging refresher training and/or producing material to raise awareness. This can include posters or leaflets displayed in the office, distributed to staff and volunteers and displayed within communities.

**Communications should be well coordinated and consulted** with community leaders, elders and local actors, for example local authorities and civil society actors with expertise in protection, gender and PSEA issues. This might include collaboration on referrals and assistance to survivors; the rights of persons with disabilities; child protection; inclusion of sexual minorities, older people and other marginalized groups such as refugees, migrants, homeless people and any other relevant group.

## **11) Referral pathways**

### **Why referral pathways are important**

When an allegation of sexual exploitation or abuse is made, the National Society is responsible for providing - as deemed necessary and appropriate on a case-by-case basis - assistance and support to anyone who has reported sexual exploitation and abuse by Red Cross and Red Crescent personnel. **Encouraging community members, volunteers and staff to report concerns without providing adequate protection and assistance could be putting people at risk of further harm.**

While National Societies may have extensive services for those with short term crisis needs, there are also agencies handling specific areas of need, who are specialists in their field. Anyone reporting sexual exploitation or abuse should be referred or signposted to the appropriate support. This might include healthcare, including sexual and reproductive healthcare services, physical rehabilitation, psychological and psychosocial support, legal assistance, socio-economic support and spiritual services, required<sup>14</sup>. See section 15 for further information on appropriate provision of assistance for survivors.

**Once referral pathways have been established, safe referrals should only be made by people who have professional experience in protection and have received training. Please reach out to the protection experts in your National Society for support with this step, in order to avoid potential harm.**

### **Actions**

The purpose of this section is to outline the steps required to set up a referral pathway for anyone who has experienced SEA as well as whistleblowers and subjects of complaint<sup>15</sup>. It should be guided by the survivor-centered approach<sup>16</sup> which means giving priority to the rights, needs and wishes of the individual.

**Red Cross Red Crescent role:** It is important to understand the role of your own organization in relation to protection concerns. Some National Societies may be able to implement a fully-fledged case management program or they may only be able to administer referrals to other specialist agencies who provide relevant case management services. Such agencies may include government institutions, NGOs or international agencies.

**Rights and access to services:** Find out which support services are currently being accessed by groups vulnerable towards SEA. Do these services protect the dignity and safety of survivors, for example, through non-discriminatory access, confidentiality and privacy, and in addressing issues such as social stigmatization of survivors? Depending on the population, rights and access to services can vary greatly. Men, women, boys, girls, gender and sexual minorities, persons with disabilities, the elderly, ethnic minorities and religious groups may all have varying levels of access to authorities and social services, depending on the legal framework of their own country or their current location.

**Law enforcement:** Make a summary of legislation governing welfare and protection of children and adults. Ask is SEA illegal and is the legislation enforced? What is the legal age of consent and marriage? Establish if there are risks in reporting SEA concerns to the police.

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<sup>14</sup> Resolution 3, Sexual and gender-based violence: Joint action on prevention and response

<sup>15</sup> Adapted from the "Safe Referrals: A Pocket Guide", Danish Red Cross

<sup>16</sup> Definitions are taken from the PSS training for SGBV survivors, p.35: <http://pscentre.org/wp-content/uploads/2018/03/SGBV-A-two-day-psychosocial-training-final-version.pdf>

**It's good practice to coordinate** with other agencies, clusters and sub-clusters (Protection, GBV, Child Protection, PSEA, etc.), as they may have already established a referral pathway, or mapped the services necessary for your program activities.

**Service provision mapping:** When identifying the appropriate service providers, it is important to be aware of both governmental and non-governmental actors. At a minimum, include civil society groups and community-based organizations providing child protection, health care (including sexual and reproductive health care service), trafficking in persons, counseling and legal services. Existing referral pathways that 'do no harm' should be mapped. This should include procedures and eligibility criteria; as well as how survivors are referred to the receiving agency, how the dignity and safety of survivors is ensured, and how the service in question fills a gap or complements services being offered by a Red Cross and Red Crescent actor.

**Disseminating the referral pathways to staff and volunteers:** For the referral pathways to be used, it is important that they are well communicated with the staff and volunteers who work directly in communities. Information, education and communication materials should be prepared to raise awareness among field staff and volunteers on how best to provide support to survivors. This should include details on when, how and where to signpost support for an individual who requires assistance, and how to request referral by staff trained in supporting survivors of SEA. Movement members should consider integrating PSEA into onboarding, security and other sector training sessions<sup>17</sup>.

Staff and volunteers should be made aware that they may direct members of the community to services on the referrals list but that they should **NOT DO CASE MANAGEMENT** unless they have the skills and it is their specific role in the organization. Other members of the communities could also be made aware of the pathways, such as women's groups, selected community organizations and informal actors in the communities that work with more at-risk populations (for example, teachers, youth leaders, and so on).

For further information on establishing and making referrals (which should be done by trained protection staff), refer to the Global PGI Toolkit "**Guidance on Basic Case Management and Basic Referral Pathway**".

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17 The "Seven Moves", PGI and SGBV in Emergencies training programs provide modules on PSEA and psychological first aid.



## 12) Establishing a safe complaints mechanism for SEA concerns

### Why safe complaints mechanisms are important

Many people who have experienced SEA do not report violations for a range of reasons, including a fear of reprisal or stigma against those who have experienced or reported SEA; lack of information about what type of concerns should be reported and how to safely report them; or absence of trusted law enforcement and/or professional assistance for healing, recovery and justice. This is why it is so important to put in place complaints mechanisms which are safe and accessible so that organizations can address cases of SEA before they escalate.<sup>18</sup>

**It is crucial that the process for reporting and responding to SEA concerns is community-based. Such an approach should comprise trusted channels through which members of an affected community may safely report complaints and seek help. Doing so will help the community identify, define and take action to protect those who are vulnerable.**

### Actions

**Get management and staff buy-in and support:** The IFRC has developed a tool which includes guidance for establishing a complaints mechanism as part of the **Community Engagement and Accountability (CEA) toolkit**. If a mechanism already exists within your National Society, but is not robust enough to receive complaints related to SEA, follow the guidance within the **CEA toolkit** and review the **IASC Best Practice Guide on Inter-Agency Community-Based Complaints Mechanisms**.

**Learn from and about the community:** What are the most appropriate channels that different parts of a community can use to share a SEA concern? Does this vary with those groups most vulnerable to SEA? Are there any barriers to people using the mechanism? How can we include those who are at risk of being excluded?

**If a complaints and feedback mechanism is already established** it is important to check with people of all genders, ages and abilities (focusing on groups most vulnerable to SEA), if they understand how to report SEA concerns and that they feel safe to do so. It may be worth considering alternative channels for community members to report SEA concerns, for example by collaborating with **trusted individuals and organizations** in the community to facilitate reporting.

18 CEA guide, p.9 <https://media.ifrc.org/ifrc/wp-content/uploads/sites/5/2017/01/CEA-GUIDE-2401-High-Resolution-1.pdf>

### **What is a 'sensitive' complaint?**

- Abuse, including child abuse
- Child protection concerns
- Sexual exploitation and abuse (SEA)
- Sexual and gender-based violence (SGBV)
- Corruption
- Fraud
- Extortion
- Any other breach of our staff Code of Conduct

**It is not enough to raise awareness of the existence of a complaints mechanism; it is vital to build trust with individuals who are vulnerable to SEA.**

**Plan the mechanism according to community preferences:** Identify the contact points for SEA concerns, for example PSEA focal points, trusted individuals in the community, or community-based organizations. Establish who can access the mechanism, where and when, considering safe access for vulnerable groups towards SEA. Decide how you will inform the community about this mechanism<sup>19</sup>, including awareness raising about SEA and other 'sensitive' complaints.

**Raise awareness with community members<sup>20</sup>:** Ensure communications are tailored for the different groups that are most vulnerable. Communications should cover expected standards of behavior; rights of community members; and how to report a concern. It is important that community members understand what a SEA concern is.

## **13) Reporting concerns related to PSEA**

### **Why it is so important**

It can be very difficult for individuals to report SEA concerns and we know that it can take years for an individual to come forward with an allegation of sexual exploitation or abuse, such as rape or sexual harassment. This is why trust is paramount as well ensuring that enough time is allowed for survivors to heal and recover.

As it is currently the case that many community members will not make a report, it is important to give volunteers and staff training and access to a safe reporting mechanism. This will help provide the confidence needed to ensure that if they see, hear or feel a concern about sexual exploitation or abuse, they can report it on behalf of community members or colleagues who may feel unable to do so.

**Partner National Societies may be able to provide technical guidance and support for mainstreaming PSEA into a new or existing complaints mechanism.**

### **Actions**

**Recognize:** It can be very hard to identify SEA and all too often there are multiple elements of power abuse which can make an individual feel too afraid to speak out. For example, the perpetrator holds a senior position or has the ability to use their power over the people they should be protecting. This is why staff and volunteers who recognize and report concerns can have a positive impact and make a real difference. It may be that they can notice things that potential victims or survivors cannot or will not speak out about for themselves.

<sup>19</sup> Refer to the **20 core elements of an accessible, comprehensive safeguarding report-handling mechanism** for further guidance.

<sup>20</sup> See Section 8, for more information on raising awareness about SEA.

### Recognize the signs of SEA...

"He is a powerful man with many friends and a good reputation for his work with children. But I heard rumors that he requests that young girls from the camp are brought to him at his residence."

"I didn't know for sure if anything bad was happening to these girls but I felt that something was not right. I saw that they were nervous and withdrawn around him."

"I felt sick about what might be happening to these children but did not know what to do."

"I felt uncomfortable in the company of this man. He says really inappropriate things to women at work but he is just one of those guys who is from another generation."

**Respond:** If someone confides in you, it is a sign of trust. If you feel there is something wrong, it is important to build trust through supportive relationships with those who are vulnerable to SEA, in order to encourage reporting of any concerns. This can be achieved simply by developing a rapport as well as listening. It's also important to understand the risks and requirements of individuals and to acknowledge diversity, for example, recognizing the particular needs of children.<sup>21</sup>

**Report:** All humanitarian personnel are obligated to report SEA, even if the concern is a rumor or a suspicion is raised by an anonymous source. Failure to report a concern about SEA of a child could lead to sanctions and possibly prosecution.

If you do witness, experience, hear of, or are told of anyone engaging in SEA, you need to make a report as soon as you feel it is safe to do so. It is crucial that to preserve evidence and, most importantly, protect your well being as well as the victim's, that you **DO NOT confront the subject of a complaint. Only report it.**

While any SEA incident or concern must be reported, for the protection of victims/survivors, we must seek the consent of adults before sharing any personal details or information which could reveal their identity within the report. If someone confides in you but says they do not want it to go further, (for example they do not wish it to be reported formally), it is still important that the concern is reported. This can be done anonymously and without the need to share any information that could reveal the identity of the victim/survivor, or witness. **It is however important to note that all concerns involving a child (including any person under 18 years old) must be reported in full to enable risk assessment and appropriate referrals for their protection and recovery.**

### Do:

- Find a safe place to talk and reassure them they have done the right thing by speaking out.
- Listen to and acknowledge what is being said, repeating your understanding.
- Ask for their consent and what they would like to happen next.

### Don't:

- Promise to keep it a secret or make any promises you cannot keep.
- Be dismissive, defensive or blame others.
- Ask probing questions, push for more information or investigate the incident any further.

21 For further information on how to respond, please see the [IASC Gender-based Violence Pocket Guide](#).

### **How to report a SEA concern?**

**Your local reporting system**, such as a Human Resources department, PSEA or protection focal point, your supervisor or senior member of staff.

**IFRC independent and confidential reporting line**, set up by IFRC for use by all Red Cross Red Crescent people.

Call Safecall on +44 207 6965952

Email [ifrc@safecall.co.uk](mailto:ifrc@safecall.co.uk) or [report.concerns@ifrc.org](mailto:report.concerns@ifrc.org)

Report online through [www.safecall.co.uk/file-a-report](http://www.safecall.co.uk/file-a-report).

You do not have to leave your name when you report your concern.

**Investigators** with specialist expertise can be contracted to conduct investigations in consultation with the response team and the organization's legal representation. The CHS Alliance holds a list of **experienced PSEA investigators** who are available for PSEA training and carry out investigations.

## **14) Investigating and responding to SEA concerns**

### **Why investigation and response are so important**

How a report of SEA is handled can be a significant factor in the psychological impact on a survivor, as well as during their recovery. The organization is accountable for the way in which it responds to SEA. All complaints should be managed in a timely, fair and appropriate manner, with the safety of all persons involved given priority at every stage.

**Investigations should be carried out by qualified, objective investigators, who have professional training and experience in conducting SEA inquiries. IFRC support is available for investigation and response, on a case-by-case basis, when a clear PSEA policy/procedure is lacking; a conflict of interest has been identified; or a survivor is deemed to be at risk, including risk of harassment or threats because of the report. Partner National Societies may also be able to provide guidance and support for this step, for example, via a PSEA or HR Adviser.**

### **Actions**

**Record the incident:** A simple paper form can be used to record the incident (see **Tool 7** for a sample).

**Develop an action plan:** The issue is raised with the response team that will determine if an investigation will be launched and how to proceed. The response team may include the HR/PSEA lead, line manager and security staff.

- Carry out an initial check to ensure that there is no conflict of interest among those involved.
- Assess the safety and welfare of everyone involved in the case, including anyone who has experienced SEA, witnesses and the subject of the complaint, to determine any risks as well as response needs and preferences (see Section 15 for guidance).

- Report to the police/authorities if the case involves a child or is in breach of domestic laws, subject to vetting of 'do no harm' issues, in consultation with the survivor (if adult) and legal advice.
- Suspend or transfer duties of the subject of a complaint pending investigation outcomes, if a risk of further potential abuse or harm has been identified in consultation with the survivor. Ideally, the subject should remain in the country, unless this would lead to the complainant's safety being put at risk.
- Collect physical evidence (for example, phones, laptop, etc.) which could help prove the allegation beyond reasonable doubt.
- Protect witnesses from any forms of intimidation. Having witness protection procedures in place is recommended (see Section 15).

**Investigate and respond:** If the subject of complaint is a member of staff or a volunteer, an internal or external investigative process will be undertaken by either Red Cross and Red Crescent or national authorities, depending on the nature of the incident (for example, if the allegation is criminal in nature). The investigation must be lawful and consider a number of key principles and guidelines<sup>22</sup>. The complainant and alleged perpetrator should be kept informed about progress in the investigation and the conclusion, as well as whether the complaint was substantiated or not.

**Outcome:** The allegation may be considered: a) substantiated; b) unsubstantiated; or c) inconclusive (i.e. insufficient evidence has been found to reach a conclusion). The response team must decide on the appropriate outcome, with reference to the investigation report and recommendations. The response team should also refrain from making detailed sanction recommendations, which should be guided by the organization's disciplinary procedures. The outcome will be reported to regulatory bodies and donors, as per regulations and cooperative agreements, while confidentiality of all parties involved in the case will be maintained.

**Learning:** A log of cases and outcomes (with sensitive personal data removed) should be maintained. Control deficiencies or gaps should be reported separately from the fact-finding/allegation report i.e. in a Management Implication Report or Control Report. An after-action review or debrief must also be carried out in all cases, with actions identified to help improve the policy and procedure in future, and to help prevent further abuse or harm. One way of promoting learning is to develop and share anonymized case studies to help raise awareness with staff on how to recognize and respond to similar concerns in the future.

### **Maintaining confidentiality throughout the process**

- Information about the case is shared on a 'need to know' basis, with only a limited number of individuals having access to secure files
- Password protect documents
- Lock cabinets containing paper records
- Use a coding system so the names of individuals are not in the same location as case details
- Understand and apply data protection rules and regulations

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22 Refer to the **CHS Guidelines for Investigations**.

**SEA survivor-centered assistance** promotes respect, safety, confidentiality and non-discrimination, ensuring holistic care and support according to the needs and wishes of the survivors.

It is important to recognize that **children (persons under 18) are not able to make informed choices**, but we respect their wishes where possible.

## 15) Providing assistance to survivors<sup>23</sup>

### Why provision of assistance is important

When there is an allegation of SEA, it is essential to put the welfare of survivors and whistleblowers at the center of our response (and not just focus on the subject of the complaint). This approach helps avoid causing further harm. Remember that the purpose of any assistance, or referrals, is to meet immediate needs that cannot wait for an investigation to be conducted and concluded.

**The most senior representative of the National Society in the field is responsible for ensuring that assistance is provided.**

### Actions

**Be prepared:** See Section 11 for guidance on referrals mapping, dissemination and training for volunteers and staff.

**Information sharing with survivors:** When allegations of SEA are made, clearly state and share the National Society approach to providing immediate support for the person reporting an incident of SEA (regardless of whether the allegations have been confirmed or not).

**Consent:** It is mandatory to ask adult survivors if they wish to report informally or formally; if their name and other identifying details may be revealed or not; if they seek an internal administrative investigation by the employer of the alleged perpetrator; and if they also wish to report the case to local law enforcement. Survivors may be referred to independent legal counsel, based on a vetted and updated local referral pathway (see Section 11).

**A witness protection protocol** should be developed through consultations with local women's associations; local legal experts on gender issues; other community-based organizations addressing the protection of people with disabilities, children and other marginalized groups; and local law enforcement. Witness protection measures should include measures to support a staff member who reports SEA and fears retaliation, for example the option to work in a different location and access to referral pathways.

23 Adapted from the ICRC Code of Conduct Policies: Prevention of and Response to Sexual Misconduct, Fraud and Corruption



**Witness/whistleblower protection:** Those affected, including victims/survivors, witnesses and subjects of a complaint, should be protected by a whistleblower/anti-retaliation policy. For example, **IFRC's Whistleblower Protection Policy** can be followed by any National Societies that do not yet have their own in place.

**Assessment:** A preliminary assessment of a person's needs arising directly from an incident, or an alleged incident, must be carried out as soon as possible. This should be coordinated by the relevant leadership in the field and at the National Office.

**Assistance**<sup>24</sup>: It is important that National Societies help survivors gain access to support services through a number of actions. These can include direct transportation, costs for transportation, any fees related to the service as well as follow-up, etc. The type of assistance is likely to vary and could, for example, include sexual and reproductive health-care services, counseling or legal services. The duration of the period of assistance will also vary based on the nature of assistance needed.

**Why do referrals need to be timely?**

Referrals to health services need to take place within 48 hours to allow for prophylaxis in case of sexual abuse and within 72 hours in case of exposure to HIV.



<sup>24</sup> The acceptance of any assistance provided by the Red Cross and Red Crescent is without prejudice to the person reporting an experience of SEA or any other person's right to pursue criminal charges against the alleged perpetrator.



**TOOLS**





# Tools 1

## PSEA Assessment Framework (aligned to the UNICEF PSEA Assessment)

Core Standard	Yes   No	Supporting documentation may include:
<p><b>Policy:</b> Does the organization have policies and procedures in place for PSEA, including a zero tolerance policy towards sexual exploitation and abuse including sexual harassment? (IASC MOS-PSEA 1)</p>		<input type="checkbox"/> Code of conduct <input type="checkbox"/> PSEA policy <input type="checkbox"/> Child protection, anti-harassment, data protection, disciplinary policy <input type="checkbox"/> Documentation of standard procedures for all personnel to receive/sign PSEA policy <input type="checkbox"/> Staff and volunteers confirm understanding of the policies <input type="checkbox"/> Other (please specify): _____
<p><b>Leadership:</b> Has the leadership of the National Society signaled its commitment to work on PSEA? (IASC MOS-PSEA 2)</p>		<input type="checkbox"/> ToR (e.g. senior staff, Board member or staff with PSEA-related responsibilities) <input type="checkbox"/> Contracts/partnership agreements which require contractors to adopt PSEA policies <input type="checkbox"/> Communications by leadership <input type="checkbox"/> Budget and resources for PSEA <input type="checkbox"/> PSEA indicators and tracking <input type="checkbox"/> Other (please specify): _____
<p><b>HR Systems:</b> Have steps been taken to check the backgrounds of prospective staff and volunteers including, at minimum, reference checks for sexual misconduct and a self-declaration by the job candidate that they have never been involved in SEA? (IASC MOS-PSEA 6)</p>		<input type="checkbox"/> Reference check template including check for sexual misconduct <input type="checkbox"/> Recruitment and probation procedures <input type="checkbox"/> Interview HR to confirm procedure <input type="checkbox"/> Other (please specify): _____
<p><b>Training:</b> Does the organization train all staff and volunteers on expected standards of behavior and actions to take i.e. prompt reporting of concerns? (IASC MOS-PSEA 7)</p>		<input type="checkbox"/> Training plan and materials <input type="checkbox"/> Attendance sheets <input type="checkbox"/> Staff feedback on training <input type="checkbox"/> Other (please specify): _____
<p><b>Reporting:</b> Do staff, volunteers and people of all genders, ages and abilities in affected communities understand expected standards of behavior and how to report SEA concerns? (IASC MOS-PSEA 4)</p>		<input type="checkbox"/> Communication materials <input type="checkbox"/> PSEA awareness-raising plan <input type="checkbox"/> Complaints mechanisms <input type="checkbox"/> Description of SEA Reporting Mechanism <input type="checkbox"/> Whistle-blower Policy <input type="checkbox"/> Case log <input type="checkbox"/> Survey for staff, volunteers and community members <input type="checkbox"/> Other (please specify): _____
<p><b>Assistance and Referrals:</b> Does the organization have a system in place to refer SEA survivors to available services, based on their needs and consent? (IASC MOS-PSEA 5)</p>		<input type="checkbox"/> List of Available Service Providers <input type="checkbox"/> Description of Referral Process <input type="checkbox"/> Consent form <input type="checkbox"/> Referral form for survivors of GBV/SEA <input type="checkbox"/> Survey for survivors on quality of response <input type="checkbox"/> Other (please specify): _____
<p><b>Investigation and response:</b> Does the organization ensure prompt and effective investigation and response to allegations of SEA? (IASC MOS-PSEA 8)</p>		<input type="checkbox"/> PSEA investigation policy / procedures <input type="checkbox"/> Contract with a professional investigative service <input type="checkbox"/> Case log <input type="checkbox"/> Survey for survivors on quality of response <input type="checkbox"/> Other (please specify): _____

## Tools 2

### PSEA organizational action plan and indicators for measuring success<sup>25</sup>

Strategic Area	Actions for signatories to the Pledge	For whom
Promote organizational change and safety through ethical leadership, accountability and human resource processes.	<p><b>Supportive partnerships</b> established between States and National Societies for strengthening prevention and response to SEAH e.g. through increased funding and reporting.</p> <p>Adopt a <b>zero tolerance</b> policy towards sexual exploitation and abuse and sexual harassment in the staff Code of Conduct, which is implemented with leadership, staff, volunteers and associated personnel <sup>26</sup>.</p> <p>Explore opportunities for signing-up to the <b>Inter-Agency Misconduct Disclosure Scheme</b> to prevent the re-hiring of individuals disciplined for SEAH.</p>	<p>States and National Societies</p> <p>All Movement actors</p> <p>All Movement actors</p>
Provide safe, accessible, survivor-centered reporting channels and tackle impunity	<p>Establish <b>safe community-based mechanisms for reporting and responding</b> to SEAH concerns assistance. The mechanism should be accessible to all persons (adult or child) who come into contact with, or benefit from, our protection and assistance, and should include referrals to appropriate support services.</p> <p>Establish <b>internal mechanisms for safe reporting and response</b> to SEAH concerns by staff, volunteers and associated personnel. [Note: This includes IFRC's overarching complaints mechanism for use by Red Cross and Red Crescent staff, volunteers and associated personnel]</p> <p>Ensure <b>prompt and effective investigation and response</b> to reported concerns, including taking disciplinary actions taken against perpetrators.</p>	<p>All Movement actors</p> <p>All Movement actors</p> <p>All Movement actors</p>
Implement good practice based on minimum standards for prevention and response to SEAH.	Implement <b>good practice</b> <sup>27</sup> to prevent and respond to SEAH e.g. in accordance with the requirements of the Inter-Agency Standing Committee Minimum Operating Standards on Protection from Sexual Exploitation and Abuse (IASC MOS-PSEA).	All Movement actors
Strengthen organizational capacity to prevent and respond to SEAH.	<p><b>Train</b> staff, volunteers and associated personnel to prevent, identify and respond to SEAH.<sup>28</sup></p> <p><b>Strengthen capacity</b> to develop, implement and maintain community-based mechanisms for reporting and responding</p>	National Societies, IFRC and ICRC together with any National Societies that they will support

<sup>25</sup> Section B, **Pledge on Prevention and Response to Sexual Exploitation and Abuse and Sexual Harassment, presented at the 2019 International Conference**. Note, the Pledge covers harassment in the workplace as well as SEA.

<sup>26</sup> For example, consultants, contractors, media, visitors and others supporting Red Cross and Red Crescent work.

<sup>27</sup> With due reference to the **Secretary-General's 2003 Bulletin on special measures for prevention of sexual exploitation and abuse; the July 2019 DAC recommendation on ending SEAH**; sector standards e.g. IASC MOS-PSEA, the Core Humanitarian Standard on Quality and Accountability (CHS); minimum standards for Age and Disability Inclusion in Humanitarian Action; national legislation and social care structures; Red Cross and Red Crescent policies, guidelines and resources.

<sup>28</sup> Tools and resources will be made available to underpin training and implementation of measures to strengthen prevention and response to SEAH.

C) Indicators for measuring progress

- Number of National Societies with a policy and/or staff Code of Conduct in place which includes zero tolerance to SEAH.
- Number of National Societies implementing the Inter-Agency Misconduct Disclosure Scheme.
- Number of National Societies with named focal point for prevention and response to SEAH.
- Evidence that internal and external mechanisms for safe reporting and response are: (a) accessible by diverse groups of persons (adult or child) that come into contact with or benefit from our protection or assistance, staff, volunteers and associated personnel; and (b) response and outcomes to reporting concerns are documented and tracked.
- Evidence<sup>29</sup> that good practice, particularly the IASC MOS-PSEA, is being applied and implemented by Red Cross and Red Crescent Movement signatories.
- Number and percentage of staff, volunteers and associated personnel who have undergone basic training in staff Code of Conduct and prevention and response to SEAH.



29 Refer to Tool 1 of this document for examples of evidence.

## Tools 3

### Terms of Reference for a PSEA Coordinator

#### Purpose of the role

The Prevention and Response to Sexual Exploitation and Abuse (PSEA) Officer is appointed from within the National Society to develop and strengthen PSEA. The role will involve support for senior management to develop and implement PSEA policy and action plans, as well as coordination with/development of the inter-agency PSEA network.

#### Responsibilities

##### Coordination

- An initial assessment of existing collaboration and needs.
- Engage with other actors on PSEA, with emphasis on knowledge-sharing, joint awareness raising, training and reaching out to local communities and specialist expertise.

##### Institutional

- Facilitate a baseline PSEA assessment and development of a PSEA action plan.
- Work with senior management to strengthen internal protection structures, including adapting and briefing on the PSEA Policy, Code of Conduct, internal reporting channels and community-based complaint mechanisms available to affected people.
- Liaise with HR to support development and/or strengthening of recruitment, screening, induction, investigation and survivor assistance procedures.
- Help ensure that the identity of PSEA focal points is known throughout the organization and their contact details are made widely available.
- Make appropriate recommendations to management on enhancing prevention strategies and handling SEA concerns, with technical support from Movement partners if needed.

##### Awareness-raising and training activities

- Plan and organize trainings for office/operations staff on PSEA, including the Code of Conduct, the IFRC PSEA Policy and complaint mechanisms for SEA concerns.
- Access guidance, online training and resources for different roles within the organization, including leaders, managers, PSEA focal points, project delivery staff and volunteers, HR and security.
- With reference to guidance that is relevant to the Red Cross and Red Crescent Movement, provide technical support for staff establishing community-based complaints mechanisms for SEA and designating skilled staff to operate it, in cooperation with other actors if appropriate.
- Deliver learning event/s with other organizations in country/region.

**Complaints**

- Act as an in-person channel (not investigator or case handler) for SEA concerns and complainants.
- Contribute to developing and updating a guide on referrals to health and other services that SEA survivors may need, in cooperation with SGBV and legal expertise.
- Work with trained protection specialists to ensure that survivors are referred to appropriate assistance services.

**Reporting**

- Contribute to reporting on PSEA to senior management and donors, as required.
- Prepare a report on the findings from the baseline PSEA assessment.
- Prepare progress reports against the PSEA action plan.

**Team Member**

- Actively participate in team meetings.
- Support other team members.
- Work and behave in accordance with all organizational policies and procedures.
- Uphold the fundamental principles of the Red Cross and act with integrity.

**Person specification**

Requirement		
<b>Knowledge and Skills</b>	Essential ✓✓	<ul style="list-style-type: none"> <li>• Graduate level or suitable work experience, within an area relevant to the subject, international humanitarian aid and/or development</li> <li>• Up-to-date knowledge of good practices in safeguarding/PSEA, protection and/or gender issues</li> <li>• Building and maintaining partnerships and relationships</li> <li>• Ability to work effectively with diverse stakeholders to influence practice</li> <li>• Ensuring inclusive practice and promoting diversity</li> <li>• Skills in active listening, empathy, communications, influencing, training, organising and attention to detail</li> <li>• Resilience in working with stakeholders with competing demands</li> </ul>
	Desirable	<ul style="list-style-type: none"> <li>• Formal training in safeguarding and/or protection</li> <li>• A good understanding of humanitarian issues</li> <li>• Experience producing reports and other documentation for a range of audiences</li> </ul>
<b>Experience</b>	Essential ✓✓	<ul style="list-style-type: none"> <li>• Experience in PSEA, protection, gender and/or inclusion as part of design and/or delivery of humanitarian projects/services</li> <li>• Experience working in the country context</li> <li>• Working with adults and children in vulnerable situations</li> <li>• Working with partner organizations</li> </ul>
	Desirable	<ul style="list-style-type: none"> <li>• Experience working within the Red Cross and Red Crescent Movement</li> <li>• Experience coordinating complex projects with multiple stakeholders.</li> <li>• Experience in the developing and implementing learning processes.</li> </ul>
<b>Additional requirements</b>	Essential ✓✓	<ul style="list-style-type: none"> <li>• Willingness to work out of office hours when necessary.</li> <li>• Ensures inclusive practice and promotes diversity</li> </ul>



## Tools 4

### **Overview of a Policy Development Process Concerning Prevention and Response to Sexual Exploitation and Abuse for National Red Cross and Red Crescent Societies**

The Red Cross and Red Crescent Movement applies a survivor-centered approach when preventing and responding to SGBV, which includes sexual exploitation and abuse. The principles of a survivor-centered approach include:

- a) Do no harm: no action should be taken that would worsen the situation of a survivor of sexual exploitation or abuse.
- b) Inclusion: consulting victims/survivors (or organizations that represent them) about their needs when designing programs/complaints mechanisms.
- c) Respect: all actions taken are guided by respect for the choices, wishes, rights and dignity of the survivor.
- d) Safety: the safety and security of the survivor is the number one priority for all actors.
- e) Confidentiality: strict adherence to confidentiality in relation to the survivor's identity and other identifying information in every aspect of case handling. All actions will be taken to ensure that any matter is handled in full confidentiality.
- f) Non-discrimination: provide equal and fair treatment to anyone in need of help owing to a SEA incident involving (IFRC/NS) Personnel.
- g) Child protection: a clear distinction must be made between which medical, psychosocial, legal etc. services children and adults are referred to. Child protection specialists are consulted to identify safe, confidential and appropriate systems of care for children. A survivor-centered approach also includes ensuring that affected persons have access to appropriate collection and storage of medical and legal forensic evidence, such as rape kits, as well as health and psychosocial care and economic and legal redress.

#### **Considerations**

A preliminary list of considerations (in a summary form) is provided below, as well as a checklist borrowed from the UN: "At a Glance: 8 Actions Each Agency Should Take at Country Level on PSEA".



**Preliminary list of considerations for National Societies in developing policies on prevention and response to sexual exploitation and abuse (PSEA)**

OVERVIEW	SPECIFIC CONSIDERATIONS (Additional information in this presentation)
Setting the stage	<ul style="list-style-type: none"> <li>• How are you defining SEA (note existing international definitions)?</li> <li>• What existing National Society rules should be cross-referenced? (For example, your staff regulations, code of conduct, rules on whistleblowing, anti-retaliation, power abuse, harassment, respectful workplace environment, child protection).</li> <li>• Who is responsible and accountable for policy implementation?</li> <li>• Who are your focal points?</li> </ul>
Procedures for reporting, responding to and tracking sexual exploitation and abuse	<ul style="list-style-type: none"> <li>• Do you have <b>community-based complaint mechanisms</b> in place that are equipped to receive SEA allegations and apply a survivor-centered approach?</li> <li>• Are you receiving reports? If not, why could this be?</li> <li>• What are the reporting responsibilities of staff or volunteers who are aware of a situation of SEA?</li> <li>• Who should be receiving complaints and how can they be made in a manner that makes complainants feel safe? Will you use a “hotline”?</li> <li>• What special procedures will you apply to complainants who are minors?</li> <li>• What is the investigation process and composition of investigative teams?</li> <li>• How will you ensure confidentiality, data protection, protection against retaliation?</li> <li>• How will you ensure that relevant cases are reported to the police?</li> <li>• What internal disciplinary procedures are available and how can they be decided?</li> <li>• What procedures will be put in place for data tracking, reporting, monitoring and evaluation?</li> </ul>
Ensuring that affected persons have access to appropriate assistance and, as appropriate, compensation	<ul style="list-style-type: none"> <li>• How will you ensure (through direct provision or referrals) that complainants have effective access to: <ul style="list-style-type: none"> <li>• Timely collection of <b>medical and legal forensic evidence</b>, including rape and <b>PEP</b> kits?</li> <li>• Legal representation?</li> <li>• Support for medical, psychological or social needs related to the exploitation or abuse?</li> <li>• Support for emergency shelter if needed?</li> </ul> </li> <li>• How do you handle cases of children born because of sexual exploitation and abuse, keeping the best interest of the child in mind?</li> <li>• What economic compensation can be made available for complaints confirmed by investigation (or imposed by court proceeding)?</li> </ul>
Training and awareness raising	<ul style="list-style-type: none"> <li>• How will you ensure that all staff and volunteers are appropriately trained on gender, child protection, diversity and power abuse issues as they relate to sexual exploitation and abuse?</li> <li>• Has your National Society held “<b>Seven Moves</b>” training sessions and the follow-up course <b>Sexual and gender-based violence in Emergencies</b>? Both have PSEA components.</li> <li>• How will manager and staff responsibility in performance reviews reflect their obligations related to sexual exploitation and abuse complaints?</li> </ul>
Partnerships	<ul style="list-style-type: none"> <li>• How will sexual exploitation and abuse issues be addressed in partnership and procurement agreements?</li> <li>• Is your National Society part of an inter-agency PSEA network?</li> </ul>
Budget	<ul style="list-style-type: none"> <li>• How will resources be allocated to ensure adequate training, a PSEA focal point, procuring <b>Minimum Initial Service Package</b> (including rape and PEP kits), if appropriate, assistance to victims, and other relevant activities?</li> </ul>

### **Challenges and opportunities**

- How do you wish to organize the preparation of a PSEA policy?
- Which units would be involved?
- Are there NGOs in your area that could share best practices?
- How would you involve local women's organizations in preparing the policy?
- How could you link RC expertise in for instance health to the policy development?
- Do you collect annual data on sexual exploitation and abuse cases?
- How many cases have been reported?
- What are the most typical sexual exploitation and abuse cases and risks?
- How would you engage with youth and volunteers to make sure a policy takes their perspectives into account and that they share it widely?
- A review of responses to IFRC Organizational Capacity Assessment & Certification (OCAC) indicators 29 (violence prevention) and 71 (accountability to affected people) would be very useful. Now these are called # 17 and # 63.
- How can IFRC support you in preparing a policy?  
(IFRC committed to supporting 15 National Society each year in 2018, 2019 and 2020)
- Which National Societies would be ready to develop and adopt a policy?



## Tools 5

### Anti-harassment policy

Anti-harassment policy with commitment to providing a work environment that is free from workplace harassment and sexual harassment, and that promotes mutual respect, self-esteem and dignity, will be supportive to PSEA policy.

#### Considerations

- **Introduction** – purpose (e.g. to define what constitutes and what does not constitute workplace harassment and to provide direction for reporting and investigating workplace harassment).
- **Definitions** – (e.g. Abuse of power occurs when an individual abuses or misuses their power and discretion for personal benefit, or for the benefit of another person. Include definition of bullying and harassment, including sexual harassment).
- **Key principles and rules of conduct** – zero tolerance to harassment and sexual harassment; rules of conduct (state the harassment clauses from the staff Code of Conduct), principles of fair investigation (e.g. confidentiality, health and welfare, safety, legality, and independence), survivor-centered approach (see principles of a survivor-centered approach included in Section 13), whistleblower protection (non-retaliation policy and signposting to organizations for support).
- **Our commitments** – consider including a statement like: The Society is committed to providing a work environment that is free from workplace harassment and sexual harassment, and that promotes mutual respect, self-esteem and dignity.
- **Roles and responsibilities** – for all staff, leadership, HR and PSEA(H) focal point/s, in particular.

# Tools 6

## Statement of Conduct template

ORGANIZATION \_\_\_\_\_

participates in the Inter-Agency Misconduct Disclosure Scheme.  
 This Statement of Conduct adopts the definitions used in the Scheme.

### STATEMENT OF CONDUCT – CONFIDENTIAL

This Statement is provided in answer to a request by

NAME \_\_\_\_\_

TITLE \_\_\_\_\_

ORGANIZATION \_\_\_\_\_

1. Name of Candidate: \_\_\_\_\_

2. Duration of employment / term with Organization: from / / to / /

3. Was the Candidate found<sup>i</sup> to have committed Misconduct (sexual exploitation, sexual abuse or sexual harassment) during the period of employment defined above?

**Yes**

**No**

**Other**

The nature of the Misconduct is:

I am unable to specify the nature of the Misconduct because of the following legal / regulatory requirements:

3.1. If the answer is **yes**, was a Disciplinary Measure imposed upon the Candidate?<sup>ii</sup>

**Yes**

**No**

**Other**

Date of Disciplinary Measure: / /  
 The Disciplinary Measure was:

For the following reasons:

I cannot provide an answer to this question for the following reason(s):

3.2. Is the Candidate currently being investigated for an allegation of sexual exploitation, sexual abuse or sexual harassment?<sup>iii</sup>

**Yes**

**No**

**I am unable to provide an answer**

The nature of the Misconduct is:

4. The Organization:

adopts the following definitions of sexual exploitation, sexual abuse and sexual harassment:

adopts the United Nations' definitions of sexual exploitation, sexual abuse and sexual harassment.

NAME \_\_\_\_\_

TITLE \_\_\_\_\_

SIGNATURE \_\_\_\_\_

DATE \_\_\_\_\_





- 
- i "Found" for these purposes shall mean that, in accordance with the Organization's own relevant internal processes and standards, Misconduct has been determined to have occurred.
  - ii Organizations must at a minimum disclose information where a Candidate was dismissed for Misconduct. Organizations may, in their discretion, disclose the fact of lesser Disciplinary Measures such as suspension and warning. Organizations are encouraged only to include warnings within the Statement of Conduct where they have been issued within the last two years of the Candidate's employment or position within the organization. Organizations are not expected to disclose Disciplinary Measures which are considered "spent" or "expunged" according to applicable law or policy.
  - iii In accordance with section 6.3 of the Scheme, section 3.2 of the Template Statement of Conduct is optional; it is within each Participating Organization's discretion whether to include it.
  - iv Sexual harassment is defined in the UNSG's bulletin ST/SGB/2008/5. Sexual exploitation and abuse is defined in the 5 Oct 2016 UN Glossary on Sexual Exploitation and Abuse

## **Tool 7: PSEA outputs and activities<sup>30</sup>**

The following outputs and sample activities can support proposal development and also the monitoring and evaluations that are part of the project implementation cycle.

<b>Effective policy implementation (IASC MOS-PSEA 1)</b>	
<b>Low</b>	Policies to protect from sexual abuse and exploitation, and also anti-harassment exist and have been signed off by senior management.
<b>Low-medium</b>	Policies have been signed off by senior management and provided to current staff on a minimum of one occasion.
<b>Medium-high</b>	Policies have been signed off and have been provided to current staff on repeated occasions, and implementation of the policies has been promoted.
<b>High</b>	Policies have been signed off and have been provided to current staff on repeated occasions, the implementation of the policies has been promoted, and a clear person or unit monitors implementation of the policies and is able to state their current level of implementation.
<b>Commitment and engagement of senior managers (IASC MOS-PSEA 2)</b>	
<b>Low</b>	There is a lack of clarity about how, and even whether, senior management should be informed about PSEA activities and issues.
<b>Low-medium</b>	Reports on PSEA activities and issues are provided to senior management on an ad hoc and incident-related basis.
<b>Medium-high</b>	Scheduled reports on PSEA activities and issues are provided to senior management, and senior management responds with feedback and guidance.
<b>High</b>	In addition to scheduled reports on PSEA activities and issues being provided to senior management, and senior management responding with feedback and guidance, PSEA features as a regular reporting item on the agenda of the senior management team or at governance meetings.
<b>Adequate personnel time is explicitly committed to PSEA (IASC MOS-PSEA 3)</b>	
<b>Low</b>	Personnel/departments have responsibility for the development and implementation of PSEA policies and activities.
<b>Low-medium</b>	Individual personnel have explicit (formalized) responsibility for PSEA in their job description, performance appraisal or similar.
<b>Medium-high</b>	Individual personnel have explicit (formalized) responsibility for PSEA in their job description, performance appraisal or similar. Personnel working on PSEA have received systematized training in PSEA.
<b>High</b>	Individual personnel have explicit (formalized) responsibility for PSEA in their job description, performance appraisal or similar. Personnel working on PSEA have received systematized training in PSEA. The personnel time committed to PSEA is commensurate with the scale of implementation required at the current time.

30 IASC. (2010). Global Synthesis Report. IASC Review of Protection from Sexual Exploitation and Abuse by UN, NGO, IOM and IFRC personnel. [http://pseatactaskforce.org/uploads/tools/globalreviewofpseabyunngoiomandifrcpersonnel\\_iasc\\_english.pdf](http://pseatactaskforce.org/uploads/tools/globalreviewofpseabyunngoiomandifrcpersonnel_iasc_english.pdf)

**Effective and comprehensive communication from National Office to the field on what to do regarding raising the awareness of sexual exploitation, abuse and harassment among people served (IASC MOS-PSEA 4)**

<b>Low</b>	The National Office has not communicated explicitly on this issue.
<b>Low-medium</b>	The National Office has communicated but without guidelines, detail or illustration.
<b>Medium-high</b>	The National Office has communicated in detail or with illustration such as trainings or guidelines.
<b>High</b>	The National Office has communicated in detail or with illustration such as trainings or guidelines. The National Office has been explicit that the field should raise community awareness through a variety of mechanisms and by involving various groups in the community in the design of these mechanisms.

**Effective community complaints mechanisms (IASC MOS-PSEA 5)**

<b>Low</b>	The National Office has not made the establishment of complaints mechanisms mandatory for every field office.
<b>Low-medium</b>	The National Office has made the establishment of complaints mechanisms mandatory for every field office and this has been communicated to field offices, but without guidelines, detail or illustration.
<b>Medium-high</b>	The National Office has made establishment of complaints mechanisms mandatory for every field office and this has been communicated in detail or with illustration such as training or guidelines. There is provision for the complaints mechanism to be adapted to the cultural context and this is done with community participation.
<b>High</b>	The National Office has made establishment of complaints mechanisms mandatory for every field office and this has been communicated in detail or with illustration such as training or guidelines. There is provision for the complaints mechanism to be adapted to the cultural context and this is done with community participation. There is provision to ensure the confidentiality of the complaints mechanism. There is a mechanism for monitoring and review of the complaints mechanism.

**Effective recruitment and performance management (IASC MOS-PSEA 6)**

<b>Low</b>	Introduction to the PSEA policies/code of conduct forms part of the recruitment process.
<b>Low-medium</b>	Introduction to the PSEA policies/code of conduct forms part of the recruitment process. Training on sexual abuse, exploitation and harassment awareness forms part of the induction process.
<b>Medium-high</b>	Introduction to the PSEA policies/code of conduct forms part of the recruitment process. Training on sexual abuse, exploitation and harassment forms part of the induction process. The entity has a policy regarding reference-checking procedures for job candidates, including checking for any history of perpetrating sexual abuse, exploitation and harassment.
<b>High</b>	Introduction to the PSEA policies/code of conduct forms part of the recruitment process. Training on sexual abuse, exploitation and harassment forms part of the induction process. The entity has a policy regarding reference-checking procedures for job candidates, including checking for any history of perpetrating sexual abuse, exploitation and harassment. Supervision and performance appraisals include adherence to the PSEA policies/code of conduct.

**Effective and comprehensive mechanisms established to ensure awareness-raising on sexual abuse, exploitation and harassment amongst personnel (IASC MOS-PSEA 7a)**

<b>Low</b>	No standardized awareness-raising mechanism at National Office level.
<b>Low-medium</b>	Standardized awareness-raising mechanisms exist.
<b>Medium-high</b>	Standardized awareness-raising mechanisms exist and cover the broad spectrum of relevant issues.
<b>High</b>	Standardized awareness-raising mechanisms exist and cover key content. A minimum of 51 per cent of National Office personnel have received this awareness-raising, and repeat awareness-raising takes place.

<b>Effective personnel complaints mechanisms are in place (IASC MOS-PSEA 7b)</b>	
<b>Low</b>	No written procedures on how complaints can be made are in place.
<b>Low-medium</b>	Written procedures on how complaints can be made are in place.
<b>Medium-high</b>	Written procedures on how complaints can be made are in place and are monitored and reviewed for effectiveness.
<b>High</b>	Written procedures on how complaints can be made are in place and are monitored and reviewed for effectiveness. National Office has communicated to field offices how they should identify local cultural and contextual barriers to reporting sexual abuse, exploitation and harassment. National Office has procedures in place to advise field offices on how complaints received that refer to the personnel of another entity should be referred.

<b>Effective field-based complaints handling and follow-up (IASC MOS-PSEA 8a)</b>	
<b>Low</b>	There is no standard operating procedure on what to do with complaints once received.
<b>Low-medium</b>	There is a standard operating procedure on what do with complaints once received.
<b>Medium-high</b>	There is a standard operating procedure on what to do with complaints once received and it is explicit about confidentiality, who should receive complaints, timelines, communication of results and required National Office response. Training in the standard operating procedures has been carried out at an adequate level to ensure that trained investigators are available to field offices when required.  Information on local SGBV referral services have been collected.
<b>High</b>	There is a standard operating procedure on what to do with complaints once received and it is explicit about confidentiality, who should receive complaints, timelines, communication of results and required National Office response. Training in the standard operating procedures has been carried out at an adequate level to ensure that trained investigators are available to field offices when required. Substantiated complaints have resulted in either disciplinary action or contractual consequences and, if not, the entity is able to justify why not.  Referral services for SGBV are clearly mapped out including quality of services, the community perception of the services, and barriers to access the services.

<b>Assistance is provided to survivors<sup>31</sup> (IASC MOS-PSEA 8b)</b>	
<b>Low</b>	No written policy or commitment on assistance to survivors is in place.
<b>Low-medium</b>	Written policy or commitment on assistance to survivors is in place.
<b>Medium-high</b>	Written policy or commitment on assistance to survivors is in place and its implementation is monitored and reviewed for effectiveness.
<b>High</b>	Written policy or commitment on assistance to survivors is in place and its implementation is monitored and reviewed for effectiveness. Survivor experiences accessing support are sought and help shape future changes. Local referrals and training for personnel are regularly updated as needed.

<sup>31</sup> This output is not based on the IASC as it was missing.



## Tool 8: IFRC incident recording form

**Confidentiality:** This document and its data must be handled to ensure it is kept confidential and secure (as it includes names and other identifying characteristics).

**To PSEA Focal Points and supervisors:** Please complete this form to the best of your knowledge and ability and ensure that it is submitted in a timely way.

**Summary:** Provide a summary of the incident, type of SEA (and whether it involves a child), the services provided to the complainant and what actions have been taken to protect the complainant, whistleblowers and witnesses. Include basic information on the alleged offender and whether an investigation into the incident has been opened. Include an assessment on the risks of repeat offenses and what preventative measures have been put in place.

### I. Information about Complainant

Name of Complainant:

Contact details

Address:

Email:

Phone:

Age:

Sex or Gender Identity:

Nationality:

If the Complainant is a child, has the parent or legal guardian been informed about the incident?  Y  N

### II. Incident of SEA or retaliation

Date and time of incident (start/most recent dates):

Location of incident:

Detailed description of incident:

Witnesses (names and contact details) and facts witnessed:

Has the Complainant been interviewed:  Y  N

If so, provide details; including date, time and by whom and whether other persons were present during the interview (provide a copy of the interview report or transcript if available)

### III. Information about alleged offender

Name:

Employer and job title: National staff  International staff

Contact details  
 Address: Email:  
 Phone:

Age: Sex or Gender Identity:

Nationality:

Physical description:

Is the alleged offender's employer aware of the allegations? Y  N   
 If so, has the alleged offender's employer opened an investigation? Y  N   
 Has the alleged perpetrator been suspended from duty? Y  N

Has the alleged offender been provided with information on their rights and obligations? Y  N

### IV. Information about the Reporter, if different to the Complainant (Victim/Survivor)

Name:

Employer and job title:

Contact details  
 Address: Email:  
 Phone:

Age: Sex or Gender Identity:

Nationality:

Physical description:

### VI. Complainant assistance

- Ensure survivor-centered approach, which has the following guiding principles for the care of survivors of sexual and gender-based violence: **1. Informed consent 2. Confidentiality 3. Safety 4. Respect 5. Non-discrimination.**
- If the Complainant is a child, ensure appropriate child protection measures and referrals are in place.
- Ensure the Complainant has access to appropriate and timely forensic services, where relevant.

Does the Complainant need and want medical assistance or has s/he sought treatment? Y  N   
 If so, where and from whom?

Which other services has the Complainant already received assistance from or would need help accessing?

Who is responsible for ensuring a safety plan for the Complainant?

Describe any security measures put in place for the Complainant:

Describe any referrals and advice about assistance, provided to the Complainant, including health, psychosocial, police and safe house:

## V. Reporter assistance if different to the Complainant (Victim/Survivor)

If the Reporter is an employee of an organization, does she/he have access to adequate whistleblower protections within their organization?

Describe any protection and security measures put in place for the Reporter:

## VI. Protection of witnesses

Provide details of any witnesses, their protection needs, and any security measures put in place for witnesses:

## VII. Risk of the alleged offender repeating the alleged offense

Outline the risks of the alleged offender repeating the alleged offense:

Is there a risk to other members of the affected population/community? Y  N

What measures have been put in place to prevent further alleged offenses?

Outline any protection concerns for the alleged offender:

## VIII. Additional information

Date complaint/report first received and by whom:

Does the Complainant/Reporter know about IFRC's process for handling complaints? Y  N

Has the Complainant consented to sharing the complaint with the alleged offender? Y  N

Any information should be shared with the involved parties as part of a formal investigation.

SEA Report completed by:

Provide any other relevant information:

The vision of the IFRC is to inspire, encourage, facilitate and promote at all times all forms of humanitarian activities by National Societies, with a view of preventing and alleviating human suffering, and thereby contributing to the maintenance and promotion of human dignity and peace in the world.

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