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# Strengthening Partners in Protection Against Sexual Exploitation and Abuse

A TOOLKIT FOR LOCAL AND NATIONAL ORGANIZATIONS

PILOT VERSION



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This toolkit was developed under the framework of the Strengthening Partners in Protection Against Sexual Exploitation and Abuse through Protection Mainstreaming (SPSEA) project, a two-year pilot project supported by USAID's Bureau for Humanitarian Assistance (BHA).

Catholic Relief Services is the official international humanitarian agency of the United States Catholic community. Our relief and development work is accomplished through programs of emergency response, HIV, health, agriculture, education, microfinance and peacebuilding. CRS eases the suffering of and provides assistance to people in need in more than 100 countries, without regard to race, religion or nationality.

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Noun Project icons: Policy by Achmad Mulyana | Gender by Catherine Please | Monitor by ProSymbols | Hiring by ProSymbols | Job description by Putu Kharismayadi | Email by popcornarts | Referral by Adrien Coquet | Chair circle by Gan Khoo Lay | Administration by Iyikon

# Acronyms

<b>AAP</b>	accountability to affected populations
<b>BHA</b>	Bureau for Humanitarian Assistance
<b>CBO</b>	community-based organization
<b>CFS</b>	Child Friendly Space
<b>CHS</b>	Core Humanitarian Standard
<b>CoC</b>	code of conduct
<b>CRS</b>	Catholic Relief Services
<b>EFOM</b>	Emergency Field Programming Manual
<b>FCRM</b>	feedback, complaints and response mechanism
<b>FGD</b>	focus group discussion
<b>FP</b>	focal point
<b>GBV</b>	gender-based violence
<b>HO</b>	handout
<b>HR</b>	human resources
<b>HRD</b>	Humanitarian Response Department
<b>IASC</b>	Inter-Agency Standing Committee
<b>IOM</b>	International Organization for Migration
<b>IEC</b>	information, education and communication
<b>INGO</b>	international nongovernmental organization
<b>IRIS</b>	internal reporting and investigation system
<b>IT</b>	information technology
<b>KII</b>	key informant interview
<b>MEAL</b>	monitoring, evaluation, accountability and learning
<b>MSNA</b>	multi-sector needs assessment
<b>NGO</b>	nongovernmental organization
<b>PMWG</b>	Protection Mainstreaming Working Group
<b>PSEA</b>	protection against sexual exploitation and abuse
<b>PWD</b>	people with disabilities
<b>SEA</b>	sexual exploitation and abuse
<b>SGBV</b>	sexual and gender-based violence
<b>SPSEA</b>	Strengthening Partners in Protection against Sexual Exploitation and Abuse
<b>ToT</b>	training of trainers
<b>TT</b>	training tool
<b>UN</b>	United Nations
<b>UNDP</b>	United Nations Development Programme
<b>UNHCR</b>	United Nations High Commissioner for Refugees
<b>UNICEF</b>	United Nations Children's Fund
<b>WASH</b>	water, sanitation and hygiene
<b>WFP</b>	World Food Programme
<b>WHO</b>	World Health Organization

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# Introduction

## SPSEA project

The Strengthening Partners in Protection Against Sexual Exploitation and Abuse through Protection Mainstreaming (SPSEA) project is a two-year pilot project led by CRS and funded by USAID's Bureau for Humanitarian Assistance. The project aims to provide capacity building support to 38 national organizations in Haiti, the Democratic Republic of the Congo (DRC), Indonesia and the Philippines, to strengthen systems and practices to prevent, mitigate and respond to sexual exploitation and abuse (SEA) within the organizations and the communities they serve. Project activities include training and accompaniment aimed at raising awareness and increasing knowledge of protection against SEA and developing PSEA-sensitive policies and procedures.

Catholic Relief Services developed this toolkit with significant inputs from its country programs in the four countries, as well as its Humanitarian Response Department (HRD).

## Purpose

Welcome to the SPSEA Toolkit! This toolkit provides a set of tools and resources for local partner organizations supported by CRS within the SPSEA capacity strengthening project. The toolkit is designed to:

- Compile tools and good practices from the SPSEA project and the sector for local partners to use and apply in their work
- Provide resources to assist in designing and conducting training sessions on core elements of PSEA
- Support organizations with mainstreaming PSEA in practice

## What does the toolkit include?

The toolkit is organized into two sections: Section I provides training tools, and Section II provides program implementation tools. The *Overview* details these tools. The toolkit includes references to some editable templates and to PSEA tools by other actors. Please see the Protection Mainstreaming section of the [Emergency Field Operations Manual](#) (EFOM) to access this resource.

## How to use this toolkit

It is not intended that all the tools will be used in every response/project, rather this is a compendium of tools that can be drawn upon and adapted when required.

## Who is it for?

This toolkit is geared toward national and local organizations. It is primarily designated for use by the 38 national organizations involved in the SPSEA project. It may be of use to PSEA, safeguarding and/or protection focal points, where they exist, or staff in other roles designated to organizational PSEA and safeguarding tasks. It will be of particular use also to senior managers with the overall responsibility for PSEA and safeguarding. It can also be useful for program staff and operational or administrative staff to fulfil the specific PSEA functions related to their roles.<sup>1</sup>

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<sup>1</sup> See [PSEA Implementation Quick Reference Handbook](#) (CHS Alliance 2017) for PSEA/safeguarding roles and responsibilities across operational and program staff.

## Model of support for PSEA capacity strengthening

In the past two years, the project team has developed and tested approaches to PSEA capacity strengthening.

Various support modalities were piloted to roll out PSEA with national organizations:

- **Initial assessment of SEA capacity:** Identification of partner organizational capacity on PSEA, e.g. assessing what previous training/support was provided, what mechanism/systems related to PSEA were in place, etc.
- **Introduction to PSEA workshop (senior management):** 2-day workshop designed to sensitize partners' senior managers to PSEA and secure their commitment to the process.
- **HR writeshop:** 2-day workshop designed to assist partner organizations in developing PSEA/protection policies and procedures.
- **Introduction to feedback, complaints and response mechanism (FCRM):** 3-day training designed to outline the basic steps for setting up or adjusting an FCRM and making it PSEA relevant.
- **Introduction to internal reporting and investigation systems (IRIS):** 5-day training designed to outline how to conduct fair, thorough and confidential investigations into complaints of staff misconduct, with a focus on SEA allegations.
- **PSEA training of trainers:** 5-day training designed as a refresher/advanced training for PSEA/safeguarding/protection focal points (FPs) based on the IASC [Minimum Operating Standards](#).
- **Emergency simulation event:** 1-day event to test key PSEA elements (code of conduct, HR-staff hiring/orientation, report handling and basic investigation elements) and make necessary adjustments.
- **Communication with communities on PSEA:** Practical guidance for partner organizations on engaging communities on PSEA, to introduce PSEA in a way that is accessible, non-threatening, and contextually and culturally appropriate, and tackles taboos or stigmas related to PSEA.
- **Networking and awareness-raising event:** 2-day workshop designed for partner organizations, government and key protection actors to update and develop the mapping of services and referral pathways for SEA survivors. It was also an opportunity to share achievements, key successes, challenges and learnings from the SPSEA project.
- **On-the-job support, accompaniment and mentoring:** Focused technical support was provided remotely and face to face to partner organizations either individually, or in clustered groups.

## Emerging good practices for PSEA capacity strengthening

- **Consistent and targeted accompaniment** Ensure that accompaniment is purposive and iterative to focus on priority deliverables and sustainable results. For example, in the Philippines, CRS' accompaniment activities are structured around the project's intermediate results (IR) and tailored with partners based on the outcomes of their individual SEA capacity assessment. Each accompaniment activity has a clear purpose, linked to the project's IRs, that is documented and shared with the partners ahead of the session.
- **Joint accompaniment** Cluster partners for joint accompaniment sessions, where possible, to encourage cross-organizational learning and increase motivation for success; for instance, cluster organizations that work in the same context, speak the same language and have similar cultures and/or programmatic sectors.
- **Introducing PSEA to all level of the organizations** Introduce the project and maintain communication at all levels of the participating organizations to ensure awareness, buy-in and ownership.
- **Cross-organizational approach to PSEA** The engagement of relevant departments—such as human resources (HR) and monitoring, evaluation, accountability and learning (MEAL)—across CRS and partners in PSEA-related training and accompaniment activities throughout the project ensures high-quality integration of PSEA in the organizations' policies and procedures.

## Key messages for national organizations to mainstream PSEA

- PSEA capacity strengthening projects require **dedicated staff** both at accompanying organizations and participating organizations, to maintain momentum for the development and implementation of PSEA-sensitive policies and procedures as well as to raise awareness of the importance of PSEA.
- PSEA requires an **integrated approach** that addresses the question of how to create a safeguarding culture in which SEA is prevented and responded to effectively across the organizations and the communities they work with.
- PSEA capacity strengthening projects require **funding** for at least three, but ideally five, years in order to achieve sustainable transformation of awareness, systems and culture.
- PSEA should be **budgeted for** in all projects, and boiler plate language for project proposals should be developed to ensure there are always resources to operate mechanisms to prevent and respond to SEA effectively and in a harmonized way.

# Overview

Easily see which sections apply to you by following these icons:



All staff



Program staff



PSEA/  
safeguarding/  
protection  
focal points



Senior managers



Administration staff














MEAL staff



Logistics/  
procurement  
staff

Part 1: Training tools	
Module	Tools and resources
<b>Module 1: Introduction to PSEA training of trainers (ToT)</b>  	<a href="#">Facilitation guide</a> Facilitation plan ( <a href="#">EFOM</a> ) PowerPoint slides ( <a href="#">EFOM</a> ) HO 1.1 PSEA Training of trainers agenda ( <a href="#">EFOM</a> ) HO 1.2 IASC Six Core Principles ( <a href="#">EFOM</a> ) <a href="#">TT 1.1 Training plan template</a> <a href="#">TT 1.2 Facilitation practice feedback form</a> <a href="#">TT 1.3. Power walk character cards</a>
<b>Module 2: PSEA and safe programming</b>  	<a href="#">Facilitation guide</a> PowerPoint slides ( <a href="#">EFOM</a> ) <a href="#">HO 2.1 Briefing note: Protection mainstreaming</a> <a href="#">TT 2.1 Links between safe programming and PSEA</a> <a href="#">TT 2.2 Protection risks</a>
<b>Module 3: Developing PSEA policy and code of conduct (CoC)</b>  	<a href="#">Facilitation guide</a> PowerPoint slides ( <a href="#">EFOM</a> ) HO 3.1 Caritas Internationalis Safeguarding Policy ( <a href="#">EFOM</a> ) HO 3.2 Bond Safeguarding Policy ( <a href="#">EFOM</a> ) <a href="#">HO 3.3 CAFOD Safeguarding Policy extract</a> <a href="#">TT 3.1 Examples of code of conduct breaches</a>
<b>Module 4: Developing PSEA human resources policies and measures</b>  	<a href="#">Facilitation guide</a> PowerPoint slides ( <a href="#">EFOM</a> ) <a href="#">HO 4.1 Staff training and PSEA</a> <a href="#">HO 4.2 Safe recruitment measures</a> <a href="#">HO 4.3 CAFOD Safe recruitment policy</a> <a href="#">HO 4.4 CAFOD Safeguarding in interviews</a> <a href="#">HO 4.5 CAFOD Conducting police checks</a> <a href="#">HO 4.6 CAFOD Requesting references</a> <a href="#">HO 4.7 Safeguarding in job descriptions</a>
<b>Module 5: Community engagement and PSEA</b>  	<a href="#">Facilitation guide</a> PowerPoint slides ( <a href="#">EFOM</a> ) <a href="#">HO 5.1. Community focus group discussions on PSEA</a> <a href="#">HO 5.2 Community consultations on FCRM</a> <a href="#">HO 5.3 Key PSEA messages for communities</a> <a href="#">HO 5.4 Steps in engaging communities in PSEA messaging</a>

Part I: Training tools	
Module	Tools and resources
<b>Module 6: Feedback, complaints and response mechanisms (FCRM) and PSEA</b> 	<a href="#">Facilitation guide</a> <a href="#">PowerPoint slides (EFOM)</a> <a href="#">HO 6.1 Eight principles for building trust</a> <a href="#">HO 6.2 Minimum standards for an effective FCRM</a> <a href="#">HO 6.3 Selecting Feedback Mechanisms (EFOM)</a> <a href="#">HO 6.4 FCRM channel-mapping tool</a> <a href="#">HO 6.5 Twelve complaints-handling steps</a> <a href="#">HO 6.6 Dos and Don'ts for feedback collectors</a> <a href="#">TT 6.1 Feedback scenarios</a> <a href="#">TT 6.2 Twelve complaints-handling steps</a> <a href="#">TT 6.3 Examples of sensitive and non-sensitive feedback</a>
<b>Module 7: Responding to SEA reports (IRIS)</b> 	<a href="#">Facilitation guide</a> <a href="#">PowerPoint slides (EFOM)</a> <a href="#">HO 7.1 Referral checklist</a> <a href="#">TT 7.1 Maze game cards</a> <a href="#">TT 7.2 SEA reporting scenarios</a> <a href="#">TT 7.3 Name tags for web game</a>
<b>Module 8: Assigning PSEA responsibilities</b> 	<a href="#">Facilitation guide</a> <a href="#">PowerPoint slides (EFOM)</a> <a href="#">HO 8.1 PSEA focal point roles and responsibilities</a>
<b>Module 9: PSEA with partners, suppliers and contractors</b> 	<a href="#">Facilitation guide</a> <a href="#">PowerPoint slides (EFOM)</a> <a href="#">HO 9.1 Checklist for implementing PSEA with partners, suppliers and contractors</a> <a href="#">HO 9.2 Examples of PSEA clauses in contractual agreements</a> <a href="#">TT 9.1 Role play for raising PSEA awareness</a> <a href="#">TT 9.2 Case studies on implementing PSEA requirements</a>
<b>Module 10: Facilitation methodology</b> 	<a href="#">Facilitation guide</a> <a href="#">PowerPoint slides (EFOM)</a> <a href="#">HO 10.1 Principles of adult learning</a> <a href="#">TT 10.1 Statement cards</a>
<b>Handout module: Introduction to PSEA</b> 	<a href="#">Facilitation guide</a> <a href="#">PowerPoint slides (EFOM)</a> <a href="#">HO (a) Eight Minimum Operating Standards for PSEA</a> <a href="#">TT (a) Power walk character cards</a> <a href="#">TT (b) Examples of sexual exploitation and abuse</a> <a href="#">TT (c) Values cards</a> <a href="#">TT (d) Values map</a>

Part II: Program implementation tools	
Chapter	Tools and resources
<p><b>Communicating with communities on PSEA</b></p> 	<ul style="list-style-type: none"> <li>■ <a href="#">Introduction</a></li> <li>■ <a href="#">Tool 1: Core PSEA messages for community members</a></li> <li>■ <a href="#">Tool 2: How to develop a PSEA communication plan</a></li> <li>■ <a href="#">Tool 3: Example PSEA information-sharing plan</a></li> <li>■ <a href="#">Tool 4: Communication methods for sharing PSEA information</a></li> <li>■ <a href="#">Tool 5: Context-appropriate PSEA information, education and communications materials</a></li> <li>■ <a href="#">Tool 6: Community dialogue on PSEA</a></li> </ul>
<p><b>Developing PSEA human resources policies and measures</b></p> 	<ul style="list-style-type: none"> <li>■ <a href="#">Tool 1: Recruitment, onboarding and staff training</a></li> <li>■ <a href="#">Tool 2: Code of conduct and ethics development plan</a></li> <li>■ <a href="#">Tool 3: Code of conduct checklist</a></li> <li>■ <a href="#">HO 4.3 CAFOD Safe recruitment policy</a></li> <li>■ <a href="#">HO 4.4 CAFOD Safeguarding in interviews</a></li> <li>■ <a href="#">HO 4.5 CAFOD police checks</a></li> <li>■ <a href="#">HO 4.6 CAFOD Requesting references</a></li> <li>■ <a href="#">HO 4.7 Safeguarding in job descriptions</a></li> </ul>
<p><b>Developing a referral path for essential protection services</b></p> 	<ul style="list-style-type: none"> <li>■ <a href="#">Introduction</a></li> <li>■ <a href="#">Tool 1: Sample KII guide: National protection actors</a></li> <li>■ <a href="#">Tool 2: Sample KII guide: Local protection service providers</a></li> <li>■ <a href="#">Tool 3: Referral card template</a></li> <li>■ <a href="#">Tool 4: Referral checklist</a></li> </ul>
<p><b>Feedback, complaints and response mechanisms (FCRM) and PSEA</b></p> 	<ul style="list-style-type: none"> <li>■ Please see <i>Feedback, Complaints and Response Mechanisms Guidance</i> (CRS 2020) in the Protection Mainstreaming section of the <a href="#">Emergency Field Programming Manual (EFOM)</a> to access this resource</li> </ul>
<p><b>Responding to SEA reports (IRIS)</b></p> 	<ul style="list-style-type: none"> <li>■ <a href="#">Tool 1: Model report handling and escalation procedures</a></li> <li>■ <a href="#">Tool 2: Adapting report-handling and escalation procedures</a></li> <li>■ <a href="#">Tool 3: Checklist for managing investigations</a></li> <li>■ <a href="#">Tool 4: Example investigation management worksheet</a></li> <li>■ <a href="#">Tool 5: Investigation plan</a></li> <li>■ <a href="#">Tool 6: The PEACE model of investigation interviews</a></li> <li>■ <a href="#">Tool 7: Interviewing tips and techniques</a></li> <li>■ <a href="#">Tool 8: Investigation report template</a></li> </ul>



# Part I: Training Tools

MODULE 1: INTRODUCTION TO PSEA TRAINING OF TRAINERS (ToT)

MODULE 2: PSEA AND SAFE PROGRAMMING

MODULE 3: DEVELOPING PSEA POLICY AND CODE OF CONDUCT (CoC)

MODULE 4: DEVELOPING PSEA HUMAN RESOURCES POLICIES AND MEASURES

MODULE 5: COMMUNITY ENGAGEMENT AND PSEA

MODULE 6: FEEDBACK, COMPLAINTS AND RESPONSE MECHANISMS (FCRM) AND PSEA

MODULE 7: RESPONDING TO SEA REPORTS (IRIS)

MODULE 8: ASSIGNING PSEA RESPONSIBILITIES

MODULE 9: PSEA WITH PARTNERS, SUPPLIERS AND CONTRACTORS

MODULE 10: FACILITATION METHODOLOGY

HANDOUT MODULE: INTRODUCTION TO PSEA

# Facilitation Guide

## Module 1: Introduction to PSEA Training of Trainers (ToT)

- To introduce basic training-of-trainer tools and the processes that will foster learning through doing.

SESSION 0: OVERVIEW OF PSEA TRAINING OF TRAINERS (30 MIN)

SESSION 1: KEY CONCEPTS (1 HOUR, 45 MIN)

SESSION 2: ZERO TOLERANCE FOR SEA (30 MIN)

### Participants

Training of trainers



PSEA/  
safeguarding/  
protection  
focal points

Training roll-out phase



Program  
staff

### Duration

2 hours, 45 minutes





## SESSION 0: OVERVIEW OF PSEA TRAINING OF TRAINERS (30 MIN)

### Objectives



- Understand the purpose of the training.
- Understand the structure, tools and flow of the training.

### Materials



- Flip chart and markers
- Projector and slides

### Training tools



- TT 1.1 Training plan template (one per participant)
- TT 1.2 Facilitation practice feedback form (one per participant, per exercise)

### Handouts



- HO 1.1 PSEA ToT agenda (one per participant)

## PLENARY (15 MIN)

Welcome and agenda. (See example [H](#) HO 1.1 PSEA ToT agenda)

### Purpose

Equip participants with knowledge and skills for the PSEA trainings on:

- Eight Minimum Operating Standards for PSEA, which form the framework of the training.
- Introduction to PSEA, a one-day training as an onboarding and refresher course on PSEA (handout).
- Facilitation methodologies.

### Structure and flow

- Modules 1 to 9 on the elements of PSEA and safe programming.
- Module 10 on facilitation methodologies.
- Facilitation practice session using core exercises during each module as an opportunity for participants to practice their facilitation skills.

In this session, select facilitators for all facilitation practice sessions:

**SHOW** a flip chart listing all sessions of each of the five training days so participants can select an exercise they volunteer to facilitate. At the end of the session, distribute the facilitation notes for each of the exercises to be facilitated by the participants.

### Introduction of key tools

- **T TT 1.1 Training plan template** After each module, the participants should fill in the training plan template with their observations of the module content and the practice facilitation session.
- **T TT 1.2 Facilitation practice feedback form** This form is to be used by all participants during each of the facilitation practice sessions to provide feedback on the facilitation by other participants.
- **ToT facilitation plan** This Excel sheet contains the detailed flow of the ToT. It can be used by the facilitator to adjust the content (methodology, timing) of each module and check what preparation is needed prior to the training.

## EXERCISE (15 MIN)

**Ball game** (or similar name games)

**ASK** participants to stand in a circle. **GIVE** one participant a ball, and ask them to say their name, role and what they want to learn from this workshop. **ASK** the participant to throw the ball to another person in the circle and repeat.

## SESSION 1: KEY CONCEPTS (1 HOUR, 45 MIN)



### Outline

- Safeguarding and PSEA (10 min)
- Facilitation practice: Power walk (1 hour)
- Human rights and gender-based violence (35 min)



### Objectives

- Understand PSEA as a component of safeguarding.
- Explore the concepts of power, violence and gender, and their relationship to sexual exploitation and abuse.
- Understand how power can be abused in a humanitarian setting, and how the relationship with the project participants is affected.



### Key messages

- Power imbalance is at the heart of SEA issues. Humanitarian workers hold enormous power, which can create the risk of exploitation and abuse.
- SEA is a form of violence as it threatens the well-being, health and development of those affected.
- SEA is also a human rights violation as it concerns the erosion of a number of basic human rights, such as the right to life, equality and security of the person.
- SEA also has a gender dimension because emergencies tend to create, reinforce and exacerbate existing vulnerabilities. Due to historic inequalities, there has been a tendency for women to be affected to a greater degree than men.
- Understanding and addressing power dynamics, both within the community and in relation to humanitarian workers, is crucial to ensuring the safeguarding of the most vulnerable, especially from SEA risks.



### Materials

- Flip chart and markers



### Training tools

- TT 1.3. Power walk character cards

**Top ToT tip**

This session is designed as a refresher for participants on concepts related to gender and gender-based violence. Facilitators do not need to go through all the concepts in great detail and may use their discretion to skip this session with advanced audiences. However, it is important to ensure that the themes are referred to throughout the training to ensure PSEA implementation remains focused on survivors and their needs, rather than on check-box compliance.

**PLENARY: SAFEGUARDING AND PSEA (10 MIN)**

**INTRODUCE** the session by explaining that throughout the training we will be learning about PSEA measures. These ensure prevention of and response to SEA incidents caused by staff misconduct. However, there is a broader concept that addresses all staff misconduct beyond SEA incidents. This is called safeguarding and it includes all types of exploitation and abuse, such as child labor or trafficking. Therefore, PSEA is only one aspect of safeguarding and all measures that will be discussed are also relevant to safeguarding. This is because at the core of all staff misconduct is the power imbalance between the organizations that provide services and those in need of those services.

**ALLOW** time for questions.

**EXPLAIN** that within the SPSEA project, CRS will not be able to provide direct support to partners on safeguarding, but all structures and systems put in place for PSEA can be used for broader issues of abuse and exploitation. Further brief reference to safeguarding will be made in *Module 3: Developing PSEA policy and code of conduct*.

**EXPLAIN** that some of the key concepts that will be covered in this session include power, violence, human rights, gender and GBV, exploitation and abuse.

To further explore the concept of power, **INVITE** the participants to join an exercise. A participant facilitator will lead the exercise, using the facilitation guide below:

**FACILITATION PRACTICE: POWER WALK (45 MIN)**

Let participants know that in this session we will explore basic concepts related to power, sexual exploitation and abuse. **ASK** the participants to stand in a single row across one side of the room facing the facilitator.

**DISTRIBUTE** the **TT 1.3 Power walk character cards** to the participants. Instruct them not to share their character's identity. Ask them to pretend to be that character, and to form a picture of who they are and what their life is like. They must then think about what their character's answers would be to a list of questions.

**ASK** them to take one step forward if their answer is "yes" to a question, and to stay where they are if the answer is "no."

**READ** each of the following questions, allowing enough time for participants to decide whether to take a step.

- *Did you have enough to eat today?*
- *Do you have cash in your pocket?*
- *Do you have a valid government-issued ID?*
- *Do you have access to a telephone?*
- *When you are sick, are you able to see a doctor and pay (if necessary) for their services?*
- *Do you travel freely throughout your country of residence?*
- *If you were robbed, would you go to the police to report the crime?*
- *Did you finish primary school?*
- *Are your opinions and ideas respected by your family?*
- *Can you read the newspaper?*
- *Did you have access to clean water today?*
- *Did you have access to a latrine or toilet today?*

For the next two questions, **ASK** them to stay where they are if the answer is “yes,” and to take a step backward if the answer is “no.”

- *Do you feel safe from SEA?*
- *If you were a victim/survivor of SEA, would you report such an incident?*
- *If you were a victim/survivor of SEA, would you know what kind of assistance you could receive?*

**ASK** the participants that have moved the least (i.e. the least privileged):

- *Why are you where you are?*
- *Why have you moved so little or even backward?*

**ASK** the participants that have moved the most (i.e. the most privileged):

- *Why are you where you are?*
- *Why have you moved so much?*

**REPHRASE** what each participant says, highlighting the vulnerability factor(s) (sex/gender, age and/or other diversity factors) that disadvantages their character.

**ASK** other participants to reveal their characters and to explain why they stepped forward or not in response to particular questions.

Use the following questions to guide the discussions:

- What did you assume about your character, if it was not explicitly stated, e.g. age, gender, ethnicity?
- Who are the more vulnerable members of the community? Who are the more powerful?
- How did the additional risk of exploitation or abuse impact the position of those most vulnerable (i.e. those that moved least)?
  - Those characters at risk of abuse and exploitation took a step backward; this shows the impact that incidents like these can have on people.
  - Abuse and exploitation can cause injury, health and physiological problems, and further hinder people’s dignity, well-being, and access to human rights.
- Imagine you work for an NGO helping people in need. Which groups would require special attention to facilitate their safeguarding from risk of exploitation and abuse from NGO staff?
  - Depending on the context, but likely related sex, age, or other diversity factor.
  - NGOs (and by proxy, NGO workers) decide who receives resources and who does not. This gives us a lot of power, or at least the perception of power, which can create the risk of abuse and exploitation.
- Often people have less access to support based on their sex/gender, age or other diversity status. How might lack of access to support further impact victims/survivors of exploitation and abuse in your context?
  - Hinder recovery from the incident, stop them from claiming justice, etc.

**HIGHLIGHT** that participants were scattered across the room. Those with more power and greater access to their rights were closer to the facilitator and those who were more vulnerable were further back.

We are all born equal and with human rights (such as the right to education and the right to family life). However, we do not all have access to those rights. Not everyone experiences the world in the same way. If we are from a group that is marginalized, or treated differently because of our sex/gender, age or other diversity factor (socioeconomic, political, ethnic or religious), we may be less protected in our societies, just by virtue of who we are.

Human rights can be deliberately denied or abused, putting people’s safety and dignity at risk, and increasing abuse or exploitation by people in positions of power.

After participants have returned to their seats, **EXPLAIN** that this exercise aims to demonstrate how power imbalance is at the heart of SEA/safeguarding issues. **NGO workers hold enormous power, as our organizations decide who receives services and resources and who does not.** This can create the risk of exploitation and abuse, particularly for those who are already marginalized due to sex/gender, age, or other diversity factors, such as disability, lack of economic stability, being a member of a religious/ethnic/political minority.

This increased imbalance of power between aid workers and the most vulnerable is at the core of SEA issues. It creates additional risks that must be addressed both programmatically—in project design—and structurally within organizations through PSEA/safeguarding.

**INVITE** the participants and the participant facilitator to provide feedback on the facilitation process. Ask what went well and what the challenges were? Highlight missing points and key messages, if any, from the facilitation.

**EXPLAIN** in plenary that this exercise highlighted several key concepts that we must understand in order to better understand the foundations of sexual exploitation and abuse.

**PLENARY: HUMAN RIGHTS AND GBV (35 MIN)**

**EXPLAIN** that the exercise showed how some people have more power than others and can more easily access their rights. These rights are called human rights and are the most basic freedoms that we all should possess. Human rights:

- Oblige governments (**duty bearers**) to respect certain freedoms of individuals.
- Are universal **legal guarantees** protecting individuals and groups.
- Are **universal** as all people are entitled to them.
- Are **inalienable** because they cannot arbitrarily be given up or taken away.

For example, [The Universal Declaration of Human Rights](#) establishes basic rights to which all men, women and children are entitled, without discrimination, such as the right to life, liberty and security, education, and to live free from torture. Even the most vulnerable should be able to enjoy these rights.

*Note:* SEA concerns the violation of a number of basic human rights. If time permits, ask participants for a few examples of basic human rights that SEA violates.

**HIGHLIGHT** that violence is behavior intended to harm someone and undermine their health, well-being or development. This means they are not able to realize their rights. It can take many forms, not just physical, but also economic, social and structural.

**ASK** participants to define “gender.” **EXPLAIN** that “gender” is a concept that is used to describe socially determined differences between men and women, while “sex” is used to describe physical differences between men and women. If participants are unfamiliar with these concepts, use the exercise below.

**Optional exercise**

**READ** out the following statements. First ask any in the group who believe the statement describes a *sex* difference to raise their hands. Next, ask any in the group who believe the statement describes a *gender* difference to raise their hands.

In discussion, **CLARIFY** any statements as needed:

- Women give birth to babies, men don't (sex).
- Little girls are gentle and little boys are tough (gender).
- Among agricultural workers, women are paid 40 to 60% of the male wage (gender).
- Women can breastfeed babies, and men can bottle feed babies (sex).

**EXPLAIN** that gender-based violence (GBV) is a form of violence that can involve human rights abuse, most often resulting from an abuse of power, and that the violence is based on gender inequality. GBV violates numerous principles found in international human rights instruments. These rights include the right to life, equality and security of the person. The term "gender-based violence" recognizes that violence arises from gender roles, power relationships and particularly the subordination of women and their related exploitation. To address violence, one also needs to address issues of gender.

If participants are relatively unfamiliar with this information, the facilitator may wish to highlight that there is a well-documented global phenomenon that men often have power and control over women, girls and boys, and may maintain this power through violence. This creates a cycle of oppression that causes, produces and reproduces violence against women and children. Violence and abuse perpetuate inequalities in interpersonal relationships and reinforce structures that enable violence against women and children to continue. Women and children are disempowered through unequal access to resources and decision-making. **DEBRIEF** on gender-based violence.

Now pause to **EXPLAIN** that the concepts we have just covered might not be new to many participants, but we have repeated them as it is important for focal points to be able to explain them to others.

Debrief in plenary. **HIGHLIGHT** that:

- People in positions of power are more likely to have the resources and support to ensure their rights are respected, but are also more likely to perpetrate abuse. The most vulnerable may have fewer opportunities to claim their rights and are more vulnerable to abuse.
- Power imbalance is at the core of SEA incidents because humanitarian workers hold enormous power.
- Marginalized people and communities are far more likely to be made more vulnerable during an emergency. The Power Walk exercise helped demonstrate the prevalence of these power imbalances in society.
- There is a gender dimension, as emergencies tend to make existing vulnerabilities worse and, due to historic inequalities, women and girls tend to be more affected than men.
- Sexual exploitation and abuse is a form of gender-based violence. Anyone can commit SEA, but the most likely perpetrators are men and the most likely victims are women.



## SESSION 2: ZERO TOLERANCE FOR SEA (30 MIN)

### Objectives



- Understand how sexual exploitation and abuse (SEA) can have an impact on and cause serious harm to individuals and communities.
- Understand the sector-wide commitment to zero tolerance for SEA by humanitarian and development workers.
- Understand SEA issues as one of the biggest failures in the safeguarding of program participants in the humanitarian sector.

### Key messages



- Sexual exploitation and abuse by staff is unacceptable and prohibited.
- Organizations have a responsibility to create and maintain an environment that prevents SEA, and to respond all allegations and incidents of abuse.
- In the light of recent incidents of SEA perpetrated by aid workers, it should not be assumed that NGOs are free of SEA. There is an urgent need for a systematic and standardized response.

### Materials



- Projector and slides
- Flip chart and markers

### Training tools



- Video: [To Serve with Pride](#)<sup>1</sup> extract

### Handouts



- HO 1.2 IASC Six Core Principles 2019 (one per participant)

### Online resources



- PSEA Task Force [website](#).
- Inter-Agency Standing Committee (IASC) PSEA [website](#).

1. Inter-Agency Standing Committee (IASC) Task Force on Protection from Sexual Exploitation and Abuse. 2015. *To Serve with Pride: Zero Tolerance for Sexual Exploitation and Abuse*.

## EXERCISE: TO SERVE WITH PRIDE VIDEO (30 MIN)

**INTRODUCE** the session by showing an extract of the [To Serve with Pride](#) video<sup>2</sup> (start at 06:08 and stop at 07:30).

**EXPLAIN** that some people may find the extract difficult to watch (particularly staff who have worked in or come from these countries). Promote a quiet, reflective atmosphere as participations share their reactions and experiences. Do not insist on people participating in the discussion, and avoid putting anyone on the spot.

### ASK:

- *What are your initial thoughts about the extract?*
- *What do you think are some of the key issues raised by this video?*

**EXPLAIN** how acts of SEA can cause serious harm to individuals, communities and organizations:

- This includes the physical, mental and emotional consequences for the survivor, which can be traumatic and long-lasting.
- There are also consequences for the community, the perpetrator, the organization and any children born as a result of the SEA.
- SEA can take place in any region under any humanitarian or development intervention. It is important not to assume that NGOs are free of SEA.
- Explain that safeguarding from SEA involves addressing SEA acts by staff through a set of clearly defined policies and procedures to end SEA by aid workers, in both the humanitarian and development contexts.
- Two key SEA prevention tools are a PSEA policy and a code of conduct.

**SHARE** with the participants the background to addressing SEA by introducing the 2003 UN [Secretary-General's Bulletin: Special measures for protection from sexual exploitation and sexual abuse](#) as a tool for preventing cases of SEA by aid workers.

**EXPLAIN** that:

- Prevention is the first step in combating SEA with a number of tools and mechanisms that increase the capacity of an organization to prevent SEA incidents.
- SEA incidents arise from staff behaviors and attitudes that need to be addressed formally by organizational policies and procedures.
- The role of leadership and its commitment to establishing, promoting and adhering to policies and procedures related to PSEA must be understood.

2. Also available in [Arabic](#), [Chinese](#), [French](#), [Russian](#) and [Spanish](#).

**EXPLAIN** that the Inter-Agency Standing Committee was established in 1992 by a UN Resolution as a primary mechanism for inter-agency coordination of humanitarian assistance for all aid actors. The IASC is one of the key actors in defining and promoting PSEA standards. Its 2019 updated [\*Six Core Principles Relating to Sexual Exploitation and Abuse\*](#) define standards of behavior for all humanitarian workers across the sector. These have been translated into over 100 languages.

**ASK** participants to read each of the updated standards. **DISTRIBUTE H HO 1.2 IASC Six Core Principles 2019.**

**HIGHLIGHT** that all Six Core Principles must be included in any code of conduct and, together with the IASC’s eight Minimum Operating Standards, should be an integral part of any PSEA policy. They will be discussed further in the following sessions.

In plenary, debrief by **HIGHLIGHTING** key points raised in this session:

- Sexual exploitation and abuse is unacceptable and prohibited for staff.
- Organizations have a responsibility to create and maintain an environment that prevents sexual exploitation and abuse, and to respond to all allegations and incidents of abuse.
- It is important to not assume NGOs are free of SEA. SEA by humanitarian workers has gained focus due to recent incidents, and the need for a systematic and standardized response is urgent.

# HO 1.1 PSEA Training of Trainers Agenda

**PSEA Training of Trainers Agenda**

Note: exercises marked with an Asterisk (\*) will be facilitated by the participants

Time	Topic	Contents	Duration
Day 1	Intro to PSEA ToT	<ul style="list-style-type: none"> <li>Session 0: Overview of PSEA ToT training</li> <li>Session 1: Key concepts                             <ul style="list-style-type: none"> <li>- Subcontracting and PSEA</li> <li>- Power/Walk*</li> <li>- Human rights and GBV</li> </ul> </li> <li>Session 2: Preventing SEA – zero tolerance</li> <li>Session 3: Understanding safe programming</li> <li>Session 4: Mitigating protection/PSEA risks</li> <li>Session 5: Core Principles</li> </ul>	30 min 2045 30 min 60 min 30 min 45 min 20 min
	PSEA and Safe Programming	<ul style="list-style-type: none"> <li>Session 1: Understanding safe programming</li> <li>Session 2: Identifying protection/PSEA risks</li> <li>Session 3: Mitigating protection/PSEA risks</li> <li>Wrap up and module review</li> </ul>	1 h 2 h
Day 2	PSEA Policy and CoC	<ul style="list-style-type: none"> <li>Session 1: PSEA Policies</li> <li>Session 2: Code of Conduct*</li> </ul>	20 min 2 h 15 min
	Developing PSEA HR Policies and Measures	<ul style="list-style-type: none"> <li>Session 1: Staff understanding of PSEA</li> <li>Session 2: PSEA HR measures</li> <li>Intro and exercise on job interview and advertisement</li> <li>All HR PSEA measures</li> <li>Module review</li> </ul>	15 min 45 min
Day 3	Community Engagement and PSEA	<ul style="list-style-type: none"> <li>Session 1: What is Accountability*</li> <li>Session 2: Community engagement and information sharing</li> <li>Session 3: Feedback and complaints mechanisms and PSEA</li> <li>Exercise: Three lines, PARIG</li> <li>Exercise: PSEA messages</li> <li>Exercise: PSEA messages</li> <li>Module review</li> </ul>	1.5 h
	Feedback and complaints mechanisms	<ul style="list-style-type: none"> <li>Session 1: Feedback and complaints mechanisms</li> <li>Overview of feedback and response mechanism</li> <li>Encouraging feedback – exercise</li> <li>Minimum feedback – exercise</li> <li>Session 2: Handling feedback and complaints</li> <li>Standards of effective feedback and complaint mechanism</li> <li>Exercise: 12 steps in handling complaints*</li> <li>Exercise – sensitive vs non-sensitive feedback</li> </ul>	2 h 1h 45 min

1 | Page  
Training of Trainers SPSEA Project, 2020, CRS, v.2

# HO 1.2 IASC Six Core Principles

**IASC** Inter-Agency Standing Committee

12 September 2019

**IASC Six Core Principles Relating to Sexual Exploitation and Abuse**

1. "Sexual exploitation and abuse by humanitarian workers constitute acts of gross misconduct and are therefore grounds for termination of employment.
2. Sexual activity with children (persons under the age of 18) is prohibited regardless of the age of majority or age of consent locally. Mistaken belief regarding the age of a child is not a defence.
3. Exchange of money, employment, goods, or services for sex, including sexual favours or other forms of humiliating, degrading or exploitative behaviour is prohibited. This includes exchange of assistance that is due to beneficiaries.
4. Any sexual relationship between those providing humanitarian assistance and protection and a person benefiting from such humanitarian assistance and protection that involves improper use of rank or position is prohibited. Such relationships undermine the credibility and integrity of humanitarian aid work.
5. Where a humanitarian worker develops concerns or suspicions regarding sexual abuse or exploitation by a fellow worker, whether in the same agency or not, he or she must report such concerns via established agency reporting mechanisms.
6. Humanitarian workers are obliged to create and maintain an environment which prevents sexual exploitation and abuse and promotes the implementation of their code of conduct. Managers at all levels have particular responsibilities to support and develop systems which maintain this environment."

# TT 1.1 Training plan template

MODULE: \_\_\_\_\_

AUDIENCE: \_\_\_\_\_

OBJECTIVES: \_\_\_\_\_

## SESSION 1

Time:

Adjustments:

Support:

## SESSION 2

Time:

Adjustments:

Support:

## SESSION 3

Time:

Adjustments:

Support:

## SESSION 4

Time:

Adjustments:

Support:

## SESSION 5

Time:

Adjustments:

Support:

## SESSION 6

Time:

Adjustments:

Support:

## SESSION 7

Time:

Adjustments:

Support:

## SESSION 8

Time:

Adjustments:

Support:

## SESSION 9

Time:

Adjustments:

Support:

## SESSION 10

Time:

Adjustments:

Support:



# TT 1.2

## Facilitation practice feedback form\*

Exercise: \_\_\_\_\_ Facilitator: \_\_\_\_\_

Rank the following

	Very poor	Poor	Satisfactory	Good	Very Good	N/A	Observations/Recommendations
Session introduction							
Task instructions							
Discussion facilitation							
Engagement of audience							
Clarity of key messages							
Trainer's attitude/behavior							

What did the trainer do best?

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What does the trainer need to improve the most?

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\* Adapted from the CRS, EMECA Safeguarding ToT Focal Points



# TT 1.3 Power walk character cards

<b>MEMBER OF A RELIGIOUS MINORITY</b>	<b>65-YEAR-OLD MALE SUBSISTENCE FARMER WITH A WIFE AND SIX CHILDREN LIVING IN A REGION OF ETHNIC CONFLICT</b>	<b>RELIGIOUS LEADER WORKING IN A PEACEFUL COMMUNITY</b>	<b>15-YEAR-OLD FEMALE HEAD OF HOUSEHOLD IN A RURAL VILLAGE WITH TWO YOUNGER SISTERS</b>
<b>12-YEAR-OLD NEWLY WED</b>	<b>REFUGEE FROM A NEIGHBORING COUNTRY</b>	<b>16-YEAR-OLD TRAFFICKED MALE</b>	<b>MALE POLICE OFFICER</b>
<b>PERMANENTLY DISABLED SURVIVOR OF A CYCLONE</b>	<b>POLITICAL LEADER</b>	<b>45-YEAR-OLD WIDOW WITH SIX CHILDREN</b>	<b>NGO EMPLOYEE (NATIONAL STAFF)</b>
<b>TRANSGENDER PERSON</b>	<b>MIGRANT WORKER WITHOUT LEGAL DOCUMENTATION</b>	<b>NGO EMPLOYEE (LOCAL STAFF)</b>	<b>SUCCESSFUL MALE BUSINESS OWNER</b>
<b>17-YEAR-OLD DRUG ADDICT LIVING ON THE STREETS</b>	<b>16-YEAR-OLD SINGLE MOTHER WHO IS A SEX WORKER</b>	<b>10-YEAR-OLD BLIND GIRL IN AN ORPHANAGE</b>	<b>HUMANITARIAN WORKER WITH THE UNITED NATIONS</b>
<b>FEMALE HEAD OF HOUSEHOLD</b>	<b>UNACCOMPANIED CHILD</b>	<b>MAN WITH A MENTAL DISABILITY</b>	<b>SON OF A POLITICAL OPPONENT</b>
<b>FEMALE CHAIRMAN MEMBER</b>	<b>FEMALE GARMENT WORKER</b>	<b>UNACCOMPANIED CHILD</b>	



Adapted from the PMWG, Protection Mainstreaming training Module 1 Protection

# Facilitation Guide

## Module 2: PSEA and Safe Programming

- To understand how safe programming approaches and practices can help identify and mitigate risks of sexual exploitation and abuse in programs.

SESSION 1: UNDERSTANDING SAFE PROGRAMMING (60 MIN)

SESSION 2: IDENTIFYING PROTECTION/SEA RISKS (45 MIN)

SESSION 3: MITIGATING PROTECTION/SEA RISKS (45 MIN)

### Participants

Training of trainers



PSEA/  
safeguarding/  
protection  
focal points

Training roll-out phase



Program  
staff

### Duration

2 hours, 30 minutes



## SESSION 1: UNDERSTANDING SAFE PROGRAMMING (60 MIN)

### Objectives

- Participants understand what safe programming is and why it is important.
- Participants understand how safe programming can contribute to PSEA efforts.



### Key messages

- Safe programming, otherwise known as protection mainstreaming, is about enhancing safety, dignity and meaningful access in programs. It does not mean changing what assistance is provided, but thinking about the process of *how* assistance is provided.
- Safe programming can help minimize the risk of SEA by humanitarian staff in communities because it involves establishing measures to prevent and respond to harm caused by staff and programs. This includes measures to prevent staff from exploiting their positions of power.
- Safe programming therefore enables teams to operationalize PSEA strategies at the program level.



### Materials

- Projector and slides
- Flip chart and markers
- Cards



### Training tools

- TT 2.1 Links between safe programming and PSEA (one per participant)



### Handouts

- HO 2.1 Briefing note: Protection mainstreaming / safe and dignified programming (with PSEA focus) (one per participant)



### Online resources

Protection mainstreaming video (Protection Mainstreaming Working Group, PMWG)

- [English](#)
- [French](#)
- [Spanish](#)
- [Arabic](#)

## PREPARATION (IN ADVANCE)

**PREPARE** cards of the eight core components of protection mainstreaming.

1. Analysis
2. Targeting and diversity of need
3. Information sharing
4. Community engagement
5. Feedback and complaints mechanisms
6. Coordination and advocacy
7. Mapping and referral
8. Staff conduct

**STICK** them on a wall where they are clearly visible.

## EXERCISE (10 MIN)

**INTRODUCE** the session by saying that safe programming is also known as protection mainstreaming. **ASK** participants if they are familiar with the concept and whether they have participated in a safe programming or protection mainstreaming training.

**EXPLAIN** that there is already a lot of experience in the room on the topic. In this module, we will draw from it and show the links with PSEA.

**SHOW** the [Protection Mainstreaming](#) Working Group video.

**ASK** participants to turn to their neighbor and discuss the answers to the following questions:

- *What is your own experience of integrating safe programming or protection mainstreaming into your work?*
- *How does your experience relate to the eight components of the protection mainstreaming framework?*

**GIVE** them 5 minutes to do that.

**ASK** the participants to share their ideas. **WRITE** their answers on the flip chart and relate each participant’s experiences to the eight core components of the framework using the cards prepared ahead: **HIGHLIGHT** that:

- Safe programming is also known as protection mainstreaming.
- Safe programming is about increasing safety, dignity and access.
- All staff have a role to play in safe programming.
- Safe programming focuses not on *what* we do, but *how* we do it.
- One approach to safe programming is outlined in the protection mainstreaming framework that consists of eight core components. These are practical actions that teams can take.

**Top ToT tip**

With certain audiences, it may be better not to use the language of protection mainstreaming, but to focus on safe programming only.

**EXERCISE (30 MIN)**

**EXPLAIN** that safe programming plays a critical role in supporting PSEA efforts. Safe programming is about operationalizing PSEA at the program level and practical actions staff can take to minimize and address the harm caused by staff and programs. **DIVIDE** the participants in two groups.

**GIVE** Group A the first four framework components cards and eight sets of practical actions that can be taken to minimize and address SEA. **T TT 2.1 Links between safe programming and PSEA.** **GIVE** Group B the remaining four framework components cards and eight sets of practical actions that can be taken to minimize and address SEA. **T TT 2.1 Links between safe programming and PSEA.**

**ASK** them to match the cards with the appropriate list of actions. **GIVE** each group 10 minutes. **ROTATE** the groups and give them another 5 minutes.

**REVIEW** the answers and discuss:

- How the components of the protection mainstreaming framework link to PSEA.
- How these actions resonate with participants' own experiences.

**1. Analysis**

- Include SEA-specific questions in needs assessments to understand the specific risks programs and staff may pose.
- Collect data disaggregated by age, gender and other vulnerability factors.
- Include SEA concerns in country strategies, midterm reviews, final evaluations, and other relevant planning and analysis processes.

**2. Targeting and diversity of need**

- Adapt or redesign any program/project that is presenting a risk of SEA by staff or associated personnel.
- Organize distributions closer to the homes of women and girls, and earlier in the day, so that they are at less risk of attack in the dark on the way home.
- Build private bathing facilities for women and girls.

**3. Information sharing**

- Provide community members with information on what is appropriate staff behavior and what is inappropriate staff behavior.
- Ensure that partners and communities can make sensitive complaints, for example about any abuse or exploitation they have experienced by staff.
- Share written and verbal information on PSEA through leaflets, posters and community meetings.

#### 4. **Community engagement**

- Involve communities in decisions about what type of complaints mechanisms they would prefer for making sensitive complaints.
- Identify community practices and traditions of a sexual nature that are potentially abusive and harmful to programming outcomes.
- Use different methods and tools to engage with different groups on SEA issues.

#### 5. **Complaints and feedback mechanisms**

- Set up confidential mechanisms to ensure anyone affected by abuse or exploitation by staff or affiliates can make a complaint.
- Provide information to the community on the complaints-handling process, its purpose and limitations, how it works, and who is responsible.
- Review SEA complaints trends, report to management and adjust the program accordingly.

#### 6. **Staff conduct**

- Ensure that the organization’s code of conduct and protection/safeguarding policy state zero tolerance of abuse or exploitation and give clear guidance about how to report any concerns.
- Orient staff and affiliates on the organization’s code of conduct and child/vulnerable adult protection (or safeguarding) policy.
- Provide safe and confidential ways to receive and respond to complaints about staff behavior that are understood and used by staff when necessary.

#### 7. **Mapping and referral**

- Provide staff with laminated cards listing service providers to be used if they come into contact with someone who has experienced violence or abuse, including at the hands of a staff member.
- Make contact with the nearest protection cluster/coordination group for information on functioning services for victims/survivors of SEA (health care, medical/psychosocial/legal services, safe houses, police, etc.)
- Orient staff and partners on what to say and how to behave if a community member informs them of an SEA issue.

#### 8. **Coordination and advocacy**

- Raise concerns with relevant protection actors, for example, if there are rumors around SEA by NGO staff, such as exchanging assistance for sex.
- Share experiences of mainstreaming SEA within projects/programs with the protection cluster and SEA coordination group; when available, drawing on community and local partner perspectives. Raise issues, such as unsafe service provision, GBV and general violence and abuse, with responsible actors (e.g. local government, protection cluster).

**MENTION** that this module will focus on certain components, including analysis. Other components are covered in the other modules (e.g. feedback and complaints).

**HIGHLIGHT** other key areas of the intersection of protection mainstreaming and PSEA:

- Program participants who desperately need goods and services will be more vulnerable to exploitation. Safe programming measures can help reduce people’s vulnerability to exploitation and abuse in general, and more specifically to SEA by staff and personnel.
- Safe programming involves putting measures in place to prevent and respond to the harm caused by staff and programs. This includes measures to prevent staff exploiting their positions of power.
- Safe programming is about increasing safety, dignity and access, and is achieved by building positive trusting relationships with communities. This is also essential for PSEA. By building trust in programs, engaging communities, and responding to programmatic feedback, you also build people’s confidence to report sensitive issues.

### EXERCISE (OPTIONAL) (15 MIN)

**READ** the following case study:

*You are making a routine monitoring visit to a program site and you check in with the team on the help desk to see what feedback is coming in. There is not much to report but, as you are observing activities, a team member tells you that earlier that day a woman came to speak to her. She told the team member that in order to access the program services, she was forced to have sexual intercourse with a staff member of your organization. She said that the staff member said he would deliver the goods, as she was unable to carry them the long distance to her home, and when he came to her house he raped her. (This is a real case from Mozambique)*

*What immediate actions do you take?*

In plenary, **ASK** participants to share their thoughts. **EXPLAIN** how these actions link with the core components of the protection mainstreaming framework, and give additional guidance, if needed:

Action	Core framework components	Recommendations
Remove the person from field duties.	<ul style="list-style-type: none"> <li>■ Staff conduct</li> <li>■ Complaints and feedback mechanism</li> </ul>	<ul style="list-style-type: none"> <li>■ Do not inform the staff that there has been a complaint about the person, as this could lead to them intimidating witnesses and the victim/survivor, putting people at further risk, and hindering the investigation process.</li> <li>■ Consider giving the staff member a plausible office-based task that will take some time.</li> <li>■ Make sure that they do not have access to the field site or program participants and, if possible, do not have opportunities to represent the organization externally.</li> <li>■ Ensure confidentiality of the investigation process to protect the victim/survivor, the investigation team and the accused staff member.</li> <li>■ Suspend the staff member once the investigation starts.</li> </ul>
Facilitate the victim/survivor’s access to medical, psychosocial and legal services, and any others they might need.	<ul style="list-style-type: none"> <li>■ Mapping and referral</li> </ul>	<ul style="list-style-type: none"> <li>■ Orient the victim/survivor to specialized organizations, or government or private services with the dedicated capacity and resources.</li> <li>■ Do not interview the victim/survivor; that is the role of the investigation team.</li> </ul>
Conduct a protection risk analysis at the start of all programs and put in place mitigating actions.	<ul style="list-style-type: none"> <li>■ Analysis</li> <li>■ Targeting and diversity of need</li> </ul>	<ul style="list-style-type: none"> <li>■ If the targeting strategy was adapted to provide additional support to female heads of households, the elderly and people with disabilities who cannot carry heavy packs to their houses, this risk could have been mitigated.</li> <li>■ Follow sector-specific safe programming guidance (i.e. sector-specific checklists).</li> </ul>

## PLENARY (5 MIN)

**GIVE** the participants a copy of [H HO 2.1 Briefing note: Protection mainstreaming / safe and dignified programming \(with PSEA focus\)](#).

### WRAP UP:

- Safe programming is also known as protection mainstreaming.
- One approach to protection mainstreaming is outlined in the Protection Mainstreaming Framework that consists of eight core components. These are practical actions that teams can take.
- Safe programming is about operationalizing PSEA at the program level and about the practical actions staff can take to minimize and address the harm caused by staff and programs.



## SESSION 2: IDENTIFYING PROTECTION/SEA RISKS (45 MIN)

### Objectives

- Participants understand whether and how the SEA risks identified will affect the program.



### Key message

- It is essential to consider SEA risks by staff or associated personnel when designing and implementing a program/project.



### Materials

- Projector and slides
- Sticky notes or cards
- Flip chart



### Training tools

- TT 2.2 Protection risks



## BUBBLE EXERCISE PART 1 (45 MIN)

**DIVIDE** the participants into three or four groups. **ASK** those that have done a bubble exercise before to support the group and clarify the instructions if needed.

**DISTRIBUTE** **T** **TT 2.2 Protection risks**. **EXPLAIN** that this list includes some protection issues staff might encounter in their contexts.

**ASK** them to read through the list and to focus on the context they are working in. Ask them to eliminate or add protection risks as appropriate for their context.

**ASK** them to select three to five of the most important risks per category (GBV, child protection, physical safety of civilians, housing land and property, lack of access to services) and write one risk per sticky note. The groups should then draw three to five bubbles on a flip chart and group these risks around the relevant category.

**ASK** the participants to spend more time on the risks and issues related to sexual exploitation and abuse in communities. If these risks already exist in the community, does it make it more likely that exploitation and abuse by staff will happen?

**SHOW** that the final analysis can look like the example on the slide, which is from the Philippines.

**EMPHASIZE** that participants working with organizations who don't have a protection mandate should not have to collect all this information from the community:

- Non-protection staff should NOT collect data about protection risks directly from affected populations. Rather, they should use existing information and data collected by protection experts, such as the protection cluster and protection-mandated organizations.
- Generalist organizations may do harm in the community by asking about protection issues because of their sensitive nature.

**DEBRIEF** to highlight the following:

- Assess the context in which the program is to take place.
- Identifying the general risks and issues related to sexual exploitation and abuse in communities is essential.
- Analysis of the context (including protection risks) should inform decision-making and should be regularly updated.
- Communities already experiencing abuse and exploitation are more vulnerable to it being perpetrated by staff, associated personnel, and contractors.

### Top ToT tip



Facilitators can choose to give time for participants to present their bubbles in plenary, especially if unknown or unexpected SEA risks have been identified.

## SESSION 3: MITIGATING PROTECTION/SEA RISKS (50 MIN)

### Objectives

- Participants understand how to adapt programs/projects if there are SEA risks.
- Participants identify simple mitigation steps that can be taken in response to general and specific SEA risks.



### Key messages

- It is critical to adapt or redesign any program/project that presents a risk of SEA by staff or associated personnel.



### Materials

- Projector and slides
- Flip charts and markers
- Cards



### Online resources

- CRS [Emergency Field Programming Manual](#) (EFOM)
- [Protection Mainstreaming APP mobile application](#)



## BUBBLE EXERCISE (PART 2) (50 MIN)

**ASK** the participants to reform the groups they were in during the bubble protection analysis. Use the analysis produced in the previous exercise as a starting point.

**ASK** the groups to only focus on the identified SEA risks and consider:

- *Could the program/project increase or exacerbate the SEA risks by staff and associated personnel?*

In plenary, **ASK** participants to give extra information on how the program/project could increase SEA risks identified.

**ASK** participants to think of mitigation strategies. For example:

- Map the patterns of behavior within families and communities when designing programs and projects, e.g. who fetches water, who manages household income. These behavior patterns might make certain family members more vulnerable to SEA, such as adolescent girls fetching water from remote water points.
- Ensure all those involved in the delivery of goods and services are making sure that program participants are safe. For example, if sexual exploitation is a risk for older female households in shelter programs, consider providing additional labor to help them repair/rebuild their shelters. Monitor, with the communities you are working with, whether the program/project is safe. Ask specific questions about whether harm or abuse has arisen because of the delivery of goods and services, whether it has been reported, and what would help to prevent it arising in future.
- Include costs in the program/project budget for prevention, awareness-raising and training on SEA and response.
- Incorporate awareness-raising and communications on PSEA into program/project activities.

**ASK** each group to write mitigation measures and strategies on a card and add them to their bubbles flip chart.

Time allowing, **ASK**:

- *Did you face any challenges in adapting the program/project to SEA risks (budget, organizational barriers, donor requirements, etc.)? If so, how did you address them?*

### WRAP UP

- Program participants who desperately need goods and services will be more vulnerable to exploitation.
- Adapting, or redesigning, any program/project that is presenting a risk of SEA by staff or associated personnel is essential.

**SHARE** additional resources:

- Protection Mainstreaming Framework, PMWG
- Guidance Note: How to do Bubbles Protection Analysis, PMWG
- Guidance Note: How to Incorporate Protection Mainstreaming in Project Designs and Funding Proposals, PMWG
- Protection Mainstreaming Monitoring, Evaluation and Learning Toolkit, PMWG
- Protection Mainstreaming Sector Checklists (Shelter, WASH, Cash, Safe Distribution, etc.), PMWG

**Online resources**

- CRS [Emergency Field Programming Manual](#) (EFOM)
- [Protection Mainstreaming mobile application](#)

**MODULE REVIEW FOR ROLL-OUT (15 MIN)**

**ASK** each participant to use the training plan template from *Module 1* to modify or reflect on the session for the roll-out phase.

**HIGHLIGHT** that this module should be targeting all program staff.

# HO 2.1 Briefing note

## PROTECTION MAINSTREAMING / SAFE AND DIGNIFIED PROGRAMMING (WITH PSEA FOCUS)

### What is protection mainstreaming?

Protection mainstreaming is the process of incorporating protection principles and promoting meaningful access, safety and dignity in humanitarian aid. Guiding principles that must be taken into account in all humanitarian activities are:

1. **Prioritize safety and dignity and avoid causing harm:** Prevent and minimize as much as possible any unintended negative effects of your intervention that can increase people’s vulnerability to physical and psychosocial risks.
2. **Meaningful access:** Arrange for people’s access to impartial assistance and services, in proportion to need and without any barriers (i.e. discrimination). Pay special attention to individuals and groups who may be particularly vulnerable or have difficulty accessing assistance and services.
3. **Accountability to program participants:** Set up appropriate mechanisms through which affected populations can measure the adequacy of interventions, or address concerns and complaints.
4. **Participation and empowerment:** Support the development of self-protection capacities and assist people to claim their rights, including—but not exclusively—the right to shelter, food, water and sanitation, health and education.



A help desk at a food distribution.

### Why is protection mainstreaming important?

Protection mainstreaming can help us improve the quality of humanitarian programming by ensuring the most vulnerable access assistance that is appropriate and relevant to their needs and delivered in a safe and dignified way.

We also have an ethical responsibility to mainstream protection across all humanitarian sectors as our work always has implications beyond meeting basic needs. Interventions can safeguard well-being and dignity, but they can also put people at increased risk. Failure to mainstream protection may prevent recovery and resilience-building in affected communities. Our actions or inactions may also perpetuate discrimination, abuse, violence and exploitation, and unnecessarily cause competition and conflict in communities.

It is therefore a shared responsibility of all humanitarian actors to be aware of the potential harm activities can cause and to take steps to prevent this. These responsibilities are articulated in a number of global standards and guidelines and are increasingly a condition of donor funding.

### What does it mean in practice?

The four **guiding principles** underpin the **core components** of protection mainstreaming. Together these form the foundation of all protection work, from mainstreaming to standalone projects.

The core components comprise practical actions that many teams may already be following but when applied in a systematic way can help ensure the safety, dignity and access of program participants. See what these components mean in practice in the table on the next page.

Components	In practice, this means:
<b>Analysis</b>	All programming is underpinned by an understanding of the protection context throughout the program cycle. <i>E.g. organize focus group discussions with women and girls to understand their needs and coping strategies.</i>
<b>Targeting and diversity of need</b>	The differing needs and capacities of the most vulnerable women, men, girls and boys are identified, and assistance is targeted accordingly. <i>E.g. arrange transport to distribution sites for older persons and people with mobility problems.</i>
<b>Information sharing</b>	Accurate and timely information is readily available to women, men, boys and girls on who we are, what we're doing and what services are available. <i>E.g. share written and verbal information through leaflets, posters and community meetings.</i>
<b>Community engagement</b>	There is active and inclusive community engagement in all stages of the program cycle that builds on and strengthens existing community and state structures, resources and capacities. <i>E.g. use different methods, such as timelines, calendars, or mapping, to engage different groups.</i>
<b>Feedback and complaints mechanisms</b>	Men, women, boys and girls are able to provide feedback and report concerns in a safe, dignified and confidential manner, and receive an appropriate response when they do so. <i>E.g. put in place hotlines, suggestion boxes or help desks.</i>
<b>Staff conduct</b>	Staff and partners have appropriate knowledge and organizational support to conduct themselves and their work in a safe and appropriate way. <i>E.g. orient staff and volunteers on the code of conduct and on key facts about the projects.</i>
<b>Mapping/Referral</b>	Staff and partners have the necessary knowledge and information to support communities in accessing existing services. <i>E.g. provide staff with laminated cards listing service providers.</i>
<b>Coordination/Advocacy</b>	Staff and partners advocate and work together with relevant actors to enhance the protective environment, avoid duplication and prevent, mitigate and respond to protection risks. <i>E.g. staff raise issues such as unsafe service provision with responsible actors (such as the protection cluster).</i>

### How does protection mainstreaming relate to PSEA?

PSEA refers to measures that protect vulnerable people from sexual exploitation and abuse by staff and associated personnel e.g. of NGOs, the UN and other actors.

Both PSEA and protection mainstreaming consider how the safety, dignity and meaningful access of crisis-affected people is influenced by a humanitarian response, and involve putting measures in place to prevent and respond to harm caused by staff and programs. However, protection mainstreaming primarily addresses these at the programmatic level while PSEA places greater emphasis on the organizational-level culture, policies and systems, such as safe recruitment practices, whistle-blowing and investigation policies, and staff training.

In addition, protection mainstreaming involves considering protection issues that exist *within*

the community and mitigating against those risks. This might include ensuring a cash program does not increase the risk of intimate violence of female recipients or a livelihoods program does not involve child labor. PSEA focuses solely on the interaction and power dynamic *between staff and communities*.

A protection mainstreaming approach can help operationalize PSEA strategies as program participants who desperately need goods and services will be more vulnerable to exploitation. Measures that reduce people's vulnerability in general will help reduce the potential for SEA by staff and personnel. A consistent protection mainstreaming approach can also help build the community's trust and put in place the building blocks that enable affected people to safely identify and report SEA issues, for example by ensuring field staff are trained on their organization's code of conduct and by setting up community-level complaints systems.



# TT 2.1 Links between safe programming and PSEA

<p>Analysis</p>	<ul style="list-style-type: none"> <li>■ Include SEA-specific questions in needs assessments to understand the specific risks programs and staff may pose.</li> <li>■ Collect data disaggregated by age, gender and other vulnerability factors.</li> <li>■ Include SEA concerns in country strategies, midterm reviews, final evaluations, and other relevant planning and analysis processes.</li> </ul>
<p>Targeting and diversity of need</p>	<ul style="list-style-type: none"> <li>■ Adapt or redesign, any program/project that is presenting a risk of SEA by staff or associated personnel.</li> <li>■ Organize distributions closer to the homes of women and girls, and earlier in the day, so that they are at less risk of attack in the dark on the way home.</li> <li>■ Build private bathing facilities for women and girls.</li> </ul>
<p>Information sharing</p>	<ul style="list-style-type: none"> <li>■ Provide community members with information on what is appropriate staff behavior and what is inappropriate staff behavior.</li> <li>■ Ensure that partners and communities can make sensitive complaints, for example about any abuse or exploitation they have experienced by staff.</li> <li>■ Share written and verbal information on PSEA through leaflets, posters and community meetings.</li> </ul>
<p>Community engagement</p>	<ul style="list-style-type: none"> <li>■ Involve communities in decisions about what type of complaints mechanism they would prefer for making sensitive complaints.</li> <li>■ Identify community practices and traditions of a sexual nature that are potentially abusive and harmful to programming outcomes.</li> <li>■ Use different methods and tools to engage with different groups on SEA issues.</li> </ul>
<p>Feedback and complaints mechanisms</p>	<ul style="list-style-type: none"> <li>■ Set up confidential mechanisms to ensure anyone affected by abuse or exploitation by staff or affiliates can make a complaint.</li> <li>■ Provide information to the community on the complaint-handling process, its purpose and limitations, how it works, and who is responsible.</li> <li>■ Review SEA complaints trends, report to management and adjust program accordingly.</li> </ul>





<p>Staff conduct</p>	<ul style="list-style-type: none"> <li>■ Ensure that the organization’s code of conduct and protection/safeguarding policy states a zero tolerance of abuse or exploitation and give clear guidance about how to report any concerns.</li> <li>■ Orient staff and affiliates on the organization’s code of conduct and child/vulnerable adult protection (or safeguarding) policy.</li> <li>■ Provide safe and confidential ways to receive and respond to complaints about staff behavior that are understood and used by staff when necessary.</li> </ul>
<p>Mapping and referral</p>	<ul style="list-style-type: none"> <li>■ Provide staff with laminated cards listing service providers if they come into contact with someone who has experienced violence or abuse, including at the hands of a staff member.</li> <li>■ Make contact with the nearest protection cluster/coordination group for information on functioning services for victim/survivors of SEA (health care, medical/psychosocial/legal services, safe houses, police, etc.)</li> <li>■ Orient staff and partners on what to say and how to behave if a community member informs them of an SEA issue.</li> </ul>
<p>Coordination and advocacy</p>	<ul style="list-style-type: none"> <li>■ Raise concerns with relevant protection actors, for example, if there are rumors around SEA by NGO staff, such as exchanging assistance for sex.</li> <li>■ Share experiences of mainstreaming SEA within projects/programs with the protection cluster and SEA coordination group, when available, drawing on community and local partner perspectives. Raise issues such as unsafe service provision, GBV and general violence and abuse, with responsible actors (e.g. local government, protection cluster)</li> </ul>



# TT 2.2 Protection risks

It is important to map threats in our program areas as there are certain things we can do to mitigate against them or to support those who have experienced threats.

The first step in a protection risk analysis is to identify the protection threats that exist where the project is implemented. Threats are the act(s) that prevent the affected population or individual from realizing their human rights. These include human-generated threats such as violence, coercion, deliberate deprivation or discrimination. Below is a list of common protection threats to start the discussion. Remove threats that do not exist in your context or add some that are not named here.

*For the threats marked with asterisks (\*\*), consider each item in parenthesis separately. For instance, for physical violence, consider physical assault, trafficking and slavery, as only certain types of physical violence may exist in your context (e.g. physical assault) but not others (e.g. slavery).*

<p><b>Sexual and gender-based violence</b></p>	<ul style="list-style-type: none"> <li>■ Sexual violence (rape, attempted rape, sexual assault, sexual exploitation) **</li> <li>■ Physical violence (physical assault, trafficking, slavery) **</li> <li>■ Psychological violence (emotional abuse, isolation)</li> <li>■ Harmful traditional practices (female genital mutilation/cutting, early or forced marriage, “honor” crimes, witchcraft accusations, or female infanticide) **</li> <li>■ Socioeconomic violence (discrimination, denial of opportunities or services, denial of property rights, e.g. income or inheritance on the basis of gender or ethnicity) **</li> <li>■ .....</li> </ul>
<p><b>Child protection</b></p>	<ul style="list-style-type: none"> <li>■ Physical violence (such as corporal punishment)</li> <li>■ Sexual violence</li> <li>■ Forced recruitment to armed groups or gangs</li> <li>■ Child labor</li> <li>■ Separation or unaccompanied minors</li> <li>■ Lack or limited access to human rights (food, education, health services, documentation (e.g. birth certificate) **</li> <li>■ Psychosocial distress and mental disorder</li> <li>■ .....</li> </ul>
<p><b>Physical safety of civilians</b></p>	<ul style="list-style-type: none"> <li>■ Unsafe or inadequate infrastructure</li> <li>■ Unsafe or inadequate housing</li> <li>■ General insecurity and criminality (such as extra-judicial killing, kidnapping, unlawful detention, torture) **</li> <li>■ Forced displacement</li> <li>■ Deliberate controls on freedom of movement</li> <li>■ Deliberate denial of access to basic services</li> <li>■ Deliberate targeting of civilian or protected infrastructure (such as schools, hospitals)</li> <li>■ Landmines and explosive remnants of war</li> <li>■ .....</li> </ul>

<b>Housing, land and property</b>	<ul style="list-style-type: none"> <li>■ Loss of land tenure documentation (lost or destroyed)</li> <li>■ Forced evictions</li> <li>■ Destruction of property</li> <li>■ Lack of land, property and housing rights for specific groups (women, marginalized groups)</li> <li>■ .....</li> </ul>
<b>Exclusion or lack of access to services</b>	<ul style="list-style-type: none"> <li>■ Lack of information on available services or assistance</li> <li>■ Lack of documentation</li> <li>■ Exclusion of specific groups</li> <li>■ Marginalization/stigmatization of specific groups</li> <li>■ Other barriers to access to services (social, political, cultural, geographical, logistical)</li> <li>■ .....</li> </ul>
<p><b>The two types of protection threats below are more specific to contexts where aid or development actors (NGOs, government, civil society) are present to assist a population.</b></p>	
<b>Safeguarding</b>	<ul style="list-style-type: none"> <li>■ Sexual exploitation, abuse and harassment by anyone linked to humanitarian assistance and development programs (e.g. staff, volunteers, contractors, consultants, vendors, visitors, partners)</li> <li>■ Exploitation and abuse of power by anyone linked to humanitarian assistance and development program</li> <li>■ Other forms of humiliating or degrading behavior</li> <li>■ .....</li> </ul>
<b>Data protection</b>	<ul style="list-style-type: none"> <li>■ Information misuse or leakage that may negatively impact project participants (e.g. by leading to stigmatization, retaliation or abuse of power)</li> <li>■ Taking images or videos of program participants without asking for their informed consent and/or using these inappropriately</li> <li>■ .....</li> </ul>

# Facilitation Guide

## Module 3: Developing PSEA Policy and Code of Conduct

- To raise awareness of the need to develop a PSEA policy and code of conduct (CoC) through an understanding their purpose and content.
- To address PSEA policy and code of conduct content as well as practical implementation of the code of conduct.

SESSION 1: PSEA POLICY (1 HOUR)

SESSION 2: CODE OF CONDUCT (1 HOUR, 45 MIN)

### Participants

Training of trainers



PSEA/safeguarding/  
protection  
focal points



Administration  
staff

### Duration

2 hours, 45 minutes



Training roll-out phase



Senior  
managers



All staff

## SESSION 1: PSEA POLICY (1 HOUR)

### Outline



- Introduction to PSEA policy (15 min)
- Exercise: Key actions (30 min)
- PSEA policy-supporting measures (15 min)

### Objectives



- Understand what a PSEA policy includes and how it should be structured.

### Key messages



- Defining and adopting an organizational PSEA policy is the responsibility of senior leadership and management.
- A PSEA policy and code of conduct should be designed through a consultative process with staff and volunteers.
- A PSEA policy and code of conduct should be regularly updated and shared.

### Materials



- Projector and slides
- Flip chart and markers

### Handouts



- HO 3.1 Caritas Internationalis Children and Vulnerable Adults Safeguarding Policy (one per participant)
- HO 3.2 BOND Safeguarding Policy (one per participant)
- HO 3.3 CAFOD Safeguarding Policy extract (one per participant)

## PLENARY: INTRODUCTION TO PSEA POLICY (15 MIN)

**INTRODUCE** the module and explain it will consist of two parts: PSEA policy and code of conduct. This is the session on PSEA policy.

**HIGHLIGHT** that a PSEA policy is a part of the safeguarding policy. It specifically addresses issues of sexual abuse and exploitation as gross misconduct, while the overall safeguarding policy addresses all forms of potential harm (including SEA) that can be caused by staff, programs and organizations. All recommendations for the PSEA policy content apply to the safeguarding policy's PSEA segment.

**HIGHLIGHT** the key recommendations from the CHS Alliance [PSEA Implementation Quick Reference Handbook](#). A PSEA policy:

- Identifies the organization’s commitment to the 2003 UN [Secretary-General’s Bulletin: Special measures for protection from sexual exploitation and sexual abuse](#).
- Recognizes the rights of all program participants to be safeguarded from sexual exploitation and abuse.
- Applies to all staff, volunteers and associates at all times.
- Identifies and manages risk.
- Includes the organization’s code of conduct.
- Integrates PSEA measures into all areas of the organization.

**ASK** in plenary:

- *Can anyone explain what collective responsibility is?*
- *What is a PSEA policy or other?*
- *What is the link between a PSEA policy and collective responsibility?*
- *How was the PSEA policy developed in your organization? What was the process?*

**HIGHLIGHT** during the discussion that:

- PSEA is the responsibility of all humanitarian and development actors.
- Developing, adopting and promoting a PSEA policy within an organization proves organizational commitment to combating SEA.
- All staff should be involved in the process of developing a PSEA policy. Senior leadership and managers have a particular responsibility to ensure a participatory process for PSEA policy development and organizational culture.
- Developing and implementing PSEA policy is one of the eight Minimum Operating Standards of PSEA.

**EXERCISE: KEY ACTIONS (30 MIN)**

**ASK** participants to get into groups of up to five people and for each group to discuss what the key actions are that they could identify for a policy in their organizations and contexts. When writing up the comments, try to group them under these headings:

- HR processes
- Whistleblowing
- Safe and dignified programming
- Partnership arrangements
- Complaints and reporting
- Investigations and survivor assistance

**GIVE** the groups 15 minutes to discuss, and in plenary write comments on a flip chart. Comments will probably include background checks, leadership role, complementary policies, procedures, misconduct consequences, investigations, etc.

## PLENARY: PSEA POLICY-SUPPORTING MEASURES (15 MIN)

**DEBRIEF** the exercise by sharing that a PSEA policy cannot be functional without adequate procedures on how it is implemented throughout the organization. Therefore, there is a need for adoption of additional procedures to support the implementation of the PSEA policy.

**EXPLAIN** the supporting procedures to PSEA policy:

- **HR processes**
  - Recruitment
  - Induction/training (Induction includes at least a briefing on PSEA)
  - Performance management
  - Discipline and grievance
- **Whistleblowing**
  - Protect staff and promote SEA reporting.
- **Safe and dignified programming**
  - Programming guidelines include identifying and mitigating risks in programs to make them safer, and promoting meaningful access and dignity in programming.
- **Partnership arrangements**
  - Ensure compliance with PSEA policy.
- **Complaints/reporting**
  - Safeguard program participants and promote SEA reporting.
- **Investigations and survivor assistance**
  - *For own staff:* Provide access to medical and psychosocial support, practical support during the investigation, and access to training, for example, in psychological first aid.
  - *For community members and partners:* Enable access to medical and psychosocial support and legal information, ensure their immediate safety, and provide material care.

**DISTRIBUTE** **H** **HO 3.1 Caritas Internationalis Safeguarding Policy** (Note: only for Caritas partners) and **H** **HO 3.2 BOND Safeguarding Policy** as an example.

**CLOSE** the session with highlights of a PSEA policy:

- PSEA policies are a key way of setting out expectations about the behavior of all staff and associates.
- Although defining and adopting an organizational PSEA policy is the responsibility of senior leadership and management, it should be designed through a consultative process with staff and volunteers.
- Procedures to describe how the policy will be implemented are also required.

## SESSION 2: CODE OF CONDUCT (CoC) (1 HOUR, 45 MIN)

### Outline



- Introduction to code of conduct (10 min)
- Exercise: Code of conduct scenarios (35 min)
- Facilitation practice and debriefing: Code of conduct quiz (35 min)
- Review of code of conduct content (10 min)
- Module review for roll-out (15 min)

### Objectives



- Understanding the CoC as an integral part of a PSEA policy and broader safeguarding strategy.
- Understanding the CoC as an SEA prevention tool that defines both prohibited behavior and disciplinary measures, while demonstrating organizational commitment to zero tolerance to inaction on SEA, as well as organizational culture/values (IASC Six Core Principles).

### Key messages



- Every organization uses a CoC to define the behaviors and attitudes of employees that are in line with organizational values.
- A code of conduct serves two purposes: to protect staff and program participants from unacceptable behavior of staff, and to protect staff from false allegations.
- Every code of conduct should include the IASC Six Core Principles at a minimum.

### Materials



- Projector and slides
- Flip chart and markers
- Straws for the quiz

### Handout



- HO 1.2 IASC Six Core Principles (from Module 1) (one per participant)

### Training tools and program tools



- TT 3.1 Examples of code of conduct breaches



## PLENARY: INTRODUCTION TO CODE OF CONDUCT (10 MIN)


**SHARE** with the participants that a CoC is an inclusive part of the organization’s PSEA or safeguarding policy, depending on how policies and procedures are defined. The CoC applies to all staff, volunteers and affiliates at all times.

**STRESS** that it is obligatory for all staff to sign the CoC, and that all staff need to understand its purpose and the type of prohibited behaviors it regulates, including disciplinary measures. **Every code of conduct contains the IASC Six Core Principles at a minimum.** The code of conduct serves two main purposes:

- To safeguard program participants from staff misconduct
- To protect staff from false allegations.

## EXERCISE: CODE OF CONDUCT SCENARIOS (35 MIN)

**Top ToT tip**



Scenarios in this exercise need to be revised for local context, but refer to the same breaches of the IASC Six Core Principles.

**INVITE** participants to split into four groups. Each group should have the handout **H HO 1.2 IASC Six Core Principles**. Each group then receives one of the scenarios of SEA (**T TT 3.1 Examples of code of conduct breaches**). Ask the groups to identify breaches of the Six Core Principles. Allow 15 minutes for the exercise and then in plenary ask each group to share answers to the following questions and present for 5 minutes:

- *Has the code of conduct been breached?*
- *If so, what rule has been broken?*
- *What would your first step be?*

**REVIEW** the answers using the explanations below for each scenario and offer clarifications if needed.

**ASK** the participants to share an example of breaches for:

- 1) A male team member comments on a “pretty girl” in a distribution line.
  - Breach of the CoC obligation “to create and maintain an environment that prevents sexual exploitation and abuse.”
  - Demonstrates degrading and humiliating behavior.
  - Report behavior to HR or management.
  
- 2) There are rumors of a project staff member adding the name of his girlfriend to the list of project participants.
  - Breach of CoC: Improper use of rank or position.
  - Report to HR or management.

- 3) A project participant in your shelter project is told she must have sex with a contracted carpenter in order to get her roof fixed.
- Anyone contracted by the organization is considered staff and must follow the CoC. This implies breach for sexual exploitation as gross misconduct. It is also a breach of the CoC in terms of the exchange of goods or services for sexual purposes.
  - Report behavior to HR or management.
- 4) A male volunteer meets a 16-year-old female project participant in a bar for a drink and takes her to his house for sexual intercourse.
- Breach of the CoC: Performing sexual acts with children (anyone under the age of 18, regardless of the local age of consent).
  - Breach of the CoC standard: “obliged to create and maintain an environment that prevents sexual exploitation and abuse.”
  - Report behavior to HR or management.

**HIGHLIGHT** that there is an inherent power dynamic in such relationships where humanitarian and development workers—the staff of any NGO or INGO—are in the position of power providing for the vital needs of communities. This power imbalance is at the core of SEA.

**DEBRIEF** by focusing on Principle 6: “Where a humanitarian worker develops concerns or suspicions regarding sexual abuse or exploitation by a fellow worker, whether in the same agency or not, he or she must report such concerns via established agency reporting mechanisms.”

**STRESS** that not reporting an SEA suspicion is also considered misconduct. All SEA incidents or related suspicions should be *immediately reported* through designated reporting channels such as HR, PSEA focal points, hotlines or managers.

A participant facilitator from the group will **LEAD** the exercise, using the facilitation guide below.

**FACILITATION PRACTICE: CODE OF CONDUCT QUIZ (35 MIN)**

**ASK** participants to split into four teams. Explain that each team will have the chance to respond first to two questions on a rotating basis. Invite the team leaders to draw one straw out of four, held by the facilitator. The team of the leader who draws the shortest straw will start first, followed by the groups in a clockwise order. If a team provides a wrong answer, the next team will have a chance to respond to the same question.

**SHARE** the quiz questions and give the possible answers. These can be on slides or written up on the flip chart before the session. The correct answers are in *italics* for the facilitator’s reference:

**Why is a code of conduct necessary?**

- To safeguard program participants from staff misconduct
- To protect staff from false allegations
- To demonstrate compliance with donor requirements
- To address ethical issues
- *All the above*

**Who does the code of conduct apply to?**

- Only the organization’s employees with signed contracts
- Volunteers and affiliates
- *All staff, volunteers and associates at all times*

**How are the principles and values of the code of conduct put into practice?**

- All staff understand and adhere to the values of the CoC
- All staff understand what misconduct entails, including possible disciplinary measures
- All staff receive onboarding and refresher trainings on the CoC
- *All the above*

**Who is responsible for defining and promoting the values and principles of the CoC throughout the organization?**

- *Senior management have a particular role in ensuring that all staff understand and adhere to the code*
- Field staff, since they are in direct contact with program participants
- Donors, as they are responsible for seeking compliance with the CoC

**If staff observe or suspect breaches of the code of conduct, they should:**

- Investigate further to make sure their suspicion is well-grounded
- Not get involved as there are other designated staff within the organization to address these issues
- Share their suspicion with their trusted colleagues
- Report only if they don’t have a good relationship with the colleague involved
- *None of the above*

For the above question, offer clarifications for each wrong answer:

- Staff should never INVESTIGATE, but should REPORT.
- According to CoC, all staff MUST report any SUSPICION of misconduct.
- Staff should NOT share or spread rumors of misconduct. That breaches the principle of confidentiality, represents potential security risks for all involved and jeopardizes the eventual investigation procedure.
- The whistleblower policy<sup>1</sup> should clearly state that any knowingly inaccurate reporting is grounds for dismissal.
- All CoC breaches or suspicion thereof must be reported through defined internal reporting channels.

**What is a proportional disciplinary measure if a staff member is found to have breached one of the Six Core Principles within the CoC?**

- A warning letter
- Unpaid suspension from work for 6 months
- *Termination of contract*
- Mandatory PSEA refresher course

1. Whistleblowing policy: An organizational policy that encourages staff members to report concerns or suspicions of misconduct by colleagues [PSEA Implementation Quick Reference Handbook](#) (CHS Alliance 2017).

For the question above, highlight that contract termination must include due legal process defined by local law and should respect all contract clauses. The decision on contract termination must be based on the internal investigation procedure, and be in line with international standards and local laws.

**What should the code of conduct consist of?**

- Organizational vision and mission
- Prohibitions on sexual harassment, abuse and exploitation
- Prohibitions on trafficking
- *IASC Six Core Principles at a minimum*

For the question above, state that organizations can include additional content and address different issues according to their context. However, the Six Core Principles are a minimum requirement.

**When does the code of conduct apply?**

- When staff are working directly with program participants
- In emergency interventions
- During office hours for all staff
- *At all times*

Leave time for any clarification needed.

**DEBRIEF:**

- Every organization uses a code of conduct to define employee behaviors and attitudes that are in line with organizational values.
- A code of conduct serves two purposes: to safeguard program participants from unacceptable staff behavior, and to protect staff from false allegations.
- Every code of conduct must include the IASC Six Core Principles of staff behavior.
- SEA incidents are caused by behaviors that need to be formally addressed by the CoC.
- By working in the humanitarian sector, an individual tacitly agrees to abide by the Six Core Principles and code of conduct.
- All staff, volunteers and affiliates must sign the CoC

**REVIEW OF CODE OF CONDUCT CONTENT (10 MIN)**

**DISTRIBUTE** Code of conduct and ethics development plan (Tool 2 under Developing PSEA Human Resources Policies and Measures). Explain that these can be used for developing or adjusting the code of conduct.

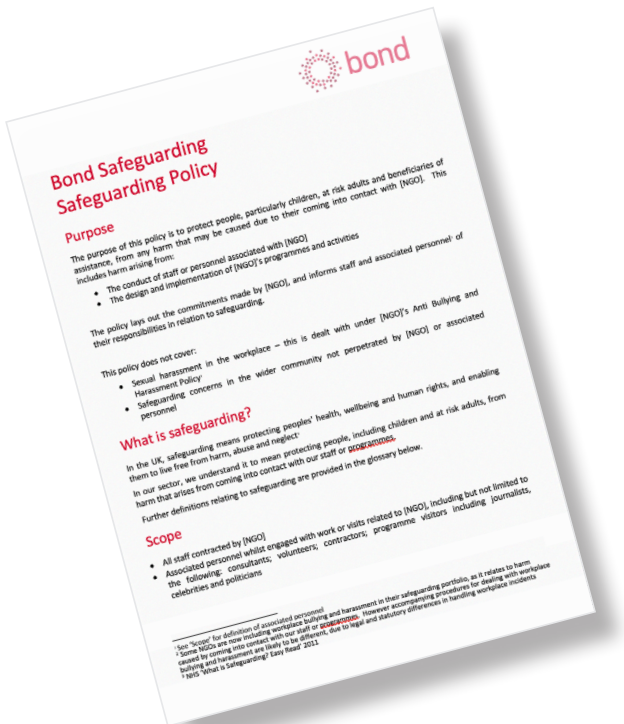
**MODULE REVIEW FOR ROLL-OUT (15 MIN)**

**ASK** each participant to use the training plan template to modify or reflect on the session for the roll-out phase. **HIGHLIGHT** that this module should be targeting senior leadership and managers within their organizations.

# HO 3.1 Caritas Internationalis Safeguarding Policy



# HO 3.2 Bond Safeguarding Policy



# HO 3.3

## CAFOD Safeguarding Policy extract

CAFOD. 2019. Safeguarding Policy.

### SUPPORT TO SURVIVORS

#### 12.4 Support to survivors of sexual exploitation and abuse

CAFOD commits to supporting survivors of sexual exploitation and abuse perpetrated by a CAFOD representative, regardless of whether a formal internal process is carried out. The needs, well-being, and safety of the survivor are paramount, and therefore, as they are best placed to understand their own safety and well-being needs, should be led by the wishes of the survivor as far as possible and as appropriate. CAFOD commits to supporting survivors by ensuring any process is non-directive, and non-judgmental. In addition:

For CAFOD staff, CAFOD can offer:

- Access to medical and psychosocial support through the Employee Assistance Programme or other specialist provider
- Practical support during an investigation, ranging from HR support to communicate a person’s absence from work to colleagues or to help prepare to return to work, to being provided with regular updates on next steps
- Access to a coach or mentor to build confidence to return to work
- Access to training, for example in psychological first aid, to increase resilience

For community members, partner staff and other representatives, CAFOD can:

- Facilitate access to locally existing medical and psychosocial services according to guidance provided by the relevant CAFOD Safeguarding Focal Point, (see Safeguarding Context Mapping document for relevant country)
- Seek to provide immediate material care as needed
- Work to provide protection if the security of the individual is at risk
- Facilitate access to assistance to understand how to pursue claims, both administrative and legal, against the alleged perpetrator

Once a person’s claim has been substantiated, that person’s status shifts from complainant to victim/survivor. At this point s/he can receive not only the basic assistance described above, but also additional help to address the broad range of consequences of sexual exploitation or abuse.

## TT 3.1 Examples of code of conduct breaches

Cut these to provide one for each group.

A male team member comments on a “pretty girl” in a distribution line.



There are rumors of a project staff member adding the name of his girlfriend to the list of program participants.

A program participant in your shelter project is told she must have sex with a contracted carpenter in order to get her roof fixed.

A male volunteer meets a 16-year-old female program participant in a bar for a drink and takes her to his house for sexual intercourse.

# Facilitation Guide

## Module 4: Developing PSEA Human Resources Policies and Measures

- To raise awareness of the need for effective human resources (HR) policies and procedures that are PSEA responsive and support safeguarding more broadly.
- To provide participants with practical examples of how to incorporate PSEA elements into HR measures and a full overview of the key HR processes that directly link to the organizational commitment to PSEA and safeguarding.

SESSION 1: STAFF AND PSEA (20 MIN)

SESSION 2: HUMAN RESOURCES PSEA MEASURES (2.5 HOURS)

### Participants

Training of trainers



PSEA/safeguarding/  
protection  
focal points



Administration  
staff

### Duration

2 hours, 50 minutes



Training roll-out phase



Senior  
managers



Administration  
staff



## SESSION 1: STAFF AND PSEA (20 MIN)

### Objectives



- Understand the links between staff awareness of PSEA, safe recruitment practices and minimizing SEA risks.
- Learn the steps to be taken to ensure staff understand and adhere to PSEA principles.

### Key messages



- Staff should have a zero-tolerance approach to inaction on SEA.
- All staff—employees, volunteers and associates—have the responsibility to demonstrate organizational commitment to PSEA and safeguarding.
- Organizations should continually train and support staff on PSEA measures by developing and implementing a staff-awareness plan on PSEA.
- Senior leadership and management have a particular role in staff awareness-raising on PSEA by setting an example, actively promoting PSEA measures, and allocating resources as part of a broader safeguarding strategy.

### Materials



- Projector and slides

### Handouts



- HO 4.1 Staff training and PSEA (one per participant)

## PLENARY (20 MIN)


**ASK** what needs to be in place for organizations to ensure staff understand and work toward a PSEA commitment. Lead the discussion toward understanding the PSEA policy, the code of conduct and the obligation to report. **HIGHLIGHT** that the term “staff” should include all staff, volunteers, consultants and affiliates.<sup>1</sup> Share the key points:

- Strategies around raising staff awareness on PSEA will depend on the organizational structure (volunteer-based, faith-based, consortium, etc.)
- Staff awareness on PSEA should always be initiated and promoted by senior leadership and management as part of a broader safeguarding strategy.
- Organizations should plan for adequate resources (financial and human resources) and build their own capacity to continually support staff learning and awareness on PSEA and safeguarding.
- Organizations should develop a staff awareness-raising plan on PSEA that includes onboarding and yearly refresher trainings, with the involvement of HR, PSEA focal points and senior leadership/ management.

1. “Staff” refers to any designated representative of the organization, including national, international, permanent or short-term employees, as well as volunteers and consultants. (CHS Alliance)

**SHARE** the practical steps: How to share PSEA messages for staff awareness-raising:

- Staff should be briefed on their obligations in terms of PSEA when joining the organization. It is not enough to sign the code of conduct; they need to be made aware of its contents. Induction should include:
  - What conduct is expected of them.
  - What the implications of breaching the code of conduct are.
  - How to report any concerns they might have on SEA.
- All staff, volunteers and associated personnel sign the organization’s code of conduct, or equivalent, which should include PSEA. (This should include the Six Core Principles at a minimum, and how to report misconduct).
- All staff, volunteers and associates receive induction and annual refresher training on PSEA and the code of conduct, and any other issues related to safeguarding. Training on misconduct (specifically mentioning SEA) forms part of the induction process.
- Staff members are aware of their obligation to report SEA and other safeguarding issues, and are aware that there is a policy for protection from retaliation (whistleblower policy) in place. Staff are often concerned about confidentiality and how their complaint will be handled.
- Job descriptions should include PSEA responsibilities commensurate with the role, and supervision and performance appraisals should include adherence to specific PSEA responsibilities, the code of conduct and participation in trainings (or similar) that include PSEA.
- Regular staff meetings include PSEA topics and offer an opportunity for staff to address ongoing PSEA processes or concerns and suggestions. Staff awareness on PSEA is an ongoing process.
- PSEA information materials should be displayed in the work premises at all levels (should include information about what misconduct is, the obligation to report, and reporting channel information, such as phone number, emails and staff member names to report to).

For more details on the staff onboarding and training on PSEA, **DISTRIBUTE**  **HO 4.1 staff training and PSEA** for further reference.

## SESSION 2: HUMAN RESOURCES PSEA MEASURES (2.5 HOURS)

### Outline



- Introduction (10 min)
- Exercise: Job advertisement and interview (40 min)
- Debrief job advertisement and interview measures (10 min)
- Exercise: Active reading and teaching, other HR measures (1 hour)
- Debrief on PSEA and HR (15 min)
- Module review for roll-out (15 min)

### Objectives



- Learn how relevant HR policies and procedures can contribute to the PSEA commitment of organizations.

### Key messages



- Staff hiring and management processes for all positions and especially those implying direct contact with children and the most vulnerable require special consideration.
- PSEA-responsive HR policies and procedures are one of the key prevention measures that organizations can take: hiring the right staff for the right positions will positively strengthen the culture of the organization toward PSEA and the appropriate management of staff.
- Senior managers and HR staff have a particular role in understanding and implementing PSEA HR measures.

### Materials



- Projector and slides
- Flip chart and markers

### Handouts



- HO 4.2 Safe recruitment measures
- HO 4.3 CAFOD Safe recruitment policy
- HO 4.4 CAFOD Safeguarding in interviews
- HO 4.5 CAFOD Conducting police checks
- HO. 4.6 CAFOD Requesting references
- HO 4.7 Safeguarding in job descriptions

## PLENARY: INTRODUCTION (10 MIN)

**ASK** participants why they think HR plays such an important role in PSEA.

**ASK:** *Why do we need to address HR processes in the light of PSEA?*

- SEA incidents are caused by our staff and their behavior.
- Hiring the right staff for the right positions will positively strengthen the culture of the organization toward PSEA.
- HR processes play a critical role in preventing SEA incidents.
- How an organization responds to PSEA incidents is critical, and HR processes will play a central role in responding to them.
- Staff hiring and management processes for all positions, and especially those involving direct contact with children and vulnerable adults, require special consideration.
- PSEA-responsive HR policies and procedures are one of the key prevention measures that an organization can take.
- Senior managers and HR staff have a specific responsibility to understand and implement PSEA HR measures.

**ASK** what kind of aspects of PSEA prevention and response will involve HR. Make notes on the flip chart. Suggestions may include:

- Identifying the safeguarding risk(s) of each role and, more specifically, the potential risk of SEA.
- Outlining safeguarding commitments and responsibilities in job adverts, job descriptions and terms of reference, as applicable.
- Requesting confidential disclosure of an applicant's convictions within the parameters of local employment law.
- Ensuring appropriate screening questions are asked during selection/interview processes for relevant roles.
- Performing thorough background checks confirming an applicant's employment history and undertaking reference checks in accordance with any relevant policies.
- Conducting police checks as appropriate.
- Participating in/enacting recommendations from any investigations.
- Providing induction trainings on PSEA to new staff, and refresher training to existing staff.
- Providing references for departing staff, including any substantiated PSEA concerns.
- Including SEA in personal development reviews.

Explain that seven PSEA HR measures will be covered during the session:

1. Job advertisement
2. Job interviews
3. Job descriptions
4. Gender-balanced recruitment
5. Gaps in employment history
6. Background checks and references
7. Signing of PSEA-responsive employment contracts and code of conduct

## EXERCISE: JOB ADVERTISEMENT AND INTERVIEW (40 MIN)

**ANNOUNCE** the exercise and split the participants into two groups with two different tasks that are important in the hiring process.

**Group 1:** Discuss the job advertisement for a position of a Shelter Program Officer in a refugee camp with 30% of time allocated to a Child Friendly Space (CFS).

For reference in the exercise, use the following questions:

- Where should you advertise?
- What type of candidates would you like to attract?
- What messages can you include in the job advertisement that are PSEA relevant?

**Group 2:** Roll play a job interview with three panelists (HR manager, project manager and PSEA focal point) and one candidate for the position of a Protection Officer in a refugee camp, with 30% of time allocated to Child Friendly Spaces (CFS). Allow the group to select panelists and to develop at least five interview questions.

For reference in the exercise, use the following questions:

- How would you check for gaps or frequent changes in employment?
- Are there any warning signs you might watch out for during the interview?
- How can you gauge how well a candidate understands PSEA policies and procedures?

**ALLOW** each group 20 minutes to prepare. Group 1 then presents first, sharing the details of the job advertisement (10 minutes), followed by Group 2's job interview role play (10 minutes).

Each group comments on the work of the other group. Ask a representative from each group to write the comments on a flip chart.

## PLENARY: DEBRIEF JOB ADVERTISEMENT AND INTERVIEW (10 MIN)

**DEBRIEF** the exercise. **SHARE** that even in the early stages of hiring staff, we can include PSEA elements by adding the following into the vacancy announcements/job postings:

- Make a clear commitment to PSEA by including a sample statement: *“The organization requires its staff to treat all people with dignity and respect, actively prevent harassment, abuse, exploitation and human trafficking everywhere and at all times.”*
- A value statement can highlight key values such as honesty, integrity, courage, respect, diversity, commitment, stewardship and accountability.
- Include some of the organizational principles: neutrality, impartiality, humanity and independence as basic humanitarian principles.
- Include specific statements that focus on the candidate’s motivation for the job: *“We are looking for people who are values led and results driven.”*

**HIGHLIGHT** that being selective in where we advertise provides for quality candidates and minimizes the risk of SEA.

**SHARE** that the interview panel for positions involving direct contact with the most vulnerable program participants should include a hiring manager, HR person and ideally a PSEA focal point. Ensure that the interviewers have the relevant experience and knowledge of PSEA/safeguarding best practices. During the interview, discuss the policies around staff-program participant relations and assess interviewees’ responses to questions related to sexual relations with program participants and vulnerability.

**REVIEW** generic and role-specific interview questions from **H HO 4.4 CAFOD Safeguarding in interviews**.

**DISTRIBUTE** **H HO 4.2 Safe recruitment measures** based on the CHS Alliance [PSEA Implementation Quick Reference Handbook](#) (2017) to all participants.

## EXERCISE: ACTIVE READING AND TEACHING (1 HOUR)

### Part I

**DIVIDE** participants into five groups of about five members each, making sure that participants from the same organization are in the same group. Within each group, ask each participant to read one of the PSEA measures from **H HO 4.2** and present what their measure is about. Allow 5 minutes for reading and 5 minutes for sharing per measure within the groups. The measures are:

3. Job descriptions
4. Gender-balanced recruitment
5. Gaps in employment history
6. Background checks and references
7. All staff sign contracts that include PSEA elements and the organization's code of conduct

### Part II

**ASK** participants to discuss in their organizational teams which measures are already in place, which need strengthening, and how that can be done. Ask teams from each organization to share with the wider group. Allow 10 minutes for team discussion and 5 minutes for each organization to share within the group.

**SHARE** the highlights for each measure (as in the handout) and then ask what would be challenging in the local context or for their organization's structures/processes/resources, based on the group's reflections.

## PLENARY: DEBRIEF ON PSEA AND HR (15 MIN)

**HIGHLIGHT** that all job descriptions should include commitments to PSEA/safeguarding.

- Sample text for all job descriptions: *[Organization] is committed to safeguarding program participants from exploitation and abuse. The successful candidate is expected to sign and adhere to the [Organization]'s safeguarding/PSEA policy and code of conduct.*

**DISTRIBUTE** **H HO 4.7 Safeguarding in job descriptions.**

**HIGHLIGHT** that background checks are vital, and the importance of understanding the national legal context and the possibility of needing to vet candidates both nationally and internationally. Allow time for additional questions for any of the discussed measures.

For more information, **DISTRIBUTE** **H HO 4.5 CAFOD Conducting police checks** and **H HO 4.6 CAFOD Requesting references.** **DISTRIBUTE** **H HO 4.4 CAFOD Safeguarding in interviews** for further reference on interviewing questions and adaptation to the local context.

**CLOSE** the session by sharing highlights:

- HR PSEA measures include steps related to staff onboarding and continual staff training on PSEA (more details in *Module 7 Responding to SEA reports*).
- HR managers and senior managers/leadership have a particular role in ensuring PSEA HR measures are implemented and adjusted to the local context.
- Local laws should be taken into consideration when vetting staff.
- Implementation of HR PSEA measures requires close coordination between managers, HR staff and PSEA focal points.
- An organization's HR policy must clearly define roles, responsibilities and tools for HR PSEA measures.

## MODULE REVIEW FOR ROLL-OUT (15 MIN)

**ASK** each participant to use the training plan template to modify or reflect on the session for the roll-out phase. **HIGHLIGHT** that at roll-out this module should target senior managers and HR staff within their organizations.



# HO 4.1 Staff training and PSEA

Adapted from: CHS Alliance. 2017. *PSEA Implementation Quick Reference Handbook*.

## PSEA MEASURES IN STAFF ONBOARDING AND TRAINING

Below stated recommended measures for onboarding and staff training imply development of adequate materials and tools that will be delivered for partners' support during the project, according to the detailed implementation plan. Adequate resources should be allocated for the materials development, expert support as well as staff time to attend the trainings.

All new staff receive a briefing on PSEA policy.<sup>1</sup>

All new staff receive a briefing on the code of conduct.

During onboarding process, staff member is rigorously taken through the code of conduct and the SEA complaints and investigations mechanisms. Staff are given the time to discuss and fully understand the policies and procedures, including consequences of the code of conduct breaches.

Basic PSEA training forms part of the onboarding process to ensure all staff know about the prevention and response measures to SEA issues.

Staff with direct contact with program participants receive full PSEA training, including causes and consequences of gender-based violence and SEA. Staff who work directly with children receive child protection training along with full PSEA training.

Staff working on feedback and response mechanisms, either inter-agency or project based, and are receiving sensitive feedback, receive full PSEA and internal reporting system training as an obligatory part of onboarding.

Staff with prolonged and largely unsupervised time working with women and children are especially targeted for PSEA support, advice and training.

All staff receive annual refresher training on the code of conduct and PSEA, and learn about the mechanism to file complaints and reports of misconduct, and the implications of breaching these standards.

The code of conduct (either the simplified or complete version with IASC Six Core Principles at a minimum) is displayed in all operational and office areas.

The agency distributes the code of conduct, in English or translated versions, to all staff.

The PSEA focal point or a manager is responsible for ensuring that a training strategy among all staff is implemented to raise awareness on gender, gender-based violence, human rights, SEA prevention and response, and the code of conduct, and how to report incidences, whether substantiated or not.

All relevant PSEA guidelines (PSEA policy) and reference materials (SEA reporting forms)<sup>2</sup> are available in the field for staff reference. PSEA materials encouraging staff to report SEA misconduct are displayed in agency premises at all locations.

Staff have the opportunity to discuss organizational and personal values and motivation in their work, during the annual staff retreat.

1. Example policy: [Policy on Protection from Sexual Exploitation and Abuse and Child Protection](#), CARE International.

2. PSEA Task Force [Model Complaints Referral Form](#).

# HO 4.2 Safe recruitment measures

Human resources staff or hiring management should ensure that all new and potential hires understand the organizational commitment to protection from sexual exploitation and abuse, and the expectations of them as potential staff members. This means defining organizational protocols, mechanisms and tools for the recruitment process. These should ensure that candidates have not engaged in activities that are not aligned with the organization’s commitment to PSEA. The term “staff” in this document refers to employees, volunteers, consultants and interns.



*Human resources staff or hiring management should ensure that all new and potential hires understand the organizational commitment to PSEA, and the expectations of them as potential staff members*

## Include PSEA commitments in job advertisement

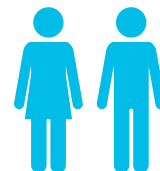
Inform the candidate of the organization’s vision and mission, as well as its culture, values and principles that prevent sexual exploitation and abuse by its employees. This can be done in the job description or on a recruitment page or application form. For online applications, this should be reiterated, and candidates invited to reflect on their personal values and how those align with the organization’s, demonstrating a value-based motivation for the job they are pursuing.

- Sample statement: *“The organization requires its staff to treat all people with dignity and respect, and actively prevent harassment, abuse, exploitation and human trafficking everywhere and at all times.”*
- The value statement can highlight key values such as honesty, integrity, courage, respect, diversity, commitment, stewardship and accountability.
- Include specific statements that focus on the candidate’s motivation for the job, such as: *“We are looking for people who are values led and results driven.”*
- Basic humanitarian principles upheld by the organization can include neutrality, impartiality, humanity and independence.
- The job advertisement should emphasize the organization’s need to employ staff with certain key values.
- Include a summary of the key duties, essential qualifications and most interesting aspects of the job.
- Describe the organizational culture and work environment, and list any benefits and growth opportunities.
- Be strategic and advertise in the best places to reach the appropriate audience for the position.

## Include PSEA elements in job descriptions

A job description provides an overview of the position, including responsibilities, qualifications and competencies required. Review the job description with the hiring manager and PSEA focal point to confirm the level of direct interaction with vulnerable populations.

- Job descriptions should include clauses outlining the conduct expected of staff, and refer to the organization’s PSEA policy.
- The higher the level of expected interaction with vulnerable populations, the greater the potential risk to those populations, and therefore the greater the need for vetting and due diligence. In the job advertisement, include adequate clauses on performing those processes.
- For positions involving direct work with children, require candidates to sign a statement declaring they have no criminal convictions related to the abuse and/ or exploitation of children. This should not be a substitute for running independent police and reference checks on a candidate (where possible).
- Include specific competencies and talents, such as accurate and active listening, integrity, accountability, building relationships, commitment to the job, consistency, reliability, emotional control, freedom from prejudice, and handling stress.



*Diversify staff composition by gender*

### Target gender-balanced recruitment

To facilitate the reporting of sensitive issues, diversify staff composition by gender, especially when jobs will entail working directly with women and children.

- Monitor gender balance of staffing and strive for gender balance at all levels of responsibility, in both main and sub-offices, and among contracted staff and volunteers.
- Review job qualifications with the hiring manager to ensure there are no limitations of the candidate pool, for example, in a certain context, women may have less formal education (due to limited access) than men, but may have substantial work and community experience that could also result in the knowledge and skills needed for the position.
- Ensure your job advertising and posting strategy is not limited to online platforms that could exclude certain applicants.
- When sourcing candidates, be sure to seek recommendations from male and female staff on diverse candidates they believe are experts in the field and who can be recruited for current or future openings.
- In the job advertisement, include information that could help attract a wider pool of female candidates, including details of the organization’s relevant policies and benefits, such as maternity leave, support for exclusive breastfeeding, the availability of childcare at the office, and flexible working hours.
- When determining who should be on the hiring committee and interview panel, remind hiring managers to select staff from a diverse range (ages and ethnicities) of male and female staff to ensure inclusive input.
- Properly emphasize non-technical competencies to help enable a wider, more diverse pool to be considered.
- Ensure that all interview questions conform to anti-discriminatory guidelines (e.g. Do not ask female candidates if they plan to have children and then, if they respond in the affirmative, tell them they will not be a good fit because they won’t be able to travel enough for the role).
- Given that some female candidates may not have as much paid work experience as male candidates, some flexibility in the referencing process is suggested, including allowing non-work references, such as from a teacher or a community leader.
- Ensure that thorough internal audits of salaries are conducted so that men and women are paid the same salary for the same work.

### Check gaps in employment history during interview

Seek more information on any gaps in a candidate’s employment history by asking:

- How did you spend time between jobs?
- Did you do any volunteer or community work? Ask for references (names and contacts) from these engagements.



Seek more information on any gaps in a candidate’s employment history

### Ask questions related to PSEA during the interview and written tests

Provide hiring managers with sample questions or scenarios that are based on the organization’s PSEA policy, and code of conduct and ethics, including vision, mission and values.

- During the interview process, discuss the policies on staff–project participant relations and assess the interviewee’s responses to questions related to sexual relations with project participants and their vulnerability.
- Include the PSEA focal point in the interview process.
- Ask:
  - Ask the candidate to describe previous work situations in which their morals and integrity have played a significant role in the outcome.
  - Ask specific questions about their peers’ view of their performance in previous positions.
  - Ask for the names of those peers.
  - At the end of the interview, ask for contact details of peers mentioned in the interview in order to contact them and ask questions about the candidate.

### Perform background checks and references

Request at least two references from previous employers. *Note: CRS’ standard is three references.* The HR manager and the hiring manager should discuss who to contact for references based on the position’s requirements and employment history shared. References could be sought from the candidate’s supervisors and peers. References provided by candidates should not be the only ones used. Additional references can be sought on personal and moral integrity and, in the case of faith-based organizations are usually from religious leaders in the community. Develop a reference checklist and include safeguarding/PSEA questions. Check the reference over the phone or by video chat (Skype, Zoom) but not email. It is vital to verify who is completing the reference, and hear the tone and sincerity of their responses.

- Ensure references are rigorously gathered and follow a specific format/ checklist. They should include questions about safeguarding and disciplinary action.
- If the information collected in the reference raises any concerns, these must be communicated very clearly with the hiring staff and management, and recorded in writing.

- Example questions for referee:
  - *What was the nature of the candidate's previous job?*
  - *How do you rate their performance overall? Poor, satisfactory, good or excellent?*
  - *How did the candidate interact with others?*
  - *Why did the candidate leave the job?*
  - *Do you have any concerns about the candidate working with at-risk populations and/or is there anything that might be of concern to our organization?*
  - *Are you aware of the candidate having a criminal record or any issues related to child protection that our organization should be aware of?*
  - *At any stage in their employment, did you undertake any disciplinary actions against the candidate related to any safeguarding issues?*
- Request written consent from the successful candidate to conduct a background/criminal record check. Include a declaration statement on the candidate's confirmation of true information provided as well as consequences of any misstatements, omission or falsification related to the background check process. Consequences should include disqualification from the selection process or termination of contract if already hired.
- Conduct background checks on the successful candidate (international and national), including a criminal record check in their home country and in other countries they have worked, wherever possible.
- If any concerns are flagged in the reference, request further information from the candidate.
- A thorough reference check procedure *should not be waived under any circumstances*, even in a first-phase humanitarian response. Experience has shown that not undertaking a thorough process can result in more time taken to dismiss and replace unsuitable candidates. At worst, it can result in affected populations being exposed to risk.



*Conduct background checks on the successful candidate (international and national), including a criminal record check in their home country and in other countries they have worked, wherever possible*

### All staff contracts include PSEA elements and organization's code of conduct

- All staff contracts include a statement of understanding of and adherence to the organization's code of conduct.
- All staff contracts include copies of the [IASC Six Core Principles Relating to Sexual Exploitation and Abuse, 2019](#).
- The code of conduct includes the same principles at a minimum.
- All staff contracts include organizational values, mission and vision.
- All signed documents are kept on personnel files.

# HO 4.3 CAFOD Safe recruitment policy



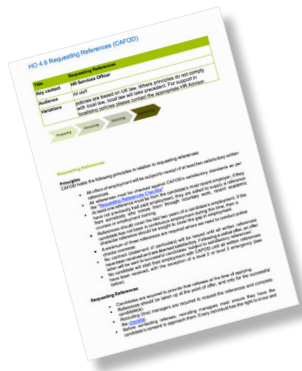
# HO 4.4 CAFOD Safeguarding in interviews



# HO 4.5 CAFOD Conducting police checks



# HO 4.6 CAFOD Requesting references





## HO 4.7

# Safeguarding in job descriptions

A job description is an overview of the responsibilities, qualifications and competencies needed to perform a job. All job descriptions should include commitments to safeguarding.

Sample text for all job descriptions:

- *Safeguarding policy: [Organization] is committed to safeguarding program participants from exploitation and abuse. The successful candidate is expected to sign and adhere to [Organization]'s safeguarding/PSEA policy and code of conduct.*

Sample points for all job descriptions:

- *Take responsibility to fully understand the policy and its implications.*
- *Follow the code of conduct and ethics, and respect the safeguarding/PSEA policy at all times (in your professional and personal lives) and ask for clarification if anything is unclear.*
- *Carry out work duties in a way that does not harm children, vulnerable adults or other staff or volunteers, and does not expose them to further risk of abuse or exploitation.*
- *Promote an environment of respect and trust with program participants and community members, both at the office and in the field.*
- *Report any safeguarding concerns according to [Organization]'s procedures.*

### Additional points specific to program managers and senior staff:

- Ensure program-specific safeguarding questions are included in recruitment interviews and written tests.
- Ensure all new employees receive the safeguarding policy training as part of their induction.
- Ensure safeguarding is considered in performance reviews, including probation.
- Ensure the safeguarding policy and code of conduct and ethics is communicated to and understood by program participants and relevant community members (through ongoing, age-appropriate, contextualized verbal and/or written information shared in local language).
- Ensure that project participants understand the expected conduct of staff and how to safely report any concerns.
- Ensure that feedback from project participants is handled and responded to appropriately.
- Treat any person who raises a concern or report about a safeguarding issue with respect and dignity, and show concern for their safety and overall well-being.




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**All job descriptions should include commitments to safeguarding**

**Specific points to be included for human resources staff:**

- Ensure compliance with all aspects of the recruitment processes that aim to prevent the recruitment of staff or volunteers who may not be suitable to work directly with vulnerable populations and diverse staff.
- Continually review, identify gaps and strengthen recruitment processes with regards to safeguarding.
- Provide safeguarding documents and orientation to all staff and volunteers.
- Ensure that all staff and volunteers receive safeguarding training.
- Ensure that all staff and volunteers receive refresher training each year.
- Ensure safeguarding considerations are consistently incorporated into the performance management system (probation, appraisal, etc.).
- Set up and administer a system that checks understanding of safeguarding training content of staff and volunteers (e.g. post-test).



# Facilitation Guide

## Module 5: Community Engagement and PSEA

- To inform and raise awareness on the need for engaging communities through consultations and information-sharing in responding to SEA.
- To discuss and reflect on effective modalities for community consultations and information-sharing on both PSEA messages and FCRM.

SESSION 1: WHAT IS ACCOUNTABILITY? (1 HOUR)

SESSION 2: COMMUNITY ENGAGEMENT AND INFORMATION SHARING ON PSEA (1 HOUR, 30 MIN)

### Participants

Training of trainers



PSEA/safeguarding/  
protection  
focal points

Training roll-out phase



Program staff

### Duration

2 hours, 30 minutes



## SESSION 1: WHAT IS ACCOUNTABILITY? (1 HOUR)

### Outline



- Facilitation practice on accountability (30 min)
- Debrief (15 min)

### Objectives



- Understand the importance of accountability

### Key messages



- Accountability to affected populations is crucial for PSEA.
- Building trust with the communities we work with is key to effective accountability.

### Materials



- Projector and slides
- Flip chart and markers

A participant facilitator from the group will **LEAD** the exercise, using the facilitation guide below.

## FACILITATION PRACTICE (30 MIN)

**INTRODUCE** the session on accountability by asking participants to share what accountability means to them.

**READ** the IASC definition of accountability and SEA:

- An active commitment by humanitarian actors and organizations to use power responsibly by taking account of, giving account to and being held to account by the people they seek to assist.
- Sexual exploitation and abuse of affected community members by anyone associated with the provision of aid constitutes one of the most serious breaches of accountability. It is also a serious protection concern and erodes the confidence and trust of affected communities and the host country in all those providing assistance.

**ASK** participants to split into three groups. Each group will discuss what one aspect of accountability means to them: taking account, giving account and being accountable. They write their comments on flip chart paper. Allow 20 minutes for the exercise, including time for each group to present.

**DEBRIEF** on the three aspects of accountability to affected populations as per CHS.

**Taking account** means giving communities meaningful influence over decision-making in a way that is inclusive, non-discriminatory and accounts for the diversity of communities. Listening is not enough: individual organizations and humanitarian actors need to incorporate the feedback into their strategies as well as into the collective response to the crisis. This can be done through needs assessments and post-distribution surveys.

**Giving account** is the sharing of information in an effective and transparent way across communities. This can include:

- Information about the organization
- Targeting criteria
- How humanitarian workers should behave (organization code of conduct and/or ethics)
- How to provide sensitive and non-sensitive feedback

Information should be shared in a way that communities can understand, be empowered by it and become active participants in the response. This can be done through community meetings, regular monitoring visits and regular project activities, such as post-distribution monitoring, and feedback and complaints mechanisms.

**Being held to account** means ensuring communities have the opportunity to assess and, where feasible, alter or sanction humanitarian actors' actions. Communities are rarely in a position in which they have the agency or power to select the organizations that will support them or the type of support they will receive, at least initially. Their view on the appropriateness and quality of the service or response should be consistently sought.

In plenary, **ASK** how the participants see the relationship between SEA and Accountability to Affected Populations (AAP).

**DEBRIEF** on key messages on why we should consult communities:

- Community consultations lead to a better understanding of SEA issues and to addressing those effectively in a particular context.
- Community consultations foster trust and enhance organizational measures to prevent SEA. Such consultations also increase understanding of how to share relevant PSEA information with communities and receive it from them.
- SEA acts can have serious consequences for the community and cause serious harm to individuals and the community.
- Community engagement does not occur spontaneously; it must be actively fostered and promoted by aid workers.

After a short discussion, **SAY**:

*Sexual exploitation and abuse by anyone associated with the provision of aid constitutes the most serious breach of accountability, and populations should be able to make complaints and call for appropriate PSEA/safeguarding measures against such abuse, as well as be informed of the results of investigations into these complaints. This can be done through feedback and complaints mechanisms or post-distribution surveys. AAP is about the responsible use of the power that organizations have, and PSEA is related to their response to preventing abuse of that power.*

**HIGHLIGHT** that taking account, giving account and being held to account are necessary for individual agencies, and also crucial at the collective level to reduce and mitigate SEA in emergency or development contexts.

**HIGHLIGHT** linkages between accountability and PSEA.

- Risks of SEA are understood and mitigated.
- Communities understand what behavior they should expect of aid staff.
- Affected communities are informed and understand SEA survivor assistance packages.

## DEBRIEF (15 MIN)

**INVITE** the participants and the participant facilitator to provide feedback on the facilitation process. Ask the participants to use the facilitation practice feedback form.

**ASK** what went well and what the challenges were. Highlight missing points and key messages, if any, from the facilitation.

## SESSION 2: COMMUNITY ENGAGEMENT AND INFORMATION-SHARING ON PSEA (1 HOUR, 30 MIN)

### Outline

- Exercise: Why we need to consult communities on PSEA (10 min)
- Exercise: Three lines (15 min)
- Exercise: Community consultations on PSEA (35 min)
- Plenary: Community consultations on PSEA (15 min)
- Module review for roll-out (plenary) (15 min)



### Objectives

- Understand the importance of community engagement and information-sharing on PSEA as a critical element of accountability.
- Understand the importance of engaging communities in PSEA through consultations and information-sharing, and the benefits it can bring.
- Understand how to engage with communities on SEA issues using participatory techniques and tools.



### Key messages

- All community consultations and information-sharing efforts on PSEA must be context-appropriate due to the sensitivity of SEA issues.
- Communities must be fully aware of the expected behavior and commitments of the organization's staff.
- Communities must understand how to complain if these commitments are not met, and how sensitive feedback will be handled.
- Appropriate SEA awareness-raising tools and approaches should be used with communities.
- Community consultations on PSEA should be a continual process and an integral part of all program activities.



### Materials

- Projector and slides
- Flip chart and markers



### Handouts

- HO 5.1 Community focus group discussions on PSEA
- HO 5.2 Community consultations on FCRM
- HO 5.3 Key PSEA messages for communities
- HO 5.4 Steps in engaging communities in PSEA messages



### Online resources

- [Assessing information and communication needs: A quick and easy guide for those working in humanitarian response](#) (CDAC Network, 2017)
- [Practice standards in children's participation](#) (Save the Children, 2010) (also available in French and Arabic)
- [VSO Participatory approaches: A facilitator's guide](#) (VSO, no date)
- [Participation Handbook for humanitarian field workers](#) (URD, 2009)
- [Pre-crisis information mapping and consultation](#) (Community of Practice on Community Engagement, no date)



## EXERCISE: WHY WE NEED TO CONSULT COMMUNITIES ON PSEA (10 MIN)

**INVITE** participants to briefly discuss why communities should be engaged around PSEA issues. Use probing questions:

- What are the benefits of engaging communities in PSEA, and what are the potential consequences of not doing so?
- How can you engage communities in PSEA awareness-raising in your own context?

Record key comments on the flip chart.

## EXERCISE: THREE LINES (15 MIN)<sup>1</sup>

**DIVIDE** the participants into three groups and ask them to stand in three lines.

**GIVE** each line a method to communicate a message:

- Drawing
- Non-vocalized lip-reading
- Mime or charade

**EMPHASIZE** that no talking or writing is allowed.

**GIVE** the same simple written message to the person at the front of each line, such as “I like rice.”

**TELL** the groups that the exercise is a race to communicate the message along the line, and give a signal to start.

At the end of the exercise, **DISCUSS** which line won and why. Ask whether the message changed along the way.

In plenary, **HIGHLIGHT**:

- How information changes and can be easily misinterpreted or misunderstood.
- How little information is conveyed when a message is only received once and in one format.
- The need to use different formats for sharing the same information.
- The need to train staff on what those messages are and how to communicate clearly with different groups on a regular basis.
- The need to understand the link between sex, age and other diversity factors within the targeted communities and SEA, in order to define different communication strategies. The need to tailor messages to different audiences based on sex, age and other vulnerability factors.

1. Protection Mainstreaming Working Group (PMWG). 2018. *Protection Mainstreaming Facilitation Guide*. Module D.3 Information sharing.

## EXERCISE: COMMUNITY CONSULTATIONS ON PSEA (35 MIN)

**DIVIDE** the participants into four groups. Distribute **H HO 5.3 Key PSEA messages for communities** and **H HO 5.4. Steps in engaging communities in PSEA messaging**.

**EXPLAIN** the exercise:

- Identify any additional PSEA messages you would like to share with the community.
- What communication strategies would you use to share them in these four programmatic contexts?
  - Group 1: Internally displaced persons in a camp
  - Group 2: Children in an education program
  - Group 3: Women in a food distribution project
  - Group 4: People with disabilities in a rural area

**ALLOW** 15 minutes for each group to complete the task and record comments on a flip chart, and 5 minutes for each to present.

**DEBRIEF** on the exercise:

- Consider sex, age and other diversity factors and how those factors of vulnerability link to the way specific PSEA messages should be tailored to different groups.
- For children, consider fun approaches, such as puppetry, to sharing PSEA messages.
- Consider fast-changing environments and group structures and thus the need to constantly update PSEA messages.
- Within each group, such as women, consider a combination of factors that affect vulnerability such as age or disability.
- For disability, consider types of disability or impairment and ensure adequate communication strategies are in place, such as face-to-face contact, audio and visual methods.

**ALLOW** time for any context-specific messages or concerns.

**DISTRIBUTE** **H HO 5.1 Community focus group discussions on PSEA**, **H HO 5.3 Key PSEA messages for communities** and **H HO 5.2 Community consultations on FCRM**.

**SHARE** that these documents can assist the process of community consultations in both PSEA messaging, and feedback, complaints and response mechanisms set-up.

## PLENARY: COMMUNITY CONSULTATIONS ON PSEA (15 MIN)

**DEBRIEF** with key messages on PSEA community consultations:

- All community consultations and information-sharing efforts on PSEA must be context-appropriate due to the sensitivity of SEA issues (should include understanding of any malpractices pertaining to SEA, cultural/traditional/religious biases and views on SEA).
- Communities must be fully aware of the expected behavior and commitments of the organization's staff (e.g. code of conduct or statement of organizational commitment to PSEA translated into the local language and shared with communities).
- Communities must understand how to complain if these commitments are not met (e.g. through safe and accessible FCRM mechanisms) and how sensitive feedback will be handled.
- Appropriate SEA awareness-raising tools and approaches should be used with communities. Adequate materials on FCRM should be developed and shared with the communities and updated regularly.
- Community consultations on PSEA should be a continual process and an integral part of all program activities. Consulting communities on PSEA and sharing SEA information is not a one-time or separate exercise; monitoring visits and other regular interaction with communities should be used for that purpose.

**HIGHLIGHT** these resources on community consultations.

- OCHA. [Pre-crisis information mapping and consultations](#) report from the Philippines:
- Tools: CDAC Network. [Guide on communication needs assessment: Assessing information and communication needs: A quick and easy guide for those working in humanitarian response.](#)
- Sample PSEA messages in humanitarian response: Protection Cluster. [Key messages to share during humanitarian distribution.](#)

## MODULE REVIEW FOR ROLL-OUT (15 MIN)

**ASK** each participant to use the training plan template to modify or reflect on the session for the roll-out phase. **HIGHLIGHT** that this module should be targeting all program staff.



# HO 5.1. Community focus group discussions on PSEA

## FOCUS GROUP DISCUSSION GUIDE

### Purpose

The community consultation on PSEA messaging aims to:

- Understand what the community already knows about PSEA, and establish through which channels they prefer to learn about SEA and to raise related concerns and complaints.
- Identify the preferred PSEA information-sharing mechanisms for different groups, including boys, girls, men, women, people with disabilities, elderly people and minority groups, and identify the relevant PSEA content to be shared.

### The main deliverables expected from the activity

- Information on the preferred information-sharing channels and modalities for PSEA messages within the targeted community.
- Information on the required PSEA content and messages to be shared.

### Suggested process

Special consideration should be given to consultations with those at the highest risks of PSEA, such as women, children/adolescents, and people with disabilities. Other groups at potential risk include minorities, people at a certain geographical location, or program participants of a certain project/program, depending on the context.

The community should be consulted on how it prefers to receive information about PSEA, and what PSEA information they need to be aware of.

Standard best practice for conducting FGDs should be applied, and there are some specific PSEA considerations:

- Ensure uniform profile with gender/age/disability disaggregation of participants per group.
- Include 6 to 12 participants per group.
- Observe gender sensitivity when selecting FGD facilitator (female staff for female groups).
- Ensure appropriate timing and location of the FGD.
- Have both an interviewer and a notetaker to conduct FGD.
- Ensure all voices in the group are heard.
- Ensure appropriate language is used and translation is in place if needed.
- Provide a safe space and opportunity for questions or concerns to be raised outside of the group discussion.
- Ensure interviewing team knows how to handle and report incidents of SEA mentioned during the FGD, including ability to effectively use existing referral pathways (staff with PSEA background/knowledge preferred for the interviewing team).
- Debrief interviewer and notetaker after each FGD to ensure maximum data collection and reliability.

## QUESTIONNAIRE FOR FOCUS GROUP DISCUSSION ON PSEA

### Objectives

- Understand preferred and context-relevant information-sharing channels for PSEA messaging.
- Determine the level of PSEA understanding in the community and how to share effective and context-relevant PSEA messages with communities.

### Opening section

Welcome the participants and introduce the notetaker and facilitator. Explain, in the participants' own language, the purpose of the data collection effort and the FGD, how the participants were selected to be part of that FGD, and the future use of the data. Explain the following:

- The roles of facilitator, notetaker and participants.
- The expected duration of the discussion.
- The ground rules (e.g. mobile phones off).
- The way the discussion will progress, emphasizing the importance of participants' honest responses and interaction, and that there are no right or wrong answers.
- Ethical considerations, including confidentiality and its limitations (participation is anonymous).
- Voluntary participation, the right to refuse or withdraw, emphasizing no consequences for either.
- Share instructions for obtaining the participants' written or oral consent.

Start conversation about preferred information-sharing channels (how is information shared in the community, what works and what doesn't) and proceed to relevant content and PSEA messages that need to be shared (what do communities already know about PSEA and what still needs to be shared in an adequate way for different community members?).

### Questions on preferred channels of communication and information sharing

1. What type of information have you received from aid providers in the last x days/months?
2. Where did you receive the information from?
3. Which of those information channels are most trustworthy?
4. Was the information you received clear? If not, why not?
5. Do you feel that you face special obstacles in accessing information? What are those?
6. Are there any traditional information-sharing channels that your community uses when sharing important messages/information for the community?
7. What would be the most effective way for you to learn about the standards of behavior of aid staff?
8. Are there any official channels that you are aware of that you can use to report misconduct of aid staff working in your community? **IF YES**, how did you learn about these channels?

### Questions for the PSEA messages content

1. Are you aware of the organization's standards of staff behavior as defined by our code of conduct? **IF YES**, how did you learn about it?
2. What do you think are examples of misconduct by the organization or other aid workers?
3. What do you think the community needs to know about the behavior of aid/NGO workers?

### Closing section

Invite participants to provide further information or input if they want to. Provide them with contact information should they wish to share anything further with the facilitation team. Clarify again how the data will be used, especially that no names will be associated with any discussions during the session. Explain when the larger process will be completed. Thank them for their participation.

# HO 5.2 Community consultations on FCRM

## ACTIVITY 1: UNDERSTANDING THE COMMUNITY'S PREVIOUS EXPERIENCE OF USING A FEEDBACK CHANNEL.

*Explain the purpose of the exercise: An organization would like to set up a feedback and complaints channel to better respond to your feedback, complaints, questions and suggestions. Today we want to get your opinions on how to do this.*

Start conversation about program activities (what X organization is doing/ planning to do in the community):

### Questions

- When was the last time you gave feedback or made a complaint?
- Has anything stopped you from giving feedback or making a complaint?
- Are you aware of the complaints mechanisms in your community? Which ones are you aware of? If you are not aware, why?
- Do you know how to use the complaints mechanisms in your community? Which ones do you know how to use?
- What is good about this system, and what isn't?
- Have you tried giving feedback or making a complaint to any INGO or to local government using the complaints mechanism?
- If you have used one in the last x days/months, have you used it to make complaints about any bad behavior or misconduct by aid workers?
- If you have used the complaints mechanism in the last x days/ months, have you had a satisfactory response? If not, what was unsatisfactory about the response?
- Are you aware of any people who may be unable to access available feedback channels because of specific needs? Why were they unable to give feedback?
- Have you ever called a hotline to ask for information or service? What was the nature of the information or service you wanted to get from the hotline?
- Is this hotline free to call? Who manages the hotline? If it is not free, how much does it cost?

## ACTIVITY 2: UNDERSTANDING THE FEEDBACK PREFERENCES OF MEN, WOMEN, BOYS AND GIRLS

Give a brief introduction of the organization’s accountability commitments, and explain why we want to set up a feedback and complaints channel. Explain that people have the right to provide feedback and to complain, and to receive a timely response. Discuss the types of feedback and complaints the mechanism can handle, including a brief introduction of all categories.

Instructions: List three to five channels for sending and receiving feedback and complaints, and draw images (with a marker on a flip chart). Put the images on a wall or on the floor in front of the participants.

**Remember!** Choose feedback channels that are common in the community. You can also select those mentioned in activity 1, e.g. mobile phone, suggestion box, help desk). Give each participant several stones or stickers. Explain that you will ask a series of questions and that they can vote for the channel that they feel answers the question, by placing their sticker or stone near the appropriate picture. After each question, ask the group why they voted the way they did. Ask about positive and negative answers.

- Which of these channels do you prefer to provide feedback to aid providers about the quantity, quality and appropriateness of the aid you will receive? Why?
- Which of these channels do you prefer to provide feedback to aid providers about the behavior of aid workers?
- Which of these channels do you feel is confidential, that is, if you provide feedback to assistance provider, no one else will know? Why do you think so?
- Which of these channels do you feel is the easiest and most convenient to use? Why do you think so?
- Which of these channels provides the fastest response? Why?
- Which of these channels provides the slowest response? Why?
- Do you have access to a mobile phone?
- How often do you use your mobile phone? (Describe the main purpose of use: sending texts, receiving texts, calls or all three.)
- Which is your network provider? How is the signal reception in your area?
- In which language do you prefer to provide feedback in?

### Resources

- CRS Philippines. 2018. *Feedback and complaint channels guide*.
- IASC. 2018. [Menu of accountability to affected populations \(AAP\) related questions for multi-sector needs assessments \(MSNAs\)](#).

# HO 5.3 Key PSEA messages for communities

Adapted from: CHS Alliance. 2017. [PSEA Implementation Quick Reference Handbook](#)

## 1. All assistance provided by aid organizations is based on need and is free.

Humanitarian organizations and their staff work on the principles of humanity, impartiality and respect. If they have been discriminatory based on gender, ethnicity, religion, age, political affiliations or any such basis or you have been asked by someone working in a humanitarian organization to do something inappropriate, or they have demanded any kind of favor or sexual action from you in return for their help, that should be reported.

## 2. Women, girls, men and boys of all ages, ethnicities, orientations and those with special needs have the right to have a say in how humanitarian assistance is provided.

Community opinion is important in deciding how assistance is provided. This can include how distributions will take place, and the design and location of facilities, such as latrines, washing and cooking areas. Invite communities to share their opinions, and provide contact details for organizations and persons in charge.

## 3. You have the right to be informed about the humanitarian services provided in your area.

This includes information about the organizations working in your area and their contact details, the beneficiary selection process and criteria, and what assistance and services are being provided at what times, and who to contact in case you have a concern or complaint.

## 4. All humanitarian agencies endeavor to provide the best assistance and treat everyone with respect.

Invite reporting of any complaints or problems beyond SEA or about the services provided by any aid organization and where to report with contact details.

*This assumes that the complaints system in place ensures the protection and confidentiality of users. Before disseminating the next message, make sure the system is robust and that people reporting abuse are properly protected, confidentiality maintained and complaints dealt with rapidly.*

## 5. You have the right to complain and to report any inappropriate behavior, exploitation or abuse by a humanitarian worker including any UN staff member.

Share that a feedback, complaints and response mechanism has been set up. Supply contact information, its location and other useful information on sharing sensitive feedback both formally and informally. Highlight that all complaints are kept confidential and no harm will be caused for reporting such an issue.

# HO 5.4 Steps in engaging communities in PSEA messaging

Adapted from: CHS Alliance. 2017. *PSEA Implementation Quick Reference Handbook*

## 1. Select key PSEA messages from your organization’s policies or code of conduct that communities need to know.

- What are the organizational values, vision and mission, and commitment to PSEA?
- What is unacceptable conduct or behavior?

## 2. Profile the community you are communicating with.

- Different groups (such as mothers with young children, older men and women with disabilities, minority groups) will have different communication needs around SEA issues.
- Identify those needs through focus group discussions or key informant interviews, or during a needs assessment.

## 3. Consider how to communicate key PSEA messages in a way that is relevant and accessible to the community, including the most affected and marginalized:

- Identify preferred information-sharing modalities through FGDs or KII, or during a needs assessment
- Consider the following points:
  - Are women, men and minority groups literate? If so, what languages do they speak?
  - If messages are translated, have them proofread by another party to ensure the message is correct and appropriate.
  - Are there other marginalized groups, such as ethnic groups, that have difficulty accessing information?
  - What percentage of the population have disabilities requiring different communications methods (WHO recommends assuming that 15% of the population has a disability).
  - Children, and adults over 60, have specific forms of support that will need to be communicated in an appropriate way.

## 4. Develop your communication plan and materials.

There are different ways (format, language, locations, etc.) to communicate PSEA messages, and a variety of types can be used. Some examples:

- Posters, leaflets and other IEC materials
- Plays, children’s plays and learning activities
- Radio programs, discussions, announcements, skits
- Community, or community group, meetings or conversations
- Branded material
- Media releases, local newspaper articles, locally accessible social media
- SMS messages

Highlight that these are only examples. An innovative approach will seek understanding of the specific context and practical modalities based on the consultation process. The communication plan and materials should ensure that the right people receive the right information at the right time about SEA, while keeping in mind the safety and dignity of targeted communities and groups within the local context.

Teams must also understand the methods that are already in use in the community and the different groups that have easiest access to those methods.

### **5. Involve the community throughout the process of developing your communication materials on SEA, and feedback, complaints and response mechanisms.**

- Ensure that your material is appropriate, sensitive and likely to get the right message across in a changing environment.
- Community consultations on SEA and FCRM are not a one-time exercise but require continuity.

### **6. Always make sure community members know how to complain if they think SEA is taking place.**

- Include clear information on how to contact the organization with a complaint, with details on the FCRM designed to receive and handle sensitive feedback.

# Facilitation Guide

## Module 6: Feedback, Complaints and Response Mechanisms (FCRM) and PSEA

- To highlight the importance of feedback, complaints and response mechanisms (FCRM) in addressing PSEA.
- To offer practical steps for handling sensitive feedback, including allegations of SEA, and overall best practices for incorporating PSEA measures into project-based feedback, complaints and response mechanisms as one of the minimum standards for PSEA.

SESSION 1: FEEDBACK, COMPLAINTS AND RESPONSE MECHANISMS AND PSEA (1 HOUR)

SESSION 2: HANDLING FEEDBACK AND COMPLAINTS (2 HOURS)

SESSION 3: FEEDBACK AND COMPLAINTS QUIZ (50 MIN)

### Participants

Training of trainers



PSEA/safeguarding/  
protection  
focal points

### Duration

3 hours, 50 minutes



Training roll-out phase



MEAL staff and staff  
handling feedback



Senior  
managers



## SESSION 1: FEEDBACK, COMPLAINTS AND RESPONSE MECHANISMS (FCRM) AND PSEA (1 HOUR)

### Outline

- Plenary FCRM overview (10 min)
- Exercise: Encouraging feedback (40 min)
- Plenary: Minimum PSEA messages (10 min)



### Objectives

- Understand that sensitive and non-sensitive complaints should be handled differently.
- Understand how to encourage community reporting of sensitive feedback by using minimum PSEA messages that are relevant and context appropriate.



### Key messages

- Design of an effective feedback, complaints and response mechanism will depend on the context, and should be done in consultation with different groups from the target population.
- Sharing relevant messages on PSEA standards and agency codes of conduct can foster the sharing of sensitive feedback.
- Organizations should have safe and confidential mechanisms in place, particularly for more sensitive complaints.
- Communities should be aware of what behavior they can expect from organization staff, and of organizational commitments made on safeguarding, and how to complain if these commitments are not met.



### Materials

- Projector and slides
- Flip chart and markers



### Training tools

- TT 6.1 Feedback scenarios (one set)



### Handouts

- HO 6.1 Eight principles for building trust (Bond, September 2018)<sup>1</sup> (one per participant)
- HO 6.3 Selecting feedback mechanisms (CRS [MEAL in Emergencies](#) e-learning course, 2015) (one per participant)
- HO 6.4 FCRM channel-mapping tool (one per participant)



<sup>1</sup> Bond. September 2018. [Eight principles for building trust through feedback](#). CC BY-NC 4.0.

## PLENARY: FCRM OVERVIEW (10 MIN)

**ASK** the participants to share what feedback means and why it is important.

*Note:* Different organizations may use different terms (feedback, complaints, reports or allegations); there is no global standard of usage.

**WRITE** the answers on a flip chart and initiate discussion. Lead the discussion toward two aspects:

- Improving program quality
- Ensuring safeguarding of program participants

**EXPLAIN** that feedback mechanisms in humanitarian or development settings have two main objectives:

- **Improving program quality:** Because contexts are different from one community to the next and evolve with time, programs need to continually adapt and improve. Feedback from program participants contributes to this, mainly by:
  - *Contributing to timely learning:* Feedback mechanisms are complementary to evaluations, satisfaction surveys, etc., because they are open to all (organizations do not choose who gives feedback), unlimited on the subject and can be done at any moment.
  - *Ensuring learning is considered in decision-making:* Feedback mechanisms should be designed so that all information received is documented for learning. This can lead to an immediate change in programming (e.g. changing the day or time of a distribution), or changes over the longer term (e.g. suggestions can be integrated into new phases of the program or new proposals). It is vital that feedback leads to learning and improved decision-making as this can build trust in the mechanism, which in turn can encourage more sensitive feedback related to PSEA. Action taken due to feedback received should also be communicated to program participants, so they know their voices have been heard and have resulted in change.
- **Ensuring safeguarding of program participants:** Organizations have a responsibility to ensure their programs and staff do not negatively impact program participants. Feedback mechanisms contribute to safeguarding by:
  - **Preventing harm** (Do No Harm) as they can immediately highlight any concern of potential risks created or increased by the program.
  - **Reacting to stop it** Allegations of abuse, exploitation or fraud/corruption can be investigated and, if true, measures taken to mitigate harm and prevent further occurrences.

**HIGHLIGHT** that policies and procedures related to PSEA will always be more effective when a PSEA-responsive FCRM is in place.

**EXPLAIN** the definition of complaints mechanisms: “processes that allow individuals to report concerns such as breaches of organizational policies or codes of conduct.”<sup>2</sup> We will focus on concerns related to PSEA, as that is the focus of our work together.

2. CHS Alliance. 2017. [PSEA Implementation Quick Reference Handbook](#).

## EXERCISE: ENCOURAGING FEEDBACK (40 MIN)

**DIVIDE** the participants into two groups to discuss two different feedback scenarios (15 minutes). **DISTRIBUTE** **TT 6.1 Feedback scenarios** to each group.

The groups will write the answers to the following questions on the flip chart for later discussion:

- *What barriers might program participants face when trying to provide feedback, make complaints or report concerns, including those related to SEA?*
- *What can you do to encourage program participants to provide feedback, make complaints and report concerns, including those related to SEA?*

**DEBRIEF** the exercise by highlighting barriers to giving feedback:

- Fear of losing access to services, reprisals or other consequences
- Fear of not being taken seriously
- Fear of senior official and/or expatriate staff member
- Not seen as acceptable practice in country/region
- Not seen as acceptable to challenge those in authority
- Lack of knowledge of the right to report or how to report. This can be either because the organization does not share information on this right, or because of a lack of access to that information (literacy, dialects, information format, etc.)
- Lack of access to feedback channel
- Inappropriate choice of feedback mechanism
- Belief that nothing will change
- Embarrassment or shame

**HIGHLIGHT** ways to encourage participants to report:

- Foster engagement with diverse groups (women, children, older people, people from other marginalized groups, etc.) to understand how they view feedback and complaints, and to identify the most appropriate feedback mechanisms.
- Set up multiple feedback mechanisms to ensure wider access (e.g. hotlines, face-to-face volunteers, WhatsApp groups, etc.).
- Ensure better information-sharing on how to report, what to report on, appropriate and inappropriate behavior (Six Core Principles).
- Ensure better or quicker response to feedback and complaints.
- Provide better communication on how feedback is acted upon or used to adjust programs.
- Ensure stronger community engagement, participation and regular dialogue throughout the program cycle.
- Ensure diversity of staff to represent the target group and allow people to feel more comfortable when speaking out.
- Put in place strong procedures to ensure the confidentiality and safety of complainants.

**HIGHLIGHT** key points:

- Trust is essential for a feedback system to be successful. This may take time to build.
- An organizational culture in which complaints are taken seriously and acted upon is essential.
- Communities should be aware of what behavior they can expect and how to complain when they have concerns.
- Sensitive complaints must be dealt with promptly and safely. *Note:* You should refer the complainant to the victim/survivor assistance mechanism, where established, so that they may receive appropriate medical, psychosocial, legal and material support. If such an assistance mechanism is not yet in place, the designated staff member should seek to facilitate access to such support.

**HIGHLIGHT** that to further encourage the sharing of feedback and complaints in both emergency and development contexts, the following minimum PSEA messages should be shared with communities through context-appropriate communication strategies. These must be further defined in consultation with communities.

**PLENARY: MINIMUM PSEA MESSAGES (10 MIN)**

**RECAP** the minimum PSEA messages for communities relevant to feedback, complaints and response mechanisms.

- The definition of sexual exploitation and abuse
- The standards of conduct for relief workers
- That they have a right to free assistance
- Where and how to report SEA incidents
- What services are available, and how to access them
- What to expect after making a complaint, including potential referrals, timeframes, and the roles, responsibilities, and any limitations of actors involved
- What steps the organization will take to ensure safety and confidentiality

Link these to the discussion on PSEA messages from *Module 5: Community engagement and PSEA*.

## SESSION 2: HANDLING FEEDBACK AND COMPLAINTS (2 HOURS)

### Outline



- Standards of effective feedback, complaints and response mechanism (10 min)
- Facilitation practice: Twelve complaints-handling steps (35 min)
- Plenary: Facilitation debrief (15 min)
- Exercise: Processing sensitive and non-sensitive feedback (30 min)
- Plenary: Debrief (30 min)

### Objectives



- Learn the 12 steps in the complaints-handling process, including setting up a feedback, complaints and response mechanism.
- Learn the steps in processing both sensitive and non-sensitive feedback.

### Key messages



- Setting up an effective FCRM includes a range of activities that involve different stakeholders.
- Different FCRMs can be relevant in different contexts, but there are basic steps for designing and setting up any feedback mechanism.
- Understanding the process for handling all feedback ensures the setting up of adequate policies and procedures.
- FCRMs must be designed to handle both non-sensitive and sensitive feedback.
- A fast-track process for dealing with complaints about SEA must be put in place.
- Standard operating procedures must be put in place to define protocols for all feedback-handling processes to ensure confidentiality.

### Materials



- Projector and slides
- Flip chart and markers
- Four sets of *Twelve complaints-handling steps* cut

### Handouts



- HO 6.2 Minimum standards for effective FCRM (one per participant)
- HO 6.3 Selecting feedback mechanisms
- HO 6.4 FCRM channel-mapping tool
- HO 6.5 Twelve complaints-handling steps (4 copies)
- HO 6.6 Dos and don'ts for feedback collectors (one per participant)

### Training tools



- TT 6.2 Twelve complaints-handling steps
- TT 6.3 Examples of sensitive and non-sensitive feedback (4 copies)

### Online resources



- [Guidelines for investigations](#) (CHS Alliance, 2015)
- [Closing the Loop: Effective feedback in humanitarian contexts](#) (Bonino 2014)<sup>3</sup> (also available in French, Spanish and Arabic).

3. Bonino F, with I Jean and P Knox Clarke. 2014. [Closing the Loop: Effective feedback in humanitarian contexts](#). ALNAP/ODI.

## PLENARY: STANDARDS OF EFFECTIVE FCRM (10 MIN)

**SHARE** that PSEA elements should be taken into consideration early in the planning of a feedback, complaints and response mechanism.

**REVIEW** the minimum standards for an effective FCRM and distribute **H HO 6.2**

### Minimum standards for effective FCRM:

1. There are at least two channels available for each project and at least one of those should be a passive channel.
2. All staff are oriented to the feedback, complaints and response mechanism, their roles and the internal reporting processes (link to safeguarding policy procedures).
3. Communities are oriented on the Six Core Principles of staff behavior and the code of conduct, and how to report violations.
4. Ensure community consultations take place and that channels selected are based on the results of those consultations.
5. Regardless of how many project-based feedback, complaints and response mechanisms an organization is operating in a country, all sensitive feedback should be channeled to the executive director or other designated staff member within the organization.

**STRESS** that feedback can be received formally—through official feedback, complaints and response mechanisms—or informally, such as in person during monitoring visits. There should be at least one anonymous channel available. When setting up an anonymous feedback channel, communities need to be informed about its limitations, such as inability to contact the reporter.

**DISTRIBUTE H HO 6.3 Selecting feedback mechanisms** and **H HO 6.4 FCRM channel-mapping tool**. Highlight that both tools should be used when selecting an adequate feedback channel, and be based on community consultations.

**DISTRIBUTE H HO 6.1 Eight principles for building trust** for further reference on FCRMs.

A participant facilitator from the group will **LEAD** the following exercise, using the facilitation guide below:

## FACILITATION PRACTICE: TWELVE COMPLAINTS-HANDLING STEPS (35 MIN)

**DIVIDE** participants into four groups, hand out **TT 6.2 Twelve complaints-handling steps** (cut into sections), and ask the groups to put them into order. Allow 15 minutes for the exercise, then ask one group to present the order and other groups to compare their results and comment on the order. **ASK** participants:

- *Was anything surprising about the order of the steps?*
- *Does this resonate with how you do things currently?*
- *What steps are missing in your current process?*

**TALK THROUGH** each step below in plenary. Allow time for questions and clarifications.

- **Ensure commitment/support by senior management.** Ensure management understand and is committed to the implementation of the complaints mechanism.
- **Consult program participants, host communities and other stakeholders** about the design and location, etc., of the mechanism.
- **Develop standard operating procedures based on community input and program resources.** Using information from the community—and bearing in mind the realistic financial and human resources available—develop a policy. Consider how the mechanism will work, and who has oversight.
- **Conduct staff training on complaints handling.** Provide training on how the mechanism will work and who has responsibility for what.
- **Sensitize the community on the complaints-handling process.** Provide information to the community on how to use the mechanism, its purpose and limitations, how it works, and who is responsible.

**HIGHLIGHT** that the previous five steps were focused on *setting up* the feedback, complaints and response mechanism while the following three are focused on *processing* feedback and complaints.

- **Receive feedback and complaints**
  - Complaints are received by the mechanism the organization has in place. Ideally, complaints should include information about what the complaint is; who it relates to; and when, where and how the complainant can be contacted again.
- **Log and acknowledge**
  - Check the complaint is valid, i.e. within the control of the organization. If the complaint is valid, log the details in a central filing system, decide whether it is sensitive or not, and pass to the relevant person(s) for investigation. Contact the complainant to acknowledge receipt of the complaint.
  - If the complaint is not valid (i.e. not within the control of the organization), contact the complainant and try to assist them by referring them to another agency, as appropriate.

■ **Consult, review and investigate**

- All complaints need to be reviewed but not all require a formal investigation.
- Non-sensitive complaints are generally everyday complaints related to project delivery. They should be dealt with by the program team, with support from the complaints manager or equivalent. The fact that they are called “non-sensitive” does not mean that they are not important, or that the person affected doesn’t feel it is a sensitive issue, only that it does not relate to exploitation, abuse or serious misconduct.
- Sensitive complaints should be dealt with by someone with the relevant expertise, e.g. human resources manager, for cases of abuse or misconduct; finance manager, for cases of fraud or misuse of funds, etc.
- A decision must be made about whether the allegation relates to a criminal offence that may need to be referred to the authorities (while providing for the safety of those concerned).

Note to facilitators: *Module 7: Responding to SEA reports (IRIS)* will provide more details on conducting internal investigation.

- **Respond to complainant.** Contact the complainant and explain the outcome of the complaint and what action will be taken (if any). If there is a need for specific action, it will be one of three types: practice change (a decision to change ways of working in the future); making good (e.g. replacing products or services that were not fit for purpose); and restitution (consideration of compensation in an extreme case where it is not possible to make good).
- **Provide opportunity to appeal the decision.** Complainants have a right to appeal any decisions.
- **Review complaints trends, report to management and adjust program accordingly.** Monitoring and reporting on complaints can help the management team identify opportunities for improvement at the project, program and organizational levels.
- **Review effectiveness of complaints system and make adjustments.** Complaints systems should not be static if changes in the context mean that other methods would now be appropriate (e.g. reconstruction of telephone infrastructure).

Leave time for discussion on any of the steps that might need further clarification.

**HIGHLIGHT** that all the steps must be clearly addressed in the FCRM’s standard operating procedures, clarifying who will be engaged in each of the steps, and when and how.



## PLENARY: FACILITATION DEBRIEF (15 MIN)

**INVITE** the participants and the participant facilitator to provide feedback on the facilitation process. Ask what went well and what the challenges were. **HIGHLIGHT** missing points and key messages, if any, from the facilitation.

## EXERCISE: PROCESSING SENSITIVE AND NON-SENSITIVE FEEDBACK (30 MIN)

**EXPLAIN** that the following exercise will enable the participants to practice processing feedback and complaints.

**DIVIDE** the participants into four groups.

**PREPARE** **T** **TT 6.3 Examples of sensitive and non-sensitive feedback** with one example of sensitive feedback and one of non-sensitive feedback. Distribute it to each group. Ask the participants to use the last six steps from **H** **HO 6.5 Twelve complaints-handling steps**. They should review and present on a flip chart how these two examples would be managed based on the last six steps on the HO.

**ALLOW** 20 minutes for the exercise and 10 minutes for one group to present and other groups to comment by adding their findings.

## PLENARY: DEBRIEF (30 MIN)

**HIGHLIGHT** that depending on the type of feedback received (sensitive versus non-sensitive), the handling processes will be different. In each case, standard operating procedures must be put in place and shared throughout the organization so all staff are aware of the processes.

In implementing these steps, organizations should plan for different levels of staff training to handle sensitive feedback (psychological first aid, communication skills and other soft skills, keeping in mind direct contact with SEA survivors and exposure to sensitive information). Also, different staff will be engaged in different steps and this needs to be defined by the standard operating procedures.

### EXPLAIN:

- **Non-sensitive feedback** will be received, recorded and processed by project staff. It will be forwarded to project management for final decisions on the type of response needed. A staff member will then provide adequate feedback to the community or individual as needed.
- **Sensitive feedback** might be received by project staff, but should be forwarded to senior management for further handling. In cases of SEA, the PSEA focal point should be involved. The decision on the feedback will be made, it will be followed up and a final decision made on the initiation of the investigation procedure. For sensitive issues, feedback to the complainant should be done individually.

### Note for facilitators:

As mentioned above, immediate support to the victim/survivor must take place depending on the circumstances (medical support, transfer to a safe location, etc.) This implies prior identification of referral pathways for victim/survivor support.

The first step is preventing further harm to the victim/survivor by preventing contact between the alleged perpetrator and the victim/survivor. All steps in handling sensitive feedback, and SEA allegations in particular, must be clearly stated in the standard operating procedures, and be in line with organizational policies and procedures and the internal reporting and investigation system.

### EXPLAIN: Response time

- Non-sensitive feedback should be responded to within two weeks.
- Sensitive feedback should be acted upon immediately, receipt acknowledged, and the handling process initiated.


**HIGHLIGHT** that sensitive feedback should never be shared publicly. The issue of confidentiality might come up when processing both types of feedback. In some instances, it will not be possible to guarantee confidentiality, e.g. when the SEA or fraud allegations are referred to national authorities under mandatory reporting laws.

Best practice is to inform the complainant of expected procedures on the sensitive feedback, and SEA in particular, so that they can make an informed decision to report. FCRM standard operating procedures will need to clearly outline how your agency intends to ensure confidentiality while abiding by the relevant mandatory local and national reporting laws and policies.

**EXPLAIN** that sensitive feedback does not only include SEA but also fraud, any breaches of the code of conduct or safeguarding policy, and allegations of SEA by staff of other organizations.

**EXPLAIN** that any feedback must receive a response:

- Always thank the person giving feedback for sharing their opinion.
- Let them share their preferred medium for receiving an answer (if needed): individual (phone call, SMS, home visit) or public (public address, poster)
- Closing the loop, i.e. responding to sensitive feedback, has particular importance due to the sensitivity of the feedback and the dire consequences for a range of stakeholders if no action is taken. A specific response to sensitive feedback should never be given through a public means; it should be given directly to the person who reported the issue. However, we can share with the broader community that we have had complaints of a sensitive nature and provide information on the process for how they are handled.

**CLOSE** the session by showing the DOS and DON'Ts for feedback collectors on the slide and **DISTRIBUTE**  **HO 6.6 DOs and DON'Ts for feedback collectors.**

## SESSION 3: FEEDBACK AND COMPLAINTS QUIZ (50 MIN)

### Outline



- Facilitation practice: Quiz (20 min)
- Plenary: Facilitation feedback (15 min)
- Module review for roll-out (15 min)

### Objective



- Review the key points on feedback mechanisms

### Material



- Tape

A participant facilitator from the group will **LEAD** the following exercise, using the facilitation guide below.

### FACILITATION PRACTICE: QUIZ (20 MIN)

**TAPE** a line down the middle of the room. **ASK** all participants to stand on the line.

**EXPLAIN** the rules of the game:

- One side of the room represents “I agree” and the other side represents “I disagree.”
- A series of questions will be asked and participants should move to one or other side depending on their response.
- After each question, and when all the participants have chosen a side, **ASK** one or two people from each group to explain why they agree or disagree.
- Then give the correct answer and explain why this is adequate.

**START** the game by asking the questions one at a time and debriefing after each using the following notes:

- 1) **Feedback is any information shared by the program participants or community to my organization, and by my organization back to program participants or community.**
  - **Agree:** Feedback means any information coming from program participants or the community to the organization. After receiving feedback, the organization will give a response to the program participants or community, through an answer or an action. Program participants give us feedback and we give them responses in return. Feedback can be positive or negative.
- 2) **A complaint can be positive or negative.**
  - **Disagree:** According to the Core Humanitarian Standard, complaints are specific grievances from anyone who has been negatively affected by an organization’s actions or who believes that an organization has failed to meet a stated commitment. Complaints can alert agencies to serious misconduct or failures in the response. A complaint is always negative.

### 3) Feedback has to be received through formal systems

- **Disagree:** Formal feedback can be received through specific assessments (group discussions or interviews), post-distribution surveys, questionnaires or other systems. However, feedback can also be received informally through daily interactions between program staff and participants. It is crucial to use this information as it can help develop trust and continually improve programs.

### 4) Feedback is accepted only if it is about our program.

- **Disagree:** Depending on the organization’s policies, feedback can also be about the conduct of staff, partners and volunteers (allegations of fraud, corruption, abuse or exploitation). Moreover, agreed sector-wide standards dictate that every humanitarian worker has the obligation to report any concerns about sexual abuse or exploitation by any humanitarian worker of any organization or UN agency, even if we have no link to that organization. Feedback can be about our program (non-sensitive feedback) or the behavior of a staff member, partner, volunteer or another humanitarian worker (sensitive feedback or a complaint).

### 5) We can ignore certain feedback.

- **Agree and Disagree:** The principle is to “close the loop,” which means that every item of feedback should receive a response. A response can be an answer (thanking a participant for a suggestion or answering a question) or an action (reprinting a participant’s program card that has been lost). BUT, some feedback is considered as non-valid (feedback that is not about our programs; not about the behavior of a staff member, partner, volunteer; and not about an abuse or exploitation). These are usually interesting only for learning; for instance, if you receive a lot of non-valid feedback, it may mean that program participants do not clearly understand the purpose of the feedback, complaints and response mechanism and you should take action to communicate its purpose and scope to different groups within the target population.

**ALLOW** time for any questions. **SHARE** additional resources: Guidelines for Investigations (CHS Alliance 2015) (available in French, Spanish and Arabic) and [Closing the Loop: Effective feedback in humanitarian contexts](#) (Bonino 2014).

## PLENARY: FACILITATION FEEDBACK (15 MIN)

Invite participants and the facilitator to provide feedback on the facilitation process. Ask what went well and what the challenges were. Highlight missing points and key messages, if any, from the facilitation.

## MODULE REVIEW FOR ROLL-OUT (15 MIN)

**ASK** each participant to use the training plan template to modify or reflect on the session for the roll-out phase. Highlight that this module should be targeting senior leadership and managers with their organizations as well as staff handling feedback.

# HO 6.1

## Eight principles for building trust

Adapted from Bond. 2018. *Eight principles for building trust through feedback*.

[Creative Commons BY-NC 4.0](#).

To build trust with local communities in the feedback and response mechanism, the following principles should be followed and applied to the mechanism so that it is:

### 1. Context specific

FRM must be appropriate to the local context, with consideration given to social, cultural and gender norms that may affect the use of the FRM.

### 2. Inclusive and accessible

Effective feedback mechanisms must be inclusive of all, regardless of gender, age, disability or any other dimension of diversity.

### 3. Empowering

Credible feedback mechanisms capable of building trust must be people-centered or, in the case of safeguarding concerns, survivor-centered. They should recognize the power relations within communities, and between communities and the aid organizations.

### 4. Consistently closing the loop

They should develop relationships with communities, respecting confidentiality, and responding to both sensitive and non-sensitive feedback within agreed timeframes.

### 5. Collective responsibility

All aid interventions impact the reputation of individual organizations.

### 6. Impartial

Staff must be able to use the FRM free from judgment and bias.

### 7. Do no harm

Mechanisms for receiving feedback do not negatively impact the people they are designed to support.

### 8. Appropriately resourced

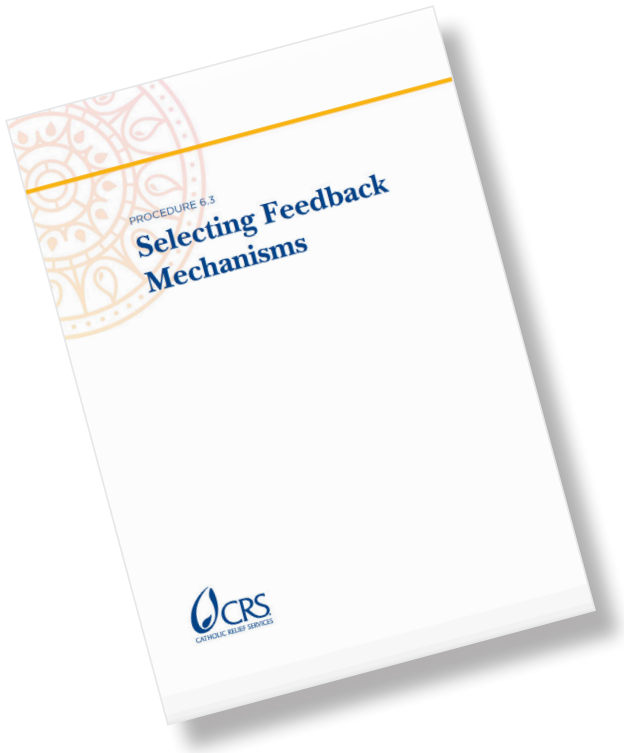
Organizations should properly resource and donors support efforts of transparent and accountable programming, both respecting the international standards in safeguarding.

## HO 6.2 Minimum standards for an effective FCRM

1. There are at least two channels available for each project and at least one of those should be a passive channel.
2. All staff are oriented to the feedback and complaints mechanism, their roles, and the internal reporting processes (link to safeguarding policy procedures).
3. Communities are oriented to expected staff behavior based on the IASC Six Core Principles Relating to Sexual Exploitation and Abuse, 2019, and to the organization's code of conduct, and how to report violations.
4. Ensure community consultations take place and that channels selected are based on the results of those consultations.
5. All sensitive feedback should be channeled to the executive director or other designated staff member within the organization, regardless of how many project-based feedback and complaints mechanisms an organization is operating in a country.

# HO 6.3

## Selecting Feedback Mechanisms



# HO 6.4 FCRM channel-mapping tool

How do we know which feedback channels are most appropriate for the people we serve?

## STEP 1. MAP PROJECTS AND PROGRAM PARTICIPANT PROFILE

Instructions: For a selected project, fill out the table below based on the knowledge of staff.

<b>Project (if project is multi-country, fill out one table per country):</b>			
<b>Locations of services/ program:</b>			
<b>Implementing partner/s:</b>			
<b>Project participant profile</b>	<b>Sex</b> <i>(male, female)</i>	<b>Age groups</b> <i>(children, adolescents, adults, elderly)</i>	<b>Other diversity factors</b> <i>(area of residence, nationality, religion, socio-economic group, disability)</i>
Describe the characteristics of the types of program participant populations served by the project (e.g. sex, age, diversity factors that may influence their preferences or abilities related to providing formal feedback to the organization). Be as detailed as possible; we need to ensure all our program participants are included.			
Are there any program participant groups that do or do not have difficulties accessing a telephone?			
Are there any program participants that do not have access to the internet and/or do not feel comfortable using it?			
For those that have access to phones, is there any additional cost for them to use the phone to make a local call?			
For those that have access to internet, is there any additional cost for them to use it?			



<p><b>Current practice</b></p>		<p>List the current available project feedback channels, if any. (Note: These are formal feedback channels through which the organization or its partner document all feedback coming in and systematically respond). Clarify whether these differ for the different population groups listed above (by sex, age, diversity, etc.)</p>
	<p>Are these channels being used by program participants? If not, why not? If so, which is the most frequently used channel? What type of program participant most frequently responds? Are there groups of program participants that rarely or never respond?</p>	
	<p>Did we consult or in some other way find out how program participants prefer to report sensitive feedback? If so, how and what were the results?</p>	
	<p>Are there any particular program participant sub-groups that we don't have enough information about? Who are they?</p>	



# HO 6.5

## Twelve complaints-handling steps

Adapted from Protection Mainstreaming Working Group (PMWG). 2018. *Protection Mainstreaming Facilitation Guide*. Module D5 Feedback and Complaints.

	Status	Gaps	Next steps
1. Commitment/support by senior management			
2. Consult beneficiaries, host communities and other stakeholders			
3. Develop policy based on community input and program resources			
4. Train staff on complaints handling			
5. Sensitize community on complaints-handling process			
6. Receive feedback and complaint			
7. Log and acknowledge complaints			
8. Consult, review and investigate complaints			
9. Respond to complainants			
10. Offer opportunity to appeal the decisions			
11. Review complaints trends, report to management and adjust program accordingly			
12. Review effectiveness of complaints system and make adjustments			

# HO 6.6 Dos and Don'ts for feedback collectors

Adapted from Protection Mainstreaming Working Group (PMWG). 2018. *Protection Mainstreaming Facilitation Guide*. Module D5 Feedback and Complaints.

## DOs

- **Do** clearly explain to the community member what happens with the feedback that is collected.
- **Do** ask for consent to take the person's details (people don't have to give personal details such as names. If they prefer to stay anonymous, they need to be informed that this means we cannot get back in touch with them directly).
- **Do** listen carefully to what the person has to say.
- **Do** empathize with the person.
- **Do** document the feedback thoroughly (Think of the questions: What happened? Who was involved? Where and when did it happen?).
- **Do** repeat the feedback back to the person to ensure you understand the situation.

## DON'Ts

- **Don't** become defensive.
- **Don't** push the person to give you details they don't want to share.
- **Don't** argue with the person.
- **Don't** be dismissive.
- **Don't** blame others.
- **Don't** make assumptions without knowing the facts.
- **Don't** make promises you can't keep.
- **Don't** ignore the problem.

## TT 6.1 Feedback scenarios

### Scenario 1

You are a single woman, with two children. You are receiving humanitarian assistance in the form of food vouchers from a nongovernmental organization. Each week you receive your voucher and go to the registered vendors to buy food for your family. There are four registered vendors in the program. Three of them charge higher prices when they see you are paying with vouchers. The other one, a man, charges a fair price even with the vouchers, but he keeps touching your hand when you pay him and the way he looks at you makes you feel uncomfortable. You would like to tell someone about the vendor but you don't feel you can. Although there is sometimes a help desk at the voucher distribution site, it is always staffed by men. There is also a feedback box, but you don't know how to write and you hear from other local people that the organization never responds to the messages in the box anyway.



### Scenario 2

You are a 50-year-old woman who lives alone. Your husband died in an earthquake, and your children and grandchildren live in the capital city, over 50 miles away. Your house was destroyed, and you have not been able to reach the food distributions taking place in a village down the road because the roads were damaged and you cannot walk easily. Some workers from a nongovernmental organization came to look at your house last week and put you on a list for assistance. You received a "shelter kit" of tools and plastic sheeting, but you do not feel strong enough to do all the work. One of the men who delivered the materials said he would come and help you fix the house if you would "look after him." You don't know how else you will be able to get shelter. You also don't want to complain because you are scared you will be removed from the list of program participants. You haven't met any staff from the organization except the ones who came to see you last week.



# TT 6.2

## Twelve complaints-handling steps

Adapted from PMWG ProtM Training, Module Feedback and Response Mechanism

Cut out all steps for matching during the exercise.

Commitment/support by senior management

Consult beneficiaries, host communities and other stakeholders

Develop policy based on community input and program resources

Train staff on complaints handling

Sensitize community on complaints-handling process

Receive feedback and complaints

Log and acknowledge complaints

Consult, review and investigate complaints

Respond to complainant

Offer opportunity to appeal the decisions



Review complaints trends, report to management and adjust program accordingly

Review effectiveness of complaints system and make adjustments



# TT 6.3 Examples of sensitive and non-sensitive feedback

Prepare one copy per subgroup.

<p><b>Example 1</b></p> <p>A colleague from your organization asked my daughter to go out with him after school.</p>	
<p><b>Example 2</b></p> <p>There is no transportation for the people from our camp to reach your organization's food distribution site.</p>	

# Facilitation Guide

## Module 7: Responding to SEA Reports (IRIS)

- To raise awareness of the need to respond to reports of SEA using effective internal processes that are safe, confidential and survivor-centered.
- To provide participants with practical examples of challenges and best practices in internal reporting and investigation of allegations of SEA.

SESSION 1: OBSTACLES TO STAFF REPORTING SEA (45 MIN)

SESSION 2: INTERNAL REPORTING (1 HOUR)

SESSION 3: SEA REPORTING FROM COMMUNITIES (45 MIN)

SESSION 4: INVESTIGATIONS (1 HOUR)

### Participants

Training of trainers



PSEA/safeguarding/  
protection  
focal points

### Duration

3 hours, 30 minutes



Training roll-out phase



Administration  
staff



Senior  
managers



## SESSION 1: OBSTACLES TO STAFF REPORTING SEA (45 MIN)

### Objectives



- Learn about the importance of all staff and volunteers<sup>1</sup> understanding challenges to reporting SEA and safeguarding issues within the organization.
- Gain insight into the complexities of reporting SEA from a staff perspective and possible strategies for encouraging reporting.

### Key messages



- All staff, both employees and volunteers, understand the importance of reporting SEA issues and how to report a concern in a safe, dignified and confidential way.
- Programs should have safe and confidential mechanisms in place, particularly for more sensitive complaints, including of SEA.
- Processes must have a survivor-centered focus that prioritizes their needs and wishes.

### Materials



- Projector and slides
- Flip chart and markers




### Training Tools

- TT 7.1 Maze game cards (CARE Canada, 2016)<sup>2</sup> (one per participant)

## EXERCISE (45 MIN)

**EXPLAIN** that due to the sensitivity of SEA, even our own staff can face challenges in reporting such issues. Understanding these is vital for organizations to respond appropriately by designing and adjusting internal reporting policies and procedures.

**DIVIDE** the participants into groups of four. **DISTRIBUTE**  **TT 7.1 Maze game cards** and tell participants not to look through them yet. Explain the activity:

- Everyone has a set of cards, and must start with card Number 1.
- On each card, you are presented with a scenario and given options of how to respond. You will be directed to your next card depending on your response. Please do not scroll through the cards. Follow the numbers based on the instructions on the cards. You may wish to place the cards on the floor or table in front of you as you proceed through this maze because you will be asked to share the highlights of your journey with the group at the end of this session.
- Before you begin, please determine if your group will take the role of a female distribution staff member or a male distribution staff member.

1. "Any designated representative of the organization, including national, international, permanent or short-term employees, as well as volunteers and consultants, is considered to be a member of staff." (CHS Alliance)

2. CARE Canada. 2016. Prevention of Sexual Exploitation and Abuse: Two day sensitization workshop. p16.

**ALLOW** 25 minutes for the exercise and 20 minutes for debriefing as follows:

- Ask one group to share the highlights of their maze.
- Ask others if they had a different experience.
- Ask what this activity highlighted for participants in terms of the implications of SEA on them, on program participants, and on staff as a whole.

**LIST** these on a flip chart; answers will probably include:

- Personal security considerations in reporting
- Hierarchical considerations in reporting
- Rumors versus proof
- Can have serious impacts on project participant safety and security
- Can have an impact on programming
- Can work against gender aims
- Can limit our access to the community and our acceptance
- Can tarnish our local and international reputation, and lead to fundraising challenges

**SHARE** that if we are nervous about reporting issues of suspected SEA, think how much harder it would be for program participants. Highlight the power dynamics between aid workers and program participants.

**HIGHLIGHT** that this activity, while based on real life examples, was intentionally designed to show what can go wrong. **ASK** participants for possible mitigation strategies and list those next to the barriers. Ask them to select the three barriers and mitigation strategies most relevant to their organization or context that can be taken forward in an action plan.

**DEBRIEF:**

- Staff can face different challenges in reporting sensitive issues, particularly SEA-related ones.
- Staff must be trained on internal reporting systems and encouraged to use them without fear of retaliation.
- Senior managers have a specific role to raise awareness among staff of internal reporting.
- Understanding the obstacles for staff to report enables organizations to adjust their PSEA systems.

## SESSION 2: INTERNAL REPORTING (1 HOUR)

### Outline

- Exercise: Internal reporting channels (30 min)
- Plenary: Escalation process (30 min)



### Objective

- Learn about the importance of setting up effective internal reporting processes, particularly for sensitive complaints, including those related to SEA.



### Key messages

- Feedback and complaints, particularly of a sensitive nature, should be acted upon, and the actions taken reported back.
- All staff and volunteers should understand how to raise SEA concerns.
- All staff need to feel free to report a sensitive complaint without fear of retaliation.
- The commitment and support of senior management is vital in setting up and promoting an internal reporting system.
- Specific technical support may be needed for internal reporting and investigation.



### Materials

- Projector and slides



### Training tools

- TT 7.2 SEA reporting scenarios (one per subgroup)



## EXERCISE: INTERNAL REPORTING CHANNELS (30 MIN)

**WRITE** one of the following on a page each and put them in different places around the room: Hotline, Manager, Director, PSEA focal point, Investigation team, Colleague, HR department.

**DIVIDE** participants into three groups and distribute one scenario from **T TT 7.2 SEA reporting scenarios** to each.

**ASK** each group to discuss the scenario for 10 minutes and then to walk to the page that describes their preferred reporting channel for that complaint.

**ASK** each group to share what the scenario was about and ask:

- *Why did you choose that reporting channel?*
- *Did you have any concerns?*

**ALLOW** 20 minutes for the discussion.

**SHARE** that the purpose of internal reporting procedures is to outline the core principles and steps that should be taken by staff members who receive reports or concerns, including those relating to SEA.

To best preserve confidentiality, the goal is to convey reports, including rumors, to those responsible for investigation as soon as possible and as directly as possible, involving as few people as possible until they reach the safeguarding investigation team.

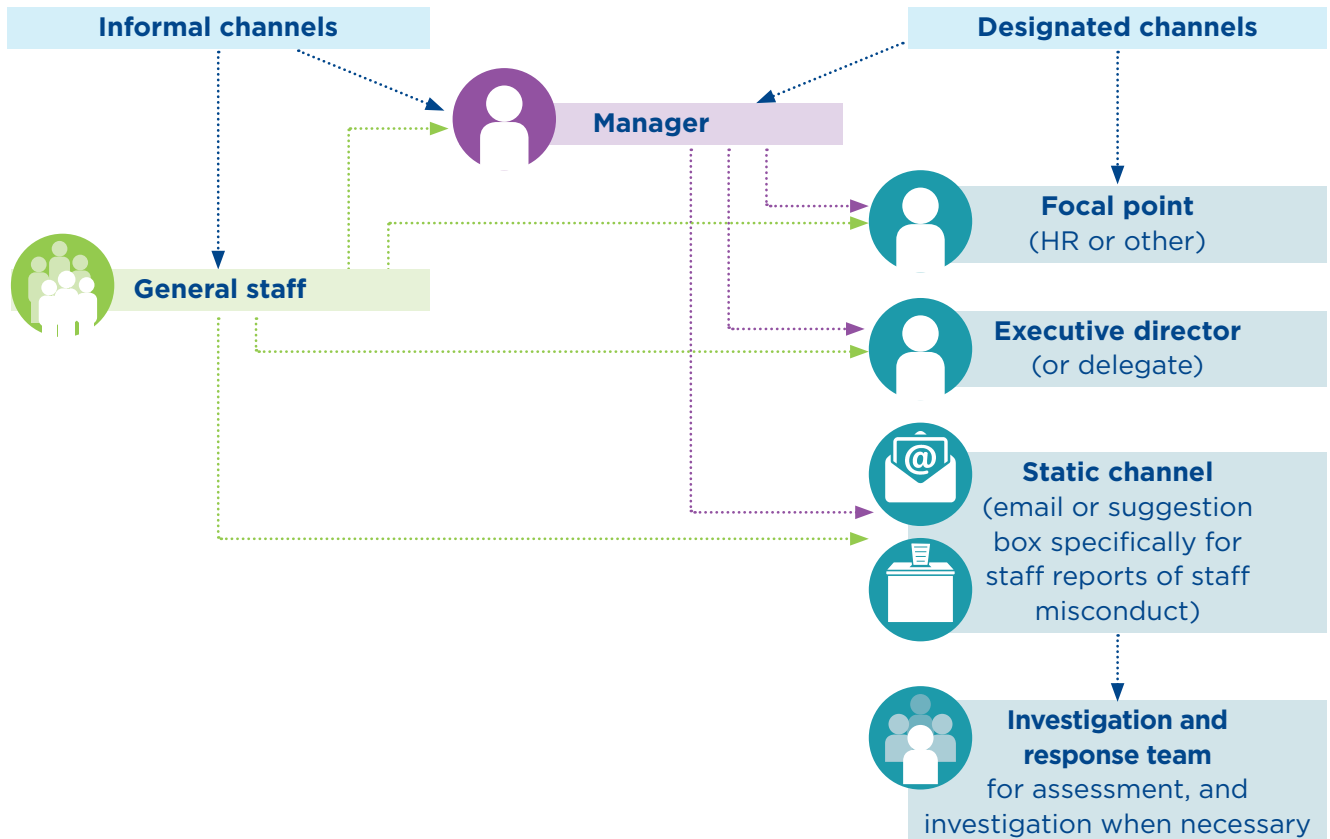
An SEA case should be handled urgently and confidentially by senior staff. Key issues include:

**Confidentiality** The issue should not be discussed with anyone, other than on a need-to-know basis.

- **The safety, security and dignity** of victims/survivors, and anyone who may be at risk, will be taken into account. If an investigation is required, it should be undertaken by experienced and qualified professionals, who are trained on sensitive investigations such as allegations of SEA.

**PLENARY: ESCALATION PROCESS (30 MIN)**

**SHOW** slide with an overview of the escalation process:



**EXPLAIN** the key aspects of the escalation process, and how different staff should report:

### 1. General staff

- **Staff willing to report a case of SEA:** Staff should report their concerns through one of the designated channels (when available) or report to senior management, or their manager.
- **Staff who receive a complaint from another staff member:**
  - Report on your own behalf if witnessed and impacted; it can take the pressure off the person who experienced it when a witness reports it.
  - Encourage staff to report through appropriate channels or to line manager.
  - If you feel that the staff member or others are at risk of harm because of another staff member's conduct, consider making a report to the highest level (executive director or designate) or use the assistance of the focal point to do so.

See *Session 3: SEA reporting from communities*

#### **If you are unsure whether it is behavior that should be reported, contact a focal point.**

Discuss your concerns with your designated focal point. If it is a credible allegation or suspicious behavior involving serious misconduct, the focal point is required to report to the investigation and response team, but will always take the reporter's and the victim/survivor's safety, security and well-being concerns into account when escalating and preparing for next steps.

### 2. Managers

**Must report to one of the designated channels and should inform the reporter of their obligation:** Managers have a duty to escalate all sensitive complaints, including of SEA, within 24 hours, to one of the designated channels. People may inadvertently or unknowingly report issues to managers when discussing concerns. Managers have an obligation, especially if a targeted person is directly reporting their issue to the manager, to escalate that issue to senior management, who decide how to best address the issue. If any members of the investigation team are involved, they should be excluded from further information exchange.

### 3. Designated reporting channels

- **Focal point/trained staff on sensitive investigation (when available):** A trained PSEA focal point is probably the most important reporting channel. People who have questions or are uncertain about reporting can go to the focal point, who is trained to know what needs to be reported to senior management and followed up on. They can advise the reporter on the process if they have concerns.
- **Static channel:** The static channel should be monitored regularly by the focal point or other representative of the response team (a member of HR) to ensure reports are forwarded to the investigation and response team for decisions on next steps, also within 24 hours of receipt. It should be a dedicated channel for staff to report concerns, and separate from the community-based feedback mechanism. Because of the nature of that mechanism, many staff would be able to read complaints of staff-on-staff misbehavior, which can breach confidentiality and breed office gossip. Staff reports should have very limited visibility by focal points or HR. The static channel might be a dedicated email address or a suggestion box, both of which allow for anonymous reports.

## SESSION 3: SEA REPORTING FROM COMMUNITIES (45 MIN)

### Outline



- Plenary: Model reporting and escalation procedures for communities (15 min)
- Exercise: Referral game (30 min)

### Objectives



- Learn about the importance of setting up effective internal reporting processes to handle SEA complaints from communities.
- Understand the need for a survivor-centered approach that prioritizes the safety, confidentiality, and wishes of the victim/survivor.

### Key messages



- All staff—employees, volunteers and associates—should understand how to handle SEA complaints from communities.
- The internal reporting system must be able to handle complaints, including SEA-related complaints, from both communities and staff.
- Staff understand the need for safe, confidential systems that prioritize the wishes and needs of the complainant/survivor.

### Materials



- Projector and slides
- Ball of string or wool

### Handout



- HO 7.1. Referral checklist

### Training tool



- TT 7.3 Name tags for web game

## PLENARY: MODEL REPORTING AND ESCALATION PROCEDURES FOR COMMUNITIES (15 MIN)

**SHARE** that SEA complaints from the community can reach organizations in different ways using different channels. We will consider SEA complaints reaching organizations through feedback mechanisms and directly through staff.

**HIGHLIGHT** that:

- SEA complaints through the feedback mechanism or directly through staff should be forwarded immediately to senior management using the designated channels: PSEA focal point, director, static channel or investigation and response team if available. When handling such complaints, feedback to the victim/survivor or witness should be provided within 24 hours, stating that the complaint is being handled.
- Principles of confidentiality must always be followed and information shared only on a need-to-know basis and only with staff appointed to handle sensitive feedback within the organization.
- Support to the victim/survivor of SEA must take priority, and referral pathways must be used for immediate assistance, including medical, legal and psychosocial support (when available). There may be few services available, but it is extremely important to explore all options. It is also crucial to determine whether the victim is in any kind of danger and what can be done to help.
- All documents related to the complaint, such as the actual complaint in writing, staff reports and follow-up notes, must be kept confidential and securely filed in line with the organizational procedures on sensitive feedback.

**SHARE** the following on the investigation and response teams:

- **Investigation team:** It is important to designate focal points to receive complaints, as well as the individual who will lead any investigation. Sometimes you will need to adjust the composition of the team to account for special skills (interviewing women or children, language issues, etc.). To maintain independence, those with a close relationship to the reporter or the subject of the complaint or who have supervisory oversight should not be involved in the investigation team. Ideally, interviews should include two interviewers.
- **Response team:** The team should typically be those involved in managing the investigation and reaching conclusions on any necessary disciplinary actions, although the investigation team may only make recommendations. Should the investigators need specific documents from other teams to review, typically a member of the response team, as a senior manager, can request such documentation, deflecting the true nature of the request, so as to minimize speculation and exposure of details of the investigation to non-related staff. Members of the investigation team then review those documents, as needed. The team should be limited to the senior managers directly responsible for making decisions, and typically limited to five people.

## EXERCISE: REFERRAL GAME (30 MIN)<sup>3</sup>

**EXPLAIN** that name tags will be given out (**TT 7.3 Name tags for web game**). These are characters who are likely to interact with a survivor of SEA in the community.

**ASK** for 11 volunteers and **GIVE** each a name tag, asking them to roleplay their character.

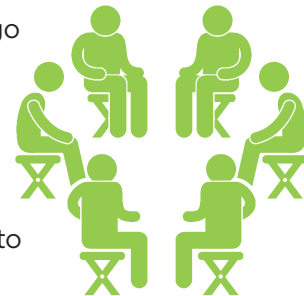
**ASK** the volunteers to sit in a circle with the chairs close together and facing each other, and the remaining participants to stand outside the circle so that they can easily see the activity.

**EXPLAIN** that this is the story of a 17-year-old girl who has been exploited by a WASH officer working on a program. The ball of string or wool represents the flow of information from the girl to the first person she told, the community leader. Give the ball to the volunteer with the GIRL name tag.

**TELL** the volunteers that every time a new character becomes involved in the girl’s story, they should throw the ball to that character. The new character must wind some of the string/wool around their finger, and continue. Note: the ball does not need to go back to the girl after each visit.

**TELL** the story as follows:

- The **GIRL** goes to report the incident to the **COMMUNITY LEADER**.
- The community leader takes the girl to the NGO’s help desk and makes a complaint to the **KIOSK VOLUNTEER**.
- The kiosk volunteer makes a note of the complaint and passes it to the **WASH MANAGER**.
- The WASH manager doesn’t know who to tell and discusses it with their colleague who is the **SHELTER MANAGER**.
- The shelter manager advises the WASH Manager to escalate it so they talk to the **COUNTRY DIRECTOR** who asks to meet the **PSEA FOCAL POINT** to discuss the case.
- The PSEA focal point begins an investigation and interviews the **GIRL** to ask for more details, but after talking to the **HR ADVISOR** realizes that they have forgotten to ask some details so calls the **GIRL** for a second interview.
- After the interview, the PSEA focal point asks the **ADMINISTRATIVE ASSISTANT** to type up the notes of the case.
- The admin assistant is friends with the NGO’s **DRIVER** and talks about the case at a dinner after work.
- The driver is friends with the **WASH FIELD OFFICER** and tells him the girl has made a complaint.
- The WASH field officer visits the home of the girl’s **FATHER** and tells him the family will be removed from the list of program participants if she continues with the complaint.



3. Protection Mainstreaming Working Group (PMWG). 2018. *Protection Mainstreaming Facilitation Guide*. Module D7 Mapping and Referral



**STOP** the exercise and look at the web that has been created.

**ASK** participants questions to generate discussion:

- *What is going on in the middle of this circle?*
- *Observers: How many times did the girl have to repeat her story?*
- *Characters: How many times did each character talk with this survivor, or with others about her?*
- *Was all of this helpful for the survivor? How do you imagine she felt throughout this process?*
- *Could a situation like this happen here?*
- *What could have been done to avoid making this web of string?*
- *Imagine if the girl had reported her case to a staff member of an humanitarian organization that did not have clear processes for escalating such cases.*

**EXPLAIN** that, in many contexts, a SEA victim/survivor has to interact with many resources and contacts that are often not well-trained or well-coordinated. This can be daunting and confusing to victims/survivors and may discourage them from reporting incidents. This is not only relevant to victims/survivors of SEA but also to those who have been exposed to other forms of harm.

**ASK** participants to turn to their partner and think about:

- *What services the survivor needed (medical, psychosocial, legal, possibly livelihoods and shelter).*
- *How the organization could ensure that she was directed to the most appropriate services (organization can ask protection actors for referral pathway map or map out services in the area).*

**DISTRIBUTE** **H** **HO 7.1. Referral checklist.**

## DEBRIEF

- SEA victims/survivors and those exposed to other forms of harm should not have to continually repeat their story, because it can cause more harm.
- Complex processes that involve too many people or result in delays can also cause harm.
- Organizations should have clear, simple, accessible, confidential and respectful referral procedures.

These procedures should clearly outline the different responsibilities (e.g. responsibility of staff to refer cases; responsibility of relevant authorities to develop referral pathways, provide services and conduct investigations, etc.)

## SESSION 4: INVESTIGATIONS (1 HOUR)

### Outline



- Facilitation practice: Investigations quiz (30 min)
- Facilitation debrief (15 min)
- Module review for roll-out (15 min)

### Objective



- Learn about the key aspects of investigations.



### Key messages

- Investigations should be conducted by designated and trained staff, and should be conducted independently (senior managers or leadership cannot be investigators).
- Sensitive and non-sensitive complaints should be handled differently. Sensitive complaints, including of a sexual nature, should be handled urgently and confidentially by senior staff.
- Investigations are focused on collecting evidence that proves misconduct or breaches of code of conduct or policies, not necessarily on collecting material evidence of SEA.
- The safety and security of all involved in the investigation process must be ensured.
- Staff misconduct represents risks for program participants and organizations, and therefore appropriate disciplinary measures should be in place.
- The organization should have a clear process for providing support to survivors, whether or not a formal investigation is carried out.



### Materials

- Projector and slides
- Candies

### Online resource

- [Closing the Loop: Effective feedback in humanitarian contexts](#) (Bonino 2014) (also available in French, Spanish and Arabic)

A participant facilitator from the group will **LEAD** the following exercise:

**FACILITATION PRACTICE: INVESTIGATIONS QUIZ (30 MIN)**

**INTRODUCE** the quiz about investigations. Explain that it has six questions, with one or more correct answers offered. All correct answers must be identified by the team in order for them to score a point.

**DIVIDE** the participants into two teams and ask them to stay in two team lines. Explain that each team will confer among themselves before giving the answers. And for each question two team members from opposite teams play “Rock Paper Scissors” (or other quick game, flipping coin or similar) to win the turn to respond to a question. If a team is not able to identify all correct answers to a question, the other team has a chance to answer and score. The participant facilitator reads each question and keeps a record of the scores. The winning team gets a reward (candies). The correct answers are in *italics*.

**1. When is an investigation required?**

- A. *There is a rumor of SEA.*
- B. *There is sensitive feedback received through the FCRM.*
- C. *A staff member witnessed potential SEA.*
- D. *Another organization reported SEA in the community we work with.*

**HIGHLIGHT:** All offered answers are correct. All SEA issues must be investigated. In cases where there is credible information that there has been SEA, a full investigation is required. Some donors may require SEA incident reports at this early stage. Depending on the severity of the SEA incident, the investigation might immediately be referred to the local authorities.

**2. Who can conduct an investigation with the organization?**

- A. Director
- B. HR department
- C. Project manager
- D. *Designated investigation team*

**HIGHLIGHT:** Stress that if sufficient information is collected during the follow-up phase of an SEA report, designated investigation and response teams should be formed. It should consist of several people for transparency and credibility purposes, taking into consideration seniority and gender balance, especially for the investigation team who will directly conduct interviews with the victim/survivor, witnesses and alleged perpetrator. Depending on the sensitivity of the reports received and staff involved in the SEA issue, the team members can vary.

**3. What should be the focus of the investigation?**

- A. Finding material evidence that SEA took place.
- B. The alleged perpetrator of the act of SEA.
- C. *The safety and security of all involved.*
- D. *Collecting evidence on code of conduct and policy breaches.*

**HIGHLIGHT** that the investigation aim is to identify breaches of the code of conduct or other organizational policies. Even if explicit material evidence is not found, other evidence can be sufficient to determine breaches of code of conduct standards or other policies that are grounds for disciplinary measures. Safety and security should not be jeopardized for any persons involved, including the alleged perpetrator. Immediate support should be offered to the victim. In the investigation procedures, while conducting interviews, a minimum of information should be shared. Perpetrators should never be told the identity of the reporter.

#### 4. What are the main roles of the investigation team?

- A. Create an investigation plan.
- B. Gather evidence and corroboration.
- C. Conclude whether policies were breached.
- D. Monitor the safety and security of all parties involved in the investigation.

**HIGHLIGHT** that all the above are correct answers. The independence of the investigation team should be assured, and there should be regular updates on the investigation progress, including requests for additional support from the response team.

The investigation plan must take into consideration:

- The safety of all parties involved
- Confidentiality
- Criminal conduct
- Compliance with labor law
- Donor reporting

Based on the corroborated evidence, the investigation team makes recommendations on the disciplinary measures to the response team. The investigation team should also continuously monitor safety concerns for all parties involved.

#### 5. What are the main roles of the response team?

- A. To provide support to the investigation team.
- B. To respond to questions from all parties involved.
- C. To inform other team members about the investigation.
- D. To decide on disciplinary actions and corrective measures.

**HIGHLIGHT** that based on the outcome of the investigation, the response team should take ownership of the disciplinary actions and corrective measures at the organizational level. Disciplinary measures can include sanctions or contract termination, taking into consideration compliance with applicable laws. Factors to consider should be severity and frequency of misconduct, position of authority, prior misconduct, acceptance and ability to reform.

- **Sanction** can include unpaid leave; a performance plan with specific conditions for improvement and training; a warning letter on file; appropriate apologies; a statement from the victim/survivor about the impact of the incident; demotion or disqualification from promotion; transfer of duties/assignments.
- **Corrective measures** at the organizational level could include trainings on reporting mechanisms, improved gender diversity and better PSEA procedures.

## 6. What does a survivor-centered approach mean?

- A. Deciding the best course of action on behalf of the victim/survivor.
- B. Providing the victim/survivor with information on next steps and respecting their wishes, as far as possible.
- C. Contacting the victim/survivor with updates even if they have expressed a preference for no contact.
- D. *Providing information and support for the victim/survivor to access support such as medical, legal, and psychosocial services.*

The needs, well-being and safety of the victim/survivor must be prioritized. They are best placed to understand their own needs, and the process should be led by their wishes as far as possible and as appropriate. They should be supported in a non-directive and non-judgmental way, and should be informed of the steps in the process and the possible course of action. If the survivor is a child, the organization must comply with local legislation and international standards depending on which gives greater protection. The organization should support the victim/survivor to access appropriate assistance, including medical, psychosocial and legal services.

### PLENARY: FACILITATION DEBRIEF (15 MIN)

**DEBRIEF** with key messages on the investigation:

- Investigations should be conducted by designated and trained staff; and independently (senior managers or leadership cannot be investigators).
- Sensitive and non-sensitive complaints should be handled differently. Sensitive complaints, including those of a sexual nature, should be handled urgently and confidentially by senior staff.
- If enough information is gathered in the follow-up, an investigation should be initiated.
- Investigations focus on collecting evidence that proves misconduct and breaches of the code of conduct or policies, not necessarily material evidence of SEA.
- The safety and security of all involved in the investigation process must be ensured with a focus on confidentiality (limited access to information on need-to-know basis).
- Staff misconduct represents risks for program participants and organizations, therefore appropriate disciplinary measures should be put in place.
- The organization should have a clear mapping and referral process in place so that it can support survivors to access assistance, including medical, psychosocial or legal services.

**INVITE** the participants and the facilitator to provide feedback on the facilitation process. Ask participants to use the facilitation practice feedback form. Ask what went well and what the challenges were? Highlight missing points and key messages, if any, from the facilitation. **SHARE** additional resources on investigation guidelines.

### MODULE REVIEW FOR ROLL-OUT (15 MIN)

**ASK** each participant to use the training plan template to modify or reflect on the session for the roll-out phase. Highlight that in the roll-out phase, this module should be targeting all staff.

# HO 7.1 Referral checklist

Trocaire, from PMWG Protection Mainstreaming Training, Module D7.

1	Is there an existing referral process/pathway in place? Either government or Protection Cluster (or Sub-Cluster)?
2	If no referral pathways are in place, have you carried out an <i>actor mapping</i> <sup>1</sup> to identify all the key actors directly or indirectly involved or who have influence over a particular protection problem?
3	Is there a staff member within your agency designated and trained as the focal point for referrals?
4	Does the referral process ensure informed consent? ( <i>Ensure the survivor is consulted and takes part in the decisions affecting them.</i> )
5	Have you ensured that everyone within the organization (from drivers to the head of office) understands what is expected of them and of their staff or managers (in terms of when and how to refer cases), as well as the organizational limits (e.g. what cases the organization can and can't get involved in)?
6	Is there ongoing training and mentoring of staff around what the internal procedures mean, what is required of them, the importance of not causing harm and the confidentiality processes?
7	Do you ensure that staff members are aware that they should never share sensitive medical information (including HIV status) with anyone not directly involved in the patient's care without the patient's permission? ( <i>Ensure there are steps in place to protect medical records from falling into the hands of potential/existing perpetrators at all times, including during emergencies.</i> )
8	Is documentation stored in a secure filing system with confidential procedures in place? ( <i>Always make sure that the information is passed on in a controlled way that will not put people at further risk.</i> )
9	Does your referral process ensure that specialist organizations are informed by your organization about any information you have so that they can take further action? <sup>2</sup>
10	Are you giving communities information about where they can go to access other agencies directly?
11	Do you follow up periodically to make sure action has been taken?
12	Are you behaving appropriately by considering the person's culture, age and gender? (Respect safety, dignity and rights. Treat the patient/survivor with respect. Ensure all communications are done in a safe place. Respect people's rights to make their own decisions.)
13	Are you looking after yourself? ( <i>Simple methods can be adopted such as training staff on Psychological First Aid.</i> )
14	Are you following Standard Operating Procedures at all times?

1. At the planning and information collection stage; think through whom the actors are, their influence and relationships. Carry out one actor analysis for each protection problem. Consider different actors, particularly those at the local level including: CBOs, NGOs, local media, women's organizations, clubs and groups, academics, social networks, village or community leaders, charities, religious institutions, local businesses, unions, local government officials or departments, police, social services, armies, INGOs, the UN and ICRC. Identify with whom you will coordinate carefully according to who has the practical means or the mandated authority to respond.

2. Sometimes you may not know which agency to go to, or the issue may concern several. In this case, you can use humanitarian co-ordination mechanisms, such as the Global Protection Cluster. At field level, the cluster will meet regularly to share information.

# TT 7.1 Maze game cards

Adapted from Prevention of Sexual Exploitation and Abuse: Two day sensitization workshop, CARE Canada, 2016, p16.

## Card 1

During a food distribution in a camp you notice that the distribution manager is overly flirtatious with one of the female camp residents. You:

- A) Decide to confront him and tell him his behavior is inappropriate (go to **Card 2**)
- B) Ignore it. He's your boss, and you have no proof that he is doing anything wrong. (go to **Card 3**)
- C) Decide to tell a coworker. (Go to **Card 5**)

## Card 2

Your boss begins acting coldly towards you, and you think he is punishing you. You:

- A) Apologize and tell him you made a mistake (Go to **Card 3**).
- B) Go to HR to lodge a complaint against him (Go to **Card 6**)
- C) Ignore this situation and hope it will improve after some time passes. (Go to **Card 3**)



## Card 3

You begin hearing rumors that the same distribution manager is dating one of the project participants. You:

- A) Ignore this. You had enough problems with him when you first tried to get involved, and besides, these are only rumors. (Go to **Card 4**)
- B) Discuss it with him. (Go to **Card 2**)
- C) Report these rumors to HR or to his supervisor. (Go to **Card 6**)

## Card 4

The distribution warehouse is broken into one evening when no one was there. \$10,000 worth of supplies were taken. You wonder if this is related to the rumors you are hearing.

- A) You report this suspicion to the PSEA/safeguarding/protection focal point or HR (Go to **Card 6**)
- B) You ignore it. It's none of your business, they are only rumors, and no one was hurt. (Go to **Card 7**)
- C) You realize theft is common here, and decide not to worry. (Go to **Card 7**)

## Card 5

You don't realize that this colleague is very good friends with the wife of the distribution manager. She tells his wife, and the wife confronts the husband. (Go to **Card 2**)

## Card 7

You arrive at the camp to find that your activities that day must be canceled. A woman was beaten to death last night because her husband suspected she was sleeping with another man. All the women are at her funeral. You discover that this is the same woman your boss was flirting with at the distribution. You:

- A) Suspect that your colleague might be involved. You talk to HR. (Go to **Card 10**)
- B) You ignore this. You still have no proof and much of this could be very circumstantial. (Go to **Card 8**)

## Card 6

The HR team conducts an investigation, but finds nothing concrete because no one else is willing to share their concerns about this same staff member. You find your boss at your desk one day telling you that you are a troublemaker and "you'll be sorry." You begin receiving anonymous death threats. You feel helpless to do anything about this, and decide to just lay low and hope it all passes. (Go to **Card 13**)

## Card 8

News circulates quickly among the camp that this woman was having a sexual relationship with your boss. Her sister comes forward to say that this woman felt pressured into a relationship by this man in order to keep receiving her family's food rations. Go to **Card 9**.



### Card 9

Other women come forward saying that they too were forced into having sex with your boss for the same reason. The local media picks up this story, which is then picked up by international media. Headlines read “[Your organization] demands sex for food from refugees”. Go to **Card 10**.

### Card 11

A female village activist comes to you next time you are in the camp. She has never been involved in your organization’s programs. Other women (your organization’s project participants) are standing behind her. She asks you if you have heard about an NGO working in another camp where the staff are apparently forcing women to sleep with them before they receive food at distributions. You:

- A) Tell her you will look into it, but know nothing about this NGO, so it’s none of your business. You do nothing. (Go to **Card 7**)
- B) Think she might be indirectly talking about your NGO. You raise this with HR. (Go to **Card 6**).
- C) Decide to do a bit more investigation on your own. You talk to some other female staff. (Go to **Card 12**).

### Card 10

Your organization sends a team to investigate this. If at any point in this activity you discussed your concerns with HR, you are able to keep your job. If you did not earlier report this to HR, you face disciplinary procedures and you are eventually dismissed. **THE END**

### Card 12

You discover that, at a team meeting, some of the project participant women give senior health workers hints about why they are not attending. These hints back up your suspicions. You:

- A) Approach HR together as a group with your concerns. (Go to **Card 10**)
- B) You all decide you are uncomfortable doing anything about this, or you do not know what to do about it. (Go to **Card 7**)

### Card 13

Gender and health teams ask if something is going on because the women have stopped attending their programs. The health advisor returns from a nutrition and family planning workshop and mentions to you that the village women are refusing to talk to her. This is new. You:

- A) Tell her about your suspicions. (Go to **Card 5**)
- B) Do nothing. You have no proof of anything. (Go to **Card 11**)
- C) Talk to HR. (Go to **Card 6**)





# TT 7.2 SEA reporting scenarios

Cut out and distribute one scenario to each group.

## Scenario 1

You are an IT officer working in your organization. A senior colleague working in the field comes to you when you are back in your office, as their computer has some issues they wish you to resolve.

During the course of your work to fix it, you find some pictures of children, many different children. You know that your colleague does not have children. In the pictures you find, the children are naked.



## Scenario 2

You are leaving work one day and you see a male colleague driving an organizational vehicle. In the front seat next to him is a young girl, maybe in her teenage years.

You recognize her from the distribution site earlier in the day, but she may work for another organization, you're not sure. It is 6pm on a Friday.



## Scenario 3

You hear rumors in a village that a community member can get on the program participant list by "being nice and cute" to the community leader.



# TT 7.3 Name tags for web game

Adapted from Protection Mainstreaming Working Group (PMWG). 2018. *Protection Mainstreaming Facilitation Guide*. Module D7 Mapping and Referral.

<b>Father</b>	<b>Mother</b>
<b>WASH field officer</b>	<b>WASH program manager</b>
<b>Shelter manager</b>	<b>Country director</b>
<b>PSEA focal point</b>	<b>HR advisor</b>
<b>Administrative assistant</b>	<b>Driver</b>
<b>Girl</b>	



# Facilitation Guide

## Module 8: Assigning PSEA Responsibilities

- To inform and raise awareness of roles and responsibilities for PSEA across the organization.
- To discuss and reflect on individual needs and structures of partner organizations to define the roles and responsibilities in their own context.

SESSION 1: PSEA ROLES AND RESPONSIBILITIES FOR ALL STAFF (30 MIN)

SESSION 2: PSEA ROLES AND RESPONSIBILITIES FOR FOCAL POINTS (70 MIN)

### Participants

Training of trainers



PSEA/safeguarding/  
protection  
focal points

### Duration

1 hour, 40 minutes



Training roll-out phase



Senior  
managers



Program  
staff

## SESSION 1: PSEA ROLES AND RESPONSIBILITIES FOR ALL STAFF (30 MIN)

### Objective

- Understand the roles and responsibilities of all staff in PSEA



### Key messages

- It is essential that all staff understand PSEA/safeguarding is their responsibility and part of their everyday job.
- These responsibilities should be written into job descriptions and included in performance management and appraisal discussions.



### Materials

- Projector and slides
- Flip chart and markers



## EXERCISE: WORLD CAFÉ (30 MIN)

**INTRODUCE** the session by saying that PSEA is a shared responsibility, with all parts of the organization and all levels of staff involved in ensuring a welcoming, inclusive, dignified and safe environment for those who come into contact with the organization. This exercise will consider the general responsibilities that all staff have for PSEA.


If needed, **EXPLAIN** the World Café method.

**DIVIDE** the participants into five groups. **ASK** each to select a spokesperson to provide an overview of the conversation from previous groups and summarize key ideas.

**ASSIGN** each table a staff category:

- Managers
- HR staff
- Board members/senior management
- Program staff
- All staff (including support staff such as finance, IT, fundraising, program staff)

**Top ToT tip**



These categories may not always be relevant or realistic for smaller organizations. If necessary, adjust the categories to the staffing resources available within the participants’ organizations. For instance, if HR is combined with the finance or logistics department, adjust the categories accordingly.

**ASK** each group to:

- Brainstorm key roles and responsibilities for each of these categories for PSEA.
- Review the previous group’s list and suggest roles and responsibilities that should be added or removed.

After three rounds of 10 minutes each, **ASK** participants go back into plenary. **ASK** the spokesperson to share a summary of the discussion points from their group. Answers might include:

- **All staff**
  - Adhere to the PSEA policy and code of conduct.
  - Report concerns.
  - Participate in an awareness-raising session on PSEA.
  - Know their PSEA focal point. If they don't, they can ask the HR office.
- **Managers**
  - Ensure all new employees receive the PSEA/safeguarding/code of conduct policy training as part of their induction.
  - Ensure PSEA measures are implemented within their area of responsibility.
  - Follow up and address SEA issues appropriately.
- **HR staff**
  - Implement the necessary measures when recruiting new staff and volunteers.
  - Ensure all new employees receive a copy of the PSEA policy and code of conduct, prior to, or at the time of, issuing an employment contract. Signed copies must be placed in their personnel file.
- **Program staff**
  - Ensure that communities are aware of the PSEA policy and how to report concerns, recognizing that program staff are often the first responders and/or points of contact for community members.
  - Build relationships with communities; it is difficult for people to report if they do not know or trust staff.
- **Board members/senior management**
  - Define and implement actions for ensuring PSEA measures are implemented.
  - Regularly monitor PSEA work.
  - Senior management: Take overall responsibility for ensuring PSEA measures are implemented.
  - Board members: At least every three months, include an item on PSEA in the senior management team meeting agenda and discuss progress and challenges in implementing PSEA policy and the PSEA implementation plan.

**BRAINSTORM** how to ensure PSEA/safeguarding is everyone's responsibility. Use the following questions as prompts:

- How can the senior management/leadership ensure that PSEA is part of the everyday work of their staff?
- Why is it important that PSEA responsibilities are reflected in role and job descriptions?
- How can we include PSEA in performance management?

In plenary, **DEBRIEF** key points:

- It is essential that all staff understand PSEA is their responsibility.
- These responsibilities should be written into job descriptions and included in performance management/appraisal discussions.

## SESSION 2: PSEA ROLES AND RESPONSIBILITIES FOR FOCAL POINTS (70 MIN)

### Outline



- Plenary (5 min)
- Exercise (50 min)
- Module review for roll-out (15 min)

### Objectives



- Understand the different roles and responsibilities of PSEA focal points.
- Understand that PSEA focal points are organizational resources with formal responsibilities that assist in the implementation of the organization’s PSEA commitments.

### Key messages



- The appointment of a PSEA focal point depends on the organization’s structure, needs and resources, and can be one or several persons within an organization.
- PSEA focal point roles and responsibilities should include both programmatic and structural support to implement PSEA principles across the organization.

### Materials



- Projector and slides
- Flip chart and markers

### Handouts



- HO 8.1 PSEA focal point roles and responsibilities (GCPS)

## PLENARY (5 MIN)

**INTRODUCE** the session by saying that, as we saw in the last session, successful PSEA requires all parts of the organization (from field-level programs to organizational structures and systems, from senior to administrative staff) to recognize the importance of PSEA and their own role in promoting it.

There are certain tasks that are best taken forward by PSEA focal points (FPs) with specific and formal responsibilities. **SHARE** the definition of a PSEA FP:

*Person or persons within the organization, with a certain level of seniority, responsible for the implementation of the PSEA policy overall, providing staff support with PSEA issues including field visits, and reporting back to the senior management on PSEA issues.*

This will vary from organization to organization but may include senior managers or board members who have the overall and final responsibility for PSEA. Some organizations also recognize the need to have PSEA FPs in HR or admin functions to ensure that recommendations for staff management are followed. In addition, PSEA FPs within programs are often necessary, as contact with communities raises different PSEA issues.

## EXERCISE (50 MIN)

**DIVIDE** participants into four groups. **DISTRIBUTE** [H](#) **HO 8.1 PSEA focal point roles and responsibilities**. Go through the handout and spend 15 minutes discussing:

- What are the key PSEA responsibilities and competencies that are relevant for your context or organization?
- Who within your organization will have responsibility for these?

Groups should aim for the ideal of one FP function to cover HR and one FP function to have an overview of programming. They should also consider the gender balance of these roles.

**INVITE** participants to group per organization. **ASK** these new groups to spend 20 minutes drafting the terms of reference (ToR) for one PSEA FP for their context. Each participant can take this draft ToR to their organization for further review and final approval.

In plenary, **BRAINSTORM** the potential challenges that FPs might face and mitigation measures that they might put in place. **LIST** them in two columns on a flip chart.

Challenges can include:

- How will the FPs prioritize their workplan/ToR and heavy workload/other priorities?
- How will they work with senior managers and negotiate the scope of their work and influence, etc.?
- What will happen if there is resistance from a senior manager?
- How can we evaluate the allocation of time working on PSEA?

**WRAP UP** the session by highlighting:

- *All staff have a role and responsibility for PSEA.*
- *There are certain responsibilities specific to the PSEA FPs. Appointed staff should be relatively senior and/or hold roles that already implement PSEA measures, such as human resources staff.*
- *The responsibility for PSEA can either be assigned to existing personnel, or new personnel can be hired to carry it out.*
- *Whether the role is a full-time or part-time undertaking should depend on organization-specific needs and capacities.*
- *Each organization should ideally designate two FPs to carry out the PSEA responsibilities of the organization: wherever possible, consideration should be given to the selection of focal points both within human resources and among programming staff, as well as gender balance.*
- *Support to PSEA FPs from management and senior leadership is vital.*

## MODULE REVIEW FOR ROLL-OUT (15 MIN)

**ASK** each participant to use the training plan template to modify or reflect on the session for the roll-out phase. **HIGHLIGHT** that this module should be targeting senior leadership and management staff in the roll-out phase.

# HO 8.1 PSEA focal point roles and responsibilities





# Facilitation Guide

## Module 9: PSEA with Partners, Suppliers and Contractors

- To inform and raise awareness of the need to develop PSEA-responsive agreements with partners, suppliers and contractors by understanding relationships and developing adequate content for these stakeholders.
- To address the development and content of agreements with partners, suppliers and contractors, as well as the practical implications of such agreements for the organizations, communities and donors.

SESSION 1: RAISING PSEA AWARENESS WITH PARTNERS,  
CONTRACTORS AND SUPPLIERS (40 MIN)

SESSION 2: IMPLEMENTING PSEA REQUIREMENTS WITH PARTNERS,  
SUPPLIERS AND CONTRACTORS (1 HOUR, 20 MIN)

### Participants

Training of trainers



PSEA/safeguarding/  
protection  
focal points

### Duration

2 hours



Training roll-out phase



Logistics/  
procurement  
staff



Senior  
managers

## SESSION 1: RAISING PSEA AWARENESS WITH PARTNERS, CONTRACTORS AND SUPPLIERS (40 MIN)

### Objectives



- Understand that every organization, along with its partners, contractors and suppliers, has a key role to play in preventing SEA.
- Understand the different types of contractual relationships in humanitarian and development contexts, and their implications for PSEA/safeguarding.

### Key messages



- Contractors, suppliers and partner staff should demonstrate commitment to PSEA; their level of commitment should inform our selection process.
- In humanitarian and development contexts, organizations enter contractual relationships that need to formally address issues of SEA as part of the organizational commitment to zero tolerance for SEA.
- PSEA is a donor requirement and failure to commit to, address and report PSEA can lead to contract termination.

### Materials



- Projector and slides
- Flip chart and markers

### Training tool



- TT 9.1 Role play raising PSEA awareness

## PLENARY (10 MIN)

**INTRODUCE** the session by asking the participants whether their organizations work with partners, suppliers or contractors when implementing programs/projects.

**ASK** participants to share examples. Answers might include: Implementing partners (local/national organizations, community-based organizations (CBOs), donors, research institutions, construction contractors, NFI suppliers, vendors, schools, etc.).

**EXPLAIN** that there are three types of entity that an organization can enter into a relationship with:<sup>1</sup>

- **Partners:** Organizations contracted to deliver programs and projects, or provide funding.
- **Suppliers:** Organizations or companies that have been contracted to provide goods, equipment and other supplies that are used by the organization generally, including for the delivery of programs and projects.
- **Contractors:** Organizations or companies that have been contracted to deliver specific services.

<sup>1</sup> CHS Alliance. 2017. [PSEA Implementation Quick Reference Handbook](#).

**ASK** why it is important that partners', contractors' and suppliers' staff commit to PSEA and address SEA issues. **HIGHLIGHT** that:

- The behavior of partner, contractor and supplier staff underpins all the work that an organization does. They are the interface between the organization and the community. Program participants might not understand that they do not work directly for your organization.
- The staff of partners, suppliers and contractors are often the first responders and/or work directly with program participants. We have a collective responsibility to respond to SEA, and it is critical to not assume that organizations and companies are free from SEA.

### EXERCISE: ROLE PLAY (30 MIN)

**DIVIDE** the participants into two groups. **GIVE** each group a role-play task using **TT 9.1 Role play for raising PSEA awareness:**

#### Group A

- **Background:** Your organization is meeting with a CBO working in a very conservative environment. The CBO staff say that PSEA doesn't exist in their context and it is a concept that was brought by outsiders.
- **Task:** Explain to the CBO staff what PSEA is *without* using the words "protection," "sexual" or "abuse."

#### Group B

- **Background:** Your organization is rehabilitating 10 classrooms in a school that has been destroyed by a typhoon. The construction company is a small local company with daily workers. The contractor claims that PSEA doesn't apply to them.
- **Task:** Explain to the contractor why PSEA is important and why it applies to them.

In plenary, **ASK** the participants:

- What did you find difficult about introducing PSEA to the stakeholders in these two scenarios?
- What specific considerations should be taken into account when introducing PSEA with affiliates? Examples might include:
  - Type of stakeholders (CBO, contractors, implementing partners, government bodies, suppliers, contractors, etc.).
  - Size of organization/company.
  - Type of relationship (partnership versus contractual engagement) and history of relationship/partnership.
- What contextual and cultural barriers (cultural, religious, etc.) exist to engaging on SEA issues? Which approaches/techniques can you take depending on the above factors? How can you link PSEA to the priorities of each stakeholder?

**ALLOW** 10 minutes for the task and 5 minutes for each group to present.

In plenary, **HIGHLIGHT** that:

- All potential partners, suppliers and contractors should be informed about the organization’s PSEA standards prior to entering into the relationship.
- SEA issues must be clearly discussed and, when relevant, addressed in partnership and/or contracts. Strategies on how to engage on PSEA will depend on the context, type of relationship and type of organization/company.
- Try to link PSEA to the existing priorities of each partner/partner type, e.g. to increased funding, preferred partnership status, Catholic Social Teaching/other religious principles, vision/mission/mandate of organization, etc.
- Defining PSEA requirements and implementing PSEA-responsive measures demonstrates organizational commitment to zero tolerance for SEA. Senior leadership and management have a particular role in ensuring that PSEA is understood and implemented at the partner, supplier and contractor level. Policies are not sufficient.
- Failure to comply with PSEA principles impacts partnerships, communities and the entire aid sector.
- PSEA is a donor requirement, and failure to commit to, address and report PSEA can lead to contract termination (reference can be made to Oxfam case if needed).
- It is also about relationships and the partnership approach. Engaging partners, suppliers and contractors isn’t only about compliance and shouldn’t be seen in a negative/threatening way. It is about the collective responsibility for the zero tolerance policy.

## SESSION 2: IMPLEMENTING PSEA REQUIREMENTS WITH PARTNERS, SUPPLIERS AND CONTRACTORS (1 HOUR, 20 MIN)

### Outline



- Exercise: Case study (50 min)
- Steps for defining expectations around PSEA (15 min)
- Module review for roll-out (15 min)

### Objectives



- Learn how to define PSEA commitments within agreements with partners, suppliers and contractors.

### Key messages



- Contractual entities must be informed, trained and supported in implementation of PSEA measures that they have committed to in cooperative agreements.
- SEA issues should be clearly addressed in all agreements in both development and emergency contexts. It should be clear what actions are prohibited and what the consequences are for contractual entities if in breach of the agreement.
- The level of interaction with program participants defines the level of detail related to SEA issues in contracts/agreements.
- Implementation of PSEA clauses in agreements should be continually monitored.

### Materials



- Projector and slides
- Flip charts and markers

### Handouts



- HO 9.1 Checklist for implementing PSEA with partners, suppliers, contractors
- HO 9.2 Examples of PSEA clauses in contractual agreements

### Training tools



- TT 9.2 Case studies on implementing PSEA requirements

## EXERCISE: CASE STUDY (50 MIN)

**SHARE** this case study:

*Your organization has just received funding from a donor for food distribution in two centers for internally displaced people over the period of one year. The partnership agreement with the donor clearly states that any SEA issues are to be immediately reported to the donor's country office. Your organization is now in the process of publishing the tender for the selection of a suitable supplier. The agreement with the supplier is to be signed upon completion of the selection process in one month.*

**DIVIDE** participants in three groups. **GIVE** each group one of the three case studies from **T TT 9.2 Case studies on implementing PSEA requirements**.

**Group A** You are a procurement officer. You have been asked to assess the supplier's understanding of PSEA and their readiness to commit to it.

- What steps do you take?
- What questions do you include in the initial assessment to gauge the supplier's understanding of PSEA and their readiness to commit?

**Group B** You are a procurement officer. A local supplier has been selected. You have been asked to prepare the contract between your organization and the selected supplier.

- What key elements should the PSEA clause(s) include to ensure PSEA requirements and commitment?

**Group C** You are a program manager. You are meeting with the supplier who has been selected to deliver food, to highlight the importance of sharing PSEA information with your organization if they hear of/have any concerns related to SEA. How do you explain:

- **WHAT** PSEA information should be shared.
- With **WHOM** it should be shared.
- **HOW** to give PSEA information.
- **WHEN** it should be shared.

**ALLOW** 15 minutes for the task.

**GIVE** to Group A and Group C participants copies of **H HO 9.1 Checklist for implementing PSEA with partners, suppliers, contractors**, and to Group B **H HO 9.2 Examples of PSEA clauses in contractual agreements**.

**INVITE** participants to review their work, and what key actions they did or didn't address. **ALLOW** 10 minutes.

**GIVE** 5 minutes for each group to present.



### Top ToT tip

For more advanced groups, a second part of the exercise could include a review of the checklist and a discussion of:

- The status of each recommendation in your organization.
- The gaps/challenges to meeting this recommendation.
- The next steps in relation to this recommendation.

In plenary, **EXPLAIN** that:

- Different partnerships/contracts can contain different levels of detail related to PSEA/safeguarding, depending on the level of access and direct interaction with program participants.
- Communicating with partners, suppliers and contractors about the importance and expectations of PSEA/safeguarding is critical.

## STEPS FOR DEFINING EXPECTATIONS AROUND PSEA (15 MIN)

**DISTRIBUTE** the two handouts to those who haven't yet had them.

**ALLOW** participants 10 minutes to go through the handouts.

In plenary, **DETAIL** key actions from **H HO 9.1**.

1. **Assess all partners, suppliers and contractors before the contracting arrangements are agreed.**
  - Determine the level of interaction with the program participants – especially vulnerable adults and children.
  - Will the organization/company be working directly with program participants? Will the services they deliver bring them into contact with program participants?
  - If the answer is YES, the partner or contracting entity will need to have a PSEA policy and code of conduct or sign onto our policy and code of conduct (if it is of an acceptable standard).
  - Conduct an initial assessment of the partner, supplier, contractor on PSEA understanding, their readiness to commit and capacity to implement PSEA.
  - What is the capacity of the organization or company to implement the measures? What is the status of the organization's or company's PSEA measures?
  - How well has the PSEA policy been implemented throughout the organization or company?
  - Share information on PSEA commitment and organizational culture with the potential partners and/or contracting entity prior to entering into relationship (i.e. in the tendering process).

2. **Develop contracts for organizations or companies which include PSEA requirements and commitments.**
  - Ensure clauses on PSEA are included in all contract agreements
  - Define what actions related to SEA are prohibited and the contractual consequences
  - This could include adherence to the organization or contracting entity's:
    - Code of conduct if there is direct contact with program participants
    - PSEA policy that covers protection of vulnerable adults and children
    - Child protection policy, if direct access to children is foreseen
  
3. **Decide on the type of PSEA support or training to provide to the organizations or companies, depending on the needs, the context and resources available.**
  - Deliver PSEA training and/or PSEA briefing to partners, suppliers or contractors, particularly where these organizations or companies will have contact with program participants
  - Include the organization or company staff in staff training events if they are directly implementing activities or have significant contact with program participants
  
4. **Agree with the organizations or companies on how to exchange information on PSEA/safeguarding.**
  - Discuss how to share information on PSEA:
    - WHAT information should be shared?
    - WHO should it be shared with?
    - HOW should it be shared?
    - WHEN should it be shared?
  - This could include:
    - Updates on implementing PSEA measures to be included in reports on progress with projects or services (where appropriate).
    - Concerns or cases that arise regarding the organization or company will need to be reported to your organization (using internal reporting mechanism and related forms and designated hotlines or emails).
  
5. **Monitor the implementation of PSEA requirements.**
  - Monitor the implementation of PSEA clauses in the contractual agreement.
  - Develop a monitoring plan of project activities with a focus on SEA reporting and response systems of the partner or contracting entity (who, when, what and how should SEA issues be reported).
  - Ensure regular consultations with communities or program participants to learn about interaction with the partners or contracting entity.



**WRAP UP** by highlighting key messages on PSEA-responsive agreements/partnership:

- In humanitarian and development contexts, organizations enter relationships that should formally address SEA issues as part of the organizational commitment to zero tolerance for SEA.
- Senior management have a particular role in ensuring that these types of contractual relationships include PSEA measures.
- Contractual entities must be informed, trained and supported in the implementation of PSEA measures that they have committed to in cooperative agreements.

### MODULE REVIEW FOR ROLL-OUT (15 MIN)

**ASK** each participant to use the training plan template to modify or reflect on the session for the roll-out phase.

**HIGHLIGHT** that this module should be targeting all program staff in the roll-out phase.

# HO 9.1 Checklist for implementing PSEA with partners, suppliers and contractors

This checklist should be used by organizations to raise awareness and implement PSEA requirements among partners, suppliers and contractors.

		Yes/No
<b>1</b>	<b>Assess all partners, suppliers and contractors before the contracting arrangements are agreed.</b> <i>Responses will help you decide what support to provide to the partner, supplier or contractor.</i>	
1.1	Determine the likely level of interaction with program participants, especially vulnerable adults and children. <ul style="list-style-type: none"> <li>Will the organization/company be working directly with program participants? Will the services they deliver bring them into contact with program participants?</li> </ul> <p>If the answer is YES, the partner or contracting entity will need to have a PSEA policy and a code of conduct or sign onto our policy and code of conduct.</p>	
1.2	Conduct an initial assessment of the partner, supplier or contractor on PSEA understanding, their readiness to commit, and capacity. <ul style="list-style-type: none"> <li>What is the capacity of the organization/company to implement the measures?</li> <li>What is the status of the organization's/company's PSEA measures?</li> <li>How well has the PSEA policy been implemented throughout the organization/company?</li> </ul>	
1.3	Share information on PSEA commitment and organizational culture with the potential partners and/or contracting entity prior to entering a relationship (i.e. a tendering process).	
<b>2</b>	<b>Develop contracts for organizations/companies that include PSEA requirements and commitments.</b>	
2.1	Include clauses on PSEA in all contract agreements.	
2.2	Define what actions related to SEA are prohibited and the contractual consequences. This could include adherence to the organization's or contracting entity's: <ul style="list-style-type: none"> <li>Code of Conduct, if there will be direct contact with program participants</li> <li>PSEA policy that covers protection of vulnerable adults and children</li> <li>Child protection policy, if direct access to children is foreseen</li> </ul>	

		Yes/No
<b>3</b>	<b>Decide on the type of PSEA support or training to provide to the organizations/companies, depending on the needs, context and resources available.</b>	
3.1	Deliver a PSEA training and/or PSEA briefing to partner, supplier or contractor, particularly where these organizations/companies will have contact with program participants.	
3.2	Include the organization/company staff in staff training events if they are directly implementing activities or will have significant contact with program participants	
<b>4</b>	<b>Agree with the organization/company on how to exchange information on PSEA.</b>	
4.1	Discuss how to share information on PSEA: <ul style="list-style-type: none"> <li>■ WHAT information should be shared</li> <li>■ WHO the information should be shared with</li> <li>■ HOW the information will be provided</li> <li>■ WHEN the information should be shared</li> </ul>	
4.2	This could include: <ul style="list-style-type: none"> <li>■ Update on implementing PSEA measures to be included in reports on progress with projects or services (where appropriate).</li> <li>■ Concerns or cases that arise regarding the organization/company will need to be reported to your organization (using internal reporting mechanism and related forms and designated hotlines/emails).</li> </ul>	
<b>5.</b>	<b>Monitor the implementation of the PSEA requirement.</b>	
5.1	Monitor the implementation of PSEA clauses in the contractual agreement.	
5.2	Develop a monitoring plan of project activities with a focus on SEA reporting and response systems of the partner or contracting entity (who, when, what and how should SEA issues be reported?)	
5.3	Ensure regular consultations with communities/program participants to learn about interaction with the partners / contracting entities.	

# HO 9.2 Examples of PSEA clauses in contractual agreements

## UNITED NATIONS CHILDREN'S FUND (UNICEF)

- Implementing Partners (IP) shall ensure that all its employees and personnel comply with the provisions of ST/SGB/2003/13 entitled “Special Measures for Protection from Sexual Exploitation and Sexual Abuse”, which is available at <http://www.un.org/Docs/journal/asp/ws.asp?m=ST/SGB/2003/13>.
- IP shall further ensure that none of its employees and personnel exposes any intended beneficiary, including children, to any form of discrimination, abuse or exploitation and that each of the IP's employees and personnel complies with the provisions of other UNICEF policies relating to protection of children as advised by UNICEF from time to time.

## UNITED NATIONS DEVELOPMENT PROGRAMME

22.1: The Contractor shall take all appropriate measures to prevent sexual exploitation or abuse of anyone by it or by any of its employees or any other persons who may be engaged by the Contractor to perform any services under the Contract. For these purposes, sexual activity with any person less than eighteen years of age, regardless of any laws relating to consent, shall constitute the sexual exploitation and abuse of such person. In addition, the Contractor shall refrain from and shall take all appropriate measures to prohibit its employees or persons engaged by it from exchanging any money, goods, services, offers of employment or other things of value, for sexual favors or activities or from engaging in any sexual activities that are exploitive or degrading to any person. The Contractor acknowledges and agrees that the provisions hereof constitute an essential term of the contract and that any breach of this representation and warranty shall entitle UNDP to terminate the Contract immediately upon notice to the Contractor, without any liability for termination charges or any other liability of any kind.

## UNITED NATIONS HIGH COMMISSIONER FOR REFUGEES (UNHCR)

- UNHCR Principles of Partnership refers to UNHCR Code of Conduct “reiterating UNHCR staff encouragement to partners to adhere to UNHCR standards and to join UNHCR staff in upholding them.”
- *Section 6 of the code of conduct focuses on “ Cooperative arrangements with non-United Nations entities or individuals” (from SG Bulletin):*
  - 6.1 When entering into cooperative arrangements with non-United Nations entities or individuals, relevant United Nations officials shall inform those entities or individuals of the standards of conduct listed in section 3, and shall receive a written undertaking from those entities or individuals that they accept these standards.
  - 6.2 The failure of those entities or individuals to take preventive measures against sexual exploitation or sexual abuse, to investigate allegations thereof, or to take corrective action when sexual exploitation or sexual abuse has occurred, shall constitute grounds for termination of any cooperative arrangement with the United Nations.

## WORLD FOOD PROGRAMME

Field level agreements read: Prevention of Sexual Exploitation and Abuse

- 9.1 The United Nations and WFP are committed to the protection of vulnerable populations in humanitarian crisis, including from sexual exploitation and abuse. By entering into an agreement with WFP, the Cooperating Partner undertakes to adhere to: (i) the standards set out in the Secretary-General’s Bulletin Special measures for protection from sexual exploitation and sexual abuse (ST/SGB/2003/13); (ii) any minimum operating standards adopted as a result of the Statement of Commitment on Eliminating Sexual Exploitation and Abuse by UN and Non-UN Personnel of 4 December 2006; and (iii) any other Protection from Sexual Exploitation and Abuse (PSEA) policy or guideline as may be adopted by WFP, as notified to the Cooperating Partner by WFP from time to time.
- 9.2 The Cooperating Partner shall ensure that its personnel, agents, contractors and subcontractors conform to the highest standards of moral and ethical conduct. Any failure by the Cooperating Partner to take preventive measures against sexual exploitation or abuse, to investigate allegations thereof or to take corrective action, shall constitute grounds for termination of the Agreement.

## INTERNATIONAL ORGANIZATION FOR MIGRATION (IOM)

8.1 The [Implementing Partner] further warrants that it shall:

- (a) Take all appropriate measures to prohibit and prevent actual, attempted and threatened sexual exploitation and abuse (SEA) by its employees or any other persons engaged and controlled by it to perform activities under this Agreement (“other personnel”). For the purpose of this Agreement, SEA shall include:
  - Exchanging any money, goods, services, preferential treatment, job opportunities or other advantages for sexual favour or activities, including humiliating or degrading treatment of a sexual nature; abusing a position of vulnerability, differential power or trust for sexual purposes, and physical intrusion of a sexual nature whether by force or under unequal or coercive conditions.
  - Engaging in sexual activity with a person under the age of 18 (“child”), except if the child is legally married to the concerned employee or other personnel and is over the age of majority or consent both in the child’s country of citizenship and in the country of citizenship of the concerned employee or other personnel.
- (b) Strongly discourage its employees or other personnel having sexual relationships with IOM beneficiaries.
- (c) Report in a timely manner to IOM any allegations or suspicions of SEA, and investigate and take appropriate corrective measures, including imposing disciplinary measures on the person who has committed SEA.
- (d) Ensure that the SEA provisions are included in all subcontracts.
- (e) Adhere to above commitments at all times. Failure to comply with (a)-(d) shall constitute grounds for immediate termination of this Agreement.

# TT 9.1 Role play for raising PSEA awareness

## Group A

### Background

Your organization is meeting with staff of a community-based organization working in a very conservative environment. They say that PSEA does not exist in their context and is a concept that was brought in by outsiders.

### Task

- Explain to the staff of the community-based organization what PSEA is without using the words “protection,” “sexual” or “abuse.”

### Instructions

- Role play
- 10 minutes to prepare, 5 minutes to present
- Be creative!



## Group B

### Background

Your organization is rebuilding 10 classrooms in a school destroyed by a typhoon. The small local company contracted to do the construction has daily workers. The contractor claims that PSEA does not apply to them.

### Tasks

- Explain to the contractor why PSEA is important and why it applies to them.

### Instructions

- Role play
- 10 minutes to prepare, 5 minutes to present
- Be creative!



# TT 9.2 Case studies on implementing PSEA requirements

## Group A

### Background

You are a procurement officer.

### Tasks

You have been asked to assess the supplier's understanding of PSEA and their readiness to commit to it.

- What steps do you take?
- What questions do you include in the initial assessment to gauge the supplier's understanding of PSEA and their readiness to commit?

### Instructions

- 15 minutes to prepare, 5 minutes to present.



## Group B

### Background

You are a procurement officer. A local supplier has been selected.

### Task

You have been asked to prepare the contract between your organization and the selected supplier.

- What key elements should the PSEA clause(s) include to ensure PSEA requirements and commitment?

### Instructions

15 minutes to prepare, 5 minutes to present



## Group B

### Background

You are a program manager.

### Tasks

You are meeting with the supplier who has been selected to deliver food, to highlight the importance of sharing PSEA information with your organization if they hear of or have any concerns related to SEA. How do you explain:

- WHAT PSEA information should be shared?
- With WHOM should it be shared?
- HOW should it be shared?
- WHEN it should be shared?

### Instructions

15 minutes for preparation, 5 minutes for presenting



# Facilitation Guide

## Module 10: Facilitation Methodology

- To equip participants with facilitation skills for effective training delivery during the roll- out phase.
- To provide participants with an opportunity to practice PSEA training materials delivery while using some of the best practices in adult learning and techniques for effective facilitation.

SESSION 1: BASIC FACILITATION PRINCIPLES (1 HOUR, 15 MIN)

### Participants

Training of trainers



PSEA/safeguarding/  
protection  
focal points

### Duration

1 hour, 15 minutes





## SESSION 1: BASIC FACILITATION PRINCIPLES (1 HOUR, 15 MIN)

### Outline



- Exercise: Teaching/lecturing versus facilitating (15 min)
- Exercise: Training approaches (30 min)
- Do's and Don'ts of facilitation (30 min)

### Objectives



- Understand the difference between teaching and facilitation.
- Understand the principles of adult learning and adequate facilitation approaches.

### Key message



- Effective facilitation supports the learning process if based on the principles of adult learning.

### Materials



- Projector and slides
- Rope or tape
- Statement cards
- Flip chart and markers

### Handout



- HO 10.1. Principles of adult learning<sup>1</sup> (Park et al., 2016) (one per participant)

### Training tools



- TT 10.1. Statement cards (Seeds for Change, 2019)

## EXERCISE: TEACHING/LECTURING VERSUS FACILITATING (15 MIN)

**ASK** the participants to work in pairs and define what they think are the differences between teaching/lecturing and facilitating? Make a flip chart each for “teaching/lecturing” and “facilitating,” and ask each pair to write down key comments for each topic after a 10-minute discussion.

**DEBRIEF** by sharing:

- Teaching aims to increase knowledge of a certain topic where the teacher is at the center of the process, demonstrating authority and knowledge.
- Facilitation assists participants to think about knowledge they already possess, while expanding it and sharing it within the group. Effective facilitation puts participants at the center of the process.

1. Park S, P Robinson and R Bates. 2016. *Adult Learning Principles and Processes and Their Relationships with Learner Satisfaction: Validation of the Andragogy in Practice Inventory (API) in the Jordanian Context*. Adult Education Research Conference, 2016 Conference Proceedings, Charlotte, NC. Kansas State University Libraries, New Prairie Press. Licenced under [CC BY-NC 4.0](https://creativecommons.org/licenses/by-nc/4.0/).

## EXERCISE: TRAINING APPROACHES (30 MIN)

**MARK** a straight line on the floor with rope or tape, representing a spectrum. Place one of a pair of statements on the floor on each end of the spectrum (e.g. statement A at one end and statement AA at the opposite end). The statements give two different approaches to training (at one end of the spectrum, the approach is less centered on the learner (cards A-H) and, at the opposite end, the approach is more centered on the learner (statements AA-HH). Invite participants to stand somewhere on the spectrum to match their particular training approach, for each pair of statements.

An example:



Not all the statements need to be used, but a minimum of five pairs of statements is recommended. For each pair of statements placed on the floor, **ASK** participants to explain why they have placed themselves where they have on the spectrum (encourage them to be specific), and what factors might influence where they place themselves. Note their contributions on flip chart paper. Examples might include: *the training time available on the day; the knowledge, skills and confidence levels of the trainer; whether the content/curriculum is fixed or changing; the nature of the subject matter; the trainer-to-learner ratio in the room; the level of learner motivation; the level of learner experience with more collaborative and facilitative approaches; the level of resources available; etc.*

**CONCLUDE** the session by asking participants in plenary where they would like to be on the spectrum and their reasons for their choice.

## PLENARY: DO'S AND DON'TS OF FACILITATION (30 MIN)

**SHARE** that besides understanding our own approaches to facilitation, there are also some basic **training DOs and DON'Ts** that need to be considered:

### DOs

- Do maintain eye contact
- Do prepare in advance
- Do involve participants
- Do speak clearly
- Do speak loudly enough
- Do provide clear instructions
- Do check if your instructions were understood
- Do position visuals so everyone can see them
- Do write clearly and boldly
- Do encourage participation
- Do encourage questions
- Do recap at the end of each session
- Do bridge from one topic to the next
- Do summarize
- Do use logical topic sequencing
- Do use good time management
- Do keep it simple
- Do give feedback
- Do position visuals so everyone can see them
- Do avoid distracting mannerisms and distractions in the room
- Do be aware of participants' body language
- Do keep the group focused on the task
- Do evaluate as you go
- Do be patient

### DON'Ts

- Don't talk to the flip chart
- Don't block the visual aids
- Don't stand in one place; move around the room
- Don't ignore participants' comments and verbal and non-verbal feedback
- Don't read from the curriculum

**ASK** the participants to recall one training session or workshop that they really appreciated and that contributed to their learning in any area. Ask them to write down some of the key points about that experience as learners. Allow 5 minutes for this reflection.

**SHARE** that besides the basic rules of facilitation highlighted in the Dos and Don'ts, we also need to understand how adult learning preferences impact the learning process and what we can do to foster it. Use the tables in **H HO 10.1. Principles of adult learning** and go through each of the points while asking the participants to share concrete examples from their own experience that they reflected upon at the start of the session.

# HO 10.1 Principles of adult learning

From Park S, P Robinson and R Bates. 2016. *Adult Learning Principles and Processes and Their Relationships with Learner Satisfaction: Validation of the Andragogy in Practice Inventory (API) in the Jordanian Context*. Adult Education Research Conference, 2016 Conference Proceedings, Charlotte, NC. Kansas State University Libraries, New Prairie Press. Licenced under [CC BY-NC 4.0](https://creativecommons.org/licenses/by-nc/4.0/).

## PRINCIPLES OF ADULT LEARNING

<b>Intrinsic motivation to learn</b>	The learning that has the most meaning for adults is that which has personal value.
<b>Readiness to learn</b>	Teaching and learning efforts are most effective with adults who are prepared by life or work challenges to engage in new learning (i.e., learning that helps them solve problems or issues they recognize in their lives/work).
<b>Prior experience</b>	Current and past experience is seen as a rich resource for learning by self and others.
<b>Orientation to learning</b>	Adults prefer a problem-solving approach, not a subject-centered approach to learning, and learn best when new learning is couched in real-life context.
<b>Self-directed learning</b>	Adults learn best when they have the opportunity to control or have input into the goals and purposes of a learning experience, and have some personal autonomy in making decisions in how teaching and learning occurs.
<b>Need to know</b>	Adults need advance information about training or learning experiences in order to evaluate their relevance. This could also include some advance involvement in designing and planning training.

## LEARNING PROCESS DESIGN ELEMENTS FOR ADULT LEARNERS

<b>Preparing the learner</b>	Before the learning experience, supply learners with advance information about the content and style of the learning experience, prepare them for participation, and assist in the development of realistic expectations.
<b>Climate setting</b>	Establish a trusting, mutually respectful, informal, collaborative and supportive learning climate.
<b>Mutual planning</b>	Implement a collaborative approach to the planning of the learning experience by engaging learners in planning their learning experience.
<b>Diagnosis of learning needs</b>	Learning needs are diagnosed through a process of mutual assessment.
<b>Set learning objectives</b>	Learning objectives are defined through a process of mutual negotiation between the instructor and the adult learners.
<b>Design of the learning experience</b>	Learning plans are most effective when oriented around learning contracts, projects and sequenced by readiness.
<b>Learning activities</b>	The most effective activities include inquiry projects, independent study, and the use of experiential techniques.
<b>Evaluation of learning</b>	Learning evaluation is most effective when done through the collection of learner collected evidence that is criterion- referenced and validated by peers or experts.

# TT 10.1 Statement cards

Adapted from Seeds for Change. 2019. *In-depth guide: Facilitation tools for meetings and workshops*, Second Edition.

Each statement is printed on one page and placed on the spectrum:

<p><b>A</b> I use the same notes every year and I expect learners to learn what I tell them.</p>	<p><b>AA</b> I have to get across to learners that knowledge changes all the time and that I and they must stay updated.</p>
<p><b>B</b> I give presentations because the number of participants is too high and it is the only suitable approach.</p>	<p><b>BB</b> I think it's impossible to train large groups all the time. There are always opportunities for pair and group work even in large sessions.</p>
<p><b>C</b> I expect learners to follow me and my recommendations.</p>	<p><b>CC</b> My view is that learners must always question what I tell them and assimilate and accommodate new information and skills.</p>
<p><b>D</b> I think the best learners sit quietly and take notes.</p>	<p><b>DD</b> I encourage learners to 'flip the learning' and read the material in advance and prepare questions.</p>
<p><b>E</b> I believe my role is primary information giver and primary assessor.</p>	<p><b>EE</b> I feel strongly that learners must recognize that they will do better if they collaborate and learn from each other.</p>
<p><b>F</b> I think what is in the training guide is what really matters.</p>	<p><b>FF</b> I certainly need some prescribed content but only as a starting point. For learning outcomes to be met, I weave new content in during the course of the training.</p>
<p><b>G</b> I don't have much time and space for discussion during the course of the training.</p>	<p><b>GG</b> I create and prioritize opportunities for discussion about the delivery of information during the training.</p>
<p><b>H</b> My view is that learners on the whole know nothing. It is my job to get them up to speed on content.</p>	<p><b>HH</b> Learners know a great deal. What we need to do is build on their previous knowledge.</p>



# Facilitation Guide

## Handout Module: Introduction to PSEA

THIS TRAINING IS TO BE DELIVERED BY PSEA FOCAL POINTS IN THE ROLL-OUT PHASE OF THE PSEA TRAINING.

- To raise awareness among all partner staff of the key concepts and principles of protection against sexual exploitation and abuse (PSEA), through an understanding of related terminology and definitions, as well as of the consequences of SEA incidents.
- To understand the importance of a survivor-centered approach that prioritizes the dignity, safety and best interests of the victim/survivor.
- To underline the importance of an organizational culture that promotes positive values and safety, the development of policies and procedures, and adherence to safeguarding/PSEA standards.

SESSION 0: INTRODUCTION AND WELCOME (25 MIN)

SESSION 1: KEY CONCEPTS (1 HOUR)

SESSION 2: UNDERSTANDING PSEA (1 HOUR)

SESSION 3: WHO ARE WE? CORE ORGANIZATIONAL VALUES (1 HOUR)

SESSION 4: MILLIONAIRE EXERCISE (30 MIN)

### Participants



All staff  
(during orientation/  
refresher trainings)

### Duration

3 hours, 55 minutes



## SESSION 0: INTRODUCTION AND WELCOME (25 MIN)

### Objectives



- Establish a shared understanding of the workshop’s purpose and its expected outputs
- Get to know each other
- Set the ground rules

### Materials



- Slides for overview presentation

## PLENARY (5 MIN)

Welcome, why are we here, agenda overview.

## IN PAIRS, EACH ASKING THE OTHER (15 MIN)

- *How long you have been working with your organization and in which capacity?*
- *Using the first letter of your name, choose an adjective or name that describes you.*
- *Share each other’s expectation for the workshop.*

## PLENARY (5 MIN)

**EXPLAIN** any housekeeping, including the location of bathrooms and fire exits, and any other important information about the venue and/or training.

**INVITE** the participants to share the rules of the workshop they would like to follow and write them on the flip chart (time, breaks, use of phones, active participation).

## SESSION 1: KEY CONCEPTS (1 HOUR)

### Objectives



- Explore concepts such as power, violence and gender, and their relationship to sexual exploitation and abuse.
- Understand how power can be abused in humanitarian and development settings, and how the relationship with program participants is affected.

### Key messages



- Power imbalance is at the heart of SEA/safeguarding issues. Humanitarian workers hold enormous power, which can create the risk of exploitation and abuse.
- SEA is a form of violence as it threatens the well-being, health and development of those affected.
- SEA is also a human rights violation as it affects a number of basic human rights, such as the right to life, equality and security of the person.
- SEA also has a gender dimension because emergencies tend to create, reinforce and exacerbate existing vulnerabilities. Due to historic inequalities, women have been affected to a greater degree.
- Understanding and addressing the power dynamics, both within the community and in relation to humanitarian workers, is crucial to ensure the safeguarding of the most vulnerable, especially from SEA risks.

### Materials



- Flip chart

### Training tools



- TT (a) Power walk character cards

#### Top ToT tip



This module is designed as a refresher on concepts related to gender and gender-based violence. Facilitators do not need to go through all the concepts in great detail and may use their discretion to skip this session with advanced audiences. However, it is important to ensure that the themes are referred to throughout the training to ensure PSEA implementation remains focused on the victim/survivor and their needs, rather than on tick-box compliance.

## EXERCISE (30 MIN)

**EXPLAIN** that in this session participants will explore concepts such as power, sexual exploitation and abuse. **ASK** the participants to stand in a single row across one side of the room facing the facilitator. Distribute the **T TT (a) Power walk character cards** to the participants. Instruct them not to share their character's identity. Ask them to pretend to be that character, and to form a picture of who they are and what their life is like. They must then think about what their character's answers would be to the questions below.



**ASK** them to take one step forward if their answer is “yes” to a question, and to stay where they are if the answer is “no.” **READ** each question, allowing enough time for the participants to take a step.

- *Did you have enough to eat today?*
- *Do you have cash in your pocket?*
- *Do you have a valid government-issued ID?*
- *Do you have access to a telephone?*
- *When you are sick, are you able to go to a doctor and pay (if necessary) for their services?*
- *Do you travel freely throughout your country of residence?*
- *If you were robbed, would you go to the police to report the crime?*
- *Did you finish primary school?*
- *Are your opinions and ideas respected by your family?*
- *Can you read the newspaper?*
- *Did you have access to clean water today?*
- *Did you have access to a latrine or toilet today?*

For the next two questions, **ASK** them to stay where they are if the answer is “yes,” and to take a step backward if the answer is “no.”

- *Do you feel safe from SEA?*
- *If you were a victim/survivor of SEA, would you report such an incident?*
- *If you were a victim/survivor of SEA, would you know what kind of assistance you could receive?*

**ASK** the participants that have moved the least (i.e. the least privileged):

- *Why are you where you are?*
- *Why have you moved so little or even backward?*

**ASK** the participants that have moved the most (i.e. the most privileged):

- *Why are you where you are?*
- *Why have you moved so much?*

**REPHRASE** what the participants say, highlighting the vulnerability factor(s) (sex/ gender, age and/or other diversity factors) that disadvantage the character.

## PLENARY (15 MIN)

**ASK** other participants to reveal the identity on their card and to explain why they stepped forward or not in response to particular questions.

You may use these questions to guide the discussion:

- *What did you assume about your character, if it was not explicitly stated e.g. age, gender ethnicity?*
- *Who are the more vulnerable members of the community? Who are the more powerful?*
- *How did the additional risk of exploitation or abuse impact the position of those most vulnerable (i.e. those that moved least)?*
  - Those characters at risk of abuse and exploitation took a step backward; this shows the impact that incidents like these can have on people.
  - Abuse and exploitation can cause injury, and health and physiological problems, and can further hinder people’s dignity, well-being and access to human rights.
- *Imagine you work for an NGO helping people in need. Which groups would require special attention to facilitate their safeguarding from risk of exploitation and abuse from NGO staff?*
  - Depending on the context, but likely related sex, age, diversity.
  - NGOs (and, by proxy, NGO workers) decide who receives resources and who does not. This gives us a lot of power, or at least the perception of power, which can create the risk of abuse and exploitation.
- *Often, people have less access to support based on their sex/gender, age or diversity factors. How might a lack of access to support for their needs further impact victims/survivors of exploitation and abuse in your context?*
  - Hinder their recovery from the incident
  - Stop them from claiming justice, etc.

**HIGHLIGHT** that participants were scattered across the room. Those with more power and greater access to their rights were closer to the facilitator, and those who were more vulnerable were further back.

We are born equal and with the same human rights (such as the right to education and the right to family life). However, we do not all have access to those rights. Not everyone experiences the world in the same way. If we are from a group that is marginalized, or treated differently because of our sex/gender, age or other diversity factor (socioeconomic, political, ethnic or religious), we may be less protected in our societies, simply by virtue of who we are. Human rights can be deliberately denied or abused, putting people’s safety and dignity at risk and increasing the risk of abuse or exploitation by people in positions of power.

After participants have returned to their seats, **EXPLAIN** that this exercise aims to demonstrate how power imbalance is at the heart of PSEA/safeguarding issues.

**NGO workers hold enormous power, as our organizations decide who receives services and resources, and who does not.** This can create the risk of exploitation and abuse, particularly of those people who are already marginalized due to sex/gender, age, or other diversity factors, such as disability, lack of economic stability, or being a member of a religious/ethnic/political minority etc.

This imbalance of power between aid workers and the most vulnerable is at the core of SEA issues. It creates additional risks that must be addressed both programmatically—in the project design—and also structurally within organizations through PSEA/safeguarding.

## PLENARY (15 MIN)

Once participants have returned to their seats, **EXPLAIN** that this exercise highlighted several key concepts that we must grasp in order to better understand the foundations of sexual exploitation and abuse.

**EXPLAIN** that the exercise showed that some people have more power than others and can more easily access their rights. These rights are called human rights and are the most basic freedoms that we all should possess.

Human rights:

- Oblige governments (**duty bearers**) to respect certain freedoms of individuals
- Are universal **legal guarantees** protecting individuals and groups
- Are **universal**, as all people are entitled to them
- Are **inalienable**, because they cannot arbitrarily be given up or taken away.

For example, [The Universal Declaration of Human Rights](#) establishes basic rights to which all men, women and children are entitled, without discrimination, such as the right to life, liberty and security, the right to education, and to live free from torture. Even the most vulnerable should be able to enjoy these rights.

*Note:* SEA concerns the erosion of a number of basic human rights. If time permits, ask participants for a few examples of the basic human rights that SEA violates.

**HIGHLIGHT** that violence is behavior intended to harm someone and undermine their health, well-being or development. This means they are not able to enjoy their rights. It can take many forms, not just physical, but also economic, social and structural.

**ASK** participants to define “gender.” **EXPLAIN** that “gender” is a concept that is used to describe socially determined differences between men and women, and “sex” is a term used to describe the physical differences between men and women. If participants are unfamiliar with these concepts, read the four statements below. First ask any in the group who believe the statement describes a sex difference to raise their hands. Next, ask any in the group who believe the statement describes a gender difference to raise their hands. In discussion, clarify any statements as needed.

1. Women give birth to babies, men don’t (sex).
2. Girls are gentle and boys are tough (gender).
3. Among agricultural workers, women are paid 40 to 60% of the male wage (gender).
4. Women can breastfeed babies, men can bottle feed babies (sex).

**EXPLAIN** that gender-based violence is a form of violence that can involve human rights abuse, most often resulting from an abuse of power, and that the violence is based on gender inequality. GBV violates numerous principles found in international human rights instruments. These rights include: the rights to life, equality and security of the person. The term GBV recognizes that violence is an aspect of gender roles and power relationships, and particularly the subordination of women and their related exploitation. To address violence, one also needs to address gender issues.

If this information is relatively new to some participants, the facilitator may wish to highlight that there is a well-documented global phenomenon that men often have power and control over women, girls and boys, and may maintain this power through violence. This creates a cycle of oppression that causes, produces and reproduces violence against women and children. Violence and abuse perpetuate inequalities in interpersonal relationships and reinforce structures that enable violence against women and children to continue. Women and children are disempowered through unequal access to resources and decision-making.

**DEBRIEF** on gender-based violence. Explain that the concepts just covered may not be new to many participants, but we have gone over them quickly as it is important for focal points to be able to explain them to others.

**HIGHLIGHT** that:

- People in positions of power are more likely to have the resources and support to ensure their rights are respected, but are also more likely to perpetrate abuse. The most vulnerable may have fewer opportunities to claim their rights and are more vulnerable to abuse.
- Power imbalance is at the core of SEA/safeguarding incidents because humanitarian workers hold enormous power.
- Marginalized people and communities are far more likely to be made more vulnerable during an emergency. The Power Walk exercise helped show the prevalence of these power imbalances in society.
- There is a gender dimension to PSEA, as emergencies tend to make existing vulnerabilities worse. Due to historic inequalities, this means women and girls tend to be more affected.
- Sexual exploitation and abuse is a form of gender-based violence. Anyone can commit sexual exploitation and abuse, but the most likely perpetrators are males and the most likely victims are females.

## SESSION 2: UNDERSTANDING PSEA (1 HOUR)

### Objectives



- Learn what actions and behaviors constitute SEA.
- Understand the impact of SEA on victims/survivors, communities and organizations.
- Learn about current responses in the humanitarian and development sector.



### Key messages

- An imbalance of power, resulting from the dependency of affected populations on humanitarian aid, is at the core of SEA issues.
- SEA has complex and long-lasting impacts on victims/survivors, communities and agencies.
- The sector has responded with various standards, including the IASC’s eight [Minimum Operating Standards](#).
- Safeguarding/PSEA efforts must be underpinned by a survivor-centered approach that puts the needs of survivors front and center of the response.



### Materials

- Slides and projector



### Handouts

- HO (a) Eight Minimum Operating Standards for PSEA (one per participant)



### Training tools

- TT (b) Examples of sexual exploitation and abuse (one per group)

## EXERCISE: EXAMPLES OF SEXUAL EXPLOITATION AND ABUSE (30 MIN)

**EXPLAIN** the definitions of sexual exploitation and abuse. **REITERATE** that, as we saw in the previous session, SEA is a form of gender-based violence.

**HIGHLIGHT** that:

- **Sexual abuse** is both attempted and actual physical intrusion.
- **Sexual exploitation** is based on abuse of a position of vulnerability, unequal power relations, and trust, and implies social, sexual, economic or political gain.

### Part 1

**DIVIDE** the participants into four groups, and distribute the **T TT (b) Examples of sexual exploitation and abuse**. **ASK** them to decide whether the scenarios are examples of sexual abuse or exploitation (10 minutes).

After the exercise, **ASK** one group to share their findings and invite all groups to share their observations for each example. Refer to each of the examples and link them to the correct definitions of either sexual abuse or exploitation. Allow time for questions under each scenario, to clarify the distinction between abuse and exploitation.

**Examples of sexual exploitation:**

- A head teacher at a school, employed by an NGO, refuses to allow a displaced child to enter his school unless her mother has sexual intercourse with him.
- A driver for an international agency regularly provides rides in the official vehicle to village schoolboys traveling to school in a neighboring town, in exchange for him taking photographs of them posing naked.
- The female boss of an NGO office refuses to give employment to a young man applying to be a kitchen server unless he has sexual intercourse with her. *(Remember: Even if the young man refuses to sleep with her, if she attempts to abuse her position by making such a request, she is guilty of sexual exploitation.)*

**Examples of sexual abuse**

- A refugee, who is employed as an incentive worker by an NGO, lures a female refugee collecting food to a deserted warehouse and rapes her, saying he will tell her husband they are having an affair if she reports the case.
- A local NGO worker touches a 6-year-old girl inappropriately while playing with her during a psycho-social intervention.
- A local maintenance company staff member working in a camp attempts to rape a female refugee while visiting the camp after the company’s working hours using his ID access card.

**Prostitution**

Some participants may not perceive engaging prostitutes as SEA. They may feel there is consent. It is a service that is paid for and no one is forced to engage in it. However, remind them of the power imbalance and that we work in a highly vulnerable context where people may do anything to survive and feed their families. Informed consent may not be possible. People may appear to “consent” to engage in transactional sex (i.e. exchanging sex for food or other items), but this might not be what they actually want. They may be desperate and feel they have no other choice. This is not true consent. Their agreement may not be informed. They may not know, for example, that aid is free, or that aid workers engaging in such practices are guilty of misconduct and should be reported.

**HIGHLIGHT** that children (people under the age of 18) and individuals who are mentally challenged are deemed unable to give informed consent for acts such as female genital mutilation/cutting, marriage, or sexual relationships, etc.

## Part 2

In the same groups, **ASK** the participants to look at two of the examples (allocate two per group) and list some of the consequences of SEA. They may want to consider the impact on victims/survivors, the community, the organization, and the perpetrator.

They should also consider the:

- Health consequences
- Economic consequences
- Emotional/psychological consequences

In plenary, ask each group to give feedback from their scenarios and list these consequences on a flip chart. **SHARE** that violence in the form of SEA in a humanitarian or development context and by humanitarian workers has far reaching implications for program participants, local communities and humanitarian organizations.

**EXPLAIN** prevention of sexual exploitation and abuse (PSEA). PSEA is the term used by the UN and NGO community to refer to measures taken to protect vulnerable people from sexual exploitation and abuse by their own staff and associated personnel. (CHS Alliance)

### EXERCISE: MINIMUM OPERATING STANDARDS (15 MIN)

**EXPLAIN** that PSEA is about addressing SEA incidents cause by staff, through a set of clearly defined policies and procedures to end sexual exploitation and abuse by humanitarian workers. It is about **preventing** incidents and also **responding** to them.

**INVITE** participants to take part in an exercise on matching the Minimum Operating Standards with their respective definitions. **DIVIDE** participants into four groups and distribute a set of cut-out standards and their definitions to each group for matching. **ASK** one group to present the definitions of each standard.

### PLENARY (15 MIN)

**EXPLAIN** that underpinning a PSEA approach is the need to be survivor-centered. This means meeting the principles listed on the slide. **ASK** the participants:

- *Are there any additional principles you would add to this list?*
- *Are there any that are surprising?*

**EXPLAIN** that one of the key issues related to the handling of SEA issues is confidentiality. **ASK** participants to think of an occasion when they broke a confidence. Ask them to recall why they broke it and what the consequences were. After a couple of minutes, ask two or three volunteers to share with the group why they broke the confidence and the consequences (*Note: They should not share the details of the confidence, but rather why they broke it and the consequences*).

Now **ASK** participants to think of an occasion when someone they trusted broke their confidence. Ask them to recall how they felt, if they understood why the confidence was broken, and what the consequences were. Ask two or three volunteers to share their feelings and the consequences (or ask the group in general to call out emotions and consequences).



#### Top ToT tip

The aim of this exercise is to remind us to anchor in real life the principles that we will be discussing. We follow them not just because they are part of procedures but because they have real value to each one of us and there are real consequences when we fail to respect them.

#### DEBRIEF:

- Incidents of SEA by aid workers represent gross misconduct and a failure to protect those we aim to serve.
- PSEA is the collective responsibility of all aid actors to achieve zero tolerance for SEA by humanitarian workers.
- Incidents of SEA need to be addressed formally by organizational policies and procedures, as well as by promoting a safe organizational culture.
- To respond to SEA by aid workers, the sector has developed various standards, including the eight Minimum Operating Standards for PSEA.



## SESSION 3: WHO ARE WE? CORE ORGANIZATIONAL VALUES (1 HOUR)

### Objectives



- To allow participants to identify core values that drive the vision and mission of their organization.
- To link their values to the international standards and key principles of survivor-centered approaches.

### Key messages



- Organizational values shape the culture that is embedded in the organization's vision and mission.
- They impact the work environment that promotes or limits certain behaviors and attitudes among staff.
- Organizational values are especially important in humanitarian work due to the sensitivity of the affected populations we work with.
- The role of leadership is critical in ensuring that organizational values are embedded in organizational culture, and actively understood and practiced in the daily work of the organization.

### Materials



- Pens and markers
- Flip chart
- Participants to bring their organization's vision and mission

### Training tools



- TT (c) Values cards (one set per participant)
- TT (d) Values map (one per participant)

## EXERCISE: VALUE CARDS (25 MIN)

**EXPLAIN** to participants that they will sort 30 value cards that they feel represent the values promoted **within their organization**. The value cards should be divided into “most important,” “somewhat important” and “not important.”

Distribute the **T TT (c) Values cards** and **T TT (d) Values map** to each participant. Allow participants to spread out across the room, with enough space to lay out all of their cards. Once everyone is settled, explain that the purpose of the activity is to give them an opportunity to examine the values promoted in their organizations. Explain that it is okay for them to feel uncomfortable during the exercise, but reiterate the importance of participation. Tell participants that you are there to talk through any significant issues that may come up during the exercise.

The top five values in their “most important” category will be considered the “organizational values.” These should be values that the participants feel define their organizations.

**INVITE** participants to post their “most important” values around the room for a gallery walk. Allow time for all participants to view all the values maps.

## PLENARY (35 MIN)

**EXPLAIN** that we will now speak about the core values of their organizations, and how those are related to the mission and vision of the organizations.

**INITIATE** the discussion by using the questions:

- *Are these values promoted within your organization?*
- *How are they promoted?*
- *How do these values shape the way you work with your organization?*
- *Do you think your colleagues share the same values?*

**WRITE** some key points on the flip chart: role of leadership, accountability, compassion, sharing the same values, vision and mission.

**SUMMARIZE** the discussion by highlighting the message that we cannot always be sure whether we share the same values as our colleagues and that is why we need the organization’s vision and mission. It creates the framework for joint values that should be continually practiced and promoted by all staff.

**ASK** some participants to read out the vision and mission of their organization to the group.

**ASK** the following questions:

- *Is the mission and vision focused first on the program participants?*
- *How do the vision and mission affect your daily work or interaction with the program participants?*
- *Do you see the link between the vision and mission, and your work?*

**HIGHLIGHT** that adherence to the organization’s values, or “walking the talk,” fosters individual and organizational integrity.

**HIGHLIGHT** that vision and mission are directly linked to organizational policies and procedures, as systems that help us “walk the talk.” They are also tools that help us to prevent staff committing the violence of SEA. Allow time for reflection and ask:

- How do the PSEA principles link to your organizational and religious values?

The code of conduct should be linked to the discussion, as a tool that directly promotes the core values of the organization. If it is not mentioned in the discussion, announce a separate session on the code of conduct later in the training.

**DEBRIEF** the key messages on organizational values, and ask participants to read them:

- Organizational values shape the culture that is embedded in the vision and mission of the organization.
- They impact the work environment that promotes or limits certain behaviors and attitudes among staff.
- Organizational values are especially important in humanitarian/development work due to the sensitivity of affected populations we work with.
- The role of leadership is critical in ensuring that the organizational values are embedded in the organizational culture and actively understood and practiced in the daily work of the organization.

## SESSION 4: MILLIONAIRE EXERCISE (30 MIN)

### Objectives



- Explore concepts of sexual exploitation and abuse as unacceptable staff behavior.
- Explore the concept of consent.
- Discuss the obligation to report suspicious or unacceptable staff behavior.
- Reflect on the notion of power.

### Key messages



- Humanitarian workers are always in a position of power in relation to the communities we work with.
- Consent does not justify behaviors that could be implying sexual exploitation and abuse.
- All staff are obliged to report any misconduct or suspicion.

### Materials



- Four sheets of paper with one of the letters A, B, C or D on each

## PLENARY (30 MIN)

**POST** the four sheets of paper in different corners of the room, each one marked with one of the letters. Invite participants to stand in the center of the room.

**EXPLAIN** that there will be questions with possible answers A, B, C or D. After reading each of the questions and answers, they should stand next to the posted letters that represent their answer to the question asked.

**EXPLAIN** that the correct answer will be given for each question, after participants have selected their respective answers.

*Note:* Before the correct answer is given for each question, discuss with the group in each corner why they selected their answer. Then read the answer and the clarification slides with key messages for each question.

# HO (a) Eight Minimum Operating Standards for PSEA (IASC)

Cut out and separate each standard and its definition. Participants will attempt to match them.

<b>Protection from Sexual Exploitation and Abuse</b>	A set of internal organizational policies and procedures that are part of safeguarding, to prevent and respond to incidents of sexual exploitation and abuse committed by staff, volunteers and affiliates
<b>1. PSEA policies and procedures</b>	An effective PSEA policy and code of conduct defining organizational mechanisms for protection of beneficiaries from sexual exploitation and abuse by aid workers
<b>2. Cooperative agreements</b>	All contractual relations with vendors, suppliers and donors are inclusive of PSEA-relevant elements that define the obligation to adhere to the code of conduct and obligation to report any allegations of sexual exploitation and abuse
<b>3. PSEA focal point</b>	A designated staff member within the organization who provides technical support to the organization overall on PSEA issues, and who has adequate seniority for decision-making on all PSEA-related issues, whether they are programmatic or safeguarding-related
<b>4. Community engagement</b>	Organizational efforts and actions to consult communities on appropriate PSEA interventions and mechanisms
<b>5. Feedback-and-response mechanism</b>	Organizational mechanism that provides a safe and dignified channel of communication with communities on the quality of services provided and staff behavior
<b>6. Human resources processes</b>	Organizational commitment to transparent and PSEA-relevant staff hiring, training and performance evaluation embedded in policies and procedures
<b>7. Staff awareness-raising</b>	Organizational commitment to continual staff training on PSEA issues through an organizational culture and policies that promote a safe reporting mechanism and staff adherence to the code of conduct
<b>8. Internal reporting and investigation system</b>	Organizational mechanism defined by the policy, and has clear and transparent procedures on receiving and handling any allegations of sexual exploitation and abuse by the staff, volunteers and affiliates



# TT (a) Power walk character cards

<b>MEMBER OF A RELIGIOUS MINORITY</b>	<b>65-YEAR-OLD MALE SUBSISTENCE FARMER WITH A WIFE AND SIX CHILDREN LIVING IN A REGION OF ETHNIC CONFLICT</b>	<b>RELIGIOUS LEADER WORKING IN A PEACEFUL COMMUNITY</b>	<b>15-YEAR-OLD FEMALE HEAD OF HOUSEHOLD IN A RURAL VILLAGE WITH TWO YOUNGER SISTERS</b>
<b>12-YEAR-OLD NEWLY WED</b>	<b>REFUGEE FROM A NEIGHBORING COUNTRY</b>	<b>16-YEAR-OLD TRAFFICKED MALE</b>	<b>MALE POLICE OFFICER</b>
<b>PERMANENTLY DISABLED SURVIVOR OF A CYCLONE</b>	<b>POLITICAL LEADER</b>	<b>45-YEAR-OLD WIDOW WITH SIX CHILDREN</b>	<b>NGO EMPLOYEE (NATIONAL STAFF)</b>
<b>TRANSGENDER PERSON</b>	<b>MIGRANT WORKER WITHOUT LEGAL DOCUMENTATION</b>	<b>NGO EMPLOYEE (LOCAL STAFF)</b>	<b>SUCCESSFUL MALE BUSINESS OWNER</b>
<b>17-YEAR-OLD DRUG ADDICT LIVING ON THE STREETS</b>	<b>16-YEAR-OLD SINGLE MOTHER WHO IS A SEX WORKER</b>	<b>10-YEAR-OLD BLIND GIRL IN AN ORPHANAGE</b>	<b>HUMANITARIAN WORKER WITH THE UNITED NATIONS</b>
<b>FEMALE HEAD OF HOUSEHOLD</b>	<b>UNACCOMPANIED CHILD</b>	<b>MAN WITH A MENTAL DISABILITY</b>	<b>SON OF A POLITICAL OPPONENT</b>
<b>FEMALE CHAIRMAN MEMBER</b>	<b>FEMALE GARMENT WORKER</b>	<b>UNACCOMPANIED CHILD</b>	



Adapted from the PMWG, Protection Mainstreaming training Module 1 Protection

# TT (b) Examples of sexual exploitation and abuse (InterAction)

From: InterAction. 2013. [PSEA Basics Training Guide Preventing and Responding to Sexual Exploitation & Abuse \(PSEA\)](#).

## Examples of sexual exploitation

- A head teacher at a school, employed by an NGO, refuses to allow a displaced child to enter his school unless her mother has sexual intercourse with him.
- A driver for an international agency, regularly provides rides in the official vehicle to village schoolboys traveling to school in a neighboring town, in exchange for him taking photographs of them posing naked.
- The female boss of an NGO office refuses to give employment to a young man applying to be a kitchen server unless he has sexual intercourse with her. *(Remember: Even if the young man refuses to sleep with her, if she attempts to abuse her position by making such a request, she is guilty of sexual exploitation)*



## Examples of sexual abuse

- A refugee, who is employed as an incentive worker by an NGO, lures a female refugee collecting food to a deserted warehouse and rapes her, saying he will tell her husband they are having an affair if she reports the case.
- A local NGO worker touches a 6-year-old girl inappropriately while playing with her during psycho-social intervention.
- A local maintenance company staff member working in a camp attempts to rape of a female refugee while visiting the camp after the company's working hours using his ID access card.

## TT (c) Values cards

### Authority

To be in charge of and responsible for others

### Autonomy

To be self-determined and independent

### Challenge

To take on difficult tasks and problems

### Caring

To take care of others



### Change

To have a full life of change and variety

### Comfort

To have a pleasant and comfortable life

### Commitment

To make enduring, meaningful commitments

### Compassion

To feel and act on concern for others

### Contribution

To make a lasting contribution in the world

### Duty

To carry out duties and obligations

### Dependability

To be reliable and trustworthy

### Excitement

To have a life full of thrills and stimulation

### Faithfulness

To be loyal and true in relationships

### Fame

To be well-known and recognized

### Family

To have a happy, loving family

### Flexibility

To adjust to new circumstances easily



**Generosity**

To give what I have  
to others

**Forgiveness**

To be forgiving  
of others

**Fitness**

To be physically fit  
and strong

**Growth**

To keep changing  
and growing

**Health (spiritual)**

To be spiritually well  
and healthy

**Honesty**

To be honest  
and truthful

**Independence**

To be free from  
dependence on others

**Justice**

To promote fair and  
equal treatment

**Mastery**

To excel in my everyday  
activities

**Moderation**

To avoid excesses and  
find a middle ground

**Non-conformity**

To question and challenge  
authority and norms

**Openness**

To be open to new  
experiences, ideas and options

**Power**

To have control  
over others

**Purpose**

To have meaning and  
direction in my life

## TT (d) Values map

**Most important**

**Important**

**Not important**



## Part II:

# Program Implementation Tools

COMMUNICATING WITH COMMUNITIES ON PSEA

DEVELOPING PSEA HUMAN RESOURCES POLICIES AND MEASURES

DEVELOPING A REFERRAL PATH FOR ESSENTIAL PROTECTION SERVICES

FEEDBACK, COMPLAINTS AND RESPONSE MECHANISMS (FCRM) AND PSEA

RESPONDING TO SEA REPORTS (IRIS)

# Communicating with Communities on PSEA

## T Tools

- Tool 1: Core PSEA messages for community members
- Tool 2: How to develop a PSEA communication plan
- Tool 3: Example PSEA information-sharing plan
- Tool 4: Communication methods for sharing PSEA information
- Tool 5: Context-appropriate PSEA information, education and communications materials
- Tool 6: Community dialogue on PSEA (including example questionnaire)

## Audience



PSEA/safeguarding/  
protection  
focal points



Program  
staff

# Introduction

*Communicating with Communities on PSEA* recommends tools and approaches for engaging communities on protection from sexual exploitation and abuse (PSEA), with the aim of introducing it in a way that is non-threatening, accessible to all groups (e.g. children, people with disabilities), and contextually and culturally appropriate in tackling taboos or stigma related to PSEA.

This guidance draws on recognized international standards and good practice from the CRS SPSEA project.

## Target audience

This guidance is geared toward national and local organizations.

It may be of use to program teams working with community members through provincial and municipal leaders and community groups and platforms, such as community health workers, care groups and other community committees.

It can also be useful for senior managers, managers with responsibility for PSEA/safeguarding, and communication teams.

## Why communicating with communities on PSEA is important

Engaging communities and communicating PSEA-relevant information is one of the key PSEA measures and one of the eight Minimum Operating Standards for PSEA defined by the Inter-Agency Standing Committee (IASC), considered the most widely used international PSEA standards.

Organizations need to ensure that the communities they work with can access timely, relevant, appropriate and context-specific information about expected and prohibited staff behavior and the organizations' measures and systems that address SEA by aid workers.

## Background

This chapter has arisen from the Strengthening Partners in Protection Against Sexual Exploitation and Abuse through Protection Mainstreaming (SPSEA) project, a two-year project funded by USAID's Bureau for Humanitarian Assistance that provides capacity-building support to 38 national organizations in Indonesia, the Philippines, Haiti and the Democratic Republic of the Congo (DRC) to operationalize policies, systems and structures needed to effectively prevent and address issues of sexual exploitation and abuse within their organizations and the communities they serve. Project activities include training and accompaniment of national organizations aimed at raising awareness and increasing knowledge on PSEA, and developing PSEA-sensitive policies and procedures. The project started on October 1, 2018.

# Context

## Why?

Discussion about sexual exploitation and abuse (SEA) may be uncommon in communities where there is sensitivity around such issues. Yet, PSEA awareness-raising is fundamental to preventing staff from causing harm and to enabling an organization to respond to allegations of misconduct. It will increase community awareness of issues of gender-based violence (GBV) and promote collective responsibility toward PSEA among aid actors in the community. Effectively communicating requires a sound understanding of the community and its context.

## When?

Ideally, a context analysis is conducted during the design phase; however, it can be conducted at any point in the program cycle, and updated throughout the project following any changes in context.

## What?

It is important to understand and map out:

- Current norms and values
- Gender dynamics, views and practices around GBV, and misconduct relating to SEA
- Barriers and cultural, traditional and religious biases that relate to how SEA may be perceived in the community
- The shame, stigma and fear of reprisal that could result should a person disclose abuse

In-country protection clusters, PSEA working groups, and other protection lead actors can be contacted to see whether SEA-specific information has already been gathered and analyzed. Also, check whether communities have been consulted to ensure they are not asked the same questions, leading to fatigue.

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*Raising awareness of PSEA is fundamental to preventing staff from causing harm and to enabling an organization to respond to allegations of misconduct*

# Messages and Methods

## Why?

Program participants and community members have a right to information. Providing consistent, accurate and clear PSEA messages to the community is critical. At a minimum, program participants and community members should understand:

- That aid is always free and should never be exchanged for sexual, financial, social or political gain.
- That the organization has zero tolerance for inaction on SEA.
- What is expected or prohibited behavior among aid workers.
- How to report inappropriate behavior.

*Providing consistent, accurate and clear PSEA messages to the community is critical*

## When?

Organizations should develop PSEA messages and a communication strategy at the design stage of a program and review it periodically:

- Before key activities begin, such as the targeting, selection and registration of program participants. It is vital to include PSEA messaging in the information package that program participants receive (i.e. selection criteria, details of assistance and services available).
- Before making changes to the program.
- Upon identifying new SEA risks.
- To monitor their results and impact.

## How?

Organizations should develop and adjust PSEA communication plans and material to the context and target audience, and involve as many stakeholders as possible. This will help ensure that messages are appropriate, sensitive and likely to effectively communicate key information. Please see the examples of PSEA information, education and communications (IEC) materials in [Tool 5](#). Organizations can deliver these important messages by:

- **Summarizing key messages** from PSEA international standards and organizational policies that communities need to know ([Tool 1](#)).
- **Deciding how to communicate these key messages** to the community in a way that is relevant, accessible, sensitive and culturally appropriate ([Tool 2](#) and [Tool 3](#)).
- **Using existing communication materials as templates** for tailored materials ([Tool 4](#) and [Tool 5](#)).

### Suggested tools

<b>Tool 1</b>	Core PSEA messages for community members
<b>Tool 2</b>	How to develop a PSEA communication plan
<b>Tool 3</b>	Example PSEA information-sharing plan
<b>Tool 4</b>	Communication methods for sharing PSEA information
<b>Tool 5</b>	Context-appropriate PSEA information, education and communications materials

# Engagement with Communities

## Why?

An active, inclusive and regular dialogue with community members is key to increasing awareness of SEA risks, and ensuring the rights of program participants and community members to receive assistance without the risk of SEA.

Initiating and leading a discussion with community members on PSEA can be difficult and intimidating. Organizations need to build trust, enable two-way communication with the community around all PSEA issues and use engagement tools to ensure active inclusion of vulnerable groups, especially those at risk of SEA. It is vital to ensure that staff have the right background and skills to lead these discussions.

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*Organizations need to build trust to enable two-way communication with the community around all PSEA issues*

## When?

Communication and community engagement around PSEA should be high on the agenda of all aid actors at every stage of the program cycle:

- **Early interaction** with communities, such as during needs assessments or risk analyses, and throughout implementation of activities, enables organizations to collect and share relevant PSEA information and engage communities in a meaningful dialogue around PSEA. Such communication should take place before key activities begin, such as the targeting, selection and registration of program participants. It is vital to include PSEA messaging in the information package that program participants receive (i.e. selection criteria, details of assistance and services available).
- **Any interaction** with the community (community meeting, project start-up session, etc.) is an opportunity for organizations to share information about their PSEA policies and systems, and also to seek feedback from the community on how to best design and adapt them (e.g. through focus group discussions, key informant interviews and monitoring visits). This is particularly important when setting up feedback, complaint and response mechanisms (FCRM), designing PSEA communication materials, and defining referral pathways. It is also important to keep the community up to date on any actions taken as a result of complaints (while adhering to confidentiality protocols).
- **Before making changes** to the program.
- **Upon identifying new risks** related to SEA.

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*PSEA should be part of a wider engagement strategy with communities. Organizations should keep dialogue on PSEA with communities open throughout the program.*



## How?

A range of participatory approaches can be used to ensure active and inclusive community dialogue on PSEA:

- Focus group discussions (FGDs). Consider holding separate group conversations with those with specific needs and at risk of SEA.
- Key informant interviews (KIIs). Consider holding separate meetings with those with specific needs and at risk of SEA.
- Outlines and facilitator guides to lead community dialogue.
- Role plays.
- Child-friendly and appropriate consultations with support from child protection actors and stakeholders.

It may be helpful to discuss this first with the protection/PSEA network to check whether similar consultations have already been held and, if not, to ensure the approach chosen is appropriate and safe.

### Suggested tool

#### Tool 6

Community dialogue on PSEA (including example questionnaire)

# Tool 1 Core PSEA messages for community members

This tool is based on Inter-Agency Standing Committee. 2012. *Minimum Operating Standards: Protection from Sexual Exploitation and Abuse by Own Personnel*. IASC.

Overview	
<b>Purpose</b>	PSEA is a complicated and sensitive topic. This tool summarizes key PSEA messages that program participants and community members should know. It also aims to simplify key messages and make them more accessible.
<b>When to use it</b>	At the start of the project, to develop communication materials and/or brief new staff.
<b>Who to involve</b>	Program teams or field staff, HR staff, communication teams (when available).

## What key minimum PSEA information should communities expect?

At a minimum, program participants and community members should expect the following information from the organization and staff:

- **Aid is always free** – Communities have the right to humanitarian assistance without being subjected to SEA. Aid should never be given in exchange for sexual, financial, social or political gain.
- **Definition of SEA** – See below.
- **Standards of conduct for aid workers** (staff, volunteers and associates, such as contractors) according to organizational safeguarding policies (e.g. CRS [Safeguarding Policy](#)), including expected and prohibited conduct.
- **How and where to report complaints** – To report any issues or concerns related to staff misconduct, including sexual abuse. Information should include:
  - The right of community members to give feedback or make complaints. Doing so will not negatively affect their access to humanitarian assistance or project participation.
  - The available reporting channels, e.g. contact number, email of safeguarding or PSEA focal points.
  - The steps that the organization will take to ensure the safety, confidentiality and dignity of complainants, including how complaints will be handled.
  - The expected timeframes, for example, when people using reporting mechanisms can expect a response to their complaint.
  - The roles and responsibilities of those involved and potential limitations (such as limits to confidentiality when protection is at stake).
- **Referral** – What services are available to support people who have experienced harm, and how to access them.
- **Organizational responsibility** – All actors have an obligation to prevent and address such acts, and protect witnesses, victims and survivors.

## Definition: What constitutes sexual exploitation and abuse<sup>1</sup>

**Sexual abuse** – An actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions. For example, a local NGO worker touches a 6-year-old girl inappropriately while playing with her as part of a psychosocial intervention.

**Sexual exploitation** – Any actual or attempted abuse of a position of vulnerability, differential power or trust for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another. For example:

- A head teacher employed by an NGO at a school refuses to allow a displaced child to enter the school unless the child's mother has sexual intercourse with him.
- A driver for an international agency offers village schoolboys rides to their school in a neighboring town in an official vehicle, in exchange for him taking photographs of them posing naked.
- Soliciting a prostitute.

## What conduct is expected of aid workers?<sup>2</sup>

### Six core principles

1. Sexual exploitation and abuse by aid workers constitute acts of gross misconduct and are therefore grounds for termination of employment.<sup>3</sup>
2. Sexual activity with children (persons under the age of 18) is prohibited regardless of the age of majority or age of consent locally. Mistaken belief regarding the age of a child is not a defense.
3. Exchange of money, employment, goods or services for sex, including sexual favors or other forms of humiliating, degrading or exploitative behavior, is prohibited. This includes exchange of assistance that is due to beneficiaries.
4. Any sexual relationship between those providing humanitarian assistance and protection and a person benefiting from such humanitarian assistance and protection that involves improper use of rank or position is prohibited. Such relationships undermine the credibility and integrity of humanitarian aid work.
5. Where a humanitarian worker develops concerns or suspicions regarding sexual abuse or exploitation by a fellow worker, whether in the same agency or not, they must report such concerns via established agency reporting mechanisms.
6. Aid workers are obliged to create and maintain an environment that prevents sexual exploitation and abuse, and promotes the implementation of their organization's code of conduct. Managers at all levels have particular responsibilities to support and develop systems that maintain this environment.

1. This accepted SEA definition is found in: United Nations. 2003. [Secretary-General's Bulletin: Special Measures for Protection from Sexual Exploitation and Sexual Abuse](#). UN

2. [IASC updated Six Core Principles Relating to Sexual Exploitation and Abuse, 2019](#) (Updated).

3. Depending on the context, refer to disciplinary measures other than termination of employment.

## Example of key messages for ADULTS

- Humanitarian aid is free.
- All assistance provided by humanitarian organizations is based on needs.
- Humanitarian organizations and their staff work on principles of humanity, impartiality and respect.
- You should never need to exchange sexual favors to obtain assistance, employment, goods or services.
- Abuse of power of any kind over local populations is prohibited.
- You have the right to be informed about the humanitarian services provided in your area and about the selection criteria.
- A complaints system has been set up at [insert name of cluster/organization/location]. Contact [insert contact details] for further support and advice about this. All complaints are kept confidential.
- If you feel that you have been harmed or discriminated against due to your gender, ethnicity, religion, age or political affiliations, or someone working for a humanitarian organization has asked you to do something that was inappropriate in return for services, please report this using [insert reporting mechanisms].
- You have the right to report any inappropriate behavior, exploitation or abuse by a humanitarian worker. If you have a concern about the conduct of an aid worker please report it to [insert reporting mechanisms]. You may be the only person speaking out, and the only person who can help the victim.
- An aid worker must report any concerns or suspicions regarding sexual exploitation and abuse by a fellow worker, whether in the same organization or not.
- All complaints will be received, processed and stored safely, and kept confidential. Your safety is our priority!
- These rules apply to all individuals (UN or INGO staff, partners, consultants, contractors of UN or INGO).

## Example of simplified messages for ADOLESCENTS

- Aid is always free. Aid workers should never ask you to give them anything, or to do anything, in return for their help.
- Aid workers must always treat you fairly and kindly, with dignity and respect, no matter who you are. If an aid worker has hurt you, upset you or asked you for anything in return for their help, please report this to [insert reporting mechanisms].
- Every person has the right to be safe from harm and abuse—no matter who you are, how old you are, where you come from, or what your beliefs are. If you are worried about the well-being or safety of a child or have seen or heard of an aid worker acting improperly, you must report this to [insert reporting mechanisms]. You may be the only person with this information, and the only one who can help keep the child safe.
- Everyone can offer their opinion on any aid or help they receive and on how it is carried out—no matter who you are, how old you are, where you come from, or what your beliefs are. Your views help [organization/s] to improve and make sure we provide the right goods and services for your community.

- All organizations must provide help and support safely and properly to every person they work with, treating them with dignity and respect. If you are worried about how organizations are carrying out their work in your community or how a humanitarian worker is behaving, you should report this to [insert reporting mechanisms].
- All complaints will be received, processed and stored safely, and kept confidential. Your safety is our priority!
- We will respond, listen and act on what you tell us. We will always investigate any abuse that you report to us and make sure that those who are harming you are held to account. We will tell you as much as it is safe to share and keep you informed when we can of the process.

### Example of simplified messages for CHILDREN

- Aid is always free! No one has the right to ask you for anything in exchange for the services that aid workers are giving you. This includes food, water, schoolbooks, games – everything! Tell all your friends this too!
- Aid workers should always treat you with kindness, respect and dignity. They should never shout at you, touch you somewhere you don't like, make you feel sad, or ask you to keep something a secret. If someone hurts you, makes you feel sad or bad, or touches you in a way that you do not like, do not blame yourself. It is not your fault! Tell us and we will help you.
- Aid workers must never hit you or make you feel upset. They should make you feel happy and safe. Tell your friends this too!
- We will always listen to you! Tell us if someone who works with us or any other aid worker has done something wrong. Keeping you safe is what matters the most to us!

### COVID-19 and SEA: Examples of messages

- The COVID-19 pandemic impacts all our lives. Because of physical distancing measures, you may no longer have access to adults you trust, or safe places to go. If you are concerned that a member of your community is at risk of harm, you should contact [insert reporting mechanisms].
- Masks, gloves, soap and alcohol gel might be distributed to you by an aid worker to protect you from COVID-19. These are free and must never be offered in return for sexual or financial favors. If someone is asking you to do something in return for these items, you should report this to [insert reporting mechanisms].
- We are all spending more time online talking with friends, working or schooling. If you see something that upsets you or someone asks you to do something you do not want to do, you should report this to [insert reporting mechanisms].
- We all need to keep each other safe and try to stop the spread of COVID-19. If you come into contact with others, make sure you are 2 meters apart, avoid touching each other, and cough into your elbow.

# Tool 2 How to develop a PSEA communication plan

Adapted from: CRS. 2013. *Communication Toolbox: Practical guidance for program managers to improve communication with participants and community members*

Overview	
<b>Purpose</b>	Key steps to develop an appropriate and culturally sensitive PSEA communication plan.
<b>When to use it</b>	At the start of the project/program.
<b>Who to involve</b>	Program teams, communication teams (when available).

## Step 1: Identify your objectives (why)

Use these questions to help identify your objectives:

- What is the purpose for communicating key PSEA messages? What do you want to accomplish?
- Why is it important for program participants to understand their rights and entitlements on PSEA?
- How does having accurate and timely PSEA information enhance the safety, dignity and access of program participants?
- Which geographic areas or communities do you want to receive your PSEA messages? Are there any sensitivities in these areas that need to be considered before adapting and sharing PSEA messages?

## Step 2: Choose your target audiences (who)

- Understand the audience(s):
  - What is the gender, age, physical ability, language, literacy level and ethnicity of your target population?
  - How do diverse groups in communities share and receive information they trust?
  - Who is trusted in the community and can share your message with diverse groups (those within the community who are respected and listened to, e.g. community elders, religious leaders, teachers, health care professionals), and who can safely travel to deliver the messages?
  - Who is the most at risk of SEA?
- Target all community members. Information-sharing on PSEA should be adapted and target all community members so that everyone knows details about PSEA. Don't rely on powerful community members alone to spread the messages.
- Diverse groups<sup>4</sup> will have different communication needs:
  - Consider how those who are illiterate or live in communities where written communication is not the main form of communication, or those living with disabilities, can access PSEA messages.
  - Use different communication methods to reach different groups, such as young children, older people, people with disabilities (physical, visual, audio, etc.), teenagers, illiterate, or marginalized groups.

4. "Diverse groups" may refer to, for example, women, men, girls, boys, youth, older people, people with disabilities, as well as specific minority or ethnic groups without any such distinction ([Core Humanitarian Standard](#)).

### Step 3: Design your key PSEA messages (what)

- Ensure that you consult communities and diverse groups, as they may have their own ways to describe harm, exploitation, abuse and neglect. They may use signs, symbols or expressions that suggest they are concerned. Your messaging should therefore reflect these.
- Use the questions below to help design appropriate and context-specific PSEA messages:
  - What are the key PSEA messages you want to communicate to each audience?
  - What programs is the organization implementing, what risks might they create, and what information is needed to counter these?
  - What PSEA-related questions do community members ask staff during field visits?
  - What do community members need to understand for zero tolerance for SEA to be achieved?
  - What would you want to know about staff behavior, especially of a sexual nature, if you were a community member?
  - How do communities describe harm, exploitation, abuse and neglect?
  - Given the context, is there any information that should not be shared or shared in a different way to minimize risks (i.e. safety and security risks)?
- Reach out to PSEA/protection networks and colleagues to understand whether community consultations have already been held, to ensure potentially sensitive conversations are not duplicated.

### Step 4: Identify your communication methods (how)

- Identify ongoing activities in the targeted community that can present a point of entry for raising awareness on PSEA:
  - What planned program activities could be used to deliver messages? For example, if the program includes food and nonfood items distribution, consider delivering PSEA leaflets within the food package or kit, or using small theater groups to perform an item on PSEA while people queue.
  - What communication channels are present in the community? For example, do people rely on radio programs, word of mouth from community leaders, or noticeboards? Is street theater used to share important messages?
- Analyze the efficiency of SEA outreach and awareness campaigns by other stakeholders (UN agencies, INGOs, and NGOs) in the local context.
- Reach out to other PSEA or protection coordination networks and colleagues to see if materials have already been developed and to understand which methods worked well.

- Ensure accessibility of PSEA information-sharing:
  - Information should be shared in a range of formats, languages and media. Provide one version in a written format (e.g. posters, leaflets, SMS); one that is verbal (e.g. megaphones, information desks, outreach worker visits, theater, community meetings, door-to-door community mobilizers); and one that is pictorial for children or those who cannot read and write (e.g. poster, video, cartoons).
  - Information can either be static or mobile (e.g. using megaphones or mobile notice boards).
  - Providing information at a central point (e.g. marketplace) can increase the number of people reached. Ensure those with mobility difficulties can also access the information.
- Ensure that PSEA information-sharing is sensitive and culturally appropriate.
  - Reflect on initial analysis of norms, values, gender dynamics and views/stigma around SEA. See *Context* section above.
  - For instance, make sure that the wording is context-sensitive, and images used are appropriate. Being overly explicit in your language and/or images has the potential to cause distress both to those viewing the materials and SEA survivors. Understanding euphemisms used for sensitive terms in the local language is vital. Translators Without Borders (TWB) can help with translation of difficult PSEA and safeguarding concepts and terms. Ensure PSEA information sharing is community-led:
    - Ensure you have representatives from a range of demographics, including government stakeholders, to help design the communication plan and co-create PSEA messaging. If necessary, work with your MEAL team and protection colleagues (including protection cluster and working groups, when available) to reach out and consult community groups (e.g. women's groups).
    - Consider asking community members to design communications materials, as they are best placed to create something that will be understood in the community. For example, you could ask children to design posters.
    - Identify focal persons and committees (e.g. local committees, groups) who can take an active role in raising awareness and providing feedback, but ensure you do not overburden community members with tasks, and that you have the required resources in place to respond to any PSEA concerns.
- Ensure you check any unintended outcomes of the communication, and mitigate against any risks. Do the selected methods pose any risks to staff or community members? Make sure you always consider the safety of those delivering the message so that you don't put them at risk of harm or retaliation.

See also [Tool 4: Communication methods for sharing PSEA information](#).



### Step 5: Establish your time frame (when)

- At all stages of the project, and even in the early stages of a response, basic PSEA information should be shared with affected populations to help them understand what behavior is expected of staff and how to report a concern.
- Work with MEAL teams throughout the program cycle to monitor whether information is reaching targeted audiences and is understood. PSEA messages can be conveyed and monitored at all occasions of interaction with the community: meetings, distributions, monitoring visits, evaluations, etc.

### Step 6: Draft a budget

- How much do you expect your plan to cost? What is your budget? Many methods are inexpensive, such as sharing information at community meetings, creating simple posters and working with community committees.
- How can the organization reach the widest cross section of the community with the available budget?
- Can costs be integrated into program budgets as they are developed?

### Step 7: Implement the plan

- Before launching the communication plan, test the messages with a variety of stakeholders—including marginalized groups, as well as children—to ensure that the messages are culturally and age appropriate, and modify them accordingly.
- You may need to use a variety of activities to roll out your PSEA communication plan: one-off, periodic or ongoing.
- Consider the order in which different groups of people will need to know information. Be sure to train staff, volunteers and associates on PSEA before informing community leaders, other community groups and the wider community. It is also worth practicing or role playing delivering the messages and answering challenging questions they anticipate.
- Determine whether specific target groups need to be informed before others, i.e. those most at risk, community leaders, etc.
- Consider who will be responsible for:
  - Managing the communication plan and sustaining the approach.
  - Developing communication materials.
  - Sharing messages with communities and gathering feedback, communicating with other stakeholders (e.g., government departments, local NGOs and international NGOs) and reviewing whether the communication approach is effective.

## Step 8: Monitor the results and look for ways to improve

- Review your communication plan during and after its implementation. Look for ways to improve, and discard those elements of the plan that didn't work in practice. Asking some of these questions can be useful:
  - Did people receive our PSEA message? Did they understand the key messages? How did they respond?
  - Are we aiming at the right audiences? Are we reaching them?
- Before implementing the plan, decide how and when to review the plan and agree on:
  - Which methods you will use to decide whether each communication approach has been effective. This can include field visits, community meetings, formal and informal KIIs and FGDs with staff and community members, surveys, etc.
  - Who will be responsible for developing the review criteria and making the review happen.
- The following elements can be used to review whether the PSEA communication approach is effective:
  - Community members receive information so they understand what they can expect in terms of staff behavior. *Have communities received information on what is appropriate staff behavior and what is inappropriate staff behavior? Do they know how to report inappropriate behavior?*
  - A range of communication methods, appropriate to the context and target audience, are used. The information is presented in a culturally appropriate way, in different formats (e.g. written, oral, pictorial), and in the local language so that it can reach the most marginalized.
  - There is evidence that all target groups are receiving accurate information in a timely manner and that they understand the language and wording that staff and communication materials use. *Is accurate and timely information about PSEA shared with communities?*

# Tool 3 Example PSEA information-sharing plan

Adapted from: Caritas Internationalis. 2018. *Information sharing template*.

Overview	
<b>Purpose</b>	This tool provides an example of what PSEA information needs to be shared with diverse groups.
<b>When to use it</b>	At the start of the project .
<b>Who to involve</b>	Program teams/field staff, HR staff, communication teams (when available).

WHAT PSEA information will be shared?	WHO are you trying to reach with this information?	HOW will you reach different groups? What method will be used?*	WHERE will you share the information?	WHEN will you share the information with different groups in each area?
<b>Standards of conduct for aid workers</b> What is acceptable and unacceptable conduct	Mothers with young children	Community meetings	Communities X and Y	Mon (am), Wed (pm), Fri (am)
	Adult men and women	Radio debates	District X and Y	Weekly for 2 months
	Youth (boys and girls)	Community festival/events (drama and posters)	Communities X and Y	Aug 5 and 11
	Older men and women	Church or mosque announcements	Community Y	Twice daily from Aug 1 to 5
<b>Complaint</b> How to report any issues or concerns related to staff misconduct, including sexual abuse, and/or make a complaint	Youth (boys and girls)	Schools groups (posters, IEC materials)	Schools A, B and C	Every Thursday
	Specific minority or ethnic groups	Door to door	Communities X and Y	Mon and Tues (all day)
	Older men or women with disabilities	Door to door	Communities X and Y	Mon and Tues (all day)
	Women and girls	Face to face at water points	Water points X, Y and Z	Mondays, Wednesdays and Fridays

\* See also [Tool 4: Communication methods for sharing PSEA information](#).

# Tool 4 Communication methods for sharing PSEA information

Adapted from *Raising PSEA awareness amongst affected population: Best practices for Central Rakhine state*, PSEA Working Group, Sittwe, Rakhine State, December 2018.

Overview	
<b>Purpose</b>	This tool proposes a range of communication methods to tailor PSEA information to the context and target audience.
<b>When to use it</b>	At the start of the project/program and/or when designing a PSEA information plan/strategy.
<b>Who to involve</b>	Program teams, communication teams (when available).

Diversifying communication methods and incorporating PSEA messaging into as many relevant platforms as possible is highly recommended in order to:

- Ensure that we are reaching as many people as possible.
- Reflect the diverse needs of diverse groups, e.g. people with disabilities, mothers with children, older people.
- Reflect the language barriers and literacy levels of the targeted communities.

For the pros and cons of each communication method, and recommendations, see the table on the following page.

Method	Pros	Cons	Recommendations
<b>Focus group discussions</b>	<ul style="list-style-type: none"> <li>Opportunity for dialogue to address questions and clarify doubts</li> <li>Can be adapted for the audience (e.g. adopting child-friendly approaches)</li> <li>Good for people with mobility concerns (such as those in remote locations, older people and PWDs)</li> <li>May generate more sensitive complaints than other approaches</li> <li>Useful in communities with low literacy</li> <li>Medium staffing and resource costs</li> </ul>	<ul style="list-style-type: none"> <li>Participants might not be comfortable speaking up in a group setting</li> <li>Risk that survivors or perpetrators may be publicly identified</li> <li>Not suitable for anonymous or confidential SEA complaints</li> </ul>	<ul style="list-style-type: none"> <li>Train facilitators to create a comfortable and confidential environment in a private space</li> <li>Ensure facilitators and participants are aware of the confidentiality requirements and its limits</li> <li>Ensure staff have adequate facilitation and interpersonal skills</li> <li>Set clear rules to ensure that survivor or perpetrator identification is not done in a group setting</li> <li>Have separate FGDs for women, men, boys, girls, and male and female adolescents with male/female staff leaders</li> <li>Train facilitators on when, whether and how to refer SEA cases (from staff from own organization and external staff) and have referral pathways available</li> <li>Ensure in-person follow-up visits a few days after the FGD</li> </ul>
<b>Open community meetings / community events</b>	<ul style="list-style-type: none"> <li>Able to raise awareness among more people in less time</li> <li>May engage non-program participants</li> <li>Useful in communities with low literacy</li> <li>Can be adapted for the audience (e.g. adopting child-friendly approaches)</li> <li>Low staffing and resource costs</li> </ul>	<ul style="list-style-type: none"> <li>Not suitable for anonymous or confidential SEA complaints</li> <li>May not be appropriate in more conservative environment</li> <li>Discussions might be limited if certain people dominate the group</li> </ul>	<ul style="list-style-type: none"> <li>Ensure gender balance of staff</li> <li>Set clear rules to ensure that survivor or perpetrator identification is not done in a group setting</li> <li>Ensure staff have adequate facilitation and interpersonal skills</li> </ul>
<b>Door-to door visits</b>	<ul style="list-style-type: none"> <li>May allow for more private and confidential conversation</li> <li>Gives access to people with limited mobility</li> <li>Provides opportunity for dialogue to address questions and clarify doubts</li> </ul>	<ul style="list-style-type: none"> <li>Could lead to loss of trust in program participants if perpetrator is involved in the visits</li> <li>High staffing and resource costs</li> </ul>	<ul style="list-style-type: none"> <li>Ensure gender balance and diversity of staff to create more trust and address barriers (language, etc.)</li> <li>Train staff on how to present the key messages in a non-threatening way, and in terms of privacy and confidentiality principles</li> <li>Ensure staff know how to handle any reports or cases received during door-to-door visits</li> <li>Ensure facilitators are aware of the confidentiality requirements and its limits</li> </ul>

Method	Pros	Cons	Recommendations
<b>Integration into existing program</b>	<ul style="list-style-type: none"> <li>May result in stronger understanding and acceptance of core messages</li> <li>May provide opportunity for dialogue to address questions and clarify doubts</li> <li>Can be adapted for the audience and context</li> <li>Useful in communities with low literacy</li> </ul>	<ul style="list-style-type: none"> <li>May require more staff resources</li> <li>Some staff may feel uncomfortable talking about PSEA or not consider it their responsibility</li> </ul>	<ul style="list-style-type: none"> <li>Ensure staff are adequately equipped and trained on safe programming and protection mainstreaming</li> <li>Ensure staff take into consideration PSEA when designing and implementing program</li> <li>Integrate key PSEA messages into existing programs and activities, i.e. include messaging into Child Friendly Space curriculum</li> </ul>
<b>Banners, poster, leaflets, community boards, videos, visibility material (t-shirts, notebooks, food packaging, etc.)</b>	<ul style="list-style-type: none"> <li>Can be seen at any time and serve as reminders</li> <li>Can have a wide reach if placed in high-traffic areas</li> <li>Low/medium staffing and resource costs</li> </ul>	<ul style="list-style-type: none"> <li>Impersonal communication that may not generate trust</li> <li>Does not reach illiterate or isolated populations</li> <li>Graphics do not always convey the message with the necessary sensitivity</li> <li>No opportunity to ask questions</li> <li>No opportunity for anonymous or confidential SEA complaints</li> </ul>	<ul style="list-style-type: none"> <li>Involve community members throughout the process and test the messages to see if they understand what the images are trying to convey</li> <li>Ensure that everyone is represented in images (e.g. children, women, men, older people, and people with disabilities) so that the entire community can relate to the message</li> <li>Avoid using photographs of people as this can imply that those depicted are survivors of SEA, and can put the individual at risk of harm, retaliation and stigma</li> <li>Avoid reinforcing stereotypes</li> <li>Ensure that messages are placed in appropriate locations</li> <li>Complement static messages with in-person sessions</li> <li>Set up in communal spaces when available</li> </ul>
<b>Social media platforms (such as WhatsApp, Telegram and Facebook)</b>	<ul style="list-style-type: none"> <li>Can have a wide reach if location has decent network coverage</li> <li>Can manage anonymous/confidential SEA complaints if account used does not reflect personally identifiable information</li> </ul>	<ul style="list-style-type: none"> <li>Can exclude many groups</li> <li>Requires good network coverage, and access to smartphones or computers</li> <li>Requires medium to high digital literacy to set up and use</li> <li>Can generate a lot of feedback and questions, which can be overwhelming for staff to manage</li> <li>Risk of online safeguarding issues</li> </ul>	<ul style="list-style-type: none"> <li>Before use, conduct a comprehensive risk assessment to ensure that we are not putting any one at risk of harm</li> <li>Train staff and community members on platform chosen</li> <li>Ensure there is a built-in or established reporting mechanism and inform users on how to report concerns</li> </ul>

Method	Pros	Cons	Recommendations
<b>Annual campaign</b>	<ul style="list-style-type: none"> <li>Can create broad momentum</li> <li>Can have a wide reach</li> </ul>	<ul style="list-style-type: none"> <li>Some staff may feel uncomfortable participating in a public campaign</li> </ul>	<ul style="list-style-type: none"> <li>Tailor communications material to the audience.</li> <li>Set it up in a communal space when available.</li> </ul>
<b>Direct conversation with trusted community leaders</b>	<ul style="list-style-type: none"> <li>Can have a wide reach</li> <li>Low/medium staffing and resource costs</li> </ul>	<ul style="list-style-type: none"> <li>Can exclude groups or individuals who may not feel comfortable</li> </ul>	<ul style="list-style-type: none"> <li>Spend time training the leaders on PSEA to ensure that they are able to convey the messages in a safe and respectful way</li> </ul>
<b>Radio show</b>	<ul style="list-style-type: none"> <li>Can have a wide reach, especially where listening to the radio is universal</li> <li>Useful in communities with low literacy</li> <li>Could include two-way communication, if people can call in and ask questions</li> <li>Can also be anonymous, which can be good for sensitive questions considered too embarrassing to ask in person</li> </ul>	<ul style="list-style-type: none"> <li>Cannot reach people living with hearing impairments</li> </ul>	<ul style="list-style-type: none"> <li>Tailor communication material to the audience</li> <li>Ensure that your slot is at the most appropriate time of the day, when it is likely to be heard by your target audience. E.g. when children are at school, but not when women may leave the house to fetch water, or during prayer times.</li> </ul>
<b>Street theater/drama/music</b>	<ul style="list-style-type: none"> <li>Engaging way of sharing information</li> <li>Can have a wide reach</li> <li>Can be adapted for the audience (e.g. child-friendly approach)</li> </ul>	<ul style="list-style-type: none"> <li>May not be appropriate in more conservative environment</li> <li>Discussions might be limited if certain people dominate the group</li> </ul>	<ul style="list-style-type: none"> <li>Involve community members in creating the content, and test messages with them</li> <li>Ensure material is relevant to the context and appropriate to the target audience</li> <li>Ensure translation into local languages</li> </ul>



# Tool 5 Context-appropriate PSEA IEC materials

Overview	
<b>Purpose</b>	This tool offers guidelines for assessing the communication landscape, and gives examples of information, education and communications (IEC) material developed by SPSEA project partners and other stakeholders for specific contexts.
<b>When to use it</b>	At the start of the project or program and/or when designing PSEA communication material
<b>Who to involve</b>	Program teams, communications teams (when available)

## Examples of PSEA information, education and communications materials

### 1. General IEC materials

#### Posters, postcards and leaflets



**THE PROTECTION MAINSTREAMING FRAMEWORK** prioritizes the safety and wellbeing of affected and at-risk communities; equality and inclusive participation; and the dignity of, and accountability to, all groups affected by crisis.

**CORE COMPONENTS**

ANALYSIS	TARGETING + DIVERSITY OF NEEDS	COORDINATION / ADOPTIVITY	MAPPING / REVENUE	INFORMATION	COMMUNITY ENGAGEMENT	FEEDBACK + COMPLAINTS MECHANISMS	STAFF CONDUCT
PARTICIPATION + EMPOWERMENT	ACCOUNTABILITY TO BENEFICIARIES	MEANINGFUL ACCESS	DO NO HARM (SAFETY + DIGNITY)				

**GUIDING PRINCIPLES**

**FEEDBACK + COMPLAINTS MECHANISMS**  
Men, women, boys and girls are able to provide feedback and report concerns in a safe, dignified and confidential manner, and receive an appropriate response when they do so.

**PICTURED**  
In our response in the Kurdistan region of Northern Iraq, CRS created structures in which local communities could provide feedback on our programming. Community meetings, help desks and feedback boxes were a regular feature of projects, and a hotline allowed for anonymous and sensitive information.  
*Photo by Hawre Khalid/Metrography for CRS*



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PARTICIPATION + EMPOWERMENT	ACCOUNTABILITY TO BENEFICIARIES	MEANINGFUL ACCESS	DO NO HARM (SAFETY + DIGNITY)				

**GUIDING PRINCIPLES**

**STAFF CONDUCT**  
Staff and partners have appropriate knowledge and organizational support to conduct themselves and their work in a safe and appropriate way.

**PICTURED**  
In the Typhoon Haiyan response in the Philippines, CRS staff and affiliates received training in the CRS code of conduct to ensure beneficiaries were treated with dignity and respect, and to protect against abuse and exploitation.  
*Photo by Jim Stape/CRS*

**Logos:** CRS CATHOLIC RELIEF SERVICES, trócaire, CAFOD Just one world, Caritas AUSTRALIA



## FEEL SAFE AND RESPECTED

You always have the right to feel safe and respected in a CRS classroom

**It is OK** for someone to give you a respectful compliment when you do well in class

**It is NOT OK** for someone to shout at you

**It is OK** to ask an adult you trust to be present if you need to talk to another adult one-on-one

**It is NOT OK** for someone to hit or slap you

**It is OK** for someone to listen to you if you have a concern

**It is NOT OK** for someone to touch you in any way that makes you feel uncomfortable

**It is OK** for you to say "no" if you don't want your photograph taken

**It is NOT OK** for someone to call you rude names or swear in front of you

**It is OK** for you to expect to feel safe and respected when you are in class

**It is NOT OK** for someone to ask you to do work for them during school hours

**It is never your fault if you are touched, spoken to or treated in a negative way. If anyone treats you in a way that makes you feel uncomfortable, afraid or disrespected, talk to an adult you trust, such as a parent, your teacher, a shura member or a CRS staff member.**

To get help, you can ask an adult to call 0729008888 or 0764008888.

CRS has been supporting community-based education since 2008. CRS is committed to creating and maintaining an environment that protects the unique needs of children.

## HOW TO CONTACT CRS?

Question? ❗

Request? ❗

Complaint? ❗

Feedback? ❗

**CALL-US--- Toll-Free-Lines ❗**  
 CRS-Toll-Free-line: **0800-300256**--- Languages-available: English ❗  
 UNHCR-Toll-Free-line: **0800-323232**--- Languages-available: All ❗  
 Opening-hours: Monday-through-Friday, 8a.m.-to-1p.m.—2p.m.-to-5p.m. ❗

**TALK-TO-US ❗**  
 CRS Staff, UNHCR, OPM everyone and everywhere ❗  
 Monday-through-Friday, 8a.m.-to-1p.m.-& 2p.m.-to-5p.m. ❗  
 Languages-available: All ❗

**SHARE-WITH-US ❗**  
 Community-meetings-for-planning-and-information-with-CRS-staff, UNHCR, OPM, Protection-Partners ❗  
 Languages-available: All ❗

**SUGGEST-TO-US ❗**  
 Suggestion-boxes-at-CRS-field-offices-and-Reception-centers-for-privacy ❗  
 CRS-MEAL-staff-to-open-suggestion-boxes-every-Thursday-afternoon. ❗  
 Languages-to-write-in: English ❗

**WRITE-TO-US ❗**  
 Letter-Forms-to-be-dropped-off-at-CRS-field-offices-during-office-hours-OR-placed-in-suggestion-boxes. ❗  
 Languages-to-write-in: English ❗

Funded by European Union  
Civil Protection and Humanitarian Aid

UNHCR  
The UN Refugee Agency

CATHOLIC RELIEF SERVICES

KARITAE ABHAYE  
CARITAS AETHIENS

## RESPECT AND DIGNITY

CRS and Caritas staff are dedicated to providing all services related to cash programming at this site. In order for us to provide these services without disruption we need our staff members and residents to be safe and secure. If any staff member is threatened, in any way, they will be forced to evacuate the site and not be able to return until the organizations feel secured that the teams will be safe. This will mean delays in programming support at the site and possible delays in your cash grant for the following month.

**Treat each other with dignity and respect.**

**Display patience, kindness, and understanding towards each other.**

**BE RESPECTFUL OF EACH OTHER'S TIME**  
 Staff members will arrive on time and **MUST** leave on time without exception.

**Make sure to seek assistance at least 30 minutes before the scheduled departure time.**

**No acts of violence – verbal, psychological, or physical will be tolerated.**

*Residents and staff should immediately contact the police and evacuate when threatened in any way.*

**CRS and Caritas should NEVER ask residents for anything—cash, in-kind, or favors, in return of assistance.**

**Residents should NEVER offer to any Caritas staff cash, in-kind, or favors for any reason.**

For questions, reports, and complaints, please call the GCA HelpLine at **2103300170** or send a Viber message to the numbers below:

Viber (Messages only)	Arabic	Farsi, Dari, Pashto	French	Urdu, Panjabi, Hindi	Kurdish, Turkish, English
	+30 694 4514441	+30 694 0716099	+30 690 7793469	+30 690 9542761	+30 690 7793468

**No acts of violence – verbal, psychological, or physical will be tolerated.**


*Residents and staff should immediately contact the police and evacuate when threatened in any way.*

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French	+30 690 7793469
Urdu, Panjabi, Hindi	+30 690 9542761
Kurdish, Turkish, English	+30 690 7793468




**ZERO TOLERANCE FOR SEXUAL EXPLOITATION AND ABUSE**



**Perpetrators will be punished**

**STOP SEXUAL EXPLOITATION AND ABUSE**



We are doing everything possible to improve accountability and end sexual exploitation and abuse by UN peacekeepers through strong prevention and response measures, centred on victims and survivors. We have improved our outreach, and the Victims' Rights Advocate and I myself make it a priority to meet survivors personally.


**ZERO TOLERANCE FOR SEXUAL EXPLOITATION AND ABUSE**



ANTÓNIO GUTERRES  
UN Secretary-General


Honouring our values

**TOGETHER WE STAND**



**Together We Stand Against Sexual Exploitation and Abuse**

REPORT MISCONDUCT  
MINUJUSTH Conduct & Discipline Team  
Cell : 3702-6516  
Ext : 6637  
minujsth-cdt@un.org



Honouring our values

**KIRARO- We want you safe & well!**  
*If you experience violence, theft, or fighting at the household or community level, reach out to these supports for help.*  
**Child Helpline Dial 116**



- 1) LC1/Local leaders & protection committees
- 2) Police: 0772 698 772
- 3) CDO (Geneva): 0782 959 887
- 4) Probation Officers: 0772 610 133

**Don't sit with your problems alone, seek help!**



CRS Toll Free Line: 0800 300 256



**Child friendly IEC material**

**ADULTS MUST NEVER HURT YOU**



NO EXPLOITATION



NO NEGLECT



NO PHYSICAL ABUSE







NO EMOTIONAL ABUSE



NO SEXUAL ABUSE

Videos

<p><b><u>No excuse for abuse: Preventing sexual exploitation and abuse in humanitarian action</u></b>                  (InterAction, 2020)                  Available in Arabic, English, French, Indonesian, Portuguese, Spanish, Swahili, Tagalog and Turkish</p>	
<p><b><u>Victims of sexual exploitation and abuse rebuild their lives</u></b> (United Nations, 2019)  <ul style="list-style-type: none"> <li>■ <a href="#">English</a></li> <li>■ <a href="#">Swahili</a></li> </ul> </p>	
<p><b><u>Jamilla: No Excuses Series - Prevention of sexual exploitation and abuse</u></b>                  (Film Aid, 2006)</p>	
<p><b><u>Responding to Disclosure of a GBV Incident</u></b>                  (Global Shelter Cluster, 2018)                  Available in Arabic, English, French and Spanish</p>	

More examples of materials can be found [here](#).

Translated IEC content

<ul style="list-style-type: none"> <li>■ <a href="#">Plain-language version of the PSEA Principles translated into 100+ languages</a></li> <li>■ <a href="#">IASC Six Core Principles Relating to Sexual Exploitation and Abuse, 2019</a>. Translated into <a href="#">100+ languages</a>.</li> </ul>	<p><b>Slogan</b></p> <p>Zero Tolerance for Sexual Exploitation and Abuse</p> <p>Tolérance zéro pour l’exploitation et les abus sexuels</p> <p>Tolerancia cero a la explotación y abuso sexual</p> <p>Tolerância zero para abuso e exploração sexuais</p> <p>Uvumilivu sufuri kwa unyanyasaji na ukatili wa kingono</p>
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## 2. Country-specific IEC material

### Philippines

In the Philippines, SPSEA project partner organizations translated the IASC's Six Core Principles into several local languages. They also incorporated information on feedback, complaints and response channels to encourage reporting of any suspicions or violations of SEA. These materials were used for community engagement in various emergency responses, particularly the churchwide Caritas Kindness Stations in response to COVID-19.

<p><b>Pamphlet</b> <b>Birhen sa Kota</b></p> <p>This material was printed out and distributed during food aid delivery in response to the COVID-19 pandemic.</p> <p>These used local translations of the PSEA Six Core Principles and were contextualized with the use of local hotline numbers, contact persons and relevant reporting mechanisms.</p>	
<p><b>Brochures and tarpaulins</b> <b>Caritas Catarman</b></p> <p>During the COVID-19 pandemic, the brochures were given to program participants at relief distributions, and the tarpaulins were displayed at parish-based Caritas Kindness Stations, where farmers and fisherpeople bring their produce.</p>	

**Pamphlets and tarpaulins  
Caritas Masbate**

These pamphlets were given out during food distributions to indigenous communities affected by COVID-19. The tarpaulins were posted at parish-based Caritas Kindness Stations.

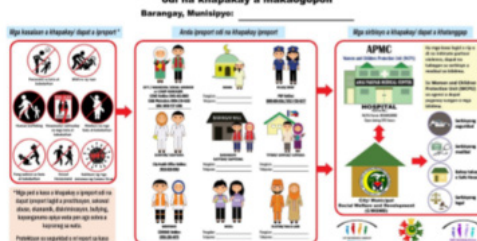


**Pamphlets  
Duyog Marawi**

The pamphlets were given out during food distributions in response to those affected by COVID-19, such as workers and tricycle drivers in Iligan City, and internally displaced people from the Marawi City armed conflict.

This was linked to the referral pathway of the Child Protection and Gender-Based Violence (CP/GBV) Cluster of the province.

**Referral Pathway for Child Protection (CP) and Gender-Based Violence (GBV)**  
So mga tao a kiyabinasaan odi na kiyarimasan so kabnar iran ped so kiyailayan sa symptoms a Corona virus. Ago so mga Ompongman a khapakay a phanonanon odi na khapakay a makagopon



**Importante a thanodan**

Giya so mga dapat katokawan o mga tao antano makalidas ko pang-abuso ago pud a mga narata a gal'bul.

- So lagoo a panosegway na Libre. Di kapakay owa ip'usapanin sa agya antonasyon lagid o ka-pabor, gababok, seksuwal, ago materyal.
- Maka-omopak ukho brikon taso so kapagansanta ko mga wala agya man na libat (pafoto ago tralo o adal pafoto).
- Kapakay agya o report so mga narata odi na paka-kat a gababok (lagid o pinakal abos, prostitusyon, seksuwal abuse, rape, bullying, diskriminasyon, sobra a kapangag sa trata). So langon a beneficiaries na abos a kabnar ayon a sa trakano odi na onsepot/planon o adal a kamaas: odi na kapangag ayon a abos od ko agud ayon.
- So mga pangababok na di kapakay owa paka adal odi na ngila-ola sa khatibasa o mga beneficiaries. Fakti ago kabnar o mga beneficiaries a katagan sira sa impormasyon ni pangag ko projekt, makakomaha ago na update ko langwa pangmagayon odi na services.

**Comics  
UNICEF**

This material was produced by UNICEF Philippines and widely circulated among the PSEA Task Force members.

The comic depicts SEA violations during a humanitarian response and how to report them to the authorities.



**Indonesia**

In Indonesia, SPSEA project partner Bina Swadaya shared materials used during the Jakarta flood response. Materials focused on feedback channels and how to access them, as well as how feedback—both sensitive and programmatic—will be handled.

**Vertical banner**

**Bina Swadaya**

The first banner offers community feedback channel guidance, and explains how to submit any kind of feedback to the organization through various channels: mobile phone, face-to-face consultation and suggestion box. It includes a detailed description of each channel and how to access it, and the community is encouraged to submit their feedback. It also explains how the organization maintains the confidentiality of community members who complain. The second banner shows how the feedback will be processed. Colors were used to emphasize the feedback categories. It showed that sensitive feedback (including SEA-related), depicted in red, would be directly reported to the senior manager.



**Leaflet**

**Bina Swadaya**

This leaflet advertised a public discussion about social emergency responses and explained the organization’s code of conduct and key PSEA messaging. The speakers included the emergency response team leader, human resources manager, PSEA focal point and program manager.









**DRC**

The following IEC materials were developed by CRS DRC to share information with community members and program participants on channels for reporting feedback and complaints related to CRS interventions and staff behavior, including SEA cases.

These materials are used by CRS DRC in its development and emergency projects across the country. They are displayed at CRS offices and project sites, and distributed to program participants and community members in CRS targeted areas.

<p><b>Flyer</b></p> <p>This flyer gives information to the community on how to report any concern related to CRS intervention and staff behavior, including SEA cases, using a CRS toll-free phone number.</p>	
<p><b>Poster</b></p> <p>This material was been developed for an education project to share with pupils how they could report abuse using a CRS toll-free phone number.</p>	<p>NUMELO YA KOBENGA EZALI YA OFELE</p>  <p>Bato banso elenge to mokolo oyo azali na motuna to na likanisi lyoko to na likambo oyo etali projet akoki kobenga na numelo ya CRS ezali ya ofele.</p> <p>Ata moto moko te na mboka akoyeba maye yo olobaki.</p> <p>Ezali sekele mpe basali ya projet bakolukela yo eyano na motuna mwya yo.</p>
<p><b>Poster</b></p> <p>This is part of a poster displayed in schools explaining to pupils how to share complaints through a protection focal point.</p>	
<p><b>Poster</b></p> <p>This is part of a poster displayed in schools explaining to pupils how to share complaints using a suggestion box, and how CRS would handle it and respond.</p>	<p>EBOMBELO YA MIKANDA</p>  <p>Bato banso bazuami awa, bilenge banso, baboti, balakisi mpe bato banso bakoki kokoma na lokasa motuna moko, likanisi lyoko liye alingi koyebisa CRS esengeli kokoma nkombo ya yo malam, nkombo ya mboka, ya mokristu, kelasi ya yo (soki ozali na yango) likambo liye ozali na yango to olingi koloba mpe ndenge to lolenge CRS akoki kosunga yo na likambo lyango.</p> <p>Soki osilisi ongumbi lokasa mbala ebele mpe oyingisi yango na eye basali mpo ya koyingisa (kokotisa) na kati ya engbongolo.</p> <p>Soki moto ayebi kokoma te, akoki kotuna moto oyo ye amoni te akoki kobomba likambo lyango akomela ye.</p>

### Haiti

The following IEC materials were developed by the CRS Haiti country program to share information with stakeholders, community members, program participants and staff on communication channels for feedback and complaints during CRS interventions, and also illustrate unacceptable staff behavior. The materials are used by the CRS Haiti team during implementation of projects and are also displayed in all three offices and at project sites. They are shared during active engagement with community members and program participants.

#### Poster

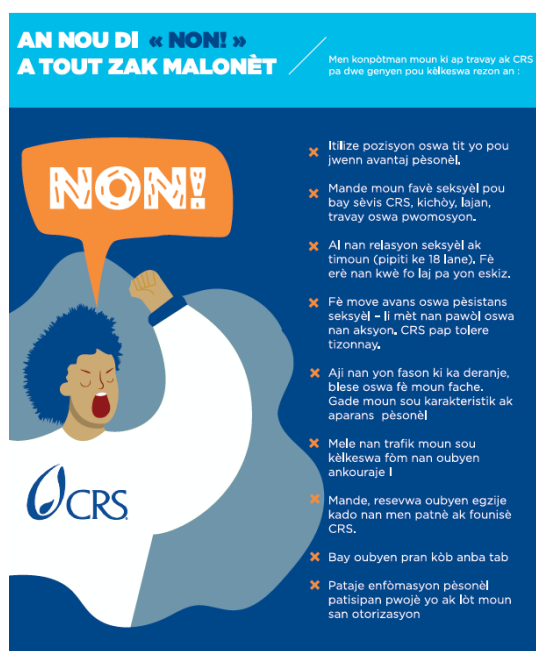
This is used for all projects implemented by CRS for engagement with local communities. The information on the hotline is shared with community members so that they understand how to share feedback.



Pale ak CRS pou w di si sa w panse de aktivite li yo. Nou la pou ede w rezoud tout difikilte ou rankontre ak pwojè nou yo.

#### Poster

This is used in communities where CRS implements projects to ensure project participants and community members know the behaviors that are NOT acceptable from CRS and partner staff.



Moun ki ap kolabore ak CRS - anplwaye oswa volontè - dwe sèvi nan respè ak entègrite. Si sa rive w oswa ou sipèk yon moun sa ta rive, oswa ou ta tande yon bri kouri sou anplwaye, patnè oswa volontè CRS yo, rapòte sa san pèdi tan nan nimewo nou 8277 - Whatsapp : +509 3162 8277



**Poster**

This is used in communities where CRS implements projects to ensure project participants and community members know the behaviors that are NOT acceptable from CRS and partner staff.

**KIJAN CRS TRAVAY**  
**OGANIZASYON CRS PWOMÈT OU KE**

- Sèvis ak aktivite CRS yo GRATIS. Pèsom pa gen dwa mande-w lajan, ni vann kò-w pou ou kapab benefisyè.
- CRS pa chwazi moun parapò ak relijyon, relasyon ak kontak pèsone, oswa kan politik yo.
- CRS dwe asire li ke projè li yo byen fèt epi respèkte prensip nasyonal ak entansyonal yo.
- CRS pap bay lòt òganizasyon enfòmasyon pèsone, ou san ou pa dakò.
- CRS kanpe kont tout move zafè oswa zak fizik ak vyolans seksyèl.

**KONPÒTMAN MOUN KI AP KOLABORE AK CRS DWE GENYEN NAN KOMINOTE YO POU SA, EKIP CRS AK LOT KOLABORATE LI YO**

- Dwe trete tout moun nan kominote yo nan respè moun ak moun.
- Pa dwe nan relasyon seksyèl ak ti moun (ki poko genyen 18 lane), dapre sa lalwa nan peyi-a di.
- Dwe pèmèt ou patisipe nan aktivite yo depi w reponn a lritè ki tabli yo.
- Dwe ba w bon jan enfòmasyon sou òganizasyon an ak aktivite ke li ap mennen yo.
- Pa dwe resevwa lajan ni okenn lòt byen ak sèvis nan men moun ki ap patisipe nan aktivite CRS sou baz sèvis ke yo ap ofri a.
- Pa dwe itilize byen CRS ak pozisyon yo pou bezwen pèsone.

**KONPÒTMAN CRS AP ATANN DE KOMINOTE A**

- Bay bon jan enfòmasyon nan aktivite CRS yo.
- Byen trete kolaboratè ak materyèl CRS yo.
- Sipòte nou nan garanti sekirite travay nou nan kominote yo.
- Patrisipe kot a kot ak CRS nan aktivite pwojè yo pou nou reyalize objektif yo ansanm.
- Pale ak CRS pou fè konnen kisa w panse de aktivite li yo - sa ki bon oswa sa ki mal epi tou si nou pa kenbe pwomès nou. Sa ap ede nou amelyore sèvis nou yo.
- Fè nou konnen lè nou mal fè yon bagay oswa si yon kolaboratè nou genyen yon move konpòtman.

**CRS | Haiti**  
 Si w santi ke nou pa kenbe pwomès nou, fè nou konnen sa Ou ka kominike ak CRS nan nimewo sa yo  
 ☎ 8277 📞 +509 3162 8277

**Poster**

Developed to highlight expected behavior of all Caritas staff as agents and representatives of the mission and vision of the institution. They are displayed in all 11 Caritas Haiti offices.

**DIS KÒMANDMAN**  
**KONT EKSPLOWATASYON AK ABI SEKSYÈL**

**Ou reprezante Caritas**  
 Pou sa, w ap gen konpòtman ki respèkte prensip ak valè enstitisyon an:

- W ap montre ou se yon moun responsab, entèg epi ki gen etik, nan tout aksyon ou ak nan tout sa w ap di.
- W ap demontre Egalite, invèsalite, enpasyalite ak transparans an fas tout moun.
- Ou pap anvizaje fè zafè pa w ak lajan kila pou sèvis enstitisyon an.
- W ap bay enfòmasyon kòm sa dwa, a moun ki konsène nan aktivite Caritas yo.
- Ou pap itilize pouw w ak enfliyan ou pou fè okenn magouy.
- W ap evite tout deklarasyon ki ka denigre, ofanse, favorize yon moun oubyen you gwoup moun sou baz sèks, laj, nasyonalite, ran sosyal ak relijyon.
- W ap kwape tout asèlman, abi, neglijans ak eksplowatasyon sou moun, espesyalman sa ki pi vilnerab yo.
- Ou pap pran, ni ou pap bay okenn travay ki pa vo pri li.
- Ou pap mele nan okenn zak koripsyon.
- W ap kenbe diyite w ak lonè w tout tan e tout kote.

**USAID** **CRS** **CATHOLIC RELIEF SERVICES** **CARITAS AYITI HAITI**

# Tool 6 Community dialogue on PSEA

Overview	
<b>Purpose</b>	<ul style="list-style-type: none"> <li>■ Provides guidance on how to lead a discussion with the community on their perspectives of PSEA.</li> <li>■ Captures perspectives on how the community would like to receive information on PSEA.</li> </ul>
<b>When to use it</b>	Either quite early in the project cycle to raise initial awareness of PSEA, or toward the midterm to assess how effective PSEA awareness-raising efforts have been.
<b>Who to involve</b>	Program team, MEAL team.

## 1. Dos and Don'ts of conducting PSEA FGDs\*

### Planning and setting up the FGDs and KIIs

Decide what you wish to say, who you wish to speak to, and how this may best be facilitated

#### Purpose and Preferences

Agree on the purpose of the discussion and explore preferences



- Capture community perspectives and level of PSEA understanding.
- Understand preferred, context-relevant information channels for PSEA messaging.
- Determine how to share PSEA messages that are context relevant and effective.
- Discuss key terms in advance and how these may be translated and understood across the different languages.

#### Protocols

Train staff to respond to SEA reports and collect data consistently



- Remind staff of the organization's protocols for responding to allegations or incidents of SEA, including confidentiality and exceptions to confidentiality.
- Be consistent: Aim to use the same data collection tools and methods in each community visited and record data consistently, to enable comparative analysis.

#### Participation

Create best conditions for wide and deep participation



- Give voice to all groups (i.e. older people, religious groups, ethnic minorities, people of different ages and genders) and those at the highest risk of SEA (e.g. women, children/adolescents and people with disabilities).
- Consider the diversity of the interviewers/data collectors (gender/ethnicity/language/age) so you can put participants at ease and promote open conversation. Consider having a female facilitator.
- Consider limiting group size to 10 or fewer to allow for more in-depth conversation, given the topic's sensitivity. Consider the ratio of staff to participants so facilitators are not overwhelmed and each participant receives attention.
- Include open questions, such as *Why? How? When?*

#### Don'ts



- Do not include too many closed questions, which lead to yes or no answers and may not provide much information. For example, ask: *"Can you tell me what behavior is expected of aid workers?"* rather than *"Did you know that expected behavior from aid workers is XYZ?"*
- Do not include leading questions that direct the group to answer in a particular way and limit the chance to hear the most open, important and unexpected feedback. Example of a leading question: *"Don't you think women are most at risk of SEA when they go to fetch water?"* Possible answers: Yes/No. Example of open-ended question on the same topic: *"When do you think women are most at risk of SEA?"*

\*Based on guidance notes in:

- Protection Mainstreaming Working Group. 2018. *Protection Mainstreaming Monitoring, Evaluation and Learning Toolkit*.
- Global Protection Cluster. 2017. *Protection Mainstreaming Toolkit*.
- Caritas Australia. 2016. *Case Study Guidelines*.

## Introducing the discussion

Welcome, make introductions and explain purpose, process, rights, concepts and terminology

### Welcome and introduce



- Welcome participants and invite them to introduce themselves.
- Introduce facilitator and notetaker, including names, organization and positions.
- Introduce the topic. E.g. *“We want to hear whether you feel you are respected by aid workers. We want to know what you already know about aid workers’ potential misconduct, for instance, of a sexual nature. We want to hear whether you think services are safe, and how you would like information related to SEA to be shared.”*

### Explain the process



Explain:

- Roles of facilitator, notetaker and participants.
- Expected duration of the discussion. Let the person/group know how long you expect the interview/discussion to last, and ensure they are happy to talk to you. Be respectful of people’s time.
- Ground rules (e.g. mobile phones off).
- The way the discussion will be carried out and the topics that will be covered, emphasizing the importance of participants’ honest responses.

### Share purpose, rights and ethics



Explain, in the language understood by participants:

- The purpose of the data collection effort and the discussion, how the participants were selected for the discussion, and the how the information gathered will be used.
- That there are no right or wrong answers.
- Participation is voluntary, and that they may refuse or withdraw, with no consequences. The answers they give will not affect whether they receive services.
- They are not expected to discuss individual incidents of violence and should never reveal any identifiable personal information such as the names of survivors or perpetrators.
- The team will take notes and some data about participants may be gathered, but will not be shared unless they agree.
- Should anyone have confidential concerns or complaints, these can be shared with the facilitator after the session.
- Share instructions for getting participants’ written or oral consent.

### Confidentiality and its limits

Confidentiality will be respected within limits. Strict confidentiality cannot always be guaranteed due to the organization’s moral and/or legal obligation to report and investigate. Clarify how the data will be used, especially that no names will be associated with any discussions.

### Clarify terminology



- Introduce key terms/language so that everyone understands the terms in the same way. Terms can be introduced at the beginning of the discussion or gradually as you progress from one topic to another. For example: PSEA, sexual abuse, exploitation.

### Don’ts



- Be careful not to artificially raise expectations about what the information gathered may result in.
- Don’t pressure people to provide an interview or participate in a focus group if they don’t want to.

### Conducting the discussion

Create an atmosphere conducive to discussion and listening



- Allow the person to talk freely and try not to interrupt them.
- Listen carefully. Practice active listening.
- Start with simple questions.
- Be alert to non-verbal signs and behavior that indicate how comfortable the person is, and adjust the topics and timeframe accordingly.
- Be polite.
- Take notes.

#### Don'ts



- Do not put the participants in a compromising situation by asking questions that may stigmatize them or endanger them.
- Do not rush participants; this may mean asking fewer questions.
- Do not make promises or create expectations about future support.

### Concluding the discussion and following up

Offer an opportunity for participants to ask questions, share further, and receive follow-up support



- Invite participants to provide further information or input. Give participants the opportunity to ask questions or share thoughts on additional issues.
- Thank participants for their time and ideas.
- Provide the participants with contact information should they wish to share anything further with the facilitation team.
- Inform the relevant person (i.e. protection focal point) of any sensitive issues or complaints, and provide contact information.

#### Don'ts



- Do not promise that you will be able to make changes based on the general program feedback (besides PSEA-related issues), but do pass on general feedback you receive about the program to program management.

#### Reiterate the concept of confidentiality and its limits

Confirm that confidentiality will be respected within limits. Strict confidentiality cannot always be guaranteed due to the organization's moral and/or legal obligation to report and investigate. Clarify again how the data will be used, especially that no names will be associated with any discussions.

## 2. Example of community dialogue questionnaire

### Questions about how communities receive general information

- What are most useful channels of communication available to you now?

Printed material	Internet, mobile and broadcast media	Creative arts	In person
Leaflets	Television	Film and video	Word of mouth
Newspapers	Radio	Theater (including street theater)	Loudspeaker
Magazines	Internet	Music	Door to door
Posters	Social media		
Billboards	Mobile (calls/SMS)		

### Questions about trusted information sources

- What three sources of information do you trust the most?

Specific media sources	Specific person/institution	
Television (specify channel)	Government	NGO worker
Radio (specify station)	Community leader	UN staff
Print media (specify newspaper, magazine, etc)	Other community members	Health professional
Internet (specify website)	Religious leader	Police
Social media (specify)	Armed forces	
Other:	Other:	Other:
Don't know	Declined to answer	

- Which three sources do you trust the least?
- Are there any groups (e.g. men, women, older people, and disabled people) who trust different sources of information? [Open-ended question: note alongside]

### Questions about barriers to receiving information

- What is stopping you from getting the information you need now?

No access to electricity	I don't trust where the information is coming from	My device is lost or damaged: <ul style="list-style-type: none"> <li>■ TV, radio</li> <li>■ Computer</li> <li>■ Mobile phone</li> </ul>
Mobile network is down	TV/radio station is no longer running (specify what happened)	
Information is in the wrong language	I can't buy phone credit	
Information is written and I can't read	Other	
Don't know	Declined to answer	

- Which groups (women, children, minority groups) in the community find it harder to get information and why? (This is an open-ended question using which and why.)

### Questions about additional PSEA information needs

- What would be the best way to make sure all community members hear about PSEA?

### Questions about preferences for communicating with the organization

- What three ways would you like to use to communicate with aid agencies in relation to PSEA? (e.g. to ask a question, to complain or to make a suggestion)

Face to face (at home)	SMS	Social media (specify)	Tweet
Face to face (office/helpdesk)	Email	Suggestion box	Other
Phone call	Letter	Radio/TV show	Don't know

### Specific PSEA questions

- Are you aware of the standards of staff behavior defined in the CRS code of conduct? If yes, how did you learn about them?
- What do you think are examples of misconduct by CRS or other aid workers?
- What do you think the community needs to know about the behavior of aid or NGO workers?
- What would be the most effective way for you to learn about the expected behavior standards of aid staff?
- Are there any official channels that you know of that you can use to report misconduct of aid staff working in your community? If yes, how did you learn about these?
- Are there groups in the community who would struggle to use these channels to report misconduct? How can these barriers be addressed?
- What do you need to know more about? Do you have any further questions about PSEA?

Expected and prohibited behavior of staff (including examples)	How to report concerns
What commitments the organization has made	What happens when a complaint is made
How to stay safe to prevent attack/harassment	How to get help after an attack or harassment
Other	

## Close

- Thank participants for their participation.
- Explain what the information shared in the questionnaire will be used for.
- Leave time to respond to any questions participants may have and provide them with contact information should they wish to provide additional input or ask questions.



# Glossary\*

**Child** Any individual under the age of 18, irrespective of local country definitions of when a child reaches adulthood.

**PSEA** Protection against sexual exploitation and abuse, the term used by the UN and community of NGOs to refer to the measures taken to protect vulnerable people from sexual exploitation and abuse by their own staff and associated personnel.

**Safeguarding** The responsibility organizations have to make sure their staff, operations and programs Do No Harm to children and vulnerable adults, and that they do not expose them to the risk of harm and abuse. PSEA and child protection come under this umbrella term. Generally, the term does not include sexual harassment of staff by staff, which is usually covered by organization's bullying and harassment policy.

**Sexual abuse** An actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions.

**Sexual exploitation** Any actual or attempted abuse of a position of vulnerability, differential power or trust for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another.

**Survivor or victim** The person who is, or has been, sexually exploited or abused. The term "survivor" implies strength, resilience and the capacity to survive. This document mostly uses the term "victim," to mean the victim of the alleged perpetrator's actions. However this is not intended to negate that person's dignity and agency as an individual.

**Allegation** An assertion of facts that one intends to prove at trial or during an internal investigation procedure.

**Complaint** A specific grievance of anyone who has been negatively affected by an organization's action or who believes that an organization has failed to meet a stated commitment.

**Complaint mechanism or procedure** Processes that allow individuals to report concerns such as breaches of organizational policies or codes of conduct. Elements of a complaints mechanism may include suggestion boxes, whistleblowing policies and designated focal points.

**Hotline/helpline** A telephone number that allows persons wishing to report wrongdoing to do so. A hotline may be complemented with other technology-based reporting mechanisms, such as an online request form or email address.

\* Adapted from: United Nations. July 24, 2017. Glossary on Sexual Exploitation and Abuse, Second Edition. CHS Alliance. 2017. *PSEA implementation quick reference handbook*.



## Bibliography

- [Best Practice Guide Inter-Agency Community-Based Complaints Mechanisms](#), IASC, 2016.
- [Guidance Note: How to communicate safeguarding and PSEA messages to communities during COVID-19](#), PSEA, 2020.
- [Communication toolbox: Practical guidance for program managers to improve communication with participants and community members](#), CRS, 2013.
- [PSEA implementation quick reference handbook](#), CHS Alliance, 2017.
- [The Good Enough Guide - Impact Measurement and Accountability in Emergencies: The Good Enough Guide](#), Emergency Capacity Building Project, 2017.
- [IASC Six Core Principles Relating to Sexual Exploitation and Abuse, 2019](#).
- [Plain-language version of the PSEA Principles translated into 100+ languages. Above Six Core Principles translated into 100+ languages](#) (These do not reflect the latest update to Principle 4). IASC.
- [Interim Technical Note: Protection from Sexual Exploitation and Abuse \(PSEA\) during COVID-19](#), IASC, March 31, 2020.

## Further resources

- [PSEA communication material](#), UN. Communications materials that can be adapted.
- [The language and culture of PSEA: Workshop outcome report](#), InterAction, December 17, 2019. Outlines key linguistic and cultural aspects.
- [No excuse for abuse: Preventing sexual exploitation and abuse in humanitarian action](#), InterAction, March 20, 2020. Video, available in multiple languages.
- [Translators Without Borders Glossaries](#). Includes gender- and protection-related terminology in multiple languages.
- [Hotline in a Box](#), IFRC, 2020. Tools to help assess, set up and manage channels to communicate with communities.

# Developing PSEA Human Resources Policies and Measures



## Tools

- Tool 1 Recruitment, onboarding and staff training
- Tool 2: Code of conduct and ethics development plan
- Tool 3: Code of conduct checklist
- HO 4.3 CAFOD Safe recruitment policy
- HO 4.4 CAFOD Safeguarding in interviews
- HO 4.5 CAFOD Conducting police checks
- HO 4.6 CAFOD Requesting references
- HO 4.7 Safeguarding in job descriptions

## Audience



PSEA/safeguarding/  
protection  
focal points



Administration  
staff



Senior  
managers

# Tool 1 Recruitment, onboarding and staff training

The purpose of this document is to support CRS partners in developing human resources processes that are responsive to protection from sexual exploitation and abuse (PSEA). Part I provides basic guidelines on incorporating PSEA measures into the HR processes, especially focusing on recruitment and the vetting of hired staff and volunteers. Part II provides recommendations on staff onboarding and training relevant to PSEA. All recommended measures are based on international PSEA standards.

## I. STAFF RECRUITMENT AND VETTING

Human resources staff or hiring management should ensure that all new and potential hires understand the organizational commitment to protection from sexual exploitation and abuse, and the expectations of them as potential staff members. This means defining organizational protocols, mechanisms and tools for the recruitment process. These should ensure that candidates have not engaged in activities that are not aligned with the organization's commitment to PSEA. The term "staff" in this document refers to employees, volunteers, consultants and interns.

### Include PSEA commitments in job advertisement

Inform the candidate of the organization's vision and mission, as well as its culture, values and principles that prevent sexual exploitation and abuse by its employees. This can be done in the job description or on a recruitment page or application form. For online applications, this should be reiterated, and candidates invited to reflect on their personal values and how those align with the organization's, demonstrating a value-based motivation for the job they are pursuing.

- Sample statement: *"The organization requires its staff to treat all people with dignity and respect, and actively prevent harassment, abuse, exploitation and human trafficking everywhere and at all times."*
- The value statement can highlight key values such as honesty, integrity, courage, respect, diversity, commitment, stewardship and accountability.
- Include specific statements that focus on the candidate's motivation for the job, such as: *"We are looking for people who are values led and results driven."*
- Basic humanitarian principles upheld by the organization can include neutrality, impartiality, humanity and independence.
- The job advertisement should emphasize the organization's need to employ staff with certain key values.
- Include a summary of the key duties, essential qualifications and most interesting aspects of the job.
- Describe the organizational culture and work environment, and list any benefits and growth opportunities.
- Be strategic and advertise in the best places to reach the appropriate audience for the position.



*Human resources staff or hiring management should ensure that all new and potential hires understand the organizational commitment to PSEA, and the expectations of them as potential staff members*

## Include PSEA elements in job descriptions

A job description provides an overview of the position, including responsibilities, qualifications and competencies required. Review the job description with the hiring manager and PSEA focal point to confirm the level of direct interaction with vulnerable populations.

- Job descriptions should include clauses outlining the conduct expected of staff, and refer to the organization's PSEA policy.
- The higher the level of expected interaction with vulnerable populations, the greater the potential risk to those populations, and therefore the greater the need for vetting and due diligence. In the job advertisement, include adequate clauses on performing those processes.
- For positions involving direct work with children, require candidates to sign a statement declaring they have no criminal convictions related to the abuse and/or exploitation of children. This should not be a substitute for running independent police and reference checks on a candidate (where possible).
- Include specific competencies and talents, such as accurate and active listening, integrity, accountability, building relationships, commitment to the job, consistency, reliability, emotional control, freedom from prejudice, and handling stress.

## Target gender-balanced recruitment

To facilitate the reporting of sensitive issues, diversify staff composition by gender, especially when jobs will entail working directly with women and children.

- Monitor gender balance of staffing and strive for gender balance at all levels of responsibility, in both main and sub-offices, and among contracted staff and volunteers.
- Review job qualifications with the hiring manager to ensure there are no limitations of the candidate pool; for example, in a certain context, women may have less formal education (due to limited access) than men, but may have substantial work and community experience that could also result in the knowledge and skills needed for the position.
- Ensure your job advertising and posting strategy is not limited to online platforms that could exclude certain applicants.
- When sourcing candidates, be sure to seek recommendations from male and female staff on diverse candidates they believe are experts in the field and who can be recruited for current or future openings.
- In the job advertisement, include information that could help attract a wider pool of female candidates, including details of the organization's relevant policies and benefits, such as maternity leave, support for exclusive breastfeeding, the availability of childcare at the office, and flexible working hours.
- When determining who should be on the hiring committee and interview panel, remind hiring managers to select staff from a diverse range (ages and ethnicities) of male and female staff to ensure inclusive input.



*Diversify staff composition by gender*

- Properly emphasize non-technical competencies to help enable a wider, more diverse pool to be considered.
- Do not ask female candidates if they plan to have children and then, if they respond in the affirmative, tell them they will not be a good fit because they won't be able to travel enough for the role.
- Given that some female candidates may not have as much paid work experience as male candidates, some flexibility in the referencing process is suggested, including allowing non-work references, such as from a teacher or a community leader.
- Ensure that thorough internal audits of salaries are conducted so that men and women are paid the same salary for the same work.

### Check gaps in employment history during interview

Seek more information on any gaps in a candidate's employment history by asking:

- How did you spend time between jobs?
- Did you do any volunteer or community work? Ask for references (names and contacts) from these engagements.

### Ask questions related to PSEA during the interview and written tests

Provide hiring managers with sample questions or scenarios that are based on the organization's PSEA policy, and code of conduct and ethics, including vision, mission and values.

- During the interview process, discuss the policies on staff-project participant relations and assess the interviewee's responses to questions related to sexual relations with project participants and vulnerability.
- Include the PSEA focal point in the interview process.
- Ask:
  - *Ask the candidate to describe previous work situations in which their morals and integrity have played a significant role in the outcome.*
  - *Ask specific questions about their peers' view of their performance in previous positions.*
  - *Ask for the names of those peers.*
  - *At the end of the interview, ask for contact details of peers mentioned in the interview in order to contact them and ask questions about the candidate.*



*Seek more information on any gaps in a candidate's employment history*

## Perform background checks and references

Request at least two references from previous employers. *Note: CRS' standard is three references.* The HR manager and the hiring manager should discuss who to contact for references based on the position's requirements and employment history shared. References could be sought from the candidate's supervisors and peers. References provided by candidates should not be the only ones used. Additional references can be sought on personal and moral integrity and, in the case of faith-based organizations, are usually from religious leaders in the community. Develop a reference checklist and include safeguarding/PSEA questions. Check the reference over the phone or by video chat (Skype, Zoom) but not email. It is vital to verify who is completing the reference, and hear the tone and sincerity of their responses.

- Ensure references are rigorously gathered and follow a specific format/checklist. They should include questions about safeguarding and disciplinary action.
- If the information collected in the reference raises any concerns, these must be communicated very clearly with the hiring staff and management, and recorded in writing.
- Example questions for referee:
  - *What was the nature of the candidate's previous job?*
  - *How do you rate their performance overall? Poor, satisfactory, good or excellent?*
  - *How did the candidate interact with others?*
  - *Why did the candidate leave the job?*
  - *Do you have any concerns about the candidate working with at-risk populations and/or is there anything that might be of concern to our organization?*
  - *Are you aware of the candidate having a criminal record or any issues related to child protection that our organization should be aware of?*
  - *At any stage in their employment, did you undertake any disciplinary actions against the candidate related to any safeguarding issues?*
- Request written consent from the successful candidate to conduct a background/criminal record check. Include a declaration statement on the candidate's confirmation of true information provided as well as consequences of any misstatements, omission or falsification related to the background check process. Consequences should include disqualification from the selection process or termination of contract if already hired.
- Conduct background checks on the successful candidate (international and national), including a criminal record check in their home country and in other countries they have worked, wherever possible.
- If any concerns are flagged in the reference, request further information from the candidate.
- A thorough reference check procedure *should not be waived under any circumstances*, even in a first-phase humanitarian response. Experience has shown that not undertaking a thorough process can result in more time taken to dismiss and replace unsuitable candidates. At worst, it can result in affected populations being exposed to risk.



**Conduct background checks on the successful candidate (international and national), including a criminal record check in their home country and in other countries they have worked, wherever possible**

## All staff contracts include PSEA elements and organization's code of conduct

- All staff contracts include a statement of understanding of and adherence to the organization's code of conduct.
- All staff contracts include copies of the [IASC Six Core Principles Relating to Sexual Exploitation and Abuse, 2019](#).
- The code of conduct includes the same principles at a minimum.
- All staff contracts include organizational values, mission and vision.
- All signed documents are kept on personnel files.

## II. PSEA MEASURES IN STAFF ONBOARDING AND TRAINING

All new staff receive a briefing on PSEA policy.<sup>1</sup>

Staff are rigorously taken through the code of conduct and the sexual exploitation and abuse (SEA) complaints and investigations mechanisms. Staff are given the time to discuss and fully understand the relevant PSEA policies and procedures including consequences of code of conduct breaches.

The agency distributes the code of conduct, in English or translated, to all staff.

Basic PSEA training forms part of the onboarding process to ensure all staff know about the prevention and response measures to SEA issues. Set up and administer a system that checks staff and volunteer understanding of safeguarding training content (e.g. post-training test). Ensure safeguarding is considered in performance reviews, including probation.

Staff who have direct contact with program participants receive full PSEA training including on the causes and consequences of gender-based violence (GBV) and SEA. Staff who work directly with children also receive child protection training.

Staff working on feedback and response mechanisms (either inter-agency or project-based) and are receiving sensitive feedback, receive additional PSEA training on internal reporting system training as an obligatory part of onboarding.

Staff with prolonged and largely unsupervised time working with women and children are especially targeted for PSEA support, advice and training.

All staff receive annual refresher training on the code of conduct and PSEA, and the implications of breaching these standards, and learn about the mechanism to file complaints and reports of misconduct.

The code of conduct (either the simplified or complete version with IASC standards at a minimum) is displayed in all operational and office areas.

Managers and senior leadership have a particular role and responsibility to ensure that a training strategy is implemented to raise awareness among all staff on gender mainstreaming, GBV, human rights, SEA prevention and response, and the code of conduct, as well as how to report alleged incidences.

PSEA policy and reporting mechanism information (SEA reporting forms)<sup>2</sup> are available in the field for staff reference. PSEA materials encouraging staff to report SEA misconduct are displayed in agency premises at all locations.

During the annual staff retreat, staff have the opportunity to discuss organizational and personal values, and how those influence their motivation.

Continuously review, identify gaps, and strengthen recruitment processes with regard to safeguarding.

1. Example policy: [Policy on Protection from Sexual Exploitation and Abuse and Child Protection](#), CARE International.

2. SEA [model complaints referral form](#), PSEA Task Force.

## Tool 2 Code of conduct and ethics development plan

This section aims to assist CRS partner organizations to develop or review their codes of conduct.<sup>3</sup> It stipulates primary and recommended actions that contribute to the development of a comprehensive code of conduct and ethics, based on international standards, and principles of PSEA. A code of conduct serves two primary purposes: it protects the people that the organization serves, and protects the reputation of the organization and its staff.

■ Primary actions ■ Recommended actions

	Actions	Y/N
1	Ensure senior leadership is committed to continual support in the code of conduct development process. Senior leadership should initiate, lead and foster widespread consultations among staff, volunteers and partners, to ensure the code is responsive to the organization's operational context.	
2	Through a consultative process, define the scope and application of the code, in line with the organizational values, vision and mission. Define which staff the code applies to and under which circumstances (e.g., while on duty, off duty, etc.). If any staff are excluded from the application of the code, define that as well as whether any operational context requires different/additional standards of the code.	
3	Consult and identify other forms of prohibited conduct beyond all forms of exploitation and abuse (such as harassment, alcohol and substance abuse, carrying weapons, etc.)	
4	Consult and identify expected attitudes and behavior of staff, such as cultural sensitivity, that are in line with organization's values, vision, mission and principles.	
5	Consult human resources standards and national laws related to different disciplinary actions that should be in place should the code be breached, up to and including dismissal.	
6	Define and develop policies and procedures in support of the reporting requirements for code breaches to be used by both staff and project participants (e.g. whistleblower policy, <sup>4</sup> internal reporting, feedback and complaints procedures, human resources manual).	
7	Clearly define terminology and use it consistently, when referring to types of behavior that are not permitted or could be breaches of the code.	
8	Consult and define in writing, within the internal reporting procedure document, the investigation process related to sexual exploitation and abuse, and explain when investigations will be undertaken.	
9	Define and refer to the organization's confidentiality policy <sup>5</sup> addressing sharing of internal information with persons and entities outside of the organization.	

3. Example [Code of Conduct](#), International Committee of the Red Cross (ICRC).

4. Example whistleblower policy: [Sample Whistleblower Protection Policy](#), National Council of Nonprofits.

5. Example confidentiality policy: [Sample Confidentiality Agreements for Information about Clients](#), National Council of Nonprofits.



10	Define the application and inclusion of the code to all contracts and agreements or other documents related to contractual relationships that the organization might enter into, as well as internal documents (e.g. new and existing employment contracts, service contracts, job descriptions, terms of reference and performance appraisal systems).	
11	Decide and define who within the organization is responsible for ensuring that the code is implemented, monitored and evaluated. Any such decision should clearly define the primary responsibility of managers to ensure staff are informed, receive and understand the code by means of training, and regular staff updates on code changes, as well as staff awareness-raising and staff performance pertaining to the provisions of the code.	
12	<p>Before finalizing the code, consult with a legal expert to ensure that:</p> <ul style="list-style-type: none"> <li>■ The code is in line with the national labor laws of your organization's registration country</li> <li>■ The code is consistent</li> <li>■ Staff can legally be held to account if they breach the code</li> </ul> <p>Global networks' member organizations should consult their respective structures in aligning the code to the joint standards (e.g. Caritas Internationalis<sup>6</sup>).</p>	
13	Plan for a regular review of the code (e.g. every two years), to ensure that the agency code matches the work context, and that any updates from the aid sector on the standards of behavior (e.g. updated IASC Six Core Principles Relating to Sexual Exploitation and Abuse) are made. All code of conduct updates must be promptly disseminated throughout the organization.	
14	Develop and implement a strategy for the dissemination of, and training activities on, the code of conduct for all current and future staff, at all levels.	

6. [Code of Ethics & Code of Conduct for Staff](#), Caritas Internationalis.

# Tool 3 Code of conduct checklist

## Minimum Code of Conduct and Ethics content checklist

### ■ Define the scope and purpose of the code of conduct.<sup>1</sup>

- This Code of Conduct (the “Code”) applies to all staff. For the purposes of the Code, anyone who works for the organization under an employment contract or on another basis (such as internship, a consultancy contract or as a volunteer) is considered a staff member.
- The Code is applicable at all times. Breaches of the Code of Conduct are grounds for disciplinary action, up to and including dismissal.
- The Code is developed in line with international and UN standards, while also recognizing the importance of local laws and cultures. Staff are expected to uphold local law wherever they operate, except where the Code of Conduct is more stringent, in which case the Code applies.

### ■ Include existing professional ethical codes or statements.

- Staff conduct must be characterized by integrity, respect and loyalty to the organization’s interests and must not in any way harm or compromise its reputation.
- Staff must show due respect, particularly through their conduct, dress and language, for the religious beliefs, usages and customs, rules, practices and habits of the people of the country or context they are in and of their place of work.
- The rules set in the Code are intended to promote safety, to ensure respect for the people with whom the organization comes into contact, to protect staff members and to project a positive image of the organization, so as to guarantee the effectiveness and integrity of its work.

### ■ Include the IASC Six Core Principles Relating to Sexual Exploitation and Abuse.

- Sexual exploitation and abuse by humanitarian workers constitute acts of gross misconduct and are therefore grounds for termination of employment.
- Sexual activity with children (persons under the age of 18) is prohibited regardless of the age of majority or age of consent locally. Mistaken belief regarding the age of a child is not a defense.
- Exchange of money, employment, goods, or services for sex, including sexual favors or other forms of humiliating, degrading or exploitative behavior, is prohibited. This includes exchange of assistance that is due to beneficiaries.
- Any sexual relationship between those providing humanitarian assistance and protection and a person benefitting from such humanitarian assistance and protection that involves improper use of rank or position is prohibited. Such relationships undermine the credibility and integrity of humanitarian aid work.
- Where a humanitarian worker develops concerns or suspicions regarding sexual abuse or exploitation by a fellow worker, whether in the same agency or not, he or she must report such concerns via established agency reporting mechanisms.
- Humanitarian agencies are obliged to create and maintain an environment which prevents sexual exploitation and abuse and promotes the implementation of their code of conduct. Managers at all levels have particular responsibilities to support and develop systems which maintain this environment

### ■ Include specific PSEA-related rules for staff behavior.

- The purchase of sexual services and the practice of sexual exploitation are prohibited. Sexual exploitation is understood as abuse of authority, trust or a situation of vulnerability for sexual ends in exchange for money, work, goods or services.
- Entering into a sexual relationship with a child (a girl or boy under 18 years of age) or inciting or forcing a child to take part in activities of a sexual nature, whether or not he or she is aware of the act committed and irrespective of consent, is prohibited. This prohibition also covers pornographic activities (photos, videos, games, etc.) that do not involve sexual contact with the child, as well as acquiring, storing or circulating documents of a pedophilic nature, irrespective of the medium used.

1. See example [Code of Conduct](#), International Committee of the Red Cross (ICRC), 2018

- Staff are obliged by the Code to report concerns, suspicions and/or incidents of abuse, exploitation or breaches of this Code – irrespective of when it happened.
- Include other PSEA-relevant rules.**
  - Staff are prohibited from using IT equipment, software or email and social media platforms to engage in activity that is illegal under local or international law or that encourages conduct that would constitute a criminal offence. This includes any material that intimidates or harasses any group based on protected characteristics, or encourages extremism.
  - Staff are prohibited from taking photographs, filming or making audio recordings in the course of their duties, irrespective of the medium used, unless their work so requires, or they obtain approval from the organization.
  - Staff are prohibited from using IT equipment to view, download, create, distribute or save in any format inappropriate or abusive material including but not limited to pornography or depictions of child abuse.
- Include information about reporting complaints.**
  - Staff are obligated to bring to the attention of the relevant manager any potential incident, abuse or concern that they witness, are made aware of, or suspect which appears to breach the standards contained in this Code. Staff reporting concerns are protected by the Disclosure of Malpractice in the Workplace policy.
  - Staff who have a complaint or concern relating to breach of the Code should report it immediately to their line manager. If the staff member does not feel comfortable reporting to their line manager, they may report to a senior manager or a member of the HR team.
  - Staff receiving reports or concerns are obliged to action or refer the report immediately as per the organization’s Complaints Policy and procedures.
  - Complaints reporting email: sample@xxxx.org
  - Online confidential reporting platform link: http://xxxxx
  - Staff can also make a complaint in person, by letter or by phone to one of the people listed: line manager, HR manager or finance and administration manager, executive director
- Include statements of receipt and acknowledgment.**
  - In accepting my appointment, I undertake to discharge my duties and to regulate my conduct in accordance with the requirements of this Code.
  - Signature line with date and location.

An extended version of this checklist is available on [EFOM](#).

Other HR resources

- HO 4.3 CAFOD Safe recruitment policy
- HO 4.4 CAFOD Safeguarding in interviews
- HO 4.5 CAFOD Conducting police checks
- HO 4.6 CAFOD Requesting references
- [HO 4.7 Safeguarding in job descriptions](#)



# Developing a Referral Path for Essential Protection Services

## T Tools

- Tool 1: Sample KII guide: National protection actors
- Tool 2: Sample KII guide: Local protection service providers
- Tool 3: Referral card template
- Tool 4: Referral checklist

## Audience



PSEA/safeguarding/  
protection  
focal points



MEAL  
staff



Program  
staff

There are two key reasons for developing a referral path: to address protection risks in the communities we serve and to strengthen our safeguarding practices. According to the guidance in CRS' [COVID-19: Safe and dignified programming](#) (2020) and CRS' general approach to programming, it is crucial to understand and respond to protection risks that are exacerbated by emergency situations and public health outbreaks. As CRS is not a stand-alone protection actor, particular protection risks within the communities we serve—such as gender-based violence, intimate partner violence, violence against children, and family separation—need to be addressed through referral to specialized protection service providers. By developing and activating an efficient referral path, we assist people in need of protection from these particular risks to access services that CRS cannot provide directly.

Furthermore, with a referral path in place, we ensure adequate response to any safeguarding issues, such as all forms of exploitation and abuse, and sexual abuse and exploitation (SEA) in particular, by assisting victims/survivors to access vital services.

This toolkit provides STEPS and supporting tools to develop a referral path to support people to meet these essential needs, by referring them to other actors with the necessary expertise and capacity to act:

## 1. Identify key protection actors

- Identify who is the lead in providing protection services in your context; this could be the government, a United Nations body, or a local or international nongovernmental organization (NGO). Determine whether the Protection Cluster (and sub-clusters) are activated in your context.
- Ideally, the government and/or Protection Cluster in the country maps available protection services, and develops a referral pathway. If the Protection Cluster is activated, contact it first for guidance on how to proceed. Alternatively, if you are aware of a government or UN body as the lead in protection services, contact them for guidance or to request a referral pathway.
- If there is no referral process or Protection Cluster, identify which actors are responsible for certain issues or have expertise in those areas. Do this by researching the roles of different organizations. Contact government institutions and local authorities to help identify relevant actors, if necessary.



*By developing and activating an efficient referral path, we assist people in need of protection to access services that CRS cannot provide directly*

- Think through who the actors are, their influence and relationships. Carry out one actor analysis for each protection problem. Consider different actors, particularly those at the local level, including community-based organizations (CBO), INGOs and NGOs, local media, national and local women's organizations, clubs and groups, academics, social networks, village or community leaders, charities, religious institutions, local businesses, unions, local government officials or departments, police, social services, the UN, and the International Committee of the Red Cross.
- Identify with whom you will coordinate, according to who has the practical means or the mandated authority to respond, and whether you need a referral pathway at the national, regional or local level. The more local the referral pathway, the more useful it will be for people with protection needs; however, larger actors may be mandated to respond to certain protection issues.

## 2. Prepare a list of key informants

- From the above mapping, identify initial key informants to contact to begin mapping available services/service providers. Start with larger, national actors who have a specific protection mandate and oversee protection services rather than directly provide them (e.g. government, UN).
- Identify a second list of service providers for a second round of interviews. These could be smaller, local actors who provide services to meet one specific protection need (e.g. women's shelters, health services, women's and children's helplines, family tracing and reunification, and services for people with disabilities).

## 3. Contact key protection actors to determine what services are still functioning/can be accessed and by whom

- Use **Tool 1A** to get an overview of the service providers the larger protection actors promote based on the safety, quality and accessibility of their services. If there is more than one lead or influential national protection actor, aim to contact them all, to round out/triangulate information on service providers.
- Next, contact service providers directly, using **Tool 1B** to discuss their services, mode of operation, who can access services (are they child-friendly, disability-friendly, etc.), cost of access, etc.

## 4. Adopt, adapt or develop a referral card

- Using **Tool 2** as a basis, document service providers in a short table.
- Where possible, share the referral card with service providers to verify accuracy.
- Translate into local languages or the languages of program participants as necessary.
- Print in a pocket-sized format.
- Ensure all staff and volunteers have a copy on them during field activities. Follow CRS' [Guidance on Community Engagement in Light of COVID-19](#) for safe practices.
- Consider other means of sharing this information, such as posting visual representations of the pathways and hotline numbers in safe locations.

## 5. Orient staff and volunteers on how to respond when informed of a protection need

Share the following information (further guidance on what to say and what not to say can be found in the [GBV Pocket Guide](#) (IASC 2015):

- If an incident is disclosed to you by the person affected/survivor, introduce yourself. Ask how you can help. Practice respect, safety, confidentiality and non-discrimination. If the disclosure is made in person, practice physical distancing.
  - Communicate accurate information about available services.
  - If they give permission for you to do so, refer them to those services by communicating detailed information about the available resource/service, including how to access it, relevant times and locations, focal points at the service, safe transport options, etc.
  - Do not share information about the survivor or their experience to anyone without the explicit and informed consent of the survivor. Do not record details of the incident or personal identifiers of the survivor.
- If an incident is disclosed by someone else other than the survivor (e.g. a family member), provide up-to-date and accurate information about any services and support that may be available to the survivor. Encourage the individual to share this information safely and confidentially with the survivor, [so that they can disclose]. NOTE: DO NOT seek out the survivor/person affected. If a child is the survivor, please report the case to the lead child protection actor.
- If a disclosed incident involves a CRS staff member or affiliate, follow CRS reporting procedures – through [EthicsPoint](#), to the country representative, to your supervisor, or local human resources department. Please go directly to EthicsPoint where possible. Do not discuss it with anyone else.

## 6. Review your process and continue to check the protection service availability regularly. Confirm that services are operational before providing information. Add new services as they become available.

- Using [Tool 3](#), review your process and adjust as possible as the current environment and capacities allow.
- Reach out regularly (e.g. every week to two weeks) by phone or email to national protection actors and service providers to assess if anything has changed.
- Update referral pathway accordingly and redistribute to staff.
- If you have any concerns about the safety or quality of services, forward these to the service provider and any other relevant protection actor. If the Protection Cluster is activated, follow up with it for a quality check on services.

# Tool 1 Sample KII guide: National protection actors

## Introduction

Introduce yourself and present the purpose of the discussion:

- Introduce CRS and scope of our programming (if not known by the key informant).
- Tell them you are developing or updating a referral card for staff serving people and communities, so that people with protection needs can be given accurate information on how to access essential protection services.
- Say you are requesting their input and expertise on currently available protection services nationally or in a specific location.

## Questions

1. Please give me an overview of protection services you recommend for different types of protection issues (sexual and gender-based violence (SGBV), child protection/separation, trafficking in persons, legal support, psychosocial support etc). Please note: If a referral pathway already exists, ask if it has been updated due to COVID-19. If not, ask whether it will be updated. If the answer is NO to both these questions, follow the rest of the process as outlined. Use table1 provided to capture details on each protection service/organization.

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2. What sort of checks do you usually conduct or have you conducted on these services? (prompt for services that are accessible to someone regardless of gender, age and other diversity factors; acceptability; and quality) (see the WHO [Availability, Accessibility, Acceptability, Quality \(AAAQ\) Framework](#) for further guidance).

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<sup>1</sup> IFRC. 2020. [Hotline in a Box](#) (page 30)



3. What limitations are these protection services currently facing? Are there any national plans being developed to address these limitations?

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4. Are there any service providers you do not recommend? For what reason?

Organization	Contact person	Service
Organization name	Name	Service 1
Location	Email address	Service 2
Start date/end date	Phone number	Service 3

\*Add additional table for each service provider

# Tool 2 Sample KII guide: Local protection service providers

## Introduction

Introduce yourself and present the purpose of the discussion:

- Introduce CRS and the scope of our programming (if not known by the key informant).
- Explain that you are developing or updating a referral card for staff serving people and communities so people with protection needs can be given accurate information on how to access essential protection services in the context of COVID-19.
- Say you are requesting their input and expertise on available services that continue to operate now, related to [particular protection issue]\*, including any modifications to the mode of delivery.

## Questions

1. Are your services continuing to function? Have there been any changes in mode of delivery? Accessibility? Opening hours? Do we have your permission to share these details with participants of our humanitarian programming?

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2. Who can access these services? (probe for any access restrictions based on gender, age, ability/disability, ethnicity, religion, etc.). Is there a cost to access your services?

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3. What safeguarding procedures do you have in place?

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\* Adjust to the specific protection service on offer by the local actor.

4. If you receive a report of another protection issue you cannot address directly (e.g. child separation, trafficking, psychosocial support, etc.), to what services are you able to refer people? Do you have specific contacts/focal points in those services? How frequently are the contacts updated?

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5. If we hear of any positive or negative experiences or suggestions about your service, how do we feed them back to you?

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6. What are some of the achievements and challenges your organization is experiencing, particularly in the context of maintaining services for people in need during the COVID-19 crisis? (prompt for services for vulnerable groups specifically women and girls, elderly, people with disabilities - contextualize as relevant).

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# Tool 3 Referral card template\*

If you are informed of a protection incident (violation of rights, gender-based violence, etc.)

1. Provide a **safe** and **caring** environment for the survivor and respect their wishes and the principle of **confidentiality**
2. Ask what their **immediate needs** are
3. Provide clear and honest information about **available services**

**NO REFERRAL WITHOUT explicit consent, except:**

1. When there is a threat to the life of the survivor
2. When a survivor threatens to cause serious harm to another person
3. In case of suspicion of abuse or neglect toward a child and in the child's best interest

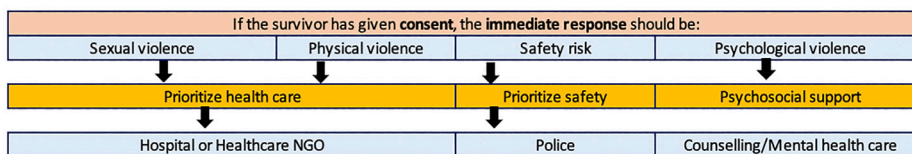
In the event of **rape**, inform the victim of the importance of accessing medical care within 72 hours.

If the survivor agrees and requests, ask for their informed consent and carry out referrals and support for accessing services.



Update : DATE

What services are available?



SGBV

Organization  
Point focal: Name - Contact details (phone & email)  
Services provided:  
Target group:  
Opening hours:

Organization  
Point focal: Name - Contact details (phone & email)  
Services provided:  
Target group:  
Opening hours:

MHPSS

Organization  
Point focal: Name - Contact details (phone & email)  
Services provided:  
Target group:  
Opening hours:

Organization  
Point focal: Name - Contact details (phone & email)  
Services provided:  
Target group:  
Opening hours:

Health / nutrition

Organization  
Point focal: Name - Contact details (phone & email)  
Services provided:  
Target group:  
Opening hours:

Organization  
Point focal: Name - Contact details (phone & email)  
Services provided:  
Target group:  
Opening hours:

Protection and legal assistance and advice

Organization  
Point focal: Name - Contact details (phone & email)  
Services provided:  
Target group:  
Opening hours:

Organization  
Point focal: Name - Contact details (phone & email)  
Services provided:  
Target group:  
Opening hours:

Education

Organization  
Point focal: Name - Contact details (phone & email)  
Services provided:  
Target group:  
Opening hours:

Organization  
Point focal: Name - Contact details (phone & email)  
Services provided:  
Target group:  
Opening hours:

WASH

Organization  
Point focal: Name - Contact details (phone & email)  
Services provided:  
Target group:  
Opening hours:

Organization  
Point focal: Name - Contact details (phone & email)  
Services provided:  
Target group:  
Opening hours:

\* This can be edited in the Excel version. Please note, this list is not exhaustive, please add or adjust according to your context, and relevant protection needs and issues.

# Tool 4 Referral checklist

CHECKLIST		Yes/No
1	Is there an existing referral process/pathway in place? Either government or Protection Cluster (or Sub-Cluster)?	
2	If no referral pathways are in place, have you carried out an <i>actor mapping</i> <sup>2</sup> to identify all the key actors directly or indirectly involved or who have influence over a particular protection problem?	
3	Does the referral process ensure informed consent? ( <i>Ensure the survivor is consulted and takes part in the decisions affecting them.</i> )	
4	Have you ensured that everyone within the organization (from drivers to the head of office) understands what is expected of them and of their staff or managers in terms of when and how to refer cases, as well as the organizational limits (i.e. what cases the organization can and can't get involved in)?	
5	Do you ensure that staff members are aware that they should never share sensitive information (including HIV status) with anyone not directly involved in the victim/survivor's care without the victim/survivor's permission? ( <i>Ensure there are steps in place to protect medical/other records, including during emergencies, from falling into the hands of potential/existing perpetrators.</i> )	
6	Does your referral process ensure that specialist organizations are informed by your organization of any information you have so that they can take further action? <sup>3</sup>	
7	Are you giving communities information about where they can go to access other agencies directly?	
8	Are you behaving appropriately by considering the person's culture, age, ability and gender? ( <i>Respect safety, dignity and rights. Treat the patient/survivor with respect. Ensure all communications are done in a safe place. Respect people's rights to make their own decisions.</i> )	
9	Are you following any existing standard operating procedures at all times?	

Adapted from Trócaire. 2014. [Humanitarian Protection Handbook](#).

2. At the planning and information collection stage, think about who the actors are, their influence and relationships.

Carry out one actor analysis for each protection problem. Consider different actors, particularly those at the local level, including community-based organizations, INGOs and NGOs, local media, women's organizations, clubs and groups, academics, social networks, village or community leaders, charities, religious institutions, local businesses, unions, local government officials or departments, police, social services, armies, the UN and ICRC. Identify with whom you will coordinate according to who has the practical means or the mandated authority to respond.

3. Sometimes you may not know which agency to go to, or the issue may concern several. In this case, use humanitarian coordination mechanisms, such as the Global Protection Cluster. At the field level, the cluster will meet regularly to share information.

## References and further resources

**Trócaire.** 2014. *Humanitarian Protection Handbook*.

**IASC.** April 6, 2020. *Identifying & Mitigating Gender-based Violence Risks within the COVID-19 Response*.

**Gender Based Violence AOR, Global Protection Cluster.** 2020. *Rapid Assessment Remote Service Mapping Template* (COVID-19).

**IASC.** 2015. *How to support survivors of gender-based violence when a GBV actor is not available in your area: A step-by-step pocket guide for humanitarian practitioners*.

**IFRC.** 2020. *Hotline in a Box*. IFRC.

# Feedback, Complaints and Response Mechanisms (FCRM) and PSEA

Please see *Feedback, Complaints and Response Mechanisms Guidance* (CRS 2020) in the Protection Mainstreaming section of the [Emergency Field Programming Manual](#) (EFOM) to access this resource.

## Audience



PSEA/safeguarding/  
protection  
focal points



MEAL  
staff



Senior  
managers



Program  
staff

# Responding to SEA Reports (Internal Reporting and Investigations System)



## Tools

- Tool 1: Model report-handling and escalation procedures
- Tool 2: Adapting report-handling and escalation procedures
- Tool 3: Checklist for managing investigations
- Tool 4: Example investigation management worksheet
- Tool 5: Investigation plan
- Tool 6: The PEACE model of investigation interviews
- Tool 7: Interviewing tips and techniques
- Tool 8: Investigation report template

## Audience



PSEA/safeguarding/  
protection  
focal points



Senior  
managers



Administration  
staff



# Tool 1 Model report-handling and escalation procedures

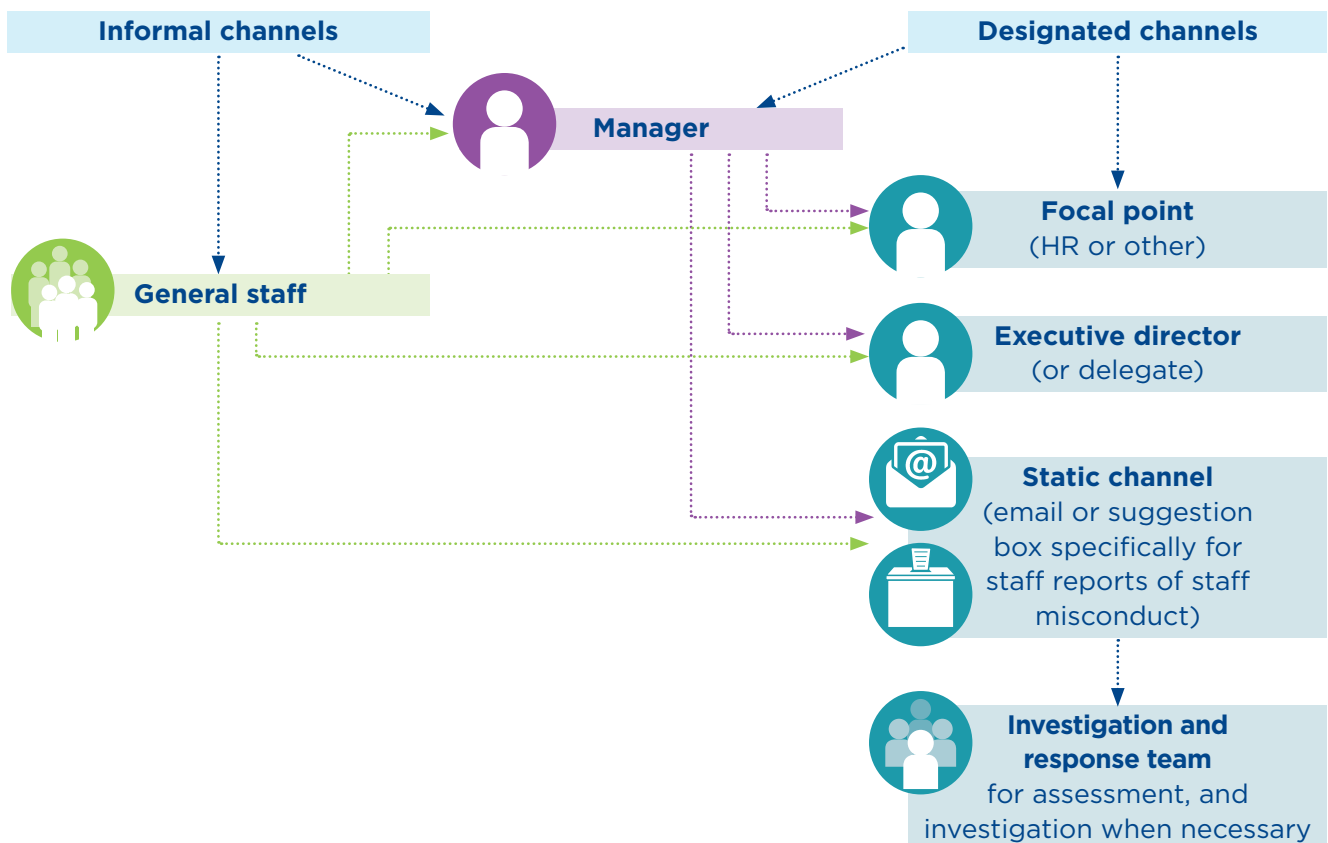
## Purpose

The purpose of these procedures is to outline the core principles and steps that should be taken by staff members who receive reports of potential PSEA/safeguarding policy violations committed by staff, partners, contractors or vendors against other staff, program participants or community members.

The goal is to move reports, including widespread rumors, to those responsible for investigation as soon as possible and as directly as possible, involving as few people as possible, until they get to the safeguarding investigation team, in order to best preserve confidentiality.

*The goal is to swiftly move reports to the safeguarding investigation team.*

## Overview of escalation process



## Responsibilities

### General staff

**Staff who are targeted for harassment or abuse:** To protect their own confidentiality, staff who experience harassment or abuse should report their concerns through one of the designated channels. Ideally, an organization should have both a static channel for making reports and a focal point who can discuss the process with the victim/survivor. The staff member should also be able to go directly to someone in senior management, or their manager. The staff member needs to be aware that any manager, focal point or senior manager is obligated to follow up on the report, which may require an investigation.

*An organization should have both a static channel for making reports and a focal point who can discuss the process with the victim/survivor*

**Staff who receive a complaint from another staff member:** Sometimes a colleague might confide in you about being targeted for harassment or violence.

- Report on your own behalf if witnessed and impacted: You have the right to file a report on your own behalf if you witnessed someone being harassed or abused and it creates an offensive working environment for you. This can also take pressure off the person who experienced it.
- Encourage your colleague to report it directly through an appropriate channel: Help them to find the channel that feels safest. This can include their direct line manager.
- If you feel that your colleague or others are at risk of harm because of another staff member's conduct, consider making a report to the highest level: The targeted person may need to be involved in the investigation, especially if it was not witnessed, but should willingly make that choice. You have a duty to ensure no one is put in harm's way. If you fear the subject of the complaint is causing harm to the victim/survivor and/or poses a similar risk to others, including program participants, you need to make an immediate report to the highest-ranking designated channel (executive director or designate) or use the assistance of the focal point to do so. All actions will be taken with the appropriate respect for the confidentiality, safety, security and well-being of all parties involved, including the reporter.

**If you receive a complaint that involves a victim/survivor who is a project participant, child, community member or member of another organization, you are required to report it through the designated channels:** It is mandatory to report any concerns, suspicions, widespread rumors or direct reports of potential staff misconduct that targets someone outside the organization, especially in connection with work.

- If the report comes directly from a community member to a staff member, the staff member must escalate to the designated reporting channels within 24 hours, and should inform the community member that as staff they are obligated to do so. The staff member can inform the community member that their identity can be protected in this process, if desired.
- If the report comes through a static feedback, complaints and response mechanism (FCRM), the staff member reviewing it should immediately remove it from the FCRM system—to best protect the privacy of all involved—and escalate it within 24 hours to the designated reporting channels.

See chart below: **Receiving a report from a community member.**

**If you are unsure whether the complaint should be reported, discuss your concerns with your designated focal point.** Keep in mind that if it is a credible allegation, or suspicious behavior involving serious misconduct, the focal point is required to report it to the investigation and response teams, and will always take the reporter's and the victim/survivor's safety, security and well-being concerns into account when escalating and preparing for next steps.

### Managers

**Must report to one of the designated channels and should inform the reporter of their obligation:** Managers have a duty to immediately escalate all potential safeguarding policy violations within 24 hours to one of the designated channels, as agreed by senior management. Staff may inadvertently or unknowingly report issues to managers, when discussing concerns. Managers have an obligation, especially if a targeted person is directly reporting their issue to the manager, to escalate it to senior management, who decide how best to address the issue. Managers should immediately inform the staff of this obligation.

Managers should be trained on the investigation process, not because they will necessarily be involved, but so that they can convey the necessary information to their teams and help to dissipate any fears or concerns about the process. The manager should always emphasize that the process will take into account the safety, security and well-being of any victims/survivors, and anyone else who may be at risk in this process.

### Designated reporting channels

**Focal point:** A trained PSEA focal point is probably the most important reporting channel. They can help people who have questions or are uncertain about reporting, and advise them on the process if they have concerns. The focal point should always emphasize that all investigation steps will always take into account the safety, security and well-being of any victims/survivors, and anyone else who may be at risk in this process.

Credible allegations or suspicions of particularly egregious behavior (sexual exploitation, abuse or violence, or child abuse) should be shared with senior management in the response team within 24 hours to determine next steps. Should the allegation or suspicion involve any members of the investigation team, they should not be included in the communication update.

**Executive director (or designate):** Credible allegations or suspicions of a particularly egregious behavior (sexual exploitation, abuse or violence, or child abuse) should be shared with senior management in the response team within 24 hours to determine next steps. Should the allegation or suspicion involve any member of the investigation team, they should not be included in the communication update.

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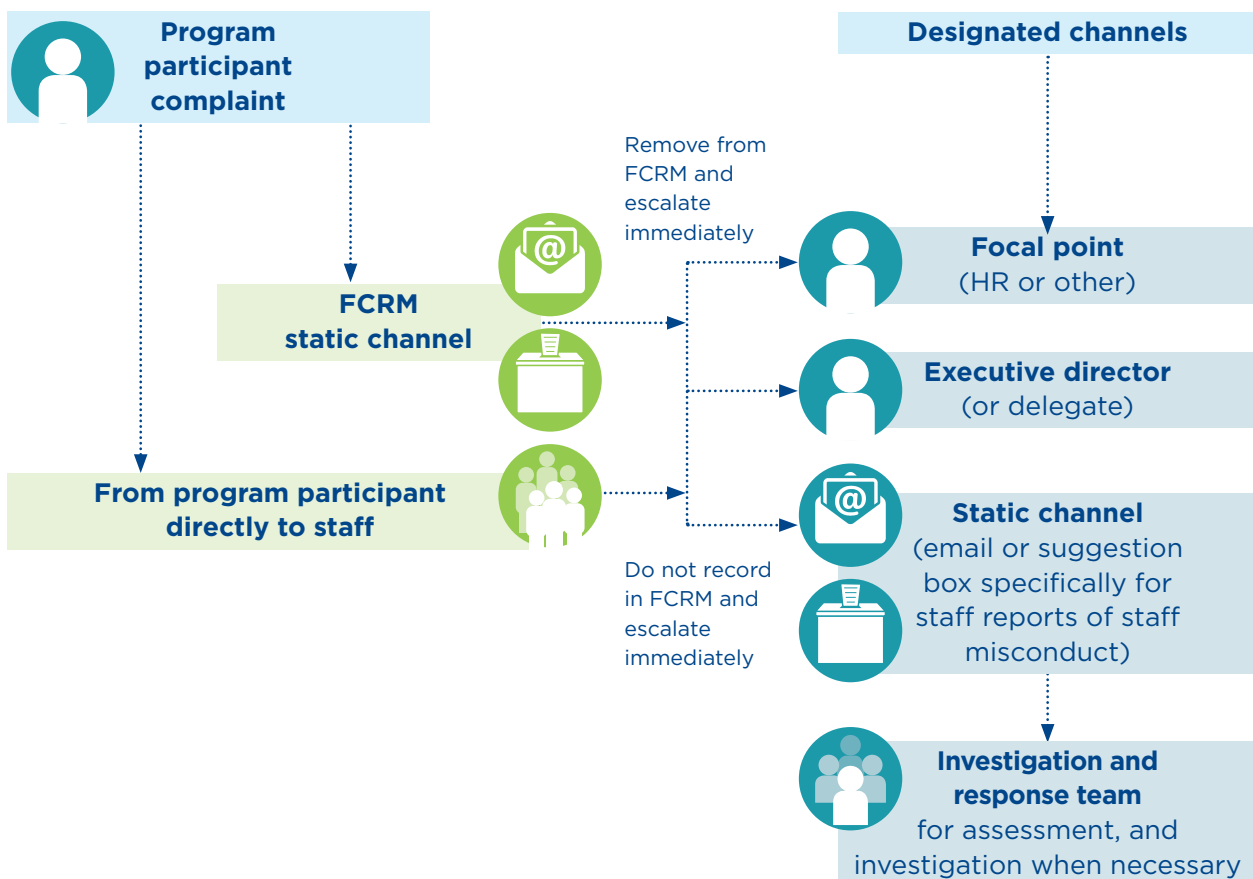
*If it is a credible allegation, or suspicious behavior involving serious misconduct, the focal points are required to report it*

It is also important to ensure the reporter is appreciated for raising the concerns, and the director should express how seriously the organization takes these issues.

**Static channel:** The static channel should be monitored regularly by the focal point or other representative on the response team (a member of human resources) to ensure reports are forwarded to the investigation and response teams for decisions on next steps, also within 24 hours of receipt. It should be a dedicated channel for staff to report concerns, and separate from the community-based FCRM. Because of the nature of the community-based mechanism, many staff would be able to read a complaint of staff-on-staff misbehavior, which can breach confidentiality and fuel gossip. The dedicated staff channel might include a special email address or a suggestion box, both of which enable anonymous reports. Such reports should only be accessible by focal points or HR.

## Handling SEA complaints in the community

### Receiving a report from a community member



## Investigation and response teams

**Investigation team:** It is important to designate focal points to receive complaints and lead an investigation. Sometimes, the composition of the team will need to be adjusted to include special skills (language, interviewing women or children, etc.). To maintain independence, those who may have a close relationship with the reporter or the subject of the complaint or have supervisory oversight should not be involved in the investigation team. Ideally, interviews should include two interviewers.

**Response team:** The response team should typically comprise those who oversee the investigation, reach conclusions and take any necessary disciplinary action, although the investigation team may make recommendations. Should the investigators need specific documents for review from other teams, typically a member of the response team, as a senior manager, can request such documentation, deflecting the true nature of the request, so as to minimize speculation and exposure of the details of the investigation to other non-related staff. Members of the investigation team then review the documents, as needed. The response team should be limited to three to five senior managers directly responsible for making decisions.

# Tool 2 Adapting report-handling and escalation procedures

The following points with questions should enable organizations to define their report-handling and escalation procedure for staff to report PSEA/safeguarding issues or concerns. These questions refer to the Model Report Handling and Escalation Process and should be used in the consultative process with all staff when developing the Escalation Procedure.

## Responsibilities of staff

- **Staff reporting their own concerns:** Is the above process similar to the existing one in your organization? What is different? What would be challenging for staff when following the recommended procedures? How would you address those challenges?
- **Staff reporting concerns about incidents they have witnessed or that targeted program participants:** Is the above process similar to the existing one in your organization? What is different? What would be challenging for staff when following the recommended procedures? How would you address those challenges?

## Responsibilities of managers

How do your managers currently handle these issues? Do they try to solve them on their own? How well is that working? What are the challenges that you might face with managers in adapting the recommended procedures? How would you address those challenges?

## Designated channels

There are three recommended channels for filing a report, apart from through the line manager: focal point, member of senior management and a static channel (email address or suggestion box).

- Is this a similar process to what your organization already has? What is different?
- Who would you designate to those positions? What static channels would you use?
- What do you think would be challenging for the staff in the recommended procedures? How would you address those challenges?

## Investigation and response teams

- What process would you use to form your investigation and response teams?
- Who would be on these teams? Would you keep them small or draw from a larger pool?
- How would you adapt the teams if one of the member's independence in the investigation might be compromised?

# Tool 3 Checklist for managing investigations

## MANAGING AN INVESTIGATION

### Receive the allegation

- Is there enough information that there is a **credible allegation** to begin an investigation? A credible allegation includes enough information to identify the specific, alleged perpetrator(s), specific misconduct and either a specific victim/survivor or a specific target group, within a certain time period. It is credible if it could possibly occur (i.e., the perpetrator had the opportunity to commit misconduct).
- If it is a **vague allegation** that does not identify a alleged perpetrator(s) and/or the specific misconduct, consider:
  - The designated investigator returns to the reporter for more details, especially a third-party reporter; the person who returns to a victim/reporter should be the same investigator for the duration of the investigation; OR
  - If unable to reach the reporter, consider:
    - Broad awareness-raising sessions with potentially involved staff about standards of conduct and reporting mechanisms if they have suspicions of misconduct.
    - Surveys or focus group discussions with the target population about their experiences with the program and staff.
    - Document the review, narrowing down people who could be involved, and identifying any past complaints or HR issues.
    - The investigator conducts discrete interviews with a few staff members to see whether they have any concerns in the field or in the office.
- Once there is a credible allegation:
  - Identify:
    - Potential policy violations.
    - Whether there is potential criminal conduct that requires reporting to law enforcement.
  - Begin preparing an investigation plan.

### Information gathering versus investigating

Keep in mind that it can be difficult to distinguish between gathering more information and beginning the investigation. Generally, when you begin interviewing others besides the original reporter, that is an investigation. However, when there has been a very serious allegation (such as an unidentifiable staff member is sexually exploiting or abusing program participants or children in the program), more follow-up may be required before the actual investigation can begin. At a minimum, hold refresher sessions with staff on expected conduct and ways to report misconduct, so that other staff can report if they have observed something. The degree of follow-up should always be proportionate to the type of misconduct alleged. An initial allegation that lacks sufficient detail does not relieve the organization of some degree of follow-up, even if there is not a full investigation.

## Prepare an investigation plan

Keep in mind the following points when preparing the investigation plan:

- **Safety of all involved is the priority:** How you conduct the investigation should always consider the safety of the victims/survivors, reporters, witnesses, investigators, the subject of the complaint and colleagues. Safety concerns should determine the order of interviews and the amount of information on the allegations shared with interviewees. Safety is the responsibility of managers.
- **Confidentiality:** Confidentiality is an important part of security. Ensure that only those that need to know are informed of identities, and of the content of allegations and statements made during the investigation.
- **Criminal conduct:** Do the authorities need to be informed or involved in the investigation? You should never jeopardize an investigation that law enforcement will ultimately lead. If the misconduct will be reported to the authorities by either the organization or the victim/survivor, the investigation plan should identify this action and any actions taken to suspend the suspect, and should list any relevant documents, computers, phones, etc., that have been sought/confiscated. If law enforcement takes the lead on the investigation, you can suspend the suspect, in compliance with labor law, and await the outcome of the investigation.
- **Compliance with labor law:** Ensure the investigation approach and plan comply with local labor law and internal policies about when the subject of the complaint needs to be informed, type of information shared, etc.
- **Donor reporting:** Is the implicated staff member funded by a donor who requires mandatory reporting of all allegations? Prepare and send the notification of the credible allegation as soon as possible, and inform the donor that you will share a copy of the investigation plan when ready.

## Identify the investigation and response teams

- **Investigation team:**
  - **Trained investigators:** There is a team member who knows how to conduct an investigation.
  - **Language skills:** Are there special language skills needed for some interviews?
  - **Special expertise:** If children are involved, only those well-versed in interviewing children, such as a child psychologist, should participate in those interviews.
- **Response team:** This should include only those who will make decisions on outcomes and disciplinary procedures, and have authority to take the necessary actions during the investigation (require interviewees to stop regular work). It will not necessarily include the suspect's supervisor.



## Identify risks in the investigation process

- **Safety risks:** Decide how best to protect the victim/survivor, in accordance with their wishes. (See also below on support services for victim/survivor and interim steps for suspect). Decide how best to protect community members and other staff from potential future harm, and what safety concerns there are for witnesses and investigators.
- **Operational and program:** Decide whether the investigation requires a temporary suspension of activities. How will that affect the community? How can the investigation be conducted with the least interference with activities, while also ensuring the safety of community members and staff? What sort of information should be shared to avoid unnecessarily alarming staff and the community?
- **Legal:** There is also the risk that the subject of the complaint may take legal action against the organization, and may have grounds to if proper procedures were not followed and there was not compliance with applicable laws. In some cases, there may also be a risk to the victim/survivor of a defamation claim.
- **Reputational and media:** Confidentiality by team members is extremely important and should be stressed because rumors can circulate in the communities, affecting the population's trust in the agency, and even making media headlines. A robust investigation response will help ensure the organization does not receive further negative attention, besides that already generated by the incident itself.

## Identify support services for victim/survivor

- **Medical and psychosocial services:** Map services in the area prior to any incidents so that such a referral and contact information can be offered to a victim/survivor as soon possible. If the referral requires the organization to reach out to the service provider on behalf of the victim/survivor, the victim/survivor must consent to the sharing of their information.

## Identify interim steps for the suspect

- **How serious is the alleged misconduct?** The more serious, the more you should consider suspension to avoid potential further harm.
- **Has the subject of the complaint threatened the victims/survivors or witnesses?** If threats of retaliation or of more serious harm have been made, consider suspension.
- **How affected is the victim/survivor by the misconduct?** It may be particularly traumatic for a staff member to continue working alongside the subject of the complaint pending the investigation. If necessary, suspend the suspect as suspension of the victim/survivor could be seen as retaliation for them making the report. Should the victim/survivor request leave, this should be honored.
- **Can people be protected by reassigning the subject of the complaint during the investigation?** For instance, if the subject of the complaint has been accused of unsuccessful attempts to exploit program participants, preventing their access to the field and interaction with participants may be appropriate. This will enable more information to be gathered before the subject of the complaint is informed of the allegations.
- **Suspension of the subject of the complaint will likely require an explanation.** At a minimum, the subject of the complaint will need to be informed of the nature of the allegations and the policies potentially violated, even if not interviewed at the time of suspension. That can suggest to them who may have filed a report against them.

## Identify the documents to be reviewed

Safeguarding investigations are typically people-centered, but documents can help corroborate facts, such as times and locations, and provide more context for the investigators to understand the circumstances in which the allegations arose. Documents can also help identify gaps in procedures on corrective measures so that the risk of similar misconduct can be reduced in the future. To protect confidentiality, documents should be requested by senior managers for broader review reasons. Usually, the request should include a broad range so as to limit speculation by those outside the investigation around why they are being requested.

- **Relevant program documents:** If an investigator is not familiar with the program in which the allegations originated, program documents, such as programmatic reports and standard operating procedures will give them an understanding of the scope of program activities and help them understand the rules in place, whether those were followed, and whether that was a contributing factor for the safeguarding violation occurring.
- **Relevant records, lists, logs and attendance sheets:** Corroborating time, place and individuals involved through records or other documents can be helpful evidence. Significant gaps in record keeping or apparent falsification of documents could also be relevant to the investigation.
- **Human Resources files for the relevant parties:** Review HR files for dates of hire, instances of prior misconduct, signed policies (such as code of conduct), and training attendance records on relevant policies.
- **Review public social media postings:** Review public postings on social media, where the subject of the complaint may unknowingly have posted incriminating images or messages.
- **Any documents provided by victim/survivor and/or witnesses:** Victim/survivors may share screenshots of text messages, email messages, social media messages, etc. Similarly, witnesses may be “friends” with suspects on social media, and may be able to provide screenshots of images that might not be publicly available.
- **Searches of emails and phone records:** When appropriate, and consistent with internal policies, searches can be conducted of email records and phone/text logs (where the organization pays for phone bills and receives the records directly). Searches should be done using specific time periods, specific persons in the “to” and “from” lines, and relevant keyword terms.

## Identify the interviewees, order of interviews and place

- **Interviewees and order of interviews:** Generally, first interview the person making the allegation (who may also be the victim/survivor), then the witnesses, the subject of the complaint and any additional witnesses the subject of the complaint identifies. When the subject of the complaint is immediately suspended, it may be necessary to interview them earlier on. Some investigators prefer this approach, as the subject's statement is placed on record and can be held against contrary evidence during a second interview. However, there may be a concern that giving the subject of the complaint too much detail at the start of the investigation may allow them to influence other witnesses. These issues should be considered on a case-by-case basis. Here are some considerations:
  - **Most detailed accounts:** Who has indicated that they have the most detail to share about the allegations? Interview them early in the process.
  - **Most cooperative witnesses:** Who seems to be in possession of information that could aid the investigation and appears now, or has in the past been, willing to help counter misconduct. Those closest to the subject of the complaint may share with them information from the investigator. Thus, get as much detail from cooperating witnesses to identify when associates of the subject of the complaint may be providing information contrary to that supplied by most witnesses, and undermining their own credibility.
  - **Interview most team members:** To prevent the reporter of an allegation from being identified, the investigation team may decide to interview all colleagues who work closely with the reporter and not just the witnesses. This helps deflect attention away from a single individual.
- **Interview the subject of the complaint when you have sufficient detail of allegations:** While it may be helpful to interview the subject of the complaint early to place their statement on record so it can be held against later contrary information, it is only helpful when there is sufficient information to credibly make the allegation. If there is a detailed account from the start from the victim/survivor, interview the subject of the complaint earlier in the process, especially if suspending them. However, you may need more details from witnesses to understand the full breadth and scope of the allegations in order to ask appropriate questions.
- **Be cautious about sharing too many details with the subject of the complaint or their close associates if there are safety concerns:** There may be significant security concerns in the community for the victim/survivor or witnesses that may limit the information you can share with the subject of the complaint. Yet, for the subject of the complaint to adequately respond, it is necessary to give them sufficient information of the allegations against them. It can be difficult to balance these needs: you are not required to identify the witnesses; you only need to ask questions about whether or not the subject engaged in certain behaviors, without naming names, which they can either admit or deny. Always prioritize protecting the victim/survivor and witnesses when their physical safety could be at issue.

- **Place:**
  - **When interviewing community members, ensure the location is safe and private.** You may not want to interview them in your office due to concerns for their safety and well-being. If you meet in a public place, ensure there is some privacy so that your conversation can't be overheard.
  - **If interviewing other staff, conducting the interview in the office may be appropriate, as observers would not be able to single out the reporter.** Nevertheless, ensure the interview room is private and that confidential conversations cannot be overheard. If you are only interviewing a few staff member witnesses, conduct the interviews as discretely as possible, which may mean conducting them away from the office.

## Identify the resources needed

- **People:** Account for the time staff will need to prepare investigation plans, conduct interviews, take notes, update the response team and finalize the investigation report. If this is not their full-time job, they may need other team members to do some of their work. Also keep in mind the time needed by interviewees to participate and how that impacts on daily and weekly workplans.
- **Travel and interview locations:** Do people need to travel to conduct interviews? Keep in mind those logistical arrangements and the best place to conduct interviews, and whether an off-site, confidential location needs to be identified.
- **Document requests:** Keep in mind the time it may take to secure documents for review.

## Identify a timeline (or estimate) for the investigation

While an investigation should be started and concluded as quickly as possible, there are often unforeseen issues, such as the ability to secure the availability of a trained investigator, new witnesses arising, and the necessary time for document review and writing an investigation report, especially when juggling other duties. Be realistic about the duties of your staff when setting the timeline. The more complicated cases may take longer.

- **Period for review of related documents and materials:** This may need more or less time, depending on how well the investigator knows the context and circumstances of your work, and whether there is a lot of analysis of documents.
- **Interview time period:** It is best to conduct all interviews within a limited period, as word will get around quickly.
- **Investigation report finalization:** Consider the length of time needed to compile the final report.

## Identify communication plans

While each communication plan does not need to be done in great detail, it is important to think about the different messages you need to share with different audiences, while maintaining the greatest amount of confidentiality.

- **Updates for response team:** In outlining communication plans, it is important to discuss how the investigation team will regularly update the response team, especially when security, confidentiality or issues arise during the investigation that need senior management support. Depending on the seriousness of the allegations, daily to bi-weekly (twice a week) updates could be scheduled, with at least one member of the investigation team and one member of the response team.
- **Communication with victim/survivor:** It is important to designate a single point of contact with the victim/survivor. After their initial interview, it is important to provide a rough timeline of how long the investigation is expected to take, and when they can expect to hear back with an update. It is also important to provide regular updates to the victim/survivor, especially if the timeline changes. While results of investigations, including disciplinary actions, are typically confidential, it is becoming more common to share the final results with the victim/survivor so they understand what happened in the case. In cases involving sexual harassment of a staff member, it is also becoming more common to ask the victim/survivor about their expectations for resolution of the case, especially if they would like to explore a restorative resolution process.
- **Communication with suspect:** If the subject of the complaint is suspended, they should be informed of the nature of the allegations (from a code of conduct violation to mentioning the specific policy provisions), with the specificity depending on the need to protect witnesses/gather more information balanced with procedural concerns in policies and required by applicable law.
- **Communication with impacted team:** Sometimes allegations require interviewing a whole team, and even suspending activities to do so. That team deserves transparent communication—even if that communication simply describes that there have been some allegations received, explains that they must be followed up on, and that the team’s cooperation is expected. Explain that you can’t share more, because these types of inquiries are always confidential.
- **Communication with all staff in the organization:** Similarly, a certain amount of transparency with the entire staff may be required, as the investigation may become public. This depends on the degree to which investigative actions can be done discretely as opposed to becoming common knowledge. Remember that in the absence of communication, people will speculate. This is a chance to send the message that the organization takes such allegations very seriously, will act swiftly with investigations and ensure anyone who has violated policies and expectations about safe and professional behavior will receive appropriate sanctions.

## OVERSIGHT AND SUPPORT OF INVESTIGATIVE PROCESS

**Allow independence of the investigation team, with regular updates, including requests for additional support, with the response team.** While the investigation team should be allowed to do its work reviewing documents and conducting interviews, regular updates with the response team can help identify any additional resources needed and any additional documents for review, and allow continual review of safety and confidentiality concerns that may arise.

**Revise the investigation plan with additional interviews and document requests as needed.** The investigation team should allow sufficient time in the schedule planning to accommodate additional interviews with persons of interest who are identified during the interview process. The investigation plan can be continually revisited to add additional allegations, documents, evidence reviewed, and interviews conducted.

## CONCLUDING AN INVESTIGATION

The investigation team prepares factual findings and can make recommendations on conclusions of violation of policy, disciplinary sanctions and corrective measures.

### Factual findings

The bulk of the work of an investigation is making factual findings.

- **Use a reasonable inference standard:** To determine whether something did or did not happen, use a reasonable inference standard: it is also called a “more likely than not” standard. When drawing those reasonable inferences, also look to possible motives and logical inconsistencies. Does the explanation make sense, especially if all other evidence leads to another inference?
- **Corroboration of evidence:** Major facts should always have some corroborating evidence: another witness; written documentation; another person recounting events close in time to the actual occurrence that are consistent with the current story. Not every element may be able to be corroborated, because these types of incidents usually occur in private and without witnesses. But often there is a pattern of conduct leading up to it, or parts of the behavior that can be corroborated. That type of corroboration lends credibility to the victim/survivor and/or witnesses. When most of the victim/survivor’s story can be corroborated, by reasonable inference, you can conclude that the part which no one else observed likely happened.
- **Citing contradictions and untruths:** In addition to citing the corroboration aspects, be sure to point out when people’s stories are contradicted by nearly every other witness. People who are not telling the truth begin by lying about minor details that they don’t think they should admit to (but actually don’t matter to the investigators). When they tell what is clearly a lie about something unimportant, it casts doubt on their credibility.

## Conclusions

- **Substantiated:** After analyzing the factual findings, is it more likely than not that there was a policy violation? Do the facts add up to the definition of sexual exploitation or abuse or sexual harassment? *More likely than not* means that one version of the story is more probable than the other, because there is sufficient corroboration of sufficient details (not necessarily all).
- **Unsubstantiated:** After analyzing factual findings, is it more likely than not that there was NOT a policy violation? When the facts are added together, was there NOT a policy violation? *More likely than not* means that one version of the story is more probable than the other, because there is sufficient corroboration of sufficient details (not necessarily all). These are the cases in which either the facts as stated and corroborated by the victim/survivor or witnesses did not violate policy OR it is more likely than not that NONE of the facts alleged occurred at all. This can border on a malicious complaint if filed by a staff member, and could be considered for a separate investigation and disciplinary sanctions if the person knowingly lied.
- **Unsubstantiated for insufficient evidence (inconclusive):** This is a common finding: the evidence presented by the victim/survivor is compelling and credible, but there is no way to independently corroborate any detail provided. It still leaves concerns of potential misconduct, and there is often a lesser, substantiated misconduct that can be corroborated and potentially disciplined.

## Response team needs to take ownership of conclusions, disciplinary measures and corrective measures

### Consider disciplinary sanctions

- **Ensure compliance with applicable laws:** While the investigation may reach the threshold required by the organization's internal standards for employment to be terminated, some countries' laws may require more proof before this can occur.
- **Weigh up these factors:**
  - Seriousness of the misconduct (exploitation, violence, extreme harassment)
  - Prior misconduct
  - Frequency of misconduct
  - Position of the subject of the complaint: the higher their position, the greater is their obligation to treat people with respect and dignity
  - Internal procedures and practices
  - Ability to accept responsibility and reform versus continued denial
- **Consider possible sanctions:**
  - Termination of employment
  - Unpaid suspension
  - Demotion and/or ineligibility for promotions for proscribed time period
  - Transfer of duties and/or location
  - Warning letter to file
  - Training requirements
  - Counseling requirements
  - Performance plan
  - Participation in restorative resolutions



### ■ **Corrective measures**

Look at ways to mitigate future occurrences of such behavior:

- Trainings with staff on policies
- Awareness sessions with program participants and communities on their rights and responsibilities, including how to report concerns about programs or staff
- Strengthening feedback, complaints and response mechanisms in communities
- Strengthening internal reporting systems on staff misconduct
- Ensuring gender balance in recruiting staff in the field and to positions of authority
- Adjusting procedures and protocols to ensure staff are not alone with program participants of the opposite sex
- Reinforcing trainings for managers for red-flag behavior that they should stop before it escalates



# Tool 4 Example investigation management worksheet

Issue	Who	What	When	Where
Consider whether a vague allegation needs further information before being deemed credible				
Mark donor notifications, where necessary				
Establish investigation and response teams				
Conduct risk analysis on safety concerns and program activities				
Decide whether support services are needed for victim/survivor				
Identify interim steps for suspect				
Identify documents for review				
Identify interviewees, including place and order				
Identify timeline				
Identify resources needed				

Update plan between investigation team and response team, including on security concerns				
Plan for communication with victim/survivor				
Plan for communication with impacted team				
Plan for communication with all staff				
Plan for communication with the subject of the complaint				
Ensure continued oversight and support of investigation steps (interviews and document review)				
Conclude the investigation with findings, conclusions and recommendations in investigation report				
Implement disciplinary sanctions				
Implement corrective measures				

# Tool 5 Investigation plan

**Date:** Date prepared

**Case number:** Using internal case-numbering system

**Location:** Specific office/location involved

**Investigation team:** Names of people involved in the investigation process: those conducting interviews and analyzing information

**Response team:** Names of people involved in managing the investigation, including obtaining the necessary resources, securing any needed resources/documents for review in a discrete manner, and making decisions on the outcomes (conclusions of policy violation, disciplinary sanctions and details of corrective measures).

## Investigation objective

“To examine the facts and circumstances and determine the accuracy, scope, and completeness of the allegations and, if true, to ensure that the full scope of the misconduct is identified, appropriately addressed and corrective measures put in place.”

## Allegations

Each potential incident and/or policy violation should be identified separately and numbered. A brief citation of the potential policy violation should also be included. Try to write briefly, concentrating on who, what, when, where, how it was reported, and how it is known, if reported by a third party.

- **Complainants** (where known) If there are specific concerns about security, their names could be withheld in this document and referred to by status (staff, female project participant, male child project participant, etc.)
- **Subject of the complaint** Name, position and program (if relevant)
- **Steps taken prior to current investigation phase** Here it is important to detail the steps that were taken prior to preparing the investigation plan. Include date, action, involved persons in chronological order.
  - For instance, if there needed to be a clarifying conversation with a reporter, or if there was an awareness session done with staff that produced more specific allegations against a specific staff member.
  - It should include any referral support you provided to the victim/survivor, and advice on the right to file a criminal complaint if criminal conduct was involved.
  - Steps taken for safety concerns or to protect the integrity of the investigation should be listed: it can include suspension or reassignment of the subject(s); leave granted to victims/survivors; no-contact orders for the subject of the complaint with victim/survivor.
  - It should also include any reports to donor agencies about the allegations.

## Donors and grants potentially affected

For the subject of the complaint, identify the donors and grants that fund their salary. Where donors have mandatory reporting requirements, ensure that the donor notification step is included above.

## Investigation approach

### Background and context

This can be more relevant for investigators who may not be familiar with the local context of the program and operations. The investigation team will begin by obtaining an understanding of the potential timeframe, operational context, and environment in place as they relate to the allegations. Activities will include the following:

1. Finalize a timeline showing:

- Tenure and relationship of key staff
- Key events (complaints, security incidents, extended absences, etc.)
- Timing of the issues cited in the allegations or otherwise related to the allegations

2. Review:

- Local policies and procedures to understand roles, authority level and reporting lines of each staff
- Any programmatic documents about the scope of the program affected

### Specific allegations

After obtaining an understanding of the background and context, the investigation team will examine the allegations to determine the extent to which policies may not have been followed and whether wrongdoing occurred. As each allegation is addressed, the scope of the investigation may need to be expanded.

1. Document review: Can include things such as:

- HR files for subject of the complaint, complainants, and reporters (where relevant)
- Standard operating procedures for applicable program activities
- Standard procedures for operational activities (procurement, finance, logistics, etc.)
- Safety and security protocols
- Logs of complaints for the feedback, complaints and response mechanisms
- Monitoring and evaluation reports, especially survey results and/or raw data from surveys
- Drivers' logs, guesthouse logs, invoices, expense reports, program participant distribution lists, program participant registration lists, training attendance sheets, etc.
- Documents or documentation provided by reporters or witnesses

2. Interviews: List all identified persons for interview known at the beginning of the investigation. Additional interviewees may be identified as the investigation proceeds. Refer to *Interviewing tips and techniques* and *Checklist for managing investigations* for tips on scheduling the order of interviews.
3. Electronic records, if needed: Should the investigator determine it warranted, access to and review of emails or phone records that might contain evidence of the wrongdoing will be obtained, in accordance with local law.
4. Investigation timetable: Investigations can change and run into obstacles, so try to include broad and realistic ranges for things such as document review, conducting interviews and finalizing the report.

# Tool 6 The PEACE model of investigation interviews

The PEACE model was developed in the early 1990s as a collaborative effort between law enforcement and psychologists in England and Wales. It was conceived as a way to reduce the number of false confessions that were resulting from an overly aggressive style of interviewing. PEACE stands for Prepare and Plan, Engage and Explain, Account, Closure and Evaluation.

## Prepare and Plan

Before beginning any investigation interview, ensure you have deep knowledge of the case.

- Create a schedule of topics you will need to cover.
- Identify the purpose, aims and objectives of the interview.
- Decide what needs to be proven or clarified, what evidence is available and where it is, and how to get any other evidence needed.

## Engage and Explain

- Build rapport with the interview subject by introducing yourself and anyone else present and explain the purpose of the interview.
- Engage the interview subject in conversation to set a relaxed and non-confrontational tone that makes the subject feel comfortable and willing to communicate.

## Account

Find out what happened by asking your interview subject to recall the event in full detail.

Encourage the subject's recollection using one or both of these two methods:

- **Cognitive approach** Ask the subject to describe the event. Don't interrupt or ask leading questions, but use pauses to encourage the subject to fill in gaps. Then, ask them to recall the event again, but in reverse order or from a different perspective.
- **Conversation management** Ask the subject to tell you what happened. Then divide the story into sections and ask for more detail about each section. Probe and summarize each segment to fill in all the gaps. Ask the subject to clarify any contradictory information.

## Closure

- Summarize the main points of the subject's account and allow them to correct errors or provide additional information to clarify any inconsistencies.
- Answer questions and address any concerns they may have. Thank the subject and explain the next steps.

## Evaluation

Evaluate each interview and the information provided. Take this opportunity to reflect on your performance and identify areas where you need to improve.

- Did you achieve your objectives?
- Were you successful in building rapport?
- Do you need to conduct more interviews or make other inquiries?

# Tool 7 Interviewing tips and techniques

## Preparing for interviews

- **Topics to be covered:** Be sure you have as much information about the details of the allegations: dates, times, places, words used, actions done, witnesses present or nearby, who else the victim/survivor spoke to about the incident, etc. Prepare a question list, but don't forget to ask follow-up questions for the necessary details. Understand the details of the allegations and pursue this as an exercise in gathering the full story from different perspectives. A good interviewer requires good critical thinking skills to respond to statements made, and should not simply follow a list of questions.
- **Review documents as much as possible prior to conducting interviews:** If dates on logs, statements made in text messages, or other such information can be helpful to corroborating and/or establishing facts, it is good to review it prior to relevant interviews, if possible. If that is not an option, ask the interviewee if they could attend a potential second interview, should there be any additional questions or help you might need.

## Establishing rapport

- **Thank the witness for attending the interview** *Thank you for coming today and speaking to us/me. We very much appreciate your willingness to speak with us today and help us.*
- **Introduce yourself** Explain who you are, offer your card with contact details, and introduce any other investigators, observers or interpreters present.
- **Honesty and accuracy** Staff members have a duty to cooperate and an obligation to tell the truth. For witnesses who are not staff members, simply thank them for their time and explain it is important for them to be accurate.
- **Confidentiality** Staff members have an obligation to refrain from communicating with other persons interviewed in the framework of the same investigation. Explain that the investigation process is confidential for both witnesses and investigators alike. Describe who you are, as the investigator, and who you may have to share information with and why. If they are staff witnesses, explain that breaching confidentiality can result in disciplinary measures. Non-staff witnesses cannot be obliged to maintain confidentiality, but the investigator should explain the importance of confidentiality to a fair process.
- **Purpose of note-taking** Explain who will be taking the notes, e.g. the interviewer or the second interviewer. Explain that the purpose of taking notes is to ensure accuracy when the investigation report is written up and to offer the witness a chance to verify the accuracy of what is written in the statement.
- **Acceptable to state when answer not known** Clarify to the witness that it is acceptable if they cannot remember or do not know a particular piece of information.
- **Right to ask for a short break** Tell the witness where the bathroom facilities are, offer them water, and explain that they can ask for a short break if they need it.

- **Open with general questions** Start by asking non-threatening questions to put people at their ease. *For staff*, usually start by asking how long they have been employed by the organization, the types of roles they have had and what their current duties are. Ask for some detail about their current duties and how they carry out their work, in preparation for more pointed questions later about whether they have any concerns about other staff in specific types of activities or behaviors. *For non-staff*, ask them a bit about themselves, their background, and how long they have been living in the community.

## Free narrative technique

Approach the interview as if you were a journalist seeking to understand what happened, not a police officer trying to coerce a guilty confession. Research has shown that people who are telling the truth generally have a lot of details to share, and are very willing to do so when given the chance to speak freely.

### “Opening the door”

Sometimes, you may not be sure what a witness may have to share, and whether they will be truly confident about their statement. Ask them if there is anything that they have seen that raises concerns that they would like to share with the investigator. They will likely tell you the story and what they know about the allegations without you ever having to ask them directly.

### Conversation management

While it is important to let people tell their story, you may need to interrupt them from time to time to ensure that you get all the necessary details: who was present, what happened, what was said, when and for how long, where, how they know this. For every piece of evidence stated, you should at least try to have the interviewee cover all of these points, to the best of their ability. Exact dates can be hard to remember, if not documented, but sometimes, even rough estimates of time periods can be helpful in setting the stage.

### Specific questions

In some settings, the interviewee may already know what you are investigating and you can begin by asking more specific questions. Some may need further encouragement in the areas you are exploring. When you move onto specific questions, there are two types:

- **Open:** For example, *How did things go in distribution in the last month? Did anything concerning happen? How are the gender dynamics in the office? or Tell me about the events that happened last Wednesday afternoon at the office.*
- **Closed:** These are questions that ask for specific details, and are usually part of follow-up questions or conversation management: For example, *Who else was present? Did you personally witness these events? Where were you standing?*

### Details on small incidents or minor things can be telling

When some witnesses give you small details about behaviors that could be connected to misconduct, but are not misconduct in themselves, suspects may even deny those in their attempt to avoid all suspicion, even though there is overwhelming evidence that those actions took place. Such lies, even minor ones, can undermine their credibility and should be taken into account when weighing the evidence.



### Special considerations when interviewing victims/survivors

- Keep away from “why” questions and use “what” questions instead.
- Take breaks if there are signs of retraumatization.
- Convey empathy while maintaining an objective view of the facts.
- Recognize that their experience and telling their story has had an impact on them.
- Explain the process, without making promises, and explain when there will be an update.
- Let them know who they can contact if they have questions.
- Especially in the case of staff, ask about what they would like to see happen.
- Ascertain their safety concerns and whether they need medical or psychosocial support services.

### Be sure you have the details

- The details are vital as they can be corroborated by documentation or other witnesses.
- Consider asking an interviewee to draw a scene or occurrence; those who are lying may have a harder time drawing and keeping the story consistent.
- Be sure to periodically repeat statements and facts back to the interviewee to ensure that you are capturing details correctly.

### Be strategic with confrontational questions

- Providing information at the beginning of an interview can allow the subject of the complaint to quickly craft an alibi consistent with the evidence.
- Don't challenge the person until the end.
- At the end, present the person with inconsistencies, incriminating statements, and/or incriminating evidence.
- At the challenge stage, present the evidence piece by piece; don't overwhelm them with all of incriminating evidence at once.
- Sharing the evidence incrementally increases the likelihood that a person will make additional inconsistent statements.

## Summary and closure

Examples of statements and questions with which to close the discussion:

- *I am going to sum up now, please tell me if I get anything wrong.*
- *I have summarized what I think I heard you say. Did I leave anything out? Would you like to correct anything?*
- *Do you have any questions for me?*
- *Thank you for your time.*
- *Is it okay to contact you again if I have any further questions?*

# Tool 8 Investigation report template

## Executive summary

An executive summary is a concise overview of the investigation from inception to conclusions and recommendations, and is only necessary when the report is long. The summary provides the key talking points for those in senior positions to understand the basic results of the investigation. It should be written last, and address the following points, in brief:

- Allegations
- Time period of investigative actions
- Factual findings
- Conclusions
- Recommendations (including disciplinary sanctions)

## Allegations

This is a summary of the allegations, as contained in the investigation plan. If additional allegations surface during the course of the investigation, they should also be added, with an explanation of how they arose. If there are multiple allegations, each should be listed with a separate heading, and discussed and analyzed separately, even if some of the evidence is overlapping.

## Investigation and response teams

List the members of the investigation and response teams.

## Background of activities

As the report may be shared with donors, include a couple of short paragraphs about the scope of work of the organization generally, and a brief description of the program in which the allegations arose.

## Steps taken prior to investigation

This can be taken from the investigation plan, adding in any additional steps that were taken after the investigation plan was written, but before the investigation began.

## Relevant policies and procedures

Include excerpts of the applicable policies that may have been violated. Mention the relevant procedures, protocols, etc., to identify what is working, and what needs corrective measures.

## Investigative measures taken

List:

- Documents reviewed, detailing any specific analysis, and attach annexes of spreadsheets or other data that is analyzed
- Names and positions of interviewees
- Any notable challenges in conducting the investigation (unavailable witnesses, documents, etc.)

## Factual findings

This is the most important part of the investigation report, as the main task of investigators is to gather the evidence and determine the facts. Instead of necessarily grouping by allegations, one approach is to list each fact with an independent heading, and if there are sub-points to those facts, create a separate heading.

For each fact and heading, describe the main evidence that supports that factual finding. Identify corroborating evidence in other witness statements or documents. Present any evidence, such as statements to the contrary. Draw logical and fair factual findings based on the evidence. You can consider both motives and logical inconsistencies. Remember the standard is reasonable inference, which means which story is more likely.

Reports are more manageable when broken down fact-by-fact rather than reciting all of one person's story and then another's. Tell the story, fact by fact.

Use this chart to help track what the facts are, what corroborates them, what is contrary to them and whether that is corroborated. This should be kept separately from the investigation report, but can be a helpful tool when working toward corroborating factual findings using a logical and consistent method.

Fact	In support of	Corroboration	Contrary to	Corroboration	Finding

## Recommendations

### Conclusions

In most cases, you will discuss your factual findings with the response team to determine whether you can conclude that there has been a policy violation. They will ask you to include those conclusions in the final report. If the factual findings have been clearly explained, the conclusion section is just determining whether those facts meet the definition of a policy violation. The choices are substantiated, unsubstantiated, or unsubstantiated for insufficient evidence (inconclusive).

### Disciplinary sanctions

If there was minor policy violation, a severe disciplinary measure does not need to be imposed. Some managers may want to minimize disciplinary measures if there was a policy violation on a minor issue. However, it can send the wrong message to the victim/survivor if there is a lack of understanding of how the disciplinary measures are applied. All sanctions should always be proportionate to the severity of the misconduct.

Ensure compliance with applicable laws: While the investigation may reach the threshold required by the organization's internal standards for employment to be terminated, some countries' laws may require more proof before this can occur.

See *Considering disciplinary actions* above.

