Understanding the PSEA Assessment: Training for IPs

Agenda:
1. Introduction to the IP Protocol on PSEA
2. Operationalizing the UN IP Protocol on PSEA
3. Using the PSEA Assessment Tool
4. Resources
5. Q&A

Thank you for being here, we will begin shortly
Introduction to the IP Protocol on PSEA
Working with partners to make zero tolerance on SEA a reality

“The UN does not partner with entities that fail to address and respond to instances of SEA”
The United Nations Protocol on Allegations of Sexual Exploitation and Abuse (PSEA) regarding Implementing Partners (IPs)

Outline requirements to ensure adequate safeguards and appropriate action in place when working with IPs

Gives UN entities the necessary assurance of partners’ organizational capacities on PSEA

Aims to ensure the UN does not partner with IPs who fail to address or respond to instances of SEA

Takes a harmonized approach on implementing the protocol

Currently only being rolled out for NGO partners
The IP Protocol requires all UN entities to:

**Assess** IPs *before* entering into an agreement to

- Take into consideration the **PSEA capacities** of the IP
- **Inform** the IP of the standards
- Obtain IP’s **written agreement** to comply with the standards

**Monitor** IPs capacity, changes to risks, compliance, reporting mechanisms and handling of any allegations of SEA

**Suspend** or **terminate** if IP breaches the requirements
Step-by-step overview of the process

1. Request for self-assessment
2. Self-assessment and sharing of document
3. Verification and preliminary assessment of PSEA capacities
4. Development of a capacity strengthening plan
5. Monitor capacity strengthening plan implementation (or monitoring of PSEA capacities if full capacity)
6. Reassessment of PSEA capacities

- **Full capacity**: valid for 5 years (or until situation changes)
- 2 weeks
- 2-3 weeks
- 1 week
- Continuous
- 6 months

Continuous
Operationalizing the UN IP Protocol on PSEA
The UN Implementing Partners PSEA Capacity Assessment is a joint standard assessment tool that harmonises the methodology and process and allows common UN partners to be assessed only once.

Increased transparency and reduced processes.

Document available [here](#) in English, French, Russian and Spanish.
Using the PSEA Assessment Tool
Preliminary questions for IP

Two preliminary questions:

1. Does your organisation have contact with beneficiaries?

**Beneficiaries of assistance:** individuals who are direct or indirect recipients of a partner’s or UN entity’s action

- Refers to people who a partner or UN entity works with and/or serves or seeks to assist and are typically in situations of vulnerability and dependence vis à vis partner’s or UN entity’s personnel

- Includes any activities the partner undertakes under a contractual agreement with other entities other than a UN entity.

2. Has your organisation been assessed by another UN entity?
1. Partner **self-assesses**
2. UN entity reviews and **makes preliminary determination** of partner capacity
3. UN documents decision and builds **capacity strengthening implementation plan** with partner
4. UN monitors IP and undertakes appropriate **support activities**
5. UN makes **final determination** of partner capacity.
**Scoring the assessment**

<table>
<thead>
<tr>
<th>Standard</th>
<th>Description</th>
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<tbody>
<tr>
<td>Standard 1</td>
<td>Organisational policy</td>
</tr>
<tr>
<td>Standard 2</td>
<td>Organisational management - sub-contracting</td>
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<td>Standard 3</td>
<td>HR systems</td>
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<tr>
<td>Standard 4</td>
<td>Mandatory training</td>
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<tr>
<td>Standard 5</td>
<td>Reporting</td>
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<tr>
<td>Standard 6</td>
<td>Assistance and referrals</td>
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<td>Standard 7</td>
<td>Investigations</td>
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<tr>
<td>Standard 8</td>
<td>Corrective measures</td>
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</tbody>
</table>

**Yes/No scoring system:**
- 1 Point for Yes
- 0 Point for No
- 1 Point for N/A (standards 2 & 8)

**Determination of capacities:**
- Full capacity: 8 points
- Medium capacity: 6-7 points
- Low capacity: 5 points or fewer
Capacity Assessment - Standards

- CS 1 Organizational Policy
- CS 2 Organizational Management
- CS3 Human Resources systems
- CS4 Mandatory Training
- CS5 Reporting
- CS6 Assistance and Referrals
- CS7 Investigations
- CS8 Corrective Action
### 1: Organizational Policy

**Required:** The organization has a policy document on PSEA. At a minimum, this document should include a written undertaking that the partner accepts the standards in ST/SGB/2003/13.

*(UN IP Protocol para 15 & Annex A.4)*

<table>
<thead>
<tr>
<th>Standard</th>
<th>Yes</th>
<th>No</th>
<th>Supporting documentation may include</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1: Organizational Policy</strong></td>
<td>![ ]</td>
<td>![ ]</td>
<td>□ Code of Conduct (internal or interagency)</td>
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<td></td>
<td>![ ]</td>
<td>![ ]</td>
<td>□ PSEA policy</td>
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<td>![ ]</td>
<td>□ Documentation of standard procedures for all personnel to receive/sign PSEA policy</td>
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<td>□ Other (please specify):</td>
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**Comments:**

1 point

0 points
<table>
<thead>
<tr>
<th>Standard</th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
<th>Supporting documentation may include</th>
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</thead>
<tbody>
<tr>
<td>2: Organizational Management</td>
<td>☐ 1 point</td>
<td>☐ 0 points</td>
<td>☐ 1 point</td>
<td>☐ Contracts/partnership agreements for sub-contractors&lt;br&gt;☐ Other (please specify):</td>
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</table>

Required: The organization’s contracts and partnership agreements include a standard clause requiring sub-contractors, to adopt policies that prohibit SEA and to take measures to prevent and respond to SEA.

(UN IP Protocol para 11; 15; & Annex A.1)
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<tr>
<th>Standard</th>
<th>Yes</th>
<th>No</th>
<th>Supporting documentation may include</th>
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</thead>
</table>
| **3: Human Resources Systems** | ☐ 1 point | ☐ 0 points | ☐ Reference check template including check for sexual misconduct (including reference from previous employers and self-declaration)  
☐ Recruitment procedures  
☐ Other (please specify): |

**Required:** There is a systematic vetting procedure in place for job candidates through proper screening. This must include, at minimum, reference checks for sexual misconduct and a self-declaration by the job candidate requesting that they confirm that they have never been subject to sanctions (disciplinary, administrative or criminal) arising from an investigation in relation to SEA, or left employment pending investigation and refused to cooperate in such an investigation.

*(UN IP Protocol para 11; 15; & Annex A.2)*
## CS4 Mandatory Training

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<th>Standard</th>
<th>Yes</th>
<th>No</th>
<th>Supporting documentation may include</th>
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| 4: Mandatory Training | ☐ 1 point | ☐ 0 points | □ Annual training plan  
□ Training agenda  
□ Training package  
□ Attendance sheets  
□ Training certificates  
□ Other (please specify): |

**Required:** The organization holds mandatory trainings (online or in-person) for all personnel on PSEA and relevant procedures. The training should include: 1) a definition of SEA (that is aligned with the UN’s definition); 2) explanation on prohibition of SEA; and 3) actions that personnel are required to take (i.e. prompt reporting of allegations and referral of victims).

(UN IP Protocol para 17 & Annex A.5)
### CS5 Reporting

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<tr>
<th>Standard</th>
<th>Yes</th>
<th>No</th>
<th>Supporting documentation may include</th>
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<tr>
<td>5: Reporting</td>
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<td></td>
<td>□ Internal Complaints and Feedback Mechanism</td>
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<td>□</td>
<td>□</td>
<td>□ Participation in joint reporting mechanisms</td>
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<td>□</td>
<td>□</td>
<td>□ Communication materials</td>
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<td>□</td>
<td>□</td>
<td>□ PSEA awareness-raising plan</td>
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<td>□</td>
<td>□</td>
<td>□ Description of reporting mechanism</td>
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<td>□</td>
<td>□ Whistle-blower policy</td>
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<td>□ Other (please specify):</td>
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**Required:** The organization has mechanisms and procedures for personnel, beneficiaries and communities, including children, to report SEA allegations that comply with standards for reporting (i.e. safety, confidentiality, transparency, accessibility).

**UN IP Protocol para 19 & Annex A.3**
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<tr>
<th>Standard</th>
<th>Yes</th>
<th>No</th>
<th>Supporting documentation may include</th>
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| 6: Assistance and Referrals                                            | ☐ 1 point | ☐ 0 points | ☐ Internal or interagency referral pathway  
☐ List of available service providers  
☐ Description of referral or Standard Operation Procedure (SOP)  
☐ Referral form for survivors/victims of GBV/SEA  
☐ Guidelines on victim assistance and/or training on GBV and GBV case management principles  
☐ Other (please specify): |

**Required:** To be consistent with the IP Protocol and other UN SEA instruments, the organization has a system to refer SEA victims to available support services available locally, based on their needs and consent. This can include active contribution to in-country PSEA networks and/or GBV systems (where applicable) and/or referral pathways at an inter-agency level.

(UN IP Protocol para 22.d.)
<table>
<thead>
<tr>
<th>Standard</th>
<th>Yes</th>
<th>No</th>
<th>Supporting documentation may include</th>
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<tr>
<td>7: Investigations</td>
<td></td>
<td></td>
<td>□ Written process for review of SEA allegations</td>
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<tr>
<td>Required: The organization has a process for investigation of allegations of SEA and can provide evidence. This may include a referral system for investigations where in house capacity does not exist.</td>
<td>□ 1 point</td>
<td>□ 0 points</td>
<td>□ Dedicated resources for investigation(s) and/or commitment of partner for support</td>
</tr>
<tr>
<td>(UN IP Protocol para 20, 23 and 24, &amp; Annex A.6)</td>
<td></td>
<td></td>
<td>□ PSEA investigation policy/procedures</td>
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<td>□ Contract with professional investigative service</td>
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<td>□ Other (please specify):</td>
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</table>
### CS8 Corrective Action

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<thead>
<tr>
<th>Standard</th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
<th>Supporting documentation may include</th>
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<tbody>
<tr>
<td>8: Corrective Action</td>
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<td>□ Evidence of implementation of corrective measures identified by the UN partner entity, including capacity strengthening of staff.</td>
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<tr>
<td>Required: The organisation has taken appropriate corrective action in response to SEA allegations, if any.</td>
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<td></td>
<td>□ Specific measures to identify and reduce risks of SEA in programme delivery.</td>
</tr>
<tr>
<td>(UN IP Protocol para 20, 22.a., &amp; Annex A.6)</td>
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<td></td>
<td>□ Other (please specify):</td>
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</table>

**Comments:**
UN Determines IP’s PSEA Capacity

<table>
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<tr>
<th>Capacity Assessment - Standards</th>
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<tbody>
<tr>
<td><strong>8</strong></td>
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<tr>
<td><strong>6 to 7</strong></td>
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<tr>
<td><strong>5 or fewer</strong></td>
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</table>

A partner that rates ‘No’ in CS 8 (Corrective measures) is not eligible for partnership until adequate measures have been taken regarding a past SEA allegation.
Since 2018 were several tools developed to assess partners’ PSEA capacities. Partners who have been assessed after September 2018 do not need to be assessed again, so long as the previous assessment covered the following criteria:

- mandatory screening of personnel;
- mandatory training;
- adequate reporting procedures;
- appropriate action in past cases;
- adequate investigative and assistance capacities

Make sure to inform the UN agency you’re working with that that IP has been previously assessed and the agency will help determine the appropriate score and next steps.
If partner scores **less than full capacity**, UN:

**Justifies** engagement per internal process

Works with the IP to develop a **capacity strengthening implementation plan**
Main objective

Identify the activities the partner can undertake to reach full capacity

Possible measures to take for each standard
Responsible persons/entities
Available/required resources
Target date of completion

Regular monitoring of the strengthening action plan (status and documentation)
UN continues to **support** the partner as it undertakes activities in the capacity strengthening plan and **monitors** progress against the plan.

Once partner receives **full capacity** (preliminary or after reassessment) UN continues to monitor their capacity.
Medium or low capacity

UN monitors implementation of the capacity strengthening implementation plan

Full capacity on the 8 standards

UN monitors to ensure maintains full capacity

Monitor the operationalisation of policies and procedures

Integrate the monitoring into regular programme monitoring

Coordinate joint monitoring
Final determination of PSEA capacity is done:

After *initial assessment*, if SEA risk rating is full capacity (score of 8)

After *reassessment*, if initial risk rating is medium or low (6 months after signing capacity plan)
The **final determination** of partner capacity based on the results of the assessment (or re-assessment) is valid for a period of **five** years unless there have been significant changes to the partner or any cases of SEA arise.
Third party documentation: necessity of proof of incorporation or adoption

Must be applicable to all personnel

Only written and approved policies and procedures, no draft and written explanations in emails
Resources for partners

- Working with the United Nations system: Key information for UN Implementing Partners on completing the Protection from Sexual Exploitation and Abuse (PSEA) Capacity Assessment: joint guidance for partners on the assessment process and technical guidance for assessing each core standard. Includes resources available as references or as capacity building material to help partners meet the core standard

- PSEA UNICEF Toolkit

- 'Say no to sexual misconduct' training package

- ‘What if it were you’ video
**Mock-ups - final version may look different**

**Preliminary Self-Assessment and Rating**

<table>
<thead>
<tr>
<th>Standard</th>
<th>Partner self-assessment completed by</th>
<th>UN preliminary score and rating completed by</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Yes</td>
<td>No</td>
<td>N/A</td>
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</tbody>
</table>

1. Organizational Policy
   - Date: 35/04/21
   - Partner comments:
     - UN Comments:

2. Organizational Management
   - Date: 35/04/21
   - Partner comments:
     - UN Comments:

3. Human Resources Systems
   - Date: 35/04/21
   - Partner comments:
     - UN Comments:

4. Mandatory Training
   - Date: 35/04/21
   - Partner comments:
     - UN Comments:

5. Reporting
   - Date: 35/04/21
   - Partner comments:
     - UN Comments:

6. Assistance and Referrals
   - Date: 35/04/21
   - Partner comments:
     - UN Comments:

7. Investigations
   - Date: 35/04/21
   - Partner comments:
     - UN Comments:

8. Corrective Action
   - Date: 35/04/21
   - Partner comments:
     - UN Comments:

**Grand Total Points (A) separated by Yes, N/A #**

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<thead>
<tr>
<th>Total # (Yes, N/A)</th>
<th>Total # (Yes, N/A)</th>
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**Preliminary UN Score and Rating**

<table>
<thead>
<tr>
<th>Full capacity</th>
<th>Medium capacity</th>
<th>Low capacity</th>
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<tr>
<td>Yes</td>
<td>No</td>
<td>N/A</td>
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<td>Yes</td>
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<tr>
<td>Yes</td>
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<td>N/A</td>
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If the partner had any capacity gaps in one or several areas related to PSEA, it is recommended to take action to address these gaps.

UN PSEA Common Tool / UNPP

UNPP Landing Page
Q&A