

**EXECUTIVE BOARD OF UNDP, UNFPA and UNOPS  
FIRST REGULAR SESSION 2023**

**PROTECTION AGAINST SEXUAL EXPLOITATION AND ABUSE AND SEXUAL  
HARASSMENT**

**Update on metrics used to measure progress  
on tackling sexual exploitation and abuse and sexual harassment**

**I. Update by UNDP**

In March 2021, UNDP adopted its second Strategy and Action Plan on the response to Sexual Harassment (SH) and Sexual Exploitation and Abuse (SEA), 2021-2022. This Strategy focuses on four areas – prevention; reporting and response; support to victims/survivors and accountability – with the following key objectives (1) to significantly reduce the incidence of SH and SEA committed by UNDP personnel; (2) to ensure that each case is identified and addressed quickly and effectively with a focus on the well-being and protection of the victims/survivors and strict accountability for perpetrators; (3) to ensure that proper safeguards are embedded into all UNDP operations, including programme activities implemented both by UNDP and through our Implementing Partners; and (4) to minimize SH and SEA risks and ensure appropriate response action.

To ensure that UNDP effectively tracks the implementation of the Strategy and the Action Plan, including the impact of the many initiatives and activities undertaken, UNDP has put in place a robust set of mechanisms to monitor and measure progress. Where relevant, UNDP coordinated with other UN entities, especially in the context of the Quadrennial Comprehensive Policy Review (QCPR) and other inter-agency processes. These monitoring mechanisms include the following:

**1. Integrated Results and Resources Framework (IRRF) Indicators.**

Two new indicators on SH and SEA that are in line with the QCPR have been included in the Integrated Results and Resources Framework (IRRF) for the new Strategic Plan under Tier III outputs:

**- Output Indicator 2.3.1: Percentage of offices that have a sexual harassment and sexual exploitation and abuse action plan in place**

The objective of this indicator is to ensure that every UNDP Bureau and Office across the world has an Action Plan (updated annually) which details their planned actions to prevent and tackle all forms of sexual misconduct. Organized around common elements mandatory for all and adapted to reflect specific priorities, challenges and culture locally, these Plans are an important mechanism to bring together personnel around a shared understanding and approach, as well as to drive and ensure accountability for action.

The Action Plans – which can also be joint with the UNCT – are expected to cover all UNDP personnel and include, as a minimum, activities in five key areas (with additional areas added as needed):

- 1) ensuring UNDP personnel and partners are aware of corporate SH and SEA policies and response mechanisms,
- 2) all UNDP personnel have completed mandatory online courses,
- 3) a culture of trust, mutual respect and freedom from fear and discrimination is strengthened,
- 4) UNDP and external personnel are aware of what to do when they experience or witness sexual harassment or SEA, and
- 5) accountability is ensured.

Properly planned and implemented, these Action Plans are important in helping to raise awareness about sexual misconduct, reduce/eliminate incidences of SH and SEA committed by UNDP personnel, ensure that each case is identified and addressed quickly and effectively with a focus on the well-being and protection of the victim/survivor and ensure strict accountability for the perpetrator.

At the end of the year, each Head of Office is expected to sign off on their office Action Plan, confirming that the planned activities have taken place. Upon receipt of the signed Action Plans from each of the offices under their authority, each of the Bureau Directors then submits a certificate of compliance to the Administrator who in turn reports to the Executive Board and to the Office of the Secretary General.

Reported annually, this indicator will be measured as a percentage of the total number of Bureaus/Offices that have an updated SH and SEA Action Plan in place (as reported to the Administrator) against the total number of UNDP Bureaus/Offices. As of the end of 2022, all UNDP Offices confirmed completion of their Action Plans and the implementation of their annual targets.

- **Output Indicator 2.3.2: Percentage of country offices that have a system in place to prevent and respond to sexual exploitation and abuse.**

The objective of this indicator is to measure how many UNDP Country Offices meet the minimum standards for effectively responding to sexual exploitation and abuse. It will be reported annually and be measured as a percentage of the Country Offices that have reported compliance with each of the five standards. These standards include: (1) informing all personnel of the SEA standards (e.g., through mandatory courses and other communications), (2) assessing and reflecting SEA risks in the risk logs of UNDP programmes/projects, (3) ensuring that discussions with implementing partners on meeting UNDP standards with regards to SEA take place, (4) putting in place mechanisms for reporting SEA allegations (e.g., through community-based complaints mechanisms (CBCM), the Incident Reporting Form (eIRF), or local focal points) and (5) identifying local victim/survivor support providers (e.g., national or local gender-based violence centers) to assist victims/survivors of SEA (e.g., medical, psychosocial, legal, etc.).

This indicator is important because preventing and addressing incidences of SEA perpetrated against members of the communities that UNDP Offices work with and support, is especially challenging and requires a holistic and systematic approach with interventions at different levels and with various stakeholders. To support UNDP Offices in implementing all five standards, a series of measures have already been put in place or are under development. For example, UNDP has developed a new guidance note on assessing the capacity of Implementing Partners (IPs) to prevent and address SH and SEA and on ways to support IPs in addressing any identified gaps. Work is on-going on an SH and SEA Risk Framework to enable Offices to identify and mitigate relevant risks, with a special focus on SH and SEA risks in our development programmes and projects in the field. On-demand information and awareness raising sessions for various offices are being organized to remind personnel of the standards, as well as ways to prevent sexual misconduct and take action when such behaviors occur. Recognizing that SH and SEA are not stand-alone phenomena, a series of other initiatives are also being implemented to create a respectful and inclusive working environment where all personnel are free from fear, discrimination and feel safe to speak up and raise issues of concern.

## **2. Mandatory Outputs in the Integrated Work Plans (IWP).**

UNDP's annual Integrated Workplans (IWP) developed by all business units across the organization (Bureaus, HQ Offices and Country Offices) prioritize key activities and priority outputs to contribute to the higher-level results of the Strategic Plan. In 2022, for the first time, UNDP introduced six new mandatory outputs related to organizational effectiveness and efficiency including one on building an "inclusive working culture that is free from discrimination and exploitation and/or abuse", including sexual misconduct. The

guidance provides Bureaus/Offices with examples of outputs and a range of possible enabling actions to achieve those outputs. For the SH and SEA response, these include:

- a) ensuring that proper safeguards are embedded into all UNDP programmes,
- b) putting in place community-based complaints mechanisms (CBCM) for local populations to report SEA allegations;
- c) reaching out to implementing partners to raise awareness of our standards on sexual misconduct; and
- d) encouraging staff to speak up about issues they face related to all forms of workplace discrimination and harassment including sexual harassment and abuse.

The performance of the Bureaus and Offices against the mandatory outputs will be reviewed as part of the annual reporting process and will be reflected in the report to the Executive Board during its annual session in 2023.

### **3. Annual Survey of Country Offices**

In 2020, UNDP instituted an annual survey of its Country Offices to ensure that all the key elements of the corporate Strategy and Action Plan are effectively implemented – particularly in relation to sexual exploitation and abuse. The survey has also proved useful in collecting examples of innovative approaches and lessons learned as well as understanding better some of the issues faced by UNDP teams on the ground. The survey has been important in guiding UNDP’s approach to preventing and addressing SH and SEA and designing appropriate solutions. The response from Country Offices has been very positive to date, with 118 Country Offices having participated in the 2022 survey – an additional 19 compared to 2020.

The Survey includes questions assessing compliance by Country Offices with the standards captured in the IRRF Output Indicators detailed above, while also providing more evidence and details of good practices and challenges faced. Other questions explore the availability and impact of the UNDP PSEA and SH Focal Points; whether there is a joint UN PSEA mechanism in place, such as a Network or a Taskforce and whether these mechanisms have clearly defined TORs, leadership and budgets; whether senior management have initiated activities to prevent sexual harassment in the Country Office, including training, communication materials and advocacy, and if the policies on sexual harassment have been shared by senior management. Results from the survey will feed into the annual session of the Board.

### **4. Common UN surveys**

UNDP participates in a number of UN wide surveys on SH and SEA, including the CEB Survey on Reporting of Sexual Harassment which collates system-wide data on policies and practices for preventing and addressing sexual harassment. Data from this survey helps identify progress across the UN system to eradicate sexual harassment including identifying risk indicators, such as vulnerable categories of personnel, or environments which would be more prone to sexual harassment, and the most common types of sexual harassment, in order to allow for more focused prevention initiatives. It also provides useful information on areas where UNDP and other entities can strengthen approaches to address sexual harassment including in relation to victim/survivor support and victim/survivor-centered approaches, reporting mechanisms, procedures and timelines.

Another survey is the annual survey on facts and perceptions of UN personnel related to the prohibitions of sexual exploitation and abuse coordinated by the UN Office of the Special Coordinator on improving UN response to Sexual Exploitation and Abuse. The survey aims to assess United Nations’ personnel awareness of the prohibitions against sexual exploitation and abuse and their role in prevention and response, the impact of training, knowledge of reporting and consequences of engaging in this behaviour, as well as perceptions of the leadership climate in the respective duty stations.

More generally, UNDP collaborates very closely with other UN system entities with a view to ensuring common approaches, leveraging synergies, eliminating duplications, as well as sharing best practices and working out solutions to common challenges. This is achieved via various inter-agency mechanisms including the CEB HLCM Working Group on Sexual Harassment, the UN PSEA Task Force led by the UN Office of the Special Coordinator (OSC) and their various sub-groups (on investigations, reporting, communications and learning, and others).

## **5. Monitoring and reporting of sexual misconduct cases – allegations and investigation**

All sexual misconduct complaints and their status – whether they were closed after assessment, assigned for investigation, substantiated or unsubstantiated (if investigated), or referred to another agency or to national authorities – are tracked through UNDP’s confidential case management system called Ethics Point maintained by the Office of Audit and Investigations (OAI). Any disciplinary outcomes for substantiated cases are also recorded. SH and SEA cases continue to be prioritized with an average of 6 months for investigations, which is within the industry standard.

Reports on the status of all sexual misconduct cases are submitted to the UNDP Administrator monthly. OAI also produces its Annual Report to the Executive Board which includes a comprehensive overview of all sexual misconduct cases and their outcomes processed in the reporting period. In 2022, 24 cases of sexual misconduct were opened (10 SH, 11 SEA, 3 sexual assault). In addition, UNDP ensures external reporting on SEA allegations, through the iReport SEA Tracker - the UN systemwide reporting mechanism that captures data in close to real-time. UNDP enters all credible SEA allegations on the iReport SEA Tracker which details the status of the investigation including its duration. This information is updated regularly and monitored by the UNDP Office of Audit and Investigations (OAI) Sexual Misconduct Focal Point.

UNDP also receives complaints of sexual misconduct from Implementing Partners (IP). UNDP investigates such complaints only where UNDP personnel are the subject of the allegation. In instances involving IP personnel, UNDP refers these complaints to the Country Office to manage as per the IP agreements. The Country Office informs OAI of any action taken by the IP and the final outcome upon the case completion. Records of these outcomes are maintained internally.

## **6. Monitoring and reporting of sexual misconduct cases – disciplinary measures**

The UNDP Office of Legal Services in the Bureau for Management Services (BMS/OLS) tracks and reports all cases involving allegations of sexual misconduct, including SEA and SH. All sexual misconduct cases are prioritized. In instances where BMS/OLS considers that the conduct in question may involve credible allegations of SEA, sexual assault or other sexual misconduct, BMS/OLS refers the case to the UN Office of Legal Affairs in the UN Secretariat to consider its transmission to national authorities for criminal accountability.

BMS/OLS regularly shares the outcome of cases - including the imposition of disciplinary measures – with UNDP senior management. Once the legal review of a case is completed, and disciplinary action is taken, the staff member is placed in the Clear Check database, as per the policy.

All the disciplinary measures imposed, and actions taken on SH and SEA cases are reported annually in the “UNDP Annual Report of the Administrator on Disciplinary Measures and Other Actions Taken in Response to Fraud, Corruption and Other Wrongdoing”. UNDP also provides input on a yearly basis to the UN Office of Legal Affairs for the preparation of the Secretary-General’s report on “Criminal accountability of United Nations officials and experts on mission,” which includes reporting on sexual misconduct cases referred to national authorities.

## 7. Monitoring and reporting on inclusive culture and employee views.

UNDP has administered its Global Staff Survey (GSS) every one or two years to capture feedback from all our personnel on their employee experience and the quality of the working environment, including around issues of openness and trust, freedom from harassment, discrimination, bias, and abuse of authority, including sexual harassment and sexual exploitation and abuse. The last GSS was conducted in 2020. The UNDP People for 2030 Strategy - Phase 2 is seeking to strengthen the approach to collecting and responded to feedback from personnel in order to provide a more frequent and deeper analysis of the building blocks of the UNDP workplace and employee experiences.

## 8. Monitoring of awareness building and other activities.

Recognizing that awareness is a critical element of the SH and SEA prevention strategy, UNDP continuously monitors completion of the various learning and awareness activities, including the completion of the mandatory training courses. As of Q4 2022, the completion rate of staff and Personnel Service Agreement (PSA) holders was 85% for the course on Prevention of Sexual Exploitation and Abuse of the Local Population (includes 95% staff and 82% PSA), and 83% completion rate for the United Nations Course on Prevention of Harassment, Sexual Harassment and Abuse of Authority (includes 94% staff and 79% PSA).

Going forward, UNDP's ambition remains to intensify its on-going efforts to address SH and SEA by leveraging these various progress monitoring and measuring mechanisms to track progress and impact of SH and SEA efforts in order to shape existing policies and strategies effectively, and thus ensure that all personnel, partners and beneficiaries can be confident that they will be safe and free from all forms of harassment, including SH and SEA while working in and with UNDP.

## II. Update by UNFPA

*This background note on protection from sexual exploitation and abuse and sexual harassment has been prepared in response to decision 2022/2 of the Executive Board requesting an update on metrics used to measure progress on tackling sexual exploitation and abuse and sexual harassment. This note provides an update on the implementation of UNFPA strategy on protection from SEA and SH in 2022, and presents key indicators introduced to measure progress and impact. An overview of all key metrics used are presented in annex 1.*

The UNFPA core objective in 2022 was to **strengthen organizational capacity and accountability** to ensure a structured and coherent approach on protection from sexual exploitation and abuse and sexual harassment (PSEAH), and **to deliver impact across the organization and at the inter-agency level**. To this end, in line with its survivor/victim-centred strategy on PSEAH, UNFPA implemented a 2022 PSEAH action plan that set out concrete objectives, measurable activities and results across the four strategic pillars: (1) effective prevention of SEAH by personnel and partners; (2) timely, structured and survivor/victim-centred response to every incident; (3) high-quality support and assistance to victims of SEAH; and (4) all measures embedded in a robust institutional safeguarding framework.

All programmed activities have been implemented with the support and mobilization of key UNFPA stakeholders, at headquarters and in the regional and country offices.

## *1. Institutional Safeguarding Framework*

### *Monitoring and measuring progress and results*

In line with the 2020 quadrennial comprehensive policy review (QCPR), the QCPR 2021-2024 monitoring framework PSEA indicator, and indicators of other United Nations development system agencies, **a dedicated PSEAH indicator is included in the Integrated Results and Resources Framework (IRRF) of the UNFPA Strategic Plan, 2022-2025.** In 2022, **the mandatory indicator has been included in the results planning of all business units.** It facilitates the monitoring of compliance with PSEAH requirements, and the progress made against four milestones: (a) designation of a PSEA focal point in all business units; (b) mandatory regular SEA and SH training; (c) risk assessments conducted, including those involving implementing partners; and (d) mapping of support services available to victims of SEA and SH.

**To certify compliance with the Secretary-General Bulletin on Special measures for protection from sexual exploitation and sexual abuse (ST/SGB/2003/13),** all UNFPA Heads of Business Units have to certify annually that they have (a) fully and accurately reported all allegations of sexual exploitation and abuse related to UN personnel and implementing partners, (b) ensured that all UNFPA personnel in the respective business units have undertaken the mandatory online training on PSEA, and (c) appointed a PSEA focal point.

These indicators complement other monitoring and reporting mechanisms that UNFPA uses to assess progress and impact of its PSEAH strategy, and inform risks assessments (see details in annex 1), including the following metrics:

- **United Nations system-wide reporting:** the CEB annual survey on reporting of sexual harassment which is sent to UNFPA management.
- **UNFPA PSEAH annual workplan and performance assessments:** qualitative and quantitative indicators, baselines and targets defined for PSEAH workplan activities under the key outputs of effective prevention, response, assistance, and institutional framework; and generic performance indicators included in all PSEA focal points Performance Appraisal and Development workplans.
- **Personnel feedback:** the annual survey on facts and perception of UN personnel related to PSEA, conducted by the UN Office of the Special Coordinator on SEA; and UNFPA Global Staff Survey organized every two years.
- **Case data:** reports of allegations of SEA, publicly reported in UN tracker and to the Executive Board, and reports of allegations of SH, reported to the Executive Board.

**The reports and data obtained from these metrics and indicators are analyzed annually and inform UNFPA strategies, policies, and procedures.** The PSEAH compliance indicators applicable to all business units and the workplan and performance assessment indicators are used to drive priority action for which managers, PSEA focal points and other key stakeholders are responsible at headquarters and field levels; the results of the CEB annual survey on sexual harassment inform the continuous improvement of UNFPA reporting procedures, the implementation of a victim-centred approach in formal and informal resolution, and the enhancement of training initiatives; feedback on personnel perceptions and experiences are used to improve and better target organizational communications, awareness-raising and training activities, where gaps are identified; case data and trends on allegations are critical metrics used in UNFPA PSEA risk management toolkit to conduct risk assessment and to guide situation analysis and identify SEA-related risks factors and causes.

### *Effective in-country PSEA structures*

**UNFPA developed and rolled-out a technical training programme for its network of over 250 PSEA focal points in 2022.** The training, available in English, French and Spanish, consists of six modules covering the key PSEA processes and PSEA focal points' responsibilities: (1) SEA risk management; (2) implementing partners (IPs) assessment; (3) communication and awareness raising; (4) inter-agency coordination; (5) SEA

case management; and (6) assistance to victims of SEA. Bilateral advisory support was also provided to regional and country offices. An in-person workshop with regional PSEA focal points took place in August 2022 to discuss what is required to further deliver on PSEA and ensure the PSEA function is fit for purpose. The conclusions will feed into the UNFPA 2023 PSEAH workplan.

#### *Country-focused interagency collaboration*

**UNFPA concluded its IASC Championship on PSEAH in 2021 but continued to be actively engaged in inter-agency coordination in 2022.** The external review of the IASC PSEAH commissioned by UNFPA in 2021 laid the ground for the new IASC PSEAH strategy 2022-2026, which was adopted by IASC Principals in May 2022. UNFPA leads a number of initiatives under this new strategy and supports the new Champion, SCHR (International Civil Society Organization Steering Committee for Humanitarian Response), in taking forward key priorities, including the operationalization of a victim/survivor-centred approach and the strengthening of country capacity and coordination mechanisms, particularly in high-risk contexts. In 2022, UNFPA replenished the rosters of inter-agency PSEA coordinators, which now also include senior P5 level coordinators, and continues to lead inter-agency PSEA networks, with full- and part-time coordinators in 9 IASC priority countries, including, most recently, P5-level coordinators in Ukraine and in DRC.

**UNFPA also actively contributed to the work of the CEB Task Force on Sexual Harassment,** including on the development of a survey aiming to capture the feedback of victims of sexual harassment on how they experienced the response and support provided by the United Nations.

#### *Implementing partner assessments*

As 2022 marked the third year of UNFPA operationalization of the United Nations Protocol on Allegations of Sexual Exploitation and Abuse Involving Implementing Partners, **UNFPA undertook a review of the implementation of the policy, examining compliance, quality and impact at the country, regional and global level.** In 2022, 81 per cent (867 of 1073) of UNFPA implementing partners have been assessed by UNFPA or another United Nations entity. Results from the quality review have shown that UNFPA partners are most often lacking reporting channels for beneficiaries of their programmes, and many do not have referral systems in place for survivors of sexual exploitation and abuse to receive services. UNFPA will continue to support partners to achieve full capacity through further assessment and capacity building efforts, which will be informed by the review that will be finalized in early 2023.

**UNFPA continues to take an active lead in the global interagency working group to ensure a coordinated operationalization of the protocol.** To support the pilot of the interagency assessment of shared partners, UNFPA fielded a technical support mission to the Democratic Republic of Congo. UNFPA is leading the development of a PSEA module in the UN Partner Portal (UNPP) which will facilitate the sharing of assessment findings and the joint development and monitoring of capacity strengthening implementation plans of our shared partners. The UNPP PSEA module is in its final round of testing as of January 2023 and will be rolled out shortly. Finally, UNFPA actively contributes to the development of a joint approach on the operationalization of the IP protocol for government partners.

#### *Risk management*

**UNFPA has developed, and disseminated to all regional and country offices, new guidance on PSEA risk management,** to strengthen the identification, assessment and treatment of contextual and programmatic PSEA risks. This integrated guidance addresses risks pertaining to prevention, response to incidents and victim assistance, and provides a list of PSEA organizational internal controls as well as expected strategic results. The guidance is accompanied by practical tools and templates to support business units in the development of their PSEA risk registers under the new enterprise risk management policy adopted in April 2022.

## **2. Prevention**

### *Screening - Clear Check*

UNFPA continued to screen all new recruits in Clear Check for past involvement in sexual misconduct, and **has entered four new subjects into the database in 2022**. UNFPA also participated in – and supports – inter-agency discussions to further expand the use of the Clear Check platform to include other forms of misconduct.

### *Organizational culture - communication and awareness raising*

In 2021, UNFPA conducted a survey to gather the perspective of all personnel on how the organization addresses prohibited workplace conduct. Results showed that personnel have a high level of awareness of their rights and responsibilities, know where to turn to when issues arise and how to report. However, the survey also showed a lack of trust in accountability mechanisms. **In response to this feedback, several initiatives have been launched in 2022, with the goal to strengthen the speak-up culture of UNFPA** through: (a) improved prevention and early resolution; and (b) increased trust in existing response mechanisms. Activities include the ongoing “Impactful Conflict Management” training programme, mandatory for all UNFPA managers and delivered in partnership with the Ombudsman. The UNFPA Integrity Group, which includes PSEAH, the Division for Human Resources, the Legal Unit, the Office of Audit and Investigation Services (OAIS), the Ethics Office and the Office of the Ombudsman, has held the first of a series of webinars to listen, inform and answer personnel questions. A one-stop online portal providing more user-friendly access to the informal and formal justice systems of UNFPA will also be launched in early 2023. The online training on PSEA remains mandatory for new personnel and a new updated mandatory online training on Sexual Harassment and other forms of prohibited conduct has been introduced. UNFPA will continue to measure progress over time, including through dedicated questions in the Global Staff Survey.

## **3. Response**

### *Awareness raising*

In 2022, training sessions on SEA case management have been delivered to all PSEA focal points, to enhance reporting and raise awareness on UNFPA victim-centred approach to the investigation process.

### *Data on allegations reported*

In 2022, the OAIS received 10 allegations of sexual harassment, which is comparable to the 9 allegations received in 2021.

The number of SEA allegations reported increased, with 16 allegations of sexual exploitation and abuse received since January 2022, 5 more than the number of SEA allegations received in 2021. 8 of the allegations received implicate UNFPA personnel, 2 more than the number received in 2021. 8 of the allegations received pertain to implementing partners, 3 more than the number received in 2021. This includes allegations labelled as ‘SEA’ that were self-disclosed by implementing partners. These allegations were reviewed for adequacy of the corrective action taken; and appropriate risk mitigation was taken, as warranted. UNFPA continues to report all reports of SEA in the United Nations public tracker.

### *Strengthening information-sharing*

In January 2022, UNFPA implemented the United Nations system-wide guidance on sharing of information on SEA allegations at the in-country inter-agency level. The objective of the guidance is to provide the most senior UN officials in countries with the necessary information on allegations without jeopardizing the confidentiality of investigations or the safety of victims.

A UNFPA internal information-sharing protocol has been adapted to enable a prompt and consistent management response, as required, during and beyond any investigative process.

#### 4. Assistance

To further improve assistance in sexual harassment cases, and in line with recent recommendations of the CEB task force on Sexual Harassment, the UNFPA PSEAH Coordinator has been designated to serve as focal point and provide procedural information and support during and beyond the investigation.

With regards to SEA victim assistance, UNFPA rolled-out the UN Protocol on Assistance to Victims of SEA, including the technical guidance on the mapping of services, the integration of gender-based violence and child protection referral pathways in PSEA procedures, and the effective coordination at country level.

In 2022, UNFPA also initiated the implementation of two projects funded by the Secretary-General Trust Fund in Support of Victims of SEA, respectively in the Democratic Republic of the Congo and in South Sudan. These projects aim to provide holistic support for victims of SEA, as well as populations at risk, in humanitarian hubs presenting high risks of SEA.

UNFPA remains firmly committed to preventing and responding to sexual exploitation and abuse and sexual harassment and will take all necessary actions to ensure an evidence-based and victim-centred approach in response to sexual misconduct.

#### *Annex 1*

#### *Metrics used to measure progress on tackling sexual exploitation and abuse and sexual harassment*

Types of metrics	Metrics description	Use of metrics
<b>United Nations system-wide reporting</b>	PSEA managerial compliance certification to the Secretary-General, mandatory for all business units. Indicators: All heads of offices have: <ul style="list-style-type: none"> <li>○ Fully and accurately reported all allegations of sexual exploitation and abuse related to UN personnel and implementing partners.</li> <li>○ Ensured that all UNFPA personnel in the respective business units have undertaken the mandatory online training on PSEA.</li> <li>○ Appointed a PSEA focal point.</li> </ul>	To certify compliance of UNFPA with ST/SGB/2003/13, identify gaps in responsibilities and ensure shared understanding and awareness of PSEA across the organization.
	CEB annual survey on reporting of sexual harassment. The survey includes 50 questions on: <ul style="list-style-type: none"> <li>○ Policy</li> <li>○ Investigations</li> <li>○ Disciplinary matters</li> </ul>	To benchmark UNFPA practices against other United Nations entities; to identify progress and areas of improvement on protection from sexual harassment; to identify risk indicators and allow for more focused prevention initiatives.
<b>UNFPA Strategic Plan/IRRF/OEE reporting</b>	PSEAH indicator in Strategic Plan, 2022-2025, Integrated Results and Resources Framework/Organizational Effectiveness and Efficiency, mandatory for all business units. Indicator: Office has systems in place to prevent and respond to sexual exploitation, abuse and harassment. 4 milestones: <ul style="list-style-type: none"> <li>○ A PSEA focal point designated in line with UNFPA terms of reference for Focal Points.</li> </ul>	To ensure a coherent implementation of the UNFPA PSEAH strategy at global, regional and country levels and facilitate the monitoring of compliance with PSEAH requirements and progress made against key milestones.

	<ul style="list-style-type: none"> <li>○ Mandatory regular training on sexual exploitation and abuse and sexual harassment.</li> <li>○ PSEA risks, including those relating to implementing partners, assessed and reflected in programme design, execution and monitoring.</li> <li>○ Local support channels identified to assist victims of sexual exploitation and abuse and sexual harassment.</li> </ul>	
<b>UNFPA PSEAH annual workplan and performance assessments</b>	<p>Global PSEAH annual workplan, aligned with PSEA strategy.</p> <p>Qualitative and quantitative indicators, baselines and targets defined for each of the workplan activities:</p> <ul style="list-style-type: none"> <li>○ See global PSEAH workplan shared with Executive Board at 2022 annual session.</li> <li>○ Includes a specific indicator on % of Implementing Partners assessed as per UN Protocol.</li> </ul>	<p>To monitor the implementation of the annual workplan in liaison with internal and external stakeholders and measure results under the key outputs:</p> <p>(1) effective prevention;  (2) response;  (3) assistance;  (4) institutional framework.</p>
	<p>Individual PSEA Focal Points Performance Appraisal and Development (PAD) workplans.</p> <p>Generic performance indicators included in all PSEA FPs PAD, aligned with the global PSEAH workplan and PSEA FPs terms of reference:</p> <ul style="list-style-type: none"> <li>○ Management and Coordination: Quality support provided within set time frames.</li> <li>○ Prevention: At least one training session delivered to Office personnel; Ensured completion of the mandatory online PSEA training by all Office personnel; Quality support to IP and other risk assessments provided within set time frames.</li> <li>○ Response: Mapped and updated, as necessary, available referral pathways.</li> </ul>	<p>To define PSEA FP responsibilities and expected results, measure performance of PSEA FPs, and recognize their critical contributions in the effective implementation of UNFPA PSEA strategy.</p>
<b>Personnel feedback</b>	<p>Annual survey on facts and perception of UN personnel related to PSEA, conducted by the UN Office of the Special Coordinator on SEA.</p>	<p>To assess personnel awareness of PSEA; their role in prevention and response; the impact of training; knowledge of reporting and consequences of committing SEA; perceptions of the leadership climate in the respective duty stations.</p>
	<p>Global Staff Survey organized every two years.</p>	<p>To assess the organizational culture in relation to its culture, values and ethical standards.</p>
<b>Case data</b>	<ul style="list-style-type: none"> <li>○ Reports of allegations of SEA, publicly reported in UN tracker and to the Executive Board.</li> </ul>	<p>To inform SEA risk assessments and the implementation of internal controls.</p>

	<ul style="list-style-type: none"> <li>○ Reports of allegations of SH, reported to the Executive Board.</li> </ul>	<p>To inform SH risk assessments and the implementation of internal controls.</p>
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**III. Update by UNOPS**

1. In 2022 UNOPS has been a year of transition for UNOPS for various reasons which are well-known to the Board. The challenges faced by UNOPS have served both as a learning opportunity and a trigger to prioritize transformations aimed at ensuring that our organization and its personnel will be ready to meet the challenges ahead of us, including the prevention of and response to Sexual Exploitation and Abuse and Sexual Harassment (PSEAH). This includes a firm commitment by leadership at the very top to create and promote a culture of trust, respect and accountability, and zero tolerance for incidents of SEAH. This year, UNOPS has seen significant progress on PSEAH, including bringing in dedicated personnel to coordinate agency wide efforts. UNOPS recognizes however that there is still much needed work to be done on this important topic, and continues to prioritize our joint responsibility to end sexual misconduct.

2. UNOPS actions on PSEAH have been focused on the following key areas that will be expected to strengthen the agency’s capacity to prevent, and respond to SEAH:

*Dedicated resources*

3. A significant milestone for UNOPS in October 2022 has been to recruit a full-time dedicated PSEAH Corporate Coordinator to lead the efforts to identify, prioritize and coordinate PSEAH work across the organization. Additional personnel capacity will be recruited in 2023, while also continuing to build on the Focal Point network at the country level globally.

4. A Victim Assistance Coordinator will be onboarded in later 2022/early 2023 to provide support to alleged victims of workplace misconduct (harassment, discrimination, abuse of authority, sexual harassment, sexual exploitation and abuse).

5. In addition to these roles, the PSEAH Task Force continues to provide strategic guidance to the overall direction that the organization is taking towards tackling SEAH.

*Strategy and action plan review*

6. In 2022 a major focus has been to strengthen UNOPS PSEAH Strategic Framework to align more closely with other UN agency initiatives. In order to do so, the Global PSEAH Strategy 2022-25 has been updated and will be approved in early 2023. With this, UNOPS will approve and implement the Corporate 2022-23 Action Plan, also being updated to reflect shifting priorities. Multiple regional teams have also put into place Regional Action Plans, including the Africa, Middle East, Asia and Latin America Regions. Within these regions, individual country offices have also developed action plans reflecting both regional and corporate priorities, which is a significant step for UNOPS to achieve a harmonized approach to preventing and responding to SEA and SH. Continuing on these developments, country-level action plans will be included as one of UNOPS Integrated Results and Resource Framework (IRRF) for the coming year to increase the scale of implementation of this organizational priority.

7. Following this, and in response to the most recent decision of the Executive Board in early 2022, UNOPS has developed specific Integrated Results and Resources Framework (IRRF) indicators for PSEAH. The IRRF indicators have been designed to allow the organization to further advance through the maturity process by focusing on current needs as a means to achieve mid-term goals.

### *Speak Up culture*

8. A Speak Up hotline exists and UNOPS acts in a timely manner with transparent reporting, through the Annual report of the Internal Audit and Investigations Group on internal audit and investigations activities in 2022 and the Annual report of the UNOPS Executive Director, which feed into inter-agency mechanisms.

### *Internal grievances and contractual disputes*

9. In 2021 UNOPS reinforced its Internal Grievance function in order to improve organizational maturity with regards to the fair and transparent management of personnel relations in workplace conflict and to further contribute to UNOPS' Speak-Up culture to support efforts to prevent and respond to SEAH. The Internal Grievance Advisor advises management on formal and informal internal grievance handling, and counsels and educates managers and personnel about the rights, responsibilities, and code of conduct to create an enabling environment free of SEAH. A further focus of the role will be on the prevention of workplace disputes. In the course of 2021, UNOPS underwent an external assessment of the wrongdoing and grievance management channels. The report pointed to some areas of improvement, among which is the establishment of a Victim Support Specialist who has been identified and will join UNOPS soon. In addition, the report prompted UNOPS to create a formal performance rebuttal system for Individual Contract Agreement holders and offer this portion of UNOPS personnel access to a formal administrative review process of management decisions. UNOPS continues to be committed to the process of enhancing its grievance mechanism and aligning it with international best practice as we believe it is a key pillar to ensure adequate accountability for management and personnel at large.

### *Measures related to prevention and response to SEAH involving implementing partners*

10. For UNOPS the goal of implementing the requirements set out in the Operational Instruction (OI) on Grant Support has an effective date of 1 December 2022. In particular, it provides requirements for carrying out a capacity assessment which includes a mandatory PSEA component. To support the operationalization of the OI, a key area of focus of 2022 has been to develop the complete suite of guidance related to the UN Protocol on SEA Allegations involving Implementing Partners along with associated tools and templates, on conducting a Protection from Sexual Exploitation and Abuse (PSEA) Capacity Assessment of Implementing Partners (IPs).

11. The PSEA Capacity Assessment informs the eligibility of the potential applicant as well as is intended to give the necessary assurance of an IP's organizational capacity on the prevention and response to sexual exploitation and abuse (SEA), and to determine monitoring and support activities and serve as a baseline for tracking progress. The present requirements and guidance for conducting the assessment have been developed in line with the Secretary-General's Bulletin on Special measures for protection from sexual exploitation and sexual abuse (the Secretary-General's Bulletin), the United Nations Protocol on Allegations of Sexual Exploitation and Abuse Involving Implementing Partners (the Protocol) and the (Interim) Harmonized Implementation Tool: United Nations Implementing Partner PSEA Capacity Assessment.

12. While the majority of the organization will begin the rollout of the IP Capacity Assessment in the coming months, Myanmar country office has been conducting the assessment of all of their IPs since 2020 and has developed a comprehensive suite of guidance and training materials to support both UNOPS personnel and IPs to identify and respond to capacity gaps. Myanmar country office has a dedicated PSEAH team to manage the process and also handle allegations. With the support of the headquarters team responsible for developing UNOPS IP Capacity Assessment methodology (excluding PSEA), the example set by Myanmar country office will be expanded, adapted and sustained in other country-level offices as applicable.

### *Investigations*

13. Following the victim-centric approach, the UNOPS Internal Audit and Investigations Group (IAIG) prioritizes sexual misconduct cases, with both specially trained investigators and shortened case duration.

Additionally, services have been offered and provided to the victims of these cases. This is consistent with UNOPS' victim-centred approach to SEAH cases as well as its commitment that victims receive the support they deserve in all instances. As the investigative body, IAIG is responsible for reporting to the Secretary-General's Office all allegations where there is sufficient information to identify an act of sexual exploitation and abuse against an identifiable perpetrator or identifiable victim. These include allegations related to both UNOPS personnel as well as personnel working for its implementing partners. These statistics are then publicly available on a real-time basis.

#### *Inter-agency coordination and collaboration*

14. UNOPS is part of the UN PSEA working group and is also a member of the UN PSEA Task Force led by the Office of the Special Coordinator (OSC), engaging regularly in their bi-weekly meetings. UNOPS' IAIG is a member of the UN Representatives of Investigative Services who collaborate on PSEAH issues and UNOPS works with other agencies by participating in Clear Check to prevent SEAH offenders from being rehired. UNOPS is also collaborating with several UN agencies on training for PSEA focal points. Inter-agency coordination is also taking place at the regional and local levels. UNOPS reports all credible SEA allegations to the Secretary-General's iTracking system on a real-time basis. This information, which includes case status and outcome, is publicly available.

#### *Management Letter exercise*

15. UNOPS senior leadership remains fully committed to ensuring that beneficiaries and personnel are afforded the appropriate protection against sexual exploitation, abuse, and harassment. This commitment materializes in a written submission of the Management Letter on Protection against Sexual Exploitation and Abuse to the Executive Board. As it is customary in UNOPS, our Executive Director will sign and submit the letter upon receipt of equivalent pledges from senior leaders across the organization.

### **Looking Ahead**

#### *Integrating prevention and response in UNOPS procurement*

16 Given UNOPS unique business model with a significant focus on contractors, suppliers and vendors, 2023 will focus on ensuring these entities are equipped with the skills and capacity to prevent and respond to SEA cases. The approach will scale up existing pilot systems that exist in the Middle East region, particularly in the Jordan country-level office that currently implements Contractor Minimum Standards and strengthens the capacity of contractors to minimize risk and provide an adequate response if allegations do arise. Building further on that, the Latin America region has developed a comprehensive set of guidance and training in Spanish specifically for contractors to understand their roles and responsibilities vis a vis preventing and responding to SEA in their work projects.

17 In a parallel process UNOPS is beginning the process of working with suppliers and vendors to both screen and verify their ability to respond to SEA risks through an enhanced procurement process. This work will also build upon existing ad hoc work done in the Middle East which has been a successful joint endeavour between the Regional Gender Advisor and headquarters Procurement Group.

#### *Capacity building and awareness raising*

18. With newly dedicated personnel responding directly to the challenges of coordinating a UNOPS-wide comprehensive prevention and response approach to PSEAH, in 2023 UNOPS will ramp up its efforts of continuous awareness and training of personnel and associated stakeholders.

19. As a further development of our focus on awareness raising and building capacity both internally and externally, UNOPS is planning to launch a new training and communication strategy regarding the prevention against SEAH. The strategy focuses on internal and external communications plans and tools and training plans for UNOPS personnel, as well as for communities and beneficiaries, and our external stakeholders such

as contractors, suppliers and vendors. It will guide UNOPS leaders and personnel to effectively communicate with their peers, supervisors, direct reports and stakeholders with an aim to raise awareness, prevent and respond to SEAH. Specifically, there will be resources for managers to understand their role in promoting a culture of zero tolerance. These tools will equip UNOPS managers and personnel at large to have meaningful discussions and conversations about this topic and reinforce UNOPS' Speak Up culture.

20. Continuous efforts at raising awareness with beneficiaries and communities will increase their awareness of their own rights to live free from harm and provide information for how they may report grievances and concerns. This is a cornerstone in UNOPS strategy to ensure beneficiaries are able to report incidents and in turn receive the appropriate support and institutional response.

21. Through these activities, we expect to achieve a positive effect on shaping the culture of the organization and achieve long-lasting positive effects in terms of reinforcing protection against SEAH.