

# Understanding the PSEA Assessment: Training for IPs

**ZERO TOLERANCE**  
FOR SEXUAL EXPLOITATION AND ABUSE



Honouring our values

## 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*



**UNITED NATIONS PROTOCOL ON  
ALLEGATIONS OF SEXUAL EXPLOITATION AND ABUSE  
INVOLVING IMPLEMENTING PARTNERS**

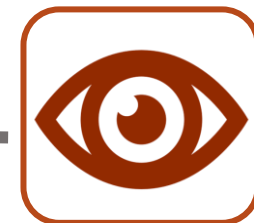
**21 March 2018**

*“The UN does not partner with entities that fail to address and respond to instances of SEA”*

**SCREENING**



**MONITORING**



# Understanding the UN IP Protocol on PSEA: Purpose

## **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

# Understanding the UN IP Protocol on PSEA: Purpose

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

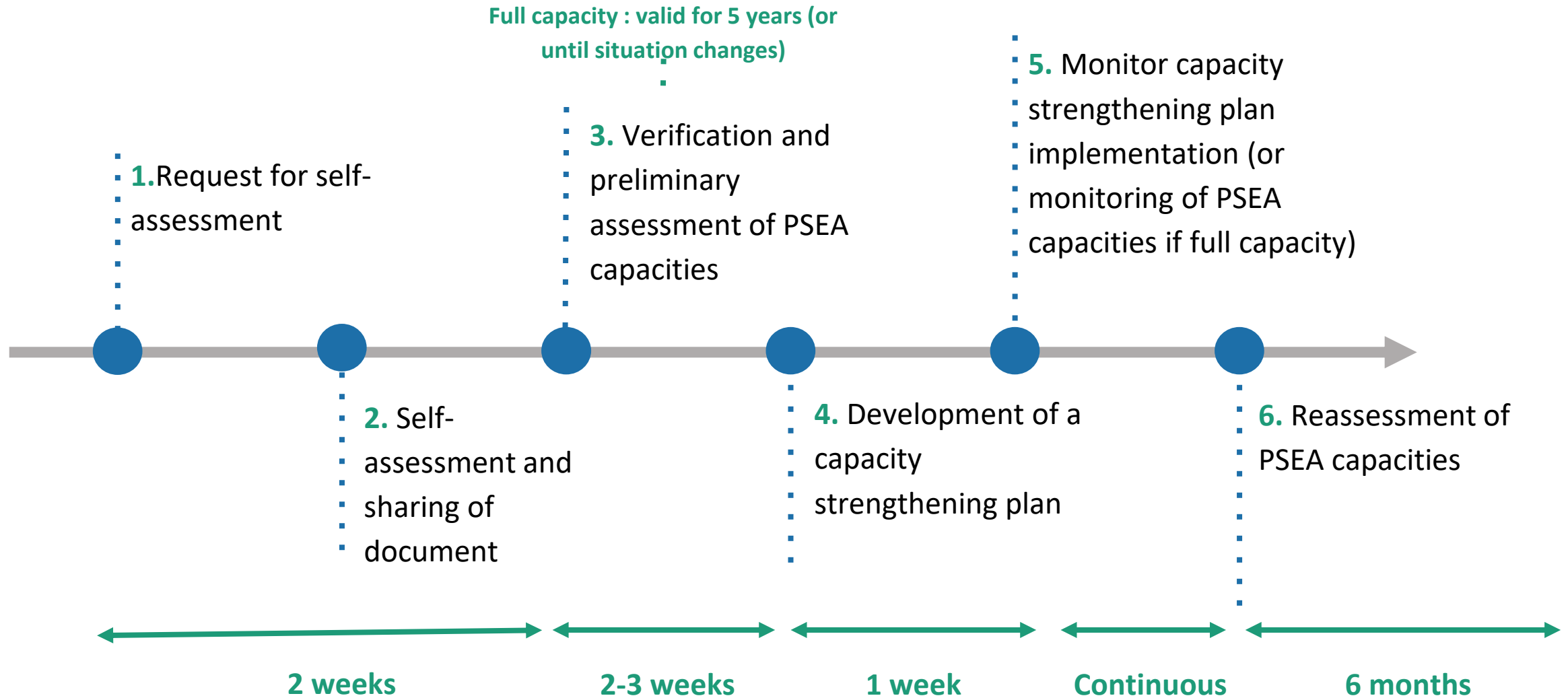
**Inform** the IP of the standards

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



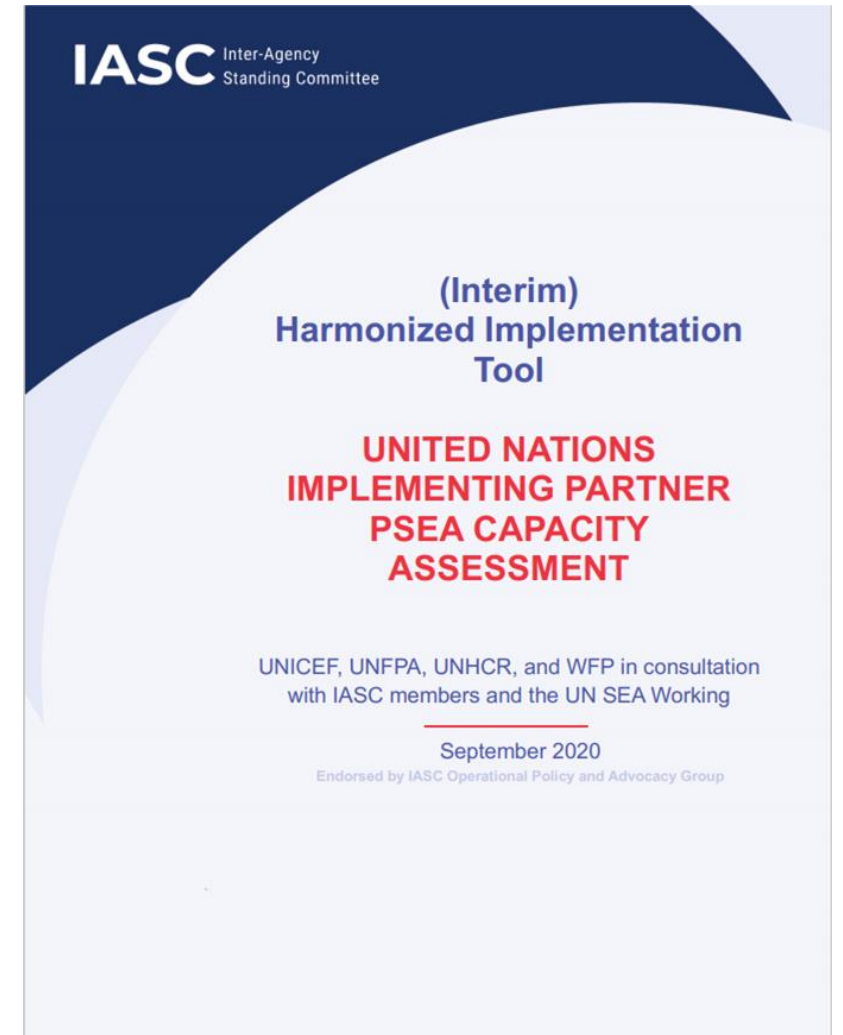


# Operationalizing the UN IP Protocol on PSEA

# Operationalisation of the Protocol

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**







# 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?

# Assessment Process

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

Standard 1	Organisational policy
Standard 2	Organisational management - sub-contracting
Standard 3	HR systems
Standard 4	Mandatory training
Standard 5	Reporting
Standard 6	Assistance and referrals
Standard 7	Investigations
Standard 8	Corrective measures

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

MANDATORY  
TRAININGS

HUMAN RESOURCES  
SYSTEMS

ORGANIZATIONAL  
MANAGEMENT

ORGANIZATIONAL  
POLICY

- 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

# CS1 Organizational Policy

MANDATORY  
TRAININGS

HUMAN RESOURCES  
SYSTEMS

ORGANIZATIONAL  
MANAGEMENT

ORGANIZATIONAL  
POLICY

Standard	Yes	No	Supporting documentation may include
<p><b>1: Organizational Policy</b></p> <p><u>Required:</u> 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.</p> <p><b>(UN IP Protocol para 15 &amp; Annex A.4)</b></p>	<input type="checkbox"/> 1 point	<input type="checkbox"/> 0 points	<input type="checkbox"/> Code of Conduct (internal or interagency) <input type="checkbox"/> PSEA policy <input type="checkbox"/> Documentation of standard procedures for all personnel to receive/sign PSEA policy <input type="checkbox"/> Other (please specify):
	Comments:		

# CS2 Organizational Management

MANDATORY  
TRAININGS

HUMAN RESOURCES  
SYSTEMS

Standard	Yes	No	N/A	Supporting documentation may include
<p><b>2: Organizational Management</b></p> <p><u>Required:</u> 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.</p> <p><b>(UN IP Protocol para 11; 15; &amp; Annex A.1)</b></p>	<input type="checkbox"/> 1 point	<input type="checkbox"/> 0 points	<input type="checkbox"/> 1 point	<input type="checkbox"/> Contracts/partnership agreements for sub-contractors  <input type="checkbox"/> Other (please specify):
	Comments:			

ORGANIZATIONAL  
MANAGEMENT

ORGANIZATIONAL  
POLICY

# CS3 Human Resources Systems

MANDATORY  
TRAININGS

Standard	Yes	No	Supporting documentation may include
<p><b>3: Human Resources Systems</b></p> <p><u>Required:</u> 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.</p> <p><b>(UN IP Protocol para 11; 15; &amp; Annex A.2)</b></p>	<input type="checkbox"/> 1 point	<input type="checkbox"/> 0 points	<input type="checkbox"/> Reference check template including check for sexual misconduct (including reference from previous employers and self-declaration) <input type="checkbox"/> Recruitment procedures <input type="checkbox"/> Other (please specify):
Comments:			

HUMAN RESOURCES  
SYSTEMS

ORGANIZATIONAL  
MANAGEMENT

ORGANIZATIONAL  
POLICY



# CS4 Mandatory Training

Standard	Yes	No	Supporting documentation may include
<p><b>4: Mandatory Training</b></p> <p><u>Required:</u> 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 <u>UN's definition</u>); 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).</p> <p><b>(UN IP Protocol para 17 &amp; Annex A.5)</b></p>	<input type="checkbox"/> 1 point	<input type="checkbox"/> 0 points	<input type="checkbox"/> Annual training plan <input type="checkbox"/> Training agenda <input type="checkbox"/> Training package <input type="checkbox"/> Attendance sheets <input type="checkbox"/> Training certificates <input type="checkbox"/> Other (plase specify): _____
	Comments:		

MANDATORY  
TRAININGS

HUMAN RESOURCES  
SYSTEMS

ORGANIZATIONAL  
MANAGEMENT

ORGANIZATIONAL  
POLICY

# CS5 Reporting

CORRECTIVE  
ACTION

INVESTIGATIONS

ASSISTANCE AND  
REFERRALS

REPORTING

Standard	Yes	No	Supporting documentation may include
<p><b>5: Reporting</b></p> <p><u>Required:</u> 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).</p> <p><b>(UN IP Protocol para 19 &amp; Annex A.3)</b></p>	<input type="checkbox"/> 1 point	<input type="checkbox"/> 0 points	<input type="checkbox"/> Internal Complaints and Feedback Mechanism <input type="checkbox"/> Participation in joint reporting mechanisms <input type="checkbox"/> Communication materials <input type="checkbox"/> PSEA awareness-raising plan <input type="checkbox"/> Description of reporting mechanism <input type="checkbox"/> Whistle-blower policy <input type="checkbox"/> Other (please specify): _____
	Comments:		

# CS6 Assistance and Referrals

CORRECTIVE  
ACTION

INVESTIGATIONS

Standard	Yes	No	Supporting documentation may include
<p><b>6: Assistance and Referrals</b></p> <p><u>Required:</u> 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.</p> <p><b>(UN IP Protocol para 22.d.)</b></p>	<input type="checkbox"/> 1 point	<input type="checkbox"/> 0 points	<input type="checkbox"/> Internal or Interagency referral pathway <input type="checkbox"/> List of available service providers <input type="checkbox"/> Description of referral or Standard Operation Procedure (SOP) <input type="checkbox"/> Referral form for survivors/victims of GBV/SEA <input type="checkbox"/> Guidelines on victim assistance and/or training on GBV and GBV case management principles <input type="checkbox"/> Other (please specify): _____
	Comments:		

ASSISTANCE AND  
REFERRALS

REPORTING

# CS7 Investigations

CORRECTIVE  
ACTION

Standard	Yes	No	Supporting documentation may include
<p><b>7: Investigations</b></p> <p><u>Required:</u> 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.</p> <p><b>(UN IP Protocol para 20, 23 and 24, &amp; Annex A.6)</b></p>	<p><input type="checkbox"/> 1 point</p>	<p><input type="checkbox"/> 0 points</p> <p>Comments:</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Written process for review of SEA allegations</li> <li><input type="checkbox"/> Dedicated resources for investigation(s) and/or commitment of partner for support</li> <li><input type="checkbox"/> PSEA investigation policy/procedures</li> <li><input type="checkbox"/> Contract with professional investigative service</li> <li><input type="checkbox"/> Other (please specify):</li> </ul>

INVESTIGATIONS

ASSISTANCE AND  
REFERRALS

Reporting

# CS8 Corrective Action

Standard	Yes	No	N/A	Supporting documentation may include
<p><b>8: Corrective Action</b></p> <p><u>Required:</u> The organisation has taken appropriate corrective action in response to SEA allegations, if any.</p> <p>(UN IP Protocol para 20, 22.a., &amp; Annex A.6)</p>	<input type="checkbox"/> 1 point	<input type="checkbox"/> 0 points	<input type="checkbox"/> 1 point	<input type="checkbox"/> Evidence of implementation of corrective measures identified by the UN partner entity, including capacity strengthening of staff.  <input type="checkbox"/> Specific measures to identify and reduce risks of SEA in programme delivery.  <input type="checkbox"/> Other (please specify):
	Comments:			

CORRECTIVE ACTION

INVESTIGATIONS

ASSISTANCE AND REFERRALS

Reporting



## Capacity Assessment – Standards

- |            |   |  |
|------------|---|--|
| 8          | ➔ | Meets all standards ( <b>full capacity</b> )   |
| 6 to 7     | ➔ | Meets most standards. Support required to address remaining gaps ( <b>medium capacity</b> )                      |
| 5 or fewer | ➔ | Does not meet the minimum standards. Immediate action needed to strengthen PSEA capacity ( <b>low capacity</b> ) |



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

# Translation of score and risk rating between different assessment tools

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



# UN Documents Decision & Builds Capacity Strengthening Plan with IP



If partner scores **less than full capacity**, UN:

**Justifies** engagement per internal process

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

^ Capacity Strengthening Implementation Plan						
DATE of Completion:						
Completed by:						
CAPACITY STRENGTHENING PLAN: To be completed jointly by partner and UN entity				MONITORING OF CAPACITY STRENGTHENING PLAN		
CSIP Past Due						
CAPACITY STRENGTHENING ACTIVITY	PERSON RESPONSIBLE to implement the activity	REQUIRED/ AVAILABLE RESOURCES to implement activity (e.g. financial, HR, logistics)	TARGET DATE FOR COMPLETION of the activity	STATUS of the activity (i.e. not started/in progress/completed)	SUPPORTING DOCUMENTATION demonstrating the activity was completed and partner meets core standard	Name of agency completing and date of monitoring activities
^ Core Standard #: Title (i.e., 1: Organizational Policy)						
Required: The partner has a policy document on PSEA. At a minimum, this document should include a written undertaking that the partner accepts the standards of conduct listed in section 3 in ST/SGB/2003/13.						
Activity 1				▼	Text:  	
Activity 2				▼		
V Core Standard #: Title (i.e., 2: Organizational Management...)						



# Main objective

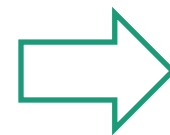
Identify the activities the partner can undertake to reach full capacity

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 Monitors and Undertakes Support Activities



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

^ Capacity Strengthening Implementation Plan						
DATE of Completion:						
Completed by:						
CAPACITY STRENGTHENING PLAN: To be completed jointly by partner and UN entity				MONITORING OF CAPACITY STRENGTHENING PLAN		
CSIP Past Due						
CAPACITY STRENGTHENING ACTIVITY	PERSON RESPONSIBLE to implement the activity	REQUIRED/ AVAILABLE RESOURCES to implement activity (e.g. financial, HR, logistics)	TARGET DATE FOR COMPLETION of the activity	STATUS of the activity (i.e. not started/in progress/completed)	SUPPORTING DOCUMENTATION demonstrating the activity was completed and partner meets core standard	Name of agency completing and date of monitoring activities
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Required: The partner has a policy document on PSEA. At a minimum, this document should include a written undertaking that the partner accepts the standards of conduct listed in section 3 in ST/SGB/2003/13.						
Activity 1				▼	Text:  	
Activity 2				▼		
V Core Standard #: Title (i.e., 2: Organizational Management...)						

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

# Guidance on supporting documentation/evidence

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

# UN PSEA Common Tool / UNPP

## UNPP Landing Page



\*\* Mock-ups - final version may look different

PSEA Observations	
<b>Preliminary PSEA Capacity Rating:</b>	
Low	
Justification if capacity is less than full: <u>Joren ipsum...</u>	
<b>Capacity Strengthening Plan completed:</b>	
Yes	Date: 05/04/21
<b>Final determination:</b>	
Reassessment past due	
Date	
🗨️	

v Preliminary Rating			
v Capacity Strengthening Plan			
^ Reassessment and final determination			
Date of preliminary rating: DD/MM/YY	Full (8)	Medium (6-7)	Low (>5)
Final determination (after 6 months of signing capacity plan if preliminary rating is less than full)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Date of reassessment: _____	<input type="radio"/> Not eligible (core standard 8 is no)		
UN feedback and comments to partner:			
If capacity was low, after 6-month assessment, was exceptional 3 month exception to reach full capacity given?	<input type="radio"/> Yes	<input type="radio"/> No	<input type="radio"/> N/A
Reassessment after 3-month exception	Full (8)	Medium (6-7)	Low (>5)
Date: _____	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<input type="radio"/> Not eligible (core standard 8 is no or entity is less than full)			

^ Preliminary Self-Assessment and Rating			
Core Standard	Partner self-assessment Completed by: Date:	UN preliminary score and rating Completed by: [agency name] Date:	
1. Organizational Policy	<input type="radio"/> Yes <input type="radio"/> No Partner comments:	<input type="radio"/> Yes <input type="radio"/> No	UN Comments:
2. Organizational Management	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A Partner comments:	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A	UN Comments:
3. Human Resources Systems	<input type="radio"/> Yes <input type="radio"/> No Partner comments:	<input type="radio"/> Yes <input type="radio"/> No	UN Comments:
4. Mandatory Training	<input type="radio"/> Yes <input type="radio"/> No Partner comments:	<input type="radio"/> Yes <input type="radio"/> No	UN Comments:
5. Reporting	<input type="radio"/> Yes <input type="radio"/> No Partner comments:	<input type="radio"/> Yes <input type="radio"/> No	UN Comments:
6. Assistance and Referrals	<input type="radio"/> Yes <input type="radio"/> No Partner comments:	<input type="radio"/> Yes <input type="radio"/> No	UN Comments:
7. Investigations	<input type="radio"/> Yes <input type="radio"/> No Partner comments:	<input type="radio"/> Yes <input type="radio"/> No	UN Comments:
8. Corrective Action	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A Partner comments:	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A	UN Comments:
<b>Grand Total Points (0-8) separated by Yes#, N/A #</b>	Total: # (Yes#, N/A#)	Total: # (Yes#, N/A#)	
<b>Preliminary UN Score and Rating:</b>		Full capacity 8	Medium capacity 6-7
		<input type="radio"/>	<input type="radio"/>
		<input type="radio"/> Low risk/no contact with beneficiaries	
		<input type="radio"/> Not eligible (core standard 8 is no)	
If the partner had any capacity gaps in one or several areas related to PSEA (i.e., low or medium capacity), please complete a capacity strengthening implementation plan in the next section.			





# Q&A

