

IASC PSEA MOS	KEY INDICATORS	WHAT YOUR ENTITY IS DOING	GAPS	ACTIONS	TIMEFRAME	RESPONSIBLE	
1. MANAGEMENT AND COORDINATION							
1	Effective Policy Development & Implementation	1.a. A policy stating standards of conduct, including acts of SEA, exists and a work plan to implement the policy is in place.	The UN personnel in Guatemala is aware about the PSEA policy as informed during induction processes and mandatory courses.	The PSEA action Plan is yet to be broadly circulated beyond the UNCT heads of agencies.	The UNCT updates the UNCT action plan on PSEA during the first quarter of the year and shares it (together with the policy, https://undocs.org/es/ST/SGB/2003/13) to all UN personnel.	Upon adoption of PSEA Action Plan (1 July 2020)	RCO and UNCT
		1.b. The policy/ standards of conduct have been conveyed to current staff and senior management (at HQ and field level) on repeated occasions (such as inductions and refresher trainings).	The UNCT ensures that its personnel complete continuous and mandatory training on PSEA (general and for managers), as describes in action 8.a below.	N/A	See 8.1 below.	N/A	N/A
		1.c. Management Letter – leaders at every level have certified that instances involving credible allegations of sexual exploitation and abuse from the areas of their responsibility have been accurately and fully reported (SG Report).	The RC reports fully and in detail all complaints regarding SEA as they relate to UN personnel.	N/A	Action sent by the RC to DCO and the SG Office’s liaison person.	Before the end of the year.	RC

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	<p>1.d. Mechanisms to enforce the policy on whistle-blowers – to empower, encourage and protect staff who report cases of sexual exploitation and abuse – are being developed and safeguarded (SG Report).</p>		Yes.	<p>UNCT statement on adherence to policy on whistler-blowers during a UNCT meeting and registered in the approved minutes.</p>	As soon as the policy is developed.	UNCT
	<p>1.e. Best practices and lessons learned were shared with other UN entities and/or taken on by the entity.</p>	<p>The RC has invited the UNCT to use its regular meetings to share initiatives that are being implemented within each AFP regarding PSEA; two UNCT meetings (late 2019 and early 2020) have so far included the topic of PSEA.</p> <p>The taskforce or interagency group established in late 2019 to follow PSEA progress.</p>	N/A	<p>The RC will include the topic of PSEA as a meeting point during at least two UNCT regular meetings a year, for selected UNCT members and/or the PSEA taskforce to share initiatives that are being implemented regarding PSEA, particularly on prevention and case managements, including victim protection and comprehensive assistance, as well as sanctions against perpetrators. Additional UNCT regular meetings can include the topic by request of any UNCT member or the PSEA taskforce.</p> <p>The PSEA taskforce will compile and share progress on PSEA, lessons learnt and</p>	November 2020	UNCT and PSEA taskforce






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				good practices to be shared with the RC and the UNCT.		
2	Cooperative Arrangements	2.a. SG’s Bulletin (ST/SGB/2003/13) or respective codes of conduct are included in general contract conditions.	Included by some AFPs.	Not widely developed.	PSEA provisions are developed and suggested for inclusion by AFPs in their general contract conditions.	December 2020 OMT
		2.b. Procedures are in place to receive written agreements from entities or individuals entering cooperative arrangements with the agency that they are aware of and will abide by the standards of the PSEA policy.	Included by some AFPs.	Not widely developed.	For AFPs that do not currently include PSEA requirements from individuals and/or entities entering agreement with them, suggested wording will be developed for agreement templates.	December 2020 OMT
		2.c When working with implementing partners, adequate safeguards are in place and appropriate action is taken related to sexual exploitation and abuse – e.g. screening, cooperative arrangements, monitoring, and termination of arrangements (United	Included by some AFPs.	Not widely developed.	AFPs that currently have general conditions for cooperative arrangements and internal policy for partners regarding PSEA will share them, and will develop a suggested template for AFPs that do not currently have them in place.	December 2020 OMT

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	<p>Nations Protocol on Allegations of Sexual Exploitation and Abuse Involving Implementing Partners (ST/SGB/2003/13).</p>					
<p>3</p> <p>A dedicated department/ focal point is committed to PSEA</p>	<p>3.a. A dedicated department/ focal point has the overall responsibility for the development and implementation of the PSEA policy and activities.</p>	<p>The UNCT established a PSEA taskforce in late 2019.</p>	<p>N/A</p>	<p>PSEA Taskforce to operate within the Human Resources taskforce in the OMT.</p>	<p>December 2020</p>	<p>UNCT decides Group for Programme Coordination to propose structure</p>
	<p>3.b. The responsible department/ focal point is required to regularly report to senior management on its progress on PSEA through the Senior Focal Point on PSEA.</p>	<p>Eight designated focal persons were designated by AFPs to integrate the taskforce, with a designated RCO lead.</p>	<p>12 AFPs yet to designate a focal point.</p>	<p>Remaining AFPs to designate a focal point for the taskforce.</p> <p>The PSEA taskforce compiles and shares progress on PSEA to the UNCT as per action 1.e above.</p>	<p>December 2020</p>	<p>UNCT</p>
	<p>3.c. Staff members dealing with PSEA have formalized responsibility for PSEA in their job description, performance appraisal or similar.</p>	<p>Included by some AFPs.</p>	<p>Not widely developed and adopted.</p>	<p>Each PSEA focal point and RCO lead has specific objectives in their job description and annual objectives, which are assessed in their annual performance appraisal.</p>	<p>December 2020 (to be implemented in 2021)</p>	<p>Each AFP OMT (Human Resources interagency taskforce)</p>

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	<p>3.d. Staff members have received systematized training on PSEA and the time committed to PSEA is commensurate with the scale of implementation required under the current situation of the organization.</p>	<p>Adopted by most AFPs.</p>	<p>Some agencies to include training in their onboarding programmes.</p>	<p>The RC encourages AFPs to make training on PSEA available to all new UN personnel.</p> <p>AFPs report to the RCO on the number of new personnel who have taken training on PSEA, whether mandatory or not.</p>		<p>RCO</p> <p>OMT (Human Resources interagency taskforce)</p>
2. ENGAGEMENT WITH AND SUPPORT OF LOCAL COMMUNITIES						
<p>4</p> <p>Effective and comprehensive communication between the HQ and the field on expectations regarding raising beneficiary awareness on PSEA</p>	<p>4.a. The HQ has communicated in detail the expectations regarding beneficiary awareness raising efforts on PSEA (including information on the organization's standards of conduct and reporting mechanism).</p>	<p>N/A</p>	<p>N/A</p>	<p>N/A</p>	<p>N/A</p>	<p>N/A</p>
	<p>4.b. The HQ has distributed examples of awareness raising tools and materials to be used for beneficiary awareness raising activities – e.g. No Excuses Card.</p>	<p>N/A</p>	<p>N/A</p>	<p>N/A</p>	<p>N/A</p>	<p>N/A</p>

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	<p>4.c. Entity has ensured and acted upon effective communication with the HQ as under 4.a. and 4.b</p>	<p>Adoted by some AFPs.</p>	<p>Not widely implemented yet.</p>	<p>The UNCT distributes the Spanish version of the PSEA policy (https://undocs.org/es/ST/SGB/2003/13) and creates and distributes other materials regarding PSEA in Spanish.</p> <p>The UNCT prints and distributes the “no excuses card” in Spanish, including appropriate information on how and where to file complaints.</p> <p>The UNCT to prepare a 2021 interagency awareness campaign on PSEA, targeting partners and target population through, <i>inter alia</i>, the UN-Guatemala and AFPs websites, as well as the field community meetings of each agency.</p>	<p>December 2020</p>	<p>GICI</p>
<p>5</p> <p>Effective community-based complaints</p>	<p>5.a. The HQ urges its field offices to participate in community-based complaint mechanisms (CBCMs) that are jointly developed and implemented by the aid community</p>			<p>To be included in the Action Plan for 2021.</p>	<p>N/A</p>	<p>N/A</p>

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mechanisms (CBCM)	adapted to the specific locations.					
	5.b. There is guidance provided to the field on how to design the CBCM to ensure it is adapted to the cultural context with focus on community participation.			Prepare virtual meeting for 2021 with the PSEA focal points and HQ for further guidance and advice on, inter alia: (i) implementation of the PSEA policy <i>in tandem</i> with the policy against Harassment, Sexual Harassment and Abuse; (ii) good practices on the risk assessment and capacity mapping; and (iii) mechanisms for protection and comprehensive assistance to victims.	December 2020 (to implement in 2021)	SG Focal Point on PSEA and/or DCO
	5.c. There is a mechanism for monitoring and reviewing the complaint mechanism.	Adopted by some AFPs.	Not widely implemented yet.	AFPs inform the RC about PSEA complaints concerning personnel in the country that have gone through their respective complaint mechanism.	December 2020	OMT
	5.d. Use of the Incident Reporting Form is integrated into complaints and investigation mechanisms (SG Report).	Adopted by some AFPs.	Not widely implemented yet.	AFPs report to the RC on the inclusion of Incident Reporting Form in the complaint mechanisms as per action 5.c. above.	December 2020	OMT
6 Victim Assistance	6.a. Receipt and review of the 2020 Protocol on the			To be integrated in the PSEA 2021 Action Plan (https://data2.unhcr.org/e)	N/A	RC/UNCT


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	Provision of Assistance to Victims of SEA is integrated with planned implementation within X months.			n/documents/download/76160) 		
	6.b. Identification of a focal point or dedicated capacity to work with victims of SEA and liaise with UN Victims' Rights Advocate (VRA) and the UN Field VRAs.	Adopted by some AFPs.	Not widely implemented yet.	AFPs inform the RC about the designation of their respective  ponsible officer(s)  for implementation of mechanisms for protecting and support of victims in accordance to action 6.c below.	December 2020	UNCT and OMT
	6.c. Establishment of mechanism to refer victims for medical care, psychosocial support, material assistance, and legal services.	Adopted by some AFPs.	Not widely implemented yet.	AFPs inform the RC about the use in the country of their  respective mechanism  for legal, psychosocial and other type of support for PSEA victims.	December 2020	OMT
	6.d. The organization facilitates the resolution of paternity and child support claims of children born as a result of sexual exploitation and abuse.			AFPs inform the RC about the resolution of paternity and child support claims of children born as a result of sexual exploitation and abuse, as described in action 6.c above.	December 2020	OMT

3. PREVENTION

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7	Effective recruitment & performance management	7.a. The organization makes sure that all candidates are required to sign the Code of Conduct before being offered a contract.	Adopted by some AFPs.	Not widely implemented yet.	The UNCT shares examples of general conditions for AFPs' contracting personnel that include PSEA requirements and develop suggested provisions for AFPs that do not currently include them.	December 2020	OMT (Human Resources interagency taskforce)
		7.b. Each organization commits to improving its system of reference checking and vetting for former misconduct. Effective June 2018 use of the SEA screening tool is encouraged. For further information on this, please contact the Office of the Special Coordinator.	Adopted by some AFPs.	Not widely implemented yet.	The UNCT encourages all AFPs to include the requirement of "constancia de agresor individual" (record of individual perpetrator, RENAS) from the General Prosecutor's Office as part of its local hiring processes.	December 2020	OMT (Human Resources interagency taskforce)
7	Effective recruitment & performance management	7.c. Supervision and performance appraisals include adherence to participation in Code of Conduct trainings (or similar) that includes PSEA.	Adopted by some AFPs.	Not widely implemented yet.	The UNCT encourages AFPs to include in its personnel 2021 objectives and performance appraisals the participation in PSEA trainings in accordance with action 8.a below.	December 2020	OMT (Human Resources interagency taskforce)

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	<p>7.d. Performance appraisals for Senior Management include the adherence to create and maintain an environment which prevents sexual exploitation and abuse and promotes the implementation of the ST/SGB/2003/13 or Code of Conduct.</p>	<p>Adopted by some AFPs.</p>	<p>Not widely implemented yet.</p>	<p>The RC considers (as part of the AFPs heads of agency annual performance appraisals) the adherence to the PSEA policy and environment that promotes its implementation, in accordance to the MAF.</p>	<p>December 2020</p>	<p>RC</p>
	<p>7.e. Risk assessments are undertaken, mitigation measures are developed, and challenges and positive changes are communicated to the Secretary-General (SG Report).</p>	<p>Not yet implemented.</p>	<p>Not yet implemented.</p>	<p>Prepare initial steps for a risk evaluation (to be conducted in 2021) on PSEA (due to Covid-related movement restrictions).</p>	<p>December 2020 (to continue in 2021)</p>	<p>OMT and RCO</p>
<p>8</p>	<p>Effective and comprehensive mechanisms are established to ensure awareness raising on SEA amongst personnel</p>	<p>Adopted by some AFPs.</p>	<p>Not widely implemented yet.</p>	<p>The UNCT ensures UN staff in Guatemala follow the mandatory and continuous PSEA online training (general and for managers), as well as one workshop in 2020 (and two each year thereafter) with prioritized target audience (e.g. field officers, drivers, outsourcing personnel, contracting and service providers).</p>	<p>December 2020</p>	<p>OMT (Human Resources interagency taskforce)</p>

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					Each AFP informs about the number of personnel who took part on the workshops.		
		8.b. Training (including e-learning) on misconduct (specifically mentioning SEA) forms part of the induction process.	Adopted by some AFPs.	Not widely implemented yet.	The UNCT ensures UN staff in Guatemala follows the mandatory and continuous PSEA training (general and for managers), including online courses and information sharing as part of the onboarding process, as per action 8.a above.	December 2020	OMT (Human Resources interagency taskforce)
		8.c. Staff members are aware of their obligation to report SEA/misconduct and are aware that there is a policy for protection from retaliation in place	Adopted by some AFPs.	Not widely implemented yet.	Information on PSEA policy to be shared by the RC as per action 1.a above.	December 2020	RC
4. RESPONSE							
9	Internal complaints and investigation procedures are in place	9.a. Written procedures on complaints/reports handling from staff members or beneficiaries are in place.	Adopted by some AFPs.	Not widely implemented yet.	AFPs inform the RC about the use in the country of their respective reporting and complaint mechanism regarding PSEA.	December 2020	OMT
		9.b. Staff members are informed on a	Adopted by some AFPs.	Not widely implemented yet.	Initiate preparation of internal UN awareness	December 2020 (to	GICI

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	regular basis on how to file a complaint/report and the procedures for handling these.			campaign to accompany roll out of reporting and complaint mechanism in 2021. 	continue in 2021)	
	9.c. Standard investigation operating procedures or equivalent are issued and used to guide the investigation practice.	Adopted by some AFPs.	Not widely implemented yet.	AFP's share their respective SOPs on PSEA investigations, when available, and develop suggested SOPs for those that do not currently have them, in tandem with action 9.a above. Disseminate knowledge resources on the topic that the AFPs are developing.	December 2020	OMT
	9.d. Investigations are undertaken by experienced and qualified professionals who are also trained on sensitive investigations such as allegations of SEA.	Adopted by some AFPs.		AFP's inform the RC about their respective focal point to work with victims of SEA if/when the need arises.	December 2020	UNCT
	9.e. Investigations are commenced within 3 months and information about the outcome is shared with the complainant.	Adopted by some AFPs.		SOPs mentioned in action 9.c above include suggested initiation of investigations within 3 months of receiving a complaint.	December 2020	OMT

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	<p>9.f. Substantiated complaints have resulted in either disciplinary action or contractual consequences and, if not, the entity is able to justify why not.</p>	<p>Adopted by some AFPs.</p>		<p>AFPs reports to the RC on PSEA complaints and allegations include follow up on the results, when such instances occur and when the information is available to the head of agency in the country.</p>	<p>December 2020</p>	<p>UNCT heads of agencies</p>
<p>5. OTHER</p>						
<p>Please add further information (or create new sections) here, if appropriate.</p>						