Entity Level Action Plan to Prevent and Respond to Sexual Exploitation and Abuse (Model Template)

This model template is to be completed by UN **ENTITY-**level/Headquarters.¹ It provides the minimum requirement to analyse the effectiveness, impact and progress on measures to prevent and respond to sexual exploitation and abuse across your entity globally to date. The desired outcomes are the priority results that **ENTITIES** should strive to implement in relation to policy, organisational oversight mechanisms, victims' assistance and the promotion of a victim-centred approach, community engagement, complaint and reporting mechanisms, investigation, accountability, training, risk mitigation, and cooperation agreement with partners. This template is a model, and entities are encouraged to modify this model template as appropriate.

Contact details of the PSEA focal point(s) (Name, Email address): Ms. Candace Karp, Political Affairs Officer (karp@un.org)

[Mandatory] Contact details of the SVRO/FVRA/VRFP (Name, Entity, Email address):OSE-Syria is not designated for the appointment of SVRO

Overview

The action plan is to support OSE-Syria in establishing a baseline in PSEA work through outlining the actions needed to achieve outputs and the five desired outcomes. Challenges OSE-Syria might face relate to the size of the Mission, having duty stations in both Geneva, in a H duty station and in Damascus, an E duty station. The political and security situation in Syria is not conducive to some PSEA activities that are expected of field and peacekeeping missions with a bigger footprint. Despite excellent cooperation with the UNCT Syria the activities of the PSEA Syria network might be limited in nature.

	Indicators ght. Entity-specific dedicated policy statemer nel, and dedicated resources and structures			Timeframe itation and abuse a	Lead Office Department Service Section re available and
Output 1.1. Effective protection from sexual exploitation and abuse policy development and implementation. Foundational documents in place to set out standards of conduct related to PSEA both at the entity level and in all duty stations.	a. PSEA policies, including standards of conduct, and a work plan to implement the policies is in place.	The Office of Special Envoy for Syria issues an email communication on preventing SEA by OSE personnel. Following the recent OIOS Audit and further guidance from RCDS, two broadcasts on SEA will be send out.	As part of his Compact, the Special Envoy issues directive or broadcast communication to all OSE staff on preventing SEA.	Ongoing	Conduct & Discipline Focal Point (CDFP) in collaboration with the Regional Conduct and Discipline section (RCDS)

¹ This includes all Secretariat departments, offices, regional commissions and all agencies, funds and programmes. For peace operations and special political missions, specific guidance will be provided by the Department of Management Strategy, Policy and Compliance.

² The targets provided in the model template are intended as illustrative examples. Actual targets would need to be determined by the entity.

Desired outcomes	Indicators	Targets/ Benchmarks ²	Key actions	Timeframe	Lead Office Department Service Section
	b. PSEA policies are in place and reviewed regularly and senior management conveys the message to staff regularly.	Online training on prevention of SEA, and classroom training for all OSE personnel (refresher sessions). Discussion on any mission misconduct issues at Senior Leadership Team (SLT) Level.	OSE monitors mandatory Training Compliance of all personnel. Monitoring compliance with mandatory training on PSEA. One-on-one discussions between the PSEA focal point and every staff member in Geneva and Damascus to ensure that understanding of PSEA remains up to date. Components of these one-on-one discussions include: PSEA definitions, PSEA risks in Geneva and in Syria, staff obligations, reporting PSEA, and policies related to protection from retaliation.	Ongoing Yearly	CDFP in coordination with RCDS
	c. Mechanisms are in place to regularly track the status of the implementation and uniformity of the sexual exploitation and abuse policy as implemented by Country Teams, at the entity and at field levels.	See answer to 2.1 (a)	See answer to 2.1 (a)	See answer to 2.1 (a)	See answer to 2.1 (a)

Desired outcomes	Indicators	Targets/ Benchmarks ²	Key actions	Timeframe	Lead Office Department Service Section
	d. Mechanisms to enforce the protection against retaliation for reporting misconduct – to empower, encourage and protect staff who report cases of sexual exploitation and abuse – are being developed and safeguarded (<u>ST/SGB/2017/2/Rev.1</u>).	ST/SGB/2017/2 and Ethics Roadmap information is provided to personnel, Malicious complaints are treated as misconduct. Two broadcasts were sent out on SEA based on the guidelines provided by RCDS. Issue a broadcast to all staff in the mission on UN Ethics Office Roadmap for staff.	OSE-Syria SE and DSE to reinforce this point with staff members and institute an open door policy for staff members who seek reassurance that they will be protected from retaliation Repeated provision of information through training. Accountability of all staff in completing mandatory courses.	Ongoing	OSE/ RCDS
	e. The entity ensures that Staff members are aware of their obligation to report SEA/misconduct.	Target: 100 percent of all OSE-Syria staff members understand this obligation which is to be reflected in the yearly PSEA survey results All SEA allegations reported to OSE are acted upon in time and appropriate disciplinary actions have been taken. Managers are periodically sensitized and are well aware of the policy on SEA, including the	In yearly on-on-one discussions between PSEA FP and staff members, staff obligations in this regard will be reinforced Senior mission's leadership consistently emphasizes the Secretary-General's zero-tolerance, zero- complacency, and	Ongoing	CDFP in coordination with RCDS

Desired outcomes	Indicators	Targets/ Benchmarks ²	Key actions	Timeframe	Lead Office Department Service Section
		Directive/Policy on Prevention of SEA.	zero-impunity policy with respect to misconduct generally, but with emphasis on the prevention of SEA.		
	f. The entity ensures that Staff members are aware of the policy for protection against retaliation for reporting misconduct (ST/SGB/2017/2/Rev.1).	ST/SGB/2017/2 and Ethics Office Roadmap for staff information is provided to personnel, Malicious complaints are treated as misconduct.	Provision of information on the policy on protection against retaliation to all staff, to be discussed with staff by the Special Envoy. In yearly on-on-one discussions between PSEA FP and staff members, the UN policy on protection from retaliation will be reinforced	Ongoing	CDFP in coordination with RCDS
	g. The entity includes PSEA clauses in all contractual arrangements/agreements between it and third parties.	All Personnel including contracted personnel are required to sign a contract with a clause of SEA Individual Contractors have clause on PSEA included in their contracts	All personnel contracts include provisions related to the code of conduct and the zero policy in relation to SEA.	Ongoing	HR, CDFP in coordination with RCDS
Output 1.2. A department/focal point is committed to addressing SEA.	An OSE-Syria focal point has the overall responsibility for the development and	Provision of a Specialist for Protection from	Focal point of mission under RCDS guidance submit inputs on	Ongoing/ Quarterly/ Yearly	RCDS, FP of OSE

Desired outcomes	Indicators	Targets/ Benchmarks ²	Key actions	Timeframe	Lead Office Department Service Section
	implementation of the PSEA policy and activities.	Sexual Exploitation and Abuse (PSEA). OSE has a dedicated SEA focal point at a Senior Level. This focal point performs the PSEA function in addition to their normal functions.	prevention activities, number of allegations, and victim assistance for quarterly and annual reports.		
	The focal point has formalized responsibility in their job description, performance appraisal.	Focal point's job description includes responsibilities related to efforts in prevention of SEA.	Focal Point is to reflect in the performance appraisal system a reference to functional duties related to PSEA	Yearly	OSE FPs/ RCDS
	The focal point is required to report regularly to senior management on their progress on PSEA in accordance with the internal procedures.	Annual reporting on PSEA. RCDS also advises OSE- Syria senior managers and supports FP's in their PSEA activities. RCDS undertakes oversight visits.	The focal point uses the PSEA survey as a tool as well as conducting one-on- one sessions with all staff throughout the year. The focal point continues to advertise their open-door policy as required by staff. The focal point, acting under RCDS, submits inputs on prevention activities, number of allegations, and victim	Ongoing/ Quarterly, Yearly	OSES

Desired outcomes	Indicators	Targets/ Benchmarks ²	Key actions	Timeframe	Lead Office Department Service Section
			assistance for quarterly and annual reports.		
Outcome 2. Victims' right to assistant structures).	nce. The entity adopts a victims' rights appro	bach to SEA and has a victim s	support function in place (stand-alone or pai	rt of existing
Output 2.1 Policies and guidance regarding the victims' assistance and support are developed.	Receipt and review of the 2019 Protocol on the Provision of Assistance to Victims of sexual exploitation and abuse is integrated and effectively rolled out in entity's PSEA work.	Advocate for victims' rights and support the implementation of the Protocol on the Provision of Assistance to Victims of SEA.	Mechanism for provision of assistance to victims of SEA - in areas support such as medical, legal, criminal, paternity is to be studied. Further analysis on the populations at risk (prostitutes in Geneva where prostitution is legal; migrants in Switzerland; and in Syria national staff, local population and IDPs) to be undertaken Damascus office to continue to seek regular briefings, discussion and liaison with the UNCT Syria PSEA network to identify and review	When needed	Mission CDFP with support from RCDS

Desired outcomes	Indicators	Targets/ Benchmarks ²	Key actions	Timeframe	Lead Office Department Service Section
			activities security, political and mandate situation permitting		
	a. Establishment of mechanism to promptly refer victims for medical care, psychosocial support, material assistance, legal and other services.	Referral pathways and direct referrals have been established in field missions.	Where applicable, coordination with PSEA Country Network, FVRA where present, and service providers.	Ongoing	Mission CDFP with support from RCDS
	b. The role, if any, the entity plays to facilitate the resolution of paternity and child support claims of children born from sexual exploitation and abuse.	Facilitate the pursuit of paternity claims for victims, where desired by the victim and legally applicable. Actively advocate for and provide Support for children born out of sexual exploitation and abuse whenever such occurrences take place	OSES ensures that complaints can be made in a safe, and confidential manner for reporting SEA particularly in high-risk areas	As needed	Mission CDFP with support from RCDS Legal, psycho- social, medical and other required support to be provided through the UNCT PSEA network to support paternity claims
Output 2.2 Policies and guidance to establish safe and accessible reporting channels for SEA at the community-level are provided.	a. The entity urges its field offices to participate in country level complaint mechanisms that are jointly developed and implemented by the aid community adapted to the specific locations.	N/A presently	OSES ensures that any complaint of SEA is immediately referred to RCDS by the Mission CDFP	As required	CDFP with support from RCDS
Effective complaint mechanisms	b. Guidance provided to the field on how to establish a confidential complaint mechanism for the affected population	To establish CBCM in coordination with the UNCT/ PESA.	External outreach of the CBCM through UNCT/PESA	Ongoing	CDFP/ OSES

Desired outcomes	Indicators	Targets/ Benchmarks ²	Key actions	Timeframe	Lead Office Department Service Section
(e.g., CBCM ³ /CBCN ⁴) guidance are issued.	that is adapted to the cultural context with focus on community participation.				
	c. Percentage of complaints received in the last 12 months that have been closed or pending administrative measures.	To ensure that all cases of SEA are promptly addressed	All allegations are promptly referred to RCDS for OIOS notification and processed for appropriate disciplinary measure.	As needed	CDFP/RCDS
Output 2.3. Effective and comprehensive communication between the entity and the field on expectations regarding <u>victims and</u> <u>affected population</u> awareness on PSEA.	a. Guidance issued on the need to establish and implement awareness- raising materials on SEA for affected populations, including information on their rights, how to report SEA and receive assistance (including information on the entity's standards of conduct and reporting mechanism).	e.g., Implementation of a series of general and tailored training sessions on PSEA to personnel; regular communication of PSEA Policy to all offices and partners. N/A	Information, Education and communication materials provided by IASC, i.e. posters, no excuse pocket cards, etc.	Ongoing	Mission CDFP
	b. Availability of a repository of examples of awareness raising tools and materials and good practices to be used for community awareness activities.	Same as 2.3 (a) above	OSE-Syria to flag outreach to PSEA network. Political, security and mandate situation is not conducive to external outreach	Ongoing	Mission CDFP

³ A Community-based complaints mechanism (CBCM) is a complaints mechanism system blending both formal and informal community structures, built on engagement with the community where individuals are able and encouraged to safely report grievances – including sexual exploitation and abuse incidents – and those reports are referred to the appropriate entities for follow-up. See further information https://interagencystandingcommittee.org/system/files/best practice guide inter agency community based complaint mechanisms 1.pdf

⁴ Community-Based Complaint Networks (CBCNs) supports communications with complainants and victims while allegations are being investigated, and engage in the provision of assistance and support to victims as well as their reintegration into their communities. The UN has engaged with local and international organizations and representatives of communities to develop formal and informal structures and channels that are safe, confidential, and easily accessible for women, men, girls and boys to report misconduct and specifically sexual exploitation and abuse, and to follow up on the status of reported incidents and receive support.

Desired outcomes	Indicators	Targets/ Benchmarks ²	Key actions	Timeframe	Lead Office Department Service Section
Output 3.1 Written procedures on complaints/reports handling from staff members or complainants and victims are in place.	a. Formalization of Standard Operating Procedures on how to file a complaint/ report and the procedures for handling these.	OSE adopts proactive stance on communicating measures to combat sexual exploitation and abuse by UN staff.	Rely on RCDS SOP on Reporting of Allegations of Misconduct developed by RCDS covers issues of conduct and discipline including UN standards of conduct, investigation authority, disciplinary authority, reporting channels, duties, and responsibilities of mission investigative entities.	Ongoing	Mission with support from RCDS
	b. The entity is aware of the HLSG ⁵ decision to adopt the Incident Reporting Form (IRF), as the intake form to receive all complaints of SEA and it is used where it is deployed (CAR, DCR, Jordan, South Sudan).	IRF is not adopted in OSE	N/A		
	c. The entity plans to participate/implement the electronic IRF (eIRF)/IRF in its field offices as an integrated tool into complaints and investigation mechanisms (SG Report).	N/A			
Output 3.2 Standard investigation operating procedures or equivalent	a. Investigations are undertaken by experienced and qualified professionals who are also trained.	Investigations into allegations of misconduct, including	OSE relies on RCDS referral of allegations of SEA to OIOS ,	When needed	CDFP/RCDS/OIOS /

⁵ High-Level Steering Group (HLSG) on Sexual Exploitation and Abuse was established in 2016, chaired by the Secretary-General's Chef de Cabinet, and is comprised of heads of the offices, departments, funds and programmes involved in strengthening the system-wide response to sexual exploitation and abuse

Desired outcomes	Indicators	Targets/ Benchmarks ²	Key actions	Timeframe	Lead Office Department Service Section
are issued and used to guide the investigation practice.		SEA, are thorough and conducted in a timely manner, with sensitivity to any potential victims.	including any required administrative support.		
	b. The standard investigation guidelines and procedure are known, applied and monitored.	As in 3.2 (a).			
	c. Substantiated complaints have resulted in either disciplinary action or contractual consequences and, if not, why not.	Disciplinary actions against staff are based on ST/AI/2017/1 and ST/SGB/2003/13.	Staff are placed under ALWP/ALWOP as part of standard procedures during investigation.	As needed	RCDS DMSPC/ALD/ CDS
Output 3.3 The entity commits to improving its system of reference checking and vetting for former misconduct and ensures that adequate safeguards are in place and appropriate action is taken related to sexual exploitation and abuse – e.g., screening, monitoring, and termination of arrangements.	a. The entity has implemented "Clear- Check" and uses it to reference check and vet all potential candidates.	Job applicants and contractor personnel are screened for prior history of misconduct/SEA issues before hired/contracted (The Clear Check and/or the Misconduct Disclosure Scheme are consulted, Self-Certified declarations of previous offences, allegations and disciplinary history are required). The vetting procedures are in place for on boarding of staff involved or alleged to have been engaged in misconduct/SEA.	Immediate termination of the employee of contracting company if any sexual misconduct complaint arises	As needed	HR CDFP RCDS

Desired outcomes	Indicators	Targets/ Benchmarks ²	Key actions	Timeframe	Lead Office Department Service Section
Output 3.4 Mechanisms are in place to regularly track the status of investigations and actions taken	a. The entity uses the iReport SEA Tracker to report all allegations publicly.	Not implemented in OSE.			
of investigations and actions taken to report publicly and to inform the senior most UN Official in-country.	b. Guidance issued to country Directors/ Representatives on the obligation to share appropriate information with the senior most UN Official ⁶ in-country immediately when they become aware of an SEA allegation involving UN staff and related personnel where there is sufficient information to identify an act of SEA against an identifiable perpetrator or identifiable perpetrator or identifiable victim.	All country Directors/ Representatives share the information in line with the annex found in the Guidance Note to UN Entity Field Operations on Sharing Incident Information on Sexual Exploitation and Abuse with the Senior Most UN Official in-Country			
	c. Donors and management board are informed of the reporting of allegations by means of defined agreements.				
Outcome 4. Accountability and train conducted with adequate frequency.	ing. Human resources mechanisms and qual	ity training of personnel/awa	areness-raising on sexual	exploitation and at	use policies is
Output 4.1 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 <u>ST/SGB/2003/13</u> or Code of Conduct.	a. In addition to annual certification, there is a mechanism to ascertain that all supervisors adhere to the maintenance of an environment safe from sexual exploitation and abuse.	The performance appraisals for senior managers include specific paragraph on the responsibility of managers to create a work environment free of SEA.	The Compacts between the SG and the Special Envoy and the Deputy Special Envoy contain language on Prevention of SEA. Ensure that all senior	Ongoing	HR CDFP RCDS
		Managers are committed and accountable to	managers have completed the		

⁶ Senior most UN officials in-country include Resident and Humanitarian Coordinator (RC/HC), Special Representatives of the Secretary General (SRSG) and Heads of Mission (HOM).

Desired outcomes	Indicators	Targets/ Benchmarks ²	Key actions	Timeframe	Lead Office Department Service Section
		implementing programs aimed at preventing SEA and to report any SEA allegation they become aware of.	INSPIRA online course specific for managers on the prevention of SEA.		
	b. Leaders at every level have certified by management letters that instances involving credible allegations of sexual exploitation and abuse from the areas of their responsibility have been accurately and fully reported.	Same as above 4.1a			OSES/CDFP
	c. Personal appraisal of all senior managers' performance including assessment of PSEA responsibilities.	Performance document reflects training undergone both externally and internally by personnel. All OSE personnel are required to complete the mandatory training on the Prevention of SEA and misconduct. All training sessions are recorded in INSPIRA.	Supervisors review in the e-Pas of all mandatory training completed during the performance cycle.	Ongoing	Unit Supervisors, Managers, HR
Output 4.2 The entity issued guidance to its field offices so all candidates are required to sign the Code of Conduct prior being offered a contract.	a. Ensured that the policies and guidance underline that all new staff and personnel (including volunteers and interns) complete the mandatory PSEA online course and common Code of Conduct training.	All personnel including staff, Experts on Mission and Individual contractors sign a document, which highlights prevention of SEA as a clause in their contract.	Highlighting the clause before signing contract. Conduct briefing to guarantee understanding of the clause in the signed contract.	As needed	HR

Desired outcomes	Indicators	Targets/ Benchmarks ²	Key actions	Timeframe	Lead Office Department Service Section
Output 4.3 All entity Staff receive annual refresher training on the standards of conduct, mechanisms to report complaints of misconduct.	 b. Integration of Code of Conduct according to contracts. a. Clear policies and guidance to ensure that mandatory, continuing training on the prohibition against sexual 	Same as 4.2. a Target: 100 percent certainty amongst OSE- Syria staff on how to	Induction training to all new staff Delivery of training by RCDS on the UN standards of conduct,	Ongoing/yearly	RCDS
	exploitation and abuse is followed.	syna stan on now to report SEA. Staff are encouraged to complete mandatory online training and receive refresher training on the UN standards of conduct, complaint mechanism and reporting misconduct. RCDS delivers online or in-person (when permitted) training to OSE staff	complaint mechanism and reporting misconduct including SEA. PSEA FP to conduct one-on-one sessions with all members of OSE-S staff on PSEA definitions, PSEA risks in Geneva and in Syria, staff obligations, reporting PSEA (this will receive greater attention in light of 2023 PSEA survey results), and policies related to protection from retaliation.		
	b. The entity has a mechanism to monitor the number of personnel who complete their annual training on the standards of conduct, rolled in reporting	Compliance rate checked on INSPIRA.	CDFPs checks training attendance for compliance through Inspira in case of any allegation of SEA is	Ongoing	OSES/CDFP

Desired outcomes	Indicators	Targets/ Benchmarks ²	Key actions	Timeframe	Lead Office Department Service Section
	misconduct and the implications of breaching these standards.		reported against personnel.		
Output 4.4 Training (including e- learning) on misconduct (specifi- cally mentioning SEA) forms part of the induction process both at the entity level and at field duty stations.	a. The entity has developed policies and guidance so to support all staff and service contract holders to enrol in and complete mandatory e-learning on Prevention of Sexual Exploitation and Abuse.	All personnel deployed to OSE are to complete e- learning on PSEA and must receive an induction briefing to this effect.	Newly deployed staff receive induction briefing on PSEA and others a refresher briefing live virtually	Ongoing. Mission Support to report to Special Envoy as each new staff member has completed a component of PSEA training as part of overall induction training requirements.	RCDS
Outcome 5. Risk management and preasures are in place when working	partners assessment. Intervention design is with implementing partners.	based on contextual analysis	including of potential risl	ks of sexual exploita	ation and abuse and
Output 5.1 The entity conducts risk assessments in respect of sexual exploitation and abuse, making full use of existing risk management tools and information or collaboration with the UN entities in similar locations.	a. Risk assessments are undertaken, mitigation measures are developed, and challenges and positive changes are communicated to the Secretary-General (SG Report).	The mission conducts risk assessment with RCDS support and has put in place measures to manage the risks of SEA.	RCDS supported by CDFPs conducts ASSESSMENT	Yearly	RCDS/CDFP
Output 5.2 The entity has clear standards and due diligence processes in place to ensure that implementing partners prevent and respond to sexual exploitation and abuse – e.g., screening, cooperative arrangements, monitoring, and termination of	a. The entity has policies on using a system of reference checking and vetting for former misconduct or supervision and performance appraisals related to <u>UN</u> Implementing Partner PSEA Capacity Assessment.	Guidelines of the UN Implementing Partner PSEA Capacity Assessment are respected. N/A			RCDS, HR Hiring Manager OSE-Syria does not have implementing partners

Desired outcomes	Indicators	Targets/ Benchmarks ²	Key actions	Timeframe	Lead Office Department Service Section
arrangements (<u>United Nations</u> <u>Protocol on Allegations of Sexual</u> <u>Exploitation and Abuse Involving</u> <u>Implementing Partners</u> ; <u>ST/SGB/2003/13</u>).					
Output 5.3 Cooperative Arrangements (the prohibitions contained in the SG's Bulletin (<u>ST/SGB/ 2003/13</u>) are included in general contract conditions).	a. Procedures are in place to receive written agreements from donors, entities or individuals entering cooperative arrangements with the agency that they are aware of and will abide by the standards of the PSEA policy.	N/A			
Output 5.4 Best practices and lessons learned are shared with others.	a. Best practices and lessons learned were shared with other UN entities and/or taken on by the entity.	The RCDS supports OSE in all conduct and discipline functions by regular interaction and support to FP's who report directly to RCDS on any matter related to conduct & discipline.	Close interaction with RCDS and FP.	Ongoing	CDFP

Action Plan – DrafterAction Plan – Approval Authority (Senior most Individual)Name : Candace Karp / Nikolas GrossName : Geir Otto PedersenContact Details : karp@un.org / gross@un.orgContact Details : gopedersen@un.orgPosition : Political Affairs Officer / Admnistrative OfficerPosition : Special Envoy for Syria (USG)

Signature : (signed on behalf of both as Ms_Karp is on Home Leave)

Date : 28.12.2023

Signature :

Date : 28.12.2023

For additional information and resources:

- Management and accountability of the UN Development and Resident Coordinator System
- PSEA Knowledge Gateway
- Inter-Agency Standing Committee resources
 - a. <u>IASC Six Core Principles Relating to SEA (Revised 2019)</u>
 - b. IASC Minimum Operating Standards PSEA
 - c. <u>Guideline Inter-Agency Community-Based Complaint Mechanisms Protection against Sexual Exploitation and Abuse</u>
- <u>Guideline Inter-Agency Community-Based Complaint Mechanisms Protection against Sexual Exploitation and Abuse</u>
- <u>UN System Policies and Protocols on PSEA</u>
- Office of the Victims' Rights Advocate