**Inter-agency**

**Action Plan on the Prevention of Sexual Exploitation and Abuse, United Nations System in Uganda**

**Developed in collaboration with UNFPA, UNHCR, UNICEF, UNDP, WFP, UN WOMEN, IOM, WHO, ILO, FAO, OHCHR, UNAIDS, UNCDF, UN LOGISTICS BASE (ENTEBBE) & RCO**

Final Version: 26 March 2018

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# **MISSION STATEMENT**

The UN in Uganda has a zero-tolerance policy for sexual exploitation and abuse. This is considered serious misconduct and can result in severe consequences. This Action Plan affirms the commitment of the UN in Uganda to actively prevent and respond to sexual exploitation and abuse by UN, its Implementing partners and contractors. In this Action Plan, the UN in Uganda re-affirms its determination to eradicate acts of sexual exploitation and abuse by our personnel, implementing partners and contractors, and actively respond to incidents that are perpetuated against our beneficiaries. We recognize our leadership responsibility to strengthen the whole of Uganda in the fight against SEA in order to achieve a true system of collective accountability, and we commit to provide the necessary resources to eradicate this wrongdoing.

# **purpose**

1. The purpose of this Action Plan is to define a time-specific and costed set of actions, based on a shared and coordinated approach by the United Nations in Uganda to address Sexual Exploitation and Abuse (SEA) in line with relevant UN Guidelines. This Action Plan seeks to promote awareness among staff, support set-up or implementation of complaints mechanisms and procedures for receiving, investigating and corroborating allegations and implementing disciplinary actions, and institutional response to allegations of SEA complaints perpetrated by UN personnel and partners.
2. This plan promotes a coherent, harmonised and coordinated approach to prevention and protection from SEA across all agencies and partner organisations and in communities where the UN works. The responsibility for the implementation of measures on protection from SEA rests primarily with the Heads of individual UN agencies and departments in Uganda. The UN Resident Coordinator (RC) as the Representative of the Secretary General in the Country is mandated to ensure the coherent implementation of the requirements under the Secretary General’s Bulletin (A/71/818). The RC is mandated to ensure establishment of an Action Plan on addressing SEA. In doing this, the RC is among others, mandated to do the following;

* Raise the awareness among staff, partners and contractors about SEA, and expected behaviours
* Advising the local population on UN standards of conduct on SEA and ways to report misconduct
* Taking appropriate action when there’s an allegation or confirmed case

1. This Action plan seeks to establish a comprehensive mechanism with clearly defined leadership and reporting lines, responsibilities and duties in prevention and protection from sexual exploitation and abuse (PSEA), for all UN personnel (including humanitarian and non-humanitarian personnel) as well as implementing partners and contractors, thereby strengthening accountability by all UN agencies, their staff and implementing partners.
2. The plan also aims to advocate and provide capacity towards the establishment and/or implementation of Government-wide/whole of system plans on SEA.
3. It seeks to strengthen accountability by all UN staff and their implementing partners, through the creation of a positive organizational culture that adheres to high standards of respect for the dignity of the people we serve.
4. It defines the levels of accountability between the UN and their implementing partners, with regard to prevention and protection from SEA.
5. It is intended to provide system-wide clarity on a general model of procedures, so that agencies can cooperate in preventing and addressing SEA allegations in a safe, confidential and efficient manner.
6. It is intended to create a common understanding and shared expectation of behaviour by all UN personnel, implementing partners and contractors in Uganda in line with Secretary General’s Guidelines and other global protocols summarised below;

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| * UN development and, humanitarian workers, and peace-keeping forces conducting operations under UN command and control are prohibited from committing acts of sexual exploitation and abuse, and have a particular duty of care towards women and children and other vulnerable populations including men, |
| * Sexual exploitation and abuse by UN personnel and their partners constitute acts of gross misconduct and are therefore grounds for termination of employment. |
| * Sexual activity with children (persons under the age of 18) is prohibited regardless of the age of majority or age of consent locally. Mistaken belief regarding the age of a child is not a defense. |
| * Exchange of money, employment, goods, or services for sex, including sexual favours or other forms of humiliating, degrading or exploitative behaviour is prohibited. This includes exchange of assistance that is due to beneficiaries. |
| * Sexual relationships between development, humanitarian workers, peace-keeping personnel and beneficiaries are prohibited since they are based on inherently unequal power dynamics. Such relationships undermine the credibility and integrity of humanitarian aid work. |
| * Where a development, humanitarian, peace-keeping personal or personnel of implementing partner or contractor develops concerns or suspicions regarding sexual abuse or exploitation by a fellow worker, whether in the same agency or not, he or she must report such concerns via established agency reporting mechanisms. |
| * Development, humanitarian workers, peace-keeping personnel are obliged to create and maintain an environment which prevents sexual exploitation and abuse and promotes the implementation of their code of conduct. |
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# **SCOPE**

1. This plan covers a period of four years, effective December 2017 through to December 2020 and shall be reviewed periodically. It links to and strengthens the UNDAF (2016-2020) as well as accompanying programming and response frameworks; the Refugee Response Plan and ReHoPE, as a fundamental principle of engagement with communities and beneficiaries, promoting dignity and respect and ensuring safe programming approach by the UN, that is cognizant of and addresses risks of SEA. It is complimentary to existing agency specific Codes of Conduct aimed at prevention and protection from sexual exploitation and abuse.
2. This Action Plan binds all UN agencies and departments resident in Uganda, inclusive of UNICEF, UNHCR, UNDP, WFP, UN WOMEN, UNFPA, OHCHR, IOM, UNESCO, UNAIDS, WHO, UNCDF, FAO, UNIDO, IFAD and ILO, implementing partners and contractors; the UN Service base in Entebbe and MONUSCO liaison office in Kampala and RCO. All development, humanitarian and peacekeeping personnel in Uganda have a collective and individual responsibility to ensure zero tolerance on SEA in line with the UN Secretary Generals Bulletin as well as the Humanitarian Code of Conduct.
3. Each UN Agency and department as well as their implementing partners and contractors, inclusive of International and National NGOs working in Uganda are obliged to create and maintain an environment that prevents sexual exploitation and sexual abuse. Managers at all levels have a responsibility to support and develop systems that maintain this environment, including but not limited to ensuring compliance with their agency Code of Conduct and nomination of senior level PSEA focal person, setting up internal protocols for investigation of cases, and taking disciplinary actions in case the offense is proven
4. Any respective UN entity entering into a cooperative agreement with a non-UN entity, i.e Implementing partners and contractors, bears the responsibility to ensure that the requirements of this Action Plan are fully cascaded to all persons involved in the contracted activities. It is insufficient to rely only on the implementing partner or contractor to fulfil the requirements, although noncompliance should be addressed immediately and may be grounds for breach of contract. UN agencies have a duty to plan and budget for any costs on prevention and protection from sexual exploitation and abuse (PSEA) to ensure fulfilment of the requirements of this Plan. This must be done prior to commencement of the project activities. Agencies will also conduct investigations into allegations of misconduct by implementing partner employees, except where there’s confidence in partner systems.
5. The UN in Uganda, recognizes that SEA is a serious problem, with significant risks within the areas and spheres the UN works, including humanitarian, development and peacekeeping; and requires a comprehensive and multi-faceted approach, encompassing prevention, investigation, and accountability; and survivor assistance.
6. Survivor support and assistance is a central component of this Plan. It is in support of the priorities of the UN Secretary General, that seeks to promote a collaborative way of providing sensitive, respectful assistance to survivors in a coordinated manner with special attention to the needs and circumstances of child victims. It identifies and proposes a proactive gap in current survivor support mechanisms.
7. This Plan is based on the UN Secretary General’s Bulletin on Protection from Sexual Exploitation and Abuse (SGB, ST/SGB/2003/13); the PSEA Global Standard Operating Procedures on inter-agency cooperation. It is informed by and reinforces the UN Secretary Generals Bulletin on Special Measures for sexual exploitation and abuse (A/71/818): a new approach (Feb 2017), as well the 2008 Comprehensive Strategy on Assistance and Support to Victims of Sexual Exploitation and Abuse by United Nations Staff and Related Personnel and the Inter-Agency Task Force Victim Assistance Guide; andthe Draft Victim Assistance Protocol developed by UNICEF and UN Department of Field Support;
8. It is also linked to agency Accountability to Affected Populations (AAP), including commitments to engage in consultations and share 2-way feedback. The Accountability Framework acknowledges that preventing SEA is considered integral to all operations, and one of the key objectives is to “systematically communicate with affected populations using relevant feedback and communication mechanisms” throughout all phases of the programme cycle
9. While SEA is a form of Gender Based Violence (GBV), the handling of SEA is distinguished from mechanisms on addressing Gender Based Violence (GBV), especially in relation to the sensitivity in the reporting of the cases. PSEA is treated as a management and human resource issue. However, actions on SEA must be coordinated with GBV prevention efforts already in place.

# **RATIONALE**

1. The UN Secretary General’s Bulletin on Protection from Sexual Exploitation and Abuse (SGB, ST/SGB/2003/13) emphasizes zero tolerance on sexual exploitation and abuse. The Secretary-General’s Bulletin on special measures for sexual exploitation and abuse ([A/71/818](https://conduct.unmissions.org/sites/default/files/a_71_818_1.pdf)) calls on the United Nations to undertake a number of critical actions to prevent and address sexual exploitation and abuse (SEA).
2. The development of this Action Plan has been a collaborative process among all participating agencies and was based on inter-agency cooperation. The UN Country Team through the Senior Gender Advisor in the Office of the Resident Coordinator has made consultations with various agencies, inclusive of UNHCR, OHCHR, UNFPA, UNDP, UNAIDS, WHO, UNICEF, IOM, UN WOMEN, UNCDF, WFP and the UN Service base in Entebbe on a coordinated Inter-agency mechanism to address Sexual Exploitation and Abuse.
3. Currently, a number of agency specific measures are in place, inclusive of UNHCR, WFP, OHCHR, UN Women, UNDP, UNFPA, IOM and WHO. Agencies have also conducted staff and partner trainings and awareness on PSEA. However, this remain limited and is not systematic across the organizations and system. Agencies are also challenged in raising community awareness due to the growing population and breadth of operations, with interagency guidance and coordination on awareness raising also in need of improvement. Some of the agency practices provide opportunity for learning and inform this Action Plan.
4. The United Nations has a significant footprint in Uganda, with over 2,000 personnel across the country, in support of development objectives in a range of sectors, including; general protection, health, education, justice, agriculture, livelihoods, environment protection & women and youth empowerment; with the aim of implementing the UNDAF in support of the Government’s socio-economic transformation agenda and in line with Vision 2040. This is in addition to personnel involved in the humanitarian response and peace keeping operations in support of DRC and South Sudan Missions.
5. Since the relationship between staff and beneficiaries of assistance is inherently unequal in terms of power relationships and levels of authority, UN and all partners must be vigilant and rigorously avoid any action that would suggest or imply that a sexual act might be demanded as a condition for protection and material assistance or services. Abusing a position of power by exchanging money, employment, goods or services for sex constitutes sexual exploitation and is prohibited
6. Uganda is currently hosting the highest numbers of refugees in Africa, and the third largest globally. The total refugee population stands at 1.4 million, higher than at any time in its history. This has created a compounded refugee crisis, comprised of a recent refugee influx notably from South Sudan, Burundi, Democratic Republic of Congo (DRC), in addition to a protracted refugee situation. This is at a time when forced displacement has become the single most defining humanitarian/development challenge globally, having reached unprecedented levels in 2016 and thus far shows no signs of abating.
7. In Uganda, the South Sudan Emergency Response is a high-risk environment for SEA. During an emergency, people who require assistance become more dependent on others for their survival and thus more vulnerable to sexual exploitation and abuse.
8. The UN in Uganda takes note of the fact that efforts have been made to address SEA, however there is a need to further standardize and have a systematic approach to increase confidence and reporting of SEA cases through reinforcing and strengthening existing mechanisms.
9. The United Nations policy establishes that sexual exploitation and abuse by UN personnel and aid workers is prohibited and that active measures are being introduced to prevent SEA and appropriate disciplinary action will be taken against all persons who are found to have violated the UN standards of conduct including summary dismissal if proved

# **ACTION PLAN**

# **Key Actions**

1. The UN Country Team commits to the following Key actions for the prevention and protection of SEA:

## **Prevention**

1. **Awareness raising and compliance among staff, implementing partners and contractors on SEA and expected behaviour**: all staff, their partners and contractors must be aware of the following requirements to prevent and respond to SEA:

* Staff should be aware of their obligation to report SEA/misconduct and are protected from retaliation. If a UN staff member develops concerns or suspicions regarding sexual exploitation/abuse by a fellow worker, regardless whether in the same agency or not or whether within the United Nations system, he or she must report such concerns to established mechanisms.
* All staff, implementing partners and contractors MUST undertake mandatory trainings on SEA. There should be hundred per cent compliance.
* All performance appraisals should include adherence to the code of conduction and participation in PSEA trainings
* All staff, implementing partners and contractors must sign the mandatory code of conduct upon employment and or implementation agreement
* All Clauses on PSEA should be included in all contract agreements and outline the legal consequences if the contracting agency violates the provision. Furthermore, agencies should take concerted steps to enforce these clauses
* PSEA measures, PSEA cases, in all partner, supplier and contract organizations are monitored.
* Ensure PSEA refresher are incorporated as a component of annual staff retreats
* All staff and partners are aware, that sexual relations with beneficiaries and affected population are prohibited, owing to the power differential between the staff member and the beneficiary.
* Ensure mandatory criminal background checks are conducted for all new employees and certificates of good conduct obtained before contract offer to be renewed after every 3 years for all staff

1. Community awareness

(i) All beneficiaries of development, humanitarian and peace building assistance should know that assistance is free.

(ii) Recipients of assistance should know how to access appropriate complaints mechanism if SEA occurs

1. Safe Programming

All responsible UN agencies will ensure that programs are reviewed for any potential risks on sexual exploitation and abuse, including but not limited to the following examples;

* An assessment of the context in which the programme is to take place, identifying the general risks and issues related to SEA in communities.
* Mapping of the patterns of behavior within families and communities when designing programmes and projects – e.g., who fetches water, who manages household income. These patterns of behavior might make certain family members more vulnerable to SEA, such as adolescent girls whilst fetching water from remote water points.
* Identify how the programme/project might exacerbate the risk of SEA by staff and associated personnel - will certain groups within the community not be receiving goods and services? Are the goods and services likely to be inadequate for the beneficiary population, or delivered unpredictably? Beneficiaries who desperately need goods and services will be more vulnerable to exploitation.
* Project plans should include activities on PSEA awareness and sensitivity
* Budgets must include funding lines for capacity building and communications on PSEA
* Design minimum PSEA commitment for emergency setting for both conflict and disaster situations.

## **Receiving and responding to allegations**

1. Based on the Inter-Agency Taskforce on PSEA, Model Complaint and Investigative Procedures, and relevant Guidelines, UN undertakes to ensure that there are well-established and standardized agency and system wide operating procedures, and community-based reporting mechanisms on SEA, in all locations of operation including refugee settlements and regional operational hubs, within two months of adoption of this Action Plan.
2. Community Based Complaints Mechanisms will be established in all geographic locations where the UN works to facilitate a system-wide approach to reporting and grievance management, in partnership with NGOs, private sector and Government. Individual UN Agencies, partners and government shall be responsible for creating awareness of the community based complaints mechanisms to ensure that the Populations of Concern are aware of this mechanism to promote usage.
3. Complaints and reporting mechanism must meet minimum standard protocol for recording and processing complaints
4. **Confidentiality**: ensuring non-disclosure of the identity of survivors/victims and whistle-blower. Information on survivors should be collected and shared, only with informed consent of the survivor.

* All information related to allegations of SEA shall be treated as strictly confidential and disclosed only to those individuals with a need to know, in light of their responsibilities.
* All individuals who have knowledge of an allegation of SEA shall exercise utmost discretion and take appropriate measures to prevent unauthorized disclosure of information relating to the allegations.
* Unauthorized disclosure of confidential information may result in disciplinary measures against the person who released the information.
* In the interest of protecting the identity of victims, witnesses and subjects as well as preserving the integrity of investigation or disciplinary proceedings, officials who are aware of confidential information shall refrain from making any public statements on the identity or nationality of those involved, unless so authorized

1. Transparency: ensuring the affected population/beneficiaries know whom to report to, the assistance to expect for example in terms of legal assistance, health, psychosocial support and security. In addition, timely feedback on the outcome of the compliant should be provided
2. Accessibility; ensuring that reporting/complaints procedures are easily accessible by the people for example through phone, hotlines, email, complaints/suggestions boxes, Focus Group Discussions, direct physical complaints and; information on reporting/complaints procedures is readily available and disseminated, in forms that can be understood.
3. Survivor-centered approach; with a focus on survivor safety and wellbeing. Survivor support mechanisms will be put in place, including on reparations.
4. Participation by the community in the development of a reporting and complaints mechanism. Effort must be taken to ensure that inputs from the community are taken into consideration. This will ensure safety, confidence and community ownership of the processes.
5. Safety and security- Ensuring the safety of the affected person / survivor and family at all times.
6. **Individual case Management**

Individual agencies are responsible for case management. Upon receipt of a complaint, agencies are charged the duty of filling out the Incident Reporting form on behalf of the victim/survivor and for ensuring that the survivor signs the Consent Form. Completed Incident Forms should be transferred to relevant management structure established at Headquarters/Regional office, responsible for sexual exploitation and abuse issues in Organisation where the Accused person/perpetrator works **within 24 hours**. The original copies of the completed Incident Report Forms and Consent Forms are filed in each agency country office.

* 1. **Obtaining consent:**
* The victim/survivor should be given adequate information in order to give his/her informed consent. This information should include the implications of sharing information about the case with other actors and the options/services available from the different agencies. All consent must be in writing.

Children and their guardians must be consulted and given all the information needed to make an informed decision, through the use of child-friendly techniques that encourage them to express themselves. Their ability to provide consent on the use of information they provide and the credibility of their information, will depend on their age, maturity and ability to express themselves freely and coherently. Children’s consent must at all times be backed by written consent from their guardians unless the children are separated or un accompanied minors. 32.2 If the survivor consents to the sharing of information and to follow-up interventions:

* Within 24 hours the lead agency should provide copies of the completed Incident Report Form to relevant organisations within the PSEA Network so that they may start providing services appropriate to the survivor’s choice.

**34.2** If the survivor does not consent to the sharing of information and to follow-up interventions:

* Within 24 hours, the lead agency within the respective PSEA networks with information about the incident without revealing the identity of the victim/survivor. However, if it is felt that the survivor requires psycho-social counselling, the lead agency in the Network will continue to find a confidential manner to provide the assistance.

35. Prioritization of cases

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| High   * When the safety and security of the survivor is under threat of imminent danger * When the survivor has suffered severe physical and mental health consequences as a result of the abuse * When the incident has recently happened, happened repeatedly or is about to happen; and needs immediate intervention * Preferably the survivor and the accused person’s affiliation is known but not necessary * Preferably when the survivor has given consent to follow up and investigate * When the survivor hasn’t given consent, but the case indicates a risk of further incidents or threat to the community * Survivor assistance is immediately needed, regardless of the consent being given or not to investigate and follow-up the case |
| Medium   * When the case happened sometime back * Information regarding the perpetrators is unknown * If the survivor has not given consent to follow-up and investigation of the case |
| Low   * Neither the survivor nor the perpetrator is known * Very little information is available about exact incident, or incidents. Such cases are usually defined as “up in the air’’ reports. |

1. Procedures to be followed in making/receiving a complaint by staff members

It is the responsibility of the staff member to report a concern/complaint via the process outlined in the complaint procedures elaborated below. These procedures are intended to build confidence in reporting, providing protection of witnesses and whistle-blowers:

* The main point of contact should be the staff member's line manager, a designated senior manager or focal point.
* If the staff member genuinely believes that s/he would be victimised or s/he has no confidence in his or her agency local management structure to respond appropriately to the complaint, then the complaint should be raised directly with another agency manager or focal point, at the regional or headquarters level, for example.

In exceptional circumstances, the complaint could also be made to another international organisation, NGO, or INGO, if the staff member genuinely believes that raising the matter within his or her agency would not be effective, or could result in further victimization, or if s/he has already disclosed the matter to the agency but no effective action has been taken.

* It is suggested that the complaint should be recorded or should be written using a standard complaint referral form (Annex 1- Complaints Protocol), which should be signed and dated. Agencies must ensure that the individual who makes a complaint is informed of the agency’s policy on confidentiality. The agency may wish to obtain a written consent from the complainant for the information to be made available to others within the complaint management system.
* Once a complaint is made the designated senior manager or focal point who receives the information should immediately report it to the Agency’s headquarters’ (via Head of Agency, Focal Point, human resources department, etc.). Once a complaint is received, the Agency will consider the appropriate steps to take, including the initiation of preliminary inquiry or an investigation as per the Investigation Procedures.
* Any investigation that is undertaken must be completed, regardless of whether the alleged perpetrator is still an agency staff member. In the event that a complaint does not warrant a full investigation, the agency may nonetheless be asked to take a number of steps to address concerns in other ways, (for example, addressing matters of poor practice via training, a change in working arrangements or a change in procedures).
* If the complaint involves staff of other UN agencies, NGO partners, military personnel or non-staff personnel, such agencies must be informed of the complaint via established mechanisms and a joint strategy meeting convened urgently to discuss the complaint and agree on a course of action. Consideration must be given to conducting a joint investigation in the interests of information and resource sharing, as well as limiting the number of interviews necessary.
* The agency must inform the subject of the complaint about the allegations and provide him or her with a copy. He or she must be given an opportunity to answer the allegations in writing and to produce evidence to the contrary.

37. General Measures for the protection of Witnesses and Whistle-blowers

In addition to the safeguards embedded within the reporting procedures elaborated above, there should be deliberate measures to protect witnesses and whistle-blowers.

* Staff may be fearful that by making a complaint against another member of staff it may lead to some form of reprisal. ‘Whistle-blowers’ should not face official or unofficial sanctions as a consequence of making a complaint unless this is subsequently proved to have been made maliciously. All staff must have access to a confidential mechanism that allows them to make a complaint safely.
* Contracts and policies affecting host country and international staff should make clear that no action will be taken against any member of staff who reports in good faith information indicating a breach in the code of conduct and which following investigation proves unfounded. However, if a staff member knowingly and wilfully reports or spreads false or malicious information regarding another member of staff, his/her behaviour will constitute misconduct.
* Agencies should create a culture which mandates staff to voice their concerns against breaches of UN rules regarding sexual exploitation and abuse and must be seen to act responsibly when those concerns are received. The benefits of such a policy are that it should encourage a climate of open communication which enables staff to voice concerns at the earliest opportunity and therefore avert a larger issue in the future or address it before it becomes out of control.
* In some instances, staff will make a specific allegation, e.g. another member of staff is known to be living with a beneficiary. In other instances, staff will have concerns which might be described as being ‘in the air,’ e.g. they observe or hear of behaviour which might indicate sexual exploitation/ abuse but is not of itself conclusive. Staff need to be encouraged to report ‘in the air’ concerns as well as more specific complaints as the former might cumulatively enable an investigation to be instigated.
* It is not the responsibility of the member of staff to ascertain whether or not the complaint is true. It is his/her responsibility to report the concern via the process outlined in this protocol.

## **Survivor Support mechanisms**

38. In line with existing Guidelines, as contained in the 2008 Comprehensive Strategy on Assistance and Support to Victims of Sexual Exploitation and Abuse by United Nations Staff and Related Personnel; the Inter-Agency Task Force Victim Assistance Guide; as well as the Draft Victim Assistance Protocol developed by UNICEF and UN Department of Field Support;

* Complainants are entitled to receive basic assistance and support in accordance with the individual needs directly arising from the alleged sexual exploitation and abuse. The basic assistance comprises of medical care, legal services, support to deal with psychological and social effects of the experience and immediate material care such as food, clothing, emergency and safe shelter as necessary.
* Additional assistance and support, to survivors, arising directly from sexual exploitation and abuse. The assistance comprises of medical care, legal services, support to deal with the psychological and social effects of the experience and immediate care as necessary
* Distinction is made between a complainant and survivor in terms of what each category of persons can receive in form of assistance. Complainants receive basic assistance that cannot wait the substantiation of claims, such as emergency medical care as HIV/AIDS Post Exposure Prophylaxis kits and access to other emergency services as may be required. The expanded support is provided to the ‘survivor’ once their claims have been substantiated. This is understood to be a much broader form of assistance, such as educational or vocational programmes on income-generating skills and help to pursue paternity and child support claims for survivors, where desirable.

39. Survivors are also entitled to general rights and entitlements to protection

* The respect of their dignity and protection, to avoid re-victimization and re-traumatization by taking into account the individual survivor’s personal situation and special needs, age and gender.
* Protection from threats to their security and reprisals.
* Vulnerable individuals such as children and Persons with Special Needs (PSNs) must have access to procedures and forms of support that are adapted specifically to their needs.
* Survivors should be provided with information on an on-going basis, with channels for two-way communication.

40. Survivors’ safety and security is a paramount concern. Survivors, based on their identified risks should be provided with the necessary security and protection measures, inclusive of placement in a shelter or re-location to a different area, protection from further victimisation and physical threats within the existing system.

## **Zero Tolerance**

41. Appropriate disciplinary actions will be taken on established cases of sexual exploitation and abuse. This is a ground for termination. This will be decided by respective agencies, and where applicable will be accompanied by prosecution in line with national legislation. Investigations will be conducted, with the right technical capacity drawn from agency specialised teams within the Inspector General’s Offices and or other designated entity, that will link to national legal and investigative processes where necessary. Agency specific procedures regarding investigations and reporting lines will be adhered to.

## **Coordination and linkage to GBV**

42. PSEA is an important aspect of preventing GBV, and PSEA efforts should therefore link to GBV expertise and programming – in particular to ensure survivors’ rights and other guiding principles are respected. As SEA is a form of GBV, there should be a promotion of the common understanding of the different responsibilities within the PSEA in-country network and the GBV coordination mechanism, and the willingness to work cooperatively. It is important that the protection and GBV Working Group Coordinator knows and promotes the key PSEA principles and standards of conduct. The CBCM is responsible for ensuring that GBV Working Group Coordinators are apprised of local reporting procedures and processes for SEA allegations in order to facilitate case referrals.

# **b. Roles and Responsibilities**

## **Leadership and Accountability**

**43. National Taskforce**

A national taskforce chaired by the Resident Coordinator and comprised of key agencies, with a specialised protection and/or PSEA mandate will form a core team. These include, UNHCR, OHCHR, IOM, UN Women, UNDP, WFP, UNICEF, UNFPA, UN Base (Entebbe) and a CSO/NGO representative. There will be field representation by the UN Area Coordinators (UNACs). The Taskforce will link into and be informed by the Community Based PSEA Networks at the district and settlement level or relevant administrative structure in the different service centres. The Community Based Networks will be headed by a respective agency, with a specialised mandate in the operational area. Refugee operations will have PSEA Networks led by UNHCR. Regional service centres will have Networks headed by the respective area UNACs. These committees will feed into the National Level Taskforce, providing periodic reports on the implementation of this Action plan and case updates.

**44. Roles of the National Taskforce**

* Meet once every quarter and provide oversight, technical support and accountability at the various levels of the organization. It will ensure agency specific and corporate system wide commitments are fulfilled.
* Support the establishment of community based PSEA Networks in all service centers, refugee settlements and other areas.
* Facilitate the development of Minimum Standards for both humanitarian and non-humanitarian settings.
* Jointly develop and implement a community based complaints mechanism with the community, ensuring equal representation of women and men. This mechanism will include tools for monitoring and review.
* Support resource mobilization towards collective efforts on the prevention of sexual exploitation and abuse and support to survivors.
* Support/promote a unified communication and messaging to external partners on PSEA

**45. Senior Management Responsibility**

Senior Management, inclusive of Country Representatives, Directors and their Deputies shall take overall responsibility for the implementation of the PSEA measures agreed upon in this Action plan; They shall therefore;

* Disseminate this information and appoint a focal point at a sufficiently high level to coordinate the implementation of this Action Plan.
* Create and maintain an environment that prevents sexual exploitation and abuse and shall take appropriate measures for this purpose**.**
* Ensure that all staff are inducted and aware of their responsibilities under the SGs Bulletin, Agency specific Codes of Conduct and complaints procedure.
* Identify how staff and beneficiaries from both emergency and development programmes can access complaint mechanisms and ensure t mechanisms are in place that address the needs of both women and men, and of children and Persons with Special Needs.
* Have a clear understanding of their role and responsibility to support /cooperate with any investigation.
* Be aware of the need to involve the national authorities in responding if a complaint is of a criminal nature.
* Understand local attitudes to sexual abuse and exploitation and local support/advocacy structures to support complainants and possibly provide witness protection.
* Ensure adequate priority on PSEA, ensuring adequate resources to support awareness raising and survivor support. This should be a standing agenda item in Senior Management Team meetings.
* Establish a Trust Fund to support survivor assistance
* Present a progress report twice a year on the implementation of the agreed commitments.
* Contribute resources towards a common pool to the prevention of sexual exploitation and abuse, joint trainings, awareness raising and support to survivors.

**46. Agency focal points**

Agency specific focal points (Heads of agencies or their designated representatives) will support institutional implementation mechanisms, which feed into the National Task force. They will also support effective disciplinary action in reported cases. A Focal point or Alternate should be a female staff member

SEA focal points should meet the following criteria

* Proven integrity, objectivity, and professional competence.
* Demonstrated sensitivity to cultural diversity and gender issues.
* Ability to maintain confidentiality (i.e. trained in data protection). Proven communication skills

**47. PSEA Coordinator**

A dedicated PSEA Coordinator based in the Office of the Resident Coordinator will support the overall implementation of this plan, ensuring continued priority and engagement on PSEA issues; serve as the Secretariat for the National Taskforce; support training and establishment of PSEA Networks, and; serve as the link between the community based networks and the National Taskforce.

It is envisaged that this is a National Position, with a high level of seniority.

**48. Partner Accountability**

UN agencies will hold their implementing partners accountable for two key outcomes in promoting the prevention and protection from SEA;

* Create and maintain an environment that prevents sexual exploitation and abuse. Partners have a responsibility to support and develop systems, including but not limited to the adoption of the Code of Conduct, nomination of SEA focal points
* Setting up of internal protocols for the investigation of cases, and taking disciplinary action in case the offence is proven. Implementing partners will be responsible for the follow-up and provision of necessary support to a victim.

**49. Community Based PSEA Networks**

Community Based Networks on Protection from Sexual Abuse and Sexual Exploitation (PSEA) will be established in all the areas where the UN works. They will function under the auspices of the Resident Coordinator (RC), reporting to him/her through the National Taskforce. They will serve as the primary bodies for coordination and implementation of safeguards on protection from sexual exploitation and abuse by international and national personnel of the UN, implementing partners and contractors. The Network is **NOT** responsible for investigation or adjudication of complaints, or for dealing directly with complainants. These functions rest exclusively with individual entities.

**50**. In line with established global guidelines derived from ECHA/ECPS UN and NGO Task Force on Protection from Sexual Exploitation and Abuse, the PSEA Networks will play major tasks, including the following;

1. Engagement with and Support of Local Populations

* In cooperation with the local communities, establish common complaints mechanisms in each community where the UN and its partners work. To be effective, such mechanisms should be safe, accessible, and confidential (i.e. on a need to know basis) and tailored to the needs of each geographical area.
* Facilitate awareness raising in local communities on their rights, the standards of conduct expected of personnel of the UN and its implementing partners and contractors and the various contacts with whom they can lodge complaints/discuss incidents.

1. Prevention of SEA

* Ensure and, as necessary, coordinate the provision of awareness raising on SEA for all personnel in the country, including their responsibility to report all suspicions of sexual exploitation and abuse committed by colleagues (pursuant to ST/SGB/2003/13 section 3.2 (e) for UN staff and related personnel).
* Develop a system of identification of risk factors responding to the country-specific context.
* Share information about potential risk factors and areas of concern and develop strategies to minimize them.
* See to the establishment and implementation of good hiring practices including procedures to prevent hiring of persons who have committed sexual exploitation or abuse, where known.

1. **Support effective Response through the following;**

* Develop local response mechanisms for what to do when complaints are received by an entity implicating personnel of another entity, personnel of multiple entities or personnel whose entity is uncertain or unknown.
* If possible, harmonise procedures for personnel to report incidents of sexual exploitation and abuse and for such reports to be properly referred for investigation and assistance provided to the survivors.
* When any of the Focal Points receives information of ‘in-the-air’ allegations of sexual exploitation or abuse (i.e. where the institutional affiliation of the alleged perpetrator(s) is uncertain or unknown), and upon the request of the RC, develop and propose to the RC a strategy for assessing the veracity of these allegations.
* Never share during meetings nor record in minutes the names or identifying information of alleged perpetrators, victims or witnesses. Instead, cases discussed in meetings of the Network should be referred to by a case number.
* Establish and coordinate the implementation of a survivor assistance mechanism.

**51. Collective responsibility by all staff**

All staff and partners will be required in their performance evaluation, to demonstrate knowledge and specific action on PSEA. Regular mandatory training will incorporate components of PSEA.

All staff and partners (including vendors) are prohibited from perpetrating SEA and are required to sign a code of conduct adhering to PSEA. In addition, they have a duty to report any concerns or suspicions of sexual exploitation. All agencies must conduct regular organisational audits to ensure they have environments that do not provide breeding ground for sexual exploitation.

**52. Resources**

All UN agencies and departments will be required to contribute commensurate human and financial resources towards the prevention of sexual exploitation and abuse, towards joint trainings, awareness raising and support to survivors.

# **C. WORK PLAN/RESULTS & RESOURCE FRAMEWORK (2017-2018 plan)**

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Priority Area 1: Awareness raising measures** | | | | | | | | | | | | |
| **Output** | | **Key Actions** | | | **Indicators & Target** | | **Means of Verification** | | | **Indicative Cost (US$)** | | **Responsibility** |
| ***Output 1.1:*** *SEA Awareness raising and compliance among staff, implementing partners, contractors and community conducted* | | Undertaking mandatory courses on SEA | | | Percentage of staff, partners and contractors who have completed SEA mandatory courses  **Target: 100%** | | Certificates of completion | | | 0 | | Lead: Agency Heads (Resident Representatives/Directors) |
| Development of mass communication materials for staff/partners as well as communications | | | # of materials developed and disseminated  Target: 500,000- community based materials  10,000 staff and partner assorted materials | | Procurement orders | | | 100,000 | | Lead: UNHCR, OHCHR, UN WOMEN, WFP- Linking into existing processes and products |
| Awareness on reporting of cases | | | Number of cases reported  **Target: 50** | | Incident reporting forms | | | 0 | | Lead: Agency Heads |
| Signing of code of conduct | | | Percentage of staff, partners and contractors who have signed agency specific codes of conduct  **Target: 100%** | | Completed codes of conduct forms | | | 0 | | Lead: |
| PSEA clauses included in all partner and vendor agreements | | | percentage partner and vendor agreements with PSEA clauses  **Target: 100%** | | Partnerships and vendor agreements | | | 0 | | Lead: Agency Heads |
| Community awareness sessions | | | Proportion of refugee settlements and other service centers conducting awareness sessions  Target: 100% | | Training reports | | | 50,000 | | Lead |
| **Priority Area 2: Complaints and reporting mechanisms** | | | | | | | | | | | | |
| **Output** | | | **Key Actions** | | **Indicators & Targets** | | **Means of Verification** | | **Indicative cost ($)** | | | **Responsibility** |
| Output 2.1 *Mechanism for receiving and responding to allegations established* | | | Training of Community based Networks on PSEA | | Proportion of settlements, and other UN service centers with CBCM on SEA  **Target: 100%** | | **SOPs developed** | | 100,000 | | | Agency Heads of Field Offices/UNACs |
| Awareness on reporting of cases | | Number of cases reported  **Target: 50** | | Incident reporting forms | | 0 | | | Lead: Agency Heads |
| Establishment of agency specific Standard operating procedures | | Proportion of agencies with SOPs  **Target: 100%** | | SOPs developed | | **0** | | | **All Agencies** |
| **Priority Area 3: Structure and Leadership** | | | | | | | | | | | | |
| **Outputs** | **Key Actions** | | | **Indicators & Targets** | | **Means of Verification** | | **Indicative cost ($)** | | | **Responsibility** | |
| ***Output 3.1*** *An effective leadership system/structure to support response to SEA* | Establishment of a PSEA National Taskforce | | | National Taskforce establishment  **Target:** December 2017 | | UNCT Minutes and Minutes of Taskforce | | 0 | | | **Lead**: UN Resident Coordinator | |
| Establishment of an Inter-Agency Coordination Mechanism to support Establishment of PSEA Networks | | | Inter-agency coordination group established  Target: January 2017 | | Minutes of Taskforce | |  | | |  | |
| Establishment of district PSEA Networks | | | Networks in place  **Target: By April 2018** | | Network Minutes | | **0** | | | **Lead**: National Taskforce | |
| Appointment of agency Focal Points | | | All agency focal points appointed  **Target: Feb 2018** | | Report to National taskforce | | **0** | | | **Lead**: Heads of Agency | |
| Recruitment of PSEA Coordinator | | | Coordinated recruited  **Target: February 2018** | | Acceptance of offer | | 80,000 | | | **UN RCO** | |
| **Priority Area 4: Capacity Building** | | | | | | | | | | | | |
| *Output 4.1: Technical capacity on SEA strengthened* | Training for PSEA Networks | | | proportion of Network members trained  **Target: 100%** | | **Field Network reports** | | 50,000 | | | Lead: | |
| **Priority Area 5: Program Assurance** | | | | | | | | | | | | |
| *Output 5.1*  *Programs contribute to safe programming for beneficiaries* | Assessment of the contexts for potential SEA risks | | | Proportion of agencies conducting risk assessments  Target: 100% | | Assessment reports | | Integrated as part of agency assessments | | | Heads of Agencies | |
| Review of project documents | | | Proportion of agencies reviewing project documents for PSEA risks  Target: 100% | | Project/program reports | | 0 | | | Heads of Agencies | |
| Priority Area 6: Monitoring and Evaluation | | | | | | | | | | | | |
| *Established mechanisms assessed for effectiveness* | Monitoring and evaluation of PSEA systems in the field and at agency level | | | # of monitoring and evaluation missions conducted  Target: 1 every quarter | | Taskforce reports | | Embedded as part of agency processes | | | Lead: Taskforce | |
| ***TOTAL*** |  | | |  | |  | | **$370,000** | | |  | |

# **Definitions:**

**A complaint: ‘**A specific grievance of anyone who has been negatively affected by an organisation’s action or who believes that an organisation has failed to meet a stated commitment in relation to delivery of services’

**Alleged Perpetrator:** A person (or group of persons) who are accused of having committed an act of SEA

*Under International Human Rights Law, perpetrator can refer also to state institutions, entities or agents that failed to meet human rights obligations.*

**Case management –** following the appropriate policies and procedures to determine the outcome of a report of SEA.

**Code of Conduct:** A set of standards for behaviour that staff of an organization are obliged to adhere to.

**Complaint mechanism or procedure –** processes that allow individuals to report concerns such as breaches of organisational policies or codes of conduct. Elements of a complaints mechanism may include suggestion boxes, whistleblowing policies and designated focal points.

**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 SEA incidents – and those reports are referred to the appropriate entities for follow-up.

**Confidentiality –** an ethical principle that restricts access to and dissemination of information. In investigations on sexual exploitation, abuse, fraud and corruption, it requires that information is available only to a limited number of authorised people for the purpose of concluding the investigation. Confidentiality helps create an environment in which witnesses are more willing to recount their versions of events and builds trust in the system and in the organisation**.**

**Gender-Based Violence Gender-based violence (GBV)** is an umbrella term for any harmful act that is perpetrated against a person’s will and that is based on socially ascribed differences between males and females (i.e. gender). It includes acts that inflict physical, sexual or mental harm or suffering, threats of such acts, coercion, and other deprivations of liberty.

SEA can be seen as a form of GBV, as victims of SEA are often abused because of their vulnerable status as women, girls, boys, or even men SEA (in some circumstances). Those working directly with beneficiaries – should be trained to recognize SEA as opposed to GBV survivors, and should be aware of the role PSEA plays in larger GBV protection campaigns.

**Feedback:** the information sent to an entity (individual or a group) about its prior behaviour so that the entity may adjust its current and future behaviour to achieve the desired result.

**Investigation of sexual exploitation or abuse –** an internal administrative procedure, in which an organisation attempts to establish whether there has been a breach of SEA policy by a staff member or members.

**Investigation:** A legally based and analytical process designed to gather information in order to determine whether wrongdoing occurred and, if so, the persons or entities responsible.

**Investigator:** An individual who is authorized and responsible to conduct an investigation**.**

**Informed consent:** Permission/ acceptance by an individual to undergo a certain process after full disclosure of information and implications.

**Malicious/False complaint:** Intentionally providing false or misleading information**.**

**PSEA (Protection from sexual Exploitation and Abuse) –** the term used by the UN and NGO community to refer to measures taken to protect vulnerable people from sexual exploitation and abuse by their own staff and associated personnel.

**Reparations**: For purposes of this Plan, reparations shall be taken to mean restitution, compensation, rehabilitation, satisfaction and guarantees of non-repetition, born by the individual perpetrator and or his home state, as determined by a competent court of law, arising from civil action brought by the victim. Reparations should not be arbitrary; they should be adequate, effective and prompt, proportional to the gravity of the violations and the harm suffered, and the gender dimensions of the harm should be addressed.

**Staff** For the purposes of this Action Plan “staff” of an organization is any person who works for or represents a UN agency in Uganda, whether or not s/he is compensated monetarily and regardless of the type or duration of their contract.

**Sexual Exploitation:** means any actual *or* attempted abuse of a position of vulnerability, differential power, or trust, for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another**.[[1]](#footnote-1)**

Specifically:

**a)** Sexual activity with anyone under the age of 18 is prohibited, regardless of consent;

b) Purchasing sexual acts with money, employment, goods or services

c) Exchanging humanitarian assistance and services (e.g. food rations, shelter supplies) for sexual acts

d) Any forced, coercive or degrading sexual acts

**Sexual Abuse**: Actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions.

"**Sexual activity**". “Sexual abuse” is a broad term, which includes a number of acts, including “rape”, “Sexual assault”, “sex with a minor”, and “sexual activity with a minor”.

**Safeguarding –** the responsibility that organisations have to make sure their staff, operations, and programmes do no harm to children and vulnerable adults, and that they do not expose them to the risk of harm and abuse. PSEA and child protection come under this umbrella term. Generally, the term does not include sexual harassment of staff by staff, which is usually covered by organisation’s bullying and harassment policy.

**Survivor or victim –** A person who has SEA perpetrated against him/her or an attempt to perpetrate SEA against him/her. For the purposes of this Action Plan, and in line with Global SOPs, a Complainant who reports SEA committed against him/herself is treated as a Survivor for the purposes of security and needs assessments (i.e. assistance is not dependent on the proof of a Complainant’s allegation). The term ‘survivor’ implies strength, resilience and the capacity to survive. ‘Victim’ means the victim of the alleged perpetrator’s actions. However, this is not intended to negate that person’s dignity and agency as an individual.

**Whistleblowing policy –** an organisational policy which encourages staff members to report concerns or suspicions of misconduct by colleagues. Whistle blowers are protected from any negative consequences of reporting these concerns.

**Whistle-blower: …**In the context of the policy for protection against retaliation… a staff

… Who reports misconduct, including sexual exploitation or abuse, may be entitled to protection under the terms of the Secretary-General's Bulletin

**Witness:** A person who observed, or has direct knowledge of, something under investigation**.**

**Malicious/False complaint:** Intentionally providing false or misleading information**.**

# **MONITORING AND COMPLIANCE**

The Resident Coordinator, through the National Taskforce will monitor compliance through periodic reviews, to be held twice a year, informed by field level progress reports, agency specific reports as well as field assessments. An assessment of community awareness and satisfaction with the reporting and complaints mechanism will form a core basis of the review.

# **D. ANNEXES**

# **ANNEX I: Complaint Referral Chart**

Complaint Received via reporting mechanisms including designated focal points

Concern passed onto Agency Designated Manager/Focal Point – and Complaint Referral Form completed

Complaint discussed with Designated Senior HQ Manager/Focal Point

Concern discussed with human resources department at headquarters – further action agreed

Timeline:

24 Hours

Complaint is around breach in code of conduct of specific agency staff

Concern is around serious and possible criminal behaviour of other UN/ NGO staff/partners

Is an initial inquiry phase needed to gather more facts

Convene Strategy meeting involving senior Agency staff and other external staff – Action Plan agreed

No Further Action

Formal investigation instigated and designated team appointed Ensure Witness Protection Plan is in place

Interview women/children/staff & subject of complaint

Decide further response and action including disciplinary/suspension issues

Liaise with the appropriate police force or other local groups

Final report and recommendation made

Action undertaken

# **ANNEX II: CONFIDENTIAL: INCIDENT REPORTING FORM (SEXUAL EXPLOITATION AND ABUSE)**

|  |
| --- |
| Name of Complainant: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Ethnic origin/Nationality: \_\_\_\_\_\_\_\_\_\_\_\_  Address/Contact details:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Identity No:  Age:\_\_\_\_\_\_\_ Sex:\_\_\_\_\_\_ |
| Name of Survivor (If Different from Complainant):\_\_\_\_\_\_\_\_\_\_\_Ethnic origin/Nationality:\_\_\_\_\_\_\_\_\_  Address/Contact Details:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Identity No:  Age:\_\_\_\_\_\_\_Sex:\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Name(s) and address of Parents if Under 18  Has the survivor given consent to the completion of this form? … YES … NO |
| Date of Incident(s): Time of Incident(s): Location of Incident(s): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Physical & Emotional State of Victim (Describe any cuts, bruises, lacerations, behaviour, and mood): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Witnesses’ Names and Contact Information: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Brief Description of Incident(s) (Attach extra pages if necessary): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Name of Accused person (s): Job Title of Accused person(s): \_\_  Organization Accused person(s) Works For: \_\_\_\_\_\_\_\_\_\_\_\_\_\_  Address of Accused person(s) (if known): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Age: Sex:  Physical Description of Accused person(s): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Have the police been contacted by the victim? … YES … NO If yes, what happened? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  If no, does the survivor want police assistance, and if not, why? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Has the survivor been informed about available medical treatment? … YES … NO  If Yes, has the victim sought Medical Treatment for the incident? … YES … NO  If Yes, who provided treatment? What is the diagnosis and prognosis? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| What immediate security measures have been undertaken for victim? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Who is responsible for ensuring safety plan (Name, Title, Organisation): |
| Any other pertinent information provided in interview (including contact made with other Organisations, if any): \_\_\_\_\_\_\_\_\_\_  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Details of referrals and advice on health, psychosocial, legal needs of victim made by person completing report:\_ \_\_\_\_\_\_\_\_ |
| Report completed by: \_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_  Name Position/Organisation Date/Time/Location\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Has the Complainant been informed about the Ogranisation’s procedures for dealing with complaints? … YES … NO  Signature/thumb print of Complainant signalling consent for form to be shared with relevant management structure\* and SRSG/RC/HC:  \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Complainant’s consent for data to be shared with other entities (check any that apply): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Police … Camp leader (name) … \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Community Services agency … \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Health Centre (name) …\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Other (Specify) … \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
|  |

Date Report forwarded to relevant management structure\*: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Received by relevant management structure\*: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name:

Position:

Signature\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(\*Relevant management structure is the official(s) responsible for sexual exploitation and abuse issues in the Headquarters of the Organisation where the Accused person works)

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

# **ANNEX III: OPERATIONS MANEGEMENT TEAM ON PSEA**

## **Ensuring compliance by staff**

* 1. Human Resource Managers should ensure all staff sign the standards of conduct set forth in the Secretary- General’s bulletins ST/SGB/2003/13 of 9 October 2003 and agency specific code of Conduct, prohibiting all forms of Sexual Exploitation and Abuse (SEA). Staff are requested to read and confirm that they will uphold the established standards.
  2. Human Resource and Administration managers are responsible for encouraging, advocating and promoting the dissemination of the Inter-Agency Action Plan on PSEA. Managers have a duty to ensure that those who answer to them are familiar with the PSEA Action Plan, and helping to promote the honouring of its provisions.
  3. Managers must ensure strict compliance by all staff, in the completion of mandatory courses on Sexual exploitation and abuse
  4. Managers, are expected to set an example, by communicating the Inter-Agency Action Plan principles to those with whom they work, no matter how tenuous or short-term their relationship with the UN. may be.
  5. Managers will work alongside agency focal points to ensure safe reporting of breaches of the required staff conduct, without fear of reprisal in line with the provisions of this Plan.
  6. Facilitate appropriate disciplinary action in cases of breach of conduct, as per the established protocols and requirements of this plan.

**Application of the standards to implanting partners and contractors**

1. Ensure that all cooperative arrangements with non-United Nations entities or individuals; implementing partners, contractors, volunteers, incentive workers and other contractual arrangement, relevant Human Resource and Administration Officials shall inform those entities or individuals of the standards of conduct listed in this plan and, the standards set out in the Secretary General’s Bulletin Special measures for protection from sexual exploitation and sexual abuse (ST/SGB/2003/13); and shall receive a written undertaking from those entities or individuals that they accept these standards.
2. Special attention should be taken with regards to service providers embedded and directly working in UN facilities. Prior to taking up their assignment, guards and cleaners should ensure the following

* Acknowledge in writing the receipt of this Action plan on Sexual Exploitation and Abuse
* Have key assurances added to their employment contracts with their companies or organizations.
* Clear a background check, conducted by a security company.
* Receive training/orientation Sexual exploitation and abuse from the respective UN entity within the first month of posting.

1. Ensure all implementing partners and contractors take preventive measures against sexual exploitation or sexual abuse, to investigate allegations arising, or to take corrective action when sexual exploitation or sexual abuse has occurred. Failure to undertake this shall constitute grounds for termination of any cooperative arrangement with the United Nations

# **ANNEX IV: UN BASE ENTEBBE**

The Management of the UN support base in Entebbe, comprising the Logistics and Supplies unit for UN Mission in Congo (MONUSCO), Liaison offices for the UN Mission for South Sudan, Abyei and Central African Republic and the UN Joint Logistics Hub shall directly support the following functions

1. Ensure all staff sign the standards of conduct set forth in the Secretary- General’s bulletins ST/SGB/2003/13 of 9 October 2003 and agency specific code of Conduct, prohibiting all forms of Sexual Exploitation and Abuse (SEA). Staff are requested to read and confirm that they will uphold the established standards.
2. Facilitate training for all staff, and contractors working in the base: Training on PSEA shall be an essential component for all staff as part of their induction and pre-deployment.
3. Support awareness raising campaigns in the host community within Entebbe, working with service providers such as hotels and entertainment points approved by the UN or frequented by UN personnel. In addition, provide clear visibility on the prohibition of Sexual exploitation and abuse through billboards. Also, publicise reporting channels
4. Disseminate standards of conduct contained in this plan, to all visiting military and civilian personnel on deployment or holiday. UN military personnel must be reminded of the ‘[The Ten Rules: Code of Personal Conduct](https://conduct.unmissions.org/file/2366/download?token=D_f2_Nar)’ for Blue Helmets introduced in 1998.
5. Support investigations and disciplinary measures against staff and contractors. When allegations of misconduct involving civilian, military and police personnel are substantiated, facilitate the repatriation of the individuals concerned to face trial in their respective jurisdictions.
6. Provide assistance to victims of sexual exploitation and abuse committed by UN personnel.

# **VALIDATION AND SIGNATURE OF PARTICIPATING AGENCIES**

**We, the undersigned, as representatives of our respective organisations and affiliate staff, agree to commit to:**

The Secretary General’s Bulletin on Prevention of Sexual Exploitation and Abuse, Humanitarian Code of conduct and Inter-Agency Guidelines on PSEA contained in this Action Plan

We seek to commit our agencies to abide by the procedures and guidelines contained in this document; and Commit to monitor implementation and adherence.

1. ROSA MALANGO, UN RESIDENT COORDINATOR:

Signature ………………………………… ………………………Date…………………………………………..

1. DOREEN MULENGA, UNICEF COUNTRY REPRESANTATIVE:

Signature…………………………………………………………..Date………………………………………..

1. BORNWELL KANTANDE, UNHCR COUNTRY REPRESANTATIVE:

Signature…………………………………………………………….Date……………………………………………..

1. ALAIN SIBENALER, COUNTRY REPRESANTATIVE, UNFPA:

Signature……………………………………………………………Date………………………………………….

1. ELKHADIR DALOUM, COUNTRY REPRESANTATIVE WFP,

Signature…………………………………………………………..Date…………………………………

1. YONAS TEGEGN WOLDEMARIAM, COUNTRY REPRESANTATIVE, WHO

Signatue……………………………………………………………Date…………………………………………..

1. ALMAZ GEBRU, COUNTRY DIRECTOR, UNDP:

Signature…………………………………………………………Date…………………….

1. UCHENA EMELONYE, COUNTRY REPRESENTATIVE, OHCHR:

Signature………………………………………………………….Date……………………

1. KARUSA KIRAGU, COUNTRY REPRESANTATIVE, UNAIDS:

Signature……………………. ……………………………………Date……………….

1. ALESSANDRO MARINI,, COUNTRY REPRESANTATIVE, IFAD:

Signature………………………. Date………………

1. ANNA MUTAVATI, OiC, UN WOMEN:

Signature……………………………………………………. …..Date…………………….

1. ALI ABDI, CHIEF OF MISSION, IOM:

Signature…………………………………………………………. Date………………………

1. DMITRY POZHIDAEV, COUNTRY PROGRAM MANAGER, UNCDF:

Signature…………………. ……………………………………….Date………………

1. BRUNO OTTO, COUNTRY REPRESANTATIVE, UNIDO:

Signature……………………………Date……………………….

1. TIMBILA AMADU, CHIEF OF SUPPLY, MONUSCO ENTEBBE LOGISTICS BASE: Signature………………………………. Date……
2. VICTORIA KISAAKYE KANOBE, COUNTRY PROGRAM COORDINATOR, UNESCO:

Signature…………………………Date….

1. MR. WELLINGTON CHIBEBE, ILO COUNTRY DIRECTOR FOR BURUNDI, KENYA, TANZANIA, RWANDA AND UGANDA

Signature………………………………………. Date….

1. PRIYA, GUJADHUR, REPRESANTATIVE, a.i FAO:

Signature………………………………………. Date…...

1. UN Secretary General’s Bulletin, ibid. [↑](#footnote-ref-1)