INTER-AGENCY TRAINING FOR FOCAL POINTS ON PROTECTION FROM SEXUAL EXPLOITATION AND ABUSE BY UN PERSONNEL AND PARTNERS

FACILITATOR’S MANUAL
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ACKNOWLEDGEMENTS

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The authors of this manual gratefully acknowledge the contributions of all the individuals and organizations responsible for the preparation of the original materials on which it draws.

ACRONYMS

DPKO United Nations Department of Peacekeeping Operations
DSRSRG Deputy Special Representative of the Secretary-General
ECHA United Nations Executive Committee for Humanitarian Affairs
ECPS United Nations Executive Committee for Peace and Security
ERC Emergency Relief Coordinator
FAQs Frequently asked questions
FP Focal Point
GBV Gender-based violence
HC Humanitarian Coordinator
HO Handout
IASC Inter-Agency Standing Committee
ICVA International Council of Voluntary Agencies
IRC International Rescue Committee
NGO Non-governmental organization
OCHA United Nations Office for the Coordination of Humanitarian Affairs
OHRM United Nations Office of Human Resources Management
OIOS United Nations Office of Internal Oversight Services
PD Participant’s Document
PP PowerPoint
RC Resident Coordinator
SGB Secretary-General’s Bulletin on Special measures for protection from sexual exploitation and sexual abuse (ST/SGB/2003/13)
SRSG Special Representative of the Secretary-General
INTRODUCTION AND OBJECTIVES

Introduction:
This training manual has been developed specifically to assist United Nations and NGO Focal Points on Sexual Exploitation and Abuse. It covers the roles and responsibilities of Focal Points as outlined in the IASC-developed Terms of Reference and equips Focal Points with the knowledge and skills required to fulfil these responsibilities.

As international civil servants entrusted to realize the noblest aspirations of the international community, United Nations personnel and their partner organizations have a duty to perform their responsibilities in a manner that is fully consistent with the fundamental principles of human dignity and human rights. The role is to alleviate suffering and cause no further harm. Service with the United Nations is a privilege. It also demands the highest standards of behaviour and integrity at all times.

Sexual exploitation and abuse by UN personnel and partners is a global problem that has cast an appalling shadow over the Organization. The available data still does not reflect the true extent of the problem. Lack of awareness, poor reporting mechanisms, lack of faith in investigative and disciplinary systems and a dearth in services to victims have all impacted on the Organization and its partners’ ability to prevent and respond effectively to sexual exploitation and abuse.

All UN personnel and partners have an obligation to create and maintain an environment that prevents sexual exploitation and abuse. The role of the Focal Point is to identify ways to enhance prevention strategies and initiate and undertake activities that support this goal. Managers have a particular responsibility to support and develop systems that prevent and respond to sexual exploitation and abuse. Focal Points are able to assist managers in fulfilling this responsibility.

The focus of this training is the prevention of sexual exploitation and abuse by UN personnel and their partner organizations. It is based on the standards and obligations prescribed in the United Nations Secretary-General’s Bulletin on Special measures for protection from sexual exploitation and sexual abuse (ST/SGB/2003/13) (the SGB). Its aim is to ensure that, through the assistance of dedicated and trained Focal Points, all staff will translate their obligations under the SGB into actions that protect the people we serve and who place their trust in us.
Background:
In 2002, the IASC mandated a Task Force, within the overall objective of strengthening and enhancing the protection and care of women and children in situations of humanitarian crisis and conflict, to make recommendations that specifically aim to eliminate sexual exploitation and abuse by humanitarian personnel and the misuse of humanitarian assistance for sexual purposes. Based on the Task Force’s recommendations, the IASC adopted agreed definitions of sexual exploitation and abuse and each member committed to incorporating a set of six core principles into their codes of conduct or rules and regulations. The Task Force also called for greater transparency and accountability and concluded that managers have a special responsibility to promote a culture of protection in which exploitation and abuse is not tolerated and reports of possible violations are treated seriously and confidentially.

In October 2003, the UN Secretary-General issued the SGB which contains the IASC agreed definitions and six standards of behaviour. He has also declared a policy of “zero tolerance” for sexual exploitation and abuse by UN personnel.

In April 2005, the Special Committee on Peacekeeping Operations, comprised of troop and police contributing Member States and others, recommended that the standards of the SGB apply to all peacekeeping personnel (A/59/19/Add.1). Their recommendation was endorsed by the General Assembly in June 2005 (Resolution 59/300) meaning that the SGB now applies to all UN personnel at all times. The Security Council also requested the Secretary-General and all Member States to ensure that every measure is taken to prevent sexual exploitation and abuse by all categories of personnel in peacekeeping missions and to enforce UN standards of conduct in this regard (See Press Release SC/8400, Security Council 5191 meeting). The terms of the SGB require that its provisions are included in the terms of all cooperative arrangements with non-UN entities or individuals, ensuring that its standards apply and its obligations extend to cover all who work with the UN.

The IASC also developed five tools for implementing its conclusions, including the need for each agency to appoint Focal Points on sexual exploitation and abuse and to participate in country-level networks of Focal Points. Building on the work of the IASC, further policy and guidance is now being developed by an expanded ECPS/ECHA and NGO Task Force on Sexual Exploitation and Abuse.

Across the globe, prevention mechanisms have been adopted by most organizations and collective efforts are continuing to develop and implement comprehensive systems for preventing and responding to sexual exploitation and abuse by UN personnel and partners. This training programme is part of that system.

Objectives:
The objectives of this training programme are to:
• Increase understanding of sexual exploitation and abuse and its consequences;
• Advance understanding of the Secretary General's Bulletin and standards of conduct;
• Enable participants to fulfil the Focal Point role and responsibilities; and
• Develop a preliminary Plan of Action for the Focal Point network to address sexual exploitation and abuse by UN personnel and partners in a given country.

Participants:
This training programme is devised as an inter-agency training programme. Therefore participants should be the Focal Points from all UN bodies represented in-country, including any peacekeeping mission, as well as the Focal Points from key NGOs. Focal Points should be a mixture of national and international staff.

Facilitators:
It is recommended to have at least two facilitators; and where possible to have at least one male facilitator.

HOW TO USE THIS MANUAL

Agenda and timing:
The training programme is presented as eleven sessions to be delivered over two-and-a-half days. The suggested timing for each session follows the recommended agenda, which is based on an eight-hour working day. It would be extremely difficult to conduct the training adequately over a shorter period of time. Feedback from all pilot sessions was that more time was needed. For the training to be successful, it is extremely important that participants attend the entire programme. The sessions link into one another and full-time attendance is necessary to participate effectively in the final session.

Facilitators will always need to be flexible on timing. Some sessions finish earlier than predicted; some end up being overly rushed. The training requires a lot of detailed information to be shared which some participants can find overwhelming. If time allows, facilitators should attempt to make the sessions as participatory as possible by asking participants for their views on different concepts or issues before delivering the relevant information outlined in the manual. Given the sensitive nature of the topic, it is also important to allow adequate time for open and honest dialogue, questions, and venting of frustrations or cynicism over how instances and allegations of sexual exploitation and abuse might have been handled in the past or the poor support given to Focal Points in some offices. Therefore, facilitators should constantly read the knowledge and interest levels of the participants to determine where different balances might need to be struck. For some sessions, alternative suggestions for time fillers or time savers are listed. In some instances, participants may have to undertake group activities over the coffee breaks but this should be
avoided if at all possible. It is a good idea during exercises to give participants a 5 or 10 minute warning that time is nearly up.

**Sessions:**
Each session described in this manual includes the following details:

- **Objective** – clarifies the goal or expected outcome of the session;
- **Time** – indicates the approximate time required for the session with a further break-down of time required for each activity as appropriate;
- **Materials** – lists the materials required for each session;
- **References** – lists the documents already provided in the participants’ folders to be referred to during the session;
- **Handouts** – lists the documents to be distributed during the session;
- **PowerPoints** – indicates the PowerPoint presentation that accompanies the session;
- **Information/Exercises** – provides detailed notes on information to be shared and clear and simple directions on how to conduct exercises;
- **Key Messages** – highlights the key messages and how to conclude each session;
- **Tips for Facilitators** – provides additional suggestions based on experience/observations on how to prepare for and manage activities;
- **Alternative Exercises** – suggests some alternatives depending on timing or other factors.

**Participants’ documents:**
Each participant should be provided with a folder on arrival that contains each of the reference materials included in the section “Participants’ Documents”.

**Handouts:**
The handouts required for each session are listed at the beginning of the session. Copies of all handouts are collected together in the “Handouts” section of the manual so that they can be easily located and photocopied for distribution. Each of the handouts should be hole-punched so that participants can easily include them in their folders.

**PowerPoint presentations:**
Not all sessions are accompanied by PowerPoint presentations. Seven PowerPoint presentations have been included to assist the facilitators. These presentations do not always correspond exactly to the facilitator’s notes but sometimes only summarise the key points, i.e. the facilitator’s notes do not reflect a simple reading out of the PowerPoint presentations but contain additional information. The notes indicate when each slide should be shown. The PowerPoint presentations are tools only and facilitators can determine if they would prefer to use all or some of the PowerPoint presentations. They can also adapt the presentations as appropriate.

PowerPoints allow participants to identify the main messages when a lot of detailed information is being provided (and can be especially helpful for those
whose first language is not English or who are not auditory learners). The PowerPoint presentations can be also photocopied and distributed as handouts at the end of the relevant session.

**NOTE**: In addition to this manual, it is important that the facilitators have a thorough understanding of the background and history to preventing sexual exploitation and abuse by UN personnel and partners, including being familiar with the relevant IASC documentation. Before delivering the training, it is also a good idea for facilitators to be updated on the work of the ECPS/ECHA Task Force and current inter-agency efforts to address the problem of sexual exploitation and abuse (as many of the issues discussed remain works in progress at the time of preparing this manual).

**GENERAL TIPS ON DELIVERING THE TRAINING**

Talking about sexual exploitation and abuse by UN personnel and partners can be difficult so it is helpful to facilitate as much group work or active participation as possible, allowing participants to air their views, doubts, fears, anxieties and discomforts. It is essential to create a safe and trusting environment for open sharing to happen. This can be done through laying emphasis on confidentiality and agreeing with participants that anything they share will not be held against them or leave the room. Throughout the training it is also important not to belittle or show contempt or shock towards anything that participants share or question. While the aim of the training is to sensitise participants, it is useful to remember that we all have blind spots and blocks to learning and that changing attitudes is a slow process.

**Cultural Sensitivities**: Some participants may be uncomfortable with the nature of the topic due to cultural or traditional backgrounds. This should be sensitively addressed as Focal Points must be prepared and able to discuss things of a sexual nature with others when receiving allegations and doing trainings. If an individual believes he/she cannot discuss these things in public, the facilitators should discuss how to handle this with him/her during one of the breaks. At a later point, he/she should consider raising this with his/her headquarters Focal Point or Head of Office and asking to be replaced.

**Language issues:**
The training programme is designed to be presented in English and participants should be advised of this in the letter of invitation. Nonetheless, some participants may struggle at times with the density of information or specific terms. Using the PowerPoint presentations can help summarise the key messages and give participants a chance to absorb them in writing. Where
terminology or understanding of key words might be an issue, one tip is to ask: “How do you say [word] in your language? Does it mean the same thing? Something more, something less?” so that everyone is clear on what is being discussed.

The broader context:
Although there is one session devoted to the larger context of gender-based violence, it is useful throughout the training to link the issue of sexual exploitation and abuse to the broader context of international laws and principles related to human rights, including gender equality.
AGENDAS

Participants’ Agenda

Inter-Agency Training for Focal Points on sexual exploitation and abuse by UN personnel and partners

[City, Country]
[Dates]

AGENDA

Objectives:

- To increase understanding of sexual abuse and exploitation and its consequences
- To advance understanding of the United Nations Secretary General’s Bulletin and standards of conduct
- To enable participants to fulfil Focal Point role and responsibilities
- To develop a preliminary Plan of Action for the Focal Point network to address sexual abuse and exploitation by staff and partners in Sudan

DAY 1

<table>
<thead>
<tr>
<th>Time</th>
<th>Agenda Items</th>
</tr>
</thead>
</table>
| 14.00 – 14.45 | Opening and introductions  
|             | Overview of the training  |
| 14.45 – 15.30 | Overview of the problem and consequences of sexual exploitation and abuse by UN staff and related personnel and partners: understanding power, vulnerability and violence |
| 15.35 – 15.50 | Coffee break |
| 15.50 – 17.00 | Problem and consequences (continued)  
|             | What are the responsibilities of a Focal Point?  
|             | Overview of the Terms of Reference for Focal Points  
|             | What is the role of the Focal Point Network?  
|             | Overview of the Terms of Reference of the Network |
## DAY 2

<table>
<thead>
<tr>
<th>Time</th>
<th>Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>09.00 – 11.00</td>
<td>The UN Secretary General’s Bulletin on Protection from Sexual Exploitation and Abuse: reviewing the definitions and standards of conduct</td>
</tr>
<tr>
<td>11.00 – 11.20</td>
<td>Coffee break</td>
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</tbody>
</table>
| 11.20 – 12.45 | • Definitions and standards of conduct (continued)  
                 • Barriers to Complaint  
                 • Introduction to reporting systems |
| 12.45 – 14.00 | Lunch                                                                      |
| 14.00 – 15.20 | • Introduction to investigations and disciplinary procedures  
                 • Receiving and documenting complaints |
| 15.20 – 15.35 | Coffee break                                                               |
| 15.35 – 17.00 | • Receiving and documenting complaints (continued)                          |

## DAY 3

<table>
<thead>
<tr>
<th>Time</th>
<th>Activities</th>
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<tbody>
<tr>
<td>09.00 – 10.30</td>
<td>Communication and outreach: implementing a communications plan on sexual abuse and exploitation by staff and partners</td>
</tr>
<tr>
<td>10.30 – 10.50</td>
<td>Coffee Break</td>
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</tbody>
</table>
| 10.50 – 12.45 | • Ensuring support for survivors: implementing a victim support policy  
                 • Being the Messenger |
| 12.45 – 14.00 | Lunch                                                                      |
| 14.00 – 15.30 | • The Focal Point Network: Developing a Plan of Action                      |
| 15.30 – 15.50 | Coffee Break                                                               |
| 15.50 – 17.00 | • Developing a Plan of Action (continued)  
                 • Closing                  |
Facilitators’ Agenda

**Inter-Agency Training for Focal Points on sexual exploitation and abuse**
**by UN personnel and partners**

[City, Country]
[Dates]

**AGENDA**

**DAY 1**

<table>
<thead>
<tr>
<th>Time</th>
<th>Agenda Items</th>
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<tbody>
<tr>
<td>14.00–14.20</td>
<td>• Opening and introductions</td>
</tr>
<tr>
<td></td>
<td>- HC/VIP rep introduction</td>
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<tr>
<td></td>
<td>- Icebreaker</td>
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<tr>
<td></td>
<td>o <em>when you were 10 years old, what did you want to be</em></td>
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<tr>
<td></td>
<td><em>when you grew up?</em></td>
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<tr>
<td>14.20–14.30</td>
<td>• Overview of the training</td>
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<td></td>
<td>- Agenda review</td>
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<tr>
<td></td>
<td>- Objectives, structure of training: context, UN standards, each</td>
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<tr>
<td></td>
<td>aspect of FP TOR, Plan of Action (covering each issue)</td>
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<td></td>
<td>- Not TOT; impart information and identify FP responsibilities</td>
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<td></td>
<td>o <em>topic is vast, several areas of responsibility but tasks are</em></td>
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<tr>
<td></td>
<td><em>limited</em></td>
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<td></td>
<td>- Think on 2 levels: (1) participant, (2) someone who raises awareness</td>
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<td></td>
<td>(e.g. might want to use some exercises)</td>
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<td></td>
<td>- “Eyes and ears”</td>
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<td>- Ground rules – sensitive topic/confidential comments</td>
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<tr>
<td>14.30–14.45</td>
<td>• Assessment</td>
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<td></td>
<td>- Previous experience – 5 questions:</td>
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<tr>
<td></td>
<td>o <em>How many of you have read the SGB?</em></td>
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<td></td>
<td>o <em>How many of you have done training on SEA?</em></td>
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<td></td>
<td>o <em>How many of you have done training on GBV?</em></td>
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<td></td>
<td>o <em>How many of you have interviewed a survivor of violence?</em></td>
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<tr>
<td></td>
<td>o <em>In your entire working career (not just this job), how</em></td>
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<td></td>
<td><em>many of you have had a feeling that someone you work</em></td>
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<td><em>with might be sexually exploiting or abusing someone?</em></td>
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<td></td>
<td>- Assessment Test</td>
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<tr>
<td>14.45–</td>
<td>• Overview of the problem and consequences of sexual exploitation</td>
</tr>
<tr>
<td>Time</td>
<td>Activity</td>
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</tbody>
</table>
| 15.20-15.35 | and abuse by UN staff and related personnel and partners: understanding power, vulnerability and violence  
- Power Walk exercise  
- Power Walk discussion  
  - For those who had power, why did you feel powerful?  
  - For those who did not, why not?  
  - Definition of power: Power is the ability to influence or control. It includes access to decision-making processes.  
  - Those who have less power in relationships are always more vulnerable to abuse. |
| 15.35-15.50 | - GBV PowerPoint presentation and stats handout                                                  |
| 15.50-16.00 | • Coffee break                                                                                   |
| 16.00-16.40 | • Problem and consequences of sexual violence (contd)  
  - Consequences of abuse (flip chart exercise)                                                  |
| 16.40-16.55 | • What are the responsibilities of a Focal Point? Overview of the Terms of Reference for Focal Points  
  - PowerPoint  
    - 3 main areas, with practical examples  
    - Work with senior management on all  
    - FP not have to do everything; make sure all in place, involve experts and others – use common sense  
    - Who should be a Focal Point?  
    - Being a champion |
| 16.55-17.00 | • What is the role of the Focal Point Network? Overview of the Terms of Reference of the Network  
  - PowerPoint  
    - Common efforts, avoid agency overlap  
    - "In the air” allegations  
    - Be creative – only the standards are non-negotiable  
  - Brainstorm re issues/concerns for Focal Points and network  
  • Confidentiality exercise |
## DAY 2

<table>
<thead>
<tr>
<th>Time</th>
<th>Session</th>
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</table>
| 09.00-09.10 | • Recap Day 1  
- Ball exercise  
  - *What do you think might be interesting or challenging about being a focal point?* |
| 09.10-09.50 | • The UN Secretary General’s Bulletin on Protection from Sexual Exploitation and Abuse: reviewing the definitions and standards of conduct  
- Scenarios (group work)  
- SGB presentation |
| 09.50-11.00 | • Coffee break |
| 11.00-11.20 | • Definitions and standards of conduct (continued)  
- Q&A |
| 11.20-11.50 | • Barriers to complaints  
- “Restaurant exercise” (work in pairs)  
  - *Can you remember a time when you were disgruntled or dissatisfied with something and wanted to complain but did not? How did you feel?* |
| 11.50-12.00 | • Introduction to reporting systems  
  - Importance of system  
  - Principles of system  
  - Always ends at human resources and probably senior management  
  - Reporting to Head of Office and RC/HC  
  - Link to managerial accountability  
  - Reporting to HQ focal point;  
  - Reporting across agencies  
  - Reporting to local authorities  
  - OCHA model,  
  - FP channels reporting; not an investigator  
  - Formalise local system if nothing in place at HQ |
<p>| 12.00-12.45 | • Lunch |
| 12.45-14.00 | • Lunch |</p>
<table>
<thead>
<tr>
<th>Time</th>
<th>Session</th>
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</thead>
</table>
| 14.00–14.30 | • Introduction to investigations and disciplinary procedures  
  - Not investigating or calling for investigations  
  - Solely decision of human resources for investigation (may instruct Head of Office, someone else in field or send external team or take no action)  
  - OIOS, DPKO, OHRM, HR, Ombudsman  
  - Disciplinary authority usually with human resources (discretion of SG for secretariat, different system for peacekeepers)  
  - Following up on progress and giving feedback |
| 14.30–14.40 | • Receiving and documenting complaints  
  - [Perceptions exercise] |
| 14.40–15.20 | • Receiving and documenting complaints  
  - Principles of receiving complaints  
    - Respect; confidentiality; anonymity; safety & welfare  
  - Good interviewing practice  
    - Establish rapport; obtain facts; explain next steps  
    - Be aware of own perceptions; be careful not to judge  
    - Rumours are not less likely to be true  
    - How complainants behave – range of emotions  
    - Special considerations for children |
| 15.20–15.35 | • Coffee break |
| 15.35–16.25 | • Receiving and documenting complaints (continued)  
  - Interviewing exercise  
    - 2 case studies (set up work in pairs, 20 mins each)  
    - OK to make mistakes, first time & only a case study |
| 16.25–16.55 | • Feedback from exercise  
  - Challenging, takes practice  
  - Beware of perceptions and judgments;  
  - Motivation of complainant is irrelevant  
  - Recap intro to model complaints; dos and don’ts;  
  - Children remember as well, therefore take as seriously as adults;  
  - “What a survivor wants me to know” |
| 16.55–17.00 | - |
## DAY 3

<table>
<thead>
<tr>
<th>Time Range</th>
<th>Session Details</th>
</tr>
</thead>
</table>
| 09.00–09.10         | - Recap Day 2  
|                     |   - ball exercise  
|                     |     - *Name one interesting thing you learnt yesterday*  
| 09:10 – 10:00       | - Communication and outreach: implementing a communications plan on sexual abuse and exploitation by staff and partners  
|                     |   - Poster/radio spot exercise  
|                     |   - Group exercise feedback  
|                     |     - *Is message clear; is anything confusing or ambiguous?*  
|                     |     - *Who is the audience?*  
|                     |     - *Is there too much information?*  
|                     |     - *Consider responses to message;*  
|                     |     - *Advise to report*  
| 10.00–10.30         | - Training film  
| 10:30 – 10:50       | - Coffee Break  
| 10:50 – 11:35       | - Ensuring support for survivors: implementing a victim support policy  
|                     |   - Introduce policy  
|                     |     - *Is UN policy but covers all victims (wtr of staff, related personnel or partners)*  
|                     |     - *Victims don’t make distinction between agencies; one response for one UN;*  
|                     |     - *Strategy aims high; implementation depends on context*  
|                     |     - *Categories of victims and nature of assistance;*  
|                     |     - *Implementation through existing service providers; discrimination issue;*  
|                     |     - *Victim advocates;*  
|                     |     - *Funding;*  
|                     |     - *Establish referral mechanism that is appropriate, practical and protects confidentiality*  
|                     |     - *Refer person even if no perpetrator identified*  
|                     |   - Service provision matrix (work in thematic groups)  
| 11.35–12.00         | - Guest speaker  
| 12.00–12.45         | - Being the Messenger  
|                     | - Devil’s advocate exercise  

<table>
<thead>
<tr>
<th>Time</th>
<th>Activity</th>
</tr>
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<tbody>
<tr>
<td>12:45–14:00</td>
<td>• Lunch</td>
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<tr>
<td>14:00–15:30</td>
<td>• The Focal Point Network: developing a plan of action (Facilitators)</td>
</tr>
<tr>
<td></td>
<td>o <strong>Consider additional resources that might be needed</strong></td>
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<tr>
<td>15:30–15:50</td>
<td>• Coffee Break</td>
</tr>
<tr>
<td>15:50–16:40</td>
<td>• Developing a Plan of Action (continued)</td>
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<tr>
<td></td>
<td>o <strong>Agree on how to finalise plan and share with senior management</strong></td>
</tr>
<tr>
<td>16:40–17:00</td>
<td>• Closing</td>
</tr>
<tr>
<td></td>
<td>- Assessment Test</td>
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<td>- Evaluation</td>
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ADVANCE PREPARATION

This is a checklist of all the things that should be done in advance of the training. Most of these can be arranged by the host organization(s) based in-country:

1. Develop list of potential UN and NGO participants;

2. Ensure heads of agencies are aware of the purpose of training so that appropriate persons attend;

3. Arrange for off-site venue, ideally with one large meeting room and three to four small break-out rooms;

4. Send out letter of invitation (see sample below), ideally this should be sent by the Resident Coordinator/Humanitarian Coordinator (or SRSG or DSRSG/RC/HC where there is a peacekeeping mission);

5. Send out agenda to participants;

6. Arrange for high-level representative to open training (this is an important demonstration that senior management takes the issue seriously and ideally should be the Resident Coordinator/Humanitarian Coordinator (or SRSG or DSRSG/RC/HC where there is a peacekeeping mission);

7. Invite guest speaker from a local NGO who works on violence against women or with survivors of violence (e.g. provides counselling or legal aid) to speak for 15 minutes during Session 8 (Ensuring support for survivors) about the problem in [country] and provide some statistics and background about local and national laws and customs pertaining to sexual violence and programmes in place to respond to it;

8. Consider inviting additional NGO representatives to help develop Plan of Action in Session 11 (or asking the Session 8 guest speaker to remain);

9. Prepare a handout on recent statistics regarding violence against women, children or beneficiaries for [country] or particular towns/regions in [country];

10. Prepare participants’ name tags;

11. Prepare participants’ folders;

12. Photocopy handouts (including PowerPoint presentations) and hole punch all documents;

13. Arrange for all the materials required for the training (see below) to be available at the venue;
14. Arrange seating in venue (either in large U shape or in small groups around tables;

15. Place blank name cards and participant’s folders at each place or distribute on arrival;

16. Consider how any language issues might need to be addressed; and

17. Choose facilitators for Session 11 on Plan of Action (this cannot be done until the training has started but should be done the day before the relevant session if possible).
Sample Letter of Invitation

Dear X,

I am very pleased to invite you to participate in a two-and-a-half-day inter-agency training, organized by [organizing agencies] for Focal Points on sexual exploitation and abuse.

As we are all aware, UN personnel, including peacekeeping personnel, and partners are required to behave with integrity and uphold the highest standards of behaviour. These standards are articulated in the Secretary-General’s Bulletin on *Special measures for protection from sexual exploitation and sexual abuse* (ST/SGB/2003/13). It is the responsibility of each one of us to ensure that the problem of sexual exploitation and abuse is eliminated. The Bulletin further obliges offices and missions to create and maintain an environment that prevents sexual exploitation and abuse, including by appointing focal points to receive and follow-up on complaints. The IASC has developed Terms of Reference for Focal Points, outlining their role and responsibilities. These include raising awareness, instituting appropriate mechanisms for receiving complaints, ensuring victims are provided with appropriate support, conducting public information campaigns, and participating in in-country networks for coordinating and overseeing response to the problem.

The Task Force of the joint Executive Committees on Peace and Security and Humanitarian Affairs and NGO partners has developed an inter-agency training programme that particularly focuses on the roles and responsibilities of Focal Points and provides an increased understanding of the contributing factors and consequences of the problem of sexual exploitation and abuse by UN personnel and partners. The training aims to ensure that Focal Points can confidently and proactively take measures to prevent and respond to the problem of sexual exploitation and abuse, including dealing with individual allegations from the moment of receiving a complaint to closure of a case. The training will also assist Focal Points to mobilise in-country networks and develop a clear plan of action.

Your agency’s Focal Point on sexual exploitation and abuse is therefore invited to attend the inter-agency training in [town, country], from [dates]. The training will be held at [location] and will be conducted in English.

Eliminating sexual exploitation and abuse is a common goal that requires concerted effort. Your Organization’s participation in the training is highly valued. The last part of the programme will be devoted to developing the Plan of Action for [country], based on the knowledge and skills acquired during the course. Please advise [organizer] by [date] if your Focal Point is able to attend.

Yours sincerely,

[Resident Coordinator/Humanitarian Coordinator]
MATERIALS

The following is a complete list of the materials that will be required throughout the training:

- Laptop computer (for PowerPoint and DVD)
- Screen
- 4 flip charts
- 4 blocks of flipchart paper
- Marker pens
- Name tags
- Place cards

- Index cards
- Tape
- Stapler
- Crayons
- Coloured pens
- Ball (for recap exercises)
- Training DVD: To Serve with Pride
# THE TRAINING PROGRAMME

## DAY 1

<table>
<thead>
<tr>
<th>SESSION 1: OPENING AND INTRODUCTIONS</th>
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| **Objective** | • To introduce participants to each other;  
|                | • To clearly outline training objectives; and  
|                | • To establish trust and respect amongst participants and with the facilitators. |
| **Time** | 45 minutes (based on about 25 participants) |
| **Materials** | • Name tags  
|               | • Place cards  
|               | • Marker pens |
| **Handouts** | HO 1: Assessment Test (blank) |

<table>
<thead>
<tr>
<th><strong>Timing:</strong></th>
<th><strong>Information/Exercises:</strong></th>
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<tbody>
<tr>
<td><strong>Opening</strong></td>
<td>Aim: To demonstrate the seriousness of the issue and the engagement and support of senior management.</td>
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</table>
| 5 minutes   | • Welcome and acknowledge individuals' commitment to attending the training.  
|            | • Briefly introduce the facilitators and explain that there will be more detailed introductions after the guest speaker.  
|            | • Introduce the high-level representative and invite them to open the training. |
| 5 mins     | **Guest speaker:**  
|            | [Opening remarks] |
| **Introductions** | Aim: To allow participants to introduce themselves to the group and create an open environment for the training. |
| 10 minutes | Explain that each person is to introduce themselves by answering the following questions:  
  - What is your name/how would you like to be known?  
  - Who do you work for?  
  - What is your job title?  
  - When you were ten years old, what did you want to be when you grew up?  
  
Invite the other facilitators to introduce themselves first (*this models the format of the introduction*) and then go to the group. After each person introduces themselves, thank them by name. Finish with your own introduction.  

Invite participants to write the name by which they would like to be known on the place card in front of them (*use the marker pens so easily readable*). |
|---|---|
| Overview of the Training | **Aim:** To describe the training and prepare participants for the work that they will be expected to undertake as Focal Points.  

**Overview:**  
Explain that the training is designed to detail the role and responsibilities of Focal Points, provide some skills for fulfilling these and, through developing the Plan of Action during the last half day, provide a forum for the Network to begin its work.  

The training begins with the nature of the problem and context of sexual exploitation and abuse. It covers the UN standards and then the Focal Point terms of reference. The rest of the training picks up each one of the main Focal Point roles and responsibilities and examines how to fulfil it in more detail. The final session is for developing a Plan of Action for addressing each one of the main issues in [country].  

The training is focused on the topic of sexual exploitation and abuse by UN staff and related personnel and our partners. It will refer to the broader problem of sexual and gender-based violence but the focus of the training is limited to the harm perpetrated by UN staff, related personnel and our partners.  

There is an expression: “Before you go to fix your neighbour’s house, you should clean up your own.” As UN and humanitarian workers, our mandate is to protect and assist the most vulnerable, not to increase their level of suffering. This training is designed to equip Focal Points with the skills to assist all of us to live up to the standards that are expected of us by the world community.  

Participants’ documents: |
Note that each of the participants has been provided with a documents folder and explain that throughout the training, each of the documents will be referred to and their purpose explained. The first document is the agenda for the training.

**Approach to training:**
Explain that the training is not a “train the trainers”. Participants are not expected to deliver the same course or train others but to receive enough information to fulfil their own Focal Point responsibilities.

Note that some participants may be familiar with some of the exercises and that they should approach the training on two-levels: (1) as participants ready to learn; and (2) as Focal Points who may wish to use some of same tools to explain the SGB to others.

Explain to participants that it is a vast topic and they will receive a lot of information regarding several areas of responsibility and then reassure them that their own role is quite limited, i.e. the job is not as big as it might sound. Acknowledge that being a Focal Point is an additional responsibility and that participants still have their regular job to do.

**Sensitivities and respect:**
Remind participants that sexual exploitation and abuse is a very sensitive topic that evokes many thoughts and emotions. Note that people will have their own personal views with which others might agree or disagree. Ask participants to respect one another’s views, to be sensitive and not to harshly judge or criticise. Establish any other principles to ensure a safe and comfortable learning environment. If managers are present with their supervisees, discuss how issues raised during the training might affect working relationships after the training.

Remind participants that there may be people in the room who know someone who has been sexually exploited or abused or who have themselves been sexually exploited or abused. If people choose to share their experiences or beliefs, ask participants to respect the confidence that has been placed in them and not to repeat it outside the training. Emphasise that confidentiality is one of the key aspects to being a Focal Point.

**Housekeeping:**
Cover any other housekeeping issues such as:
- the schedule (particularly breaks) and the importance of being on time (late start means a late finish);
- location of meals and tea/coffee breaks;
- location of toilets, fire exits and smoking areas;
- turning off cell phones & limiting calls to breaks; and
- the importance of attending the entire training.
Check if there are any other important principles or questions.

| Key messages | This is a learning environment in which people should feel comfortable about sharing their thoughts on a very difficult topic, knowing that their opinions and experiences will be treated confidentially and with respect. |
| Assessment Test | Aim: To determine participants’ previous experience in dealing with the issue and their current level of knowledge. |

| 15 minutes | Using a show of hands, ask participants to respond to the following questions: |
| | • How many of you have read the SGB? |
| | • How many of you have done training on SEA? |
| | • How many of you have done training on GBV? |
| | • How many of you have interviewed a survivor of violence? |
| | • In your entire working career (not just this job), how many of you have had a feeling that someone you work with might be sexually exploiting or abusing someone? |

Distribute the Assessment Test (HO 1). Ask participants to mark their copy with a personal symbol (not their name) that they will remember and can use later. If participants are unsure about any question, ask them to make their best guess. [Collect the completed tests for review later.]

| Tips for Facilitators | • Suggested session time allows for late arrivals. |
| | • To avoid delaying opening guest speaker, allow him/her to open the training before doing participant introductions but explain this will be done afterwards. |
| | • In modelling the introduction activity, a facilitator should demonstrate how to answer the question appropriately and most importantly, within the time limit (1 minute). |
| | • At the end of the day, do a quick review of the assessment tests to determine participants’ level of knowledge and any weak areas. |

| Alternatives | • Other icebreakers are possible. The icebreaker should be simple and short (e.g. what was your worst job?). The suggested icebreaker creates a sense of being able to share something potentially awkward or embarrassing and can be referred to later in the training. |
**SESSION 2: THE PROBLEM AND CONSEQUENCES OF SEXUAL EXPLOITATION AND ABUSE BY UN STAFF, RELATED PERSONNEL AND PARTNERS**

| **Objective** | • To introduce the global and local context of gender-based violence, including sexual exploitation and sexual abuse;  
• to explore the concepts of gender, power and vulnerability and their relationship to sexual exploitation and abuse; and  
• To examine the contributing factors of sexual exploitation and abuse and the consequences for individuals, communities and the Organization. |
| **Time** | 60 minutes |
| **Materials** | • Laptop computer and screen for PowerPoint presentation  
• 4 flipcharts, marker pens |
| **Handouts** | HO 2: Individual index cards with Power Walk characters  
HO 3: GBV Facts, Statistics & Attitudes [*and local statistics if prepared*] |
| **PowerPoint** | PP 1: Gender-based Violence: The context of sexual exploitation and abuse by UN personnel and partners |

**Timing:**

<table>
<thead>
<tr>
<th><strong>Information/Exercises:</strong></th>
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<tbody>
<tr>
<td><strong>Power Walk Exercise</strong></td>
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<tr>
<td><strong>Aim:</strong> To allow participants to see the relationships between gender and power and vulnerability to sexual exploitation and abuse.</td>
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<tr>
<td><strong>35 minutes</strong></td>
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<tr>
<td>Bring the participants to a large space (empty conference room or outdoor space) where they can stand side by side in a line and have room to take 25 large steps forward.</td>
</tr>
<tr>
<td>Give each participant an index card with one of the Power Walk characters written on it (<strong>HO 2</strong>). Ask the participants not to let anyone else know the character that they are representing.</td>
</tr>
<tr>
<td><strong>Possible Characters:</strong></td>
</tr>
</tbody>
</table>
| 1. District Chief  
2. Village Health Worker (male)  
3. Traditional Birth Attendant (female)  
4. School Teacher (female)  
5. Ward Agricultural Officer (male)  
6. Leader of a youth group (male)  
7. Orphaned boy, aged 13  
8. Orphaned girl, aged 13  
9. Grandmother, caretaker of orphans  
10. Uncle, caretaker of orphans  
11. Primary school boy, aged 12  
12. Primary school girl, aged 12 |
13. Girl with physical disability, aged 12
14. Girl in prostitution, aged 16
15. Married girl, aged 16
16. Woman whose husband died of AIDS, aged 30
17. Unemployed boy, aged 17
18. Demobilised boy soldier, aged 15
19. Girl looking after her sick mother and younger siblings, aged 17
20. International humanitarian worker
21. Adult male soldier
22. SRSG or RC/HC
23. Police Officer (male)
24. NGO leader (female)
25. Religious leader (male)
26. Community leader (female)
27. UN national staff member
28. Male Peacekeeper
29. Village elder (male)
30. Village elder (female)
31. Village chairperson
32. Village shopkeeper
* Other possibilities include: National Ministry Official, District Official, UN international staff member.

Tell participants that they will hear a series of statements. For every statement to which the character they are representing could answer “yes”, they should take one large step forward. If a statement does not apply to their character, they should just stay where they are. Sometimes they may not be sure whether a statement applies to them, and should just take their best guess.

Statements:
1. I can influence decisions made at community level.
2. I get to meet visiting government officials.
3. I get new clothes on religious holidays.
4. I can read newspapers regularly.
5. I have time and access to listen to the radio.
6. I would never have to queue at the dispensary.
7. I have my own bank account.
8. I can speak in extended family meetings.
9. I can afford to boil drinking water.
10. I can buy condoms.
11. I can negotiate condom use with my partner.
12. I only have sex when I want to.
13. I went to secondary or I expect to go to secondary school.
14. I can pay for treatment at a hospital if necessary.
15. I can speak at a village meeting.
16. I eat at least two full meals a day.
17. I sometimes attend workshops and seminars.
18. I have access to plenty of information about HIV.
19. I am not afraid of walking on my own at night.
20. I can question expenditure of household funds.
21. I am not afraid of violence in my home.
22. I have never had to line up or beg for food.

[The characters and statements may be modified to reflect the regional/local context.]

[At the end of the statements, the participants will be fairly spread out. They should remain in place and in character for a debriefing.]

Debriefing:
Who were the characters?
Ask everyone to stay where they are.
Starting in the back, ask each person to say his or her character.

[Everyone states his or her character.]

Ask a few people at the back of the room: “How did you feel? What was it like to be at the back of the room?”
Ask a few people at the front: “How did you feel? What was it like to be in the front of room?
You may also ask a few people in the middle.

Invite the rest of the group to also comment on what has happened.
(People may mention power or vulnerability.)

State: “All of these statements are about power or access to power. What do we mean by POWER?”

**Elicit:** Power is the ability to influence or control. It includes access to decision-making processes.

Ask: “Those who felt strong or powerful, why did you feel powerful?”
Ask: “Those who did not, why not. For those in the back, why do you think you were in that position?”

**Elicit** what things give people power: money, position, authority, gender.

**Elicit** what things contribute to abuse based on power inequalities: vulnerability, poverty, breakdown in social structures (such as during displacement), lack of legal protection, impunity for perpetrators, culture, gender beliefs.

[Sometimes, some characters end up much further in front or remain much further behind than expected for their character. Ask the person concerned or the group to comment on the position that the character reached; e.g. if the 12-year old girl with a disability is near the front, invite some discussion about this to correct any mistaken ideas that such a person ordinarily wields a lot of power and influence.]
Ask: “Is power always bad?”

**Elicit:** No. Power can be used in positive ways but the potential for abuse is there. Those who have less power in relationships are always more vulnerable to abuse.

Ask: “In [country], are these the people [indicate the people at the front] that have power? Who else has power?”

Brainstorm: Government, men, adults, police, military etc…

<table>
<thead>
<tr>
<th><strong>Key messages</strong></th>
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<tr>
<td><strong>Explain:</strong> The reason we start with this exercise is because through the rest of the training, we will be talking a lot about power, and about abuses of power and the link to violence - specifically violence against women and children. Violence and exploitation are almost always linked to power. Those who have more power can exploit and abuse others. Those who have the least power – and very often they are women and children, especially girls – are most likely to be exploited and abused.</td>
</tr>
<tr>
<td>Today we are talking very specifically about abuses that happen at the hands of UN personnel and our partners. However, it is important to bear in mind the context in which this occurs and to realise that this is part of a much larger problem of gender-based violence.</td>
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<table>
<thead>
<tr>
<th><strong>Overview of Gender-Based Violence</strong></th>
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<tbody>
<tr>
<td><strong>Aim:</strong> to give participants an understanding of the broader context of gender-based violence in which sexual exploitation and abuse occurs and its underlying causes and consequences.</td>
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<tr>
<th><strong>15 minutes</strong></th>
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<tr>
<td><strong>Explain:</strong></td>
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<tr>
<td>• Sexual exploitation and abuse is a form of gender-based violence.</td>
</tr>
<tr>
<td>• Although this training is focusing on the specific topic of sexual exploitation and abuse by UN personnel and partners, we need to be aware of the broader context of gender-based violence in which it occurs.</td>
</tr>
<tr>
<td><strong>Definition:</strong></td>
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<tr>
<td>• <em>(PP 1, Slide 1)</em> What is gender based violence? Do you need to have force to have violence? What about threats? Or economic coercion? Is age relevant?</td>
</tr>
<tr>
<td>• “Gender-based violence (GBV)” is defined as violence that is committed as a result of gender-based power imbalances. Because of their subordinate status, women and girls are the primary victims. GBV may be physical, sexual, psychological, economic or socio-cultural. <em>(PP 1, Slide 2)</em></td>
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</table>
• These concepts might not be new to you but we are going to go over them quickly as you need to be able to explain them to others. Why do we use the term “gender-based violence”? Because the term attempts to define the NATURE of the violence, and suggests that in order to address VIOLENCE, it is necessary to address issues of GENDER inequality that cause and contribute to the violence. (PP 1, Slide 3) By recognizing the centrality of gender, the language moves beyond describing simply the type of violence, into acknowledging its nature. The term recognizes that violence is an aspect of gender roles, power relationships, and particularly, the subordination of women and their related exploitation. In order to address violence one also needs to address issues of gender.

• Furthermore, by highlighting the issue of gender, the language speaks to the necessity of examining the societal and relational contexts in which violence occurs, and therefore begs the inclusion of men, women, boys, and girls. Though women suffer the majority of gender-based abuses around the world, in situations of conflict men may also suffer tremendously as a result of their gender role expectations. Examples might include: forces conscription into fighting forces; forced rape of friends and neighbors as part of initiation, forced drug use, etc. At this point, much of the research activities and programming addressing gender-based violence focuses on women—which is not entirely inappropriate since women bear the brunt of gender abuse. However, it is important to remember that men and boys can also be harmed through GBV.

Context:
• There is a well-documented global phenomenon that men in general have power and control over women and girls and often maintain this power through violence. This creates a cycle of oppression that causes, produces and reproduces violence against women and children. Violence and abuse perpetuate inequalities in interpersonal relationships and reinforce structures that enable violence against women and children to continue. This takes different forms across cultures but is perpetuated through structures that advantage men socially and economically compared to women and children. Women and girls are disempowered through unequal access to resources and decision-making.

• Victims of GBV usually have little recourse to justice, limited access to care and support and are often forced to adopt desperate forms of livelihoods for survival. While many may argue that consent is sometimes granted by victims, most victims are living in a context of vulnerability and scarce resources. They often have no choice; the only person with choice is the exploiter.
• It is important to realise that gender inequality is changeable. In order to address GBV - to truly address GBV - we need to address the power imbalance between women and men. The Power Walk exercise helped demonstrate the prevalence of these power imbalances in society.

Facts and statistics:
• Here are some telling statistics on gender inequality (PP 1, Slide 4):
  o Women are the majority of the world’s poor: 70% of people living in poverty (less than $1/day) are women.
  o Women are less likely than men to hold paid and regular jobs within the formal employment sector.
  o Women represent more than two-thirds of the world’s illiterate;
  o Women are almost entirely excluded from political power: they hold 15.6% of elected parliamentary seats globally.
  o Women own only 1% of the world’s land.

• Beneficiary communities often come from an environment where sexual and gender-based violence is common and community structures may collude to maintain this violence.

• Where women and children are displaced, do not have options to supplement their basic requirements and are also excluded from involvement in community decision-making or education, then it is very easy for situations to develop where they become extremely vulnerable to abuse and exploitation.

• The scope of the problem is enormous. It is worldwide. (PP 1, Slide 5) In peace and in war, women are battered and abused. Studies have shown that at least one in three women and/or girls have been beaten or sexually abused in their lifetime (UNFPA, 2000). This is just a snapshot of some examples of GBV occurring throughout the world. [Read out only some of the examples, including developed and developing countries.]

• It affects women throughout their entire lives. (PP 1, Slide 6) [Summarise some of the examples]:
  o Some researchers put the global number of “missing” females—those who should be living but are not because of discriminatory practices such as sex-selective abortions, female infanticide, and fatal neglect of girl children—at between 50 million and 100 million.
  o Of the over half-million human beings trafficked across borders each year, an estimated 80% are female and 50% are minors.
  o A projected 82 million girls around the world who are now between the ages of 10 and 17 will be married before their 18th birthdays. Complications from early pregnancy and child-bearing are the leading cause of death for 15-19 year olds worldwide.
  o Studies from the US, Europe, and Australia have concluded that
violence against women by their intimate partners poses among the greatest threat to women’s health and welfare. In Canada, the yearly economic cost of responding to violence against women is over 1 billion per year.

- The problem of GBV becomes particularly acute during conflict and displacement. Some of the war-related examples of GBV are especially daunting (PP 1, Slide 7):
  - An average of 40 women are raped every day in South Kivu in the context of ongoing armed conflict in the Democratic Republic of Congo.
  - By 1993, the Zenica Centre in Bosnia-Herzegovina had documented 40,000 cases of war-related rape.
  - Between August 1998 and August 1999, the height of the conflict with Serbia, an estimated 23,000-45,000 Kosovar Albanian women are believed to have been raped.
  - It is estimated that between 50,000 and 64,000 internally displaced women in Sierra Leone have experienced sexual violence at the hands of armed combatants.
  - It is estimated that between 250,000 and 500,000 women were raped during the 1994 genocide in Rwanda.

### Key messages

- GBV is a world-wide problem that has reached shocking proportions.
- Remember, sexual exploitation and abuse is a specific form of GBV (PP 1, Slide 8):
  - Anyone can commit sexual exploitation and abuse.
  - Those with more power are more likely to perpetrate; those with less power are vulnerable to becoming victims.
  - Humanitarian aid workers and peacekeepers virtually always have more power over those we are there to serve.
- The responsibility for maintaining proper relationships lies with those who have the power.

- **[If time, you can also facilitate a discussion about gender-based violence locally by asking]:**
  How much is known about the problem of gender based violence in [country]?

- Distribute the handout GBV: Facts, Statistics and Attitudes (HO 3) [and the local fact sheet on GBV if prepared and the PowerPoint presentation if desired].

### Consequences of sexual exploitation and abuse

**Aim:** To help participants to understand the range of consequences of sexual exploitation and abuse and the range of people affected. Whilst the victim suffers the most, the consequences can be quite far-reaching.
Set up 4 flipcharts at different points around the room but where everyone can see them. Ask for 4 volunteers to write on the flipcharts. Ask the participants to call out responses to: “What are the consequences of sexual exploitation and abuse?”

[Do not tell the participants that each flipchart represents a different person or group. These are: (1) the victim, (2) the community, (3) the perpetrator, and (4) the Organization. Know in your own mind which chart represents which person/group. When the participants call out a response, consider who suffers this consequence and ask the appropriate volunteer to write it on the relevant chart, e.g. “Sarah, that one is for you”. Sometimes the consequence will apply to more than one person/group, e.g. HIV/AIDS applies to both the victim and the perpetrator as a possible consequence; shame applies to both the victim and the Organization.]

When participants have finished calling out, the flipcharts might look similar to the following:

[For the victim]:
- physical harm
- pain, trauma
- psychological harm
- STDs; HIV/AIDS
- infertility
- stigmatisation
- loss of reputation
- shame, guilt
- fear, confusion, depression
- death, self harm
- rejection by spouse/family
- ostracised by the community
- loss of employment/income
- loss of access to education/opportunity or inability to attend school/work
- unwanted pregnancy, abortion
- breakdown of support structures

[For the community]:
- loss of trust
- unwanted children
- drain on resources
- breakdown of support structures

[For the perpetrator]:
- STDs, HIV/AIDS
- loss of employment/income
- loss of reputation
- shame
- rejection by spouse/family
- security risk
[For the Organization]:
- loss of trust from community
- loss of funding
- security risk
- loss of staff

[Note: sometimes participants will comment that one consequence is earning money or receiving a benefit. This should be acknowledged but the point of the exercise is to highlight the harm that is caused. In response to this, you could note that whilst in some instances some benefit might be received, usually it is extremely small, and at the same time serious harm is being caused which outweighs any benefit.]

Point to the flipchart that represents the victim and ask the participants to identify who it represents. Repeat some of the consequences if necessary, to get people thinking. Then go to the community, the perpetrator and the Organization. (The participants might have trouble with the latter two.)

### Key messages

**Explain:**

- This exercise demonstrates that there are a large number of consequences to sexual exploitation and abuse, many of which are serious and long-lasting. This is the reason that we must take this issue seriously – it is because harm is being caused.
- Our role is important not to monitor the behaviour of our colleagues but to protect vulnerable people from being harmed.
- Whilst the victim suffers the most consequences and must always be our first priority, we also need to remember that others bear the consequences of sexual exploitation and abuse, including the community and the Organization.
- Our work relies on the trust of the local community. When we breach this trust, we become less effective and reduce our capacity to help others. In some instances, this can even have an impact on our security.
- Although we are aware that the majority of staff and partners are not engaged in sexual exploitation and abuse, it does affect all of us and the work that we do. For this reason, and to help the victims, we must respond and report when sexual exploitation and abuse occurs.

### Tips for Facilitators

- Distribute the Power Walk characters in the order written above as even with a small group, this ensures a distribution of different types of characters.
- In addition to the handout on GBV statistics (HO 3), it is useful to distribute some statistics on GBV for [country] if these have been prepared.
### SESSION 3: THE RESPONSIBILITIES OF A FOCAL POINT AND THE NETWORK

**Objective**
- To encourage participants to recognize the role they can play in preventing and responding to sexual exploitation and abuse;
- To ensure participants fully understand their duties as laid out in the IASC TOR for Focal Points;
- To ensure participants can confidently and proactively undertake Focal Point duties; and
- To generate understanding about the purpose and how to establish a properly functioning in-country Network on sexual exploitation and abuse.

**Time**
60 minutes

**Materials**
- Laptop computer and screen for PowerPoint presentation (or flipchart)

**References**
- PD 3: IASC Terms of Reference for Focal Points
- PD 4: IASC Terms of Reference for In-Country Network

**PowerPoint**
- PP 2: The Focal Point Terms of Reference: Role and Responsibilities
- PP 3: In-Country Focal Point Network: Role and Responsibilities

### Timing: Information/Exercises:

**What are the responsibilities of a Focal Point?**

**Aim:** To briefly describe the IASC Terms of Reference for Focal Points and highlight the main responsibilities.

40 minutes

**Explain [using the PowerPoint if preferred]:**
The IASC has developed a number of tools to assist in implementing the SGB. These include Terms of Reference for Focal Points on sexual exploitation and abuse and Terms of Reference for the in-country network of Focal Points. Both documents are in the participant’s folders (PD 3 and PD 4).

- What are the responsibilities of a Focal Point and what does this mean? (PP 2, Slide 1)

The Terms of Reference, developed by the IASC, identify a few key areas (PP 2, Slide 2):
- Raising awareness
- Receiving complaints
- Participating in the Network.

and on all these issues:
- Working with senior management

Looking at each of these separately:
## Raising awareness covers (PP 2, Slide 3):

- Ensuring staff are aware of the SGB and the behaviour that is expected of them and that they know their reporting obligation;
- Ensuring partners are aware of the SGB;
- Telling communities about the standards binding on UN staff and how to report abuses; and
- Coordinating briefings and trainings.

In practical terms, in a typical office environment, this can mean:

- Working with the human resources section to make sure the SGB is included in induction package;
- Working with the human resources section to make sure the SGB is included in all local contracts;
- Arranging for all staff to watch the training video on sexual exploitation and abuse (this should be a facilitated session in line with the video training package);
- Asking senior management to brief staff on SEA, emphasising everyone’s reporting obligation;
- Putting up posters;
- Ensuring all staff attend training and refresher sessions;
- Raising the issue occasionally at staff meetings and asking senior management to do so;
- Addressing the culture of complacency and impunity: explain that responding quickly is vital to the success of a victim’s recovery; give feedback when disciplinary action is taken for acts of sexual exploitation and abuse; and
- Working with the network to develop a communication campaign.

## Receiving complaints involves (PP 2, Slide 4):

- Creating a conducive environment for receiving complaints;
- Ensuring confidentiality;
- Documenting all complaints, including “in the air” allegations;
- Reporting through the appropriate channels;
- Attending to the safety, health, psychosocial and legal needs of complainant: know what resources are available and how to refer him/her for assistance;
- Keeping all records and information safe and locked away;
- Liaising with complainant re follow-up to the complaint and any investigation; and
- Accompanying the complainant to the local authorities, if they wish.

Again, in practical terms, this can involve:

- Identifying a place where you can confidentially receive complaints;
- Liaising with other sections who work with women and children to be aware of potential complainants;
- Setting up a system that is accessible to as many people as possible; it may be beneficial to have a number of mechanisms for receiving
complaints (e.g. contact persons, complaints boxes, hotlines, dedicated email address, special open days for children to speak to staff, e.g. at health clinics);
- Knowing what services are available and setting up a system (with an implementing partner) for referring victims to receive appropriate assistance.

Participating in the in-country network involves (PP 2, Slide 5):
- Identifying actual/potential risk factors;
- Coordinating responses;
- Sharing and implementing best practice; and
- Preparing statistics and reports.

Practically speaking, this means:
- Making sure regular meetings take place;
- Developing recommendations for action; and
- Liaising with senior management on network activities.

Working with management:
The involvement of senior management is key to the success of efforts to eliminate sexual exploitation and abuse.
- Senior management have the main responsibility under the SGB;
- Your efforts are to support them in living up to their responsibility; they should encourage and support Focal Point activities, including amongst other staff;
- Bring issues to their attention and help create a sense of accountability for managers (they cannot say they were not informed);
- Make recommendations for prevention strategies; and
- Ensure additional Focal Points are appointed in field offices with a significant staff presence.

Sound like a lot?
Know that:
- The Focal Point does not have to do everything;
- The role is to make sure that systems are in place and the activities mentioned in the TOR are taking place; this can be achieved through coordinating with or involving other colleagues, sections, agencies, partners and experts; obtaining senior management decisions to set things up or tying in to existing programmes;
- Some activities and expectations are beyond the scope of the Focal Point’s duties and should never be undertaken by the Focal Point. E.g. as instinctive or tempting as it might be:
  - The Focal Point should never investigate a complaint;
  - The Focal Point should not engage in counselling complainants (unless they are formally trained to do so);
- Fulfilling the Focal Point role is largely about using common sense and drawing on available resources.
Remember: you were chosen for your ability to do the job and, despite the frustrations, you are helping.

Remember also that you have tools and support:
- The headquarters Focal Point is there to provide support and assistance;
- The IASC and ECPS/ECHA Task Forces have developed guidance; and
- The network is there to tackle issues as a team.

Who should be a Focal Point?
- It is important for the Focal Point to be accessible.
- Different people might be more skilled at different roles; someone might be a trusted listener, someone else might be a great organiser.
- Typical characteristics include someone who is open, trustworthy, responsible, friendly, sensitive to culture and genders, neutral and objective.
- Ignore the P4 requirement in the TORs: it is more important to have the right person doing the job, whether national or international staff. The main issue is that they have the capacity and willingness to follow-up on cases and work with management.
- The office should have at least two Focal Points, one of whom is a woman, but is not limited to this. It is possible to have the two Focal Points act as the main contact persons for receiving information and complaints and also to have a team of people involved in different aspects of making sure that all systems are in place. Large field offices should also have Focal Points.
- The selection of a Focal Point should be based on the individual and not linked to any particular job, although people will have certain expertise and capacity because of their experience and job (i.e. it is not automatic that the Protection Officer or the Protection Assistant or the GBV Focal Point become the Focal Point for sexual exploitation and abuse).
  - E.g. in one office the Administration Officer and the Programme Assistant might be appointed as Focal Points, with the former being easily able to make sure all staff and partners are made aware of the SGB and to liaise with headquarters to follow-up on particular allegations and the latter easily able to link in with implementing partners and other locally-based organizations to ensure proper victim assistance programmes are in place. In another office, the Protection Officer and the Information Assistant might be appointed Focal Points, with the former being easily able to identify and monitor areas of concern and liaise with partners to encourage reporting of abuses and the latter easily able to help develop a communication campaign to raise staff awareness and outreach to the community.
- Focal Points, when acting in this role, should not have to follow normal office hierarchy but should be able to meet directly with the Head of Office if necessary. They should also be able to have direct contact with
the Focal Point at headquarters in order to share information and seek support.

Always bear in mind the overall picture and purpose of the Focal Point system: it is about protecting the vulnerable and preventing harm. Everyone should be engaged in this effort; Focal Points help mobilise action and response. (PP 2, Slide 6)

**Part of a structure:**
Remember that Focal Points have a role within a given structure: the structure needs to work for Focal Points to be able to fulfil their responsibilities, i.e. when complaints are received, reporting mechanisms and investigative and disciplinary procedures need to be in place and a system established for assisting victims. There are many aspects to preventing and responding to sexual exploitation and abuse and some of these systems are still being developed or improved. However, the absence of clear systems is not an excuse for Focal Points not to take the best action they can, with the resources and systems available to them, to respond to the problem of sexual exploitation and abuse and to work with their headquarters Focal Points to see that systems are changed and strengthened.

As a Focal Point, you role is to be a champion in the cause to eliminate sexual exploitation and abuse.

Your role is to:
- Influence staff behaviour;
- Prevent abuses from occurring; and
- Speak for those who can’t speak for themselves.

### Key messages

Therefore: *PP 2, Slide 7 or write on flip chart*:
- Know the rules
- Tell people about them
- Report violations
- Follow-up complaints
- Work with partners
- Participate in in-country networks
- Talk to your managers
- Liaise with your headquarters Focal Point
- Be vigilant
- Listen to, support and empower survivors
- Be a role model
- Be a champion

### Focal Point Network: Role and Responsibilities

**Aim:** To briefly describe the IASC Terms of Reference for the In-Country Network of Focal Points and highlight the main responsibilities.
15 minutes Explain [using the PowerPoint presentation if preferred] (PP 3, Slide 1):

Establishing the network (PP 3, Slide 2):
- The Focal Point Network should be made up of representatives of all UN agencies with a presence in-country, any peacekeeping mission, the Red Cross/Red Crescent Movement and key NGOs.
- It functions under the auspices of the Resident Coordinator/Humanitarian Coordinator. (Where there is a peacekeeping mission, this person is often also the Deputy Special Representative of the Secretary-General and therefore also ensures the engagement of the mission at a senior level.)

The purpose of the network (PP 3, Slide 3):
- Many of the actions required to prevent and respond to sexual exploitation and abuse are best achieved collectively, rather than each agency developing and implementing its own policy as this can result in overlap and further confusion for the community (e.g. it is better to have a common communication campaign and a shared system for referring victims).
- The network is therefore the primary body for the coordination and oversight on prevention and response to sexual exploitation and abuse by UN personnel and partners in a given country.

The role of the network (PP 3, Slide 4):
The network is responsible for:
- Sharing information about potential risk factors and areas of concern;
- Developing and coordinating a common action plan for eliminating sexual exploitation and abuse;
- Discussing general “in the air” allegations and rumours and implementing appropriate responses, (e.g. increasing awareness in areas of concern, engaging senior management, discussing potential problems with local women’s organizations and similar groups and encouraging reporting);
- Developing a common communication campaign;
- Ensuring country-wide staff training is underway (whether collectively or by agency);
- Establishing a victim referral mechanism;
- Sharing best practice;
- Making recommendations to senior management; and
- Reporting on country-wide issues and statistics.

The network is not responsible for the following, as these remain the responsibility of individual agencies (PP 3, Slide 5):
- Dealing directly with complainants;
- Discussing the details of individual complaints;
- Investigating and following up on individual complaints; and
- Disciplining staff who are found to have committed sexual exploitation and abuse.
"In the air" allegations:
"In the air" allegations are allegations where no specific perpetrator is identified or no particular agency (e.g. there are rumours that UN personnel are sometimes seen picking up young girls at a particular bar or in a particular town). These allegations must be recorded and taken as seriously as more specific complaints concerning a particular individual. This is because these kinds of rumours are often the first inkling of a more serious problem and acting on them can help prevent further harm. Because the rumours do not attach to any particular organization, it is appropriate for the network to deal with them and develop an appropriate collective response.

Maintaining the network:
- The network should meet regularly, at least every two months.
- The chair of the network does not have to be held by a particular organization but should be held by individuals with strong organising or chairing skills.
- Tip: It is helpful for the network to have two co-chairs, in order to share the burden, bring different resources to managing the network and ensure continuity when one chair leaves.

Key messages
- (PP 3, Slide 6) Like the Focal Points, the network does not itself have to undertake to do everything that is required but should make sure that the right mechanisms are in place. (E.g. it can engage information officers to help with the development of an appropriate communication campaign, both for staff and the community; it can allocate certain responsibilities to the lead of a particular agency etc.).
- Most importantly, the network should be creative – only the standards are non-negotiable.

Brainstorm:
Ask participants to raise any issues or concerns they have about being a Focal Point or maintaining the network in [country] and brainstorm with the group on how these might be addressed. If necessary, these can be further discussed during the session on the Plan of Action.

Confidentiality Exercise
Aim: to highlight for participants the importance of carefully preserving confidentiality as Focal Points.

5 minutes Ask participants to think of an occasion when they broke a confidence. Ask them to recall why they broke the confidence and what were the consequences. After a couple of minutes, ask two or three volunteers to share why they broke the confidence and the consequences (they should not share the details of the confidence just they why they broke it and the consequences).
Now ask participants to think of an occasion when someone they trusted broke their confidence. Ask them to recall how they felt, if they understood why the confidence was broken and what where the consequences? Ask two or three volunteers to share their feelings and the consequences (or ask the group in general to call out emotions and consequences).

<table>
<thead>
<tr>
<th>Key messages</th>
<th>Confidentiality and taking extra measures to preserve confidentiality will be a recurring theme throughout the training. The aim of this exercise is to remind us to anchor the principles that we will be discussing in real life – we follow them not just because they are part of procedures but because they have real value to each and every one of us and because there are real consequences when we fail to respect them.</th>
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<tr>
<th>Tips for Facilitators</th>
<th>• If time, engaging participants at different points in the presentation helps reduces its density, e.g. first ask participants for their thoughts or ideas on different elements and add any remaining points, e.g. What could you do to raise awareness? Work with senior management? Who should be a Focal Point?</th>
</tr>
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</table>

| Alternatives | • If there is no time to brainstorm about issues or concerns regarding being the Focal Point or maintaining the network, briefly ask participants to consider any issues or concerns they might have and note them down so that they can be addressed during the session on the Plan of Action. |
### DAY 2

#### RECAP EXERCISE

| **Objective** | • To help participants think over some of the issues from Day 1; and  
|               | • To act as a warm-up exercise and focus participants as a group. |
| **Time**      | 10 minutes |
| **Materials** | Ball |
| **Instructions** | Ask participants to stand in a circle with the facilitators. Explain that you will throw the ball to one of the participants who should answer the following question and then throw the ball to another participant to answer the same question and then keep going until everyone has had a turn:  
|               | o What do you think might be interesting or challenging about being a Focal Point? |
|               | [Each person should only receive the ball once. The last person to receive the ball is the facilitator of the exercise.] |

#### SESSION 4: THE SECRETARY-GENERAL’S BULLETIN – DEFINITIONS AND STANDARDS OF CONDUCT

| **Objective** | • To ensure that participants are fully aware of the SGB definitions and expected standards of behaviour for UN personnel and partners;  
|               | • To provide insight on the variety of ways incidents of sexual exploitation and abuse may present;  
|               | • To provide participants with an opportunity to apply the SGB standards in practice; and  
|               | • To improve participants’ ability to explain the SGB and expected standards of behaviour to others. |
| **Time**      | 150 minutes  
|               | (See “Tips” below re timing) |
| **Materials** | • Laptop computer and screen for PowerPoint  
|               | • Flipchart and marker pens  
|               | • Space for participants to work in small groups |
| **References** | PD 1: Secretary-General’s Bulletin on *Special measures for protection from sexual exploitation and sexual abuse* (ST/SGB/2003/13)  
|               | PD 10: Zeid Report (A/59/710) |
| **Handouts**  | HO 4: IASC Scenarios (blank)  
|               | HO 5: IASC Scenarios (completed)  
<p>|               | HO 6: Agree/Disagree Statements |
| <strong>PowerPoint</strong> | PP 4: Protecting from Sexual Exploitation and Abuse: The Secretary-General’s Bulletin on <em>Special measures for protection from sexual exploitation and sexual abuse</em> (ST/SGB/2003/13) |</p>
<table>
<thead>
<tr>
<th>Timing</th>
<th>Information/Exercises</th>
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</thead>
<tbody>
<tr>
<td><strong>IASC Scenarios</strong></td>
<td>Aim: To improve participants’ ability to apply the SGB in practical contexts.</td>
</tr>
</tbody>
</table>
| 40 minutes        | Divide the participants into small working groups and distribute the IASC Scenarios (blank) (HO 4). Nominate 2 or 3 of the scenarios for each group to consider and determine whether they think the scenario described constitutes misconduct and if so why.  
[Make sure each of the scenarios is allocated to at least one of the groups. There will be some overlap. If some groups finish before others, direct them to consider additional scenarios (especially scenario 7.).]  
When all groups are finished or time is up, ask for feedback on each scenario.  
[If more than one group dealt with the same scenario, the additional groups should be asked only if they have anything to add to the first answer. For each case study, record the relevant sections of the SGB on a flipchart.]  
Thank the groups for their work and explain that the scenarios and their answers will be reviewed in the next session, with time for questions after that. |
| **Review of the SGB** | Aim: To provide participants with a detailed understanding of the SGB and allow an opportunity for questions.                                                                                                                                                                                                                                           |
| 70 minutes        | [This presentation should be made with the accompanying PowerPoint presentation (PP 4). If that is not possible, the definitions of “sexual exploitation” and “sexual abuse” should be written on flipcharts in advance, with the different elements highlighted with a coloured marker pen at the appropriate places in the presentation. The presentation is also designed to explain why the IASC Scenarios (see HO 5) constitute misconduct.]  
**Explain (PP 4, Slide 1):**  
This presentation will cover the SGB in detail. Refer participants to the copy of the SGB in their folders (PD 1). Even those of you who have read the SGB and are familiar with the SGB might discover a new way of considering it and explaining it to others.  
**The crux:**  
The crux of the SGB is the two definitions. They are the key to the SGB and to determining what behaviour constitutes sexual exploitation and abuse. If you complete this training knowing nothing else, leave with a full understanding of the two definitions. |
Background:
When reports of sexual exploitation and abuse by humanitarian workers emerged from West Africa in 2002, the IASC developed the two definitions and some key standards of behaviour for each IASC member to include in their own code of conduct. The definitions draw on the ICTR definition of rape from the Akayesu case and the Palermo Protocol definition of trafficking in persons. The SGB is the UN’s fulfilment of the commitment it made to the IASC to include the definitions and standards in a code of conduct. Other IASC members abide by the same standards and for ease, often also refer to the SGB.

Scope – Who is covered by the SGB? (PP 4, Slide 2)
- UN staff: The SGB applies to all UN staff, including staff from agencies, funds and programmes (s2.1).
- Related personnel: Initially, the SGB did not formally apply to uniformed personnel although it refers to another Bulletin prohibiting UN forces from committing acts of sexual exploitation and abuse (s2.2). In April 2005, the UN Special Committee on Peacekeeping Operations agreed with the proposal in the report of the SG’s Special Adviser on Sexual Exploitation and Abuse (the “Zeid report,” see PD 10) that the terms of the SGB should be binding on all UN personnel, that there should be one standard for one UN. On 22 June 2005, the GA endorsed this recommendation and since then, the SGB applies to all uniformed personnel serving with the UN, including civilian police and military observers.
- Partners: When the UN enters into a contract with a non-UN entity, that entity must also agree to apply the SGB standards as part of the terms of the contract (s6.1). The SGB should therefore apply to all partners, including NGOs, consultants, contractors, day labourers, interns, JPOs, UNVs etc. The scope of the SGB is therefore very broad and sets out a common standard for everyone working in some way with the UN. (In the Scenarios, the SGB therefore also applies to Carlos, Darlene, Stanislas and Sven.)

[A note on the Zeid report: this was a groundbreaking report in addressing the problem of sexual exploitation and abuse in peacekeeping operations and is well worth reading for its recommendations on preventative strategies. A copy is in the participants’ folders (PD 10) and on the OCHA website.]

What is sexual exploitation and sexual abuse? (PP 4, Slide 3)
The SGB notes that sexual exploitation and abuse have always been unacceptable behaviour and prohibited conduct under the Staff Regulations and Rules. (s3.1). Its purpose is elaborate what is meant by sexual exploitation and abuse and to set out some clear standards.

The definitions: Section 1 states that (PP 4, Slide 4) -
“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.”

Going through this definition:

- see that it refers to any “actual or attempted” abuse (PP 4, Slide 5). This means it is not necessary for a sexual act to have occurred, it is sufficient if an attempt or a proposition is made. (In the Scenarios, Joey’s conduct constitutes sexual exploitation because he asked the girl for sex, even though it is not clear if sex occurred.)
- “abuse” is a key word in the definition (PP 4, Slide 6)
- of a “position” of “vulnerability”, a position of “differential power”, or a position of “trust”. (PP 4, Slide 7). An abuse of any of these three elements can lead to sexual exploitation. Note that the definition is not simply describing someone being in a position of vulnerability or differential power or trust and having sex but is covering the situation when that position is ABUSED.
- “for sexual purposes” (PP 4, Slide 8)

In short, this is the definition. Any act that falls within these terms constitutes sexual exploitation. But the definition provides further elaboration by saying:

- “including, but not limited to” – so this is an addition…
- “profiting” “monetarily” or profiting “socially” or profiting “politically” (PP 4, Slide 9)
- from the sexual exploitation of another.

This means that even if someone is not directly involved in the sexual act (or the attempted sexual act) but profits from it in one of these 3 ways, then his/her conduct also constitutes sexual exploitation. (In the Scenarios, this means that the behaviour of Darlene and Stanislas constitutes misconduct even if they are not personally involved in the prostitution at the bar because they are profiting monetarily from this activity.)

Section 1 also states that (PP 4, Slide 10)-

“sexual abuse” means the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions”.

Going through this definition:

- again see that it refers to “actual or threatened” (PP 4, Slide 11). This means it is not necessary for a sexual act to have occurred, it is sufficient if it has been threatened or an attempt has been made;
- “physical intrusion” – the definition requires some kind of physical element (PP 4, Slide 12);
- “of a sexual nature”
- whether by “force”, or whether under “unequal conditions” or whether under “coercive conditions” (PP 4, Slide 13) – the definition covers any one of these 3 circumstances. This means it does not have to be
a situation of force; sexual abuse can also occur where there is psychological coercion or there are simply unequal conditions, which again highlights the notion of power and vulnerability.

This is the essence of the SGB (PP 4, Slide 14). Any acts that fall within these definitions constitute misconduct and are prohibited. They are prohibited under the UN Staff Regulations and Rules, as noted in s3.1, and again expressly in s3.2(a) which states that sexual exploitation and abuse “constitute acts of serious misconduct and are therefore grounds for disciplinary measures, including summary dismissal”.

Specific standards (PP 4, Slide 15):
The definitions are the key reference point. Section 3 then goes on to elaborate specific standards, to spell out particular behaviours that constitute sexual exploitation and abuse and are therefore prohibited.

Children:
The first of these is in s3.2(b) which states that sexual activity with children is prohibited. “Children” are defined as persons under the age of 18. The provision specifically states that “mistaken belief in the age of the child is not an offence”. It therefore doesn’t matter what a staff member thought was the child’s age or what the child told the staff member, sexual activity with children is prohibited.

Exchange:
The next standard is in s3.2(c) which states that the “exchange of money, employment, goods or services for sex… is prohibited”. This covers prostitution. Under the SGB, engaging the services of a prostitute is prohibited. It doesn’t matter if prostitution is legal in the country where the sex takes place or is legal in the staff member’s own country, it is absolutely prohibited for UN staff, related personnel and partners to use the services of prostitutes. It is also prohibited to offer someone a job in exchange for sex, to offer someone additional assistance for sex, or to exchange any kind of money, goods or services for sex, including sexual favours or other forms of humiliating, degrading or exploitative behaviour. Asking beneficiaries for sex in exchange for the assistance that is due to them is a clear breach of this provision and is specifically mentioned as an example. (It is also an abuse of UN property and further grounds for disciplinary procedures.)

A further comment on prostitution: many people have commented that adult women may freely choose to offer sex in exchange for money and in fact receive some benefit from prostitution. The lack of economic options for women in vulnerable circumstances may result in prostitution and exploitative sex being one of the few avenues they have for obtaining money to meet basic needs. The vast majority of women in prostitution don’t want to be there and most are desperate to leave it. It is not a lifestyle or career choice. It comes from a lack of choice. Recall the opening exercise when people talked about what they wanted to be when they grew up … noone mentioned being a prostitute. Also recall that it is well
documented that in many countries, when a peacekeeping mission is established the level of prostitution increases dramatically, often with women who have been trafficked. We create the demand and are part of the problem. And it is a serious problem. Few activities are as brutal and damaging to people as prostitution. Field research in nine countries concluded that 60-75% of women in prostitution were raped, 70-95% were physically assaulted, and 68% met the criteria for post-traumatic stress disorder in the same range as treatment-seeking combat veterans and victims of state-organized torture.


Relationships with beneficiaries:
Section 3.2(d) states that “sexual relationships between UN staff and beneficiaries of assistance… are strongly discouraged”. Who is a beneficiary of assistance means different things to different agencies and departments. For peacekeeping missions, who are mandated to provide peace and security, the entire population in a given country are “beneficiaries of assistance”. For other agencies and organizations, it is defined more narrowly and may only include the persons in a particular refugee or IDP camp, or the people on a certain distribution list. In fact, it doesn’t really matter. The purpose of the SGB is to protect people from sexual exploitation and abuse. All acts of sexual exploitation and abuse are prohibited, whether they are with a beneficiary of assistance or someone else.

The purpose of this provision is to highlight that sexual relationships between UN staff and beneficiaries of assistance (however small or large the group) are generally based on inherently unequal power dynamics. Where there is an unequal power dynamic, there is a strong potential for abuse. The SGB is requiring UN personnel to show good judgment, to think about their actions and the consequences of their actions. Because of the unequal power dynamic in sexual relationships between UN staff and beneficiaries of assistance, because of the risk of abuse, they are strongly discouraged.

They are also discouraged because they can undermine the credibility and integrity of the UN’s work. In thinking of the consequences, we also need to think of the Organization and our fellow workers. However, if a sexual relationship is exploitative or abusive, as defined in the SGB, there is no discretion and no question of judgment: it is absolutely prohibited.

Not exhaustive:
Section 3.3 notes that these standards “are not intended to be an exhaustive list”; that “other types of sexually exploitative or sexually abusive behaviour may be grounds for administrative action or disciplinary measures”. This means that we should always turn to the definitions to
clarify what behaviour constitutes misconduct.

Focus on staff behaviour (PP 4, Slide 16):

Here it is worthwhile noting what is not included in the definitions:

(a) Consent. “Consent” is not mentioned in the definitions and is irrelevant. It does not matter if someone agrees to have sex (even if they are an adult). If the behaviour falls within the definitions and standards outlined in the SGB, it is prohibited.

(b) Reference to the person who is sexually exploited or abused. The SGB is setting standards of behaviour for UN personnel and partners. The focus is on staff behaviour and ensuring that we uphold the highest standards of integrity. The purpose of the SGB is not to prevent sexual relationships; it is to prevent exploitation and abuse. If a UN staff member engages in an act of sexual exploitation or sexual abuse as defined in the SGB, whether it is with a beneficiary of assistance, someone else from the local community or even another staff member, it constitutes misconduct and is grounds for summary dismissal.

However, the main focus of the SGB is to further protect the most vulnerable populations, especially women and children (see s3.2). Therefore, even though anyone can be a victim of an act of sexual exploitation or abuse, our main focus is to protect those members of the community who most need our care and assistance. Why? Because they are the people we are mandated to serve.

Note that the SGB applies to UN personnel and partners at all times. It is a condition of employment and applies throughout the entire period that someone is under contract with the UN. This means the standards apply during and outside “office hours” and during leave or mission breaks. They apply globally and not just at a particular duty station.

Reporting obligation (PP 4, Slide 17):

Section 3.2(e) requires any UN staff member who “develops concerns or suspicions regarding sexual exploitation and abuse by a fellow worker… [to] report such concerns via established reporting mechanisms”. This is an obligation on all UN personnel and partners and it applies to all UN personnel and partners. This means the reporting obligation applies even if the alleged perpetrator is from another agency or from one of the UN’s partner organizations or is a member of uniformed personnel.

The reporting obligation exists so that sexual exploitation and abuse can be prevented and harm can be stopped. It is not about playing Big Brother, but about protecting the vulnerable. It has been widely demonstrated that if sexual exploitation and abuse is stopped quickly, the victim has a stronger chance of making a complete recovery. If sexual exploitation and abuse is allowed to continue, there is a greater chance of life-long damage being caused.
Note that the obligation is to report “concerns or suspicions”. It is not necessary to be sure or to have proof before reporting a concern. Like Focal Points, staff members should not take it upon themselves to investigate allegations. However, all concerns or suspicions must be reported in good faith. Making a bad faith allegation is itself subject to disciplinary procedures.

Most importantly, the report should be made via established reporting mechanisms. The reporting obligation is not an excuse to spread rumours. Confidentiality is one of the key aspects to making and receiving a complaint about sexual exploitation and abuse, both to protect the alleged victim and the alleged perpetrator, who also has a right to due process.

Note that it is not necessary for Focal Points or staff members to distinguish whether a particular act constitutes sexual exploitation or sexual abuse. Many acts may constitute both. Similarly, some acts may breach more than one of the standards, such as a sexually exploitative relationship in exchange for money with someone under the age of 18. There is no hierarchy between the provisions. Most important is that if a staff member develops concerns or suspicions of any kind regarding sexual exploitation and abuse, he/she must report it through the appropriate channels. It will then be up to the investigation process and the human resources section to determine what has occurred and the appropriate action to be taken.

Maintaining an environment:
Section 3.2(f) requires staff to “create and maintain an environment that prevents sexual exploitation and sexual abuse” and places a particular responsibility on managers “to support and develop systems that maintain this environment.” This creates an obligation on all UN personnel and partners to be proactive. Other sections in the SGB detail some of the ways in which managers must fulfill this obligation, including providing staff with copies of the SGB and informing them of its contents (s4.1), taking appropriate action when there is reason to believe that sexual exploitation and abuse has occurred (s4.2), appointing focal points and advising the local population how to contact them (s.4.3), handling reports of sexual exploitation and abuse confidentially (s4.3), and keeping the Department of Management informed on actions that have been taken (s4.6). Again, this list is not exhaustive. The efforts required will depend on circumstances and on the development of further policy and practice for combating sexual exploitation and abuse.

The involvement of managers is extremely important to the success of addressing the problem and more work is being done on how to hold managers specifically accountable for implementing the SGB. There are already examples in peacekeeping contexts of commanders being sent home for having failed to prevent their troops from engaging in sexual exploitation and abuse when they could have taken steps to address the problem.
Limited managerial discretion:
Section 4.5 gives senior managers some discretion, in very limited circumstances, when applying the standard in s3.2(d) that strongly discourages relationships with beneficiaries of assistance. Remember that relationships with beneficiaries are not prohibited per se but are strongly discouraged because of the inherently unequal power dynamic and the risk for exploitation and abuse that this creates. When the standards were being drafted, there was much debate over whether all relationships with beneficiaries should be prohibited. However, we are all aware of colleagues who have formed non-exploitative and non-abusive relationships with beneficiaries in some contexts and many marriages have resulted from these relationships. A blanket prohibition was seen as casting judgment on these relationships when the aim is not to prevent relationships but to prevent sexual exploitation and abuse. S4.5 is a further acknowledgement that there may be circumstances when it is not necessary for managers to take action when a staff member engages in a sexual relationship with a beneficiary of assistance. However, the section stresses that in all such cases, the beneficiary must be over 18. And clearly, the relationship cannot be sexually exploitative or sexually abusive as this remains absolutely prohibited.

Marriages:
Section 4.4 creates an extremely limited exception to the prohibition on sex with children and applies when a staff member is legally married to someone under the age of 18 but over the age of consent in their country of citizenship. This section was very hotly debated during the drafting process. It was included as an acknowledgement that in some cultures, marriages occur with people below the age of 18 and that the Secretary-General could not issue a document that prohibited sex within a marriage. This section is very strictly interpreted. It only applies where there is a legal marriage in accordance with the laws of the staff member’s country of citizenship and it only applies when that marriage has actually occurred. It does not allow sexual relationships with persons under the age of 18 with a view to marriage or when a marriage has been promised and cannot be used as an excuse in this way.

Administrative and legal standards:
Remember that the SGB is an administrative document and creates an administrative standard and not a legal standard. It forms part of the conditions of employment that all persons working with the UN must respect. There can be many labels for the one act. In some cases, acts that breach the standards of the SGB may also constitute crimes in the countries where they occur, such as rape or sexual assault. Many countries also have extraterritorial jurisdiction for sex crimes committed by their nationals abroad. Section 5 acknowledges this and states that allegations of acts which might also constitute crimes may be referred to the appropriate national authorities. This should only be done with the consent of the alleged victim. (For example, the case of Sven might constitute rape and could, if Amanna gives consent, be referred to the national authorities where
the act occurred or in Sven’s own country if there is a relevant extraterritorial jurisdiction.)

UN personnel are obliged to comply with local laws. Where the SGB establishes a stricter standard than local laws, the standards of the SGB will prevail. “Respect” for culture should never be used as an excuse for ignoring abuses of women and children.

Sexual harassment (PP 4, Slide 18):
Some acts that constitute sexual exploitation and abuse might also constitute sexual harassment. “Sexual harassment” is defined in another Administrative Instruction (ST/AI/379 of October 1992) as “any unwelcome sexual advance, request for sexual favours or other verbal or physical conduct of a sexual nature, when it interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment”.

Sexual harassment has a connection to the workplace and there are some slightly different procedures for following up on such cases. The decision on how to respond to allegations of sexual exploitation and abuse, just like allegations of sexual harassment, are ultimately made by the human resources section or equivalent and senior management. Therefore, as Focal Points or as staff members, it is not necessary to worry about trying to determine into which category a particular act falls. Sexual exploitation, sexual abuse and sexual harassment are all wrong and should all be reported. If you mistakenly report an act of sexual harassment as an act of sexual exploitation and abuse, it is not a problem: the human resources section will sort this out and ensure the appropriate follow-up. There is only a problem if you don’t report.

Protecting the community (PP 4, Slide 19):
Whilst sexual exploitation and abuse can also occur in the office, most reports originate from the local community. It is here that we need to focus our efforts to combat this problem as this is the very same population that we are mandated to serve and protect. Our role is to prevent further suffering and we must report any concerns about sexual exploitation and abuse to stop further harm from being caused.

The scenarios:
Coming back to the scenarios, each case constituted an act of sexual exploitation and abuse as defined in s1 of the SGB and therefore breached s3.2(a). Each person also failed in their obligation under s3.2(f) to create and maintain an environment that prevents sexual exploitation and abuse. In each case other specific standards were breached and you will find the answers in the handout of the completed IASC Scenarios (Distribute HO 5 for participants to include in their folders). You will note that although this training is only focused on sexual exploitation and abuse, the scenarios provide additional examples of misconduct that can lead to disciplinary procedures, such as misuse of UN property and having unauthorised
<table>
<thead>
<tr>
<th>Key messages</th>
<th>When in doubt, always remember the key to the SGB is the definitions and have a full understanding of these.</th>
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<tbody>
<tr>
<td>Questions and answers</td>
<td><strong>Aim:</strong> To give participants an opportunity to raise questions and discuss experiences in dealing with allegations of sexual exploitation and abuse.</td>
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| **30 minutes** | **[By this stage of the training, participants usually have a large number of questions regarding the SGB and its application. Consult the Frequently Asked Questions for further guidance on how to answer these. If you are not sure of an answer, state that and offer to come back with one after consulting with headquarters.]**  
Encourage participants to ask questions.  
When a number of questions have been raised, ask participants if there are any local customs that are considered acceptable or tolerable that might constitute sexual exploitation and abuse.  
[Seek examples.] Explain that this is not about judging the customs but being aware that UN personnel and partners should not engage in sexually exploitative or abusive behaviour even if it is tolerated by the community.  
Comment that sometimes people use cultural practice as an excuse for accepting or engaging in certain prohibited behaviour, often without really being aware of the culture. The power of ignorance and misunderstanding about what certain religious or ethnic groups believe can often contribute to the failure to protect women and children. As does fear of racism. Even from within a given culture there can be different opinions about what is acceptable. As UN personnel and partners, our guide must always be the SGB.  
Comment also that sometimes people behave very differently in another country than they would in their own country. They do things when they are away that they would never consider doing when they are at home – as though they have an increased sense of impunity (and where family and friends aren’t watching). When we are working with vulnerable populations, we need to hold ourselves to a higher and not a lower standard. |
| **Tips for Facilitators** | • The timing of this session is important. The explanation of the SGB also acts as feedback and debriefing for the scenarios exercise, therefore they must be held consecutively on the same day. If there is some time to begin the topic but not enough to run the entire session, facilitators can use the Agree/Disagree exercise as an introductory exercise (see alternatives). |
- Some participants may be familiar with the IASC Scenarios. Remind everyone that even if they are familiar with the exercise, they may wish to pay attention to a new way of presenting it to others. If the group seems very knowledgeable, time for the scenarios can be cut short and more time devoted to the review of the SGB and questions.

<table>
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<tr>
<th>Alternatives</th>
<th>Agree/Disagree Exercise</th>
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<tr>
<td>Divide the participants into small working groups of 4/5 people. Distribute the Agree/Disagree Statements (HO 6) and ask each group to consider whether they agree or disagree with the statement. This is about their own personal opinions and not the Organization’s rules and regulations. Each group should see on how many items they have consensus.</td>
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The aim of this exercise is to demonstrate that people may hold strong personal opinions on this issue which may differ from others. It also allows participants to examine their own beliefs about behaviour that may constitute sexual exploitation and abuse. The key message is that whilst we must respect one another’s opinions, our personal morals or views are irrelevant. We need to differentiate between subjective personal values and the Organizational values. We are all bound by the SGB as the Organization’s code of conduct: the standards are non-negotiable.
**SESSION 5: REPORTING SYSTEMS, INVESTIGATIONS AND DISCIPLINARY PROCEEDINGS**

<table>
<thead>
<tr>
<th>Objective</th>
<th>To inform participants about the administrative and technical side of reporting complaints and to provide a basic understanding of the investigation and disciplinary process.</th>
</tr>
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<tbody>
<tr>
<td>Time</td>
<td>75 minutes</td>
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<tr>
<td>Handouts</td>
<td>HO 7: Draft OCHA Reporting System</td>
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<tr>
<th>Timing:</th>
<th>Information/Exercises:</th>
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<tr>
<td></td>
<td><strong>Introduction to reporting systems</strong></td>
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<td></td>
<td>Aim: To encourage participants to identify the reporting system for their Organization and to think about the best methodology in their office for reporting complaints.</td>
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| 45 minutes | The need for reporting systems:  
Why is it important to establish and implement an appropriate reporting mechanism for allegations of sexual exploitation and abuse?  
*[If time, briefly seek the group’s thoughts on this before mentioning some of the following.]* |
|         | A formally established confidential reporting mechanism ensures that:  
- The system is transparent and known to all;  
- There is a consistency of approach;  
- Staff will know what to do if they observe or hear of inappropriate behaviour on the part of others. This removes the anxiety that arises in trying to decide what is best. There is only one answer and that is to report;  
- Beneficiaries, particularly women and children are protected;  
- Staff and partners are protected (a clear reporting and investigative process can also help protect against false allegations);  
- The Organization’s reputation can be upheld. This will assist in the longevity of programs and organizational funding; and  
- The Organization makes clear its commitment to protecting the rights of women and children thereby minimizing sexual exploitation and abuse in the community. |
|         | All UN personnel and partners are required to voice their concerns regarding allegations of sexual exploitation and abuse. Therefore, all organizations must act responsibly when those concerns are received. A clear and confidential reporting system enables staff to voice concerns at the earliest opportunity and the organization to address issues before they worsen and avert potentially larger problems in the future. Implementing such a system can also help deter potential abusers as it eliminates the |
culture of complacency and impunity.

**Explain:**
- The purpose of this session is more to discuss possibilities than existing reporting systems as *(as at December 2006)* this is an area where more work remains to be done.
- The SGB requires all allegations to be reported via “established reporting mechanisms”.
- Each agency is responsible for establishing its own system for reporting allegations of sexual exploitation and abuse, however very few have specific systems in place.
- Focal Points should contact their own headquarters to determine if a specific system has been established or what channel they are expected to use when reporting allegations.
- If nothing is in place, Focal Points might wish to work with their headquarters Focal Point to propose an appropriate system, based on the following guidelines.

**General principles:**
- In general, all reports of sexual exploitation and abuse end up with an organization’s human resources section or equivalent, and possibly also the senior management, because it is this section that makes decisions regarding any investigative follow-up and any consequent disciplinary action. For the UN Secretariat, even when the allegation is reported to OIOS for further action, the human resources section or executive office of the relevant department is still likely to follow progress regarding the case and will be making decisions or implementing decisions based on the OIOS report, OHRM recommendations or decisions of the Secretary-General.
- The guiding principle when reporting an allegation is to preserve confidentiality to the extent possible. It is never possible to promise absolute confidentiality to a complainant because of the requirement to report the allegation through the established channels so that it may be dealt with appropriately.
- Confidentiality is best preserved by having as few people as possible involved in dealing with the allegation.
- For this reason, the ideal is to channel the complaint to the executive office or human resources section as directly as possible.
- In the field, where it is often challenging to preserve confidentiality, reporting should be limited to the Head of Office and the RC/HC. This does not mean it is compulsory to report to the Head of Office or RC/HC and it should be possible, and sometimes will be necessary, for Focal Points to report directly to headquarters.
- In all cases, the normal reporting hierarchy for an office should not apply because of the sensitive nature of the information. Focal Points, when acting in this role, should be able to access the Head of Office or report directly to headquarters with no questions asked. They do not have to first report to the person who supervises their regular duties.
- It is also possible for Focal Points to report to the headquarters Focal Point if this is more convenient or comfortable but again, this is not necessary or compulsory.

**Focal Point as channel:**
- Remember: The Focal Point is the channel for allegations on sexual exploitation and abuse reaching the appropriate office at headquarters. The Focal Point is a channel only; not an investigator or a decision-maker regarding the allegation.
- Nor is it the role of the Focal Point to assess the veracity of any allegation. The human resources section will determine the response to all reports made in good faith. (Reports made in bad faith by any staff member may result in disciplinary consequences for that staff member.)
- Remember that all staff have a reporting obligation and all staff should be open to receiving and reporting complaints, including directly to headquarters. The role of Focal Point is to increase access and the possibilities for receiving complaints, not to limit them. If other staff members choose to report allegations directly to the appropriate section at headquarters, without first going through the field-based Focal Point, this is perfectly acceptable.

**Cross-agency reporting:**
- Sometimes Focal Points (or other staff members) will receive allegations regarding someone from another organization. Again, the chief principle is confidentiality (both for the sake of the complainant and the alleged perpetrator) and the ideal remains to have as few people as possible involved in following-up.
- The aim is for the allegation to reach the appropriate section of the relevant organization as quickly and as confidentially as possible. In most cases, this is best achieved by reporting directly to your own headquarters and asking them to pass the information to the headquarters of the relevant organization. Alternatively, you can pass the information to the field-based Focal Point or Head of Office of the relevant organization if appropriate.

**Local authorities:**
- In some instances, the alleged act of sexual exploitation and abuse might also constitute a crime. In such cases, the Focal Point should ask the complainant if they would like assistance in reporting the allegation to the appropriate local authorities. Complainants should not be pressured into doing so but assisted if they so wish. The role of the Focal Point is not to represent the complainant with the local authorities but to help the complainant access the local authorities.

**Formalising a system:**
- The ECPS/ECHA Task Force is currently developing guidelines for appropriate reporting systems. In the meantime, OCHA has drafted a reporting proposal, which although not yet formally adopted, provides
some useful guidance and contains elements that you might wish to adopt in your own office or organization if nothing is yet in place.

- In practical terms, it is a good idea for Focal Points to consider how they will channel reports in their own organization. Consider in advance to whom and how you will report allegations. Consider how information is generally transmitted in your office before establishing a reporting mechanism for allegations of sexual exploitation and abuse, as it might be necessary to circumvent normal procedures.
  - E.g. If the Personal Assistant to the Head of Office usually opens and reads all his/her mail, the Focal Point will need to make a special arrangement for sharing written reports with the Head of Office directly or agree to inform the Head of Office orally of any allegations and to send written reports only to headquarters.
  - E.g. If an office only has a shared email system which anyone can access, a different system will need to be used for sharing allegations with headquarters.

- Once an appropriate reporting channel is identified, discuss your recommendation with your Head of Office or headquarters Focal Point or human resources section. It might be helpful to write a short memo (two or three lines) about the reporting system that you are going to adopt in your office so that when you are passing on a complaint, everyone understands (and has agreed in advance) why you are not using the regular reporting channel.
  - E.g. “The Focal Point will confidentially record all allegations and share them by secure email or secure fax directly with the human resources section at headquarters within 24 hours of receiving the allegation. The Focal Point is not required to share the information with the Head of Office before contacting headquarters but will notify the Head of Office as soon as possible that an allegation has been forwarded.”

- This will also help protect the Focal Point from any pressure to share sensitive information with other people when they receive an actual allegation.

Managerial responsibility:

- Remember also that under the SGB, managers have a particular responsibility to support and maintain environments that prevent sexual exploitation and abuse. Creating and supporting systems that give people confidence that their complaints will be taken seriously and addressed appropriately is an important element of this and managers should be reminded of this.

Protecting information:

- All information regarding allegations of sexual exploitation and abuse should be kept in a secure location, such as a locked filing cabinet, to which only the Focal Points have access. It is also useful for Focal Points to keep regular statistics of allegations made and follow-up, bearing in mind the RC/HC has an obligation to share statistics quarterly.
with the ERC. This is also an important aspect of managerial accountability.

**Key messages**

- As Focal Points, it is important to identify if your organization has established a reporting mechanism for allegations of sexual exploitation and abuse.
- If not, consider what might be an appropriate system in the circumstances of your office and discuss this with your headquarters Focal Point and the in-country network, i.e. seek examples of good organizational practice, and then with your Head of Office.
- If helpful, make a formal note of the agreed procedure for your office.
- You might even be part of a push for change at the organizational level.

Distribute the Draft OCHA Reporting System (HO 7), explaining that the final version may not be adopted in this form but that it may provide a useful guide for developing and agreeing your own reporting systems in your Organization.

**Introduction to investigations and disciplinary procedures**

**Aim:** To provide participants with sufficient information so that they understand the investigative process and can explain it to others, whilst highlighting that Focal Points should not undertake any investigative activities.

**30 minutes**

**Explain:**

- This session will not go into much detail on the procedures for investigations and disciplinary action as they do not fall within the responsibility of a Focal Point.
- Focal Points should not investigate complaints. Their role is to channel the information to the appropriate authority, usually the human resources section.
- It is useful for Focal Points to have some basic information about investigative and disciplinary procedures so that they can explain to complainants the possible next steps in the process and how long these are likely to take.
- Each organization has its own system for conducting investigations and determining disciplinary consequences. Focal Points should contact their human resources section to gain an understanding of the procedures for their organization.
- Although they should not become involved in any investigations, Focal Points should remain sufficiently abreast of the investigative process to be able to inform complainants of progress and the outcome of any investigation.
- To the extent that it is within their power to do so, Focal Points should try and ensure that the complainant is not repeatedly interviewed in a manner that is distressing for the complainant and detrimental to any subsequent investigation.
**For investigations:**

- In general, it is solely the decision of the human resources section whether an investigation should be undertaken and how. The human resources section may consult with the Executive Head of the organization before making a decision, (or make recommendations to the Executive Head for their decision) depending on the nature of the case and internal procedures.
- The human resources section may:
  - Instruct the Head of Office or someone else in field office to make some enquiries;
  - Send an external team to investigate; or
  - Decide to take no further action.
- In the UN system, some agencies, such as UNHCR, have their own Inspector-General’s office to undertake investigations.
- For the Secretariat, the General Assembly has reaffirmed the role of the Office of Internal Oversight Services (OIOS) to investigate all allegations of serious misconduct, including allegations of sexual exploitation and abuse (A/RES/59/287 of 21 April 2005). UN agencies may also request the services of OIOS to undertake independent investigations of allegations made against their staff.
- The Secretariat’s Office of Human Resources Management (OHRM) also plays a role in following any investigations of UN staff.
- The office of the Ombudsmen can also act as a channel for complaints but will not become involved in the actual investigative process.
- Because it deals with both civilian and military personnel, DPKO has different procedures for the different categories. National contingents remain under the authority of the troop-contributing country and may be the subject of Boards of Inquiry.

**For disciplinary procedures:**

- Again, in general, disciplinary authority usually rests with the human resources section, often in consultation with the senior management.
- For the UN Secretariat, disciplinary action is at the discretion of the Secretary-General. This discretion applies in each individual case which means it is not formally possible for the UN to make a blanket pronouncement that all cases of sexual exploitation and abuse will result in summary dismissal. In practice, OHRM makes recommendations to the Secretary-General regarding disciplinary action.
- As the Secretary-General has no disciplinary authority over uniformed personnel serving with the UN, he can only request the immediate repatriation of peacekeepers who have been found to have committed acts of sexual exploitation and abuse. There is provision for Member States to inform the UN of the disciplinary action that is taken against such personnel.
| Key messages | • Focal Points should keep abreast of the outcome of any decisions regarding the allegation and the alleged perpetrator and inform the victims of any disciplinary action that is taken.  
• Most important is to let complainants know that these processes take time and there is no certain outcome. |
| Tips for Facilitators | • If there is time, engaging participants for ideas on establishing an appropriate reporting mechanism in their office and how to overcome any obstacles helps break the density of the session. |
| Alternatives | • This can be a long session of talking following the presentation of the SGB and Q&A. To break this up, one possibility is to first do the “Barriers to Complaints” exercise (from Session 6) and then deliver this session. |
### SESSION 6: RECEIVING AND DOCUMENTING COMPLAINTS

<table>
<thead>
<tr>
<th>Objective</th>
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<tbody>
<tr>
<td>• Identify barriers to complaints and investigations;</td>
<td>• Outline the principles and practice of good interviewing; and</td>
</tr>
<tr>
<td>• Outline the principles and practice of good interviewing; and</td>
<td>• Identify and practise core skills used in receiving complaints.</td>
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<tr>
<td>Time</td>
<td>135 minutes</td>
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<tr>
<td>Materials</td>
<td>• Laptop computer and screen for PowerPoint presentation</td>
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<tr>
<td>• Flipchart and marker pens</td>
<td>• Space for participants to work in pairs</td>
</tr>
<tr>
<td>References</td>
<td>PD 5: IASC Model Complaint Form</td>
</tr>
<tr>
<td>PD 7: Model Complaints and Investigation Procedures and Guidance</td>
<td>Related to Sexual Abuse and Sexual Exploitation</td>
</tr>
<tr>
<td>Handouts</td>
<td>HO 8: Case Study 1 – Chantal’s Story</td>
</tr>
<tr>
<td>HO 9: Case Study 2 – Mrs Kwazemara’s Story</td>
<td>HO 10: What a survivor wants you to know</td>
</tr>
<tr>
<td>PowerPoint</td>
<td>PP 5: Perceptions Exercise</td>
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<td>PP 6: Receiving Complaints: Interviewing with care and respect</td>
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<thead>
<tr>
<th>Timing:</th>
<th>Information/Exercises:</th>
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<tbody>
<tr>
<td>“Barriers to Complaints” exercise</td>
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<tr>
<td>Aim: to demonstrate the obstacles and why it is very difficult for people to come forward to complain.</td>
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<td>10 minutes</td>
<td>Ask participants:</td>
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<td>• Can you remember a time when you were disgruntled or dissatisfied with something and wanted to complain but did not? Explain that the example does not have to have any thing to do with sexual exploitation and abuse. For example, it could be a time when they were in a restaurant and the meal they were served was not the one they ordered but they did not complain.</td>
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<td>Then ask participants to think about:</td>
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<tr>
<td>• How did you feel at the time? Why didn’t you complain?</td>
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<td>Ask participants to turn to the person sitting beside them and share how they felt and why they didn’t complain. Explain that they do not have to share the details of the story (although they are free to do so if they wish) but should focus on how they felt and their reasons for not complaining.</td>
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<td>After 10 minutes, invite the group to share some of the feelings and reasons for not complaining (their own or their partner’s) and write the responses on the flipchart. At the end, the flipchart might look similar to the following:</td>
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</table>

| Barriers to complaints: |
| - would not change anything/not worth the effort |
- liked the person involved/didn't believe they would do it
- didn't think anyone would believe me
- fear of getting it wrong or misinterpreting situation
- didn't want the person to get in trouble or lose their job
- would create a lot of trouble/attention for me
- fear of losing own job or status
- didn't want to create a fuss or be seen as a troublemaker
- thought too trivial to complain about in the context or would be seen that way
- it's not done to complain about things/people would look badly at me for complaining
- not my role to complain, no right to complain
- cultural issues and norms (seen as acceptable practice in the country)
- nervous about/embarrassed to speak out
- fear of revenge or retaliation
- felt ashamed
- felt guilty or that it was my fault
- worried that people would think it was my fault/fear of being blamed
- didn't want to look like a fool
- didn't think anyone could do anything about it
- didn't know how or where to complain

[Sometimes participants do not come up with feelings of embarrassment, guilt or shame. If so, ask questions to elicit these options and write them up.]

Remind the group that these are responses to general situations and ask:
- Do you think any additional feelings or obstacles would arise if the complaint was about sexual exploitation or abuse?
[and after a minute or so…]
- What might stop people from coming forward in [country]?
Add any additional responses to the list.

[If time] Ask what would have made it easier to complain and elicit some responses from the group about what would help someone who wishes to make a complaint of sexual exploitation and abuse to come forward in [country].
If not suggested by the group, mention some of the following as important elements for creating an accessible environment and helping people come forward to complain:
- Having a clear reporting mechanism in place;
- Not making judgements on validity or credibility of complaint - ensuring all allegations that come forward are passed through the reporting mechanism;
- A safe and private space for individuals to make a complaint without being interrupted. This space should not, however, be solely related to receiving allegations;
- Trained staff - ensuring that staff understand their responsibilities to
Inter-Agency Training for Focal Points on Sexual Exploitation and Abuse

- Raising awareness with the communities regarding appropriate and expected staff behaviour;
- Raising awareness with the communities on how to report;
- Helping staff and communities understand how reporting protects them and is positive and not negative;
- Having organizational policies that protect staff from harassment and false allegations from fellow staff members;
- Accessibility - ensuring that communities and staff have different ways to access to the reporting structure at both the capital and field level, including anonymous access;
- Confidentiality – having a confidential/"need to know" protocol in place to protect individuals who make an allegation;
- Safety - having systems in place to ensure the safety and security of persons who come forward to complain;
- Inclusiveness – involving communities in awareness raising activities on the rights of women and children; and
- Having access points particular to the special needs of children.

Ask: What would be most important in [country]?

Key messages

Explain:
- The point of this exercise is to highlight that there are a number of obstacles that victims have to face even before they come forward to make a complaint; they have already gone through a lot in just making the decision to complain.
- Many of these feelings apply even when making a simple complaint. They are magnified enormously when the complaint is regarding sexual exploitation and abuse.
- All of these feelings and reasons can make it extremely difficult for people to come forward to complain, particularly feelings of shame and embarrassment and somehow feeling guilty or responsible. Add to this cultural norms that make it difficult to talk about sex or to complain about someone more senior or powerful than you or just to complain in general and not deal with your problems on your own, and it can become very daunting to come forward. This is even more so when the victim feels that there is probably very little that will be done and they risk being ostracised or punished for complaining.
- All of these factors lead to the severe problem of underreporting of cases of sexual exploitation and abuse.
- Therefore, when a victim does come forward, they should immediately be made to feel comfortable, thanked and acknowledged for their courage, and told that they have done the right thing.
- The exercise also highlights that there are steps the Organization can take (and that the Focal Point can initiate) to help overcome some of these barriers.
### “Perceptions” exercise

**Aim:** To demonstrate how observations will be influenced by our own attitudes, beliefs and personal experiences and highlight the importance of being neutral and putting our own perceptions and judgments to one side.

#### 15 minutes

Explain that participants will see a sequence of pictures from the Guardian newspaper.

- Display PP 5, Slide 1 (young man running along street) and ask participants to write down and keep private what they see and what they think it means. Ask them if it makes them feel anything.

- Display PP 5, Slide 2 (young man wrestling man in hat) and again ask participants to write down what they see and anything they feel.

- Ask them to turn to their partner and compare notes.

- Display PP 5, Slide 3 (larger view with construction load falling).

- Ask the group if anyone had interpreted what they saw in this way.

- Ask if anyone had misjudged the situation or jumped to conclusions when they saw the second slide.

### Key messages

**Explain:**

- Personal biases can colour the way we see things.

- The point of this exercise is demonstrate that we all carry our own perception of events and how easy it is to make judgments or jump to conclusions.

- Our observations are influenced by our attitudes, beliefs and personal experiences. This needs to be recognised and managed to receive complaints objectively.

- When receiving complaints, we have to be very careful to remain neutral and simply listen to and record the facts as they are presented, without making assumptions or jumping to our own conclusions.

- When we let our own perceptions and judgments get in the way, we distort the facts and do not get the real story.

### Principles of receiving complaints and good interviewing practice

**Aim:** to enable participants to sensitively, accurately and confidently receive and respond to allegations of sexual exploitation and abuse from adult and child complainants and correctly document all allegations.

#### 30 minutes

**Explain (PP 6, Slide 1):**

The next session is about good interviewing practice. It will first cover some basic elements of principle and practice for receiving complaints and then the rest of the session will be spent in mock interviews.
(PP 6, Slide 2) Remember that your role is to encourage reporting and receive complaints, explain to complainants what happens next and then to report the complaint through the appropriate channels. You should not investigate the complaint any further.

**Principles (PP 6, Slide 3):**
There are four key principles to bear in mind:
- Respect;
- Confidentiality;
- Anonymity; and
- Safety & welfare.

**Respect:**
Respect is an obvious one to say but not always easy to display. We do have our own thoughts and judgments and when interviewing someone, we need to put these aside and listen to them with respect, being careful with our own words and body language.

**Confidentiality:**
Complainants, witnesses and subjects of a complaint all have a right to confidentiality. Preserving confidentiality also ensures a better investigation. Ensure that you are in a quiet, private setting to receive the complaint.

**Informed consent and “need to know”:**
Because of the reporting requirement, it is not possible to promise absolute confidentiality. Focal Points should make it clear to the complainant that they need to report the complaint through established channels in order for there to be appropriate follow-up. Here the guiding principle is “informed consent”. Explain the reporting and possible follow-up process to the complainant, let them know who will have access to the information and ask if they agree to going ahead.

- E.g. This is an example of what to do: Reassure the complainant that you take their complaint seriously and will treat it confidentially but cannot promise absolute confidentiality. Explain that you do not make the decisions regarding any follow-up and that you need to share the complaint with [whomever you need to share it with, e.g. your Head of Office, your human resources section, your headquarters senior management] so they can take a decision about next steps. Reassure the complainant that the information will only be shared on a “need to know” basis and explain that it will only be shared with these 3/4/5/X people who will also treat the complaint seriously and confidentially. Also let the complainant know that if a decision is made to investigate the complaint, the investigators may require further information. Ask the complainant if they agree to go ahead on this basis.

Note that everyone to whom the complainant tells his or her story should keep the complaint confidential but the complainant does not have to keep it
confidential. It is their story and it might be important or therapeutic for them to discuss it (though the Focal Point could advise on any safety concerns that might arise in the particular circumstances).

Anonymity:
Not all complainants may be willing to reveal their identity. This does not necessarily have any bearing on the truth of the complaint but may be an indication of fear of reprisal. Anonymous complaints should be treated just as seriously as complaints where the identity is known. Sometimes a person may come forward to make a complaint but does not wish their identity to be passed on any further. This wish must be respected.

Because of the reporting obligation, the substance of the allegation should still be reported through the proper channels, along with the identification of the alleged perpetrator, if known. This is sometimes a difficult issue to address because of the inherent tension between confidentiality and reporting. The reporting obligation should be made clear to the complainant from the outset.

- E.g. The Focal Point could explain that he/she will keep the complainant’s identity private but must report the information about the allegation (i.e. set the parameters). The Focal Point could discuss the request for anonymity further with the complainant and determine the barriers and see if he/she can create an environment in which the complainant feels comfortable recording his/her identity or the Focal Point could agree on other means for ensuring proper follow-up.

- E.g. You could explain that anonymous complaints are more difficult to investigate. You could agree to respect the complainant’s wishes for anonymity and then ask if you personally may contact the complainant again, should an investigation proceed and the investigators require additional information. i.e. offer services, attempt to create options.

In addressing anonymity, it is extremely important not to place any pressure on the complainant so that they feel compelled to record their identity. This is a very fine line and requires care. It is a good idea to know in your mind how you would address this issue with a complainant before going into an interview.

Note the wish for anonymity applies to the complainant and not to the subject of the complaint. The SGB is about staff behaviour and preventing sexual exploitation and abuse. If a staff person is named in the complaint, this information should always be reported.

Safety & welfare:
The needs of complainants, particularly women and children, should be paramount during the process.
Safety:
Focal Points should determine if the complainant is in any kind of danger and what can be done to help. Help the complainant think through their own security and who might be able to help them or what might work in the community/country context. This is difficult as sometimes there is very little that the Focal Point can offer to assist. However, it is extremely important to think through this issue and explore all possible options. Consider the following:

- How the individual may be at risk and from whom?
- Any relevant support structures that currently exist for the individual (family, friends, community leaders) that he/she feels comfortable approaching;
- Are there any community safety mechanisms that have been established that he/she can use?
- Any available accommodation away from the alleged perpetrator (family, friends located in another town or village)?
- Available transport to relocate the individual as and when necessary?
- Are there children that must be provided for? If so, what do they need and who can assist?
- Does the individual need to be relocated immediately? If so, where can he/she go?
- Should another organization (child protection/UNHCR) be involved to provide immediate safety?
- Does the survivor want police involvement?

Welfare:
This is also the moment for ensuring that any health and psychosocial needs are met by arranging for medical intervention or counselling etc. if necessary. Where there is a report of sexual abuse within the previous 72 hours, the complainant should be referred immediately if medical treatment for HIV post-exposure or emergency contraception is to be effective. It might also be necessary to assist the complainant in reporting to the local authorities or accessing legal aid.

If the complainant is a witness or some other person and not the alleged victim, it is still important to obtain as much information as possible on the immediate needs of the alleged victim and attempt to meet them. This can be difficult if the alleged victim is unaware that a complaint has been made. If appropriate, work with the complainant to provide the alleged victim with the information that he/she needs to access assistance. Remember, that the individual cannot be forced to do something in response to his/her needs. It must remain their decision whether or not they would like to take action.

Anticipating the needs that an individual may present with before any complaints are made and establishing referral mechanisms in advance will ensure that the needs of complainants can be met in an appropriate and timely manner.
Good interviewing practice (PP 6, Slide 4):
There are a number of elements to good interviewing practice and it is helpful to consider the interview in three separate parts:
- Establishing rapport;
- Obtaining facts;
- Closure and explaining next steps.

Establishing rapport:
- Introduce yourself and welcome the complainant, make them feel comfortable and reassure them that they did the right thing in coming. This does not mean you are agreeing with what they are saying but you are acknowledging their bravery in coming forward.
- Explain the role that you are playing in taking the complaint; explain that you are not making any decisions but are simply gathering information.
- Explain the boundaries of confidentiality and obtain their consent to your sharing the information on a “need to know” basis.

Obtaining facts (PP 6, Slide 5):
- The best way to obtain the facts is to let the complainant do the talking. Let them tell their story in their own words, in a free narrative, with as little interruption as possible (i.e. they talk more than you).
- If necessary, ask open-ended questions to encourage the complainant to talk but do not ask leading questions or make assumptions. Closed questions do not yield as much information and impact the dynamic of the interview: you will get shorter answers.
- When necessary, ask any questions of clarification in order to make sure that you have properly understood the complainant’s story. Again these should not be leading questions like “did you mean X?” but should be open like: “what did you say?” “what did you mean?”
- It is important not to make any judgments; a good tip is to avoid “why” questions.
- Use simple language and ask only the number of questions required to gain a clear understanding of the complaint so that it can be passed on to the investigator.
- Without interrupting, demonstrate to the complainant that you are listening by concentrating on what they are saying and remaining attentive and focused. Remember silence is OK; allow the complainant time to think and choose his/her words.

Explaining next steps:
- This is important to reassure the complainant that their complaint is being taken seriously and to let them know what is likely to happen next and how long the whole process might take.
- Explain that you will be in touch again and who to contact if they have questions.
- Check if there are any safety or security concerns; consider the complainant’s need for medical attention or counselling.
- Be careful not to make any promises that you cannot fulfil.
• Be honest about what you know and don’t know.
• Explain that someone else will be taking the decision about what happens next and it could one of a number of options. Explain that it might take some time for any decision to be made or for the process to be completed. Do not guarantee any outcome.
• Tell the complainant that you will attempt to make sure that the allegation is followed up and will let the complainant know of any outcome but cannot guarantee that you will be informed throughout the process [or whatever situation applies in your organization].

Again, it might be a good idea to prepare a few lines on how you would summarise all this in advance of any interviews.

Throughout the interview (PP 6, Slide 6):
• Show respect.
• React calmly and listen carefully to what is being said.
• Remember the unthinkable is possible. Do not discard what the complainant is saying because it seems unbelievable to you.
  o E.g. you can’t believe such a thing could happen, you can’t believe a particular person would do such a thing etc.
• Let the person know it is OK to say that they don’t know the answer to something or are unsure or can’t remember.
• Be aware of your own perceptions and biases; it is important to put these aside and remain neutral; be careful not to judge.
• Your role is also to protect the alleged perpetrator, remain fair and impartial whilst still showing concern for the complainant.
• Treat “in the air allegations” as seriously as allegations where more information is provided; bear in mind that “rumours” are not less likely to be true; rumours are often an indicator that there is a problem.
• Take careful notes. It is a skill to listen carefully and write at the same time, so practice! Become familiar with the IASC Model Complaints Form so that you are aware of the kind of information that is useful to know.
• Remember you are not investigating or seeking proof. Your aim is to obtain as much information as possible in order to pass it on through the appropriate channels.
• Good faith complaints: All complainants should be treated as though they are reporting in good faith.

Emotional reactions:
Note that for some people, one of the biggest causes of concern and anxiety about receiving a complaint is fear of not knowing how to talk to a complainant. There is a fear that the complainant might be too emotional and reactionary or too angry. Understanding how a person may respond to a stress incident and understanding how to communicate with a complainant can help decrease a Focal Point’s own anxiety and improve their focus on listening to and supporting the complainant.
It is important to remember that there is a whole range of emotional and physical reactions to allegations of sexual exploitation and abuse and the complainant might display several different emotions and behaviours during the course of the interview. There is no “one” response to trauma and people will react quite differently from each other. Individuals who were only associated with the event but were not themselves exploited or abused might also have strong emotional reactions to what happened.

Some common emotional and physical reactions include crying, fidgeting or nervousness or an inability to make eye contact. Sometimes a complainant might not display any emotional reaction at all but seem cold or distant. This is not a sign the allegation is false; the complainant may be numb or traumatised.

Feelings associated with traumatic events usually go away with time but there are other factors that determine for how long a survivor will experience stress responses. It is therefore impossible to predict how someone will be when he/she makes a complaint. The survivor may re-experience the emotions from the incident just by telling the story and the closer they are in time to the incident, the stronger these reactions are likely to be.

Avenues of access (PP 6, Slide 7):
Remember that complainants are most likely to first report to people with whom they feel comfortable; they might not come directly to you. You can receive complaints from anyone: the person who allegedly suffered the abuse, witnesses, community members, staff, peacekeepers, partners, etc. You are more likely to receive complaints second- or third-hand from other colleagues and partners. The role of Focal Point is to encourage as many avenues of access as possible and to make it as easy as possible for whoever comes forward to complain. Your role is then to record as much information as you are told and report this through the appropriate channels.

Documenting complaints (PP 6, Slide 8):
There is also a certain bureaucracy to reporting. Allegations should be recorded in a clear and concise manner, but with as much information as possible. Record the details during the interview or as soon as possible afterwards. To the extent possible, use the complainant’s own words when describing what happened. Include a description of any visible signs of abuse or other injuries. Note any of your own observations.

The IASC has developed a Model Complaints Form (PD 5). Focal Points should take a look at the Form before undertaking any interviews. But remember, the Form is very much a model only. It is quite detailed and provides guidance as to the kinds of information that should be recorded. It is not compulsory to complete every question in the Form. Remember that the Focal Point is not an investigator and the complainant should not be pushed to provide more information than they want to share.
Model Complaints Protocol:
Draw attention to the Model Complaints and Investigation Procedures and Guidance Related to Sexual Abuse and Sexual Exploitation (Model Complaints Protocol) (PD 7). Explain that the Model Complaints Protocol is a comprehensive document that provides extremely helpful guidance on dealing with allegations of sexual exploitation and abuse and will be a good reference for participants.

Note that the Protocol covers the investigation process but the principles and practice also apply to Focal Points receiving the first report (see especially pp 15-25). Focal Points are not investigators. Investigating is a special skill and a separate role. (For those interested in developing this skill, ICVA offers an excellent training through their Building Safer Organizations project; their contact details are in the participant’s folders.)

Also draw attention to the Communication Dos and Don’ts (PD 8) and the Checklist for Child Complainants (PD 9) in the participants’ folders, which are helpful tools on interviewing practice.

Child complainants (PP 6, Slide 8):
[If time] Explain:
Children are a special population with special needs. In many circumstances they are neither listened to nor encouraged to speak out against elders or those in positions of power. As such special considerations need to be established to ensure that children and their families have access to the reporting structure.

For the most part, children are to be interviewed in the presence of their parents/caretakers. This ensures that the children receive adequate support and that the family understands the process that will follow after the report. Additionally, children are not always considered old enough to give informed consent or to comprehend what giving the information will mean. Therefore, having parents and caretakers present is generally preferred.

However, not all children are supported by their families to make a complaint e.g. the family is colluding with the perpetrator and/or encouraging the relationship; the family is embarrassed and does not want to cause a problem; the child does not have a family to support him/her (child soldier, separated child, orphan). In such instances it is better to interview the child alone or with a supportive adult who is not a parent or caretaker.

The Focal Point should determine whether parents, a relative or other person should be present when the child makes a complaint. If a parent comes with the child and is disruptive, this should be noted on the complaints form that is forwarded to headquarters to aid the planning of the investigative team.

Key messages
Remember (PP 6, Slide 10):
During all interviews, you only need to record what you are told as
accurately as possible. You do not need to assess the veracity of the statements or undertake any additional investigations.

<table>
<thead>
<tr>
<th>Case studies: Interviewing practice</th>
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<tr>
<td><strong>Aim:</strong> To develop interviewing skills and have experience conducting interviews in a secure environment.</td>
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**80 minutes**

<table>
<thead>
<tr>
<th>Setting up the exercise:</th>
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<tr>
<td><strong>Explain:</strong></td>
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<tr>
<td>• Participants will be divided into pairs to practice interviewing. Each person will take it in turns to be the interviewer and to be the complainant (so that their partner can interview them). It doesn't matter who plays what role first as each person will have a chance to do both.</td>
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<tr>
<td>• There are 2 different case studies. Each partner will have a different case study. This means that their partner’s story will be different to their own story and when they are playing the role of interviewer, they will have no idea what their partner is going to say (just like in real life). They should not share their case study with the other person before the interview.</td>
</tr>
<tr>
<td>• Participants should use their case study as a guide. They should pretend to be the person that is described and are free to invent their own story and add further details in keeping with their character. For example, if they are asked “what is your mother’s name?” or “how old are you?” or “where did this happen?”, they can make up an appropriate answer.</td>
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<tr>
<td>• Each person will spend 15 minutes interviewing the other person. After the first 15 minutes, they should stop the interview and swap roles. When everyone is finished, they should return to plenary session for feedback.</td>
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Split the participants into pairs. *[If some people would find it easier to be in same-language pairs, swap people around to achieve this.]* Indicate in each pair who will play Case Study 1 and who will play Case Study 2.

Before beginning the exercise, ask all of the participants playing Case Study 1 to move to one corner of the room and all of the participants playing Case Study 2 to move to the other. A facilitator should spend a few minutes with each group to distribute the relevant case study and quietly explain the role that is expected of them and make sure that everyone understands the exercise. Remind participants that they are free to add any details that they wish but that they must remain in character. Remind them that they should not share their story with their partner before the interviews are finished.

Participants should then find their partner and begin the interviews. Remind them that it is OK to make mistakes. For many this is the first time interviewing someone. Be pleased that you are getting the chance to practice and make mistakes when it is only a case study and not the real
Tips on providing feedback:

Bring the participants back into plenary session.
Before discussing the interviewing exercise, explain:

- You are about to share comments on what you learnt from exercise; this might include comments on what your partner did;
- Remember this is a learning exercise. Feedback is important for learning and we learn best when criticism is constructive; and
- Sometimes it is as hard to provide feedback as it is to receive it.

Here are some general tips on providing and receiving feedback.

- When providing feedback:
  - Provide it in a manner that will help someone to learn and improve;
  - Be clear about what you want to say so that your message does not become confused; select priority areas;
  - Highlight the positive as well; where possible, preface each comment with a positive one and end the feedback on a positive note;
  - Make specific rather than general comments; give examples of what you saw and heard and the effect it had on you;
  - Own your comments by using “I think” or “in my opinion” phrases;
  - Offer alternatives, i.e. turn negative feedback into positive suggestions.

- When receiving feedback,
  - Be willing to receive it, both positive and negative;
  - Listen to it carefully rather than immediately reacting or arguing with it;
  - Be clear about what is being said, that you have understood the message;
  - Decide what you will do, whether to accept it or reject it and how you might change as a result of the feedback – make it positive for you; and
  - Thank the person for their feedback; it is not easy to give.

- When providing and receiving feedback, remember it is only an opinion: it is not fact or truth;
  - Give an example such as “I don’t like the way [name famous actor] acts, I think he/she is melodramatic and would be better if he/she played things more realistically.”

Debriefing from the exercise:

Ask participants to provide feedback from the exercise.
In your comments during the debriefing you may need to remind them:

- Interviewing is challenging, it takes practice;
- Beware of perceptions and judgments;
- Keep in mind the principles and practice for interviewing *(if necessary, recap some of these points and the dos and don'ts)*;
- The motivation of the complainant for coming forward is irrelevant (e.g. it doesn't matter if he/she comes forward because they thought they would get money);
- Children remember as well as adults and should be taken as seriously as adults.

Encourage discussion by asking some of the following:
- Was something missing?
- Did you feel the right environment was created?
- Were you made to feel welcome and comfortable?
- Was rapport established?
- Did you understand the confidentiality issue?
- Did you feel pressured/led/judged?
- Did you feel like the interviewer was listening?
- Do you feel like you were understood?
- Do you feel like there will be follow-up?

Congratulate participants on their efforts. Remind them it was a short period of time to do an interview with a lot to keep in mind. Normally they would have as much time as they needed.

Advise that a number of survivors of sexual violence were asked about how they wanted to be treated during an interview. Here is an excerpt of some of their answers, which you might find interesting. Distribute “What a survivor wants you to know” (HO 10).

<table>
<thead>
<tr>
<th><strong>Tips for Facilitators</strong></th>
<th><strong>Alternatives</strong></th>
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<tbody>
<tr>
<td>- When putting participants into pairs for the case studies exercise, move them around first so that people are more likely to end up beside someone that they don't know well or have not already worked with.</td>
<td>- Because Session 5 can be a very long session of talking following the presentation of the SGB and Q&amp;A in Session 4, one possibility to break this up is to first do the “Barriers to Complaints” exercise from this session at the beginning of the Session 5 and begin this session with the “Perceptions” exercise.</td>
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<tr>
<td>- If there are any language difficulties, swap some of the pairs around so that participants are able to conduct the interviews in a language that is most comfortable for them.</td>
<td>- If limited time, the Barriers to Complaints exercise can be done in plenary only. This alternative session should take about 10 minutes.</td>
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<tr>
<td>- The suggested time for interviews is 20 minutes each. Depending on time available and the ability of the group, this can be lengthened.</td>
<td>- Each of the case studies may be adapted to suit the local context in [country].</td>
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### DAY 3

#### RECAP EXERCISE

| Objective | To help participants think over some of the issues from Day 2; and  
|           | To act as a warm-up exercise and focus participants as a group. |
| Time      | 10 minutes |
| Materials | Ball |
| Instructions | Ask participants to stand in a circle with the facilitators. Explain that you will throw the ball to one of the participants who should answer the following question and then throw the ball to another participant to answer the same question and then keep going until everyone has had a turn: |
|           | o Name one interesting thing that you learnt yesterday |
|           | [Each person should only receive the ball once. The last person to receive the ball is the facilitator of the exercise.] |

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#### SESSION 7: COMMUNICATIONS AND OUTREACH

| Objective | To increase participant’s ability to create clear, concise and appropriate messages about sexual exploitation and abuse; and  
|           | To highlight the range of possibilities for awareness raising campaigns. |
| Time      | 80 minutes |
| Materials | Flipcharts, marker pens, crayons, coloured pens  
|           | Laptop computer and screen for DVD  
|           | Training DVD: To Serve with Pride  
|           | Space for participants to work in small groups |
| References | PD 6: IASC Model Information Sheet |

**Timing:**

**Information/Exercises:**

Implementing a communications plan on sexual exploitation and abuse by staff and partners

Aim: to have participants prepare an information campaign (poster or radio spot) to highlight the importance of clear and consistent messaging.

50 minutes Explain that the purpose of this exercise is to prepare one element of an information campaign on sexual exploitation and abuse. You will be divided into 4 groups: 2 groups will prepare a poster campaign; 2 groups will prepare a radio spot. One each of the posters and radio spots will target staff members; the other two will target the local community. Each group should think carefully about the key messages that they want to deliver and
how best to reach their particular target audience.

Divide participants into groups of 5/6 people. (If this produces more or less than 4 groups, see tips below). Advise the poster groups that they have flip charts, crayons and coloured pens at their disposal. Advise the radio groups that they can choose how long they would like their spot to be: 15 seconds, 30 seconds, one minute, two minutes etc. Remind them that two minutes is a long time in radio. Let all participants know that they have 30 mins to complete their projects and are otherwise only limited by their imaginations.

When time is up, call participants back to present their work to the group. [Don’t let the poster groups explain what they were trying to achieve; they should simply present their work. If it is hard to see, they can describe what is written but not explain it.] After each presentation, thank the group and ask the rest of the participants:

- Is the message clear?
- Do you think it is appropriate for the target audience?
- Do you have other comments/suggestions?

[When moderating this session, to the extent possible, invite the presenting group to respond to comments received from the rest but deflect any criticism that is too harshly expressed in the circumstances.]

Keep the participants focused on the following issues and discussing ways that the project might be improved:

- Is the message clear; is the context clear?
- Is anything confusing or ambiguous?
- Is there an attempt to relay too many messages or too much information?
  - Explain that posters and radios spots should be clear and concise: less is more. There is usually only room for one or two messages. Both the context and the message should be clear. Too much information can drown the message; sometimes the context can be understood from the message and doesn’t need elaborate explanation (e.g. keep your children safe, drink clean water).
- Is the message understandable for the target audience? If not, how could it be changed? Is it more appropriate for a different audience? (e.g. staff as opposed to community or vice versa)
- What are the possible responses to the message?
  - Explain the importance of considering all the possible consequences of the message (e.g. people misunderstand it and everyone comes to make a report because they think they will automatically get assistance).

Remind participants that everyone only had a very short and pressured time to prepare their campaign. Normally, you would take much more time and
care to develop an information campaign and might use a combination of posters and radio spots as part of an overall package, with each one delivering a specific message. You might use other forms of information appropriate to the context, such as songs, stories, plays.

Consider the aim:
Remind participants to consider what we are working to achieve overall:
- We want to stop sexual exploitation and abuse;
- We want people to report;
- We want people who need it to get help
and then consider how these issues might be addressed through an information campaign.

For example:
- What do we want staff to do: (1) not abuse; (2) be aware; and (3) report.
- What do we want the community to do? If we want people to report, we need to tell them how to do so (and make sure a system is actually in place). Encouraging communities to report will generally only be successful if community members understand that it is for their benefit and that the community will be better protected as a result.
- Do we want to talk about assistance in a public campaign?
- What message do we want to give to communities about supporting and not re-victimising or ostracising the victim?

Consider the target audience:
- To ensure that the correct message is being received at the community level, it is a good idea for all messages to be sampled by focus groups, or designed by the women or community leaders themselves.

- For staff, ask participants to consider how information is generally shared with staff and what other avenues could be adopted to ensure better staff understanding of how to prevent sexual exploitation and abuse?

Keep all this in mind when preparing the Plan of Action and when back in your offices.

Refer participants to the IASC Model Information Sheet for Local Communities (PD 6). This sheet is probably a bit dense for communities and might be more appropriate for staff members in certain aspects but it gives some idea of possible messaging.

Key messages
- Remind participants that developing an information campaign is not always as simple as it first seems; it takes time and careful thought.
- Because we want the UN system and its partners to send clear and consistent messages to the community, developing an information
The network should consider what expertise they require to develop the most appropriate campaign and should involve the community in the process.

### Training Film

**Aim:** To present participants with a tool that they can use in their awareness-raising efforts with staff and partners.

| 30 minutes | Screen the training film: “To Serve with Pride”.

Advise participants that the video is a useful tool that they can use in their own awareness-raising activities and is likely to become compulsory viewing for all staff. A Facilitator’s Guide is being developed to assist Focal Points when screening the video for staff (not completed as at December 2006).

[Give participants the opportunity to discuss the film or raise questions should they wish.]

### Tips for Facilitators

- It is a good idea to put everyone in groups only after they have heard all of the instructions and are ready to begin the exercise.
- The communications campaign exercise is based on 4 groups but can be adjusted for less or more groups, by adjusting the medium and target audiences (see alternatives below).

### Alternatives

- The campaign exercise can be done differently if there are more or less than 4 groups. E.g. If only 2 groups, ensure that at least one does a poster and one a radio spot and have different audiences for each. If more than 4 groups, ask additional groups to prepare a poster for national NGO partners or for a refugee/IDP camp (as opposed to the community at large). It is possible to choose very specific target audiences for the exercise, e.g.:
  - A community group where literacy is very low and most individuals can neither read nor write;
  - A large group of separated children in an interim care centre;
  - A closed community group where things of a sexual or personal nature are never discussed in public;
  - A community group that has already undergone a poorly conducted investigation into an allegation of sexual exploitation and abuse that left the community very angry with international groups.
- Alternatively, groups might wish to choose a medium other than posters or radio, e.g. a story, a play, a song, running a group discussion with community leaders.
**SESSION 8: IMPLEMENTING A VICTIM ASSISTANCE STRATEGY**

| Objective | • To introduce the draft UN victim assistance strategy; and  
|           | • To explain how a victim referral system can be established in-country.  |
| Time      | 70 minutes  |
| Materials | • Laptop computer and screen for PowerPoint presentation  
|           | • Space for participants to work in small groups  |
| References| PD 11: Draft United Nations Policy Statement and Draft Comprehensive Strategy for Assisting and Supporting Victims of Sexual Exploitation and Abuse by UN Staff and Related Personnel (A/60/877)  |
| Handouts  | HO 11: Service Provision Matrix  |
| PowerPoint| PP 7: Assisting Victims: A strategy for responding to harm  |

**Timing:**  
**Information/Exercises:**

**Introducing the victim assistance strategy**

Aim: To outline the purpose, scope and elements of the draft UN comprehensive strategy for assisting and supporting victims of sexual exploitation and abuse by UN personnel and partners.

25 minutes  
Present the proposed strategy, referring participants to the copy in their folders (PD 11) (PP 7, Slide 1):

**Background:**

- The strategy was developed over more than 12 months of consultation with agencies, NGOs, Member States and other experts in the field.
- At the beginning of 2005, the UN Principals agreed on the need to provide assistance to victims. Member States, in both the Special Committee on Peacekeeping Operations and in the World Summit Outcome, then called for the Secretary-General to present a comprehensive strategy for providing assistance to victims. For this reason, the strategy has been prepared as a General Assembly document.
- [As at December 2006, the strategy is still being considered by Member States. If possible, make one point about the current state of deliberations at the time of delivering the training. E.g. the Member States will next debate it in XX. OCHA and UNICEF are leading on these discussions and can provide further information.]
- The document is written as a policy statement and a comprehensive strategy; the policy statement effectively works like an executive summary of strategy and the two documents should be read as one.

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Inter-Agency Training for Focal Points on Sexual Exploitation and Abuse 80
Overview of the proposed strategy (PP 6, Slide 2):
- The main purpose of the strategy is to outline a comprehensive and consistent response to victims of sexual exploitation and abuse by all UN personnel, including staff, peacekeepers, civilian police, consultants etc.
- This is important for assisting victims and for restoring the credibility of the Organization. Responding adequately to the needs of victims is also a means of prevention.
- A common approach is important because victims do not necessarily make a distinction between different categories of UN personnel and individually implemented agency programmes would only result in confusion, discrepancies and a perceived unnecessary discrimination. It is important that the policy is clear and consistent from the victim’s point of view. In the same way that there is one standard for one UN, there should also be one response.
- The proposed strategy sets out what the Organization will do to assist victims of sexual exploitation and abuse by UN staff or related personnel. It does not suggest that Member States set up parallel structures but, on the contrary, requests their support so that the Organization can implement a single, common approach to victim assistance. This ensures that the strategy is truly comprehensive, by requiring a coordinated response on behalf of the entire system to all victims of sexual exploitation and abuse by UN staff or related personnel, in each country where there is a UN presence.
- The strategy addresses:
  - The problem of sexual exploitation and abuse and why the Organization must respond;
  - The categories of victims and nature of assistance;
  - How the strategy should be implemented; and
  - How the strategy should be funded.
- The Organization has no legal responsibility to provide assistance to victims but all agree that it has a moral imperative to respond. The strategy represents a formal commitment to assist and support victims of sexual exploitation and abuse by UN personnel.
- There is currently no system or mechanism for addressing the needs of people who have been sexually exploited or abused at our own hands and the strategy aims to formally address this gap.
- The strategy acknowledges that the perpetrators of acts of sexual exploitation and abuse hold responsibility for those acts and makes clear that the provision of assistance by the UN should not in any way diminish or replace that individual responsibility.

Categories of victims (PP 6, Slide 3):
The strategy defines three categories of victims:
- “Complainants” (persons who come forward to complain but whose complaint is not yet fully processed);
- “Victims” (persons whose complaint has been formally processed and
substantiated); and

- “Children born as a result of sexual exploitation and abuse by UN staff or related personnel”.

- “Complainants” are persons who have come forward to complain but whose complaint is not yet fully processed and so the allegation has not yet been formally substantiated. This category was created because very often, persons who have been sexually exploited or abused need immediate emergency assistance, which cannot wait for the formal investigation process to occur. This category allows such people to be assisted without prejudicing the outcome of the investigation.

- “Victims” are persons whose complaint has been processed and formally established, either through a UN administrative process or through a national administrative, civil or criminal process. The term “complainant” and “victim” might be used to describe the same person at different stages of the process.

- Children born as a result of sexual exploitation and abuse are also referred to in the policy as “children fathered by UN staff or related personnel” to highlight the individual parental responsibility of the perpetrator.

Nature of assistance (PP 6, Slide 4):
The kind of assistance to be provided under the strategy depends on the category to which a person belongs, their needs and the circumstances of the case.

Complainants:
- Complainants would only receive very basic emergency assistance depending on actual need.
- Generally this will be medical assistance and might also include referral to someone for counselling or referral to an appropriate body to pursue the issue legally.
- Assistance is not automatic but is based only on need.
- It is known that some of the more damaging consequences of sexual exploitation and abuse can be greatly reduced or even prevented if medical assistance is provided within 72 hours of the abuse occurring, such as preventing STIs, HIV. However, this is not usually sufficient time for a full investigation to take place. It is to allow such assistance to be provided that the category of “complainant” was created.
- At the time of providing assistance, it must be made very clear to the complainant that the provision of assistance is in no way an acceptance of the truth of their claim; an investigation must still take place. In effect, the assistance is being provided on emergency humanitarian grounds.
- The strategy notes that the provision of assistance to complainants might cause some people to come forward and falsely claim that they have been sexually exploited or abused by UN staff or related personnel. This
risk is acknowledged but is likely to be very small. It is a very brave act and an extremely difficult decision to come forward and make an allegation of sexual exploitation and abuse. It is not something that people do lightly.

- Furthermore, the assistance offered is extremely basic and would only be provided to someone actually in need. People are not likely to seek medical attention or rape counselling if they have not actually been hurt or raped.
- It is possible that someone who has been sexually exploited or abused by non-UN personnel might come forward and make a claim. Although they do not fall within the terms of the strategy, they do fall within the existing mandates of several UN agencies and NGO partners. Assisting such a person is a “risk” the Organization is prepared to take as the only way to avoid it is to do nothing, and the importance of assisting someone who has been harmed by UN personnel far outweighs this “risk”.

Victims:
- Victims, because their claims have been formally substantiated, receive more comprehensive assistance depending on their individual circumstances and need.
- In addition to health and psychosocial assistance, victims may be assisted with education, income generation, training or job opportunities to help redress some of the harm that has been caused.
- In extremely limited circumstances, some victims might also receive financial compensation but most will be provided with assistance in kind.

Children:
- Children fathered by UN personnel will be provided with assistance to help address the consequences of being born as a result of sexual exploitation and abuse.
- Primarily, the UN will assist the child or guardian in pursuing paternity and child support claims in the appropriate jurisdiction. This might include helping the child or guardian to access such processes or obtaining blood or DNA samples to share with the appropriate national authorities.
- The determination of paternity or child support is solely a Member State competence; the UN’s role is simply one of facilitation.

Implementation of the strategy (PP 6, Slide 5):
The strategy sets out two important principles for implementation:
- Implementation through existing service providers; and
- Implementation through victim advocates.

Existing service providers:
The strategy notes that sexual exploitation and abuse by UN personnel occurs in a broader context of gender-based violence. There is a need to assist victims of sexual exploitation and abuse by UN personnel as well as to avoid discriminating between them and other victims of gender-based
violence. This is best achieved by providing assistance through existing service providers that already have programmes for victims of sexual violence. Such an approach helps preserve the confidentiality of the victim and helps strengthen the services for others, as the UN will support those organizations that provide assistance under the terms of the strategy.

Victim advocates:
The strategy also outlines a system of victim advocates. Access to UN premises can be difficult or awkward for victims and many may feel more comfortable approaching local organizations that they know and trust. Under the strategy, the UN will engage an appropriate implementing partner, such as a local women's organization, to provide victim advocate services. These services include referring the victim to those organizations that can provide assistance, accompanying the victim if necessary, and acting as a liaison with the UN for any administrative processes. Arrangements would be made with a network of service providers in advance so that victims can be referred to them confidentially and in safety.

Funding:
The strategy outlines some possible funding mechanisms, including the establishment of a headquarters based trust fund or an inter-agency pooled funding mechanism at the local level under the auspices of the RC/HC. When the strategy is formally adopted, it will most likely be piloted under a locally-based funding mechanism.

<table>
<thead>
<tr>
<th>Implementing a victim support policy: what to establish in practice</th>
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<tbody>
<tr>
<td><strong>Aim:</strong> To explore the modalities and principles for providing assistance and support for victims of sexual exploitation and abuse.</td>
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<table>
<thead>
<tr>
<th>Explain:</th>
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<tr>
<td>• The proposed strategy aims high and sets the parameters for what the UN should achieve in assisting victims.</td>
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<table>
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<tr>
<th>Context appropriate:</th>
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<tbody>
<tr>
<td>• Implementation depends on the context and the level of assistance provided will therefore vary from country to country and possibly within countries (e.g. because of the services available in the capital versus remote areas).</td>
</tr>
<tr>
<td>• It is necessary to establish a referral mechanism that is appropriate to the context, practical and efficient, and protects the confidentiality of the victim.</td>
</tr>
<tr>
<td>• One possibility is to engage an international or local NGO that is already providing services to victims of violence to act as an implementing partner. That implementing partner would be the first port of call for all victims.</td>
</tr>
<tr>
<td>• UN agencies and NGOs with expertise and mandates on GBV should be involved in developing an appropriate referral mechanism.</td>
</tr>
</tbody>
</table>
Creating a referral network:

- The implementing partner would make arrangements in advance with other service providers, such as local clinics, counselling services, legal aid services, whereby it can easily refer or accompany victims to those services, when necessary without further questions being asked (i.e. those service providers would automatically accept all victims referred to them by the implementing partner under the agreed arrangements).
- Complainants should also be provided with full information and advice on existing legal means of redress, including contact addresses where claims may be filed and any networks helping complainants to file claims or which provide other types of support. In a properly established system, the implementing partner should be able to provide this information.
- Some individuals may not be emotionally ready to accept immediate services and may refuse anything that is offered to them until another time. If possible and appropriate, complainants should be provided with simple written information on possible services if they need time to consider what they want to do.
- Complainants in need of assistance should still be referred, even if they cannot identify the perpetrator, (e.g. they complain of sexual exploitation and abuse by an unidentified UN person).
- Establishing a referral system is a job for the Focal Point network. The organizations represented on the network should work with programming colleagues and partners to identify an appropriate NGO to act as the implementing partner. Either the network or the selected implementing partner can establish contacts with other service providers to create the referral system. The network should determine whether they want to pay the implementing partner a lump sum for their services or a “per client” fee or a combination of both.

Ensuring standards:

- The network should ensure that the implementing partners and service providers who make up the referral system are able to meet the strict criteria required by the UN for assisting complainants, including confidentiality and putting the needs of the complainant first. This involves but is not limited to:
  - Including the complainant in all decisions made about his/her care;
  - Respecting his/her wishes to withdraw from any form of service provision;
  - Not making assistance contingent on helping with an investigation; and
  - Only forwarding any information to outside parties on a “need-to-know” basis and obtaining the complainant’s consent before doing so.
### Referral guidelines:
The network should also agree on referral guidelines with the implementing partner and service providers. These guidelines should address:

- Releasing information between Focal Points and service providers and obtaining the complainant’s consent;
- The amount of information that is shared and for what purpose (e.g. sufficient to ensure that the victim is receiving the care he/she needs);
- Who determines the length of care necessary;
- Accessibility of service provider documents (e.g. many psychosocial service providers will not release information regarding someone that has been referred to them); and
- Appropriate documentation of referral information for adequate case notes for the file.

### Confidentiality:
It is especially important to discuss confidentiality with the implementing partner and how this will be preserved, in their own systems and in dealing with the service providers to whom they refer complainants. In some instances (e.g. where the implementing partner is a local women’s NGO), complainants might go directly to the implementing partner without first making a complaint to a UN or NGO Focal Point. Some NGOs have strict confidentiality requirements when dealing with survivors of GBV. They might not be able to maintain their usual level of confidentiality for allegations of sexual exploitation and abuse by UN personnel or partners because of the reporting obligation and this will need to be carefully discussed and agreed upon with them in advance.

### Key messages
Remember: it is a management responsibility to ensure that a clear and accessible system is established in each setting so that all members of the community (particularly women and children) know where to go to make a complaint and receive assistance. Senior management should be called on to ensure that the necessary referral system is properly established and supported.

### Guest speaker
Aim: To provide participants with relevant information about the current situation in [country] and the local and national laws pertaining to sexual violence and the programmes in place to respond to it.

25 minutes
Introduce guest speaker (e.g. representative of local NGO working on violence against women).

Invite participants to ask questions.
Providing assistance and support to victims

Aim: To identify potential resources for assisting and supporting victims in [country].

10 minutes

Explain that you are going to do a short exercise to identify potential resources in [country] for assisting and supporting victims.

- Divide the participants into groups of 5/6. Ensure that people with relevant backgrounds for the exercise are relatively evenly spread across the groups, e.g. before dividing participants into groups, ask all the people dealing with health issues to raise their hands and divide them across the appropriate number of groups. Do the same for people dealing with psychosocial issues, legal or protection issues, safety and security, and then divide the rest evenly.
- Distribute the Service Provision Matrix (HO 11).
- Allow the groups 10 minutes to complete the matrix. In doing so, participants should be as creative as possible as sometimes the expected service provider may not be readily available and alternative sources must be identified (e.g. community health workers, faith based/spiritual alternatives to meet emotional needs, and other appropriate figures in the cultural context). They should bring the completed forms to the Plan of Action session at the end.

Debrief the participants quickly by asking if they believe there are sufficient resources in [country] to create a referral network for assisting and supporting victims of sexual exploitation and abuse? If not, ask participants to identify the gaps and consider ways to address these when developing the Plan of Action.

Tips for Facilitators

- There may not be sufficient time to listen to a guest speaker and go through the Service Provision Matrix. The latter can be distributed during the Plan of Action session as a resource.

Alternatives

- Depending on the number of people from different backgrounds, another option is to divide people into thematic groups to complete one section of the Service Provision Matrix. They can share the results with one another during the Plan of Action session.
SESSION 9: BEING THE MESSENGER

**Objective**  
- To highlight the role of Focal Point as messenger

**Time**  
45 minutes

**Materials**  
- Index cards and pens  
- Space for participants to work in small groups

**Timing: Information/Exercises:**

<table>
<thead>
<tr>
<th>10 minutes</th>
<th><strong>Presentation</strong></th>
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<tbody>
<tr>
<td><strong>Aim:</strong> To recap the basis of the role of Focal Point as messenger and how to present it to others.</td>
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</table>

**Explain:**  
As Focal Points, one of the key roles is to be the messenger and raise awareness of the standards expected of staff and partners and how to respond when exploitation and abuse occur, in particular the importance of reporting. This can sometimes be challenging.

It is important to bear in mind and explain to others:

- The Focal Point is just the messenger:
  - Your role is to raise awareness, not to set policy.  
  - Your role is to channel complaints, not to investigate or adjudicate.

- The role is born out of protecting the vulnerable and preventing harm. Everyone is mandated to do this; everyone has a reporting obligation, including the Focal Point.

- You could ask senior management to deliver this message for you to highlight that it is a limited role that you are being asked to take on; that you are taking it on under authority of senior management.

- If you experience problems in fulfilling the role, share this with your Head of Office or headquarters Focal Point.

- If your organization or senior management is not supportive, approach your headquarters Focal Point, or work with the other Focal Points in the network. Engage the support of colleagues working in areas that are similar or related (e.g. colleagues dealing with gender-based violence, protection).

It won’t always be easy, because of………

- limited resources and capacity  
- unclear procedures  
- the sensitive subject matter  
- language and communication barriers  
- getting managerial attention  
- peer pressure  
- your busy “other life” (your REAL job!)
In some circumstances, the role might be difficult (e.g. you might be blamed for the complaint being made). Remain calm and carefully explain the nature of your role or ask someone to do this on your behalf.

But remember:
- you have support
- you have tools
- you were chosen for your ability to do the job
- you are helping

**Devil’s Advocate Exercise**

**Aim:** To give participants the experience of having to field questions as Focal Points.

**35 minutes**

Put participants into small working groups of 4/5 people.

Ask each group to think of one or two difficult questions that a Focal Point might be asked when explaining the UN standards to a group and to write the question on an index card. The questions should be challenging but not too obscure, i.e. they should be questions that a group is likely to ask.

Collect the cards and share them with the other groups, making sure that a group does not receive its own question.

Ask each group to develop answers to the questions that they have been given.

Collect the cards and as facilitator, play the role of participant and ask the questions on the cards. As groups answer, if desired, ask follow-up questions or elaborate the circumstances to continue challenging the group to come up with the appropriate response.

After each response, ask the other groups if they would have added anything or answered differently.

**Tips for Facilitators**

- If there is limited time for the devil’s advocate exercise, the facilitator can prepare questions in advance for the groups and distribute them.

**Possible questions (or see other FAQs):**

Q: Why should we have to follow UN rules when the laws of [country] say something different? Shouldn’t the UN respect local customs?

A: The SGB sets out the standards of behaviour expected of UN personnel and partners and forms part of our contractual obligations. The UN should respect local customs. Having an additional set of standard does not mean that the UN does not respect local laws and customs, it simply means it has adopted a higher standard and requires its staff to behave in a particular way. The two are not contradictory.
<table>
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<tr>
<th>Alternatives</th>
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<tbody>
<tr>
<td>The aim of this exercise is to give participants some practice at being Focal Points and fielding questions. Instead of the facilitator playing the role of participant, the groups could challenge one another, or alternate roles within their own groups. The exercise is more successful if there is play between the groups (as this also allows the facilitator the opportunity to correct/guide any answers). Participants should always be encouraged to consider how they would have answered the question first.</td>
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</table>
| Objective | • To apply learning to the situation in [country]; and  
|          | • To develop a Plan of Action for [country]. |
| Time     | 2.5 hours |
| Materials| • Flipcharts and marker pens  
|          | • Space for participants to work in small groups |
| Handouts | HO 12: Possible Elements of a Plan of Action  
|          | HO 11: Service Provision Matrix (if not used earlier) |

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<tr>
<th>Timing:</th>
<th>Information/Exercises:</th>
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<tbody>
<tr>
<td></td>
<td><strong>Developing a Plan of Action</strong></td>
</tr>
<tr>
<td>Aim:</td>
<td>To have participants effectively work together as an in-country network and begin to develop a plan of action for [country].</td>
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</tbody>
</table>
| 2.5 hours | Explain that the training element of the workshop is now finished and the rest of the session will be devoted to real work.  
|          | For the rest of the session, the group will effectively act as the in-country network and develop a Plan of Action for [country]. The session will be facilitated by people working in [country] and the trainers will be available as resource people.  
|          | Reassure participants that this does not mean that they are now automatically the in-country network and that the selected facilitator(s) are now automatically the (co)chair(s). You may have other colleagues and partners who should join the network and the network itself (or the RC/HC) will select the co-chairs. (It is recommended that the network have co-chairs rather than a single chair). But for today’s purposes, you are acting as the network.  
|          | • Introduce the person(s) chosen to be facilitator(s).  
|          | • Advise participants that it is up to them and the facilitators how they wish to structure the next session. They can work together in plenary or break into small groups to deal with particular topics or a combination of both.  
|          | • Distribute the handout on Possible Elements of a Plan of Action (HO 12) and briefly outline the different sections. Explain that the sections follow the different issues that have been discussed during the training. The facilitators and participants may wish to use the handout as a guide but are free to develop their own. They should consider whether there are additional activities that should be included and also what additional resources they might need in each case.  
|          | • Remind participants of the exercise completing the Service Provision Matrix (HO 11); they can incorporate this in the Plan of Action. |
- Remind participants that this is not an exercise. This is a process for developing the actual plan of action to be used in [country]. They will probably not have sufficient time to complete the plan in detail in this session so their discussion should include how it will be finalised. They should also consider sharing the plan with senior management once finalised.
- Welcome the new facilitators and hand over the floor.

<table>
<thead>
<tr>
<th>Tips for Facilitators</th>
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<tbody>
<tr>
<td>If the Service Provision Matrix exercise was not used earlier, the handout (HO 11) can be distributed with the Possible Elements of a Plan of Action (HO 12) as an additional resource. Briefly explain the handout when doing so.</td>
</tr>
<tr>
<td>Well before the Plan of Action session begins, identify and brief the new facilitators on the exercise. If possible identify two facilitators to work together. Advise them that they can choose how to facilitate (whether in plenary or with small working groups taking different sections of the plan with a final discussion in plenary), reassure them that this does not mean they have automatically become co-chairs of the network. Explain that the task is large and the group is unlikely to finish but they should be able to come up with a skeletal plan of action and more importantly, agreement on how to complete it. Reassure them that you can be used as resource people if necessary.</td>
</tr>
<tr>
<td>When the floor has been handed to the new facilitators, move to the back of the room to give them some space. Once work begins, it is helpful to leave the room for a short period so that the group finds their own rhythm. Return periodically or work quietly in the background to be available as a resource person.</td>
</tr>
<tr>
<td>Give 5 and 10 minute reminders when the session is about to finish so that the group can wind the work up and plan how to complete it at a later stage.</td>
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<tr>
<th>Alternatives</th>
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<tr>
<td>Representatives of NGOs with expertise in preventing and responding to sexual exploitation and abuse in general could also be invited to assist with this session.</td>
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</table>
### SESSION 11: CLOSING AND ASSESSMENT

**Objective**
- To bring a conclusion to the training and thank participants;
- To assess what participants have learnt; and
- To obtain evaluations of the training.

<table>
<thead>
<tr>
<th>Time</th>
<th>20 minutes</th>
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<tbody>
<tr>
<td>Materials</td>
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<tr>
<td></td>
<td>• Flip chart (with the address for OCHA’s web page on sexual exploitation and abuse noted)</td>
</tr>
<tr>
<td></td>
<td>• Contact details sheet</td>
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<tr>
<td>Handouts</td>
<td></td>
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<tr>
<td></td>
<td>HO 1: Assessment Test (blank)</td>
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<td></td>
<td>HO 13: Assessment Test Answers</td>
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<td></td>
<td>HO 14: Evaluation Form</td>
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**Timing:**

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<th>Information/Exercises:</th>
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**Summing Up**

Aim: to provide final information and cover any remaining questions.

5 minutes

- Congratulate participants on completing the training.
- Comment that they have received an enormous amount of information during the training. They should not feel overwhelmed.
  - Being a Focal Point is an important role but you do not have to shoulder the burden alone.
  - Enlist the help of your colleagues, other members of the network and other actors to see that what needs to be done gets done.
  - Consider the additional resources that might be needed and ask for these.
  - Share the finalized plan of action with senior management and gain their commitment and support to seeing it fulfilled.

**Resources:**

- You have a number of resources and references in your folders. OCHA maintains a website with a dedicated page under Humanitarian Issues that contains all the documentation relevant to dealing with sexual exploitation and abuse by UN staff and partners, including the SGB, the IASC tools and reports, GA reports etc. ([http://ochaonline.org](http://ochaonline.org)). Official documents are in all 6 UN languages.
- OCHA will also post unofficial translations of the SGB in other languages. So if you translate the SGB into local languages, please share that with OCHA so that it can be included on the website and save others from having to repeat the process.
- Share other materials that you develop with the OCHA Focal Point for possible inclusion on the website.
Don’t forget to make contact with your own headquarters Focal Point for support and guidance and updates on policy development. Share the finalised Plan of Action with them and keep them posted on progress.

*Add any additional points.*

Ask if there are any final questions.

### Key messages
- All of us have an obligation under the SGB to prevent and respond to sexual exploitation and abuse.
- We all need to address the culture of complacency and impunity.
- Your role as Focal Point is to initiate action; to be the champion of change.

### Assessment Test
**Aim:** To measure how much participants have learned during the training.

| 10 minutes | Distribute the Assessment Test (HO 1). Ask participants to mark their copy with the personal symbol that they used on the previous test. Participants should complete the test. Once again, if they are unsure about any question, they should make their best guess.

When everyone has finished, read out each question and ask the group to call out the answers. If there is a mixed response, ask the people calling out the wrong answer to justify their response, e.g. “For those who say ‘False’, why is it ‘False’?” Explore and correct the answer *[people might self-correct; the rest of the group might also participate in this]*.

When finished, collect the completed tests for later comparison with the participant’s earlier test.

Distribute the correct answers (HO 13).

### Evaluation
**Aim:** To gain participants’ views on the training programme.

| 5 minutes | Ask participants to assist you in improving the training by completing the Evaluation Form.

Distribute the forms (HO 14) and collect them when completed. |
### Thank you and closing

Congratulations and thank everyone for participating. Ask people to make sure that they have included their contact details on an attendance sheet so that a participants list can be created and shared with everyone.

Close the training.

### Tips for Facilitators

- Throughout the training, keep a list of points that you might want to highlight at the end.
- The Evaluation Forms (HO 14) can be distributed at the same time as the Assessment Tests (HO 1); earlier finishers will start on the evaluation. Ask everyone to complete the Assessment Test first.
- Ask someone from the hosting organization to arrange for the contact sheet to be distributed and completed (this can be done at any time during the training) and to prepare and distribute the final participants list.
PARTICIPANTS’ DOCUMENTS

The following documents should be placed in advance in the participants’ folders, along with a copy of the agenda and a list of the following:

PD 1: The Secretary General’s Bulletin on *Special measures for protection from sexual exploitation and sexual abuse* (ST/SGB/2003/13)

PD 2: IASC Implementation Guidelines for the Field

PD 3: IASC Terms of Reference for In-country Focal Points on Sexual Exploitation and Abuse

PD 4: IASC Terms of Reference for In-country Network on Sexual Exploitation and Sexual Abuse

PD 5: IASC Model Complaints Form

PD 6: IASC Model Information Sheet for Local Communities

PD 7: Model Complaints and Investigation Procedures and Guidance Related to Sexual Abuse and Sexual Exploitation

PD 8: Communication Dos and Don’ts: A Quick Guide

PD 9: Checklist for Taking a Report from a Child Complainant


PD 11: Draft UN Policy Statement and draft UN Comprehensive Strategy on Assistance and Support to Victims of Sexual Exploitation and Abuse by UN staff or Related Personnel of 5 June 2006 (A/60/877)

Note: If facilitators are able to obtain an up-to-date copy of the list of different agency headquarters Focal Points from the ECPS/ECHA Task Force, this should also be included in the participants’ folders.
HANDOUTS

The following handouts are to be distributed during the training. Each should be hole-punched in advance so that participants may include them in their folders.

HO 1: Assessment Test (blank)
HO 2: Individual index cards with Power Walk Characters
HO 3: GBV Facts, Statistics & Attitudes
HO 4: IASC Scenarios (blank)
HO 5: IASC Scenarios (completed)
HO 6: Agree/Disagree Statements
HO 7: Draft OCHA Reporting System
HO 8: Case Study 1 – Chantal’s Story
HO 9: Case Study 2 – Mrs Kwazemara’s Story
HO 10: What a survivor wants you to know
HO 11: Service Provision Matrix
HO 12: Possible Elements of a Plan of Action
HO 13: Assessment Test Answers
HO 14: Evaluation Form

Note: If facilitators intend to distribute the PowerPoint presentations at the end of the relevant session, they should also be copied in advance in handout form.
POWERPOINT PRESENTATIONS

The following PowerPoints have been prepared for presentation during the training. It is at the facilitator's discretion whether any or all of the PowerPoint presentations are used and they may be adapted as appropriate. Facilitators should also determine if they wish to distribute copies of the presentations in handout form at the end of the relevant session.

PP 1: Gender-based Violence: The context of sexual exploitation and abuse by UN personnel and partners

PP 2: The Focal Point Terms of Reference: Role and Responsibilities

PP 3: In-Country Focal Point Network: Role and Responsibilities

PP 4: Protecting from Sexual Exploitation and Abuse: The Secretary-General’s Bulletin on *Special measures for protection from sexual exploitation and sexual abuse* (ST/SGB/2003/13)

PP 5: Perceptions Exercise

PP 6: Receiving Complaints: Interviewing with care and respect

PP 7: Assisting Victims: A strategy for responding to harm
FREQUENTLY ASKED QUESTIONS

These FAQs are designed to assist facilitators with questions that commonly arise regarding sexual exploitation and abuse by UN personnel and partners. They are grouped into various categories to assist facilitators in providing responses throughout their sessions. Facilitators should use good judgment when answering questions. If they do not know or are unsure of an answer, they should say so and offer to check it and get back to the questioner.

General application of the SGB:

1. To whom does the SGB apply?
The SGB applies to:
- All internationally-recruited and locally-recruited UN staff, including staff of separately administered organs, funds and programmes of the United Nations;
- All categories of UN peacekeeping personnel (see General Assembly Resolution 59/300 of 22 June 2005), including military members of national contingents, experts on mission, including police officers, corrections officers and military observers; and members of national formed police units;
- Personnel or employees of non-United Nations entities or individuals that have entered into a cooperative arrangement with the UN, including interns, JPOs, international and local consultants, and corporate and individual contractors, including day labourers; and
- United Nations Volunteers.

2. Where and when does the SGB apply?
The SGB is not location-specific and applies to all UN personnel at all times, including while they are off duty or on leave.

UN personnel are obliged to comply with the standards of the SGB as well as with local laws. Where the SGB establishes a higher standard than local laws, the standards of the SGB will prevail.
- Example: A staff member engaging the services of a prostitute – whether in a peacekeeping mission, in New York (where prostitution is illegal) or in the Netherlands (where prostitution is legal) – is in violation of SGB which prohibits the exchange of money, goods, or services for sex.

3. Does the SGB apply outside my duty station/mission country? Does it apply when I travel for work to New York or Europe, or to a neighbouring country?
Yes, the SGB applies to all UN personnel at all times, wherever they are, for as long as you are on assignment with the United Nations. As long as you are working for the UN, you are expected to abide by its conditions of employment and policies, including the SGB. Your behaviour always reflects on the United Nations.
4. “Sexual exploitation and abuse is a problem that exists primarily in the Democratic Republic of Congo. It is not likely to happen in my duty station.”

Sexual exploitation and abuse, in a variety of different forms, have been found to exist to a greater or lesser extent in all duty stations. Regardless of your perceptions of the problem in your duty station or the likelihood of it occurring, all UN personnel and partners have an obligation to create and maintain an environment that prevents sexual exploitation and abuse and to uphold the standards of conduct.

5. Aren’t the rules on sexual exploitation and abuse an intrusion into my private life? Isn’t what I do in the privacy of my own home, or outside of office hours, my own business?

When you are serving with the UN, you are a representative of the Organization during your free time as well as during your working day. You do not have the same freedoms in your “private life” as you do when you are in your home country or working for another organization. You accept this when you accept the job. You are held to a very high and very strict standard of conduct because your behaviour, both professional and personal, is always associated with and reflects on the image of the Organization.

6. Are UN personnel expected to be celibate for the entire time they are on mission?

No, you are not expected to be celibate. However, working with the UN is not a “normal” job. Not everyone is suited for it. If you do not feel that you can meet the high standards of conduct required, then you should not be working with the Organization. You are not completely prohibited from having sexual relations at your duty station, but they must not violate the SGB.

7. We wish to respect the rules of SEA, but mission life is often lonely and not always easy. WE are targeted by prostitutes and constantly solicited by them. What is the UN doing to protect me from this constant harassment?

Once again, working with the UN in some areas can be a very difficult occupation and it is not for everyone. You must have a great deal of personal discipline. You will be subject to a wide variety of dangerous, frustrating and awkward situations, including desperate people soliciting you to violate the UN standard of conduct. Your response is to continue to say no.

8. After all you have said, why doesn’t the UN simply prohibit sexual relationships for mission staff?

The UN is not concerned with preventing sexual relationships but with preventing abuse, particularly of vulnerable populations. As long as a sexual relationship does not violate the SGB (or other UN policies), it is allowed.

9. If someone is in the field for a long time, it’s not fair to prevent them from having sex.

The SGB does not prevent people from having sex. It prohibits UN personnel and partners from engaging in acts that are sexually exploitative or abusive (as
defined in the SGB). These rules are in place to prevent people from being harmed. It is not a question of fairness.

10. **Why should we have to follow UN rules when the laws of [country] say something different? Shouldn’t the UN respect local customs?**

The SGB sets out the standards of behaviour expected of UN personnel and partners and forms part of our contractual obligations. The UN should respect local customs. Having an additional set of standards does not mean that the UN does not respect local laws and customs, it simply means it has adopted an additional higher standard and requires its staff to behave in a particular way. The two are not contradictory.

11. **Is the SGB implying that everyone in the host country is vulnerable? Isn’t this insulting?**

No. The SGB does not imply that everyone in the host country is vulnerable (which would be insulting). The SGB is concerned with the behaviour of UN personnel and partners and prohibits them from engaging in sexual exploitation and abuse with anyone. Sexual exploitation includes abusing a position of vulnerability for sexual purposes. The SGB acknowledges that we frequently work amongst vulnerable populations and that there is an inherently unequal power dynamic between staff and beneficiaries of assistance. The SGB requires all UN personnel and partners to show good judgment and to be conscious of the impact of our actions. If there is any risk that a sexual act might constitute exploitation or abuse, it is better to err on the side of caution.

12. **Does sexual exploitation and abuse apply to staff members?**

Sexual exploitation and abuse can be committed against staff members, as well as members of the community. The definitions are concerned with staff behaviour and not with the person against whom the act is committed. The sexual harassment policy also covers staff members. Any act that constitutes sexual exploitation, sexual abuse or sexual harassment is serious misconduct and should be reported. The person reporting does not have to specify which category applies; they just need to report the relevant information.

**Specific standards:**

13. **Do sexual exploitation and sexual abuse constitute serious misconduct?**

Yes. Sexual exploitation and sexual abuse are considered acts of serious misconduct (SGB, section 3.2(a)) and constitute a basis on which:

- All staff members, whether internationally or locally recruited, may be summarily dismissed by the Secretary-General (staff regulation 10.2 and ST/AI/371 (Revised disciplinary measures and procedures), paragraph 9(c)).
- A military member of a national contingent, an expert on mission (including police officers, corrections officers and military observers), a member of a national formed police unit or a United Nations Volunteer may be repatriated.
A cooperative arrangement with a non-United Nations entity or individual, including contractual arrangements with an intern, international or local consultant, or individual or corporate contractor, may be terminated.

14. Can I have sex with a national from the host country?
Yes, as long as it is not exploitative or abusive and in violation of the SGB.

15. So you are saying no sex with prostitutes and no sex with under 18 year olds – then is it OK to have sex with a national who does not fall under the previous categories and she/he consents?
The focus is not on the individual or whether there is consent, but on the nature of the relationship. If the relationship is an abuse of a position of vulnerability, differential power or trust for sexual purposes, it is sexual exploitation and is prohibited. UN personnel are often in a position of considerable power over the local population. They have money, food and shelter whereas the local population is often very vulnerable and does not have easy access to these essentials. Because of the risk of abuse of power, sexual relationships between UN personnel and the local population are strongly discouraged.

16. How can I know if the person I am having sex with is over 18 or not?
That is your responsibility. People lie and even have false birth certificates or identity documents. If you are not sure, don’t do it.

17. Are there any exceptions to the prohibition on sexual activity with children?
Sexual activity with persons under the age of 18, regardless of the age of majority or age of consent locally is prohibited (section 3.2(b) of the SGB). Mistaken belief in the age of the child does not constitute a defence.

The prohibition on sexual activity with children does not apply where the member of the United Nations staff or UN-related personnel is legally married to someone under the age of 18 but over the age of majority or consent in their country of citizenship (section 4.4 of the SGB). The legality of a marriage for the purposes of the SGB is to be determined by reference to the law of nationality of the member of the United Nations staff or UN-related personnel.

18. In some countries, people under the age of 18 are married. Can staff marry someone under the age of 18?
The prohibition on sexual activity with children does not apply where a member of UN personnel is legally married to someone under the age of 18 but over the age of majority or consent in their country of citizenship (SGB, s.4.4). The legality of the marriage is determined by reference to the law of the staff member’s nationality. However, sexual activity with persons under the age of 18, regardless of the age of majority or age of consent locally is prohibited (section 3.2(b) of the SGB). This means that the exception only applies when a legal marriage has taken place. An intention to marry or a promise to marry is no excuse for sex with children.
19. What does it mean to “strongly discourage” sexual relationships with beneficiaries of assistance?

Sexual relationships between United Nations staff or UN-related personnel and beneficiaries of assistance are “strongly discouraged” (SGB, section 3.2(d)). Sexual relationships between UN staff and beneficiaries of assistance are strongly discouraged because they are based on inherently unequal power dynamics. The interpretation of the term “beneficiaries of assistance” should be guided by and adjusted according to the particular mandate of the United Nations office or programme, peacekeeping operation, political or peace-building mission or humanitarian operation in question. Where a UN peacekeeping operation has a mandate to serve the population at large, “beneficiaries of assistance” should be broadly interpreted to cover the local population.

However, the focus should not be on whether someone is a “beneficiary of assistance” but on whether the relationship is an abuse of a position of vulnerability, differential power or trust for sexual purposes. Because of the risk of sexual exploitation occurring, relationships between UN staff and beneficiaries are strongly discouraged. The SGB does not impose a blanket prohibition on such relationships but by discouraging them, it requires UN personnel to show good judgment and vigilance to ensure that a relationship with a beneficiary of assistance is not sexually exploitative or abusive. Any relationship that is sexually exploitative or sexually abusive is prohibited by the SGB. The determination of whether a relationship with a beneficiary of assistance is sexually exploitative or sexually abusive is made by the employing organization on a case-by-case basis.

The standards in the SGB are minimum standards of behaviour. If there is any doubt, the relationship should not be entered into. UN personnel are expected to uphold the highest standards of conduct. Even the perception of sexual exploitation and abuse can result in damage to the credibility of the individual and the Organization.

20. I am a national staff member in a country where the legal age of consent for sexual activity is lower than 18 years of age. Do the UN standards apply to me?

Yes. The UN standards of conduct still apply to you. There is one standard of conduct for UN personnel regardless of what country or culture they are from and regardless of the country or culture in which they are serving. The SGB is the minimum standard of conduct, irrespective of local laws. When you agree to work for the UN, you agree to abide by its standards of conduct. Because of the nature of our work, the UN is held to a high standard of conduct.

21. I am a national contractor working for the mission. Do the UN standards of conduct apply to me?

Yes. Under the SGB, the UN should receive a written undertaking from all contractors that they agree to abide by the standards. In case of breach of these contractual conditions, the contract may be terminated.
**Prostitution:**

22. What is wrong with having sex with a prostitute if the person is an adult and fully consents to it? I'm not harming anyone and in my home country/culture as well as the mission country/culture, prostitution is legal and using the services of prostitutes is accepted.

There is one standard of conduct for UN personnel regardless of what country or culture they are from and regardless of the country or culture in which they are serving. The SGB is the minimum standard of conduct, irrespective of local laws. When you accept an assignment with the UN, you accept to abide by its standards of conduct. Because of the nature of our work, the UN is held to a high standard of conduct. Furthermore, prostitution in war-ravaged societies, developing countries and in countries hosting a peacekeeping mission frequently involves extremely vulnerable women and children, including persons who have been trafficked for sexual exploitation. The vast majority of women in prostitution don’t want to be there. Few seek it out or choose it, and most are desperate to leave it. The lack of economic options for women in vulnerable circumstances may result in prostitution and exploitative sex being one of the few avenues they have for obtaining money to meet basic needs. It comes from a lack of choice; the only person with choice is the exploiter.

23. Prostitution with an adult is a victimless crime. Why is the UN interfering with consensual sex between adults?

Prostitution is not a victimless crime. On the contrary, it is well documented that prostitution is inherently harmful and dehumanizing, and fuels trafficking in persons, a form of modern-day slavery. The vast majority of women in prostitution don’t want to be there. Few seek it out or choose it, and most are desperate to leave it. Field research in nine countries concluded that 60-75 % of women in prostitution were raped and 70-95 % were physically assaulted. A recent study has revealed high rates of post-traumatic stress disorder (PTSD) in prostitutes stemming from physical and sexual assault. The study included male and female prostitutes aged from 12 to 61 who worked on the street and in brothels in Africa, Thailand, Turkey and the United States. In the study, the measure of PTSD severity of prostitutes was higher than that of Vietnam War veterans.

24. Is it possible to enforce a prohibition on sexual activity with prostitutes?

Is it realistic to have such strict rules on sexual conduct? How will the UN be able to enforce them?

Strictly upholding the UN standards of conduct is both realistic and necessary, including the prohibition against sex with prostitutes. Standards of conduct are now being applied, investigations are being stepped up and colleagues involved in sexual exploitation and abuse are facing disciplinary action, and where appropriate, also criminal action.

25. Is the solicitation of a prostitute also a violation of the Secretary-General’s SGB?

Yes, the definition of sexual exploitation refers to actual or attempted abuse and thus includes solicitation.
Reporting:

26. When are staff members and UN-related personnel obliged to report sexual exploitation or sexual abuse?
Always. Staff members and UN-related personnel are obliged to report concerns or suspicions regarding sexual exploitation or abuse to the appropriate office within their organization or to OIOS. It is for the appropriate UN authorities, and not the individual, to investigate and confirm those concerns or suspicions.

However, reports should be made in good faith. The submission of allegations with knowledge of their falsity constitutes misconduct. Persons who report allegations that subsequently prove to be untrue will not face repercussions where the reports were made in good faith.

Sexual harassment:

27. What is the difference between sexual harassment and sexual exploitation and sexual abuse?
In the UN Secretariat, ST/Al/379 (Procedures for dealing with sexual harassment) defines “sexual harassment” as any unwelcome sexual advance, request for sexual favours or other verbal or physical conduct of a sexual nature, when it interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment. Similar definitions exist in the UN Funds and Programmes.

The SGB defines the term “sexual exploitation” as 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. It defines the term “sexual abuse” as the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions.

There is often confusion about whether a particular action or conduct would constitute sexual harassment, sexual exploitation or sexual abuse. Sexual harassment is associated with the workplace. Not all sexual harassment involves an abuse of a position of vulnerability, differential power or trust or the actual or threatened physical intrusion of a sexual nature. If it does, it also constitutes sexual exploitation or sexual abuse. Sexual harassment and sexual exploitation and abuse are all considered serious misconduct. All three should be reported. The person reporting does not have to specify which category the conduct falls into.

Zero-tolerance:

28. What does zero-tolerance mean?
Zero-tolerance means that the culture of impunity and complacency toward sexual exploitation and abuse will no longer be tolerated. Zero-tolerance for impunity means that active measures are being introduced to prevent sexual
exploitation and abuse and appropriate disciplinary action will be taken against all persons who are found to have violated the UN standards of conduct.

29. You talk about zero tolerance for sexual exploitation and abuse, but we know that nothing happens to people who violate the SGB.
People have been sanctioned for violating the standards of conduct on sexual exploitation and abuse. UN staff have been summarily dismissed, UNVs have had their contracts terminated and uniformed personnel have been repatriated and faced courts-martial. Commanders have also been sent home for failing to take preventative action in relation to troops under their command. We still have a lot to do to eradicate the problem and the UN is currently improving the system for receiving and investigating complaints and ensuring appropriate action against everyone who is found to have violated the standards.

HIV/AIDS and condoms:

30. Why does the UN provide condoms in peacekeeping missions and at the same time tell us not to have sex?
The availability of condoms is a health and safety issue and not a license for sexual abuse. Condoms are made available to all peacekeeping personnel – international and national staff and uniformed personnel – to prevent the transmission of HIV/AIDS.

Reporting obligation:

31. What if I report of rumour of sexual exploitation that is revealed to be false?
Under the SGB, all staff are required to report their concerns and suspicions regarding sexual exploitation and abuse. All reports should be made in good faith. If you have made a report in good faith which turns out to be false, there will not be any consequences. If you maliciously made a false report, you will be subject to disciplinary consequences.

Rumours must be taken seriously. If left unchecked, rumours may damage the individual(s) concerned and the mission. Rumours can serve as early warning of a greater problem. All rumours must therefore be reported and investigated. However, you should not conduct any investigations or try and find out more information; your obligation is only to report your suspicions or concerns.

Victim assistance:

32. What is the victim assistance policy statement and comprehensive strategy and why is it important?
Although the need is widely recognized, there is currently no comprehensive UN policy or system for providing victim assistance. The proposed strategy issued in June 2006 aims to address this gap. Responding adequately to the needs of victims is also a means of prevention. Support to victims allows them to participate more actively in the investigation process, enhancing the ability of the United Nations to hold perpetrators accountable and inform the design and
implementation of better prevention measures. It also restores the reputation of
the UN as an organization that acts responsibly towards the communities it
serves.

33. Where did this strategy come from?
On 7 January 2005, the Executive Committees on Peace and Security and on
Humanitarian Affairs (ECPS/ECHA) requested a dedicated task force to develop,
among other things, a system-wide policy on assistance to victims of sexual
exploitation and abuse by UN staff or related personnel. In April 2005, the
Special Committee on Peacekeeping Operations recommended that the
Secretary General develop “a comprehensive strategy for assistance to victims of
sexual exploitation and abuse, including means for financial compensation”. This
recommendation was endorsed by the General Assembly in June 2005. In the
September 2005 World Summit Outcome, the Secretary-General was
encouraged to “submit proposals to the General Assembly leading to a
comprehensive approach to victims’ assistance by 31 December 2005”.

The proposed strategy was developed over a period of more than one year
through numerous consultations with UN departments and agencies, NGOs and
Member States, at headquarters and in the field.

34. What is the scope of the strategy?
The proposed strategy applies to all victims of sexual exploitation and abuse
perpetrated by UN staff or related personnel, including uniformed personnel.
From the victim’s perspective, the distinctions between UN staff members,
consultants and contractors, peacekeepers and other related personnel are
confusing and irrelevant. It would also be confusing and inappropriate to have a
situation on the ground where victims exploited by civilian staff were treated
differently to those exploited by uniformed personnel. Therefore, the proposed
strategy requires the Organization to provide assistance to all victims of sexual
exploitation and abuse perpetrated by UN staff or related personnel (as defined
in the strategy), irrespective of whether the perpetrator is a staff member, a
consultant or a peacekeeper etc.

In the same way that there is one standard for one UN, there should also be one
response. The proposed strategy sets out what the Organization will do to assist
victims of sexual exploitation and abuse by UN staff or related personnel. It does
not suggest that Member States set up parallel structures but, on the contrary,
requests their support so that the Organization can implement a single, common
approach to victim assistance. This ensures that the strategy is truly
comprehensive, by requiring a coordinated response on behalf of the entire
system to all victims of sexual exploitation and abuse by UN staff or related
personnel, in each country where there is a UN presence.

35. The proposed strategy talks about each country where the UN has a
presence. Does it really apply everywhere, e.g. including in New York,
or only where there is a humanitarian crisis?
The strategy applies globally. Its purpose is to assist victims of sexual
exploitation and abuse by UN personnel and partners. These abuses can take
place anywhere, meaning victims can be anywhere. The strategy talks about providing assistance through existing service providers. Therefore, if a country already has well-established systems for assisting victims of sexual violence, the UN can refer victims of UN personnel to those same services. It does not have to set up any new arrangements. If such services do not exist, the UN will work with local partners to help ensure their creation and functioning.

36. Who will be assisted?
The proposed strategy identifies three categories of people requiring support:
(a) “Complainants”: persons who allege that they have been, or are alleged to have been, sexually exploited or abused by UN staff or related personnel but whose claims have not been fully processed;
(b) “Victims”: persons whose allegations of sexual exploitation and abuse have been fully processed and substantiated (either through a UN administrative process or through an administrative, civil or criminal process of a Member State); and
(c) “Children born as a result of sexual exploitation and abuse”, who are also referred to in the strategy as “children fathered by UN staff or related personnel”.

Note: Because of the nature of the harm caused, persons who have been sexually exploited or abused may require the provision of urgent treatment and care before there is time to fully process a claim. The category of “complainant” was created specifically to address this concern and to allow for basic emergency assistance to be provided depending on the actual need when a complaint is made. In effect, the terms “complainant” and “victim” may apply to the same person at different stages of the process.

37. What assistance will be provided?
Overall, the proposed strategy provides for basic health, psychosocial, legal and administrative assistance, in-kind compensation in certain cases and financial compensation only in very extreme cases. The nature of the assistance provided depends on the category to which a person belongs, their needs and the circumstances of the case.

The strategy is a general strategy which states the nature of assistance to be provided and sets out some parameters for what the UN hopes to achieve. It is not a blueprint as situations vary within and between countries and actual implementation will depend on the reality and capacity on the ground. It is envisaged that UN agencies with expertise and mandates on gender-based violence will develop more comprehensive guidance to assist with implementation in the field.

38. What assistance is provided to children born of sexual exploitation and abuse?
The proposed strategy provides for assisting children fathered by UN staff or related personnel (or the child’s mother or guardian) to pursue paternity or child support claims. Such claims are only dealt with by the relevant national
authorities. The UN’s role is simply to facilitate access to those processes by helping the child or guardian to make or forward a claim to the relevant authorities. The UN may also assist by obtaining information to be used in such cases (e.g. by paying for blood or DNA testing to help establish paternity). It is hoped that Member States would be willing to work with the UN to help facilitate the processing of such claims, in accordance with their national laws and procedures.

39. Doesn’t the strategy create an unfair distinction between victims of sexual exploitation and abuse by UN personnel and other victims of gender-based violence?
The proposed strategy notes that sexual exploitation and abuse by UN personnel occurs in a broader context of gender-based violence and requires that assistance be provided in a manner that does not isolate complainants, victims and children born of sexual exploitation and abuse or unnecessarily exclude or discriminate against other victims of gender-based violence. For this reason, the strategy requires that the existing social, political and economic circumstances be taken into account and assistance and support be provided through existing organizations that provide similar services to other victims of gender-based violence.

40. What is the role of victim advocates?
The role of victim advocates is to help victims access all the services that they need in accordance with the strategy. They do not necessarily have to provide the services themselves but will help identify the appropriate service providers, make arrangements in advance for victims to be able to approach those services safely and confidentially and will accompany victims to those services, as appropriate, or provide them with any necessary information. For most victims, it is easier to approach a local organization to seek assistance than to access UN offices for help. Therefore, the proposed strategy recommends that an implementing partner, such as a local women’s organization, be engaged to provide victim advocate services on behalf of the UN.

41. What is the relationship between the victim assistance strategy and investigative procedures?
The victim assistance strategy only covers the nature of assistance to be provided to victims and is completely separate from all policies regarding investigative procedures. The strategy states that victims should be advised about the investigative process at the appropriate time and informed of the outcome of any investigative procedures.

42. What does the strategy say about DNA testing and victim assistance?
The proposed strategy provides for the UN to pay for DNA testing of children allegedly fathered by UN staff or related personnel, their mothers and UN staff members in appropriate cases, and share the results with relevant national authorities making determinations regarding paternity or child support in accordance with their national laws and procedures. This is possible under existing rules and regulations. There are already cases where DPKO is liaising with Member States and OIOS to assist in collecting DNA samples.
During the strategy’s development, many discussions were also held with UN departments and agencies, NGOs, Member States and scientific experts on a proposal to collect DNA samples from all UN staff for very limited purposes as part of the strategy. The proposal for comprehensive DNA sampling still requires further discussion and was therefore not included in the strategy submitted by the Secretary-General to the General Assembly.

43. How will the strategy be funded?  
The proposed strategy recommends that for a twelve-month trial period, in each country where it has a presence, the UN implement a system for providing assistance to victims in accordance with the strategy, using a localized funding mechanism based on a budget of USD20,000. Because of severe underreporting, it is difficult to estimate the scope of the problem. The trial period is proposed to gain a clearer understanding of the costs of implementation.

The proposed strategy highlights that the individual perpetrator bears responsibility for acts of sexual exploitation and abuse and should also bear the related financial responsibilities. The strategy notes that disciplinary fines could be imposed and used to provide assistance to victims. It also proposes that such fines could be deducted from the staff member’s salary and/or final emoluments but this proposal requires the General Assembly to promulgate changes to the Staff Regulations and authorize the Secretary-General to promulgate consequent changes to the Staff Rules.