

# TOOL 7

## PSEA/SH SELF-AUDIT CHECKLIST

 <https://enketo.unhcr.org/x/#H7Z8Xocn>

This self-auditing tool has been developed as part of the Americas Regional PSEA Network to support service providers (offices, agencies) to understand where they stand in relation to preventing sexual exploitation and abuse (SEA) and sexual harassment (SH). The self-audit process supports the identification of gaps and provides direction on the next steps you and your agency can take to strengthen ongoing work to protect those with whom we work.

As part of continuing efforts to strengthen the prevention of SEA/SH in the Americas, the results of the self-audit can be shared with the PSEA Network Focal Points. This can promote a collective response to PSEA/SH and can assist service providers to take specific measures to address and focus on identified weaknesses.

For the purposes of this checklist, the term 'Code of Conduct' refers to a service provider's own Code of Conduct for its personnel, as long as it makes explicit its commitment to PSEA/SH and incorporates the PSEA/SH principles.

For each statement, each box should be ticked:

**A = fully in place; B = partially in place; C = not in place.**

Grouping the results into Mostly As/Bs or Cs, will give an indication of your agency's progress. It should also be noted that boxes highlighted in yellow are considered to be essential and therefore a priority for PSEA/SH. If these are "B" or "C", then these would be critical areas to focus on.

1	RECRUITMENT AND INTERVIEWS	A	B	C
A	The service provider has a Gender Policy and monitors the gender-balance of staffing and strives to be gender-balanced, at all levels of responsibility, in both main and sub-offices and among nationally and internationally contracted staff and community workers.			
B	During the recruitment / interview process, the service provider discusses policies regarding relations between staff and concerned population and assesses interviewee's responses to Code of Conduct related questions.			
C	References are rigorously gathered and follow a specific format /checklist while respecting the principle of confidentiality. They should include questions about disciplinary actions.			
D	All personnel (e.g. staff, consultants, contractors, volunteers) contracts or templates include the main principles of the Code of Conduct or have the Code of Conduct attached, which should also be available in the language of the relevant country.			
E	All job advertisements reaffirm the provider's/agency's commitment to the Code of Conduct and PSEA/SH.			
F	Applicants must fill in job application forms, which require the applicant to give information about criminal convictions, reasons for leaving previous jobs and periods when no employer is listed.			

2	RECRUITMENT AND INTERVIEWS	A	B	C
A	There is an orientation/induction process for all personnel, including community volunteers, contractors etc., which includes administrative procedures and human resources as well as programmatic and operational issues.			
B	Guidance is provided to new employees on the cultural context, gender equality principles, and appropriate behaviour expected of personnel as well as complaint, investigation and disciplinary procedures and consequences.			
C	During the orientation process, personnel are taken through the Code of Conduct, which includes PSEA/SH principles, by a manager/supervisor to ensure they understand the issues and have their questions answered.			

3	MANAGEMENT	A	B	C
A	Senior management work to ensure an organizational culture which eliminates sexual exploitation and abuse, and sexual harassment. For example, PSEA/SH is included as part of the performance goals for managers and performance is rated in accordance with the implementation of these goals. Senior managers make regular announcements on these issues and personnel are reminded that the organization takes these issues seriously.			
B	The agency/office has developed and incorporated into personnel rules and regulations a Code of Conduct, which includes principles related to protection from sexual exploitation and abuse and protection from sexual harassment, as well as appropriate investigation and disciplinary procedures when violations of core principles occur.			
C	Senior managers are required, and are evaluated on their ability, to promote the standards outlined in the Code of Conduct internally to the agency to personnel, with other agencies/service providers, and among concerned populations.			

4	AWARENESS RAISING / TRAINING	A	B	C
A	The Code of Conduct including PSEA/SH principles (either a simplified or complete version) is displayed in all operational and office areas.			
B	The agency/office has distributed the Code of Conduct and PSEA/SH policies and guidelines, in English or translated versions, to all personnel.			
C	A manager is responsible for ensuring that a training strategy is being implemented to raise awareness of gender equality, SGBV, human rights, SEA/SH prevention and response, and the Code of Conduct among all personnel, in addition to procedures for reporting incidences, whether substantiated or not (including consultants, contractors, incentive staff, security guards, collaborators etc).			
D	Personnel who have direct contact with concerned populations receive more in depth training on causes and consequences of SGBV and SEA on a regular basis.			

5	REPORTING AND COMPLAINTS MECHANISMS	A	B	C
A	The agency/office has established, together with concerned populations, a confidential and safe SEA reporting system suitable for personnel and concerned populations.			
B	The agency/office has established policies, procedures and mechanisms to facilitate the reporting of SH by personnel, including, for example, a whistle blowing policy and staff grievance procedures.			
C	Mechanisms to facilitate anonymous SEA/SH complaints are available, e.g. complaints box / telephone hotline / email address.			
D	The agency/office raises awareness of its reporting, feedback and complaints mechanisms through public information campaigns			
E	Personnel who receive complaints are trained in how to handle complaints, including reception of feedback complaints and referrals to relevant response and support services, and other service providers of concern.			

<b>F</b>	SOPs for complaint mechanisms stress the importance of confidentiality and data protection and are known and applied by all personnel, including ICT and other technical staff.			
<b>G</b>	The agency/office has a clear, updated and documented guideline on reporting cases to the investigative service.			
<b>H</b>	The agency/office promotes a culture and environment in which women, girls, men and boys from diverse backgrounds and with specific needs, such as people with disabilities, older people, LGBTI and people with low literacy, are listened to and respected as individuals.			
<b>I</b>	The agency/office provides regular feedback on complaints to concerned populations ensuring the inclusion women, girls, men and boys from diverse backgrounds and with specific needs, such as people with disabilities, older people, people with disabilities LGBTI and illiterate people			

<b>6</b>	<b>RESPONSE</b>	<b>A</b>	<b>B</b>	<b>C</b>
<b>A</b>	The Agency/office promotes the development of a culture, which ensures that reported abuses are immediately reported upwards and acted upon, ensuring that all confidential information is channelled correctly and handled with the utmost discretion			
<b>B</b>	Responses are ‘survivor-centred’, keeping the needs of the survivor at the forefront of any investigation process.			
<b>C</b>	The agency/office responds to reported cases according to their internal standard guidelines on complaints and investigation procedures and guidance related to SEA/SH and consulting with the PSEA Network as required. Regional/Country operation Child Protection & SGBV SOPs and IASC guidelines are also taken into account.			
<b>D</b>	The agency/office will coordinate investigations with other agencies when and if appropriate, in accordance with the agreed referral pathways.			
<b>E</b>	The agency/office has / or has access to a team of personnel (female and male) with the skills and expertise to investigate SEA and SH cases.			
<b>F</b>	The agency/office ensures that all cases are properly documented and followed up to ensure that the survivor receives the optimum support required through appropriate referral processes, this also includes availability of counselling services for personnel in the event of an incident of sexual harassment.			
<b>G</b>	Coordination with the authorities is carefully assessed in consideration of a survivor-centred approach, the agency’s HR and administrative procedures and the applicable national laws.			

<b>7</b>	<b>PREVENTION</b>	<b>A</b>	<b>B</b>	<b>C</b>
<b>A</b>	The agency/office has its own Code of Conduct, which incorporates the six principles related to sexual exploitation and abuse <sup>1</sup> and commits to a <b>zero tolerance</b> policy on sexual exploitation and abuse, and sexual harassment.			
<b>B</b>	The agency/office has an action plan in place for mainstreaming PSEA/SH in all sectors and programmes using a participatory approach.			
<b>C</b>	Clear policies/guidelines are in place for concrete measures to prevent increased vulnerability of concerned populations and to minimize the risk of malicious/false allegations against personnel (i.e., regulations around number of personnel present in one space).			
<b>D</b>	Clear policies/guidelines are in place for qualification criteria to prioritize vulnerable individuals in the provision of basic services, which are strictly monitored.			
<b>E</b>	Budgets include PSEA/SH funding lines for promotional materials/trainings etc.			
<b>F</b>	The agency/office promotes regular interaction between concerned populations and senior personnel.			

1. As per the Secretary-General’s Bulletin, Special Measures for protection from sexual exploitation and abuse which can be accessed at <http://www.unhcr.org/405ac6614.html>

<b>G</b>	The agency/office ensures (or encourages) that all personnel complete* an on-line training on PSEA and SH, and that this is repeated on a regular basis.			
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<b>8</b>	<b>MONITORING AND EVALUATION</b>	<b>A</b>	<b>B</b>	<b>C</b>
<b>A</b>	The agency/office has established safe and confidential procedures for monitoring incidences, to better identify trends and improve the assessment of programme risks.			
<b>B</b>	Regular programmatic monitoring and evaluation incorporates PSEA as a standing item.			
<b>C</b>	Regular consultations with concerned populations on service provision and delivery of assistance (distribution of commodities, health services, education, etc.) take place.			
<b>D</b>	Senior managers regularly visit the field, project sites.			
<b>E</b>	Senior managers analyse trends and ensure reporting to relevant investigative bodies of SEA/SH incidents.			

<b>9</b>	<b>COMMUNITY AWARENESS RAISING</b>	<b>A</b>	<b>B</b>	<b>C</b>
<b>A</b>	The agency/office has strengthened the mass information systems to ensure that all members of concerned populations, regardless of sex, age and diversity, receive information in appropriate forms to inform them that goods and services are their entitlement and do not require payment of any kind.			
<b>B</b>	The agency/office has disseminated the Code of Conduct amongst concerned populations, and community leaders can advise their communities on the Code / expected behaviours of personnel and the reporting mechanisms.			
<b>C</b>	The agency/office ensures that copies of the Code of Conduct, translated into local languages, are freely available to concerned populations.			
<b>D</b>	Information on complaints mechanisms are displayed prominently at service deliver and provision sites and translated into local languages.			
<b>E</b>	The agency/office ensures that field staff have the ability to promote and encourage standards of accountability and their Code of Conduct to concerned populations in their programmes.			

<b>10</b>	<b>COORDINATION</b>	<b>A</b>	<b>B</b>	<b>C</b>
<b>A</b>	A focal point at a senior level, and an alternate, have been appointed within the agency for the implementation / follow up of PSEA/SH activities. The focal point and senior management are committed to implementing SEA/SH inter-agency referral pathways.			
<b>B</b>	The agency/office has strengthened collaboration and coordination among all sectors and partners in addressing SEA/SH with an emphasis on the needs of survivors, e.g. case management, advocacy and emotional support.			
<b>C</b>	The PSEA focal point or her/his alternate attends regular coordination meetings with all actors to ensure a concerted effort in prevention and response to sexual exploitation and abuse, and sexual harassment.			

<b>11</b>	<b>EXTERNAL/IMPLEMENTING PARTNERS</b>	<b>A</b>	<b>B</b>	<b>C</b>
<b>A</b>	All contracts with external implementing partners or service providers (including transporters, warehouse staff, guards etc.) incorporate the core principles of the Code of Conduct, which includes PSEA/SH, as part of the agreement			
<b>B</b>	It is written into the contract that any violation of the Code of Conduct by that implementing partner can result in termination of the contract.			
<b>C</b>	All implementing partners are aware that they are responsible for ensuring the Code of Conduct is made known to concerned populations with whom they are working.			
<b>D</b>	All community-based organisations, partners and government officials participate in SEA/SH trainings offered by the agency/office.			