Part II: Training Tools

Facilitation Guide

Module 1: Introduction to PSEA Training of Trainers (ToT)

- To introduce basic training-of-trainer tools and the processes that will foster learning through doing.

SESSION 0: OVERVIEW OF PSEA TRAINING OF TRAINERS (30 MIN)
SESSION 1: KEY CONCEPTS (1 HOUR, 45 MIN)
SESSION 2: ZERO TOLERANCE FOR SEA (30 MIN)

Participants

Training of trainers

PSEA/ safeguarding/ protection focal points

Training roll-out phase

Program staff

Duration

2 hours, 45 minutes

SESSION 0: OVERVIEW OF PSEA TRAINING OF TRAINERS (30 MIN)

Objectives

- Understand the purpose of the training.
- Understand the structure, tools and flow of the training.

Materials

- Flip chart and markers
- Projector and slides

Training tools

- TT 1.1 PSEA training of trainers (ToT) roll-out plan template (one per participant)
- TT 1.2 Facilitation practice feedback form (one per participant, per exercise)

Handout

- HO 1.1 PSEA ToT agenda (one per participant)

PLENARY (15 MIN)

Welcome and agenda. (See example H HO 1.1 PSEA ToT agenda)

Purpose

Equip participants with knowledge and skills for the PSEA trainings on:

- Eight Minimum Operating Standards for PSEA, which form the framework of the training.
- Introduction to PSEA, a one-day training as an onboarding and refresher course on PSEA (handout).
- Facilitation methodologies.

Structure and flow

- Modules 1 to 9 on the elements of PSEA and safe programming.
- Module 10 on facilitation methodologies.
- Facilitation practice session using core exercises during each module as an opportunity for participants to practice their facilitation skills.

In this session, select facilitators for all facilitation practice sessions:

SHOW a flip chart listing all sessions of each of the five training days so participants can select an exercise they volunteer to facilitate. At the end of the session, distribute the facilitation notes for each of the exercises to be facilitated by the participants.

Introduction of key tools

- T **TT 1.1 PSEA Training of Trainers (ToT) roll-out plan template** After each module, the participants should fill in the training plan template with their observations of the module content and how the module will be rolled out within their organizations.
- T **TT 1.2 Facilitation practice feedback form** This form is to be used by all participants during each of the facilitation practice sessions to provide feedback on the facilitation by other participants.
- **ToT facilitation plan** This Excel sheet contains the detailed flow of the ToT. It can be used by the facilitator to adjust the content (methodology, timing) of each module and check what preparation is needed prior to the training.

EXERCISE (15 MIN)

Ball game (or similar name games)

ASK participants to stand in a circle. **GIVE** one participant a ball, and ask them to say their name, role and what they want to learn from this workshop. **ASK** the participant to throw the ball to another person in the circle and repeat.

SESSION 1: KEY CONCEPTS (1 HOUR, 45 MIN)

Outline

- Safeguarding and PSEA (10 min)
- Facilitation practice: Power walk (1 hour)
- Human rights and gender-based violence (35 min)

Objectives

- Understand PSEA as a component of safeguarding.
- Explore the concepts of power, violence and gender, and their relationship to sexual exploitation and abuse.
- Understand how power can be abused in a humanitarian setting, and how the relationship with the program participants is affected.

Key messages

- Power imbalance is at the heart of SEA issues. Humanitarian workers hold enormous power, which can create the risk of exploitation and abuse.
- SEA is a form of violence as it threatens the well-being, health and development of those affected.
- SEA is also a human rights violation as it concerns the erosion of a number of basic human rights, such as the right to life, equality and security of the person.
- SEA also has a gender dimension because emergencies tend to create, reinforce and exacerbate existing vulnerabilities. Due to historic inequalities, there has been a tendency for women to be affected to a greater degree than men.
- Understanding and addressing power dynamics, both within the community and in relation to humanitarian workers, is crucial to ensuring the safeguarding of the most vulnerable, especially from SEA risks.

Materials

- Flip chart and markers

Training tool

- TT 1.3. Power walk character cards

Top ToT tip

This session is designed as a refresher for participants on concepts related to gender and gender-based violence. Facilitators do not need to go through all the concepts in great detail and may use their discretion to skip this session with advanced audiences. However, it is important to ensure that the themes are referred to throughout the training to ensure PSEA implementation remains focused on survivors and their needs, rather than on check-box compliance.

PLENARY: SAFEGUARDING AND PSEA (10 MIN)

INTRODUCE the session by explaining that throughout the training we will be learning about PSEA measures. These ensure prevention of and response to SEA incidents caused by staff misconduct. However, there is a broader concept that addresses all staff misconduct beyond SEA incidents. This is called safeguarding and it includes all types of exploitation and abuse, such as child labor or trafficking. Therefore, PSEA is only one aspect of safeguarding and all measures that will be discussed are also relevant to safeguarding. This is because at the core of all staff misconduct is the power imbalance between the organizations that provide services and those in need of those services.

ALLOW time for questions.

EXPLAIN that within the SPSEA project, CRS will not be able to provide direct support to partners on safeguarding, but all structures and systems put in place for PSEA can be used for broader issues of abuse and exploitation. Further brief reference to safeguarding will be made in *Module 3: Developing PSEA policy and code of conduct*.

EXPLAIN that some of the key concepts that will be covered in this session include power, violence, human rights, gender and GBV, exploitation and abuse.

To further explore the concept of power, **INVITE** the participants to join an exercise. A participant facilitator will lead the exercise, using the facilitation guide below:

FACILITATION PRACTICE: POWER WALK (45 MIN)

Let participants know that in this session we will explore basic concepts related to power, sexual exploitation and abuse. **ASK** the participants to stand in a single row across one side of the room facing the facilitator.

DISTRIBUTE the T **TT 1.3 Power walk character cards** to the participants. Instruct them not to share their character's identity. Ask them to pretend to be that character, and to form a picture of who they are and what their life is like. They must then think about what their character's answers would be to a list of questions.

ASK them to take one step forward if their answer is "yes" to a question, and to stay where they are if the answer is "no."

READ each of the following questions, allowing enough time for participants to decide whether to take a step.

- *Did you have enough to eat today?*
- *Do you have cash in your pocket?*
- *Do you have a valid government-issued ID?*
- *Do you have access to a telephone?*
- *When you are sick, are you able to see a doctor and pay (if necessary) for their services?*
- *Do you travel freely throughout your country of residence?*
- *If you were robbed, would you go to the police to report the crime?*
- *Did you finish primary school?*
- *Are your opinions and ideas respected by your family?*
- *Can you read the newspaper?*
- *Did you have access to clean water today?*
- *Did you have access to a latrine or toilet today?*

For the next two questions, **ASK** them to stay where they are if the answer is "yes," and to take a step backward if the answer is "no."

- *Do you feel safe from SEA?*
- *If you were a victim/survivor of SEA, would you report such an incident?*
- *If you were a victim/survivor of SEA, would you know what kind of assistance you could receive?*

ASK the participants that have moved the least (i.e. the least privileged):

- *Why are you where you are?*
- *Why have you moved so little or even backward?*

ASK the participants that have moved the most (i.e. the most privileged):

- *Why are you where you are?*
- *Why have you moved so much?*

REPHRASE what each participant says, highlighting the vulnerability factor(s) (sex/gender, age and/or other diversity factors) that disadvantages their character.

ASK other participants to reveal their characters and to explain why they stepped forward or not in response to particular questions.

Use the following questions to guide the discussions:

- What did you assume about your character, if it was not explicitly stated, e.g. age, gender, ethnicity?
- Who are the more vulnerable members of the community? Who are the more powerful?
- How did the additional risk of exploitation or abuse impact the position of those most vulnerable (i.e. those that moved least)?
  - Those characters at risk of abuse and exploitation took a step backward; this shows the impact that incidents like these can have on people.
  - Abuse and exploitation can cause injury, health and physiological problems, and further hinder people's dignity, well-being, and access to human rights.
- Imagine you work for an NGO helping people in need. Which groups would require special attention to facilitate their safeguarding from risk of exploitation and abuse from NGO staff?
  - Depending on the context, but likely related sex, age, or other diversity factor.
  - NGOs (and by proxy, NGO workers) decide who receives resources and who does not. This gives us a lot of power, or at least the perception of power, which can create the risk of abuse and exploitation.
- Often people have less access to support based on their sex/gender, age or other diversity status. How might lack of access to support further impact victims/survivors of exploitation and abuse in your context?
  - Hinder recovery from the incident, stop them from claiming justice, etc.

HIGHLIGHT that participants were scattered across the room. Those with more power and greater access to their rights were closer to the facilitator and those who were more vulnerable were further back.

We are all born equal and with human rights (such as the right to education and the right to family life). However, we do not all have access to those rights. Not everyone experiences the world in the same way. If we are from a group that is marginalized, or treated differently because of our sex/gender, age or other diversity factor (socioeconomic, political, ethnic or religious), we may be less protected in our societies, just by virtue of who we are.

Human rights can be deliberately denied or abused, putting people's safety and dignity at risk, and increasing abuse or exploitation by people in positions of power.

After participants have returned to their seats, **EXPLAIN** that this exercise aims to demonstrate how power imbalance is at the heart of SEA/safeguarding issues. **NGO workers hold enormous power, as our organizations decide who receives services and resources and who does not.** This can create the risk of exploitation and abuse, particularly for those who are already marginalized due to sex/gender, age, or other diversity factors, such as disability, lack of economic stability, being a member of a religious/ethnic/political minority.

This increased imbalance of power between aid workers and the most vulnerable is at the core of SEA issues. It creates additional risks that must be addressed both programmatically—in project design—and structurally within organizations through PSEA/safeguarding.

INVITE the participants and the participant facilitator to provide feedback on the facilitation process. Ask what went well and what the challenges were? Highlight missing points and key messages, if any, from the facilitation.

EXPLAIN in plenary that this exercise highlighted several key concepts that we must understand in order to better understand the foundations of sexual exploitation and abuse.

PLENARY: HUMAN RIGHTS AND GBV (35 MIN)

EXPLAIN that the exercise showed how some people have more power than others and can more easily access their rights. These rights are called human rights and are the most basic freedoms that we all should possess. Human rights:

- Oblige governments (**duty bearers**) to respect certain freedoms of individuals.
- Are universal **legal guarantees** protecting individuals and groups.
- Are **universal** as all people are entitled to them.
- Are **inalienable** because they cannot arbitrarily be given up or taken away.

For example, The Universal Declaration of Human Rights establishes basic rights to which all men, women and children are entitled, without discrimination, such as the right to life, liberty and security, education, and to live free from torture. Even the most vulnerable should be able to enjoy these rights.

Note: SEA concerns the violation of a number of basic human rights. If time permits, ask participants for a few examples of basic human rights that SEA violates.

HIGHLIGHT that violence is behavior intended to harm someone and undermine their health, well-being or development. This means they are not able to realize their rights. It can take many forms, not just physical, but also economic, social and structural.

ASK participants to define “gender.” **EXPLAIN** that “gender” is a concept that is used to describe socially determined differences between men and women, while “sex” is used to describe physical differences between men and women. If participants are unfamiliar with these concepts, use the exercise below.

Optional exercise

READ out the following statements. First ask any in the group who believe the statement describes a *sex* difference to raise their hands. Next, ask any in the group who believe the statement describes a *gender* difference to raise their hands.

In discussion, **CLARIFY** any statements as needed:

- Women give birth to babies, men don't (sex).
- Little girls are gentle and little boys are tough (gender).
- Among agricultural workers, women are paid 40 to 60% of the male wage (gender).
- Women can breastfeed babies, and men can bottle feed babies (sex).

EXPLAIN that gender-based violence (GBV) is a form of violence that can involve human rights abuse, most often resulting from an abuse of power, and that the violence is based on gender inequality. GBV violates numerous principles found in international human rights instruments. These rights include the right to life, equality and security of the person. The term "gender-based violence" recognizes that violence arises from gender roles, power relationships and particularly the subordination of women and their related exploitation. To address violence, one also needs to address issues of gender.

If participants are relatively unfamiliar with this information, the facilitator may wish to highlight that there is a well-documented global phenomenon that men often have power and control over women, girls and boys, and may 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. Women and children are disempowered through unequal access to resources and decision-making. **DEBRIEF** on gender-based violence.

Now pause to **EXPLAIN** that the concepts we have just covered might not be new to many participants, but we have repeated them as it is important for focal points to be able to explain them to others.

Debrief in plenary. **HIGHLIGHT** that:

- People in positions of power are more likely to have the resources and support to ensure their rights are respected, but are also more likely to perpetrate abuse. The most vulnerable may have fewer opportunities to claim their rights and are more vulnerable to abuse.
- Power imbalance is at the core of SEA incidents because humanitarian workers hold enormous power.
- Marginalized people and communities are far more likely to be made more vulnerable during an emergency. The Power Walk exercise helped demonstrate the prevalence of these power imbalances in society.
- There is a gender dimension, as emergencies tend to make existing vulnerabilities worse and, due to historic inequalities, women and girls tend to be more affected than men.
- Sexual exploitation and abuse is a form of gender-based violence. Anyone can commit SEA, but the most likely perpetrators are men and the most likely victims are women.

SESSION 2: ZERO TOLERANCE FOR SEA (30 MIN)

Objectives

- Understand how sexual exploitation and abuse (SEA) can have an impact on and cause serious harm to individuals and communities.
- Understand the sector-wide commitment to zero tolerance for SEA by humanitarian and development workers.
- Understand SEA issues as one of the biggest failures in the safeguarding of program participants in the humanitarian sector.

Key messages

- Sexual exploitation and abuse by staff is unacceptable and prohibited.
- Organizations have a responsibility to create and maintain an environment that prevents SEA, and to respond to all allegations and incidents of abuse.
- In the light of recent incidents of SEA perpetrated by aid workers, it should not be assumed that NGOs are free of SEA. There is an urgent need for a systematic and standardized response.

Materials

- Projector and slides
- Flip chart and markers

Training tool

- Video: To Serve with Pride[1] extract

Handout

- HO 1.2 IASC Six Core Principles 2019 (one per participant)

Online resources

- PSEA Task Force website.
- Inter-Agency Standing Committee (IASC) PSEA website.

1. Inter-Agency Standing Committee (IASC) Task Force on Protection from Sexual Exploitation and Abuse. 2015. *To Serve with Pride: Zero Tolerance for Sexual Exploitation and Abuse.*

EXERCISE: TO SERVE WITH PRIDE VIDEO (30 MIN)

INTRODUCE the session by showing an extract of the To Serve with Pride video[2] (start at 06:08 and stop at 07:30).

Note for facilitators: Depending on the audience and context, other videos can be used:

- No excuse for abuse (InterAction 2020) (available in multiple languages).
- Transactional Sex (Caritas 2019) (with subtitles in multiple languages).

EXPLAIN that some people may find the extract difficult to watch (particularly staff who have worked in or come from these countries). Promote a quiet, reflective atmosphere as participants share their reactions and experiences. Do not insist on people participating in the discussion, and avoid putting anyone on the spot.

ASK:

- *What are your initial thoughts about the extract?*
- *What do you think are some of the key issues raised by this video?*

EXPLAIN how acts of SEA can cause serious harm to individuals, communities and organizations:

- This includes the physical, mental and emotional consequences for the survivor, which can be traumatic and long-lasting.
- There are also consequences for the community, the perpetrator, the organization and any children born as a result of the SEA.
- SEA can take place in any region under any humanitarian or development intervention. It is important not to assume that NGOs are free of SEA.
- Explain that safeguarding from SEA involves addressing SEA acts by staff through a set of clearly defined policies and procedures to end SEA by aid workers, in both the humanitarian and development contexts.
- Two key SEA prevention tools are a PSEA policy and a code of conduct.

SHARE with the participants the background to addressing SEA by introducing the 2003 UN Secretary-General's Bulletin: Special measures for protection from sexual exploitation and sexual abuse as a tool for preventing cases of SEA by aid workers.

EXPLAIN that:

- Prevention is the first step in combating SEA with a number of tools and mechanisms that increase the capacity of an organization to prevent SEA incidents.
- SEA incidents arise from staff behaviors and attitudes that need to be addressed formally by organizational policies and procedures.
- The role of leadership and its commitment to establishing, promoting and adhering to policies and procedures related to PSEA must be understood.

2. Also available in Arabic, Chinese, French, Russian and Spanish.

EXPLAIN that the Inter-Agency Standing Committee was established in 1992 by a UN Resolution as a primary mechanism for inter-agency coordination of humanitarian assistance for all aid actors. The IASC is one of the key actors in defining and promoting PSEA standards. Its 2019 updated Six Core Principles Relating to Sexual Exploitation and Abuse define standards of behavior for all humanitarian workers across the sector. These have been translated into over 100 languages.

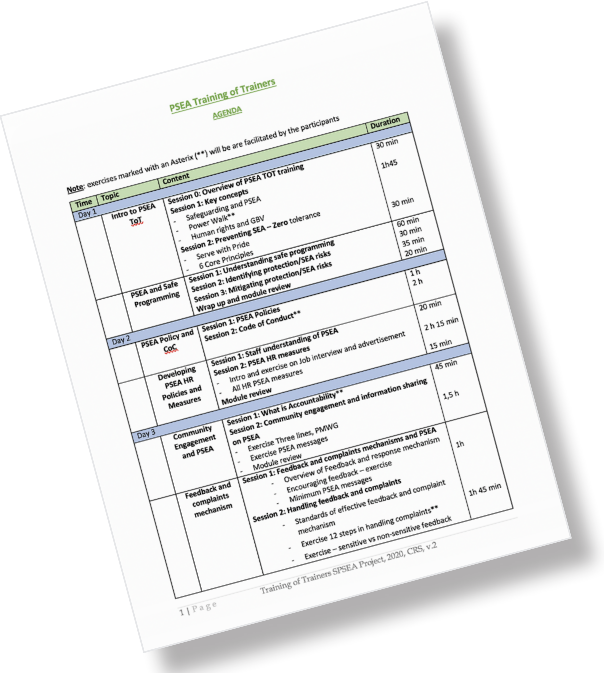
ASK participants to read each of the updated standards. **DISTRIBUTE H HO 1.2 IASC Six Core Principles 2019**.

HIGHLIGHT that all Six Core Principles must be included in any code of conduct and, together with the IASC's eight Minimum Operating Standards, should be an integral part of any PSEA policy. They will be discussed further in the following sessions.

In plenary, debrief by **HIGHLIGHTING** key points raised in this session:

- Sexual exploitation and abuse is unacceptable and prohibited for staff.
- Organizations have a responsibility to create and maintain an environment that prevents sexual exploitation and abuse, and to respond to all allegations and incidents of abuse.
- It is important to not assume NGOs are free of SEA. SEA by humanitarian workers has gained focus due to recent incidents, and the need for a systematic and standardized response is urgent.

HO 1.1 PSEA Training of Trainers Agenda



PSEA Training of Trainers

AGENDA

Note: exercises marked with an Asterix (**) will be are facilitated by the participants

Time	Topic	Content	Duration
Day 1			
	Intro to PSEA ToT	**Session 0: Overview of PSEA TOT training** **Session 1: Key concepts** - Safeguarding and PSEA - Power Walk** - Human rights and GBV **Session 2: Preventing SEA – Zero** tolerance - Serve with Pride - 6 Core Principles	30 min 1h45 30 min 60 min 30 min 35 min 20 min
	PSEA and Safe Programming	**Session 1: Understanding safe programming** **Session 2: Identifying protection/SEA risks** **Session 3: Mitigating protection/SEA risks** **Wrap up and module review**	1 h 2 h
Day 2			
	PSEA Policy and CoC	**Session 1: PSEA Policies** **Session 2: Code of Conduct****	20 min 2 h 15 min 15 min
	Developing PSEA HR Policies and Measures	**Session 1: Staff understanding of PSEA** **Session 2: PSEA HR measures** - Intro and exercise on Job interview and advertisement - All HR PSEA measures **Module review**	45 min
Day 3			
	Community Engagement and PSEA	**Session 1: What is Accountability**** **Session 2: Community engagement and information sharing on PSEA** - Exercise Three lines, PMWG - Exercise PSEA messages - Module review	1,5 h
	Feedback and complaints mechanism	**Session 1: Feedback and complaints mechanisms and PSEA** - Overview of Feedback and response mechanism - Encouraging feedback – exercise - Minimum PSEA messages **Session 2: Handling feedback and complaints** - Standards of effective feedback and complaint mechanism - Exercise 12 steps in handling complaints** - Exercise – sensitive vs non-sensitive feedback	1h 1h 45 min

Training of Trainers SPSEA Project, 2020, CRS, v.2

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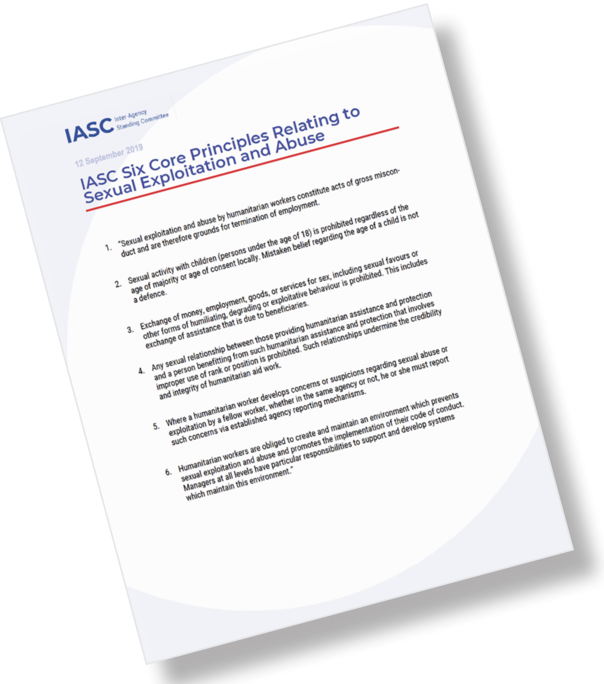
HO 1.2 IASC Six Core Principles



IASC Inter-Agency Standing Committee

12 September 2019

IASC Six Core Principles Relating to Sexual Exploitation and Abuse

1. "Sexual exploitation and abuse by humanitarian workers constitute acts of gross misconduct and are therefore grounds for termination of employment.
2. Sexual activity with children (persons under the age of 18) is prohibited regardless of the age of majority or age of consent locally. Mistaken belief regarding the age of a child is not a defence.
3. Exchange of money, employment, goods, or services for sex, including sexual favours or other forms of humiliating, degrading or exploitative behaviour is prohibited. This includes exchange of assistance that is due to beneficiaries.
4. Any sexual relationship between those providing humanitarian assistance and protection and a person benefitting from such humanitarian assistance and protection that involves improper use of rank or position is prohibited. Such relationships undermine the credibility and integrity of humanitarian aid work.
5. Where a humanitarian worker develops concerns or suspicions regarding sexual abuse or exploitation by a fellow worker, whether in the same agency or not, he or she must report such concerns via established agency reporting mechanisms.
6. Humanitarian workers are obliged to create and maintain an environment which prevents sexual exploitation and abuse and promotes the implementation of their code of conduct. Managers at all levels have particular responsibilities to support and develop systems which maintain this environment."

TT 1.1 PSEA Training of Trainers (ToT) roll-out plan template

Instructions: Complete the template to develop a training roll-out plan. Please adapt and add to the template as needed for your context and audience.

MODULE: ______________________________

PRIMARY AUDIENCE: ______________________________

OBJECTIVES: ______________________________

Adjustments:

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Preparation needed prior to the training:

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Support needed:

Comments:

TT 1.2
Facilitation practice feedback form*

Exercise: ________________________________ Facilitator: ____________________________

Rank the following

	Very poor	Poor	Satisfactory	Good	Very Good	N/A	Observations/Recommendations
Session introduction							
Task instructions							
Discussion facilitation							
Engagement of audience							
Clarity of key messages							
Trainer's attitude/ behavior							

What did the trainer do best?

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What does the trainer need to improve the most?

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* Adapted from CRS EMECA Safeguarding ToT Focal Points.

TT 1.3 Power walk character cards

MEMBER OF A RELIGIOUS MINORITY	65-YEAR-OLD MALE SUBSISTENCE FARMER WITH A WIFE AND SIX CHILDREN LIVING IN A REGION OF ETHNIC CONFLICT	RELIGIOUS LEADER WORKING IN A PEACEFUL COMMUNITY	15-YEAR-OLD FEMALE HEAD OF HOUSEHOLD IN A RURAL VILLAGE WITH TWO YOUNGER SISTERS
12-YEAR-OLD NEWLY WED	REFUGEE FROM A NEIGHBORING COUNTRY	16-YEAR-OLD TRAFFICKED MALE	MALE POLICE OFFICER
PERMANENTLY DISABLED SURVIVOR OF A CYCLONE	POLITICAL LEADER	45-YEAR-OLD WIDOW WITH SIX CHILDREN	NGO EMPLOYEE (NATIONAL STAFF)
TRANSGENDER PERSON	MIGRANT WORKER WITHOUT LEGAL DOCUMENTATION	NGO EMPLOYEE (LOCAL STAFF)	SUCCESSFUL MALE BUSINESS OWNER
17-YEAR-OLD DRUG ADDICT LIVING ON THE STREETS	16-YEAR-OLD SINGLE MOTHER WHO IS A SEX WORKER	10-YEAR-OLD BLIND GIRL IN AN ORPHANAGE	HUMANITARIAN WORKER WITH THE UNITED NATIONS
FEMALE HEAD OF HOUSEHOLD	UNACCOMPANIED CHILD	MAN WITH A MENTAL DISABILITY	SON OF A POLITICAL OPPONENT
FEMALE CHAIRMAN MEMBER	FEMALE GARMENT WORKER		

Adapted from PMWG Protection Mainstreaming training, Module 1: Protection

Facilitation Guide
Module 2: PSEA and Safe Programming

- To understand how safe programming approaches and practices can help identify and mitigate risks of sexual exploitation and abuse in programs.

SESSION 1: UNDERSTANDING SAFE PROGRAMMING (60 MIN)
SESSION 2: IDENTIFYING PROTECTION/SEA RISKS (45 MIN)
SESSION 3: MITIGATING PROTECTION/SEA RISKS (45 MIN)

Participants

Training of trainers

PSEA/ safeguarding/ protection focal points

Training roll-out phase

Program staff

Duration

2 hours, 30 minutes

SESSION 1: UNDERSTANDING SAFE PROGRAMMING (60 MIN)

Objectives

- Participants understand what safe programming is and why it is important.
- Participants understand how safe programming can contribute to PSEA efforts.

Key messages

- Safe programming, otherwise known as protection mainstreaming, is about enhancing safety, dignity and meaningful access in programs. It does not mean changing what assistance is provided, but thinking about the process of *how* assistance is provided.
- Safe programming can help minimize the risk of SEA by humanitarian staff in communities because it involves establishing measures to prevent and respond to harm caused by staff and programs. This includes measures to prevent staff from exploiting their positions of power.
- Safe programming therefore enables teams to operationalize PSEA strategies at the program level.

Materials

- Projector and slides
- Flip chart and markers
- Cards

Training tool

- TT 2.1 Links between safe programming and PSEA (one per participant)

Handout

- HO 2.1 Briefing note: Protection mainstreaming / safe and dignified programming (with PSEA focus) (one per participant)

Online resources

Protection mainstreaming video (Protection Mainstreaming Working Group, PMWG)

- English
- French
- Spanish
- Arabic

PREPARATION (IN ADVANCE)

PREPARE cards of the eight core components of protection mainstreaming.

1. Analysis
2. Targeting and diversity of need
3. Information sharing
4. Community engagement
5. Feedback and complaints mechanisms
6. Coordination and advocacy
7. Mapping and referral
8. Staff conduct

STICK them on a wall where they are clearly visible.

EXERCISE (10 MIN)

INTRODUCE the session by saying that safe programming is also known as protection mainstreaming. **ASK** participants if they are familiar with the concept and whether they have participated in a safe programming or protection mainstreaming training.

EXPLAIN that there is already a lot of experience in the room on the topic. In this module, we will draw from it and show the links with PSEA.

SHOW the Protection Mainstreaming Working Group video.

ASK participants to turn to their neighbor and discuss the answers to the following questions:

- *What is your own experience of integrating safe programming or protection mainstreaming into your work?*
- *How does your experience relate to the eight components of the protection mainstreaming framework?*

GIVE them 5 minutes to do that.

ASK the participants to share their ideas. **WRITE** their answers on the flip chart and relate each participant's experiences to the eight core components of the framework using the cards prepared ahead: **HIGHLIGHT** that:

- Safe programming is also known as protection mainstreaming.
- Safe programming is about increasing safety, dignity and access.
- All staff have a role to play in safe programming.
- Safe programming focuses not on *what* we do, but *how* we do it.
- One approach to safe programming is outlined in the protection mainstreaming framework that consists of eight core components. These are practical actions that teams can take.

Top ToT tip

With certain audiences, it may be better not to use the language of protection mainstreaming, but to focus on safe programming only.

EXERCISE (30 MIN)

EXPLAIN that safe programming plays a critical role in supporting PSEA efforts. Safe programming is about operationalizing PSEA at the program level and practical actions staff can take to minimize and address the harm caused by staff and programs. **DIVIDE** the participants in two groups.

GIVE Group A the first four framework components cards and eight sets of practical actions that can be taken to minimize and address SEA. **T TT 2.1 Links between safe programming and PSEA**. **GIVE** Group B the remaining four framework components cards and eight sets of practical actions that can be taken to minimize and address SEA. **T TT 2.1 Links between safe programming and PSEA**.

ASK them to match the cards with the appropriate list of actions. **GIVE** each group 10 minutes. **ROTATE** the groups and give them another 5 minutes.

REVIEW the answers and discuss:

- How the components of the protection mainstreaming framework link to PSEA.
- How these actions resonate with participants' own experiences.

1. **Analysis**
   - Include SEA-specific questions in needs assessments to understand the specific risks programs and staff may pose.
   - Collect data disaggregated by age, gender and other vulnerability factors.
   - Include SEA concerns in country strategies, midterm reviews, final evaluations, and other relevant planning and analysis processes.
2. **Targeting and diversity of need**
   - Adapt or redesign any program/project that is presenting a risk of SEA by staff or associated personnel.
   - Organize distributions closer to the homes of women and girls, and earlier in the day, so that they are at less risk of attack in the dark on the way home.
   - Build private bathing facilities for women and girls.
3. **Information sharing**
   - Provide community members with information on what is appropriate staff behavior and what is inappropriate staff behavior.
   - Ensure that partners and communities can make sensitive complaints, for example about any abuse or exploitation they have experienced by staff.
   - Share written and verbal information on PSEA through leaflets, posters and community meetings.

4. **Community engagement**
   - Involve communities in decisions about what type of complaints mechanisms they would prefer for making sensitive complaints.
   - Identify community practices and traditions of a sexual nature that are potentially abusive and harmful to programming outcomes.
   - Use different methods and tools to engage with different groups on SEA issues.
5. **Complaints and feedback mechanisms**
   - Set up confidential mechanisms to ensure anyone affected by abuse or exploitation by staff or affiliates can make a complaint.
   - Provide information to the community on the complaints-handling process, its purpose and limitations, how it works, and who is responsible.
   - Review SEA complaints trends, report to management and adjust the program accordingly.
6. **Staff conduct**
   - Ensure that the organization’s code of conduct and protection/safeguarding policy state zero tolerance of abuse or exploitation and give clear guidance about how to report any concerns.
   - Orient staff and affiliates on the organization’s code of conduct and child/vulnerable adult protection (or safeguarding) policy.
   - Provide safe and confidential ways to receive and respond to complaints about staff behavior that are understood and used by staff when necessary.
7. **Mapping and referral**
   - Provide staff with laminated cards listing service providers to be used if they come into contact with someone who has experienced violence or abuse, including at the hands of a staff member.
   - Make contact with the nearest protection cluster/coordination group for information on functioning services for victims/survivors of SEA (health care, medical/psychosocial/legal services, safe houses, police, etc.)
   - Orient staff and partners on what to say and how to behave if a community member informs them of an SEA issue.
8. **Coordination and advocacy**
   - Raise concerns with relevant protection actors, for example, if there are rumors around SEA by NGO staff, such as exchanging assistance for sex.
   - Share experiences of mainstreaming SEA within projects/programs with the protection cluster and SEA coordination group; when available, drawing on community and local partner perspectives. Raise issues, such as unsafe service provision, GBV and general violence and abuse, with responsible actors (e.g. local government, protection cluster).

MENTION that this module will focus on certain components, including analysis. Other components are covered in the other modules (e.g. feedback and complaints).

HIGHLIGHT other key areas of the intersection of protection mainstreaming and PSEA:

- Program participants who desperately need goods and services will be more vulnerable to exploitation. Safe programming measures can help reduce people's vulnerability to exploitation and abuse in general, and more specifically to SEA by staff and personnel.
- Safe programming involves putting measures in place to prevent and respond to the harm caused by staff and programs. This includes measures to prevent staff exploiting their positions of power.
- Safe programming is about increasing safety, dignity and access, and is achieved by building positive trusting relationships with communities. This is also essential for PSEA. By building trust in programs, engaging communities, and responding to programmatic feedback, you also build people's confidence to report sensitive issues.

EXERCISE (OPTIONAL) (15 MIN)

READ the following case study:

You are making a routine monitoring visit to a program site and you check in with the team on the help desk to see what feedback is coming in. There is not much to report but, as you are observing activities, a team member tells you that earlier that day a woman came to speak to her. She told the team member that in order to access the program services, she was forced to have sexual intercourse with a staff member of your organization. She said that the staff member said he would deliver the goods, as she was unable to carry them the long distance to her home, and when he came to her house he raped her. (This is a real case from Mozambique)

What immediate actions do you take?

In plenary, **ASK** participants to share their thoughts. **EXPLAIN** how these actions link with the core components of the protection mainstreaming framework, and give additional guidance, if needed:

Action	Core framework components	Recommendations
Remove the person from field duties.	■ Staff conduct ■ Complaints and feedback mechanism	■ Do not inform the staff that there has been a complaint about the person, as this could lead to them intimidating witnesses and the victim/survivor, putting people at further risk, and hindering the investigation process. ■ Consider giving the staff member a plausible office-based task that will take some time. ■ Make sure that they do not have access to the field site or program participants and, if possible, do not have opportunities to represent the organization externally. ■ Ensure confidentiality of the investigation process to protect the victim/survivor, the investigation team and the accused staff member. ■ Suspend the staff member once the investigation starts.
Facilitate the victim/survivor's access to medical, psychosocial and legal services, and any others they might need.	■ Mapping and referral	■ Orient the victim/survivor to specialized organizations, or government or private services with the dedicated capacity and resources. ■ Do not interview the victim/survivor; that is the role of the investigation team.
Conduct a protection risk analysis at the start of all programs and put in place mitigating actions.	■ Analysis ■ Targeting and diversity of need	■ If the targeting strategy was adapted to provide additional support to female heads of households, the elderly and people with disabilities who cannot carry heavy packs to their houses, this risk could have been mitigated. ■ Follow sector-specific safe programming guidance (i.e. sector-specific checklists).

PLENARY (5 MIN)

GIVE the participants a copy of **H HO 2.1 Briefing note: Protection mainstreaming / safe and dignified programming (with PSEA focus)**.

WRAP UP:

- Safe programming is also known as protection mainstreaming.
- One approach to protection mainstreaming is outlined in the Protection Mainstreaming Framework that consists of eight core components. These are practical actions that teams can take.
- Safe programming is about operationalizing PSEA at the program level and about the practical actions staff can take to minimize and address the harm caused by staff and programs.

SESSION 2: IDENTIFYING PROTECTION/SEA RISKS (45 MIN)

Objective

- Participants understand whether and how the SEA risks identified will affect the program.

Key message

- It is essential to consider SEA risks by staff or associated personnel when designing and implementing a program/project.

Materials

- Projector and slides
- Sticky notes or cards
- Flip chart

Training tool

- TT 2.2 Protection risks

BUBBLE EXERCISE PART 1 (45 MIN)

DIVIDE the participants into three or four groups. **ASK** those that have done a bubble exercise before to support the group and clarify the instructions if needed.

DISTRIBUTE **T** **TT 2.2 Protection risks**. **EXPLAIN** that this list includes some protection issues staff might encounter in their contexts.

ASK them to read through the list and to focus on the context they are working in. Ask them to eliminate or add protection risks as appropriate for their context.

ASK them to select three to five of the most important risks per category (GBV, child protection, physical safety of civilians, housing land and property, lack of access to services) and write one risk per sticky note. The groups should then draw three to five bubbles on a flip chart and group these risks around the relevant category.

ASK the participants to spend more time on the risks and issues related to sexual exploitation and abuse in communities. If these risks already exist in the community, does it make it more likely that exploitation and abuse by staff will happen?

SHOW that the final analysis can look like the example on the slide, which is from the Philippines.

EMPHASIZE that participants working with organizations who don't have a protection mandate should not have to collect all this information from the community:

- Non-protection staff should NOT collect data about protection risks directly from affected populations. Rather, they should use existing information and data collected by protection experts, such as the protection cluster and protection-mandated organizations.
- Generalist organizations may do harm in the community by asking about protection issues because of their sensitive nature.

DEBRIEF to highlight the following:

- Assess the context in which the program is to take place.
- Identifying the general risks and issues related to sexual exploitation and abuse in communities is essential.
- Analysis of the context (including protection risks) should inform decision-making and should be regularly updated.
- Communities already experiencing abuse and exploitation are more vulnerable to it being perpetrated by staff, associated personnel, and contractors.

Top ToT tip

Facilitators can choose to give time for participants to present their bubbles in plenary, especially if unknown or unexpected SEA risks have been identified.

SESSION 3: MITIGATING PROTECTION/SEA RISKS (50 MIN)

Objectives

- Participants understand how to adapt programs/projects if there are SEA risks.
- Participants identify simple mitigation steps that can be taken in response to general and specific SEA risks.

Key message

- It is critical to adapt or redesign any program/project that presents a risk of SEA by staff or associated personnel.

Materials

- Projector and slides
- Flip charts and markers
- Cards

Online resources

- CRS Emergency Field Operations Manual (EFOM)
- Protection Mainstreaming APP mobile application

BUBBLE EXERCISE (PART 2) (50 MIN)

ASK the participants to reform the groups they were in during the bubble protection analysis. Use the analysis produced in the previous exercise as a starting point.
ASK the groups to only focus on the identified SEA risks and consider:

- *Could the program/project increase or exacerbate the SEA risks by staff and associated personnel?*

In plenary, **ASK** participants to give extra information on how the program/project could increase SEA risks identified.

ASK participants to think of mitigation strategies. For example:

- Map the patterns of behavior within families and communities when designing programs and projects, e.g. who fetches water, who manages household income. These behavior patterns might make certain family members more vulnerable to SEA, such as adolescent girls fetching water from remote water points.
- Ensure all those involved in the delivery of goods and services are making sure that program participants are safe. For example, if sexual exploitation is a risk for older female households in shelter programs, consider providing additional labor to help them repair/rebuild their shelters. Monitor, with the communities you are working with, whether the program/project is safe. Ask specific questions about whether harm or abuse has arisen because of the delivery of goods and services, whether it has been reported, and what would help to prevent it arising in future.
- Include costs in the program/project budget for prevention, awareness-raising and training on SEA and response.
- Incorporate awareness-raising and communications on PSEA into program/project activities.

ASK each group to write mitigation measures and strategies on a card and add them to their bubbles flip chart.

Time allowing, **ASK**:

- *Did you face any challenges in adapting the program/project to SEA risks (budget, organizational barriers, donor requirements, etc.)? If so, how did you address them?*

WRAP UP

- Program participants who desperately need goods and services will be more vulnerable to exploitation.
- Adapting, or redesigning, any program/project that is presenting a risk of SEA by staff or associated personnel is essential.

SHARE additional resources:

- Protection Risk Analysis Matrix and Action Plan Template, CRS
- Protection Mainstreaming Framework, PMWG
- Protection Risk Analysis, CRS
- Guidance Note: How to Incorporate Protection Mainstreaming in Project Designs and Funding Proposals, PMWG
- Protection Mainstreaming Monitoring, Evaluation and Learning Toolkit, PMWG
- Protection Mainstreaming Sector Checklists (Shelter, WASH, Cash, Safe Distribution, etc.), PMWG

Online resources

- CRS Safe & Dignified Programs
- Protection Mainstreaming mobile application

MODULE REVIEW FOR ROLL-OUT (15 MIN)

ASK each participant to use the training plan template from *Module 1* to modify or reflect on the session for the roll-out phase.

HIGHLIGHT that this module should be targeting all program staff.

HO 2.1 Briefing note

PROTECTION MAINSTREAMING / SAFE AND DIGNIFIED PROGRAMMING (WITH PSEA FOCUS)

What is protection mainstreaming?

Protection mainstreaming is the process of incorporating protection principles and promoting meaningful access, safety and dignity in humanitarian aid. Guiding principles that must be taken into account in all humanitarian activities are:

1. **Prioritize safety and dignity and avoid causing harm:** Prevent and minimize as much as possible any unintended negative effects of your intervention that can increase people's vulnerability to physical and psychosocial risks.
2. **Meaningful access:** Arrange for people's access to impartial assistance and services, in proportion to need and without any barriers (i.e. discrimination). Pay special attention to individuals and groups who may be particularly vulnerable or have difficulty accessing assistance and services.
3. **Accountability to program participants:** Set up appropriate mechanisms through which affected populations can measure the adequacy of interventions, or address concerns and complaints.
4. **Participation and empowerment:** Support the development of self-protection capacities and assist people to claim their rights, including—but not exclusively—the right to shelter, food, water and sanitation, health and education.

A help desk at a food distribution.

Why is protection mainstreaming important?

Protection mainstreaming can help us improve the quality of humanitarian programming by ensuring the most vulnerable access assistance that is appropriate and relevant to their needs and delivered in a safe and dignified way.

We also have an ethical responsibility to mainstream protection across all humanitarian sectors as our work always has implications beyond meeting basic needs. Interventions can safeguard well-being and dignity, but they can also put people at increased risk. Failure to mainstream protection may prevent recovery and resilience-building in affected communities. Our actions or inactions may also perpetuate discrimination, abuse, violence and exploitation, and unnecessarily cause competition and conflict in communities.

It is therefore a shared responsibility of all humanitarian actors to be aware of the potential harm activities can cause and to take steps to prevent this. These responsibilities are articulated in a number of global standards and guidelines and are increasingly a condition of donor funding.

What does it mean in practice?

The four **guiding principles** underpin the **core components** of protection mainstreaming. Together these form the foundation of all protection work, from mainstreaming to standalone projects.

The core components comprise practical actions that many teams may already be following but when applied in a systematic way can help ensure the safety, dignity and access of program participants. See what these components mean in practice in the table on the next page.

Components	In practice, this means:
Analysis	All programming is underpinned by an understanding of the protection context throughout the program cycle. *E.g. organize focus group discussions with women and girls to understand their needs and coping strategies.*
Targeting and diversity of need	The differing needs and capacities of the most vulnerable women, men, girls and boys are identified, and assistance is targeted accordingly. *E.g. arrange transport to distribution sites for older persons and people with mobility problems.*
Information sharing	Accurate and timely information is readily available to women, men, boys and girls on who we are, what we're doing and what services are available. *E.g. share written and verbal information through leaflets, posters and community meetings.*
Community engagement	There is active and inclusive community engagement in all stages of the program cycle that builds on and strengthens existing community and state structures, resources and capacities. *E.g. use different methods, such as timelines, calendars, or mapping, to engage different groups.*
Feedback and complaints mechanisms	Men, women, boys and girls are able to provide feedback and report concerns in a safe, dignified and confidential manner, and receive an appropriate response when they do so. *E.g. put in place hotlines, suggestion boxes or help desks.*
Staff conduct	Staff and partners have appropriate knowledge and organizational support to conduct themselves and their work in a safe and appropriate way *E.g. orient staff and volunteers on the code of conduct and on key facts about the projects.*
Mapping/ Referral	Staff and partners have the necessary knowledge and information to support communities in accessing existing services. *E.g. provide staff with laminated cards listing service providers.*
Coordination/ Advocacy	Staff and partners advocate and work together with relevant actors to enhance the protective environment, avoid duplication and prevent, mitigate and respond to protection risks. *E.g. staff raise issues such as unsafe service provision with responsible actors (such as the protection cluster).*

How does protection mainstreaming relate to PSEA?

PSEA refers to measures that protect vulnerable people from sexual exploitation and abuse by staff and associated personnel e.g. of NGOs, the UN and other actors.

Both PSEA and protection mainstreaming consider how the safety, dignity and meaningful access of crisis-affected people is influenced by a humanitarian response, and involve putting measures in place to prevent and respond to harm caused by staff and programs. However, protection mainstreaming primarily addresses these at the programmatic level while PSEA places greater emphasis on the organizational-level culture, policies and systems, such as safe recruitment practices, whistle-blowing and investigation policies, and staff training.

In addition, protection mainstreaming involves considering protection issues that exist *within* the community and mitigating against those risks. This might include ensuring a cash program does not increase the risk of intimate violence of female recipients or a livelihoods program does not involve child labor. PSEA focuses solely on the interaction and power dynamic *between staff and communities*.

A protection mainstreaming approach can help operationalize PSEA strategies as program participants who desperately need goods and services will be more vulnerable to exploitation. Measures that reduce people's vulnerability in general will help reduce the potential for SEA by staff and personnel. A consistent protection mainstreaming approach can also help build the community's trust and put in place the building blocks that enable affected people to safely identify and report SEA issues, for example by ensuring field staff are trained on their organization's code of conduct and by setting up community-level complaints systems.

TT 2.1 Links between safe programming and PSEA

Analysis	■ Include SEA-specific questions in needs assessments to understand the specific risks programs and staff may pose. ■ Collect data disaggregated by age, gender and other vulnerability factors. ■ Include SEA concerns in country strategies, midterm reviews, final evaluations, and other relevant planning and analysis processes.
Targeting and diversity of need	■ Adapt or redesign, any program/project that is presenting a risk of SEA by staff or associated personnel. ■ Organize distributions closer to the homes of women and girls, and earlier in the day, so that they are at less risk of attack in the dark on the way home. ■ Build private bathing facilities for women and girls.
Information sharing	■ Provide community members with information on what is appropriate staff behavior and what is inappropriate staff behavior. ■ Ensure that partners and communities can make sensitive complaints, for example about any abuse or exploitation they have experienced by staff. ■ Share written and verbal information on PSEA through leaflets, posters and community meetings.
Community engagement	■ Involve communities in decisions about what type of complaints mechanism they would prefer for making sensitive complaints. ■ Identify community practices and traditions of a sexual nature that are potentially abusive and harmful to programming outcomes. ■ Use different methods and tools to engage with different groups on SEA issues.
Feedback and complaints mechanisms	■ Set up confidential mechanisms to ensure anyone affected by abuse or exploitation by staff or affiliates can make a complaint. ■ Provide information to the community on the complaint-handling process, its purpose and limitations, how it works, and who is responsible. ■ Review SEA complaints trends, report to management and adjust program accordingly.

Staff conduct	■ Ensure that the organization's code of conduct and protection/ safeguarding policy states a zero tolerance of abuse or exploitation and give clear guidance about how to report any concerns. ■ Orient staff and affiliates on the organization's code of conduct and child/vulnerable adult protection (or safeguarding) policy. ■ Provide safe and confidential ways to receive and respond to complaints about staff behavior that are understood and used by staff when necessary.
Mapping and referral	■ Provide staff with laminated cards listing service providers if they come into contact with someone who has experienced violence or abuse, including at the hands of a staff member. ■ Make contact with the nearest protection cluster/coordination group for information on functioning services for victim/survivors of SEA (health care, medical/psychosocial/legal services, safe houses, police, etc.) ■ Orient staff and partners on what to say and how to behave if a community member informs them of an SEA issue.
Coordination and advocacy	■ Raise concerns with relevant protection actors, for example, if there are rumors around SEA by NGO staff, such as exchanging assistance for sex. ■ Share experiences of mainstreaming SEA within projects/programs with the protection cluster and SEA coordination group, when available, drawing on community and local partner perspectives. Raise issues such as unsafe service provision, GBV and general violence and abuse, with responsible actors (e.g. local government, protection cluster)

TT 2.2 Protection risks

It is important to map threats in our program areas as there are certain things we can do to mitigate against them or to support those who have experienced threats.

The first step in a protection risk analysis is to identify the protection threats that exist where the project is implemented. Threats are the act(s) that prevent the affected population or individual from realizing their human rights. These include human-generated threats such as violence, coercion, deliberate deprivation or discrimination. Below is a list of common protection threats to start the discussion. Remove threats that do not exist in your context or add some that are not named here.

For the threats marked with asterisks (**), consider each item in parenthesis separately. For instance, for physical violence, consider physical assault, trafficking and slavery, as only certain types of physical violence may exist in your context (e.g. physical assault) but not others (e.g. slavery).

Sexual and gender-based violence	■ Sexual violence (rape, attempted rape, sexual assault, sexual exploitation) ** ■ Physical violence (physical assault, trafficking, slavery) ** ■ Psychological violence (emotional abuse, isolation) ■ Harmful traditional practices (female genital mutilation/cutting, early or forced marriage, "honor" crimes, witchcraft accusations, or female infanticide) ** ■ Socioeconomic violence (discrimination, denial of opportunities or services, denial of property rights, e.g. income or inheritance on the basis of gender or ethnicity) ** ■ ....
Child protection	■ Physical violence (such as corporal punishment) ■ Sexual violence ■ Forced recruitment to armed groups or gangs ■ Child labor ■ Separation or unaccompanied minors ■ Lack or limited access to human rights (food, education, health services, documentation (e.g. birth certificate) ** ■ Psychosocial distress and mental disorder ■ ....
Mental health and psychosocial support	■ Distress caused by witnessing or experiencing acts of violence; loss of loved ones; displacement from, or loss of, home and livelihoods ■ Feeling of fear living in insecure environments ■ Loss of routine, social networks and sense of stability ■ Anxiety around lack of information on available assistance

Physical safety of civilians	■ Unsafe or inadequate infrastructure ■ Unsafe or inadequate housing ■ General insecurity and criminality (such as extra-judicial killing, kidnapping, unlawful detention, torture) ** ■ Forced displacement ■ Deliberate controls on freedom of movement ■ Deliberate denial of access to basic services ■ Deliberate targeting of civilian or protected infrastructure (such as schools, hospitals) ■ Landmines and explosive remnants of war ■ ....
Housing, land and property	■ Loss of land tenure documentation (lost or destroyed) ■ Forced evictions ■ Destruction of property ■ Lack of land, property and housing rights for specific groups (women, marginalized groups) ■ ....
Exclusion or lack of access to services	■ Lack of information on available services or assistance ■ Lack of documentation ■ Exclusion of specific groups ■ Marginalization/stigmatization of specific groups ■ Other barriers to access to services (social, political, cultural, geographical, logistical) ■ ....
The two types of protection threats below are more specific to contexts where aid or development actors (NGOs, government, civil society) are present to assist a population.	
Safeguarding	■ Sexual exploitation, abuse and harassment by anyone linked to humanitarian assistance and development programs (e.g. staff, volunteers, contractors, consultants, vendors, visitors, partners) ■ Exploitation and abuse of power by anyone linked to humanitarian assistance and development program ■ Other forms of humiliating or degrading behavior ■ ....
Data protection	■ Information misuse or leakage that may negatively impact program participants (e.g. by leading to stigmatization, retaliation or abuse of power) ■ Taking images or videos of program participants without asking for their informed consent and/or using these inappropriately ■ ....

Facilitation Guide
Module 3: Developing PSEA Policy and Code of Conduct

- To raise awareness of the need to develop a PSEA policy and code of conduct (CoC) through an understanding of their purpose and content.
- To address PSEA policy and code of conduct content as well as practical implementation of the code of conduct.

SESSION 1: PSEA POLICY (1 HOUR)
SESSION 2: CODE OF CONDUCT (1 HOUR, 45 MIN)

Participants

Training of trainers

PSEA/safeguarding/protection focal points

Administration staff

Training roll-out phase

Senior managers

All staff

Duration

2 hours, 45 minutes

SESSION 1: PSEA POLICY (1 HOUR)

Outline

- Introduction to PSEA policy (15 min)
- Exercise: Key actions (30 min)
- PSEA policy-supporting measures (15 min)

Objective

- Understand what a PSEA policy includes and how it should be structured.

Key messages

- Defining and adopting an organizational PSEA policy is the responsibility of senior leadership and management.
- A PSEA policy and code of conduct should be designed through a consultative process with staff and volunteers.
- A PSEA policy and code of conduct should be regularly updated and shared.

Materials

- Projector and slides
- Flip chart and markers

Handouts

- HO 3.1 Caritas Internationalis Children and Vulnerable Adults Safeguarding Policy (one per participant)
- HO 3.2 BOND Safeguarding Policy (one per participant)
- HO 3.3 CAFOD Safeguarding Policy extract (one per participant)

PLENARY: INTRODUCTION TO PSEA POLICY (15 MIN)

INTRODUCE the module and explain it will consist of two parts: PSEA policy and code of conduct. This is the session on PSEA policy.

HIGHLIGHT that a PSEA policy is a part of the safeguarding policy. It specifically addresses issues of sexual abuse and exploitation as gross misconduct, while the overall safeguarding policy addresses all forms of potential harm (including SEA) that can be caused by staff, programs and organizations. All recommendations for the PSEA policy content apply to the safeguarding policy's PSEA segment.

HIGHLIGHT the key recommendations from the PSEAH implementation quick reference handbook (CHS Alliance 2020). A PSEA policy:

- Reflects organizational values that are explicit on, for example, non-discrimination, diversity and inclusivity, and recognizing power and privilege.
- Identifies the organization's commitment to the IASC Six Core Principles Relating to Sexual Exploitation and Abuse.
- Recognizes the rights of all children, adults at risk, affected populations, staff and associated personnel to be protected from sexual exploitation and abuse.
- Applies to all staff, volunteers and associates at all times.
- Identifies and manages risk.
- Includes the organization's code of conduct.
- Integrates PSEA measures into all areas of the organization.

ASK in plenary:

- *Can anyone explain what collective responsibility is?*
- *What is a PSEA policy?*
- *What is the link between a PSEA policy and collective responsibility?*
- *How was the PSEA policy developed in your organization? What was the process?*

HIGHLIGHT during the discussion that:

- PSEA is the responsibility of all humanitarian and development actors.
- Developing, adopting and promoting a PSEA policy within an organization proves organizational commitment to combating SEA.
- All staff should be involved in the process of developing a PSEA policy. Senior leadership and managers have a particular responsibility to ensure a participatory process for PSEA policy development and organizational culture.
- Developing and implementing PSEA policy is one of the eight Minimum Operating Standards of PSEA.

EXERCISE: KEY ACTIONS (30 MIN)

ASK participants to get into groups of up to five people and for each group to discuss what the key actions are that they could identify for a policy in their organizations and contexts. When writing up the comments, try to group them under these headings:

- HR processes
- Whistleblowing
- Safe and dignified programming
- Partnership arrangements
- Complaints and reporting
- Investigations and survivor assistance

GIVE the groups 15 minutes to discuss, and in plenary write comments on a flip chart. Comments will probably include background checks, leadership role, complementary policies, procedures, misconduct consequences, investigations, etc.

PLENARY: PSEA POLICY-SUPPORTING MEASURES (15 MIN)

DEBRIEF the exercise by sharing that a PSEA policy cannot be functional without adequate procedures on how it is implemented throughout the organization. Therefore, there is a need for adoption of additional procedures to support the implementation of the PSEA policy.

EXPLAIN the supporting procedures to PSEA policy:

- **HR processes**
  - Recruitment
  - Induction/training (Induction includes at least a briefing on PSEA)
  - Performance management
  - Discipline and grievance
- **Whistleblowing**
  - Protect staff and promote SEA reporting.
- **Safe and dignified programming**
  - Programming guidelines include identifying and mitigating risks in programs to make them safer, and promoting meaningful access and dignity in programming.
- **Partnership arrangements**
  - Ensure compliance with PSEA policy.
- **Complaints/reporting**
  - Safeguard program participants and promote SEA reporting.
- **Investigations and survivor assistance**
  - *For own staff*: Provide access to medical and psychosocial support, practical support during the investigation, and access to training, for example, in psychological first aid. Explain that psychological first aid is not professional counseling and is not something only professionals can do.
  - *For community members and partners*: Enable access to medical and psychosocial support and legal information, ensure their immediate safety, and provide material care.

DISTRIBUTE H HO 3.1 Caritas Internationalis Safeguarding Policy (*Note*: only for Caritas partners) and **H HO 3.2 BOND Safeguarding Policy** as an example.

CLOSE the session with highlights of a PSEA policy:

- PSEA policies are a key way of setting out expectations about the behavior of all staff and associates.
- Although defining and adopting an organizational PSEA policy is the responsibility of senior leadership and management, it should be designed through a consultative process with staff and volunteers.
- Procedures to describe how the policy will be implemented are also required.

SESSION 2: CODE OF CONDUCT (CoC) (1 HOUR, 45 MIN)

Outline

- Introduction to code of conduct (10 min)
- Exercise: Code of conduct scenarios (35 min)
- Facilitation practice and debriefing: Code of conduct quiz (35 min)
- Review of code of conduct content (10 min)
- Module review for roll-out (15 min)

Objectives

- Understanding the CoC as an integral part of a PSEA policy and broader safeguarding strategy.
- Understanding the CoC as an SEA prevention tool that defines both prohibited behavior and disciplinary measures, while demonstrating organizational commitment to zero tolerance to inaction on SEA, as well as organizational culture/values (IASC Six Core Principles).

Key messages

- Every organization uses a CoC to define the behaviors and attitudes of employees that are in line with organizational values.
- A code of conduct serves two purposes: to protect staff and program participants from unacceptable behavior of staff, and to protect staff from false allegations.
- Every code of conduct should include the IASC Six Core Principles at a minimum.

Materials

- Projector and slides
- Flip chart and markers
- Straws for the quiz

Handout

- HO 1.2 IASC Six Core Principles (from Module 1) (one per participant)

Training tools and program tools

- TT 3.1 Examples of code of conduct breaches
- Tool 2 under Developing PSEA Human Resources Policies and Measures

PLENARY: INTRODUCTION TO CODE OF CONDUCT (10 MIN)

SHARE with the participants that a CoC is an inclusive part of the organization's PSEA or safeguarding policy, depending on how policies and procedures are defined. The CoC applies to all staff, volunteers and affiliates at all times.

STRESS that it is obligatory for all staff to sign the CoC, and that all staff need to understand its purpose and the type of prohibited behaviors it regulates, including disciplinary measures. ***Every code of conduct contains the IASC Six Core Principles at a minimum.*** The code of conduct serves two main purposes:

- To safeguard program participants from staff misconduct
- To protect staff from false allegations.

EXERCISE: CODE OF CONDUCT SCENARIOS (35 MIN)

Top ToT tip

Scenarios in this exercise need to be revised for local context, but refer to the same breaches of the IASC Six Core Principles.

INVITE participants to split into four groups. Each group should have the handout H **HO 1.2 IASC Six Core Principles**. Each group then receives one of the scenarios of SEA (T **TT 3.1 Examples of code of conduct breaches**). Ask the groups to identify breaches of the Six Core Principles. Allow 15 minutes for the exercise and then in plenary ask each group to share answers to the following questions and present for 5 minutes:

- *Has the code of conduct been breached?*
- *If so, what rule has been broken?*
- *What would your first step be?*

REVIEW the answers using the explanations below for each scenario and offer clarifications if needed.

ASK the participants to share an example of breaches for:

1) A male team member comments on a "pretty girl" in a distribution line.

- Breach of the CoC obligation "to create and maintain an environment that prevents sexual exploitation and abuse."
- Demonstrates degrading and humiliating behavior.
- Report behavior to HR or management.

2) There are rumors of a project staff member adding the name of his girlfriend to the list of program participants.

- Breach of CoC: Improper use of rank or position.
- Report to HR or management.

3) A program participant in your shelter project is told she must have sex with a contracted carpenter in order to get her roof fixed.

- Anyone contracted by the organization is considered staff and must follow the CoC. This implies breach for sexual exploitation as gross misconduct. It is also a breach of the CoC in terms of the exchange of goods or services for sexual purposes.
- Report behavior to HR or management.

4) A male volunteer meets a 16-year-old female program participant in a bar for a drink and takes her to his house for sexual intercourse.

- Breach of the CoC: Performing sexual acts with children (anyone under the age of 18, regardless of the local age of consent).
- Breach of the CoC standard: "obliged to create and maintain an environment that prevents sexual exploitation and abuse."
- Report behavior to HR or management.

HIGHLIGHT that there is an inherent power dynamic in such relationships where humanitarian and development workers—the staff of any NGO or INGO—are in the position of power providing for the vital needs of communities. This power imbalance is at the core of SEA.

DEBRIEF by focusing on Principle 5: "Where a humanitarian worker develops concerns or suspicions regarding sexual abuse or exploitation by a fellow worker, whether in the same agency or not, he or she must report such concerns via established agency reporting mechanisms."

STRESS that not reporting an SEA suspicion is also considered misconduct. All SEA incidents or related suspicions should be *immediately reported* through designated reporting channels such as HR, PSEA focal points, hotlines or managers.

A participant facilitator from the group will **LEAD** the exercise, using the facilitation guide below.

FACILITATION PRACTICE: CODE OF CONDUCT QUIZ (35 MIN)

ASK participants to split into four teams. Explain that each team will have the chance to respond first to two questions on a rotating basis. Invite the team leaders to draw one straw out of four, held by the facilitator. The team of the leader who draws the shortest straw will start first, followed by the groups in a clockwise order. If a team provides a wrong answer, the next team will have a chance to respond to the same question.

SHARE the quiz questions and give the possible answers. These can be on slides or written up on the flip chart before the session. The correct answers are in *italics* for the facilitator's reference:

Why is a code of conduct necessary?

- To safeguard program participants from staff misconduct
- To protect staff from false allegations
- To demonstrate compliance with donor requirements
- To address ethical issues
- *All the above*

Who does the code of conduct apply to?

- Only the organization's employees with signed contracts
- Volunteers and affiliates
- *All staff, volunteers and associates at all times*

How are the principles and values of the code of conduct put into practice?

- All staff understand and adhere to the values of the CoC
- All staff understand what misconduct entails, including possible disciplinary measures
- All staff receive onboarding and refresher trainings on the CoC
- *All the above*

Who is responsible for defining and promoting the values and principles of the CoC throughout the organization?

- *Senior management have a particular role in ensuring that all staff understand and adhere to the code*
- Field staff, since they are in direct contact with program participants
- Donors,[1] as they are responsible for seeking compliance with the CoC

If staff observe or suspect breaches of the code of conduct, they should:

- Investigate further to make sure their suspicion is well-grounded
- Not get involved as there are other designated staff within the organization to address these issues
- Share their suspicion with their trusted colleagues
- Report only if they don't have a good relationship with the colleague involved
- *None of the above*

For the above question, offer clarifications for each wrong answer:

- Staff should never INVESTIGATE, but should REPORT.
- According to CoC, all staff MUST report any SUSPICION of misconduct.
- Staff should NOT share or spread rumors of misconduct. That breaches the principle of confidentiality, represents potential security risks for all involved and jeopardizes the eventual investigation procedure.
- The whistleblower policy[2] should clearly state that any knowingly inaccurate reporting is grounds for dismissal.
- All CoC breaches or suspicion thereof must be reported through defined internal reporting channels.

What is a proportional disciplinary measure if a staff member is found to have breached one of the Six Core Principles within the CoC?

- A warning letter
- Unpaid suspension from work for 6 months
- *Termination of contract*
- Mandatory PSEA refresher course

1. Organizations that made commitments to tackling SEA in the aid sector, at the DFID Safeguarding Summit 2018, including donors. Please see donors commitment here.

2. Whistleblowing policy: An organizational policy that encourages staff members to report concerns or suspicions of misconduct by colleagues PSEAH implementation quick reference handbook (CHS Alliance 2020).

For the question above, highlight that contract termination must include due legal process defined by local law and should respect all contract clauses. The decision on contract termination must be based on the internal investigation procedure, and be in line with international standards and local laws.

What should the code of conduct consist of?

- Organizational vision and mission
- Prohibitions on sexual harassment, abuse and exploitation
- Prohibitions on trafficking
- *IASC Six Core Principles at a minimum*

For the question above, state that organizations can include additional content and address different issues according to their context. However, the Six Core Principles are a minimum requirement.

When does the code of conduct apply?

- When staff are working directly with program participants
- In emergency interventions
- During office hours for all staff
- *At all times*

Leave time for any clarification needed.

DEBRIEF:

- Every organization uses a code of conduct to define employee behaviors and attitudes that are in line with organizational values.
- A code of conduct serves two purposes: to safeguard program participants from unacceptable staff behavior, and to protect staff from false allegations.
- Every code of conduct must include the IASC Six Core Principles of staff behavior.
- SEA incidents are caused by behaviors that need to be formally addressed by the CoC.
- By working in the humanitarian sector, an individual tacitly agrees to abide by the Six Core Principles and code of conduct.
- All staff, volunteers and affiliates must sign the CoC

REVIEW OF CODE OF CONDUCT CONTENT (10 MIN)

DISTRIBUTE Code of conduct and ethics development plan (Tool 2 under Developing PSEA Human Resources Policies and Measures). Explain that these can be used for developing or adjusting the code of conduct.

MODULE REVIEW FOR ROLL-OUT (15 MIN)

ASK each participant to use the training plan template to modify or reflect on the session for the roll-out phase. **HIGHLIGHT** that this module should be targeting senior leadership and managers within their organizations.

HO 3.1 Caritas Internationalis Safeguarding Policy

Caritas Internationalis

PROTECTION FROM ABUSE AND EXPLOITATION

Caritas Internationalis

Children and Vulnerable Adults Safeguarding Policy

1.1. Purpose

Caritas recognizes the right of children and vulnerable adults to protection, regardless of gender, race, culture and disability. Caritas recognizes the power dynamics inherent in working with children and vulnerable adults and the potential for abuse and exploitation by staff of people we work with.

Caritas is committed to creating and maintaining an environment which promotes its core values and prevents abuse and exploitation of all people. Caritas staff [1] and associates[2] are expected to uphold the dignity of all people with whom they come into contact by ensuring that their personal and professional conduct is of the highest standards at all times. They are equally expected to serve with integrity and promote the right relationships while taking their responsibilities.

Caritas recognizes the unique needs of children and vulnerable adults and, therefore, commits itself to creating and maintaining an environment that protects these individuals.

1.2. Scope

This policy applies directly to the following categories:

1. All Caritas Internationalis General Secretariat staff and associates
2. Those deployed through Caritas Internationalis mandated support mechanisms
3. Member organizations staff and associates

The General Secretariat will support members when needed.

1.3. Protecting Children and Vulnerable Adults

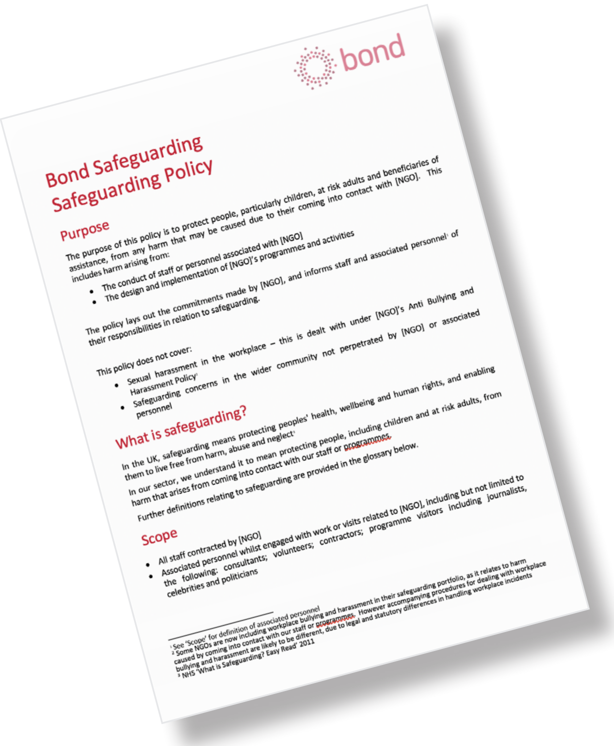
Caritas Internationals prohibits all forms of exploitation and abuse, namely:

- Caritas staff and associates are prohibited from engaging in sexual activity with children (persons under the age of 18, regardless of the age of majority or age of consent locally). Mistaken belief regarding the age of a child is not a defense.

[1] Staff refers to all Caritas staff, volunteers, interns and governance members.
[2] Associates refers to consultants and contractors

1

HO 3.2 Bond Safeguarding Policy



bond

Bond Safeguarding
Safeguarding Policy

Purpose

The purpose of this policy is to protect people, particularly children, at risk adults and beneficiaries of assistance, from any harm that may be caused due to their coming into contact with [NGO]. This includes harm arising from:

- The conduct of staff or personnel associated with [NGO]
- The design and implementation of [NGO]'s programmes and activities

The policy lays out the commitments made by [NGO], and informs staff and associated personnel[1] of their responsibilities in relation to safeguarding.

This policy does not cover:

- Sexual harassment in the workplace – this is dealt with under [NGO]'s Anti Bullying and Harassment Policy[2]
- Safeguarding concerns in the wider community not perpetrated by [NGO] or associated personnel

What is safeguarding?

In the UK, safeguarding means protecting peoples' health, wellbeing and human rights, and enabling them to live free from harm, abuse and neglect[3]

In our sector, we understand it to mean protecting people, including children and at risk adults, from harm that arises from coming into contact with our staff or programmes.

Further definitions relating to safeguarding are provided in the glossary below.

Scope

- All staff contracted by [NGO]
- Associated personnel whilst engaged with work or visits related to [NGO], including but not limited to the following: consultants; volunteers; contractors; programme visitors including journalists, celebrities and politicians

[1] See 'Scope' for definition of associated personnel
[2] Some NGOs are now including workplace bullying and harassment in their safeguarding portfolio, as it relates to harm caused by coming into contact with our staff or programmes. However accompanying procedures for dealing with workplace bullying and harassment are likely to be different, due to legal and statutory differences in handling workplace incidents
[3] NHS 'What is Safeguarding? Easy Read' 2011

HO 3.3
CAFOD Safeguarding Policy extract

CAFOD. 2019. Safeguarding Policy.

SUPPORT TO SURVIVORS

12.4 Support to survivors of sexual exploitation and abuse

CAFOD commits to supporting survivors of sexual exploitation and abuse perpetrated by a CAFOD representative, regardless of whether a formal internal process is carried out. The needs, well-being, and safety of the survivor are paramount, and therefore, as they are best placed to understand their own safety and well-being needs, should be led by the wishes of the survivor as far as possible and as appropriate. CAFOD commits to supporting survivors by ensuring any process is non-directive, and non-judgmental. In addition:

For CAFOD staff, CAFOD can offer:

- Access to medical and psychosocial support through the Employee Assistance Programme or other specialist provider
- Practical support during an investigation, ranging from HR support to communicate a person's absence from work to colleagues or to help prepare to return to work, to being provided with regular updates on next steps
- Access to a coach or mentor to build confidence to return to work
- Access to training, for example in psychological first aid, to increase resilience

For community members, partner staff and other representatives, CAFOD can:

- Facilitate access to locally existing medical and psychosocial services according to guidance provided by the relevant CAFOD Safeguarding Focal Point, (see Safeguarding Context Mapping document for relevant country)
- Seek to provide immediate material care as needed
- Work to provide protection if the security of the individual is at risk
- Facilitate access to assistance to understand how to pursue claims, both administrative and legal, against the alleged perpetrator

Once a person's claim has been substantiated, that person's status shifts from complainant to victim/survivor. At this point s/he can receive not only the basic assistance described above, but also additional help to address the broad range of consequences of sexual exploitation or abuse.

TT 3.1 Examples of code of conduct breaches

Cut these to provide one for each group.

A male team member comments on a "pretty girl" in a distribution line.

There are rumors of a project staff member adding the name of his girlfriend to the list of program participants.

A program participant in your shelter project is told she must have sex with a contracted carpenter in order to get her roof fixed.

A male volunteer meets a 16-year-old female program participant in a bar for a drink and takes her to his house for sexual intercourse.

Facilitation Guide
Module 4: Developing PSEA Human Resources Policies and Measures

- To raise awareness of the need for effective human resources (HR) policies and procedures that are PSEA responsive and support safeguarding more broadly.
- To provide participants with practical examples of how to incorporate PSEA elements into HR measures and a full overview of the key HR processes that directly link to the organizational commitment to PSEA and safeguarding.

SESSION 1: STAFF AND PSEA (20 MIN)
SESSION 2: HUMAN RESOURCES PSEA MEASURES (2.5 HOURS)

Participants

Training of trainers

PSEA/safeguarding/ protection focal points

Administration staff

Training roll-out phase

Senior managers

Administration staff

Duration

2 hours, 50 minutes

SESSION 1: STAFF AND PSEA (20 MIN)

Objectives

- Understand the links between staff awareness of PSEA, safe recruitment practices and minimizing SEA risks.
- Learn the steps to be taken to ensure staff understand and adhere to PSEA principles.

Key messages

- Staff should have a zero-tolerance approach to inaction on SEA.
- All staff—employees, volunteers and associates—have the responsibility to demonstrate organizational commitment to PSEA and safeguarding.
- Organizations should continually train and support staff on PSEA measures by developing and implementing a staff-awareness plan on PSEA.
- Senior leadership and management have a particular role in staff awareness-raising on PSEA by setting an example, actively promoting PSEA measures, and allocating resources as part of a broader safeguarding strategy.

Materials

- Projector and slides

Handout

- HO 4.1 Staff training and PSEA (one per participant)

PLENARY

ASK what needs to be in place for organizations to ensure staff understand and work toward a PSEA commitment. Lead the discussion toward understanding the PSEA policy, the code of conduct and the obligation to report. **HIGHLIGHT** that the term "staff" should include all staff, volunteers, consultants and affiliates.[1] Share the key points:

- Strategies around raising staff awareness on PSEA will depend on the organizational structure (volunteer-based, faith-based, consortium, etc.)
- Staff awareness on PSEA should always be initiated and promoted by senior leadership and management as part of a broader safeguarding strategy.
- Organizations should plan for adequate resources (financial and human resources) and build their own capacity to continually support staff learning and awareness on PSEA and safeguarding.
- Organizations should develop a staff awareness-raising plan on PSEA that includes onboarding and yearly refresher trainings, with the involvement of HR, PSEA focal points and senior leadership/ management.

1. "Staff" refers to any designated representative of the organization, including national, international, permanent or short-term employees, as well as volunteers and consultants. (CHS Alliance)

SHARE the practical steps: How to share PSEA messages for staff awareness-raising:

- Staff should be briefed on their obligations in terms of PSEA when joining the organization. It is not enough to sign the code of conduct; they need to be made aware of its contents. Induction should include:
    - What conduct is expected of them.
    - What the implications of breaching the code of conduct are.
    - How to report any concerns they might have on SEA.
- All staff, volunteers and associated personnel sign the organization's code of conduct, or equivalent, which should include PSEA. (This should include the Six Core Principles at a minimum, and how to report misconduct).
- All staff, volunteers and associates receive induction and annual refresher training on PSEA and the code of conduct, and any other issues related to safeguarding. Training on misconduct (specifically mentioning SEA) forms part of the induction process.
- Staff members are aware of their obligation to report SEA and other safeguarding issues, and are aware that there is a policy for protection from retaliation (whistleblower policy) in place. Staff are often concerned about confidentiality and how their complaint will be handled.
- Job descriptions should include PSEA responsibilities commensurate with the role, and supervision and performance appraisals should include adherence to specific PSEA responsibilities, the code of conduct and participation in trainings (or similar) that include PSEA.
- Regular staff meetings include PSEA topics and offer an opportunity for staff to address ongoing PSEA processes or concerns and suggestions. Staff awareness on PSEA is an ongoing process.
- PSEA information materials should be displayed in the work premises at all levels (should include information about what misconduct is, the obligation to report, and reporting channel information, such as phone number, emails and staff member names to report to).

For more details on the staff onboarding and training on PSEA, **DISTRIBUTE H HO 4.1 staff training and PSEA** for further reference.

SESSION 2: HUMAN RESOURCES PSEA MEASURES (2.5 HOURS)

Outline

- Introduction (10 min)
- Exercise: Job advertisement and interview measures (50 min)
- Exercise: Active reading and teaching, other HR measures (1 hour)
- Debrief on PSEA and HR (15 min)
- Module review for roll-out (15 min)

Objectives

- Learn how relevant HR policies and procedures can contribute to the PSEA commitment of organizations.

Key messages

- Staff hiring and management processes for all positions and especially those implying direct contact with children and the most vulnerable require special consideration.
- PSEA-responsive HR policies and procedures are one of the key prevention measures that organizations can take: hiring the right staff for the right positions will positively strengthen the culture of the organization toward PSEA and the appropriate management of staff.
- Senior managers and HR staff have a particular role in understanding and implementing PSEA HR measures.

Materials

- Projector and slides
- Flip chart and markers

Handouts

- HO 4.2 Safe recruitment measures
- HO 4.3 CAFOD Safe recruitment policy
- HO 4.4 CAFOD Safeguarding in interviews
- HO 4.5 CAFOD Conducting police checks
- HO. 4.6 CAFOD Requesting references
- HO 4.7 Safeguarding in job descriptions

PLENARY: INTRODUCTION (10 MIN)

ASK participants why they think HR plays such an important role in PSEA.

ASK: *Why do we need to address HR processes in the light of PSEA?*

- SEA incidents are caused by our staff and their behavior.
- Hiring the right staff for the right positions will positively strengthen the culture of the organization toward PSEA.
- HR processes play a critical role in preventing SEA incidents.
- How an organization responds to PSEA incidents is critical, and HR processes will play a central role in responding to them.
- Staff hiring and management processes for all positions, and especially those involving direct contact with children and vulnerable adults, require special consideration.
- PSEA-responsive HR policies and procedures are one of the key prevention measures that an organization can take.
- Senior managers and HR staff have a specific responsibility to understand and implement PSEA HR measures.

ASK what kind of aspects of PSEA prevention and response will involve HR. Make notes on the flip chart. Suggestions may include:

- Identifying the safeguarding risk(s) of each role and, more specifically, the potential risk of SEA.
- Outlining safeguarding commitments and responsibilities in job adverts, job descriptions and terms of reference, as applicable.
- Requesting confidential disclosure of an applicant's convictions within the parameters of local employment law.
- Ensuring appropriate screening questions are asked during selection/interview processes for relevant roles.
- Performing thorough background checks confirming an applicant's employment history and undertaking reference checks in accordance with any relevant policies.
- Conducting police checks as appropriate.
- Participating in/enacting recommendations from any investigations.
- Providing induction trainings on PSEA to new staff, and refresher training to existing staff.
- Providing references for departing staff, including any substantiated PSEA concerns.
- Including SEA in personal development reviews.

Explain that seven PSEA HR measures will be covered during the session:

1. Job advertisement
2. Job interviews
3. Job descriptions
4. Gender-balanced recruitment
5. Gaps in employment history
6. Background checks and references
7. Signing of PSEA-responsive employment contracts and code of conduct

EXERCISE: JOB ADVERTISEMENT AND INTERVIEW (50 MIN)

ANNOUNCE the exercise and split the participants into two groups with two different tasks that are important in the hiring process.

Group 1: Discuss the job advertisement for a position of a Shelter Program Officer in a refugee camp with 30% of time allocated to a Child Friendly Space (CFS).

For reference in the exercise, use the following questions:

- Where should you advertise?
- What type of candidates would you like to attract?
- What messages can you include in the job advertisement that are PSEA relevant?

Group 2: Roll play a job interview with three panelists (HR manager, project manager and PSEA focal point) and one candidate for the position of a Protection Officer in a refugee camp, with 30% of time allocated to Child Friendly Spaces (CFS). Allow the group to select panelists and to develop at least five interview questions.

For reference in the exercise, use the following questions:

- How would you check for gaps or frequent changes in employment?
- Are there any warning signs you might watch out for during the interview?
- How can you gauge how well a candidate understands PSEA policies and procedures?

ALLOW each group 20 minutes to prepare. Group 1 then presents first, sharing the details of the job advertisement (10 minutes), followed by Group 2's job interview role play (10 minutes).

Each group comments on the work of the other group. Ask a representative from each group to write the comments on a flip chart.

DEBRIEF the exercise. **SHARE** that even in the early stages of hiring staff, we can include PSEA elements by adding the following into the vacancy announcements/job postings:

- Make a clear commitment to PSEA by including a sample statement: *"The organization requires its staff to treat all people with dignity and respect, actively prevent harassment, abuse, exploitation and human trafficking everywhere and at all times."*
- A value statement can highlight key values such as honesty, integrity, courage, respect, diversity, commitment, stewardship and accountability.
- Include some of the organizational principles: neutrality, impartiality, humanity and independence as basic humanitarian principles.
- Include specific statements that focus on the candidate's motivation for the job: *"We are looking for people who are values led and results driven."*

HIGHLIGHT that being selective in where we advertise provides for quality candidates and minimizes the risk of SEA.

SHARE that the interview panel for positions involving direct contact with the most vulnerable program participants should include a hiring manager, HR person and ideally a PSEA focal point. Ensure that the interviewers have the relevant experience and knowledge of PSEA/safeguarding best practices. During the interview, discuss the policies around staff–program participant relations and assess interviewees' responses to questions related to sexual relations with program participants and vulnerability.

REVIEW generic and role-specific interview questions from **H HO 4.4 CAFOD Safeguarding in interviews**.

DISTRIBUTE H HO 4.2 Safe recruitment measures based on the PSEAH implementation quick reference handbook (CHS Alliance 2020) to all participants.

EXERCISE: ACTIVE READING AND TEACHING (1 HOUR)

Part I

DIVIDE participants into five groups of about five members each, making sure that participants from the same organization are in the same group. Within each group, ask each participant to read one of the PSEA measures from H **HO 4.2** and present what their measure is about. Allow 5 minutes for reading and 5 minutes for sharing per measure within the groups. The measures are:

3. Job descriptions
4. Gender-balanced recruitment
5. Gaps in employment history
6. Background checks and references
7. All staff sign contracts that include PSEA elements and the organization's code of conduct

Part II

ASK participants to discuss in their organizational teams which measures are already in place, which need strengthening, and how that can be done. Ask teams from each organization to share with the wider group. Allow 10 minutes for team discussion and 5 minutes for each organization to share within the group.

SHARE the highlights for each measure (as in the handout) and then ask what would be challenging in the local context or for their organization's structures/processes/ resources, based on the group's reflections.

PLENARY: DEBRIEF ON PSEA AND HR (15 MIN)

HIGHLIGHT that all job descriptions should include commitments to PSEA/ safeguarding.

- Sample text for all job descriptions: *[Organization] is committed to safeguarding program participants from exploitation and abuse. The successful candidate is expected to sign and adhere to the [Organization]'s safeguarding/PSEA policy and code of conduct.*

DISTRIBUTE H **HO 4.7 Safeguarding in job descriptions**.

HIGHLIGHT that background checks are vital, and the importance of understanding the national legal context and the possibility of needing to vet candidates both nationally and internationally. Allow time for additional questions for any of the discussed measures.

For more information, **DISTRIBUTE** H **HO 4.5 CAFOD Conducting police checks** and H **HO 4.6 CAFOD Requesting references**. **DISTRIBUTE** H **HO 4.4 CAFOD Safeguarding in interviews** for further reference on interviewing questions and adaptation to the local context.

CLOSE the session by sharing highlights:

- HR PSEA measures include steps related to staff onboarding and continual staff training on PSEA (more details in *Module 7 Responding to SEA reports*).
- HR managers and senior managers/leadership have a particular role in ensuring PSEA HR measures are implemented and adjusted to the local context.
- Local laws should be taken into consideration when vetting staff.
- Implementation of HR PSEA measures requires close coordination between managers, HR staff and PSEA focal points.
- An organization's HR policy must clearly define roles, responsibilities and tools for HR PSEA measures.

MODULE REVIEW FOR ROLL-OUT (15 MIN)

ASK each participant to use the training plan template to modify or reflect on the session for the roll-out phase. **HIGHLIGHT** that at roll-out this module should target senior managers and HR staff within their organizations.

HO 4.1 Staff training and PSEA

Adapted from PSEAH implementation quick reference handbook (CHS Alliance 2020).

PSEA MEASURES IN STAFF ONBOARDING AND TRAINING

These recommended measures for onboarding and staff training imply development of adequate materials and tools that will be delivered for partners' support during the project, according to the detailed implementation plan. Adequate resources should be allocated to materials development, expert support, as well as staff time to attend the trainings.

All new staff receive a briefing on PSEA policy.[1]
All new staff receive a briefing on the code of conduct.
During onboarding process, staff are rigorously taken through the code of conduct and the SEA complaints and investigations mechanisms. Staff are given the time to discuss and fully understand the policies and procedures, including consequences of the code of conduct breaches.
Basic PSEA training forms part of the onboarding process to ensure all staff know about the prevention and response measures to SEA issues.
Staff with direct contact with program participants receive full PSEA training, including causes and consequences of gender-based violence and SEA. Staff who work directly with children receive child protection training along with full PSEA training.
Staff working on feedback and response mechanisms, either inter-agency or project based, and are receiving sensitive feedback, receive full PSEA and internal reporting system training as an obligatory part of onboarding.
Staff with prolonged and largely unsupervised time working with women and children are especially targeted for PSEA support, advice and training.
All staff receive annual refresher training on the code of conduct and PSEA, and learn about the mechanism to file complaints and reports of misconduct, and the implications of breaching these standards.
The code of conduct (either the simplified or complete version with IASC Six Core Principles at a minimum) is displayed in all operational and office areas.
The agency distributes the code of conduct, in English or translated versions, to all staff.
The PSEA focal point or a manager is responsible for ensuring that a training strategy among all staff is implemented to raise awareness on gender, gender-based violence, human rights, SEA prevention and response, and the code of conduct, and how to report incidences, whether substantiated or not.
All relevant PSEA guidelines (PSEA policy) and reference materials (SEA reporting forms)[2] are available in the field for staff reference. PSEA materials encouraging staff to report SEA misconduct are displayed in agency premises at all locations.
Staff have the opportunity to discuss organizational and personal values and motivation in their work, during the annual staff retreat.

1. Example policy: Policy on Protection from Sexual Exploitation and Abuse and Child Protection, CARE International.
2. PSEA Task Force Model Complaints Referral Form.

HO 4.2 Safe recruitment measures

Human resources staff or hiring management should ensure that all new and potential hires understand the organizational commitment to protection from sexual exploitation and abuse, and the expectations of them as potential staff members. This means defining organizational protocols, mechanisms and tools for the recruitment process. These should ensure that candidates have not engaged in activities that are not aligned with the organization's commitment to PSEA. The term "staff" in this document refers to employees, volunteers, consultants and interns.

Human resources staff or hiring management should ensure that all new and potential hires understand the organizational commitment to PSEA, and the expectations of them as potential staff members

Include PSEA commitments in job advertisement

Inform the candidate of the organization's vision and mission, as well as its culture, values and principles that prevent sexual exploitation and abuse by its employees. This can be done in the job description or on a recruitment page or application form. For online applications, this should be reiterated, and candidates invited to reflect on their personal values and how those align with the organization's, demonstrating a value-based motivation for the job they are pursuing.

- Sample statement: *"The organization requires its staff to treat all people with dignity and respect, and actively prevent harassment, abuse, exploitation and human trafficking everywhere and at all times."*
- The value statement can highlight key values such as honesty, integrity, courage, respect, diversity, commitment, stewardship and accountability.
- Include specific statements that focus on the candidate's motivation for the job, such as: "*We are looking for people who are values led and results driven."*
- Basic humanitarian principles upheld by the organization can include neutrality, impartiality, humanity and independence.
- The job advertisement should emphasize the organization's need to employ staff with certain key values.
- Include a summary of the key duties, essential qualifications and most interesting aspects of the job.
- Describe the organizational culture and work environment, and list any benefits and growth opportunities.
- Be strategic and advertise in the best places to reach the appropriate audience for the position.

Include PSEA elements in job descriptions

A job description provides an overview of the position, including responsibilities, qualifications and competencies required. Review the job description with the hiring manager and PSEA focal point to confirm the level of direct interaction with vulnerable populations.

- Job descriptions should include clauses outlining the conduct expected of staff, and refer to the organization's PSEA policy.
- The higher the level of expected interaction with vulnerable populations, the greater the potential risk to those populations, and therefore the greater the need for vetting and due diligence. In the job advertisement, include adequate clauses on performing those processes.
- For positions involving direct work with children, require candidates to sign a statement declaring they have no criminal convictions related to the abuse and/or exploitation of children. This should not be a substitute for running independent police and reference checks on a candidate (where possible).
- Include specific competencies and talents, such as accurate and active listening, integrity, accountability, building relationships, commitment to the job, consistency, reliability, emotional control, freedom from prejudice, and handling stress.

Ask questions related to PSEA during the interview and written tests

Provide hiring managers with sample questions or scenarios that are based on the organization's PSEA policy, and code of conduct and ethics, including vision, mission and values.

- During the interview process, discuss the policies on staff–program participant relations and assess the interviewee's responses to questions related to sexual relations with program participants and their vulnerability.
- Include the PSEA focal point in the interview process.
- Ask:
  - *Ask the candidate to describe previous work situations in which their morals and integrity have played a significant role in the outcome.*
  - *Ask specific questions about their peers' view of their performance in previous positions.*
  - *At the end of the interview, ask for contact details of peers mentioned in the interview in order to contact them and ask questions about the candidate.*

Check gaps in employment history during interview

Seek more information on any gaps in a candidate's employment history by asking:

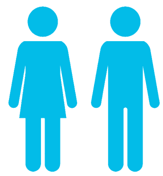
- How did you spend time between jobs?
- Did you do any volunteer or community work? Ask for references (names and contacts) from these engagements.

Seek more information on any gaps in a candidate's employment history

Target gender-balanced recruitment

To facilitate the reporting of sensitive issues, diversify staff composition by gender, especially when jobs will entail working directly with women and children.

- Monitor gender balance of staffing and strive for gender balance at all levels of responsibility, in both main and sub-offices, and among contracted staff and volunteers.
- Review job qualifications with the hiring manager to ensure there are no limitations of the candidate pool, for example, in a certain context, women may have less formal education (due to limited access) than men, but may have substantial work and community experience that could also result in the knowledge and skills needed for the position.
- Ensure your job advertising and posting strategy is not limited to online platforms that could exclude certain applicants.
- When sourcing candidates, be sure to seek recommendations from male and female staff on diverse candidates they believe are experts in the field and who can be recruited for current or future openings.
- In the job advertisement, include information that could help attract a wider pool of female candidates, including details of the organization's relevant policies and benefits, such as maternity leave, support for exclusive breastfeeding, the availability of childcare at the office, and flexible working hours.
- When determining who should be on the hiring committee and interview panel, remind hiring managers to select staff from a diverse range (ages and ethnicities) of male and female staff to ensure inclusive input.
- Properly emphasize non-technical competencies to help enable a wider, more diverse pool to be considered.
- Ensure that all interview questions conform to anti-discriminatory guidelines (e.g. Do not ask female candidates if they plan to have children and then, if they respond in the affirmative, tell them they will not be a good fit because they won't be able to travel enough for the role).
- Given that some female candidates may not have as much paid work experience as male candidates, some flexibility in the referencing process is suggested, including allowing non-work references, such as from a teacher or a community leader.
- Ensure that thorough internal audits of salaries are conducted so that men and women are paid the same salary for the same work.



Diversify staff composition by gender

Perform background checks and references

Request at least two references from previous employers. *Note: CRS' standard is three references.* The HR manager and the hiring manager should discuss who to contact for references based on the position's requirements and employment history shared. References could be sought from the candidate's supervisors and peers. References provided by candidates should not be the only ones used. Additional references can be sought on personal and moral integrity and, in the case of faith-based organizations are usually from religious leaders in the community. Develop a reference checklist and include safeguarding/PSEA questions. Check the reference over the phone or by video chat (Skype, Zoom) but not email. It is vital to verify who is completing the reference, and hear the tone and sincerity of their responses.

Conduct background checks on the successful candidate (international and national), including a criminal record check in their home country and in other countries they have worked, wherever possible

- Ensure references are rigorously gathered and follow a specific format/checklist. They should include questions about safeguarding and disciplinary action.
- If the information collected in the reference raises any concerns, these must be communicated very clearly with the hiring staff and management, and recorded in writing.
- Example questions for referee:
  - *What was the nature of the candidate's previous job?*
  - *How do you rate their performance overall? Poor, satisfactory, good or excellent?*
  - *How did the candidate interact with others?*
  - *Why did the candidate leave the job?*
  - *Do you have any concerns about the candidate working with at-risk populations and/or is there anything that might be of concern to our organization?*
  - *Are you aware of the candidate having a criminal record or any issues related to child protection that our organization should be aware of?*
  - *At any stage in their employment, did you undertake any disciplinary actions against the candidate related to any safeguarding issues?*
- Request written consent from the successful candidate to conduct a background/criminal record check. Include a declaration statement on the candidate's confirmation of true information provided as well as consequences of any misstatements, omission or falsification related to the background check process. Consequences should include disqualification from the selection process or termination of contract if already hired.
- Conduct background checks on the successful candidate (international and national), including a criminal record check in their home country and in other countries they have worked, wherever possible.
- If any concerns are flagged in the reference, request further information from the candidate.
- A thorough reference check procedure *should not be waived under any circumstances*, even in a first-phase humanitarian response. Experience has shown that not undertaking a thorough process can result in more time taken to dismiss and replace unsuitable candidates. At worst, it can result in affected populations being exposed to risk.

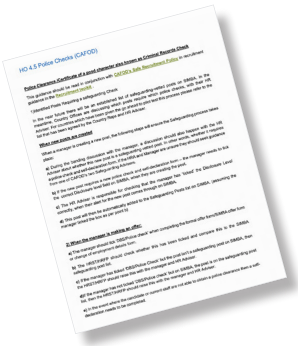
All staff contracts include PSEA elements and organization's code of conduct

- All staff contracts include a statement of understanding of and adherence to the organization's code of conduct.
- All staff contracts include copies of the IASC Six Core Principles Relating to Sexual Exploitation and Abuse, 2019.
- The code of conduct includes the same principles at a minimum.
- All staff contracts include organizational values, mission and vision.
- All signed documents are kept on personnel files.

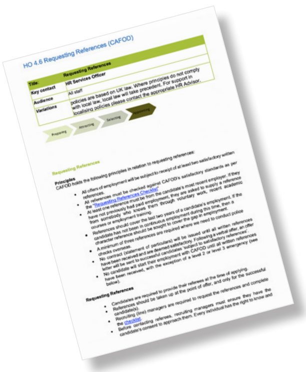
HO 4.3 CAFOD Safe recruitment policy

HO 4.4 CAFOD Safeguarding in interviews

HO 4.5 CAFOD Conducting police checks



HO 4.6 CAFOD Requesting references



HO 4.7
Safeguarding in job descriptions

A job description is an overview of the responsibilities, qualifications and competencies needed to perform a job. All job descriptions should include commitments to safeguarding.

All job descriptions should include commitments to safeguarding

Sample text for all job descriptions:

- *Safeguarding policy:* [Organization] *is committed to safeguarding program participants from exploitation and abuse. The successful candidate is expected to sign and adhere to* [Organization]*'s safeguarding/PSEA policy and code of conduct.*

Sample points for all job descriptions:

- *Take responsibility to fully understand the policy and its implications.*
- *Follow the code of conduct and ethics, and respect the safeguarding/ PSEA policy at all times (in your professional and personal lives) and ask for clarification if anything is unclear.*
- *Carry out work duties in a way that does not harm children, vulnerable adults or other staff or volunteers, and does not expose them to further risk of abuse or exploitation.*
- *Promote an environment of respect and trust with program participants and community members, both at the office and in the field.*
- *Report any safeguarding concerns according to* [Organization]*'s procedures.*

Additional points specific to program managers and senior staff:

- Ensure program-specific safeguarding questions are included in recruitment interviews and written tests.
- Ensure all new employees receive the safeguarding policy training as part of their induction.
- Ensure safeguarding is considered in performance reviews, including probation.
- Ensure the safeguarding policy and code of conduct and ethics is communicated to and understood by program participants and relevant community members (through ongoing, age-appropriate, contextualized verbal and/or written information shared in local language).
- Ensure that program participants understand the expected conduct of staff and how to safely report any concerns.
- Ensure that feedback from program participants is handled and responded to appropriately.
- Treat any person who raises a concern or report about a safeguarding issue with respect and dignity, and show concern for their safety and overall well-being.

Specific points to be included for human resources staff:

- Ensure compliance with all aspects of the recruitment processes that aim to prevent the recruitment of staff or volunteers who may not be suitable to work directly with vulnerable populations and diverse staff.
- Continually review, identify gaps and strengthen recruitment processes with regards to safeguarding.
- Provide safeguarding documents and orientation to all staff and volunteers.
- Ensure that all staff and volunteers receive safeguarding training.
- Ensure that all staff and volunteers receive refresher training each year.
- Ensure safeguarding considerations are consistently incorporated into the performance management system (probation, appraisal, etc.).
- Set up and administer a system that checks understanding of safeguarding training content of staff and volunteers (e.g. post-test).

Facilitation Guide
Module 5: Community Engagement and PSEA

- To inform and raise awareness on the need for engaging communities through consultations and information-sharing in responding to SEA.
- To discuss and reflect on effective modalities for community consultations and information-sharing on both PSEA messages and FCRM.

SESSION 1: WHAT IS ACCOUNTABILITY? (1 HOUR)
SESSION 2: COMMUNITY ENGAGEMENT AND INFORMATION SHARING ON PSEA (1 HOUR, 30 MIN)

Participants

Training of trainers

PSEA/safeguarding/ protection focal points

Training roll-out phase

Program staff

Duration

2 hours, 30 minutes

SESSION 1: WHAT IS ACCOUNTABILITY? (1 HOUR)

Outline

- What is accountability? (30 min)

Objective

- Understand the importance of accountability

Key messages

- Accountability to affected populations is crucial for PSEA.
- Building trust with the communities we work with is key to effective accountability.

Materials

- Projector and slides
- Flip chart and markers

A participant facilitator from the group will **LEAD** the exercise, using the facilitation guide below.

EXERCISE: WHAT IS ACCOUNTABILITY? (30 MIN)

INTRODUCE the session on accountability by asking participants to share what accountability means to them.

READ the IASC definition of accountability and SEA:

- An active commitment by humanitarian actors and organizations to use power responsibly by taking account of, giving account to and being held to account by the people they seek to assist.
- Sexual exploitation and abuse of affected community members by anyone associated with the provision of aid constitutes one of the most serious breaches of accountability. It is also a serious protection concern and erodes the confidence and trust of affected communities and the host country in all those providing assistance.

ASK participants to split into three groups. Each group will discuss what one aspect of accountability means to them: taking account, giving account and being accountable. They write their comments on flip chart paper. Allow 20 minutes for the exercise, including time for each group to present.

DEBRIEF on the three aspects of accountability to affected populations as per CHS.

Taking account means giving communities meaningful influence over decision-making in a way that is inclusive, non-discriminatory and accounts for the diversity of communities. Listening is not enough: individual organizations and humanitarian actors need to incorporate the feedback into their strategies as well as into the collective response to the crisis. This can be done through needs assessments and post-distribution surveys.

Giving account is the sharing of information in an effective and transparent way across communities. This can include:

- Information about the organization
- Targeting criteria
- How humanitarian workers should behave (organization code of conduct and/or ethics)
- How to provide sensitive and non-sensitive feedback

Information should be shared in a way that communities can understand, be empowered by it and become active participants in the response. This can be done through community meetings, regular monitoring visits and regular project activities, such as post-distribution monitoring, and feedback and complaints mechanisms.

Being held to account means ensuring communities have the opportunity to assess and, where feasible, alter or sanction humanitarian actors' actions. Communities are rarely in a position in which they have the agency or power to select the organizations that will support them or the type of support they will receive, at least initially.
Their view on the appropriateness and quality of the service or response should be consistently sought.

In plenary, **ASK** how the participants see the relationship between SEA and Accountability to Affected Populations (AAP).

DEBRIEF on key messages on why we should consult communities:

- Community consultations lead to a better understanding of SEA issues and to addressing those effectively in a particular context.
- Community consultations foster trust and enhance organizational measures to prevent SEA. Such consultations also increase understanding of how to share relevant PSEA information with communities and receive it from them.
- SEA acts can have serious consequences for the community and cause serious harm to individuals and the community.
- Community engagement does not occur spontaneously; it must be actively fostered and promoted by aid workers.

After a short discussion, **SAY**:

Sexual exploitation and abuse by anyone associated with the provision of aid constitutes the most serious breach of accountability, and populations should be able to make complaints and call for appropriate PSEA/safeguarding measures against such abuse, as well as be informed of the results of investigations into these complaints. This can be done through feedback and complaints mechanisms or post-distribution surveys. AAP is about the responsible use of the power that organizations have, and PSEA is related to their response to preventing abuse of that power.

HIGHLIGHT that taking account, giving account and being held to account are necessary for individual agencies, and also crucial at the collective level to reduce and mitigate SEA in emergency or development contexts.

HIGHLIGHT linkages between accountability and PSEA.

- Risks of SEA are understood and mitigated.
- Communities understand what behavior they should expect of aid staff.
- Affected communities are informed and understand SEA survivor assistance packages.

INVITE the participants and the participant facilitator to provide feedback on the facilitation process. Ask the participants to use the facilitation practice feedback form. **ASK** what went well and what the challenges were. Highlight missing points and key messages, if any, from the facilitation.

SESSION 2: COMMUNITY ENGAGEMENT AND INFORMATION-SHARING ON PSEA (1 HOUR, 30 MIN)

Outline

- Exercise: Why we need to consult communities on PSEA (10 min)
- Exercise: Three lines (15 min)
- Exercise: Community consultations on PSEA (35 min)
- Plenary: Community consultations on PSEA (15 min)
- Module review for roll-out (plenary) (15 min)

Objectives

- Understand the importance of community engagement and information-sharing on PSEA as a critical element of accountability.
- Understand the importance of engaging communities in PSEA through consultations and information-sharing, and the benefits it can bring.
- Understand how to engage with communities on SEA issues using participatory techniques and tools.

Key messages

- All community consultations and information-sharing efforts on PSEA must be context-appropriate due to the sensitivity of SEA issues.
- Communities must be fully aware of the expected behavior and commitments of the organization's staff.
- Communities must understand how to complain if these commitments are not met, and how sensitive feedback will be handled.
- Appropriate SEA awareness-raising tools and approaches should be used with communities.
- Community consultations on PSEA should be a continual process and an integral part of all program activities.

Materials

- Projector and slides
- Flip chart and markers

Handouts

- HO 5.1 Community focus group discussions on PSEA
- HO 5.2 Community consultations on FCRM
- HO 5.3 Key PSEA messages for communities
- HO 5.4 Steps in engaging communities in PSEA messages
- Tool 6: Community dialogue on PSEA (including example questionnaire) from Communicating with Communities on PSEA guidance

Online resources

- Assessing information and communication needs: A quick and easy guide for those working in humanitarian response (CDAC Network 2017)
- Practice standards in children's participation (Save the Children 2010) (also available in French and Arabic)
- VSO Participatory approaches: A facilitator's guide (VSO, no date)
- Participation Handbook for humanitarian field workers (URD 2009)
- Pre-crisis information mapping and consultation (Community of Practice on Community Engagement, no date)

EXERCISE: WHY WE NEED TO CONSULT COMMUNITIES ON PSEA (10 MIN)

INVITE participants to briefly discuss why communities should be engaged around PSEA issues. Use probing questions:

- What are the benefits of engaging communities in PSEA, and what are the potential consequences of not doing so?
- How can you engage communities in PSEA awareness-raising in your own context?

Record key comments on the flip chart.

EXERCISE: THREE LINES (15 MIN)[1]

DIVIDE the participants into three groups and ask them to stand in three lines.

GIVE each line a method to communicate a message:

- Drawing
- Non-vocalized lip-reading
- Mime or charade

EMPHASIZE that no talking or writing is allowed.

GIVE the same simple written message to the person at the front of each line, such as “I like rice.”

TELL the groups that the exercise is a race to communicate the message along the line, and give a signal to start.

At the end of the exercise, **DISCUSS** which line won and why. Ask whether the message changed along the way.

In plenary, **HIGHLIGHT**:

- How information changes and can be easily misinterpreted or misunderstood.
- How little information is conveyed when a message is only received once and in one format.
- The need to use different formats for sharing the same information.
- The need to train staff on what those messages are and how to communicate clearly with different groups on a regular basis.
- The need to understand the link between sex, age and other diversity factors within the targeted communities and SEA, in order to define different communication strategies. The need to tailor messages to different audiences based on sex, age and other vulnerability factors.

1. *Protection Mainstreaming Facilitation Guide* (PMWG 2018), Module D.3: Information sharing.

EXERCISE: COMMUNITY CONSULTATIONS ON PSEA (35 MIN)

DIVIDE the participants into four groups. Distribute H **HO 5.3 Key PSEA messages for communities** and H **HO 5.4. Steps in engaging communities in PSEA messaging**.

EXPLAIN the exercise:

- Identify any additional PSEA messages you would like to share with the community.
- What communication strategies would you use to share them in these four programmatic contexts?
  - Group 1: Internally displaced persons in a camp
  - Group 2: Children in an education program
  - Group 3: Women in a food distribution project
  - Group 4: People with disabilities in a rural area

ALLOW 15 minutes for each group to complete the task and record comments on a flip chart, and 5 minutes for each to present.

DEBRIEF on the exercise:

- Consider sex, age and other diversity factors and how those factors of vulnerability link to the way specific PSEA messages should be tailored to different groups.
- For children, consider fun approaches, such as puppetry, to sharing PSEA messages.
- Consider fast-changing environments and group structures and thus the need to constantly update PSEA messages.
- Within each group, such as women, consider a combination of factors that affect vulnerability such as age or disability.
- For disability, consider types of disability or impairment and ensure adequate communication strategies are in place, such as face-to-face contact, audio and visual methods.

ALLOW time for any context-specific messages or concerns.

DISTRIBUTE H **HO 5.1 Community focus group discussions on PSEA,** H **HO 5.3 Key PSEA messages for communities,** H **HO 5.2 Community consultations on FCRM** and **Tool 6: Community dialogue on PSEA (including example questionnaire) from Communicating with Communities on PSEA guidance**

SHARE that these documents can assist the process of community consultations in both PSEA messaging, and feedback, complaints and response mechanisms set-up.

PLENARY: COMMUNITY CONSULTATIONS ON PSEA (15 MIN)

DEBRIEF with key messages on PSEA community consultations:

- All community consultations and information-sharing efforts on PSEA must be context-appropriate due to the sensitivity of SEA issues (should include understanding of any malpractices pertaining to SEA, cultural/traditional/religious biases and views on SEA).
- Communities must be fully aware of the expected behavior and commitments of the organization's staff (e.g. code of conduct or statement of organizational commitment to PSEA translated into the local language and shared with communities).
- Communities must understand how to complain if these commitments are not met (e.g. through safe and accessible FCRM mechanisms) and how sensitive feedback will be handled.
- Appropriate SEA awareness-raising tools and approaches should be used with communities. Adequate materials on FCRM should be developed and shared with the communities and updated regularly.
- Community consultations on PSEA should be a continual process and an integral part of all program activities. Consulting communities on PSEA and sharing SEA information is not a one-time or separate exercise; monitoring visits and other regular interaction with communities should be used for that purpose.

HIGHLIGHT these resources on community consultations.

- OCHA. Pre-crisis information mapping and consultations report from the Philippines.
- Tools: CDAC Network. Guide on communication needs assessment: Assessing information and communication needs: A quick and easy guide for those working in humanitarian response.
- Sample PSEA messages in humanitarian response: Protection Cluster. Key messages to share during humanitarian distribution.

MODULE REVIEW FOR ROLL-OUT (15 MIN)

ASK each participant to use the training plan template to modify or reflect on the session for the roll-out phase. **HIGHLIGHT** that this module should be targeting all program staff.

HO 5.1. Community focus group discussions on PSEA

FOCUS GROUP DISCUSSION GUIDE

Purpose

The community consultation on PSEA messaging aims to:

- Understand what the community already knows about PSEA, and establish through which channels they prefer to learn about SEA and to raise related concerns and complaints.
- Identify the preferred PSEA information-sharing mechanisms for different groups, including boys, girls, men, women, people with disabilities, elderly people and minority groups, and identify the relevant PSEA content to be shared.

The main deliverables expected from the activity

- Information on the preferred information-sharing channels and modalities for SEA messages within the targeted community.
- Information on the required PSEA content and messages to be shared.

Suggested process

Special consideration should be given to consultations with those at the highest risks of SEA, such as women, children/adolescents, and people with disabilities. Other groups at potential risk include minorities, people at a certain geographical location, or program participants of a certain project/program, depending on the context.

The community should be consulted on how it prefers to receive information about PSEA, and what PSEA information they need to be aware of.

Standard best practice for conducting FGDs should be applied, and there are some specific PSEA considerations:

- Ensure uniform profile with gender/age/disability disaggregation of participants per group.
- Include 6 to 12 participants per group.
- Observe gender sensitivity when selecting FGD facilitator (female staff for female groups).
- Ensure appropriate timing and location of the FGD.
- Have both an interviewer and a notetaker to conduct FGD.
- Ensure all voices in the group are heard.
- Ensure appropriate language is used and translation is in place if needed.
- Provide a safe space and opportunity for questions or concerns to be raised outside of the group discussion.
- Ensure interviewing team knows how to handle and report incidents of SEA mentioned during the FGD, including ability to effectively use existing referral pathways (staff with PSEA background/knowledge preferred for the interviewing team).
- Debrief interviewer and notetaker after each FGD to ensure maximum data collection and reliability.

QUESTIONNAIRE FOR FOCUS GROUP DISCUSSION ON PSEA

Objectives

- Understand preferred and context-relevant information-sharing channels for PSEA messaging.
- Determine the level of PSEA understanding in the community and how to share effective and context-relevant PSEA messages with communities.

Opening section

Welcome the participants and introduce the notetaker and facilitator. Explain, in the participants' own language, the purpose of the data collection effort and the FGD, how the participants were selected to be part of that FGD, and the future use of the data. Explain the following:

- The roles of facilitator, notetaker and participants.
- The expected duration of the discussion.
- The ground rules (e.g. mobile phones off).
- The way the discussion will progress, emphasizing the importance of participants' honest responses and interaction, and that there are no right or wrong answers.
- Ethical considerations, including confidentiality and its limitations (participation is anonymous).
- Voluntary participation, the right to refuse or withdraw, emphasizing no consequences for either.
- Share instructions for obtaining the participants' written or oral consent.

Start conversation about preferred information-sharing channels (how is information shared in the community, what works and what doesn't) and proceed to relevant content and PSEA messages that need to be shared (what do communities already know about PSEA and what still needs to be shared in an adequate way for different community members?).

Questions on preferred channels of communication and information sharing

1. What type of information have you received from aid providers in the last x days/months?
2. Where did you receive the information from?
3. Which of those information channels are most trustworthy?
4. Was the information you received clear? If not, why not?
5. Do you feel that you face special obstacles in accessing information? What are those?
6. Are there any traditional information-sharing channels that your community uses when sharing important messages/information for the community?
7. What would be the most effective way for you to learn about the standards of behavior of aid staff?
8. Are there any official channels that you are aware of that you can use to report misconduct of aid staff working in your community? **IF YES**, how did you learn about these channels?

Questions for the PSEA messages content

1. Are you aware of the organization's standards of staff behavior as defined by our code of conduct? **IF YES**, how did you learn about it?
2. What do you think are examples of misconduct by the organization or other aid workers?
3. What do you think the community needs to know about the behavior of aid/NGO workers?

Closing section

Invite participants to provide further information or input if they want to. Provide them with contact information should they wish to share anything further with the facilitation team. Clarify again how the data will be used, especially that no names will be associated with any discussions during the session. Explain when the larger process will be completed. Thank them for their participation.

HO 5.2 Community consultations on FCRM

ACTIVITY 1: UNDERSTANDING THE COMMUNITY'S PREVIOUS EXPERIENCE OF USING A FEEDBACK CHANNEL.

Explain the purpose of the exercise: An organization would like to set up a feedback and complaints channel to better respond to your feedback, complaints, questions and suggestions. Today we want to get your opinions on how to do this.

Start conversation about program activities (what X organization is doing/ planning to do in the community):

Questions

- When was the last time you gave feedback or made a complaint?
- Has anything stopped you from giving feedback or making a complaint?
- Are you aware of the complaints mechanisms in your community? Which ones are you aware of? If you are not aware, why?
- Do you know how to use the complaints mechanisms in your community? Which ones do you know how to use?
- What is good about this system, and what isn't?
- Have you tried giving feedback or making a complaint to any INGO or to local government using the complaints mechanism?
- If you have used one in the last x days/months, have you used it to make complaints about any bad behavior or misconduct by aid workers?
- If you have used the complaints mechanism in the last x days/ months, have you had a satisfactory response? If not, what was unsatisfactory about the response?
- Are you aware of any people who may be unable to access available feedback channels because of specific needs? Why were they unable to give feedback?
- Have you ever called a hotline to ask for information or service? What was the nature of the information or service you wanted to get from the hotline?
- Is this hotline free to call? Who manages the hotline? If it is not free, how much does it cost?

ACTIVITY 2: UNDERSTANDING THE FEEDBACK PREFERENCES OF MEN, WOMEN, BOYS AND GIRLS

Give a brief introduction of the organization's accountability commitments, and explain why we want to set up a feedback and complaints channel. Explain that people have the right to provide feedback and to complain, and to receive a timely response. Discuss the types of feedback and complaints the mechanism can handle, including a brief introduction of all categories.

Instructions: List three to five channels for sending and receiving feedback and complaints, and draw images (with a marker on a flip chart). Put the images on a wall or on the floor in front of the participants.

Remember! Choose feedback channels that are common in the community. You can also select those mentioned in activity 1 (e.g. mobile phone, suggestion box, help desk). Give each participant several stones or stickers. Explain that you will ask a series of questions and that they can vote for the channel that they feel answers the question, by placing their sticker or stone near the appropriate picture. After each question, ask the group why they voted the way they did. Ask about positive and negative elements.

- Which of these channels do you prefer to provide feedback to aid providers about the quantity, quality and appropriateness of the aid you will receive? Why?
- Which of these channels do you prefer to provide feedback to aid providers about the behavior of aid workers?
- Which of these channels do you feel is confidential, that is, if you provide feedback to assistance provider, no one else will know? Why do you think so?
- Which of these channels do you feel is the easiest and most convenient to use? Why do you think so?
- Which of these channels provides the fastest response? Why?
- Which of these channels provides the slowest response? Why?
- Do you have access to a mobile phone?
- How often do you use your mobile phone? (Describe the main purpose of use: sending texts, receiving texts, calls or all three.)
- Which is your network provider? How is the signal reception in your area?
- In which language do you prefer to provide feedback in?

Resources

- *Feedback and complaint channels guide* (CRS Philippines 2018).
- Menu of accountability to affected populations (AAP) related questions for multi-sector needs assessments (MSNAs) (IASC 2018).

HO 5.3 Key PSEA messages for communities

Adapted from PSEAH implementation quick reference handbook (CHS Alliance 2020).

1. All assistance provided by aid organizations is based on need and is free.

Humanitarian organizations and their staff work on the principles of humanity, impartiality and respect. If they have been discriminatory based on gender, ethnicity, religion, age, political affiliations or any such basis or you have been asked by someone working in a humanitarian organization to do something inappropriate, or they have demanded any kind of favor or sexual action from you in return for their help, that should be reported.

2. Women, girls, men and boys of all ages, ethnicities, orientations and those with special needs have the right to have a say in how humanitarian assistance is provided.

Community opinion is important in deciding how assistance is provided. This can include how distributions will take place, and the design and location of facilities, such as latrines, washing and cooking areas. Invite communities to share their opinions, and provide contact details for organizations and persons in charge.

3. You have the right to be informed about the humanitarian services provided in your area.

This includes information about the organizations working in your area and their contact details, the beneficiary selection process and criteria, and what assistance and services are being provided at what times, and who to contact in case you have a concern or complaint.

4. All humanitarian agencies endeavor to provide the best assistance and treat everyone with respect.

Invite reporting of any complaints or problems beyond SEA or about the services provided by any aid organization and where to report with contact details.

This assumes that the complaints system in place ensures the protection and confidentiality of users. Before disseminating the next message, make sure the system is robust and that people reporting abuse are properly protected, confidentiality maintained and complaints dealt with rapidly.

5. You have the right to complain and to report any inappropriate behavior, exploitation or abuse by a humanitarian worker including any UN staff member.

Share that a feedback, complaints and response mechanism has been set up. Supply contact information, its location and other useful information on sharing sensitive feedback both formally and informally. Highlight that all complaints are kept confidential and no harm will be caused for reporting such an issue.

HO 5.4 Steps in engaging communities in PSEA messaging

Adapted from PSEAH implementation quick reference handbook (CHS Alliance 2020).

1. Select key PSEA messages from your organization's policies or code of conduct that communities need to know.

- What are the organizational values, vision and mission, and commitment to PSEA?
- What is unacceptable conduct or behavior?

2. Profile the community you are communicating with.

- Different groups (such as mothers with young children, older men and women with disabilities, minority groups) will have different communication needs around SEA issues.
- Identify those needs through focus group discussions or key informant interviews, or during a needs assessment.

3. Consider how to communicate key PSEA messages in a way that is relevant and accessible to the community, including the most affected and marginalized:

- Identify preferred information-sharing modalities through FGDs or KII, or during a needs assessment
- Consider the following points:
  - Are women, men and minority groups literate? If so, what languages do they speak?
  - If messages are translated, have them proofread by another party to ensure the message is correct and appropriate.
  - Are there other marginalized groups, such as ethnic groups, that have difficulty accessing information?
  - What percentage of the population have disabilities requiring different communications methods (WHO recommends assuming that 15% of the population has a disability)?
  - Children, and adults over 60, have specific forms of support that will need to be communicated in an appropriate way.

4. Develop your communication plan and materials.

There are different ways (format, language, locations, etc.) to communicate PSEA messages, and a variety of types can be used. Some examples:

- Posters, leaflets and other IEC materials
- Plays, children's plays and learning activities
- Radio programs, discussions, announcements, skits
- Community, or community group, meetings or conversations
- Branded material
- Media releases, local newspaper articles, locally accessible social media
- SMS messages

Highlight that these are only examples. An innovative approach will seek understanding of the specific context and practical modalities based on the consultation process. The communication plan and materials should ensure that the right people receive the right information at the right time about SEA, while keeping in mind the safety and dignity of targeted communities and groups within the local context.

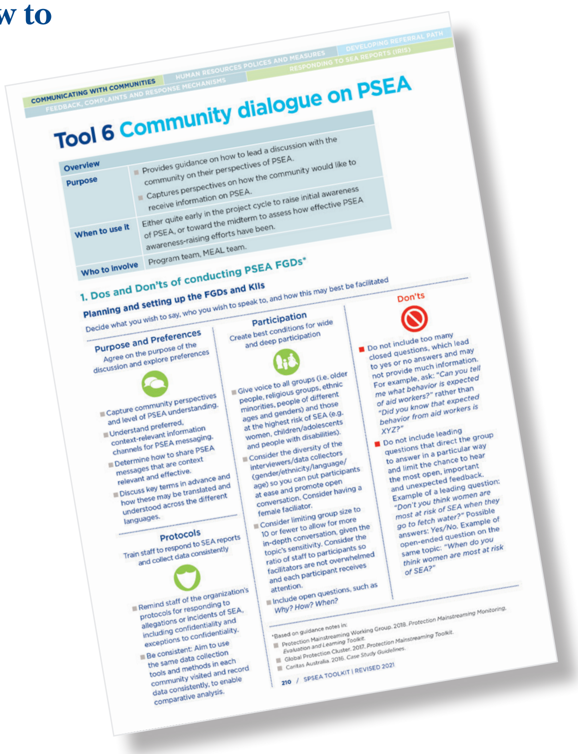
Teams must also understand the methods that are already in use in the community and the different groups that have easiest access to those methods.

5. Involve the community throughout the process of developing your communication materials on SEA, and feedback, complaints and response mechanisms.

- Ensure that your material is appropriate, sensitive and likely to get the right message across in a changing environment.
- Community consultations on SEA and FCRM are not a one-time exercise but require continuity.

6. Always make sure community members know how to complain if they think SEA is taking place.

- Include clear information on how to contact the organization with a complaint, with details on the FCRM designed to receive and handle sensitive feedback.



Facilitation Guide
Module 6: Feedback, Complaints and Response Mechanisms (FCRM) and PSEA

- To highlight the importance of feedback, complaints and response mechanisms (FCRM) in addressing PSEA.
- To offer practical steps for handling sensitive feedback, including allegations of SEA, and overall best practices for incorporating PSEA measures into project-based feedback, complaints and response mechanisms as one of the minimum standards for PSEA.

SESSION 1: FEEDBACK, COMPLAINTS AND RESPONSE MECHANISMS AND PSEA (1 HOUR)
SESSION 2: HANDLING FEEDBACK AND COMPLAINTS (2 HOURS)
SESSION 3: FEEDBACK AND COMPLAINTS QUIZ (50 MIN)

Participants

Training of trainers

PSEA/safeguarding/ protection focal points

Training roll-out phase

MEAL staff and staff handling feedback

Senior managers

Duration

3 hours, 50 minutes

SESSION 1: FEEDBACK, COMPLAINTS AND RESPONSE MECHANISMS (FCRM) AND PSEA (1 HOUR)

Outline

- Plenary: FCRM overview (10 min)
- Exercise: Encouraging feedback and complaints (40 min)
- Plenary: Minimum PSEA messages (10 min)

Objectives

- Understand steps for setting up an effective and context-relevant feedback, complaints and response mechanism.
- Understand that sensitive and non-sensitive feedback and complaints should be handled differently.
- Understand how to encourage community reporting of sensitive complaints by using minimum PSEA messages that are relevant and context appropriate.

Key messages

- Design of an effective feedback, complaints and response mechanism will depend on the context, and should be done in consultation with different groups from the target population.
- Sharing relevant messages on PSEA standards and agency codes of conduct can foster the sharing of sensitive complaints.
- Organizations should have safe and confidential mechanisms in place, particularly for more sensitive complaints.
- Communities should be aware of what behavior they can expect from organization staff, and of organizational commitments made on safeguarding, and how to complain if these commitments are not met.

Materials

- Projector and slides
- Flip chart and markers

Training tool

- TT 6.1 Feedback scenarios (one set)

Handouts

- HO 6.1 Eight principles for building trust (Bond, September 2018)[1] (one per participant)
- HO 6.3 Selecting feedback mechanisms (CRS MEAL in Emergencies e-learning course, 2015) (one per participant)
- HO 6.4 FCRM channel-mapping tool (one per participant)

1. Eight principles for building trust through feedback (Bond 2018), CC BY-NC 4.0.

PLENARY: FCRM OVERVIEW (10 MIN)

ASK the participants to share what feedback and complaints are and why they are important.
Note: Different organizations may use different terms (feedback, complaints, reports or allegations); there is no global standard of usage.

WRITE the answers on a flip chart and initiate discussion. Lead the discussion toward two aspects:

- Improving program quality
- Ensuring safeguarding of program participants

EXPLAIN that feedback mechanisms in humanitarian or development settings have two main objectives:

- **Improving program quality:** Because contexts are different from one community to the next and evolve with time, programs need to continually adapt and improve. Feedback from program participants contributes to this, mainly by:
  - *Contributing to timely learning*: Feedback mechanisms are complementary to evaluations, satisfaction surveys, etc., because they are open to all (organizations do not choose who gives feedback), unlimited on the subject and can be used at any moment.
  - *Ensuring learning is considered in decision-making:* Feedback mechanisms should be designed so that all information received is documented for learning. This can lead to an immediate change in programming (e.g. changing the day or time of a distribution), or changes over the longer term (e.g. suggestions can be integrated into new phases of the program or new proposals). It is vital that feedback leads to learning and improved decision-making as this can build trust in the mechanism, which in turn can encourage more sensitive feedback related to PSEA. Action taken due to feedback received should also be communicated to program participants, so they know their voices have been heard and have resulted in change.
- **Ensuring safeguarding of program participants:** Organizations have a responsibility to ensure their programs and staff do not negatively impact program participants. Feedback mechanisms contribute to safeguarding by:
  - **Preventing harm** (Do No Harm) as they can immediately highlight any concern of potential risks created or increased by the program.
  - **Responding to SEA and other allegations** Allegations of abuse, exploitation or fraud/corruption can be investigated and, if true, disciplinary and corrective measures taken to promote a safe environment and prevent further occurrences.

HIGHLIGHT that policies and procedures related to PSEA will always be more effective when a PSEA-responsive FCRM is in place.

EXPLAIN the definition of complaints mechanisms: "processes that allow individuals to report concerns such as breaches of organizational policies or codes of conduct."[2] We will focus on concerns related to PSEA, as that is the focus of our work together.

2. PSEAH implementation quick reference handbook (CHS Alliance 2020).

EXERCISE: ENCOURAGING FEEDBACK AND COMPLAINTS (40 MIN)

DIVIDE the participants into two groups to discuss two different feedback scenarios (15 minutes). **DISTRIBUTE** **T** **TT 6.1 Feedback scenarios** to each group.

The groups will write the answers to the following questions on the flip chart for later discussion:

- *What barriers might program participants face when trying to provide feedback, make complaints or report concerns, including those related to SEA?*
- *What can you do to encourage program participants to provide feedback, make complaints and report concerns, including those related to SEA?*

DEBRIEF the exercise by highlighting barriers to giving feedback:

- Fear of losing access to services, reprisals or other consequences
- Fear of not being taken seriously
- Fear of senior official and/or expatriate staff member
- Not seen as acceptable practice in country/region
- Not seen as acceptable to challenge those in authority
- Lack of knowledge of the right to report or how to report. This can be either because the organization does not share information on this right, or because of a lack of access to that information (literacy, dialects, information format, etc.)
- Lack of access to feedback channel
- Inappropriate choice of feedback mechanism
- Belief that nothing will change
- Embarrassment or shame

HIGHLIGHT ways to encourage participants to report:

- Foster engagement with diverse groups (women, children, older people, people from other marginalized groups, etc.) to understand how they view feedback and complaints, and to identify the most appropriate feedback mechanisms.
- Set up multiple feedback mechanisms to ensure wider access (e.g. hotlines, face-to-face volunteers, WhatsApp groups, etc.).
- Ensure better information-sharing on how to report, what to report on, appropriate and inappropriate behavior (Six Core Principles).
- Ensure better or quicker response to feedback and complaints.
- Provide better communication on how feedback is acted upon or used to adjust programs.
- Ensure stronger community engagement, participation and regular dialogue throughout the program cycle.
- Ensure diversity of staff to represent the target group and allow people to feel more comfortable when speaking out.
- Put in place strong procedures to ensure the confidentiality and safety of complainants.

HIGHLIGHT key points:

- Trust is essential for a feedback system to be successful. This may take time to build.
- An organizational culture in which complaints are taken seriously and acted upon is essential.
- Communities should be aware of what behavior they can expect and how to complain when they have concerns.
- Sensitive complaints must be dealt with promptly and safely. *Note:* You should refer the complainant to the victim/survivor assistance mechanism, where established, so that they may receive appropriate medical, psychosocial, legal and material support. If such an assistance mechanism is not yet in place, the designated staff member should seek to facilitate access to such support.

HIGHLIGHT that to further encourage the sharing of feedback and complaints in both emergency and development contexts, the following minimum PSEA messages should be shared with communities through context-appropriate communication strategies. These must be further defined in consultation with communities.

PLENARY: MINIMUM PSEA MESSAGES (10 MIN)

RECAP the minimum PSEA messages for communities relevant to feedback, complaints and response mechanisms.

- The definition of sexual exploitation and abuse
- The standards of conduct for relief workers
- That they have a right to free assistance
- Where and how to report SEA incidents
- What services are available, and how to access them
- What to expect after making a complaint, including potential referrals, timeframes, and the roles, responsibilities, and any limitations of actors involved
- What steps the organization will take to ensure safety and confidentiality

Link these to the discussion on PSEA messages from *Module 5: Community engagement and PSEA*.

SESSION 2: HANDLING FEEDBACK AND COMPLAINTS (2 HOURS)

Outline

- Standards of effective feedback, complaints and response mechanisms (10 min)
- Facilitation practice: Twelve complaints-handling steps (35 min)
- Plenary: Facilitation debrief (15 min)
- Exercise: Processing sensitive and non-sensitive feedback (30 min)
- Plenary: Debrief (30 min)

Objectives

- Learn the 12 steps in the complaints-handling process, including setting up a feedback, complaints and response mechanism.
- Learn the steps in processing both sensitive and non-sensitive feedback.

Key messages

- Setting up an effective FCRM includes a range of activities that involve different stakeholders.
- Different FCRMs can be relevant in different contexts, but there are basic steps for designing and setting up any feedback mechanism.
- Understanding the process for handling all feedback ensures the setting up of adequate policies and procedures.
- FCRMs must be designed to handle both non-sensitive and sensitive feedback.
- A fast-track process for dealing with complaints about SEA must be put in place.
- Standard operating procedures must be put in place to define protocols for all feedback-handling processes to ensure confidentiality.

Materials

- Projector and slides
- Flip chart and markers
- Four sets of *Twelve complaints-handling steps* cut into sections

Handouts

- HO 6.2 Minimum standards for effective FCRM (one per participant)
- HO 6.3 Selecting feedback mechanisms
- HO 6.4 FCRM channel-mapping tool
- HO 6.5 Twelve complaints-handling steps (4 copies)
- HO 6.6 Dos and don’ts for feedback collectors (one per participant)
- HO 6.7 FCRM standard operating procedures template
- HO 6.8 FCRM flowchart
- HO 6.9 Feedback and complaints categories

Training tools

- TT 6.2 Twelve complaints-handling steps
- TT 6.3 Examples of sensitive and non-sensitive feedback (4 copies)

Online resource

- Closing the loop: Effective feedback in humanitarian contexts (Bonino 2014)[3] (also available in French, Spanish and Arabic).

3. Bonino F, with I Jean and P Knox Clarke. 2014. Closing the loop: Effective feedback in humanitarian contexts. ALNAP/ODI.

PLENARY: STANDARDS OF EFFECTIVE FCRM (10 MIN)

SHARE that PSEA elements should be taken into consideration early in the planning of a feedback, complaints and response mechanism.

REVIEW the minimum standards for an effective FCRM and distribute **H HO 6.2 Minimum standards for effective FCRM**:

1. There are at least two channels available for each project and at least one of those should be a passive channel.
2. All staff are oriented on the feedback, complaints and response mechanism, their roles and the internal reporting processes (link to safeguarding policy procedures).
3. Communities are oriented on the Six Core Principles of staff behavior and the code of conduct, and how to report violations.
4. Ensure community consultations take place and that channels selected are based on the results of those consultations.
5. Regardless of how many project-based feedback, complaints and response mechanisms an organization is operating in a country, all sensitive feedback should be channeled to the executive director or other designated staff member within the organization.

STRESS that feedback can be received formally—through official feedback, complaints and response mechanisms—or informally, such as in person during monitoring visits. There should be at least one channel available offering the possibility of sharing complaints anonymously. Communities need to be informed about the limitations of sharing feedback and complaints anonymously, such as the inability to contact the reporter.

DISTRIBUTE H HO 6.3 Selecting feedback mechanisms and **H HO 6.4 FCRM channel-mapping tool**. Highlight that both tools should be used when selecting an adequate feedback channel, and be based on community consultations.

DISTRIBUTE H HO 6.1 Eight principles for building trust for further reference on FCRMs.

A participant facilitator from the group will **LEAD** the following exercise, using the facilitation guide below:

FACILITATION PRACTICE: TWELVE COMPLAINTS-HANDLING STEPS (35 MIN)

DIVIDE participants into four groups, hand out T **TT 6.2 Twelve complaints-handling steps** (cut into sections), and ask the groups to put them into order. Allow 15 minutes for the exercise, then ask one group to present the order and other groups to compare their results and comment on the order. **ASK** participants:

- *Was anything surprising about the order of the steps?*
- *Does this resonate with how you do things currently?*
- *What steps are missing in your current process?*

TALK THROUGH each step below in plenary. Allow time for questions and clarifications.

- **Ensure commitment/support by senior management.** Ensure management understand and is committed to the implementation of the complaints mechanism.
- **Consult program participants, host communities and other stakeholders** about the design and location, etc., of the mechanism.
- **Develop standard operating procedures based on community input and program resources.** Using information from the community—and bearing in mind the realistic financial and human resources available—develop a policy. Consider how the mechanism will work, and who has oversight.
- **Conduct staff training on complaints handling.** Provide training on how the mechanism will work and who has responsibility for what.
- **Set up/establish the appropriate mechanism and sensitize the community on the complaints-handling process.** Provide information to the community on how to use the mechanism, its purpose and limitations, how it works, and who is responsible.

HIGHLIGHT that the previous five steps were focused on *setting up* the feedback, complaints and response mechanism while the following three are focused on *processing* feedback and complaints.

- **Receive feedback and complaints**
  - Complaints are received by the mechanism the organization has in place. Ideally, complaints should include information about what the complaint is; who it relates to; and when, where and how the complainant can be contacted again.
- **Log and acknowledge**
  - Check the complaint is valid, i.e. within the control of the organization. If the complaint is valid, log the details in a central filing system, decide whether it is sensitive or not, and pass to the relevant person(s) for investigation. Contact the complainant to acknowledge receipt of the complaint.
  - If the complaint is not valid (i.e. not within the control of the organization), contact the complainant and try to assist them by referring them to another agency, as appropriate.

- **Consult, review and investigate**
  - All complaints need to be reviewed but not all require a formal investigation.
  - Non-sensitive complaints are generally everyday complaints related to project delivery. They should be dealt with by the program team, with support from the complaints manager or equivalent. The fact that they are called "non-sensitive" does not mean that they are not important, or that the person affected doesn't feel it is a sensitive issue, only that it does not relate to exploitation, abuse or serious misconduct.
  - Sensitive complaints should be dealt with by someone with the relevant expertise, e.g. safeguarding focal point or human resources manager, for cases of abuse or misconduct; internal auditor or finance manager, for cases of fraud or misuse of funds, etc.
  - A decision must be made about whether the allegation relates to a criminal offence that may need to be referred to the authorities (while providing for the safety of those concerned).

Note to facilitators: *Module 7: Responding to SEA reports (IRIS)* will provide more details on conducting internal investigation.

- **Respond to complainant.** Contact the complainant and explain the outcome of the complaint and what action will be taken (for instance, disciplinary measures). If there is a need for specific action, it will be one of three types: practice change (a decision to change ways of working in the future); making good (e.g. replacing products or services that were not fit for purpose); and restitution (consideration of compensation in an extreme case where it is not possible to make good).
- **Provide opportunity to appeal the decision.** Complainants have a right to appeal any decisions.
- **Review complaints trends, report to management and adjust program accordingly.** Monitoring and reporting on complaints can help the management team identify opportunities for improvement at the project, program and organizational levels.
- **Review effectiveness of complaints system and make adjustments.** Complaints systems should not be static if changes in the context mean that other methods would now be appropriate (e.g. reconstruction of telephone infrastructure).

Leave time for discussion on any of the steps that might need further clarification.

DISTRIBUTE H HO 6.7 FCRM SOPs template and **H HO 6.8 FCRM flowchart**.

PLENARY: FACILITATION DEBRIEF (15 MIN)

INVITE the participants and the participant facilitator to provide feedback on the facilitation process. Ask what went well and what the challenges were. **HIGHLIGHT** missing points and key messages, if any, from the facilitation.

EXERCISE: PROCESSING SENSITIVE AND NON-SENSITIVE FEEDBACK (30 MIN)

EXPLAIN that the following exercise will enable the participants to practice processing feedback and complaints.

DIVIDE the participants into four groups.

PREPARE T **TT 6.3 Examples of sensitive and non-sensitive feedback** with one example of sensitive feedback and one of non-sensitive feedback. Distribute it to each group. Ask the participants to use the last six steps from H **HO 6.5 Twelve complaints-handling steps**. They should review, categorize (using H **HO 6.9 Feedback and complaints categories**) and present on a flip chart how these two examples would be managed based on the last six steps on the HO.

ALLOW 20 minutes for the exercise and 10 minutes for one group to present and other groups to comment by adding their findings.

PLENARY: DEBRIEF (30 MIN)

HIGHLIGHT that depending on the type of feedback received (sensitive versus non-sensitive), the handling processes will be different. In each case, standard operating procedures must be put in place and shared throughout the organization so all staff are aware of the processes. In implementing these steps, organizations should plan for different levels of staff training to handle sensitive feedback (psychological first aid, communication skills and other soft skills), keeping in mind that they will be in direct contact with SEA survivors and exposed to sensitive information. Also, different staff will be engaged in different steps and this needs to be defined in the standard operating procedures.

EXPLAIN:

- **Non-sensitive feedback** will be received, recorded and processed by project staff. It will be forwarded to project management for final decisions on the type of response needed. A staff member will then provide adequate feedback to the community or individual as needed.
- **Sensitive feedback** might be received by project staff, but should be forwarded to senior management for further handling. In cases of SEA, the PSEA focal point should be involved. The decision on the feedback will be made, it will be followed up and a final decision made on the initiation of the investigation procedure. For sensitive issues, feedback to the complainant should be done individually.

Note for facilitators:

As mentioned above, immediate support to the victim/survivor must take place depending on the circumstances (medical support, transfer to a safe location, etc.) in collaboration with the survivor and based on their needs. This implies prior identification of referral pathways for victim/survivor support.

The first step is preventing further harm to the victim/survivor by preventing contact between the alleged perpetrator and the victim/survivor. All steps in handling sensitive feedback, and SEA allegations in particular, must be clearly stated in the standard operating procedures, and be in line with organizational policies and procedures and the internal reporting and investigation system.

EXPLAIN: **Response time**

- Non-sensitive feedback should be responded to within two weeks.
- Sensitive feedback should be acted upon immediately, receipt acknowledged, and the handling process initiated.

HIGHLIGHT that sensitive feedback should never be shared publicly. The issue of confidentiality might come up when processing both types of feedback. In some instances, it will not be possible to guarantee confidentiality, e.g. when the SEA or fraud allegations are referred to national authorities under mandatory reporting laws.

Best practice is to inform the complainant of expected procedures on the sensitive feedback, and SEA in particular, so that they can make an informed decision to report. FCRM standard operating procedures will need to clearly outline how your agency intends to ensure confidentiality while abiding by the relevant mandatory local and national reporting laws and policies.

EXPLAIN that sensitive feedback does not only include SEA but also fraud, any breaches of the code of conduct or safeguarding policy, and allegations of SEA by staff of other organizations.

EXPLAIN that any feedback must receive a response:

- Always thank the person giving feedback for sharing their opinion.
- Let them share their preferred medium for receiving an answer (if needed): individual (phone call, SMS, home visit) or public (public address, poster)
- Closing the loop, i.e. responding to sensitive feedback, has particular importance due to the sensitivity of the feedback and the dire consequences for a range of stakeholders if no action is taken. A specific response to sensitive feedback should never be given through a public means; it should be given directly to the person who reported the issue. However, we can share with the broader community that we have had complaints of a sensitive nature and provide information on the process for how they are handled.

CLOSE the session by showing the DOS and DON'Ts for feedback collectors on the slide and **DISTRIBUTE** **H HO 6.6 DOs and DON'Ts for feedback collectors**.

SESSION 3: FEEDBACK AND COMPLAINTS QUIZ (50 MIN)

Outline

- Facilitation practice: Quiz (20 min)
- Plenary: Facilitation feedback (15 min)
- Module review for roll-out (15 min)

Objective

- Review the key points on feedback mechanisms

Materials

- Tape

A participant facilitator from the group will **LEAD** the following exercise, using the facilitation guide below.

FACILITATION PRACTICE: QUIZ (20 MIN)

TAPE a line down the middle of the room. **ASK** all participants to stand on the line.

EXPLAIN the rules of the game:

- One side of the room represents "I agree" and the other side represents "I disagree."
- A series of questions will be asked and participants should move to one or other side depending on their response.
- After each question, and when all the participants have chosen a side, **ASK** one or two people from each group to explain why they agree or disagree.
- Then give the correct answer and explain why this is adequate.

START the game by asking the questions one at a time and debriefing after each using the following notes:

1) **Feedback is any information shared by the program participants or community to my organization, and by my organization back to program participants or community.**
   - **Agree:** Feedback means any information coming from program participants or the community to the organization. After receiving feedback, the organization will give a response to the program participants or community, through an answer or an action. Program participants give us feedback and we give them responses in return. Feedback can be positive or negative.

2) **A complaint can be positive or negative.**
   - **Disagree:** According to the Core Humanitarian Standard, complaints are specific grievances from anyone who has been negatively affected by an organization's actions or who believes that an organization has failed to meet a stated commitment. Complaints can alert agencies to serious misconduct or failures in the response. A complaint is always negative.

3) **Feedback has to be received through formal systems**

- **Disagree:** Formal feedback can be received through specific assessments (group discussions or interviews), post-distribution surveys, questionnaires or other systems. However, feedback can also be received informally through daily interactions between program staff and participants. It is crucial to use this information as it can help develop trust and continually improve programs.

4) **Feedback is accepted only if it is about our program.**

- **Disagree:** Depending on the organization's policies, feedback can also be about the conduct of staff, partners and volunteers (allegations of fraud, corruption, abuse or exploitation). Moreover, agreed sector-wide standards dictate that every humanitarian worker has the obligation to report any concerns about sexual abuse or exploitation by any humanitarian worker of any organization or UN agency, even if we have no link to that organization. Feedback can be about our program (non-sensitive feedback) or the behavior of a staff member, partner, volunteer or another humanitarian worker (sensitive feedback or a complaint).

5) **We can ignore certain feedback.**

- **Agree and Disagree:** The principle is to "close the loop," which means that every item of feedback should receive a response. A response can be an answer (thanking a participant for a suggestion or answering a question) or an action (reprinting a participant's program card that has been lost). BUT, some feedback is considered as non-valid (feedback that is not about our programs; not about the behavior of a staff member, partner, volunteer; and not about an abuse or exploitation). These are usually interesting only for learning; for instance, if you receive a lot of non-valid feedback, it may mean that program participants do not clearly understand the purpose of the feedback, complaints and response mechanism and you should take action to communicate its purpose and scope to different groups within the target population.

ALLOW time for any questions. **SHARE** additional resources: Guidelines for Investigations (CHS Alliance 2015) (available in French, Spanish and Arabic) and Closing the loop: Effective feedback in humanitarian contexts (Bonino 2014).

PLENARY: FACILITATION FEEDBACK (15 MIN)

Invite participants and the facilitator to provide feedback on the facilitation process. Ask what went well and what the challenges were. Highlight missing points and key messages, if any, from the facilitation.

MODULE REVIEW FOR ROLL-OUT (15 MIN)

ASK each participant to use the training plan template to modify or reflect on the session for the roll-out phase. Highlight that this module should be targeting senior leadership and managers within their organizations as well as staff handling feedback.

HO 6.1
Eight principles for building trust

Adapted from Eight principles for building trust through feedback (Bond 2018).

To build local communities' trust in the feedback and response mechanism, the following principles should be followed and applied to the mechanism so that it is:

1. Context specific
FRM must be appropriate to the local context, with consideration given to social, cultural and gender norms that may affect the use of the FRM.

2. Inclusive and accessible
Effective feedback mechanisms must be inclusive of all, regardless of gender, age, disability or any other dimension of diversity.

3. Empowering
Credible feedback mechanisms capable of building trust must be people-centered or, in the case of safeguarding concerns, survivor-centered. They should recognize the power relations within communities, and between communities and the aid organizations.

4. Consistently closing the loop
They should develop relationships with communities, respecting confidentiality, and responding to both sensitive and non-sensitive feedback within agreed timeframes.

5. Collective responsibility
All aid interventions impact the reputation of individual organizations.

6. Impartial
Staff must be able to use the FRM free from judgment and bias.

7. Do no harm
Mechanisms for receiving feedback do not negatively impact the people they are designed to support.

8. Appropriately resourced
Organizations should properly resource and donors support efforts of transparent and accountable programming, both respecting the international standards in safeguarding.

HO 6.2 Minimum standards for an effective FCRM

1. There are at least two channels available for each project and at least one of those should be a passive channel.
2. All staff are oriented on the feedback, complaints and response mechanism, their roles, and the internal reporting processes (link to safeguarding policy procedures).
3. Communities are oriented on expected staff behavior based on the IASC Six Core Principles Relating to Sexual Exploitation and Abuse, 2019, and to the organization's code of conduct, and how to report violations.
4. Ensure community consultations take place and that channels selected are based on the results of those consultations.
5. All sensitive feedback should be channeled to the executive director or other designated staff member within the organization, regardless of how many project-based feedback and complaints mechanisms an organization is operating in a country.

HO 6.3
Selecting Feedback Mechanisms

HO 6.4 FCRM channel-mapping tool

How do we know which feedback channels are most appropriate for the people we serve?

STEP 1. MAP PROJECTS AND PROGRAM PARTICIPANT PROFILE

Instructions: For a selected project, fill out the table below based on the knowledge of staff.

Project (if project is multi-country, fill out one table per country):			
Locations of services/ program:			
Implementing partner/s:			
Program participant profile	**Sex** *(male, female)*	**Age groups** *(children, adolescents, adults, elderly)*	**Other diversity factors** *(area of residence, nationality, religion, socio-economic group, disability)*
Describe the characteristics of the types of program participant populations served by the project (e.g. sex, age, diversity factors that may influence their preferences or abilities related to providing formal feedback to the organization). Be as detailed as possible; we need to ensure all our program participants are included.			
Are there any program participant groups that do or do not have difficulties accessing a telephone?			
Are there any program participants that do not have access to the internet and/or do not feel comfortable using it?			
For those that have access to phones, is there any additional cost for them to use the phone to make a local call?			
For those that have access to internet, is there any additional cost for them to use it?			

Current practice	
List the current available project feedback channels, if any. (Note: These are formal feedback channels through which the organization or its partner document all feedback coming in and systematically respond). Clarify whether these differ for the different population groups listed above (by sex, age, diversity, etc.)	
Are these channels being used by program participants? If not, why not? If so, which is the most frequently used channel? What type of program participant most frequently responds? Are there groups of program participants that rarely or never respond?	
Did we consult or in some other way find out how program participants prefer to report sensitive feedback? If so, how and what were the results?	
Are there any particular program participant sub-groups that we don't have enough information about? Who are they?	

STEP 2. MAP FCRM CHANNELS

Instructions: In a participatory workshop setting, bring program/project managers together to review their results. Based on the responses above, list the different groups of beneficiaries in the column on the left and all the possible appropriate feedback channels on the top row. Then for each group, check the box for each channel that would be appropriate (meaning the group would be comfortable using it), accessible and free of charge for that particular group.

		Feedback channels						
Program participant group (examples included)								**Notes**

HO 6.5
Twelve complaints-handling steps

Adapted from *Protection Mainstreaming Facilitation Guide* (PMWG 2018), Module D5: Feedback and Complaints.

	Status	Gaps	Next steps
1. Commitment/support by senior management			
2. Consult beneficiaries, host communities and other stakeholders			
3. Develop policy based on community input and program resources			
4. Train staff on complaints handling			
5. Sensitize community on complaints-handling process			
6. Receive feedback and complaint			
7. Log and acknowledge complaints			
8. Consult, review and investigate complaints			
9. Respond to complainants			
10. Offer opportunity to appeal the decisions			
11. Review complaints trends, report to management and adjust program accordingly			
12. Review effectiveness of complaints system and make adjustments			

HO 6.6 Dos and Don'ts for feedback collectors

Adapted from *Protection Mainstreaming Facilitation Guide* (PMWG 2018), Module D5: Feedback and Complaints.

DOs

- **Do** clearly explain to the community member what happens with the feedback that is collected.
- **Do** ask for consent to take the person's details (people don't have to give personal details such as names. If they prefer to stay anonymous, they need to be informed that this means we cannot get back in touch with them directly).
- **Do** listen carefully to what the person has to say.
- **Do** empathize with the person.
- **Do** document the feedback thoroughly (Think of the questions: What happened? Who was involved? Where and when did it happen?).
- **Do** repeat the feedback back to the person to ensure you understand the situation.

DON'Ts

- **Don't** become defensive.
- **Don't** push the person to give you details they don't want to share.
- **Don't** argue with the person.
- **Don't** be dismissive.
- **Don't** blame others.
- **Don't** make assumptions without knowing the facts.
- **Don't** make promises you can't keep.
- **Don't** ignore the problem.

HO 6.7 FCRM standard operating procedures template

Overview	
Purpose	The purpose of the standard operating procedures (SOP) is to document processes and protocols required for quality FCRM implementation.
When to use	FCRM start-up
Who to involve	The program manager should complete the SOPs with input from MEAL staff and other project team members.

Please adapt this template to the specific needs of your FCRM, and ensure it is updated as the FCRM evolves and improves. It is recommended that all tools and supporting materials are included as annexes and that each annex is referenced or described in the SOP narrative. An example of an SOP narrative is available in the Protection from Sexual Exploitation and Abuse section of the Emergency Field Operations Manual (EFOM).

Background: Scope of project, donor requirements for FCRM, partner safeguarding policies, agency safeguarding and MEAL policies and requirements, FCRM categories (with local examples or sub-categories if applicable), integration with consortium partners' FCRM and CP-level FCRM (if applicable), and staffing structure along with key roles for FCRM. Annex: FCRM flowchart, roles and responsibilities table, and FCRM categories.

Feedback and complaints channels: Name and description of each feedback and complaints channel; access details for each channel (i.e., hours for help desk or number for hotline or languages available); process for documenting feedback and complaints (including via face-to-face channels); plans for acknowledgment of feedback and complaints for each channel. Annex: Data collection tools, acknowledgment scripts.

Response channels: Name and description of each response channel; project-level commitment for response time to each feedback and complaints category. Annex: FAQs, response scripts, referral maps.

Escalation of sensitive complaints: Local procedures for escalation of sensitive complaints in accordance with donor and agency policies, the name and contact information of the focal point for sensitive complaints (country representative or their designate). Annex: FCRM flowchart, scripts for responding to protection or safeguarding concerns.

FCRM communication: Communication approaches for community awareness of FCRM, access to each feedback and response channel, expectations for responses associated with different FCRM categories, process for consent, process for appeal, and the agency code of conduct. Annex: Communication plan and associated materials.

Description of data management system: Data management system (DMS) used, access to and data protection for sensitive complaints; consolidation of partner-level DMS or registries among partners, relevant national and local regulations for data protection, plans for quality checks on system completeness. Annex: DMS template or registry.

Data analysis: Approach for and frequency of analysis, comparison groups for tracking trends (i.e., male and female, use of each channel), plans for calculating response rate (against timeline commitments), and data visuals to support interpretation of trends.

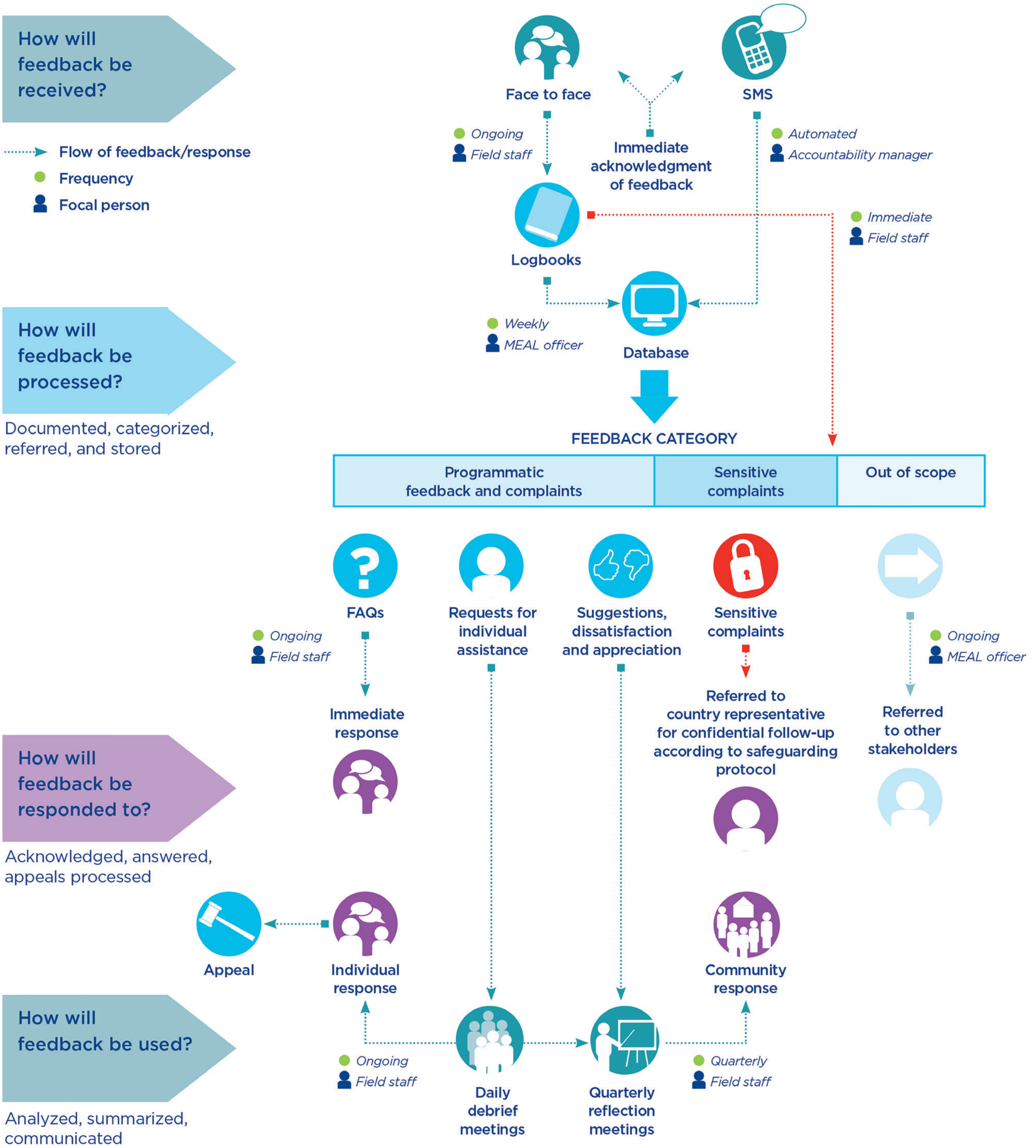
Data use: Plans for the use of feedback data and trends in adaptive management processes (i.e., quarterly and annual reflection meetings).

Effectiveness check: Plans for checking effectiveness of FCRM during reflection events (i.e., quarterly) and annual effectiveness checks and/or integration with evaluation events (i.e., timing, methods and reflection questions).

FCRM close-out: Plans for handover or close-out of FCRM or sustaining the system, and de-identification and archiving of FCRM data.

Annex: FCRM flowchart
Annex: Roles and responsibilities table
Annex: FCRM categories
Annex: Data collection tools
Annex: Script for acknowledgments by channel or category
Annex: FAQs for answering questions or response scripts for information requests
Annex: Referral maps
Annex: Scripts for responding to protection or safeguarding concerns
Annex: Communication plan
Annex: Communication materials
Annex: DMS template or registry

HO 6.8 FCRM flowchart



HO 6.9 Feedback and complaints categories

This tool describes the key feedback and complaints categories and key actions to manage and respond to each type.

	CATEGORY	DESCRIPTION	EXAMPLE	ACTION	COMMENTS
Programmatic feedback and complaints (information requests and programmatic)	**1. Request for information**	Questions about current project activities, services and eligibility, or about the organization.	• When is the next distribution? • What were the criteria for receiving shelter assistance? • Does your organization only work with Catholic people? • Can I get a job with CRS?	• Record and acknowledge. • Provide immediate answers if feasible. • If immediate answer isn't feasible, request individual contact information if not provided and transfer to team for follow-up as soon as possible, ideally within 1 week.	• Common questions about project services and activities can be captured in a frequently asked questions (FAQ) sheet for easy reference. The FAQs and answers can be posted in local language(s) in communal spaces and should be updated to answer new questions as they arise.
	2. Request for individual project support and assistance	A request by an individual to receive project services that have not been supplied due to a potential targeting error or larger access issue.	• I wasn't included in the targeting list although I meet the criteria. • The tarp was missing from my shelter kit. • I can't travel to the distribution site so how can I receive assistance?	• Record and acknowledge. • To allow for follow-up, request individual contact information if not already provided. • Transfer to relevant team for inquiry and response as soon as possible, ideally within 2 weeks.	• Refers to issues that require individual follow-up and fall within the project scope. Trends in this feedback should be considered in case larger issues of discrimination or communication are identified.
	3. General suggestions for service and program improvements	Feedback on relevance, quality and appropriateness of services and programming. A request to change how support is provided in current or future projects.	• We need cash grants with training in relevant skills to make a real difference. • The school uniforms should be red because blue is associated with the opposing political party. • The training materials should be translated into other languages.	• Record and acknowledge. • To allow for follow-up, request individual contact information if not already provided. • Transfer to relevant team for additional follow up, inquiry and response, ideally within 2 weeks.	• Requires team review to determine whether it can be addressed in the current project or should inform future design.
	4. Appreciation of services or support	Appreciation for current activities or support provided.	• Thank you for your help. • The school uniforms are of very good quality.	• Record and acknowledge. • If possible, confirm with the person that no response is needed.	• Includes general appreciation of the team's presence in the community or refers to a specific aspect of support provided.
	5. Complaints about services or support	A complaint or expression of dissatisfaction about timeliness, appropriateness or quality of services or support.	• The area around the latrines has poor lighting and women don't feel safe going there at night. • The water vendor missed several deliveries to the community. • Your aid is going only to Christian communities which is unfair.	• Record and acknowledge. • To allow for follow-up, request individual contact information if not already provided. • Transfer to relevant team for additional follow-up, inquiry and response within 2 weeks.	• Teams may consider creating subcategories for dissatisfaction with current activities versus suggestions for additional or more relevant activities in the future.

	CATEGORY	DESCRIPTION	EXAMPLE	ACTION	COMMENTS
Sensitive complaints	**6. Any alleged violation of the CRS Code of Conduct and Ethics or Safeguarding Policy**	An allegation of misconduct involving CRS staff (including interns, volunteers, partners, vendors and suppliers; or other aid workers). Includes: • Safeguarding issues • Harassment • Abuse or exploitation • Fraud or misuse of project resources • Unprofessional behavior	• A CRS staff member is seeking personal favors from me in return for registration and assistance. • A field staff member has asked to marry my daughter. • A staff member was rude and yelled at me. • A volunteer arrived at the community event intoxicated.	• Record and acknowledge. • To allow for follow-up, request individual contact information if not yet provided and if person wants to be contacted. Inform the individual that someone will be in touch within 3 working days to follow up. • Escalate to the EthicsPoint / country representative (or designate) or staff safeguarding focal point immediately (within a maximum of 24 hours) • Ensure confidentiality by limiting access to or removing personally identifiable information and details of the alleged incident from the FCRM data management system.[1]	• Following a report of a critical incident, particularly safeguarding incidents, survivors must be offered support to access key services that could aid in their recovery from the incident(s). It is important to have such information readily available as the timeliness of the referral can have a direct impact on the efficacy of the service provided. • Focal points designated by the country representative must contact the survivor to confirm receipt of the case within 3 working days or sooner, depending on the gravity of the situation.[2] • Appropriate referral for follow-up and support will be determined by the CR or designate. Timeframe for action should reflect the gravity of the case. • To maintain confidentiality, no information about this issue should be shared with other staff. • For allegations that concern other aid workers, escalate to the CR who will notify concerned organization(s) to direct complaints through their own FCRM.

1. Some data management systems, such as CommCare and YouTrack, will automatically limit access to personally identifiable information and information related to the incident in the system. Others will require that staff manually remove this information in order to maintain confidentiality.
2. Gravity is often determined by assessing both the severity of the allegations and the impact or potential impact of the alleged conduct on the survivor. For example, sexual assault survivors often need to receive critical medical care within 72 hours of an assault, in order to reduce the likelihood of potential lifelong adverse consequences. Similarly, evidence indicates that following a critical incident, expeditious access to psychosocial support can reduce the long-term impact of the event(s) on a survivor's day-to-day functioning and well-being.

	CATEGORY	DESCRIPTION	EXAMPLE	ACTION	COMMENTS
Sensitive complaints	**7. Other protection issues**	An allegation of exploitation or abuse that *does not* involve CRS staff, partners or other aid workers, or an allegation of protection concerns[3] affecting the communities we support. This includes any reference to exploitation or abuse committed by, for example, a government official, schoolteacher, community member or family member.	• I have heard a rumor that there is an increase in domestic violence in the community that CRS supports. • My daughter has been molested by a member of an armed group.	• Record and acknowledge. • Where possible, using the referral pathway, provide immediate information on available protection services relevant to the protection concern raised. • If immediate referral is not possible, request the person's contact information, if not yet provided and if the person wants to be contacted. • Immediately forward to program manager with copy to the head of programming or emergency coordinator. • To maintain confidentiality, no information about this issue should be shared with other staff. • Ensure confidentiality by limiting access to or removing personally identifiable information and details of the alleged incident from the FCRM data management system.[4]	• If you are in doubt about whether the complaint received is in relation to a safeguarding or protection concern, follow the guidance under category 6. • Follow up with the individual and provide any additional information on available services and providers. Timeframe for referral should reflect the gravity of the case. • Head of programming and program manager should consider any actions needed at the program level to reduce or mitigate this risk. • HOP, in consultation with CR, decide on any additional action required (e.g., reporting to protection cluster). • Where possible, HOP to maintain log of protection incidents to track trends to inform future programming decisions and actions to enhance safety and dignity.
	8. Safety and security concerns	Information related to the safety or security of CRS staff, offices or goods; of partners or any humanitarian organization; or of the communities we serve.	• Your convoy is being targeted for attack. • An armed group has taken our village. • There is a rumor that the office is going to be looted this week. • There is localized flooding and the road to the program site has been affected.	• Record and acknowledge. • Immediately escalate to the CR or their designate for internal or external referral and follow-up. • Ensure confidentiality by limiting access to or removing personally identifiable information and details of the alleged incident from the FCRM data management system.[5]	• To maintain confidentiality, no information about this issue should be shared with other staff. • Appropriate referral for follow-up and support will be determined by the CR or their designate. Timeframe for referral should reflect the gravity of the case.

3. Protection concerns refer to situations of violence, discrimination or human rights violations that may affect members of a community. They can be facts or just rumors. For instance, it could be that refugees are increasingly being denied access to health facilities in one area, or that many children are dropping out of school to participate in cash-for-work activities proposed by different NGOs, or that some women and girls have been attacked on a certain road.

4. Some data management systems, such as CommCare and YouTrack, will automatically limit access to personally identifiable information and information related to the incident in the system. Others will require that staff manually remove this information in order to maintain confidentiality.

5. Depending on the management structure and security context of the country program, some country programs may wish to remove any security-related information entirely from the system while others may wish to maintain it in the system for greater accessibility by decision-makers, i.e., where, for example, security management is more localized.

	CATEGORY	DESCRIPTION	EXAMPLE	ACTION	COMMENTS
Other	**9. Out-of-scope feedback**	A request for support not provided by the project, or programmatic feedback on support provided by another actor. No safeguarding violations or issues of protection from abuse or fraud are included in this category.	• I have lost my goat; can you help me to find it? • I'd like to join the next government agricultural training but don't know when it will be held. • Can you help me get a loan? • The quality of the food distributed by the XYZ is not good.	• Record and acknowledge the request. • Refer to other actors if feasible. • State that the request falls outside of the project's scope, if no referral is possible. • Remind provider of the purpose and value of the FCRM for future use.	• If possible, for reference, develop a referral map to identify which other actors are providing services. Teams may consider creating subcategories for referrals (versus other out-of-scope feedback) if a referral map is in place.

TT 6.1 Feedback scenarios

Scenario 1

You are a single woman, with two children. You are receiving humanitarian assistance in the form of food vouchers from a nongovernmental organization. Each week you receive your voucher and go to the registered vendors to buy food for your family. There are four registered vendors in the program. Three of them charge higher prices when they see you are paying with vouchers. The other one, a man, charges a fair price even with the vouchers, but he keeps touching your hand when you pay him and the way he looks at you makes you feel uncomfortable. You would like to tell someone about the vendor but you don't feel you can. Although there is sometimes a help desk at the voucher distribution site, it is always staffed by men. There is also a feedback box, but you don't know how to write and you hear from other local people that the organization never responds to the messages in the box anyway.

Scenario 2

You are a 50-year-old woman who lives alone. Your husband died in an earthquake, and your children and grandchildren live in the capital city, over 50 miles away. Your house was destroyed, and you have not been able to reach the food distributions taking place in a village down the road because the roads were damaged and you cannot walk easily. Some workers from a nongovernmental organization came to look at your house last week and put you on a list for assistance. You received a "shelter kit" of tools and plastic sheeting, but you do not feel strong enough to do all the work. One of the men who delivered the materials said he would come and help you fix the house if you would "look after him." You don't know how else you will be able to get shelter. You also don't want to complain because you are scared you will be removed from the list of program participants. You haven't met any staff from the organization except the ones who came to see you last week.

TT 6.2
Twelve complaints-handling steps

Adapted from PMWG ProtM Training, Module: Feedback and Response Mechanism.

Cut out all steps for matching during the exercise.

Commitment/support by senior management

Consult beneficiaries, host communities and other stakeholders

Develop policy based on community input and program resources

Train staff on complaints handling

Sensitize community on complaints-handling process

Receive feedback and complaints

Log and acknowledge complaints

Consult, review and investigate complaints

Respond to complainant

Offer opportunity to appeal the decisions

Review complaints trends, report to management and adjust program accordingly

Review effectiveness of complaints system and make adjustments

TT 6.3 Examples of sensitive and non-sensitive feedback

Prepare one copy per subgroup.

Example 1

A colleague from your organization asked my daughter to go out with him after school.

Example 2

There is no transportation for the people from our camp to reach your organization's food distribution site.

Facilitation Guide
Module 7: Responding to SEA Reports (IRIS)

- To raise awareness of the need to respond to reports of SEA using effective internal processes that are safe, confidential and survivor-centered.
- To provide participants with practical examples of challenges and best practices in internal reporting and investigation of allegations of SEA.

SESSION 1: OBSTACLES TO STAFF REPORTING SEA (45 MIN)
SESSION 2: INTERNAL REPORTING (1 HOUR)
SESSION 3: SEA REPORTING FROM COMMUNITIES (45 MIN)
SESSION 4: INVESTIGATIONS (1 HOUR)

Participants

Training of trainers

PSEA/safeguarding/ protection focal points

Training roll-out phase

Administration staff

Senior managers

Duration

3 hours, 30 minutes

SESSION 1: OBSTACLES TO STAFF REPORTING SEA (45 MIN)

Objectives

- Learn about the importance of all staff and volunteers[1] understanding challenges to reporting SEA and safeguarding issues within the organization.
- Gain insight into the complexities of reporting SEA from a staff perspective and possible strategies for encouraging reporting.

Key messages

- All staff, both employees and volunteers, understand the importance of reporting SEA issues and how to report a concern in a safe, dignified and confidential way.
- Programs should have safe and confidential mechanisms in place, particularly for more sensitive complaints, including SEA.
- Processes must have a survivor-centered focus that prioritizes their needs and wishes.

Materials

- Projector and slides
- Flip chart and markers

Training tool

- TT 7.1 Maze game cards (CARE Canada, 2016)[2] (one per participant)

EXERCISE (45 MIN)

EXPLAIN that due to the sensitivity of SEA, even our own staff can face challenges in reporting such issues. Understanding these is vital for organizations to respond appropriately by designing and adjusting internal reporting policies and procedures.

DIVIDE the participants into groups of four. **DISTRIBUTE** T **TT 7.1 Maze game cards** and tell participants not to look through them yet. Explain the activity:

- Everyone has a set of cards, and must start with card Number 1.
- On each card, you are presented with a scenario and given options of how to respond. You will be directed to your next card depending on your response. Please do not scroll through the cards. Follow the numbers based on the instructions on the cards. You may wish to place the cards on the floor or table in front of you as you proceed through this maze because you will be asked to share the highlights of your journey with the group at the end of this session.
- Before you begin, please determine if your group will take the role of a female distribution staff member or a male distribution staff member.

1. "Any designated representative of the organization, including national, international, permanent or short-term employees, as well as volunteers and consultants, is considered to be a member of staff." (CHS Alliance)
2. Prevention of Sexual Exploitation and Abuse: Two day sensitization workshop (CARE Canada 2016), p16.

ALLOW 25 minutes for the exercise and 20 minutes for debriefing as follows:

- Ask one group to share the highlights of their maze.
- Ask others if they had a different experience.
- Ask what this activity highlighted for participants in terms of the implications of SEA on them, on program participants, and on staff as a whole.

LIST these on a flip chart; answers will probably include:

- Personal security considerations in reporting
- Hierarchical considerations in reporting
- Rumors versus proof
- Can have serious impacts on program participant safety and security
- Can have an impact on programming
- Can work against gender aims
- Can limit our access to the community and our acceptance
- Can tarnish our local and international reputation, and lead to fundraising challenges

SHARE that if we are nervous about reporting issues of suspected SEA, think how much harder it would be for program participants. Highlight the power dynamics between aid workers and program participants.

HIGHLIGHT that this activity, while based on real life examples, was intentionally designed to show what can go wrong. **ASK** participants for possible mitigation strategies and list those next to the barriers. Ask them to select the three barriers and mitigation strategies most relevant to their organization or context that can be taken forward in an action plan.

DEBRIEF:

- Staff can face different challenges in reporting sensitive issues, particularly SEA-related ones.
- Staff must be trained on internal reporting systems and encouraged to use them without fear of retaliation.
- Senior managers have a specific role to raise awareness among staff of internal reporting.
- Understanding the obstacles for staff to report enables organizations to adjust their PSEA systems.

SESSION 2: INTERNAL REPORTING (1 HOUR)

Outline

- Exercise: Internal reporting channels (30 min)
- Plenary: Escalation process (30 min)

Objective

- Learn about the importance of setting up effective internal reporting processes, particularly for sensitive complaints, including those related to SEA.

Key messages

- Feedback and complaints, particularly of a sensitive nature, should be acted upon, and the actions taken reported back.
- All staff and volunteers should understand how to raise SEA concerns.
- All staff need to feel free to report a sensitive complaint without fear of retaliation.
- The commitment and support of senior management is vital in setting up and promoting an internal reporting system.
- Specific technical support may be needed for internal reporting and investigation.

Materials

- Projector and slides

Training tool

- TT 7.2 SEA reporting scenarios (one per subgroup)

EXERCISE: INTERNAL REPORTING CHANNELS (30 MIN)

WRITE one of the following on a page each and put them in different places around the room: Hotline, Manager, Director, PSEA focal point, Investigation team, Colleague, HR department.

DIVIDE participants into three groups and distribute one scenario from T **TT 7.2 SEA reporting scenarios** to each.

ASK each group to discuss the scenario for 10 minutes and then to walk to the page that describes their preferred reporting channel for that complaint.

ASK each group to share what the scenario was about and ask:

- *Why did you choose that reporting channel?*
- *Did you have any concerns?*

ALLOW 20 minutes for the discussion.

SHARE that the purpose of internal reporting procedures is to outline the core principles and steps that should be taken by staff members who receive reports or concerns, including those relating to SEA.

To best preserve confidentiality, the goal is to convey reports, including rumors, to those responsible for investigation as soon as possible and as directly as possible, involving as few people as possible until they reach the safeguarding investigation team.

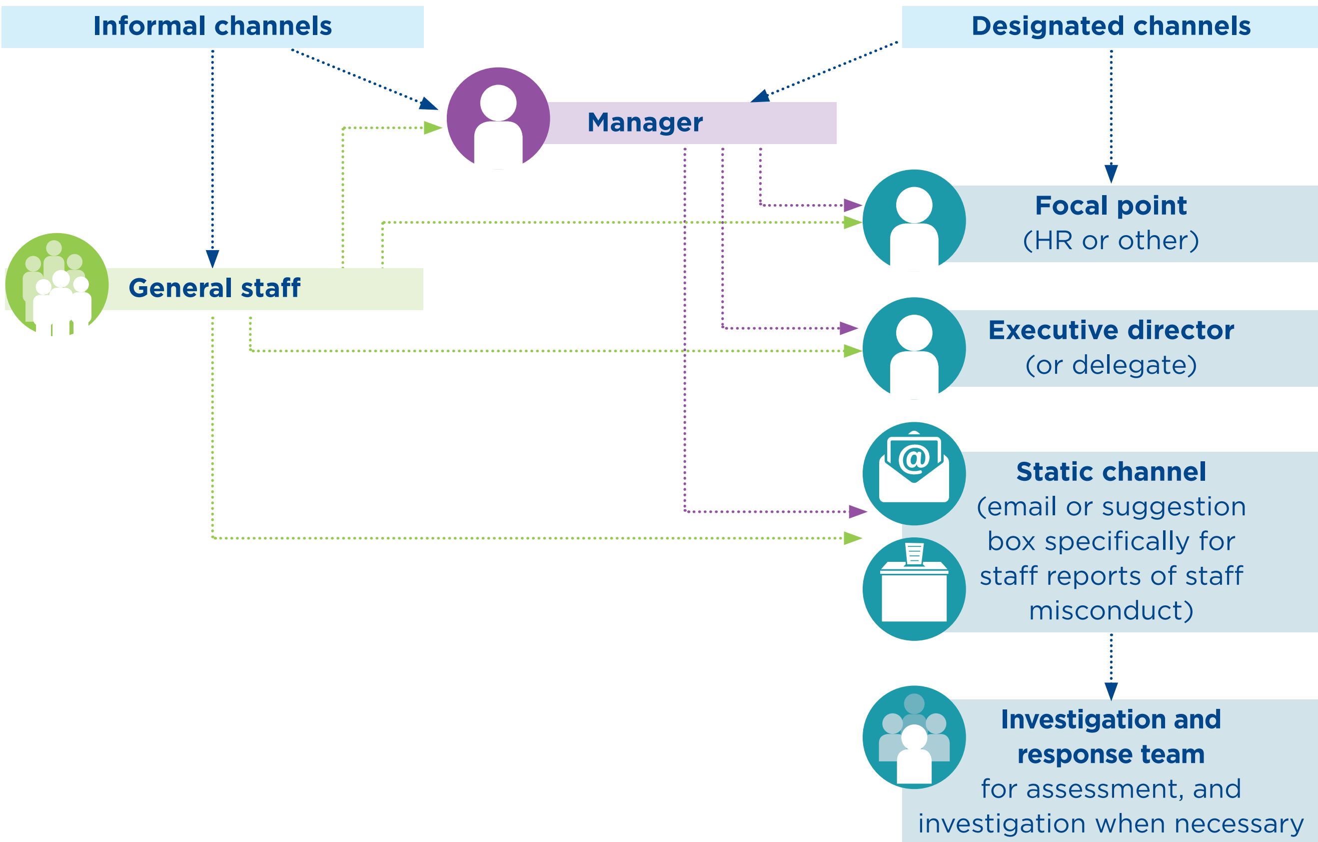
An SEA case should be handled urgently and confidentially by senior staff. Key issues include:

Confidentiality The issue should not be discussed with anyone, other than on a need-to-know basis.

- **The safety, security and dignity** of victims/survivors, and anyone who may be at risk, will be taken into account. If an investigation is required, it should be undertaken by experienced and qualified professionals, who are trained on sensitive investigations such as allegations of SEA.

PLENARY: ESCALATION PROCESS (30 MIN)

SHOW slide with an overview of the escalation process:



EXPLAIN the key aspects of the escalation process, and how different staff should report:

1. General staff

- **Staff willing to report a case of SEA:** Staff should report their concerns through one of the designated channels (when available) or report to senior management, or their manager.
- **Staff who receive a complaint from another staff member:**
  - Report on your own behalf if witnessed and impacted; it can take the pressure off the person who experienced it when a witness reports it.
  - Encourage staff to report through appropriate channels or to line manager.
  - If you feel that the staff member or others are at risk of harm because of another staff member's conduct, consider making a report to the highest level (executive director or designate) or use the assistance of the focal point to do so.

See *Session 3: SEA reporting from communities*

If you are unsure whether it is behavior that should be reported, contact a focal point. Discuss your concerns with your designated focal point. If it is a credible allegation or suspicious behavior involving serious misconduct, the focal point is required to report to the investigation and response team, but will always take the reporter's and the victim/survivor's safety, security and well-being concerns into account when escalating and preparing for next steps.

2. Managers

Must report to one of the designated channels and should inform the reporter of their obligation: Managers have a duty to escalate all sensitive complaints, including of SEA, within 24 hours, to one of the designated channels. People may inadvertently or unknowingly report issues to managers when discussing concerns. Managers have an obligation, especially if a targeted person is directly reporting their issue to the manager, to escalate that issue to senior management, who decide how to best address the issue. If any members of the investigation team are involved, they should be excluded from further information exchange.

3. Designated reporting channels

- **Focal point/trained staff on sensitive investigation (when available):** A trained PSEA focal point is probably the most important reporting channel. People who have questions or are uncertain about reporting can go to the focal point, who is trained to know what needs to be reported to senior management and followed up on. They can advise the reporter on the process if they have concerns.
- **Static channel:** The static channel should be monitored regularly by the focal point or other representative of the response team (a member of HR) to ensure reports are forwarded to the investigation and response team for decisions on next steps, also within 24 hours of receipt. It should be a dedicated channel for staff to report concerns, and separate from the community-based feedback mechanism. Because of the nature of that mechanism, many staff would be able to read complaints of staff-on-staff misbehavior, which can breach confidentiality and breed office gossip. Staff reports should have very limited visibility by focal points or HR. The static channel might be a dedicated email address or a suggestion box, both of which allow for anonymous reports.

SESSION 3: SEA REPORTING FROM COMMUNITIES (45 MIN)

Outline

- Plenary: Model reporting and escalation procedures for communities (15 min)
- Facilitation practice: Referral web (30 min)

Objectives

- Learn about the importance of setting up effective internal reporting processes to handle SEA complaints from communities.
- Understand the need for a survivor-centered approach that prioritizes the safety, confidentiality, and wishes of the victim/survivor.

Key messages

- All staff—employees, volunteers and associates—should understand how to handle SEA complaints from communities.
- The internal reporting system must be able to handle complaints, including SEA-related complaints, from both communities and staff.
- Staff understand the need for safe, confidential systems that prioritize the wishes and needs of the complainant/survivor.

Materials

- Projector and slides
- Ball of string or wool

Handout

- HO 7.1. Referral checklist

Training tool

- TT 7.3 Name tags for web game

Online resource

- Psychological first aid: Guide for field workers (World Health Organization 2011) (available in 33 languages)

PLENARY: MODEL REPORTING AND ESCALATION PROCEDURES FOR COMMUNITIES (15 MIN)

SHARE that SEA complaints from the community can reach organizations in different ways using different channels. We will consider SEA complaints reaching organizations through feedback mechanisms and directly through staff.

HIGHLIGHT that:

- SEA complaints through the feedback mechanism or directly through staff should be forwarded immediately to senior management using the designated channels: PSEA focal point, director, static channel or investigation and response team if available. When handling such complaints, feedback to the victim/survivor or witness should be provided within 24 hours, stating that the complaint is being handled.
- Principles of confidentiality must always be followed and information shared only on a need-to-know basis and only with staff appointed to handle sensitive feedback within the organization.
- Support to the victim/survivor of SEA must take priority, and referral pathways must be used for immediate assistance, including medical, legal and psychosocial support (when available). There may be few services available, but it is extremely important to explore all options. It is also crucial to determine whether the victim is in any kind of danger and what can be done to help.
- All documents related to the complaint, such as the actual complaint in writing, staff reports and follow-up notes, must be kept confidential and securely filed in line with the organizational procedures on sensitive feedback.

SHARE the following on the investigation and response teams:

- ***Investigation team:*** It is important to designate focal points to receive complaints, as well as the individual who will lead any investigation. Sometimes you will need to adjust the composition of the team to account for special skills (interviewing women or children, language issues, etc.). To maintain independence, those with a close relationship to the reporter or the subject of the complaint or who have supervisory oversight should not be involved in the investigation team. Ideally, interviews should include two interviewers.
- ***Response team:*** The team should typically be those involved in managing the investigation and reaching conclusions on any necessary disciplinary actions, although the investigation team may only make recommendations. Should the investigators need specific documents from other teams to review, typically a member of the response team, as a senior manager, can request such documentation, deflecting the true nature of the request, so as to minimize speculation and exposure of details of the investigation to non-related staff. Members of the investigation team then review those documents, as needed. The team should be limited to the senior managers directly responsible for making decisions, and typically limited to five people.

FACILITATION PRACTICE: REFERRAL WEB (30 MIN)[3]

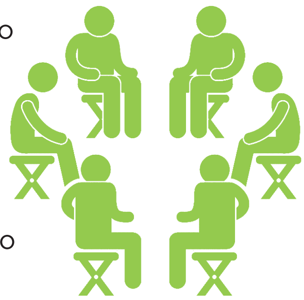
EXPLAIN that name tags will be given out (T **TT 7.3 Name tags for web game**). These are characters who are likely to interact with a survivor of SEA in the community.

ASK for 11 volunteers and **GIVE** each a name tag, asking them to roleplay their character.

ASK the volunteers to sit in a circle with the chairs close together and facing each other, and the remaining participants to stand outside the circle so that they can easily see the activity.

EXPLAIN that this is the story of a 17-year-old girl who has been exploited by a WASH officer working on a program. The ball of string or wool represents the flow of information from the girl to the first person she told, the community leader. Give the ball to the volunteer with the GIRL name tag.

TELL the volunteers that every time a new character becomes involved in the girl's story, they should throw the ball to that character. The new character must wind some of the string/wool around their finger, and continue. Note: the ball does not need to go back to the girl after each visit.



TELL the story as follows:

- The **GIRL** goes to report the incident to the **COMMUNITY LEADER**.
- The community leader takes the girl to the NGO's help desk and makes a complaint to the **KIOSK VOLUNTEER**.
- The kiosk volunteer makes a note of the complaint and passes it to the **WASH PROGRAM MANAGER**.
- The WASH program manager doesn't know who to tell and discusses it with their colleague who is the **SHELTER MANAGER**.
- The shelter manager advises **WASH PROGRAM MANAGER** to escalate it so they talk to the **COUNTRY DIRECTOR** who asks to meet the **PSEA FOCAL POINT** to discuss the case.
- The PSEA focal point begins an investigation and interviews the **GIRL** to ask for more details, but after talking to the **HR ADVISOR** realizes that they have forgotten to ask some details so calls the **GIRL** for a second interview.
- After the interview, the PSEA focal point asks the **ADMINISTRATIVE ASSISTANT** to type up the notes of the case.
- The admin assistant is friends with the NGO's **DRIVER** and talks about the case at a dinner after work.
- The driver is friends with the **WASH FIELD OFFICER** and tells him the girl has made a complaint.
- The WASH field officer visits the home of the girl's **FATHER** and tells him the family will be removed from the list of program participants if she continues with the complaint.

3. Protection Mainstreaming Facilitation Guide (PMWG 2018), Module D7: Mapping and Referral.

STOP the exercise and look at the web that has been created.

ASK participants questions to generate discussion:

- *What is going on in the middle of this circle?*
- Observers: *How many times did the girl have to repeat her story?*
- Characters: *How many times did each character talk with this survivor, or with others about her?*
- *Was all of this helpful for the survivor? How do you imagine she felt throughout this process?*
- *Could a situation like this happen here?*
- *What could have been done to avoid making this web of string?*
- *Imagine if the girl had reported her case to a staff member of an humanitarian organization that did not have clear processes for escalating such cases.*

EXPLAIN that, in many contexts, a SEA victim/survivor has to interact with many resources and contacts that are often not well-trained or well-coordinated. This can be daunting and confusing to victims/survivors and may discourage them from reporting incidents. This is not only relevant to victims/survivors of SEA but also to those who have been exposed to other forms of harm.

ASK participants to turn to their partner and think about:

- What services the survivor needed *(medical, psychosocial, legal, possibly livelihoods and shelter).*
- How the organization could ensure that she was directed to the most appropriate services *(organization can ask protection actors for referral pathway map or map out services in the area).*

DISTRIBUTE H HO 7.1. Referral checklist.

DEBRIEF

- SEA victims/survivors and those exposed to other forms of harm should not have to continually repeat their story, because it can cause more harm.
- Complex processes that involve too many people or result in delays can also cause harm.
- Organizations should have clear, simple, accessible, confidential and respectful referral procedures.

These procedures should clearly outline the different responsibilities (e.g. responsibility of staff to refer cases; responsibility of relevant authorities to develop referral pathways, provide services and conduct investigations, etc.)

Outline

- Facilitation practice: Investigations quiz (30 min)
- Facilitation debrief (15 min)
- Module review for roll-out (15 min)

Objective

- Learn about the key aspects of investigations.

Key messages

- Investigations should be conducted by designated and trained staff, and should be conducted independently (senior managers or leadership cannot be investigators).
- Sensitive and non-sensitive complaints should be handled differently. Sensitive complaints, including of a sexual nature, should be handled urgently and confidentially by senior staff.
- Investigations are focused on collecting evidence that proves misconduct or breaches of code of conduct or policies, not necessarily on collecting material evidence of SEA.
- The safety and security of all involved in the investigation process must be ensured.
- Staff misconduct represents risks for program participants and organizations, and therefore appropriate disciplinary measures should be in place.
- The organization should have a clear process for providing support to survivors, whether or not a formal investigation is carried out.

Materials

- Projector and slides
- Candies

Online resources

- Closing the loop: Effective feedback in humanitarian contexts (Bonino 2014) (also available in French, Spanish and Arabic)
- Guidelines for investigations (CHS Alliance 2015)

A participant facilitator from the group will **LEAD** the following exercise:

FACILITATION PRACTICE: INVESTIGATIONS QUIZ (30 MIN)

INTRODUCE the quiz about investigations. Explain that it has six questions, with one or more correct answers offered. All correct answers must be identified by the team in order for them to score a point.

DIVIDE the participants into two teams and ask them to stay in two team lines. Explain that each team will confer among themselves before giving the answers. And for each question two team members from opposite teams play “Rock Paper Scissors” (or other quick game, flipping coin or similar) to win the turn to respond to a question. If a team is not able to identify all correct answers to a question, the other team has a chance to answer and score. The participant facilitator reads each question and keeps a record of the scores. The winning team gets a reward (candies). The correct answers are in *italics*.

1. When is an investigation required?

A. There is a rumor of SEA.
B. There is sensitive feedback received through the FCRM.
C. A staff member witnessed potential SEA.
D. Another organization reported SEA in the community we work with.

HIGHLIGHT: All offered answers are correct. All SEA issues must be investigated. In cases where there is credible information that there has been SEA, a full investigation is required. Some donors may require SEA incident reports at this early stage. Depending on the severity of the SEA incident, the investigation might immediately be referred to the local authorities.

2. Who can conduct an investigation with the organization?

A. Director
B. HR department
C. Project manager
D. Designated investigation team

HIGHLIGHT: Stress that if sufficient information is collected during the follow-up phase of an SEA report, designated investigation and response teams should be formed. It should consist of several people for transparency and credibility purposes, taking into consideration seniority and gender balance, especially for the investigation team who will directly conduct interviews with the victim/survivor, witnesses and alleged perpetrator. Depending on the sensitivity of the reports received and staff involved in the SEA issue, the team members can vary.

3. What should be the focus of the investigation?

A. Finding material evidence that SEA took place.
B. The alleged perpetrator of the act of SEA.
C. The safety and security of all involved.
D. Collecting evidence on code of conduct and policy breaches.

HIGHLIGHT that the investigation aim is to identify breaches of the code of conduct or other organizational policies. Even if explicit material evidence is not found, other evidence can be sufficient to determine breaches of code of conduct standards or other policies that are grounds for disciplinary measures. Safety and security should not be jeopardized for any persons involved, including the alleged perpetrator. Immediate support should be offered to the victim. In the investigation procedures, while conducting interviews, a minimum of information should be shared. Perpetrators should never be told the identity of the reporter.

4. What are the main roles of the investigation team?

A. Create an investigation plan.
B. Gather evidence and corroboration.
C. Conclude whether policies were breached.
D. Monitor the safety and security of all parties involved in the investigation.

HIGHLIGHT that all the above are correct answers. The independence of the investigation team should be assured, and there should be regular updates on the investigation progress, including requests for additional support from the response team.

The investigation plan must take into consideration:

- The safety of all parties involved
- Confidentiality
- Criminal conduct
- Compliance with labor law
- Donor reporting

Based on the corroborated evidence, the investigation team makes recommendations on the disciplinary measures to the response team. The investigation team should also continuously monitor safety concerns for all parties involved.

5. What are the main roles of the response team?

A. To provide support to the investigation team.
B. To respond to questions from all parties involved.
C. To inform other team members about the investigation.
D. To decide on disciplinary actions and corrective measures.

HIGHLIGHT that based on the outcome of the investigation, the response team should take ownership of the disciplinary actions and corrective measures at the organizational level. Disciplinary measures can include sanctions or contract termination, taking into consideration compliance with applicable laws. Factors to consider should be severity and frequency of misconduct, position of authority, prior misconduct, acceptance and ability to reform.

- **Sanction** can include unpaid leave; a performance plan with specific conditions for improvement and training; a warning letter on file; appropriate apologies; a statement from the victim/survivor about the impact of the incident; demotion or disqualification from promotion; transfer of duties/assignments.
- **Corrective measures** at the organizational level could include trainings on reporting mechanisms, improved gender diversity and better PSEA procedures.

6. What does a survivor-centered approach mean?

A. Deciding the best course of action on behalf of the victim/survivor.

B. Providing the victim/survivor with information on next steps and respecting their wishes, as far as possible.

C. Contacting the victim/survivor with updates even if they have expressed a preference for no contact.

D. Providing information and support for the victim/survivor to access support such as medical, legal, and psychosocial services.

The needs, well-being and safety of the victim/survivor must be prioritized. They are best placed to understand their own needs, and the process should be led by their wishes as far as possible and as appropriate. They should be supported in a non-directive and non-judgmental way, and should be informed of the steps in the process and the possible course of action. If the survivor is a child, the organization must comply with local legislation and international standards depending on which gives greater protection. The organization should support the victim/survivor to access appropriate assistance, including medical, psychosocial and legal services.

PLENARY: FACILITATION DEBRIEF (15 MIN)

DEBRIEF with key messages on the investigation:

- Investigations should be conducted by designated and trained staff; and independently (senior managers or leadership cannot be investigators).
- Sensitive and non-sensitive complaints should be handled differently. Sensitive complaints, including those of a sexual nature, should be handled urgently and confidentially by senior staff.
- If enough information is gathered in the follow-up, an investigation should be initiated.
- Investigations focus on collecting evidence that proves misconduct and breaches of the code of conduct or policies, not necessarily material evidence of SEA.
- The safety and security of all involved in the investigation process must be ensured with a focus on confidentiality (limited access to information on a need-to-know basis).
- Staff misconduct represents risks for program participants and organizations, therefore appropriate disciplinary measures should be put in place.
- The organization should have a clear mapping and referral process in place so that it can support survivors to access assistance, including medical, psychosocial or legal services.

INVITE the participants and the facilitator to provide feedback on the facilitation process. Ask participants to use the facilitation practice feedback form. Ask what went well and what the challenges were? Highlight missing points and key messages, if any, from the facilitation. **SHARE** additional resources: Closing the loop: Effective feedback in humanitarian contexts and Guidelines for investigations.

MODULE REVIEW FOR ROLL-OUT (15 MIN)

ASK each participant to use the training plan template to modify or reflect on the session for the roll-out phase. Highlight that in the roll-out phase, this module should be targeting administrative staff and senior managers.

HO 7.1 Referral checklist

Trocaire, from PMWG Protection Mainstreaming Training, Module D7.

1	Is there an existing referral process/pathway in place? Either government or Protection Cluster (or Sub-Cluster)?
2	If no referral pathways are in place, have you carried out an *actor mapping*[1] to identify all the key actors directly or indirectly involved or who have influence over a particular protection problem?
3	Is there a staff member within your agency designated and trained as the focal point for referrals?
4	Does the referral process ensure informed consent? *(Ensure the survivor is consulted and takes part in the decisions affecting them.)*
5	Have you ensured that everyone within the organization (from drivers to the head of office) understands what is expected of them and of their staff or managers (in terms of when and how to refer cases), as well as the organizational limits (e.g. what cases the organization can and can't get involved in)?
6	Is there ongoing training and mentoring of staff around what the internal procedures mean, what is required of them, the importance of not causing harm and the confidentiality processes?
7	Do you ensure that staff members are aware that they should never share sensitive medical information (including HIV status) with anyone not directly involved in the patient's care without the patient's permission? *(Ensure there are steps in place to protect medical records from falling into the hands of potential/existing perpetrators at all times, including during emergencies).*
8	Is documentation stored in a secure filing system with confidential procedures in place? *(Always make sure that the information is passed on in a controlled way that will not put people at further risk.)*
9	Does your referral process ensure that specialist organizations are informed by your organization about any information you have so that they can take further action?[2]
10	Are you giving communities information about where they can go to access other agencies directly?
11	Do you follow up periodically to make sure action has been taken?
12	Are you behaving appropriately by considering the person's culture, age and gender? (Respect safety, dignity and rights. Treat the patient/survivor with respect. Ensure all communications are done in a safe place. Respect people's rights to make their own decisions.)
13	Are you looking after yourself? *(Simple methods can be adopted such as training staff on Psychological First Aid.[3])*
14	Are you following Standard Operating Procedures at all times?

1. At the planning and information collection stage; think through whom the actors are, their influence and relationships. Carry out one actor analysis for each protection problem. Consider different actors, particularly those at the local level including: CBOs, NGOs, local media, women's organizations, clubs and groups, academics, social networks, village or community leaders, charities, religious institutions, local businesses, unions, local government officials or departments, police, social services, armies, INGOs, the UN and ICRC. Identify with whom you will coordinate carefully according to who has the practical means or the mandated authority to respond.
2. Sometimes you may not know which agency to go to, or the issue may concern several. In this case, you can use humanitarian co-ordination mechanisms, such as the Global Protection Cluster. At field level, the cluster will meet regularly to share information.
3. See Psychological first aid: Guide for field workers (WHO 2011).

TT 7.1 Maze game cards

Adapted from Prevention of Sexual Exploitation and Abuse: Two-day sensitization workshop (CARE Canada 2016), p16.

Card 1

During a food distribution in a camp you notice that the distribution manager is overly flirtatious with one of the female camp residents. You:

A) Decide to confront him and tell him his behavior is inappropriate (go to **Card 2**)

B) Ignore it. He's your boss, and you have no proof that he is doing anything wrong. (go to **Card 3**)

C) Decide to tell a coworker. (Go to **Card 5**)

Card 2

Your boss begins acting coldly towards you, and you think he is punishing you. You:

A) Apologize and tell him you made a mistake (Go to **Card 3**).

B) Go to HR to lodge a complaint against him (Go to **Card 6**)

C) Ignore this situation and hope it will improve after some time passes. (Go to **Card 3**)

Card 3

You begin hearing rumors that the same distribution manager is dating one of the program participants. You:

A) Ignore this. You had enough problems with him when you first tried to get involved, and besides, these are only rumors. (Go to **Card 4**)

B) Discuss it with him. (Go to **Card 2**)

C) Report these rumors to HR or to his supervisor. (Go to **Card 6**)

Card 4

The distribution warehouse is broken into one evening when no one was there. $10,000 worth of supplies were taken. You wonder if this is related to the rumors you are hearing.

A) You report this suspicion to the PSEA/ safeguarding/protection focal point or HR (Go to **Card 6**)

B) You ignore it. It's none of your business, they are only rumors, and no one was hurt. (Go to **Card 7**)

C) You realize theft is common here, and decide not to worry. (Go to **Card 7**)

Card 5

You don't realize that this colleague is very good friends with the wife of the distribution manager. She tells his wife, and the wife confronts the husband. (Go to **Card 2**)

Card 6

The HR team conducts an investigation, but finds nothing concrete because no one else is willing to share their concerns about this same staff member. You find your boss at your desk one day telling you that you are a troublemaker and "you'll be sorry." You begin receiving anonymous death threats. You feel helpless to do anything about this, and decide to just lay low and hope it all passes. (Go to **Card 13**)

Card 7

You arrive at the camp to find that your activities that day must be canceled. A woman was beaten to death last night because her husband suspected she was sleeping with another man. All the women are at her funeral. You discover that this is the same woman your boss was flirting with at the distribution. You:

A) Suspect that your colleague might be involved. You talk to HR. (Go to **Card 10**)

B) You ignore this. You still have no proof and much of this could be very circumstantial. (Go to **Card 8**)

Card 8

News circulates quickly among the camp that this woman *was* having a sexual relationship with your boss. Her sister comes forward to say that this woman felt pressured into a relationship by this man in order to keep receiving her family's food rations. Go to **Card 9**.

Card 9

Other women come forward saying that they too were forced into having sex with your boss for the same reason. The local media picks up this story, which is then picked up by international media. Headlines read "[Your organization] demands sex for food from refugees". Go to **Card 10**.

Card 10

Your organization sends a team to investigate this. If at any point in this activity you discussed your concerns with HR, you are able to keep your job. If you did not earlier report this to HR, you face disciplinary procedures and you are eventually dismissed. **THE END**

Card 11

A female village activist comes to you next time you are in the camp. She has never been involved in your organization's programs. Other women (your organization's program participants) are standing behind her. She asks you if you have heard about an NGO working in another camp where the staff are apparently forcing women to have sexual relations with them before they receive food at distributions. You:

A) Tell her you will look into it, but know nothing about this NGO, so it's none of your business. You do nothing. (Go to **Card 7**)

B) Think she might be indirectly talking about your NGO. You raise this with HR. (Go to **Card 6**).

C) Decide to do a bit more investigation on your own. You talk to some other female staff. (Go to **Card 12**).

Card 12

You discover that, at a team meeting, some of the program participant women give senior health workers hints about why they are not attending. These hints back up your suspicions. You:

A) Approach HR together as a group with your concerns. (Go to **Card 10**)

B) You all decide you are uncomfortable doing anything about this, or you do not know what to do about it. (Go to **Card 7**)

Card 13

Gender and health teams ask if something is going on because the women have stopped attending their programs. The health advisor returns from a nutrition and family planning workshop and mentions to you that the village women are refusing to talk to her. This is new. You:

A) Tell her about your suspicions. (Go to **Card 5**)

B) Do nothing. You have no proof of anything. (Go to **Card 11**)

C) Talk to HR. (Go to **Card 6**)

TT 7.2 SEA reporting scenarios

Cut out and distribute one scenario to each group.

Scenario 1

You are an IT officer working in your organization. A senior colleague working in the field comes to you when you are back in your office, as their computer has some issues they wish you to resolve.

During the course of your work to fix it, you find some pictures of children, many different children. You know that your colleague does not have children. In the pictures you find, the children are naked.

Scenario 2

You are leaving work one day and you see a male colleague driving an organizational vehicle. In the front seat next to him is a young girl, maybe in her teenage years.

You recognize her from the distribution site earlier in the day, but she may work for another organization, you're not sure. It is 6pm on a Friday.

Scenario 3

You hear rumors in a village that a community member can get on the program participant list by "being nice and cute" to the community leader.

TT 7.3 Name tags for web game

Adapted from *Protection Mainstreaming Facilitation Guide* (PMWG 2018), Module D7: Mapping and Referral.

Father	**Mother**
WASH field officer	**WASH program manager**
Shelter manager	**Country director**
PSEA focal point	**HR advisor**
Administrative assistant	**Driver**
Girl	**Community leader**
Kiosk volunteer	

Facilitation Guide

Module 8: Assigning PSEA Responsibilities

- To inform and raise awareness of roles and responsibilities for PSEA across the organization.
- To discuss and reflect on individual needs and structures of partner organizations to define the roles and responsibilities in their own context.

SESSION 1: PSEA ROLES AND RESPONSIBILITIES FOR ALL STAFF (30 MIN)
SESSION 2: PSEA ROLES AND RESPONSIBILITIES FOR FOCAL POINTS (70 MIN)

Participants

Training of trainers

PSEA/safeguarding/ protection focal points

Training roll-out phase

Senior managers

Program staff

Duration

1 hour, 40 minutes

SESSION 1: PSEA ROLES AND RESPONSIBILITIES FOR ALL STAFF (30 MIN)

Objective

- Understand the roles and responsibilities of all staff in PSEA

Key messages

- It is essential that all staff understand PSEA/safeguarding is their responsibility and part of their everyday job.
- These responsibilities should be written into job descriptions and included in performance management and appraisal discussions.

Materials

- Projector and slides
- Flip chart and markers

EXERCISE: WORLD CAFÉ

INTRODUCE the session by saying that PSEA is a shared responsibility, with all parts of the organization and all levels of staff involved in ensuring a welcoming, inclusive, dignified and safe environment for those who come into contact with the organization. This exercise will consider the general responsibilities that all staff have for PSEA.

If needed, **EXPLAIN** the World Café method.

DIVIDE the participants into five groups. **ASK** each to select a spokesperson to provide an overview of the conversation from previous groups and summarize key ideas.

ASSIGN each table a staff category:

- Managers
- HR staff
- Board members/senior management
- Program staff
- All staff (including support staff such as finance, IT, fundraising, program staff)

Top ToT tip

These categories may not always be relevant or realistic for smaller organizations. If necessary, adjust the categories to the staffing resources available within the participants' organizations. For instance, if HR is combined with the finance or logistics department, adjust the categories accordingly.

ASK each group to:

- Brainstorm key roles and responsibilities for each of these categories for PSEA.
- Review the previous group's list and suggest roles and responsibilities that should be added or removed.

After three rounds of 10 minutes each, **ASK** participants go back into plenary. **ASK** the spokesperson to share a summary of the discussion points from their group. Answers might include:

- **All staff**
  - Adhere to the PSEA policy and code of conduct.
  - Report concerns.
  - Participate in an awareness-raising session on PSEA.
  - Know their PSEA focal point. If they don't, they can ask the HR office.
- **Managers**
  - Ensure all new employees receive the PSEA/safeguarding/code of conduct policy training as part of their induction.
  - Ensure PSEA measures are implemented within their area of responsibility.
  - Follow up and address SEA issues appropriately.
- **HR staff**
  - Implement the necessary measures when recruiting new staff and volunteers.
  - Ensure all new employees receive a copy of the PSEA policy and code of conduct, prior to, or at the time of, issuing an employment contract. Signed copies must be placed in their personnel file.
- **Program staff**
  - Ensure that communities are aware of the PSEA policy and how to report concerns, recognizing that program staff are often the first responders and/or points of contact for community members.
  - Build relationships with communities; it is difficult for people to report if they do not know or trust staff.
- **Board members/senior management**
  - Define and implement actions for ensuring PSEA measures are implemented.
  - Regularly monitor PSEA work.
  - Senior management: Take overall responsibility for ensuring PSEA measures are implemented.
  - Board members: At least every three months, include an item on PSEA in the senior management team meeting agenda and discuss progress and challenges in implementing PSEA policy and the PSEA implementation plan.

BRAINSTORM how to ensure PSEA/safeguarding is everyone's responsibility. Use the following questions as prompts:

- How can the senior management/leadership ensure that PSEA is part of the everyday work of their staff?
- Why is it important that PSEA responsibilities are reflected in role and job descriptions?
- How can we include PSEA in performance management?

In plenary, **DEBRIEF** key points:

- It is essential that all staff understand PSEA is their responsibility.
- These responsibilities should be written into job descriptions and included in performance management/appraisal discussions.

SESSION 2: PSEA ROLES AND RESPONSIBILITIES FOR FOCAL POINTS (70 MIN)

Outline

- Plenary (5 min)
- Exercise (50 min)
- Module review for roll-out (15 min)

Objectives

- Understand the different roles and responsibilities of PSEA focal points.
- Understand that PSEA focal points are organizational resources with formal responsibilities that assist in the implementation of the organization's PSEA commitments.

Key messages

- The appointment of a PSEA focal point depends on the organization's structure, needs and resources, and can be one or several persons within an organization.
- PSEA focal point roles and responsibilities should include both programmatic and structural support to implement PSEA principles across the organization.

Materials

- Projector and slides
- Flip chart and markers

Handout

- HO 8.1 PSEA focal point roles and responsibilities (GCPS)

PLENARY (5 MIN)

INTRODUCE the session by saying that, as we saw in the last session, successful PSEA requires all parts of the organization (from field-level programs to organizational structures and systems, from senior to administrative staff) to recognize the importance of PSEA and their own role in promoting it.

There are certain tasks that are best taken forward by PSEA focal points (FPs) with specific and formal responsibilities. **SHARE** the definition of a PSEA FP:

Person or persons within the organization, with a certain level of seniority, responsible for the implementation of the PSEA policy overall, providing staff support with PSEA issues including field visits, and reporting back to the senior management on PSEA issues.

This will vary from organization to organization but may include senior managers or board members who have the overall and final responsibility for PSEA. Some organizations also recognize the need to have PSEA FPs in HR or admin functions to ensure that recommendations for staff management are followed. In addition, PSEA FPs within programs are often necessary, as contact with communities raises different PSEA issues.

EXERCISE (50 MIN)

DIVIDE participants into four groups. **DISTRIBUTE** H **HO 8.1 PSEA focal point roles and responsibilities**. Go through the handout and spend 15 minutes discussing:

- What are the key PSEA responsibilities and competencies that are relevant for your context or organization?
- Who within your organization will have responsibility for these?

Groups should aim for the ideal of one FP function to cover HR and one FP function to have an overview of programming. They should also consider the gender balance of these roles.

INVITE participants to group per organization. **ASK** these new groups to spend 20 minutes drafting the terms of reference (ToR) for one PSEA FP for their context. Each participant can take this draft ToR to their organization for further review and final approval.

In plenary, **BRAINSTORM** the potential challenges that FPs might face and mitigation measures that they might put in place. **LIST** them in two columns on a flip chart. Challenges can include:

- How will the FPs prioritize their work plan/ToR and heavy workload/other priorities?
- How will they work with senior managers and negotiate the scope of their work and influence, etc.?
- What will happen if there is resistance from a senior manager?
- How can we evaluate the allocation of time working on PSEA?

WRAP UP the session by highlighting:

- *All staff have a role and responsibility for PSEA.*
- *There are certain responsibilities specific to the PSEA FPs. Appointed staff should be relatively senior and/or hold roles that already implement PSEA measures, such as human resources staff.*
- *The responsibility for PSEA can either be assigned to existing personnel, or new personnel can be hired to carry it out.*
- *Whether the role is a full-time or part-time undertaking should depend on organization-specific needs and capacities.*
- *Each organization should ideally designate two FPs to carry out the PSEA responsibilities of the organization: wherever possible, consideration should be given to the selection of focal points both within human resources and among programming staff, as well as gender balance.*
- *Support to PSEA FPs from management and senior leadership is vital.*

SHARE additional resource: Terms of reference for a PSEA coordinator, page 36, Manual on prevention and reponse to sexual exploitation and abuse (PSEA) (IFRC 2020).

MODULE REVIEW FOR ROLL-OUT (15 MIN)

ASK each participant to use the training plan template to modify or reflect on the session for the roll-out phase. **HIGHLIGHT** that this module should be targeting senior leadership and management staff in the roll-out phase.

HO 8.1 PSEA focal point roles and responsibilities

Handout: PSEA Focal Point Roles and Responsibilities

Role

Coordinate, support and advise on the development and implementation of the organisation's Protection from Sexual Exploitation and Abuse (PSEA) policy and practices.

Key Responsibilities

1. Take a lead role in raising awareness about the organisation's PSEA measures including the Code of Conduct and provide training and advice to staff and volunteers on these measures
2. Work with managers / staff to ensure that programmes and operations are integrating PSEA measures into all activities.
3. Promote the participation of affected populations so they are aware of the organisation's PSEA measures and Code of Conduct, and of their right to protection including how they would raise a concern about Sexual Exploitation and Abuse (SEA).
4. Work with managers to ensure that M&E activities incorporate a specific component to monitor PSEA measures
5. Work with programme managers to establish community-level complaints mechanisms that facilitate reporting of concerns by beneficiaries
6. Receive reports in regards to SEA, responding in accordance with the organisation's procedures and providing referral or next step advice.
7. Plan and participate in any investigation into an SEA incident
8. Discuss subsequent action required, to ensure the safety and welfare of individuals in cases of SEA caused by the organisation.
9. Monitor the progress of all cases, with the possible exception of those where the need for confidentiality may require this task to be undertaken by the Country Director or designate.
10. Liaison between staff and managers to access technical support in particular in regards to complex SEA issues
11. Coordinate regular reports to senior management on the implementation of PSEA measures

PSEA Focal Point Roles and Responsibilities

Facilitation Guide
Module 9: PSEA with Partners, Suppliers and Contractors

- To inform and raise awareness of the need to develop PSEA-responsive agreements with partners, suppliers and contractors by understanding relationships and developing adequate content for these stakeholders.
- To address the development and content of agreements with partners, suppliers and contractors, as well as the practical implications of such agreements for the organizations, communities and donors.

SESSION 1: RAISING PSEA AWARENESS WITH PARTNERS, CONTRACTORS AND SUPPLIERS (40 MIN)
SESSION 2: IMPLEMENTING PSEA REQUIREMENTS WITH PARTNERS, SUPPLIERS AND CONTRACTORS (1 HOUR, 20 MIN)

Participants

Training of trainers

PSEA/safeguarding/
protection
focal points

Training roll-out phase

Logistics\
procurement
staff

Senior
managers

Duration

2 hours

SESSION 1: RAISING PSEA AWARENESS WITH PARTNERS, CONTRACTORS AND SUPPLIERS (40 MIN)

Objectives

- Understand that every organization, along with its partners, contractors and suppliers, has a key role to play in preventing SEA.
- Understand the different types of contractual relationships in humanitarian and development contexts, and their implications for PSEA/safeguarding.

Key messages

- Contractors, suppliers and partner staff should demonstrate commitment to PSEA; their level of commitment should inform our selection process.
- In humanitarian and development contexts, organizations enter contractual relationships that need to formally address issues of SEA as part of the organizational commitment to zero tolerance for SEA.
- PSEA is a donor requirement and failure to commit to, address and report PSEA can lead to contract termination.

Materials

- Projector and slides
- Flip chart and markers

Training tool

- TT 9.1 Role play raising PSEA awareness

PLENARY (10 MIN)

INTRODUCE the session by asking the participants whether their organizations work with partners, suppliers or contractors when implementing programs/projects.

ASK participants to share examples. Answers might include: Implementing partners (local/national organizations, community-based organizations (CBOs), donors, research institutions, construction contractors, NFI suppliers, vendors, schools, etc.).

EXPLAIN that there are three types of entity that an organization can enter into a relationship with:[1]

- **Partners**: Organizations contracted to deliver programs and projects, or provide funding.
- **Suppliers**: Organizations or companies that have been contracted to provide goods, equipment and other supplies that are used by the organization generally, including for the delivery of programs and projects.
- **Contractors**: Organizations or companies that have been contracted to deliver specific services.

1. PSEAH implementation quick reference handbook (CHS Alliance 2020).

ASK why it is important that partners', contractors' and suppliers' staff commit to PSEA and address SEA issues. **HIGHLIGHT** that:

- The behavior of partner, contractor and supplier staff underpins all the work that an organization does. They are the interface between the organization and the community. Program participants might not understand that they do not work directly for your organization.
- The staff of partners, suppliers and contractors are often the first responders and/or work directly with program participants. We have a collective responsibility to respond to SEA, and it is critical to not assume that organizations and companies are free from SEA.

EXERCISE: ROLE PLAY (30 MIN)

DIVIDE the participants into two groups. **GIVE** each group a role-play task using **T TT 9.1 Role play for raising PSEA awareness**:

Group A

- **Background**: Your organization is meeting with a CBO working in a very conservative environment. The CBO staff say that PSEA doesn't exist in their context and it is a concept that was brought by outsiders.
- **Task**: Explain to the CBO staff what PSEA is *without* using the words "protection," "sexual" or "abuse."

Group B

- **Background**: Your organization is rehabilitating 10 classrooms in a school that has been destroyed by a typhoon. The construction company is a small local company with daily workers. The contractor claims that PSEA doesn't apply to them.
- **Task**: Explain to the contractor why PSEA is important and why it applies to them.

In plenary, **ASK** the participants:

- What did you find difficult about introducing PSEA to the stakeholders in these two scenarios?
- What specific considerations should be taken into account when introducing PSEA with affiliates? Examples might include:
  - Type of stakeholders (CBO, contractors, implementing partners, government bodies, suppliers, etc.).
  - Size of organization/company.
  - Type of relationship (partnership versus contractual engagement) and history of relationship/partnership.
- What contextual and cultural barriers (cultural, religious, etc.) exist to engaging on SEA issues? Which approaches/techniques can you take depending on the above factors? How can you link PSEA to the priorities of each stakeholder?

ALLOW 10 minutes for the task and 5 minutes for each group to present.

In plenary, **HIGHLIGHT** that:

- All potential partners, suppliers and contractors should be informed about the organization's PSEA standards prior to entering into the relationship.
- SEA issues must be clearly discussed and, when relevant, addressed in partnership and/or contracts. Strategies on how to engage on PSEA will depend on the context, type of relationship and type of organization/company.
- Try to link PSEA to the existing priorities of each partner/partner type, e.g. to increased funding, preferred partnership status, Catholic Social Teaching/other religious principles, vision/mission/mandate of organization, etc.
- Defining PSEA requirements and implementing PSEA-responsive measures demonstrates organizational commitment to zero tolerance for SEA. Senior leadership and management have a particular role in ensuring that PSEA is understood and implemented at the partner, supplier and contractor level. Policies are not sufficient.
- Failure to comply with PSEA principles impacts partnerships, communities and the entire aid sector.
- PSEA is a donor requirement,[2] and failure to commit to, address and report PSEA can lead to contract termination (reference can be made to Oxfam case if needed).
- It is also about relationships and the partnership approach. Engaging partners, suppliers and contractors isn't only about compliance and shouldn't be seen in a negative/threatening way. It is about the collective responsibility for the zero tolerance policy.

2. For example, USAID Policy on Protection from Sexual Exploitation and Abuse (PSEA).

SESSION 2: IMPLEMENTING PSEA REQUIREMENTS WITH PARTNERS, SUPPLIERS AND CONTRACTORS (1 HOUR, 20 MIN)

Outline

- Exercise: Case study (50 min)
- Steps for defining expectations around PSEA (15 min)
- Module review for roll-out (15 min)

Objective

- Learn how to define PSEA commitments within agreements with partners, suppliers and contractors.

Key messages

- Contractual entities must be informed, trained and supported in implementation of PSEA measures that they have committed to in cooperative agreements.
- SEA issues should be clearly addressed in all agreements in both development and emergency contexts. It should be clear what actions are prohibited and what the consequences are for contractual entities if in breach of the agreement.
- The level of interaction with program participants defines the level of detail related to SEA issues in contracts/agreements.
- Implementation of PSEA clauses in agreements should be continually monitored.

Materials

- Projector and slides
- Flip charts and markers

Handouts

- HO 9.1 Checklist for implementing PSEA with partners, suppliers, contractors
- HO 9.2 Examples of PSEA clauses in contractual agreements

Training tool

- TT 9.2 Case studies on implementing PSEA requirements

EXERCISE: CASE STUDY (50 MIN)

SHARE this case study:

> *Your organization has just received funding from a donor for food distribution in two centers for internally displaced people over the period of one year. The partnership agreement with the donor clearly states that any SEA issues are to be immediately reported to the donor's country office. Your organization is now in the process of publishing the tender for the selection of a suitable supplier. The agreement with the supplier is to be signed upon completion of the selection process in one month.*

DIVIDE participants in three groups. **GIVE** each group one of the three case studies from T **TT 9.2 Case studies on implementing PSEA requirements**.

Group A You are a procurement officer. You have been asked to assess the supplier's understanding of PSEA and their readiness to commit to it.

- What steps do you take?
- What questions do you include in the initial assessment to gauge the supplier's understanding of PSEA and their readiness to commit?

Group B You are a procurement officer. A local supplier has been selected. You have been asked to prepare the contract between your organization and the selected supplier.

- What key elements should the PSEA clause(s) include to ensure PSEA requirements and commitment?

Group C You are a program manager. You are meeting with the supplier who has been selected to deliver food, to highlight the importance of sharing PSEA information with your organization if they hear of/have any concerns related to SEA. How do you explain:

- **WHAT** PSEA information should be shared.
- With **WHOM** it should be shared.
- **HOW** to give PSEA information.
- **WHEN** it should be shared.

ALLOW 15 minutes for the task.

GIVE to Group A and Group C participants copies of H **HO 9.1 Checklist for implementing PSEA with partners, suppliers, contractors**, and to Group B H **HO 9.2 Examples of PSEA clauses in contractual agreements**.

INVITE participants to review their work, and what key actions they did or didn't address. **ALLOW** 10 minutes.

GIVE 5 minutes for each group to present.

Top ToT tip

For more advanced groups, a second part of the exercise could include a review of the checklist and a discussion of:

- The status of each recommendation in your organization.
- The gaps/challenges to meeting this recommendation.
- The next steps in relation to this recommendation.

In plenary, **EXPLAIN** that:

- Different partnerships/contracts can contain different levels of detail related to PSEA/safeguarding, depending on the level of access and direct interaction with program participants.
- Communicating with partners, suppliers and contractors about the importance and expectations of PSEA/safeguarding is critical.

STEPS FOR DEFINING EXPECTATIONS AROUND PSEA (15 MIN)

DISTRIBUTE the two handouts to those who haven't yet had them.

ALLOW participants 10 minutes to go through the handouts.

In plenary, **DETAIL** key actions from **H HO 9.1**.

1. **Assess all partners, suppliers and contractors before the contracting arrangements are agreed.**
   - Determine the level of interaction with the program participants – especially vulnerable adults and children.
   - Will the organization/company be working directly with program participants? Will the services they deliver bring them into contact with program participants?
   - If the answer is YES, the partner or contracting entity will need to have a PSEA policy and code of conduct or sign onto our policy and code of conduct (if it is of an acceptable standard).
   - Conduct an initial assessment of the partner, supplier, contractor on PSEA understanding, their readiness to commit and capacity to implement PSEA.
   - What is the capacity of the organization or company to implement the measures? What is the status of the organization's or company's PSEA measures?
   - How well has the PSEA policy been implemented throughout the organization or company?
   - Share information on PSEA commitment and organizational culture with the potential partners and/or contracting entity prior to entering into relationship (i.e. in the tendering process).

2. **Develop contracts for organizations or companies which include PSEA requirements and commitments.**
   - Ensure clauses on PSEA are included in all contract agreements
   - Define what actions related to SEA are prohibited and the contractual consequences
   - This could include adherence to the organization or contracting entity's:
     - Code of conduct if there is direct contact with program participants
     - PSEA policy that covers protection of vulnerable adults and children
     - Child protection policy, if direct access to children is foreseen
3. **Decide on the type of PSEA support or training to provide to the organizations or companies, depending on the needs, the context and resources available.**
   - Deliver PSEA training and/or PSEA briefing to partners, suppliers or contractors, particularly where these organizations or companies will have contact with program participants
   - Include the organization or company staff in staff training events if they are directly implementing activities or have significant contact with program participants
4. **Agree with the organizations or companies on how to exchange information on PSEA/safeguarding.**
   - Discuss how to share information on PSEA:
     - WHAT information should be shared?
     - WHO should it be shared with?
     - HOW should it shared?
     - WHEN should it be shared?
   - This could include:
     - Updates on implementing PSEA measures to be included in reports on progress with projects or services (where appropriate).
     - Concerns or cases that arise regarding the organization or company will need to be reported to your organization (using internal reporting mechanism and related forms and designated hotlines or emails).
5. **Monitor the implementation of PSEA requirements.**
   - Monitor the implementation of PSEA clauses in the contractual agreement.
   - Develop a monitoring plan of project activities with a focus on SEA reporting and response systems of the partner or contracting entity (who, when, what and how should SEA issues be reported).
   - Ensure regular consultations with communities or program participants to learn about interaction with the partners or contracting entity.

WRAP UP by highlighting key messages on PSEA-responsive agreements/ partnership:

- In humanitarian and development contexts, organizations enter relationships that should formally address SEA issues as part of the organizational commitment to zero tolerance for SEA.
- Senior management have a particular role in ensuring that these types of contractual relationships include PSEA measures.
- Contractual entities must be informed, trained and supported in the implementation of PSEA measures that they have committed to in cooperative agreements.

MODULE REVIEW FOR ROLL-OUT (15 MIN)

ASK each participant to use the training plan template to modify or reflect on the session for the roll-out phase.

HIGHLIGHT that this module should be targeting all program staff in the roll-out phase.

HO 9.1 Checklist for implementing PSEA with partners, suppliers and contractors

This checklist should be used by organizations to raise awareness and implement PSEA requirements among partners, suppliers and contractors.

1	**Assess all partners, suppliers and contractors before the contracting arrangements are agreed.** *Responses will help you decide what support to provide to the partner, supplier or contractor.*
1.1	Determine the likely level of interaction with program participants, especially vulnerable adults and children. ■ Will the organization/company be working directly with program participants? Will the services they deliver bring them into contact with program participants? If the answer is YES, the partner or contracting entity will need to have a PSEA policy and a code of conduct or sign onto our policy and code of conduct.
1.2	Conduct an initial assessment of the partner, supplier or contractor on PSEA understanding, their readiness to commit, and capacity. ■ What is the capacity of the organization/company to implement the measures? ■ What is the status of the organization's/company's PSEA measures? ■ How well has the PSEA policy been implemented throughout the organization/company?
1.3	Share information on PSEA commitment and organizational culture with the potential partners and/or contracting entity prior to entering a relationship (i.e. a tendering process).
2	**Develop contracts for organizations/companies that include PSEA requirements and commitments.**
2.1	Include clauses on PSEA in all contract agreements.
2.2	Define what actions related to SEA are prohibited and the contractual consequences. This could include adherence to the organization's or contracting entity's: ■ Code of Conduct, if there will be direct contact with program participants ■ PSEA policy that covers protection of vulnerable adults and children ■ Child protection policy, if direct access to children is foreseen

3	**Decide on the type of PSEA support or training to provide to the organizations/ companies, depending on the needs, context and resources available.**
3.1	Deliver a PSEA training and/or PSEA briefing to partner, supplier or contractor, particularly where these organizations/companies will have contact with program participants.
3.2	Include the organization/company staff in staff training events if they are directly implementing activities or will have significant contact with program participants.
4	**Agree with the organization/company on how to exchange information on PSEA.**
4.1	Discuss how to share information on PSEA: ■ WHAT information should be shared ■ WHO the information should be shared with ■ HOW the information will be provided ■ WHEN the information should be shared
4.2	This could include: ■ Update on implementing PSEA measures to be included in reports on progress with projects or services (where appropriate). ■ Concerns or cases that arise regarding the organization/company will need to be reported to your organization (using internal reporting mechanism and related forms and designated hotlines/emails).
5.	**Monitor the implementation of the PSEA requirement.**
5.1	Monitor the implementation of PSEA clauses in the contractual agreement.
5.2	Develop a monitoring plan of project activities with a focus on SEA reporting and response systems of the partner or contracting entity (who, when, what and how should SEA issues be reported?)
5.3	Ensure regular consultations with communities/program participants to learn about interaction with the partners / contracting entities.

HO 9.2 Examples of PSEA clauses in contractual agreements

UNITED NATIONS CHILDREN'S FUND (UNICEF)

- Implementing Partners (IP) shall ensure that all its employees and personnel comply with the provisions of ST/SGB/2003/13 entitled "Special Measures for Protection from Sexual Exploitation and Sexual Abuse", which is available at http://www.un.org/Docs/journal/asp/ws.asp?m=ST/SGB/2003/13.
- IP shall further ensure that none of its employees and personnel exposes any intended beneficiary, including children, to any form of discrimination, abuse or exploitation and that each of the IP's employees and personnel complies with the provisions of other UNICEF policies relating to protection of children as advised by UNICEF from time to time.

UNITED NATIONS DEVELOPMENT PROGRAMME (UNDP)

22.1: The Contractor shall take all appropriate measures to prevent sexual exploitation or abuse of anyone by it or by any of its employees or any other persons who may be engaged by the Contractor to perform any services under the Contract. For these purposes, sexual activity with any person less than eighteen years of age, regardless of any laws relating to consent, shall constitute the sexual exploitation and abuse of such person. In addition, the Contractor shall refrain from and shall take all appropriate measures to prohibit its employees or persons engaged by it from exchanging any money, goods, services, offers of employment or other things of value, for sexual favors or activities or from engaging in any sexual activities that are exploitive or degrading to any person. The Contractor acknowledges and agrees that the provisions hereof constitute an essential term of the contract and that any breach of this representation and warranty shall entitle UNDP to terminate the Contract immediately upon notice to the Contractor, without any liability for termination charges or any other liability of any kind.

UNITED NATIONS HIGH COMMISSIONER FOR REFUGEES (UNHCR)

- UNHCR Principles of Partnership refers to UNHCR Code of Conduct "reiterating UNHCR staff encouragement to partners to adhere to UNHCR standards and to join UNHCR staff in upholding them."
- *Section 6 of the code of conduct focuses on " Cooperative arrangements with non-United Nations entities or individuals" (from SG Bulletin):*
  - 6.1 When entering into cooperative arrangements with non-United Nations entities or individuals, relevant United Nations officials shall inform those entities or individuals of the standards of conduct listed in section 3, and shall receive a written undertaking from those entities or individuals that they accept these standards.
  - 6.2 The failure of those entities or individuals to take preventive measures against sexual exploitation or sexual abuse, to investigate allegations thereof, or to take corrective action when sexual exploitation or sexual abuse has occurred, shall constitute grounds for termination of any cooperative arrangement with the United Nations.

WORLD FOOD PROGRAMME

Field level agreements read: Prevention of Sexual Exploitation and Abuse

- 9.1 The United Nations and WFP are committed to the protection of vulnerable populations in humanitarian crisis, including from sexual exploitation and abuse. By entering into an agreement with WFP, the Cooperating Partner undertakes to adhere to: (i) the standards set out in the Secretary-General's Bulletin Special measures for protection from sexual exploitation and sexual abuse (ST/SGB/2003/13); (ii) any minimum operating standards adopted as a result of the Statement of Commitment on Eliminating Sexual Exploitation and Abuse by UN and Non-UN Personnel of 4 December 2006; and (iii) any other Protection from Sexual Exploitation and Abuse (PSEA) policy or guideline as may be adopted by WFP, as notified to the Cooperating Partner by WFP from time to time.
- 9.2 The Cooperating Partner shall ensure that its personnel, agents, contractors and subcontractors conform to the highest standards of moral and ethical conduct. Any failure by the Cooperating Partner to take preventive measures against sexual exploitation or abuse, to investigate allegations thereof or to take corrective action, shall constitute grounds for termination of the Agreement.

INTERNATIONAL ORGANIZATION FOR MIGRATION (IOM)

8.1 The [Implementing Partner] further warrants that it shall:

(a) Take all appropriate measures to prohibit and prevent actual, attempted and threatened sexual exploitation and abuse (SEA) by its employees or any other persons engaged and controlled by it to perform activities under this Agreement ("other personnel"). For the purpose of this Agreement, SEA shall include:

- Exchanging any money, goods, services, preferential treatment, job opportunities or other advantages for sexual favour or activities, including humiliating or degrading treatment of a sexual nature; abusing a position of vulnerability, differential power or trust for sexual purposes, and physical intrusion of a sexual nature whether by force or under unequal or coercive conditions.
- Engaging in sexual activity with a person under the age of 18 ("child"), except if the child is legally married to the concerned employee or other personnel and is over the age of majority or consent both in the child's country of citizenship and in the country of citizenship of the concerned employee or other personnel.

(b) Strongly discourage its employees or other personnel having sexual relationships with IOM beneficiaries.

(c) Report in a timely manner to IOM any allegations or suspicions of SEA, and investigate and take appropriate corrective measures, including imposing disciplinary measures on the person who has committed SEA.

(d) Ensure that the SEA provisions are included in all subcontracts.

(e) Adhere to above commitments at all times. Failure to comply with (a)-(d) shall constitute grounds for immediate termination of this Agreement.

TT 9.1 Role play for raising PSEA awareness

Group A

Background

Your organization is meeting with staff of a community-based organization working in a very conservative environment. They say that PSEA does not exist in their context and is a concept that was brought in by outsiders.

Task

- Explain to the staff of the community-based organization what PSEA is without using the words “protection,” “sexual” or “abuse.”

Instructions

- Role play
- 10 minutes to prepare, 5 minutes to present
- Be creative!

Group B

Background

Your organization is rebuilding 10 classrooms in a school destroyed by a typhoon. The small local company contracted to do the construction has daily workers. The contractor claims that PSEA does not apply to them.

Tasks

- Explain to the contractor why PSEA is important and why it applies to them.

Instructions

- Role play
- 10 minutes to prepare, 5 minutes to present
- Be creative!

TT 9.2 Case studies on implementing PSEA requirements

Group A

Background

You are a procurement officer.

Tasks

You have been asked to assess the supplier's understanding of PSEA and their readiness to commit to it.

- What steps do you take?
- What questions do you include in the initial assessment to gauge the supplier's understanding of PSEA and their readiness to commit?

Instructions

- 15 minutes to prepare, 5 minutes to present.

Group B

Background

You are a procurement officer. A local supplier has been selected.

Task

You have been asked to prepare the contract between your organization and the selected supplier.

- What key elements should the PSEA clause(s) include to ensure PSEA requirements and commitment?

Instructions

15 minutes to prepare, 5 minutes to present.

Group C

Background

You are a program manager.

Tasks

You are meeting with the supplier who has been selected to deliver food, to highlight the importance of sharing PSEA information with your organization if they hear of or have any concerns related to SEA. How do you explain:

- WHAT PSEA information should be shared?
- With WHOM should it be shared?
- HOW should it be shared?
- WHEN it should be shared?

Instructions

15 minutes to prepare, 5 minutes to present.

Facilitation Guide
Module 10: Facilitation Methodology

- To equip participants with facilitation skills for effective training delivery during the roll-out phase.
- To provide participants with an opportunity to practice PSEA training materials delivery while using some of the best practices in adult learning and techniques for effective facilitation.

SESSION 1: BASIC FACILITATION PRINCIPLES (1 HOUR, 15 MIN)

Participants
Training of trainers

PSEA/safeguarding/
protection
focal points

Duration
1 hour, 15 minutes

SESSION 1: BASIC FACILITATION PRINCIPLES (1 HOUR, 15 MIN)

Outline

- Exercise: Teaching/lecturing versus facilitating (15 min)
- Exercise: Training approaches (30 min)
- Do's and Don'ts of facilitation (30 min)

Objectives

- Understand the difference between teaching and facilitation.
- Understand the principles of adult learning and adequate facilitation approaches.

Key message

- Effective facilitation supports the learning process if based on the principles of adult learning.

Materials

- Projector and slides
- Rope or tape
- Statement cards
- Flip chart and markers

Handout

- HO 10.1. Principles of adult learning[1] (Park et al. 2016) (one per participant)

Training tool

- TT 10.1. Statement cards (Seeds for Change 2019)

EXERCISE: TEACHING/LECTURING VERSUS FACILITATING (15 MIN)

ASK the participants to work in pairs and define what they think are the differences between teaching/lecturing and facilitating? Make a flip chart each for "teaching/lecturing" and "facilitating," and ask each pair to write down key comments for each topic after a 10-minute discussion.

DEBRIEF by sharing:

- Teaching aims to increase knowledge of a certain topic where the teacher is at the center of the process, demonstrating authority and knowledge.
- Facilitation assists participants to think about knowledge they already possess, while expanding it and sharing it within the group. Effective facilitation puts participants at the center of the process.

1. Park S, P Robinson and R Bates. 2016. *Adult Learning Principles and Processes and Their Relationships with Learner Satisfaction: Validation of the Andragogy in Practice Inventory (API) in the Jordanian Context.* Adult Education Research Conference, 2016 Conference Proceedings, Charlotte, NC. Kansas State University Libraries, New Prairie Press. Licenced under CC BY-NC 4.0.

EXERCISE: TRAINING APPROACHES (30 MIN)

MARK a straight line on the floor with rope or tape, representing a spectrum. Place one of a pair of statements on the floor on each end of the spectrum (e.g. statement A at one end and statement AA at the opposite end). The statements give two different approaches to training (at one end of the spectrum, the approach is less centered on the learner (cards A-H) and, at the opposite end, the approach is more centered on the learner (statements AA-HH). Invite participants to stand somewhere on the spectrum to match their particular training approach, for each pair of statements.

An example:

Not all the statements need to be used, but a minimum of five pairs of statements is recommended. For each pair of statements placed on the floor, **ASK** participants to explain why they have placed themselves where they have on the spectrum (encourage them to be specific), and what factors might influence where they place themselves. Note their contributions on flip chart paper. Examples might include: *the training time available on the day; the knowledge, skills and confidence levels of the trainer; whether the content/curriculum is fixed or changing; the nature of the subject matter; the trainer-to-learner ratio in the room; the level of learner motivation; the level of learner experience with more collaborative and facilitative approaches; the level of resources available; etc.*

CONCLUDE the session by asking participants in plenary where they would like to be on the spectrum and their reasons for their choice.

PLENARY: DOs AND DON'Ts OF FACILITATION (30 MIN)

SHARE that besides understanding our own approaches to facilitation, there are also some basic **training DOs and DON'Ts** that need to be considered:

DOs

- Do maintain eye contact
- Do prepare in advance
- Do involve participants
- Do speak clearly
- Do speak loudly enough
- Do provide clear instructions
- Do check if your instructions were understood
- Do write clearly and boldly
- Do encourage participation
- Do encourage questions
- Do recap at the end of each session
- Do bridge from one topic to the next
- Do summarize
- Do use logical topic sequencing
- Do use good time management
- Do keep it simple
- Do give feedback
- Do avoid distracting mannerisms and distractions in the room
- Do be aware of participants' body language
- Do keep the group focused on the task
- Do evaluate as you go
- Do be patient

DON'Ts

- Don't talk to the flip chart
- Don't block the visual aids
- Don't stand in one place; move around the room
- Don't ignore participants' comments and verbal and non-verbal feedback
- Don't read from the curriculum

ASK the participants to recall one training session or workshop that they really appreciated and that contributed to their learning in any area. Ask them to write down some of the key points about that experience as learners. Allow 5 minutes for this reflection.

SHARE that besides the basic rules of facilitation highlighted in the Dos and Don'ts, we also need to understand how adult learning preferences impact the learning process and what we can do to foster it. Use the tables in H **HO 10.1. Principles of adult learning** and go through each of the points while asking the participants to share concrete examples from their own experience that they reflected upon at the start of the session.

HO 10.1 Principles of adult learning

Adapted from Park S, P Robinson and R Bates. 2016. *Adult Learning Principles and Processes and Their Relationships with Learner Satisfaction: Validation of the Andragogy in Practice Inventory (API) in the Jordanian Context*. Adult Education Research Conference, 2016 Conference Proceedings, Charlotte, NC. Kansas State University Libraries, New Prairie Press. Licenced under CC BY-NC 4.0.

PRINCIPLES OF ADULT LEARNING

Intrinsic motivation to learn	The learning that has the most meaning for adults is that which has personal value.
Readiness to learn	Teaching and learning efforts are most effective with adults who are prepared by life or work challenges to engage in new learning (i.e., learning that helps them solve problems or issues they recognize in their lives/work).
Prior experience	Current and past experience is seen as a rich resource for learning by self and others.
Orientation to learning	Adults prefer a problem-solving approach, not a subject-centered approach to learning, and learn best when new learning is couched in real-life context.
Self-directed learning	Adults learn best when they have the opportunity to control or have input into the goals and purposes of a learning experience, and have some personal autonomy in making decisions in how teaching and learning occurs.
Need to know	Adults need advance information about training or learning experiences in order to evaluate their relevance. This could also include some advance involvement in designing and planning training.

LEARNING PROCESS DESIGN ELEMENTS FOR ADULT LEARNERS

Preparing the learner	Before the learning experience, supply learners with advance information about the content and style of the learning experience, prepare them for participation, and assist in the development of realistic expectations.
Climate setting	Establish a trusting, mutually respectful, informal, collaborative and supportive learning climate.
Mutual planning	Implement a collaborative approach to the planning of the learning experience by engaging learners in planning their learning experience.
Diagnosis of learning needs	Learning needs are diagnosed through a process of mutual assessment.
Set learning objectives	Learning objectives are defined through a process of mutual negotiation between the instructor and the adult learners.
Design of the learning experience	Learning plans are most effective when oriented around particular projects and sequenced according to learner ability.
Learning activities	The most effective activities include inquiry projects, independent study, and the use of experiential techniques.
Evaluation of learning	Learning evaluation is most effective when guided by the learner, and then reviewed and validated by peers or experts using set criteria.

TT 10.1 Statement cards

Adapted from *In-depth guide: Facilitation tools for meetings and workshops*, Second Edition (Seeds for Change 2019).

Each statement is printed on one page and placed on the spectrum:

A I use the same notes every year and I expect learners to learn what I tell them.	**AA** I have to get across to learners that knowledge changes all the time and that I and they must stay updated.
B I give presentations because the number of participants is too high and it is the only suitable approach.	**BB** I think it's impossible to train large groups all the time. There are always opportunities for pair and group work even in large sessions.
C I expect learners to follow me and my recommendations.	**CC** My view is that learners must always question what I tell them and assimilate and accommodate new information and skills.
D I think the best learners sit quietly and take notes.	**DD** I encourage learners to 'flip the learning' and read the material in advance and prepare questions.
E I believe my role is primary information giver and primary assessor.	**EE** I feel strongly that learners must recognize that they will do better if they collaborate and learn from each other.
F I think what is in the training guide is what really matters.	**FF** I certainly need some prescribed content but only as a starting point. For learning outcomes to be met, I weave new content in during the course of the training.
G I don't have much time and space for discussion during the course of the training.	**GG** I create and prioritize opportunities for discussion about the delivery of information during the training.
H My view is that learners on the whole know nothing. It is my job to get them up to speed on content.	**HH** Learners know a great deal. What we need to do is build on their previous knowledge.

Facilitation Guide
Handout Module: Introduction to PSEA

THIS TRAINING IS TO BE DELIVERED BY PSEA FOCAL POINTS IN THE ROLL-OUT PHASE OF THE PSEA TRAINING.

- To raise awareness among all partner staff of the key concepts and principles of protection against sexual exploitation and abuse (PSEA), through an understanding of related terminology and definitions, as well as of the consequences of SEA incidents.
- To understand the importance of a survivor-centered approach that prioritizes the dignity, safety and best interests of the victim/survivor.
- To underline the importance of an organizational culture that promotes positive values and safety, the development of policies and procedures, and adherence to safeguarding/PSEA standards.

SESSION 0: INTRODUCTION AND WELCOME (25 MIN)
SESSION 1: KEY CONCEPTS (1 HOUR)
SESSION 2: UNDERSTANDING PSEA (1 HOUR)
SESSION 3: WHO ARE WE? CORE ORGANIZATIONAL VALUES (1 HOUR)
SESSION 4: MILLIONAIRE EXERCISE (30 MIN)

Participants

All staff
(during orientation/
refresher trainings)

Duration

3 hours, 55 minutes

SESSION 0: INTRODUCTION AND WELCOME (25 MIN)

Objectives

- Establish a shared understanding of the workshop's purpose and its expected outputs
- Get to know each other
- Set the ground rules

Materials

- Slides for overview presentation

PLENARY (5 MIN)

Welcome, why are we here, agenda overview.

IN PAIRS, EACH ASKING THE OTHER (15 MIN)

- *How long you have been working with your organization and in which capacity?*
- *Using the first letter of your name, choose an adjective or name that describes you.*
- *Share each other's expectation for the workshop.*

PLENARY (5 MIN)

EXPLAIN any housekeeping, including the location of bathrooms and fire exits, and any other important information about the venue and/or training.

INVITE the participants to share the rules of the workshop they would like to follow and write them on the flip chart (time, breaks, use of phones, active participation).

SESSION 1: KEY CONCEPTS (1 HOUR)

Objectives

- Explore concepts such as power, violence and gender, and their relationship to sexual exploitation and abuse.
- Understand how power can be abused in humanitarian and development settings, and how the relationship with program participants is affected.

Key messages

- Power imbalance is at the heart of SEA/safeguarding issues. Humanitarian workers hold enormous power, which can create the risk of exploitation and abuse.
- SEA is a form of violence as it threatens the well-being, health and development of those affected.
- SEA is also a human rights violation as it affects a number of basic human rights, such as the right to life, equality and security of the person.
- SEA also has a gender dimension because emergencies tend to create, reinforce and exacerbate existing vulnerabilities. Due to historic inequalities, women have been affected to a greater degree.
- Understanding and addressing the power dynamics, both within the community and in relation to humanitarian workers, is crucial to ensure the safeguarding of the most vulnerable, especially from SEA risks.

Materials

- Flip chart

Training tool

- TT (a) Power walk character cards

Top ToT tip

This module is designed as a refresher on concepts related to gender and gender-based violence. Facilitators do not need to go through all the concepts in great detail and may use their discretion to skip this session with advanced audiences. However, it is important to ensure that the themes are referred to throughout the training to ensure PSEA implementation remains focused on the victim/survivor and their needs, rather than on tick-box compliance.

EXERCISE (30 MIN)

EXPLAIN that in this session participants will explore concepts such as power, sexual exploitation and abuse. **ASK** the participants to stand in a single row across one side of the room facing the facilitator. Distribute the **T TT (a) Power walk character cards** to the participants. Instruct them not to share their character's identity. Ask them to pretend to be that character, and to form a picture of who they are and what their life is like. They must then think about what their character's answers would be to the questions below.

ASK them to take one step forward if their answer is "yes" to a question, and to stay where they are if the answer is "no." **READ** each question, allowing enough time for the participants to take a step.

- *Did you have enough to eat today?*
- *Do you have cash in your pocket?*
- *Do you have a valid government-issued ID?*
- *Do you have access to a telephone?*
- *When you are sick, are you able to go to a doctor and pay (if necessary) for their services?*
- *Do you travel freely throughout your country of residence?*
- *If you were robbed, would you go to the police to report the crime?*
- *Did you finish primary school?*
- *Are your opinions and ideas respected by your family?*
- *Can you read the newspaper?*
- *Did you have access to clean water today?*
- *Did you have access to a latrine or toilet today?*

For the next two questions, **ASK** them to stay where they are if the answer is "yes," and to take a step backward if the answer is "no."

- *Do you feel safe from SEA?*
- *If you were a victim/survivor of SEA, would you report such an incident?*
- *If you were a victim/survivor of SEA, would you know what kind of assistance you could receive?*

ASK the participants that have moved the least (i.e. the least privileged):

- *Why are you where you are?*
- *Why have you moved so little or even backward?*

ASK the participants that have moved the most (i.e. the most privileged):

- *Why are you where you are?*
- *Why have you moved so much?*

REPHRASE what the participants say, highlighting the vulnerability factor(s) (sex/gender, age and/or other diversity factors) that disadvantage the character.

PLENARY (15 MIN)

ASK other participants to reveal the identity on their card and to explain why they stepped forward or not in response to particular questions.

You may use these questions to guide the discussion:

- *What did you assume about your character, if it was not explicitly stated e.g. age, gender ethnicity?*
- *Who are the more vulnerable members of the community? Who are the more powerful?*
- *How did the additional risk of exploitation or abuse impact the position of those most vulnerable (i.e. those that moved least)?*
  - Those characters at risk of abuse and exploitation took a step backward; this shows the impact that incidents like these can have on people.
  - Abuse and exploitation can cause injury, and health and physiological problems, and can further hinder people's dignity, well-being and access to human rights.
- *Imagine you work for an NGO helping people in need. Which groups would require special attention to facilitate their safeguarding from risk of exploitation and abuse from NGO staff?*
  - Depending on the context, but likely related sex, age, diversity.
  - NGOs (and, by proxy, NGO workers) decide who receives resources and who does not. This gives us a lot of power, or at least the perception of power, which can create the risk of abuse and exploitation.
- *Often, people have less access to support based on their sex/gender, age or diversity factors. How might a lack of access to support for their needs further impact victims/survivors of exploitation and abuse in your context?*
  - Hinder their recovery from the incident
  - Stop them from claiming justice, etc.

HIGHLIGHT that participants were scattered across the room. Those with more power and greater access to their rights were closer to the facilitator, and those who were more vulnerable were further back.

We are born equal and with the same human rights (such as the right to education and the right to family life). However, we do not all have access to those rights. Not everyone experiences the world in the same way. If we are from a group that is marginalized, or treated differently because of our sex/gender, age or other diversity factor (socioeconomic, political, ethnic or religious), we may be less protected in our societies, simply by virtue of who we are. Human rights can be deliberately denied or abused, putting people's safety and dignity at risk and increasing the risk of abuse or exploitation by people in positions of power.

After participants have returned to their seats, **EXPLAIN** that this exercise aims to demonstrate how power imbalance is at the heart of PSEA/safeguarding issues.

NGO workers hold enormous power, as our organizations decide who receives services and resources, and who does not. This can create the risk of exploitation and abuse, particularly of those people who are already marginalized due to sex/gender, age, or other diversity factors, such as disability, lack of economic stability, or being a member of a religious/ethnic/political minority etc.

This imbalance of power between aid workers and the most vulnerable is at the core of SEA issues. It creates additional risks that must be addressed both programmatically—in the project design—and also structurally within organizations through PSEA/safeguarding.

PLENARY (15 MIN)

Once participants have returned to their seats, **EXPLAIN** that this exercise highlighted several key concepts that we must grasp in order to better understand the foundations of sexual exploitation and abuse.

EXPLAIN that the exercise showed that some people have more power than others and can more easily access their rights. These rights are called human rights and are the most basic freedoms that we all should possess.

Human rights:

- Oblige governments (**duty bearers**) to respect certain freedoms of individuals
- Are universal **legal guarantees** protecting individuals and groups
- Are **universal**, as all people are entitled to them
- Are **inalienable**, because they cannot arbitrarily be given up or taken away.

For example, The Universal Declaration of Human Rights establishes basic rights to which all men, women and children are entitled, without discrimination, such as the right to life, liberty and security, the right to education, and to live free from torture. Even the most vulnerable should be able to enjoy these rights.

Note: SEA concerns the erosion of a number of basic human rights. If time permits, ask participants for a few examples of the basic human rights that SEA violates.

HIGHLIGHT that violence is behavior intended to harm someone and undermine their health, well-being or development. This means they are not able to enjoy their rights. It can take many forms, not just physical, but also economic, social and structural.

ASK participants to define “gender.” **EXPLAIN** that “gender” is a concept that is used to describe socially determined differences between men and women, and “sex” is a term used to describe the physical differences between men and women. If participants are unfamiliar with these concepts, read the four statements below. First ask any in the group who believe the statement describes a sex difference to raise their hands. Next, ask any in the group who believe the statement describes a gender difference to raise their hands. In discussion, clarify any statements as needed.

1. Women give birth to babies, men don’t (sex).
2. Girls are gentle and boys are tough (gender).
3. Among agricultural workers, women are paid 40 to 60% of the male wage (gender).
4. Women can breastfeed babies, men can bottle feed babies (sex).

EXPLAIN that gender-based violence is a form of violence that can involve human rights abuse, most often resulting from an abuse of power, and that the violence is based on gender inequality. GBV violates numerous principles found in international human rights instruments. These rights include: the rights to life, equality and security of the person. The term GBV recognizes that violence is an aspect of gender roles and power relationships, and particularly the subordination of women and their related exploitation. To address violence, one also needs to address gender issues.

If this information is relatively new to some participants, the facilitator may wish to highlight that there is a well-documented global phenomenon that men often have power and control over women, girls and boys, and may 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. Women and children are disempowered through unequal access to resources and decision-making.

DEBRIEF on gender-based violence. Explain that the concepts just covered may not be new to many participants, but we have gone over them quickly as it is important for focal points to be able to explain them to others.

HIGHLIGHT that:

- People in positions of power are more likely to have the resources and support to ensure their rights are respected, but are also more likely to perpetrate abuse. The most vulnerable may have fewer opportunities to claim their rights and are more vulnerable to abuse.
- Power imbalance is at the core of SEA/safeguarding incidents because humanitarian workers hold enormous power.
- Marginalized people and communities are far more likely to be made more vulnerable during an emergency. The Power Walk exercise helped show the prevalence of these power imbalances in society.
- There is a gender dimension to PSEA, as emergencies tend to make existing vulnerabilities worse. Due to historic inequalities, this means women and girls tend to be more affected.
- Sexual exploitation and abuse is a form of gender-based violence. Anyone can commit sexual exploitation and abuse, but the most likely perpetrators are males and the most likely victims are females.

SESSION 2: UNDERSTANDING PSEA (1 HOUR)

Objectives

- Learn what actions and behaviors constitute SEA.
- Understand the impact of SEA on victims/survivors, communities and organizations.
- Learn about current responses in the humanitarian and development sector.

Key messages

- An imbalance of power, resulting from the dependency of affected populations on humanitarian aid, is at the core of SEA issues.
- SEA has complex and long-lasting impacts on victims/survivors, communities and agencies.
- The sector has responded with various standards, including the IASC's eight Minimum Operating Standards.
- Safeguarding/PSEA efforts must be underpinned by a survivor-centered approach that puts the needs of survivors front and center of the response.

Materials

- Slides and projector

Handout

- HO (a) Eight Minimum Operating Standards for PSEA (one per participant)

Training tool

- TT (b) Examples of sexual exploitation and abuse (one per group)

Online resource

- IASC Learning Package on Protection from Sexual Misconduct for UN partner organizations (IASC 2020) (available in English, French, Arabic, Spanish and Portuguese).

EXERCISE: EXAMPLES OF SEXUAL EXPLOITATION AND ABUSE (30 MIN)

EXPLAIN the definitions of sexual exploitation and abuse. **REITERATE** that, as we saw in the previous session, SEA is a form of gender-based violence.

HIGHLIGHT that:

- **Sexual abuse** is both attempted and actual physical intrusion.
- **Sexual exploitation** is based on abuse of a position of vulnerability, unequal power relations, and trust, and implies social, sexual, economic or political gain.

Part 1

DIVIDE the participants into four groups, and distribute the T **TT (b) Examples of sexual exploitation and abuse**. **ASK** them to decide whether the scenarios are examples of sexual abuse or exploitation (10 minutes).

After the exercise, **ASK** one group to share their findings and invite all groups to share their observations for each example. Refer to each of the examples and link them to the correct definitions of either sexual abuse or exploitation. Allow time for questions under each scenario, to clarify the distinction between abuse and exploitation.

Examples of sexual exploitation:

- A head teacher at a school, employed by an NGO, refuses to allow a displaced child to enter his school unless her mother has sexual intercourse with him.
- A driver for an international agency regularly provides rides in the official vehicle to village schoolboys traveling to school in a neighboring town, in exchange for him taking photographs of them posing naked.
- The female boss of an NGO office refuses to give employment to a young man applying to be a kitchen server unless he has sexual intercourse with her. (*Remember: Even if the young man refuses to sleep with her, if she attempts to abuse her position by making such a request, she is guilty of sexual exploitation.*)

Examples of sexual abuse

- A refugee, who is employed as an incentive worker by an NGO, lures a female refugee collecting food to a deserted warehouse and rapes her, saying he will tell her husband they are having an affair if she reports the case.
- A local NGO worker touches a 6-year-old girl inappropriately while playing with her during a psycho-social intervention.
- A local maintenance company staff member working in a camp attempts to rape a female refugee while visiting the camp after the company’s working hours using his ID access card.

Prostitution

Some participants may not perceive engaging prostitutes as SEA. They may feel there is consent. It is a service that is paid for and no one is forced to engage in it. However, remind them of the power imbalance and that we work in a highly vulnerable context where people may do anything to survive and feed their families. Informed consent may not be possible. People may appear to “consent” to engage in transactional sex (i.e. exchanging sex for food or other items), but this might not be what they actually want. They may be desperate and feel they have no other choice. This is not true consent. Their agreement may not be informed. They may not know, for example, that aid is free, or that aid workers engaging in such practices are guilty of misconduct and should be reported.

HIGHLIGHT that children (people under the age of 18) and individuals who are mentally challenged are deemed unable to give informed consent for acts such as female genital mutilation/cutting, marriage, or sexual relationships, etc.

Part 2

In the same groups, **ASK** the participants to look at two of the examples (allocate two per group) and list some of the consequences of SEA. They may want to consider the impact on victims/survivors, the community, the organization, and the perpetrator. They should also consider the:

- Health consequences
- Economic consequences
- Emotional/psychological consequences

In plenary, ask each group to give feedback from their scenarios and list these consequences on a flip chart. **SHARE** that violence in the form of SEA in a humanitarian or development context and by humanitarian workers has far reaching implications for program participants, local communities and humanitarian organizations.

EXPLAIN protection against sexual exploitation and abuse (PSEA). PSEA is the term used by the UN and NGO community to refer to measures taken to protect vulnerable people from sexual exploitation and abuse by their own staff and associated personnel. (CHS Alliance)

EXERCISE: MINIMUM OPERATING STANDARDS (15 MIN)

EXPLAIN that PSEA is about addressing SEA incidents caused by staff, through a set of clearly defined policies and procedures to end sexual exploitation and abuse by humanitarian workers. It is about ***preventing*** incidents and also ***responding*** to them.

INVITE participants to take part in an exercise on matching the Minimum Operating Standards with their respective definitions. **DIVIDE** participants into four groups and distribute a set of cut-out standards and their definitions to each group for matching. **ASK** one group to present the definitions of each standard.

PLENARY (15 MIN)

EXPLAIN that underpinning a PSEA approach is the need to be survivor-centered. This means meeting the principles listed on the slide. **ASK** the participants:

- *Are there any additional principles you would add to this list?*
- *Are there any that are surprising?*

EXPLAIN that one of the key issues related to the handling of SEA issues is confidentiality. **ASK** participants to think of an occasion when they broke a confidence. Ask them to recall why they broke it and what the consequences were. After a couple of minutes, ask two or three volunteers to share with the group why they broke the confidence and the consequences (*Note*: They should not share the details of the confidence, but rather 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 the consequences were. Ask two or three volunteers to share their feelings and the consequences (or ask the group in general to call out emotions and consequences).

Top ToT tip

The aim of this exercise is to remind us to anchor in real life the principles that we will be discussing. We follow them not just because they are part of procedures but because they have real value to each one of us and there are real consequences when we fail to respect them.

DEBRIEF:

- Incidents of SEA by aid workers represent gross misconduct and a failure to protect those we aim to serve.
- PSEA is the collective responsibility of all aid actors to achieve zero tolerance for SEA by humanitarian workers.
- Incidents of SEA need to be addressed formally by organizational policies and procedures, as well as by promoting a safe organizational culture.
- To respond to SEA by aid workers, the sector has developed various standards, including the eight Minimum Operating Standards for PSEA.
- **SHARE** additional resource: IASC Learning Package on Protection from Sexual Misconduct for UN partner organizations (IASC 2020) (available in English, French, Arabic, Spanish and Portuguese) designed as a one-day face-to-face training session including videos and case studies.

SESSION 3: WHO ARE WE? CORE ORGANIZATIONAL VALUES (1 HOUR)

Objectives

- To allow participants to identify core values that drive the vision and mission of their organization.
- To link their values to the international standards and key principles of survivor-centered approaches.

Key messages

- Organizational values shape the culture that is embedded in the organization's vision and mission.
- They impact the work environment that promotes or limits certain behaviors and attitudes among staff.
- Organizational values are especially important in humanitarian work due to the sensitivity of the affected populations we work with.
- The role of leadership is critical in ensuring that organizational values are embedded in organizational culture, and actively understood and practiced in the daily work of the organization.

Materials

- Pens and markers
- Flip chart
- Participants to bring their organization's vision and mission

Training tools

- TT (c) Values cards (one set per participant)
- TT (d) Values map (one per participant)

EXERCISE: VALUE CARDS (25 MIN)

EXPLAIN to participants that they will sort 30 value cards that they feel represent the values promoted **within their organization**. The value cards should be divided into "most important," "somewhat important" and "not important."

Distribute the T **TT (c) Values cards** and T **TT (d) Values map** to each participant. Allow participants to spread out across the room, with enough space to lay out all of their cards. Once everyone is settled, explain that the purpose of the activity is to give them an opportunity to examine the values promoted in their organizations. Explain that it is okay for them to feel uncomfortable during the exercise, but reiterate the importance of participation. Tell participants that you are there to talk through any significant issues that may come up during the exercise.

The top five values in their "most important" category will be considered the "organizational values." These should be values that the participants feel define their organizations.

INVITE participants to post their "most important" values around the room for a gallery walk. Allow time for all participants to view all the values maps.

PLENARY (35 MIN)

EXPLAIN that we will now speak about the core values of their organizations, and how those are related to the mission and vision of the organizations.

INITIATE the discussion by using the questions:

- *Are these values promoted within your organization?*
- *How are they promoted?*
- *How do these values shape the way you work with your organization?*
- *Do you think your colleagues share the same values?*

WRITE some key points on the flip chart: role of leadership, accountability, compassion, sharing the same values, vision and mission.

SUMMARIZE the discussion by highlighting the message that we cannot always be sure whether we share the same values as our colleagues and that is why we need the organization's vision and mission. It creates the framework for joint values that should be continually practiced and promoted by all staff.

ASK some participants to read out the vision and mission of their organization to the group.

ASK the following questions:

- *Is the mission and vision focused first on the program participants?*
- *How do the vision and mission affect your daily work or interaction with the program participants?*
- *Do you see the link between the vision and mission, and your work?*

HIGHLIGHT that adherence to the organization's values, or "walking the talk," fosters individual and organizational integrity.

HIGHLIGHT that vision and mission are directly linked to organizational policies and procedures, as systems that help us "walk the talk." They are also tools that help us to prevent staff committing the violence of SEA. Allow time for reflection and ask:

- How do the PSEA principles link to your organizational and religious values?

The code of conduct should be linked to the discussion, as a tool that directly promotes the core values of the organization. If it is not mentioned in the discussion, announce a separate session on the code of conduct later in the training.

DEBRIEF the key messages on organizational values, and ask participants to read them:

- Organizational values shape the culture that is embedded in the vision and mission of the organization.
- They impact the work environment that promotes or limits certain behaviors and attitudes among staff.
- Organizational values are especially important in humanitarian/development work due to the vulnerability of affected populations we work with.
- The role of leadership is critical in ensuring that the organizational values are embedded in the organizational culture and actively understood and practiced in the daily work of the organization.

SESSION 4: MILLIONAIRE EXERCISE (30 MIN)

Objectives

- Explore concepts of sexual exploitation and abuse as unacceptable staff behavior.
- Explore the concept of consent.
- Discuss the obligation to report suspicious or unacceptable staff behavior.
- Reflect on the notion of power.

Key messages

- Humanitarian workers are always in a position of power in relation to the communities we work with.
- Consent does not justify behaviors that could be implying sexual exploitation and abuse.
- All staff are obliged to report any misconduct or suspicion.

Materials

- Four sheets of paper with one of the letters A, B, C or D on each

PLENARY (30 MIN)

POST the four sheets of paper in different corners of the room, each one marked with one of the letters. Invite participants to stand in the center of the room.

EXPLAIN that there will be questions with possible answers A, B, C or D. After reading each of the questions and answers, they should stand next to the posted letters that represent their answer to the question asked.

EXPLAIN that the correct answer will be given for each question, after participants have selected their respective answers.

Note: Before the correct answer is given for each question, discuss with the group in each corner why they selected their answer. Then read the answer and the clarification slides with key messages for each question.

HO (a) Eight Minimum Operating Standards for PSEA (IASC)

Cut out and separate each standard and its definition. Participants will attempt to match them.

Protection from Sexual Exploitation and Abuse	A set of internal organizational policies and procedures that are part of safeguarding, to prevent and respond to incidents of sexual exploitation and abuse committed by staff, volunteers and affiliates
1. PSEA policies and procedures	An effective PSEA policy and code of conduct defining organizational mechanisms for protection of beneficiaries from sexual exploitation and abuse by aid workers
2. Cooperative agreements	All contractual relations with vendors, suppliers and donors are inclusive of PSEA-relevant elements that define the obligation to adhere to the code of conduct and the obligation to report any allegations of sexual exploitation and abuse
3. PSEA focal point	A designated staff member within the organization who provides technical support to the organization overall on PSEA issues, and who has adequate seniority for decision-making on all PSEA-related issues, whether they are programmatic or safeguarding-related
4. Community engagement	Organizational efforts and actions to consult communities on appropriate PSEA interventions and mechanisms
5. Feedback-and-response mechanism	Organizational mechanism that provides a safe and dignified channel of communication with communities on the quality of services provided and staff behavior
6. Human resources processes	Organizational commitment to transparent and PSEA-relevant staff hiring, training and performance evaluation embedded in policies and procedures
7. Staff awareness-raising	Organizational commitment to continual staff training on PSEA issues through an organizational culture and policies that promote a safe reporting mechanism and staff adherence to the code of conduct
8. Internal reporting and investigation system	Organizational mechanism defined by the policy, and has clear and transparent procedures on receiving and handling any allegations of sexual exploitation and abuse by the staff, volunteers and affiliates

TT (a) Power walk character cards

MEMBER OF A RELIGIOUS MINORITY	65-YEAR-OLD MALE SUBSISTENCE FARMER WITH A WIFE AND SIX CHILDREN LIVING IN A REGION OF ETHNIC CONFLICT	RELIGIOUS LEADER WORKING IN A PEACEFUL COMMUNITY	15-YEAR-OLD FEMALE HEAD OF HOUSEHOLD IN A RURAL VILLAGE WITH TWO YOUNGER SISTERS
12-YEAR-OLD NEWLY WED	REFUGEE FROM A NEIGHBORING COUNTRY	16-YEAR-OLD TRAFFICKED MALE	MALE POLICE OFFICER
PERMANENTLY DISABLED SURVIVOR OF A CYCLONE	POLITICAL LEADER	45-YEAR-OLD WIDOW WITH SIX CHILDREN	NGO EMPLOYEE (NATIONAL STAFF)
TRANSGENDER PERSON	MIGRANT WORKER WITHOUT LEGAL DOCUMENTATION	NGO EMPLOYEE (LOCAL STAFF)	SUCCESSFUL MALE BUSINESS OWNER
17-YEAR-OLD DRUG ADDICT LIVING ON THE STREETS	16-YEAR-OLD SINGLE MOTHER WHO IS A SEX WORKER	10-YEAR-OLD BLIND GIRL IN AN ORPHANAGE	HUMANITARIAN WORKER WITH THE UNITED NATIONS
FEMALE HEAD OF HOUSEHOLD	UNACCOMPANIED CHILD	MAN WITH A MENTAL DISABILITY	SON OF A POLITICAL OPPONENT
FEMALE CHAIRMAN MEMBER	FEMALE GARMENT WORKER		

Adapted from the PMWG Protection Mainstreaming training, Module 1: Protection.

TT (b) Examples of sexual exploitation and abuse

From PSEA Basics Training Guide Preventing and Responding to Sexual Exploitation & Abuse (PSEA) (InterAction 2013).

Examples of sexual exploitation

- A head teacher at a school, employed by an NGO, refuses to allow a displaced child to enter his school unless her mother has sexual intercourse with him.
- A driver for an international agency, regularly provides rides in the official vehicle to village schoolboys traveling to school in a neighboring town, in exchange for him taking photographs of them posing naked.
- The female boss of an NGO office refuses to give employment to a young man applying to be a kitchen server unless he has sexual intercourse with her.

Examples of sexual abuse

- A refugee, who is employed as an incentive worker by an NGO, lures a female refugee collecting food to a deserted warehouse and rapes her, saying he will tell her husband they are having an affair if she reports the case.
- A local NGO worker touches a 6-year-old girl inappropriately while playing with her during psycho-social intervention.
- A local maintenance company staff member working in a camp attempts to rape of a female refugee while visiting the camp after the company's working hours using his ID access card.

TT (c) Values cards

Authority To be in charge of and responsible for others	**Autonomy** To be self-determined and independent
Challenge To take on difficult tasks and problems	**Caring** To take care of others
Change To have a full life of change and variety	**Comfort** To have a pleasant and comfortable life
Commitment To make enduring, meaningful commitments	**Compassion** To feel and act on concern for others
Contribution To make a lasting contribution in the world	**Duty** To carry out duties and obligations
Dependability To be reliable and trustworthy	**Excitement** To have a life full of thrills and stimulation
Faithfulness To be loyal and true in relationships	**Fame** To be well-known and recognized
Family To have a happy, loving family	**Flexibility** To adjust to new circumstances easily

Generosity To give what I have to others	**Forgiveness** To be forgiving of others
Fitness To be physically fit and strong	**Growth** To keep changing and growing
Health (spiritual) To be spiritually well and healthy	**Honesty** To be honest and truthful
Independence To be free from dependence on others	**Justice** To promote fair and equal treatment
Mastery To excel in my everyday activities	**Moderation** To avoid excesses and find a middle ground
Non-conformity To question and challenge authority and norms	**Openness** To be open to new experiences, ideas and options
Power To have control over others	**Purpose** To have meaning and direction in my life

TT (d) Values map

Most important

Important

Not important