Annex A PSEA ASSESSMENT

This assessment is intended to give UNICEF and its partners a baseline for tracking progress of partners’ organizational capacities on PSEA. These standards are aligned with the [United Nations Protocol On Allegations Of Sexual Exploitation And Abuse Involving Implementing Partners](https://www.un.org/preventing-sexual-exploitation-and-abuse/sites/www.un.org.preventing-sexual-exploitation-and-abuse/files/un_protocol_on_sea_allegations_involving_implementing_partners_en.pdf).

# Partners and UNICEF counterparts (i.e. programme officers) (or UNICEF’s 3rd party service providers) go through this assessment together before entering into a partnership to have a shared understanding of the partner’s organizational strengths and areas of improvement on PSEA moving forward. The PSEA Toolkit contains a more detailed self-assessment checklist, which partners can use at any time to improve their organisational capacities on PSEA.

Partners are encouraged to use the findings to develop an action plan that reflects identified areas for improvement on PSEA (see PSEA Toolkit [Tool 1: Sample Template for Action Plan on PSEA](https://unicef.sharepoint.com/:w:/r/teams/FRG-PPPX/_layouts/15/Doc.aspx?sourcedoc=%7BE27F2C48-6A15-4FB8-916E-3A3A380FCCC8%7D&file=Tool%201%20Sample%20Template%20for%20Action%20Plan.docx&action=default&mobileredirect=true&cid=effcb4dd-6357-474e-b808-39bfecd1fac9)) that UNICEF and partners can revisit at regular intervals (i.e. every 6 or 12 months). The assessment can also help identify areas where external support from UNICEF or other partners is needed, such as trainings, technical advice, funding or increased coordination with inter-agency activities. In addition, UNICEF records the total score of each partner’s capacity assessment as an “SEA Risk Rating” and uses it to determine the number of programmatic assurance visits needed by UNICEF staff and other follow-up actions.

To support partners’ efforts in addressing identified capacity gaps, the [PSEA Toolkit](https://unicef.sharepoint.com/:w:/r/teams/FRG-PPPX/_layouts/15/Doc.aspx?sourcedoc=%7BA10F2466-49E9-4CEE-9D51-D42A09006702%7D&file=PSEA%20Toolkit%20Field%20Tested%20Draft%20July%2022%202019.docx&action=default&mobileredirect=true) provides practical guidance on PSEA as well as an extensive list of additional resources in each section.

Instructions on the rating system for the assessment:

The table below provides (a) **core standards** on PSEA organizational policies and procedures and (b) **criteria for assigning ratings** to each of these standards. Each standard includes a set of three criteria that the organization should consider for the rating. Organizations should use the “comment” section to document the organization’s recent progress as well as support needs.

**1 – Absent**: **The organization is not working towards this standard.**

Give this score if the organization does not meet the standard.

**2 – Progressing**: **The organization has made some progress towards applying this standard, but certain aspects need to be improved.**

Give this score if the organization partially meets the standard.

**3 – Adequate**: **The organization fully meets this standard.**

Give this score if the organization meets the standard.

After reviewing and scoring the organization’s compliance with these standards, add up the totals for each standard to obtain a total score. This total score indicates the organization’s current capacities on PSEA and its related risk rating.

|  |  |  |
| --- | --- | --- |
| Total score | PSEA organizational capacities | SEA Risk Rating |
| 8 or less | Low | High |
| 9 – 14 | Needs improvement | Moderate |
| 15 – 18 | Adequate | Low |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Core Standard | 1 | 2 | 3 | Proof of evidence |
| Core Standard 1: Organizational Policy  Refer: [PSEA Toolkit](https://unicef.sharepoint.com/:w:/r/sites/DAPM/_layouts/15/Doc.aspx?sourcedoc=%7B765CA079-24EE-430C-938B-A9AE3C6A33EB%7D&file=PSEA%20Toolkit%20Jan%206%202020.docx&action=default&mobileredirect=true) Section 4.2.1. Policies  Required 1: An organizational policy on PSEA exists and describes appropriate standards of conduct, other preventive measures, reporting, monitoring, investigation and corrective measures.  (UN IP Protocol para 15 & Annex A.4) |  |  |  | * Code of conduct * PSEA policy * Documentation of standard procedures for all personnel to receive/sign PSEA policy * Other (please specify):   \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Comments: | | |

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| Core Standard | 1 | 2 | 3 | Proof of evidence |
| Core Standard 2: Organizational Management and HR Systems  Refer: [PSEA Toolkit](https://unicef.sharepoint.com/:w:/r/sites/DAPM/_layouts/15/Doc.aspx?sourcedoc=%7B765CA079-24EE-430C-938B-A9AE3C6A33EB%7D&file=PSEA%20Toolkit%20Jan%206%202020.docx&action=default&mobileredirect=true) Section 4.2.2. Procedures  Required 1: The organization’s contracts and partnership agreements include a standard clause requiring contractors, suppliers, consultants and sub-partners to commit to a zero-tolerance policy on SEA and to take measures to prevent and respond to SEA.  Required 2: There is a systematic vetting procedure in place for job candidates (e.g. reference checks, police records, Google searches) in accordance with local laws regarding employment, privacy and data protection, including checking for prior involvement in SEA.  (UN IP Protocol para 11; 15; & Annex A.1, A.2) | **** |  |  | * ToR (e.g. PSEA-related responsibilities) * Contracts/partnership agreements * Recruitment procedure (e.g. reference check with questions related to SEA/child safeguarding) * Other (please specify):   \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Comments: | | |

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| Core Standard | 1 | 2 | 3 | Proof of evidence |
| Core Standard 3: Mandatory Training  Refer [PSEA Toolkit](https://unicef.sharepoint.com/:w:/r/sites/DAPM/_layouts/15/Doc.aspx?sourcedoc=%7B765CA079-24EE-430C-938B-A9AE3C6A33EB%7D&file=PSEA%20Toolkit%20Jan%206%202020.docx&action=default&mobileredirect=true) [Section 4.3.1. Training](#_Training_2)  Required 1: The organization holds mandatory trainings for all personnel on the organization’s SEA policy and procedures and the training includes 1) a definition of SEA (that is aligned with the [UN's definition](https://undocs.org/ST/SGB/2003/13)); 2) a prohibition of SEA; and 3) actions that personnel are required to take (i.e. prompt reporting of allegations and referral of survivors).  (UN IP Protocol para 17 & Annex A.5) | **** |  |  | * Annual training plan * Training agenda * Attendance sheets * Other (please specify):   \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Comments: | | |

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| Core Standard | 1 | 2 | 3 | Proof of evidence |
| Core Standard 4: Reporting  Refer [PSEA Toolkit](https://unicef.sharepoint.com/:w:/r/sites/DAPM/_layouts/15/Doc.aspx?sourcedoc=%7B765CA079-24EE-430C-938B-A9AE3C6A33EB%7D&file=PSEA%20Toolkit%20Jan%206%202020.docx&action=default&mobileredirect=true) Section 4.3.2. Awareness-raising and Section 5.2. Reporting Mechanisms  Required 1: The organization has mechanisms and procedures for personnel, beneficiaries and communities, including children, to report SEA allegations that comply with core standards for reporting (i.e. safety, confidentiality, transparency, accessibility) and ensures that beneficiaries are aware of these.  (UN IP Protocol para 19 & Annex A.3) |  |  |  | * Communication materials * PSEA awareness-raising plan * Description of Reporting Mechanism * Whistle-blower Policy * Other (please specify):   \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Comments: | | |

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| Core Standard | 1 | 2 | 3 | Proof of evidence |
| Core Standard 5: Assistance and Referrals  Refer [PSEA Toolkit](https://unicef.sharepoint.com/:w:/r/sites/DAPM/_layouts/15/Doc.aspx?sourcedoc=%7B765CA079-24EE-430C-938B-A9AE3C6A33EB%7D&file=PSEA%20Toolkit%20Jan%206%202020.docx&action=default&mobileredirect=true) Section 6.2. Assistance and Referrals  Required 1: The organization has a system to ensure survivors of SEA, including children, receive immediate professional assistance, referring them to qualified service providers  (UN IP Protocol para 22.d.) |  |  |  | * List of Service Providers * Description of Referral Process * Referral form for survivors of GBV/SEA * Other (please specify):   \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Comments: | | |

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| Core Standard | 1 | 2 | 3 | Proof of evidence |
| Core Standard 6: Investigations  Refer [PSEA Toolkit](https://unicef.sharepoint.com/:w:/r/sites/DAPM/_layouts/15/Doc.aspx?sourcedoc=%7B765CA079-24EE-430C-938B-A9AE3C6A33EB%7D&file=PSEA%20Toolkit%20Jan%206%202020.docx&action=default&mobileredirect=true) [Section 7.2. Investigation Procedures](#Investigation_Procedures).  Required 1: The organization has a process for investigation of allegations of SEA and can provide evidence that it has appropriately dealt with past SEA allegations, if any, through investigation and corrective action.  (UN IP Protocol para 20, 22.a., & Annex A.6) |  |  |  | * Written process for review of SEA allegations * Dedicated resources for investigation(s) and/or commitment of partner for support * PSEA investigation policy/procedures * Other (please specify):   \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Comments: | | |

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| --- | --- | --- | --- | --- |
| TOTAL PER RATING (i.e. count all 1s, 2s and 3s) |  |  |  |  |
| **GRAND TOTAL** (i.e. 1s + 2s + 3s) |  | | |  |
| **PSEA organizational capacities** |  | | |  |
| **SEA Risk Rating** |  | | |  |

PSEA Assessment of [Name of the IP]:

Assessment completed by:

Email address:

Signature Date of Assessment