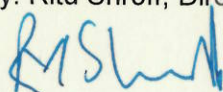


UNHCR/AI/2021/06

Administrative Instruction on Implementing Partner PSEA Capacity
Assessment

Approved by: Ritu Shroff, Director, Division for Strategic Planning and Results

Signature:



Approval date:

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Contact: Deputy Director, Implementation Management and Assurance Service, Division for Strategic Planning and Results

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1. Purpose

When entering into, or renewing agreements, with implementing partners, all UN agencies are required to ensure their partners have requisite capacity with respect to protection against sexual exploitation and abuse (PSEA).¹ That capacity should include adequate preventive and risk mitigation measures against sexual exploitation and abuse (SEA) while implementing a UN project or programme, ability to investigate allegations of SEA against its personnel or sub-contractors and take corrective actions when SEA has happened.²

In 2020, UNHCR, UNFPA, WFP and UNICEF developed a common standardized *UN Implementing Partner PSEA Capacity Assessment tool* effecting the requirements of the *United Nations Protocol on Allegations of Sexual Exploitation and Abuse Involving Implementing Partners* (the UN Protocol), which is part of the risk assessment of a partner on the UN Partner Portal.³ The Tool was developed in extensive consultations with NGO partners and other stakeholders. It is intended to give UN entities the necessary assurance of partners' organizational capacities on PSEA, determine monitoring and support activities and serve as a baseline for tracking progress, in line with the minimum standards of the UN Protocol.

As of 2021, the partner assessments will be mandatory for UNHCR partnerships.⁴ This Administrative Instruction is part of a set of instructions aimed at guiding colleagues through the process of selecting and retaining implementing partners.⁵ The purpose of the Administrative Instruction is to operationalize the Implementing Partner PSEA Capacity Assessment Tool and give specific recommendations as to how the partner PSEA assessment can be integrated into UNHCR's Framework for Implementing with Partners.

2. Scope

United Nations entities have agreed to mutual recognition of an assessment of a partner's capacity to take preventive, risk mitigation and corrective actions undertaken by another United Nations entity, in order to avoid duplicate assessments on PSEA for common partners. Such an assessment will be integrated into UNHCR's process for the selection and retention

¹ See SG Bulletin [Special measures for protection from sexual exploitation and sexual abuse, ST/SGB/2003/13](#), 9 October 2003, paras 6.1 and 6.2; [UN Protocol on Allegations of SEA Involving Implementing Partners](#), 21 March 2018 (hereinafter; *UN Protocol*), para. 3 reaffirming that "the UN does not partner with entities that fail to address sexual exploitation and abuse through appropriate preventive measures, investigation and corrective action". Both the 2003 SG Bulletin and UN Protocol are considered binding.

² The [UN Protocol](#) notes that implementing partners may include government institutions, intergovernmental organizations, and civil society organizations, including NGOs. Implementing partners' subcontractors are subsumed within this definition. *UNHCR's Financial Rules* Article 1.6(o) confirm that an implementing partner "could be a governmental, intergovernmental or non-governmental body, a United Nations organization, or another non-profit organization."

³ [IASC, \(Interim\) Harmonized Implementation Tool, United Nations Implementing Partner PSEA Capacity Assessment](#), September 2020.

⁴ [UNHCR General Conditions of Contract for Bilateral Project Partnership Agreements \(PPA Agreement\)](#), November 2020, Article 15(3).

⁵ This AI should be read in conjunction with [UNHCR, Partnership Handbook](#), May 2019, chapters 3 and 5.

of partners in order to be systematic, transparent and effective. This Administrative Instruction covers the different stages of the assessment of partner capacity on PSEA in line with UNHCR's Framework for Implementing with Partners.

3. Rationale

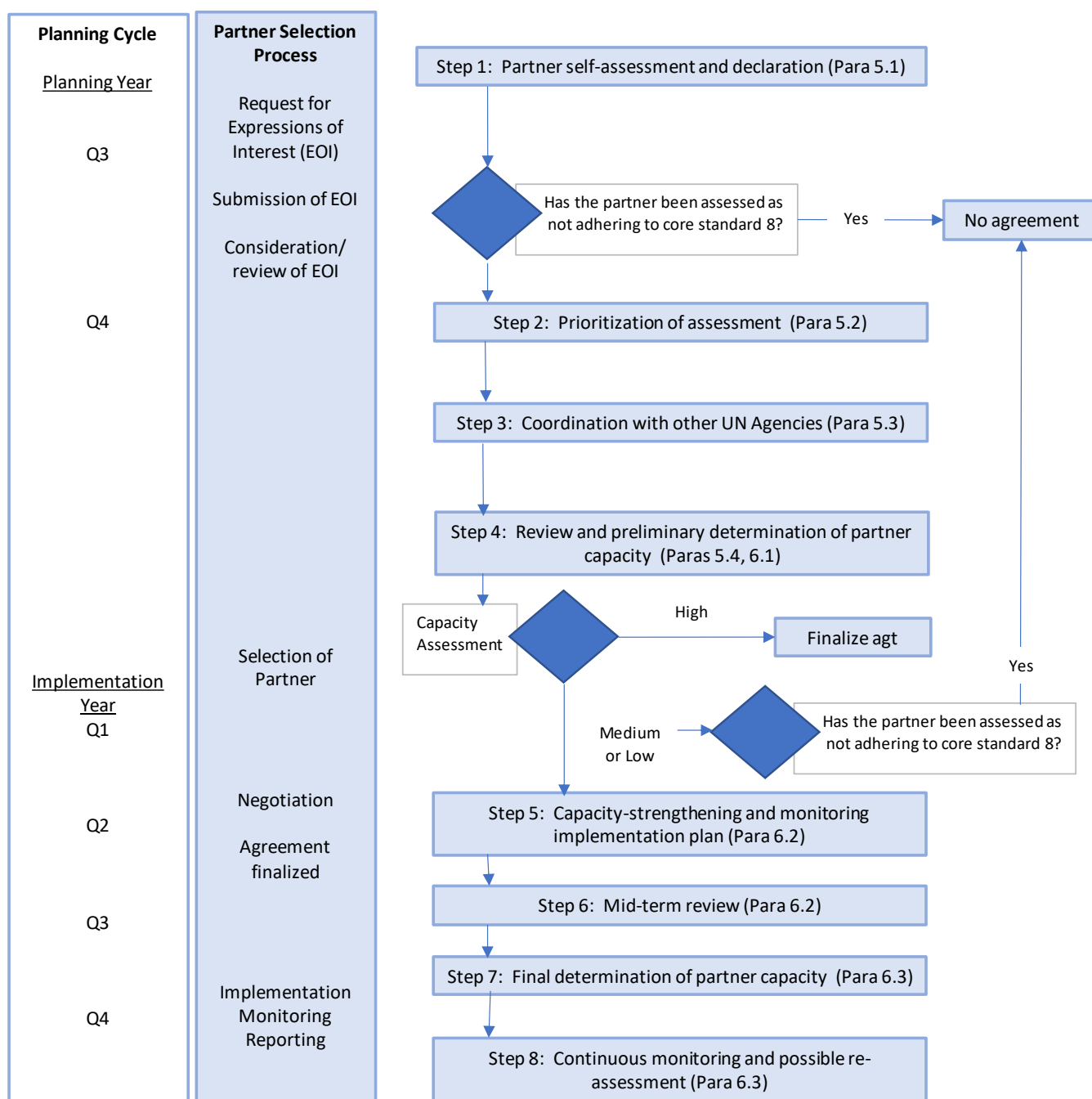
The relationship between UNHCR and its partners is guided by a shared commitment to humanitarian principles and core values and providing assistance, protection and solutions to persons of concern. Ensuring that those we serve are protected against sexual exploitation and abuse is a pre-requisite for partnership with UNHCR.⁶ The assessment of an implementing partner during the selection process is one of the most important and critical elements required to ensure the effective and efficient implementation of programmes and activities. Such assessments serve two purposes: first, screening of the partner in terms of selection criteria, such as reliability, capacity and technical expertise, adherence to the United Nations agency's standards and rules, adequacy of internal control frameworks, and financial management capacities, and secondly, a risk assessment to identify gaps and risks and how they could be addressed through capacity-building and risk mitigation measures.⁷ As part of that risk assessment, UN agencies should assess the capacity of the partner to prevent, mitigate the risk of and respond to allegations of sexual exploitation and abuse.

4. Process Overview

The assessment process consists of the following steps: (1) partner self-assessment and declaration; (2) prioritization of assessment; (3) coordination with other UN agencies; (4) review and preliminary determination of partner capacity; (5) capacity-strengthening and monitoring implementation plan (if required); (6) mid-term review; (7) final determination of partner capacity; and (8) continuous monitoring and possible re-assessment.

⁶ [UNHCR, *Partnership Handbook*](#), May 2019, 27, 29-31, UNHCR, [General Conditions of Contract for Bilateral Project Partnership Agreements](#) (PPA Agreement), November 2020, Article 15(1).

⁷ [UNHCR, *Partnership Handbook*](#), May 2019, 82-87.



5. PSEA Capacity Assessment during the Selection and Retention Process

5.1 Eligibility requirements

Adequate capacity to prevent, manage the risk of and response to allegations of sexual exploitation and abuse is one of the eligibility criteria for the selection of partners and a mandatory part of the due diligence process.⁸ The partner should upload the self-assessment form with supporting documents on the UN Partner Portal when responding to the call for expression, as well as, the signed partner Declaration confirming adherence to core values,

⁸ Protection against sexual exploitation and abuse is a pre-requisite (eligibility criteria) for partnership, UNHCR, *Partnership Handbook*, May 2019, 29-31, 88. [Partnership Handbook](#), May 2019, 29-31, 88.

such as the zero-tolerance policy.⁹ Partners who have previously been assessed by a UN agency as not adhering to core standard 8 (whether the partner has taken corrective action on past SEA allegations) will not be eligible for partnership with United Nations agencies.¹⁰

5.2 Prioritization

In order to determine which partners should be prioritized for an assessment, UNHCR should first determine whether the prospective partner will be operating in an environment where circumstances exist, or may occur, that trigger a high risk of SEA.¹¹ The circumstances may be contextual, operational or related to the specific activities the partner is expected to carry out.

- (1) Contextual factors may include the onset of a humanitarian emergency (e.g., new influx, natural disasters or pandemics), camps and/or shelters, situations where UNHCR is operating remotely, working environments where prostitution is legal, situations where people of concern are in areas difficult to access, presence of national or internal troops or peacekeeping troops, or protracted situations with long-term presence of humanitarian personnel.
- (2) Operational factors may include high prevalence of gender-based violence (GBV) among populations of concern, high percentage of persons at heightened risk in the populations of concern (such as, single women, unaccompanied children, older persons, persons with disabilities), high prevalence of exploitation (labour, sexual) among the host population due to poverty or past allegations of SEA in the operating environment.
- (3) Partners that implement projects with direct interaction with persons of concern to UNHCR, in particular persons at heightened risk, including children, should be prioritized.¹²

For partners where UNHCR determines that, in the absence of these risk triggers, a capacity assessment does not need to be prioritized, only the first part of the template needs to be completed.¹³

5.3 Determine Responsibility for Conducting the Assessment

At the country level, the relevant United Nations entities should agree on a lead agency to manage the assessments of common partners. Normally, UNHCR would be the lead in refugee settings, and in IDP settings for implementing partners working in the protection, emergency shelter and camp management clusters. Some implementing partners may work both in humanitarian and development sectors in a particular country, in which case it has to

⁹ For information as to the process see, UNHCR, [Partnership Handbook](#), May 2019, 93-97. The partner self-assessment is Annex 1 to this AI.

¹⁰ See 6.1.

¹¹ [UN Protocol](#) para. 13, 23, *UNHCR Risk Management Tool on Tackling Sexual Exploitation and Abuse*, 2020.

¹² See [UNHCR, The Heightened Risk Identification Tool \(User Guide\)](#), June 2010.

¹³ Section A of UNHCR's Review template, see Annex 2.

be decided on a case-by-case basis who should take the lead e.g. based on types of projects implemented or the financial size of the agreement.

5.4 Assessment during the Selection and Retention Process

Following the evaluation of concept notes of new partners, UNHCR will undertake a vetting of the self-assessment and make a preliminary determination of the PSEA capacity of the potential partners who have been shortlisted.¹⁴ The preliminary decision on PSEA capacity should be included in the Selection File, communicated to the partner and uploaded on the UN Partner Portal.¹⁵

During the desk review for the screening of existing partners, the partner will be requested to upload the self-assessment and supporting documents if they have not undergone the assessment or five years have passed since the last assessment. The PSEA capacity assessment will have to be confirmed by the multi-functional Implementing Partner Management Committee (IPMC), and the Representative, and added to the required documentation for the desk review.¹⁶

6. UNHCR Verification of Partner Capacity

6.1 Preliminary Determination of Capacity

The initial review of the documentation submitted by the partner should be conducted by a designated focal point with the technical expertise at senior level to assess the core standards, before submission to IPMC for confirmation.¹⁷ The focal point may request further information or clarification from the partner and should submit his/her own signed declaration if there is any knowledge of past allegations against partner personnel. The details of individual cases should not be disclosed. Compliance with each standard has to be assessed individually and rated with “yes” or “no”. The multi-functional IPMC should thoroughly review and assess the initial assessment to determine to what extent the necessary capacity to prevent, mitigate and respond to risks of SEA is in place. Finally, the official responsible for selection/retention shall consider the assessment of the IPMC and sign if he/she agrees with that assessment.¹⁸

- If the partner meets all the eight core standards and therefore has **full capacity and capability**, the final decision on PSEA capacity is signed and UNHCR’s regular partnership engagement procedures apply.
- If the partner meets 6-8 core standards and therefore has **medium capacity and capability**, the preliminary decision on PSEA capacity is signed with the Representative’s justification for selecting/retaining the partner despite the identified gaps. UNHCR may conclude the partnership agreement, but support may be required to address the remaining gaps. The support, through capacity development activities

¹⁴ See template in Annex 2.

¹⁵ UNHCR, [IPMS Guidance Note No. 1: Selection and Retention of Partners for Project Partnership Agreements](#), July 2013, para. 41-44.

¹⁶ UNHCR, [Partnership Handbook](#), May 2019, 99-100, 105.

¹⁷ UNHCR, [IPMS Guidance Note No. 1: Selection and Retention of Partners for Project Partnership Agreements](#), July 2013, para. 38(b).

¹⁸ UNHCR, [Partnership Handbook](#), May 2019, 105.

or increased monitoring of the project, should be reflected in the narrative and workplan of the partnership agreement. Overhead costs may be used for capacity development. The final determination decision confirming the partner's full capacity is signed, following a review of the successful implementation of the support activities (mid-term or final review of the project) and will be uploaded on the Partner Portal.

- If the partner meets 5 or less of the core standards and therefore has **low capacity and capability**, immediate action is required to strengthen the PSEA capacity. If the operation still wishes to retain the partner e.g. because of specialized technical expertise within a particular area, lack of viable alternatives in that sector/location, and an otherwise satisfactory risk assessment of the partner, the Representative must justify the selection of that implementing partner notwithstanding its low PSEA capacity. In that case, the preliminary decision is signed with a detailed implementation plan outlining appropriate risk mitigation measures, including capacity development and monitoring, and outlining steps for the partner to increase the number of PSEA standards met within three months of entering into, or continuing, a partnership agreement.

Compliance with Core Standard 8, whether the partner has taken corrective action on past SEA allegations, is mandatory.¹⁹ Corrective actions include taking disciplinary, managerial or administrative actions following an investigation where the allegations of sexual exploitation and abuse have been substantiated.²⁰ It can also be to introduce additional monitoring or safeguards in the project implementation.

New partners cannot be engaged until they can demonstrate that Core Standard 8 is met. For existing partners, UNHCR may give written notice of non-performance in accordance with the project agreement. If the partner does not demonstrate that it has taken satisfactory corrective action within 60 days of such notice, UNHCR may, without prejudice to any other right or remedy it may have, terminate the agreement.²¹

6.2 Implementation and Monitoring Plan

Relevant units will develop, jointly with the partner, an implementation plan for capacity development and monitoring if the assessment is low or medium.²² The implementation plan can include different measures for prevention, risk mitigation and response in case of allegations of SEA, including designation of PSEA focal points, designing a capacity-development plan for partner staff, contractors and refugee incentive workers, inclusion of partners in multi-agency complaint and referral mechanisms, inclusion into a GBV referral mechanism for victim support, and introduction of safeguards for safe programming in the implementation of the project through the introduction of activities or a staffing component.

Safeguards for safe programming can include regular monitoring of services such as food delivery, cash-based interventions, or distribution of core relief items (CRIs), by staff with

¹⁹ Please, consult with the Implementation Management and Assurance Service.

²⁰ UNHCR [General Conditions of Contract for Bilateral Project Partnership Agreements](#) (PPA Agreement), November 2020, Article 15.6 and Article 27.4 (b) and (c).

²¹ UNHCR [General Conditions of Contract for Bilateral Project Partnership Agreements](#) (PPA Agreement), November 2020, Article 27.3.

²² Template for the Capacity-Building and Monitoring Plan attached.

expertise in PSEA, gender and protection. It can also be integration of safe and accessible complaint and feedback mechanisms into specific services (e.g. food distribution, delivery of CRIs etc.) through complaint boxes, hotlines, focus group discussions or outreach, enhanced supervision of refugee incentive workers engaged in distribution or provision of services with clear terms of reference for their functions, strengthened monitoring of distribution, or gender parity in distribution teams and at home visits.

External support may be required e.g. through the inclusion of the partner in UNHCR's activities, trainings and processes or those of other UN agencies.

Monitoring of the implementation plan can take place by including PSEA in the regular monitoring of the project implementation, through multi-functional assessments, periodic reporting, other monitoring tools, as well as, through specific PSEA assessments of sectoral services led by the PSEA focal point, together with the partner's designated focal points.

The review of the compliance with the implementation plan should take place after three months in high-risk environments and, otherwise, after six months at the mid-year review of the project implementation and/or during the final evaluation of the project implementation.²³ If the implementation plan has not been implemented or new circumstances have occurred, the implementation can be extended three more months, or the consequences envisaged in the partnership agreement or UN Protocol may have to be considered, including withholding instalments, termination or non-retention of the agreement.²⁴

6.3 Final Determination and Subsequent Re-Assessment

Once the partner fulfils all standards, the final determination will be signed and uploaded on the UN Partner Portal and added to the Selection File. The final determination of partner capacity, based on the results of the assessment, is valid for a period of five years unless an earlier re-assessment is considered necessary by a UN entity funding the partner.

Irrespective of their level of capacity (full, medium or low), partners should be monitored regularly for compliance.²⁵

If there are new circumstances, such as significant organizational changes of the partner, new SEA allegations or significant change in the operational context e.g. the onset of a humanitarian emergency, there has to be an immediate review of the assessment to verify the

²³ Template for implementation and monitoring plan attached in Annex 2.

²⁴ [UN Protocol](#), paras. 3, 22, 24. [ST/SGB/2003/13](#) Article 6.2 states that "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." Withholding instalments in case of non-compliance can be included in the implementation plan agreed with the partner and would be allowed according to UNHCR, [General Conditions of Contract for Bilateral Project Partnership Agreements](#) (PPA Agreement), November 2020 Article 8. However, consult IMAS/DSPR prior to withholding any instalments.

²⁵ [UN Protocol](#) para, 23 with reference to para. 13 for a definition of what constitutes high risk, *UNHCR Risk Management Tool on Tackling Sexual Exploitation and Abuse*, 2020.

continued validity of its conclusion on partner PSEA capacity, in particular in regard to Core Standard 7 Investigation and Core Standard 8 Corrective Action.²⁶

7. Transitional Period

During the transitional period, existing implementing partners should be assessed prior to the finalization of the next partnership agreement, while new partners who are considered for engagement shall undergo the assessment, unless a de-prioritization has been made.²⁷

Partners who have been assessed within 24 months prior to the issuance of this guidance by UNHCR or another UN agency, do not need to be assessed again if the previous assessment covered the following criteria: mandatory screening of personnel, mandatory training, adequate reporting procedures, appropriate action in past cases, adequate investigative and assistance capacities.²⁸ Evidence of the UN assessment should be uploaded on the UN Partner Portal. There may be a need to review the Implementation Plan to ensure that it also includes measures applicable to the implementation of UNHCR's project e.g. extending it to certain locations, introducing additional safeguards etc.

The assessment form and implementation plan should be added to the selection file and to the partner's profile on the UN Partner Portal.

8. Monitoring and Compliance

The compliance with this Administrative Instruction will be monitored by the Implementation Management and Assurance Service, Division for Strategic Planning and Results.

9. Dates

This Administrative Instruction enters into force on 8 June 2021.

10. Contact

Contact the Implementation Management and Assurance Service, Division for Strategic Planning and Results, epartner@unhcr.org, for any queries.

²⁶ An implementation plan concluded after signature of the project agreement should include milestones and expressly mention that payment of instalments may be withheld if the commitments in the plan are not met.

²⁷ New partners are those who have not had a partnership agreement with UNHCR in the country of operation in the past three years. For partners who have had a partnership agreement with UNHCR during the past three years, but not undergone an assessment of PSEA capacity by UNHCR or another agency, an assessment should be done prior to retention.

²⁸ See *Checklist for Assessment of the PSEA Capacity of Partners during the Selection Process and the PPA*, [UNHCR/AI/2019/1 - Planning for 2020-2021](#).

11. History

This Administrative Instruction and annexes supersede earlier guidance provided as part of the planning process: [UNHCR/AI/2019/9 Detailed Planning and Budgeting for 2020, specifically the](#) *Checklist for the assessment of the PSEA capacity of partners.*

Partner Self-Assessment Form

Standards	Supporting Documentation (select all that apply)	Assessment by Partner
Core Standard 1: Organizational Policy The Partner has a policy document on PSEA. At a minimum, this document should include a written undertaking that the partner accepts the standards of conduct listed in section 3 of the ST/SGB/2003/13.	<input type="checkbox"/> Code of conduct (internal or inter-agency). <input type="checkbox"/> PSEA policy. <input type="checkbox"/> Documentation of standard procedures for all personnel to receive/sign PSEA policy. <input type="checkbox"/> Other (please specify):	Yes <input type="checkbox"/> No <input type="checkbox"/> Comments/areas of improvement:
Core Standard 2: Organizational Management The Partner's contracts and partnership agreements include a standard clause requiring sub-contractors to adopt policies that prohibit SEA and to take measures to prevent and respond to SEA.	<input type="checkbox"/> Contracts/partnership agreements for sub-contractors. <input type="checkbox"/> Other (please specify):	Yes <input type="checkbox"/> No <input type="checkbox"/> Comments/areas of improvement:
Core Standard 3: Human Resources Systems There is a systematic vetting procedure in place for job candidates through proper screening. This must include, at minimum, reference checks for sexual misconduct and a self-declaration by the job candidate, confirming that they have never been subject to sanctions (disciplinary, administrative or criminal) arising from an investigation in relation to SEA, or left employment pending investigation and refused to cooperate in such an	<input type="checkbox"/> Reference check template including check for sexual misconduct (including reference from previous employers and self-declaration). <input type="checkbox"/> Recruitment procedures. <input type="checkbox"/> Other (please specify):	Yes <input type="checkbox"/> No <input type="checkbox"/> Comments/areas of improvement:

investigation.		
Core Standard 4: Mandatory Trainings The Partner holds mandatory trainings (online or in-person) for all its employees and associated personnel on PSEA and relevant procedures. The training should, at a minimum include: <ol style="list-style-type: none"> 1) a definition of SEA (that is aligned with the UN's definition); 2) an explanation on prohibition of SEA; and actions that personnel are required to take (i.e. prompt reporting of allegations and referral of victims). 	<input type="checkbox"/> Training package <input type="checkbox"/> Attendance sheets <input type="checkbox"/> Training certificates <input type="checkbox"/> Other (please specify):	Yes <input type="checkbox"/> No <input type="checkbox"/> Comments/areas of improvement:
Core Standard 5: Reporting The Partner has mechanisms and procedures for personnel, beneficiaries and communities, including, children to report SEA allegations that comply with core standards for reporting (safety, confidentiality, transparency, accessibility)	<input type="checkbox"/> Internal or inter-agency/multi-agency complaints and feedback mechanism. <input type="checkbox"/> Participation in joint reporting mechanisms. <input type="checkbox"/> Communication materials. <input type="checkbox"/> PSEA awareness-raising plan. <input type="checkbox"/> Description of reporting mechanism. <input type="checkbox"/> Whistle-blower policy. <input type="checkbox"/> Other (please specify):	Yes <input type="checkbox"/> No <input type="checkbox"/> Comments/areas of improvement:
Core Standard 6: Assistance and Referrals The partner has a system to refer SEA victims to locally available support services, based on their needs and consent. This can include actively contributing to in-country PSEA networks	<input type="checkbox"/> Internal or Inter-Agency/multi-agency referral pathway. <input type="checkbox"/> List of available service providers. <input type="checkbox"/> Description of referral or Standard Operation Procedures (SOPs). <input type="checkbox"/> Referral form for survivors of GBV/SEA.	Yes <input type="checkbox"/> No <input type="checkbox"/> Comments/areas of improvement:

and/or GBV systems (where applicable) and/or referral pathways at an inter-agency level.”	<input type="checkbox"/> Guidelines on victim assistance and/or training on GBV and GBV case management principles. <input type="checkbox"/> Other (please specify):	
Core Standard 7: Investigations The Partner has a process for investigation of allegations of SEA and can provide evidence. This may include a referral system for investigations where in-house capacity does not exist.	<input type="checkbox"/> Written procedure for review of SEA allegations. <input type="checkbox"/> Dedicated resources for investigation(s) and/or commitment of Partner for support. <input type="checkbox"/> PSEA investigation policy/procedures. <input type="checkbox"/> Contract with professional investigative service. <input type="checkbox"/> Other (please specify):	Yes <input type="checkbox"/> No <input type="checkbox"/> Comments/areas of improvement:
Core Standard 8: Corrective Action The partner has taken appropriate corrective action in response to previous SEA allegations, if any.	<input type="checkbox"/> Statistics of cases the past year and status open/closed. <input type="checkbox"/> Statement from UNHCR PSEA co-ordinator on knowledge of cases/process.	Yes <input type="checkbox"/> No <input type="checkbox"/> Comments/areas of improvement:
PSEA Capacity Score:		

Signature on behalf of the partner:.....

Date and place:.....

UNHCR's Verification of Partner PSEA Capacity

A. DETAILS OF OPERATION AND PARTNER	
UNHCR operation:	
Project title:	
Project location(s):	
UNHCR focalpoint (programme):	
UNHCR PSEA focalpoint (name, title):	
Partner's name:	
Partner's IP code:	
Existing or prospective Partner:	
Assessed by another UN agency, if yes, when:	
Is the Partner operating in a high-risk environment:	
Is the Partner in direct contact with persons of concern to UNHCR:	
Has the Partner presented credentials and profile on the UN Partner Portal:	
Do the Partner need a full assessment (yes/no)?	

Preliminary Determination

B. PARTNER PSEA CAPACITY ASSESSMENT					
	Supporting Documentation (select all that apply)	Score for Reviewer 1 (add name if applicable)	Score of Reviewer 2 PSEA focalpoint (add name)	Confirmed by IPMC	Comments
Core Standard 1: Organizational Policy The Partner has a policy document on PSEA. At a minimum, this document should include a written undertaking that the partner accepts the standards of conduct listed in section 3 of the ST/SGB/2003/13.	<input type="checkbox"/> Code of conduct (internal or inter-agency). <input type="checkbox"/> PSEA policy. <input type="checkbox"/> Documentation of standard procedures for all personnel to receive/sign PSEA policy. <input type="checkbox"/> Other (please specify):	Yes <input type="checkbox"/> 1 point	Yes <input type="checkbox"/> 1 point	Yes <input type="checkbox"/> 1 point	
		No <input type="checkbox"/>	No <input type="checkbox"/>	No <input type="checkbox"/>	

<p>Core Standard 2: Organizational Management</p> <p>The Partner's contracts and partnership agreements include a standard clause requiring sub-contractors to adopt policies that prohibit SEA and to take measures to prevent and respond to SEA.</p>	<input type="checkbox"/> Contracts/partnership agreements for sub-contractors. <input type="checkbox"/> Other (please specify):	Yes <input type="checkbox"/> 1 point	Yes <input type="checkbox"/> 1 point	Yes <input type="checkbox"/> 1 point	
<p>Core Standard 3: Human Resources Systems</p> <p>There is a systematic vetting procedure in place for job candidates through proper screening. This must include, at minimum, reference checks for sexual misconduct and a self-declaration by the job candidate, confirming that they have never been subject to sanctions (disciplinary, administrative or criminal) arising from an investigation in relation to SEA, or left employment pending investigation and refused to cooperate in such an investigation.</p>	<input type="checkbox"/> Reference check template including check for sexual misconduct (including reference from previous employers and self-declaration). <input type="checkbox"/> Recruitment procedures. <input type="checkbox"/> Other (please specify):	Yes <input type="checkbox"/> 1 point	Yes <input type="checkbox"/> 1 point	Yes <input type="checkbox"/> 1 point	
		No <input type="checkbox"/>	No <input type="checkbox"/>	No <input type="checkbox"/>	

<p>Core Standard 4: Mandatory Trainings</p> <p>The Partner holds mandatory trainings (online or in-person) for all its employees and associated personnel on PSEA and relevant procedures. The training should, at a minimum include:</p> <ol style="list-style-type: none"> 1) a definition of SEA (that is aligned with the UN's definition); 2) an explanation on prohibition of SEA; and <p>actions that personnel are required to take (i.e. prompt reporting of allegations and referral of victims).</p>	<input type="checkbox"/> Training package <input type="checkbox"/> Attendance sheets <input type="checkbox"/> Training certificates <input type="checkbox"/> Other (please specify):	Yes <input type="checkbox"/> 1 point	Yes <input type="checkbox"/> 1 point	Yes <input type="checkbox"/> 1 point	
<p>Core Standard 5: Reporting</p> <p>The Partner has mechanisms and procedures for personnel, beneficiaries and communities, including, children to report SEA allegations that comply with core standards for reporting (safety, confidentiality, transparency, accessibility)</p>	<input type="checkbox"/> Internal or inter-agency/multi-agency complaints and feedback mechanism. <input type="checkbox"/> Participation in joint reporting mechanisms. <input type="checkbox"/> Communication materials. <input type="checkbox"/> PSEA awareness-raising plan. <input type="checkbox"/> Description of reporting mechanism. <input type="checkbox"/> Whistle-blower policy. <input type="checkbox"/> Other (please specify):	Yes <input type="checkbox"/> 1 point	Yes <input type="checkbox"/> 1 point	Yes <input type="checkbox"/> 1 point	
		No <input type="checkbox"/>	No <input type="checkbox"/>	No <input type="checkbox"/>	

Core Standard 6: Assistance and Referrals The partner has a system to refer SEA victims to locally available support services, based on their needs and consent. This can include actively contributing to in-country PSEA networks and/or GBV systems (where applicable) and/or referral pathways at an inter-agency level.”	<input type="checkbox"/> Internal or Inter-Agency/multi-agency referral pathway. <input type="checkbox"/> List of available service providers. <input type="checkbox"/> Description of referral or Standard Operation Procedures (SOPs). <input type="checkbox"/> Referral form for survivors of GBV/SEA. <input type="checkbox"/> Guidelines on victim assistance and/or training on GBV and GBV case management principles. <input type="checkbox"/> Other (please specify):	Yes <input type="checkbox"/> 1 point	Yes <input type="checkbox"/> 1 point	Yes <input type="checkbox"/> 1 point	
Core Standard 7: Investigations The Partner has a process for investigation of allegations of SEA and can provide evidence. This may include a referral system for investigations where in-house capacity does not exist.	<input type="checkbox"/> Written procedure for review of SEA allegations. <input type="checkbox"/> Dedicated resources for investigation(s) and/or commitment of Partner for support. <input type="checkbox"/> PSEA investigation policy/procedures. <input type="checkbox"/> Contract with professional investigative service. Other (please specify):	Yes <input type="checkbox"/> 1 point	Yes <input type="checkbox"/> 1 point	Yes <input type="checkbox"/> 1 point	
Core Standard 8: Corrective Action	<input type="checkbox"/> Statistics of cases the past year and status open/closed.	Yes <input type="checkbox"/> 1 point	Yes <input type="checkbox"/> 1 point	Yes <input type="checkbox"/> 1 point	

The partner has taken appropriate corrective action in response to previous SEA allegations, if any.	<input type="checkbox"/> Statement from UNHCR PSEA co-ordinator on knowledge of cases/process.				
		No <input type="checkbox"/>	No <input type="checkbox"/>	No <input type="checkbox"/>	
PSEA Capacity Score:					

PSEA Capacity Rating

<input type="checkbox"/> Full Capacity 8 - Meets all core standards (full capacity)	<input type="checkbox"/> Medium Capacity 6 to 7 - Meets most standards. Support required to address remaining gaps (medium capacity)	<input type="checkbox"/> Low Capacity 5 or fewer - Meets few core standards. Urgent action needed to strengthen PSEA capacity (low capacity)
<p>If the partner had any capacity gaps in one or several areas related to PSEA, please a) provide justification why the engagement of this Partner is necessary; and b) attach an implementation plan outlining appropriate risk mitigation, capacity building, support and monitoring activities, c) provide dates of planned review.</p>		

Members of the IPMC

Name/Title	Signature	Date

REPRESENTATIVE APPROVAL

Decision by the country Representative. If IP(s) selected differs from panel recommendation, please provide detailed justification for the decision.

Representative signature, date

Review of the Implementation Plan and the Partner's Capacity

FIRST REVIEW	
Date of review:	
Name of PSEA focalpoint:	
Reason for review (scheduled/new circumstances):	
Have targets in the Implementation Plan been met?	
Should adjustments be made?	
Date of next review, if applicable:	
Recommendations:	

Date and signature:

SECOND REVIEW

Date of review:	
Name of PSEA focalpoint	
Reason for review (scheduled/new circumstances):	
Have targets in the Implementation Plan been met?	
Should adjustments be made?	
Date of next review, if applicable:	
Recommendations:	

Date and signature:

Final determination

PSEA Assessment Outcome

☐ **Satisfactory.** The Partner has the capacity and capability to ensure protection from SEA at the level foreseen in the Partnership Agreement.

☐ **Unsatisfactory.** The Partner does not have the capacity and capability to ensure protection from SEA at the level foreseen in the Partnership Agreement

Members of the IPMC

Name/Title	Signature	Date

REPRESENTATIVE APPROVAL

Decision by the country Representative. If IP(s) selected differs from panel recommendation, please provide detailed justification for the decision.

Representative signature, date

UNHCR PSEA Capacity-Strengthening Implementation and Monitoring Plan

This 12-month Capacity-Strengthening Implementation and Monitoring Plan has been developed jointly by the implementing Partner and UNHCR based on the Partner's self-assessment, UNHCR's assessment and subsequent discussions.

The Implementation and Monitoring Plan will be annexed to the Partnership Agreement. In case of non-compliance within the stipulated timeframe, the Partner should submit written justification for the reasons why the plan has not been implemented without delay before the end of the agreed timeframe. In case of non-compliance within the stipulated timelines, the conditions of the Partnership Agreement as well as the SG Bulletin Special Measures for Protection from Sexual Exploitation and Sexual Abuse, ST/SGB/2003/13, 9 October 2003, and the UN Protocol on Allegations of SEA Involving Implementing Partners, 21 March 2018 (UN Protocol) may apply, including withholding of instalments or termination of the agreement by UNHCR.

Date of implementation period: _____

Date of re-assessment: _____ (per UN Protocol, any Partner who scores less than 8, must be reassessed within 6 months of initial assessment)

Date:

Signatures:

On behalf of the Partner:

On behalf of UNHCR:

CAPACITY STRENGTHENING PLAN (Completed by the implementing partner)				MONITORING (Completed by UNHCR)	
CAPACITY STRENGTHENING ACTIVITY	PERSON RESPONSIBLE to implement the activity	REQUIRED/ AVAILABLE RESOURCES to implement activity (e.g. financial, HR, logistics)	TARGET DATE FOR COMPLETION of the activity	STATUS of the activity (i.e. not started/in progress/completed)	SUPPORTING DOCUMENTATION demonstrating the activity was completed and partner meets core standard
Core Standard 1: Organizational Policy <u>Required:</u> The partner has a policy document on PSEA. At a minimum, this document should include a written undertaking that the partner accepts the standards of conduct listed in section 3 in ST/SGB/2003/13 or a code of conduct.					
<i>Example: Develop/revise PSEA Policy to include, at minimum:</i> <ul style="list-style-type: none"> • a clear definition of SEA, • explicit prohibition of SEA, • actions that personnel are required to take (i.e. prompt reporting of allegations and referral of victims), • whistleblower protection, • clear roles and responsibilities • in a transparent and clear language, adapted to local context. 					
<i>Example: Develop/revise a Code of Conduct to include aspects related to SEA.</i>					

Core Standard 82 Organizational Management Required: Partner's contracts and partnership agreements include a standard clause requiring sub-contractors to adopt policies that prohibit SEA and to take measures to prevent and respond to SEA.					
<i>Example: Revise partnership agreements to include a standard clause requiring sub-contractors to adopt policies that prohibit SEA and to take measures to prevent and respond to SEA.</i>					
Core Standard 3: Human Resources Systems Required: There is a systematic vetting procedure in place for job candidates through proper screening. This must include, at minimum, reference checks for sexual misconduct and a self-declaration by the job candidate, confirming that they have never been subject to sanctions (disciplinary, administrative or criminal) arising from an investigation in relation to SEA, or left employment pending investigation and refused to cooperate in such an investigation.					
<i>Example: Implement/revise the screening process for job candidates, to include:</i> <ul style="list-style-type: none"> • A self-declaration of the job candidate regarding any prior involvement in sexual misconduct and consent to the disclosure of any such information by former employers during the verification of reference, • Reference checks with former employers. 					
<i>Example: Revise templates for all employment/service contract agreements to include a PSEA clause.</i>					

<i>Example: Require all personnel to sign the organizational code of conduct or equivalent.</i>					
<i>Example: Develop/adapt internal filing system for personnel to ensure all PSEA-related documents stored on personnel file.</i>					
Core Standard 4: Mandatory training Required: The partner holds mandatory trainings (online or in-person) for all its employees and associated personnel ¹ on PSEA and relevant procedures and/or the personnel is included in trainings organized UNHCR, another UN agency or inter-agency trainings. The training should, at a minimum include: 1) a definition of SEA (that is aligned with the UN's definition); 2) an explanation on prohibition of SEA; and 3) actions that personnel are required to take (i.e. prompt reporting of allegations and referral of victims).					
<i>Example: Develop/revise existing learning material to conduct mandatory training for all personnel.</i> <i>The training (online/in-person) should include, at minimum: 1) a definition of SEA (that is aligned with the UN's definition); 2) explanation on prohibition of SEA; and 3) actions that personnel are required to take (i.e. prompt reporting of allegations and referral of victims).</i>					

¹ Associated personnel include sub-contractors, consultants, interns or volunteers and others associated with or working on behalf of the Partner.

Core Standard 5: Reporting allegations Required: The partner has mechanisms and procedures for personnel and beneficiaries of assistance to report SEA allegations that comply with core standards for reporting (i.e. safety, confidentiality, transparency, accessibility).					
<i>Example: Ensure access to mechanisms for receiving allegations of SEA by participating in multi-agency or intra agency referral mechanisms. The mechanism should adhere to the following core principles: accessibility, responsiveness, safety, confidentiality and anonymity and transparency.</i>					
Core Standard 6: Assistance and referrals Required: The partner has a system to refer SEA victims to locally available support services, based on their needs and consent. This can include actively participate in an in-country PSEA network and/or national or multi-agency gender-based violence (GBV) referral pathways or projects.					
<i>Example: Implement/revise systems to refer victims to support services, based on their consent and needs, with an up-to-date contact list of locally available support services (including options for children where available).</i>					
<i>Example: Where there are gaps in service coverage and needed services are unavailable, implement a procedure to ensure that assistance and support is provided to victims using internal resources.</i>					

Core Standard 7: Investigations					
Required: The organization has a process for investigation of allegations of SEA and can support this with a documented referral process.					
<i>Example: The partner has an internal investigative mechanism at its HQs or trained focalpoints in the country office.</i>					
<i>Example: The partner has agreed in advance that UNHCR and/or another UN agency will conduct investigations.</i>					
<i>Example: The partner has an agreement with external investigators.</i>					
Core Standard 8: Corrective Action					
Required: The partner has taken appropriate corrective action (disciplinary, administrative or managerial action) in response to allegations of SEA the past three years.					
<i>Example: Provide statistics of number of cases, status of the cases (open/closed/pending).</i>					
<i>Example: Provide evidence of how safeguards were introduced into projects and programmes to prevent/mitigate the risk of cases of SEA.</i>					