

Independent review of UN- Women's policies and procedures for tackling Sexual Exploitation and Abuse (SEA) and Sexual Harassment (SH)

Final Report

May 24, 2019, Copenhagen

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1 Executive summary

From April 15, 2019 to May 24, 2019, Deloitte assisted UN-Women in performing a formative evaluation of the organization's policies and procedures for tackling Sexual Exploitation and Abuse (SEA) and Sexual Harassment (SH). The review included a desktop review of selected relevant existing policies and procedures to gain an understanding of the status quo of the SEA and SH practices of UN-Women (refer to Appendix 6.1 for an overview of the documents reviewed). With this knowledge as a foundation, interviews were conducted with stakeholders from across the organization at corporate, regional, and country levels as well as with identified key stakeholders external to UN-Women, such as the UN Victims' Rights Advocate, The UN Feminist Network, The UN Ethics Office, and The Office of Internal Oversight Services (refer to Appendix 6.2 for an overview of the interviewees). Based on the input from the document review and the interviews, an initial assessment of UN-Women's SEA and SH setup was conducted to provide the organization with a set of observations on the current practices as well as recommendations for potential improvement and next steps.

Based on the review, the following overall recommendations were developed:

1. Clarify roles and responsibilities
2. Reinforce accountability
3. Ensure sufficient resources in the field
4. Ensure local anchoring and coordination
5. Focus on face-to-face and scenario-based training
6. Maintain confidentiality
7. Develop local action plans
8. Maintain a victim-centered approach
9. Ensure ongoing communication on case progress to victims
10. Increase focus on implementing partners
11. Know your rights
12. Review policies and procedures.

The results of the review are presented in this report, with sections covering the methodology and theoretical approach of the review as well as observations and recommendations for next steps for UN-Women's efforts against SEA and SH.

2 Introduction

2.1 Scope

In recent years, the development and humanitarian sector has encountered several high-profile cases of sexual harassment and sexual exploitation, and abuse, causing UN Member States, the media, and other stakeholders to also increasingly focus their attention on how the United Nations (UN) system is handling Sexual Exploitation and Abuse (SEA) and Sexual Harassment (SH). Incidents of SEA and SH are fundamental violations of human rights and as such undermine the integrity, mandate, and core values of the UN. As an organization with a clear dedication and purpose, UN-Women is committed to promoting gender equality and empowerment of women worldwide. The organization is thus dedicated to having the highest standards of policies, processes, and systems in place to ensure a proper setup to prevent and manage SEA and SH cases, respectively. Against this backdrop, the Executive Board of UN-Women has asked "UN-Women management to undertake [...] an independent victim-centered review of its policies and processes on tackling both sexual exploitation and abuse and sexual harassment, to review the current practices of UN-Women and provide recommendations on both issues" (Decision 2018/3). UN-Women has contracted Deloitte for such a review.

In accordance with the agreed Statement of Work, the review was conducted over 6 weeks (from April 15 to May 24, 2019). Deloitte is aware that UN-Women is currently in the process of updating many of its existing policies and procedures, and it is therefore important to note that the review is not a comprehensive review of the practices of UN-Women; it is rather a formative evaluation of the "as-is" status of the SEA and SH prevention and response setup, focusing on the promulgated policies and current procedures in place and the extent to which they are perceived by stakeholders interviewed by Deloitte as fit-for-purpose, implemented, and practiced appropriately. Likewise, the distinction between SEA and SH in this review was made in so far as the documents reviewed and the interviews conducted enabled such distinction. Against this backdrop, the assessment seeks to identify steps forward to reinforce a coherent response to SEA and SH.

The Executive Board of UN-Women has requested a report of the results of the review and associated management responses to be presented to the Executive Board at its annual session in June, 2019.

2.2 Methodology

An initial desk review of UN-Women's existing documents relating to the prevention of and response to SEA and SH was conducted, including selected relevant policies and procedures, communication and outreach, and training material. For a list of the documents reviewed, see Appendix 6.1. In addition, interviews and focus group meetings have been conducted with 59 selected key stakeholders from UN-Women in order to learn how the policies and procedures are implemented in practice as well as to examine potential barriers to a successful SEA and SH prevention setup (refer to Appendix 6.2 for a list of interviewees). An interview guide was prepared by Deloitte in consultation with a select group of UN-Women subject matter experts. The interview guide covered the following topics: Accountability & Governance, Prevention, Reporting & Investigations, and Assistance, including specific questions on how to ensure a victim-centered approach, organizational commitment, and interagency collaboration. The output from the interviews and focus group meetings was validated with the interview participants to ensure that observations and input were understood and captured correctly. The validation process has clarified and sharpened the information gathered.

The findings of this report thus reflect the information gained from the interviews, focus group meetings, and document review performed solely by Deloitte. As such, the statements and observations expressed in the interviews and focus group meetings have not been further tested through e.g. field visits or audit activities.

2.3 Key definitions and concepts used in this report

Within the UN system, there is a clear distinction between sexual exploitation and abuse (SEA) and sexual harassment (SH):

Sexual exploitation is defined by the UN as any actual or attempted abuse of a position of vulnerability, differential power, or trust for sexual purposes, including, but not limited to, profiting monetarily, socially, or politically from the sexual exploitation of another person. As such, sexual exploitation is a broad term, which includes a number of acts as described below, including transactional sex, solicitation of transactional sex, and exploitative relationship.

Sexual abuse is defined as the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions. Any sexual activity with a child is considered sexual abuse. Physical intrusion is understood as sexual activity. Sexual abuse is a broad term, which includes a number of acts as described below, including rape, sexual assault, sex with a minor, and sexual activity with a minor under the age of 18¹.

Within the UN system, sexual exploitation and abuse (SEA) is understood as an assault (actual or attempted) against beneficiaries or other third parties in the local community.

Sexual harassment (SH) is defined by the UN in the "UN System Model Policy on Sexual Harassment" as any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offense or humiliation when such conduct interferes with work, is made a condition of employment, or creates an intimidating, hostile, or offensive work environment. Sexual harassment may occur in the workplace or in connection with work. While typically involving a pattern of conduct, sexual harassment may take the form of a single incident. In assessing the reasonableness of expectations or perceptions, the perspective of the person who is the target of the conduct shall be considered². Beyond UN regulations, the definition of sexual harassment is broader and does not require a link to the work environment.

As for SH, the explanatory notes to the UN System Model Policy on Sexual Harassment provide the following examples³:

- Attempted or actual sexual assault, including rape;
- Sharing or displaying sexually inappropriate images or videos in any format;
- Sending sexually suggestive communications in any format;
- Sharing sexual or lewd anecdotes or jokes;
- Making inappropriate sexual gestures, such as pelvic thrusts;
- Unwelcome touching, including pinching, patting, rubbing, or purposefully brushing up against another person;
- Staring in a sexually suggestive manner;
- Repeatedly asking a person for dates or asking for sex;
- Rating a person's sexuality;
- Making sexual comments about appearance, clothing, or body parts;
- Name-calling or using slurs with a gender/sexual connotation;
- Making derogatory or demeaning comments about someone's sexual orientation or gender identity.

UN-Women's own policy, "UN-Women Policy on Workplace Harassment & Abuse of Authority", (last updated August 2018) is, at the time of this review, in being updated with the UN System Model Policy definition of SH (for more information on this work, refer to sections 3.1 and 4.1).

PSEA – In this report, the abbreviation "PSEA" refers to Prevention of Sexual Exploitation and Abuse.

Personnel – In this report, "personnel" is used to cover UN-Women staff members as well as other persons engaged by UN-Women under other contractual arrangements to perform services for UN Women,

¹ UN Glossary on Sexual Exploitation and Abuse, 2007

² UN System Model Policy on Sexual Harassment, 2018

³ UN System Model Policy on Sexual Harassment, 2018

such as service contract (SC) holders, Consultants (C), Individual Contractors (IC), persons engaged on a Reimbursable Loan Agreement or on a Non-Reimbursable Loan Agreement, United Nations Volunteers (UNV), volunteers, fellows, and interns.

Implementing partners – In this report, the term “implementing partners” relies on the definition provided in the *“United Nations Protocol on Allegations of Sexual Exploitation and Abuse involving Implementing Partners”*. This definition states that an implementing partner is an entity to which a UN office or entity has entrusted the implementation of a programme and/or project specified in a signed document along with the assumption of responsibility and accountability for the effective use of resources and the delivery of outputs. Implementing partners may include – but are not limited to – government institutions, inter-governmental organizations, and civil society organizations, including NGOs. Implementing partners’ subcontractors are subsumed within this definition⁴.

Victim-centered approach – In this report, the term “victim-centered approach” will for the current review entail that Deloitte will consider the perspective of the victim in assessing policies, procedures, and practices in relation to the prevention, reporting, investigation, and assistance setup, including regarding victims as rights-holders.

2.4 Deliverables

The agreed output of the review was a brief, to-the-point summary of the observations, conclusions, and recommendations for prevention and management of SEA and SH cases within UN-Women, see sections 4 and 5 of this document.

⁴ United Nations Protocol on allegations of sexual exploitation and abuse involving implementing partners

3 Key elements of effective prevention of SEA and SH

The review has drawn on the IASC-defined UN standards for effective prevention of SEA⁵ as well as Deloitte's methodology for assessing an organization's governance and compliance setup to provide a suitable structure for the assessment. In addition, Deloitte's industry experience from the field of PSEA and SH, including performance of reviews of the SEA and SH setup within UNDP, UNFPA, and UNOPS, has served as a basis for the work conducted. The input obtained from the document review and interviews has therefore been categorized in a framework of four key elements for effective prevention and management of SEA and SH efforts: *Accountability & Governance, Prevention, Reporting & Investigations, and Assistance*. These four elements provide a structure for the observations and recommendations presented in this report, and their relevance to UN-Women is further described in the section below.

3.1 Accountability & Governance

Together with the SEA inter-agency initiatives, the "*UN Secretary General's Bulletin on Sexual Exploitation and Sexual Abuse*" (2013) forms the umbrella under which the coordination of SEA takes place within the UN system. In terms of SH, the "*UN System Model Policy on Sexual Harassment*" (2018) sets out the UN-wide dedication to preventing SH from occurring within the UN. In light of this policy document, UN-Women is currently reviewing the organization's existing policy, "*Harassment, Sexual Harassment, Discrimination and Abuse of Authority policy*", (last updated August 2018) to ensure that it is aligned with the UN-wide policy. It is the ambition that the "*UN System Model Policy on Sexual Harassment*" will provide a new basis on which the UN organizations can work towards a coordinated approach.

UN-Women is accountable in its own right but also as part of the broader UN-wide effort to mitigate the risk of SEA and SH. Therefore, ensuring a distinct governance structure with assigned roles and responsibilities for preventing and managing SEA and SH, which emphasizes accountability, is an essential building block in a robust approach to preventing and managing SEA and SH.

In this context, accountability should be understood as the accountability of the individual members of personnel, accountability at an organizational level, and accountability at a wider UN-system level. Accountability in this context is considered to include clear visibility in terms of e.g. protection from retaliation for those who report misconduct, support and relevant information to victims, consequences for perpetrators, transparency of communication by the organization, and ensuring change in the organizational culture where necessary. Therefore, maintaining accountability entails a need for clear leadership that can ensure consistent and tailored communication on SEA and SH issues in order to provide the organization with a sense of urgency in the matter as well as commitment from senior management to addressing issues as they arise. However, leadership is also reflected in the everyday operations and prevention work performed by individual members of personnel across the organization. Thus, leadership should both define and reflect the organizational culture and the shared values that drive an individual's behavior.

UN-Women's ability to prevent, act on, and assist in incidents depends on the organization a) ensuring that appropriate authority and resources are allocated in the various offices/teams to handle operational tasks and b) preventing and managing incident response. Furthermore, the level of transparency exercised within the organization in regard to communicating not only preventive actions but also actual case handling is critical to sustaining trust that policies are being enforced.

The review focused on how the existing governance structure and accountability mechanisms are made explicit and potentially exemplified in the UN-Women policy framework. Additionally, the applicability of the framework itself was reviewed, including 1) the implementation of appropriate policies, 2) whether there is a clear document hierarchy in place, and 3) whether the policies are seen by interviewees as enabling or disabling actions to prevent and respond to sexual misconduct as well as to assisting in the provision of support and protection to victims.

⁵ Interagency Standing Committee (IASC) Minimum Operating Standards for PSEA (2016): <https://interagencystandingcommittee.org/accountability-affected-populations-including-protection-sexual-exploitation-and-abuse/content-1>

3.2 Prevention

Maintaining and operating a strong prevention setup requires commitment to eliminate both SEA and SH. This means ensuring clear leadership, personnel's overall awareness of policies, as well as ongoing training and communication. Multiple communication channels should be used to meet the various information needs among the stakeholders of UN-Women – at a corporate, regional, and country-office level. Providing training in connection with the onboarding of new personnel as well as recurring training sessions is a key element of prevention to ensure sufficient awareness and behavioral change among the personnel. This also involves ensuring that candidates or potential new partners are vetted and thoroughly screened to prevent engaging individuals, companies, and partners with past records of SEA/SH misconduct. However, working with third parties, such as implementing partners, CSOs, and local governments, will likely always pose some risk, as the organization cannot exercise the same level of control as within UN-Women's own operations.

3.3 Reporting & Investigations

Implementation of trusted reporting mechanisms is a key element in ensuring a safe place for victims to report misconduct. An effective reporting mechanism is built around several aspects: the *availability* of a particular reporting channel(s); the *awareness* of and confidence in such mechanism(s) internally in the organization and externally in local communities where the UN operates; the local *applicability* of the reporting mechanism(s), including elements such as language adaptation, easy access, and format. It is important to note that, by the UN definition (see section 2.3), victims of SEA are external, non-UN individuals, such as beneficiaries. This may therefore create some difficulties in ensuring communication with such individuals, once a report of allegations has been submitted and an investigation has been opened, as they often cannot provide a contact address or may not have access to technology.

When applying a victim-centered approach, focus is expected to be on taking into account the victim's perspective when developing procedures and practices for prevention, reporting mechanisms, and an investigation and assistance setup. This in turn involves upholding the highest standard of *confidentiality* for people – victims and bystanders alike – coming forward and reporting alleged misconduct. Providing the victim with a choice of reporting options, including anonymous reporting and the option not to report as well as informal/formal options for resolution in SH cases and formal resolution for SEA cases, can help reinforce that victims are treated as rights-holders and allow for victims to seek the solution most suited to their individual preferences and circumstances.

To help maintain an incentive to report, *action* is also of the essence; investigations of allegations of SEA or SH should be conducted with a clear focus on both timeliness and due process as well as ensuring a defined action as an outcome. All personnel of offices/teams receiving reports of incidents in either area require appropriate training and specialized skills in order to perform their tasks. In addition, it is crucial to ensure that there are measures in place to safeguard and protect the individual against unfair treatment and *retaliation* in all circumstances. Lastly, having an appropriate and robust assistance setup is critical to providing victims with appropriate support services, such as psychosocial assistance, counseling, mediation, medical care, legal and potentially financial support, as well as temporary safe housing.

Underpinning all these mechanisms and activities should be a strong organization-wide culture, permeated by trust and focus on ensuring the respect for, and integrity of, the organization's mandate. In practice, it is nonetheless prudent to keep in mind an individual's local culture and the implications that it may have on behavior. Reporting measures should therefore aim to meet local needs in terms of providing reporting options tailored to accommodate cultural norms, where there is a risk that a mechanism is primarily designed to meet corporate needs at the organization's headquarters. This is especially relevant to consider in relation to allegations of SEA, as the victims in these cases are not UN personnel and thus might not have an understanding of their options for reporting and assistance or the same access to technology.

3.4 Assistance

Providing a robust set of support mechanisms is instrumental to the successful implementation of prevention of SEA and SH. This may involve setting up short-term and long-term support and protection measures for the victim. The support mechanisms should also be adaptable to the level of severity of misconduct as well as the nature and extent of the harm to the victim in order to cater for victims of different kinds of misconduct within SH and SEA.

Transparency and ongoing communication on the possible support mechanisms and their local availability form an essential element of a robust assistance program. Furthermore, aligning support activities across the UN might be useful for ensuring coordination, coherence, and consistency in the assistance provided on a UN-wide basis. This is equally important for both SH and SEA, but it is particularly relevant when dealing with SEA cases, as these are understood within the UN system as an assault against beneficiaries or other third parties in the communities where the UN operates, e.g. between a party from the UN organization and an external party, e.g. a beneficiary, a local community member, the local government, or CSO, or between a UN implementing partner and a beneficiary (for the full definition of SEA, refer to section 2.3 of this report). In these settings, coordinating the assistance effort across UN organizations can provide a more structured and transparent approach to ensuring capacity and avoid duplication of work in terms of finding individual solutions for the respective organizations within the UN.

4 Observations

This chapter compiles the observations related to UN-Women's current policies and procedures for managing SEA and SH, respectively. The observations are categorized in accordance with the framework for effective management of SEA and SH; *Accountability & Governance*; *Prevention*; *Reporting & Investigations*; and *Assistance* (refer to chapter 3 for a description of these elements).

4.1 Accountability & Governance

Policies

As for the rest of the UN system, UN-Women's work on SEA is governed by the Secretary General's Bulletin, "*Special measures for protection from sexual exploitation and sexual abuse*" (ST/SGB/2003/13). The organization's work on SH is governed by the "*Harassment, Sexual Harassment, Discrimination & Abuse of Authority policy*" (last updated August 2018), which is currently under review in light of the UN system-wide policy document "*UN System Model Policy on Sexual Harassment*" (2018). Based on the UN system-wide policy, UN-Women is in the process of reviewing its "*Harassment, Sexual Harassment, Discrimination & Abuse of Authority policy*" framework to formulate a stand-alone policy on SH, which is expected to be promulgated in the third quarter of 2019. The UN system-wide policy contains definitions, provisions, and explanatory notes which need to be integrated and added to the operational procedures specific to UN-Women. As a result, there was a perception among some of the interviewees that the current draft policy appeared unduly complex in terms of the extensive content, the length and the wording of the document.

In addition, the UN-Women policy documents "*Legal policy for addressing non-compliance with UN standards of conduct*" (2018) and the "*Protection against retaliation for reporting misconduct and for cooperating with duly authorized audits or investigations policy*" (2018) include key provisions on SEA and SH as well as the protection afforded to, and the expected conduct to be upheld by, UN-Women personnel. In addition to this, a short guide, "*Internal guide – Sexual exploitation and abuse & Sexual harassment*", was published in 2018, providing UN Women managers and personnel with an overview and summary of the policies and procedures applicable as well as the key roles and responsibilities for identifying, addressing, reporting, and preventing sexual misconduct within UN-Women.

Perception of accountability

Due to UN-Women's mandate and commitment to ending gender inequality and to empowering women and girls across the globe, almost all interviewees expressed the strong view that there are particularly high expectations – both internally and externally – to the organization's accountability and ability to prevent and manage SEA and SH incidents. It was made clear that this is a perception that the organization aspires to meet. Meanwhile, it was also raised that, at times, this can create a tension between the aspirations and expectations related to the SH and SEA setup and UN-Women's position as technical experts in this area versus the actual practices, mechanisms, and resources in place, considering the legal framework within which UN-Women operates as a UN organization.

Roles and responsibilities

Over the years, UN-Women has established a number of roles to support efforts against SEA and SH. Many of these roles mirror those of other UN agencies and can be considered good practice, as they are positioned to ensure broad anchoring and engagement across the organization. Specific to UN-Women is the establishment of the role of *Executive Coordinator and Spokesperson on Addressing Sexual Harassment and Other Forms of Discrimination*. Below is a brief outline of the roles and responsibilities in place across UN-Women at the time of this review.

Tone at the top – Ensuring clear roles and responsibilities is essential to making sure that the SEA and SH efforts are anchored across the organization. Within UN-Women, the SEA and SH efforts are anchored at the top with a clear commitment from the Executive Director, who communicates this obligation to management and personnel on a regular basis. This includes the Executive Director issuing an end-of-year message to all UN-Women personnel, where SH and SEA were incorporated as one of the key focus areas. In the 2018 end-of-year message, the Executive Director communicated about UN-Women's handling of

the high-profile public case of sexual misconduct within the organization. In 2017, 2018, and 2019, in addition to these annual messages, the Executive Director facilitated town hall meetings for all UN-Women personnel, placing the internal effort against SH high on the agenda. In addition, every year in June the Executive Board of UN-Women holds a session on UN-Women's efforts to prevent SEA and SH. These communication initiatives highlight UN-Women's leadership commitment to the efforts against SEA and SH.

Executive Coordinator and Spokesperson on Addressing Sexual Harassment and Other Forms of Discrimination – In March 2018, UN-Women created the role of and appointed an Executive Coordinator and Spokesperson on Addressing Sexual Harassment and Other Forms of Discrimination ("Executive Coordinator on SH") to lead the efforts to ensure a victim-centered approach to UN-Women's work against SH. Thus, the role of Executive Coordinator on SH focuses on providing a strategic direction for the organization to be able to lead on addressing SH within the UN and beyond as well as to liaise with the media, civil society organizations, and the private sector to place these issues high on the agenda. The Executive Coordinator on SH has also co-chaired the system-wide policy working group on addressing SH and convenes the Internal Coordination Group on Sexual Harassment.

Internal Coordination Group on Sexual Harassment – The Internal Coordination Group on Sexual Harassment is a cross-functional group convened weekly by the Executive Coordinator on SH, with participants from across UN-Women. The group was established in 2018 to help drive the effort and ensure alignment across the internal units and groups that have a role in the work to address SH. This entails that participants work across a number of operational areas, such as policy and programmes, Member States, and Executive Board relations and operationally towards personnel within UN-Women (i.e. HRD and Security). In addition, a number of reference groups, such as the UN Feminist Network and the UN-Women Youth Council, are also represented. Some members of the group have SH as part of their responsibilities, but the work is balanced against other focus areas in their respective job descriptions.

Regional and country offices – Within each region, a PSEA focal point has been appointed. The objective is that regional office focal points should provide oversight and coordination of activities in their regions. In addition to this, country office focal points have been appointed in countries deemed to involve a higher risk of SEA occurring. These country office focal points are responsible for all aspects of prevention and response, including facilitation of training and PSEA awareness-raising activities locally, including beneficiary rights, where to report, complaint mechanisms, and assistance to victims. In addition, the focal points form part of the first line of defense and contact point on the ground in terms of possible cases of SEA. To ensure UN-wide coordination, some of the country office focal points are also part of inter-agency country networks, which have been established on a voluntary basis.

Managers and personnel – Managers are responsible for creating and maintaining a safe working environment across UN-Women, with a focus on ensuring that personnel are confident in and aware of the internal procedures for preventing and responding to SEA and SH. Managers must also provide personnel with a safe space for voicing concerns and reporting allegations of SH or SEA, which they are then required to submit to OIOS for further assessment and investigation or refer to the Human Resources Division (HRD), the UN Ethics Office, or the Ombudsman's Office for further guidance on appropriate steps. All UN-Women personnel is obliged to take action and file a report, if they experience, observe, or become aware of any form of misconduct.

UN-Women Humanitarian Office – The UN-Women Humanitarian Office is involved in PSEA work, providing country offices with advice on inter-agency humanitarian work as well as guidance on the country offices' work on PSEA. The Humanitarian Office participates in the PSEA Task Team of the Interagency Standing Committee (IASC), the primary mechanism for inter-agency coordination of humanitarian assistance.

Human Resources Division (HRD) – The HR Director is part of the CEB/HLCM/HR Network, where best practices are shared and joint initiatives on SEA and SH prevention and response are developed. In terms of UN-Women's response to SEA and SH, the HRD's tasks involve leading policy development and revisions related to all areas of misconduct as required by the UN-Women policy framework in consultation with stakeholders and technical experts; making available and coordinating the roll-out of mandatory online training on SEA and SH and other training related to the standards of conduct; updating the intranet;

implementing awareness campaigns and developing guidance material to ensure the personnel are aware of the policies, channels, and support available to them; coordinating efforts across offices and responding to queries and questions from personnel, managers, and PSEA and HR focal points; coordinating SH, SEA, and workforce surveys; briefing member states and donors; ensuring that certifications, reports, and action plans to SG and member states are developed and submitted on time; and coordinating support to victims, including through psychosocial counseling. In terms of the recruitment process, the HRD has updated the online application form, where candidates as part of the application process must make a self-declaration if they have a conclusion of misconduct against them. As these questions are posed as part of an application form, the screening is based on self-reporting. To complement this, and as part of an inter-agency effort, UN-Women has included this question in reference checks and will be vetting candidates against the Clear Check Database going forward, when this has been fully implemented.

Workplace Relations Advisor – In 2016, UN-Women established a new role in the HRD, the Workplace Relations Advisor, who is the primary organizational focal point responsible for dealing with workplace issues, including misconduct, SEA, and SH. The Workplace Relations Advisor provides informal advice to managers and personnel, can mediate cases, and support victims with guidance throughout informal and formal processes when needed. The Workplace Relations Advisor is a member of several inter-agency working mechanisms on SEA and SH as well as the Internal Coordination Group on SH within UN-Women.

Security and Safety team – The Security and Safety team has been involved in the development of a policy together with HR for the UN system-wide risk assessment, ensuring that gender is now considered in this risk assessment. In addition, the Security and Safety team has assisted in developing internal management guidelines for the whole UN system on how to handle incidents, emphasizing on ensuring a victim-centered approach. The Security and Safety team spends the majority of its time in the field, providing counseling and regular training on security and safety issues to UN-Women personnel.

Legal Office – The Legal Office is involved in the development of SEA and SH policies as well as related guidance and guidelines, including for the purpose of the Clear Check Database in UN-Women. Under the "*Legal policy for addressing non-compliance with UN standards of conduct*" (2018), when an allegation of SEA or SH has been investigated and substantiated by OIOS, the Legal Office reviews and analyzes the findings and advises the Executive Director on potential action, including appropriate disciplinary sanctions. In addition, the Legal Office assists in the reporting to oversight bodies, including the Executive Board, of measures implemented to prevent and address SEA and SH. The Legal Office prepares reports of disciplinary measures and other actions taken in response to misconduct and wrongdoing by UN-Women staff members, other personnel, or third parties, as well as cases of possible criminal behavior (which includes SH and SEA cases). The Legal Office engages with external stakeholders, including OIOS, the Ombudsman's Office, and the UN Ethics Office, as required. The Legal Office represents UN-Women before the UN Dispute Tribunal in any appeal against disciplinary measures imposed for SH or SEA and in arbitration proceedings resulting from the termination of a contract for same.

In addition to the above-stated functions internal to UN-Women, the organization also engages a number of other UN bodies in its work to prevent and manage cases of SEA and SH. In the paragraphs below, these functions and their relations with UN-Women are described.

Office of Internal Oversight Services (OIOS) – OIOS is an independent UN Secretariat body, charged with the responsibility to conduct internal UN investigations. In this capacity, OIOS has been engaged by UN-Women to provide investigation services, including SEA- and SH-related cases. OIOS exercises operational independence, which means that it cannot be prohibited from carrying out any action within the purview of its mandate. Within UN-Women, OIOS is the principal channel for reporting allegations if a victim seeks to pursue a formal resolution on an SH case. UN-Women's Director of Independent Evaluation and Audit Services is responsible for coordinating the communication and activities between the OIOS and UN-Women and for receiving the investigation reports from OIOS.

UN Ethics Office – The UN Ethics Office is an independent office bound by confidentiality, which entails that the office is not obliged to pass on reports of misconduct. Part of the UN Ethics Office's mandate is to work on standard-setting and policy development as well as to ensure protection against retaliation. As UN-Women does not have an Ethics Office of its own within the organization, the UN Ethics Office is engaged

to provide the personnel with a safe space for voicing concerns, discussing the options available to victims who seek guidance, and directing potential victims elsewhere to formally report the case (i.e. OIOS) or to seek an informal resolution (i.e. the Ombudsman's Office or the HRD).

Ombudsman's Office – The Ombudsman's Office is an informal grievance mechanism established to provide ombudsman and mediation services to UN-Women as well as UNDP, UNFPA, UNICEF, and UNOPS. The role of the Office of the Ombudsman is to help address through informal means any grievances brought to its attention. Victims of SH can contact the Ombudsman's Office for confidential assistance and guidance on options available to them. Thus, the Ombudsman's Office is not obliged to pass on any allegations of misconduct. The Ombudsman's Office helps prevent escalation of behavior that could materialize as SH through training on workplace conflict management themes, such as challenging conversations, civility in the workplace, and communication at work.

Staff Council – The Staff Council is a joint body for UNDP, UNOPS, and UN-Women members of staff. The Staff Council provides members of personnel with an informal platform for raising concerns and seeking representation in terms of bringing workplace issues forward to the Executive Director. So far, the Council has not yet raised any issues of SEA and SH specifically. The Council is furthermore involved in the review of internal HR-related policies to incorporate the perspective of the personnel into the policy development.

UN Victims' Rights Advocate – The UN-wide role of the UN Victims' Rights Advocate was established in 2017 with the objective to ensure that victims are treated as rights-holders and to put their experiences and needs at the forefront of the UN system-wide response to SEA. The UN Victims' Rights Advocate has worked on mapping local victim support services available to the UN across eight countries (The Central African Republic, The Democratic Republic of Congo, Haiti, South Sudan, Bangladesh, Colombia, Greece, and Lebanon) in order to identify what is available to victims in the short-, medium-, and long-term. When the UN Victims' Rights Advocate is on mission in the field, she always seeks to meet UN-Women personnel to give them the opportunity to consult her on cases or seek advice on how to implement initiatives.

Vulnerable members of personnel

During the interviews, a number of interviewees pointed to affiliate personnel (i.e. Service Contract (SC) holders, Consultants (C), Individual Contractors (IC), persons engaged on a Reimbursable Loan Agreement or on a Non-Reimbursable Loan Agreement, United Nations Volunteers (UNV), volunteers, fellows, and interns) as the most vulnerable groups of personnel at risk of being exposed to SEA and SH. Currently, 60 % of all UN-Women personnel are affiliate personnel contracts⁶. Several interviewees highlighted the UN's common non-staff contract modality as a potentially contributing factor to the vulnerability of these groups, as they are not entitled to the UN personnel benefits, such as paid leave. Together with the short-term duration of the contracts and the regular applications for their renewal, these factors create a significant vulnerability for these members of personnel in terms of being victims of SEA and SH.

Inter-agency initiatives

Interviewees indicated that the UN is in the process of assessing how to use the various inter-agency task forces and working groups on SEA and SH most efficiently, with a focus on ensuring a distinction between when the effort should be managed centrally and when to adapt the processes locally in the respective UN organizations. A general observation made by interviewees on the inter-agency SEA and SH initiatives was that they are essential in providing a forum for providing technical expertise and input, sharing experiences, and aligning the efforts across the UN system. However, several interviewees also mentioned that these inter-agency initiatives can be time-consuming and take already limited resources, especially for a small entity, such as UN-Women, away from the other day-to-day tasks, such as provision of guidance to victims and implementation of prevention activities. In relation to the SH effort, each UN organization is currently working according to its own adapted policy. Thus inter-agency cooperation, which should be encouraged, might also be fairly difficult due to the varying focus, scope, and wording of the policy documents.

⁶ Source: OneApp. Total workforce 2,676; total staff 1,042; total other personnel 1,634 as of 13 May 2019

4.2 Prevention

Communication and outreach

Over the last 18 months, UN-Women has enhanced its communication and outreach efforts with regard to the prevention of SEA and SH. This includes introduction of dedicated intranet pages with information and reporting channels, awareness-raising initiatives, such as “no-excuse” cards and posters, the “take a stand” campaign, and the sexual harassment campaign with posters and videos. In addition, the organization has launched a website accessible to external partners.

Even though the organization has increased its communication and outreach efforts, the interviews suggested that the conceptual understanding of the terms ‘SEA’ and ‘SH’ varies across UN-Women. Some interviewees stated that they perceive SH and SEA as two interlinked concepts across a continuum. This perception appears quite different from the UN-wide organizational approach to SEA and SH, where the two are clearly distinct and split into:

- *SEA: covering sexual misconduct performed by a UN party or third party against beneficiaries or other actors in the local community.*
- *SH: covering any unwelcome conduct (verbal, non-verbal, and/or physical) of a sexual nature within UN-Women’s organization performed by a member of the UN-Women personnel (for a more detailed description of SEA and SH, refer to section 2.3).*

The different conceptual understandings may create confusion among personnel and uncertainty among personnel as to how UN-Women works with each issue. This entails a focus on how UN policies and procedures are understood and enforced at a local level across cultures, with potentially varying interpretations of whether certain behaviors constitute SEA and/or SH.

In terms of communication between the headquarters and the regional and country offices, several interviewees stressed the need to increase coordination efforts to ensure alignment, leverage resources, and avoid duplication of work, e.g. regarding communication and training material (see the section below). To add to the complexity of operating in the field, several interviewees stated that UN-Women personnel are regularly approached by other UN staff in the field who are seeking guidance on their options to report SH or SEA incidents as well as advice on the victim support mechanisms available. Thus, there might be a need to clarify the approach to managing these situations, taking into account that the current policies, procedures, and practices for responding, reporting, investigating, and assisting victims and/or bystanders do not appear fully aligned across the UN system.

Training

All UN-Women personnel, regardless of contract type, are expected to successfully complete mandatory online training related to SEA and SH: the *United Nations Course on Prevention of Harassment, Sexual Harassment and Abuse of Authority*, the UN Funds & Programmes course *Prevention of Sexual Exploitation and Abuse*, *BSAFE* (security training), and *Ethics and Integrity at the United Nations*. In addition, the SEA and SH training courses have modules specifically designed for managers. In addition, face-to-face training has been provided to certain members of UN-Women personnel, such as the Security team’s Women’s Security Awareness Training (WSAT), which has been provided to selected personnel across the UN system.

It was stated by a number of interviewees that there is a need for more training on how to actually manage an allegation of SH, once it has been reported informally. For example, a concern was raised over whether the online training on SEA and SH, developed at corporate level, might be too complex and theoretical, e.g. not considering their applicability in the local and cultural contexts in which the personnel operate when working in the field. This might pose the risk that such training primarily becomes a compliance and “check-the-box” exercise without having a resonating and lasting impact at a local level.

To ensure that local personnel have the necessary knowledge of procedures to manage SEA and SH, many regional and country offices have developed and implemented tailored face-to-face training modules for their personnel in the local language(s). The aim of these training sessions is to present personnel with actual scenarios and thereby provide a forum for discussing the dilemmas one might face in the given situations. According to the interviewees, these face-to-face training sessions created a great value, as they gave personnel a platform for voicing their concerns and getting concrete tools to navigate in and

manage these complex situations in practice. It should be noted that these non-mandatory training sessions were reportedly most often developed autonomously, with little coordination across headquarters, regional, and country offices. These parallel work streams within the region(s) further underline the challenges related to duplication of work in offices, functions, and positions, where time and resources are scarce.

Recruitment and screening of candidates

Several interviewees expressed the clear expectation that any disciplinary measures enforced against an alleged perpetrator would be clearly communicated internally within the organization to mitigate the perception that any perpetrator might get away with their misconduct without it having any real consequence. In addition, the Clear Check Database, a UN-wide initiative, is currently being implemented at UN-Women. The Clear Check Database will enable UN-Women to conduct cross-checks of potential job candidates in a central database of:

- Former UN personnel against whom allegations of SEA or SH were substantiated following an investigation and/or disciplinary process;
- Former UN personnel who resigned while being the subject of a pending investigation and/or disciplinary process related to SEA;
- Former UN personnel who resigned while being the subject of a pending investigation related to SH and failed to cooperate with the investigation.

The aim is for these searches to be conducted as part of the recruitment of new personnel to ensure that perpetrators who were terminated for SEA and SH or who resigned while an investigation for SEA or SH was ongoing are not rehired by another UN organization. To this end, the introduction of the Clear Check Database might assist in explicitly communicating some of the measures being implemented to build critical trust in the prescribed accountability and actual performance mechanisms of the internal setup, which is essential to the successful implementation of prevention of and response to SEA and SH. The interviews, however, also suggested a potential concern over how the Clear Check Database might handle database information security and data privacy, especially when processing personal data, which should be formally clarified prior to the launch of the database in UN-Women. It should be noted that database information security and data privacy are the responsibility of the UN Secretariat, which manages the database for the UN Common System. However, this is an issue worth raising when discussing the further implementation of the database.

Implementing partners

Working and engaging with third parties, both at the headquarters and in the field, poses a significant risk to UN-Women in terms SEA and SH. Across the UN, focus has been on ensuring that each organization has in place adequate safeguards and taken appropriate action to prevent and manage SEA and SH cases. In relation to SEA work, the *"United Nations Protocol on Allegations of Sexual Exploitation and Abuse Involving Implementing Partners"* ("The IP Protocol") has been developed with the aim of establishing a clear framework for assessment, screening, and monitoring in the context of SEA. The IP Protocol was developed by the UN-wide SEA Working Group, with contributions from members of the IASC AAP/PSEA Task Team. The objective of the IP Protocol is to address matters of potential and actual incidents of SEA involving the personnel of an implementing partner to the UN. Thus, the IP Protocol obliges UN-Women to screen its implementing partners before entering into any contractual agreement with them. This furthermore implies the reserved right to monitor the implementing partners' capacity to manage SEA and to potentially terminate partnership arrangements if any misconduct is identified.

4.3 Reporting & Investigations

Reporting mechanisms

Overall, interviewees confirmed their commitment to promoting a "speak up" culture, with victims and bystanders alike being encouraged to report incidents. However, they mentioned that this culture change cannot take place unless people are assured of their safety and confidentiality, and that actual actions are being taken based on the filed complaint. Ensuring an appropriate mix of reporting mechanisms is one step towards such a culture.

Within UN-Women, the personnel have the option to handle and report SH incidents through several informal routes or the formal route, depending on their preferences, and SEA cases through the formal route only. The informal route entails that the victim and/or bystander will seek an informal resolution, with the HRD or the Ombudsman's Office being engaged to provide counseling to the victim and try to mediate the complaint by engaging with the victim and the alleged perpetrator, or potentially refer the victim to the formal route through OIOS. It is important to note that the informal route is not protected from retaliation under UN-Women's ethics policy on protection against retaliation; however, there are other channels for reporting. If the victim wishes to report the complaint through the formal route, the report will go directly to OIOS, which also means that the victim will be protected under the aforementioned policy. A number of interviewees appeared to be under the impression that non-staff members are not covered by the Protection Against Retaliation Policy. However, all personnel, regardless of contractual modality, are in fact covered by the Protection Against Retaliation policy when they submit a formal report. Informal reporting is not covered by this policy, and the UN Ethics Office has confirmed that this approach will not change.

Investigations

UN-Women's investigation capacity was previously carried out by the Office of Audit & Investigations (OAI) of UNDP. In 2018, UN-Women changed the organization's investigation provider to the Investigations Division of the UN Office of Internal Oversight Services (OIOS). OIOS has representatives in the field, which is perceived as a valuable asset, as the team can mobilize resources efficiently and apply its prior understanding of a local context in a given region. Several interviewees pointed to the value of having an external party conduct the investigations on behalf of UN-Women, as this might promote greater independence. That being said, the interviewees also stated that there is a general perception that victims do not receive sufficient communication from OIOS on the progress of an investigation. However, OIOS pointed out that there has not been any substantive complaints about SEA and SH within UN-Women, since they took on their role with UN-Women. Thus, this issue might be raised based on a general perception of the transparency of investigations in the broader UN system. Interviewees recognized that it is potentially quite difficult to conduct these investigations, as it may be a "he said/she said" case, and thus evidence might not be very tangible, which in turn complicates the case investigation. In such cases, it may be considered particularly important to communicate why a decision is made to not go forward with a case, even if there is no formal policy obligation to do so. As the case work at times extends over years, this can be a discouraging element in terms of reporting misconduct. There are specific criteria for placing staff members on administrative leave with or without pay as set out in the staff rules and regulations, and in the *Legal policy for addressing non-compliance with UN standards of conduct*. Some interviewees expressed their perception that there were examples of alleged perpetrators carrying out their duties on full pay for the duration of an investigation into reported SH incidents. Some suggested that, in this case, this might also give a bad impression of UN-Women to donors in terms of how their money is spent. In relation to SEA, the newly amended staff rules state that, during an investigation of SEA or during a disciplinary process, administrative leave for staff members, when applied, is without pay.

4.4 Assistance

Support mechanisms

UN-Women has a series of victim support mechanisms in place, although their reach and multitude vary depending on the geographical location.

To enable a structured approach to the support, the UN system has developed an Aide Memoire document, with each country team / local office being required to fill out a fact sheet on the possible support mechanisms in place locally, e.g. psychosocial support, medical support, legal support, or potentially financial support. To provide stress counseling, UN-Women works with the UN Critical Incident Stress Management (CISMU / UNDSS) Counsellors, who are located across the world, providing face-to-face counseling. In addition, UN-Women has engaged the Rome Institute, a global and external service provider which focuses on delivering tele-counseling support to personnel experiencing trauma as part of a duty of care. The Rome Institute's services are virtual, i.e. provided by Skype or phone, which might limit the reach of the support services to personnel located at offices with a robust internet coverage. Thus, one might consider whether such a service provider will be able to successfully fulfil the SH victim's need for counseling. As of now, there is little evidence confirming either way. As such, it might be argued that this

platform cannot stand alone – it still needs to be supported by the face-to-face interaction and guidance provided by supervisors, the HRD, the UN Ethics Office, the UN-Women Staff Council, the United Nations Department of Safety & Security (UN DSS) critical incident stress counselors, the UN Victims' Rights Advocate, and/or the Ombudsman's Office.

Some interviewees have pointed out the need for mapping the support services available to UN-Women. In addition, a number of interviewees stated that there is a perceived lack of monitoring of the adequacy and effectiveness of the support services provided.

Due to UN-Women's mandate and technical expertise within the field of gender inequality, gender-based violence, and discrimination, many interviewees had experienced other UN personnel coming to them to seek guidance on potential causes of action if they had become a victim of SH, or to seek advice on how to manage a complaint of SH or SEA. Thus, UN-Women finds itself in a situation where it is necessary to make its personnel feel comfortable knowing which options are available to support the victims/bystanders.

5 Recommendations


This chapter presents a series of recommendations to help address a number of the issues identified in the Observations section above. The recommendations are interrelated, and each recommendation constitutes a critical component of a good-practice, victim-centered approach. The recommendations below have been prioritized (i.e., red: high priority; yellow: medium priority) by Deloitte in order to indicate what we suggest that UN-Women focuses on in terms of future SEA and SH prevention efforts.

#	Recommendations	Priority
1	<p>Clarify roles and responsibilities</p> <p>Several interviewees expressed a need for greater coordination and monitoring of the distribution of roles and responsibilities, and the ownership of policy and procedures in order to ensure that all concerns and risks related to SEA and SH are adequately mitigated, while bureaucracy and duplication of work do not occur in a setting where resources are already stretched. This in turn entails a need for clarity as to where the actual ownership, related accountability, authority, and capacity lie in relation to policy and specific supporting activities to implement it in order to ensure clear and formalized governance of the SH and SEA effort. It is recommended that UN-Women follow up on this in the short term to reach consensus on formalized roles and responsibilities for the SH and SEA initiatives. This should result in the issuance of a formalized organizational chart for the responsibilities and resources allocated to both SH and SEA efforts, to be shared with all personnel.</p>	●
2	<p>Reinforce accountability</p> <p>The need to assert and manifest accountability⁷ to all relevant internal and external stakeholders has been one of the main challenges flagged by UN-Women personnel during the interviews conducted. Ensuring personnel’s trust in the internal setup to manage reported SEA and SH cases is critical. As previously mentioned in the Observations section, a number of interviewees stated that policies are in place and quite clear on the zero tolerance of SH and SEA, and that UN-Women should continue to make an effort to show that this is indeed the case. To ensure this, UN-Women may consider increasing transparency (beyond the annual audit, investigation, and disciplinary reports to the Executive Board) as to the number of cases reported/investigated and their potential outcomes, while of course still maintaining the required level of confidentiality. This could include more targeted and regular (e.g. quarterly) communication to the personnel to update them on progress and reiterate the message of zero tolerance as suggested by interviewees. Overall, it is recommended that a focused effort be initiated to provide a clear direction and demonstration of practice to reinforce accountability and sustain trust in the internal system.</p>	●
3	<p>Ensure sufficient resources in the field</p> <p>For most members of the personnel working with SH and SEA initiatives at regional and local levels, these tasks are part of their day-to-day responsibilities. However, they must balance them with other focus areas of their respective job descriptions. In this regard, it might be relevant to (re)consider the time allocated to operational tasks against the time spent on actual development and implementation of SH and SEA efforts in the field in order to ensure adequate allocation and prioritization of resources at regional and country-office levels.</p>	●

⁷ See section 3.1 for more details.

4	<p>Ensure local anchoring and coordination</p> <p>To align procedures and practices across UN-Women, it is recommended that the organization increase its focus on coordinating efforts across geographical locations. This does not imply setting up e.g. a whole new taskforce structure, but greater cross-border coordination should help ensure that regional and country offices are empowered to adapt content and activities developed at the headquarters to their local contexts and languages, while also ensuring that the overall strategic and operational directions are aligned across the organization, and that knowledge is shared on an ongoing basis. It is recommended that UN-Women arrange regular meetings to provide a platform to personnel working with SEA and SH initiatives to give them the opportunity to exchange ideas across borders and jointly develop material and activities, which is likely to foster a greater sense of collaboration as well as a sense of interconnectedness across the organization. It may also be more cost-effective. It is also recommended that a decision be made on the frequency of meetings held by the headquarters, regional, and country offices to ensure timely communication of relevant dialogues and decisions.</p>	●
5	<p>Focus on face-to-face and scenario-based training</p> <p>Even though UN-Women has a set of mandatory e-learning sessions in place, it might be useful to consider implementing more face-to-face, repetitive, and scenario-based training sessions which are geared towards ensuring behavioral change as an outcome of the mandatory training. The current training setup with online training may not make a sufficient impact, as it might merely become a check-the-box exercise to ensure compliance and thus an opportunity for the organization to discharge its liability. Furthermore, some interviewees said that the training developed at a corporate level might be too generic and theoretical to ensure that they have an actual operational value in the field. UN-Women should consider doing this together with other UN agencies, especially at regional and country-office levels, in order to reduce costs.</p> <p>It is understood that guidelines on effective SH training are in the pipeline at UN-Women.</p>	●
6	<p>Maintain confidentiality</p> <p>Many interviewees have pointed to the two dimensions of confidentiality in relation to investigations. There appears to be a strong consensus that the involved parties' confidentiality – victims, witnesses, and alleged perpetrators alike - must be protected, not least in order to reinforce a victim-centered approach. However, this might pose a challenge in practice, especially in situations where the allegations come from a small office/team, which in turn might raise concerns in terms of upholding confidentiality and preventing rumors from catching on internally. On the other hand, confidentiality can also indirectly impede a preventive effort, while the investigation is ongoing. UN-Women might consider reaffirming its clear position on this important aspect to promote the personnel's perception that confidentiality is being enforced in practice.</p>	●
7	<p>Develop local action plans</p> <p>While recommendation no. 4 concerns coordination across UN-Women, we also recommend that local action plans be developed for SH and SEA work at a regional/country-office level (in coordination with the headquarters) to ensure greater local anchoring of efforts. The formulation and implementation of these action plans could provide the organization with an operational tool to systematically follow up on commitments and actions taken, while enabling local ownership and establishing accountability at an appropriate level.</p>	●

8	<p>Maintain a victim-centered approach</p> <p>UN-Women’s aspiration to push the SH and SEA agenda on a conceptual and societal level may pose a challenge in terms of what is possible on a practical, short-term basis internally in relation to available resources and UN general practices, which might impede a systemic change. UN-Women has already launched many activities to support a victim-centered approach, such as providing mandatory training and ongoing communication related to SEA and SH, providing multiple reporting mechanisms to victims, removing the statute of limitations to reporting, and enabling anonymous and third-party reporting of allegations. While UN-Women already has a significant focus on upholding a victim-centered approach, it is recommended that the organization work towards ensuring a shared and comprehensive understanding of what the term victim-centered approach implies, especially with regard to making the concept more tangible and operational in terms of:</p> <ul style="list-style-type: none"> • Adapting training to local offices’ context; • Offering a broader variety of resolution opportunities, for instance, through implementation of so-called “peer support groups”, which are currently being piloted in the Asia-Pacific region; • Ensuring that the right competencies, resources, and capabilities are in place within the investigations team to meet and deal with the victims; • Ensuring fairness and due process in investigations for both the victim and the alleged perpetrator; and • Ensuring a local assistance setup to provide support tailored to the victims’ individual needs. 	●
9	<p>Ensure ongoing communication on case progress to victims</p> <p>Following the victim-centered approach (and recommendation no. 8), it is recommended that, during investigation, victims be provided with a clear timeline at the beginning of the formal case process to help them manage expectations in terms of when a case will be finalized and to prevent the perception that a case might take years to resolve. Furthermore, it is recommended that victims/bystanders be provided with brief status updates on a regular basis and upon conclusion of the investigation, without this impeding the investigative process, in order to reinforce confidence in the process and the internal system.</p>	●
10	<p>Increase focus on implementing partners</p> <p>Other organizations in the UN are in the process of designing and implementing a screening tool to assess implementing partners prior to engagement start for, among other things, their SEA risk profiles. If the implementing partner does not meet the requirements of SEA prevention and response, this is flagged as a risk which needs to be further assessed and managed. Within the UN system, UN-Women may consider reaching out to e.g. UNDP or UNOPS to learn about their experience of developing and implementing their screening tools. Once the implementing partners are engaged, we recommend that UN-Women consider establishing training tailored to implementing partners to raise awareness about UN-Women’s expectations as to how their personnel conduct themselves in relation to the risk of SEA.</p>	●
11	<p>Know your rights</p> <p>Creating awareness about the personnel’s rights might be a valuable first step in promoting a culture change with emphasis on openness, security and equality and breaking down perceptions of the working environment within UN-Women. It is</p>	●

	<p>recommended that all personnel and particularly the members of personnel deemed to be more exposed to the risk of SH and SEA, i.e. non-staff, contractors, volunteers, interns, and junior members of staff, be informed of their rights and how to claim them when first onboarded into the organization and then on a regular basis to ensure greater awareness. Furthermore, it is relevant to extend the effort to raise awareness and knowledge of the individual's rights as well as the reporting mechanisms available among the potentially affected local populations.</p>	
<p>12</p>	<p>Review policies and procedures</p> <p>UN-Women has a few main policies governing SEA and SH as well as a substantial number of supporting documents in the form of procedural documents and guidelines to ensure that they cover the key risks related to SEA and SH. For these policy and procedural documents, it is recommended that the communication be revisited to simplify it where possible and ensure that the documents are clear and understandable to personnel across UN-Women.</p> <p>It might also be relevant to consider how to provide greater conceptual clarity and alignment of the definitions and wording of the concepts, e.g. the distinction between SH and SEA.</p> <p>It is furthermore recommended that UN-Women verify that the personnel are fully aware of and able to understand the procedures relevant to them, and that communication to the broader organizational audience be targeted and simplified, so that e.g. short versions of policies/procedures with graphics as well as supporting visual communication are made available in the office space. It may also be relevant to consider how to ensure that procedures contain clear and auditable criteria to enable reporting of progress and ensure traceability of actions.</p>	

6 Appendices

6.1 Documents reviewed

Documents received
Charter of Independence Evaluation and Audit Services - 2018.02.07
Harassment, Sexual Harassment, Discrimination and Abuse of Authority Policy
Legal Policy for Addressing Non-Compliance with UN Standards of Conduct
OIOS investigation manual
OIOS MOU Signed
Protection Against Retaliation for Reporting Allegations of Wrongdoing or for Cooperating with Duly Authorized Audits or Investigations Policy
Signed version of the amendment
UN-Women-Charter-of-Internal-Audit-Service-en
UNW BRIEFS 10 ESSENTIALS WORK HR
UN System Model Policy on Sexual Harassment_FINAL
Towards-an-end-to-sexual-harassment-en
retreat presentation for plenary - final v2
CORRIGENDUM Special assignment Purna Sen as Executive Coordinator and Spokesperson on addressing sexual harassment and other forms of discrimination
Internal Coordination Group on Sexual Harassment – Meeting Notes 11 April 2019
Executive Director's letter to all staff on sexual harassment and abuse
End of Year Message from the ED and DED
End of year message from the Executive Director
Finalized Annotated Agenda Me Too Event
Thank you for joining us at UN Women Friday for our events
CSW side event 2018_Gender in the media
CSW63_What cultural change is needed to consign sexual harassment to the dustbin of history
EB Informal SH_as delivered
ED Video message on SH case results
ED's statement for EVAW Day celebrations 2017_As delivered
EVAW Day Video Message 2018
Executive Board Informal Briefing on SEA SH_As delivered
TALKING POINTS EXECUTIVE DIRECTOR FOR TOWN HALL 13 NOVEMBER WITH MS JANE CONNORS_eg
Video of ED on SEA
List of SH & SEA ED Internal & External Communications Materials
NO EXCUSE CARD
SEA No Excuse Poster
Sexual Harassment Campaign_Posters_Poster 01
Sexual Harassment Campaign_Posters_Poster 02
Sexual Harassment Campaign_Posters_Poster 03
Sexual Harassment Campaign_Posters_Poster 04
Sexual Harassment Campaign_Posters_Poster 05
Sexual Harassment Campaign_Scripts_SH
SHC_Message1_FINAL.mp4_Error
SHC_Message2_FINAL.mp4_Error
SHC_Message3_FINAL.mp4_Error
SHC_Message4_FINAL.mp4_Error
SHC_Message5_FINAL.mp4_Error
Take a Stand Card Final - A5
Take a Stand poster - A3
Take_A_Stand_Guidance_for_Managers
Sexual Exploitation and Abuse (SEA) and Sexual Harassment (SH) Guide
Draft Safe Space Survey UN Women Report

HR Associates & PSEA FP List
Progress on Incorporating CEB Model SH Policy - UN Women
Towards-an-end-to-sexual-harassment-en
UN Women L2 Report_UN Safe Space Survey Feb 2019
UN_Snapshot Report UN Women
UNW internal note on Sexual Harassment
Special measures for protection from sexual exploitation and sexual abuse – Report of the Secretary-General (A_69_779-EN)
Harassment, Sexual Harassment, Discrimination and Abuse of Authority Policy
Legal Policy for Addressing Non-Compliance with UN Standards of Conduct
Protection Against Retaliation for Reporting Allegations of Wrongdoing or for Cooperating with Duly Authorized Audits or Investigations Policy
Sexual Harassment Policy HR draft 3 clean
sg_report_a_71_818_special_measures_for_protection_from_sexual_exploitation_and_abuse
Standards of Conduct for the International Civil Service
Secretary-General’s Bulletin – Special measures for protection from sexual exploitation and sexual abuse (ST-SGB-2003-13)
UN System Model Policy on Sexual Harassment_FINAL
un_protocol_on_sea_allegations_involving_implementing_partners_final
UNW Policy on Workplace Harassment and Abuse of Authority
End of Year Message from the ED and DED
HR Message on Workplace Relations
Launch of Sexual Harassment Survey
Update from the Executive Coordinator and Spokesperson on SH
Efforts to prevent and respond to sexual harassment_EB_11feb2019
February Executive Board SEA and SH Informals Speech_11 feb 2019
Statements and Publications_HR EB Meetings_Presentation SEA and SHA
Speech Executive Board SEA SH GDL
Presentation SH awareness campaign
WR SEA Presentation
WR SH Presentation
Briefing Note on the Office of the Victim's Rights Advocate -April 2019
fact_sheet_un_system-wide_sea_initiatives_march_2019
OVRA Annual report 2018
Gender-parity-Enabling-environment-guidelines-en
Gender-parity-Enabling-environment-guidelines-Supplementary-guidance-en

6.2 Interviewees consulted

Title	Function/Location
Corporate/Headquarters	
Deputy Executive Director	Executive Office
Executive Coordinator on Sexual Harassment	Executive Office
Director of Management and Administration	Executive Office
Human Resources Director	Human Resources
Human Resources Deputy Director	Human Resources
HR business partner	Human Resources (East & Southern Africa Region)
Workplace Relations Advisor	Human Resources
HR Policy Specialist	Human Resources
Chief Legal	Legal Office
Legal Specialist	Legal Office
Director of Independent Evaluation and Audit Services	Internal Audit and Evaluation Office
Chief of Internal Audit Service	Internal Audit and Evaluation Office
Deputy Chief	Security Services
Internal Coordination Group on Sexual Harassment	
Knowledge Management Specialist	Ending Violence against Women (EVAW)
Senior Communications Advisor & Speechwriter	Executive Office
Regional Security Specialist and Occupational Safety and Health Manager	Security Services
Security Advisor	Security Services
Inclusive Security Intern	Security Services
Senior Adviser & Focal Point for Women in the UN System	UN System Coordination Division - GFP
Policy Specialist and Military Liaison Officer	Peace & Security
Human Resources Specialist	Human Resources
Workplace Relations and Development	Human Resources
Representing Feminist Network	UN Feminist Network
Intergovernmental Support Division	Executive Board
Intergovernmental Support Division	Executive Board
East & Southern Africa RO	EVAW
Communications and Advocacy	Communications
Representing Executive Coordinator on Sexual Harassment	Executive Coordinator on Sexual Harassment Team
Representing Executive Coordinator on Sexual Harassment	Executive Coordinator on Sexual Harassment Team
Americas & the Caribbean Region	
Deputy Regional Director (Regional Director Interim)	Regional Office Americas & Caribbean
Human Resources Specialist	Regional Office Americas & Caribbean
UN Women Representative	Haiti CO
Deputy Country Representative	Haiti CO
Human Resources Specialist & PSEA and SH Focal Point	Regional Office Americas & Caribbean
Policy Specialist, Ending Violence against Women (EVAW) & Regional Focal Point for SEA & SH	Regional Office Americas & Caribbean
Programme Analyst & CO Focal Point for SEA & SH	Columbia CO
Asia-Pacific Region	
Head of Office	Viet Nam CO
Head of Office	Timor-Leste CO
EVAW Programme Specialist	Bangladesh CO
EVAW Regional Programme Manager & PSEA Focal Point Asia-Pacific	Bangkok RO
Consultant, EVAW team	Bangkok RO
Consultant, EVAW team	Bangkok RO
Representative	Fiji MCO

Representative	Nepal CO
Europe & Central Asia Region	
Programme Specialist	RO Europe & Central Asia, Turkey
UN Women Representative	Europe & Central Asia RO
Programme Specialist	Europe & Central Asia RO
Gender Specialist	Serbia CO
Office of Internal Oversight Services (OIOS)	
Director	Investigations Division
Acting Chief, Operational Standards & Support Section	Investigations Division
UN Ethics Office	
Legal Officer	UN Ethics Office
UN Victims' Rights Advocate Office	
The UN Victims' Rights Advocate	UN Victims' Rights Advocate Office
UN Feminist Network	
Human Rights Policy Specialist	UN-Women
UN-Women Youth Council	
Consultant	UN-Women
Consultant	UN-Women
UN-Women Staff Council	
Operations Analyst	Peace and Security
External Relation Specialist	Intergovernmental Support Division
Procurement Associate	Procurement
Partnerships and Business Development Specialist	Resource Mobilization

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