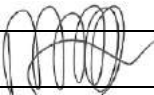


PREVENTION OF HARASSMENT, SEXUAL HARASSMENT, DISCRIMINATION AND ABUSE OF AUTHORITY POLICY	
<b>Effective Date</b>	6 May 2020
<b>Review Date</b>	6 May 2024
<b>Approved by</b>	Phumzile Mlambo-Ngcuka, Executive Director 
<b>Content Owner/s</b>	Catarina Edlund, HR Policy Specialist, Human Resources Division

## Table of Contents

1	Purpose.....	1
2	Application .....	2
3	Definitions .....	3
4	Roles and Responsibilities .....	4
	Obligations of UN Women .....	4
	Obligations of Personnel .....	5
	Obligations of Supervisors .....	5
	Responsibilities of the person reporting the Prohibited Conduct .....	6
	Office of the Ombudsman for UN Funds & Programmes.....	7
	Other Roles and Responsibilities.....	7
5	Policy .....	7
	Prevention.....	7
	Addressing Prohibited Conduct.....	8
	Informal Process.....	9
	Support for Personnel .....	10
	Formal Process .....	12
	Confidentiality .....	14
	Monitoring effective implementation.....	14
6	Other Provisions .....	14
7	Entry into Force and Other Transitional Measures .....	15
8	Related Documents .....	15
9	Annex I: Other roles and responsibilities .....	16
10	Annex II: Contact details.....	18

## 1 Purpose

1.1 UN Women is committed to working environments that respect the inherent dignity of all persons, affording them the opportunity to reach their fullest potential and empowering them to deliver the best possible results for those whom UN Women serves.

1.2 Every person has the right to be treated with dignity and respect, and to work in a safe environment free from harassment, sexual harassment, discrimination and abuse of authority

(hereunder ‘Prohibited Conduct’).<sup>1</sup> All UN Women personnel also have a corresponding responsibility to actively promote such an environment.

1.3 UN Women commits to a zero-tolerance approach to prohibited conduct. This means that any reports of prohibited conduct will be considered, and where appropriate, dealt with promptly, justly and effectively in accordance with the applicable regulatory framework and policy. Failure to meet obligations under this policy may lead to administrative or disciplinary action, up to and including dismissal. UN Women also commits to a victim-centred approach. This means that persons affected by prohibited conduct will be treated with sensitivity, and dignity and confidentiality and offered a range of support services.

1.4 The policy has the following purposes: (i) to reinforce UN Women’s commitment towards protecting all personnel from prohibited conduct; (ii) to ensure that all personnel are aware of their roles and responsibilities in maintaining a workplace free of any form of prohibited conduct; (iii) to outline measures designed to prevent prohibited conduct; (iv) to describe mechanisms for reporting prohibited conduct; (v) to describe the consequences of committing prohibited conduct; and (v) to detail the support provided to those who are affected by prohibited conduct.

1.5 All personnel have a right to be protected against retaliation for reporting suspected, witnessed and/or experienced prohibited conduct, or for participating in an investigation of prohibited conduct. Suspected instances of retaliation are governed by the Protection Against Retaliation for Reporting Misconduct and for Cooperating with Duly Authorized Audits or Investigations policy (hereunder “the Retaliation Policy”) which may be referred to by UN Women personnel when formally reporting prohibited conduct. In suspected cases of retaliation, guidance may be obtained by contacting the Workplace Relations Advisor in Human Resources, Headquarters (hereunder “HR”).

## 2 Application

2.1 This policy applies to all UN Women personnel. Compliance with this policy, as with all policies, is mandatory.

2.2 This policy extends to prohibited conduct in the workplace or that takes place in connection with work.<sup>2</sup>

2.3 Other persons working for UN Women, visiting the workplace or connected to the workplace, such as contract workers, personnel of UN Women vendors and cooperating partners,

---

<sup>1</sup> For the purposes of this policy, prohibited conduct does not include sexual exploitation and abuse which is covered by ST/SGB/2003/13: Special Measures for Protection from Sexual Exploitation and Sexual Abuse.

<sup>2</sup> This is not an exhaustive list, but would include for example includes public and private spaces in conjunction with work, during work-related trips, travel, training, events or social activities; through work-related communications, including those enabled by information and communication technologies; in employer-provided accommodation and when commuting to and from work.

suppliers, or others who are connected to UN Women in a working capacity, may report prohibited conduct under the provisions of this policy.

### 3 Definitions

3.1 For the purposes of this policy, the terms referred to herein have the following meaning:

**Prohibited Conduct** refers to harassment, sexual harassment, discrimination & abuse of authority collectively, definitions are included below. Disagreement on work performance or other work-related issues is normally not considered prohibited conduct and is not dealt with under the provisions of this policy but is dealt with in the context of performance management.

**Abuse of Authority** is the improper use of a position of influence, power or authority against another person. This is particularly serious when a person uses their influence, power or authority to improperly influence the career or employment conditions of another, including, but not limited to, appointment, assignment, contract renewal, performance evaluation, working conditions or promotion. Abuse of authority may also include conduct that creates a hostile or offensive work environment which includes, but is not limited to, the use of intimidation, threats, blackmail or coercion. Discrimination and harassment, including sexual harassment, are particularly serious when accompanied by abuse of authority.

**Discrimination** is any unfair treatment or arbitrary distinction based on a person's race, sex, gender, sexual orientation, gender identity, gender expression, religion, nationality, ethnic origin, disability, age, language, social origin or other similar shared characteristic or trait. Discrimination may be an isolated event affecting one person or a group of persons similarly situated or may manifest itself through harassment or abuse of authority.

**HR Focal Point(s)** refers to Deputy HR Director, HR Business Partners and the Workplace Relations Advisor in this policy.

**Harassment** is any improper conduct that might reasonably be expected or be perceived to cause offense or humiliation to another person, when such conduct interferes with work or creates an intimidating, hostile or offensive work environment. Harassment may take the form of words, gestures or actions which tend to annoy, alarm, abuse, demean, intimidate, belittle, humiliate or embarrass another. Harassment may be directed at one or more persons based on a shared characteristic or trait as set out in the discrimination definition above. Harassment normally implies a series of incidents.

**Sexual Harassment** is any unwelcome conduct of a sexual nature that results in physical, psychological or sexual harm, that might reasonably be expected or be perceived to cause offence 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 will be considered. Sexual harassment is the manifestation of a culture of discrimination and privilege based on unequal

gender relations and other power dynamics. Sexual harassment may involve any conduct of a verbal, non-verbal or physical nature, including written and electronic communications. Sexual harassment may occur between persons of the same or different genders, and individuals of any gender can be either the affected individuals or the alleged perpetrators. Sexual harassment may occur outside the workplace and outside working hours, including during official travel or social functions related to work. Sexual harassment may be perpetrated by any colleague, including a supervisor, a peer or a subordinate. A perpetrator's status as a supervisor or a senior official may be treated as an aggravating circumstance.

**Perpetrator/Alleged Perpetrator.** Perpetrator is the person who has engaged in prohibited conduct. Alleged perpetrator is the person who is alleged to have engaged in prohibited conduct;

**Affected Person/s** is a person in the workplace or in connection with work towards whom possible prohibited conduct is directed.

**Personnel** includes both UN Women staff members subject to the UN Staff Rules and Regulations and personnel not subject to the UN Staff Rules and Regulations, including 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), fellows and interns.

**Supervisor** means staff members responsible for managing the performance of other personnel.

## 4 Roles and Responsibilities

### Obligations of UN Women

4.1 UN Women has a duty to take all appropriate measures toward ensuring an equal, safe and harmonious work environment, and to protect its personnel from prohibited conduct. UN Women endeavors to do this through preventive measures and/or through remedial and accountability action.

4.2 UN Women will provide information and training, including on this policy and related procedures, to raise awareness on the responsibilities of personnel in fostering an equal, safe and harmonious work environment and UN Women's zero-tolerance of prohibited conduct.

4.3 UN Women will ensure that timely and appropriate action to protect the safety and well-being of the affected person is taken when prohibited conduct is alleged, where appropriate, and that the confidentiality of the affected person and alleged perpetrator is protected to the fullest extent possible.

4.4 In implementing this policy, UN Women will act consistently and take the appropriate administrative, investigative and disciplinary action required by the nature and gravity of the conduct/misconduct, regardless of the function, title, length of service or contractual status of the alleged perpetrator/perpetrator.

### **Obligations of Personnel**

4.5 All personnel are expected to uphold the standards of equality and non-discrimination and to promote a safe and harmonious work environment.

4.6 All personnel are expected to demonstrate tolerance, sensitivity and respect for diversity in their interactions with others. All personnel must ensure that they do not engage in, or condone, prohibited conduct.

4.7 Personnel are responsible for being aware of UN Women's relevant policies and options available for dealing with prohibited conduct and completing any mandatory training related to this policy. Personnel should raise their awareness through available training about the very specific discrimination and harassment threats that trans and gender non-conforming individuals can face.

4.8 Personnel must cooperate fully with investigations of reports of prohibited conduct and must also respect fully and maintain the confidentiality (see section 5.32-34). This does not prevent affected persons from discussing the matter, in full confidence with, for example, an external therapist or counselor and/or ombudsman or staff counselor. Failure on the part of personnel to cooperate with an investigation, and/or a failure to maintain confidentiality in respect of allegations of or investigations of prohibited misconduct may lead to administrative or disciplinary action.

### **Obligations of Supervisors**

4.9 An equal, safe and harmonious work environment is only possible if those in positions of leadership actively promote the UN Standards of Conduct and UN Women's values and competency framework and demonstrate their commitment to this policy through their own behavior toward all personnel.

4.10 Accordingly, in addition to the duties applicable to all personnel, those who are supervisors have special obligations to prevent and respond to prohibited conduct. This follows from their duty to take all appropriate measures to promote a safe and harmonious work environment and to act as role models.

4.11 Supervisors are expected to engage proactively with personnel to ensure knowledge of and adherence to this policy.

4.12 Supervisors must keep communication channels open and ensure that personnel who wish to raise their concerns can do so freely, without judgement and without fear of negative consequences and/or retaliation. Supervisors should encourage personnel to use the informal and formal processes in place to address possible prohibited conduct.

4.13 Behavior that is not consistent with this policy should be stopped and addressed by supervisors, irrespective of whether the behavior may rise to the level of prohibited conduct.

Supervisors should use standard supervisory, coaching and performance appraisal processes to raise any concerns about behavior. They should reiterate the required standards of conduct and demand that the behavior stops and reflect the behavior in the personnel's performance appraisal where appropriate.

4.14 Supervisors must ensure that they promptly, fairly, respectfully and confidentially address in accordance with this policy reports of prohibited conduct that they receive through the informal process referenced below.

4.15 Selection and promotion of personnel to supervisory positions should take into account whether they have demonstrated skills in fostering an equal, safe and harmonious work environment, and in acting as role models in reflecting respect toward all personnel, as documented in performance appraisals, references and/or annual certification (see section 4.16)

4.16 All Regional Directors, Heads of Office and Directors of Division are required to provide annual certification to the Executive Director, in the form specified by HR, that during the preceding year, they:

- (not to be delegated) have discussed with all personnel under their management or supervision their rights and responsibilities under this policy and the courses of action and sources of support that are available to personnel;
- created an open environment for personnel to express concerns and/or dialogue around our common values and desired workplace environment;
- provided all new personnel with a copy of this policy and discussed it with them;
- ensured that all mandatory training related to prohibited conduct has been undertaken;
- ensured that any behavior inconsistent with this policy has been expressly addressed with the personnel concerned or reported to the Workplace Relations Advisor, or through other appropriate channels.

4.17 Failure on the part of supervisors to fulfill their obligations under this policy may lead to administrative or disciplinary action. Any such action must consider the heightened standards of conduct expected of those in leadership roles.

#### **Responsibilities of the person reporting the Prohibited Conduct**

4.18 Anonymous reporting including by affected persons or third parties is permitted. Reports of prohibited conduct should include the greatest amount of detail possible, in order to assist UN Women and/or OIOS to address the allegations appropriately (see section 5.20)

4.19 The report must be made in good faith, which means that the person making a report must have a reasonable belief that prohibited conduct has occurred. Intentionally making a false report, verbally or in writing, constitutes misconduct for which disciplinary measures may be imposed.

4.20 Those who make reports must maintain confidentiality and cooperate with any official investigation.

#### **Office of the Ombudsman for UN Funds & Programmes**

4.21 The Office of the Ombudsman offers confidential and impartial assistance in attempting to informally resolve concerns of prohibited conduct and conflict. Depending on the nature of the case, an ombudsman can assist with exploring options for action, for example, offer extensive information about applicable policies, procedures and practices, referrals to the appropriate offices or persons in the United Nations system and provide coaching.

4.22 Moreover, if the affected person and the alleged perpetrator agree to mediation, they may request mediation services through the Office of the Ombudsman.

4.23 Without prejudice to the voluntary character of mediation, and except in cases of sexual harassment, supervisors may also recommend mediation to the parties in conflict and are encouraged to seek guidance from the Office of the Ombudsman to better understand the process. In cases of sexual harassment, mediation is not appropriate.

4.24 The mediator will facilitate the process, but the parties themselves will decide on a mutually agreeable outcome.

#### **Other Roles and Responsibilities**

The roles and responsibilities of other relevant personnel are set out in Annex I.

## **5 Policy**

### **Prevention**

5.1 Prevention plays an essential part in promoting an equal, safe and harmonious work environment and protecting personnel from prohibited conduct. Prevention of prohibited conduct requires promoting and upholding conditions of equality and respectful, non-discriminatory workplace cultures. UN Women's role in preventing prohibited conduct at the field level may be outlined in local action plans.<sup>3</sup>

#### Training:

5.2 UN Women will make available mandatory online training and other off-line training opportunities. These training opportunities will be designed to raise awareness and build on the existing knowledge of personnel on topics including civility in the workplace, respect for diversity,

---

<sup>3</sup> See responsibilities of Regional Directors and Country Representatives (Annex I).

gender equality, violence against women (including sexual harassment) and how personnel should act when confronted with prohibited conduct, with the aim of fostering a positive institutional culture.

5.3 In addition, UN Women will provide targeted, preferably, in-person and scenario-based trainings for the following groups: vulnerable groups of personnel, supervisors and personnel designated to provide support to affected persons, especially those who are targets of sexual harassment. The aim of this targeted training will be to build the skills necessary to effectively communicate with affected persons and respond in accordance with this policy.

Prevention of re-hiring perpetrators/alleged perpetrators:

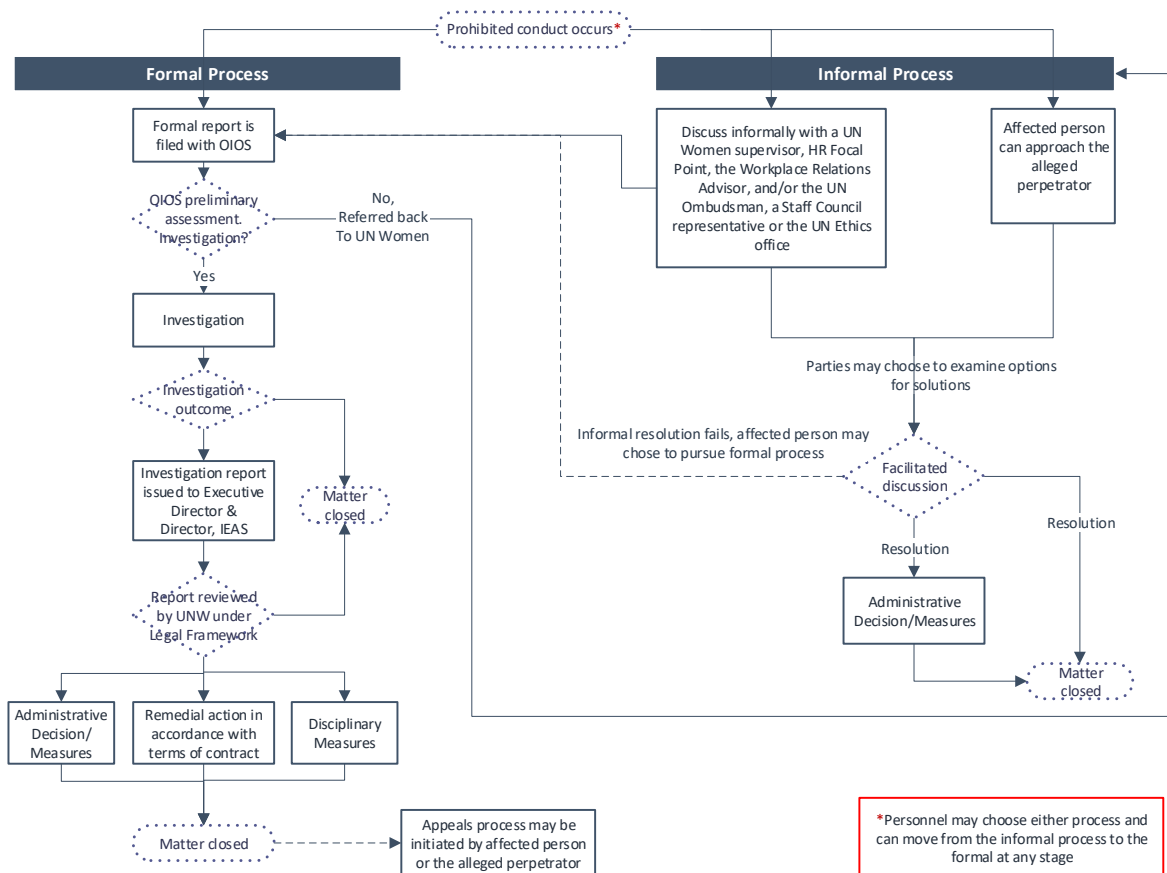
5.4 After an investigation and disciplinary process is concluded, all individuals who are found to have committed sexual harassment and were dismissed as a result will be entered in the UN system-wide Clear Check database, in accordance with the Clear Check Framework. This system is accessible by other United Nations entities and will include the circumstances of case and the date of separation. If a person who is subjected to allegations of prohibited conduct is separated from UN Women during an ongoing investigation of sexual harassment allegations, and the individual fails to cooperate with the investigation, their name will be included in the database.

**Addressing Prohibited Conduct**

5.5 Affected persons and/or personnel who witness possible prohibited conduct are encouraged to keep a written or electronic record of the details, dates, times, circumstances of incidents, as well as how the incident has affected them and their ability to work effectively. They should document the names of any witnesses and/or anyone who may have relevant information. They should also preserve any relevant documents or other potential evidence of the conduct or circumstances.

5.6 The informal and formal reporting channels are outlined in the following table (see paragraphs 5.7 to 5.31 for details):





## Informal Process

5.7 The objective of the informal resolution process is to address concerns and resolve conflict as soon as possible, in a fair, respectful, and non-adversarial manner. Informal resolution mechanisms can in some cases resolve issues and prevent situations from escalating to the point where making a formal report becomes necessary. UN Women encourages, but does not require, the use of informal channels and mechanisms where appropriate. Options for informal resolution may include a facilitated conversation (see diagram above) to address or redress the prohibited conduct, mediation or reconciliation.

5.8 Affected persons can, if they are comfortable, approach the alleged perpetrator to ask them to stop the prohibited conduct. This can be done in person or in writing. In cases of sexual harassment, disparity in power or status, fear of retaliation or the nature and/or instances of possible sexual harassment may make direct confrontation difficult, and there is therefore no requirement for such action to be taken.

5.9 An affected person may seek assistance, including from any of the following UN Women resources:

- their supervisor or another supervisor;

- a Human Resource Focal Point;
- the Workplace Relations Advisor;
- the Ombudsman;
- a UN Staff Counselor;
- a Staff Council representative; and
- the UN Ethics Office.

5.10 The affected person may choose to use any of these UN Women resources depending upon their level of comfort, and/or can consult with other trusted persons. All persons consulted must maintain appropriate confidentiality and will also be required to cooperate with an investigation, if relevant.

5.11 Personnel who consider that they may have witnessed prohibited conduct (bystanders) should consult this policy and may also consult confidentially with the Workplace Relations Adviser about what action they may be able to take to stop or address the conduct and/or support the affected person.

5.12 The UN Women resources listed in section 5.9 should inform the available support and response options available to affected persons or bystanders. The UN Women resource contacted may also assist in engaging the parties to informally resolve the matter, with the consent of the affected person.

5.13 Informal discussions may result in management action or interim measures (see section 5.17).

### **Support for Personnel**

5.14 In line with a victim-centered approach, confidential guidance and support is available, at any time in relation to possible prohibited conduct. This may include, but is not limited to, the following:

- Access to medical care through UN's Medical Services, where available. Personnel subjected to physical harm are also strongly encouraged to seek immediate medical attention from UN Medical Services or for cases of sexual assault, vetted service providers.<sup>4</sup> In addition, rape kits should be available in the UNCT;
- Access to free psychological support, respecting cultural sensitivities, by a UN staff counsellor from the UN Critical Incident Stress Management Unit (CISMU) or the Rome Institute at any point after the alleged incident/s, throughout any of the processes described below, or even if the affected person decides not to pursue any of those processes;

---

<sup>4</sup> This may be described in the country-specific Aide-Memoire, which can be obtained through local UNDSS or the UNCT.

- Advice and referral to internal and external local services specializing in sexual harassment, violence against women, violence against LGBTIQ+ individuals, including gender non-conforming individuals or support for men who experience violence, to the extent available;
- Consideration of leave arrangements and other interim measures to ensure the safety, security and well-being of the personnel concerned;
- Support to restore an equal, safe and harmonious work environment and reintegrate affected persons into the workplace; and
- Review, where appropriate, of administrative actions or work performance issues that are considered to have been part or a direct consequence of prohibited conduct, noting that instances of alleged retaliation must be reported in accordance with the Retaliation Policy.

5.15 In addition to the above, affected persons are entitled to reasonable and appropriate support from UN Women. This includes but is not limited to:

- Immediate guidance as to the options available to address and remediate the possible prohibited conduct and potential outcomes or consequences of each course of action;
- being accompanied by a trusted person during the key stages of any formal or informal processes, as appropriate; and <sup>5</sup>
- Being kept informed of any developments in the status of any formal or informal process, bearing in mind the appropriate confidentiality requirements.

5.16 UN Women will also provide reasonable and appropriate support to the alleged perpetrator, including but not limited to guidance as to the options available to address and remediate their possible prohibited conduct; advice and guidance on the relevant informal and formal processes and potential outcomes or consequences of each course of action; and being accompanied by another a trusted person during the key stages of any formal or informal processes, as appropriate.<sup>6</sup>

### **Managerial and Interim Measures**

5.17 At any time following a report (formal or informal) of possible prohibited conduct, UN Women may take management action or implement interim measures which includes but is not limited to the following:

- Addressing the issues through performance management mechanisms;
- Reassignments to ensure better fit aligned with skills and needs in the organization;
- Change of reporting lines;
- Support through coaching, training and teambuilding;
- Mediated discussions by the Ombudsman's office; and

---

<sup>5</sup> Participation by a third party may be subject to the applicable requirements depending on the stage of the process. For example, the investigation process is governed by the OIOS investigation framework and participation in interviews by OIOS during an official investigation may be limited to staff members, due to confidentiality requirements.

<sup>6</sup> See footnote 5 above.

- Specific support/assessment mission to locations where systemic workplace issues are identified.

5.18 The action taken may also, in instances of reports of retaliation under the Retaliation Policy, be informed by the recommendation of the UN Ethics Office.

### **Formal Process**

5.19 A formal report may be made at any time after an incident of possible prohibited conduct has occurred and the reporting person may identify themselves or decide to remain anonymous. While there are no time limits for reporting, personnel are encouraged to make a report as soon as possible if they feel that they have been affected by prohibited conduct. Early reporting is critical to the success of any investigation and is likely to significantly contribute to UN Women's ability to address the conduct in question. The passage of time may make it more difficult to investigate and to pursue recourse through accountability mechanisms.

5.20 Formal reports must be submitted to the Office of Internal Oversight (OIOS) through any of the options listed in Annex I. The report should be as detailed as possible and include any relevant documentation. In particular, the report should include the following information (when available):

- the name, work location, and title of the alleged perpetrator; date(s) and location(s) of incident(s);
- description of incident(s); names of any witnesses; and
- any other relevant information, including documentary evidence if available.

5.21 The reporting person should be aware that, while all appropriate measures will be taken to ensure confidentiality, in accordance with the principles of due process, the report or information from the report may be shared with the alleged perpetrator. Reporting persons are reminded of their right to be protected from retaliation (see section 1.5), to seek support (see section 5.14-16) and to avail themselves of managerial or interim measures (see section 5.17-18).

5.22 Where a report is submitted by an individual who is not the affected person, in accordance with a victim-centered approach, OIOS will take into account the concerns of the affected person in the course of any investigation, including deciding whether to proceed with the investigation. Consultation with the affected person may also address the suitability of informal resolution or mediation instead of formal investigation (except in cases of sexual harassment).

5.23 Malicious complaints, that is, reports made without genuine belief that prohibited conduct has occurred may be considered as misconduct and may result in disciplinary action against the reporting person.

5.24 The decision whether to pursue an investigation is within the sole discretion of OIOS, following consultation with the affected person (if appropriate) and with due regard to the victim-centered approach and the suitability of informal resolution including mediation.

5.25 Following OIOS' initial assessment of a formal report OIOS may decide not to open and investigation and refer information on the allegation back to UN Women for information and/or possible management action.

5.26 The referral from OIOS will be received by the UN Women Director of the Independent Evaluation and Audit Service, who will be responsible for ensuring that the matter is recorded, addressed and appropriate action taken. This may include consulting with and/or referring the matter to the HR Director, the Legal Office, and the Country or Regional Director. The action taken may also involve managerial action or interim measures (see section 5.17-18).

5.27 Placement of an alleged perpetrator on administrative leave pending investigation will be governed by the Legal Policy for Addressing Non-Compliance with the UN Standards of Conduct.

5.28 Following the issuance of an investigation report concerning prohibited conduct, the matter will be addressed promptly in accordance with the Legal Policy for Addressing Non-Compliance with the UN Standards of Conduct. This policy describes, among other things:

- what constitutes misconduct
- the responsibilities of everyone involved in the investigation of allegations of wrongdoing
- what to do if a member of personnel fears retaliation
- what happens when an alleged perpetrator separates including through resignation while under investigation
- the investigation process
- the procedure following an investigation
- the disciplinary procedure
- what happens when an alleged perpetrator separates including through resignation before and during the disciplinary process
- disciplinary and non-disciplinary measures
- future employment of perpetrators
- referrals to criminal authorities

5.29 A finding of prohibited conduct following a disciplinary process may involve the imposition of sanctions up to, and including, dismissal. Sanctions will be determined by the Executive Director, on a case-by-case basis, taking into account such factors as UN Women's zero-tolerance approach, the nature and gravity of prohibited conduct, the level of responsibility and seniority of the perpetrator, the impact of the prohibited conduct, and past disciplinary practice.

5.30 The Executive Director will inform the UN Women Executive Board of disciplinary decisions taken in the course of the preceding year and publish an annual report of cases of misconduct

including prohibited conduct (without the individuals' names) that have resulted in the imposition of disciplinary measures ("the disciplinary report"). Such report will be circulated to all UN Women personnel.

5.31 For non-staff personnel on service contracts or consultant/individual contractor agreements in country offices or regional offices, action in relation to acts of prohibited conduct will be taken in accordance with the contract, in consultation with the Legal Office, HR Director and/or Workplace Relations Adviser and the relevant the Country or Regional Director.

### **Confidentiality**

5.32 All personnel who are aware of cases of alleged prohibited conduct must respect the sensitivity and confidentiality of the matter. In such cases, personnel must refrain from discussing the matter or otherwise sharing information or documentation among themselves or with anyone who does not have a "need to know" in order to perform UN Women official duties in connection with this policy. Every effort must be made to preserve the dignity, rights and self-respect of the parties to the matter.

5.33 Affected persons and alleged perpetrators must also respect fully and maintain the confidentiality, including in relation to an investigation. This does not preclude affected persons from seeking support including counseling or confiding in individuals who have no connection to the workplace.

5.34 Failure on the part of personnel to maintain confidentiality in respect of allegations of or investigations of prohibited conduct may lead to administrative or disciplinary action.

### **Monitoring effective implementation**

5.35 The HR Director has overall responsibility for monitoring the effectiveness of prevention and management of prohibited conduct in UN Women.

5.36 The UN Women Executive Board and personnel will also be kept informed through the annual report on disciplinary measures (see section 5.30) and the annual report on Report on the internal audit and investigation activities.

5.37 Anonymized data and information for internal monitoring and analysis of prohibited conduct will be maintained with the Workplace Relations Advisor.

## **6 Other Provisions**

6.1 Not applicable.

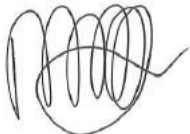
## 7 Entry into Force and Other Transitional Measures

7.1 The effective date of this policy is 6 May 2020.

## 8 Related Documents

- 8.1 Legal Policy for Addressing Non-Compliance with the UN Standards of Conduct
- 8.2 Protection Against Retaliation for Reporting Misconduct and for Cooperating with Duly Authorized Audits or Investigations Policy
- 8.3 Clear Check Framework:
- 8.4 Clear Check Database Search Procedure
  - UN system-wide procedure on managing the Clear Check database
  - UN system-wide Clear Check procedure related to sexual harassment
  - UN system-wide Clear Check procedure related to sexual exploitation and abuse (SEA)
  - Clear Check Quick Reference Guide for Hiring Managers
- 8.5 Code of Conduct for UN Events
- 8.6 Supervisor Guidance: Prevention of, and response to, Sexual Harassment in the Workplace
- 8.7 Affected Person Guidance: Sexual Harassment
- 8.8 Alleged Perpetrator Guidance: Sexual Harassment

Signed by

A handwritten signature in black ink, consisting of several loops and a trailing line.

Executive Director

## 9 Annex I: Other roles and responsibilities

### **Responsibilities of the Executive Director**

The Executive Director is accountable for ensuring implementation of this policy on an ongoing basis, including by working with key stakeholders undertaking prevention efforts and pursuing solutions to ensure financial resources are available and allocated to support affected persons, ensure informal and formal mechanisms are in place, investigation services uphold expected standards of victim-focused, fair and speedy outcomes, hold personnel accountable and monitor the efficacy of the policy. The Executive Director will regularly communicate zero-tolerance for prohibited conduct to all personnel.

### **Responsibilities of Regional Directors and Country Representatives**

Regional Directors and Country Representatives may develop local action plans to prevent and respond to prohibited conduct in partnership with other UN entities and in coordination with their regional office. (Depending on the local context, UN-Women specific measures and/or plans could be part of a larger UNCT action plan, under the guidance of the Resident Coordinator.) Regional Directors are responsible in overseeing the field office action plans and their implementation.

### **Responsibilities of the Human Resources Director**

The HR Director is the organizational focal point and business owner for the implementation of this policy and is responsible for designing, implementing and monitoring training and awareness raising programs (including relevant mandatory training), mapping of resources, capacity building of supervisors and HR focal points in prevention and response, informal resolution and support to affected personnel.

### **Responsibilities of the Workplace Relations Advisor**

The Workplace Relations Advisors is responsible for providing advisory support to management and personnel as it relates to prohibited conduct; advice and counsel to affected persons by explaining the options available under this policy and indicate resources available for support as well as provide direct support in agreement with the affected person. The Workplace Relations Advisor also reviews reports of possible retaliation when informally reported and advises management on appropriate interim measures. In line with the duty to report possible misconduct under the staff regulations and rules, the Workplace Relations Advisor may also be required to escalate certain matters through formal reporting mechanisms.

### **Responsibilities of Human Resources Focal Points**

HR Focal Points assist affected persons by explaining the options available under this policy and indicating resources available for support purposes. Only with the consent of the affected person may the HR Focal Point meet informally with the alleged perpetrator to provide information about the report and discuss the manner in which it might be resolved.



### **Responsibilities of Security & Safety Service**

Security and Safety Services provide security advice when appropriate. If Security is contacted by an affected person or becomes aware of a matter arising under this policy, they should immediately alert the Workplace Relations Adviser at Headquarters.

### **Responsibilities of the Office of Internal Oversight Services (OIOS)**

The Office of Internal Oversight Services (OIOS) of the United Nations is independent from UN Women, but provides the organization with investigation services. OIOS is responsible for any investigation of complaints of prohibited conduct and retaliation.

### **Responsibilities of the UN Ethics Office**

The UN Ethics Office is responsible for ensuring the protection of personnel against retaliation for formally reporting misconduct or cooperation with duly authorized audits or investigations and provides confidential advice and guidance in this regard.

### **Responsibilities of the Director of Independent Audit and Evaluation Services**

The Director, Independent Audit and Evaluation Services, is the responsible official for investigations conducted by OIOS, for collecting data and information for monitoring and analysis of reported formal allegations of prohibited conduct and for reporting of such data to the Executive Board and other oversight bodies as applicable. The Director is also responsible for receiving matters referred back to UN Women by OIOS for information and/or managerial action, and for recordings, addressing, and monitoring such matters.

## 10 Annex II: Contact details

#	Office	Contact Information	Comments
1	OIOS	Online reporting form: <a href="https://www.unwomen.org/en/about-us/accountability/investigations#hotline">https://www.unwomen.org/en/about-us/accountability/investigations#hotline</a> Phone: +1 212 963-1111 (24 hours a day) Regular mail: Director, Investigations Division Office of Internal Oversight Services 300 East 42nd Street, 7th Floor New York, NY 10017 USA	Formal reporting
2	UN Ethics Office	Ethics Helpline: + (917) 367-9858 Regular mail: United Nations Ethics Office 304 East 45th Street Room FF-0522 New York, NY 10017 USA	Handles Retaliation
3	Office of the Ombudsman for United Nations Funds and Programmes	304 East 45th Street 6th Floor, Room FF-671 New York, NY 10017 USA <a href="http://fpombudsman.org/">http://fpombudsman.org/</a> Telephone: +1 646 781 4083 Fax: +1 212 906 6281 Email: <a href="mailto:ombudsmediation@fpombudsman.org">ombudsmediation@fpombudsman.org</a>	Confidential, informal reporting
4	Workplace Relations Advisor, HR, HQ	<a href="mailto:workplacerelations@unwomen.org">workplacerelations@unwomen.org</a>	Informal reporting, may need to escalate certain cases including through formal reports
5	UN Women Security	Contact details for global & regional security advisors: <a href="https://unwomen.sharepoint.com/management/security/">https://unwomen.sharepoint.com/management/security/</a>	Protection and referrals
6	UN Critical Incident Stress Management	Telephone: +1 917 367 9116 Email: <a href="mailto:DSSStresscounselling@un.org">DSSStresscounselling@un.org</a>	Counseling for field colleagues (Internal provider)
7	The Rome Institute	Telephone: Petra Miczaika Mobile (DE): +49 172 4083355 E-mail: <a href="mailto:petra.miczaika@romeinstitute.org">petra.miczaika@romeinstitute.org</a> Contact Form: <a href="https://www.romeinstitute.org/contact-us/">https://www.romeinstitute.org/contact-us/</a>	Counseling (External provider)
8	Safe Horizon Public Hotline	1-800-621-HOPE (4673)	Public (US-based) victim assistance organization