**SAFEGUARDING-SENSITIVE HUMAN RESOURCE AND ORGANIZATIONAL SYSTEMS**

This is a guide that ensures all organizational and human resource systems and processes dutifully address the agency’s commitment to the Protection from Sexual Exploitation and Abuse (PSEA) in line with Safeguarding Policy, PSEA Policy and Code of Conduct.

The objectives of this guide includes:

* To ensure the prevention of sexual exploitation and abuse is consistently and systematically addressed across Human Resource and Organizational processes
* To strengthen the Safeguarding systems in place for Staff, Associated Personnel and contractors;

To create a conducive working environment free from sexual exploitation and abuse where all staff are aware of and take responsibility for their obligations in regards to upholding the Safeguarding Policy, PSEA Policy and Code of Conduct and commitments as humanitarian professionals.

The following practices will be applied in HR and organizational processes. HR departments are to review the following and indicate current status, to be followed by implementation of action plan to address any gaps in compliance.

The Suite accompanying this guide has a number of HR tools within the Employee Life Cycle adapted with a Safeguarding, and PSEA lens.

A=in place

B=partially in place
C=not yet in place

| **1** | **RECRUITMENT AND INTERVIEWS** | **A** | **B** | **C** |
| --- | --- | --- | --- | --- |
| **A** | All job advertisements reaffirm the agency’s commitment to Safeguarding Policy, Protection from Sexual Exploitation and Abuse and Code of Conduct.  |  |  |  |
| **B** | Applicants must self-declare prior issues of sexual or other misconduct, termination of past employment, criminal records, and concerns registered with government authorities regarding contact with children. Consent must be given during application to the disclosure of any such information by their former employers during verification of references.  |  |  |  |
| **C** | Monitoring of gender-balance of staffing is undertaken to ensure gender-balanced, at all levels of responsibility, in both main and sub-offices and amongst nationally and internationally contracted staff and associated personnel.  |  |  |  |
| **D** | Name of organization has reviewed impediments to achieving gender balance and implemented strategies to remove such obstacles. |  |  |  |
| **E** | Training and written guidance on safer recruitment practices are provided for those responsible for recruiting and selecting staff.  |  |  |  |
| **F** | During the recruitment/interview process, the Safeguarding, PSEA policies are raised and candidates are assessed in responses to questions related to sexual relations with beneficiaries and vulnerability.  |  |  |  |
| **G** | Gender-balanced interview panels are comprised during hiring processes to ensure gender neutral interviews |  |  |  |
| **H** | Candidates are consistently asked interview questions about safeguarding, PSEA, and ethical dilemmas (e.g. What would you do if you had a concern about a colleague’s conduct when interacting with children? What is your understanding and previous engagement with Safeguarding and PSEA initiatives?) |  |  |  |
| **I** | References are rigorously gathered and follow a specific format/checklist. They should include questions about prior PSEA infractions and disciplinary actions.  |  |  |  |
| **J** | Background checks are conducted (e.g. police records, Google searches) with consistent references contacted to vet for former misconduct in accordance with local laws regarding employment, privacy and data protection |  |  |  |
| **K** | All staff and Associated Personnel contracts include the main principles of the Safeguarding, PSEA Policies and Code of Conduct or have these policies attached. |  |  |  |
| **L** | All candidates are required to review and sign the Safeguarding Policy, PSEA Policy and Code of Conduct before being offered a contract. |  |  |  |
| **M** | A Safeguarding, PSEA specific clause is included in all employment contracts, including for volunteers, interns, and consultants: The Employee is expected to adhere to conditions contained in the Code of Conduct, Safeguarding and PSEA Policies. Breaches in the Code of Conduct, Safeguarding and PSEA Policies will be dealt with in accordance with the organization Human Resources Manual and may lead to sanctions being imposed including re-assignment of duties or termination of employment. |  |  |  |
| **N** | A Safeguarding, PSEA specific clause is included in all contracts for contractors. The Contractor shall take all appropriate measures to prevent sexual exploitation or abuse of anyone by its employees or any other persons engaged and controlled by the Contractor to perform any services under the Contract. Any breach of the provision by the Contractor shall entitle Name of organization to terminate the contract with immediate effect. |  |  |  |

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| --- | --- | --- | --- | --- |
| **2** | **ORIENTATION** | **A** | **B** | **C** |
| A | There is a staff orientation process for all staff, volunteers, and consultants which includes administrative procedures and human resources as well as programmatic and operational issues.  |  |  |  |
| B | Guidance is provided to new employees on the cultural context and appropriate behavior expected of staff.  |  |  |  |
| C | During the orientation process, the employee is systematically taken through the Safeguarding, PSEA policies and Code of Conduct and the SEA complaints and investigations mechanisms. Staff are given the time to discuss and fully understand the policies and procedures. Staff formally acknowledge receipt and acceptance of the Policies and documents are kept on personnel files.  |  |  |  |
| D | Disciplinary measures, in the event of proven SEA allegations, are outlined in the Human Resource Manual if there are violations of the Safeguarding and PSEA Policies (e.g. termination of employment). |  |  |  |
| E | Mandatory training is provided for all staff and Associated Personnel on Safeguarding and PSEA Policies as part of onboarding process, with refresher courses provided at regular intervals during employment tenure, if not annually required. |  |  |  |

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| --- | --- | --- | --- | --- |
| **3** | **HR MANAGEMENT** | **A** | **B** | **C** |
| A | Develop and incorporate into staff rules and regulations, appropriate disciplinary procedures for when violations of the core principles occur.  |  |  |  |
| B | The Safeguarding and PSEA Policies clearly outline the core principles related to sexual exploitation and abuse and prohibited conduct. |  |  |  |
| C | Job descriptions, employment contracts and performance appraisal systems etc. for managers have been revised to ensure adequate attention to their responsibility to prevent and respond to sexual exploitation and abuse.  |  |  |  |
| D | Consider staff morale and motivation as a means to prevent long-serving field staff from abusing their positions.  |  |  |  |
| E | Policies and procedures are reviewed for any weakness in managing disciplinary cases, survivor referral systems, and HR practices that may increase potential for abuses and has acted upon, or advocated for, change as necessary. |  |  |  |
| F | Managers are required (and evaluated on their ability) to promote the standards outlined in the PSEA policy, Safeguarding Policy and Code of Conduct to their subordinates and amongst their project beneficiary population. |  |  |  |
| G | When references are requested by potential employers of existing or past employees, the policy is to share relevant information regarding the employee and proven sexual exploitation and abuse incidents.  |  |  |  |
| H | Performance management and appraisal processes include specific objectives related to adherence to the PSEA, safeguarding policies and Code of Conduct (e.g. participation in Safeguarding and PSEA trainings, contribution to awareness raising, serving as Safeguarding and PSEA focal point, etc)  |  |  |  |
| I | Performance management and appraisal processes for all senior staff are developed to demonstrate their effectiveness in creating and maintaining an environment which prevents and responds to sexual exploitation and abuse.  |  |  |  |
| J | All professional advancement and/or recruitment opportunities are suspended for any individuals under investigation of sexual exploitation and abuse. |  |  |  |
| K | In cases of confirmed misconduct, robust disciplinary action (e.g. dismissal, suspension, written censure or other administrative/corrective measures) are consistently taken and, where this involves possible criminal conduct, reported as appropriate to local law enforcement authorities.  |  |  |  |
| L | An internal database is developed and maintained for documenting any disciplinary measures on personnel, including dismissals, to avoid rehiring them at a later point in time. |  |  |  |
| M | Relevant information of personnel known to have committed sexual exploitation and abuse is responsibly shared potential employers during background checks, to the extent legally possible in compliance with local labour and data protection laws. |  |  |  |

| **4** | **AWARENESS RAISING / TRAINING** | **A** | **B** | **C** |
| --- | --- | --- | --- | --- |
| A | The Safeguarding, PSEA policies and Code of Conduct are displayed in all operational and office areas.  |  |  |  |
| B | The Safeguarding, PSEA policies and Code of Conduct, are available in English and locally relevant translated versions to all staff.  |  |  |  |
| C | All existing staff have read and signed the Safeguarding, PSEA policies and Code of Conduct and have knowledge about the consequences of breaches.  |  |  |  |
| D | HR Managers are responsible for ensuring that a training strategy is being implemented to raise awareness of gender, Gender Based Violence (GBV), human rights, sexual exploitation and abuse prevention and response and the Code of Conduct amongst all staff and how to report incidences, whether substantiated or not. (This includes volunteers, consultants, contractors, incentive staff, security guards)  |  |  |  |
| E | Staff who have direct contact with beneficiaries receive more in depth training on causes and consequences of GBV and sexual exploitation and abuse. |  |  |  |
| F | All relevant Safeguarding, PSEA policies and Code of Conduct guidelines and reference materials are available in the field for staff reference. |  |  |  |
| G | Employees with prolonged and largely unsupervised time with women and children are especially targeted for Safeguarding, PSEA policies and Code of Conduct support, advice and training.  |  |  |  |

**HR and Organizational Development Work Plan**

| **Initiative** | **Identified action points** | **Comprehensive prevention & response interventions** | **Monitoring methodology** | **Success indicators** | **Anticipated challenges**  |
| --- | --- | --- | --- | --- | --- |
| **Recruitment and interviews** | * Staff recruitment and monitoring to ensure gender balance
* Interview panel gender balanced
* Reference checks to include PSEA sensitive information;
* Clauses included in all contracts
 | * Job advertisements in press and notice boards incorporating COC and PSEA Policy
* Gender balanced Interview panel encouraged
* Revised and disseminated general terms and conditions of employment with PSEA Policy and CoC.
 | * Incorporate Protection against SEA into all staff and supervisor’s job responsibilities
* Monitoring plan
* Review of orientation /HR sessions
 | * Recruitment procedures updated
* Revision to all contracts
* Consistent interview processes
* 100% reference checks for new staff
* % of gender balanced interview panels tracked
 | * Confidentiality management
* Data protection issues per location
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| **Staff orientation** | * Orientation for all staff (International, national, volunteers, interns)
* Guideline for new employees on cultural context and appropriate behavior expected of them
* PSEA policy and Code of conduct, complaint mechanism, investigation induction, for all staff.
* Clear COC, PSEA and safeguarding policies and guidelines in place
 | * Orientation for all staff to include administrative procedures and human resources as well as programmatic and operational issues.
* Staff given time to discuss and fully understand the policies and procedures.
* Staff to formally acknowledge receipt and acceptance of the policies, signed documents are kept in personnel file.
* Opportunity to informally discuss SEA issues in a non-threatening environment.
* Clear and comprehensive induction of staff, on PSEA, COC, complaint mechanisms and investigation processes rolled out
 | * Training manual and sessions developed
* Complaints handling policy developed, approved and rolled out
* Investigations policy developed, approved and rolled out
 | * No. of staff trained
* Training manual
* Session presentations
* Investigation policy
* Consistent CRM policy
 | * Staff turnover
* Contextual adaptation per office
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| **Training and awareness sessions** | * Establish an accessible staff complaint and investigation mechanisms
* Assign trained staff to receive complaints
* Clear reporting procedures developed and rolled out
 | * Trained focal points and investigators
* All staff training components on PSEA and COC
* Train PSEA facilitators from all departments
 | * Training needs assessed
* Training plan in place
* Database of trained staff and Associated Personnel
* Training evaluation forms
 | * % staff trained
* No. training sessions developed
* Adequate resources secured
 | * Resources not secured to roll out training plan
* High turnover of staff
 |
| **Human resource management** | * Incorporation of PSEA & safeguarding policies, COC into staff rules and regulation.
* Availability of SEA specific complaint mechanisms, including anonymous complaints.
* Performance management / appraisal processes include PSEA /safeguarding
 | * Disseminate safeguarding, PSEA policies & CoC and guidelines to staff
* Develop CRM guidelines and policies
* All staff to include objectives and activities on PSEA / safeguarding in performance development plans
* Performance appraisals consistently assess staff adherence and commitment to safeguarding / PSEA
 | * Inclusion of signed documentation in personnel files.
* Initiate and monitor adherence to SEA reporting and complaint mechanisms
* Identify and train focal points
* Routine awareness raising and refresher sessions for staff
* PSEA focal points activated and developing action plans
 | * Safeguarding, PSEA policies and COC distributed
* Focal points trained
* CRMs in place
* Annual / refresher sessions developed and piloted
* Action plans in place
 | * Few trained staff
* Staff turnover
* Capacity is stretched to prioritize
* Resources not committed adequately
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**APPENDICES**

**Suite of Adapted Tools**