

Protection from sexual exploitation & abuse (PSEA) conference 2016
Investigating allegations of SEA by aid workers
5-6 September 2016

CONFERENCE REPORT



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Executive Summary

The 2016 protection from sexual exploitation and abuse (PSEA) conference brought together over 40 participants from 5 to 6 September at the Windsor Suites Hotel in Bangkok, Thailand. The conference examined the theme of investigating allegations of sexual exploitation and abuse (SEA) by aid workers. A panel of PSEA and investigations experts shared presentations and case studies on the theme before participants worked together to develop recommendations for key investigations challenges. The conference was facilitated by the CHS Alliance's Senior Capacity Development Officer Geneviève Cyvoct and Capacity Development Team Leader Karen Glisson.

The conference was made possible with the support of partner [World Education Thailand](#). The CHS Alliance would also like to thank the [United States Bureau of Population, Refugees and Migration](#) for supporting the conference.

Key findings (taken from panel presentations, participants' comments and group works)

Organisational set-up to support investigations:

- While dedicated investigation units are costly and might not be affordable for all organisations, it is recommended to have at least a focal point, and a mechanism of crisis management team involving heads of departments to review SEA allegations;
- PSEA and child safeguarding should be referenced across all policies (code of conduct, complaint mechanisms, human resources (HR), whistleblowing, etc.)
- Management commitment and support to PSEA and investigation is key. It can be a tough role for management however, and they also need training and awareness raising on their role, including how to take action based on an investigation report.

Communication and confidentiality:

- Communication is a tough balance between confidentiality and having to involve and inform people. Communications need to be carefully managed. Involve communication specialists to draft messages and remind everyone why confidentiality is important, including the media.
- Confidentiality, along with the safety of those involved, needs to be planned for throughout the whole process of investigations from the mechanisms that allow reporting of the complaint, to safe and confidential access of complaints and the handling of the complaint.

Support to survivors:

- Keep the interest and safety of the survivor as a priority right from the moment the allegation is received and analysed. Conduct interviews in a way to minimise risk and scrutiny from the community. Have appropriate forms and train those who receive the complaints so that information including any concerns and vulnerabilities is included in the complaint report.

- Types of support involve: psychosocial and medical, assistance to livelihood, accommodation etc. Support should be included at all stages of the investigation and follow up should be provided after the investigation is closed.

Investigation capacities in the sector:

- There are capacities for support in the sector such as UNHCR, the CHS Alliance, organisations working specifically on child protection etc. However, there is still room for more exchanges of expertise and experience.
- PSEA and investigations capacities should be included in partnership assessments and contracts so that roles and responsibilities are well defined and support can be provided adequately if needed. In the case of an investigation involving several organisations, particular care needs to be taken on avoiding repeating interviews and questions. The planning of interviews, questions and exchange of information thus needs to be discussed beforehand.
- No investigator will ever be 100 percent independent and impartial. However, a professional investigator will be aware of his or her biases and know how to manage them, and be able to refuse a case if necessary.
- Target staff in HR, audit, fraud and corruption for training as SEA investigators as staff from these departments are already well skilled in collecting evidence, interviewing and writing reports.
- Watertight investigations mean particular attention to collecting evidence and writing a thorough report that includes any constraints on the collection of evidences.

Recommendations

1. There are various ways organisations can handle investigations. These include: a dedicated investigations unit; targeting HR/audit/counter fraud staff; and/or case management committees. How an investigation is handled will depend on the size and resources of the organisation. However, as well as having a PSEA focal point, experienced organisations recommend case management committees with terms of reference defined in advance.
2. Ensure the organisation has the necessary policies and procedures in place, including: code of conduct, whistleblowing, complaints, PSEA, child safeguarding and investigations. Child safeguarding and PSEA should be referenced in all policies.
3. Communication and confidentiality require the involvement of communication specialists, development of specific internal and external messages, signing oaths of confidentiality if the witness is not a staff member (and therefore not bound by the organisation's code of conducts), and careful media management.
4. Ensure staff at all levels understand what PSEA is, that zero-tolerance means zero tolerance, what the principles and processes of investigations are, and why confidentiality is important.

5. Ensure managers are well briefed and understand their role should an allegation of SEA by own staff arise. In particular, make sure that regional or country level managers know how to react, what can be done at their level and when they should refer a case to a higher level.
6. Support to the survivor should be considered at all stages of the investigation. Try to empower survivors of SEA, for instance with education or livelihood programmes and give them the option to ask questions throughout the investigation process.
7. Ensure communities you work with know how to report and that they can do so safely and confidentially. Consult with them and consider cultural context, gender, age and diversity.
8. When working in partnership, ensure PSEA in general and codes of conduct and investigations capacities in particular are part of partner assessments. Partner agreements and suppliers' contracts should include the code of conduct, the obligation to report and whose responsibility it is to investigate.
9. Consider coaching as an alternative or supplement to trainings. No two investigations will be the same and advice from experienced investigators might go a long way in ensuring the right decisions are taken.

Areas to further explore:

1. Joint investigations and in particular how organisations can best work together, which protocols need to be developed and how to prepare and schedule interviews in order to avoid repeating interviews with the same witnesses.
2. Burden of proof, or how investigations can be as watertight as possible, knowing that even though we are talking of administrative investigations not criminal investigations, lives and livelihoods are at stake.
3. Guidance over report writing; next to interview skills, this is one of the most important skills investigators need to have. Participants at the conference indicated they would welcome more guidance on this.
4. Sharing of statistics on SEA allegations and investigations, and anonymised case studies. There is still a reluctance by organisations to do this, however, more transparency would encourage advocating for PSEA needing to be made a priority within organisations. It would also encourage learning from experience.

Conference background and objectives

The CHS Alliance, previously HAP International, has worked for a number of years to enhance the investigation capacity of organisations: through trainings on protection from sexual exploitation and abuse (PSEA) and diffusion of reference publications. In 2014, the CHS Alliance organised a conference on the subject of “Do complaints mechanisms work?”. During this conference, and in subsequent workshops organised by the CHS Alliance, participants have repeatedly communicated their wish to access good practice and support from experts on investigations. Access to good practice and experience on investigations is relatively scarce, as constraints such as the need for strict confidentiality as a right of those involved, and the concern of organisations about perceptions and their reputation, have prevented sharing statistics and lessons learned. The CHS Alliance wished to overcome these constraints and offer a safe space for participants to exchange on the challenges and opportunities of investigations and gather valuable learning that they would be able to implement within their organisations.

The CHS Alliance 2016 PSEA conference brought together over 40 participants from 5 to 6 September at the Windsor Suites Hotel in Bangkok, Thailand. The conference examined the theme of investigating allegations of sexual exploitation and abuse (SEA) by aid workers. A panel of PSEA and investigations experts shared presentations and case studies on the theme before participants worked together to develop recommendations for key investigations challenges. The conference was facilitated by the CHS Alliance’s Senior Capacity Development Officer Geneviève Cyvoct and Capacity Development Team Leader Karen Glisson.

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Welcome statements

Judith F. Greenwood, Executive Director, CHS Alliance

- It is encouraging to see many of the conference participants coming from local and national organisations, given the increasing importance of localisation in the sector.
- SEA by aid workers is a very serious problem and it deserves very serious attention.
- The issue of SEA was already present during her experience in Bosnia in 1996 and East Timor in 1999.

Ali Lane, Country Director, World Education Thailand

- World Education Thailand works in Myanmar with a lot of refugees and children to see that they get quality education.
- They work in post-conflict regions and PSEA is a very important component of their approach.
- Some of their staff at the conference participated in the CHS Alliance PSEA training workshops.

Introduction

Karen Glisson, Capacity Development Team Manager

- SEA is endemic in all societies but is a particular challenge for the humanitarian sector because of the difficult environments we work in and the vulnerability of the people we aim to assist.
- The sector first realised this was an issue in 2002 following the evaluation of refugee camps in west Africa that uncovered systematic abuse by aid workers with over 40 individuals involved.
- Victims of SEA are 'hurt twice' - first by disaster or conflict and then hurt again by the very people who are supposed to be helping them.
- Investigations are an ethical, practical and reputational challenge for aid organisations.
- SEA cases are still under-reported. There were 99 cases in UN agencies in 2015, including Central African Republic (CAR), the Democratic Republic of the Congo (DRC), Somalia and Haiti.

Panel Presentations

Menaca Calyaneratne, International Child Safeguarding Director, Save the Children International

Traditionally, the responsibility for investigations lies with human resources (HR). However, investigations have implications for a wide range of different departments so it's important to gain internal support from them. These include:

- **Social worker or counselors to support victim:** An organisation's first obligation and duty of care should be to the affected victim, who may be at risk of further harm from their family or community.
- **Legal counsel:** Organisations should turn to legal counsel to consider legal implications such as the laws of the land, labour laws, as well as knowledge on investigations.
- **Safety and security:** Consider the safety of investigators, witnesses, the subject of complaint (SoC), and ongoing programmes. If the community becomes upset, the safety of programmes and the organisation can be an issue.
- **IT:** It can be challenging to look for evidences on work laptops, phones etc. IT can help.
- **Logistics and administration:** To gather evidence such as log records, visits of sites etc.
- **Counter fraud:** If exploitation has occurred, such as exchange of relief items for sex.
- **Media and communications:** The organisation needs to have a statement ready from the point of view of the organisation and what we are promising to do.
- **External bodies such as donors, other agencies and state authorities:** You might have to

contact donors particularly if an allegation is suspected to have happened on a specific project.

Because of the number of departments involved, staff should receive proper training on their obligations under the code of conduct to maintain confidentiality and support organisational procedures.

Remember that during an investigation, lives and livelihoods are at stake and investigators need to be thorough and accurate. As legal obligations are at stake too, work as a team to ensure your investigation will be useful in a court of law.

Aurélie Martin, United Nations High Commissioner for Refugees

Background on UNHCR Inspector General's Office:

- Totally independent from all other departments and reports directly to the High Commissioner.
- 2195 complaints received in 2015 and 79 investigations opened, of which 14 on SEA.
- UNHCR partners with 900 NGOs, who implement 40% of its operational budget.
- Strong pressure on UNHCR and NGOs to increase accountability in their programmes, and in 2012, discussions began with partner NGOs to increase their capacity in accountability and investigation.
- As a result, there is a possibility for partner NGOs to either conduct investigation on their own, in cooperation with UNHCR, or have an investigation conducted by UNHCR.
- The following were developed: standard clause on investigation and ethical considerations, terms of reference for joint investigations, standard operating procedures for referral of cases, standard operating procedures for sharing of material of a sensitive nature and case information, and regional workshops.

Aurélie shared a specific case as an example, which involved allegations implicating staff working for UNHCR and four NGOs in a refugee camp.

Challenges specific to the case included:

- Confidentiality and sharing of information. As many people were aware of the investigation, it was necessary to control the spreading of information. All witnesses were requested to sign a confidentiality agreement (they were not UNHCR staff).
- Coordination. With four investigators working on the same case, in order to avoid repeating interviews, interviews were scheduled at the same time so that investigators could come consecutively – except for one case for which it was decided that UNHCR would conduct the interview.
- Obtaining clear and convincing evidence. The burden of proof for UNHCR SEA investigations requires that an allegation is upheld beyond reasonable doubt.

Lessons learned:

- The importance of the local context. The way the camp was structured played a role in the possibility of staff entering into relationships with refugees. Factors included little control of the movement of staff and the habit of socialising outside working hours between staff and refugees. This created the perception of SEA even if SEA wasn't occurring.

- The safety of the alleged victim is paramount. In this case, the investigation decided not to conduct an interview with the alleged victim after receiving reliable evidence that it would put them in danger.
- The role of the investigator is to find the best evidence possible and to respect the rights of all persons concerned.

Paul Nolan, Consultant, GCPS Consulting:

Paul expanded on some of the challenges and recommendations of SEA investigations highlighted in the [conference background paper](#).

Communication and confidentiality:

- There is a tension between investigations needing to be a confidential process and the need to involve people. For that reason communications need to follow a carefully managed process. Ensure everyone is aware of consequences of unauthorised communications.
- Involve the right people from the outset to develop internal and external messaging and where public exposure is an issue, involve the media positively; speak to them with one voice.

Accessing evidence:

- A huge obstacle to doing watertight investigations is accessing evidence as it might disappear or have been corrupted, particularly in an emergency context where there is a lot of movement of people, and some witnesses might no longer be available.
- Be pragmatic and realistic about what you can achieve within the constraints of an administrative investigation. As it is not a criminal investigation, you will not be able to access private records such as bank accounts and personal phone records, for example.
- Identify and document any constraints. Document your rationale for the decisions you take during the investigation process.

Role of managers:

- Managers are not necessarily clear on what an SEA investigation should look like and what the process of investigation should be - they might not even be aware of what SEA is and what is acceptable or not in terms of staff behaviour.
- They need support and training, including on taking action on the outcomes of an investigation, as it can be quite challenging.

What we still need:

- Increased openness over sharing of case experiences and pooling of resources. We need to address the reluctance of organisations to discuss PSEA even within their own organisations.
- Appropriate action on the outcomes of investigations.

Investigations need to be:

- Thorough and well-planned: gather and test as much evidence as possible.
- Impartial: investigators need to be independent and aware of their personal bias/prejudice.
- Protective: balance the needs of the investigation against the safety of everyone involved.

Aungkie Sopinpornraksa, Consultant:

Aungkie, who has been both a participant and co-facilitator of the CHS Alliance training on investigations, shared some of the good practice and learning from her experience on updating PSEA policies and procedures, raising staff awareness and carrying out SEA investigations. Her experience includes a number of NGOs in Thailand, such as: World Vision, The Border Consortium (TBC), Jesuit Refugees Services (JRS) and The Committee for Coordination of Services to Displaced Persons in Thailand (CCSDPT):

- Every organisation should have a Code of Conduct accompanied by a Complaint and Reporting Mechanism, and orientate their staff and partners accordingly. The purpose of the investigation is to gather evidence in order to determine whether there was a breach of the Code of Conduct.
- Management commitment: Organisations need to be sincere, understanding and make appropriate decisions. Sometimes there is the need to revise policies and procedures to strengthen prevention.
- The investigations manager needs to be trained, responsible and able to support the investigation process with appropriate resources.
- Revise and review policies. For example following cases of SEA by drivers, she developed a specific code of conduct for sub-contractors and for their drivers and trained the purchase team to provide training to sub-contractors. Sub-contractors were encouraged to train their drivers too. Sub-offices had the records of drivers, copies of their ID cards, driving licenses and photos.
- A specific tool, called “PSEA in the Thai-Myanmar Refugee Program Mainstreaming Checklist” was developed for NGOs to assess their current status and get guidance on how to strengthen their policies, procedures and practice.
- Need skills and knowledge from investigators as well as sometimes translators. Translators and investigators need to have humanitarian work experience.
- Continue to provide training and awareness to staff and partners. Update and translate documents to relevant languages so they can refer to them easily. Have more training for local organisations so they are aware of SEA and how to receive complaints.

Morgan Pillay, United Nations Population Fund:

Morgan shared some of the challenges involving PSEA and dealing with SEA allegations in the context of UN peace-keeping operations, including particular allegations of SEA in the Democratic Republic of Congo in 2002 concerning UN uniformed personnel who are not bound by the host country's laws.

Challenges, at the time, included:

- No complaints mechanism. Complaints received from the NGO sector and those working at the local level. Even if they had information, they often did not know who to pass it on to.
- Very inaccessible and large country. There was a long time span (sometimes months) between an incident occurring and the information being received by the UN.

- Survivors of SEA were often the most vulnerable and they often had no comprehension that SEA was prohibited. Survivors were sometimes reluctant to share information as they feared it would affect their livelihood when involving transactional sex.
- Under-reporting and non-reporting due to fear, intimidation, stigmatism etc. - particularly amongst young boys and men.
- No dedicated full time investigations unit in the peacekeeping mission at the time and without the necessary skill-set to investigate SEA.
- No standardised pre-deployment training for troops from troop-contributing countries.
- The Status of Forces Agreement at the time meant the only action the UN could take was for troops to be repatriated. This led to justice not being seen to be done; some countries unwilling or unable to take action took token legal action.

Strengths of investigations today within UNFPA:

- Dedicated investigations unit reaching over 120 countries worldwide.
- Can conduct joint investigations and has the mandate to investigate implementing partners.
- Letters of Understanding state that partners have a duty to cooperate with UNFPA investigations.
- Community-based complaints mechanisms being worked on by the UN, INGOs etc. to make them more accessible to people locally.

Questions and answers:

- **What can organisations do if they don't have a dedicated investigations unit?**

Mariama Deschamps gave the example of Plan International where it is the in-country team that investigates complaints rather than a separate unit for PSEA or child safeguarding. Plan also uses case management groups which include the heads of functions e.g. communications or IT to avoid having to inform too many people.

She also shared that it's important to get an investigator who is self-aware enough to manage their personal bias as true objectivity doesn't exist.

- **What are some of the challenges Save the Children faces?**

Menaca answers that she needed to make the leadership of the organisation (regional, country office) really understand that when we speak of zero-tolerance, it means zero and that all complaints needed to be treated seriously. Another challenge was to put the safety of the victim as priority.

- **What triggers the decision into having an investigations unit?**

Menaca answers that often there are no available resources for an investigations unit and the functions are covered by someone who has a fulltime job. Specific grants need to be thought of or a budget line allocated. Mariama from Plan further advised using resources already available rather than creating specific ones.

- **How does UNHCR decide whether to have a joint investigation or have partner NGOs do their own?**

Aurélié answered that complaints are referred to the partner, who can decide whether they want to do joint, independent or UNHCR-led investigation on their behalf. They have a duty to respond to any allegation of misconduct.

- **What guidance can we provide to people who receive the allegation in order to ensure that they handle things correctly before the investigation is opened?**

Panellists agree that the complaint has to be assessed, preferably by a committee (intake unit in case of UNHCR, crisis group in the case of Plan) in order to decide whether the allegation has enough information, whether there is any safety and security concerns and whether there should be an investigation. One of the points of having a crisis group is to manage confidentiality. Mamadou Ndiaye of the Office Africain pour le Développement et la Coopération (OFADEC) further added that when reviewing the allegations, the organisation should keep the rights and interests of the affected population in mind and it's helpful to have representatives from the affected population on the review group.

- **What is being done to increase training within peace-keeping operations?**

Morgan answered that efforts have taken place by the UN to raise awareness on the need for training. However countries' responses differ. For instance, Bangladesh and Pakistan have definitely improved their own training programmes before they deploy staff to the field and include a detailed terms of reference.

Table topics

Group 1: Organisational set up to support investigations:

- There are three possibilities for an organisation depending on its size and resources: investigation unit; central reference point; team or committee.
- Policies to include: codes of conducts, PSEA and Child Safeguarding, whistle-blowing, communication etc.
- PSEA and Child Safeguarding should be referenced across all policies.
- Code of conduct should be adapted to countries and contexts.
- Ensure policies are implemented and advocate as necessary.

Group 2: Communication and confidentiality:

At organisational-level:

- Should have investigations system that specifies roles, time, when and how to communicate on the investigation. Management in particular need to know what to do.
- Develop organisational culture where we respect people and their confidentiality all the

time not just because there is an investigation.

- Let affected populations know about organisation's vision and mission and where to report anything so they know how to communicate their allegation.

Communications:

- Develop a strategy and communicate to 'need to know' group or person - may include donor.
- Prepare reactive media line. Designate names of people who could speak to press. Get media to agree not to report some things by explaining it puts alleged victims at risk, particularly children.
- Need a strategy for how information will be passed around the community. Don't visit homes unusually. May need to meet with family or community leaders if an issue is already in public domain.

Interviewing:

- Find a neutral place where it is less likely a person will be seen talking to an investigator. Think of order of interviews, and ensure interviewing take place a minimum amount of times.
- Think about safety issues particularly for the alleged victim from the very outset. Think about whether/where you will interview them.
- Need strategy to reach the subject of complaint without raising suspicion.

Confidentiality:

- Use case/ID numbers instead of names on reports as these can leak.
- The investigation report should be kept under lock and key or shared with password-protected documents. You might need a password policy.
- If a serious sexual crime has been committed then it should be reported to police. Exceptions are in cases where it would put the survivor at more risk.

Group 3: Support to survivors:

- Have safe, trustworthy, accessible and confidential means to report allegations with appropriate form to record first contact.
- Have protection policy and mechanism to enforce.
- During the investigation, support involves planning and prioritising, a safe place provided to the survivor, informed consent from the family to interview, a face-to-face interview if possible, medical/psychological support, a time limit of 14 days on interviewing and a time limit of three to six months to complete process.
- External referral for the survivor as appropriate, medical and/or psychosocial.
- Protection support can include: education, livelihood, accommodation, reintegration, relocation of survivor and family.
- Some organisations compensate survivors.

Group 4: Investigation capacities in the sector:

Gaps include:

- Under-reporting due to cultural barriers and lack of awareness and trust in institutions.
- Staff do not sufficiently understand what is in the code of conduct they sign when joining.
- Lack of trained and available investigators. Investigations take a lot of resources and time for existing staff.

Suggestions:

- Organisations to ask themselves whether they are fit to do investigations. If not, a strategy needs to be thought of in order to know what to do.
- Focus on strengthening the capacity of HR, audit, fraud and risk staff as they already have the skills to interview and write reports.
- Include PSEA and investigation in the assessment of potential partners to deliver adequate training or support.
- Coaching from experienced investigators (including external) is an alternative to training. Also, external psychosocial resources are important to support investigators. If confidentiality is an obstacle to the use of external resources, it can be overcome by signing a Terms of Reference.
- If the organisation decides not to report a criminal matter to the authorities, this decision needs to be made at the most senior level in an organisation.

Panel reflection on day's outcome

Paul Nolan:

- It's striking that SEA affects all of our organisations and that we deal with investigating this challenging topic in different ways.
- We do need to ask ourselves whether we are able to deal with these investigations or not.
- The experience of dealing with reports and complaints is how you become an expert. Try to find some way of connecting organisations that have a strong experience in dealing with investigations with those less experienced or resourced.
- While using existing resources in an organisation such as the HR, audit, or fraud teams - a good target group as they already know how to research, gather evidence, interview and write reports - they cannot simply just go out and do SEA investigations, they will still require training on the sensitivities and things to look out for specifically.

Aungkie Sopinpornraksa:

- Management need to be made aware on how investigations could affect the trust of community people, the NGO's reputation as well as donors.
- Management has to equip staff to know how to respond to allegations appropriately.
- Another responsibility of management is to look after the investigations team, their safety and security, provide budget and resources for investigations.

Morgan Pillay:

- Investigators need to also pay attention to their own safety and security.
- The investigation report needs to communicate the results of the investigation clearly and concisely. This is the product of the investigation and will be used to take decisive measures against offenders as well as to help improve systems etc.
- The UNFPA Annual Report sets out what investigations have been completed (in an Annexure). It highlights the types of investigations conducted, but not names etc., and corresponding disciplinary actions taken by UNFPA; it serves as a deterrent.

Menaca Calyengeratne:

- No two cases are the same. You need to have measures in place, plan well, and exercise common sense and a good judgement call.
- Always act for prevention. In order to not have to deal with so many cases, we need to have an organisational culture that works towards PSEA.
- SEA is not just sexual abuse but also a violation of people's rights. The goal is to make our organisations safe for the people that we work for. Identify this as a risk, talk to the high-level of leadership and plan on how to mitigate this risk through getting resources and building capacity.

Aur lie Martin:

- Investigators need to develop above all interview skills, as if interviews are conducted badly, they can do more harm than good.
- Due-process is very important throughout the investigation.
- The UNHCR website has a lot of resources available for interviews, report templates etc.

Additional questions and answers

- **What can be done for investigators to be perceived positively (and not trigger fear)?**

Morgan answers that an investigator needs to adhere to professional standards. They have received intensive training, will adapt their interview techniques on the subject and are seeking justice with humility. Someone can also make a complaint against the investigator if they feel they did not conduct the work properly and their rights were violated. That is also why all interviews at the UN are recorded. Investigators do not want to incite fear, but still need to ask firm and direct questions.

Karen adds that all staff should be briefed on investigations, for the investigation process to be demystified but also to understand the needs and challenges and consequences of breaching confidentiality.

Recommendations

1. There are various ways organisations could handle investigations. These include: dedicated investigations unit; targeting HR/audit/counter fraud staff; and/or with case management committees. It will depend on the size and resources of the organisation, however, besides having a PSEA focal point, case management committees with terms of reference defined in advance is recommended by experienced organisations.
2. Ensure the organisation has the necessary policies and procedures well in place, including: code of conduct, whistleblowing, complaints, PSEA and child safeguarding and investigations. Child safeguarding and PSEA should be referenced in all policies.
3. Communication and confidentiality require involvement of communication specialists, development of specific internal and external messages, signing of oath of confidentiality if the witness is not a staff member (and therefore not bound by the organisation's code of conducts), and careful media management.
4. Ensure staff at all levels understand PSEA, that zero-tolerance means zero tolerance, what are the investigations' principles and process, and why confidentiality is important.
5. Ensure managers are well briefed and understand their role should an allegation of SEA by own staff arise. Make sure, in particular, regional or country-level managers know how to react, what can be done at their level and when they should refer a case to a higher level.
6. Support to the survivor should be considered at all stages of the investigation. Try to empower survivors of SEA, for instance with education or livelihood programmes and give them the option to ask questions through the investigation process.
7. Ensure communities you work with know how to report and that they can do so safely and confidentially. Consult with them and consider the cultural context, gender, age and diversity.
8. In partnership, ensure PSEA in general and code of conducts and investigations capacities in particular are part of partner assessments. Partner agreements and suppliers' contracts should include the code of conduct, the obligation to report and whose responsibility it is to investigate.
9. Consider coaching as an alternative or supplement to trainings. No two investigations will be the same and advice from experienced investigators might go a long way in ensuring the right decisions are taken.

Areas to further explore

1. Joint investigation and, in particular, how organisations can best work together, which protocols need to be developed and how to prepare and schedule interviews in order to avoid repeating interviews with the same witnesses.
2. Burden of proof, or how investigations can be as watertight as possible, knowing that even though we are talking of administrative investigations and not criminal investigation, lives and livelihoods are at stake.

3. Guidance over report writing; next to interview skills, this is one of the other most important skills investigators need to have and participants to the conference indicated they would welcome more guidance.
4. Sharing of statistics over SEA allegations and investigations, and anonymised case studies: there is still reluctance by organisations to do so, however, more transparency would encourage advocating toward PSEA needing to be put on the priority list within organisations, and encourage learning from experience as well.

Final words

Karen Glisson

- Try to brief staff and demystify the investigations process so the first time they come across it is not when an investigation is taking place. Ensure people understand investigations' principles, process, reasons, the risk of breaking confidentiality, and raise awareness within organisations.

Judith Greenwood

- The conference highlights the importance of organisations applying the Nine Commitments of the [Core Humanitarian Standard on Quality and Accountability \(CHS\)](#) as a lot of the activities involved set the foundation for dealing with SEA investigations and PSEA.
- Impressed with panel discussion in setting the tone and active participant engagement with discussions.

Genevieve Cyvoct

- Organisations handle investigations in three ways – with a dedicated investigations unit, by targeting HR/audit/counter fraud staff, and with case management committees.
- Support to the survivor should be considered at all stages of the investigation - consider the cultural context, gender, age and diversity. Try to empower the victim and give them the option to ask questions.

Annexes

ANNEX 1: PANELLIST BIOGRAPHIES

Menaca Calyaneratne, International Child Safeguarding Director, Save the Children International:

Menaca Calyaneratne is based in Sri Lanka, where she has been occupying her present position since 2013. She has her Bachelors from the University of Colombo on English and Journalism and Masters from the University of Mathurai on Communication and Journalism. She has wide experience in Child Rights Governance, Media and Advocacy and was also the spokesperson for Save the Children from 2000- 2013. She is a trainer on Child Rights, Child Safeguarding, Senior Manager Development within Save the Children and also an approved trainer on investigations for CHS Alliance.

Aurélie Martin, United Nations High Commissioner for Refugees: Aurélie Martin is a Senior Investigation Specialist with the Inspector General's Office of UNHCR since March 2015. Prior to that, she was working as an Investigator in Nairobi for the Office of Internal Oversight Services of the UN Secretariat General, covering Africa. Both during her experience with UNHCR and with the UN, she has specialized in investigating allegations of sexual exploitation and abuse. She holds a BA in Law, Political Sciences and in Chinese language, a Master in International Relations and a PhD in International Relations.

Paul Nolan, Consultant, GCPS Consulting: Paul Nolan is Founder Director of GCPS Consulting and is a child protection specialist with a long record of building "Child Safe" organisations internationally over the past 20 years. He has over 30 years' experience working with children as practitioner, manager and global safeguarding advisor to a number of international NGOs. Paul co-founded Keeping Children Safe and chaired the organisation for five years. He has also led or participated in a number of sector-wide protection initiatives, including the UN Task Force on PSEA. He leads on child safeguarding for GCPS, with particular expertise in audit and compliance, case management and investigations.

Aungkie Sopinpornraksana, Consultant: Aungkie Sopinpornraksana holds a Bachelor of Arts in Business with focus on Personnel Management and a Masters of Management. She has had a long experience within both the for-profit and non-profit sectors. Her experience includes working for World Vision Foundation for Thailand and World Vision Asia-Pacific and East Timor, The Border Consortium (TBC) and Jesuit Refugee Service Thailand. She specialises in the fields of Human Resources and Administration Management and has also been providing support to Human Resources NGO networks. Aungkie is an approved trainer for the CHS Alliance investigation training program.

Morgan Pillay, United Nations Population Fund: Morgan Pillay joined UNFPA's Office of Audit and Investigation Services in June 2012 as a Senior Investigator, prior to which he worked for the World Food Programme's Oversight Office's Investigations section. He holds Bachelor of Arts (Political Science; Law); Bachelor of Laws (LLB); and Master of Arts (Peace and Conflict Studies). He is admitted as an Advocate in the High Court of South Africa; his legal and investigation experience spans almost 20 years and includes practicing law in a private firm, with the South African government and in two UN peacekeeping missions as Military Legal Advisor - in the DR Congo (2002-2003) and Liberia (2004-2005) - with focus on criminal, international humanitarian and administrative law and investigations.

ANNEX 2: LINKS TO SPEAKER PRESENTATIONS AND VIDEO INTERVIEWS

Presentations

- [Joint speaker presentations](#)
- Karen Glisson, CHS Alliance: [Sexual exploitation and abuse by aid workers.](#)
- Paul Nolan, Founder/Director, GCPS Consulting: [Learning from SEA investigations.](#)
- Morgan Pillay, Investigations Specialist, UNFPA: [Investigating SEA in UN peacekeeping missions and the UNFPA - challenges.](#)
- Menaca Calyaneratne, International Child Safeguarding Director, Save the Children: [Collaborating with different departments during an investigation.](#)
- Aurélie Martin, Senior Investigation Specialist, UNHCR: [UNHCR and NGOs cooperation on investigations by sharing a case study.](#)
- Aungkie Sopinpornraksa: [The experience of NGOs in Thailand in dealing with SEA.](#)

Video interviews on challenges and recommendations for investigations

- [Menaca Calyaneratne, International Child Safeguarding Director, Save the Children](#)
- [Aurélie Martin, Senior Investigation Specialist, UNHCR](#)
- [Paul Nolan, Founder/Director, GCPS Consulting](#)
- [Morgan Pillay, Investigations Specialist, UNFPA](#)
- [Aungkie Sopinpornraksa](#)

ANNEX 3: CONFERENCE AGENDA

Day 1, 5 September

Moderators: Karen Glisson and Geneviève Cyvoct, CHS Alliance

Time	Sessions
08:30 - 09:00	Registration and coffee/tea
09:00 - 09:30	Welcome and introduction: Judith Greenwood, Executive Director, CHS Alliance and Ali Lane, World Education Thailand
09:30 - 10:00	Presentation: Introducing the subject in more detail: Karen Glisson
10:00 - 10:20	Coffee/tea break
10:20 - 12:00	<p>Panel discussion: Going deeper into the subject</p> <ul style="list-style-type: none"> • Menaca Calyaneratne, Save the Children International: internal support to investigations and safety of Child victim • Aurélié Martin, United Nations High Commissioner for Refugees: UNHCR and NGOs cooperation on investigations with presentation of a case study • Aungkie Sopinpornraksana: Experience of NGOs in Thailand in dealing with SEA • Paul Nolan, GCPS Consulting: Learnings from SEA investigations • Morgan Pillay: UNFPA and peace-keeping context; Specific challenges to SEA investigations <p>Time for questions and answers</p>
12:00 - 13:00	Lunch
13:00 - 14:00	<p>Exchange and brainstorm: participants discuss topics by tables.</p> <ol style="list-style-type: none"> 1. Organisational set-up to support investigations. 2. Communication and confidentiality. 3. Support to survivors. 4. Investigation capacities in the sector.
14:00 - 14:20	Coffee/tea break
14:20 - 15:20	Sharing results: Brief presentation of discussion outcomes.
15:20 - 16:00	<p>Panel discussion: Reflecting on the day's outcomes and next steps.</p> <p>Time for questions and answers</p>
16:00 - 16:30	Pulling it all together - Summary of main points raised during the day and next steps: Geneviève Cyvoct
16:30 - 17:00	Words of thanks and farewell: Judith Greenwood
From 17:15	Drinks and bites to eat

Day 2, 6 September

Workshop 1: Introduction to the Core Humanitarian Standard (CHS)

Facilitator: Corinne Davey, GCPS Consulting

Programme: Overview of the history, purpose and application of the Core Humanitarian Standard.

Time	Session	Methodology
09:00	Opening session	
09:30	Introduction to the CHS	Presentation
10:15	Break	
10:30	The CHS in practice	Group exercise (Pastoralists under pressure), discussion
12:30	Lunch	
13:30	Self-assessment exercise	Group exercise (Scoring exercise), discussion
15:15	Break	
15:30	Action planning	Self-reflection
15:45	Remaining questions and review of the day	
16:00	Close	

Workshop 2: Investigation for managers

Facilitator: Karen Glisson, CHS Alliance

Programme: Role and responsibilities of senior management when an allegation of sexual exploitation and abuse by own staff is received, including appointing and managing a team of investigators.

Time	Session	Methodology
09:00	Introduction	
09:30	Context and useful tools	Film and presentation
10:15	Break	
10:30	Manager's testimony	Film clip
11:00	Managers' responsibilities in an investigation	Introduction to checklist
12:30	Lunch	
13:30	Case study and exercise	Small group work, plenary
15:15	Break	
15:30	Action planning	Individual reflection
15:45	Remaining questions, and review of the day	
16:00	Close	

Workshop 3: Introduction to prevention of sexual exploitation and abuse

Facilitator: Geneviève Cyvoct, CHS Alliance

Programme: Overview of the subject, including what is abuse, organisational codes of conducts and complaints and response mechanisms.

Time	Session	Methodology
09:00	Introduction & overview of the day	
09:30	PSEA: background and context	Presentation, film
10:15	Break	
10:30	What is abuse?	Case studies, discussion
11:45	Organisational codes of conduct	Presentation, role play
12:30	Lunch	
13:30	Complaints handling: policy & practice	Film, exercise
14:45	Good practices in recruitment for PSEA prevention	Presentation, discussion
15:15	Break	
15:30	Action planning	Self-Reflection
15:45	Remaining questions and review of the day	
16:00	Close	

ANNEX 4: SUMMARY FROM EVALUATION FORMS RECEIVED

Twenty-one evaluation forms were received.

1. What were your objectives and/or learning goals for attending this event?

- Hear the field experience from experts and other organisations (7)
- Learning about investigation processes and challenges (3)
- Identify the organisation's own gap and implement or strengthen policies and procedures (4),
- Learn about capacities for support and network (2),
- Learn about PSEA (3),
- Learn about statistics (1),
- Learn about CHS Alliance and CHS (1).

2. How useful did you find the event overall?

- Extremely useful: 12
- Useful: 7
- Moderately useful: 1
- Not at all useful: 1

3. What participants will implement or do differently as a result of the knowledge gained at the event:

- Ask their managements for more dedicated resources on PSEA and investigation, in particular having an investigation unit or focal point (6)
- To develop, strengthen or revise policies and guidelines around PSEA and investigations (5), including codes of conducts, communication, protection of survivors
- Specific focus on building capacities of investigators (3)
- Increase staff awareness raising (3) and community's (1)
- Network with others for support when needed (1)

4. What would be the level of impact of these changes on (1 = note, 5 = very high):

Level of impact	2	3	4	5
Your team/organisation:	1	1	14	5
Your organisation's programmes:	1	3	11	16
The stakeholders/communities with which your organisation works:		3	10	8

5. What other topics would you like to see covered in future events and meetings with the CHS Alliance?

- Investigation resources, guidance and tools, including report writing (5)
- Trainings: investigation & PSEA (4), Training of trainers (1)
- Examples of investigation cases which failed and lessons learned (2), and good examples (3)
- Examples and case studies on the 9 CHS commitments (2)
- Protection policy and examples of follow-up of cases (2)
- Assessing the CHS, linking it to the 2015-2030 SDG (1)

ANNEX 5: REFERENCES AND OTHER SOURCES

CHS Alliance (2015) *Guidelines for Investigations: A guide for humanitarian organisations on receiving and investigating allegations of abuse, exploitation, fraud or corruption by their own staff*.
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Davey C., Nolan P., Ray P. (2010) *Change Starts with Us, Talk to Us: Beneficiary perceptions regarding the effectiveness of measures to prevent sexual exploitation and abuse by humanitarian aid workers*. HAP International, Geneva. <http://www.chsalliance.org/files/files/change-starts-with-us.pdf>

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IASC, UNDP (2013) *Challenges and options in improving recruitment processes in the context of Protection from Sexual Exploitation and Abuse (PSEA) by our own staff*.
https://interagencystandingcommittee.org/system/files/legacy_files/Joint%20Recruitment%20Report%20to%20submit%20to%20IOM%20w%20contributors.docx

Myers J., Green R., Edwards H., National Society for Prevention of Cruelty against Children (2004) *Model Complaints and Investigation Procedures and Guidance Related to Sexual Abuse and Sexual Exploitation*, IASC, UNICEF.

https://www.interaction.org/courses/sea201/story_content/external_files/IASC%20Model%20Complaints%20Investigation%20Procedures.pdf

The InterAction Sexual Exploitation and Abuse Sub-Working Group (2010) *InterAction Step-by-Step Guide in Addressing Sexual Exploitation and Abuse*.

<http://www.pseataaskforce.org/uploads/tools/1330532150.pdf>

UN Secretary-General Report (2016) *Special measures for protection from sexual exploitation and sexual abuse*, A/70/729, 16. http://www.un.org/ga/search/view_doc.asp?symbol=A/70/729

UN (2003) *Secretary-General's Bulletin on Special Measures for the Protection from Sexual Exploitation and Sexual Abuse* ST/SGB/2003/13.

<http://reliefweb.int/sites/reliefweb.int/files/resources/FE8016BAE4A9C2FB8525723B00711D69-UNSG-special%20measures-Oct03.pdf>

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ANNEX 5: CONFERENCE PARTICIPANT LIST

First name	Last name	Job title	Organisation	Country
Malvina	Abou Ardini	Advocacy Coordinator	Association Najdeh	Lebanon
Harithas	Aruchchunan	Program Officer	ZOA	Sri Lanka
Sagar	Bhandari	Program Officer Child Helpline Nepal	CWIN Nepal	Nepal
Sanat K.	Bhowmik	Director	COAST Trust	Bangladesh
Prakash	Bishwakarme	Program Coordinator	Saathi	Nepal
Menaca	Calyaneratne	International Child Safeguarding Director	Save the Children International	UK
Nelson	Canued Babythurai	Administrative Coordinator	ZOA	Sri Lanka
Geneviève	Cyvot	Senior Capacity Development Officer	CHS Alliance	Switzerland
Catherine	Daly	Deputy Country Director	World Education Thailand	Thailand
Corinne	Davey	Director	Independent	UK
Mariama	Deschamps	Global Head of Child Protection Policy (Safeguarding)	Plan International	UK
Rose Ketlyne	Etheart Eliscar	Responsable du Programme Genre	MISSEH	Haiti
Karen	Glisson	Membership and Operations Manager	CHS Alliance	UK
Judith	Greenwood	Executive Director	CHS Alliance	Switzerland
Sana	Hafeez	Human Resource Manager	Strengthening Participatory Organization	Pakistan
Sean	Henderson	Senior Investigation Specialist	Inspector General's Office, UNHCR	Thailand
Charwat	Ianta	Education Coordinator	World Education Thailand	Thailand
Gamze	Karadag	General Coordinator	Mavi Kalem	Turkey
Elise	Kirsten	Legal Protection Officer - Protection and Assistance Unit	Japan Association for Refugees	Japan
Sylvie	Koshkarian	Country Human Resource Manager	Agence d'Aide à la Coopération Technique Et au Développement (ACTED)	Lebanon
Alison	Lane	Country Director	World Education Thailand	Thailand
Aurélié	Martin	External Relations Officer	UNHCR	Switzerland
Anastasia	Maylinda	Sekretariat	YEU (YAKKUM Emergency Unit)	Indonesia

Lauren	McWilliams	Events and Projects Officer	CHS Alliance	UK
Rosimah	Mohamed	Head, Quality & Accountability	MERCY Malaysia	Malaysia
Scholastica	Nasinyama	Executive Director	InterAid Uganda	Uganda
Prem Livingstone	Navaneethar	Manager - OE & HR	EFICOR	India
Saba	Naz	Operation Manager	CWS-PA	Pakistan
Mamadou	Ndiaye	Executive Director	Office Africain pour le Developpement et la Cooperation (OFADEC)	Senegal
Paul	Nolan	Director	GCPs Consulting	UK
Atita	Orrell	Technical Advisor/Advocacy	World Education Thailand	Thailand
David	Owen	Consultant	Consultant	UK
Heidi	Oyugi	Child Safeguarding Focal Point - East Africa Regional Office	CBM International	Kenya
Anton George	Perampalam	Senior Project Officer	ZOA	Sri Lanka
Andrew Dilotharaj	Philipneris	Project Officer	ZOA	Sri Lanka
Morgan	Pillay	Investigations Specialist	United Nations Population Fund	Honduras
Margaret	Rooney	Global Safeguarding Advisor	Trócaire	Ireland
Jude	Saint Gilles	Coordonateur Technique	Fondation Nouvelle Grand'Anse	Haiti
Norhassim	Sinarimbo	Project Officer	Community and Family Services International	Philippines
Aungkie	Sopinpornraksa	Consultant		Thailand
Lemma	Tesfaye	Monitoring and Evaluation	Women Support Association (WSA)	Ethiopia
Emily	Tullock	Communications Officer	CHS Alliance	UK
Antony	Wesonga	Finance and Administration Officer	Refugee Consortium of Kenya	Kenya