

Prevention of Sexual Exploitation and Abuse Policy and procedure Manual



Ethiopian Economics Association

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List of Abbreviations

CEO Chief Executive Officer

EEA Ethiopian Economics Association

GBV Gender Based Violence

HR Human Resource

IT Information Technology

JD Job Description

PSEA Prevention of Sexual Exploitation & Abuse

SEA Sexual Exploitation & Abuse

UN United Nations

UNICEF United Nation International Children's Emergency Fund

1. Definition of Terms

The following definitions will serve as a guide in connection with this policy.

- i. **Sexual Exploitation:** “Any actual or attempted abuse of a position of vulnerability, differential power, or trust, for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another.” (1)
- ii. **Sexual Abuse:** “The actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions.” (1)
- iii. **Sexual Harassment versus SEA:** “Sexual harassment is any unwelcome sexual advance, request for sexual favor, verbal or physical conduct or gesture of a sexual nature, or any other behavior of a sexual nature that might reasonably be expected or be perceived to cause offence or humiliation to another, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment.” (2) Sexual harassment is not SEA. SEA occurs against a beneficiary or another member of the community. Sexual harassment occurs between personnel/staffs. Sexual harassment is not covered by this policy, although procedures for reporting sexual harassment allegations may be the same as for reporting SEA complaints.
- iv. **Gender-Based Violence versus SEA:** GBV is “an umbrella term for any harmful act that is perpetrated against a person’s will and that is based on socially ascribed (i.e. gender) differences between males and females. It includes acts that inflict physical, sexual, or mental harm or suffering, threats of such acts, coercion, and other deprivations of liberty.”⁴ Sexual exploitation and abuse are particular forms of GBV. The procedures in this policy only cover SEA complaints.
- v. **Child:** “A person under the age of 18, regardless of the age of majority or age of consent locally.” (3)
- vi. **Program participant:** EEA works with a multitude of stakeholders and community members in its major focus areas: research, training and capacity building. EEA’s program participants are defined as trainees, research participants (respondents and or

- informants, event participants, EEA members getting membership services from EEA, project partners, etc.
- vii. **EEA personnel:** all individuals who have entered an employment or collaboration contract with EEA, including staffs, volunteers, community committee members, interns and consultants, regardless of whether or not they are compensated monetarily, and regardless of the type or duration of their contract.
 - viii. **Survivor:** A person who is, or has been, sexually exploited or abused.
 - ix. **Perpetrator:** A person, or group of persons, who commits an act of SEA.
 - x. **Focal Point:** The person designated to receive complaints and reports about alleged acts of SEA involving EEA personnel.
 - xi. **Complainant:** The person making the complaint or report about an alleged act of SEA in accordance with the established procedures, including the survivor.
 - xii. **Subject of the Complaint:** The person alleged to have sexually exploited or abused the survivor.
 - xiii. **Investigator:** A person who is authorized and responsible to conduct an investigation.
 - xiv. **Witness:** Any person giving testimony or evidence in the investigation, including but not limited to the alleged survivor, the complainant, the subject of the complaint, a program participant, some EEA personnel.
 - xv. **The term “need-to-know” (4)** describes the limiting of information that is considered sensitive and sharing it only with those individuals for whom the information will enable to protect the survivor. Any sensitive and identifying information collected on survivors should only be shared on a need-to-know basis with as few individuals as possible.

2. Background

The Ethiopian Economics Association (EEA) was established in 1991 as a non-profit, non-partisan and non-religious professional association. The EEA generally aims at realizing overriding and interrelated strategic objectives of research, training and technical assistance to stakeholders in Ethiopia and beyond. In line with this, the association has been actively engaging in policy research and dissemination of the outputs over the last 30 years. It has undertaken several research projects on various socioeconomic issues including macro economy, agriculture and rural transformation.

In order to advance and fulfill its objectives, the EEA works with different stakeholders including universities, federal government offices, regional bureaus across the country, NGOs, development partners, and others. The EEA works in collaboration with both government and other stakeholders. In its pursuit to realize its vision and deliver on its mission, EEA is also driven by its firmly held values (5): Professionalism, integrity, independence, quality, efficiency, inclusiveness, teamwork, accountability, and transparency. The values such as accountability, professionalism, integrity, quality, and transparency are in recognition of the intricate nature of EEA's mission given the fact that EEA will be having contacts with research participants, stakeholders, its own staff, data collectors, and the community at large. EEA developed this PSEA policy to promote quality and materialize those stated values.

A systematic review and meta-analysis on the prevalence of sexual violence in Ethiopian work place revealed that pooled prevalence of workplace sexual violence was 22% (95% CI 17%, 28%). Furthermore, the pooled prevalence was 14.1% (95% CI 10.4%, 18.9%) for attempted rape, 8% (95% CI 5.7%, 11.1%) for rape, and 33.2% (95% CI 24.1%, 43.7%) for sexual harassment. This pooled prevalence was the highest among female university staffs 49% (95% CI 45%, 56%), and among commercial sex workers 28% (95% CI 3%, 59%). (6)

Lots of efforts have been exerted to comprehend the prevalence and impact of sexual abuse and exploitation and come up with prevention and response schemes. The issue is global in nature and local in character. The United Nations and all humanitarian personnel have been subject to the Secretary General's Bulletin on Special Measures for Protection from Sexual Exploitation and Abuse since it was issued in 2003. In 2017, the Secretary-General released a four pronged Strategy

[A/71/818] to prevent and respond to SEA across the United Nations system, including: (1) prioritizing the rights and dignity of victims; (2) ending impunity through strengthened reporting and investigations, including clarifying limitations on the United Nations to achieve criminal accountability; (3) engaging with civil society and external partners; and (4) improving strategic communication for education and transparency. (7)

The Ethiopian PSEA Network cochaired by UN Women and UNFPA has accomplished the following major outputs. (8)

- PSEA common key messages disseminated,
- PSEA Focal Points/Network members training completed
- PSEA activities integrated in Humanitarian Response Plan (HRP)
- Allocation of PSEA fund through HRP or similar
- SOPs on complaint and victim assistance referral developed
- Contextualized curricula and GBV pocket guide on survivor support developed

Despite all those efforts, awareness and knowledge about prevention and response of PSEA is still tottering. A DTM report on the prevention of sexual exploitation and abuse (PSEA) (August – September, 2021) indicated that out of the 1577 sites studied 58% (914) of them replied that the majority of sites report that the majority of IDPs do not have the appropriate knowledge to report PSEA issues. This study also revealed that people are not able to report incidences of PSEA due to social stigma from the community, fear of consequences, and absence of reporting mechanism. (9)

This is indicative of the fact that humanitarian actors and their affiliates should work relentlessly to meaningfully curb the prevalence and adverse impact of PSEA. EEA is working in partnership with different UN agencies, donors, NGOs and government sector offices as it one of the reputed professional associations in research, training and capacity building support. EEA, therefore, needs to ensure that its way working is aligned with its global and local partners in enhancing quality and promoting the ‘do no harm’ principle pertaining sexual abuse and exploitation. This policy on PSEA is developed with this central urge in mind.

3. Policy Objective

The overall objective of the PSEA policy is to ensure that EEA maintain high level of quality in realizing its stated organizational objectives where EEA personnel and program participants are informed about the prevention and response aspects of PSEA.

The specific objectives of the policy include:

- To promulgate policy of zero tolerance for sexual exploitation and abuse (SEA) for all EEA employees and related personnel (contractors, partners, interns, volunteers, consultants, etc) and ensure that roles, responsibilities and expected standards of conduct in relation to SEA are known within EEA.
- To create and maintain a safe environment, free from SEA, by taking appropriate measures for this purpose, internally and in the communities where EEA operates, through robust prevention and response work.

4. Targeted Audience

All EEA employees and related personnel: EEA's paid staff, data collectors, interns, consultants, contractors, partners shall all adhere to this policy.

5. Policy Statement

- 5.1. SEA violates universally recognized international legal norms and standards and are unacceptable behaviors and prohibited conduct for all humanitarian (and development) workers, including EEA employees and related personnel. (1)
- 5.2. EEA has a policy of zero tolerance towards SEA. All EEA employees and related personnel¹ are expected to always uphold the highest standards of personal and professional conduct in a manner that respects and fosters the rights of program participants and other vulnerable members of the local communities.

¹ The term “related” personnel include, for example, sub-contractors, consultants, EEA members, interns or volunteers associated with or working on behalf of the EEA.

6. Commitment to PSEA

- 6.1. EEA will make every effort to create and maintain a safe environment, free from SEA, and shall take appropriate measures for this purpose in the communities where it operates, through a robust PSEA framework, including prevention and response measures. (1)
- 6.2. This PSEA framework, affirms EEA commitment to the UN Secretary General's Bulletin on Special Measures for protection from sexual exploitation and sexual abuse (ST/SGB/2003/13) and to achieving full, ongoing implementation of the IASC Six Core Principles relating to SEA. (1)

7. Codes of Conduct

This Code of Conduct (the “Code”), as detailed below, applies to all staff and related personnel. For the purposes of the Code, anyone who works for the EEA under an employment contract or on another basis (such as internship, a consultancy contract or as a volunteer) is considered a staff member. (6) (1) (7)

- 7.1. The Code is always applicable. Breaches of the Code of Conduct are grounds for disciplinary action, up to and including dismissal.
- 7.2. The Code is developed in line with international and UN standards, while also recognizing the importance of local laws and cultures. Staff are expected to uphold local law wherever they operate, except where the Code of Conduct is more stringent, in which case the Code applies.
- 7.3. Staff conduct must be characterized by integrity, respect and loyalty to the EEA’s interests and must not in any way harm or compromise its reputation.
- 7.4. Staff must show due respect, particularly through their conduct, dress and language, for the religious beliefs, usages and customs, rules, practices and habits of the people of the country or context they are in and of their place of work.
- 7.5. The rules set in the Code are intended to promote safety, to ensure respect for the people with whom the EEA comes into contact, to protect staff members and to project a positive image of the EEA, so as to guarantee the effectiveness and integrity of its work.
- 7.6. SEA by EEA employees and related personnel constitute acts of gross misconduct and are therefore grounds for termination of employment.
- 7.7. Sexual activity with children (persons under the age of 18) is prohibited regardless of the age of majority or age of consent locally. Mistaken belief regarding the age of a child is not a defense.
- 7.8. Exchange of money, employment, goods, or services for sex, including sexual favors or other forms of humiliating, degrading or exploitative behavior is prohibited. This includes exchange of assistance that is due to program participants.
- 7.9. Any sexual relationship between EEA employees or related personnel and program participants of assistance or other vulnerable members of the local community that

involves improper use of rank or position is prohibited. Such relationships undermine the credibility and integrity of humanitarian aid work.

- 7.10. Where EEA employee or related personnel develops concerns or suspicions regarding sexual abuse or exploitation by a fellow worker, whether in the same EEA or not, he or she must report such concerns via established reporting mechanisms.
- 7.11. All EEA employees and related personnel are obliged to create and maintain an environment which prevents SEA and promotes the implementation of this policy. Managers at all levels have particular responsibilities to support and develop systems which maintain this environment.
- 7.12. The purchase of sexual services and the practice of sexual exploitation are prohibited. Sexual exploitation is understood as abuse of authority, trust or a situation of vulnerability for sexual ends in exchange for money, work, goods or services.
- 7.13. Entering into a sexual relationship with a child (a girl or boy under 18 years of age) or inciting or forcing a child to take part in activities of a sexual nature, whether or not he or she is aware of the act committed and irrespective of consent, is prohibited. This prohibition also covers pornographic activities (photos, videos, games, etc.) that do not involve sexual contact with the child, as well as acquiring, storing, or circulating documents of a pedophilic nature, irrespective of the medium used.
- 7.14. Staff are obliged by the Code to report concerns, suspicions and/or incidents of abuse, exploitation, or breaches of this Code – irrespective of when it happened.
- 7.15. Staff are prohibited from using IT equipment, software or email and social media platforms to engage in activity that is illegal under local or international law or that encourages conduct that would constitute a criminal offence. This includes any material that intimidates or harasses any group based on protected characteristics, or encourages extremism.
- 7.16. Staff are prohibited from taking photographs, filming, or making audio recordings in the course of their duties, irrespective of the medium used, unless their work so requires, or they obtain approval from the EEA.
- 7.17. Staff are prohibited from using IT equipment to view, download, create, distribute or save in any format inappropriate or abusive material including but not limited to pornography or depictions of child abuse.

- 7.18. Staff are obligated to bring to the attention of the relevant manager any potential incident, abuse or concern that they witness, are made aware of, or suspect which appears to breach the standards contained in this Code. Staff reporting concerns are protected by the Disclosure of Malpractice in the Workplace policy.
- 7.19. Staff who have a complaint or concern relating to breach of the Code should report it immediately to their line manager. If the staff member does not feel comfortable reporting to their line manager, they may report to a senior manager or a member of the HR team. Staff receiving reports or concerns are obliged to action or refer the report immediately as per the EEA's Complaints Policy and procedures.
- 7.20. Staff can also make a complaint in person, by letter or by phone to one of the people listed: line manager, Finance and administration manager, chief executive officer
- 7.21. In accepting my appointment, I undertake to discharge my duties and to regulate my conduct in accordance with the requirements of this Code.

Signature: _____

Date: _____

Location: _____

8. PSEA Framework

This policy framework is developed based on the three major policy framework components: Prevention, response, and cooperative agreement. (8)

8.1. Prevention

EEA will employ a series of preventive measures to ensure that program participants are protected from sexual exploitation and abuse. EEA cautiously will apply stringent measures in the recruitment process and make sure that abusive staff will not join the association. Preventive measures will also be taken for equipping staff with basic safeguarding skills and measures through continuous refresher training and supervision.

8.1.1. Staff Recruitment and Vetting

EEA systematically vets all prospective job candidates in accordance with established screening procedures.

8.1.1.1. Job Advertisement

The job advertisement should emphasize the organization's need to employ staff with certain key values. Here is a suggested statement:

“EEA requires its staff to treat all people with dignity and respect, and actively prevent harassment, abuse, exploitation and human trafficking everywhere and at all times.”

E.g. “We are looking for people who are values led and results driven.”

Include information that could help attract a wider pool of female candidates, including details of the organization's relevant policies and benefits, such as maternity leave, support for exclusive breastfeeding, the availability of childcare at the office, and flexible working hours, career promotion, capacity building opportunities, etc.

8.1.1.2. Job Description

EEA should communicate the values of EEA that are related with the PSEA issues in the Job description of any vacant posts. We can also indicate such a statement as “The staff is expected to understand and abide by the PSEA policy of EEA” in the Job Description so that staff will take it seriously as part of discharging their role. EEA can also indicate required competencies such as

accurate and active listening, integrity, accountability, building relationships, commitment to the job, consistency, reliability, emotional control, freedom from prejudice, and handling stress, etc in the job description.

8.1.1.3. Interview

The interview is also a very good opportunity to check on the quality of staff and see their commitment for the do no harm principles and their commitment to ethical codes especially related with PSEA. As an example, we can raise questions of the following type during interview:

- To describe previous work situations in which their morals and integrity have played a significant role in the outcome, or
- About his/her understanding of PSEA, its cause, consequences, prevention and response mechanisms.

8.1.1.4. Perform background checks and references

Background checks are made with former and current employer of the candidate and check about his/her behavior in relation to PSEA. A series of questions could be posed to screen the background of the staff. See annex 1.

Example questions for referee:

- What was the nature of the candidate's previous job?
- How do you rate their performance overall? Poor, satisfactory, good or excellent?
- How did the candidate interact with others?
- Why did the candidate leave the job?
- Do you have any concerns about the candidate working with at-risk populations and/or is there anything that might be of concern to our organization?
- Are you aware of the candidate having a criminal record or any issues related to child protection that our organization should be aware of?
- At any stage in their employment, did you undertake any disciplinary actions against the candidate related to any safeguarding issues?

8.1.1.5. PSEA Measures in Staff Onboarding and Training

Once the staff recruitment is done, EEA will be training/orienting the new staff with the major policies such as PSEA, fraud, HR, etc. Regarding PSEA the following specific activities are indispensable.

- All new staff receive a briefing on PSEA policy.
- Staff are rigorously taken through the code of conduct and the sexual exploitation and abuse (SEA) complaints and investigations mechanisms through different level of training schemes.
- Staff are given the time to discuss and fully understand the relevant PSEA policies and procedures including consequences of code of conduct breaches.
- EEA distributes the code of conduct, in English or translated, to all staff.
- Staff who have direct contact with program participants shall be given a more detailed and targeted PSEA training including on the causes and consequences of gender-based violence (GBV) and SEA. Staff who work directly with children also receive child protection training.
- Staff working on feedback and response mechanisms (either inter-agency or project-based) and are receiving sensitive feedback, receive additional PSEA training on internal reporting system training as an obligatory part of onboarding.
- All staff receive annual refresher training on the code of conduct and PSEA, and the implications of breaching these standards, and learn about the mechanism to file complaints and reports of misconduct. The code of conduct (either the simplified or complete version with Interagency standing committee (IASC) standards at a minimum) is displayed in all operational and office areas.
- Managers and senior leadership have a particular role and responsibility to ensure that a training strategy is implemented to raise awareness among all staff on gender mainstreaming, GBV, human rights, SEA prevention and response, and the code of conduct, as well as how to report alleged incidences.
- PSEA policy and reporting mechanism information (SEA reporting forms) are available in the field for staff reference. PSEA materials encouraging staff to report SEA misconduct are displayed in agency premises at all locations.

8.2. Response

Despite all the measures one could take and despite the fact that institutions have their respective zero-tolerance policy in place, one cannot completely avoid SEA issues until a significant number of critical masses is created. Organizations must then face the reality and devise mechanism of mitigating the risks of SEA, rehabilitating survivors, and ensuring justice for the abused.

8.2.1. Reporting

EEA has safe, confidential, and accessible mechanisms and procedures for personnel, program participants and communities, including children, to report SEA allegations and ensures that program participants are aware of these issues. There are two main ways that allegations or concerns may come to the attention of EEA;

1. Directly by a survivor themselves, or by someone close to them, such as a family member or member of the community. A direct report of a concern or incident may also come from EEA staff or representative, staff in another organization who have heard about it in their services, or from a staff member or volunteer who has witnessed it.
2. Indirectly through information collected from different sources and analysis, including research, focus group discussions, studies, and through the collection of reported concerns, leading to identifiable patterns of potential abuse.

Any PSEA concern and/or issue must be reported through one of the official EEA Reporting Channels:

- through the EEA Finance and Admin Division,
- through EEA's CEO
- through the EEA PSEA focal person
- through the Whistleblowing System.

Any information relating to the suspicion of PSEA must be treated with the utmost confidentiality and not be shared with any third party other than those identified as part of the defined reporting channels. EEA must have PSEA focal person at the head office and at regional chapters' levels. The PSEA focal person is responsible for driving awareness of the policy and on how to report, inviting, receiving, and collating all causes for concern. When these collected pieces of

information generate a picture of a site, or a program, or a particular person, the PSEA Focal Point must escalate the matter to trigger further inquiry and/ or investigation.

All EEA employees are protected under federal and regional laws that protect and promote their human rights. Using an internal mechanism does not replace their right to file a human rights complaint. All employees are protected from retaliation from individuals, leadership, or the organization. If an employee opts to use an external option, the PSEA Focal Point will provide basic information about the options available through this policy, but an internal investigation will also be undertaken.

8.2.2. Investigations and Sanctions

EEA has a process for investigation of SEA allegations in place and shall properly and without delay conduct an investigation of SEA by its employees or related personnel or refer to the proper investigative body if the perpetrator is affiliated with another entity. The following steps will be followed for investigation.

1. A copy of the complaint is provided by the PSEA Focal Point or by the Finance and Admin head to the CEO who is informed periodically of the status of the investigation.
2. In cases where the formal complaint is submitted by a third party, the views of the alleged victim will be considered during the preliminary assessment before decisions are made about proceeding with an investigation, except in the case of minors or in the case of transgressions to the Criminal Code.
3. The PSEA Focal Point informs the alleged offender that a complaint has been made, although is not obliged to identify the complainant to ensure protection from reprisals and retaliation.
4. The PSEA Focal Point advises the complainant and the respondent about the confidentiality of the process. The respondent is given an opportunity to respond in writing within ten (10) working days;
5. The CEO may consult with the Executive Committee for confidential guidance and may convene an investigative panel composed of Executive members and the CEO and/or contract an experienced, independent, and impartial third party to conduct the investigation in order to ensure that due process is followed, and the rights of complainants and

respondents are both respected. Even when an investigative panel has been convened or an independent third party contracted, EEA leadership will maintain organizational oversight of the investigation, and ensure that information is shared and communicated adequately.

6. Workers are expected to cooperate during an investigation and provide any details of acts they have experienced or witnessed; this may include interviews with the complainant, respondent, and witnesses.
7. Requests for complainants or respondents to be accompanied by a third party for emotional support or receive other forms of assistance, will be honored by the Executive Director. Third parties are bound by the principles of confidentiality to which they must give written consent and are required to disclose any conflict of interest. In no way should the presence of a third party contribute to further intimidation or trauma.
8. The alleged victim and alleged offender will be informed as appropriate of the status and outcome of the investigation.
9. A final confidential report is prepared by the PSEA Focal Point or independent investigator, and the report is given to the CEO within ten (10 working days) with recommendations for sanctions and response;
10. The report will be safeguarded for confidentiality and protected within a password protected file, but the CEO may share this report with the Executive Committee if deemed necessary, while ensuring that the confidentiality of individuals involved is maintained.
11. If the complainant chooses to withdraw the formal complaint after the investigation has been started, an interview will be conducted with the complainant to ensure that the withdrawal has not been coerced. The withdrawal will be reported to the Executive Director, with follow-up recommendations. The CEO will pursue the investigation if the case violates a criminal code, someone's life is at risk, a child is at risk, or there is a legal mandate to contact authorities, in which case the CEO will consult with legal counsel and the relevant authorities. Complainants will never be asked to sign non-disclosure agreements.

8.2.3. Referral to National Authorities

If, after proper investigation, there is evidence to support allegations of SEA, these cases may be referred to national authorities for criminal prosecution. EEA has a system to promptly refer SEA survivors to available services, based on their needs and consent.

8.3. Cooperative, partnership, consultancy, and related arrangements

- 8.3.1. All EEA contracts and partnership agreements include a standard clause requiring contractors, suppliers, consultants, and sub-partners to commit to a zero-tolerance policy on SEA and to take measures to prevent and respond to SEA.
- 8.3.2. The failure of those entities or individuals to take preventive measures against SEA, to investigate allegations thereof, or to take corrective action when SEA has occurred, shall constitute grounds for termination of any cooperative arrangement.

9. Roles and Responsibilities of EEA staff on PSEA based on their role in the Association (8)

Personnel	Responsibilities
Senior Management	<ul style="list-style-type: none"> • Provide oversight of PSEA prevention and response • Review and update PSEA-related policies and guidance • Ensure attention and resources to PSEA across the organization • Facilitate and oversee investigations of SEA allegations • Coordinate with other organizations on PSEA, including donors • Monitor adhere to the code of conduct by staff
PSEA Focal Point (in coordination with gender/GBV personnel, legal advisor and research and data collection supervisors) Human Resource	<ul style="list-style-type: none"> • Support senior management to meet their PSEA-related responsibilities • Report concerns or issues with PSEA implementation to senior management • Receive reports of SEA allegations and coordinate the response • Conduct training and awareness-raising of personnel and others on PSEA • Coordinate with other relevant actors on PSEA, including inter-agency efforts • Conduct screening for past SEA violations, and other code of conduct and policy violations (e.g. fraud, corruption, abuse of power), as part of recruitment process • Ensure all personnel sign the organization’s code of conduct • Integrate a PSEA clause in contract agreements, including when subcontracting • Support communication with personnel during investigation of SEA allegations • Keep PSEA-related documents of personnel on file, including signed codes of conduct
All Staff	<ul style="list-style-type: none"> • Uphold the code of conduct and PSEA-related policies at all times • Actively participate in SEA-related trainings and awareness-raising efforts, including support for dissemination of PSEA materials and information • Report allegations of SEA through the designated reporting channels • Participate in investigations of SEA allegations as appropriate • Identify and mitigate/avoid SEA-related program risks (particularly for personnel involved in programming)

10. Sanctions and Disciplinary Measures

Based on the appropriate investigation of the alleged incidence and with the support from the legal advisor, PSEA focal person and Gender advisor of EEA corrective measures for the violation of the right could assume either internal or external facet. The external aspect, cases referred to police, will be dealt with the court based on EEA established relationship for this purpose.

Based on the level, time, impact of the violations of the PSEA policy, EEA staff will be liable to any of the following internal corrective measures corrective measures (9):

- verbal or written warning
- performance evaluation (behavior will be exhibited and recorded on performance evaluation)
- Fines
- transfer
- demotion
- suspension
- termination

While these internal measures are being taken the complainant can also take the case to court with the support from the PSEA focal person. Certain serious cases, including physical violence, will result in the immediate termination of the abuser.

11. Implementation of the Policy

EEA will execute the above suggested prevention and response measures along with the investigation and documentation procedures. EEA is in a better position to execute this activity in tune with the research ethics and procedures that has been working on it on a day to day basis.

Furthermore, EEA is expected to assign PSEA focal persons in Addis and in its branch offices. EEA staff are also expected to deliver on the prevention and response roles as indicated in the roles and responsibilities of the association.

12. Monitoring and Evaluation

It is expected that EEA PSEA focal person will develop a more elaborated and workable work plan based on this policy. The work plan and the policy should therefore be regularly monitored to ensure that staff are adhering to the expected behaviors as stipulated in the code of conduct. The monitoring and evaluation system should also check that abusive behaviors and violations of rights are held accountable using this policy. The PSEA focal person, together with the senior management is expected to do the ongoing monitoring and the periodic evaluation of the policy and its implementation.

13. Effective and Mandatory Revision Dates

This manual shall come in to force as of _____ and needs to be revised as deemed necessary.

Annexes

Annex 1: Background and reference check (form 01)



Background &

Reference check form

1. What was the nature of the candidate's previous job?

2. How do you rate their performance overall?

Poor	Satisfactory	good	Excellent

3. How did the candidate interact with others?

4. Why did the candidate leave the job?

5. Do you have any concerns about the candidate working with at-risk populations and/or is there anything that might be of concern to our organization?

6. Are you aware of the candidate having a criminal record or any issues related to child protection that our organization should be aware of?

Yes: _____ No: _____,

If yes please explain

7. At any stage in their employment, did you undertake any disciplinary actions against the candidate related to any safeguarding issues?

Yes: _____ No: _____,

If yes please explain

Annex 2: Incident Report Form for SEA Allegations (9)



Incident Report Form for SEA Allegations

This Incident report form is intended for EEA's internal reporting processes and shared with or others (as required). This should be done confidentially and in a manner that assures the safety of all involved.

1. Details on how, when, and by whom, the allegation was received:

2. Description of alleged incident, including dates, times and locations:

3. Description of alleged or suspected survivors (e.g. name, age, gender, ethnic origin/nationality, specific needs):

4. Description of alleged or suspected perpetrators (e.g. name, age, gender, nationality, organizational affiliation/position, previous record of misconduct):

5. Actions taken by organization in response to allegations to date (e.g. referral for assistance, investigations, notification of UNICEF/Government organs):

6. Actions taken by other organizations or entities (e.g. UNICEF, Government Organs) in response to the allegation:

7. Requested support from partners (e.g. support for SEA survivors, investigations)

Report Submitted by:	
Name:	Contact info (email, phone):
Title:	Date:

Annex 3: Referral Form (9)



Case Referral Form

This Referral form is prepared to be share of Copied filled out with survivors and receiving agency and keep a copy for EEA’s internal records and follow up.²

Referring agency	
Agency/org:	Contact:
Phone:	Email:
Location	
Receiving agency	
Agency/org:	Contact:
Phone:	Email:
Location	
Survivor information	
Name of Survivors :	Phone:
Address:	Age:
Sex	Nationality:
Language:	ID number
If survivor is a minor (under 18)	
Name of primary caregiver:	Relationship to child:
Contact information for caregiver:	Is child separated or unaccompanied? <input type="checkbox"/> Yes <input type="checkbox"/> No
Caregiver is informed about referral? <input type="checkbox"/> Yes <input type="checkbox"/> No (If no, explain)	

² This referral form is adapted from the PSEA policy of Ethiopian Sociologists, social Anthropologies and Social Workers Association (ESSWA).

Background Information/Reason for referral and services already provided

Has the survivor been informed of the referral? <input type="checkbox"/> Yes <input type="checkbox"/> No (If no, explain below)	Has the survivor been referred to any other organization? <input type="checkbox"/> Yes <input type="checkbox"/> No (If yes, explain below)
--	---

Services requested

<input type="checkbox"/> Mental Health Services	<input type="checkbox"/> Protection Services	<input type="checkbox"/> Shelter
<input type="checkbox"/> Psychosocial Support	<input type="checkbox"/> Legal Assistance	<input type="checkbox"/> Material Assistance
<input type="checkbox"/> Social Services	<input type="checkbox"/> Education	<input type="checkbox"/> Nutrition
<input type="checkbox"/> Medical Care	<input type="checkbox"/> Livelihood Support	<input type="checkbox"/> Support for children born as a result of SEA

Please explain any requested services:

Consent to release information. (Read with survivor/ caregiver and answer any questions before s/he signs below. Sign on behalf of survivor/caregiver if consent is given verbally and survivor/caregiver cannot sign.)

I, _____ (**survivor name**), understand that the purpose of the referral and of disclosing this information to _____ (**name of receiving agency**) is to ensure the safety and continuity of care among service providers seeking to serve the client. The service provider, _____ (**name of referring agency**), has clearly explained the procedure of the referral to me and has listed the exact information that is to be disclosed. By signing this form, I authorize this exchange of information.

Signature of responsible party (survivor or caregiver if a child):

Date (DD/MM/YY):

Details of Referral

Any contact or other restrictions? Yes No (If yes, please explain below)

Referral delivered via: Phone (emergency only) E-mail Electronically (e.g., App or database) In Person

Follow-up expected via: Phone E-mail In Person. By date (DD/MM/YY):

Information agencies agree to exchange in follow up:

Name and signature of recipient: _____

Date received (DD/MM/YY): _____



Annex 4. Contracts/partnership agreement for sub-contractors

In accepting my appointment, I undertake to discharge my duties and to regulate my conduct in accordance with the requirements of this Code.

Name: _____

Position: _____

Signature: _____

Date: _____

Location: _____

References

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