The CAFI Fund’s SEAH capacity assessment for participating NUNOs

Non-UN organisations (NUNOs) participating in the Central African Forest Initiative Fund (CAFI) are requested to carry out an auto-assessment of their capacity to prevent, address and respond to Sexual Exploitation, Abuse and Harassment (SEAH). The auto-assessment table below is developed based on the UN Implementing Partner Protection from Sexual Exploitation and Abuse Capacity Assessment. The standards in the capacity assessment are based on the [UN Protocol on Allegations of Sexual Exploitation and Abuse Involving Implementing Partners](https://www.un.org/en/pdfs/UN%20Protocol%20on%20SEA%20Allegations%20involving%20Implementing%20Partners%20-%20English_Final.pdf) (referred to below as the UN IP Protocol), which has been endorsed by UNDP. UN IP Protocol provides operational standards to UN entities working with implementing partners for the application of the [*Secretary-General's bulletin ST/SGB/2003/13 Special measures for protection from sexual exploitation and sexual abuse*](https://eur03.safelinks.protection.outlook.com/?url=https%3A%2F%2Fundocs.org%2Fen%2FST%2FSGB%2F2003%2F13&data=04%7C01%7Cole.ohlhoff%40undp.org%7Cd431134528cd4b7d7a3908d9f61c39cb%7Cb3e5db5e2944483799f57488ace54319%7C0%7C0%7C637811423353228051%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000&sdata=rXyr0kESy2OhqUy4JtrTyr5xlbZkOYkj1EbLzDeLvdU%3D&reserved=0). Further information on UNDP polices, reporting mechanisms and learning materials is available on UNDP’s [SEA/SH site](https://eur03.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.undp.org%2Faccountability%2Fprevention-and-response-sexual-misconduct&data=04%7C01%7Cole.ohlhoff%40undp.org%7Cd431134528cd4b7d7a3908d9f61c39cb%7Cb3e5db5e2944483799f57488ace54319%7C0%7C0%7C637811423353228051%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000&sdata=u7cUa445raYGRXSKw7naRayhoxFKYQq5VF5re09E8KQ%3D&reserved=0).

This capacity assessment complements the commitments related to SEAH made by the NUNO in the Framework Agreement signed with UNDP in its capacity as Administrative Agent for CAFI.

SEAH Assessment of [Name of the NUNO]:

Name and functional title of person completing:

Email address:

Signature:

Date of Assessment:

| **Standard** | **Requirement** | **Has the requirement been met? If yes, please describe how.** | **Please indicate which type of documentation is available, and share the documents by email or hyperlink** |
| --- | --- | --- | --- |
| 1. **Organisational policy and standards** | | | |
| **1A) Organisational policy** | The NUNO has a policy document on SEAH. At a minimum, this document should include a written undertaking that the partner accepts the standards in [ST/SGB/2003/13](https://undocs.org/en/ST/SGB/2003/13).  ([UN IP Protocol](https://www.un.org/en/pdfs/UN%20Protocol%20on%20SEA%20Allegations%20involving%20Implementing%20Partners%20-%20English_Final.pdf) para 15 & Annex A.4) |  | Code of Conduct (internal or interagency)  SEAH policy  Documentation of standard procedures for all personnel to receive/sign SEAH policy  Other (please specify) |
| **1B) Human resources systems** | The NUNO has a systematic vetting procedure in place for job candidates through proper screening. This must include, at minimum, reference and background checks that screen staff for involvement or alleged involvement in sexual misconduct and violations to human rights, as well as a self-declaration by the job candidate requesting that they confirm that they have never been subject to sanctions (disciplinary, administrative or criminal) arising from an investigation in relation to SEAH, or left employment pending investigation and refused to cooperate in such an investigation.  ([UN IP Protocol](https://www.un.org/en/pdfs/UN%20Protocol%20on%20SEA%20Allegations%20involving%20Implementing%20Partners%20-%20English_Final.pdf) para 11; 15; & Annex A.2) |  | Reference check template including check for sexual misconduct (including reference from previous employers and self-declaration)  Recruitment procedures  Other (please specify) |
| **1C)**  **Mandatory training** | The organization holds mandatory trainings (online or in person) for all personnel on SEAH and relevant procedures. All staff that may work with the CAFI Fund must have completed the UN SEAH training[[1]](#footnote-1) or equivalent (if the organization has its own training). The training should include: 1) a definition of SEAH (that is aligned with the UN's definition); 2) explanation on prohibition of SEAH; and 3) actions that personnel are required to take (i.e., prompt reporting of allegations and referral of victims).  ([UN IP Protocol](https://www.un.org/en/pdfs/UN%20Protocol%20on%20SEA%20Allegations%20involving%20Implementing%20Partners%20-%20English_Final.pdf) para 17 & Annex A.5) |  | Annual training plan  Training agenda  Training package  Attendance sheets  Training certificates  Other (please specify): |
| **1D) Organisational management** | The NUNO’s contracts and partnership agreements include a standard clause requiring sub-contractors, to adopt policies that prohibit SEAH and to take measures to prevent and respond to SEAH, including through vetting procedures and trainings.  ([UN IP Protocol](https://www.un.org/en/pdfs/UN%20Protocol%20on%20SEA%20Allegations%20involving%20Implementing%20Partners%20-%20English_Final.pdf) para 11; 15; & Annex A.1) |  | Contracts/partnership agreements for sub- contractors  Other (please specify) |
| 1. **Reporting and investigations** | | | |
| **2A) Reporting mechanisms** | The organization has mechanisms and procedures for personnel, beneficiaries and communities, including children, to report SEAH allegations that comply with standards for reporting and prevention of sexual exploitation and harassment (i.e., safety, confidentiality, transparency, accessibility).  ([UN IP Protocol](https://www.un.org/en/pdfs/UN%20Protocol%20on%20SEA%20Allegations%20involving%20Implementing%20Partners%20-%20English_Final.pdf) para 19 & Annex A.3) |  | Internal Complaints and Feedback Mechanism  Participation in joint reporting mechanisms  Communication materials  SEAH awareness-raising plan  Description of reporting mechanism  Whistle-blower policy  Other (please specify): |
| **2B) Assistance and referrals** | To be consistent with the IP Protocol and other UN SEAH instruments, the organization has a system to refer SEAH victims to available support services available locally, based on their needs and consent. This can include active contribution to in-country SEAH networks and/or GBV systems (where applicable) and/or referral pathways at an inter-agency level.  ([UN IP Protocol](https://www.un.org/en/pdfs/UN%20Protocol%20on%20SEA%20Allegations%20involving%20Implementing%20Partners%20-%20English_Final.pdf) para 22.d.) |  | Internal or Interagency referral pathway  List of available service providers  Description of referral or Standard Operation Procedure (SOP)  Referral form for survivors/victims of GBV/SEAH  Guidelines on victim assistance and/or training on GBV and GBV case management principles  Other (please specify): |
| **2C) Investigation procedures** | The organization has a process for investigation of allegations of SEAH and can provide evidence. This may include a referral system for investigations where in house capacity does not exist.  ([UN IP Protocol](https://www.un.org/en/pdfs/UN%20Protocol%20on%20SEA%20Allegations%20involving%20Implementing%20Partners%20-%20English_Final.pdf) para 20, 23 and 24, & Annex A.6) |  | Written process for review of SEAH allegations  Dedicated resources for investigation(s) and/or commitment of partner for support  SEAH investigation policy/procedures  Contract with professional investigative service  Other (please specify): |
| **2D) Evidence of past investigations and corrective action** | The organization shall disclose any past investigations into allegations of sexual exploitation, abuse or harassment, and any past cases of corrective action taken in response to such allegations.  ([UN IP Protocol](https://www.un.org/en/pdfs/UN%20Protocol%20on%20SEA%20Allegations%20involving%20Implementing%20Partners%20-%20English_Final.pdf) para 20, 22.a, 23 and 24, & Annex A.6) |  | Evidence of investigations carried out or commissioned by the NUNO.  Evidence of implementation of corrective measures identified by the NUNO, including capacity strengthening of staff.  Contract with professional investigative service  Written documentation of previous investigations  Specific measures to identify and reduce risks of SEAH in programme delivery.  Other (please specify): |

1. <https://agora.unicef.org/course/info.php?id=7380> [↑](#footnote-ref-1)