



Formats

PSEA FORMATS

Envisions Institute of Development



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Format 1: Reporting on Status of Action Plan on PSEA

Date: JANUARY 2024

ACTION	PERSON RESPONSIBLE	REQUIRED/AVAILABLE RESOURCES (e.g. financial, HR, logistics)	TARGET DATE FOR COMPLETION	STATUS <small>(i.e. not started/in progress/completed)</small>
<p>Core Standard 1: Organizational Policy</p> <p>An organizational policy on PSEA exists and describes appropriate standards of conduct, other preventive measures, reporting, monitoring, investigation and corrective measures.</p>	CEO	NA	NA	In place
<p>Core Standard 2: Organizational Management and HR Systems</p> <p>The organization's management and HR systems account for PSEA by:</p> <p><u>1</u>: The organization's ToR 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, and</p> <p><u>2</u>: There is a systematic vetting procedure in place for job candidates (e.g. reference checks, police records, Google searches) in accordance with local laws regarding employment, privacy and data protection, including checking for prior involvement in SEA or other safeguarding concerns.</p>	CEO/PSEA Administrator	NA	NA	In place

ACTION	PERSON RESPONSIBLE	REQUIRED/AVAILABLE RESOURCES (e.g. financial, HR, logistics)	TARGET DATE FOR COMPLETION	STATUS (i.e. not started/in progress/completed)
<p>Core Standard 3: Mandatory Training</p> <p><u>Required 1:</u> The organization holds mandatory trainings for all personnel on the organization’s SEA policy and procedures and can provide documentation evidencing regular training, and</p> <p><u>Required 2:</u> The training includes 1) a definition of SEA (that is aligned with the UN's definition); 2) a prohibition of SEA; and 3) actions that personnel are required to take (i.e. prompt reporting of allegations and referral of survivors).</p>	PSEA Administrator	<p>AGORA Platform for PSEA training that is mandatory for all consultants when they sign a TOR with EID</p> <p>Yearly online or in-person refresher trainings for employees and existing consultants</p>	<p>As and when new ToRs are signed</p> <p>Held annually from 2022</p>	<p>On going</p> <p>On going</p>
<p>Develop a short course 2 hour module on PSEA policy and procedures for self - learning updating information on PSEA.</p>	PSEA Administrator	2 days professional fees	31 st March 2023	In-progress
<p>Core Standard 4: Reporting</p> <p>The organization has mechanisms and procedures for personnel, beneficiaries and communities, including children, to report SEA allegations that comply with core standards for reporting (i.e. safety, confidentiality, transparency, accessibility) and ensures that beneficiaries are aware of these.</p>	CEO/PSEA Administrator	NA	NA	In place

ACTION	PERSON RESPONSIBLE	REQUIRED/AVAILABLE RESOURCES (e.g. financial, HR, logistics)	TARGET DATE FOR COMPLETION	STATUS (i.e. not started/in progress/completed)
All training Concept notes and Agenda to have a link to the PSEA guidance note and awareness materials	CEO/PSEA Administrator	NA	As and when Training is organized by EID	On-going
Core Standard 5: Assistance and Referrals The organization has a system to ensure survivors of SEA, including children, receive immediate professional assistance, referring them to relevant service providers.	CEO/PSEA Administrator	As and when external services are charged	As and when required	On-going
Advocate with UNICEF and/or concerned UN partner organisation to develop Contact List of qualified Service Providers for referrals for use by all NGOs in sector	Executive Director	NA	5 th March 2024	Not started
Core Standard 6: Investigations The organization has a process for investigation of allegations of SEA and can provide evidence that it has appropriately dealt with past SEA allegations, if any, through investigation and corrective action	CEO/PSEA Administrator	NA	NA	In place

Format 2: Roles and Responsibilities on PSEA

Personnel	Sample Roles and Responsibilities
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
PSEA Administrator	<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 for support mechanisms for victims • Ensure all personnel sign the organization’s code of conduct
HR Coordinator (with support of PSEA Administrator)	<ul style="list-style-type: none"> • 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 • 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 Personnel	<ul style="list-style-type: none"> • Uphold the code of conduct and PSEA-related policies • Actively participate in SEA-related trainings and awareness-raising efforts, including support for dissemination of PSEA materials • Report allegations of SEA through the designated reporting channels • Participate in investigations of SEA allegations as appropriate • Identify and mitigate/avoid SEA-related programme risks (<i>particularly for personnel involved in programming</i>)

Format 3: PSEA included in Terms of Reference (ToR) for Consultants

Envisions Institute of Development

ISO 9001:2015 Certified | In Special Consultative Status with UN Economic and Social Council since 2019
Project Office: A-42, GF, Sector 53, Noida – 201301
Ph: 0091-120-4162663 email: info@envisions.co.in



1st December 2023

To,
Mr/Ms. XXXXX
Location

Dear XXX

Terms of Reference

Envisions Institute of Development (EID), is a development sector consulting and training organization. Our bouquet of services includes capacity development, research, monitoring and evaluation and implementation.

As discussed, we are pleased to offer you a Short-term Consultancy for conducting training and handholding for Adolescent Anemia project with schools in Pimpri Chinchwad Municipal Corporations.

Scope of work includes the following:

- Attending training of trainers: 3 days
- Conducting training for teachers, (1) ASHAs (2), students(1) in PCMC: 4 days
- Report of the three workshops: 1 day

EID will pay a consultancy of Rs. XXXX for this work. DSA amount of Rs. XXX for the training days will be paid towards incidental expenses like food, local travel, etc.

In case any outstation travel is required that will be taken care of by EID.

Kindly share a signed copy of this contract as a token of your acceptance.

Kindly note that on signing this contract you are also agreeing to abide by EID's Policy on Prevention of Sexual Exploitation and Abuse- PSEA¹. Guidance note to PSEA can be found on this link: www.envisions.co.in.

We look forward to working with you on this mutually beneficial partnership.

Thank you

For Envisions Institute of Development

A handwritten signature in blue ink that reads "NISAR AH/AD".

Nisar Ahmad

Executive Director

¹ EID has Zero Tolerance Policy towards Sexual Harassment, Exploitation and Abuse. Sexual harassment in any form is not acceptable or allowed, and perpetrators will face swift and serious consequences including immediate termination of services.

EID strictly prohibits all forms of unlawful harassment (including sexual harassment and sexual violence), discrimination or retaliation in any form.


Sexual exploitation and abuse and child abuse by EID Employees and Related Personnel constitute acts of gross misconduct and are therefore grounds for termination of contract.

Format 4: Self-Declaration Clause for PSEA-Sensitive Recruitment & Contracting¹

Checklist for PSEA-Sensitive Recruitment, Contracting and Performance Management

- Include a sentence in job announcements to notify candidates that background and reference checks will be conducted, and ethics is part of annual performance appraisals
- Require applicants to self-declare prior issues of sexual or other misconduct, termination of past employment, criminal records, and concerns registered with government authorities regarding contact with children, and to consent to the disclosure of any such information by their former employers during verification of references.

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Self-Declaration Clause

I hereby certify that, to the best of my knowledge and belief, all of the information I provide in this form is true, complete and made in good faith. I understand that false and fraudulent information provided herein may disqualify me from further consideration for employment and, if employed, may result in termination of employment if discovered at a late date. Strike out what is not applicable

1. Have you ever been the subject of a misconduct investigation involving sexual or other types of harassment, exploitation or abuse, bullying, child labour, child abuse or trafficking? **Yes / No**
If you answered yes to the above, please explain

2. Have you even been convicted of engaging or attempting to engage in sexual activity in the community facilitated by force, overt or implied threats of force, or coercion, or if the victim did not consent or was unable to consent or refuse? **Yes / No**

3. Have you ever been civilly or administratively adjudicated to have engaged in sexual activity, sexual abuse, or sexual harassment? **Yes / No**

By my signature below, I understand my continuing affirmative duty to disclose any change in my reporting status as indicated above. I further understand that any material omissions regarding such misconduct, or the provision of materially false information, shall be grounds for termination.

Name: _____

Signature: _____ Date: _____

Witnessed by (EID Representative) _____ Date: _____

***Forward Original to Personnel Office.**

EID has Zero Tolerance Policy towards Sexual Harassment, Exploitation and Abuse. Sexual harassment in any form is not acceptable or allowed, and perpetrators will face swift and serious consequences including immediate termination of services.
EID strictly prohibits all forms of unlawful harassment (including sexual harassment and sexual violence), discrimination or retaliation in any form.
Sexual exploitation and abuse and child abuse by EID Employees and Related Personnel constitute acts of gross misconduct and are therefore grounds for termination of contract.

¹ Based on IASC, [PSEA-MOS](#), January 2016; IASC, [Summary of IASC Good Practices: Preventing Sexual Exploitation and Abuse and Sexual Harassment and Abuse of Aid Workers](#), May 2018.

- ❑ Conduct background checks (e.g. police records, Google searches) and contact references to vet for former misconduct in accordance with local laws regarding employment, privacy and data protection
- ❑ Ensure gender-balanced interview panels during hiring processes and conduct gender neutral interviews²
- ❑ Ask candidates interview questions about ethics and ethical dilemmas (e.g. What’s your idea of an ethical organization? Tell me about a time when you faced an ethical challenge.)
- ❑ Include a PSEA clause³ in employment contracts, including when subcontracting
- ❑ Outline disciplinary measures in the event of proven SEA allegations (e.g. termination of contract)
- ❑ Include training in PSEA as part of onboarding process and provide refresher courses at regular intervals during employment tenure
- ❑ Include adherence to code of conduct (e.g. participation in PSEA trainings) in performance appraisals of staff
- ❑ Include in the performance appraisals of senior staff their effectiveness in creating and maintaining an environment which prevents and responds to SEA
- ❑ Freeze professional advancement/recruitment opportunities of individuals under investigation
- ❑ In cases of confirmed misconduct, take robust disciplinary action (e.g. dismissal, suspension, written censure or other administrative/corrective measures) and, where this involves possible criminal conduct, reporting the incident to local law enforcement authorities under POSH, POCSO, PSEA as applicable.
- ❑ Maintain an internal database documenting any disciplinary measures on personnel, including dismissals, to avoid rehiring them at a later point in time
- ❑ Systematically share relevant information of personnel known to have committed SEA with other potential employers during background checks, to the extent legally possible.

² [UNICEF Gender Balance Strategies and Tools](#), accessed July 8, 2019

³ Language for the PSEA clause: “The Contractor shall take all appropriate measures to prevent sexual exploitation or abuse of anyone by its employees or any other persons engaged and controlled by the Contractor to perform any services under the Contract. Any breach of the provision by the Contractor shall entitle EID to terminate the contract with immediate effect.”

Format 5: Sample PSEA Training Agenda

ACTIVITY	EST. TIME	RESOURCES
INTRODUCTION		
<p>Welcome and introduction</p> <ul style="list-style-type: none"> • Introduction of trainer(s) and learners • Overview of training agenda • Expected learning outcomes 	15 min	<ul style="list-style-type: none"> • Handout: Training agenda
SESSION 1: UNDERSTANDING SEXUAL EXPLOITATION AND ABUSE		
<p>Presentation: Key definitions and concepts</p> <ul style="list-style-type: none"> • Definition of SEA • UN Zero-Tolerance Policy on SEA • Roles and responsibilities of personnel in preventing and responding to SEA 	15 min	<ul style="list-style-type: none"> • Handouts: Copies of SG’s Bulletin (ST/SGB/2003/13), organization’s code of conduct and other relevant documents
<p>Case scenarios: Is this SEA?</p> <ul style="list-style-type: none"> • Present practical scenarios and discuss which ones may be cases of SEA and why 	45 min	
<p>Group exercise: Impacts of SEA</p> <ul style="list-style-type: none"> • Ask learners to identify the (potential) consequences of SEA on a) the survivor(s), b) the community, c) the organization, and d) others 	30 min	
SESSION 2: TAKING ACTION AGAINST SEA		
<p>Presentation: Overview</p> <ul style="list-style-type: none"> • Overview of responses to SEA (prevention, reporting, investigation and referral) • Guiding principles (including survivor-centered approach) 	20 min	<ul style="list-style-type: none"> • Handout of relevant tools of UNICEF’s <i>PSEA Practical Guide Toolkit for UNICEF and Partners</i> (e.g. organizational self-assessment, action plan template, PSEA

		risk assessment and mitigation)
Group discussion: Prevention <ul style="list-style-type: none"> Discuss how to identify and mitigate risks of SEA in their context (What are warning signs? Why are they ignored? What more can the organization do to prevent SEA?) 	45 min	
Presentation: Reporting <ul style="list-style-type: none"> Mandatory reporting How to report SEA allegations, including confidentiality issues and “the best interest of the child” Protections for those reporting SEA allegations 	20 min	<ul style="list-style-type: none"> Handout with contact information of reporting channels and policy for protecting whistleblowers and/or complainants
Presentation: Investigations <ul style="list-style-type: none"> Overview of investigation process Consequences for personnel if allegations are substantiated Responsibilities of personnel to fully participate in any investigation 	10 min	
Presentation: Assistance <ul style="list-style-type: none"> Service needs of survivors (and witnesses) Survivor-centered approaches and informed consent Referral pathways 	10 min	
CONCLUSIONS		
Conclusions <ul style="list-style-type: none"> Summary of key learnings 	10 min	Feedback forms

Format 6: Sample Incident Report Form for SEA Allegations

CONFIDENTIAL: Access to this document is restrict to Board of Directors of EID, CEO and PSEA Administrator only. The document is password protected and needs a two-step verification for opening Names mentioned in the document are coded and the codes are accessible to the above mentioned authorities. All information that could reveal identities (e.g. date of birth, address, phone number, description of unique physical traits) is omitted in this report.

1. How was the allegation received? (verbal, phone, mail, message etc)
2. Who gave the message of the allegation (name/through____(name of person who gave the allegation on behalf of the potential victim)
3. Name of person who received the allegation?
4. When (date and time) was the allegation received
5. Description of alleged incident, including dates, times and locations:
6. Description of alleged or suspected survivors (e.g. name, age, gender, ethnic origin/nationality, specific needs):
7. Description of alleged or suspected perpetrators (e.g. name, age, gender, nationality, organizational affiliation/position, previous record of misconduct):
8. Actions taken by organization in response to allegations to date (e.g. referral for assistance, investigations, notification of UN/Host Government):
9. Requested support from partners (e.g. support for SEA survivors, investigations)

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

Format 7: Sample Referral Form⁴

REFERRAL FORM

CONFIDENTIAL: Restricted Access.

Note: Copies of filled out referral forms will be shared with the survivor and receiving agency and a copy of the same will be kept for EID's internal records and follow-up.

Referring agency	
Agency/org:	Contact:
Phone:	Email:
Location	

Receiving agency	
Agency/org:	Contact:
Phone:	Email:
Location	

Survivor information	
Name:	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)	

⁴ Adapted from: IASC Reference Group for Mental Health and Psychosocial Support in Emergency Settings, [Inter-Agency Referral Form and Guidance Note](#), 2017

Background Information/Reason for referral and services already provided

Has the survivor been informed of the referral?

 Yes No (If no, explain below)

Has the survivor been referred to any other organization?

c Yes No (If yes, explain below)**Services requested** Mental Health Services Protection Services Shelter Psychosocial Support Legal Assistance Material Assistance Social Services Education Nutrition Medical Care Livelihood Support Support for children born as a result of SEA

Please explain any requested services:

Consent to release information. (to be read with survivor/ caregiver and answer any questions before s/he signs below. Signed 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 ReferralAny 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 PersonFollow-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):

Format 8: ToR for External Investigator of SEA Allegations⁵

1. Background

[Brief description of the SEA allegation and other relevant information that may support the investigation.]

2. Purpose and Objectives

The purpose of this investigation is to conduct a thorough, objective and effective investigation of the above-mentioned reported SEA allegations and other related incidents, in accordance with professional standards and best international practice.

Specific objectives are to:

- 1) Assess whether the allegations reasonably amount to SEA, and possibly, an offence under national law;
- 2) Review evidence presented and gather further evidence that might support or undermine the allegations;
- 3) Present a summary of the evidence and conclusions.

3. Scope of Work

Key deliverables are:

- Work plan, including detailed methodology of investigation (e.g. review of relevant documents, site visit(s), interviews with relevant stakeholders)
- Recommended plan of actions for protecting survivors, witnesses, alleged perpetrators and the organization during investigation process
- Investigation report, including
 - 1) Executive Summary
 - 2) Introduction
 - 3) Allegations (i.e. listing all allegations; names of the organization's policies/code of conduct and laws potentially violated)
 - 4) Investigative approach (e.g. interviews, review of documents)

⁵ Adapted from: Scoping tool for Terms of Reference (adapted from SOS Children's Villages International), included in: Keeping Children Safe, [Management of Child Safeguarding Allegations](#), 2016.

- 5) Chronology of events
- 6) Analysis of evidence
- 7) Retaliation and protection risks (and steps taken to address them)
- 8) Analysis of adequacy of organization's response to SEA allegation
- 9) Conclusions regarding evidence to substantiate or not the allegation(s)
- 10) Recommendations (including areas of improvement for the organization's response to PSEA)

4. Key Required Skills and Experiences

- Experienced, reliable professional investigator with experience in dealing with highly sensitive cases
- Trained in conducting interviews, including with children, vulnerable women and people who experienced trauma
- Demonstrated sensitivity and knowledge to cultural diversity and gender issues, including GBV experience if possible
- Fluent in relevant languages for interviews with personnel and other witnesses, and in English
- Proven communication and organizational skills
- Proven report writing skill- all reports to be presented in English (EID will aid in translations where required)

Format 9: Confidentiality Reminder Note for SEA Investigations

You have been asked to provide assistance in an investigation of allegations of sexual exploitation or abuse involving personnel that is currently being undertaken. You may be interviewed, asked to provide documents, computer files and other records, or asked to assist in some other way. Internal investigations are a key part of our organization's commitment to preventing and responding to sexual exploitation and abuse.

As a participant in an investigation, there are certain points you need to know:

1. **Co-operate.** You are encouraged to co-operate with the investigations and respond to all questions and requests from investigators honestly and fully.
2. **Keep it confidential.** You must keep confidential the fact that an investigation is underway and anything discussed with you as part of the investigation.
3. **No retaliation.** Our organization does not tolerate any type or threat of retaliation against anyone who reports a violation or cooperates in an investigation.
4. **Don't play detective.** Do not try to carry out your own inquiries or exhort witnesses as this may disrupt the ongoing investigation.
5. **No obstruction.** Never attempt to interfere with or obstruct an investigation.

Your compliance with these requirements is imperative. Violations can potentially result in severe discipline up to and including discharge and referral to criminal charges.

Thank you very much for assisting the organization with its investigation. If you learn or remember anything else that might be relevant to the investigation, or if you have any questions please contact me.

Name: Varsha Chanda

Position: CEO

Email: varsha.chanda@envisions.co.in

Phone: 9999200209

Format 10: for Risk Assessment and Management During SEA Investigation⁶

CONFIDENTIAL: Restricted Access

RISK ASSESSMENT				MANAGEMENT			
No.	Who is at risk?	Identified risk(s)	Likelihood of risk*	Previous measures to manage risk(s) to date	Additional mitigation measures	By whom?	By when
<i>Example</i>	<i>Survivor</i>	<i>Alleged perpetrator pressuring survivor to withdraw allegations</i>	<i>Medium</i>	<i>Verbal communication to alleged perpetrator to abstain from contact with survivor [Date dd/mm/yyyy]</i>	<i>Written warning to alleged perpetrator regarding consequences of continued contact</i>	<i>PSEA Administrator</i>	<i>On first report notification</i>
1.							
2.							
3.							

* High/Medium /Low

⁶ Adapted from Template of SOS Children's Village, in: Keeping Children Safe, *Management of Child Safeguarding Violations*, 2016.
<https://www.keepingchildrensafe.org.uk/how-we-keep-children-safe/capacity-building/resources/management-child-safeguarding-allegations>

AWARENESS IEC

Every person has the
right to be safe from
harm and abuse

If you are worried about the safety
of yourself or someone you know
being at risk,
you should report this on
support4psea@envisions.co.in

ZERO TOLERANCE
FOR SEXUAL EXPLOITATION AND ABUSE

**NO EXCUSE
FOR ABUSE**



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AWARENESS IEC

SAY NO TO SEXUAL EXPLOITATION AND
ABUSE

ZERO TOLERANCE
FOR SEXUAL EXPLOITATION AND ABUSE

NO EXCUSE
FOR ABUSE



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AWARENESS IEC

If you feel threatened
or unsafe, speak to us

During the interaction of any EID staff member with you, if
you feel uncomfortable,

Write to us at

support4psea@envisions.co.in



ZERO TOLERANCE
FOR SEXUAL EXPLOITATION AND ABUSE



Honouring our values

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AWARENESS IEC

It is never a survivor's
fault

The survivor is never to blame
EID does not tolerate sexual exploitation and abuse
People's safety and dignity is the priority
Contact : support4psea@envisions.co.in



ZERO TOLERANCE
FOR SEXUAL EXPLOITATION AND ABUSE

NO EXCUSE
FOR ABUSE



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