

**UNITED NATIONS PROTOCOL ON  
ALLEGATIONS OF SEXUAL EXPLOITATION AND ABUSE  
INVOLVING IMPLEMENTING PARTNERS**

**21 March 2018**

**RATIONALE**

1. This protocol outlines



## DEFINITIONS

For purposes of this protocol, the following definitions apply:

9. The UN defines sexual exploitation and abuse as follows:<sup>3</sup>
  - a. *Sexual exploitation* is 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.
  - b. *Sexual abuse* means the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions. 630.82 Tm0 g0 G[ )]TJET9ring (en-US)BD q0.0000



- a. Justify the selection of that implementing partner notwithstanding its assessed weak capacity to prevent or to mitigate risks of SEA; and
- b. Implement appropriate risk mitigation measures, including capacity building and monitoring. (See Annex A)

UN offices or entities will provide requested results of any screening of partners with other UN offices or entities.

#### Entering into cooperative arrangements with implementing partners

15. When entering into cooperative arrangements with implementing partners, officials from the relevant UN partner entity shall inform those implementing partners of the standards of conduct listed in section 3 of ST/SGB/2003/13, and shall receive a written undertaking from them, in accordance with section 6.1 of ST/SGB/2003/13. A copy of any SEA policy documents issued by the relevant UN partner



UN partner entity, and the respective implementing partner, to communicate the UN mandatory reporting of SEA allegations to all related personnel, and to provide support for the establishment of reporting mechanisms at field level.<sup>5</sup>

20. The UN entity shall have the right to investigate SEA allegations involving implementing partners and its associated personnel, notwithstanding related investigations undertaken by the implementing partner or national authorities. Where the investigation is not conducted by a UN entity directly, the UN partner entity will seek all relevant information to determine whether the implementing partner has taken appropriate investigative or corrective action.
21. The UN partner



risk' assessment is reduced. Corrective actions will be identified by the UN entity, together with the implementing partner, and may include increased monitoring of programme activities on site and additional capacity development for the implementing partner.

24. Failure of the implementing partner to comply with the above-stated corrective actions can result in a termination of the agreement before the end of the agreement period.<sup>7</sup> The cooperative arrangement with the implementing partner shall expressly provide for this contingency.

**Annex A. Specific areas/steps of risk assessment and appropriate mitigation measures for UN implementing partners**

Assessment criteria	UN action
If the partner plans to sub-contract activities to another entity, the partner has the necessary reporting and monitoring mechanisms in place to prevent and respond to allegations and incidents of SEA.	Request the partner to describe reporting and monitoring mechanisms in place.
The partner has properly screened staff for involvement or alleged involvement in SEA or violations of human rights.  The partner has reporting procedures in place for SEA allegations for employees, contractors/sub-implementing partners and	Confirm that reference and background checks for partner personnel have been completed.

