

**Safeguarding Self-Assessment Tool for Implementing Partners**

**that Interact with Program Participants**

**Safeguarding Program Participants:** Protecting program participants from sexual exploitation and abuse (SEA) and other harm as a result of their engagement with FHI 360-supported programs, including harm committed by FHI 360 personnel or supplier/partner personnel.

**Program Participant:** Any person who is served by an FHI 360-supported program or has contact with FHI 360 personnel, suppliers, or supplier personnel in connection with or as a result of FHI 360’s programs or business activities.

**How to use this Tool**

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| --- | --- |
| **Purpose of the tool** | This tool assists FHI 360’s implementing partners in assessing adherence to a set of industry standards for safeguarding program participants. When the standards are effectively and fully implemented, it is an indication that an organization has taken important steps to establish internal controls to address SEA, mitigating the risk of harm towards program participants. The standards in this tool align with [FHI 360’s safeguarding policies](https://www.fhi360.org/about-us/compliance-office), major funder requirements, and international safeguarding standards.[[1]](#footnote-2) |
| **Which FHI 360 partners should be engaged to complete this tool?** | FHI 360 project teams facilitate the completion of this tool by any FHI 360 subcontractor or subrecipient (implementing partner) that interacts with, implements programs with, or delivers services to program participants in communities. FHI 360 contracts/grants staff facilitate the completion of this tool during the onboarding of these partners. This tool does not need to be completed by partners that do not interact with program participants in the community. |
| **When does the tool need to be completed?** | FHI 360 project teams are required to facilitate the completion of this tool by subcontractors and subrecipients that interact with program participants in the community within 90 days after contract/agreement is signed with FHI 360 and annually thereafter. For partners that work on multiple FHI 360-supported projects, the same completed tool can be submitted for all relevant projects. |
| **How to use the results?** | FHI 360 recognizes that strengthening organizational systems is an ongoing process and takes an investment of time and resources; the expectation is that our partners are taking steps to align with the industry standards outlined in this tool. Implementing partners should use results of this tool to identify and address any gaps and include updates in any progress reports submitted to FHI 360, where applicable. Where possible, FHI 360 may share information, tools, and resources to help implementing partners strengthen their organizational capacity, but partners are responsible for strengthening their own internal systems. FHI 360 project teams should include the standards in this tool in the project’s monitoring plan and monitor partners’ progress in addressing any gaps. FHI 360 may decide to discontinue its partnership with an organization that continues to maintain a “low” adherence score or neglects to submit a completed tool to FHI 360. In such cases, the FHI 360 project director will consult with FHI 360 regional leadership, Operations Management, and/or their Contract Management Services (CMS), as needed, to explore barriers for an implementing partner in completing the tool and determine a course of action. |

**Instructions**

1. For each standard, tick “yes” if the standard is fully met. Tick “no” if the standard is not fully met.
2. Under “Means of Verification,” tick the boxes that apply and/or describe other means of verification.
3. Add up the points to obtain a total score (up to 9 points possible).
4. Determine the project’s “adherence rating” based on the total score (full, medium, low) and enter the total score and adherence rating at the end of the tool.
5. Submit completed tool to the FHI 360 point-of-contract for the project. FHI 360 project teams upload to [Vine](https://vine.fhi360.org/).

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| --- | --- |
| Total Score | Adherence Rating |
| 9 | **Full Adherence:** Meets all standards |
| 7 – 8 | **Medium Adherence:** Meets most standards; action needed to address gaps |
| 6 or fewer | **Low Adherence:** Does not meet most standards; immediate action needed to address gaps |

**Safeguarding Self-Assessment Tool for Implementing Partners**

|  |  |  |  |
| --- | --- | --- | --- |
| **Standard** | **Means of Verification**  **(Check all that apply)** | **No** | **Yes** |
| 1. **Organizational Policy**   The organization has a written policy for preventing sexual exploitation and abuse (PSEA) that, at a minimum, aligns with the standards and prohibited conduct outlined in the United Nations Secretary General’s Bulletin (ST/SGB/2003/13) and the [IASC’s Six Core Principles for Preventing Sexual Exploitation and Abuse](https://interagencystandingcommittee.org/inter-agency-standing-committee/iasc-six-core-principles-relating-sexual-exploitation-and-abuse). This could be a stand-alone policy or incorporated into an existing policy, such as an organization’s Code of Conduct, which staff, volunteers, and incentivized workers must sign.  **For organizations that work with children, a child safeguarding policy must be in place and include:**   * Definition of “child” as anyone under the age of 18 years old, regardless of local age of consent/majority * Requirement to comply with host country and local child welfare and protection legislation * Statement that prohibits all personnel from engaging in child abuse, exploitation, or neglect * Procedure for assessing potential risks to children and applying measures to reduce the risk including, but not limited to, limiting unsupervised interactions with children, prohibiting exposure to material of a sexual nature, and protections during photographing, filming, and other image-generating activities * Procedure for ensuring personnel understand the signs of child abuse, exploitation, and neglect * Requirement and procedure for personnel to report harm committed by personnel to the organization * Consequences for engaging in child abuse, exploitation, or neglect, including, but not limited to, dismissal of personnel | Code of Conduct  PSEA Policy  Child Safeguarding Policy  Signed Codes of Conduct  Other (specify) | **0 points** | **1 point** |
| Comments: | |
| **Standard** | **Means of Verification**  **(Check all that apply)** | **No** | **Yes** |
| 1. **Recruitment and Hiring**   The organization vets job candidates, including at least two reference checks, and where the candidate has an employment history, the two references should be conducted with former employers to verify if the candidate had any substantiated misconduct or policy violations during previous employment. Where possible, criminal background checks are conducted. Where no system for checking criminal background exists, additional references with previous employers are routinely checked. For positions that involve interaction or exposure to children, the organization must not hire anyone who has a history of abuse or exploitation of children. | Reference checks documented  Where a system exists, completed criminal background checks documented  Other (specify): | **0 points** | **1 point** |
| Comments: | |
| **Standard** | **Means of Verification**  **(Check all that apply)** | **No** | **Yes** |
| 1. **Subcontractors/Sub-recipients/Vendors**   The organization’s contracts and agreements include a standard clause requiring its subcontractors, sub-recipients, and vendors to adhere to the organization’s policy that prohibits SEA and requires reporting of SEA to the organization.  For FHI 360-supported projects, the organization flows down safeguarding requirements outlined in the Terms and Conditions of its contract/agreement with FHI 360. | Supplier and partner contracts and agreements  Other (specify): | **0 points** | **1 point** |
| Comments: | |
| **Standard** | **Means of Verification**  **(Check all that apply)** | **No** | **Yes** |
| 1. **Mandatory Training**   All personnel are required to complete safeguarding training as part of their onboarding (online or in-person). The training must include: 1) a definition of SEA that aligns with the [UN's definition](https://www.un.org/en/pdfs/UN%20Protocol%20on%20SEA%20Allegations%20involving%20Implementing%20Partners%20-%20English_Final.pdf); 2) prohibited conduct; and 3) reporting requirements and mechanisms.  To support this, partner personnel may access FHI 360’s BTE eModule, *Safeguarding Program Participants*, available at <https://niwlfhi360.talentlms.com/learner/courseinfo/id:179>. The content of this eModule may also be delivered via in-person sessions. | Certificates of completion  Sign-in sheets, if applicable  Other (specify) | **0 points** | **1 point** |
| Comments: | |
| **Standard** | **Means of Verification**  **(Check all that apply)** | **No** | **Yes** |
| 1. **Reporting and Complaints Mechanisms**   The organization has safe, confidential, and accessible internal mechanisms for personnel and program participants to report SEA.  For FHI 360-supported projects, complaints must be further escalated to FHI 360’s Office of Compliance and Internal Audit (OCIA) at [compliance@fhi360.org](mailto:compliance@fhi360.org) or FHI 360’s reporting website at:  <https://app.convercent.com/en-us/LandingPage/cdf696bd-4358-e811-80da-000d3ab0d899> | Written description of internal reporting mechanisms and how complaints are managed  Other (specify) | **0 points** | **1 point** |
| Comments: | |
| **Standard** | **Means of Verification**  **(Check all that apply)** | **No** | **Yes** |
| 1. **Awareness-Raising**   Age-appropriate awareness-raising materials are visible/disseminated to program participants in languages they understand. Materials include information about how to report SEA to the organization. | PSEA awareness-raising materials  Other (specify) | **0 points** | **1 point** |
| Comments: | |
| **Standard** | **Means of Verification**  **(Check all that apply)** | **No** | **Yes** |
| 1. **Assistance and Referrals**   The organization has an established procedure to identify local victim/survivor support services. This could include participation in an inter-agency network and referral pathways, where available. Personnel understand how to refer program participants to available medical, psychosocial, shelter, and legal services. | Referral/Services Directory  Description of referral pathways  Other (specify) | **0 points** | **1 point** |
| Comments: | |
| **Standard** | **Means of Verification**  **(Check all that apply)** | **No** | **Yes** |
| 1. **Investigations**   The organization has a process for investigating SEA allegations. Where internal capacity does not exist, the organization has a written procedure or policy that includes engaging third-party investigators.  SEA allegations against program participants on an FHI 360-supported project are escalated to FHI 360 for coordination and/or investigation. | Written procedures for how SEA allegations are investigated  Contracts with third-party investigators, if applicable  Other (specify) | **0 points** | **1 point** |
| Comments: | |
| **Standard** | **Means of Verification**  **(Check all that apply)** | **No** | **Yes** |
| 1. **Corrective Action**   The organization takes corrective action in response to SEA allegations, up to and including termination of employment or partnership with personnel who engage in SEA or other misconduct towards program participants. | Written procedures for disciplinary actions  Evidence of corrective action, if applicable  Other (specify) | **0 points** | **1 point** |
| Comments: | |

**Add Points to Obtain a Total Score and Adherence Rating**

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| --- | --- |
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| --- | --- | --- |
| **ENTER TOTAL SCORE (Total possible = 9)** |  |  |
| **Adherence Rating (Full, Medium, Low)** |  |  |

**Country:**

**FHI 360 Project Name:**

**Organization (Implementing Partner):**

**Name of Person Completing this Tool:**

**Email:**

**Date:**

1. This tool is adapted from the [United Nations Implementing Partner PSEA Capacity Assessment](https://interagencystandingcommittee.org/system/files/2020-09/UN%20IP%20PSEA%20Common%20Assessment%20-%20Final.pdf) and aligns with [FHI 360’s policies](https://www.fhi360.org/about-us/compliance-office), major funder requirements, and international standards for safeguarding program participants. [↑](#footnote-ref-2)