

# CEB Task Force on addressing sexual harassment in the organizations of the UN system

## UPDATE

**United Nations System  
Chief Executives Board for Coordination**

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## EXECUTIVE SUMMARY

Harassment of any type is antithetical to the principles of the United Nations. Sexual harassment, in particular, is the manifestation of a culture of discrimination and privilege based on unequal gender relations and other power dynamics.

At its 2017 session, the CEB established a CEB Task Force on Addressing Sexual Harassment within the organizations of the United Nations System, chaired by the Chair of the HLCM. Intensive work has taken place over the last months with the Task Force focusing on how the system can most rapidly scale up prevention and response efforts, to protect and support victims, to strengthen investigative capacity and to create an enabling working environment.

The Task Force is driving a series of priority initiatives, with immediate action in five key areas:

1. **Uniform definition:** applying a uniform definition of sexual harassment consistently.
2. **Harmonizing policy:** Developing common principles applicable to all UN system organizations, and strengthening investigative capacity.
3. **Screening system:** Establishing a UN system-wide screening database to avoid rehire of individuals whose working relationship with an organization of the system ended because of a determination that they perpetrated sexual harassment.
4. **Evidence for action:** Collecting and analyzing data across the UN system so that reporting is timely and accurate, and policy is firmly based on the best available evidence.
5. **Outreach tools:** Developing awareness-raising, communication and outreach tools, including a common Guide for Managers.

The recommendations of the Task Force were presented to the High Level Committee on Management at its meeting on 13 April 2018 for review, guidance and input.

Action has been accelerated, but much more needs to be done: Organizations of the UN system need to dismantle informal cultures of silence and permissiveness that provide the breeding ground for sexual harassment; to remove existing obstacles that stand in the way of holding perpetrators to account and properly protect and assist victims of sexual harassment; to scale up prevention and response efforts; to strengthen investigative capacity; and to create a diverse, inclusive and respectful working environment, where all staff are equally valued and treated with dignity.

The Task Force will continue its work, with a view to presenting its conclusions at the Board's fall 2018 session, focusing on the following priorities:

- Finalization and adoption of a UN System Sexual Harassment Policy Reference Model;
- Development of a mechanism for system-wide collection and analysis of data to ensure timely and accurate reporting and evidence-based policy making;

- Expansion of the screening system to include individuals with pending allegations of sexual harassment who leave the organization before the completion of the process.
- Development of proposals to strengthen investigative capacity;
- Preparation of a proposal for common approach on sexual harassment helplines/hotlines; and,
- Development of awareness-raising, communication and outreach tools on prevention of, and response to sexual harassment in the workplace.

## OVERARCHING OBSERVATIONS

Reflecting on experiences and challenges in dealing with sexual harassment, the Task Force made a number of overarching observations, including:

- **Tone from the Top:** The key role of senior-most leadership in communicating and demonstrating zero tolerance was emphasized.
- **Victim-Centred Approach:** The perspective of victims of sexual harassment needs to guide the UN system's approach and be systematically integrated into measures to address the issue.
- **Prevention:** the need to strengthen the culture of prevention across the Organization and take concrete preventive actions to increase awareness and affect behavioural changes was stressed, with emphasis on the key role of managers.
- **Enhancing Coherence:** The development of system-wide standards, in particularly in the areas of preventing, reporting, investigating and communicating on sexual harassment, is instrumental to enhancing coherence and coordination among UN entities on this important issue.
- **Implementation mechanisms:** The credibility of a zero-tolerance policy depends on an organizations' ability to devise strong implementation mechanisms to complement regulatory and policy frameworks on sexual harassment, to have in place effective protection measures against retaliation, and, to hold perpetrators to account.
- **Links with other forms of prohibited conduct:** In this context it was clarified that there are many linkages between sexual exploitation and abuse, and sexual harassment in the workplace, but that these two issues need to be considered and addressed as separate, albeit connected, issues.
- **Investigation:** the need to urgently enhance the system's investigative capacity and to significantly reduce the time it takes to complete investigations of sexual harassment allegations, notwithstanding the need for thoroughness, was stressed. Mindful of due process and confidentiality requirements, members called for greater transparency in the investigative process.
- **Data:** The Task Force emphasized the importance of data and the need to improve system-wide collection.
- **Under-reporting:** The Task Force took note of the information collected through the questionnaires and the analysis of causes for under-reporting and encouraged member organizations to review and adjust their monitoring mechanisms to ensure systematic data collection on case reporting and related outcomes.
- **Communication and outreach:** More detailed and systematic communication to staff using a variety of communication channels and outreach tools was seen as an effective way to enhance awareness and increase trust in the Organization.

## TASK FORCE DELIVERABLES

Drawing on the data collected through questionnaires, and organizational experience, Task Force members agreed to pursue a number of work streams as priority areas for action.

### POLICY

The Task Force identified the need to drive efforts on harmonizing policy, beginning with establishing common terminology and definitions to ensure a shared understanding of what constitutes sexual harassment.

Approaches and instruments for addressing sexual harassment vary considerably within the UN system resulting in a complex and fragmented policy and regulatory environment. In order to enhance policy alignment and coherence across the UN system and foster a common and consistent response to sexual harassment system-wide, a consultative process was initiated, under the leadership of UN-OHRM, to develop a common United Nations System Sexual Harassment Policy Reference Model.

As comparative review of existing regulatory, policy, and administrative frameworks related to sexual harassment in the UN system was carried out in order to identify commonalities and variations among those instruments as well as best practices and lessons learned. The findings of the review were intended to inform the development of a sexual harassment policy reference model that puts protection and support of victims at the centre.

Drawing on the findings of the review, a set of common principles and recommendations, including a uniform definition of sexual harassment and a model explanatory note, were developed (see Annex 1), which will inform the finalization of the common United Nations System Sexual Harassment Policy Reference Model applicable to all UN system entities.

The Task Force considered that a uniform definition of sexual harassment would be a critical aspect of a more coherent system-wide approach to addressing the issue. The Task Force emphasized the need to strive for the highest possible standards that explicitly safeguarded the perspective of the target of sexual harassment.

The uniform definition on sexual harassment and the common principles are to be seen as a basis on which UN system entities will conduct further consultation towards the development of a full-fledged UN system sexual harassment policy reference model, to be finalized by the third quarter 2018.

The uniform definition and explanatory note would be applicable to both the forthcoming UN System Sexual Harassment Policy Reference Model, as well as to the Screening Database.

## DATA AND REPORTING

The Task Force identified the lack of data and information on sexual harassment and, specifically, the issue under-reporting of sexual harassment cases as matters requiring priority attention. Under the joint leadership of WFP and UNICEF, the Task Force engaged in several concurrent actions to better understand and address this concern. Conducting analysis on causes of under-reporting and remedial approaches, it outlined best practices to address these causes. The Task Force drove action towards the establishment of a system-wide database to assist entities in avoiding hiring or re-hiring sexual harassment offenders, including the development of a set of Guidelines.

### *Sexual Harassment Screening Database*

The Task Force developed a comprehensive operational and legal framework for the establishment of a system-wide sexual harassment screening database to avoid rehire of individuals that perpetrated sexual harassment.

The Task Force drew on the Guidelines for the Sexual Exploitation and Abuse (SEA) database, which have benefited from more than a year of extensive collaboration and consultation among UN entities.

The operational and legal framework for the screening database, adopted by the Task Force, is outlined in the Guidelines (Annex 2). The Guidelines include all the necessary elements for operationalization of a centralized, system-wide system - the first of its kind - for the collection, maintenance, use and access of information relating to cases where a final determination of sexual harassment has been made, providing for the necessary safeguards for data privacy, and with built-in search tools for reference checks, as well as procedures for result validation and corresponding actions.

In line with the Guidelines, members are currently engaged in the operationalization of the database. The technical establishment of the sexual harassment database is ongoing, supported by the UN Office of Information Communication Technology (OICT). Data collection and database population will begin immediately. Following the extensive consultation, including with the UN Office of Legal Affairs, the first phase will incorporate cases featuring individuals whose working relationship with an organization of the system ended because of a determination that the individual perpetrated sexual harassment.

The Task Force will work towards a second phase expansion of the screening system to include individuals with pending allegations of sexual harassment for which an investigation and/or disciplinary process has begun, and the subject of the allegation ends his/her working relationship with the Entity before the investigation and/or disciplinary process is completed.

### *Causes of under-reporting and suggested remedial actions*

Information collected through the Task Force work suggests that under-reporting is a reality across the system and that many staff do still not feel comfortable to speak out. A number of findings provided insight into reasons for under-reporting, and remedial action that could be taken

Numerous possible causes of under-reporting were identified by the Task Force, including: fear of retaliation; a lack of trust in the investigative/ dispute resolution processes; the emotional burden of reporting and participating in the process; lack of knowledge on how to report; different cultural norms; and fear of stigmatization in the staff members' office, particularly in the case of small offices, and/ or in the local community.

The Task Force also identified possible approaches to address these causes of under-reporting. To counter fear of retaliation, it was considered that sexual harassment policies should include provisions for anonymous and third-party/witness reporting, as well as reporting by former employees. There should be no time limit to file a report of sexual harassment, and an internal body should be able to investigate suspicions of sexual harassment without receipt of a formal complaint. Policies should also explicitly provide for timely and appropriate measures to protect staff members from retaliation and incorporate or refer to specific protections for whistle-blowers.

To address emotional concerns and risk of re-traumatization, it was considered that there should be integrated investigation and counselling teams composed of members of both genders. Investigators dealing with sexual harassment should be provided specialized training, and sexual harassment policies should allow for a victims' rights advocate, a colleague, family member or trusted friend to be present with the alleged victim during key stages of an investigative process.

To address a lack of trust in the process, efforts should be made to manage expectations of reporters of sexual harassment, including providing realistic information on the process, and providing a choice between formal and informal resolution. It was also suggested that there should be identifying information, such as a photograph and biography, of the persons to whom reports are made, for example the Inspector General or Ombudsman, to humanize the process and reassure potential complainants.

To address a lack of knowledge on how to report sexual harassment, policies should contain clear information about who may complain, clear avenues for reporting, and, where possible, a 24-hour helpline in all official languages of the entity. Policies should also plainly lay out the information that needs to be included in a complaint (such as name, location and title of the alleged perpetrator, date and location of the incident and a description of what happened, and names of any witnesses). The reporting process should be made as simple and user-friendly as possible. And these solutions should be coupled with training initiatives and awareness raising, to bring easily understandable instructions and practical examples to staff members.



To address differing cultural norms and risks of stigmatization, having multiple avenues for reporting is important, including avenues outside the staff members' office or duty station. Ways for staff members to obtain information, support and referrals, in addition to direct reporting mechanisms, should be available to help staff understand their rights and the services offered to assist them.

## **ENHANCED AWARENESS RAISING AND COMMUNICATION**

The Task Force launched several work streams to develop concrete system-wide tools geared towards improving awareness-raising and communication, which were seen as playing a critical role in combating sexual harassment, with a particular focus on prevention through organizational culture change.

### ***Guide for Managers on Prevention of, and Response to Sexual Harassment in the Workplace***

Under the leadership of UNHCR, a Short Guide for Managers on Prevention of, and Response to Sexual Harassment in the Workplace" (Annex 3) was developed to aide managers in the effective fulfilment of their obligations to create a safe and harmonious work environment, to respond to reports of sexual harassment in the workplace, and to hold personnel accountable for any form of prohibited conducts.

The guide consists of a checklist to help managers to take appropriate action before a new assignment, during the assignment, including when witnessing sexual harassment or when receiving a report of sexual harassment, and when finishing an assignment. The guide is accompanied by two appendices outlining a compilation of possible signs of workplace harassment; and, a list of ten principles to follow when being approached with a complaint.

### ***Mapping of Helplines/Hotlines***

Under this work stream, a mapping of existing helplines and hotlines provided by UN system organizations was carried out, under the leadership of WHO, to gain greater understanding of the features and characteristics of the instruments already used. Several organizations reported to have a helpline/hotline or related application in place for reporting sexual harassment and/or provide information on reporting procedures and services related to sexual harassment. Most organizations are using more than one medium (phone, e-mail, on-line/internet sites, fax) for receiving communications and complaints, with the majority offering a 24/7 coverage. Typically, the helpline/hotline's scope is beyond sexual harassment issues but extends to broader misconduct and unethical behaviour.

Several organizations outsource the management of the helpline/hotline to an external provider for an annual fee which varies considerably. NAVEX Global (<https://www.navexglobal.com>), Expolink (<https://www.expolink.co.uk>) and Service Social de la Poste Suisse are services used by those organizations. Offering 24/7 services in up to 150 languages, the external provider refers any reports received through the helpline/hotline to the designated office in the individual UN entity

where the information is reviewed in accordance with procedures established by that organization.

Many organizations indicated a strong interest in sharing more information on helpline/hotline initiatives and learning about best practices, including utilization of available tools, exploring options for a common/standardized approach for reporting sexual harassment and/or centralized or shared instruments for providing information on sexual harassment reporting and services. Several entities expressed an interest in further examining risks and benefits of retaining the services of an external provider, including options for making existing agreements available to additional UN organizations.

The Task Force recommended to extend the work stream on helplines/hotlines, in order to deepen understanding among UN system entities of best practices in the area of helplines/hotlines, explore options for extending existing agreements with external service providers with a view to enhancing system-wide coherence and gain efficiencies, and present a proposal for the Board's consideration at its next session.

## NEXT STEPS

Much remains to be done. In the coming months, the Task Force will broaden its consultative process to incorporate experience from staff, civil society and other stakeholders who have been active in addressing sexual harassment.

A key objective is to produce a strengthened common policy and, even more importantly, the implementation mechanisms and processes that are needed to address the issues that the Task Force has highlighted.

A stronger effort is required to produce and collect the data that is needed to inform a solid policy making process.

The new common policy and related implementation mechanisms are expected to address weaknesses that exist in the current system, especially with respect to victim protection, retaliation, risks related to reporting, etc.

The Task Force is also of the view that Screening Database should be expanded, in full respect of due process and privacy issues, to include individuals with pending allegations of sexual harassment who leave the organization before the completion of the process. Recourse options for an individual to challenge his/her inclusion in the database may need to be further defined.

There are additional steps that need to be taken by the organizations of the UN system to dismantle the informal organizational culture of silence and permissiveness that provides the breeding ground for sexual harassment, to remove existing obstacles that stand in the way of holding perpetrators to account and properly assist victims of sexual harassment, and to create a diverse, inclusive and respectful working environment, where all staff is equally valued and treated with dignity.

The Task Force will continue its work, with a view to presenting its conclusions at the Board's fall 2018 session.

The Task Force will focus on the following priorities:

- Finalization and adoption of a UN System Sexual Harassment Policy Reference Model;
- Development of a uniform mechanism for system-wide collection and analysis of data to ensure timely and accurate reporting and evidence-based policy making;
- Expansion of the screening system to include individuals with pending allegations of sexual harassment for which an investigation and/or disciplinary process has begun, and the subject of the allegation ends his/her working relationship with the Entity before the investigation and/or disciplinary process is completed;

- Development of proposals to strengthen investigative capacity;
- Preparation of a proposal for common approach on sexual harassment helplines/hotlines; and,
- Development of awareness-raising, communication and outreach tools on prevention of, and response to sexual harassment in the workplace.

Task Force members are committed to continue to confront sexual harassment in the workplace head on, contributing to the broader efforts to realise the vision of gender parity and empowerment. Collective action is crucial to prevent and to support those affected - to enable people to feel empowered to come forward and to ensure appropriate response. UN System organizations owe it to their staff to address sexual harassment in a decisive, coherent and coordinated manner, and to transform organizational culture so that it fully reflects the United Nations' core values of integrity, diversity and professionalism.

## Annex 1

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### **Set of Common Principles and Recommendations for UN System Sexual Harassment Policy Reference Model**

#### **Principle 1: Uniform definition**

##### **Definition**

Sexual harassment is any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offence or humiliation, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment. Sexual harassment may occur in the workplace or in connection with work. While typically involving a pattern of conduct, sexual harassment may take the form of a single incident. In assessing the reasonableness of expectations or perceptions, the perspective of the person who is the target of the conduct shall be considered.

##### **Explanatory paragraph**

Sexual harassment is the manifestation of a culture of discrimination and privilege based on unequal gender relations and other power dynamics. Sexual harassment may involve any conduct of a verbal, nonverbal or physical nature, including written and electronic communications. Sexual harassment may occur between persons of the same or different genders, and individuals of any gender can be either the targets or the perpetrators. Sexual harassment may occur outside the workplace and outside working hours, including during official travel or social functions related to work. Sexual harassment may be perpetrated by any colleague, including a supervisor, a peer or a subordinate. A perpetrator's status as a supervisor or a senior official may be treated as an aggravating circumstance.

#### **Principle 2: Policy statement on prohibition of sexual harassment**

The model policy should state that sexual harassment in the workplace is prohibited and that measures will be taken to address any sexual harassment that may occur.

#### **Principle 3: Scope of persons covered by policy**

The model policy should provide that any person any person, regardless of their contractual status, who may have been subject to sexual harassment on the part of a staff member in a work-related situation, may avail themselves of the formal and informal complaint resolution mechanisms and that a review of the relevant provisions of the current legal frameworks applicable to non-staff personnel of UN system entities be undertaken.

#### **Principle 4: Inclusion of informal complaint resolution mechanisms**

The model policy should ensure that access to informal complaint resolution mechanisms be included in the policies of all UN system entities.

**Principle 5: Formal complaint mechanisms**

Access to formal complaint resolution mechanisms be included in the policies of all UN system entities. In addition, formal processes for reporting sexual harassment be clearly set out in all UN system policies.

**Principle 6: Protection against retaliation and whistleblowing**

Provisions on protection against retaliation should be included in the policies of all UN system entities either in the policy itself or by reference to protection against retaliation framework.

**Principle 7: Support to aggrieved individuals**

UN system entities' policies should contain provisions aimed at directing aggrieved individuals to support resources at the outset or pending the outcome of any informal and formal resolution process.

**Principle 8: Data collection**

Provisions on confidential data collection on cases of possible sexual harassment be included in the policies of all UN system entities.

**Principle 9: Preventive measures**

UN system policies should contain provisions reminding staff members of their duty to report any breach of the organization's regulations and rules to the officials whose responsibility it is to take appropriate action and encouraging staff members who witness conduct that may constitute sexual harassment to speak up. In addition, they should contain provisions that make training on sexual harassment mandatory.

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## Annex 2

### **GUIDELINES ON SEXUAL HARASSMENT SCREENING DATABASE**

#### **1. Purpose:**

The purpose of these Guidelines is to establish procedures and standards governing the establishment, maintenance and use of a UN system-wide electronic database that will ensure that individuals with a record of Sexual Harassment are not hired or re-hired by an Entity that is part of the Organization. The Guidelines facilitate the establishment and operation of this centralised Screening Database, and address the collection, maintenance, confidentiality, security, use, access and disclosure of information relating to Final Determinations of Sexual Harassment (as defined below).

#### **2. Scope:**

These Guidelines supplement other provisions in the regulatory framework of the UN Secretariat and other entities of the UN System regarding disclosure of information obtained during an investigation. The Guidelines implement the objective identified by the Chief Executives Board for Coordination Task Force on Addressing Sexual Harassment within the Organizations of the UN System, to create and maintain a Screening Database accessible across the Organization, containing records of individuals against whom allegations of Sexual Harassment, while in service of an Entity, were substantiated by a final determination of sexual harassment and whose working relationship was terminated by that Entity as a result.

The Screening Database would serve to pool information from records available in the participating Entities of the Organization, rather than prescribe what information each Entity must collect. Thus, if an Entity collects relevant records concerning non-staff personnel, that information would be included in the database. If the Entity does not collect such records, it would not be required to do so as a result of these Guidelines.

#### **3. Definitions:**

- 3.1 Entity:** An organ or body of the Organization.
- 3.2 Organization:** All of the Entities with membership in the UN System Chief Executives Board for Coordination, being the UN Secretariat, the UN Funds and Programmes, the UN Specialized Agencies (including the Bretton Woods Institutions), and related organizations (including the WTO, UNOPS and IAEA).
- 3.3 Record of Sexual Harassment:** A record of a Final Determination of Sexual Harassment maintained in an official file held by an Entity.
- 3.4 Screening Database:** A searchable database containing identifying information on individuals who have a Record of Sexual Harassment.

**3.5 Sexual Harassment:** Sexual harassment is any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offence or humiliation, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment. Sexual harassment may occur in the workplace or in connection with work. While typically involving a pattern of conduct, sexual harassment may take the form of a single incident. In assessing the reasonableness of expectations or perceptions, the perspective of the person who is the target of the conduct shall be considered.

**3.6 Final Determination of Sexual Harassment:** A determination, made after an investigation, that the individual perpetrated Sexual Harassment, resulting in termination of the individual's working relationship on this basis. If challenged, a Final Determination of Sexual Harassment can constitute a basis to include an individual in the Screening Database, until it has been rescinded by a final and enforceable ruling of the Entity's applicable administrative tribunal.

#### **4. Record of Sexual Harassment**

**4.1** Each Entity is responsible for ensuring that adverse material concerning its personnel and former personnel, including a Record of Sexual Harassment, is promptly recorded in official files in accordance with its applicable procedures regulating the filing of adverse material.

#### **5. Screening Database**

**5.1** As an initial step, the Screening Database will be managed by the Office of Human Resources Management (OHRM) and operated and maintained by the Office of Information and Communications Technology (OICT) of the Department of Management (DM).

**5.2** The following personal identifying information, to the extent it is available, will be stored in the Screening Database for each individual with a Record of Sexual Harassment: Full Name, Category of Personnel, Index Number, Date of Birth, Last Known Address and Contact Details, Nationality, Gender, the employing Entity, dates of separation from service with the Entity, and the policy pursuant to which the Final Determination of Sexual Harassment was made. In addition, the contact information of the office and individual authorised to access and share information concerning the Record of Sexual Harassment and the name of the individual who entered the data into the database will be recorded.



- 5.3 Each Entity will designate a reasonable number of staff members to access the Screening Database. Prior to being granted access to the Screening Database in accordance with paragraph 5.5 below, each designated staff member must read and sign the confidentiality notice and undertaking appended as Annex A.
- 5.4 The operator of the database will grant access to the Screening Database to staff members who have been designated by each Entity and who have made the required confidentiality undertaking in accordance with paragraph 5.3 above.
- 5.5 Each staff member granted access to the Screening Database will be assigned an individual login and password. The operator of the database will take all usual security measures to ensure the security of the Screening Database including the confidentiality and integrity of the users' access information.

## **6. Populating the Screening Database**

- 6.1 Each Entity shall ensure that the Screening Database accurately reflects the official files for its personnel and former personnel [and information obtained through job applications or reference checks], including by:
  - 6.1.1 Promptly entering the information detailed at paragraph 5.2 based (i) upon the last 10 years of existing Record(s) of Sexual Harassment in its official files and (ii) upon the filing of any new Record(s) of Sexual Harassment in its official files;
  - 6.1.2 Removing entries where an Entity's Final Determination of Sexual Harassment has been rescinded by a final and enforceable ruling of the Entity's applicable administrative tribunal; and
  - 6.1.3 Correcting any other errors or omissions in the data input by the Entity.
- 6.2 Where a member of personnel of the Organization or the subject of the record has reason to believe that an individual has been mistakenly listed in the Screening Database, they will contact the Chief of Human Resources Management of the Entity to verify whether or not the individual should be listed in the Screening Database. If it is verified that the individual has been mistakenly listed in the Screening Database, the office of Human Resources Management in the Entity will ensure that the name and other identifying information referred to in paragraph 5.2 above is removed from the Screening Database.
- 6.3 If an individual is entitled to any recourse, including judicial review, in respect of a listing in the Screening Database, such recourse shall be taken against the Entity who listed the individual in the Screening Database, in accordance with any rules of recourse provided for that Entity.

**7. Vetting using the Screening Database**

- 7.1** Before employing an individual, each Entity shall search the Screening Database to determine whether s/he has Record of Sexual Harassment.
- 7.2** Where there is a possible match between a name in the Screening Database and an individual who applies for a position with an Entity, the Entity will communicate bilaterally with the Entity which entered the name in the Screening Database to verify if the individual is the same. Relevant criteria, as set out in paragraph 5.2, shall be the basis for this verification.
- 7.3** Should it be determined that the individual applying for the position is the same person as the individual listed in the Screening Database, the individual will be excluded from further consideration for the position with the Entity.

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**Confidentiality Undertaking**

I, [NAME], [OFFICIAL TITLE] make the following confidentiality undertaking:

1. For the purpose of vetting candidates for positions with the [ENTITY], I am required to access the Sexual Harassment database (Sexual Harassment Database).
2. I understand that:
  - a. All information contained in the Sexual Harassment Database is strictly confidential; and
  - b. Except for the purpose of vetting candidates, I have no authority to access the Sexual Harassment Database.
3. Upon identifying that a candidate for a position is named in the Sexual Harassment Database, I will communicate this information, on a confidential basis, to the Hiring Manager of the recruitment exercise.
4. Except for the limited exception in paragraph 3 above, I undertake to maintain the strictest confidentiality of all information I obtain from the Sexual Harassment Database.

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Signed

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Dated

## Annex 3

# Guide for Managers Prevention of, and Response to, Sexual Harassment in the Workplace

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The UN’s position is clear, and has been reiterated on several occasions by the Secretary-General personally and by his senior leadership: Sexual harassment in the UN workplace is unacceptable and must be eradicated from the UN’s operations.

As members of a standard-setting institution, all personnel<sup>1</sup> have the obligation to adhere to the highest professional and ethical standards enshrined in the Charter of the United Nations UN Staff Regulations and Rules, and the Standards of Conduct for the International Civil Service. We all have a responsibility to lead by example and respect the principles we stand for.

As a manager, you must role-model the highest standards of conduct at all times, both during and outside working hours, at work and in your personal life. In addition, you are responsible for creating a safe and harmonious working environment, free of fear, intimidation, hostility, and offence, as well as for holding personnel accountable for any form of prohibited conduct. What each UN personnel member does reflects not only on them personally, but also on the entire organization, on our credibility as a global institution, and on our ability to deliver on our mandates.

The following checklist aims to assist you in effectively fulfilling these important obligations:

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<sup>1</sup> Entities may decide to change “personnel” in accordance with preferred terminology to describe the entire workforce

# Checklist

## 1. Starting a new assignment

- I have carefully studied the **policy on “Harassment, Sexual Harassment, Discrimination and Abuse of Authority”** [Hyperlink] and the **policy on “Sexual Exploitation and Abuse”** [Hyperlink].
- I have **completed the mandatory training** on prevention of Harassment, Sexual Harassment, Discrimination and Abuse of Authority [Hyperlink] and on prevention of Sexual Exploitation and Abuse [Hyperlink].
- I have studied the policy on **Protection from Retaliation** [Hyperlink].
- I have **studied the dedicated intranet page(s)** on Sexual Harassment [Hyperlink] and Sexual Exploitation and Abuse [Hyperlink].
- I have **studied available staff survey results** on Sexual Harassment [Hyperlink] for my office and the **SG’s latest report** on Sexual Exploitation and Abuse [Hyperlink] (this is to be done every time there is a new GSS or SG report).
- I have taken note of existing guidelines for speaking with the media [Hyperlink], or with implementing partners [Hyperlink] on the issue of sexual harassment and sexual exploitation and abuse.
- I have talked to my predecessor about any open and ongoing cases, as well as any challenges in the working environment in the office, risks and measures taken to ensure a harmonious workplace.

## 2. During the assignment

- I act as a role model** by upholding only the highest standards of conduct in order to achieve a harassment-free environment.
- I take measures to ensure that **all team members have completed the mandatory trainings** on prevention of Sexual Harassment [Hyperlink] and Sexual Exploitation and Abuse [Hyperlink]. I explicitly hold those who do not comply accountable.
- I take steps to ensure that all staff have participated in **yearly Code of Conduct sessions** or similar activity.
- As part of regular staff meetings, **I remind personnel of the expected standards of conduct**, including related to Sexual Harassment [Hyperlink to dedicated resource or key messages] and Sexual Exploitation and Abuse [Hyperlink to dedicated resources or key messages] and make them aware of available resources. This took place within at least the last six months.
- I bring in resource people, post notices, or share short articles** with my team on values, standards, principles and particularly on conduct prohibited in the UN.
- I am aware of common signs of workplace harassment**, such as work performance changes, behavioural issues, attendance changes or overall tension (see Annex 1). I monitor the situation in the office for any disturbing signs. I proactively call out personnel on unacceptable conduct and encourage others to do the same.

- I make sure results of available **staff surveys are taken seriously and we implement measures** to ensure harmonious working environment. I make sure everyone is involved and takes part, as relevant.
- I make sure that work **practices in my office are gender-sensitive and conducive to general well-being** (e.g. no meetings after hours; sufficient notice is given before events outside of the working hours so that personnel have time to make arrangements for care, as needed; personnel are aware of flexibility policies, and use them appropriately; personnel take care of their well-being, e.g. take leave, etc.).
- I take note of risk factors** strongly associated with sexual harassment, including unprofessional work environment, sexist atmosphere, and lack of knowledge about the organization's reporting and resolution procedures.<sup>2</sup>
- I make sure there are **Focal Points** to coordinate and support work in this area.

### 3. When you witness sexual harassment in the workplace

- I intervene promptly and **reiterate the required standards of conduct**.
- I take prompt action to report the issue** to the concerned authority and facilitate resolution, as appropriate.
- I take action to ensure that immediate assistance is provided** to the alleged victim as needed.

### 4. When a staff member approaches you/reports sexual harassment in the workplace

Note: If a staff member has been exposed to a traumatic event (e.g. sexual violence), I follow the traumatic incident protocol [Hyperlink] for my agency (i.e. immediately contact security, medical and counselling services for further assistance).

- I treat the issue as a priority and schedule a meeting as soon as possible.
- Before the meeting, I refresh my memory regarding: key content of the policy [hyperlink]; internal reporting procedures [Hyperlink]; and available resources and services, such as the respective investigation body, the Ombudsman Office, HR/ Staff Counsellor, Medical Service, the Ethics Office, Staff Representative bodies [Hyperlink to summary of resources].
- During the conversation I apply the *10 principles* [Hyperlink] (see Annex 2).
- I provide the staff member with information on available resources [Hyperlink] with regards to counselling, informal resolution, formal resolution, protection against retaliation, etc.
- Regardless of how the allegation is resolved, I regularly check progress and make sure there is no retaliation against the complainant.

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<sup>2</sup> <https://link.springer.com/article/10.1023/A:1018769016832>

**5. Restoring the workplace environment after harassment has occurred**

- I seek advice from the investigators and specialists, including suggestions on what to tell my personnel.
- I conduct regular, as-needed “check-in” meetings, to see how things are going.
- I remind my personnel that everyone plays a role in improving and maintaining a harassment-free workplace.

**6. When finishing the assignment**

- I inform my successor about any open and ongoing cases.
- I update my successor on the actions I have taken to: create a workplace free from sexual harassment and prevent and respond to sexual exploitation and abuse.
- I update my successor about any risk assessments done and issues to be mindful of.

## Annex 1. Possible signs of workplace harassment

- **Work Performance Changes.** Often, a victim of harassment exhibits performance changes. For example, a person may have trouble focusing on his work or meeting deadlines. He may also submit sloppy or disorganized work or fail to meet goals altogether. Decision-making and problem-solving skills may deteriorate as well.
- **Behavioral Issues.** In many cases, behavioral changes develop as a sign of workplace harassment. For example, a person may become less friendly and open when communicating with other staff members. She may also seem reluctant to attend meetings, especially those that involve one-on-one interaction. Likewise, she may avoid social engagements, such as office parties.
- **Attendance Changes.** If a previously punctual and reliable worker suddenly develops a habit of showing up late for work, this may be a sign of harassment on the job. Likewise, an increase in work absences may indicate such issues. This sign may prove particularly telling if accompanied by physical signs of stress, such as frequent headaches, upset stomach and fatigue.
- **Overall Tension.** Sometimes an entire workplace can become affected by harassment. In such a case, the harassing behaviors of some staff members or supervisors may cause the environment to seem tense overall. Communication problems might also develop as a result of the harassment, and morale may appear lower than usual. Additionally, harassment may even cause an increase in the rate of worker turnover.

Source: <http://smallbusiness.chron.com/signs-symptoms-harassment-11837.html>

## Annex 2: The 10 Principles<sup>3</sup> to follow when someone approaches you with a complaint

1. Listen actively and respectfully to the complaint.
2. Take careful notes for your own records. Put only exact statements in direct quotes. Suggest that the complainant keep careful notes and any material evidence, such as e-mail or letters.
3. Be empathetic (“I understand”), not sympathetic (“I agree”). Don’t judge or take sides. Don’t offer personal opinions or speculate on the facts. Once you have the facts, then you will be in a position to make a managerial judgment about the situation.
4. Inform that confidentiality will be respected to the extent possible, but make it clear you are required to respond to the situation and that some procedures foreseen in the organisation’s policy make it necessary that other people on a “need to know” basis will be informed. For example, within the formal process the Office that is responsible for investigations.
5. Don’t give advice directly. Let the complainants know their options and, specifically, how to use those options. Let them know they can get advice and support from staff dedicated to these issues.
6. Make sure they know they will be protected from retaliation.
7. Don’t make promises you cannot keep.
8. Act quickly.
9. Check whether some sort of accommodation is necessary. For example, if a complainant feels unsafe or threatened, they may want to be in a different physical location from the alleged perpetrator.

If you are uncertain about how to proceed, you can seek advice from your supervisor, HR manager or from the list of resources available in your organisation.

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<sup>3</sup> The “10 Principles” are taken from the course “Prevention of Harassment, Sexual Harassment and Abuse by United Nations Personnel – Working Harmoniously”



## Annex 4

### **CEB Task Force on Addressing Sexual Harassment within the Organizations of the UN System**

Chair: Ms. Jan Beagle, Chair, High-Level Committee on Management  
UN Under-Secretary-General for Management, Chair HLCM

<b>FAO</b>	<b>Ms. Junko Sasaki</b> Director, Social Policies and Rural Institutions (ESP)
<b>IAEA</b>	<b>Ms. Peri Lynne Johnson</b> Director and Legal Advisor, Office of Legal Affairs
<b>ICAO</b>	<b>Ms. Leanne Kinsella</b> Ethics Officer
<b>IFAD</b>	<b>Ms. Sylvie Martin</b> Director of Ethics
<b>ILO</b>	Mr. Mark Levin HR Director
<b>IMF</b>	Ms. Olivia Graham Ethics Advisor
<b>IMO</b>	<b>Mrs. Linda Ryan</b> Director, Administrative Division
<b>IOM</b>	<b>Mr. William Swing</b> Director-General
<b>ITU</b>	<b>Ms. Doreen Bogdan-Martin</b> Chief, Strategic Policy and Membership Department
<b>OHCHR</b>	<b>Ms. Kate Gilmore</b> Deputy High Commissioner for Human Rights
<b>UNAIDS</b>	<b>Ms. Gunilla Carlsson</b> Deputy Executive Director
<b>UNDP</b>	<b>Ms. Susan McDade</b> Assistant Administrator and Director, Bureau for Management Services
<b>UNESCO</b>	<b>Mr. Hong Kwon</b> Directeur, Bureau of Human Resources
<b>UNFCCC</b>	<b>Mr. Ovais Sarmad</b> Deputy Executive Secretary
<b>UNFPA</b>	<b>Ms. Laura Londén</b> Assistant Secretary-General and Deputy Executive Director, Management
<b>UN-HABITAT</b>	<b>Dr. Aisa Kacyira</b> Deputy Executive Director
<b>UNHCR</b>	<b>Ms. Kelly T. Clements</b> Deputy High Commissioner for Refugees
<b>UNICEF</b>	<b>Ms. Fatoumata Ndiaye</b> Deputy Executive Director, Management
<b>UNIDO</b>	<b>Ms. Fatou Haidara</b> Managing Director of the UNIDO Policy and Programme Support
<b>UNOPS</b>	<b>Ms. Tina Friis Hansen</b> Director, People and Change Group

<b>UNODC</b>	<b>Mr. Dennis Thatchaichawalit</b> Deputy Director-General of UNOV
<b>UNRWA</b>	<b>Ms. Rachel Evers</b> Director of Legal Affairs
<b>UNWOMEN</b>	<b>Ms. Purna Sen</b> Director, Policy Division and Senior Adviser to the Executive Director on addressing sexual harassment
	<b>Ms. Katja Pehrman</b> Senior Adviser, Focal Point for Women in the UN System
	<b>Mr. Moez Doraid</b> Director, Division of Management and Administration
<b>UPU</b>	<b>Mr. Pascal CLIVAZ</b> Deputy Director-General
<b>WFP</b>	<b>Mr. Amir Abdulla</b> Deputy Executive Director
<b>WHO</b>	<b>Mr. Andreas Mlitzke</b> Director, Compliance, Risk Management and Ethics
<b>WIPO</b>	<b>Mr. Ambi Sundaram</b> Assistant Director General, Administration and Management
<b>WORLD BANK</b>	<b>Ms. Jodi T. Glasow</b> Manager, Business Integrity Review, Ethics and Business Conduct Vice Presidency
<b>UN-DSS</b>	<b>Mr. Peter Drennan</b> Under-Secretary-General for Safety and Security
<b>UN-OHRM</b>	Ms. Martha Helena Lopez Assistant Secretary-General
<b>UN-DFS</b>	<b>Ms. Lisa Buttenheim</b> Assistant Secretary-General
<b>UN-DPA</b>	<b>Mr. Miroslav Jenca</b> Assistant Secretary-General
<b>UN-DPKO</b>	<b>Mr. Alexandre Zouev</b> Assistant Secretary-General, Rule of Law and Security Institutions
<b>UN-EOSG</b>	<b>Ms. Nahla Valji</b> Senior Gender Advisor
<b>UN-ECLAC</b>	<b>Mr. Raúl García-Buchaca</b> Deputy Executive Secretary for Management and Programme Analysis
<b>UN-ESCWA</b>	<b>Ms. Khawla Matar</b> Deputy Executive Secretary for Programme Support
<b>UN-OCHA</b>	<b>Ms. Ursula Mueller</b> Assistant Secretary-General and Deputy Emergency Relief Coordinator
<b>UN-OCT</b>	<b>Mr. Jehangir Khan</b> Director, UN Office of Counter-Terrorism
<b>UN-ODA</b>	<b>Mr. Thomas Markram</b> Director and Deputy to the High Representative for Disarmament Affairs
<b>UN-OLA</b>	<b>Mr. Stephen Mathias</b> Assistant Secretary-General for Legal Affairs
<b>UN-DESA</b>	<b>Mr. Charles Katoanga</b> Executive Officer

