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Administrative and budgetary aspects of the financing of the United Nations peacekeeping operations

Evaluation of the prevention, response and victim support efforts against sexual exploitation and abuse by United Nations Secretariat staff and related personnel

Report of the Office of Internal Oversight Services

Summary

The Office of Internal Oversight Services (OIOS) assessed the relevance and effectiveness of the prevention, response and victim support efforts against sexual exploitation and abuse by United Nations Secretariat staff and related personnel covering the 2015–2018 period.

Efforts to prevent sexual exploitation and abuse in peace operations were constant and given the highest priority, although such efforts varied across the Secretariat and were inadequate in non-peacekeeping entities. The Office of the Special Coordinator on Improving the United Nations Response to Sexual Exploitation and Abuse and the Office of the Victims' Rights Advocate contributed to visible progress and commitment across the system to address sexual exploitation and abuse, although their activities faced several challenges. There was an increase in initiatives and actors related to sexual exploitation and abuse but persisting issues linked to the outdated Secretary-General's bulletin on special measures for protection from sexual exploitation and sexual abuse ([ST/SGB/2003/13](#)) affected the Organization's response.

Despite some improvement, every step of processing allegations of sexual exploitation and abuse took longer than stipulated. Administrative accountability imposed by the United Nations demonstrated the Secretary-General's zero-tolerance policy at work, with sanctions imposed in 85 per cent of substantiated cases and the remainder in progress. However, sanctions imposed by troop- and police-contributing countries varied markedly, ranging from demotion to five years of imprisonment, although half the cases remained pending.

* Reissued for technical reasons on 27 April 2021.



Efforts to ensure criminal accountability for crimes of sexual exploitation and abuse (e.g. rape) for officials and experts on mission through referral by the United Nations were mostly unsuccessful. For uniformed personnel, sanctions were imposed by troop- and police-contributing countries in 10 out of 22 cases; these ranged from 40 days to five years of imprisonment. Regarding non-United Nations forces, none of the national proceedings for the 23 reported cases led to any sanctions.

The victims' rights approach in addressing sexual exploitation and abuse was regarded as highly relevant by stakeholders, and made progress in one mission, but was yet to be fully operationalized. Support provided to victims was generally insufficient. The impact of projects funded by the trust fund in support of victims of sexual exploitation and abuse was visible in the Democratic Republic of the Congo, although most projects funded were delayed, focused largely on community outreach and were not directly related to the "individual needs" of victims of sexual exploitation and abuse. A \$600,000 payment withheld from troop- and police-contributing countries for substantiated allegations of sexual exploitation and abuse was yet to be transferred to the trust fund.

OIOS made 17 important recommendations.

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I. Introduction

1. The evaluation objective was to determine, as systematically and objectively as possible, the relevance and effectiveness of prevention, response and victim support efforts against sexual exploitation and abuse by Secretariat staff and related personnel. The evaluation focus emerged from a risk assessment and scoping exercise described in the evaluation inception paper. The evaluation was conducted in conformity with norms and standards for evaluation in the United Nations.¹
2. Management responses on the draft report were considered in the final report and are included in annex I.
3. The present summary report is accompanied by a full report available on the OIOS website, which includes detailed analysis and information.²

II. Background

4. The Organization's efforts to prevent and respond to sexual exploitation and abuse have evolved, expanded and become increasingly institutionalized over the past two decades. The Secretary-General's bulletin on special measures for protection from sexual exploitation and sexual abuse (ST/SGB/2003/13) and staff rule 1.2 (e) prohibit sexual exploitation and abuse for all personnel.
5. Following an external panel's findings in December 2015 that the response of United Nations agencies to allegations of sexual exploitation and abuse by foreign military forces in Central African Republic "was seriously flawed",³ several high-level initiatives were undertaken.
6. In 2016, these initiatives included: (a) the appointment of the Special Coordinator on Improving the United Nations Response to Sexual Exploitation and Abuse; (b) the establishment of the High-level Steering Group on preventing sexual exploitation and abuse; (c) the establishment of the trust fund in support of victims of sexual exploitation and abuse; and (d) the adoption of Security Council resolution 2272 (2016).
7. In 2017, the Secretary-General issued a new approach to system-wide efforts to address sexual exploitation and abuse, under a four-part strategy.⁴ The first Victims' Rights Advocate was appointed and Field Victims' Rights Advocates were designated in four peacekeeping operations.
8. Engagement with Member States was also strengthened through a high-level meeting, the circle of leadership on the prevention of and response to sexual exploitation and abuse in United Nations operations and a voluntary compact signed by 103 Member States.
9. The number of sexual exploitation and abuse allegations reported across the system, especially those involving implementing partners, rose by 164 per cent, from 99 in 2015 to 261 in 2018, owing to increased reporting by agencies, funds and programmes. During the same period, allegations pertaining to Secretariat entities fell by 19 per cent, from 69 to 56.⁵ Between 2018 and 2019, the number of reported allegations increased by 31 per cent across the system, to 341. Three-year moving

¹ United Nations Evaluation Group, 2005.

² Report IED-21-010, available at <https://oios.un.org/inspection-evaluation-reports>.

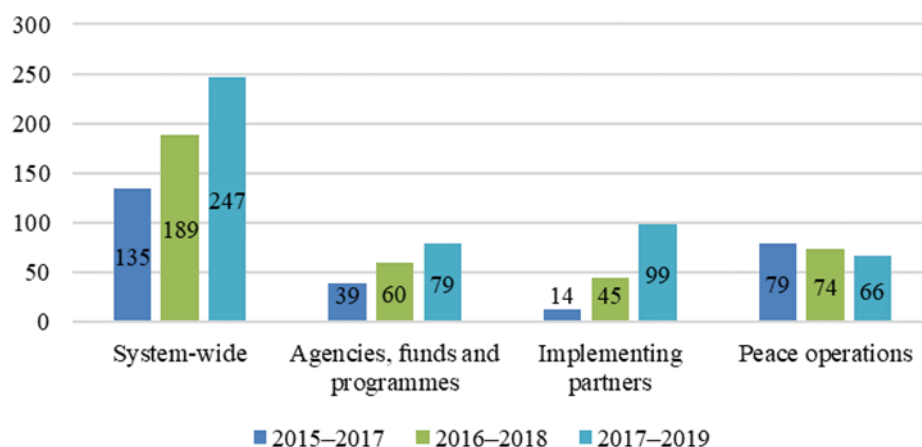
³ A/71/99.

⁴ A/71/818.

⁵ Data compiled from A/70/729, A/71/818, A/72/751 and A/72/751/Corr.1, A/73/744 and A/74/705. Additional information available at <https://conduct.unmissions.org/sea-data-introduction>.

averages beginning with the 2015–2017 period showed consistent increases in allegations system-wide involving the personnel of agencies, funds and programmes and implementing partners but a decline in those involving personnel in peace operations, which include both peacekeeping operations and special political missions (see figure 1).

Figure 1
Number of reported allegations, three-year moving average



10. Within the Secretariat, sexual exploitation and abuse remained primarily a peacekeeping operations issue, accounting for 95 per cent (281) of the 296 allegations (2015–2018) against 566 men involving approximately 600 women and children victims.

11. Additionally, pursuant to General Assembly resolution [70/286](#), the Office of the United Nations High Commissioner for Human Rights (OHCHR) reported 23 allegations of sexual exploitation and abuse against four non-United Nations security forces operating under Security Council mandates between 2015 and 2018.

III. Scope and methodology

12. The evaluation focused on three key questions, concerning the relevance and effectiveness of prevention, response and victim support efforts.

13. It covered the 2015–2018 period, but up-to-date data, when available and relevant, were included. While sexual exploitation and abuse cases from all Secretariat entities were within the scope of the evaluation, six peace operations⁶ and eight non-peace operation entities⁷ were selected for case studies.

⁶ United Nations Interim Force in Lebanon (UNIFIL), United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic (MINUSCA), United Nations Organization Stabilization Mission in the Democratic Republic of the Congo (MONUSCO), United Nations Peacekeeping Force in Cyprus (UNFICYP), United Nations Stabilization Mission in Haiti (MINUSTAH)/United Nations Mission for Justice Support in Haiti (MINUJUSTH) and United Nations Verification Mission in Colombia.

⁷ Department of Safety and Security, Economic and Social Commission for Asia and the Pacific (ESCAP), Office for the Coordination of Humanitarian Affairs, Office of the United Nations High Commissioner for Human Rights, United Nations Environment Programme (UNEP), United Nations Human Settlements Programme (UN-Habitat), United Nations Office on Drugs and Crime (UNODC) and United Nations Office at Nairobi.

14. The Investigations Division of OIOS was excluded from the scope of the evaluation due to the potential conflict of interest posed by intra-Office assessment. Non-Secretariat agencies, funds and programmes also fell outside the scope of the evaluation.

15. The evaluation used a mixed-method approach. During seven field visits and at Headquarters, 263 semi-structured interviews and 53 focus group discussions were conducted, covering 27 Secretariat entities; 9 agencies, funds and programmes; 22 Member States; 12 non-governmental organizations; 5 community-based complaint networks; and victims of sexual exploitation and abuse. Overall, 46 per cent of interview and focus group discussion participants were female and 54 per cent were male.

16. Data for 356 sexual exploitation and abuse allegations for the 2015–2018 period and three annual surveys conducted by the Office of the Special Coordinator on Improving the United Nations Response to Sexual Exploitation and Abuse were analysed. Projects funded by the trust fund in support of victims of sexual exploitation and abuse were also reviewed.

17. Key limitations included: (a) the exclusion from the scope of the evaluation of the Investigations Division, non-Secretariat agencies, funds and programmes and troop- and police-contributing countries, all of which play essential roles in the Secretariat's response and victim support mechanisms; (b) logistical and ethical challenges that limited the number of interviews with victims of sexual exploitation and abuse; and (c) the unavailability of some troop- and police-contributing countries' representatives for interview.

IV. Evaluation results

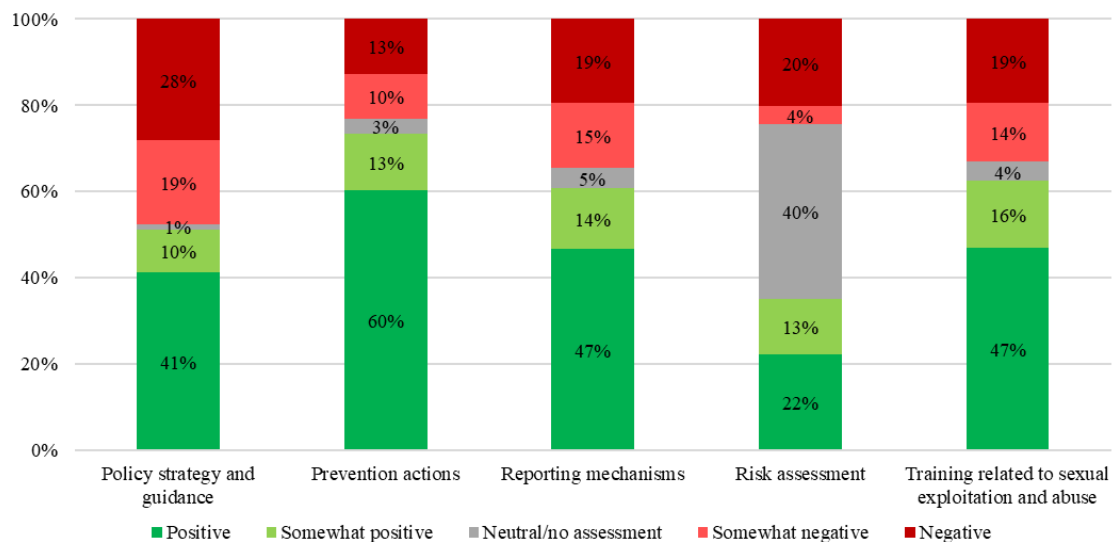
A. Prevention efforts in peace operations were constant and given the highest priority, but implementation of policies and measures varied widely across the Secretariat

Wide-ranging prevention efforts in peace operations resulted in significant improvements in awareness and behavioural changes of personnel

18. Prevention of sexual exploitation and abuse was among the highest priorities in peace operations. Emphasis on that topic was constant, starting from predeployment training and including a written undertaking upon arrival in mission for some personnel and a variety of prevention and deterrence measures. Consequently, sexual exploitation and abuse was perceived to be the most frequently discussed subject, especially among uniformed personnel.

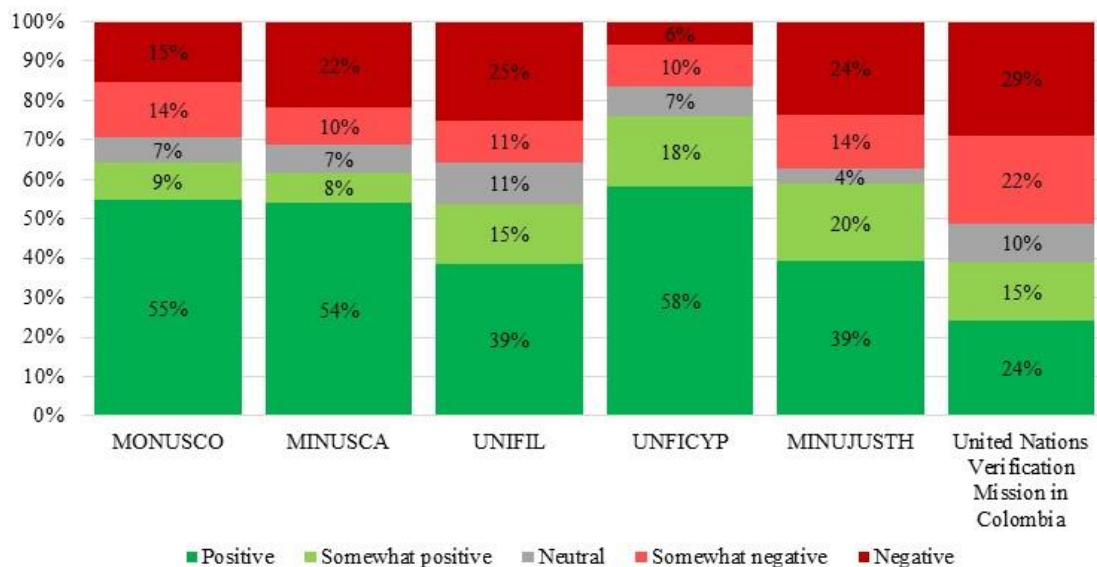
19. Interviewees in peace operations had mostly positive assessments of efforts to prevent sexual exploitation and abuse, except with regard to risk assessment (see figure 2).

Figure 2
Assessment of interviewees in peace operations



20. In a composite score on prevention (see figure 3), UNFICYP had the highest rate of positive assessments among peace operations.

Figure 3
Entity-specific assessment of prevention in peace operations



Risk assessments on sexual exploitation and abuse, where done, were largely focused on contingents

21. Risk assessments have long been considered an essential element of the prevention of sexual exploitation and abuse in peace operations. In 2017, the Secretary-General asked all system-wide entities to conduct and issue results of risk assessments for field deployments.

22. A sexual exploitation and abuse risk management framework was introduced in 2014 and further revised in June 2018 as a toolkit.⁸ Conduct and discipline teams in peacekeeping operations routinely identified contingent-level risks of sexual exploitation and abuse, such as proximity to the local population, the presence of minors and vendors around camps, poor living conditions and welfare, water points that facilitate interactions with the local population, lack of access control and poor lighting. Mitigation measures identified appeared to have been given high priority by missions.

23. However, comprehensive country-level risk assessments with the participation of all United Nations entities were not done and non-peace operation Secretariat entities largely did not conduct any assessments of the risk of sexual exploitation and abuse.

Screening and vetting of personnel made headway

24. Predeployment screening of contingent personnel relied upon self-certification by troop- and police-contributing countries. Interviewees from those countries attested to the high importance given to screening by the Secretariat and Member States. As of August 2019, 96 per cent of military units had complied with the self-certification requirements. Vetting of individual military, police and civilian personnel was also strengthened.

25. Since April 2018, applicants to jobs in the Secretariat have been required to provide self-certification with regard to sexual exploitation and abuse and consent to provide access to their past employment records, as proposed in the new approach of the Secretary-General.⁹

26. Launched in June 2018, the Clear Check online tool to screen former personnel for sexual exploitation and abuse across the system had 210 records entered by 14 entities and was being used by 19 entities as of January 2021.

Training related to sexual exploitation and abuse was inadequate

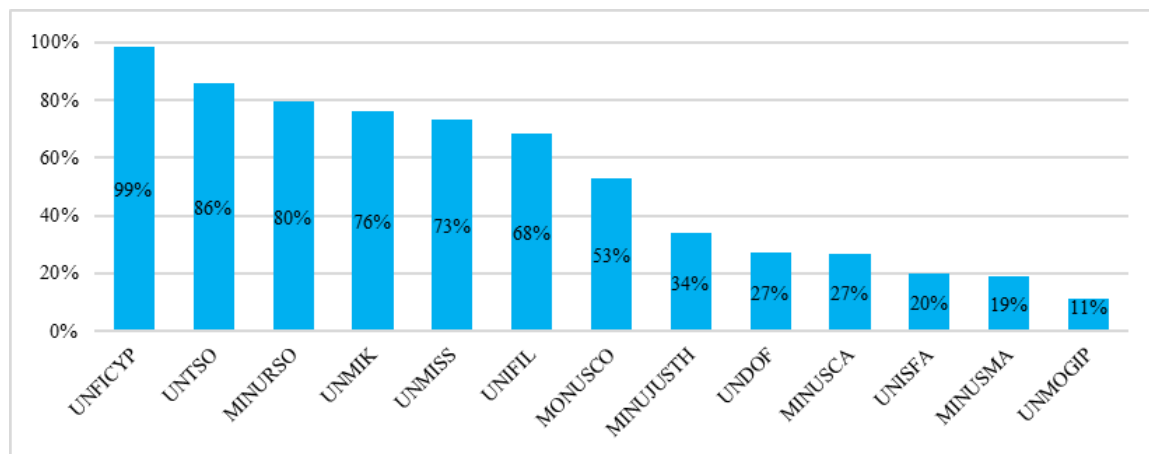
27. Completion rates for the mandatory training related to sexual exploitation and abuse were unsatisfactory, with around half of staff members across the Secretariat completing it, including in missions most affected by sexual exploitation and abuse (see figures 4 and 5).¹⁰ Furthermore, 123 staff members in leadership positions in peace operations, including in conduct and discipline teams, had not completed the training.

⁸ https://conduct.unmissions.org/sites/default/files/dpko-dfs_sea_risk_toolkit_28_june_2018_modified.pdf.

⁹ See A/71/818, para. 16.

¹⁰ Data extracted from Inspira as of 26 November 2019.

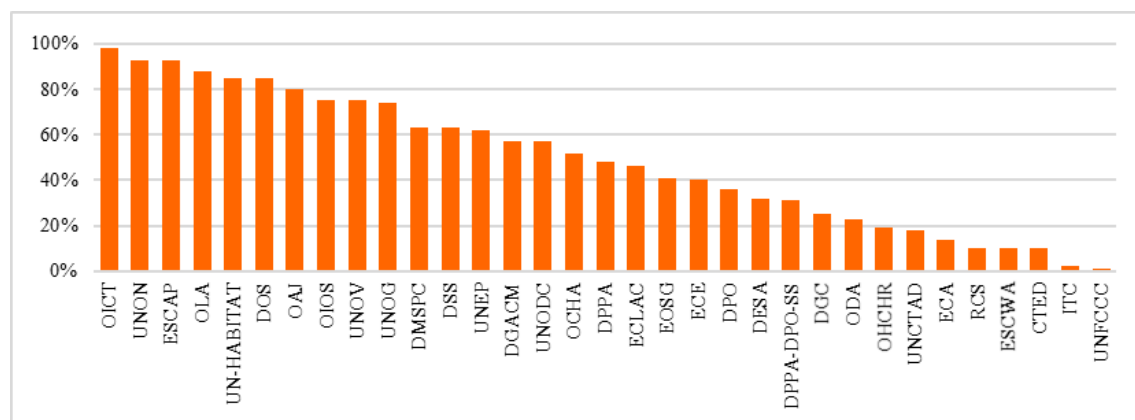
Figure 4
Completion rates of mandatory training on sexual exploitation and abuse in peace operations



Abbreviations: MINUSCA, United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic; MINUJUSTH, United Nations Stabilization Mission in Haiti; MINUSMA, United Nations Multidimensional Integrated Stabilization Mission in Mali; MINURSO, United Nations Mission for the Referendum in Western Sahara; MONUSCO, United Nations Organization Stabilization Mission in the Democratic Republic of the Congo; UNDOF, United Nations Disengagement Observer Force; UNFICYP, United Nations Peacekeeping Force in Cyprus; UNIFIL, United Nations Interim Force in Lebanon; UNISFA, United Nations Interim Security Force for Abyei; UNMIK, United Nations Interim Administration Mission in Kosovo; UNMISS, United Nations Mission in South Sudan; UNMOGIP, United Nations Military Observer Group in India and Pakistan; UNTSO, United Nations Truce Supervision Organization.

28. The overall completion rate in non-peace operation entities was also around 50 per cent.

Figure 5
Completion rates of mandatory training on sexual exploitation and abuse in non-peace operations



Abbreviations: CTED, Counter-Terrorism Committee Executive Directorate; DESA, Department of Economic and Social Affairs; DGACM, Department for General Assembly and Conference Management; DGC, Department of Global Communications; DMSPC, Department of Management Strategy, Policy and Compliance; DPPA-DPO-SS, Department of Political and Peacebuilding Affairs-Department of Peace Operations-Shared Structure; DOS, Department of Operational Support; DPO, Department of Peace Operations; DPPA, Department of Political and Peacebuilding Affairs; DSS, Department of Safety and Security; ECA, Economic Commission for Africa; ECE, Economic Commission for Europe; ECLAC, Economic Commission for Latin America and the Caribbean; EOSG, Executive Office of the Secretary-General; ESCAP, Economic and Social Commission for Asia and the Pacific; ESCWA, Economic and Social Commission for Western Asia; ITC, International Trade Centre; OAJ, Office of Administration of Justice; OCHA, Office for the Coordination of Humanitarian Affairs; ODA, Office for Disarmament Affairs; OICT, Office of Information and Communications Technology; OLA, Office of Legal Affairs; RCS, resident coordinator system; UNCTAD, United Nations Conference on Trade and Development; UNEP, United Nations Environment Programme; UNFCCC, secretariat of the United Nations Framework Convention on Climate Change; UN-Habitat, United Nations Human Settlements Programme; UNODC, United Nations Office on Drugs and Crime; UNOG, United Nations Office at Geneva; UNON, United Nations Office at Nairobi; UNOV, United Nations Office at Vienna.

29. For uniformed personnel, whose training data are not kept in Inspira, conduct and discipline teams provided induction and refresher training and maintained manual records of completion. However, over 400 peace operation respondents (20 per cent) to the 2019 survey by the Office of the Special Coordinator indicated that they had not received any training related to sexual exploitation and abuse, while nearly half had not received induction (45 per cent) or refresher courses (44 per cent).

30. Interviewees assessed the training more positively in peace operations than in non-peace operation entities, as respondents from the latter considered it too peacekeeping-centric, which reflects the fact that the training was developed for peacekeeping operations.

A variety of reporting and deterrence mechanisms existed in peace operations, but underreporting remained a serious concern

31. Peace operations established deterrence and reporting mechanisms for sexual exploitation and abuse; those mechanisms were observed to be the most extensive in MINUSCA and MONUSCO. There was consistent evidence of high-level emphasis and monitoring of issues related to sexual exploitation and abuse among the uniformed components. Sustained focus helped create effective deterrence of sexual exploitation and abuse among uniformed personnel.

32. Nevertheless, 41 per cent of all peace operation respondents to the 2019 survey by the Office of the Special Coordinator reported having no curfew in their mission,

32 per cent reported not having any off-limits areas and 58 per cent reported not being issued a “no excuse” card. Similar rates were observed in the 2018 survey.

33. An issue of concern was the lack of clarity with regard to non-fraternization and sexual exploitation and abuse. Some allegations of sexual relationships against uniformed personnel, which the Organization considered sexual exploitation and abuse, were classified by conduct and discipline teams as violations of non-fraternization policy and were not included in the annual reports on special measures. There were examples of allegations in MONUSCO, MINUSCA and MINUJUSTH which were considered to be violations of the non-fraternization policy after “fact-checking” by the components themselves and not reported as sexual exploitation and abuse as required. The conduct and discipline teams in MINUJUSTH took nearly a month to vet four sexual exploitation and abuse allegations involving paternity without notifying Headquarters or OIOS as required,¹¹ which interviewees considered could contribute to a perception of underreporting and cover-up. Consultations between the Office of the Special Coordinator, the Department of Management Strategy, Policy and Compliance and the Investigations Division led to further clarity on the issue; however, the risk of missions incorrectly classifying potential sexual exploitation and abuse as a violation of non-fraternization policy remains.

34. Another concern was that information on allegations of sexual exploitation and abuse was not shared across the system in country operations, as United Nations entities reported allegations only to their respective headquarters, often leaving the resident coordinators unaware of the extent of the problem.

35. In non-peace operation entities, reporting mechanisms continued to be limited to OIOS reporting and local human resources staff, with no externally focused reporting mechanism or community outreach. Interviewees identified several factors undermining a willingness to report, including lack of trust in the system, prevailing conservative cultural norms, relativism, fear of retaliation, notions of privacy and loyalty to co-workers, and a lack of awareness of reporting mechanisms and of clarity on what constituted sexual exploitation and abuse.

36. Notably, one in five respondents to the 2019 survey by the Office of the Special Coordinator feared retaliation in reporting sexual exploitation and abuse. In addition, while 13 per cent of respondents reported having knowledge of sexual exploitation and abuse, only 3.5 per cent reported it; in other words, 9.5 per cent had such knowledge but did not report it. The gap was even wider in the 2018 survey (11 per cent had knowledge but did not report). Overall, in the 2018 and 2019 surveys, this corresponded to 243 and 216 respondents, respectively, that had knowledge of sexual exploitation and abuse occurring in their duty station but did not report it.

There was an increased focus on sexual exploitation and abuse by implementing partners, with most cases reported by agencies, funds and programmes

37. In March 2018, the United Nations protocol on allegations of sexual exploitation and abuse involving implementing partners was adopted, which resulted in greater recognition and inclusion of and accountability for sexual exploitation and abuse by implementing partners. Pursuant to the new approach, reporting on sexual exploitation and abuse involving implementing partners started in 2017, with an increase from 3 cases reported for 2016 to 232 cases reported for 2020 (an increase of 7,633 per cent) across the system.¹² Over 99 per cent of these allegations were reported by agencies, funds and programmes during the 2015–2018 period.¹³ The

¹¹ Missions are required to assess and report on allegations of sexual exploitation and abuse within seven days. See para. 72.

¹² www.un.org/preventing-sexual-exploitation-and-abuse/content/data-allegations-un-system-wide.

¹³ Data compiled from A/71/818, A/72/751 and A/72/751/Corr.1 and A/73/744.

Office for the Coordination of Humanitarian Affairs, which engaged extensively with implementing partners, reported only a single allegation in 2018 and indicated that it needed to strengthen measures to ensure systemic reporting of allegations for operations it funded.¹⁴

38. Interviewees raised concerns about the sensitivities surrounding the reporting of and accountability for sexual exploitation and abuse allegations involving implementing partners that were government institutions, and expressed a lack of clarity about their responsibility in that regard and anxiety about their relationship with the respective Government in reporting on incidents.

39. In several peace operations, personnel of implementing partners and vendors operating within missions were not briefed or given training related to sexual exploitation and abuse, while in some non-peacekeeping settings, contractual agreements with implementing partners did not include references to sexual exploitation and abuse.

B. Prevention efforts in non-peace and non-humanitarian operations contexts did not adequately address the risks of sexual exploitation and abuse

40. The risk of sexual exploitation and abuse was higher in peace operation settings, but, since [ST/SGB/2003/13](#) was applicable Secretariat-wide, prevention efforts had to be tailored to such risks in non-peace operation contexts, which in some instances were similar to peace operation contexts. Field visits and interviews with non-peace operation entities (Department of Safety and Security, UNODC, Office for the Coordination of Humanitarian Affairs, ESCAP, United Nations Office at Nairobi, UNEP and UN-Habitat identified specific risks of sexual exploitation and abuse within those entities and in duty stations where they operated.

41. Risk factors varied according to the level of poverty in the host country population, the relative power differential between those populations and United Nations personnel with much higher incomes, prevailing social and cultural norms that allowed or tolerated prostitution, different ages of consent, the existence of platforms for prostitution and transactional sexual activity. Key interviewees reported particularly higher risks in at least five non-peace operation duty stations where levels of poverty and/or easy availability of transactional sex were contributory factors.

42. Additionally, there were sexual exploitation and abuse risks posed by the large number of personnel associated with the United Nations and meeting or conference participants visiting United Nations offices in these locations for short periods.

43. Prevention measures to address these risks were generally inadequate. Existing measures were largely prescribed by Headquarters, including the mandatory training, the 2017 leadership dialogue and occasional messages from leadership, which did not address context-specific risks. There were no posters or signs visible in offices visited to inform and educate about sexual exploitation and abuse. Meeting participants were also not informed about the United Nations standard of conduct. In one city, one senior leader considered the subject too sensitive to have a poster within the office compound, out of fear that the very mention of the subject implied acknowledgement of the problem.

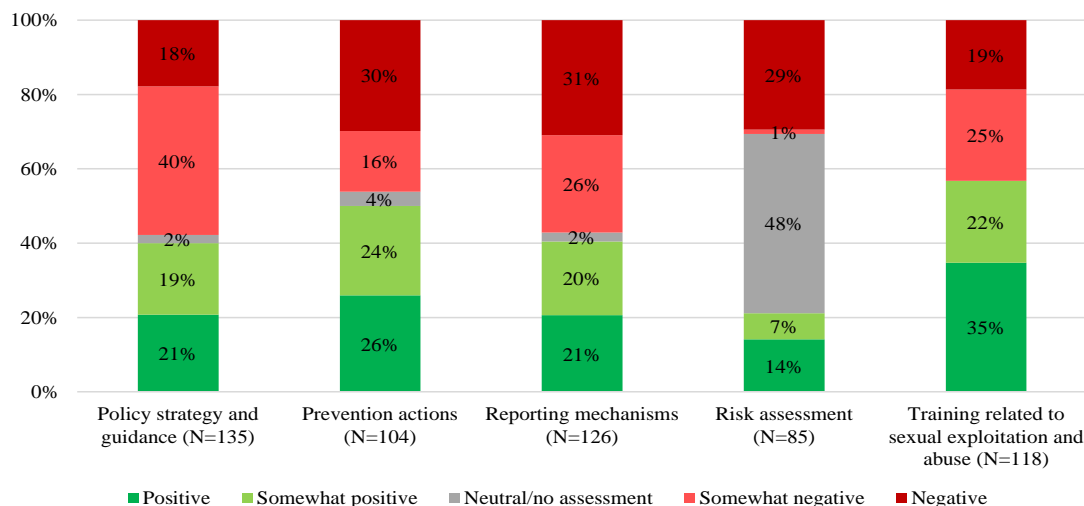
44. In terms of prevention, interviewees in non-peace operations overall gave a mixed assessment, with a majority of interviewees offering positive assessments of

¹⁴ The Office for the Coordination of Humanitarian Affairs reported eight allegations against its implementing partners in 2020.

mandatory training (57 per cent), followed by general prevention actions within their entities (50 per cent) and reporting mechanisms (41 per cent) (see figure 6).

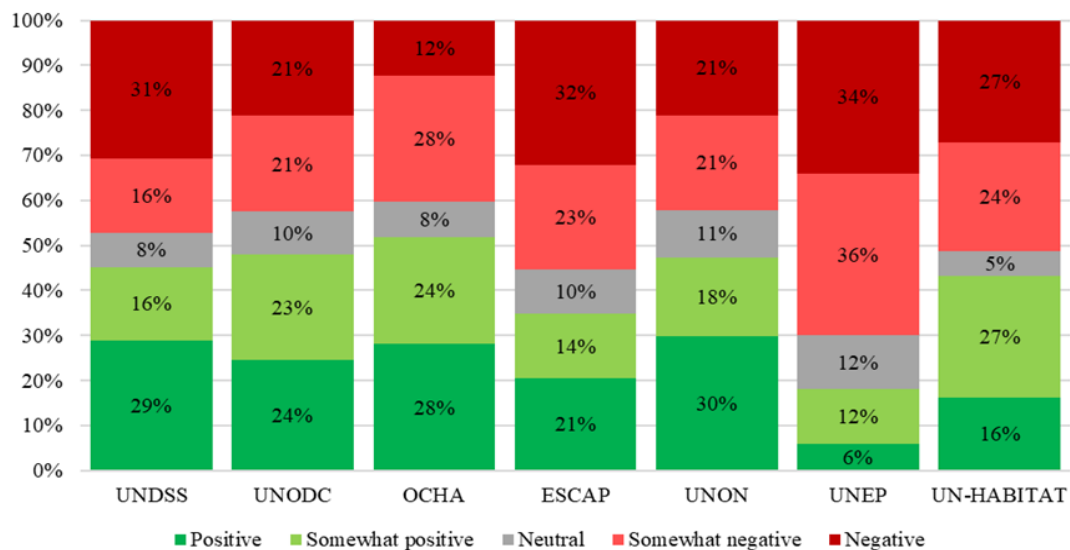
Figure 6
Assessment of prevention efforts in non-peace operation entities

(Percentage of interviewees)



45. Entity-wide assessments by interviewees of prevention efforts by their respective entities are shown in figure 7.¹⁵

Figure 7
Entity-specific assessment of prevention in non-peace operation entities



¹⁵ Composite scores were calculated by averaging the individual assessments under the broad category of prevention.

C. Despite their small size, the recently established Office of the Special Coordinator and Office of the Victims' Rights Advocate have been effective champions in reprioritizing addressing sexual exploitation and abuse across the Organization, although their activities have faced several challenges

There was clear commitment and visible progress in efforts to address sexual exploitation and abuse across the United Nations system

46. Supported by the Office of the Special Coordinator, agencies, funds and programmes ramped up their efforts to address sexual exploitation and abuse. The Inter-Agency Standing Committee endorsed its championship strategy and plan for accelerating activities at the country level related to protection from sexual exploitation and abuse in 2018, leading to increased reporting and resource allocation.¹⁶

47. Overall, while reporting on sexual exploitation and abuse allegations across the system increased by 162 per cent between 2015 and 2018, agencies, funds and programmes registered a 567 per cent increase. Capacities and resources also dramatically increased. For example, the United Nations Children's Fund (UNICEF) committed \$21.6 million (2018–2019) to scale up efforts related to protection from sexual exploitation and abuse in 32 countries, while several other entities committed to filling gaps in resources.¹⁷

48. At the headquarters level, representatives of 10 agencies, funds and programmes attested to paying greater attention to the issue than ever before in their entities' management priorities, staff awareness, programme delivery and engagement with implementing partners and beneficiaries. In the field, agencies, funds and programmes involved in task forces on protection from sexual exploitation and abuse also generally demonstrated heightened awareness of the issue in all eight countries included in the present evaluation.

The Office of the Special Coordinator contributed to sustaining high-level attention to sexual exploitation and abuse and unifying and consolidating efforts across the system

49. With a "time-bound mandate", the Office of the Special Coordinator was established to support implementation of the recommendations of the Panel of Experts on the Central African Republic and to organize, unify and prioritize system-wide measures, including by coordinating the implementation of the new approach. Supported by extrabudgetary funding of approximately \$3.3 million from seven countries during the 2016–2019 period, the Special Coordinator was initially appointed for 11 months, which has been extended annually, transitioning from a full-time to a "when actually employed" contractual arrangement in May 2017.

50. Stakeholders described the Office of the Special Coordinator as an effective mechanism that improved coherence, coordination, knowledge-sharing and dissemination of information across the system, with 46 per cent of 87 interviewees¹⁸ rating its effectiveness either positively or somewhat positively (see figure 8). It

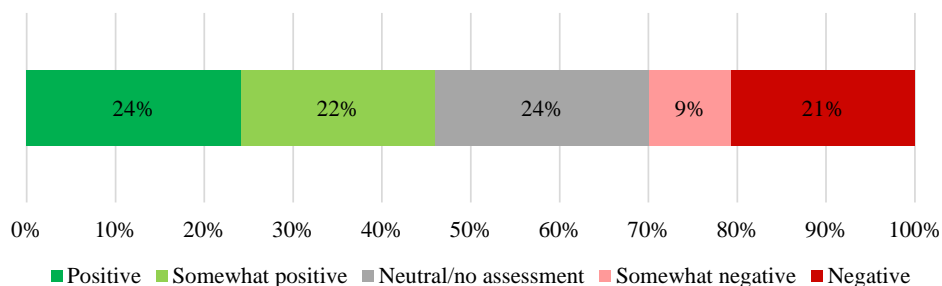
¹⁶ <https://interagencystandingcommittee.org/iasc-champion-protection-sexual-exploitation-and-abuse-and-sexual-harassment/iasc-plan-accelerating>.

¹⁷ Inter-Agency Standing Committee and UNICEF, "Protection from sexual exploitation and abuse: UNICEF IASC championship 2018–2019", available at <https://interagencystandingcommittee.org/system/files/2019-12/IASC%20Championship%202018-2019%20v11%20WEB.pdf>.

¹⁸ Including representatives from 27 Secretariat entities, 9 agencies, funds and programmes and 22 Member States.

brought together and consolidated the efforts of various entities that had been dealing with sexual exploitation and abuse in their own way.

Figure 8
Stakeholder assessments of effectiveness of the Office of the Special Coordinator



Source: Coded analyses of OIOS interviews.

Note: N=87.

51. Key initiatives undertaken and coordinated by Office of the Special Coordinator included the following: the Clear Check tool; the United Nations protocol on allegations of sexual exploitation and abuse involving implementing partners; the circle of leadership on the prevention of and response to sexual exploitation and abuse in United Nations operations; annual system-wide surveys; the 2017 high-level meeting on sexual exploitation and abuse; the fortnightly meetings of the system-wide working group on sexual exploitation and abuse; the “no excuse card”; the incident reporting form; and annual letters and action plans of United Nations entities. The Office also maintained a fact sheet on the status of various initiatives under way across the system.¹⁹

The work of the Office of the Special Coordinator was affected by perceived overemphasis on peacekeeping and low visibility of the Special Coordinator

52. A minority of stakeholders (30 per cent) perceived the effectiveness of the Office of the Special Coordinator somewhat negatively or negatively. Two thirds of representatives of agencies, funds and programmes interviewed considered policies and tools advocated by Office to be overly focused on peacekeeping and, at times, unrealistic in the field for non-peacekeeping entities.

53. About a quarter of interviewees identified the need to strengthen awareness of the work of the Office. A majority of Member State representatives interviewed indicated that they were aware and appreciative of its work, although some were critical and about a quarter were unaware of its work. Representatives of three Member States that provided funding to Office raised concerns about the quality of its work, its cost relative to outcome and a lack of understanding of its activities in general.

The Office of the Victims’ Rights Advocate provided a platform to keep victims’ rights high on the agenda

54. As a system-wide entity established in August 2017 with a budget of \$1.3 million for the period 2018–2019 under the regular budget, the Office of the

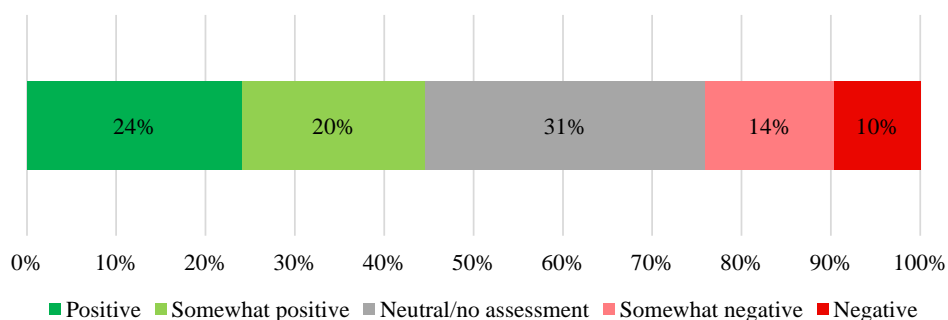
¹⁹ www.un.org/preventing-sexual-exploitation-and-abuse/content/fact-sheet-on-initiatives-to-prevent-and-respond-to-sexual-exploitation-and-abuse.

Victims' Rights Advocate is responsible for, among other things, supporting an integrated, strategic response to victim assistance and ensuring a victim-centred approach to addressing sexual exploitation and abuse. Initiatives undertaken by the Office included advocacy for and the raising of awareness of victims' rights and support, mapping of victim assistance in eight countries, a declaration on victims' rights and resolution of outstanding paternity and child support claims.

55. Forty-four per cent of 83 interviewees assessed the work of Office as positive (24 per cent) or somewhat positive (20 per cent) (see figure 9). They considered it an effective platform for raising awareness and creating pressure, allowing for better understanding of the concept of victims' rights as a cross-cutting element of the Secretary-General's strategy. Its efforts to operationalize a cultural shift in the Organization in addressing sexual exploitation and abuse that placed victims at the centre was also identified as a positive aspect. The Victims' Rights Advocate was viewed as present, approachable and engaged.

Figure 9

Stakeholder assessments of the effectiveness of the Office of the Victims' Rights Advocate



Source: Coded analyses of OIOS interviews.

56. The remaining interviewees identified the need for greater awareness of the work of the Office (31 per cent), while some assessed its contribution negatively (24 per cent) (see figure 9). With a majority of its initiatives in progress, and limited contribution to actual day-to-day assistance to victims, the Office was perceived by interviewees as having no visible impact.

57. Most of the Member State representatives interviewed were aware of the Office's work; over half had concerns about its contributions given its cost and the lack of information on tangible results achieved. The work of the Office had been hampered by the delayed recruitment of Field Victims' Rights Advocates, with only one out of the four recruitments completed as of December 2019.

The necessity for two separate offices to address sexual exploitation and abuse needed reconsideration

58. Overall, with four staff each to cover sexual exploitation and abuse and the work of Victims' Rights Advocates for the whole United Nations system, both the Office of the Special Coordinator and the Office of the Victims' Rights Advocate were considered underresourced by stakeholders to adequately fulfil their roles, given the numerous initiatives to be undertaken or coordinated by them. The establishment of two separate offices to address sexual exploitation and abuse, although with separate but related roles, was perceived by some stakeholders to be unnecessary, especially

given their very small size, and to have resulted in fragmentation and lack of clarity with regard to roles.

D. There has been a significant increase in initiatives and actors and the establishment of a stricter policy on sexual exploitation and abuse. However, varying interpretations of the policy, and persisting issues linked to the outdated [ST/SGB/2003/13](#), hampered the Organization’s response to sexual exploitation and abuse

The multiplicity of initiatives led to confusion, and a lack of prioritization and follow-up

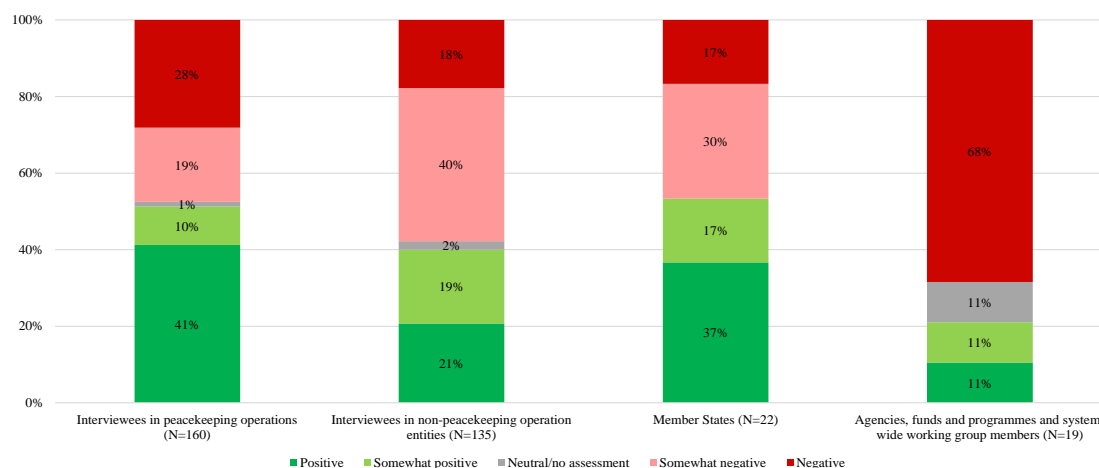
59. Over the years, the number of initiatives to address sexual exploitation and abuse has multiplied. The new approach included 49 new initiatives, in addition to the 55 prior ones, for a total of 104 initiatives. Policies were spread across many documents, as advisories and guidance were issued to peace operations to respond to evolving issues or the implementation of various initiatives. However, several key initiatives have remained pending for several years. For example, procedures for handling paternity claims and communicating with victims have been pending since 2015, and the development of a system-wide manual on sexual exploitation and abuse and uniform standards for investigating sexual exploitation and abuse have been pending since 2016.

60. The use of code cables to provide guidance with regard to sexual exploitation and abuse to peace operations that responds to events or new initiatives has created the perception among some of “policy by code cables”. There were 59 such code cables issued to peace operations in four years. However, key operational guidance, including processes and benchmarks, remained scattered and not easily accessible to practitioners.

61. The assessment of interviewees (see figure 10) of the coherence and consistency of policy and guidance on sexual exploitation and abuse was mixed, with peace operations having the most positive assessments and participants from agencies, funds and programmes in the working group led by the Office of the Special Coordinator the least.

62. Interviewees with positive assessments mentioned that sexual exploitation and abuse policies and guidelines were clear, adequate, comprehensive and well understood. They expressed appreciation for supporting policy documents and outreach materials, such as posters, brochures, pocket cards and computer messages, distributed in different languages.

Figure 10
Assessment of strategy, policy and guidelines on sexual exploitation and abuse



63. Interviewees with negative assessments of policies and guidance found these to be unclear, complex, overwhelming and overly focused on peacekeeping operations.

64. One example was the incident reporting form, a key initiative of the Secretary-General to ensure a standard intake reporting form across the system. Proposed in 2016 and developed through the system-wide working group on sexual exploitation and abuse, the form was intended for use by all United Nations entities to ensure that all parts of the system gather the same information and present it in the same way.²⁰ However, interviewees from the agencies, funds and programmes considered the form too complicated for an intake form and did not use it, although it was embraced and used by peace operations. The Office of the Special Coordinator considered that the form was not complicated but rather had been designed to ensure adequate rigour and informed consent in the intake process. In its view, the issue was not the form but the extremely high turnover in the majority of the agencies, funds and programmes and the lack of appropriate personnel or mechanisms. The Office further added that the form had been developed through a process involving extensive consultations and endorsed by the High-level Steering Group on preventing sexual exploitation and abuse in July 2017 but had never been used by non-Secretariat entities. Nevertheless, the initiative fell short in achieving the Secretary-General's objective of a standard intake reporting form across the system.

Divergent points of view prevented the revision of the outdated [ST/SGB/2003/13](#)

65. The need to revise [ST/SGB/2003/13](#) has become apparent over the years due to its several shortcomings and improvement in the Organization's understanding of sexual exploitation and abuse. The core dispute was related to its provision that "strongly discouraged" sexual relations between United Nations staff and "beneficiaries of assistance". The 2015 OIOS evaluation report recommendation to clarify this provision was accepted by the Secretary-General. Additionally, the Secretary-General in 2015 proposed revisions to [ST/SGB/2003/13](#) to reflect significant changes in sexual exploitation and abuse policy over time.²¹ However, the bulletin remained unchanged.

²⁰ See [A/71/97](#), para. 28. The incident reporting form was rolled out in four countries and an electronic version was launched in 2020.

²¹ [A/69/779](#), para. 75.

66. There was a lack of consensus on whether to completely prohibit sexual relationships between United Nations personnel and members of the local population, particularly given the large number of national staff, the practicality of such a prohibition, privacy concerns and a lack of clarity about who exactly were considered beneficiaries of assistance.

67. An October 2017 code cable²² prohibited all peace operations personnel from having sexual relations with refugees, internally displaced people and similarly vulnerable populations. However, this prohibition did not apply to agency, fund and programme personnel, for whom it remained “strongly discouraged”, as per [ST/SGB/2003/13](#), resulting in dual policies for system-wide personnel.

68. A specific attempt to ban sexual relations between United Nations personnel and members of the local population was made in South Sudan in response to a heightened risk of sexual exploitation and abuse, through a memo from the Chef de Cabinet in April 2018, but it generated strong resistance, as the mission considered the prohibition “unenforceable” and that it had “angered and deeply upset” national staff. Concerns were also raised about whether a memo could prevail over [ST/SGB/2003/13](#).

69. Despite efforts led by the Office of the Special Coordinator to find common ground among United Nations entities, there has been no headway. There were prevailing views among some stakeholders that non-exploitative sexual relationships with some beneficiaries of assistance could exist.

Allegations against non-peace operations Secretariat personnel were not publicly reported

70. Pursuant to General Assembly resolution [57/306](#), all allegations of sexual exploitation and abuse against personnel in peace operations and humanitarian contexts are publicly reported in the annual special measures reports. However, allegations of sexual exploitation and abuse involving other Secretariat entities are not systematically reported publicly. OIOS annual reports covering non-peace operation entities showed a total of 51 sexual exploitation and abuse matters for the July 2015 to June 2019 period (see table).

Table

Non-peacekeeping sexual exploitation and abuse caseload

<i>Period</i>	<i>Investigation reports issued</i>	<i>Predicated investigations</i>	<i>Referrals</i>	<i>Total</i>
July 2018–June 2019	3	7	9	19
July 2017–June 2018	3	4	11	18
July 2016–June 2017	1	5	3	9
July 2015–June 2016	1	2	2	5
Total	8	18	25	51

Source: [A/71/337 \(Part I\)](#), [A/72/330 \(Part I\)](#), [A/73/324 \(Part I\)](#) and [A/74/305 \(Part I\)](#).

71. However, only four of these allegations were reported in the special measures reports, while 47 were not because they were outside the purview of resolution [57/306](#) although all of them were treated as violations of [ST/SGB/2003/13](#) and staff rule 1.2 (e), the same legal framework applied for all sexual exploitation and abuse. For consistent application of the new approach and to maintain the same standard for

²² Code cable 2029 of 23 October 2017.

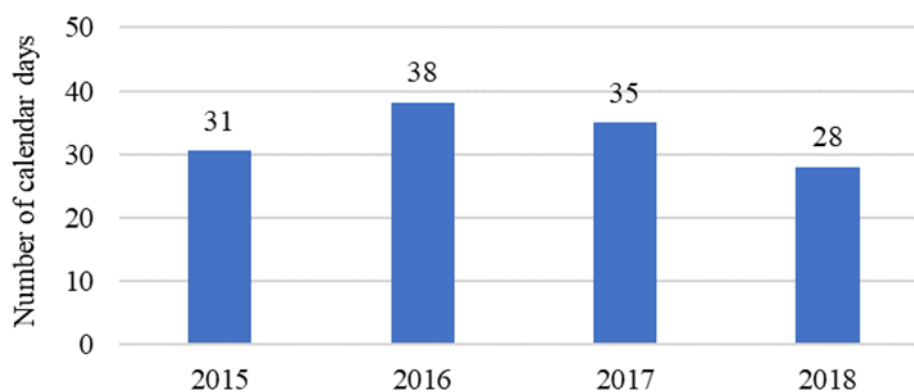
all personnel as per General Assembly resolution 71/297, all allegations concerning non-peace operations personnel should be reported publicly.

E. There was some improvement in the processing of sexual exploitation and abuse allegations; however, every step took longer than stipulated

72. Critical stipulated timelines for the processing of allegations included 7 days to assess and report on allegations, 3 days for referral for investigation, 10 days (5 days for serious cases) for troop-contributing countries to provide notification of their intention to appoint a National Investigations Officer for cases involving military personnel, 6 months for investigations (3 months for serious cases) and 15 days for submission of an investigation report for further action.²³

73. Analysis of 356 allegations in peace operations during the 2015–2018 period showed that the average time taken for initial review, reporting and referral for investigations was more than three times higher (34 days) than the stipulated 10 days. (see figure 11).

Figure 11
Average duration for review and referral



74. Based on data provided by the Conduct and Discipline Service of the Department of Management Strategy, Policy and Compliance, also publicly available on its website,²⁴ out of the 230 relevant cases, National Investigations Officers were appointed by troop-contributing countries in 170 cases (74 per cent) within an average of 10 days, but the range extended from 2 to 41 days.

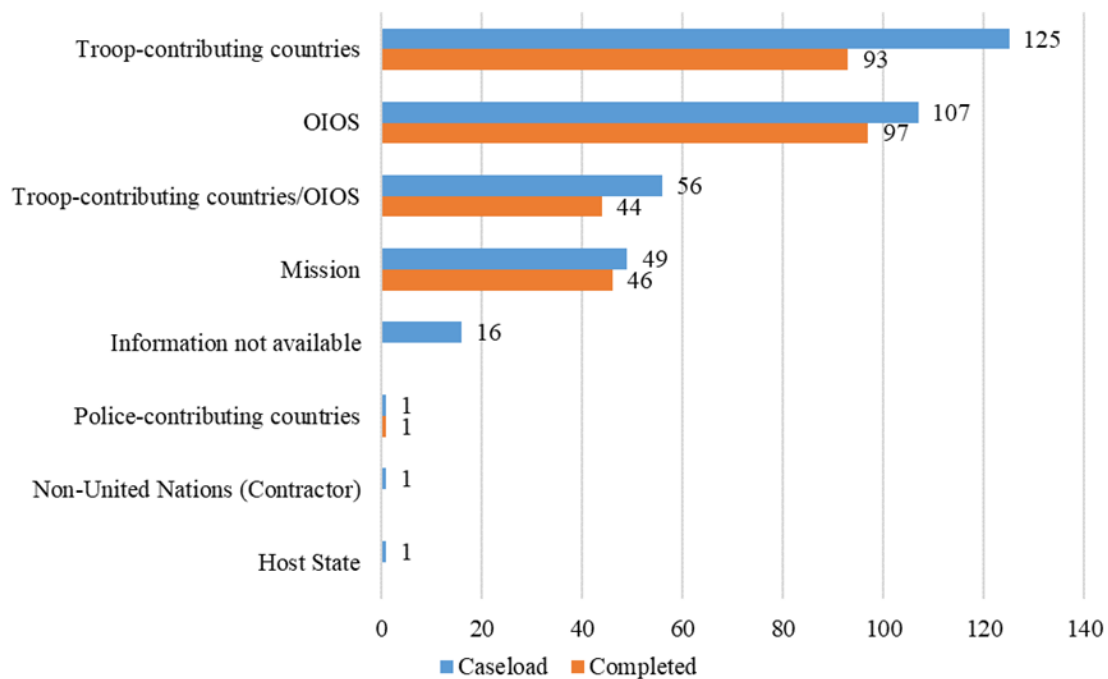
Investigations overall took longer, with half completed within the six-month stipulated time period

75. The 356 allegations were investigated by various entities, with troop-contributing countries conducting the largest number of investigations. In all, 281 investigations (79 per cent) were completed (see figure 12).

²³ These timelines are provided in A/67/766, A/69/779, A/70/729 and code cable 1612 of 10 July 2014.

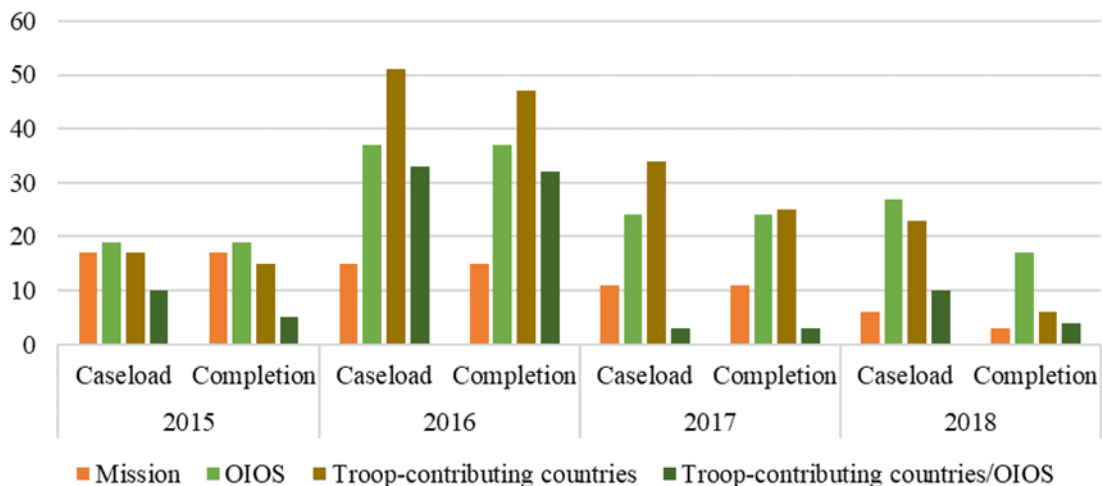
²⁴ <https://conduct.unmissions.org/table-of-allegations>.

Figure 12
Investigation caseload and completion by entity, 2015–2018



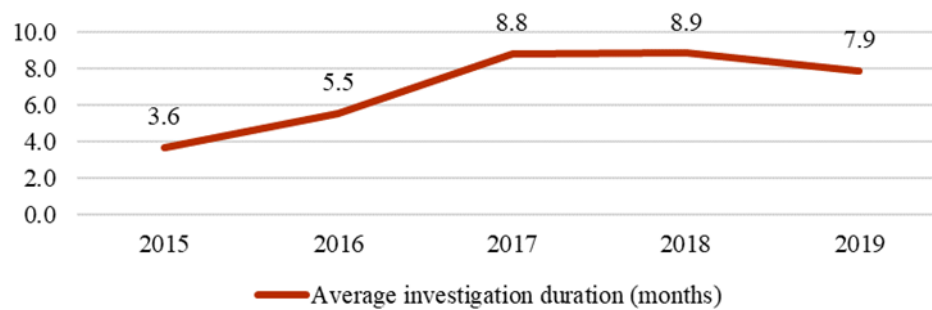
76. Investigation caseloads and the number of cases completed more than doubled between 2015 and 2016, but both returned to levels similar to those in 2015 in 2017, with caseloads remaining at that level in 2018 (see figure 13).

Figure 13
Investigation caseload and completion by entity, per year



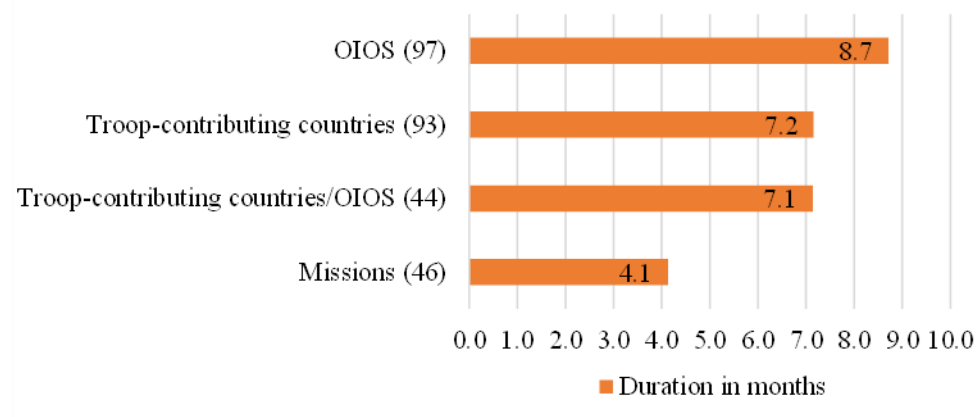
77. The average duration of the 281 investigations completed was 7.3 months, with recent completions taking longer (see figure 14).

Figure 14
Average duration (in months) of all completed investigations



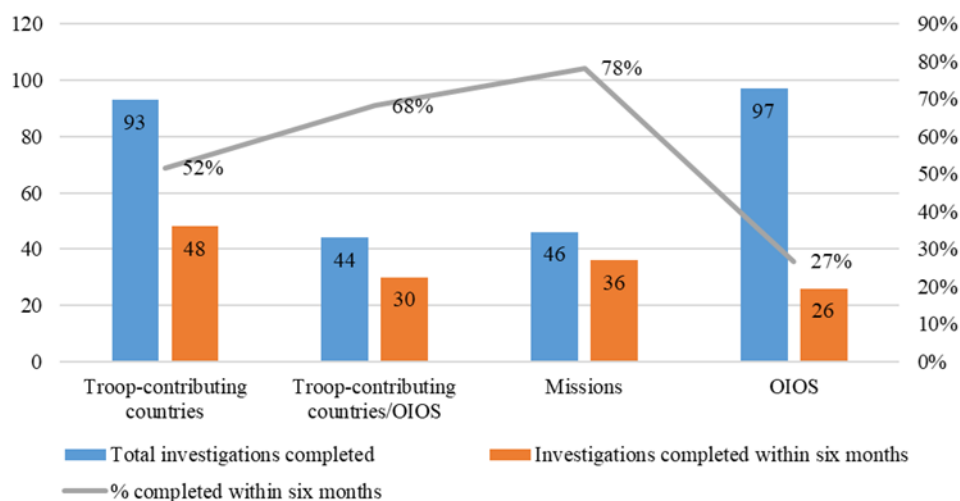
78. Investigations by missions were the fastest (see figure 15), as missions investigated mostly the least complex cases.

Figure 15
Average duration (in months) of investigations, by entity, 2015–2018



79. Overall, half of the total completed investigations were completed within the stipulated six months (see figure 16). The average duration of abuse cases was 7.8 months, with 23 investigations (18 per cent) completed within 3 months.

Figure 16
Total number of investigations completed and those completed within six months, by entity, 2015–2018



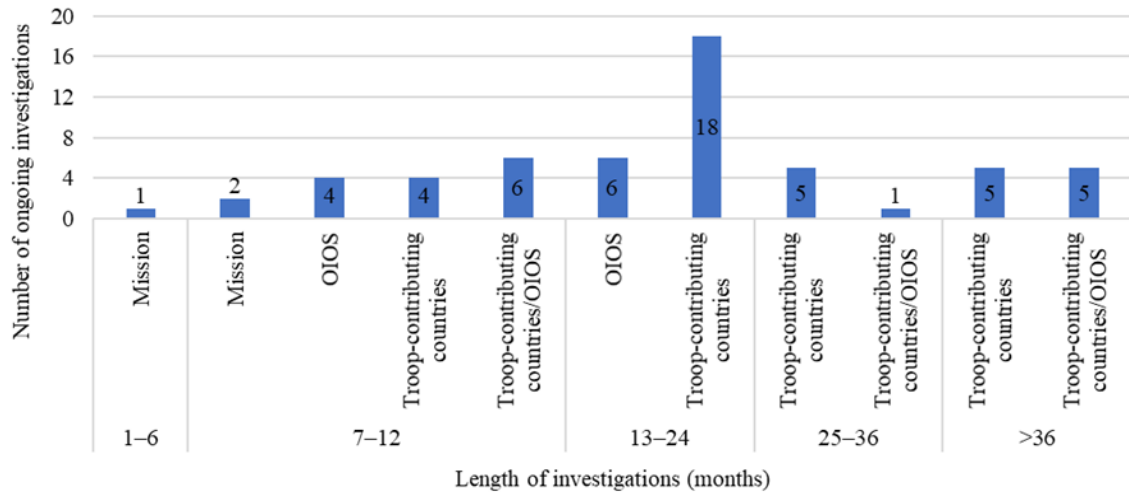
Mission special investigation units investigated sexual exploitation and abuse cases that were generally outside their remit

80. Following referral by OIOS, 49 investigations were handled by special investigation units in 11 missions during the 2015–2018 period, including three rape cases, six sexual assault/abuse cases and one case of sexual activity with a minor. Special investigation unit investigators interviewed expressed concern about the lack of requisite expertise to conduct such complex and serious investigations. They also reported challenges resulting from delays, sometimes as long as four months, associated with time taken for cases to be referred from conduct and discipline teams to OIOS, and then returned to missions for investigation by special investigation units, leading to a loss of evidence. Furthermore, investigations by special investigation units of 11 cases involving military contingent members in four missions did not fall within established protocols, as those cases generally fell under the jurisdiction of the troop-contributing countries and were to be investigated by the respective countries.

Investigations were pending completion for 16 per cent of cases for an average of 21 months

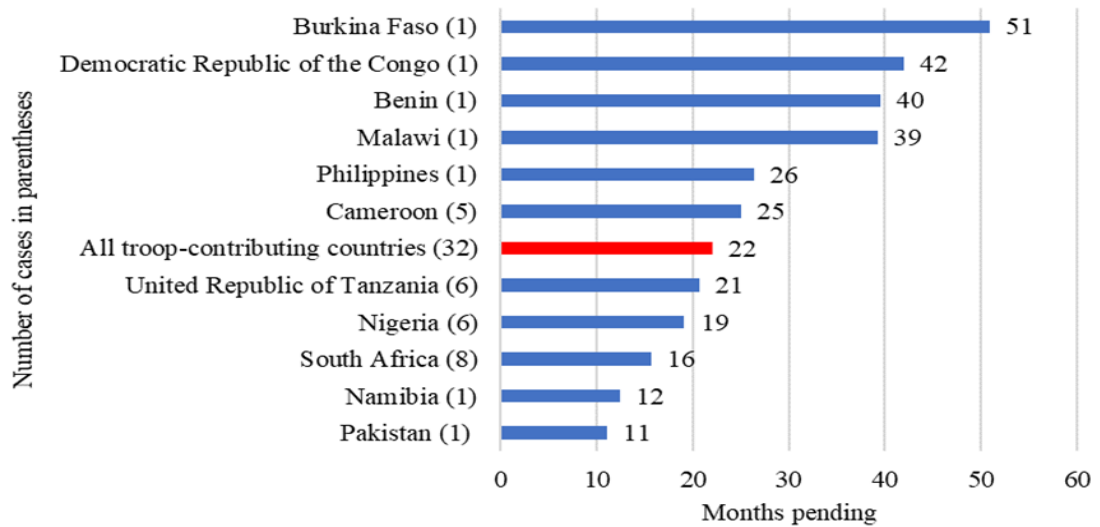
81. A total of 57 cases (16 per cent) involving 237 victims and 212 perpetrators had been pending completion of investigations as of 25 July 2019 for an average of 21 months (see figure 17). Nearly 40 per cent of these cases were related to rape, sexual assault and sexual activity with minors, while the rest were related to exploitation.

Figure 17
Length of investigations pending completion, by entity, 2015–2018



82. Troop-contributing countries had the highest number of cases (32) pending completion of investigation, with an average duration of 22 months (see figure 18). Of those cases, nearly 80 per cent were with four troop-contributing countries.

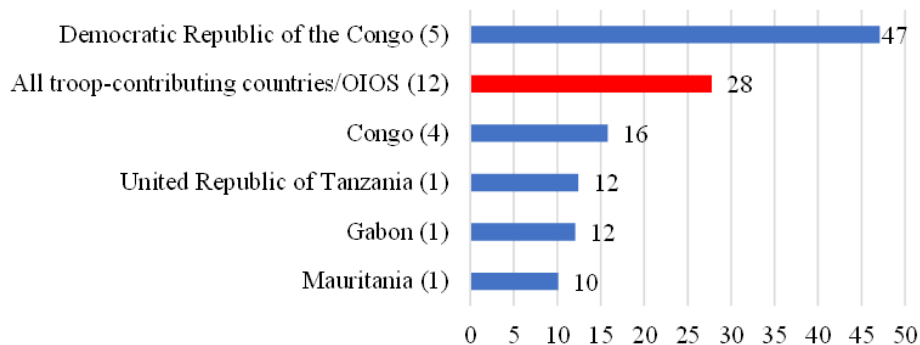
Figure 18
Number of cases pending completion of investigation and duration (in months) with troop-contributing countries, 2015–2018



Source: Department of Management Strategy, Policy and Compliance. For latest data, see <https://conduct.unmissions.org/sea-investigations>.

83. Twelve cases jointly investigated by five troop-contributing countries and OIOS were pending completion of an investigation for an average duration of 28 months (see figure 19).

Figure 19
Number of cases pending completion of investigation by troop-contributing countries and the Office of Internal Oversight Services and duration (in months), 2015–2018



Source: Department of Management Strategy, Policy and Compliance. For latest data, see <https://conduct.unmissions.org/sea-investigations>.

84. During the 2015–2018 period, 10 cases were pending completion of investigations with OIOS for an average of 14 months and 3 cases were pending with special investigation units for an average of 8 months.

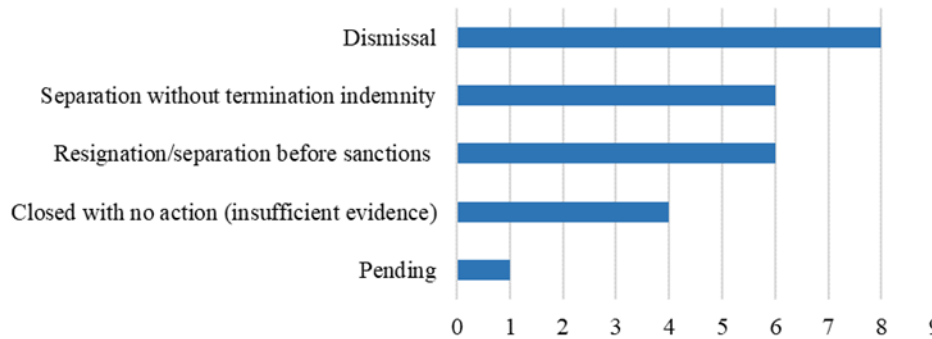
85. Additionally, OIOS completed investigations for 10 cases related to non-peace operation entities for an average duration of 10.8 months, with a range of between 3 and 16.8 months.

F. Administrative accountability imposed by the United Nations demonstrated the zero-tolerance policy at work but had marked variations among troop- and police-contributing countries

86. Between January 2015 and September 2019, 14 staff were dismissed or separated for substantiated allegations of sexual exploitation and abuse (see figure 20). Furthermore, 15 staff were placed on administrative leave without pay in line with staff rule 10.4 (c) for an average of seven months. All sanctions were imposed on staff in peace operations, except for one staff member of the Office for the Coordination of Humanitarian Affairs. From the completion of investigations, the time elapsed before administrative sanctions were imposed ranged between 1 and 16 months, with an average of 6.7 months.²⁵

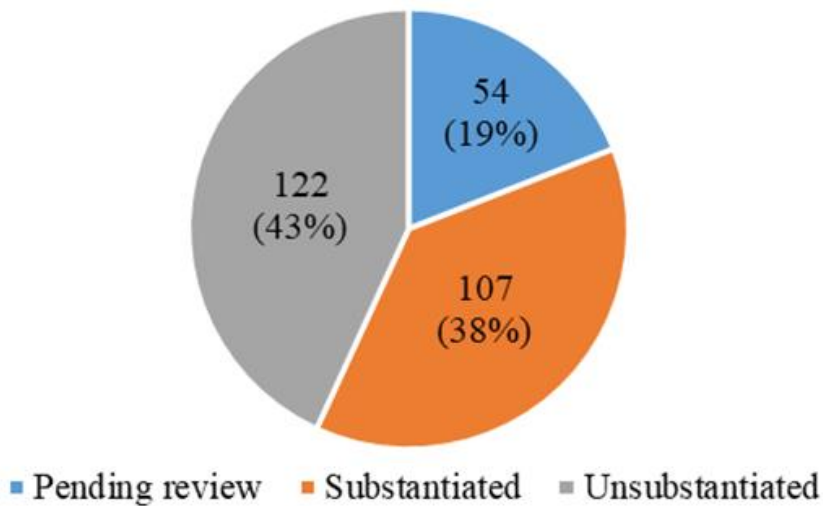
²⁵ Data compiled from A/70/253, A/71/186, A/72/209, A/73/71 and A/74/64.

Figure 20
Administrative sanctions on staff for sexual exploitation and abuse, 2015–2018



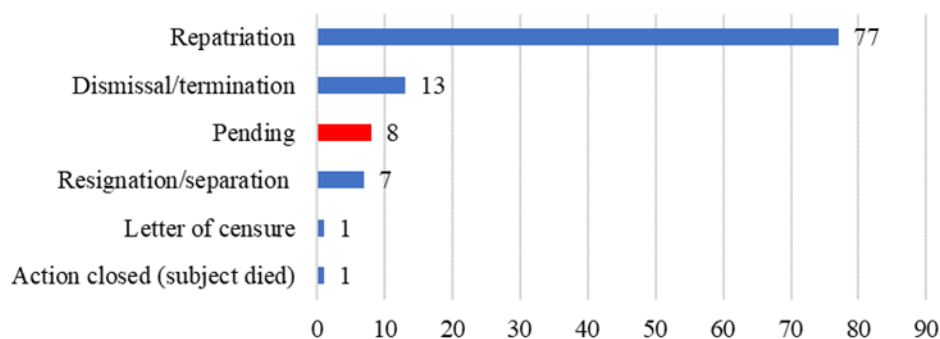
87. Out of the 283 completed investigations pertaining to cases reported in the special measures reports, 38 per cent had findings of sexual exploitation and abuse (see figure 21).

Figure 21
Outcome of investigations, 2015–2018



88. Sanctions were imposed in 91 out of the 107 cases (85 per cent) with findings related to sexual exploitation and abuse for both civilian and uniformed personnel. In the remaining 16 cases, sanctions were pending in 8 and perpetrators had resigned or been separated in 7 (see figure 22).

Figure 22
Sanctions imposed by the United Nations, 2015–2018

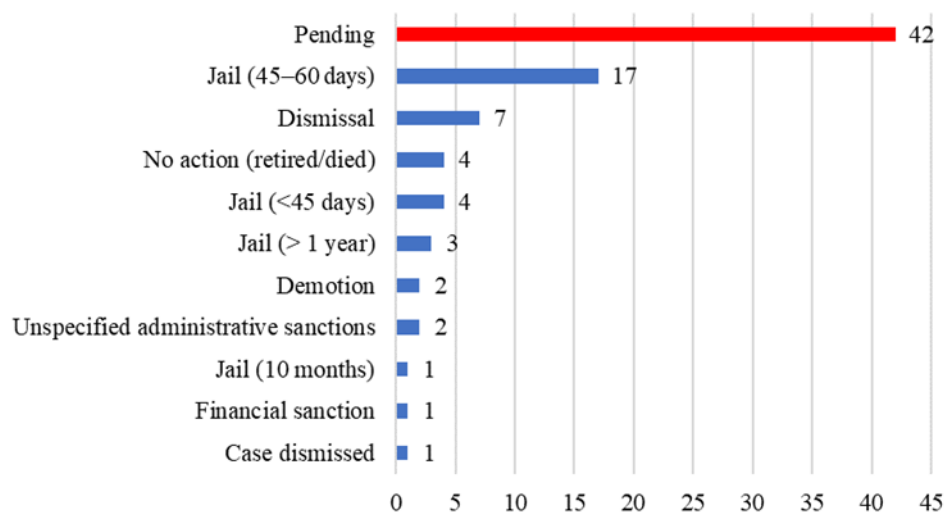


Source: Department of Management Strategy, Policy and Compliance. Latest data available at <https://conduct.unmissions.org/sea-actions>.

89. Disciplinary sanctions for staff ranged in severity from a letter of censure to dismissal. For uniformed personnel, the administrative sanction of repatriation and barring from participation in future United Nations operations was the highest used sanction (in 77 out of 84 cases), with disciplinary sanctions left to troop- and police-contributing countries. In addition, \$600,000 was withheld for substantiated allegations of sexual exploitation and abuse during the 2016–2019 period, in line with General Assembly resolution 70/286.

90. Sanctions imposed by troop- and police-contributing countries on their personnel varied widely depending on the type of sexual exploitation and abuse and on national laws, and included jail terms for 25 out of 84 perpetrators. Overall, sanctions in half of the cases were pending with the troop- and police-contributing countries (see figure 23).

Figure 23
Sanctions imposed by troop- and police-contributing countries, 2015–2018



91. Interviewees largely considered the disciplinary process lengthy and lacking in transparency, and that cases remained pending at Headquarters for a long period of

time. The timeline for administrative sanctions was not kept, thus limiting the Organization's ability to measure the full cycle of response to allegations.

92. A majority of interviewees were not aware of the disciplinary sanctions imposed for sexual exploitation and abuse, which contributed to a perception of impunity. The Secretary-General publishes an annual report on disciplinary measures but the practice of issuing those reports as an information circular was discontinued, making them less easily accessible by staff. Additionally, there was no proactive campaign to publicize the sanctions imposed for sexual exploitation and abuse among personnel.

Follow-up with Member States generally improved, with Security Council resolution 2272 (2016) enabling high-level engagement with troop-contributing countries

93. Member States interviewed reported strengthened engagement by the Secretariat, which a majority of troop- and police-contributing country representatives considered "intense". Member State response rates to Secretariat follow-ups had also significantly increased.

94. Security Council resolution 2272 (2016) provided further impetus with regard to accountability and the responsibility of troop- and police-contributing countries to investigate and hold their personnel accountable. A standing review committee was established and detailed guidance was issued to operationalize the resolution. The committee has met regularly since 2017, with its work supported by a dedicated database.

95. This had a marked effect on the Secretariat's engagement with troop-contributing countries whose contingents posed a high-risk of sexual exploitation and abuse. Such countries that were under review by the committee adopted several specific measures to address sexual exploitation and abuse. The resolution's deterrent effect percolated down to the soldier level, as was evident during focus group discussions.

96. Nevertheless, while two contingents were repatriated for sexual exploitation and abuse prior to the adoption of the resolution, no repatriation occurred after its adoption, although the standing review committee found "credible evidence" of one contingent being implicated in "widespread and systemic sexual exploitation and abuse", the criteria for repatriation as provided for in the resolution. The committee recommended repatriation of 400 troops of the contingent in July 2018, which was endorsed by the leadership of the relevant departments. However, the repatriation did not take place due to political and operational factors, including consideration of the corrective actions taken by the troop-contributing country. Intense engagement by the Secretariat led to adoption of an action plan by the country, resulting in a reduction of allegations of sexual exploitation and abuse in subsequent years.

G. Criminal accountability for sex crimes remained largely unachieved, with some success regarding uniformed personnel but none regarding civilians and experts on mission

97. Criminal accountability for credible allegations of sexual exploitation and abuse that amounted to crimes was pursued in three main ways. Troop-contributing countries had exclusive jurisdiction over crimes committed by military contingent members. The Office of Legal Affairs made criminal referrals to Member States for officials and experts on mission in line with General Assembly resolution 62/63. Member States also sometimes initiated investigations into such allegations without first obtaining a referral from the Office.

There was some success in achieving criminal accountability among uniformed personnel, but most cases remained pending

98. Concerning uniformed personnel, 22 of the 84 substantiated cases involved possible criminal conduct (e.g. rape, sexual activity with a minor or sexual assault). However, criminal sanctions varied; they were imposed in 12 cases, and ranged from demotion to imprisonment for five years. Another 10 cases remained pending since completion of investigations for an average of two years.²⁶

Cases were not systematically forwarded to the Office of Legal Affairs for criminal referral

99. Substantiated sexual abuse cases involving civilian personnel must be referred to the Office of Legal Affairs for further action. However, 6 out of 17 such cases were not forwarded by the Department of Management Strategy, Policy and Compliance to the Office for referral.

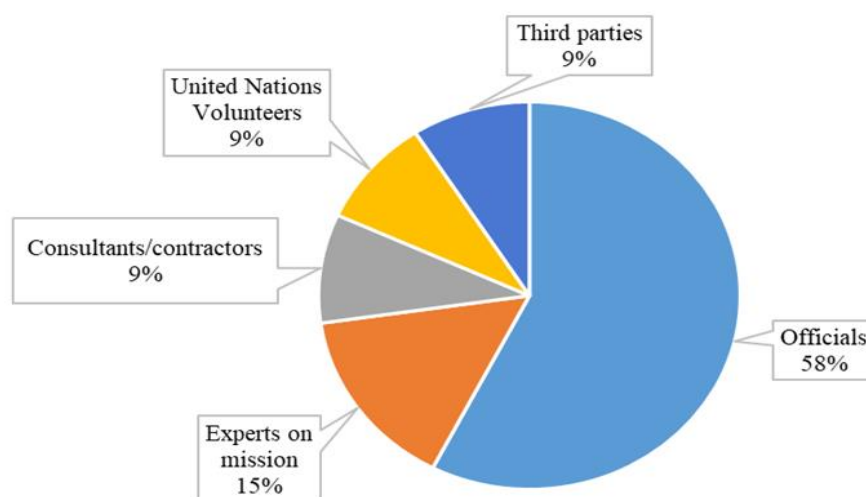
Referrals by the Office of Legal Affairs had not resulted in any successful cases of criminal accountability for officials and experts on mission

100. Concerning officials and experts on mission, 20 out of the 55 substantiated cases (2015–2018) involved possible criminal conduct. However, none had resulted in criminal sanctions and they had been pending sanctions with the Member States for an average of 630 days since the completion of the investigations by the United Nations.

101. Between the adoption of General Assembly resolution 62/63 in 2007 and 2019, the Office referred a total of 33 cases of sexual exploitation and abuse involving possible criminal behaviour to 23 Member States for criminal accountability. Most of the cases pertained to the Secretariat (26 cases, or 79 per cent) and were against officials (19 cases, or 58 per cent) (see figure 24). The Office followed up with the relevant Member States on the status of the cases involving officials and experts on mission but no such follow-ups were done for the nine cases related to United Nations Volunteers, contractors and third parties, as they were outside the purview of resolution 62/63.

Figure 24

Referrals for criminal accountability, by personnel type

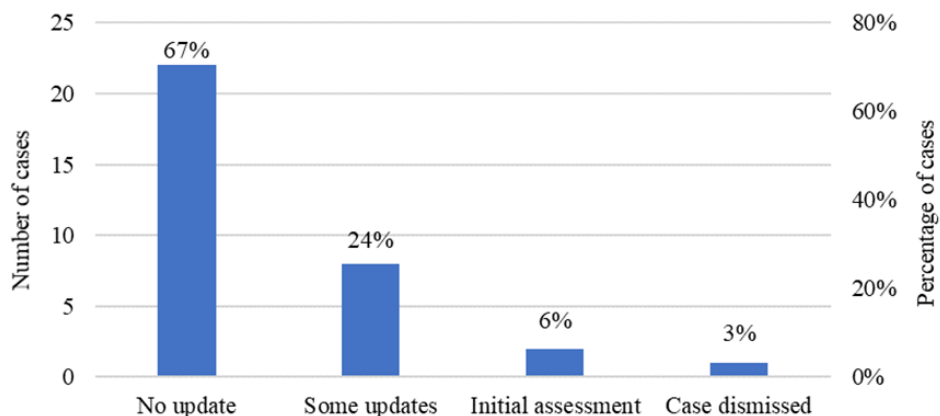


²⁶ Detailed information is included in the full report.

102. There have been no criminal sanctions in these referred cases (see figure 25) and in only one case were criminal proceedings initiated by the Member State and the case expected to go to trial.

Figure 25

Status of cases referred by the Office of Legal Affairs for criminal accountability



Four out of nine investigations initiated by Member States were concluded

103. Between July 2016 and June 2019, Member States initiated a total of 10 criminal cases of sexual exploitation and abuse involving Secretariat personnel, of which two resulted in conviction and sentencing and three were concluded with no charges.

Several factors contributed to the lack of criminal accountability

104. There were multiple reasons for the lack of criminal accountability. Member States reported a lack of extraterritorial jurisdiction and challenges related to the availability of resources, competing priorities and cooperation among States.

105. The issue of an international convention related to crimes committed in peacekeeping operations was raised more than a decade ago and remains under deliberation.²⁷

Efforts were under way to increase awareness and accountability for sexual exploitation and abuse by non-United Nations forces, but accountability was not fully realized for the reported cases

106. OHCHR persistently followed up with the six Member States regarding the 23 reported cases of sexual abuse by non-United Nations forces. However, only two countries provided updates and in none of the cases did national proceedings lead to any sanctions for perpetrators. In MINUSCA, human rights staff who were mandated for monitoring, reporting and follow-up on sexual exploitation and abuse by non-United Nations forces demonstrated heightened awareness of the issue.

²⁷ A/60/980.

H. The victims' rights approach in addressing sexual exploitation and abuse was regarded as highly relevant and, while progress has been made in one peacekeeping mission, it was yet to be fully operationalized

107. The victims' rights approach, spearheaded by the Office of the Victims' Rights Advocate, was highly valued by interviewees and resulted in increased awareness about the rights and needs of victims. It provided a platform to keep victims' rights high on the agenda as a cross-cutting element in addressing sexual exploitation and abuse across the system. However, operationalization of the approach was affected by a lack of resources, perceived duplication, restricted access to victims' information and lack of awareness of the approach. There was no overall normative guidance on the victim-centred approach – specifically on what it entailed with regard to investigations – and a common understanding of the term was yet to be reached. Over one fifth of interviewees in peace operations lacked awareness of the approach.

108. Nevertheless, key initiatives were under way. These included development of the victims' rights statement, mapping of victims' rights approaches, services available system-wide and the victim assistance tracking system in peace operations.

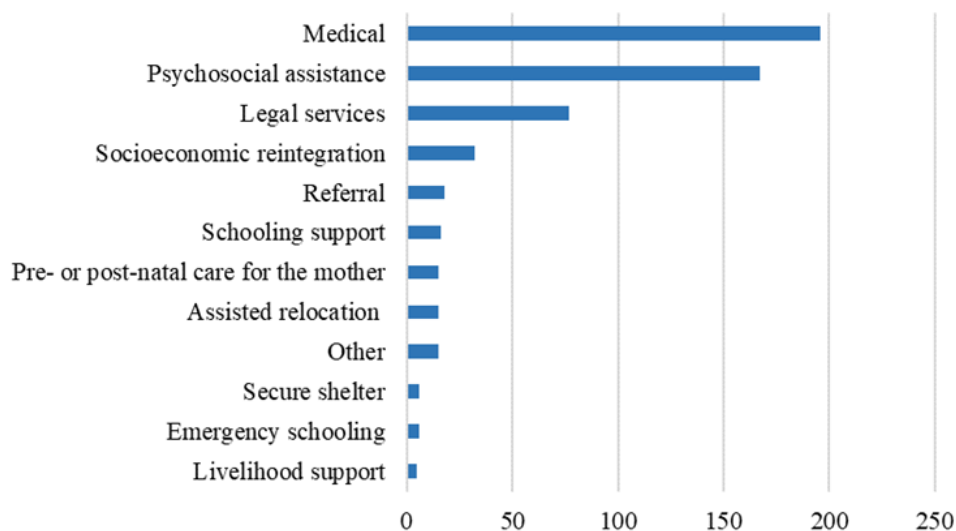
Information and support provided to victims was insufficient and, in many cases, there was no record of assistance provided

109. The 2008 comprehensive victim support strategy focused on the “individual needs” of victims through medical, legal, psychological and immediate material care.²⁸ The strategy was not funded and support to victims by missions was provided in an ad hoc manner from their budgets and by referral to UNICEF and the United Nations Population Fund.

110. Data provided by the Department of Management Strategy, Policy and Compliance showed that between 2015 and 2018, 37 per cent of victims who made allegations (133 out of 356) received no assistance. Among those receiving support, medical, psychosocial and legal services were the most common (see figure 26). However, available data were insufficient to ascertain the quality and relevance of the services provided, as the victim assistance tracking system was not yet fully functional. Members of community-based complaint networks and victims interviewed in MONUSCO and MINUSCA stated that support for victims was inadequate, unpredictable and, in cases involving paternity, severely lacking.

²⁸ General Assembly resolution [62/214](#).

Figure 26
Number of services provided to victims by missions, 2015–2018



111. Victims interviewed in Haiti stated that, after many years of silence, they had started receiving material support and updates on their cases since the appointment of the Field Victims' Rights Advocate and following a visit by the Victims' Rights Advocate in 2018. The mission implemented a victim support project with a budget of \$140,000 from its programmatic resources through an implementing partner. The project provided approximately \$4,000 each to 25 victims with children born as a result of sexual exploitation and abuse for meals, school fees, accommodation and income-generating activities. The mission also informally engaged with embassies of the countries of the alleged fathers for assistance in resolving paternity cases. Overall, the effects of the victims' rights approach were evident in Haiti.

112. Legal issues were the central challenge in the facilitation of paternity and child support claims in all missions. In 2015, the Secretary-General proposed a review to develop a proposal for consideration by the General Assembly to strengthen the Organization's response to paternity and child support claims,²⁹ which was yet to be implemented.

113. In MINUSCA and MONUSCO, improvements were attributed, respectively, to the community-based complaint networks and to projects funded by the trust fund in support of victims of sexual exploitation and abuse. In both missions, evidence suggested ad hoc payments were made to victims from the missions' petty cash, in line with paragraph 77 of A/70/729, for emergency expenses. The work of the Field Victims' Rights Advocates, however, faced significant challenges in all missions, as they raised expectations among victims but did not have any operational budget to support them.

Transparency in the operation of the trust fund in support of victims of sexual exploitation and abuse improved, with its impact visible primarily in the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo

114. As of December 2019, the total revenue of the trust fund was over \$2.5 million, including voluntary contributions from 19 Member States and \$600,000 in withheld

²⁹ A/69/779, para. 72.

payments for substantiated allegations of sexual exploitation and abuse. Meetings with Member States and publication of the annual report and related outreach materials helped improve understanding with regard to the trust fund among stakeholders.

115. However, as of May 2020, the withheld amount had not been transferred into the trust fund and it was unclear how the withheld amounts were accounted for under each mission. The Department of Management Strategy, Policy and Compliance indicated that efforts related to the settlement and transfer of withheld payments were under way.

116. Overall, implementation of trust fund activities was at an early stage. The trust fund had 12 approved projects (3 completed and 9 under way) focused on outreach and support through income-generating activities in vulnerable communities in the Central African Republic, the Democratic Republic of the Congo and Liberia. None focused on direct support to sexual exploitation and abuse victims.

117. The challenges facing the Organization's efforts to assist victims and in demonstrating concrete results in this area are a cause of concern. Long-standing funding gaps for victims' assistance were meant to be partly met by the trust fund. However, trust fund resources were used for community engagement activities while the individual needs of victims remained largely unaddressed.

V. Conclusions

118. The Organization has made visible progress in the fight against sexual exploitation and abuse and in bringing together different parts of the system in this effort. Measures for prevention and response are highly relevant and effective. Sexual exploitation and abuse continues to be the topmost priority in high-risk missions and administrative sanctions imposed by the Organization for substantiated allegations of sexual exploitation and abuse, demonstrated the Secretary-General's zero-tolerance policy. However, prevention and reporting measures need strengthening in non-peacekeeping settings.

119. Victim support remains a critical area in which some progress has been made but the effectiveness of actual direct victim support is still limited. More robust actions are required to further the victims first approach.

120. Overall, while significant progress has been made, long-standing and systemic issues remain to be addressed, which will require the continued highest level of attention and cooperation of the many stakeholders involved.

VI. Recommendations

121. The Inspection and Evaluation Division of OIOS made the 17 important recommendations below, 16 of which have been accepted.³⁰

Recommendation 1

122. The Department of Management Strategy, Policy and Compliance should enhance monitoring of completion of mandatory online training on sexual exploitation and abuse across the Secretariat, including through periodic and targeted follow-ups and publication of related dashboards.

³⁰ Indicators for implementation and relevant paragraphs are available in the full report on the OIOS website.

Recommendation 2

123. The Department of Management Strategy, Policy and Compliance, in consultation with Office of the Special Coordinator, should clarify the distinction between sexual exploitation and abuse and violation of non-fraternization policy against uniformed personnel.

Recommendation 3

124. Non-peacekeeping Secretariat entities, especially those with field operations, should conduct sexual exploitation and abuse risk assessment in line with the Department of Management Strategy, Policy and Compliance sexual exploitation and abuse Risk Management Toolkit and as provided in [A/71/818](#) (paragraph 23).

Recommendation 4

125. Non-peacekeeping Secretariat entities should strengthen prevention measures for sexual exploitation and abuse, including through periodic messages to personnel, display of sexual exploitation and abuse visibility materials and inclusion of sexual exploitation and abuse standard of conduct and reporting mechanisms on websites.

Recommendation 5

126. The Executive Office of the Secretary-General should consider a review of the functions, structure and interlinkages of the Office of the Special Coordinator and the Office of the Victims' Rights Advocate and determine the continued necessity of two separate offices.

Recommendation 6

127. The Office of the Special Coordinator and the Office of the Victims' Rights Advocate, in coordination with the Department of Management Strategy, Policy and Compliance, should conduct stocktaking of policies and initiatives with a view to prioritizing and simplifying, and specifying expected completion dates of long-standing initiatives.

Recommendation 7

128. The Department of Management Strategy, Policy and Compliance should consolidate scattered operational guidance into a manual outlining key processes and roles and responsibilities in preventing and responding to sexual exploitation and abuse within the Secretariat, which could be done as part of the Office of the Special Coordinator system-wide sexual exploitation and abuse manual under development since 2016 or supplementing it with additional guidance for Secretariat entities as needed.

Recommendation 8

129. The Office of the Special Coordinator, in consultation with the system-wide working group on sexual exploitation and abuse and considering the lessons gathered from pilot implementation, should revisit the incident reporting form and make necessary adjustments to ensure that it is used as a standard sexual exploitation and abuse intake and reporting form across the United Nations system as envisioned by the Secretary-General.

Recommendation 9

130. Given the system-wide relevance of [ST/SGB/2003/13](#), the Office of the Special Coordinator and the Department of Management Strategy, Policy and Compliance should jointly seek consensus with stakeholders on clarifying its provisions that strongly discourage sexual relations between United Nations personnel and beneficiaries of assistance and update the bulletin accordingly.

Recommendation 10

131. The Office of the Special Coordinator, in consultation with the Department of Management Strategy, Policy and Compliance and the Office of Legal Affairs, should develop a mechanism for public reporting on sexual exploitation and abuse allegations against Secretariat personnel in contexts other than peace and humanitarian ones that are not included in the Secretary-General's special measures reports.

Recommendation 11

132. The Department of Management Strategy, Policy and Compliance, in collaboration with Office of the Special Coordinator, the Department of Peace Operations and the Department of Political and Peacebuilding Affairs, should: (a) remind missions of the requirement of reporting and referring sexual exploitation and abuse allegations to Headquarters, OIOS and troop-contributing countries as stipulated; and (b) require heads of all Secretariat entities to certify in the annual management letter that all allegations of sexual exploitation and abuse have been accurately and fully reported, as proposed by the Secretary-General in paragraph 50 of [A/71/818](#). This requirement should also be clearly incorporated in the manual mentioned in recommendation 7.

Recommendation 12

133. The Department of Management Strategy, Policy and Compliance and missions should maintain timelines of administrative sanctions imposed for sexual exploitation and abuse cases by incorporating relevant data fields for capturing the dates of such sanctions in the Misconduct Tracking System to monitor and improve the effectiveness of enforcement measures.

Recommendation 13

134. The Department of Peace Operations and the Department of Management Strategy, Policy and Compliance should ensure that, in its engagement with Member States to seek accountability for sexual exploitation and abuse in line with Security Council resolution [2272 \(2016\)](#), the standing review committee considers repatriation or other measures, as appropriate, based on comprehensive and objective reviews while also keeping such measures consistent with criteria used in past examples of repatriation for sexual exploitation and abuse.

Recommendation 14

135. The Department of Management Strategy, Policy and Compliance should systematically forward all investigative findings revealing criminal conduct of sexual exploitation and abuse by officials or experts on mission to the Office of Legal Affairs for consideration of referral.

Recommendation 15

136. The Department of Management Strategy, Policy and Compliance, in collaboration with Office of the Victims' Rights Advocate and missions, should prioritize supporting individual victims of sexual exploitation and abuse, including through the trust fund, with clear reporting on the number of victims supported and the type of support provided.

Recommendation 16

137. The Department of Management Strategy, Policy and Compliance should report on the status of the \$600,000 payment withheld for substantiated allegations of sexual exploitation and abuse and transfer the amount to the trust fund in support of victims of sexual exploitation and abuse in line with General Assembly resolution [70/286](#).

Recommendation 17

138. The Office of the Victims' Rights Advocate, in collaboration with the Department of Management Strategy, Policy and Compliance, the Department of Peace Operations and missions, should develop the procedure for handling paternity claims, from reporting to outcome, including procedures for communicating with victims and follow-up, as envisaged in [A/69/779](#).

Annex I*

Comments received from entities on the draft report

Comments received from the Under-Secretary-General of the Department of Management Strategy, Policy and Compliance

Thank you for your memorandum, dated 2 March 2021, forwarding the draft report of the Office of Internal Oversight Services (OIOS) on the evaluation of the prevention, response and victim support efforts against sexual exploitation and abuse by United Nations Secretariat staff and related personnel covering the period 2016–2018 to be transmitted for consideration by the General Assembly and the accompanying full report to be published on the OIOS website.

The Department of Management Strategy, Policy and Compliance are grateful for the opportunity, as we go into the fifth year of the implementation of the Secretary-General's "new approach" strategy (A/71/818), which built on earlier years of strategic and operational efforts, primarily in the peacekeeping context, to reflect on progress, the impact of the Secretary-General's strategy and the way forward.

I request that this memorandum and its annexes³¹ be made available to the General Assembly and published in tandem with the full Report, as it will help to provide important contextual information on the three years of continuing evolution of the Secretary-General's efforts since 2018, the end of the period covered by this evaluation. Please note that the Office of the Special Coordinator on improving the United Nations response to sexual exploitation and abuse, the Office of the Victims' Rights Advocate, the Department of Peace Operations and the Department of Political and Peacebuilding Affairs have been consulted and endorse the comments to the Recommendations to this report.³²

* In the present annex, the Office of Internal Oversight Services sets out the full text of comments received from entities. This practice has been instituted in line with General Assembly resolution [64/263](#), following the recommendation of the Independent Audit Advisory Committee.

³¹ Annex A provides an update and broader perspective of progress to date in the Secretary-General's efforts for the eradication of sexual exploitation and abuse in areas led by the Department of Management Strategy, Policy and Compliance in cooperation with partners. Annex B contains comments received from the responsible entities noted on the recommendations to the present Report. Annex C contains comments received from the Department of Management Strategy, Policy and Compliance to the full Report.

³² See annex B.

Annex A

Progress made by the Department of Management Strategy, Policy and Compliance on the prevention, response and victim support efforts against sexual exploitation and abuse by United Nations Secretariat staff and related personnel

Strengthened accountability

Progress has been significant in the strengthening of accountability: prior to 2016 only heads of peace missions submitted annual action plans. As a result of the implementation of management reform, in 2020, reflective of the understanding that sexual exploitation and abuse is a system-wide concern, affecting the humanitarian, development and peace pillars of our Organization, 207 action plans were submitted from entities across the United Nations system. As part of this expansion, the Department of Management Strategy, Policy and Compliance supported Secretariat entities, including peace operations, in the preparation of the 2020 Action Plans by developing comprehensive responses applicable to all Secretariat entities as baseline indicators of action being taken on the zero-tolerance policy.

Action plans indicate that all entities have a policy on the prohibition of sexual exploitation and abuse and related workplans; have certified through a management letter, or via their compact, that all allegations have been reported and addressed; complaint and reporting mechanisms are in place; and there is mandatory training for all personnel to prevent sexual exploitation and abuse.

In 2020 the Department of Management Strategy, Policy and Compliance reviewed the Compacts between Heads of Entities, including Special Representatives of the Secretary-General, to strengthen its approach to the strategic leadership role on conduct and discipline. This has: (i) increased consistency in administrative process and Compact document content/format across the Secretariat, including same managerial performance measures; (ii) enhanced the understanding of leadership accountability for all personnel, with focused performance expectations; and (iii) improved perception about the effectiveness of the organization's performance management system.

The Department of Management Strategy, Policy and Compliance is also working toward integrating accountability for conduct and discipline, including protection from sexual exploitation and abuse, into its new competency framework.

Enhanced initiatives, including for recording and reporting of allegations of sexual exploitation and abuse

Over the last four years, measures have been developed and/or enhanced to screen potential personnel, strengthen complaint mechanisms and increase tools for recording allegations and enhance transparency in reporting allegations. These include the 'Case Management Tracking System', which builds on the Department of Management Strategy, Policy and Compliance Misconduct Tracking System which provides a single repository for the Secretariat of misconduct and disciplinary records, and uniform processes for reporting, recording and tracking sexual exploitation and abuse and other misconduct for the Secretariat; Clear Check, the screening tool, now used by 25 United Nations entities, directed to preventing United Nations personnel dismissed following substantiated allegations of sexual exploitation and abuse or sexual harassment, or those who leave the organization during an investigation, from being rehired in the United Nations; and the Department of Management Strategy, Policy and Compliance Conduct and Discipline website, which includes a live database of allegations, an online reporting form and a subscription service for database updates.

In 2019, the Department of Management Strategy, Policy and Compliance launched the Misconduct Risk Management Tool which provides a systematic process for managing risks of all types of misconduct across the global Secretariat including peace operations. The Tool builds on the methodology used in the 2018 dedicated sexual exploitation and abuse Risk Management Toolkit. In 2019 and 2020, the Department of Management Strategy, Policy and Compliance provided capacity-building opportunities for Conduct and Discipline Teams and Focal Points in peace operations to support the most effective use of the Misconduct Risk Management Tools. The Tools, which include templates and examples, have allowed entities to take a practical approach to understanding and mitigating their risks. The tools have been shared with Member States for use in their national training programmes, been made available publicly for broader use, and served as a baseline for other United Nations system entities which have developed sexual exploitation and abuse risk management tools.

In October 2019, the Department of Management Strategy, Policy and Compliance established the first United Nations Secretariat Administrative Law Division network to support greater accountability for conduct and discipline throughout the global Secretariat. Through this initiative, ALD Connect, the Department of Management Strategy, Policy and Compliance disseminates knowledge, builds expertise and provides real time advice, in a practical manner, to help conduct and discipline focal points be successful in their role, including in addressing issues related to sexual exploitation and abuse. For example, in partnership with the Victims' Rights Advocate, an information session was organized, for all United Nations Secretariat entities, on assistance to victims of sexual exploitation and abuse, to inform conduct and discipline focal points of their responsibilities and resources at their disposal.

All peace operations conduct outreach activities to inform communities of the risks of sexual exploitation and abuse and about the reporting mechanisms, using theatre, radio, television programming and text-based and social media campaigns, as well as outreach to local media. The extensive communications efforts made in the context of peace operations are generally planned in cooperation with other United Nations system entities on the ground with the aim of greater integration in communication response.

Support to victims of sexual exploitation and abuse

The Uniform Protocol on the Provision of Assistance to Victims of Sexual Exploitation and Abuse, which was developed and field-tested by the Conduct and Discipline Service and the United Nations Children's Fund has been an important tool in setting out the principles underpinning the role of the United Nations to provide assistance and support to victims of sexual exploitation and abuse and some guidance on the roles and responsibilities of United Nations actors in the field to ensure coordinated and immediate victim assistance.

The Department of Management Strategy, Policy and Compliance developed a victims' assistance tracking system for peace operations providing a confidential tool to track assistance and support provided to victims of sexual exploitation and abuse which has been in use since 2019. A training package for users is being developed.

The Department of Management Strategy, Policy and Compliance continues to manage the Trust Fund in Support of Victims of Sexual Exploitation and Abuse which, since 2016, has served to provide resources to victim assistance services and projects. The Trust Fund has supported projects in the Central African Republic, the Democratic Republic of the Congo and Liberia, making use of approximately \$2.5 million from voluntary donations by Member States and withheld funds from personnel found to have engaged in sexual exploitation and abuse.

The Department of Management Strategy, Policy and Compliance, in cooperation with the Victims' Rights Advocate, continues to engage with Member States in facilitating resolution of paternity and child support claims, bearing in mind that paternity recognition and obligations for child support are usually settled pursuant to the national laws of the member state of the nationality of the father and/or mother, through court proceedings or agreements between the parents. The role of the United Nations in facilitating and supporting realization of the parental responsibility of the father is delineated in the United Nations Comprehensive Strategy on Assistance and Support to Victims of Sexual Exploitation and Abuse ([A/RES/62/214](#), Annex).

Engagement with Member States

There is growing appreciation that collective action and coordination, including at the bilateral and multilateral levels, and exchange of experience and learning, are essential if the international community is to be successful in eliminating sexual exploitation and abuse. Member States are indispensable partners in this and have strengthened their engagement and advocacy. To date, 103 Member States have signed onto the Voluntary Compact, launched in 2017, which sets out commitments of the United Nations and signatory Member States which go beyond their existing legal obligations, and demonstrates the political will to prevent sexual exploitation and abuse, realize accountability and provide support to victims.

The Department of Management Strategy, Policy and Compliance continues to collaborate regularly with regional organizations, including the North Atlantic Treaty Organization and European External Action Service of the European Union, in their efforts at protection from sexual exploitation and abuse and maintains a significant partnership with the African Union on the implementation of its compliance framework on conduct and discipline.

Security Council resolution [2272 \(2016\)](#), issued in March 2016, was an important mechanism in support of the Secretary-General's efforts in the area of accountability for sexual exploitation and abuse by Member States that contribute troops and police to peace operations. Since its issuance, a Standing Review Committee for the implementation of Security Council resolution [2272 \(2016\)](#) has established, along with supporting implementation guidelines and a dedicated database and serves as the mechanism for the implementation of the Resolution. The Department of Management Strategy, Policy and Compliance serves as the Secretariat for the Standing Review Committee.

Annex C

Comments received from the Department of Management Strategy, Policy and Compliance*

Department of Management Strategy, Policy and Compliance comment	Paragraph
<p>The summary situates the evaluation at the outset as looking at the Secretariat response to sexual exploitation and abuse during the period 2015–2018. While it is understood that OIOS looked at progress during a set period of time, we are now three years further on in our efforts from the end of that period. Notably, there have been additional significant changes to the implementation of the conduct and discipline function, including on sexual exploitation and abuse, in the Secretariat since management reform in January 2019 and the establishment of the Administrative Law Division, Conduct and Discipline Service as part of the Department of Management Strategy, Policy and Compliance. While the scope of this evaluation ends in 2018, it is critical to include some further information on the Secretariat’s efforts since 2018 so that the evaluation report provides a bigger picture view for the reader. While it is understood that there is always a scope and time period for an evaluation, this area is so important to the Organization that the reader of the report should have some information to bridge the static period of review with efforts made since that time and strengthen the relevance and effectiveness of the report.</p> <p>Please see annex A of the Department’s memorandum.</p>	Summary
<p>There is a record of assistance and support of victims maintained in the Victim Assistance Tracking System (VATS) for peacekeeping missions and, prior to the existence of VATS, in excel reports. Most projects were not on community outreach. As per the Trust Fund annual reports, projects span from psychosocial support to income-generating activities and victims and the community were involved in project ideas, planning approaches and activities. It is also noted that withheld funds have been transferred to the Trust Fund and are available; this reference should be removed for the sake of accuracy.</p>	Summary: paragraph 7
<p>Information presented in this paragraph for peacekeeping operations is unclear, particularly in connection with the table presented under it, which shows a continued decrease in allegations over aggregated period. It should be clarified if the increase reported here only between 2018 to 2019.</p>	Paragraph 10
<p>The sexual exploitation and abuse risk management framework is applicable to all categories of civilian and uniformed personnel. Conduct and Discipline Teams in peacekeeping operations use the sexual exploitation and abuse risk management approach to develop risk registers and workplans, which include risk assessment exercises, which are implemented in relation to all categories of personnel.</p>	Paragraph 27
<p>The reference to the sexual exploitation and abuse risk assessment exercises undertaken in the United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic (MINUSCA), the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo (MONUSCO) and the United Nations Interim Force in Lebanon (UNIFIL) suggests that this may not have been the case in other peace operations. For clarity, the report should specify that this refers to those missions surveyed as part of the evaluation.</p>	Paragraph 28

* The paragraph references herein refer to the full report of the Office of Internal Oversight Services (OIOS) on the evaluation of the prevention, response and victim support efforts against sexual exploitation and abuse by United Nations Secretariat staff and related personnel covering the period 2016-2018, to be published on the OIOS website.

Department of Management Strategy, Policy and Compliance comment	Paragraph
Work has been done since the end of the evaluation period to clarify that allegations of non-fraternization, when involving sexual activity, should be assessed as possible sexual exploitation and abuse. The last sentence of paragraph 41 states that “However, the risk remains of mission personnel incorrectly classifying potential sexual exploitation and abuse allegations as violation of non-fraternization policy and not reporting these as sexual exploitation and abuse.” This sentence does not recognize that information regarding reports indicating non-fraternization would be reviewed when received by the Department of Management Strategy, Policy and Compliance and reassessed.	Paragraph 40
The first sentence of paragraph 47 text gives the impression that personnel of Implementing Partners and vendors working for peacekeeping operations do not have the required contractual arrangement, which in fact the rest of the sentence indicate is a problem outside of peacekeeping missions.	Paragraph 47
This paragraph fails to recognize the Policy on Accountability for conduct and discipline and Standard Operating Procedures on implementation of amendments on conduct and discipline, both key documents providing guidance on responsibilities and processes.	Paragraph 73
The last sentence is misleading in that it does not recognize that the troop-contributing countries involved with these cases would have been asked to investigate and, not having responded (at all or in time), that the missions then conducted the United Nations investigation, upon referral from OIOS. [reference is made to: “Furthermore, special investigation unit investigations of 11 cases involving military contingent members in four missions did not fall within established protocols as those cases generally fell under the jurisdiction of the troop-contributing countries and were to be investigated by the respective troop-contributing countries.”]	Paragraph 102
The data provided in these two paragraphs appears incorrect. For one example, the data provided indicates that investigations would be pending between OIOS and the troop-contributing country for 6 cases involving the Democratic Republic of the Congo, whereas there are a total of 27 cases from the Democratic Republic of the Congo for which the status of the investigation remains pending any results of investigations or additional information on results of investigations.	Paragraphs 104 and 105
There is no protocol or procedure that requires a formal referral by the Department of Management Strategy, Policy and Compliance before the Office of Legal Affairs can take action on a referral for criminal accountability.	Paragraph 127
When the Office of Legal Affairs is aware of a matter, it should take action where warranted as per General Assembly Resolution 62/63. Where an OIOS Investigations Division investigation report includes a finding of possible criminal conduct, the current process is for the OIOS Investigations Division to include the Office of Legal Affairs as a recipient. In this way, information about possible criminal accountability is shared directly with the Office of Legal Affairs for its action. Where an investigation has been conducted by a mission investigative body, however, the Department of Management Strategy, Policy and Compliance will refer a matter to the Office of Legal Affairs for criminal accountability where warranted.	
In connection with the cases referred to in the Report, please take note of the following:	
0399/15 – This matter involved a United Nations Volunteer, who was prosecuted and acquitted by the Host State. This matter was also brought to the Office of Legal Affairs’s attention by the Department of Management Strategy, Policy and Compliance in November 2019.	

Department of Management Strategy, Policy and Compliance comment	Paragraph
0427/15 – This matter was brought to the Office of Legal Affairs’s attention by the Department of Management Strategy, Policy and Compliance in November 2019 and the Office of Legal Affairs is seized of this matter.	
0475/15 – The investigation into this matter established sexual exploitations while other elements established criminal conduct that were not related to the sexual exploitation. These elements were referred to the state of nationality through the Permanent Mission and the individual was prosecuted.	
0514/16 – This matter involved a United Nations staff member. The OIOS Investigations Division did not recommend referral for criminal prosecution as the conduct established by the investigation amounted to attempt to engage in sexual exploitation. The staff member was subject to disciplinary action and was separated, which would have included review by the Office of Legal Affairs as with all cases of separation.	
0272/17 – The OIOS Investigations Division investigation report did not recommend referral for criminal prosecution. The Department of Management Strategy, Policy and Compliance referred the matter to the authorities of the state of nationality and the individual was prosecuted.	
0790/18 – This matter was reported to the Department of Management Strategy, Policy and Compliance in June 2019 upon receipt of the OIOS Investigations Division investigation report. The allegation involved a United Nations staff member who was subject of a disciplinary action and the Office of Legal Affairs was consulted as part of this process.	
Paragraph 147 indicates that the Field Victims’ Rights Advocates don’t have access to the resources from Trust Fund and have limited means when confronted by victims with urgent needs. This suggests that the issue is the lack of Field Victims’ Rights Advocate access to the Trust Fund, but the purpose of the Trust Fund is to support projects and it does not provide direct payments to victims.	Paragraph 143
It is to be noted that, as of 1 March 2021, just under \$600,000 is now available in the Trust Fund as result of transfers of withheld funds following substantiated sexual exploitation and abuse allegations. This is now ongoing.	Paragraph 145
It is to be noted that and the Conduct and Discipline Team MINUSCA was instrumental in connecting victims of sexual exploitation and abuse with the International Rescue Committee, saying that they worked with the International Rescue Committee on mobile services and awareness-raising activities. The Internal Rescue Committee has provided direct support to 62 victims as per the 2019 report of the Trust Fund. The project started November 2018 and was completed November 2019. For the project in Liberia, improving the literacy of victims is clearly relevant to their potential for improvement in their living conditions, including improved chances of employment.	Table 6
As noted in the comment to para. 147 and table 6, the Trust Fund projects have shown themselves to provide support to individual victims of sexual exploitation and abuse. The language of this paragraph should be adjusted to acknowledge that projects have been of direct relevant to the individual needs of victims of sexual exploitation and abuse. The paragraphs describe some challenges in the Central African Republic, Liberia and MONUSCO. However, the report is not clear about the issues and how to resolve them without any recommendation on this matter. We must consider that the main individual need for all the victims is money. So, the projects aim to provide support indirectly because giving money to the victims could not be the way to resolve the issue. The MONUSCO and past Haiti models are being used as much as possible depending on the needs and context of victims in respective locations.	Paragraph 150

Comments received from the Office of the Special Coordinator on improving United Nations response to sexual exploitation and abuse and the Office of the Victims' Rights Advocate

Many thanks for your memorandum, dated 2 March 2021, transmitting the draft report of the Office of Internal Oversight Services (OIOS) on the evaluation of the prevention, response and victim support efforts against sexual exploitation and abuse by United Nations Secretariat staff and related personnel covering the period of 2016–2018 to be transmitted for consideration by the General Assembly and the accompanying full report to be published on the OIOS website.

We are grateful for the opportunity, as we go into the fifth year of the implementation of the Secretary-General's 'new approach strategy (A/71/818) to reflect, with the benefit of these documents, on progress, the impact of the Secretary-General's strategy and the way forward. We request that this memorandum and its annexes³³ be made available to the General Assembly and published in tandem with the full Report.

From the outset of his tenure, the Secretary-General prioritized the eradication of sexual exploitation and abuse, introducing a four-pronged strategy shifting the paradigm by placing the rights and dignity of victims at the centre; ending impunity; building a multi-stakeholder approach, and reorienting communications for transparency. Importantly, he also institutionalized mechanisms, within his authority, to ensure personal accountability of senior leaders and United Nations personnel.

The Secretary-General updates on progress made in implementation of his strategy in his annual special measures reports on protection from sexual exploitation and abuse transmitted to the General Assembly. These delineate initiatives to address the risks of these misconducts, prevention measures and steps taken to provide a timely, compassionate, consistent and effective response.

Taken together these constitute an accountability framework. Recognizing that constant vigilance is required, he institutionalized mechanisms to ensure continuous engagement and cohesion across the United Nations system. These include the High-level Steering Group on preventing sexual exploitation and abuse, chaired by the Chef de Cabinet, providing strategic direction; and the Sexual Exploitation and Abuse Working Group, chaired by the Special Coordinator, consisting of representatives of Members of the Steering Group.

His prioritization of the personal accountability of leadership is reflected in his mandatory requirement that the heads of United Nations entities at headquarters and the field submit annual action plans, identifying risks of sexual exploitation and abuse and mitigation measures, and providing annual certifications that all allegations that have come to their attention are reported. Progress has been significant: prior to 2016 only heads of peace missions submitted annual action plans. In 2020, reflective of the understanding that sexual exploitation and abuse are system-wide concerns affecting the humanitarian, development and peace pillars of our Organization, 207 action plans were submitted from entities across the United Nations system.

Action plans indicate that all entities have a policy on the prohibition of sexual exploitation and abuse and related workplans, and have certified through a management letter, or via their compact, that all allegations have been reported and

³³ Annex A contains the Department of Management Strategy, Policy and Compliance, OVRA and OSC consolidated comments on the recommendations to the present Report. [Note by OIOS: the annex A referenced here is the same recommendation action plan table that is in annex B of the Department of Management Strategy, Policy and Compliance response, which has been included above under the Department of Management Strategy, Policy and Compliance comments].

addressed; complaint and reporting mechanisms are in place; and there is mandatory training for all personnel to prevent sexual exploitation and abuse.

We are grateful that your reports acknowledge the traction gained by the Secretary-General's elevation of the rights of dignity and victims in United Nations initiatives to prevent and respond to sexual exploitation and abuse, although most developments are outside the mandated timespan of the evaluation. The first Victims' Rights Advocate, appointed to lead on this aspect of his strategy has been in post for three-and-a-half years, and along with the Field Victims' Rights Advocates in four countries, has encouraged the implementation of victims' rights approaches across the system. Their work has shown that very practical measures are required to realize individual victim's rights and in the absence of these, they are unlikely to report sexual exploitation and abuse. These measures must also be developed and supported collaboratively across the system. In light of the impact on the ground, including during current coronavirus disease (COVID-19) pandemic, entities are exploring the possibility of nominating victims' rights focal points or including victims' rights functions in the workplans of existing staff in other contexts, while the addition of resources to help them assist victims would be desirable.

The Uniform Protocol on the Provision of Assistance to Victims of Sexual Exploitation and Abuse has been an important tool in setting out the principles underpinning the role of the United Nations to provide assistance and support to victims of sexual exploitation and abuse and some guidance on the roles and responsibilities of United Nations actors in the field to ensure coordinated and immediate victim assistance.

We have been heartened by the growing appreciation that collective action and coordination, including at the bilateral and multilateral levels, and exchange of experience and learning, are essential if we, as the international community, are to be successful in eliminating sexual exploitation and abuse. Member States have become solid partners and have strengthened their engagement and advocacy. Many participate the two initiatives for Member States launched in 2017 – the Voluntary Compact, setting out commitments of the United Nations and signatory Member States which go beyond their existing legal obligations, and demonstrates the political will to prevent sexual exploitation and abuse, realize accountability and provide support to victims and the Secretary-General's Circle of leadership on prevention of and response to sexual exploitation and abuse in United Nations operations which testifies to the individual commitment of heads of State and Government to strengthen these measures. Intergovernmental organizations, such as the Development Assistance Committee of the Organisation for Economic Co-operation and Development and the North Atlantic Treaty Organization have also stepped up to this agenda, and created new standards based on those of the United Nations, with the former adopting its Recommendation on Ending Sexual Exploitation and Abuse and Harassment in Development Cooperation and Humanitarian Assistance in 2019, and the latter its first policy on preventing and responding sexual exploitation and abuse in 2020.

Civil society has also been critical in the global efforts on sexual exploitation and abuse, with the Secretary-General's Civil Society Board promoting alignment the work of civil society actors on good practices to strengthen prevention and response to sexual exploitation since 2019. United Nations humanitarian actors and non-governmental organization partners are increasingly collaborating and modelling their policies and practices on those of the United Nations. Since 2017 also civil society engagement has been significantly strengthened through the work of the Inter-Agency Standing Committee, whose membership comprises United Nations agencies funds and programmes and civil society humanitarian actors.

On a final note, missing from the evaluation is the important progress that has been made in the strengthening of accountability resulting from the ongoing commitment and leadership and of OIOS Investigations. The Secretary-General called for this in his 2017 report (A/71/818) and there is an urgent need to create a system-wide investigative capacity. We use this occasion to reiterate this call.

In sum, we have seen good progress in entrenching a vibrant system-wide approach to prevention and response to sexual exploitation and abuse across the United Nations in the four years since the introduction of the Secretary-General's new strategy. But we are not complacent and recognize that constant vigilance and engagement of senior leadership, mainstreaming of awareness-raising, training and accountability mechanisms are required. We know also that it is essential to prioritize efforts to change the culture of our Organization so that the effects of power and inequality are understood. We are grateful that the United Nations Ethics Office instituted a series of leadership dialogues focusing on sexual exploitation and abuse, including its underlying factors, including inequality, discrimination, power differentials and tolerance of abuse of authority. Inter-Agency Standing Committee Principals and Members of the United Nations System Chief Executives Board for Coordination Task Force on addressing sexual harassment in the organizations of the United Nations system have also participated in dialogues, spearheaded by the Office of the United Nations High Commissioner for Refugees, as a respectful workplace based on non-discrimination on gender-, race-, disability, other grounds, as well as appreciation of the effects of intersectional discrimination, is crucial for the elimination of sexual exploitation and abuse and implementation of a victim-centred response.

Comments received from the United Nations Disengagement Observer Force

This refers to the email subject of your below email and memorandum from Mr. (Eddie) Yee Woo Guo, (Director, Inspection and Evaluation Division, Office of Internal Oversight Services). UNDOF under the esteemed and able leadership of our Head of Mission and Force Commander and the Chief of Mission Support, the mission has now achieved 97 per cent versus 27 per cent as per the memorandum of Mr. (Eddie) Yee Woo Guo. The mission Chief Human Resources Officer and training staff ensured the achieved mentioned percentage by constantly requesting and monitoring with mission personnel on Prevention of Sexual Exploitation and Abuse by United Nations Personnel (LMS-2398-5). The mission will keep an eye in future to achieve all such goals timely. This is for your kind information.

Comments received from the United Nations Office on Drugs and Crime

Reference is made to the request from the Office of Internal Oversight Services dated 2 March 2021 to provide a formal response to the draft report of the Office of Internal Oversight Services (OIOS) on the Evaluation of the prevention, response and victim support efforts against sexual exploitation and abuse by United Nations Secretariat staff and related personnel.

We appreciate the opportunity to review and provide our comment on the aforementioned report as well as voice our position on findings related to UNODC. We are also pleased to note that UNODC's suggestion for an additional recommendation on development of sexual exploitation and abuse Risk registry for non-peace operation Secretariat entities was taken into consideration in the report.

UNODC remains committed to the Organization's efforts to prevent and respond to sexual exploitation and abuse matters and will closely consider results of the present evaluation, overall progress made in addressing sexual exploitation and abuse and key policy issues highlighted in the draft report.

Having assessed the draft report as well as the findings related to UNODC, we have the following comment with the corresponding information for your consideration.

- Paragraph 47 of the draft report contains a statement that UNODC does not have a sexual exploitation and abuse provision in its agreements with Implementing Partners. Please be informed that UNODC has introduced through the United Nations Office of Legal Affairs a clause "Miscellaneous provisions" which covered sexual exploitation and abuse matter in its agreements with Implementing Partners in August 2018. In August 2020, the agreement was further revised to include a specific Article with a separate clause covering sexual exploitation and abuse. The agreements with implementing partners that do not contain a sexual exploitation and abuse provision were prior to August 2018 and effective Sept 1, 2018 all agreements with Implementing partners contained the sexual exploitation and abuse provisions. There was a delay in amending the clause in the agreements with end beneficiaries but was eventually implemented with the effect from Dec 1, 2018.

For ease of reference, I am sharing a short overview of the UNODC agreements with a sexual exploitation and abuse provision below:

<i>Implementing Partners</i>	<i>total IP agreements</i>	<i>no provision (01/01/2018-30/11/2018)</i>	<i>total grant agreements</i>
no provision (01/01/2018-31/08/2018)	121	no provision (01/01/2018-30/11/2018)	46
paragraph as part of 'miscellaneous provisions' (01/09/2018-31/08/2020)	188	paragraph as part of 'miscellaneous provisions' (01/12/2018-31/08/2020)	45
Separate article (01/09/2020-date)	15	Separate article (01/09/2020-date)	57

Notwithstanding with the foregoing, please note that the United Nations to United Nations Agency template has not been updated to include a sexual exploitation and abuse provision. It is our understanding that there are ongoing discussions at the

United Nations Secretariat level to review and update the template. Thus, since 1 January 2018, UNODC has signed 20 agreements with other United Nations entities which did not contain a sexual exploitation and abuse provision. Based on the aforementioned information, we would therefore be very grateful if the reference concerned in paragraph 47 could be adjusted accordingly to reflect the aforementioned facts.

As regards the mandatory training on the Prevention of Sexual Exploitation and Abuse by United Nations Personnel training course for UNODC, the completion rate as of today (as reflected in Dashboard) is 81 per cent (5 per cent have not completed the course and 14 per cent have not initiated the course yet).

With reference to paragraph 40 in the report, it is noted that OIOS through its evaluation identified specific risks for UNODC through the interviews they conducted, we would appreciate to obtain these results from OIOS for our consideration and inclusion in the risk-registry.

Lastly, we share the recommendation action plan template with our inputs concerning recommendations applicable for UNODC.

Thank you for your attention.

Comments received from the United Nations Office at Nairobi

On behalf of the Director-General, United Nations Office at Nairobi, please find attached and below, feedback from the United Nations Office at Nairobi on the draft report of ‘OIOS on Evaluation of the prevention, response and victim support efforts against sexual exploitation and abuse by United Nations Secretariat staff and related personnel.’ Kindly note the following:

On the protection from sexual exploitation and abuse Action Plan:

- The protection from sexual exploitation and abuse action plan that the United Nations Office at Nairobi adopts is coordinated by the Interagency Task Force under the Resident Coordinator Office in Kenya.
- The protection from sexual exploitation and abuse 2020 Action Plan was sent by our Legal Officer, Nisha Valabhji, in July 2020 to United Nations Headquarters. Please see attached email for your information.
- The draft 2021 protection from sexual exploitation and abuse Network Action Plan is attached.

On the OIOS Reports & Recommendations:

- The United Nations Office at Nairobi has no objections to the full report, the report for the General Assembly, or the recommendations.
- Consolidated feedback is available in the attached spreadsheet as follows:
 - Tab 1: Key messages.
 - Tab 2: Report review where the United Nations Office at Nairobi is mentioned, and areas that focus on non-Peace Operations locations that are relevant to the United Nations Office at Nairobi.
 - Tab 3: Recommendations. The recommendations are all relevant. The United Nations Office at Nairobi may not be the owner, but stands ready to support the recommendations in as far as they remain relevant to us.

Comments received from the United Nations Verification Mission in Colombia

The paragraph (24) seems to only consider the external prevention activities. The size of the Mission, the limited presence in the territory together with the social, cultural and legal context should be taken into consideration to evaluate the assessment of prevention. In addition, the United Nations Verification Mission in Colombia, a political mission, do not have the resources and capacity of peacekeeping operations. Furthermore, the interaction with actors of the peace process and communities affected by the conflict together with the verification role of the Mission makes difficult to conduct external awareness-raising activities on its own. Only joined efforts Mission-United Nations country team, could have a positive impact regarding external prevention activities. It should also be considered that the United Nations country team (95 per cent national staff) is been operating in Colombia for a long time without any sexual exploitation and abuse prevention activities, so dynamics in this regard were difficult to change. Additionally, it should be taken into account that Colombian population look at the United Nations as a whole, with no differences between Agencies, Funds and Programmes and the Mission. In this regard, a protection from sexual exploitation and abuse task force composed by United Nations country team-Mission was established at the end of 2018 to coordinate efforts to prevent and response to sexual exploitation and abuse. Internally, the Mission continues efforts in this regard, by using the resources available to ensure personnel of all categories is aware of the prohibited conduct and consequences of sexual exploitation and abuse actions. Awareness-raising material as posters, leaflets, and pocket cards were distributed all around 2019 in Bogota and regional offices. Special Representative of the Secretary-General messages through broadcast and interventions in meetings were also important tools used by the Mission to remind personnel of the sexual exploitation and abuse prohibited conduct. This was particularly important during the confinement because the pandemic when physical interactions were limited. The establishment of a very active welfare committee in 2020 was very positive as a preventive measure, to keep regular contact with staff, improve their moral and avoid isolation. This 2021, the prevention strategy started by distributing a survey with specific questions on sexual exploitation and abuse prohibited conduct to analyze the responses and identify gaps in the Mission prevention strategy to sexual exploitation and abuse. Regarding external awareness-raising activities, the Mission is in the process of distributing a leaflet to communities where the Mission operates. Through this document, the Mission informs the local population of the sexual exploitation and abuse prohibited conduct and other misconduct, as well as reporting lines including a hot line telephone 24/7 operational. The document was shared with the United Nations country team through the protection from sexual exploitation and abuse task force. Particular attention is also given to victims' assistance mechanisms available at the country level.

Annex II

Recommendation action plans from entities

Recommendation action plan of the Department of Management Strategy, Policy and Compliance, the Department of Peace Operations, the Department of Political and Peacebuilding Affairs, the Office of the Victims' Rights Advocate and the Office of the Special Coordinator (annex B of the memorandum from the Department of Management Strategy, Policy and Compliance and annex A of the memorandum from the Office of the Special Coordinator/Office of the Victims' Rights Advocate memorandum)

Evaluation of the prevention, response and victim support efforts against sexual exploitation and abuse by United Nations Secretariat staff and related personnel

Inspection and Evaluation Division recommendation	Anticipated Actions	Responsible Entity(ies)	Target date for completion
<p><u>Recommendation 1</u> The Department of Management Strategy, Policy and Compliance should enhance monitoring of completion of mandatory online training on sexual exploitation and abuse across the Secretariat, including through periodic and targeted follow-ups and publication of related dashboards.</p>	<p>Information on completion of mandatory training is available to Heads of Entities on management dashboards and it is within their responsibility to monitor the information accordingly also given delegation of authority.</p> <p>The Department of Management Strategy, Policy and Compliance considers this recommendation to be implemented.</p>		N/A
<p><u>Recommendation 2</u> The Department of Management Strategy, Policy and Compliance, in consultation with the Office of the Special Coordinator, should clarify the distinction between sexual exploitation and abuse and violation of non-fraternization policy against uniformed personnel.</p>	<p>It is recalled that uniformed personnel must respect Mission rules related to non-fraternization with the local population which are an important element of the maintenance of discipline and the chain of command of uniformed personnel. However, the concept of fraternization in the context of United Nations peace operations, taken by itself, cannot reasonably be understood to extend to sexual contact or sexual relations with the local population. On this basis, any allegations involving sexual contact or sexual relations with the local population by uniformed personnel are assessed and referred to Member States as allegations of sexual exploitation and abuse.</p> <p>Given actions already taken the Department of Management Strategy, Policy and Compliance, in consultation with Office of the Special Coordinator, considers the recommendation to have been implemented.</p>	<p>Department of Management Strategy, Policy and Compliance Office of the Special Coordinator</p>	N/A

Inspection and Evaluation Division recommendation	Anticipated Actions	Responsible Entity(ies)	Target date for completion
<p><u>Recommendation 3</u> Non-peacekeeping Secretariat entities, especially those with field operations, should conduct sexual exploitation and abuse risk assessment in line with the Department of Management Strategy, Policy and Compliance sexual exploitation and abuse Risk Management Toolkit and as provided in A/71/818 (paragraph 23).</p>	<p>Following the Secretary-General’s management reform in January 2019, the Department of Management Strategy, Policy and Compliance requested all Secretariat entities to appoint conduct and discipline focal points and, through the ALD Connect platform, have worked with them since then to provide guidance, advisory support and capacity-building on prevention of misconduct, including sexual exploitation and abuse, enforcement of violations of the United Nations standards of conduct and support and assistance to victims of sexual exploitation and abuse. More specifically, the Department of Management Strategy, Policy and Compliance has provided non-peacekeeping Secretariat entities with guidance and support in the area of misconduct risk management, which includes the development of risk registers and related workplans. Risk assessment exercises are but one part of this broader risk management exercise as outlined in the sexual exploitation and abuse Risk Management Toolkit. The Department of Management Strategy, Policy and Compliance has also supported the development of sexual exploitation and abuse Action Plans, which includes awareness-raising for personnel as a means of prevention.</p> <p>The Department of Management Strategy, Policy and Compliance will continue its ongoing activities in conducting capacity-building exercises for conduct and discipline focal points on the development and implementation of their entities’ sexual exploitation and abuse risk registers and workplans. The Department of Management Strategy, Policy and Compliance considers this recommendation to be implemented.</p>	<p>Department of Management Strategy, Policy and Compliance</p>	<p>N/A</p>
<p><u>Recommendation 4</u> Non-peacekeeping Secretariat entities should strengthen prevention measures for sexual exploitation and abuse, including through periodic messages to personnel, display of sexual exploitation and abuse visibility materials and inclusion of sexual exploitation and abuse standard of conduct and reporting mechanisms on websites.</p>	<p>In 2019, the Department of Management Strategy, Policy and Compliance established the first United Nations Secretariat administrative law division network as a tool to support greater accountability for conduct and discipline throughout the global Secretariat, drawing on best practices, and building on the structure already in place for peace operations. Through this initiative, called ALD Connect, the Department of Management Strategy, Policy and Compliance disseminates knowledge, builds expertise and provides real time advice, in a practical manner, to help conduct and discipline focal points be successful in their role, including in addressing issues related to sexual exploitation and abuse.</p>	<p>Department of Management Strategy, Policy and Compliance Individual non-peacekeeping Secretariat entities</p>	<p>N/A</p>

Inspection and Evaluation Division recommendation	Anticipated Actions	Responsible Entity(ies)	Target date for completion
	<p>As part of its capacity-building efforts with conduct and discipline focal points, the Department of Management Strategy, Policy and Compliance has conducted in-depth workshops on the use of the misconduct risk managements approach, which includes contextual analysis and risk identification, risk assessment and treatment. This process includes consideration of appropriate prevention measures, such as awareness-raising of personnel, including through the use of tools and materials that are appropriate for each entity, noting that Secretariat entities vary widely in terms of size and nature of deployment.</p> <p>The Department of Management Strategy, Policy and Compliance therefore considers that this recommendation is unnecessarily prescriptive in terms of the specific prevention measures cited. The Department of Management Strategy, Policy and Compliance continues to provide ongoing support and capacity-building across the global Secretariat on a strategic and programmatic level and considers this recommendation to be implemented.</p>		
<p><u>Recommendation 5</u> The Executive Office of the Secretary-General should consider a review of the functions, structure, and interlinkages of Office of the Special Coordinator and the Office of the Victims' Rights Advocate and determine the continued necessity of two separate offices.</p>	<p>This recommendation will be reviewed in the context of the reports of the Secretary-General (A/73/412) and the related report of the Advisory Committee on Administrative and Budgetary Questions (A/73/649), which endorsed the conclusions and recommendations contained in the report of the Advisory Committee, approving the conversion of the four positions of the Office of the Victims' Rights Advocate to posts for the biennium 2018–2019 and the structure of the Office (A/RES/73/279). This structure provides a framework to sustain the necessary linkages with the Office of the Special Coordinator, while maintaining the distinct focus and mandate of Office of the Victims' Rights Advocate.</p>	<p>Executive Office of the Secretary-General Office of the Special Coordinator Office of the Victims' Rights Advocate</p>	<p>June 2021</p>
<p><u>Recommendation 6</u> The Office of the Special Coordinator and Office of the Victims' Rights Advocate, in coordination with the Department of Management Strategy, Policy and Compliance, should conduct stocktaking of policies and initiatives with a view to prioritizing and</p>	<p>This is under implementation Noting their defined and separate mandates, Office of the Special Coordinator and Office of the Victims' Rights Advocate, in coordination with the Department of Management Strategy, Policy and Compliance, and other stakeholders, regularly review the impact of the policies and initiatives underway and examine the possible operational gaps on a continuous basis.</p>	<p>Office of the Special Coordinator Office of the Victims' Rights Advocate</p>	

Inspection and Evaluation Division recommendation	Anticipated Actions	Responsible Entity(ies)	Target date for completion
simplifying, and specifying expected completion dates of longstanding initiatives.	<p>Office of the Special Coordinator makes publicly available a system-wide factsheet that is updated regularly to reflect all initiatives' status underway.</p> <p>Timeline and status of the initiatives are provided.</p> <p>The Department of Management Strategy, Policy and Compliance agrees to support the above-noted efforts of the Office of the Special Coordinator and Office of the Victims' Rights Advocate.</p>	Department of Management Strategy, Policy and Compliance	
<p><u>Recommendation 7</u> The Department of Management Strategy, Policy and Compliance should consolidate scattered operational guidance into a manual outlining key processes and roles and responsibilities in preventing and responding to sexual exploitation and abuse within the Secretariat which could be done as part of the Office of the Special Coordinator system-wide sexual exploitation and abuse manual under development since 2016 or supplementing it with additional guidance for Secretariat entities as needed.</p>	The Department of Management Strategy, Policy and Compliance does not accept this recommendation, noting that the Office of the Special Coordinator has engaged in producing a system-wide sexual exploitation and abuse Manual. The Department of Management Strategy, Policy and Compliance has provided input as requested to the Office of the Special Coordinator sexual exploitation and abuse Manual, which will contain information also applicable to the Secretariat.		N/A
<p><u>Recommendation 8</u> The Office of the Special Coordinator, in consultation with the system-wide working group on sexual exploitation and abuse and considering the lessons gathered from pilot implementation, should revisit the incident reporting form and make necessary adjustments to ensure that it is used as a standard sexual exploitation and abuse intake and reporting form across the United Nations system as envisioned by the Secretary-General.</p>	<p>The scope of this report (2016 to 2018) does not reflect the evolution of the incident reporting form.</p> <p>Since its endorsement in 2017, the incident reporting form is piloted in four locations and our next step is to have it field tested system-wide to inform the subsequent steps.</p>	Office of the Special Coordinator	
<p><u>Recommendation 9</u> Given the system-wide relevance of ST/SGB/2003/13, Office of the Special Coordinator and the Department of</p>	Office of the Special Coordinator continues, together with the Department of Management Strategy, Policy and Compliance and other members of the system-wide sexual exploitation and abuse Working Group, to enable discussion and seek understanding of		

Inspection and Evaluation Division recommendation	Anticipated Actions	Responsible Entity(ies)	Target date for completion
<p>Management Strategy, Policy and Compliance should jointly seek consensus with stakeholders on clarifying its provisions that strongly discourage sexual relations between United Nations personnel and beneficiaries of assistance and update the bulletin accordingly.</p>	<p>the provisions of the ST/SGB/2003/13 in various areas and their appropriate application. The Department of Management Strategy, Policy and Compliance will continue to support Office of the Special Coordinator in this process, along with all other entities.</p> <p>It should be noted that this substantive exercise is distinct from the role of the Department of Management Strategy, Policy and Compliance in supporting “business owners” with the issuance of respective policies and bulletins.</p>		
<p><u>Recommendation 10</u> The Office of the Special Coordinator, in consultation with the Department of Management Strategy, Policy and Compliance and the Office of Legal Affairs, should develop a mechanism for public reporting on sexual exploitation and abuse allegations against Secretariat personnel in contexts other than peace and humanitarian ones that are not included in the Secretary-General’s special measures reports.</p>	<p>The scope of this report (2016 to 2018) does not reflect the evolution of the public reporting.</p> <p>Since 2017, all United Nations system-wide data on allegations of sexual exploitation and abuse that fall within SGB/2003/13³⁴ are reported publicly on the internet at https://www.un.org/preventing-sexual-exploitation-and-abuse/content/data-allegations-un-system-wide and the reporting mechanism is not limited to peace operations but includes humanitarian and development settings.</p> <p>Since March 2019, this public reporting is shared in real time³⁵, as agreed with donors.</p>	<p>Office of the Special Coordinator Department of Management Strategy, Policy and Compliance Office of Legal Affairs</p>	
<p><u>Recommendation 11</u> The Department of Management Strategy, Policy and Compliance, in collaboration with Office of the Special Coordinator, the Department of Peace Operations and The Department of Political and Peacebuilding Affairs, should: (a) remind missions of the requirement of reporting and referring sexual exploitation and abuse allegations to Headquarters, OIOS and troop-contributing-countries as stipulated; and (b) require heads of all Secretariat entities to certify in the annual management letter that all allegations of sexual exploitation and abuse have been</p>	<p>The scope of this report (2016 to 2018) does not reflect the progress made since then.</p> <p>The leadership accountability for prevention of, and timely response to, reports of sexual exploitation and abuse has been continuously prioritized and require mandatory action plans and annual certifications from senior leadership.</p> <p>Hence, the sustained leadership accountability which shows alignment of development, humanitarian and peace pillars across system, increased buy-in and institutionalization is expressed by 207 action plans submitted in 2020 vs. 37 in 2018 from agencies, funds and programmes, HC/RCs on behalf of the United Nations country team, and by over 43 certification letters from agencies, funds and programs and residents coordinators we have received so far.</p>	<p>Department of Management Strategy, Policy and Compliance Office of the Special Coordinator Department of Peace Operations Department of Political and</p>	June 2021

³⁴ Available at: <https://undocs.org/ST/SGB/2003/13>

³⁵ Available at <https://www.un.org/preventing-sexual-exploitation-and-abuse/content/data-allegations-un-system-wide>

Inspection and Evaluation Division recommendation	Anticipated Actions	Responsible Entity(ies)	Target date for completion
<p>accurately and fully reported, as proposed by the Secretary-General in paragraph 50 of A/71/818. This requirement should also be clearly incorporated in the manual mentioned in recommendation 7.</p>	<p>The Department of Management Strategy, Policy and Compliance agrees that communicating to peace operations on sexual exploitation and abuse is not a one-time activity. Headquarters must remain in ongoing discussion with peace operations to provide guidance based on policy changes or evolving situations, which must regularly include information regarding the obligation to report sexual exploitation and abuse and how to do so. The Department of Management Strategy, Policy and Compliance, and previously the Department of Field Support, have sent periodic reminders to Heads of Missions of this obligation regularly and asks that they raise awareness with mission personnel and provides examples of communication activities (such as broadcasts, townhalls, posters etc.) and key messages.</p> <p>Raising awareness is an ongoing activity and the Department of Management Strategy, Policy and Compliance, in consultation with the Department of Peace Operations and Department of Political and Peacebuilding Affairs, considers this recommendation as having and continuing to be implemented, noting however that the Department of Management Strategy, Policy and Compliance, in collaboration with the Department of Peace Operations will issue a message to Secretariat entities following the issuance of the Secretary-General's report on Special Measures for Sexual Exploitation and Sexual Abuse to raise awareness and share key messages for further communications.</p> <p>The Department of Management Strategy, Policy and Compliance notes in connection with part ii of this recommendation that it supports the Office of the Special Coordinator lead on the issue of certification of annual management letters by heads of entities.</p>	Peacebuilding Affairs	
<p><u>Recommendation 12</u> The Department of Management Strategy, Policy and Compliance and missions should maintain timelines of administrative sanctions imposed for sexual exploitation and abuse cases by incorporating relevant data fields for capturing dates of such sanctions in the</p>	<p>The enhanced Misconduct Tracking System module of the new Case Management Tracking system record interim measures and administrative sanctions taken either by the United Nations or Member States, capturing dates of such sanctions.</p> <p>The Department of Management Strategy, Policy and Compliance considers this recommendation to be implemented.</p>	Department of Management Strategy, Policy and Compliance	N/A

Inspection and Evaluation Division recommendation	Anticipated Actions	Responsible Entity(ies)	Target date for completion
Misconduct Tracking System to monitor and improve effectiveness of enforcement measures.			
<p><u>Recommendation 13</u> The Department of Peace Operations and the Department of Management Strategy, Policy and Compliance should ensure that in its engagement with Member States to seek accountability for sexual exploitation and abuse in line with Security Council resolution 2272 (2016), the standing review committee considers repatriation or other measures, as appropriate, based on comprehensive and objective reviews while also keeping such measures consistent with criteria used in past examples of repatriation for sexual exploitation and abuse.</p>	<p>The Department of Management Strategy, Policy and Compliance and the Department of Peace Operations will continue to actively engage with Member States to seek accountability for sexual exploitation and abuse in line with Security Council resolution 2272 (2016). The Standing Review Committee meets regularly to consider all appropriate measures, including repatriation, based on comprehensive and objective reviews, and will continue to do so.</p> <p>The Department of Management Strategy, Policy and Compliance and the Department of Peace Operations note, however, that the Standing Review Committee’s consideration of comprehensive and broad reviews will result in the most appropriate measures for a specific situation, which could present a solution that may be different from past examples. It is important that each situation is considered on its own facts and merits in light of the provisions of Security Council 2272 (2016).</p> <p>The Department of Management Strategy, Policy and Compliance considers this recommendation to be implemented.</p>	<p>Department of Peace Operations Department of Management Strategy, Policy and Compliance</p>	Ongoing
<p><u>Recommendation 14</u> The Department of Management Strategy, Policy and Compliance should systematically forward all investigative findings revealing criminal conduct of sexual exploitation and abuse by officials or experts on mission to the Office of Legal Affairs for consideration of referral.</p>	<p>Taking note that not all forms of sexual exploitation and abuse amount to crimes under national laws, the Department of Management Strategy, Policy and Compliance notes the practice of OIOS to now directly refer to the Office of Legal Affairs findings of investigations in instances where acts of sexual exploitation and abuse could amount to crimes by Officials and experts on mission, for those investigations conducted by OIOS, for investigations not conducted by OIOS but by other United Nations investigation entities, the Department of Management Strategy, Policy and Compliance has long had the practice of referring to the Office of Legal Affairs findings of investigations in instances where acts of sexual exploitation and abuse could amount to crimes.</p> <p>The Department of Management Strategy, Policy and Compliance considers this recommendation to be implemented.</p>		N/A

Inspection and Evaluation Division recommendation	Anticipated Actions	Responsible Entity(ies)	Target date for completion
<p><u>Recommendation 15</u> The Department of Management Strategy, Policy and Compliance, in collaboration with Office of the Victims' Rights Advocate and missions, should prioritize supporting individual victims of sexual exploitation and abuse, including through the trust fund, with clear reporting on number of victims supported and the type of support provided.</p>	<p>The Department of Management Strategy, Policy and Compliance works closely with Office of the Victims' Rights Advocate on support and assistance to victims of sexual exploitation and abuse. The Department of Management Strategy, Policy and Compliance provides an annual report on the activities and finances of the Trust Fund. The Trust Fund supports projects which support activities for victims and members of local populations in vulnerable situations who are at risk of sexual exploitation and abuse based on the locations' context. The efforts are underway and will continue.</p> <p>The Department of Management Strategy, Policy and Compliance prioritizes all victims of sexual exploitation and abuse. In terms of individual tracking and reporting, it should be noted the Department of Management Strategy, Policy and Compliance does not provide direct support; rather the Department of Management Strategy, Policy and Compliance refers victims to service providers. In peace operations, the Victim Assistance Tracking system is in place but tracking and reporting on all individual victims would require a system-wide system, which is not now in place.</p> <p>It is recalled that the Trust Fund was intended to address gaps in victim services and was not meant to be a system of direct support.</p> <p>The Department of Management Strategy, Policy and Compliance considers that this recommendation has been implemented.</p>		N/A
<p><u>Recommendation 16</u> The Department of Management Strategy, Policy and Compliance should report on the status of the \$600,000 payment withheld for substantiated allegations of sexual exploitation and abuse and transfer the amount to the trust fund in support of victims of sexual exploitation and abuse in line with General Assembly resolution 70/286.</p>	<p>The Department of Management Strategy, Policy and Compliance can confirm that the approximately \$600,000 in payment withheld for substantiated sexual exploitation and abuse is available in the Trust Fund. The mechanisms to regularly transfer withheld funds to the Trust Fund are in place and will remain.</p> <p>See the Annual Report of the Trust Fund for Victims of Sexual Exploitation and Abuse, 2019 at https://www.un.org/preventing-sexual-exploitation-and-abuse/content/projects-and-reports</p> <p>The Department of Management Strategy, Policy and Compliance considers this recommendation to be implemented.</p>		

Inspection and Evaluation Division recommendation	Anticipated Actions	Responsible Entity(ies)	Target date for completion
<p><u>Recommendation 17</u> The Office of the Victims' Rights Advocate, in collaboration with the Department of Management Strategy, Policy and Compliance, the Department of Peace Operations and missions, should develop the procedure for handling paternity claims, from reporting to outcome, including procedures for communicating with victims and follow-up as envisaged in A/69/779.</p>	<p>The Department of Management Strategy, Policy and Compliance will work in collaboration with the Office of the Victims' Rights Advocate as requested. It is important to clarify, however, that the core issues affecting the resolution of paternity claims is not primarily one of the need for greater internal procedures. The challenges we are encountering lie primarily on the need for Member States to action their accountabilities in ensuring that the rights of children born out of instances of sexual exploitation and abuse are realized.</p> <p>Under the Model Memorandum Of Understandings for troop-contributing countries and police-contributing countries, Member States are expected to work with the United Nations to facilitate claims of paternity and child support irrespective of whether they have resulted from sexual exploitation and abuse. In practice, this obligation has been extended to matters involving non-memorandum of understanding personnel such as individually deployed police officers.</p> <p>The Model memorandums of understanding do not specify how a Member State is to facilitate claims. Presently, there is no consistent process or practice uniformly taken by Member States to meet their obligations. Paternity recognition and obligations for child support are pursuant to the national laws of the Member State of the nationality of the father and/or mother, whether through national courts or other judicial fora, in judgments, agreements, or other legal decisions. The United Nations' present role is limited to facilitating and supporting a process of individual accountability (the purported father, normally) in accordance with the United Nations Comprehensive Strategy on Assistance and Support to Victims of Sexual Exploitation and Abuse (A/RES/62/214, Annex) and national structures, laws, and related institutions of the Member State.</p>		Ongoing

Inspection and Evaluation Division recommendation	Anticipated Actions	Responsible Entity(ies)	Target date for completion
	<p>In light of the above, the Department of Management Strategy, Policy and Compliance, in consultation with the Department of Peace Operations, takes the view that the Secretariat should work with Member States to establish an enhanced framework of action, rather than a set of procedures, for the just resolution of claims of paternity, the goals being legal recognition of paternity and enforceable orders of child support.</p> <p>The Office of the Victims' Rights Advocate accepts this recommendation on the basis that work is ongoing and requires consultation with Member States.</p>		

Department of Safety and Security

Inspection and Evaluation Division recommendation	Anticipated Actions	Responsible Entity(ies)	Target date for completion
<p><u>Recommendation 3</u> Non-peacekeeping Secretariat entities, especially those with field operations, should conduct sexual exploitation and abuse risk assessment in line with the Department of Management Strategy, Policy and Compliance sexual exploitation and abuse Risk Management Toolkit and as provided in A/71/818 (paragraph 23).</p>	<p>The Department of Safety and Security accepts the recommendation to conduct sexual exploitation and abuse risk assessments as provided in the tool kit and in A/71/818.</p>	<p>Department of Safety and Security</p>	<p>Dec. 2022</p>
<p><u>Recommendation 4</u> Non-peacekeeping Secretariat entities should strengthen prevention measures for sexual exploitation and abuse, including through periodic messages to personnel, display of sexual exploitation and abuse visibility materials and inclusion of sexual exploitation and abuse standard of conduct and reporting mechanisms on websites.</p>	<p>The Department of Safety and Security accepts this recommendation as awareness and messaging activities are ongoing.</p>	<p>Department of Safety and Security</p>	<p>Dec. 2021</p>

Economic and Social Commission for Asia and the Pacific

Inspection and Evaluation Division recommendation	Anticipated Actions	Responsible Entity(ies)	Target date for completion
<p><u>Recommendation 3</u> Non-peacekeeping Secretariat entities, especially those with field operations, should conduct sexual exploitation and abuse risk assessment in line with the Department of Management Strategy, Policy and Compliance sexual exploitation and abuse Risk Management Toolkit and as provided in A/71/818 (paragraph 23).</p>	<p>ESCAP accepts this recommendation and will seek to conduct sexual exploitation and abuse risk assessment in line with the Department of Management Strategy, Policy and Compliance sexual exploitation and abuse Risk Management Toolkit, preferably in collaboration with the Resident Coordinator's office for a duty station 'One United Nations' response.</p>	<p>ESCAP</p>	<p>2022</p>
<p><u>Recommendation 4</u> Non-peacekeeping Secretariat entities should strengthen prevention measures for sexual exploitation and abuse, including through periodic messages to personnel, display of sexual exploitation and abuse visibility materials and inclusion of sexual exploitation and abuse standard of conduct and reporting mechanisms on websites.</p>	<p>ESCAP accepts this recommendation, and will strengthen prevention measures for sexual exploitation and abuse, including through periodic messages to personnel, display of sexual exploitation and abuse visibility materials and inclusion of sexual exploitation and abuse standard of conduct and reporting mechanisms on websites. In this regard, ESCAP requests support and guidance from the Department of Management Strategy, Policy and Compliance, Office of the Special Coordinator and Office of the Victims' Rights Advocate on capacity building tailored to non-peacekeeping entities.</p>	<p>ESCAP</p>	<p>Spring 2022</p>

United Nations Human Settlements Programme

Inspection and Evaluation Division recommendation	Anticipated Actions	Responsible Entity(ies)	Target date for completion
<p><u>Recommendation 1</u> The Department of Management Strategy, Policy and Compliance should enhance monitoring of completion of mandatory online training on sexual exploitation and abuse across the Secretariat, including through periodic and targeted follow-ups and publication of related dashboards.</p>	<p>UN-Habitat as a Secretariat entity makes use of the management dashboards established by the Department of Management Strategy, Policy and Compliance on completion of mandatory training.</p>	<p>Department of Management Strategy, Policy and Compliance UN-Habitat</p>	<p>Ongoing</p>

Inspection and Evaluation Division recommendation	Anticipated Actions	Responsible Entity(ies)	Target date for completion
<p><u>Recommendation 3</u> Non-peacekeeping Secretariat entities, especially those with field operations, should conduct sexual exploitation and abuse risk assessment in line with the Department of Management Strategy, Policy and Compliance sexual exploitation and abuse Risk Management Toolkit and as provided in A/71/818 (paragraph 23).</p>	<p>The Executive Director UN-Habitat in 2019 appointed conduct and discipline focal points following the request from the Department of Management Strategy, Policy and Compliance that all Secretariat entities appoint conduct and discipline focal points.</p> <p>The UN-Habitat conduct and discipline focal point avails themselves of the learning opportunities and support provided by the ALD Connect platform on prevention of misconduct, including sexual exploitation and abuse, enforcement of violations of the United Nations standards of conduct and support and assistance to victims of sexual exploitation and abuse.</p> <p>UN-Habitat staff responsible for risk management, with support from ALD with guidance and support in misconduct risk management, are developing internal risk registers and related workplans.</p>	<p>Department of Management Strategy, Policy and Compliance UN-Habitat</p>	N/A
<p><u>Recommendation 4</u> Non-peacekeeping Secretariat entities should strengthen prevention measures for sexual exploitation and abuse, including through periodic messages to personnel, display of sexual exploitation and abuse visibility materials and inclusion of sexual exploitation and abuse standard of conduct and reporting mechanisms on websites.</p>	<p>With support from ALD Connect, UN-Habitat disseminates knowledge and messaging and provides advice to staff and non-staff personnel on issues related to sexual exploitation and abuse.</p>	<p>Department of Management Strategy, Policy and Compliance UN-Habitat</p>	N/A
<p><u>Recommendation 11</u> The Department of Management Strategy, Policy and Compliance, in collaboration with Office of the Special Coordinator, the Department of Peace Operations and Department of Political and Peacebuilding Affairs, should: (a) remind missions of the requirement of reporting and referring sexual exploitation and abuse allegations to Headquarters, OIOS and troop-contributing-countries as stipulated; and (b) require heads of all Secretariat entities to certify in the annual</p>	<p>UN-Habitat provides any/all mandatory action plans and annual certifications from senior leadership.</p>	<p>Department of Management Strategy, Policy and Compliance UN-Habitat</p>	Ongoing

Inspection and Evaluation Division recommendation	Anticipated Actions	Responsible Entity(ies)	Target date for completion
management letter that all allegations of sexual exploitation and abuse have been accurately and fully reported, as proposed by the Secretary-General in paragraph 50 of A/71/818. This requirement should also be clearly incorporated in the manual mentioned in recommendation 7.			
<p><u>Recommendation 12</u> The Department of Management Strategy, Policy and Compliance and missions should maintain timelines of administrative sanctions imposed for sexual exploitation and abuse cases by incorporating relevant data fields for capturing dates of such sanctions in the Misconduct Tracking System to monitor and improve effectiveness of enforcement measures.</p>	UN-Habitat utilizes the Misconduct Tracking System module of the new Case Management Tracking system to record interim measures and administrative sanctions taken in respect of cases.	Department of Management Strategy, Policy and Compliance UN-Habitat	Ongoing

United Nations Office on Drugs and Crime

Inspection and Evaluation Division recommendation	Anticipated Actions	Responsible Entity(ies)	Target date for completion
<p><u>Recommendation 1</u> The Department of Management Strategy, Policy and Compliance should enhance monitoring of completion of mandatory online training on sexual exploitation and abuse across the Secretariat, including through periodic and targeted follow-ups and publication of related dashboards.</p>	As part of the United Nations Secretariat, UNODC will be attentive to changes and initiatives proposed by the Department of Management Strategy, Policy and Compliance.	N/A	N/A
<p><u>Recommendation 2</u> The Department of Management Strategy, Policy and Compliance, in consultation with the Office of the Special Coordinator, should clarify the distinction between sexual</p>	As part of the United Nations Secretariat, UNODC will be attentive to changes and initiatives proposed by the Department of Management Strategy, Policy and Compliance.	N/A	N/A

Inspection and Evaluation Division recommendation	Anticipated Actions	Responsible Entity(ies)	Target date for completion
exploitation and abuse and violation of non-fraternization policy against uniformed personnel.			
<p><u>Recommendation 3</u> Non-peacekeeping Secretariat entities, especially those with field operations, should conduct sexual exploitation and abuse risk assessment in line with the Department of Management Strategy, Policy and Compliance sexual exploitation and abuse Risk Management Toolkit and as provided in A/71/818 (paragraph 23).</p>	<p><u>Accepted</u> While country-level United Nations country team Action Plans for 2020 included carrying out risk assessments and developing mitigation measures, repeated lockdowns due to the coronavirus disease (COVID-19 pandemic) has delayed the related activities. They are expected to take place in the coming months.</p>	UNODC	December 2021
<p><u>Recommendation 4</u> Non-peacekeeping Secretariat entities should strengthen prevention measures for sexual exploitation and abuse, including through periodic messages to personnel, display of sexual exploitation and abuse visibility materials and inclusion of sexual exploitation and abuse standard of conduct and reporting mechanisms on websites.</p>	<p><u>Accepted</u> Key messages have been conveyed and communication materials have been shared with the field offices. Protection from sexual exploitation and abuse focal points were designated to coordinate with the respective United Nations country teams. In Thailand, “no excuses” card has been translated into Thai and distributed in two language throughout UNODC Regional Office for Southeast Asia and the Pacific. In the Regional Office for Central Asia, key protection from sexual exploitation and abuse principles are reiterated during periodic meetings of the office, and newly recruited personnel are requested to complete the mandatory protection from sexual exploitation and abuse course within the initial three-month period. All field offices will continue to strengthen prevention measures, including through periodic messages to personnel and display of sexual exploitation and abuse visibility materials. As regards inclusion of information on protection from sexual exploitation and abuse and reporting mechanisms on websites, the Human Resources Management Service of UNODC has a dedicated page on I-Seek.</p>	UNODC	December 2021

Inspection and Evaluation Division recommendation	Anticipated Actions	Responsible Entity(ies)	Target date for completion
<p><u>Recommendation 6</u> The Office of the Special Coordinator and Office of the Victims' Rights Advocate, in coordination with the Department of Management Strategy, Policy and Compliance, should conduct stocktaking of policies and initiatives with a view to prioritizing and simplifying, and specifying expected completion dates of longstanding initiatives.</p>	<p>As part of the United Nations Secretariat, UNODC will be attentive to changes and initiatives proposed by the Department of Management Strategy, Policy and Compliance.</p>	N/A	N/A
<p><u>Recommendation 7</u> The Department of Management Strategy, Policy and Compliance should consolidate scattered operational guidance into a manual outlining key processes and roles and responsibilities in preventing and responding to sexual exploitation and abuse within the Secretariat which could be done as part of the Office of the Special Coordinator system-wide sexual exploitation and abuse manual under development since 2016 or supplementing it with additional guidance for Secretariat entities as needed.</p>	<p>As part of the United Nations Secretariat, UNODC will be attentive to changes and initiatives proposed by the Department of Management Strategy, Policy and Compliance.</p>	N/A	N/A
<p><u>Recommendation 8</u> The Office of the Special Coordinator, in consultation with the system-wide working group on sexual exploitation and abuse and considering the lessons gathered from pilot implementation, should revisit the incident reporting form and make necessary adjustments to ensure that it is used as a standard sexual exploitation and abuse intake and reporting form across the United Nations system as envisioned by the Secretary-General.</p>	<p>As part of the United Nations Secretariat, UNODC will be attentive to changes and initiatives proposed by the Department of Management Strategy, Policy and Compliance.</p>	N/A	N/A

Inspection and Evaluation Division recommendation	Anticipated Actions	Responsible Entity(ies)	Target date for completion
<p><u>Recommendation 9</u> Given the system-wide relevance of ST/SGB/2003/13, Office of the Special Coordinator and the Department of Management Strategy, Policy and Compliance should jointly seek consensus with stakeholders on clarifying its provisions that strongly discourage sexual relations between United Nations personnel and beneficiaries of assistance and update the bulletin accordingly.</p>	As part of the United Nations Secretariat, UNODC will be attentive to changes and initiatives proposed by the Department of Management Strategy, Policy and Compliance.	N/A	N/A
<p><u>Recommendation 10</u> The Office of the Special Coordinator, in consultation with the Department of Management Strategy, Policy and Compliance and the Office of Legal Affairs, should develop a mechanism for public reporting on sexual exploitation and abuse allegations against Secretariat personnel in contexts other than peace and humanitarian ones that are not included in the Secretary-General's special measures reports.</p>	As part of the United Nations Secretariat, UNODC will be attentive to changes and initiatives proposed by the Department of Management Strategy, Policy and Compliance.	N/A	N/A
<p><u>Recommendation 11</u> The Department of Management Strategy, Policy and Compliance, in collaboration with Office of the Special Coordinator, the Department of Peace Operations and the Department of Political and Peacebuilding Affairs, should: (a) remind missions of the requirement of reporting and referring sexual exploitation and abuse allegations to Headquarters, OIOS and troop-contributing-countries as stipulated; and (b) require heads of all Secretariat entities to certify in the annual management letter that all allegations of sexual exploitation and abuse have been accurately and fully reported, as proposed by the</p>	As part of the United Nations Secretariat, UNODC will be attentive to changes and initiatives proposed by the Department of Management Strategy, Policy and Compliance.	N/A	N/A

Inspection and Evaluation Division recommendation	Anticipated Actions	Responsible Entity(ies)	Target date for completion
Secretary-General in paragraph 50 of A/71/818 . This requirement should also be clearly incorporated in the manual mentioned in recommendation 7.			
<p><u>Recommendation 12</u> The Department of Management Strategy, Policy and Compliance and missions should maintain timelines of administrative sanctions imposed for sexual exploitation and abuse cases by incorporating relevant data fields for capturing dates of such sanctions in the Misconduct Tracking System to monitor and improve effectiveness of enforcement measures.</p>	As part of the United Nations Secretariat, UNODC will be attentive to changes and initiatives proposed by the Department of Management Strategy, Policy and Compliance.	N/A	N/A
<p><u>Recommendation 13</u> The Department of Peace Operations and the Department of Management Strategy, Policy and Compliance should ensure that in its engagement with Member States to seek accountability for sexual exploitation and abuse in line with Security Council resolution 2272 (2016), the standing review committee considers repatriation or other measures, as appropriate, based on comprehensive and objective reviews while also keeping such measures consistent with criteria used in past examples of repatriation for sexual exploitation and abuse.</p>	As part of the United Nations Secretariat, UNODC will be attentive to changes and initiatives proposed by the Department of Management Strategy, Policy and Compliance.	N/A	N/A
<p><u>Recommendation 14</u> The Department of Management Strategy, Policy and Compliance should systematically forward all investigative findings revealing criminal conduct of sexual exploitation and abuse by officials or experts on mission to the</p>	As part of the United Nations Secretariat, UNODC will be attentive to changes and initiatives proposed by the Department of Management Strategy, Policy and Compliance.	N/A	N/A

Inspection and Evaluation Division recommendation	Anticipated Actions	Responsible Entity(ies)	Target date for completion
Office of Legal Affairs for consideration of referral.			
<p><u>Recommendation 15</u> The Department of Management Strategy, Policy and Compliance, in collaboration with Office of the Victims' Rights Advocate and missions, should prioritize supporting individual victims of sexual exploitation and abuse, including through the trust fund, with clear reporting on number of victims supported and the type of support provided.</p>	As part of the United Nations Secretariat, UNODC will be attentive to changes and initiatives proposed by the Department of Management Strategy, Policy and Compliance.	N/A	N/A
<p><u>Recommendation 16</u> The Department of Management Strategy, Policy and Compliance should report on the status of the \$600,000 payment withheld for substantiated allegations of sexual exploitation and abuse and transfer the amount to the trust fund in support of victims of sexual exploitation and abuse in line with General Assembly resolution 70/286.</p>	As part of the United Nations Secretariat, UNODC will be attentive to changes and initiatives proposed by the Department of Management Strategy, Policy and Compliance.	N/A	N/A
<p><u>Recommendation 17</u> The Office of the Victims' Rights Advocate, in collaboration with the Department of Management Strategy, Policy and Compliance, the Department of Peace Operations and missions, should develop the procedure for handling paternity claims, from reporting to outcome, including procedures for communicating with victims and follow-up as envisaged in A/69/779.</p>	As part of the United Nations Secretariat, UNODC will be attentive to changes and initiatives proposed by the Department of Management Strategy, Policy and Compliance.	N/A	N/A

United Nations Office at Nairobi

Inspection and Evaluation Division recommendation	Anticipated Actions	Responsible Entity(ies)	Target date for completion
<p><u>Recommendation 1</u> The Department of Management Strategy, Policy and Compliance should enhance monitoring of completion of mandatory online training on sexual exploitation and abuse across the Secretariat, including through periodic and targeted follow-ups and publication of related dashboards.</p>	<p>The United Nations Office at Nairobi monitors compliance on a quarterly basis and broadcast completion rates.</p>	<p>Department of Management Strategy, Policy and Compliance</p>	<p>31 December 2021</p>
<p><u>Recommendation 2</u> The Department of Management Strategy, Policy and Compliance, in consultation with Office of the Special Coordinator, should clarify the distinction between sexual exploitation and abuse and violation of non-fraternization policy against uniformed personnel.</p>	<p>United Nations Office at Nairobi in agreement.</p>	<p>Department of Management Strategy, Policy and Compliance</p>	<p>31 December 2021</p>
<p><u>Recommendation 3</u> Non-peacekeeping Secretariat entities, especially those with field operations, should conduct sexual exploitation and abuse risk assessment in line with the Department of Management Strategy, Policy and Compliance sexual exploitation and abuse Risk Management Toolkit and as provided in A/71/818 (paragraph 23).</p>	<p>The United Nations Office at Nairobi to work with the Inter-agency protection from sexual exploitation and abuse group and conduct sexual exploitation and abuse Risk Assessments – possible role for the Department of Safety and Security.</p>	<p>United Nations Office at Nairobi</p>	<p>31 December 2021</p>
<p><u>Recommendation 4</u> Non-peacekeeping Secretariat entities should strengthen prevention measures for sexual exploitation and abuse, including through periodic messages to personnel, display of sexual exploitation and abuse visibility materials and inclusion of sexual exploitation and abuse standard of conduct and reporting mechanisms on websites.</p>	<ol style="list-style-type: none"> 1. The United Nations Office at Nairobi to work with the Inter-agency protection from sexual exploitation and abuse group to create communication collateral on protection from sexual exploitation and abuse. 2. The United Nations Office at Nairobi has created a sexual exploitation and abuse card, phase two is its dissemination. 3. Sexual exploitation and abuse is often included in the Department of Safety and Security weekly Security updates. 	<p>United Nations Office at Nairobi</p>	<p>31 December 2021</p>

Inspection and Evaluation Division recommendation	Anticipated Actions	Responsible Entity(ies)	Target date for completion
	<p>4. The Joint Medical Service send broadcast on their services.</p> <p>5. The United Nations Office at Nairobi has created a Gender webpage with links to UN-Women/sexual exploitation and abuse etc. gender pages – awaiting approval.</p> <p>6. UN-Women are planning on delivering a training of trainers on sexual exploitation and abuse to gender focal points.</p>		
<p><u>Recommendation 5</u> The Executive Office of the Secretary-General should consider a review of the functions, structure, and interlinkages of Office of the Special Coordinator and the Office of the Victims’ Rights Advocate and determine the continued necessity of two separate offices.</p>	United Nations Office at Nairobi in agreement.	Executive Office of the Secretary-General	31 December 2021
<p><u>Recommendation 6</u> The Office of the Special Coordinator and Office of the Victims’ Rights Advocate, in coordination with the Department of Management Strategy, Policy and Compliance, should conduct stocktaking of policies and initiatives with a view to prioritizing and simplifying, and specifying expected completion dates of longstanding initiatives.</p>	If working group formed, then the United Nations Office at Nairobi could participate.	Office of the Special Coordinator Office of the Victims’ Rights Advocate Department of Management Strategy, Policy and Compliance	31 December 2021
<p><u>Recommendation 7</u> The Department of Management Strategy, Policy and Compliance should consolidate scattered operational guidance into a manual outlining key processes and roles and responsibilities in preventing and responding to sexual exploitation and abuse within the Secretariat which could be done as part of the Office of the Special Coordinator system-wide sexual exploitation and abuse manual under</p>	If working group formed, then the United Nations Office at Nairobi could participate.	Department of Management Strategy, Policy and Compliance	31 December 2021

Inspection and Evaluation Division recommendation	Anticipated Actions	Responsible Entity(ies)	Target date for completion
development since 2016 or supplementing it with additional guidance for Secretariat entities as needed.			
<p><u>Recommendation 8</u> The Office of the Special Coordinator, in consultation with the working group on sexual exploitation and abuse and considering the lessons gathered from pilot implementation, should revisit the incident reporting form and make necessary adjustments to ensure that it is used as a standard sexual exploitation and abuse intake and reporting form across the United Nations system as envisioned by the Secretary-General.</p>	If working group formed, then the United Nations Office at Nairobi could participate.	Office of the Special Coordinator	31 December 2021
<p><u>Recommendation 9</u> Given the system-wide relevance of ST/SGB/2003/13, Office of the Special Coordinator and the Department of Management Strategy, Policy and Compliance should jointly seek consensus with stakeholders on clarifying its provisions that strongly discourage sexual relations between United Nations personnel and beneficiaries of assistance and update the bulletin accordingly.</p>	If working group formed, then the United Nations Office at Nairobi could participate.	Office of the Special Coordinator Department of Management Strategy, Policy and Compliance	31 December 2021
<p><u>Recommendation 10</u> Office of the Special Coordinator, in consultation with the Department of Management Strategy, Policy and Compliance and the Office of Legal Affairs, should develop a mechanism for public reporting on sexual exploitation and abuse allegations against Secretariat personnel in contexts other than peace and humanitarian ones that are not included in the Secretary-General's special measures reports.</p>	If working group formed, then the United Nations Office at Nairobi could participate.	Office of the Special Coordinator	31 December 2021

Inspection and Evaluation Division recommendation	Anticipated Actions	Responsible Entity(ies)	Target date for completion
<p><u>Recommendation 11</u> The Department of Management Strategy, Policy and Compliance, in collaboration with Office of the Special Coordinator, the Department of Peace Operations and Department of Political and Peacebuilding Affairs, should: (a) remind missions of the requirement of reporting and referring sexual exploitation and abuse allegations to Headquarters, OIOS and troop-contributing-countries as stipulated; and (b) require heads of all Secretariat entities to certify in the annual management letter that all allegations of sexual exploitation and abuse have been accurately and fully reported, as proposed by the Secretary-General in paragraph 50 of A/71/818. This requirement should also be clearly incorporated in the manual mentioned in recommendation 7.</p>	The United Nations Office at Nairobi supports this initiative.	Department of Management Strategy, Policy and Compliance	31 December 2021
<p><u>Recommendation 12</u> The Department of Management Strategy, Policy and Compliance and missions should maintain timelines of administrative sanctions imposed for sexual exploitation and abuse cases by incorporating relevant data fields for capturing dates of such sanctions in the Misconduct Tracking System to monitor and improve effectiveness of enforcement measures.</p>	The United Nations Office at Nairobi supports this initiative.	Department of Management Strategy, Policy and Compliance	31 December 2021
<p><u>Recommendation 13</u> The Department of Peace Operations and the Department of Management Strategy, Policy and Compliance should ensure that in its engagement with Member States to seek accountability for sexual exploitation and abuse in line with Security Council resolution 2272 (2016), the standing review committee considers repatriation or other measures, as appropriate, based on comprehensive and objective reviews while also keeping such</p>	United Nations Office at Nairobi in agreement.	Department of Peace Operations Department of Management Strategy, Policy and Compliance	31 December 2021

Inspection and Evaluation Division recommendation	Anticipated Actions	Responsible Entity(ies)	Target date for completion
measures consistent with criteria used in past examples of repatriation for sexual exploitation and abuse.			
<p><u>Recommendation 14</u> The Department of Management Strategy, Policy and Compliance should systematically forward all investigative findings revealing criminal conduct of sexual exploitation and abuse by officials or experts on mission to the Office of Legal Affairs for consideration of referral.</p>	United Nations Office at Nairobi in agreement.	Department of Management Strategy, Policy and Compliance	31 December 2021
<p><u>Recommendation 15</u> The Department of Management Strategy, Policy and Compliance, in collaboration with Office of the Victims' Rights Advocate and missions, should prioritize supporting individual victims of sexual exploitation and abuse, including through the trust fund, with clear reporting on number of victims supported and the type of support provided.</p>	This should apply to all United Nations security entities, not solely peace operations.	Department of Management Strategy, Policy and Compliance	31 December 2021
<p><u>Recommendation 16</u> The Department of Management Strategy, Policy and Compliance should report on the status of the \$600,000 payment withheld for substantiated allegations of sexual exploitation and abuse and transfer the amount to the trust fund in support of victims of sexual exploitation and abuse in line with General Assembly resolution 70/286.</p>	United Nations Office at Nairobi in agreement.	Department of Management Strategy, Policy and Compliance	31 December 2021
<p><u>Recommendation 17</u> Office of the Victims' Rights Advocate, in collaboration with the Department of Management Strategy, Policy and Compliance, the Department of Peace Operations and missions, should develop the procedure for handling paternity claims, from reporting to</p>	This should apply to all United Nations security entities, not solely peace operations.	Office of the Victims' Rights Advocate	31 December 2021

Inspection and Evaluation Division recommendation	Anticipated Actions	Responsible Entity(ies)	Target date for completion
outcome, including procedures for communicating with victims and follow-up as envisaged in A/69/779 .			

Annex III

Response of the Office of Internal Oversight Services to formal comments received from entities*

The Office of Internal Oversight Services (OIOS) thanks and appreciates all the entities for their valuable comments made on the draft evaluation report and the action plans to implement the recommendations.

OIOS acknowledges the evolution that has taken place in the Organization's efforts to address sexual exploitation and abuse since the period covered by the evaluation. Matters highlighted by the evaluation will be reviewed as appropriate during future relevant assignments.

The progress made on the implementation of the recommendations will be monitored by OIOS through existing procedures.

(Signed) Fatoumata **Ndiaye**
Under-Secretary-General for Internal Oversight Services
19 March 2021

* Department of Management Strategy, Policy and Compliance, the Office of the Special Coordinator on Improving the United Nations Response to Sexual Exploitation and Abuse, the Office of the Victims' Rights Advocate, the Department of Peace Operations, the Department of Political and Peacebuilding Affairs, the United Nations Disengagement Observer Force, the United Nations Office on Drugs and Crime, the United Nations Office at Nairobi, the United Nations Verification Mission in Colombia, the Department of Safety and Security, the Economic and Social Commission for Asia and the Pacific and the United Nations Human Settlements Programme.