



Overview of Investigations

Why should we have protocols for complaints and investigations?

- Framework to assist those responsible for ensuring standards and quality
- Makes explicit what users can expect
- Provides basis for accountability
- Provides basis for quality assurance, audit, and inspection

IASC Task Force on Protection from SEA

*Model Complaints & Investigation Procedures and
Guidance Related to Sexual Abuse and
Exploitation*

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Purpose

- To specify steps to be taken
 - When SEA is suspected
 - When alleged SEA perpetrated by staff member (as defined)
- Applies in humanitarian or development context

Benefits of Implementing and Following Procedures

- Beneficiaries are protected
- The agency's staff are protected
- The agency's reputation is upheld

Contents of the Model Complaints & Investigation document

- Executive Summary
- Introduction
 - Including key principles
- Making/receiving complaints
- Investigation guidelines
- Interviewing witnesses and victims
- Recommendations for implementation

First, let's explore

Risk, vulnerability, and barriers to making a complaint

What are the risk factors for SEA?
Who is vulnerable to SEA?

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Who is vulnerable to SEA?

- Poverty and dependence
 - Age
 - Gender
- Dependence = vulnerability to SEA
- Some specific groups may be at higher risk; e.g.,
 - Single female heads of household
 - Unaccompanied or unattended children
 - Disabled

Barriers to making a complaint

- Fear of reprisal
- Fear of not being taken seriously
- Respect for/fear of a senior officer and/or expatriate staff member
- Fear of “getting it wrong”
- Fear that source of income (maybe to sustain life) will be cut off
- Fear of losing job, status, or prospects

Barriers to making a complaint

(cont'd)

- Cultural issues and norms – it is seen as acceptable practice in the country/region
- Cultural issues and norms – it is not seen as acceptable to challenge those in authority
- Attitudes toward women and children
- A socioeconomic or political context that might sustain a belief that sexual exploitation/abuse is unimportant

Barriers to making a complaint

(cont'd)

- Isolation, lack of management and support
- Age – children may be less likely to report
- Lack of knowledge concerning the reporting process
- Lack of access to anyone with power or will to intervene
- Lack of awareness that sexual exploitation and abuse is wrong

Key Principles for Receiving Complaints and Conducting Investigations

Key principles

- Confidentiality
- Anonymity
- Safety and welfare
- Professional care and competence
- Thoroughness
- Independence
- Planning and review
- Respect for all concerned
- Timeframes
- Working in partnership with others
- National authorities

Principles Case Study

Principles case study

- Small groups
- KIDAID case study
- Discuss and answer the questions on the principle(s) assigned to your group
- Write brief answers on flip chart
- Post flip chart

Investigations

Basic rules (principles) of conducting an investigation

- Investigating the allegations, not an individual
- Presumption of innocence
- The investigator is not the decision-maker
- The investigator does not make moral judgments relating to any of the parties of the complaint

Stages of an Investigation

Stages of investigations

1. Receive allegations
2. Decide whether to investigate
3. Plan the investigation
4. Gather and study background material and documentary evidence
5. Revisit investigation plan
6. Interview witnesses
7. Write investigation report
8. Conclude the investigation