



Facilitator's Guide

Prevention of Sexual Exploitation and Abuse (PSEA)

Module 3: Managing a Sexual Exploitation and Abuse (SEA) Investigation

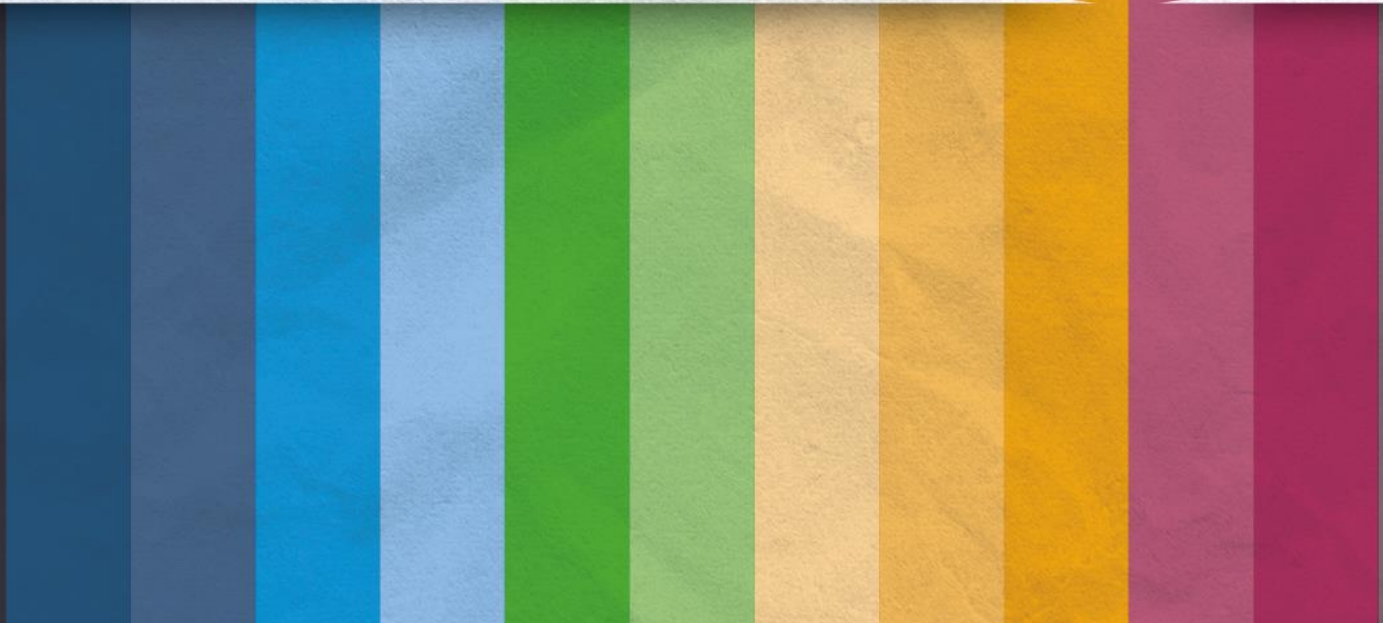


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Table of Contents placeholder in case the Handouts and Annexes need to be included.

Module Information

Module Rationale

The 2021 version of InterAction's PSEA training material adds value to existing content in the sector in two special ways: 1) by placing an emphasis on the role that power dynamics play in the perpetration of sexual violence and 2) by offering tangible ways that humanitarian aid and development practitioners can safely and effectively prevent the occurrence of sexual exploitation, abuse, and harassment (SEAH) at an individual level, through active bystander intervention, and at an organizational level through safe recruitment, selection, and programming practices.

Module 1 is designed for all staff, addressing the SEA standards of conduct, while also taking a deeper dive into understanding why the standards matter to our work as humanitarians and how violations occur through the abuse of power and failure to respect people's full dignity. It also addresses the reporting obligations of staff and empowers them with a better understanding of how reports are handled from receipt to the conclusion of any investigation, as well as how to receive reports of SEA from the community and escalate those reports in line with their organizational reporting system.

Module 2 is focused on Prevention, an area that has been prioritized as key to a new approach to SEA, but previously lacked comprehensive training tools. Because effective prevention efforts should address both individual and organizational responsibilities, the sessions contained in this Module are intended for different audiences. Bystander Intervention is for all staff and teaches about the behavior continuum, the bystander effect, and how all members of an organization play a role in speaking out against inappropriate and harmful conduct through active bystander intervention tools and techniques. Safe Recruitment is intended for H.R. staff, hiring managers and senior managers, and teaches strategies that consider the risks of SEA from staff during every stage of the recruitment process, from drafting job position duties to advertising, interviewing, and reference checks. Safe Programming is intended for program managers, proposal development teams, and senior managers and teaches how to conduct programmatic risk assessments for SEA and create effective mitigation strategies.

This current Module 3 is designed solely for Senior Managers—especially those who have undergone the training (or equivalent) in Modules 1 and 2—and addresses their responsibilities to support and manage an SEA investigation.

Module Description

This module is for Senior Managers who are responsible for handling the initial SEA incident response, including managing SEA risks. It is designed to help managers understand their role in supporting the investigation process as well as their potential role in facilitating and managing that process. This module is NOT designed to be a comprehensive module on conducting an SEA investigation.

Topic One opens by examining the division of roles and responsibilities between Investigators and the Investigation Manager. It quickly proceeds to looking at an initial SEA incident case study to analyse the importance of key investigation principles in that initial stage and in subsequent actions. The remainder of the training uses that same case study and builds upon it for the different aspects of the entire investigation process and the responsibilities of the Investigation Manager. The use of the same case study allows participants to share their own experiences and learning points, with anonymized information, as part of the discussions.

Topic Two focuses on the management of risks during the initial phases of receiving an SEA allegation and helping to facilitate the investigation through a "choose your adventure" case study, where every decision taken has a new consequence to deal with and manage.

Topic Three presents the 10 steps of the Investigation Process, where participants identify and discuss each step of the process through the elaborated case study, allowing more room to discuss the challenging decision points in each step, and gaining an understanding of the entire process generally and their role more specifically.

Topic Four examines the follow-up steps to an investigation that improve processes, controls, and procedures to prevent SEA, and looks at the role of Managers in designing and implementing these improvements.

The module is designed to be delivered in person or remotely via webinar. Remote participants will use virtual breakout rooms for group discussions to promote interactivity. This Facilitator's Guide contains instructions for both the in-person and remote facilitation.

Length of Module

The module covers four topic areas:

Topic One: The Investigator Manager's Role and Key Investigation Principles

Topic Two: Managing Risks in Handling an SEA Allegation

Topic Three: Piecing Together the Steps of an SEA Investigation

Topic Four: Improving Processes, Controls, and Procedures to Enhance SEA Prevention Efforts

TOTAL TIME: 300 minutes (5 hours facilitation time)

Target Audience

This Module deepens knowledge and skills around PSEA, and it builds upon the foundations of Module 1 on PSEA Standards and Reporting. Participants should have already received training on PSEA Standards and Reporting provided in InterAction's Module 1 or the content's equivalency. The session on **Bystander Intervention** is for all staff, and could be combined with the basic training of InterAction's Module 1, PSEA Standards and Reporting for a comprehensive 2-day program for staff. The session on **Safe Recruitment and Selection** is designed for HR staff and program supervisors and managers involved in hiring staff for field programs. The **Safe Programming** module is designed for staff who are directly responsible for managing risks in program activities, including senior management, program managers, program developers/fundraisers, and compliance officers responsible for managing risk and the prevention of SEA by staff in programs.

Because the three sessions in the Module are designed for three different target audiences, the sessions mostly likely will be delivered separately and at different times. As each session is independent of the other, each session can be completed as its own training or workshop.

Facilitator Competencies

This training requires the Facilitator to not only recite PSEA standards, but also address difficult questions and discussions on complex issues regarding gender, power dynamics, and sensitive topics on sexual relations that are often challenging to discuss openly in certain contexts. Not every facilitator, no matter how experienced, is suited to conduct training on sexual exploitation and abuse (SEA).

The following is a list of competencies that are important for a facilitator to possess in order to successfully deliver this Module:

- Be comfortable openly discussing gender norms, power dynamics, and local and internationally used terms to describe different types of SEA.
- Have the ability to facilitate a productive, respectful and honest session that may be difficult and uncomfortable for some participants.
- Have a keen cultural awareness and is familiar with issues of concern locally and how they are situated within the context of international standards. This includes transactional sex, underage marriage, relationships between staff and beneficiaries, and other controversial issues that could arise when training on this topic.
- Be skilful at redirecting a conversation when participants have gone off-topic or become argumentative.
- Demonstrate an understanding of the root causes and impacts of SEA and be committed to ending SEA.

For Safe Recruitment and Selection and Safe Programming Sessions:

- Have the ability to facilitate discussions on organizational prevention strategies with senior management and other managers and be comfortable in answering challenging questions.
- Have a basic understanding of recruitment processes and the importance of strategies for deterring unsuitable candidates from joining organizations
- Have a basic understanding of risk management approaches and facilitating a group in developing a plan on understanding, identifying, mitigating, and monitoring risks of SEA in programs.

Module Learning Objectives

- Develop “bystander intervention” strategies for interrupting inappropriate and potentially harmful behavior.
- Adapt strategies to attract candidates willing to abide by our organizational ethical standards and deter candidates unsuitable to work in the humanitarian aid and development sector, especially with children and adults at risk.
- Describe the steps of a four-part risk management cycle of Understand, Identify, Mitigate and Monitor and apply it to PSEA.

Instructional Approach

This module is designed as a participatory, discussion-based training for in-person or online remote delivery.

Instruction involves:

- Open-ended questions
- All-group discussions
- Scenario-based application exercises
- Small group discussions

The Facilitator's Guide uses plain language throughout for ease of translation and recognizes places where adaptations should be considered for cultural relevance.

These modules stand out from existing content in the PSEA sector because they are designed to be delivered in person or remotely via webinar. Remote participants will use virtual breakout rooms for group discussions to promote interactions. This facilitator's guide contains instructions for both in-person and remote facilitation.

For remote delivery, it is strongly recommended that the main facilitators are supported by a **"producer"** who can assign remote break-out groups and generally manage the webinar logistics. We have divided the material into six sessions for remote delivery. In order to support participant engagement, no more than 4 hours of remote training should be delivered per day, and participants should have at least a 10-minute break after every 90 minutes of session time. Suggested tools to make the session more interactive and dynamic include:

- Zoom breakouts for small group discussions
- Mentimeter for live polling and word cloud generation
- Google Jamboard for virtual sticky notes
- Google Drive for document sharing and real-time viewing

Pre- and Post-Testing

There are pre- and posts-tests to help the facilitator assess how much knowledge has been acquired in the training. The post-test also allows the participants to rate their own level of knowledge, skills and confidence in the learning topics, before and after the training, and rate the training experience in general. The post-test should be administered as soon as possible after the end of the session, ideally when the participants are still present. The tests should be confidential. After participants complete the post test, the answers should be provided to them for their own learning assessment. There are separate pre- and post-tests for each of the sessions: Bystander Intervention, Safe Recruitment and Selection, and Safe Programming. The Pre- and Post-Tests can be found in



Materials and Preparation Needed


- Flipchart paper labelled "Question Tree" and sticky notes placed around the room
- Copies of Handout One: Bystander Intervention Scenarios
- Copies of Handouts for Safe Recruitment and Selection Session
 - Handout One: Investigation Manager or Investigator? Cut out each of the squares for the activity in Topic One.
 - Handout Two: Case Study – World Without Poverty
 - Handout Three: Questions for World Without Poverty Case Study on Key Investigation Principles
 - Handout Four A: Managing Risk and Making Choices Instructions. Print and distribute one copy of these instructions for each group.
 - Handout Five: Checklist for Safe Recruitment, Contractors and Performance Management
 - Handout Four B: Managing Risk and Making Choices. Print off one copy of the maze (steps 1-13) for each group. Ensure that each step is on a separate piece of paper, and that the steps are in order when you give them to each group.
 - Handout Five: Investigation Planning Checklist
 - Handout Six: Investigation Plan Template
 - Handout Seven Case Study: Piecing Together the Steps of an Investigation.


Before the training:


- Print out one document and cut the text of each step into strips, and do not include the numbered step and title – only the text. You should have 10 pieces of paper. Shuffle them so they are in random order.
- Print out a copy for each participant of the full handout in 11-point font – including all step numbers and headings and the text. This will be used for review in debrief with the whole group.
- At the beginning of the training, or during a break, post large cards or large post-its around the room with the number and title of each step in the investigation. There should be ten steps posted around the room.
- Handout Eight: Managing an Investigation – Steps in the Investigation Process
- Handout Nine: Investigation Report Template

About this Facilitator's Guide

This facilitator's guide is organized with screen shots of the PowerPoint slides on the left side of the page. Suggested facilitator scripts (identified by this icon ) and activity instructions (identified by this icon ) are on the right. All associated handouts are at the end of this document.

Notes for the producer who is responsible for managing remote facilitation logistics will be identified by this icon ()

Throughout this Facilitator's Guide there are sections called "Culture Notes" (identified by this icon ()). This marks activities that need to be evaluated for cultural relevance and appropriateness in the local context.

"Language Notes" (identified by this icon () are sections where the translators should pay particular attention prior to session delivery and during delivery as appropriate by checking for understanding.

Self-Care and Respecting Privacy/Confidentiality

The beginning of this module includes important messages regarding self-care and respecting privacy/confidentiality as well as notes about the facilitator's obligation to report. If you choose to omit Session One, or deliver the sessions out of order, please be sure to include this crucial content.

Talking Points

Where the facilitator's guide includes the instruction "facilitator says" followed by instructional content, these are intended talking points, not scripts. The facilitator should familiarize themselves with this language and deliver the sessions in their own words. Reading from the Facilitator's Guide or trying to memorize the talking points is not recommended.

Use of Pronouns

The facilitator's guide includes scripts that use "she" and "her" pronouns, "he" and "him" pronouns, and "they" and "them" pronouns. The aim is not for the modules to be gender neutral, but rather gender inclusive. People of all gender identities can experience SEA and can commit



Facilitator Script



Facilitator Note



Note for the Producer



Culture Note



Language Note

Agenda

Topic/Activity	Description	Duration
Welcome	Welcome Participants, Facilitator Introduction	2 minutes
Icebreaker	Share about yourself (length of time depends on number of participants)	5 – 20 minutes
Module Overview	Self-Care Advisory, Session Expectations, Learning Objectives	10 minutes
Topic One	The Investigation Manager's Role and Key Investigation Principles	75 minutes
Topic Two	Managing Risks in Handling an SEA Allegation	60 minutes
Topic Three	Piecing Together the Steps of an SEA Investigation	90 minutes
Topic Four	Improving Processes, Controls, and Procedures to Enhance SEA Prevention Efforts	45 minutes

Facilitation Notes

Module Three: Managing an SEA Investigation

Duration: 300 minutes

Overall Objective: To define and describe the Investigation Manager's role and responsibilities in the SEA investigation process.

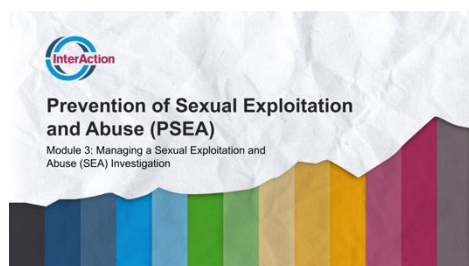
Topic One: The Investigation Manager's Role and Key Investigation Principles

Duration: 75 minutes

Learning Objectives:

- Differentiate the roles of the investigation manager and the investigator.
- Define the key investigation principles and how they apply in the investigation process.

Slide: Module 3



Duration for this slide: >2 minutes

My name is [NAME], and I will be your guide for today's session. I have been a [TITLE] for [ORG NAME] for [X] years and have really enjoyed my time here. I am excited to be leading this session today.

Note to facilitator:

- Welcome participants
- Provide a brief introduction for yourself and allow any co-facilitators to do the same.
- Your introduction should be 1-2 sentences maximum and take less than a minute.
 - Prepare your opening in advance and practice it so you can deliver it confidently without notes.



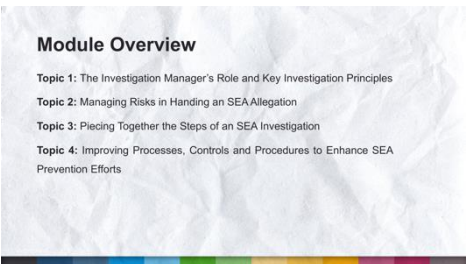



Slide: Session Expectations




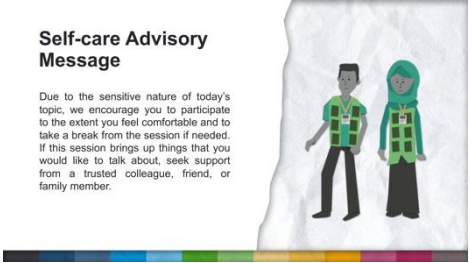






Duration for this slide: 2 minutes

Facilitator says:

What are some other expectations for our conduct and behavior that we should set for our time together? Since we will be working together to build important skills over the course of the next few hours, it's important for us to agree on some guidelines. Consider using the themes on the slide to set the expectations: Active Listening, Respect, Integrity, Privacy, Caring.

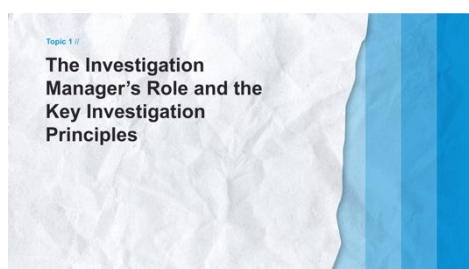
	 	<p>Facilitator asks:</p> <p>Does anyone have an expectation that they would like to set for the session?</p> <p>Document:</p> <p>List the responses on flipchart paper and keep it posted in a visible location throughout the session. Document responses in the chat screen or whiteboard for remote delivery.</p>
<p>Slide: Module Overview</p> 	  	<p>Duration for this slide: 2 minute</p> <p>Facilitator note:</p> <p>Introduce the session and Module Overview</p> <p>Facilitator says:</p> <p>Welcome to the Managing SEA Investigations module where we will be discussing your important role and responsibilities as a manager in the SEA investigation process. This is not a workshop on how to conduct an investigation. It is about your role in supporting the investigation process and ensuring that investigations are handled professionally and in a timely manner, and that investigation recommendations are implemented to ensure accountability and prevent SEA.</p> <p><u>This module covers four topic areas:</u></p> <p>Topic One: The Investigator Manager's Role and the Key Investigation Principles Topic Two: Managing Risks in an SEA Allegation Topic Three: Piecing Together the Investigation Process Topic Four: Improving Processes, Controls, and Procedures to Enhance SEA Prevention Efforts</p>

<p>Slide: Ice-Breaker</p>  <p>Ice Breaker</p> <p>Please share your name, your role in the organization and the last photo you took on your phone, or the last photo you feel comfortable sharing.</p>	 	<p>Duration for this slide/activity: 5-20 minutes depending on number of participants</p> <p>Let's take a few moments to get to know each other before we begin. Please share your name, your role in the organization and the last photo you took on your phone, or the last photo you feel comfortable sharing.</p>
<p>Slide: Self-care Advisory Message</p>  <p>Self-care Advisory Message</p> <p>Due to the sensitive nature of today's topic, we encourage you to participate to the extent you feel comfortable and to take a break from the session if needed. If this session brings up things that you would like to talk about, seek support from a trusted colleague, friend, or family member.</p> <p>Slide: Respecting Privacy and Acknowledging Reporting Obligations</p>  <p>Respecting Privacy and Acknowledging Reporting Obligations</p> <ul style="list-style-type: none"> Don't share details of specific cases that could identify people involved. Keeping confidentiality of what we discuss in this room. Obligations to report certain types of misconduct. 	  	<p>Duration for this slide/activity: 10 minutes</p> <p>Facilitator says:</p> <p>We know that this is a sensitive topic to discuss, and that it can stir up emotions of our own experiences or something we have witnessed or know of. We encourage you <i>to participate to the extent you feel comfortable</i> and to take a break from the session if needed. If this session brings up things that you would like to talk about, seek support from a trusted colleague, friend, or family member.</p> <p>Facilitator says:</p> <p>This training is designed to be interactive and discussion based, which means you should feel free to raise your questions around potential risks for sexual exploitation and abuse.</p> <p>However, during our discussions, if you are sharing examples from personal or work contexts, it is important to leave out or change identifying information such as location, genders, job titles, and time periods.</p> <p>As we will learn through this training, confidentiality is very, very important when discussing SEA. Sharing specific information about cases of sexual violence can have serious consequences for survivors, the people accused of wrongdoing, organization, and even communities. Therefore, it is also important that personal information or examples shared during the sessions are not shared or discussed outside of the training.</p> <p>Finally, there are mandatory obligations to report sexual exploitation and abuse when you can point out specific, observable facts that lead to the belief that someone may be being exploited or abused. If specific issues are raised either in the group, or to me privately, I may have an obligation to report this conduct through the most appropriate reporting mechanism. We will be discussing ways to report towards the end of this session, so please hold your questions on that for now.</p>

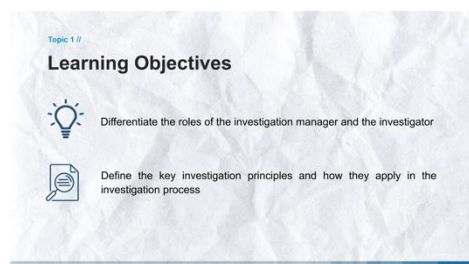


Note for Online Delivery: "Parking Lot" questions should be privately shared via chat with the producer who can share them with the facilitator to address at the end of the session. Sometimes questions arise that are related to content that will be presented later in the session. These should be added to the Parking Lot, and participants should be told that the question will be addressed later.

Slide: Topic One: The Investigation Manager Role and Key Investigation Principles



Slide: Topic One: Learning Objectives



Duration of this activity: 30 minutes



Facilitator note:

Introduce slide on Topic One and the Learning Objectives. You should already have the individual pieces of paper with the Investigation Manager and Investigator tasks written on them in a box so each participant can choose one.



Facilitator says:

Let's start out by defining the key roles of the Investigation Manager and the Investigator.
(Review slide on roles)



Activity: Role differentiation

Facilitator says:

We are going to look more closely at the key tasks of the Investigation Manager and the Investigator. I'm going to pass around this box and ask each one of you to pick a piece of paper. Each piece of paper describes a task of the Manager or the Investigator. We will go around the room for each of you to read your piece of paper aloud and tell us if it is a task of the Manager or the Investigator.



Facilitator note:

After a participant indicates Manager or Investigator for the task, ask the other participants if they agree before indicating if the answer is correct. Answers to this exercise can be found in Appendix and [here](#). (ADD THE LINK)

After the activity, answer any questions.

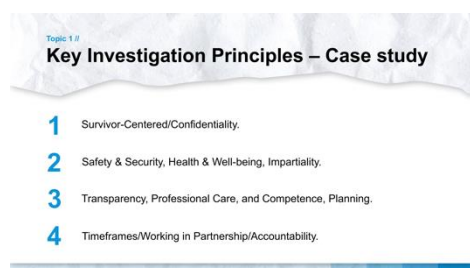


Note for Online Delivery of task identification exercise: Before the training, using Google Jamboard, write two columns, one labelled INVESTIGATOR MANAGER and the other INVESTIGATOR. Write each task on a Jam board "sticky note" and randomly place them on the board. Ask participants to take turns moving a task to the correct column. Also encourage participants to move any sticky notes that they believe were placed in the wrong column. When participants have finished, encourage more sorting out if you notice any errors.



Facilitator's Note: You may be asked about how to choose an investigator. The complexity of the case, safety considerations for internal staff and whether an unbiased investigation can be made by an internal investigator are considerations in deciding whether to hire an external, independent investigator. Most SEA investigations are unique, complex and challenging—requiring sound judgment for an effective investigation. Investigators must have the necessary training and experience to undertake their role. Check your organization's policies and standard operating procedures for choosing an investigator.

Slide: Key Investigation Principles – Case Study



Duration for this activity: 45 minutes



Facilitator note:

Have the handouts ready with questions for each of the individual principles. Divide the principles among four groups as shown below. You will also be handing out the *World Without Poverty* case study.

Review the Key Investigation Principles slide.



Facilitator says:

Managing an investigation process requires that those responsible for overseeing the process understand the key principles in conducting an effective investigation. The key investigation principles inform the entire process, so we will be exploring each of these key principles using a case study.

We will be reviewing the case study of World Without Poverty. In your breakout group:

1. Read the case study.
2. Answer the questions for your assigned key principles as follows:

Group 1: Survivor-Centered/Confidentiality
Group 2: Safety/ Security, and Health/Well-being /Impartiality
Group 3: Transparency/Professional Care and Competence/Planning
Group 4: Timeframes/Working in Partnership /Accountability

3. Record your answers on a flipchart
4. Choose a spokesperson to present your findings.



Online Delivery Note: For the Key Principles exercise, each group can record their answers in a document, and share their screen in the larger group when it is their turn to present.

Plenary group presentations on key investigation principles

Slide: Key Investigation Principles



Facilitator Note:

After each presentation, ensure that participants have an understanding of the following for each principle.

Survivor-centered:

- The survivor is supported in identifying and expressing their needs and wishes, as well as in making decisions on how involved they wish to be involved in an investigation. Explain the process and available protections.
- Regular communication and updates on the process should be provided.

Confidentiality

- The complainants, witnesses, and the subject of the complaint have a right to confidentiality.
- Information is shared on a "Need-to-Know" basis
- All involved need to uphold the confidentiality requirement to protect the integrity of the investigation.

Safety and Security

- This includes relocating the survivor, the witnesses or the subject of the complaint, and maintaining an effective security presence.
- The subject of the complaint may be placed on a paid administrative leave pending the outcome of the investigation.
- Respect safety and security concerns, while taking any necessary follow-up steps
- Find alternative avenues/independent sources for corroborating information where safety is a concern.


Health and Well-being

- The health needs and well-being of victims are critical. This includes medical care, psychosocial support, counselling, and legal assistance if necessary.

Transparency

- Victims/survivors need to be informed of reporting processes and how their report will be handled (for example, who will be involved). The subject of the complaint should also be informed of the process.

		<p>Impartiality</p> <ul style="list-style-type: none"> Investigations must be conducted in a fair, equitable and unbiased way, without interference. Investigators must be free of any influence that could impair their judgment and objectivity. For example, it is best if the investigator does not have any regular communication with, or work with, any of the parties who will be part of the investigation. At times, an independent investigator from outside of the organization may be required to maintain impartiality. Investigators must not have any personal or professional interest in the people implicated or the project the allegations concern. <p>Professional care and competence</p> <ul style="list-style-type: none"> All of those involved in the investigation must have training, skills and knowledge to fulfill their responsibilities. Investigations must be conducted in a diligent and rigorous manner to ensure that all relevant evidence is obtained and evaluated, including evidence which might either support or refute the allegation. <p>Planning</p> <ul style="list-style-type: none"> Ensure that investigations are planned, systematic and completed according to agreed timeframes. Ensure that plans are guided by key investigation principles throughout the process. <p>Timeframes</p> <ul style="list-style-type: none"> Investigations are conducted as quickly as possible without compromising quality As a general rule, investigations should be completed as soon as possible (for example, a final report submitted within 30 days of receipt of the allegation). <p>Working in Partnership with Others</p> <ul style="list-style-type: none"> In cases where another organization might be implicated in the allegation, consider conducting a joint investigation in the interests of sharing relevant information and preventing the need for repeated interviews.
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<p>Final debrief on key principles exercise</p>		<p>Accountability</p> <ul style="list-style-type: none"> • Donors need to be notified according to their protocols for reporting on SEA allegations. • When a crime appears to have been committed, consideration needs to be given to informing national authorities. (This decision should be taken by the organization's legal counsel and the survivor. In the case of a child abuse, reporting to the national authorities may be a legal requirement.) <p>After the presentation, ask the following questions:</p> <p>Facilitator says:</p> <ol style="list-style-type: none"> 1. Did working on these principles affect your own initial interpretation of them? 2. How do you think this will impact you as an Investigation Manager?
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Topic Two: Managing Risks in Handling an SEA Allegation

Duration: 60 minutes

Learning Objectives:



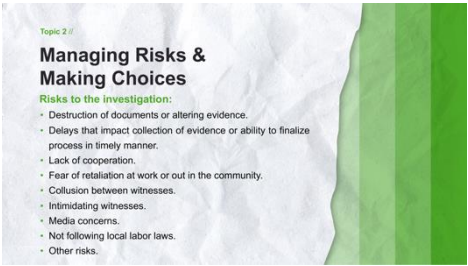



- Identifying risks in handling SEA allegations.
- Identifying and applying strategies to minimize risks.

Activity Introduction		<p>Facilitator says:</p> <p>We are going to continue working with this case study throughout this training.</p> <p>Now that we have received the allegation and considered some of the principles that we need to consider in approaching an investigation, let's try some things out in practice.</p> <p>This exercise is going to ask you to think about the next steps in handling this allegation, from an on-the-ground perspective. It will also make us think about the risks we are likely to encounter and how we might manage them.</p>
Groupwork – Handouts Four A & B	  	<p>Duration for this exercise: 30 minutes</p> <p>Facilitator Note:</p> <p>Be sure to review and prepare <u>Handouts Four A & B: Managing Risks and Making Choices</u> in advance of the training.</p> <p>Divide participants into small groups with 4 participants per group. Make sure you have one full set of cards numbered 1-13 for each group and one set of instructions. Review the instructions with the entire group.</p> <p>Facilitator says:</p> <ol style="list-style-type: none"> 1) Every group has a set of cards in front of them, and everyone must start with card #1. 2) On each card you are presented with a developing scenario, and you are given options in terms of how you will respond. You will be directed to your next card depending on your response. Please do not scroll through the different cards. Follow the numbers based on the instructions on the cards. You may wish to place the cards on the floor/table in front of you as you proceed through

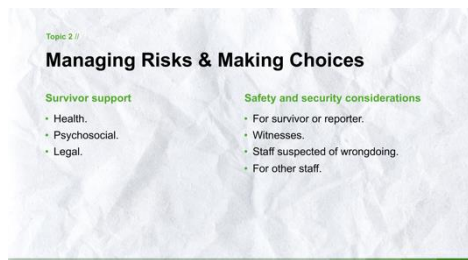
		<p>this maze because you will be asked to share the highlights of your journey at the end of this session with the group.</p> <ol style="list-style-type: none"> 3) If you finish this activity quickly, please go back and make different decisions to see what other outcomes could have happened. 4) Be prepared to share some of the highlights and challenges of your group's maze with the rest of the group. <p>Recall the allegations that we received so far in our Case Study:</p> <ul style="list-style-type: none"> – Jamila, the Program Manager, received a report from a community member that Davu, the Senior Project Officer, was hiring female short-term data collectors from the community in exchange for sex. The community member did not provide names or details, other than this rumor. – Zane, the security guard, observed Amari, a data collector, leaving Davu's apartment in the compound. He asked her why she was visiting Davu, and she broke down crying, begging him not to tell anyone. Zane informed Jamila of this incident. – Jamila reported all the information she had to the Safeguarding Unit. – Amari later approached Zane and told him that she lost her job. She said that Davu said her contract was up, but she was the only data collector who did not have her contract renewed. Amari thinks Davu saw her talking with Zane when she left his apartment. She stated that she didn't want to go there, but he was her boss and she had to do what he asked. <p>You are the Head of Office where the allegation occurred and will be working with the Safeguarding Unit Director to help support the management of the investigation process, including identifying and addressing risks at this early stage of handling of the allegation.</p> <p>Take 20 minutes in your groups to work through the different scenarios and then we will discuss them.</p>
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Note for Remote Delivery: Divide the participants into small, virtual breakout rooms, ideally four people per group. Prepare *Handout B: Managing Risks and Making Choices* so that each numbered item is on a single page, so there is a 13-page document. Be sure to type the numbers on each page in a very large font (24 point). Send the handout to all participants via chat or a Shared Document Folder. Have participants follow the instructions: "On each page you are presented with a developing scenario and you are given options in terms of how you will respond. You will be directed to your next page depending on your response. Please do not scroll through the different pages. Follow the numbers based on the instructions on the page."

	 	<p>Duration for this activity: 5 minutes</p> <p>Facilitator says:</p> <p>Let's return back into our large groups.</p> <p>Allow a few minutes for some general reflections on this activity.</p> <ul style="list-style-type: none"> • What did you like about it? • What was challenging? • What might have you done differently from the start? • How did your first decision affect everything else?
<p>Slide: Topic Two: Managing Risks & Making Choices</p> 	  	<p>Duration for this activity: 25 minutes</p> <p>Facilitator Note: Distribute <i>Handout Five: Investigation Planning Tool</i> and <i>Handout Six: Investigation Plan Template</i></p> <p>Facilitator says:</p> <p>Using some of the risks in Handout Five: Investigation Planning Tool, can you identify some of the risks we came across in the exercise? What could we have done to mitigate them?</p>

Slide: Topic Two: Managing Risks & Making Choices – Survivor Support



Facilitator says:

What about these concepts on survivor support, and safety and security considerations?

How did these come up in the case study? What could we have done to better mitigate them? How do some of these risks play back into the Key Principles we talked about last session? Confidentiality? Independence? Professional Care and Competence?

You will see that on *Handout Six: Investigation Plan Template*, there is a place there to consider risks and actively plan to mitigate and manage them. While they are prominent at the beginning of the process, they can occur throughout the investigation process and we need to be vigilant for them.

Topic Three: Piecing Together the Steps of an SEA Investigation

Duration: 90 minutes

Learning Objectives:

- Describe the key steps in an investigation
- Identify the Manager's role in the investigation process
- Discuss strategies for handling issues for a Manager in the investigation process



Slide: Investigation Roles



Duration of this activity: 3 minutes



Facilitator says:

In this activity, we are now going to look at the entire investigation process, keeping in mind the role of the Investigation Manager in that process.

Who can recall some of the Investigation Manager's responsibilities from our opening exercise?

Allow for some responses and share the next slide.














Duration for this exercise: 2 minutes



Facilitator says:

As we enter into our next activity, let's keep these key steps in mind for the Investigation Manager's role in the process, and what were some of the challenges they faced and the decisions they made.

<p>Slide: 10 Steps in the Investigation</p>  <p>10 Steps in the Investigation</p> <ol style="list-style-type: none"> 1. Receive an allegation. 2. Assess and identify next steps. 3. Take immediate action if necessary (safe, security, well-being). 4. Create an investigation plan. 5. Gather evidence and interview witnesses. 6. Evaluate evidence and make factual findings. 7. Determine if facts constitute policy violation. 8. Decide on disciplinary sanctions. 9. Write investigation report. 10. Conclude investigation. 	<div>  <p>Facilitator Note:</p> <p>This activity requires advance preparation. <u>Before the training:</u></p> <ol style="list-style-type: none"> 1. Print out one <u>Handout Seven Case Study: Piecing Together the Investigation</u> and Cut the text of each step into strips. DO not include the numbered step and title—only the text. You should have 10 pieces of paper. 2. Print out a full copy of <u>Handout Seven Case Study: Piecing Together the Investigation</u> for each participant—including all step numbers and headings and the text. This will be used for review in the debriefing with the whole group. 3. At the beginning of the training, or during a break, post large cards or large post-its around the room with the number and title of each step in the investigation. There should be 10 steps posted around the room. </div> <div>  <p>Duration of this activity: 20 minutes</p> </div> <div>  <p>Facilitator note:</p> <p>Distribute a copy of <u>Handout Eight: Steps in an Investigation</u> for each participant.</p> </div> <div>  <p>Facilitator says:</p> <p>You will notice around the room that I have listed 10 numbered steps—the 10 steps in an Investigation. And you each have a handout that describes those 10 steps.</p> <p>Now let's divide into 5 groups. Each group will receive two pieces of paper with part of a story on it. We have taken a full case study of the entire investigation process and cut it up into sections and in random order. Each snippet of the story aligns with one of the numbered steps in the timeline of the investigation process.</p> </div> <div>  <p>Facilitator note:</p> <p>Remember to distribute one longer and one shorter text to each group.</p> <p>You will have two tasks:</p> <ol style="list-style-type: none"> 1) Assign your pieces of the story to the right step 2) Take the sticky notes on the table and mark the responsible role for this step: "Investigator" or "Investigation Manager" If they both have a role, you can put them both up. Be prepared to explain your answer. </div>
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		<p>You may use your <i>Handout Eight: Steps in an Investigation</i> for reference.</p> <p>Once your group has finished, you can move around the room to read the full case study.</p>
	<p>Note for Online Delivery: Divide the participants into five small, virtual breakout rooms. In advance, prepare a JAMBOARD. You can prepare 10 slides on the same Jamboard and each slide should be one step in the investigation process. Share the JAMBOARD link with all participants. The producer can share a screen and show participants the JAMBOARD and how it works while the facilitator presents. In advance, prepare an individual shared Google document for each small group, using one shorter text and one longer text from <i>Handout Seven Case Study: Piecing Together the Investigation</i>. You should have one Google document for each group—with each document containing snippets of the story from two steps in the investigation process. In their small groups, the group can cut the story section from their document and place it in a text box on the slide in the JAMBOARD with the right number and title. The small groups will have a separate Google document, but everyone will copy and pasting into the same JAMBOARD to create a storyboard with 10 Steps in the Investigation Process. Each group can also add a sticky note to designate the responsible role for this step: “Investigator” or “Investigation Manager” If they both have a role, you can put them both up. Ensure everyone also has a copy of <i>Handout Eight: 10 Steps in an investigation</i>, that they can also reference during the debriefing process. During the debriefing, the producer can share the screen of each slide in the JAMBOARD and review each step of the process using the case study. Be sure to also send participants the complete copy of the case study, with all the numbered steps, for their own reference.</p>	
<p>Slide: 10 Steps in the Investigation, cont.</p>  <p>NOTE: Slides include one slide for each of 10 Steps of the investigation, plus a slide for the final investigation report.</p>	  	<p>Duration of this Activity: 65 minutes</p> <p>Facilitator note:</p> <p>Distribute a complete copy of the case study for each participant from <i>Handout Seven Case Study: Piecing Together the Investigation</i>.</p> <p>Facilitator says:</p> <p>Now let's walk through the <i>Handout Eight: 10 Steps in an investigation</i> and look at each step through the experience of our case study. We'll be asking the following questions for each step:</p> <ul style="list-style-type: none"> – Who is involved in this step? Investigator? Investigation Manager? Both? How? – What were some of the challenges faced? – What are some of the risks? How were they handled? – What would you have done differently? <p>Allow room for people to ask clarifying questions, discuss the “what-if” variations and to share some of their own learnings and experiences in handling similar cases.</p>

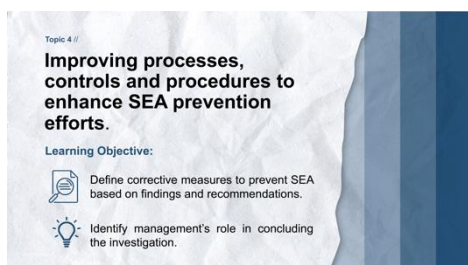
Topic Four: Improving Processes, Controls and Procedures to Enhance SEA Prevention Efforts

Duration: 45 minutes

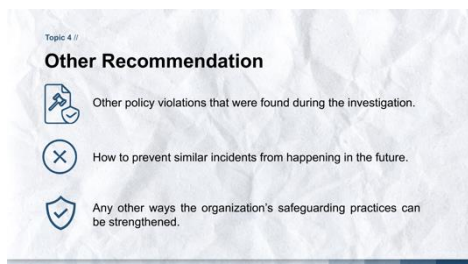
Learning Objectives:

- Define corrective measures to prevent SEA based on findings and recommendations
- Identify management's role in concluding the investigation

Slide: Learning Objectives – Topic Four



Slide: Other Recommendations



Duration of this activity: 45 minutes



Facilitator says:

We are going to pick up where we left off from the last activity and explore in more detail the "Other Recommendations" that may come out of an SEA investigation.

In concluding the investigation, the Investigation Manager needs to implement the recommendations of the Investigator that will help to prevent similar instances from happening in the future. The following are areas for consideration are:

- How can you change/modify some program practices to prevent sexual exploitation, abuse, and sexual harassment?
- What additional training might be needed?
- What policies need to be implemented or changed?
- What policies may have been breached by others that contributed to this incident?
- What other actions can be taken to raise awareness with beneficiaries and communities on their rights and responsibilities, including how to report concerns about programs or staff
- How can you strengthen internal reporting systems on staff misconduct?
- How can you recruit more female staff in the field and to positions of authority?

As Investigation Manager, you also need to ensure protection for witnesses if adverse employment actions were taken against the subject of the complaint. You also need to ensure that the survivor continues to get the support they need (that is, psycho-social support, medical, security, etc.)

Slide: World Without Poverty: Activity

Determine the corrective actions you would take to prevent similar incidents from happening in the future and strengthen the organization's policies and practices to prevent SEA.



Duration of the activity: 20 minutes

Activity: Concluding the World Without Poverty Investigation





Facilitator says:

Let's assume that the subject of the complaint in our case study was found to have more likely than not violated the SEA policy as alleged. Given this outcome, review the Handout: H.R. Information for World Without Poverty Case Study, and determine the corrective actions you would take to prevent similar incidents from happening in the future and to strengthen the organization's policies and practices to prevent SEAH.

Activity:

Break the teams up into their groups for this activity. Allow 20 minutes for group work. In the large group, ask for a volunteer from a group to share their responses. Then see if others have anything to add. The following are considerations that should be mentioned:

- The recruitment and selection process needs to be changed to allow for an open and transparent hiring process for all workers, including casual laborers.
- Proper background and reference checking should be done on all staff before being hired.
- The supervisor of the enumerators should not be the one who pays them their cash wage.
- There should be more community awareness on SEA and how to report concerns.
- There should be a review process for discontinuing contracts, even temporary ones, to ensure that staff are not being terminated for an SEA-related reason.
- The enumerator who was fired should be rehired.
- All staff should have refresher PSEAH training.
- Daily and casual laborers should also know the organization's SEAH policy.
- Policies should prohibit supervisors from having private meetings with staff in their places of residence. Work meetings should take place at designated workplace meeting spaces.
- Staff need to be reminded of their obligation to report all rumors or suspicions of SEA.

 <p>InterAction</p> <p>First Name and Last Name Title, Organization YourEmail@NGO.org InterAction.org // @InterActionorg</p> <p>THANK YOU</p>		<p>Facilitator note:</p> <p>Close this section by giving some time for participants to ask any final questions about managing an investigation.</p>
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