



Prevention of Sexual Exploitation and Abuse (PSEA)

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

Session Expectations

Consider the following themes for generating session expectations.



Active Listening



Respect



Integrity



Privacy



Caring

Module Overview

Topic 1: The Investigation Manager's Role and Key Investigation Principles.

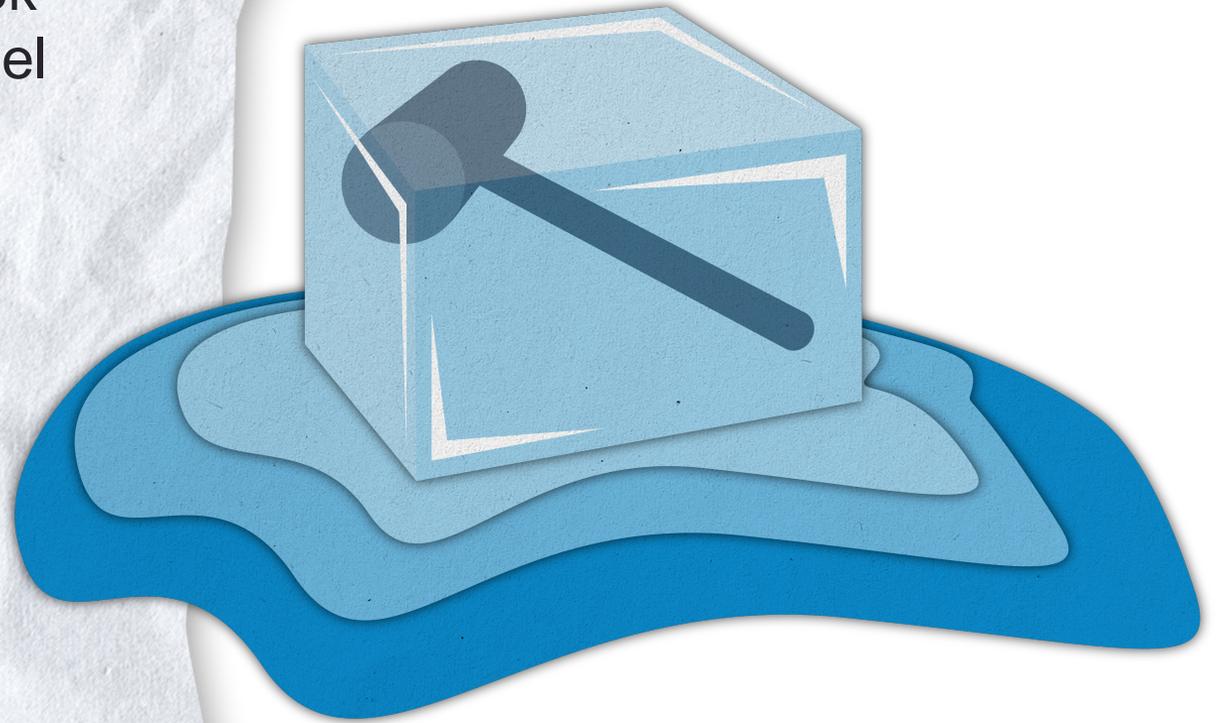
Topic 2: Managing Risks in Handling an SEA Allegation.

Topic 3: Piecing Together the Steps of an SEA Investigation.

Topic 4: Improving Processes, Controls and Procedures to Enhance SEA Prevention Efforts.

Ice Breaker

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.



Self-care Advisory Message

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.



Respecting Privacy and Acknowledging Reporting Obligations



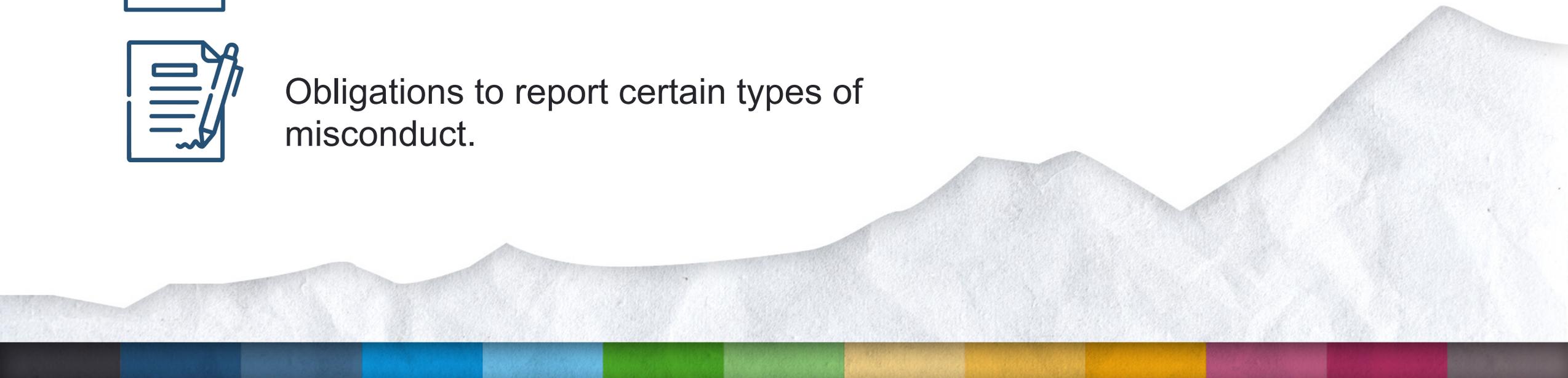
Don't share details of specific cases that could identify people involved.



Keeping confidentiality of what we discuss in this room.



Obligations to report certain types of misconduct.



Topic 1

Topic 1 //

The Investigation Manager's Role and the Key Investigation Principles

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.

Investigation Roles

The Investigation Manager/Team:

- Oversight and management of investigation.
- Supports the Investigator in all aspects of the investigation.
- Manages communication.
- Follows up on findings/recommendations.
- Handles disciplinary matters.

The Investigator:

- Develops a plan of the investigation.
- Conducts the investigation, including gathering evidence.
- Assesses and advises on the needs of the survivor and other witnesses.
- Interviews witnesses.
- Produces findings and recommendations.

Key Investigation Principles – Case study

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

Key Investigation Principles

- Survivor-centered.
- Confidentiality.
- Safety and security.
- Health and well-being.
- Transparency.
- Impartiality.
- Professional Care and competence.
- Planning.
- Timeframes.
- Working in partnership with other interested parties.
- Accountability.

Topic 2

Topic 2 //

Managing Risks & Making Choices

Risks to the investigation:

- Destruction of documents or altering evidence.
- Delays that impact collection of evidence or ability to finalize process in timely manner.
- Lack of cooperation.
- Fear of retaliation at work or out in the community.
- Collusion between witnesses.
- Intimidating witnesses.
- Media concerns.
- Not following local labor laws.
- Other risks.

Managing Risks & Making Choices

Survivor support

- Health.
- Psychosocial.
- Legal.

Safety and security considerations

- For survivor or reporter.
- Witnesses.
- Staff suspected of wrongdoing.
- For other staff.

Topic 3

Topic 3 //

Piecing together the Investigation

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.

Investigation Roles

The Investigation Manager/Team:

- Oversight and management of investigation.
- Supports the Investigator in all aspects of the investigation.
- Manages communication.
- Follows up on findings/recommendations.
- Handles disciplinary matters.

The Investigator:

- Develops a plan of the investigation.
- Conducts the investigation, including gathering evidence.
- Assesses and advises on the needs of the survivor and other witnesses.
- Interviews witnesses.
- Produces findings and recommendations.

10 Steps in the Investigation

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.

Topic 3 //

10 Steps in the Investigation

1

Receive an allegation.



Topic 3 //

10 Steps in the Investigation

2

Assess and identify next steps.



Topic 3 //

10 Steps in the Investigation

3

Take immediate action if necessary (safety, security, well-being).



Topic 3 //

10 Steps in the Investigation

4

Create an Investigation Plan.



Topic 3 //

10 Steps in the Investigation

5

Gather evidence: review documents and interview witnesses.

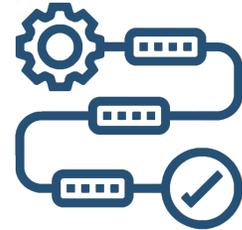


Topic 3 //

10 Steps in the Investigation

6

Evaluate evidence, analyze, and determine factual findings.



Topic 3 //

10 Steps in the Investigation

7

Determine whether established facts constitute a policy violation.



Topic 3 //

10 Steps in the Investigation

8

Determine appropriate disciplinary sanctions (if any).



Topic 3 //

10 Steps in the Investigation

9

Prepare investigation report with findings, conclusions, and recommendations.



Topic 3 //

10 Steps in the Investigation

10

Conclude investigation and implement corrective actions.



Topic 3 //

The Final Investigation Report

1. Title Page.
2. Executive Summary.
3. Introduction.
4. Methodology.
5. Investigative Findings.
6. Conclusions and Recommendations.
7. Annexes.

Topic 4

Topic 4 //

Improving processes, controls and procedures to enhance SEA prevention efforts.

Learning Objective:



Define corrective measures to prevent SEA based on findings and recommendations.



Identify management's role in concluding the investigation.

Other Recommendation



Other policy violations that were found during the investigation.



How to prevent similar incidents from happening in the future.



Any other ways the organization's safeguarding practices can be strengthened.

Topic 4 //

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.



First Name and Last Name

Title, Organization

YourEmail@NGO.org

InterAction.org // @InterActionorg

Icon credits: Freepik, Good Ware, Nhor Phai and Kiranshastry

THANK YOU