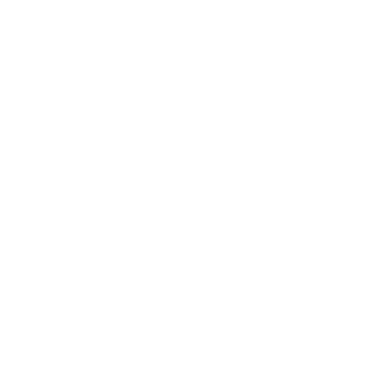
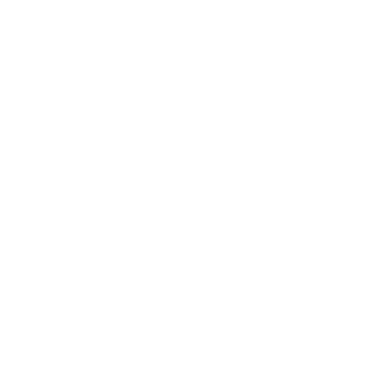
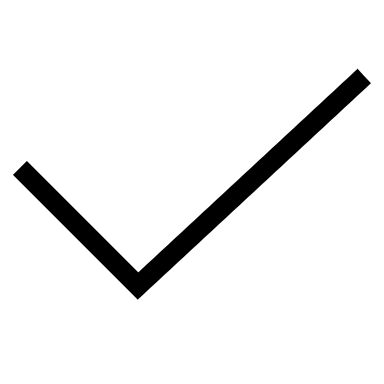
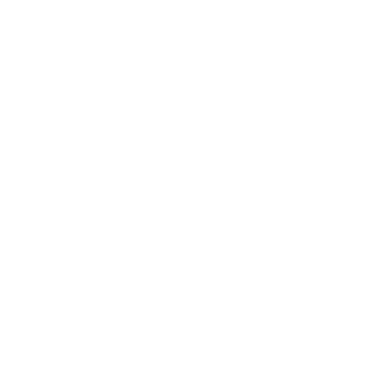
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**Self-Assessment**

SEAH Reporting Mechanisms

Designing reporting mechanisms to receive allegations of misconduct, including sexual exploitation, abuse, and harassment (SEAH), requires careful consideration, planning and resource allocation.

This self-assessment[[1]](#footnote-1) is designed to support organizations in considering the various focus areas that contribute to an effective, fit for purpose reporting mechanism. By completing the self-assessment, organizations can identify gaps in their reporting systems, as well as additional elements to strengthen them.

Although many of the focus areas highlighted below are useful to consider when planning, designing, implementing and monitoring effective feedback and complaints mechanisms (e.g., to obtain feedback on the quality or relevance of services), the primary function of this tool is to support the creation of mechanisms for safe and effective reporting of misconduct.

**This document is not used as part of Global Fund audits or required for submission. It is intended for use by Global Fund Grant Recipients for self-assessment and learning purposes.**

|  |  |  |  |
| --- | --- | --- | --- |
| **Focus Area** | **Yes** | **Partially** | **No** |
| 1. **Community engagement** | | | |
| 1. Was the design of the reporting mechanism shaped through community consultation (such as by conducting needs assessments) to understand community preferences, concerns, and existing communication channels? | 10 points | 5 points | 0 points |
| 1. Does the reporting mechanism engage the support of community leaders, influencers, or trusted individuals who can facilitate information dissemination and reporting into their communities? | 10 points | 5 points | 0 points |
| 1. Was the reporting mechanism designed by factoring in sociocultural norms and practices, including those of Key Populations (such as MSM, FSW, PWID/PWUD etc.), to ensure that the chosen channels are culturally appropriate and respectful? | 10 points | 5 points | 0 points |
| 1. **Accessibility** | | | |
| * 1. Are the channels used in the reporting mechanism (such as email, phone hotlines, locked drop-box, helpdesk, mobile application or web-based platform) available in local languages? | 10 points | 5 points | 0 points |
| * 1. Are the channels used in the reporting mechanism inclusive, accessible, and user-friendly, and do they take into account factors such as literacy levels, digital literacy, economic access and disabilities? | 10 points | 5 points | 0 points |
| * 1. Are users able to report discreetly through the mechanism, and can they do so without paying for a phone call or covering any other charges (transport costs, phone data, etc.)? | 10 points | 5 points | 0 points |
| * 1. Are channels available to facilitate reporting in the context of remote communities, such as SMS-based reporting, community radio for outreach and awareness raising, suggestion boxes and helpdesks where community members can report their concerns to a trusted person? | 10 points | 5 points | 0 points |
| * 1. Does the reporting mechanism offer more than one reporting channel to cater to the diverse preferences and needs of community members? (Channels may include a mix of a phone hotline, email, locked drop-box, mobile application, web-based platform or others.) | 10 points | 5 points | 0 points |
| 1. **Confidentiality and security** | | | |
| * 1. Are individuals able to report misconduct anonymously and protect their identity if they choose? | 10 points | 5 points | 0 points |
| * 1. Are security measures in place to protect the confidentiality of those making reports, and to prevent unauthorized access to reported data? | 10 points | 5 points | 0 points |
| * 1. Does the reporting mechanism align with all relevant laws and regulations, including any data protection laws that may be applicable? | 10 points | 5 points | 0 points |
| * 1. Are sensitive reports, such as SEAH, redirected appropriately and confidentially, so they can be managed differently from other types of feedback (such as feedback on program design, quality concerns, etc.)? | 10 points | 5 points | 0 points |
| 1. **Activating a reporting mechanism** | | | |
| * 1. Have awareness campaigns been conducted to educate community members about the standards of conduct they can expect from staff and volunteers, their rights (including confidentiality and whistleblower protection) and the available reporting mechanisms? | 10 points | 5 points | 0 points |
| * 1. Have staff and volunteers in your organization been trained to handle reports sensitively and effectively, and in a way that prioritizes the needs and well-being of victims/survivors and considers the impact of trauma? | 10 points | 5 points | 0 points |
| * 1. Do staff and volunteers receive induction and periodic refresher training on the Code of Conduct, including discussion of the possible sanctions for misconduct? | 10 points | 5 points | 0 points |
| * 1. Have clear investigation and incident management protocols been established for responding to reports, and are transparency and accountability prioritized throughout the response process? | 10 points | 5 points | 0 points |
| 1. **Monitoring and improvement** | | | |
| * 1. Is feedback sought quarterly from communities regarding the trustworthiness, accessibility and relevance of the reporting mechanism? | 10 points | 5 points | 0 points |
| * 1. Are improvements made to the reporting mechanism based on input from communities and staff (especially community-based workers)? | 10 points | 5 points | 0 points |
| * 1. Are community representatives involved in the oversight and management of the reporting mechanism, and are initiatives to enhance trust and ownership adopted where possible? | 10 points | 5 points | 0 points |
| * 1. Are regular check-ins with communities established to gauge their satisfaction with the reporting mechanisms, address their concerns and examine any changing needs and contexts? | 10 points | 5 points | 0 points |
| * 1. Are there mechanisms in place to monitor the number of reports, response times and outcomes, to help identify any patterns and trends? | 10 points | 5 points | 0 points |
| * 1. Are comprehensive records kept for all reported incidents, investigations and responses, to facilitate learning and accountability? | 10 points | 5 points | 0 points |
| 1. **Inter-agency collaboration** | | | |
| * 1. Is there an inter-agency protocol in place to enable organizations to safely and confidentially share reports of misconduct received about other organizations? | 10 points | 5 points | 0 points |
| * 1. Does your organization collaborate with other local entities, such as NGOs and government authorities, to strengthen existing reporting mechanisms and ensure coordinated and consistent accountability for misconduct? | 10 points | 5 points | 0 points |

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| --- | --- |
| **Scoring Matrix** | |
| **200 to 240 points** | **Fit for purpose**. Review periodically. |
| **110 to 195 points** | **Partially fit for purpose**. Action required to address remaining gaps. |
| **105 points or less** | **Not fit for purpose**. Immediate action is needed to address gaps. |

1. All PSEAH guidance should be read and understood as complementing the binding PSEAH safeguarding and response requirements / expectations, as set out in Grant Agreements and/or any other applicable binding legal agreement terms, including codes of conduct and policies incorporated by reference. In the event of any inconsistency, the Global Fund Grant Agreement solely controls with respect all relevant and legally binding terms or obligations, and the Global Fund reserves the right, in its sole discretion, to allow due consideration of any relevant terms in legal agreements or governing laws. [↑](#footnote-ref-1)