



Baseline Assessment of UNICEF Human Resources Safeguarding Practices

Annexes

Baseline Assessment of UNICEF Human Resources Safeguarding Practices – Annexes

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Acronyms and Abbreviations

DAPM	Division of Data, Analytics, Planning and Monitoring	PSEA	Protection from Sexual Exploitation and Abuse
DHR	Division of Human Resources	RG	Reference Group
EMOPS	Office of Emergency Programmes	SDDirect	Social Development Direct
FGDs	Focus Group Discussions	SOC	Subject of Complaint
GS	General Services	ToR	Terms of Reference
GSSC	Global Shared Services Centre	UN	United Nations
HQ	Headquarters	UNDP	United Nations Development Programme
HR	Human Resources	UNFPA	United Nations Population Fund
IP	International Professional	UNHCR	United Nations High Commissioner for Refugees
KIIs	Key Informant Interviews	UNOPS	United Nations Office for Project Services
LTA	Long-Term Agreement	UN Women	United Nations Entity for Gender Equality and the Empowerment of Women
MDS	Misconduct Disclosure Scheme	UNEG	United Nations Evaluation Group
NO	National Officer	UNICEF	United Nations Children's Fund
OED	Office of the Executive Director		
OIAI	Office of Internal Audit and Investigation		
PERCS	Policy, Employee Relations and Compensation Section		



برعاية ادارة الطب العلاجي في وزارة الصحة
وي بدعم من منظمة الامومة والطفولة
ينظم مكتب الصحة العامة

البرنامج التدريبي لادارة حالات الكوليرا
تتخلص من النفاث



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Terms of Reference

Summary

UNICEF has a long-standing commitment to promote the protection and “safeguarding”¹ of all children, and to promote the universal understanding that the best interests of the child must be a paramount consideration in all actions affecting children. UNICEF’s Policy on Safeguarding sets out UNICEF’s safeguarding principles and standards, prohibited actions and expected practices. It aims to ensure a safeguarding culture and a proactive approach towards preventing and mitigating harm, early intervention and responding to safeguarding risks.

This assessment aims to provide a baseline, measured through independent and impartial analysis, upon which future evaluative exercises can make more robust assessments of progress. It seeks to support the rollout of the UNICEF Policy on Safeguarding, understand the degree of safeguarding implementation in UNICEF human resource processes and procedures and provide organizational learning on the current status of safeguarding practices in HR and its contributions to UNICEF as a safe organization for all individuals who come in contact with the organization’s work.

These Terms of Reference (ToR) present the background to the baseline assessment, its purpose and objectives, the proposed questions and methodology, management and governance arrangements, and the required qualifications and experience of the evaluation team. The assessment is expected to be carried out between June and December 2024. A summary of the assessment findings, conclusions and recommendations will need to be prepared by the end of November.

Background and Rationale

UNICEF is committed to safeguarding. It uses the term safeguarding to refer to proactive measures taken to prevent and respond to harm caused to any individual due to their contact with UNICEF or the organization’s work and UNICEF staff or complementary personnel. Ensuring a safeguarding culture and enabling safeguarding means adopting a proactive approach to preventing and mitigating harm, early intervention, and responding to safeguarding risks.

The new UNICEF Policy on Safeguarding, effective 4 March 2024, sets out a list of prohibited behaviours² that should be immediately reported and expected safeguarding practices³, such as identifying and managing conduct that does not amount to prohibited actions but fails to meet the anticipated safeguarding practices.

Early intervention and response to safeguarding concerns should be embedded in processes, plans, and actions, including the organisation’s programmatic, operational, and administrative work, to ensure a proactive approach towards prevention and risk mitigation. As such, the HR cycle, including recruitment, selection, vetting through reference/background checks, safeguarding roles and responsibilities into Terms of Reference / personal workplans, and onboarding and performance management processes, are essential to safeguarding for UNICEF. This means that UNICEF is committed to incorporating safeguarding in the way UNICEF does business and considers safeguarding arrangements at every step of the process.

Over several years, UNICEF has advanced safeguarding in its recruitment, onboarding and performance management systems and processes. For example, concerning the recruitment processes, there are several methods of screening personnel, as follows:

- ▶ **Application:** There are self-disclosure questions for applicants when completing a job application (via jobs.unicef.org);
- ▶ **Assessment/Interview:** Per UNICEF Guidance on Assessing Child Safeguarding Risks with Roles, UNICEF determines which roles require additional probing at the assessment and interview stage;
- ▶ **Vacancy Announcement:** UNICEF includes a general statement of safeguarding in vacancy announcements; and
- ▶ **Reference and Background Checks:** UNICEF is part of Clear Check, the United Nations' efforts to combat Sexual Exploitation, Abuse, and Sexual Harassment, as it records misconduct cases of former staff members and is used to verify an explicit check for any future employers.⁴

UNICEF is applying a phased approach to implementing background verification through a third-party service provider (OneHR Bonn). The following background information is being verified:

- ▶ Academic record verification for National and International Professional staff members for all relevant higher education degrees;
- ▶ Employment verification for all staff for the last ten years; and
- ▶ The United Nations Security Council Sanctions List, INTERPOL Wanted Persons Checks, and Clear Check for Sexual Exploitation, Abuse and Harassment for staff joining from other United Nations (UN) agencies.

In the future, safeguarding considerations are likely to be incorporated into recruitment steps to better identify and assess individuals with the skills, abilities, values, and willingness to incorporate safeguarding into every aspect of the work.

Regarding onboarding, once UNICEF has hired an individual, there are different initiatives, including training and briefings about ethical awareness, which sometimes relate to safeguarding. Practices of briefing new staff and complementary personnel on safeguarding when joining an office are inconsistent. There is an online Agora training course on child safeguarding. However, this training is optional for staff or consultants, although as part of onboarding,

it is said that the course should be completed within six months of commencing work with UNICEF. The training also requires updates as per the new Policy on Safeguarding 2024. An attentive review of the completion rate and profile of those who have completed it will be critical, as part of this assessment.

Regarding performance management, all managers are required to be assessed on the following action in their annual performance report: "Cultivate an environment of openness, transparency and accountability, where safeguarding i.e., Protection from Sexual Exploitation and Abuse (PSEA), child safeguarding and privacy) concerns are recognised, confidently raised, and proactively and safely addressed, by me and my team." Per the new Policy on Safeguarding, the current performance evaluation report process and recruitment practices do not yet capture the additional safeguarding procedures and skills required by managers, supervisors, and staff in emergencies.

In addition to the practices detailed above, individuals with managerial or supervisory roles are required to:

- ▶ Be role models for adhering to safeguarding commitments by consistently applying safeguarding practices in the work of their teams;
- ▶ Foster a safe culture where staff and complementary personnel feel comfortable openly and regularly discussing safeguarding risks and concerns while maintaining appropriate confidentiality;
- ▶ Build capacity by supporting staff, complementary personnel, implementing partners, vendors and National Committees (as relevant) to attend safeguarding training sessions;
- ▶ Monitor safeguarding behaviour and compliance with safeguarding expected practices in areas under the manager's supervision;
- ▶ Consider safeguarding in performance planning by ensuring performance appraisals include safeguarding considerations and responsibilities as appropriate to the role; and
- ▶ Seek any advice or support needed to address safeguarding issues and escalate concerns as required.

In emergency contexts, safeguarding risks are heightened, and UNICEF needs to consider these additional risks, including those that have been identified as sexual exploitation and abuse as prescribed in the UNICEF emergency procedure documentation in line with the Core Commitments for Children in humanitarian action.⁵

While guidance has been rolled out in the field through webinars and instructions, the uptake and practical application in different country contexts and the value added to some of the processes are yet to be assessed. The rollout of the new UNICEF Policy on Safeguarding will also provide the opportunity for additional informative sessions, webinars, etc. Also, assessing the practices and exploring ways to strengthen the system is prompted by recent misconduct cases and audit recommendations of the Office of Internal Audit and Investigation (OIAI), as well as the June 2023 UNICEF Executive Board decision that reads as follows:



“Welcomes the continued use of Clear Check and invites UNICEF to examine how Clear Check and the Misconduct Disclosure Scheme (MDS) can be used to complement each other to improve vetting further and to provide an update to the Executive Board;

Encourages UNICEF to consider piloting the Scheme and to report any results within existing reporting.”⁶

It is noted that other United Nations (UN) Agencies (i.e., United Nations Population Fund (UNFPA), United Nations Development Programme (UNDP), United Nations Office for Project Services (UNOPS) and United Nations Entity for Gender Equality and the Empowerment of Women (UN Women)) have the same recommendation included in their Executive Board decisions. These UN Agencies are currently reviewing the legal and operational implications of these Board recommendations, and it will be essential to hold consultations and discussions with concerned stakeholders to foster mutual learning and reflection.

While this baseline assessment is being commissioned, UNICEF is also undertaking a broader evaluation of Human Resources (HR) management, which will explore HR policies, procedures, and processes. For the purpose of this assignment, the Evaluation Office is seeking the services of an Long term agreement (LTA) holder organization with an arrangement to generate evidence in the context of Gender-Based Violence.

Purpose, Objectives, Use and Scope

The purpose of this assignment is, first and foremost, to set a baseline against which future evaluative exercises will gauge progress or lack thereof (i.e., both an accountability- and a learning-focused purpose). The second is to help identify what progress we have or

have not made since UNICEF has been implementing safeguarding (i.e., accountability-focused purpose). The third is to identify specific gaps (blind spots) for management to be aware of to ensure that these are filled moving forward (i.e., learning-focused purpose). The fourth is to identify the enabling and disabling factors (facilitators and barriers) to progress so that management knows what its strengths and weaknesses have been to date and what it needs to address better moving forward (learning-focused purpose). The fifth is to assess organizational readiness for the new Policy on Safeguarding (i.e., learning-focused purpose). As part of the exercise, it would be interesting to understand what is usually safeguarded in other UN agencies and international organizations, including looking at best practices in comparable organizations.

Towards the abovementioned end purposes, the baseline assessment has the following specific objectives:

1. To assess and report on the current status of UNICEF implementation of safeguarding in HR, including:
 - ▶ Staff and manager’s awareness, attitudes, and motivations;
 - ▶ Staff and managers’ skills and experience;
 - ▶ The degree of practice/implementation;
 - ▶ The range of tools used; and
 - ▶ Engagement of partners.
2. To identify bottlenecks and facilitators for safeguarding in HR implementation.
3. To assess readiness and preparedness for implementing the new Safeguarding Policy, including extracting lessons learned and positive examples of where the safeguarding implementation has reduced UNICEF’s operational and reputational risks.

The baseline will identify needs and gaps in safeguarding in HR practices and propose additional tools and support required.

The primary intended audiences for this assessment are:

1. UNICEF Safeguarding team, in Data, Analytics, Monitoring and Planning (DAPM) and the Division of Human Resources (DHR);
2. UNICEF senior management, including but not limited to DHR, Ethics Office, and Office of the Ombudsman; and

3. UNICEF staff and partners engaged in HR safeguarding implementation across all programming.

Secondary audiences include:

1. All UNICEF personnel; and
2. The UNICEF Executive Board.

As indicated in Table 1, the assessment is global in scope and covers all UNICEF offices at headquarters

(HQ), regional and country levels. The temporal scope covers 2022 to mid-2024. The consultant is expected to map, assess and analyse how safeguarding has been included in various HR practices, from the recruitment, vetting, onboarding, and performance management stages. The scope of this assessment is HR-related aspects of safeguarding and not safeguarding in general.

Table 1. Assessment Scope

Variable	In-scope
Timeframe	2022 to mid-2024
Levels	Headquarters (HQ), Regional Offices (RO) and Country Offices (CO)
Organizational unit(s)	All HQ units (Safeguarding Unit in Data Analytics, Monitoring and Planning (DAPM) and Division of Human Resources as primary clients), seven ROs and all COs
Geographic	Global
Programme context	Both development and humanitarian settings, with consideration of humanitarian-development nexus

Source: UNICEF Evaluation Office

As noted above, the assessment intends to present a baseline of HR safeguarding implementation, not to provide a fully-fledged evaluation. The United Nations Evaluation Group (UNEG) norms and standards will be applied to adopt a high level of rigour and independence in conducting the assessment while fulfilling its primary learning and utilisation focus. While the assessment will provide an aerial viewpoint at how meaningfully the organization has embodied the spirit of safeguarding, it will be appropriately documented for future replication, as it is intended as a baseline against which future implementation status will be measured. The assessment will also respect the UNEG guidance on the integration of human rights and gender equality and the UNICEF guidance on the integration of gender equality in evaluation.⁷

Evaluation Questions

The HR safeguarding baseline assessment intends to answer the following key questions. Indicative indicators and sub-questions are noted where relevant.

Current status of UNICEF implementation of safeguarding in HR: To what extent have safeguarding in HR measures been implemented? How meaningfully have these been implemented, and to what effect?

Sub-questions:

- To what extent has the current design, as explained in the guidance of the 'elevated risk role', enabled UNICEF to ensure gatekeeping from a safeguarding perspective, i.e., to what extent has the system ensured UNICEF gets the 'right' people on board? To what extent has the guidance been understood and practised, and has it added value to the process from the perspective of Country Offices (CO)/ Field Offices?

- ▶ To what extent have the role, hierarchical level, and level of interaction/access to beneficiaries and vulnerable communities been considered throughout HR safeguarding practices?
- ▶ To what extent have recruitment processes been carried out with safeguarding in mind? For example, to what extent has protection been included in interviews or other assessment processes? If not applied, what have been the reasons for this, and what could be the alternatives?
- ▶ What have been the current practices related to Clear Checks? How has the process been conducted? By whom? Who has been checked? What have been the returns on the investments? (I.e., to what extent have the actual 'hits' been effective in re-directing ongoing recruitment?) What could be the options for a more effective, less manual and more automated vetting process? By whom and how could this process be done more effectively?
- ▶ Given legal, practical, staffing, and financial limitations, what else could be done to strengthen/broaden background/vetting processes, including using the Misconduct Disclosure Scheme? What and how could the process be outsourced (through OneHR in Bonn) or other efficiencies be brought about?
- ▶ To what extent has safeguarding been part of performance reviews, and how could safeguarding be better incorporated into performance review processes to assess staff alignment, abilities and capacities? To what extent has managers' performance review been related to safeguarding action considering the review from the supervisees / full office (360° review)?
- ▶ To what extent have managers felt sufficiently supported by UNICEF to assess safeguarding risks during performance appraisals and address concerns?
- ▶ To what extent have there been specific circumstances that present heightened safeguarding risks during recruiting internal or external candidates (emergencies, fast track, abolition of posts and creation of positions due to Country Programme Document and Country Programme management Plan processes, etc.)?
- ▶ To what extent has safeguarding been part of onboarding briefings/induction and performance management conversations/evaluations, and to what extent has the position level, role, and level of interaction/access to beneficiaries or vulnerable communities been considered? What could be done to streamline this and to make protecting part of onboarding and performance management? Also, what training exists that could reinforce safeguarding obligations and principles?
- ▶ To what extent have safeguarding roles and responsibilities integrated into personal ToRs and workplans, especially for UNICEF colleagues designated as office focal points and tasked with advancing safeguarding, including PSEA?
- ▶ What have been UNICEF's current policies on administrative and disciplinary measures towards complaints and personnel involved (participating or bystander) in a substantiated safeguarding/PSEA allegation (or an allegation that could not be confirmed due to lack of witness/evidence)? What processes and practices have been mainly related to providing benefits/retirement packages to confirmed perpetrators? To what extent could UNICEF's policies/processes be improved to ensure confirmed perpetrators are dismissed without benefits?

Bottlenecks and facilitators for safeguarding in HR implementation: What have been the key constraints and facilitators of HR safeguarding implementation?

Sub-questions:

- ▶ What is the level of awareness of HR safeguarding among UNICEF staff and management?
- ▶ What are managerial and staff attitudes towards HR safeguarding?
- ▶ What level of trust in managerial importance is given to safeguarding?
- ▶ What factors have facilitated HR safeguarding implementation? What good practices exist that could be replicated?
- ▶ What have been some constraints to HR safeguarding implementation, and what have the critical gaps been?

Readiness and preparedness for implementing the new 2024 Policy on Safeguarding: To what extent is UNICEF prepared to implement the new Policy on Safeguarding? What lessons could be learned for reducing operational and reputational risks?

Sub-questions:

- ▶ What lessons could be learned from cases where HR safeguarding was implemented, and what are examples of how it has reduced risk?
- ▶ What organizational needs and additional support would be required to strengthen HR safeguarding through the launch of the new Policy on Safeguarding across UNICEF?
- ▶ What lessons could be learned from implementing other organizational requirements, such as the PSEA?

When answering the above questions, the following indicators should be considered for data collection and analysis:

- ▶ Number of countries and offices implementing safeguarding in HR.
- ▶ The driving factors/actors for implementation (e.g., UNICEF office, donors, others).
- ▶ HR safeguarding implementation numbers and percentages by:
 - ▶ Sector;
 - ▶ Region;
 - ▶ Operating context (e.g., emergency, development, nexus);
 - ▶ Type of HR safeguarding practices (i.e., recruitment, onboarding, personnel workplan/ ToRs, performance management) and degree/stage of implementation; and
 - ▶ Persons responsible for implementation (e.g., UNICEF staff, individual consultants, volunteers, institutional contract, partners, contractors).

Approach and Methodology

The assessment will employ mixed methods in a phased approach. The following methodology is recommended.

- ▶ **Desk review and rapid evidence review:** The document review will allow for an initial implementation mapping by country, region, sector and context.
- ▶ **Key informant interviews (KIIs) and focus group discussions (FGDs):** Interviews with a select number of UNICEF internal critical informants at the HQ, regional and country levels to provide context and background on facilitating and hindering factors, as well as selected critical informants from other UN agencies.
- ▶ **Benchmarking:** Other UN agencies will be studied and assessed for comparison purposes and to identify good practices and lessons in implementing HR safeguarding measures.
- ▶ **Country-level survey:** An online survey for HR focal points in all UNICEF offices to assess UNICEF's positioning, approach, technical capacity, partnerships and resources to implement HR safeguarding.
- ▶ **Readiness assessment framework:** To assess how UNICEF has dealt with human resource safeguard issues, it will be helpful to consider how to define a fully functioning safeguards system. Once the elements of such an ideal-typical system are clear, it is possible to examine to what extent UNICEF has had these elements in place. The model will be used as the assessment framework, which assists in structuring assessment criteria and critical questions.

This baseline assessment is expected to be implemented in two phases: the inception phase and the implementation phase. The inception phase will focus on scoping. It will include a systematic desk review and preliminary KIIs with some key stakeholders. An inception note will explain how to process the baseline assessment of HR safeguarding, outlining essential methods and approaches. The implementation phase will move to data collection, analysis of data, and generation of findings and recommendations.

Principles

The assessment team will be expected to follow UNICEF Procedure for Ethical Standards in Research, Evaluation, Data Collection and Analysis, UNEG Ethical Guidelines for Evaluation, UNEG Code of Conduct, as well as with UNEG Guidance on Integrating Human Rights and Gender Equality in Evaluation.⁸ The assessment team will need to be familiar with these and is expected to observe them throughout the evaluation process. The process will include the following mechanisms:

- ▶ Respecting gender and human rights principles throughout the assessment process, including the protection of confidentiality, the protection of rights, the protection, dignity and welfare of people, and ensuring informed consent.
- ▶ Data validation will take place at all levels with participants' consent.
- ▶ Maximizing the degree of participation of stakeholders in the assessment itself wherever feasible and a commitment to using participatory approaches in conducting the case studies.
- ▶ Ensuring proper data disaggregation by gender, disability, equity, and human rights-relevant factors.
- ▶ Ensuring that evaluation products use gender-sensitive, disability-inclusive, and human-rights language.
- ▶ Ensuring privacy protocols and compliance with all legal data management rules and considerations.
- ▶ Practising the 'do no harm' principle during the exercise.

The assessment team will have access to critical internal data and perspectives. These must be held with the utmost confidentiality. Likewise, the willingness of internal and external stakeholders to speak to these issues critically will depend on the provision of absolute confidentiality. The selected applicant must sign the non-disclosure agreement, abide by UNICEF's security protocols, and ensure that sensitive data is protected. The Evaluation Office will provide quality assurance on all assessment tools and documents based on [UNEG](#) and [UNICEF](#) norms, standards, procedures and instruments.

Management and Governance Arrangements

The UNICEF Evaluation Office commissions the assessment. An Evaluation Specialist in the Evaluation Office will manage the exercise to ensure independence, impartiality, and credibility under the overall oversight of the Senior Evaluation Specialist for Institutional Effectiveness. The evaluation manager will supervise the work of an external assessment team that will conduct the baseline.

Independence rests with the Evaluation Office, which hires an external team to bring additional expertise and capacity to support it in this role. Accordingly, the external evaluation team must respond adequately to any concerns, and the manager retains the prerogative to amend deliverables to achieve an acceptable quality level.⁹

The role of the Evaluation Specialist is:

- ▶ Safeguard the independence of the exercise and ensure quality;
- ▶ Manage all contractual aspects and approve all payments based on the completion of the work and UNICEF's satisfaction with its quality;
- ▶ Facilitate access to data as well as communications and meetings between the consultant and UNICEF stakeholders;
- ▶ Provide technical support to the consultant, provide inputs, and make final decisions regarding the scope, design, methodology, and content of the assessment;
- ▶ Provide a first quality review of all assessment tools and deliverables presented by the consultant; one to two rounds of comments are to be expected from the evaluation manager depending on the quality of the first draft; and
- ▶ Produce the final version before copy-editing and layout and co-lead the authorship of the final deliverables if necessary.

The Assessment will be supported by **Focal Points** in DHR and Safeguarding Unit within DAPM, who will be closely engaged during the process. The focal points will provide access to information and key informants and support the coordination of the data collection. At the same time, the final approving authority on the evaluation report will be with the Evaluation Manager and Director of the Evaluation Office, per the UNICEF Evaluation Policy.

An assessment team will conduct the assessment and be responsible for the following:

- ▶ Lead the assessment process, including work planning;
- ▶ Manage the process and outputs promptly as specified in the ToR;
- ▶ Collect and analyse reports and information as specified in the ToR and communicate with the Evaluation Office at regular intervals;
- ▶ Produce draft assessment per the ToR, review the draft based on the Evaluation Office and the reference group inputs, and coordinate drafting inputs from others. The assessment team will lead the authorship of the report and work closely with the evaluation manager responsible for reviewing and finalising the evaluation report for publication;
- ▶ Finalize assessment report to the standards specified in the ToR;
- ▶ Ensure the comprehensiveness and quality of all data collected and analysed and deliverables before submission to the Evaluation Office by reviewing and harmonising their format and content. A detailed comment matrix will accompany all versions of the key deliverables, describing whether and how earlier comments received have been incorporated and when they have not been fully included, providing an appropriate justification; and
- ▶ Coordinate with the Evaluation Office to participate in, design, and facilitate the interim and final workshops.

An assessment reference group (RG) will comprise key internal stakeholders involved in HR safeguarding implementation, with representatives from the HQ, regional, and country levels and selected external experts as needed. The RG's role is to provide validation, review, and input for critical deliverables and participate in the interim and final workshops. Reference group members will also coordinate the provision of required documents and facilitate interviews with staff within their entities.

The role of the RG includes the following:

- ▶ Offer views and insights on issues under discussion at key stages of the assessment, especially in the inception phase where the methods, design, and data to be sought are to be determined;
- ▶ Review key deliverables produced in the course of the assessment and provide feedback;

- ▶ Participate in meetings for presentation, validation and discussion of findings and recommendations.

Assessment Schedule and Deliverables

The expected deliverables from this exercise will be:

1. A draft inception note, in powerpoint, containing the detailed approach, final questions, and draft data collection tools, as well as a detailed work plan (maximum 25,000 words, without annexes);
2. A final inception note;
3. A set of tools for data collection to be used in future HR safeguarding assessments;
4. A draft assessment report with jointly developed recommendations (maximum 50,000 words, without annexes). The final report should follow the UNICEF formatting and guidelines;
5. A final assessment report and a stand-alone assessment brief (maximum 1,500 words); and
6. A 10-slide PowerPoint presentation containing the essential findings, conclusions and recommendations.

All reports will be in Microsoft Office Word or PowerPoint. The evaluation team will submit no PDF or hard copy. Using reader-friendly techniques such as tables, graphs, photos, videos embedded in presentations and reports, and other visualisation methods is encouraged. All data collected, documentation gathered, images/videos taken, and analyses produced for the evaluation will be available to UNICEF in the appropriate format. Graphs and maps must be in editable format for layout purposes. Annexes are required for the data collection tools, for all secondary information not directly related to the assessment findings, and for any extended technical documentation intended for a specific audience. PowerPoint presentations must include notes below each slide to make them easy to understand for people who could not attend the meeting.

All documentation must be in professional-level standard English and comply with the UNICEF Style Book and UNICEF Brand Toolkit. All key deliverables (including draft versions submitted to UNICEF) must be language-edited by a native speaker and a good writer. They will be available on the UNICEF website and widely disseminated to all target audiences.

The final assessment report will be copy-edited by a professional service provider contracted by the Evaluation Office.

The final assessment report will be circulated to all participating UNICEF offices and posted on the UNEG and UNICEF websites, which are accessible to the external public. Summary materials will be distributed via HR and evaluation¹⁰ networks. The Evaluation Office is primarily responsible for dissemination.

With its utilisation focus, the exercise is intended to provide a baseline against which future implementation of safeguarding in HR initiatives will be planned, designed, and measured. It may also provide a basis for setting future targets. The Safeguarding team will develop a schedule for future assessments, and the current assessment will create a suite of data collection tools to be adapted and replicated.

The exercise will be conducted by two consultants from an institution under the management of the Evaluation Office. Additional capacity will be provided to the extent possible by a team member from the Evaluation Office. The Evaluation Office and the RG will provide quality assurance at critical junctures. A project timeline is below, and a more detailed timeline for the assessment portion will be developed during the inception phase.

The level of effort is 90 days (estimated) over five months starting in June 2024.

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Baseline assessment matrix

Assessment Questions	Information Source				Indicators
	Survey	KIIs / FGDs	Desk review	Benchmarking	
Recruitment and selection					
1. How far do current practices on recruitment and selection at all levels (HQ, regional and country office (CO)) go in vetting individuals from a safeguarding perspective, including the use of Clear Checks and how elevated risk is considered? What are the reasons why safeguarding is not considered?	✓	✓	✓		Implementation statistics on types of recruitment practices by: <ul style="list-style-type: none"> ▶ Region ▶ Operating context (emergency, non-emergency) ▶ Contract category
2. To what extent is existing guidance understood, practiced and adding value to recruitment and selection?	✓	✓			Understanding and implementation statistics by: <ul style="list-style-type: none"> ▶ Region ▶ Operating context (emergency, development)
3. What are the different safeguarding risks during recruitment and selection of internal and external candidates, both for emergency and non-emergency situations? How adequately are these risks identified, responded to and mitigated?	✓	✓			Number and type of risks and extent of mitigation by operating context (emergency, non-emergency)
4. How well does UNICEF capture learning around safer recruitment and embed best practice to ensure systems and processes are ethical and robust?	✓	✓			Proportion of surveyed offices that have mechanisms in place to capture learning

Training and development

1. To what extent is a comprehensive description of safeguarding (i.e. SEAH, child safeguarding, other forms of safeguarding misconduct with nuance around victim-survivors and perpetrators at both UNICEF/ partners and the community) included in staff and associates' inductions?	✓	✓	Proportion of offices that have induction training that contains a comprehensive definition of safeguarding
2. To what extent is mandatory training provided during induction and thereafter at regular and necessary intervals during employment?	✓	✓	Proportion of surveyed offices delivering mandatory safeguarding training. Frequency of training delivered.
3. What are the current gaps in training course content on safeguarding, including training for people responsible for managing safeguarding systems? To what extent is the position, level, role, and level of interaction/access to beneficiaries or vulnerable communities, as well as sector developments, considered in training content?	✓	✓	<p>✓</p> <p>List of identified gaps in training course content.</p> <p>Proportion of surveyed CO delivering differentiated training by:</p> <ul style="list-style-type: none"> ▶ Position / role ▶ Level ▶ Level of interaction/ access to beneficiaries or vulnerable communities
4. How well are outcomes from training monitored, and how well is monitored data used to devise actions to enhance safeguarding capacity of staff?	✓	✓	Proportion of surveyed offices that have monitoring systems in place.

Performance management

1. To what extent is safeguarding part of performance reviews, and how well is UNICEF supporting managers to assess safeguarding risks?	✓	✓	Proportion of surveyed offices that integrate safeguarding in the performance reviews of (i) all staff, (ii) managers / staff with additional safeguarding responsibilities.
2. How well are attitudes and behaviours around safeguarding monitored and addressed if problematic?	✓	✓	Proportion of offices that are monitoring and addressing problematic attitudes and behaviours around safeguarding

Safe working practices

1. How sufficient is the status of knowledge and practice on safeguarding? How does this differ among staff working in different levels of the organisation, consultants, suppliers, community members and others who come into contact with UNICEF?	✓	✓	Extent of staff knowledge (Likert scale) and practice of reporting and response by: - Region - Operating context (emergency, development)
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Reporting and response

1. How sufficient is the status of knowledge and practice on reporting and response? How does this differ among staff working in different levels of the organisation, consultants, suppliers, community members and others who come into contact with UNICEF?	✓	✓	Implementation statistics on types of reporting and response practices by: - Region - Operating context (emergency, development) - Contract category
2. How effective are UNICEF's current policies on administrative and disciplinary measures towards complaints and personnel involved (participating or bystander) in a substantiated safeguarding/PSEA allegation?	✓	✓	Effectiveness of current policies, measured on a Likert scale

Leadership and accountability

1. How sufficient are attitudes towards HR safeguarding in leadership teams at all three organisational levels in UNICEF?	✓	✓	Leadership attitudes towards HR safeguarding, measured on a Likert scale
2. How engaged have HR personnel been in the development of the new safeguarding policy? To what extent is there a tangible and clearly articulated commitment to its implementation?	✓	✓	Proportion of surveyed offices / stakeholders involved in policy consultations.
3. How well defined are the accountability structures for safeguarding and to what extent are they operationalised?	✓	✓	Extent to which accountability structures are operationalised, measured on a Likert scale
4. To what extent are safeguarding roles and responsibilities integrated into personal ToRs and workplans, including into safeguarding focal points' ToRs?	✓	✓	Proportion of surveyed offices that consistently integrate safeguarding in TORs and workplans by region and operating context.

Culture and environment

1. What initiatives do UNICEF have in place to understand and improve organizational safeguarding culture, and how effective are they?	✓	✓		Number, type, and level of effectiveness of existing initiatives.
2. How well known are existing safeguarding policies across the organisation?	✓	✓		Proportion of surveyed offices that are aware of the child safeguarding policy by region and operating context.

Policy environment

1. To what extent is the Safeguarding Policy synergised with its related policies to provide a robust and coherent safeguarding policy (and linked procedure and guidance) environment?		✓	✓	Extent to which policies are synergised
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Crosscutting

1. How aware are UNICEF staff and management (at all three organisational levels) about safeguarding considerations in HR procedures?	✓	✓		Staff and management awareness of safeguarding in HR by region.	
2. What factors have facilitated the inclusion of safeguarding in HR (recruitment &, selection; training & development; safe working practices; reporting and response; leadership and accountability; culture and environment)? What good practices exist that can be replicated and/or scaled up?	✓	✓		✓	Number and type of enablers outlined by UNICEF staff and benchmarking organisations
3. What are some existing constraints to including safeguarding in HR implementation, and where are the critical gaps?	✓	✓		✓	Number and type barriers outlined by UNICEF staff and benchmarking organisations

3

Data collection toolkit

Informed consent and descriptive data forms

Background information

Thank you for your interest in this baseline assessment. We are sending you this information sheet to have your consent for participating in this assessment.

[Social Development Direct \(SDDirect\)](#), a UK-based social enterprise, has been commissioned by UNICEF to conduct a baseline assessment of safeguarding implementation in UNICEF's human resource processes and procedures. The purpose of this assessment is to **set a baseline against which future progress can be measured**. It aims to understand the extent to which safeguarding guidance and measures are embedded in HR policy and procedures, and identify gaps, enablers, and barriers to address moving forward. It will also measure the organisational readiness for the implementation of the principles and responsibilities relevant to HR that are outlined in the new Safeguarding Policy, which came into place in March 2024.

Principles for this baseline assessment

The information that we collect will be kept confidential and only shared within the baseline assessment team. **If you require any additional support for the interview/focus groups discussion to meaningfully participate, please let us know what arrangements or equipment you require.**

If you agree to take part, you will participate in an interview/focus group discussion for approximately 60 – 90 mins (please note that FGDs tend to be around 90 minutes).

Consent form

SDDirect's baseline assessment team will use this form to confirm whether you agree to participate in the baseline assessment or not. You do not have to take part. You can stop at any time or skip questions that you prefer not to answer. You do not have to give a reason for stopping. There will not be any negative effects for you if you decide to stop.

Please write either yes or no in response to the following statements.

I confirm that I have been given and I understood the information provided for the above baseline assessment and have asked and received answers to any questions raised.

I understand that my participation is voluntary and that I am free not to answer any question, and to withdraw at any time without giving a reason and without my rights being affected in any way.

I understand that SDDirect’s baseline assessment team will hold all information and data collected securely and in confidence and that all efforts will be made to ensure that I cannot be identified as a participant in the baseline assessment (except as might be required by law) and I give permission for the team to hold relevant personal data.

I agree to have my discussion recorded.

I agree to the use of my words in publications/reports without mention of my name/address/ identifying information.

I agree that my information used in the baseline assessment will be securely and anonymously stored electronically by the UNICEF Evaluation Office, they will retain this data after the close of the project and may use this for secondary analysis. All identifiable data will be removed before SDDirect shares this data with UNICEF.

I agree to take part in the above baseline assessment.

Print Name

Signature

Date

Unique ID (for use by the baseline assessment team team)

Questions or complaints about the baseline assessment

If you have any questions, you can contact:

- ▶ SDDirect’s Team Leader, Loulou Shah – loulou.shah@sddirect.org.uk
- ▶ UNICEF’s Evaluation Manager, Barsha Pradhan – bapradhan@unicef.org

If you would like to report any concerns about the research, you can contact SDDirect’s Whistleblowing line: Whistleblowing@sddirect.org.uk / +447760194697.

About SDDirect and the baseline assessment team

SDDirect is a UK-based GESI consultancy that provides specialised research, evidence and technical assistance related to gender equality, disability and social inclusion for overseas development programming and policy. You can find out more information about us on our website at <https://www.sddirect.org.uk/>. If you have any questions about the baseline assessment or the process, please get in touch with our evaluation team.

Descriptive data form

UNIQUE ID (for use by the baseline assessment team)	
Position and level	
Division / Office	
Descriptive Data Monitoring Form	
Question	Answers
How would you describe your gender identity?	<input type="checkbox"/> Woman <input type="checkbox"/> Man <input type="checkbox"/> Intersex <input type="checkbox"/> Gender Fluid <input type="checkbox"/> Non-binary/Fluid <input type="checkbox"/> Prefer not to say
What is your age?	<input type="checkbox"/> 10-14 <input type="checkbox"/> 41-45 <input type="checkbox"/> 15-18 <input type="checkbox"/> 46-50 <input type="checkbox"/> 19-25 <input type="checkbox"/> 51-55 <input type="checkbox"/> 26 – 30 <input type="checkbox"/> 56+ <input type="checkbox"/> 31-35 <input type="checkbox"/> 36-40
<p>Do you consider yourself to have a disability?</p> <p>It helps us to know whether we are reaching people with disabilities, please can you tick the relevant impairment (disability) group and you are welcome to tick more than one box if appropriate.</p>	<input type="checkbox"/> Physical impairment <input type="checkbox"/> Visual impairment <input type="checkbox"/> Hearing impairment <input type="checkbox"/> Intellectual/Learning disability <input type="checkbox"/> A long-term health condition that affects your ability to carry out normal day-to-day activities e.g. HIV, multiple sclerosis, cancer <input type="checkbox"/> Mental health condition <input type="checkbox"/> Prefer not to say <input type="checkbox"/> No
Do any of your conditions or illnesses reduce your ability to carry out day-to-day activities?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

UNICEF staff interview guide

Key Information

Please complete this table and assign a unique ID for this participant.

Name of interviewer	
Date / time of interview	
Unique ID	
Agency/Department	
Country/Region	
Position	
Gender	
Length of time in position	

Introduction

Thank you for your interest in this baseline assessment. Our names are **XXX** and **XXX** and we work for Social Development Direct (SDDirect).

As the focus of this assignment is on HR, we will not be looking at the UNICEF safeguarding system as a whole, but instead focusing on specific HR functions, including recruitment and selection, training and development, performance management, as well as key enablers (i.e., leadership and accountability and culture and environment, with a focus on HR teams).

Before we start, could you confirm that you have received and read the consent form shared over email? Are you happy for us to record this conversation for note-taking purposes?

Do you have any questions for us before we get started?

1. Background

1.1. Can you provide an overview of your role within UNICEF and how safeguarding in HR relates to your role?

Probe for:

- ▶ *How long have you been in this role?*
- ▶ *Do you have any specific responsibilities in relation to integrating safeguarding in HR? Does anyone within your team have additional responsibilities?*

2. Recruitment and selection

2.1. Could you provide a brief overview of the guidance that is currently in place to guide recruitment and selection processes?

2.2. How and to what extent are safeguarding considerations currently integrated into this?

Probe for:

- ▶ *Application stage, interview, reference checks.*
- ▶ *To what extent have the role, hierarchical level, and level of interaction/access to vulnerable communities (during and after working hours) been considered throughout HR safeguarding practices?*

2.3. In what ways do UNICEF's safeguarding requirements differ when recruiting staff for different types of roles and levels?

Probe for:

- ▶ *Roles: International Professional (IP), National Officer (NO); external hire and internal hire, fixed term and temporary contracts; roles with different levels of interaction/access to communities. At different organisational levels (HQ, RO, CO)*
- ▶ *In different contexts (humanitarian / development)*

- 2.4.** Can you explain how ClearChecks¹¹ is currently utilized, for whom, and how effective you think it is?

Probe for:

- ▶ *IP, NO, or General Service (GS); external hire and internal hire, fixed term or temporary contracts*
- ▶ *What are the returns on investment?*
- ▶ *Impact on timelines for recruitment processes?*
- ▶ *Impact on workload; is HR equipped with sufficient human resources for it?*
- ▶ *Note down any comments/views on misconduct disclosure scheme (MDS)/feasibility, depending on interviewee*

- 2.5.** How fit for purpose do you think the current guidance on 'elevated risk roles' is?

Probe for:

- ▶ *Do you think there are roles with elevated risk that are not currently considered under the current guidance?*
- ▶ *Do you think roles that have intermittent access to communities/ vulnerable people such as those on mission or monitoring visits have sufficient safeguarding in place when compared to those in more obvious and day-to-day community interfacing roles?*
- ▶ *Do you think the guidance on elevated risk roles is clearly understood and adds value to recruitment at the moment?*

- 2.6.** Recognizing the legal, practical, financial and human resource limitations, as well as expected timelines for recruitment, what else do you think could be done to strengthen vetting processes, including the possible use of the Misconduct Disclosure Scheme? What efficiencies or outsourcing options could be explored? *[Note: Suggest only asking this question to HR and Global Shared Services Centre staff as other staff may not be aware of the scheme. This question will be explored in more detail through the benchmarking exercise]*

- 2.7.** What specific circumstances create heightened safeguarding risks when recruiting internal and/ or external candidates, and how are these risks identified and mitigated?

- 2.8.** Are there mechanisms in place to capture and share learning on safer recruitment? If so, do you make use of them? Why or why not?

3. Training and development

[Interviews with Global Talent Development staff in DHR to focus on this sub-section. Questions 3.1 and 3.4 will be asked to COs and ROs]

- 3.1.** What safeguarding training is currently available for staff during firstly induction, and thereafter throughout employment?

Probe for:

- ▶ *Which training courses are available through Agora, other online formats, and in-person?*
- ▶ *To what extent has safeguarding historically been part of onboarding briefings/induction conversations?*

- 3.2.** To what extent is the position level, role, and level of interaction with or access to beneficiaries and vulnerable communities, as well as sector developments in safeguarding, considered when offering training courses and specific safeguarding learning material to personnel?

- 3.3.** Are there any gaps in the current safeguarding training offered, whether in-person, Agora, or other online trainings?

Probe for:

- ▶ *What improvements would you make to these existing training courses?*
- ▶ *What additional training do you think could reinforce safeguarding obligations?*

- 3.4.** Thinking about the various formats UNICEF delivers training through, how are learning outcomes and feedback collected, monitored, and acted upon?

Probe for:

- ▶ *Who is responsible for capturing data and generating this feedback loop to improve staff knowledge and practice on safeguarding?*
- ▶ *Do line managers or others query results from/ engagement with training or just attendance?*

4. Performance management

- 4.1.** How is safeguarding currently part of performance reviews across different types of roles and different types of contracts (IP, NO, or GS; external hire and internal hire; fixed term or temporary contracts)?
- 4.2.** Do you feel confident and skilled in assessing safeguarding risks during performance appraisals and address concerns? [Note: For managers only, who hold line management responsibilities].
- 4.3.** How are attitudes and behaviors around safeguarding monitored and addressed if problematic?

Probe for:

- ▶ *What works well, what doesn't, what could be improved and how?*

5. Reporting and response

[Interviews with OIAI to focus on this sub-section]

- 5.1.** What are the available avenues for staff to report safeguarding misconduct, concerns and issues, including those that are lower level?
- 5.2.** What are UNICEF's current policies on administrative and disciplinary measures in safeguarding cases where there is a substantiated safeguarding/PSEA allegation?

Probe for:

- ▶ *Guidance on dealing with the various people involved (victim-survivor, Subject of Complaint (SoC), bystander, reporter/whistleblower etc.)*
- ▶ *How are disciplinary measures managed (including issues that fall below/outside of OIAI's remit); how are COs supported to manage individuals who stay in the organisation; policies and practices related to providing benefits/retirement packages to confirmed perpetrators or persons under investigation?*
- ▶ *How could these policies and practices be improved?*

6. Accountability and leadership

- 6.1.** How well defined are the roles and responsibilities for safeguarding in your office and to what extent are they operationalized?
- 6.2.** The new safeguarding policy was widely consulted across UNICEF. What were your specific contributions in that process, and do you feel a sense of ownership and readiness to support that policy, including both disseminating it and communicating the key messages within it? [Note: FOR HQ HR only]
- 6.3.** Broadly speaking, do you think managers feel confident and supported to ensure and uphold safeguarding obligations?
- 6.4.** To what extent are safeguarding roles and responsibilities integrated into personal ToRs and Workplans, especially for UNICEF colleagues designated as safeguarding focal points?

Probe for:

- ▶ *Does this look different on different contract types? E.g., IP, NO, or GS; external hire and internal hire, fixed term or temporary contracts)*

7. Culture and environment

- 7.1.** Are there initiatives in place to understand and improve organizational safeguarding culture, ensuring awareness of expected behaviors and prohibited actions?

8. Policy environment

- 8.1.** The Policy on Safeguarding (2024) will replace the former child safeguarding policy. How familiar did you feel with that child safeguarding policy and also how well versed do you feel on the current code of conduct in terms of safeguarding?

Probe for:

- ▶ *Do you think there will be a big leap for you to make between what the old child safeguarding policy required of you and the new broader Policy on Safeguarding? If so, what if anything might support you in that leap?*

8.2. As mentioned previously, the new Policy on Safeguarding was widely consulted on, and various colleagues and divisions had the chance to input into its development over two years. To what extent do you feel that the new Policy on Safeguarding is well synergized with other related policies to collectively provide a robust and coherent safeguarding policy environment at UNICEF? *[Note: Only ask those involved in developing the new policy].*

Probe for:

- ▶ *Do you think the upcoming guidance and procedures for the new policy could support in bridging some of these policies together? If so, how/ which policies and guidance/procedures would be best linked to help to create this cohesiveness and clarity?*

9. Crosscutting

- 9.1.** Looking across the HR cycle, what are the key enablers and barriers supporting / hindering the integration of safeguarding in HR?
 - ▶ *Are there any good practices that could be scaled up?*
- 9.2.** What tools or support would you like to have in place to implement the safeguarding policy within HR? How is this best resourced?
- 9.3.** Is there any additional information that you would like to share? Do you have any questions for us?

UNICEF staff focus group discussion guide

Key Information

Please complete this table and assign a unique ID for this participant.

Name of interviewer	
Date / time of interview	
Unique ID	
Agency/Department	
Country/Region	
Position	
Gender	
Length of time in position	

Introduction

Welcome everyone and thank you for joining this session. Our names are XXX and XXX and we work for Social Development Direct (SDDirect).

Today, we're focusing on specific HR functions related to safeguarding, such as recruitment and selection, training and development, and performance management. We'll also explore key enablers like leadership, accountability, and the overall culture within HR teams. We're not covering the entire UNICEF safeguarding system, just these HR aspects.

Before we begin, can you confirm that you've received and read the consent form we sent by email?

Are you comfortable with us recording this conversation for note-taking purposes?

Finally, do you have any questions before we get started?

1. Background

1.1. Can you share your name and your role at UNICEF, and how your role relates to safeguarding?

Thanks for those introductions. Now, let's dive into our first topic—recruitment. We'd like to start by understanding how safeguarding is built into the recruitment and selection processes.

2. Recruitment and selection

2.1. Can you give an overview of the recruitment and selection guidelines, and how safeguarding is considered throughout the process— e.g., in applications, interviews, and reference checks?

2.2. What specific challenges do we face when recruiting in an emergency context, and how do these affect safeguarding practices?

Probe for:

- ▶ *Urgency of hiring needs and potential compromises on vetting (Application stage, interview, reference checks).*
- ▶ *Difficulty in ensuring thorough background checks in crisis zones.*
- ▶ *How much do we consider the role, level in the organization, and interaction with vulnerable communities when applying safeguarding practices in HR?*

2.3. In what ways do UNICEF's safeguarding requirements differ when recruiting staff for different types of roles and levels?

Probe for:

- ▶ *Roles: International Professional (IP), National Officer (NO); external hire and internal hire, fixed term and temporary contracts; roles with different levels of interaction/access to communities. At different organisational levels (HQ, RO, CO)*

- ▶ *In different contexts (humanitarian / development)*

2.4. How is Clear Checks used, who is it for, and how effective do you think it is?

Probe for:

- ▶ *IP, NO, or GS; external hire and internal hire, fixed term or temporary contracts*
- ▶ *What are the returns on investment?*
- ▶ *Impact on timelines for recruitment processes?*
- ▶ *Impact on workload; is HR equipped with sufficient human resources for it?*
- ▶ *Note down any comments/views on MDS/feasibility, depending on interviewee*

2.5. FGD: How well do you think the current guidance on 'elevated risk roles' works?

Probe for:

- ▶ *Do you think there are roles with elevated risk that are not currently considered under the current guidance?*
- ▶ *Do you think roles that have intermittent access to communities/ vulnerable people such as those on mission or monitoring visits have sufficient safeguarding in place when compared to those in more obvious and day-to-day community interfacing roles?*
- ▶ *Do you think the guidance on elevated risk roles is clearly understood and adds value to recruitment at the moment?*

2.6. Considering the challenges we face, such as legal, financial, and HR limitations, as well as recruitment timelines, what could be done to improve our vetting processes?

Probe for:

- ▶ *How might we use tools [like the Misconduct Disclosure Scheme] or explore outsourcing options to make things more efficient?*

2.7. What situations increase safeguarding risks when hiring internal or external candidates? How can we spot and reduce those risks?

2.8. Do we have ways to capture and share what we learn about safer recruitment? If yes, are they being used? If not, why?

3. Training and development

3.1. What safeguarding training do staff receive during induction and later in their employment?

Probe for:

- ▶ *Which trainings are available through Agora, other online formats, and in-person?*
- ▶ *To what extent has safeguarding historically been part of onboarding briefings/induction conversations?*

3.2. How tailored or contextualized is the safeguarding training content for different regions, types of operations or roles, or in terms of reflecting current developments in the safeguarding space?

Probe for:

- ▶ *Are local contexts and specific risks incorporated into training?*
- ▶ *How does training vary between emergency and development settings?*
- ▶ *How much do we consider the role, position level, interaction with vulnerable communities, and safeguarding developments when choosing training and learning materials for staff?*
- ▶ *What is the format of this training?*

3.3. What resources (time, personnel, technology) are allocated to support safeguarding training?

Probe for:

- ▶ *Are these resources sufficient to ensure quality and consistency across all locations?*
- ▶ *Are there challenges in accessing necessary resources for training?*

3.4. How are new developments in safeguarding integrated into the ongoing training provided to staff?

Probe for:

- ▶ *How often is the training content updated to reflect new safeguarding standards or risks?*
- ▶ *Who is responsible for updating these materials?*

3.5. Do you think there are any areas where our current safeguarding training—whether in-person, on Agora, or other online formats—could be improved or strengthened?

Probe for:

- ▶ *What improvements would you make to these existing trainings?*
- ▶ *What additional trainings do you think could reinforce safeguarding obligations?*

- 3.6.** When you think about the different ways UNICEF delivers training, how do we gather and use feedback on learning outcomes to improve future sessions?

Probe for:

- ▶ *Who is responsible for capturing data and generating this feedback loop to improve staff knowledge and practice on safeguarding?*
- ▶ *Do line managers or others query results from/ engagement with training or just attendance?*

4. Performance management

- 4.1.** How are organizational values and safeguarding principles reflected in the performance management system?

Probe for:

- ▶ *Are safeguarding expectations consistent across all roles and contracts?*
- ▶ *Are there any challenges specific to certain contract types?*
- ▶ *Is accountability for safeguarding clearly integrated into reviews?*
- ▶ *Are values consistently considered when assessing performance?*

- 4.2.** Do you feel that managers in your office are confident, well-supported, and equipped to assess safeguarding risks during performance appraisals and address concerns when they arise?

Probe for:

- ▶ *What kind of support do managers receive to ensure safeguarding practices are upheld?*
- ▶ *Are there any gaps in the support or training provided to managers?*
- ▶ *What tools or training help you in this process?*
- ▶ *What would make this part of the job easier or more effective?*

- 4.3.** How are safeguarding attitudes and behaviors monitored, and how are issues addressed when they become problematic?

Probe for:

- ▶ *What systems or processes help identify poor behaviors early on?*
- ▶ *What works well in addressing them, and where are there gaps?*

5. Reporting and response

- 5.1.** What options are available for staff at the CO/RO level to report safeguarding concerns or misconduct, including minor or lower-level issues?

Probe for:

- ▶ *How accessible and well-known are these reporting avenues to all staff?*
- ▶ *Are there any barriers to reporting lower-level concerns?*
- ▶ *How does UNICEF manage administrative and disciplinary actions when safeguarding or PSEA allegations are confirmed at the CO/RO level?*

Probe for:

- ▶ *How are victims, witnesses, and the person accused of misconduct supported throughout the process?*
- ▶ *How are disciplinary actions handled, especially for cases that fall outside the remit of the OIAI?*

- 5.2.** How are CO/ROs supported to manage cases involving individuals who remain within the organization after an allegation has been substantiated?

Probe for:

- ▶ *What resources or guidance is available to COs for managing these situations?*

- 5.3.** How do CO/ROs handle lower-level safeguarding concerns locally, and what could improve the handling of these issues?

Probe for:

- ▶ *What processes are in place to address concerns that don't reach the level of formal investigations?*
- ▶ *How could these processes be improved or better supported?*

- 5.4.** What resources are available at the local level to support staff wellbeing, particularly when dealing with safeguarding issues?

Probe for:

- ▶ *Are these resources easily accessible and effective?*
- ▶ *Is there any need for more contextualized support, such as region-specific resources?*

6. Accountability and leadership

- 6.1.** How clearly defined are the roles and responsibilities for safeguarding in your office, and how well are they put into practice?

Probe for:

- ▶ *Are staff aware of their safeguarding responsibilities?*
- ▶ *Are there any challenges in making these roles fully operational?*

- 6.2.** The new safeguarding policy was widely consulted on across UNICEF. What were your specific contributions in that process, and do you feel a sense of ownership and readiness to support that policy, including both disseminating it and communicating the key messages within it?

- 6.3.** Broadly speaking, do you think managers feel confident and supported to ensure and uphold safeguarding obligations?

- 6.4.** To what extent are safeguarding roles and responsibilities integrated into personal ToRs and Workplans, especially for UNICEF colleagues designated as safeguarding focal points?

Probe for:

- ▶ *Does this look different on different contract types? E.g., IP, NO, or GS; external hire and internal hire, fixed term or temporary contracts)*

FGD: How are safeguarding roles and responsibilities reflected in individual Terms of Reference (ToRs) and Workplans, especially for [UNICEF colleagues designated as] safeguarding focal points?

Probe for:

- ▶ *Are there differences based on contract types (e.g., international, national, fixed-term, temporary)?*
- ▶ *How are these responsibilities communicated and monitored?*

7. Culture and environment

- 7.1.** Do we have initiatives to understand and improve the organization's safeguarding culture, and ensure everyone knows the expected behaviors and what's not allowed?

8. Policy environment

- 8.1.** The Policy on Safeguarding (2024) will replace the former child safeguarding policy. How familiar did you feel with that child safeguarding policy? How well versed do you feel on the current code of conduct in terms of safeguarding?

Probe for:

- ▶ *Do you think there will be a big leap for you to make between what the old child safeguarding policy required of you and the new broader Policy on Safeguarding? If so, what if anything might support you in that leap?*

- 8.2.** How well do you think the new Safeguarding Policy is aligned with other policies at UNICEF to create a strong and coherent safeguarding framework?

Probe for:

- ▶ *How can upcoming guidance and procedures help bridge any gaps between related policies?*

9. Crosscutting

- 9.1.** When you think about the HR cycle, including areas like recruitment, performance management, reporting, and response, what are the main factors that help or block the integration of safeguarding into these processes?

Probe for:

- ▶ *What practices are working well and could be expanded?*
- ▶ *Are there specific challenges within each HR area?*

- 9.2.** What tools, resources, or support do you think are needed to better implement the safeguarding policy within HR?

Probe for:

- ▶ *How should these resources be allocated or structured for the most impact?*

- 9.3.** Is there anything else you'd like to share or any questions you have for us?

Benchmarking interview guide

Key Information

Please complete this table and assign a unique ID for this participant.

Name of interviewer	
Date / time of interview	
Unique ID	
Agency/Department	
Country/Region	
Position	
Length of time in position	

Introduction

Thank you for your interest in this research. Our names are **XXX** and **XXX** and we work for Social Development Direct (SDDirect).

The purpose of this assessment is to set a baseline against which future progress can be measured. It aims to understand the extent to which safeguarding guidance and measures are embedded in HR policy and procedures, and identify gaps, enablers, and barriers to address moving forward. It will also measure the organisational readiness for the new Safeguarding Policy, which came into place in March 2024.

As part of this baseline assessment, we are conducting a benchmarking exercise with both UN and non-UN agencies to identify good practices and lessons learned in implementing safeguarding measures in HR processes.

Before we start, could you confirm that you have received and read the consent form shared over email?

Are you happy for us to record this conversation for note-taking purposes?

Do you have any questions for us before we get started?

1. Background

1.1. Can you provide an overview of your role and how safeguarding in HR is connected to your responsibilities?

2. Recruitment and selection

2.1. How does your organisation integrate safeguarding in recruitment and selection processes?

- ▶ Probe for job descriptions, applications (e.g., self-disclosure questions), interviews (e.g., questions on values, PSEA)
- ▶ Probe for different types of posts (e.g., for UN agencies: IP, NO, or GS; external hire and internal hire, fixed term or temporary contracts)

2.2. How do safeguarding requirements in recruitment and selection differ in your organisation:

- ▶ Between permanent staff, temporary appointment, consultants, and external vendors (for UN agencies, probe for: IP, NO, or GS; as well as differentiation between external hire and internal hire)
- ▶ Across different types of roles
- ▶ At different organisational levels (e.g. HQ, RO, CO)
- ▶ In different contexts (humanitarian v. development)

2.3. What vetting procedures are in place to ensure new recruits do not pose safeguarding risks?

- ▶ What has worked well and what have you learned from these procedures?
- ▶ [For UNDP and UNHCR only] What motivated your decision to expand Clear Checks to all contract types? How was this resourced?

2.4. Is your organisation a member of the Misconduct Disclosure Scheme?

If yes, ask the sub-questions below, if not, move to the next question:

- ▶ *How effective do you think MDS has been in ensuring that the right people are recruited?*
- ▶ *Do you think the scheme offers good returns on investment? Are there any gaps or challenges?*
- ▶ *What sort of resourcing does MDS require at your organisation (time, human, technical etc)?*
- ▶ *Does applying MDS create delays in recruitment timelines and if so, how do you manage those?*
- ▶ *Is MDS used for all types of recruitment or only some types of posts? (e.g. IP, NO, or GS; external hire and internal hire, fixed term or temporary contracts?)*

2.5. Do you have mechanisms in place to capture and share learnings on safer recruitment?

- ▶ *What has worked well and what have you learned?*

2.6. What key lessons have you learned about integrating safeguarding considerations into rapid recruitment and selection processes in emergency settings?

- ▶ *What approaches have you found effective in mitigating safeguarding risks when traditional vetting processes are not feasible? (e.g. in emergencies, or for consultants, or where criminal checks are for example, not possible.)*

3. Training and development

3.1. What safeguarding training focusing on internal safeguarding procedures (e.g., code of conduct / your responsibilities/ expected behaviours) does your organisation provide for staff?

- ▶ *How is training carried out (online self-paced global training, in-person training at office level, online training, onboarding briefing)?*
- ▶ *Which training is mandatory for all staff (specify training formats – online, in-person etc.)? What options for trainings are available for different categories of staff, consultants and vendors/ consulting companies?*
- ▶ *How have you tailored safeguarding training to different roles and levels of responsibility?*
- ▶ *How frequently are the trainings provided?*
- ▶ *Are there additional requests for training from personnel in emergency contexts?*

3.2. How are outcomes and feedback from safeguarding training collected, monitored, and acted upon at the global level and office level?

- ▶ *What methods have you found most useful for evaluating the effectiveness of safeguarding training?*

4. Performance management

4.1. How is safeguarding integrated into your performance management process (e.g., appraisals, promotions)? For which types of posts (e.g., roles with managerial responsibilities)?

- ▶ *What has worked well and what have you learned from these practices?*

4.2. How are attitudes and behaviours around safeguarding monitored and addressed if problematic?

- ▶ *What has worked well and what lessons have you learned from this approach?*

5. Reporting and response

5.1. What avenues are available for staff to report safeguarding concerns, including the ones that amount to misconduct? How do you communicate reporting and response processes to staff?

- ▶ *Which reporting and response channels have been most effective in encouraging staff to report safeguarding concerns, and why?*
- ▶ *What has worked well in raising awareness of these reporting avenues among staff?*

5.2. What has worked well in coordinating between HR, legal, and safeguarding teams to respond to safeguarding reports?

- ▶ *How does your organisation ensure a survivor-centred approach is used in handling safeguarding reports?*
- ▶ *What has worked well in applying this approach, and what challenges have you encountered?*

6. Accountability and leadership

- 6.1. How are leaders informed about their specific safeguarding accountabilities and responsibilities in relation to HR?
- 6.2. To what extent and how do leaders demonstrate visible leadership on, and champion safeguarding in HR, in the organisation?
- 6.3. What resources and investments has your organisation made in embedding safeguarding in HR?

7. Culture and environment

- 7.1. What initiatives have been effective in understanding and improving safeguarding culture within your organisation?
- 7.2. How does your organisation ensure that all personnel are aware of and committed to the expected behaviours and prohibited actions [e.g. outlined in a Code of Conduct, Safeguarding]?

8. Conclusions

- 8.1. Looking across the HR cycle, what are the key enablers and barriers that support or hinder the integration of safeguarding in HR?
- 8.2. Is there any additional information you would like to share? Do you have any questions for us?

Self-assessment survey

QUESTION	CONDITIONS	CHOICES
0. Introduction		
<p>This survey is undertaken as part of the baseline assessment of UNICEF Human Resources Safeguarding Practices.</p>		
<p>Your participation in the survey</p>		
<p>**Please note you can change the language in which you are completing the survey at the top of the page**</p> <p>The survey is directed at UNICEF country offices human resources (HR) team, so there will be only one response per country office. We therefore encourage you to complete the survey with input from others, as necessary.</p> <p>The survey:</p> <ul style="list-style-type: none"> ▶ should take around 15 minutes. ▶ can be completed in English, French, or Spanish and in multiple sessions as responses are saved automatically. ▶ is voluntary, but we strongly encourage you to share your views. ▶ You do not need to answer every question and may skip any that you do not wish to answer. <p>The results of this survey will be shared as part of the final report of this assessment. All information will be kept confidential and data from individual country offices will be presented only in an aggregated format. Although your country office will be listed among the stakeholders consulted, it will not be linked to any specific information. All data will be securely stored by the UNICEF Evaluation Office, which will retain the data after the evaluation is completed and may use it for secondary analysis.</p> <p>Submitting your response by clicking the “submit” button at the end indicates your consent to participate in this survey. If you prefer not to participate, please close this window now. We greatly appreciate your time and effort in providing your input.</p>		
<p>Contact details</p>		
<p>The survey is sent out by the Evaluation Office. If you have any concerns and would like to speak to the Evaluation Manager, or access the survey results, you can contact the Evaluation Manager, Barsha Pradhan.</p>		

1. Your office		
1.1 In which region are you based?		East Asia and Pacific Region Europe and Central Asia Region Eastern and Southern Africa Region Latin America and the Caribbean Region Middle East and North Africa Region South Asia Region West and Central Africa Region
1.2 In which Country Office are you based?		[Select from list of UNICEF country offices]
1.3 Are you serving in an emergency duty station?		Yes - L1 Yes - L2 Yes - L3 No I don't know
1.4 How long have you been in an emergency?	Please respond only if you have selected 'yes' to question 1.3	Less than 6 months Between 6 months and 1 year Longer than 1 year
1.5 What type of emergency are you facing? Please select all that apply.	Please respond only if you have selected 'yes' to question 1.3	Natural disaster Health emergency Conflict and war Economic crisis Refugees Food insecurity Other, please specify
2. Recruitment and selection		
2.1 Which safeguarding practices does your office integrate in recruitment processes? Please select all that apply. You will have the opportunity to provide additional details on the contract categories for which you apply these practices once you select your answers.		UNICEF's commitment to safeguarding is clearly stated in public notices (e.g. vacancy announcements, Terms of References, Expressions of Interest) Safeguarding responsibilities are specified in job descriptions Mandatory self-disclosure questions are required in the application stage Interviews and/or assessments integrate safeguarding Background checks (e.g., Global Shared Services Centre (GSSC) checks, internal Policy, Employee Relations and Compensation Section (PERCS) checks, other criminal record checks) are conducted. I don't know Other [please specify]

<p>2.2 For which job posts is UNICEF's commitment to safeguarding stated in public notices (e.g., vacancy announcements, Terms of Reference, Expressions of Interest)? Please select all that apply.</p>	<p>Please only answer if you have selected 'UNICEF's commitment to safeguarding is clearly stated in public notices' to question 2.1</p>	<p>National Officers, Fixed Term National Officers, Temporary Appointment International Professionals, Fixed Term International Professionals, Temporary Appointment General Services, Fixed Term General Services, Temporary Appointment Management positions Consultants Vendors UN Volunteers Interns/fellows I don't know Other (please specify)</p>
<p>2.3 For whom do you specify safeguarding responsibilities in job descriptions? Please select all that apply.</p>	<p>Please only answer if you have selected 'Safeguarding responsibilities are specified in job descriptions' to question 2.1</p>	<p>[same response options as above]</p>
<p>2.4 For whom do you require mandatory self-disclosure questions in the application stage? Please select all that apply.</p>	<p>Please only answer if you have selected 'Mandatory self-disclosure questions are required in the application stage' to question 2.1</p>	<p>[same response options as above]</p>
<p>2.5 For whom do you integrate safeguarding questions in interviews and/or assessments? Please select all that apply.</p>	<p>Please only answer if you have selected 'Interviews and/or assessments integrate safeguarding' to question 2.1</p>	<p>[same response options as above]</p>
<p>2.6 Which background checks are conducted by your office during the recruitment process?</p>	<p>Please only answer if you have selected 'Background checks are conducted' to question 2.1</p>	<p>Background verification conducted by UNICEF's Global Shared Services Centre (i.e., UN ClearChecks) Internal background checks through PERCS and Office of Internal Audit and Investigations (OIAI) Safeguarding-related questions in reference checks Other criminal record checks (Please specify what other criminal record checks are applied and which contract categories they are applied to) I don't know</p>

<p>2.7 For which contract categories and job types is GSSC internal background verification (i.e., UN ClearChecks) conducted? Please select all that apply.</p>	<p>Please only answer if you have selected 'Background verification conducted by UNICEF's Global Shared Services Centre' to question 2.6</p>	<p>National Officers, Fixed Term National Officers, Temporary Appointment International Professionals, Fixed Term International Professionals, Temporary Appointment General Services, Fixed Term General Services, Temporary Appointment Management positions Consultants Vendors UN Volunteers Interns/fellows Not sure Other (please specify)</p>
<p>2.8 What improvements could be made to increase the effectiveness of GSSC-led internal background checks (i.e., UN ClearChecks)? (Consider for e.g. processing time, clarity and accessibility of reports, data privacy and security measures, and frequency of checks).</p>	<p>Please only answer if you have selected 'Background verification conducted by UNICEF's Global Shared Services Centre' to question 2.6</p>	
<p>2.9 For whom do you conduct internal background checks through PERCS and OIAI? Please select all that apply.</p>	<p>Please only answer if you have selected 'Internal background checks through PERCS and OIAI' to question 2.6</p>	<p>National Officers, Fixed Term National Officers, Temporary Appointment International Professionals, Fixed Term International Professionals, Temporary Appointment General Services, Fixed Term General Services, Temporary Appointment Management positions Consultants Vendors UN Volunteers Interns/fellows Not sure Other (please specify)</p>

<p>2.10 For whom do you integrate safeguarding-related questions in reference checks?</p>	<p>Please only answer if you have selected 'Safeguarding-related questions in reference checks' to question 2.6</p>	<p>National Officers, Fixed Term National Officers, Temporary Appointment International Professionals, Fixed Term International Professionals, Temporary Appointment General Services, Fixed Term General Services, Temporary Appointment Management positions Consultants Vendors UN Volunteers Interns/fellows Not sure Other (please specify)</p>
<p>2.11 How clear and consistently applied is the existing guidance on elevated risk roles in your office's recruitment process?</p>		<p>Very unclear and inconsistently applied Somewhat unclear and inconsistently applied Neutral – neither clear nor unclear Somewhat clear and consistently applied Very clear and consistently applied I don't know</p>
<p>2.12 What aspects of the guidance is unclear, or why is it not consistently applied in your office? Please comment.</p>	<p>Please only answer if you have selected 'Very unclear and inconsistently applied' or 'somewhat unclear and inconsistently applied' to question 2.11.</p>	
<p>2.13 To what extent does the guidance on elevated risk roles ensure that vulnerable people and communities are kept safe?</p>		<p>Not at all To a small extent To some extent To a large extent To a full extent I don't know</p>
<p>2.14 If it does not ensure that people and communities are sufficiently safeguarded, why do you think that is, and how could this guidance be improved? (Consider for e.g. staff on mission or working out of hours sporadically, roles in the community but not directly interfacing with project participants etc.)</p>	<p>Please only answer if you have responded 'not at all' or 'to a small extent' or 'to some extent' to question 2.13.</p>	

2.15 Given legal, practical, staffing, and financial constraints, what additional steps could be taken to strengthen/broaden background/vetting processes? Please comment.		
2.16 Please describe common HR challenges experienced when recruiting personnel in emergency situations. (These may relate to contextual factors such as availability of time, budget, information and so on, and/or challenges related to role types).		
2.17 Do safeguarding practices in recruitment vary based on the level of interaction with vulnerable people or access to communities?		Yes No Not sure
2.18 If you answered yes to the above, how do these practices differ? Please comment.	Please only answer if you have responded 'yes' to question 2.17.	
2.19 What monitoring mechanisms are currently in place in your office to capture and share learning on safe recruitment practices?	Regular HR audits Internal reporting systems Feedback from staff and stakeholders External reviews or assessments Evaluations of trainings No formal monitoring mechanisms I don't know Other (please specify)	
2.20 Are there opportunities to enhance these mechanisms for better learning and adaptation?		
2.21 Please highlight any good practices or successful initiatives in your office that support the integration of safeguarding in recruitment and selection processes.		
3. Training and development		
3.1 Have all UNICEF personnel in your office received training on safeguarding?		Yes, all staff Yes, only certain staff I don't know No
3.2 Please specify which groups or roles have not been trained.	Please only answer if you have responded 'yes, only certain staff' to question 3.1	
3.3 In which format is training provided?	Please only answer if you have responded 'Yes, only certain staff' or 'Yes, all staff' to question 3.1 In-person Agora training Other online training Training not provided I don't know Other [please specify]	

3.4 Who has delivered in-person safeguarding training in your office, and was it contextualised to your setting? Please provide a name, if possible, role and organisation in your response.	Please only answer if you have responded 'in-person' training to question 3.3	
3.5 What key topics are covered in your current in-person safeguarding training?	Please only answer if you have responded 'In-person' to question 3.3	
3.6 What key topics are covered in your current online safeguarding training? Please select all that apply and do not answer in relation to the online child safeguarding training on Agora and instead focus on any additional online and/or in-person safeguarding training provided in your office.	Please only answer if you have responded 'Other online training' to question 3.3	<ul style="list-style-type: none"> Understanding safeguarding principles Recognising and reporting abuse Protection from sexual exploitation and abuse (PSEA) Safe recruitment practices Creating a safe working environment Handling safeguarding concerns Staff responsibilities and code of conduct Risk management and mitigation Cultural sensitivity in safeguarding I don't know Other (please specify)
3.7 Are there any role specific training modules and considerations?	Please only answer if you have responded 'Other online training' or 'In-person' to question 3.3	<ul style="list-style-type: none"> Yes No I don't know
3.8 Please list role-specific modules or considerations. Please include details on factors influencing role-specific trainings (e.g., management responsibilities, sections, TOR).	Please only answer if you have responded 'yes' to question 3.7	
3.9 How frequently is safeguarding training provided in your office?	Please only answer if you have responded 'Yes, only certain staff' or 'Yes, all staff' to question 3.1	<ul style="list-style-type: none"> During onboarding only Annually As needed No regular training offered Other I don't know
3.10 Do you monitor outcomes and/or feedback from safeguarding training?	Please only answer if you have responded 'Yes, only certain staff' or 'Yes, all staff' to question 3.1	<ul style="list-style-type: none"> Yes No I don't know
3.11 Please describe the monitoring systems that you have in place. (Please note whether your monitoring systems record only attendance at safeguarding training, or whether they also consider learning and prompt additional support where needed)	Please only answer if you have responded 'yes' to question 3.10	

3.12 Are there any gaps in the current safeguarding training offer?	Please only answer if you have responded 'Yes, only certain staff' or 'Yes, all staff' to question 3.1
3.13 How could training be improved to better address specific needs and emerging issues?	Please only answer if you have responded 'Yes, only certain staff' or 'Yes, all staff' to question 3.1
3.14 Please highlight any good practices or successful initiatives in your office that support the integration of safeguarding in training and development.	Please only answer if you have responded 'Yes, only certain staff' or 'Yes, all staff' to question 3.1
4. Performance management	
4.1 Are safeguarding considerations included in staff performance reviews in your office?	<p>Yes, for all staff</p> <p>Yes, for certain roles</p> <p>No</p> <p>I don't know</p>
4.2 For whom do performance assessments integrate safeguarding aspects?	<p>Please only answer if you have responded to 'Yes, for certain roles' to question 4.1</p> <p>National Officers, Fixed Term</p> <p>National Officers, Temporary Appointment</p> <p>International Professionals, Fixed Term</p> <p>International Professionals, Temporary Appointment</p> <p>General Services, Fixed Term</p> <p>General Services, Temporary Appointment</p> <p>Management positions</p> <p>Consultants</p> <p>Vendors</p> <p>UN Volunteers</p> <p>Interns/fellows</p> <p>I don't know</p> <p>Other (please specify)</p>
4.3 To what extent are managers engaged with HR or other personnel to receive support and advice helpful for monitoring and responding to safeguarding risks during performance appraisals?	<p>Not at all</p> <p>To a small extent</p> <p>To some extent</p> <p>To a large extent</p> <p>To a full extent</p> <p>I don't know</p>

<p>4.4 How are safeguarding concerns typically addressed in your office? Please select all that apply.</p>	<p>Additional/mandatory safeguarding training</p> <p>Performance improvement plans with monitoring, supervision, and/or observation</p> <p>Disciplinary measures, including verbal and written warnings, restriction of duties, or suspension</p> <p>360-degree reviews, including discreet feedback from community members or project participants, if relevant</p> <p>No formal systems in place</p> <p>I don't know</p> <p>Other (please specify)</p>
<p>4.5 Please highlight any good practices or successful initiatives in your office that support the integration of safeguarding in performance management processes.</p>	
<p>5. Safe working practices</p>	
<p>5.1 To what extent are the safeguarding aspects detailed in job descriptions or contracts actually actively carried out in day-to-day actions and practices, so that safeguarding is part of the way things get done at UNICEF?</p>	<p>Not at all</p> <p>To a small extent</p> <p>To some extent</p> <p>To a large extent</p> <p>To a full extent</p> <p>I don't know</p>
<p>6. Reporting and response</p>	
<p>6.1 How effective are current policies and disciplinary measures towards complaints and personnel involved in substantiated safeguarding allegations? (Note: Safeguarding misconduct includes sexual exploitation and abuse of adults or children, inappropriate relationships with those receiving assistance, human trafficking, forced or exploitative labour including child labour, physical violence including personnel engaging in FGM and other harmful practices, verbal/ psychological abuse, and neglect or negligent treatment.)</p>	<p>Not effective</p> <p>Somewhat effective</p> <p>Neutral</p> <p>Effective</p> <p>Very effective</p> <p>I don't know</p>
<p>6.2 How do you address safeguarding allegations that do not meet the threshold for reporting to OIAI?</p>	
<p>6.3 Have you identified any gaps in reporting and response policies and guidance? How could these be improved? Please comment.</p>	

6.4 Please highlight any good practices or successful initiatives in your office that support staff awareness of reporting and response processes

7. Leadership and accountability

7.1 How confident are you that country offices at UNICEF have sufficient commitment from their leaders to address safeguarding in HR well?

Not at all confident
Somewhat confident
Neutral
Very confident
Fully confident
I don't know

7.2 To what extent are staff in your office aware of their safeguarding roles and responsibilities?

Not at all
To a small extent
To some extent
To a large extent
To a full extent
I don't know

7.3 To what extent are the roles and responsibilities for safeguarding operationalised in your office?

Not at all
To a small extent
To some extent
To a large extent
To a full extent
I don't know

7.4 To what extent are safeguarding roles and responsibilities integrated into personal ToRs [job descriptions]and Workplans?

Not at all
To a small extent
To some extent
To a large extent
To a full extent
I don't know

8. Policy environment

8.1 To what extent is your office familiar with the child safeguarding policy (2016)?

Not at all
To a small extent
To some extent
To a large extent
To a full extent
I don't know

8.2 What tools or support would you like to have in place to implement the rollout of the 2024 safeguarding policy within HR? For example, this could include guidance documents and toolkits, webinars, trainings etc.

8.3 Which resources do you require to implement the policy? Please consider human, capital, and time resources.

9. Crosscutting questions

9.1 What are the main constraints and challenges to implementing safeguarding in HR practices in your office?

Lack of financial resources
 Lack of human resources
 Lack of time (related to emergencies or workload)
 Insufficient training and awareness
 Complexity of policies and regulations
 Inadequate staff capacity
 Resistance to change
 Gaps in leadership or management support
 Challenges in monitoring and enforcement
 Difficulty in integrating safeguarding with other HR practices
 I don't know
 Other (please specify)

9.2 How can these challenges and gaps be addressed?

9.3 What factors have supported or facilitated effective implementation of safeguarding within HR in your office?

Clear leadership and management support
 Ongoing staff training and development
 Dedicated safeguarding focal point
 Effective communication of policies
 Strong collaboration between sections
 Integration of safeguarding into recruitment processes
 Regular monitoring and evaluation
 Availability of resources and tools
 Positive organisational culture
 external partnerships and support
 I don't know
 Other: (please specify)

10. Conclusion

Thank you for completing the survey. We greatly appreciate your time and inputs into this baseline assessment.

4

Reference group members and focal points

The list of RG members for this assessment is included below.

Name	Position/title/role	Office/division	Country/region/HQ
Johanna Erikson	Safeguarding Senior Adviser (former)	Division of Data, Analytics, Planning and Monitoring	Headquarters
Angela Bettiol	Risk Management in Programming and Safeguarding	Division of Data, Analytics, Planning and Monitoring	Headquarters
Alister Cumming	Chief Admin Law Unit	Office of the Executive Director	Headquarters
Dung Thi Hai Tran (Hai Dzung)	Regional Chief of Human Resources	East Asia and Pacific Regional Human Resources	East Asia and Pacific Regional Office
Jacob Van Der Blij	Chief Risk Officer	Office of the Executive Director	Headquarters
Sara Bordas Eddy	Chief	Office of Emergency Programmes	Headquarters
Arber Stublla	Human Resources Manager	Division of People and Culture	Headquarters
Kabwe Musonda	Human Resources Manager	Mozambique CO	Mozambique
Skender Nushi	Regional Chief of HR	Europe and Central Asia Regional Human Resources	Europe and Central Asia Regional Office
Sajid Ali	Principal Advisor, Organizational Culture and DEI	Division of People and Culture	Headquarters
Abhijit Das	Human Resources Manager	Division of People and Culture	Headquarters
Ugyen Samdrup Lhamo	Human Resources Officer	Division of People and Culture	Headquarters

Karen Carter	Senior Adviser, Ethics in Evidence Generation	UNICEF Innocenti	Headquarters
Dejan Jasnic	Human Resource Manager	Global Shared Services Centre	Headquarters
Sally Louise Proudlove	Child Safeguarding Policy Specialist	Private Fundraising and Partnerships	Headquarters

Focal points for the assessment included the following UNICEF staff members:

Name	Position/title/role	Office/division	Country/region/HQ
Luana Grillo	Safeguarding Manager	Division of Data, Analytics, Planning and Monitoring	Headquarters
Jan Chen	Human Resources Specialist	Division of People and Culture	Headquarters
Josina Sedlacek	Human Resources Specialist	Division of People and Culture	Headquarters

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List of UNICEF key informants

Office/division	Location	Number of informants
Division of Analytics Planning and Monitoring	HQ	3
Office of the Executive Director	HQ	2
Office of Internal Audit and Investigation	HQ	1
Private Fundraising and Partnerships	HQ	1
Ethics Office	HQ	1
Division of People and Culture	HQ	2
Supply Division	HQ	1
Office of the Ombudsman for United Nations Funds and Programmes	HQ	1
Office of Emergency Programmes (EMOPS)	HQ	2
Human Resources	East Asia and Pacific Regional Office	1
Human Resources	Regional Office of South Asia	1
Human Resources	Middle East and North Africa Regional Office	1
Human Resources	Eastern and Southern Africa Regional Office	1
Mali CO	Mali	2
Algeria CO	Algeria	1
Pakistan CO	Pakistan	2
South Africa CO	South Africa	1
Moldova CO	Moldova	1
Bangladesh CO	Bangladesh	1

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List of documents reviewed

- [1] Code of Conduct, UNICEF
- [2] DHR Procedure on Consultants, UNICEF, 2022
- [3] DHR Procedure on Learning and Development, UNICEF, 2017
- [4] DHR Procedure on staff selection, UNICEF, 2024
- [5] GUIDANCE NOTE : Reporting allegations of Sexual Exploitation and Abuse (SEA) and Concerns of Abuse (Significant Harm to a Child), UNICEF
- [6] Performance management administrative instruction, UNICEF
- [7] Performance review meeting guidance note, UNICEF, 2024
- [8] Policy on Whistle-blower protection, UNICEF, 2018
- [9] Protection from Sexual Exploitation and Abuse (PSEA), a practical guide and toolkit for UNICEF and partners, UNICEF, 2024
- [10] Review and assessment of candidates for an elevated risk role: criminal record checks, UNICEF
- [11] UNICEF Policy on the disciplinary process and measures, UNICEF, 2019
- [12] UNICEF Policy on the prohibition of discrimination, harassment, sexual harassment and abuse of authority, UNICEF, 2020
- [13] UNICEF Policy on Safeguarding, UNICEF, 2024

7

Biographies of team members for the baseline assessment

Chris Hearle, Team Leader and Senior Evaluation Expert

Chris brings over 14 years of experience in international development, with expertise in Monitoring Evaluation and Learning (MEL), including MEL in safeguarding. He was MEL lead in the “Resource and Support Hub: Safeguarding Training and Mentoring” programme for the Swiss Development Corporation in Tanzania. Chris has supported online survey analysis and developed data collection tools with expertise in indicator development workshops and theory of change. He is the Gender Equality and Social Inclusion lead for the UK’s Conflict, Stability and Security fund Global Monitoring, Evaluation and Learning Partnership and was a Senior Evaluator for Action Aid’s Endline evaluation for Promoting Opportunities for Women’s Empowerment and Rights (POWER) project.

Louise Shah, Team Leader(part of the assignment)

Louise is a Safeguarding Technical Expert - Principal Consultant at SDDirect and has over 16 years of experience in the humanitarian and international development sector in roles that have involved deep engagement in all aspects of the employee cycle. She has provided safeguarding support to a variety of clients from private sector to International non-governmental organization, universities, UN agencies and multinationals, UK government departments and the Safeguarding Resource and Support Hub which SDDirect technically leads on. Through team leadership, programme, partner and staff management, and regional and global technical leadership roles - including in country offices and at HQs where she has managed large teams in complex environments. Louise has routinely been involved in human resources related tasks where she has integrated safeguarding consistently.

Valeria Miglio, Researcher

A Technical Specialist at SDDirect, Valeria supports her team in developing inception reports and conducting KIIs and FGD with key stakeholders. With an extensive client portfolio including UK Foreign, Commonwealth and Development Office (FCDO), UNHCR, and the World Bank, Valeria is experienced in managing and delivering research, data analysis, and evaluations. She has contributed to MEL assignments such as Independent Commission for Aid Impact's Official Development Assistance portfolio reviews and the FCDO-funded Evaluation of the Gender-Responsive Social Protection Programme. She is skilled in developing evidence reviews, managing interviews, and analyzing complex data.

Christine Williamson, Quality Assurer and HR Specialist

Christine is a specialist in HR, Duty of Care and Safeguarding with extensive experience in the non-profit, humanitarian, and development sectors. She excels in creating and implementing advanced strategies that prioritize employee protection and organizational performance in complex environments. With a strong focus on capacity building, she is dedicated to enhancing standards for employee health, safety, and well-being.

Anna Gawn, Safeguarding Specialist

Anna is a Principal Consultant and Head of Safeguarding Portfolio at SDDirect. Anna brings over 15 years of experience in the international development and humanitarian aid sector. During this time, Anna worked with a range Non-governmental organizations, UN agencies and in consulting roles in development and humanitarian settings. Her primary focus has been on protection programming, including

gender-based violence and child protection, as well as on organisational safeguarding and protection from sexual exploitation, abuse and harassment. This includes digital safeguarding and child protection online. Anna has a strong track record in developing policies, procedures, tools and associated guidance that are practical and appropriate for the intended context and users.

Thomas Corser, Programme Manager

Tom is a Programme Coordinator specializing in management of research, education and evidence-based policy programmes within the development sector and with interdisciplinary experience across corporate and not-for-profit settings. As a highly experienced and qualified project manager, Tom's key strengths include expertise in contract management with a proficient understanding of donor compliance requirements; technical coordination to manage project delivery to highest standards; excellent financial acumen and budgetary management; strong client liaison and relationship management within culturally diverse settings; project design through MEL integration and results-based management approaches.

Endnotes

- 1 Safeguarding refers to actions taken to prevent and respond to harm caused to any individual as a result of their contact with UNICEF or the work of the organization.
- 2 A non-exhaustive list of prohibited behaviors can be found on Paragraph 22 of the UNICEF Safeguarding Policy and in general lines refer to: sexual exploitation and abuse; sexual activity with children, sexual activity between those providing assistance and protection and those benefitting from it; child marriage; different forms of economic exploitation; different forms of physical and non-physical violence; neglect; and different forms of harmful practices.
- 3 More outlined in paragraphs 23 and 24 of UNICEF Safeguarding Policy.
- 4 Please refer here for [published statistics](#) on Clear Check.
- 5 UNICEF Core Commitments for Children, available [here](#).
- 6 E/ICEF/2023/L.10, available [here](#).
- 7 See [here](#) for key evaluation references in UNICEF.
- 8 These references are available at the following link: <https://www.unicef.org/evaluation/resources>
- 9 UNICEF (2023), [Revised evaluation policy of UNICEF](#), Executive Board, Second regular session 2023, E/ICEF/2023/27, p. 11.
- 10 Including UNEG, ALNAP EvalSDGs, EvalPartners and others
- 11 The Clear Check Screening Database is a centralized database available to all UN entities to avoid the hiring and re-hiring of individuals whose working relationship with an organization of the system ended because of a determination that they perpetrated sexual harassment or sexual exploitation and abuse.



For further information, please contact:

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