



# Sub-working group on improved reporting

## Narrative report on the results of the 2021 survey of CEB entities on **Improved Reporting of Sexual Harassment in the UN System**

November 2022

### BACKGROUND

1. In the framework of the “CEB Task Force on Addressing Sexual Harassment” (the Task Force), WFP and UNICEF are co-chairing a technical sub-group on improved reporting of sexual harassment. The sub-group is tasked with conducting an annual survey of CEB entities on reporting of sexual harassment (the survey).<sup>1</sup>
2. This report sets out: (i) the structure and purpose of the survey, (ii) the main findings, and (iii) the recommended next steps, based on self-reported aggregated data across all participating entities.<sup>2</sup>
3. This report has been shared with all participating entities and the CEB Task Force who has decided to share externally. Accompanying the narrative report is the annexed questionnaire and its methodology.

### STRUCTURE AND PURPOSE

4. In total, the survey contained 50 questions on the entities’ policies and practices on sexual harassment as of the end of 2021. The survey was divided into three main sections: (i) policy, (ii) investigations, and (iii) disciplinary matters.
5. The purpose of the survey is to allow the Task Force to: (i) identify progress in the UN System’s wide efforts to eradicate sexual harassment, (ii) identify risk indicators to allow for more focused prevention initiatives, and (iii) identify areas in which entities can strengthen how they address sexual harassment.

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<sup>1</sup> For the 2020 survey, the co-chairs made extensive revisions and the revised version was circulated in May 2022 to collect data for 2021.

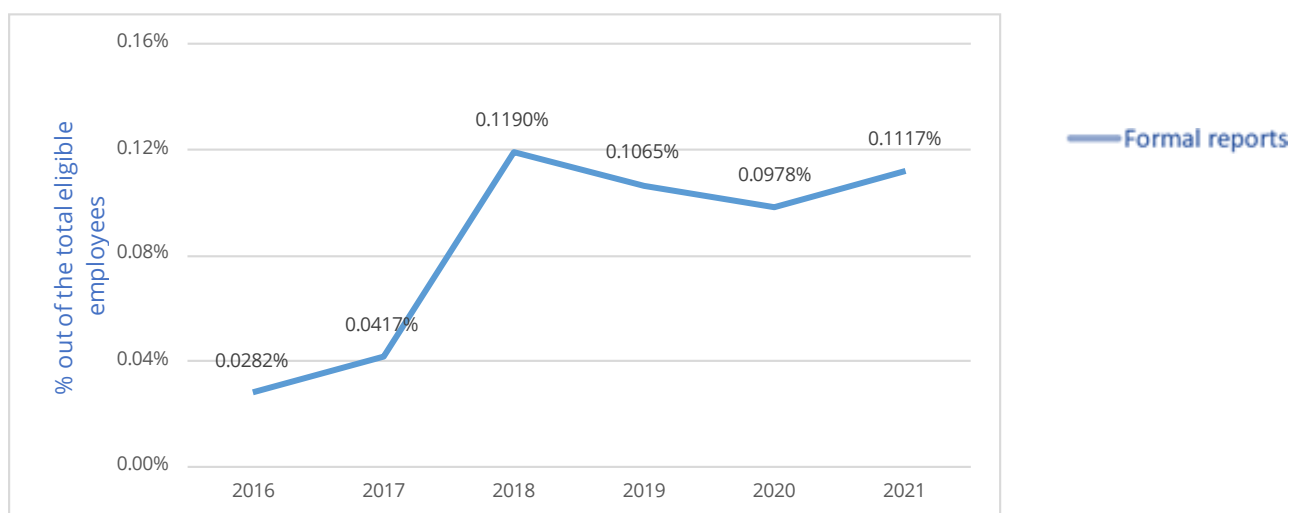
<sup>2</sup> FAO, IAEA, ICAO, IFAD, ILO, IMO, IOM, ITU, UNEP, UN Secretariat, UNAIDS, UNDP, UNESCO, UNFCCC, UNFPA, UN-HABITAT, UNHCR, UNICEF, UNIDO, UNOPS, UNRWA, UNWOMEN, UNWTO, UPU, WFP, WIPO, WORLD BANK, WTO. The entities that responded in 2021 are slightly different than 2020 but the data collected remains comparable with that of 2020.

## MAIN FINDINGS

- Twenty-eight (28) entities responded to the survey representing a workforce of over ¼ million employees and the collected data yielded a 94% average response rate. The findings focus on (i) a snapshot of 2021 reflecting progress made and risk indicators, and (ii) areas to strengthen, based on aggregated data.

### i) Snapshot of 2021

- The snapshot is focused on how incidents of sexual harassment were reported, an overview on the affected individuals and perpetrators, as well as an indication of the type of sexual harassment alleged to have been perpetrated.
- Number of formal reports:** Formal reports can trigger an investigation and, where allegations are substantiated, result in sanctions against the perpetrator. In 2021, entities received a combined total of 288 formal reports of sexual harassment (0.1117% out of the total employees). As the below graph shows, after peaking in 2018, the number of formal reports slowly declined for two years, before slightly increasing in the last year.



- The data shows that these 288 formal reports were received by 16 of the responding entities, and that 5 of the entities received 77% of all formal reports. This means that 12 entities received no reports of sexual harassment and that 5 entities received 20 or more reports with a combined 223 reports.
- Informal reporting:** The survey also requested data on informal reports of sexual harassment, *i.e.*, those which do not trigger an investigation but are addressed by internal functions such as management and Human Resources. The data showed that only 50% of the entities keep consistent records of such reports. In 2021, the entities received 168 informal reports up from 118 in 2020. The data also showed that these 168 reports were received by 10 entities, and that of those, 3 entities received 76% of all informal reports.
- Affected individuals:** Despite anonymous reports being permitted by nearly all entities, the majority of formal reports continued to be from affected individuals and bystanders (67%) with an increase in internal referrals from a function or body within the entity such as Human Resources (20%).

12. The data confirms that sexual harassment is a gender issue and one related to power differentials. The investigated matters were almost entirely “male on female” (93%), and the alleged offender was in most cases more senior than the affected person (75%). Moreover, over a quarter of the cases under investigation had more than one affected individual.
13. **Type of sexual harassment:** Two thirds (2/3) of the entities reported the office environment as one of the most frequent situations where sexual harassment took place (68%) with most incidents (81%) occurring in the field (missions, country offices and sub-offices, where operational entities normally carry out their core operations). This percentage is disproportionate to the geographical distribution of personnel within the entities (average of 69% of personnel are in the field).
14. More than a half of the entities reported having substantiated cases of verbal sexual harassment (57%). In addition, less entities reported having cases of sexual assault and there were no cases of rape in 2021 compared to 2020.

## ii) Areas for strengthening

15. While progress has been made by entities in incorporating the principles of the UN System Model Policy on Sexual Harassment (the Model Policy), there remains scope for advancement and system wide harmonization around actioning policies.
16. **Retaliation.** Only 12 formal reports included allegations of retaliation with only one *prima facie* case of retaliation was established.
17. **Protective measures:** Although protective measures for affected individuals are broadly available, most entities could not report on the number of implemented measures among the investigated cases. This could mean that protective measures are not being generally used, or that the collection of data in connection with their implementation could be improved. In addition, not all entities provided protective measures when a report was made informally.
18. **Investigation intake and referrals:** Over a third of the 288 formal reports from 2021 were closed following intake and 123 (42%) resulted in an investigation being initiated. The reasons for not initiating investigations included that (i) the affected individual did not want to proceed, (ii) the facts did not meet the threshold for an investigation, (iii) the facts were not deemed to constitute sexual harassment even if proven or (iv) not enough information/evidence due to the report being anonymous.
19. More matters which did not result in an investigation were referred within the entities to be addressed by a different function. In addition, most entities prioritized sexual harassment reports during the intake process. The number of investigations completed dropped from 132 in 2020 to 85 in 2021. The number of completed investigations with facts being established also dropped from 72% in 2020 to 60% in 2021.
20. **Accountability:** The data generally indicates that a part of formal reports of sexual harassment resulted in disciplinary or administrative measures being imposed with 52 disciplinary matters completed in 2021 (compared to 58 in 2020).
21. In addition, the data showed that 50% of the personnel who were found to have engaged in sexual harassment following a disciplinary process were separated from service. About a quarter of the disciplinary decisions made in 2021 were challenged by an appeal (14 challenges), and 7 disciplinary decisions were reversed in 2021.

22. **ClearCheck participation:** 4 entities indicated that they do not participate in the ClearCheck Screening Tool, a system-wide screening database to avoid the hiring of individuals whose working relationship with a UN entity ended because of a confirmed sexual harassment. Of the 23 entities participating in ClearCheck, 13 entities also opted in for including individuals who left the entity with pending allegations of sexual harassment.
23. **Referrals to national authorities:** Referrals to local authorities for criminal investigation also continued to be very limited – only two sexual harassment matters were referred in 2021.
24. **Timeliness:** The timelines for investigations and disciplinary processes combined ranged from a total of less than 12 months to over 2 years. In 2021, more entities took longer than 2 months for intake decisions (33% compared to 20% in 2020). 25% of the investigations took more than 12 months to be completed and 40% of the disciplinary matters took more than 12 months to be completed. The main challenges to timely completion of these processes included (i) lack of resources/understaffing and (ii) complexity and volume of material to review.
25. **Further UN System alignment with Model Policy:** All entities allow reporting by all personnel against all categories of personnel but, despite progress, not all entities allow for reporting by and against any person, irrespective of whether they have an employment relationship with the entity.
26. The data also showed that not all entities: removed deadlines for reporting; allowed anonymous reporting; allowed reporting by third parties, and allowed for investigations to be initiated in the absence of a report, all of which creates potential reporting barriers. Entities were not aligned on their policy obligations on personnel to report sexual harassment formally and informally.
27. Finally, while almost all entities established general contractual provisions on zero tolerance for sexual harassment or requiring highest ethical standards of conduct, only 10 entities establish specific contractual requirements in relation to addressing sexual harassment that may lead to termination of their agreements with vendors and cooperating partners.
28. **Further UN System alignment - victim-centered approach:** Most entities provide a range of support options to affected individuals. However, entities diverge in when and how they communicate with affected individuals about the status and outcome of the investigation and disciplinary processes.
29. **Further UN System alignment - awareness:** Most entities provide specific training to prevent sexual harassment and 6 entities do not share disciplinary practice reports with personnel.

## NEXT STEPS: RECOMMENDATIONS

30. In conducting the 2021 survey, the co-chairs have met the objective of collecting consistent information across all agencies.
31. For these results to lead to action by the UN system and individual agencies, as part of the Task Force's workstream 3 on "Data and Results", the co-chairs recommend that the forthcoming development of a "Results Framework" focus on identifying standardized targets as indicators of good practice based on the areas for strengthening identified in this report.

## ANNEX: Questionnaire and Methodology

### 2021 Survey on Reporting of Sexual Harassment

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#### Context

1. The Secretary-General and United Nations (UN) system leaders have committed to instilling a zero-tolerance approach to sexual harassment, to strengthening victim-centered prevention and response, and to fostering a safe, equal and inclusive working environment across the UN system.
2. The Chief Executives Board for Coordination (CEB) Task Force on Addressing Sexual Harassment within UN System Organizations (Task Force) was established in 2017 by the Secretary-General to develop a common UN system approach towards sexual harassment through reviewing entities' policies for addressing sexual harassment, and their capacities for the investigation of allegations and support to victims.

#### Purpose

3. The purpose of this survey is to collate consistent system-wide data on policies and practices for preventing and addressing sexual harassment to lead to action by the UN system and individual entities. Specifically, the data should enable the CEB Task Force to identify:
  - a. progress in the UN system-wide efforts to eradicate sexual harassment;
  - b. risk indicators, such as vulnerable categories of personnel, environments which would be more prone to sexual harassment, and the most common types of sexual harassment, in order to allow for more focused prevention initiatives; and
  - c. areas in which entities can strengthen how they address sexual harassment including in relation to victim support and victim-centered approach, reporting mechanisms, procedures and timelines.
4. All responses to the survey will be analysed by the Co-Chairs of the Technical sub-group on improved reporting of sexual harassment and the CEB Secretariat. Key findings will then be

extracted in an anonymised and aggregated manner and shared with all entities and the CEB Task Force who may then decide to share externally. The disaggregated data regarding your specific entity will remain confidential.

## General Guidance

*Please read this section carefully, as it includes very important information on how to fill in this survey.*

5. The data sought by the survey relates to the period from **1 January 2021 to 31 December 2021**, unless stated otherwise in the question. Policy-related questions relate to your entity's policies and practices on sexual harassment as of 31 December 2021.
6. There are **50 questions** in this survey, which are divided into three main sections: (i) policy (questions 1-16), (ii) investigations (questions 17-37), and (iii) disciplinary matters (questions 38-50). In responding to the survey, you may need to seek inputs from different stakeholders in your entity, including your respective offices which deal with investigations, human resources, legal affairs, ethics, and mediation (or your ombudsman function). While most questions remain unchanged from the 2020 survey, some questions have been partially modified to ensure greater accuracy. For comparability purposes with past years, please answer the questions in a manner consistent with the previous. A limited number of additional questions have also been added.
7. Due to the number of questions and coordination involved it is likely to take a few days to respond to the survey, so make sure to start early. The online platform allows you to save the responses submitted as you go, so you can continue responding at a different time. **IMPORTANT: To save answers, please ensure you have clicked on the "Next" button at the end of the page (even if you did not yet complete the section).** Once you have completed your submission in the survey platform, you will receive a **confirmation email** to access a printable page containing a confidential copy of all responses submitted by your entity for your own records.
8. Most questions require YES or NO responses (*e.g.*, "Does your entity participate in Clear Check?"), or quantitative responses (*e.g.*, "How many formal reports of sexual harassment were received by your entity in 2021?"). For the quantitative questions, where the requested data equals zero (*e.g.*, no formal reports of sexual harassment were received in 2021), type the number "0" in the response box. Where the requested data was not originally collected by your entity and, therefore, is unavailable, just type "data not available" in the relevant response box. Where (\*) is indicated, the term is defined above.
9. **There should be no blank answers in your final submission.** Where you believe an explanation regarding your answer would be beneficial, you should add a note in the relevant section.
10. As a focal point, you are asked to ensure that your entity responds **as completely as possible** to the survey, avoiding providing no data to specific questions. This means that **some of the responses may have to be manually retrieved** – for example, you may have to peruse your entities' sexual harassment investigations or disciplinary matters. However, the scope of the questions has been

narrowed to facilitate the response exercise (e.g.: by asking data on investigated cases rather than reports).

11. Your entity's responses **MUST** be submitted through the survey platform by **Thursday, 30 June 2022**. As a focal point, you have been assigned your entity's **single login** to the survey's online platform, so you will be responsible for submitting all your entity's responses to the platform. **You can use this Word version of the survey to collect relevant data from different stakeholders within your entity and later populate the responses in the survey platform.**
12. For further clarifications, you can post a question in the [Teams group](#) created for focal points or contact Mr. Silvan Scheiwiller ([scheiwiller@un.org](mailto:scheiwiller@un.org)) of the CEB Secretariat directly. The focal points will also receive an invitation for a Q&A session to be held **on 15 June 15:00 CET / 9:00 EDT** with the purpose of clarifying any questions on the survey.

## *I. Section 1: Your entity's policy governing sexual harassment*

*Question 1 seeks demographic data for your workplace population. Questions from 2 to 7 concern your policy governing sexual harassment, relating to both formal and informal reporting.*

*\*For purposes of answering the questions below:*

- *Staff: a person who held a staff contract with the entity at the relevant time, irrespective of category, level, contract duration, or entity responsible for administering the contract, and subject to that entity's rules at the relevant time.*
- *Non-staff personnel: a person who held a contract or appointment directly with the entity at the relevant time, other than staff. Depending on the entity, non-staff personnel may include UNVs, volunteers, interns, individual contractors, consultants, experts, fellows, or others. It does not include a person employed by or providing services to another entity, with whom the entity has a contract or other agreement (such as implementing partner personnel, supplier personnel, etc.).*
- *Vendors and implementing or cooperating partners: include companies that provide goods or other products, services, or works to the entity, as well as companies and organizations to which the UN entities assign the implementation of programme activities and allocate resources (funds and materials) to enable programme delivery.*
- *Formal report(ing): reports made to investigation functions.*
- *Formal process: process where an investigation and/or subsequent disciplinary proceedings can be initiated and a disciplinary/administrative measure may be imposed as a result.*
- *Informal report(ing): reports made to channels other than investigation functions, for example, (i) manager or supervisor; (ii) Ombudsman's office; (iii) Human Resources; (iv) victim/survivor assistance mechanism (e.g. staff counsellors); (v) dedicated function in the entity; and (vi) others.*
- *Informal process: process where channels other than investigation functions address allegations of sexual harassment.*

1. (a) How many personnel (staff and non-staff personnel*) were employed by your entity on 31 December 2021?	[INSERT: number or "data not available"]
1. (b) Of those, how many were:	
(i) Female staff	[INSERT: number or "data not available"]
(ii) Male staff	[INSERT: number or "data not available"]
(iii) Female non-staff personnel	[INSERT: number or "data not available"]
(iv) Male non-staff personnel	[INSERT: number or "data not available"]
1. (c) Of those, how many were stationed:	
(i) In headquarters	[INSERT: number or "data not available"]
(ii) In liaison offices and regional offices (e.g., in Geneva, New York, Vienna, Nairobi, Panama, etc., as well as other cities where operational entities hold representation offices but do not normally carry out core operations)	[INSERT: number or "data not available"]
(iii) In missions, country offices and sub-offices (where operational entities normally carry out their core operations)	[INSERT: number or "data not available"]

**2. Reports of sexual harassment could be filed (select one):**

(i) Only formally	<input type="checkbox"/>
(ii) Only informally	<input type="checkbox"/>
(iii) Both formally and informally	<input type="checkbox"/>

**3. Sexual harassment in the workplace or in connection with work could be reported by:**

(i) Any personnel (staff and non-staff personnel*)?	[Insert: Yes/No; if No, please explain]
(ii) Any person, irrespective of whether they have an employment relationship with the entity?	[Insert: Yes/No; if No, please explain]

**4. Sexual harassment in the workplace or in connection with work could be reported against:**

(i) Any personnel (staff and non-staff personnel*)?	[Insert: Yes/No; if No, please explain]
(ii) Any person, irrespective of whether they have an employment relationship with the entity?	[Insert: Yes/No; if No, please explain]



5. Did the recipients of formal or informal reports of sexual harassment need to consult with the affected individual before taking any action (in formal or informal process)? (select all that apply)

(i) The policy was silent on consulting with the affected individual	[Insert: Yes/No]
(ii) The affected individual's views were sought in the formal process, but consent was not required.	[Insert: Yes/No]
(iii) The affected individual's views were sought in the informal process, but consent was not required.	[Insert: Yes/No]
(iv) Consent was required in the formal process	[Insert: Yes/No]
(v) Consent was required in the informal process	[Insert: Yes/No]
(vi) Other (please explain)	[Insert: Yes/No; if Yes, please explain]

6. Did your policy include an obligation to report possible sexual harassment formally or informally? (select one)

(i) All personnel (staff and non-staff personnel*) had an obligation to report either formally or informally	<input type="checkbox"/>
(ii) Only managers and supervisors had an obligation to report formally or informally	<input type="checkbox"/>
(iii) Reporting, whether formally or informally, was not mandatory	<input type="checkbox"/>
(iv) Other (please explain)	<input type="checkbox"/> [please explain]

7. Which of the following provisions did your entity require vendors and implementing or cooperating partners\* to contractually adhere to? (select one)

(i) A general zero-tolerance on sexual harassment	<input type="checkbox"/>
(ii) Specific requirements that may lead to the contractual arrangement being terminated (e.g., an obligation to address any allegation)	<input type="checkbox"/>
(iii) No obligations regarding sexual harassment	<input type="checkbox"/>
(iv) Other (please explain)	<input type="checkbox"/> [please explain]

Questions from 8 to 11 relate to the support mechanisms, trainings and protective measures\* available in your entity.

8. What support was available to the affected individual? (select all that apply)

(i) Right to be accompanied by a support person at key stages of the informal or formal processes (including investigation and disciplinary procedures)	[Insert: Yes/No]
(ii) Psycho-social counselling	[Insert: Yes/No]
(iii) Medical support	[Insert: Yes/No]
(iv) Accommodations related to work performance	[Insert: Yes/No]
(v) Workplace restoration	[Insert: Yes/No]
(vi) Legal support (please specify)	[Insert: Yes/No; if Yes, please explain]
(vii) Other (please specify)	[Insert: Yes/No; if Yes, please explain]

**9. Which of the following types of training on prevention of sexual harassment did your entity provide? (select all that apply)**

(i) Facilitated training (in person or remote)	[Insert: Yes/No]
(ii) E-training	[Insert: Yes/No]
(iii) Specific training for managers	[Insert: Yes/No]
(iv) Other (please specify)	[Insert: Yes/No; if Yes, please explain]
(v) None	[Insert: Yes/No]

*\*For purposes of answering the questions 10 and 11 below:*

- *Protective measures (also known as interim measures): measures imposed to ensure the integrity of the investigation, to prevent the repetition of sexual harassment and to protect the interest of the entity, including the effective functioning of an office. Some examples of these measures are listed in question 11.*

**10. Protective measures\* were available for affected individuals when a report of sexual harassment was made: (select one)**

(i) Formally	<input type="checkbox"/>
(ii) Informally	<input type="checkbox"/>
(iii) Both	<input type="checkbox"/>
(iv) Not available	<input type="checkbox"/>

**11. Which of the following protective measures\* were available in your entity? (select all that apply)**

(i) Non-disciplinary suspension/administrative leave of the alleged offender	[Insert: Yes/No]
(ii) Physically separate the alleged offender and the affected individual	[Insert: Yes/No]
(iii) Reassign the alleged offender or the affected individual	[Insert: Yes/No]
(iv) Consideration of special leave arrangements for either the alleged offender or the affected individual	[Insert: Yes/No]
(v) Changes in reporting lines	[Insert: Yes/No]
(vi) Other (please explain)	[Insert: Yes/No; if Yes, please explain]
(vii) None	[Insert: Yes/No]

Questions from 12 to 15 seek data on the mechanisms available within your entity for both receiving informal reports\* of sexual harassment and addressing sexual harassment through informal process\*.

\*For purposes of answering the questions from 12 to 15 below:

- Informal report(ing): reports made to channels other than investigation functions, for example, (i) manager or supervisor; (ii) Ombudsman's office; (iii) Human Resources; (iv) victim/survivor assistance mechanism (e.g. staff counsellors); (v) dedicated function in the entity; and (vi) others.
- Informal process: process where channels other than investigation functions address allegations of sexual harassment.

**12. What were the channels available in your entity to receive informal reports of sexual harassment?**  
(select all that apply)

(i) Manager or supervisor	[Insert: Yes/No]
(ii) Ombudsman's office	[Insert: Yes/No]
(iii) Human Resources	[Insert: Yes/No]
(iv) Victim/survivor assistance mechanism (e.g.: staff counsellors)	[Insert: Yes/No]
(v) A dedicated function in the entity (please provide further details on the function)	[Insert: Yes/No. If Yes, please explain]
(vi) Other (please specify)	[Insert: Yes/No. If Yes, please explain]

<b>13.</b> Was there a deadline to informally report? (If <u>yes</u> , please indicate the applicable deadline).	[Insert: Yes/No; if Yes, please indicate the applicable deadline]
<b>14.</b> Does your entity keep consistent records of informal reports? (if yes, please specify)	[Insert: Yes/No. If Yes, please specify]

**15. What were the channels available in your entity to address sexual harassment through informal processes? (select all that apply)**

(i) Manager or supervisor	[Insert: Yes/No]
(ii) Ombudsman’s office	[Insert: Yes/No]
(iii) Human Resources	[Insert: Yes/No]
(iv) Victim/survivor assistance mechanism (e.g.: staff counsellors)	[Insert: Yes/No]
(v) A dedicated function in the entity (please provide further details on the function)	[Insert: Yes/No. If Yes, please explain]
(vi) Other (please specify)	[Insert: Yes/No. If Yes, please specify]

*Question 16 seeks data on informal reports\* of sexual harassment. Where the same incident was reported to multiple informal and/or formal channels, please include the relevant data in both the questions on informal reports below as well as the questions on formal reports in Section 2.*

<b>16. (a) How many informal reports of sexual harassment were received by your entity in 2021?</b>	[INSERT: total number or “data not available”]
<b>16. (b) Of those, how many were received by:</b>	
(i) Ombudsman’s office	[INSERT: number or “data not available”]
(ii) Human Resources	[INSERT: number or “data not available”]
(iii) Victim/survivor assistance mechanism (e.g., staff counsellors)	[INSERT: number or “data not available”]
(iv) A dedicated function within your entity	[INSERT: number or “data not available”]
(v) Other (please specify)	[INSERT: number or “data not available”]
<b>16. (c) Of those, how many*:</b> <i>*Please include data even if the scenarios below happened in 2022.</i>	
(i) were informally resolved?	[INSERT: number or “data not available”]
(ii) were closed following intake (without a resolution)?	[INSERT: number or “data not available”]
(iii) were referred within your entity to the investigation functions?	[INSERT: number or “data not available”]
(iv) were referred outside your entity (e.g., another UN entity)?	[INSERT: number or “data not available”]
(v) are still pending / under consideration	[INSERT: number or “data not available”]
(vi) Other (please specify)	[INSERT: number or “data not available”]

## II. Section 2: Investigations

\*For purposes of answering the questions below:

- Formal report(ing): reports made to investigation functions.
- Formal process: process where an investigation and/or subsequent disciplinary proceedings can be initiated and a disciplinary/administrative measure may be imposed as a result.

Questions 17 to 20 concern your policy governing sexual harassment relating to formal reporting\*.

17. Was there a deadline for reporting? (If <u>yes</u> , please indicate the applicable deadline)	[Insert: Yes/No; if Yes, please indicate the applicable deadline]
18. Were anonymous reports permitted?	[Insert: Yes/No]
19. Could reports be submitted by a third party (i.e., a witness, manager or someone other than the affected individual) or other function in the entity?	[Insert: Yes/No]
20. Could an investigation of sexual harassment be initiated in the absence of a report by an affected individual, third party or other function in the entity?	[Insert: Yes/No. If yes, please explain in which situations]

Questions 21 to 25 seek data on formal reports of sexual harassment and your entity's intake process of such reports.

21. How many formal reports of sexual harassment were received by your entity in 2021*? <i>*Please include here all reports of sexual harassment received by (or referred to) your investigation functions in 2021.</i>	[INSERT: number or "data not available"]
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22. Of those, how many*: <i>*Please include data even if the intake decision was made in 2022.</i>	
(i) Resulted in an investigation being opened?	[INSERT: number or "data not available"]
(ii) Were referred within your entity, to be dealt with by a different function?	[INSERT: number or "data not available"]
(iii) Were referred outside your entity (e.g., another UN entity)?	[INSERT: number or "data not available"]
(iv) Were closed following intake?	[INSERT: number or "data not available"]
(v) Other (please specify)	[INSERT: number or "data not available"]

**23. In reference to question 22 (iv), why were investigations closed following intake? (select up to the three most frequent reasons)**

(i) Alleged facts not deemed to constitute sexual harassment even if proven (e.g., conduct does not meet the definition)	<input type="checkbox"/>
(ii) Alleged facts did not meet the threshold for investigation (likelihood that an investigation would not reveal sufficient evidence to further pursue the matter as a disciplinary case)	<input type="checkbox"/>
(iii) Not enough information/evidence due to the passage of time	<input type="checkbox"/>
(iv) Not enough information/evidence due to the report being anonymous	<input type="checkbox"/>
(v) Limited investigation resources	<input type="checkbox"/>
(vi) Affected Individual did not want the investigation to proceed	<input type="checkbox"/>
(vii) Other reasons (please specify why)	<input type="checkbox"/> (please specify)

**24. How long, on average, did it take for your entity to make intake decisions\*? (select one)**

\* Average estimated period of time between the initial formal report that was received in 2021 and the decision whether to open or not an investigation.

(i) Up to a month	<input type="checkbox"/>
(ii) 1 to 2 months	<input type="checkbox"/>
(iii) More than 2 months	<input type="checkbox"/>

<b>25. Did sexual harassment reports get prioritized during the intake process in relation to other reports of misconduct?</b>	<input type="text" value="[/INSERT: YES/NO]"/>
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*Questions 26 to 27 seek data on the investigations into allegations of sexual harassment which were completed by your entity's investigation functions in 2021 even if they were reported in previous years.*

<b>26. (a) How many investigations into sexual harassment were completed by your entity in 2021?</b>	<input type="text" value="[/INSERT: number or 'data not available']"/>
<b>26. (b) Of those, how many resulted in the facts being established?</b>	<input type="text" value="[/INSERT: number or 'data not available']"/>
<b>26. (c) Of those, how many were completed within the following time frames: *From the date of initial formal report to issuance of an investigation report.</b>	
(i) Less than 6 months	<input type="text" value="[/INSERT: number or 'data not available']"/>

	"data not available"]
(ii) Between 6 months and 12 months	[INSERT: number or "data not available"]
(iii) More than 12 months	[INSERT: number or "data not available"]

**27. Which of the following challenges most affected your entity's ability to finalize investigations in a manner your entity considers timely? (select up to the three most important ones)**

(i) Lack of investigative resources	<input type="checkbox"/>
(ii) Difficulty in building trust with affected individuals	<input type="checkbox"/>
(iii) Challenge in ensuring cooperation by alleged offender	<input type="checkbox"/>
(iv) Complexity of cases	<input type="checkbox"/>
(v) Reporting delays	<input type="checkbox"/>
(vi) Difficulty in access / retrieval of evidence in electronic communications, private devices and social media accounts	<input type="checkbox"/>
(vii) Travel restrictions (e.g., due to COVID-19, visa)	<input type="checkbox"/>
(viii) Other challenges (please specify)	<input type="checkbox"/> (please specify)

Questions 28 to 29 relate to protective measures\* and communications with the affected individuals during investigations which were active in 2021.

\*For purposes of answering the question 28 below:

- Protective measures (also known as interim measures): Measures imposed to ensure the integrity of the investigation, to prevent the repetition of sexual harassment and to protect the interest of the entity, including the effective functioning of an office. Some examples of these measures are listed in question 11.

<b>28. What <u>percentage</u> of the <u>investigated cases</u> in 2021 had protective measures* put in place?</b>	[INSERT: number or "data not available"]
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**29. When does your entity inform the affected individual of the status of the investigation? (select one)**

(i) At least every three months and at key stages during the process (this includes at the end of the process)	<input type="checkbox"/>
(ii) Only at key stages during the process (this includes at the end of the process)	<input type="checkbox"/>
(iii) Only at the end of the process	<input type="checkbox"/>
(iv) Only when requested	<input type="checkbox"/>
(v) Other (please specify)	<input type="checkbox"/> (please specify)

Questions 30 to 37 seek information on the identity of the reporting person, the alleged offender and the affected individual for reports that were under active investigation in 2021. Do not include cases that were reported but not investigated.

**30. Number of investigations where the reporting person was:**

(i) named	[INSERT: number or "data not available"]
(ii) anonymous	[INSERT: number or "data not available"]

**31. Number of investigations where the reporting person was:**

(i) Affected individual	[INSERT: number or "data not available"]
(ii) Witness or third person, including managers and supervisors	[INSERT: number or "data not available"]
(iii) Internal referral from a function/body in the entity	[INSERT: number or "data not available"]
(iv) External referral from another entity	[INSERT: number or "data not available"]
(v) Other (please specify)	[INSERT: number or "data not available"]

**32. Number of investigations involving:**

(i) One affected individual	[INSERT: number or "data not available"]
(ii) Multiple affected individuals	[INSERT: number or "data not available"]

**33. Number of investigations where the alleged sexual harassment was (alleged offender on affected individual(s)):**

(i) Male on female(s)	[INSERT: number or "data not available"]
(ii) Male on male(s)	[INSERT: number or "data not available"]
(iii) Female on male(s)	[INSERT: number or "data not available"]
(iv) Female on female(s)	[INSERT: number or "data not available"]
(v) Male on multiple affected individuals of mixed genders	[INSERT: number or "data not available"]
(vi) Female on multiple affected individuals of mixed genders	[INSERT: number or "data not available"]
(vii) Alleged offender of any gender on transgender(s) or non-conforming(s)	[INSERT: number or "data not available"]

**34. Number of investigations in which the alleged sexual harassment was (alleged offender(s) on affected individual(s)):**



(i) Staff on non-staff personnel	[INSERT: number or "data not available"]
(ii) Non-staff personnel on staff	[INSERT: number or "data not available"]
(iii) Staff on staff; and non-staff personnel on non-staff personnel	[INSERT: number or "data not available"]
(iv) Personnel (staff or non-staff) on external person	[INSERT: number or "data not available"]

**35. Number of investigations in which the alleged sexual harassment was:**

(i) Between peers (similar seniority levels, even if between staff and non-staff personnel)	[INSERT: number or "data not available"]
(ii) Alleged offender was more senior than the affected individual	[INSERT: number or "data not available"]
(iii) The affected individual was more senior than alleged offender	[INSERT: number or "data not available"]

**36. Number of investigations in which the alleged sexual harassment happened\*:**

*\*Note that questions 36 and 37 seek data on the location of the alleged sexual harassment, and not where the affected individual(s) and/or alleged offender(s) were regularly stationed.*

(i) In headquarters	[INSERT: number or "data not available"]
(ii) In liaison offices and regional offices (e.g., in Geneva, New York, Vienna, Nairobi, Panama, etc., as well as other cities where operational entities hold representation offices but do not normally carry out core operations)	[INSERT: number or "data not available"]
(iii) In missions, country offices and sub-offices (where operational entities normally carry out their core operations)	[INSERT: number or "data not available"]

**37. Where\* did the investigated alleged sexual harassment take place? (select up to the three most frequent situations)**

(i) In the office environment	<input type="checkbox"/>
(ii) At a residential environment (including a UN residential compound or at a combined office and residential space)	<input type="checkbox"/>
(iii) At a work-related / work-organized social event	<input type="checkbox"/>
(iv) At a social gathering of colleagues	<input type="checkbox"/>
(v) Online (e.g., email, instant messenger, mobile, apps, social media)	<input type="checkbox"/>
(vi) While on official travel	<input type="checkbox"/>
(vii) Other (please specify)	<input type="checkbox"/> (please specify)

### III. Section 3: Disciplinary matters

This section concerns how your entity responded to cases of sexual harassment which were established following an investigation and a disciplinary procedure was carried out. It seeks data on disciplinary matters completed in 2021, unless stated otherwise in questions, regardless of the date of the initial formal report or the date of initiation of the disciplinary process.

If your entity publishes an annual report on practice in disciplinary matters, the information available in such report may be helpful in answering the questions in this section.

38. (a) How many disciplinary matters relating to sexual harassment were completed in 2021?	[INSERT: number or "data not available"]
38. (b) Of these, how many resulted in:	
(i) Disciplinary Measures (total)	[INSERT: total number of disciplinary measures or "data not available"]
(ii) Administrative Measures	[INSERT: number or "data not available"]
(iii) Closed with no measure	[INSERT: number or "data not available"]
(iv) Completion of a disciplinary review for former staff or non-staff personnel (who separated prior to the completion of the disciplinary process)	[INSERT: number or "data not available"]
(v) Other (please specify)	[INSERT: number and please specify]
38. (c) Among the imposed <u>disciplinary measures</u> , how many were:	
(i) Separation from service	[INSERT: number or "data not available"]
(ii) Demotion	[INSERT: number or "data not available"]
(iii) Suspension	[INSERT: number or "data not available"]
(iv) Other disciplinary measures (please specify)	[INSERT: number and please specify]

#### 39. Did your entity:

(a) Participate in Clear Check?	[INSERT: Yes/No]
(b) If so, does your entity include "pending allegations of sexual harassment" in Clear Check?	[INSERT: Yes/No]

**40. How many disciplinary matters involving allegations of sexual harassment were completed in 2021 within the following time frames?: (from the date of issuance of the investigation report to the imposition of disciplinary/administrative measure or closure of the case)**

(i) Less than 6 months	[INSERT: number or "data not available"]
(ii) Between 6 months and 12 months	[INSERT: number or "data not available"]
(iii) More than 12 months	[INSERT: number or "data not available"]

**41. Which of the following challenges affected your entity's ability to complete disciplinary matters\* involving allegations of sexual harassment in a manner your entity considers timely? (select up to the three most important ones)**

(i) Understaffing of the disciplinary function	<input type="checkbox"/>
(ii) Excessive number of matters being reviewed at the same time	<input type="checkbox"/>
(iii) Excessive number of stakeholders involved in the disciplinary process	<input type="checkbox"/>
(iv) Excessive amount of documentation being required to prepare	<input type="checkbox"/>
(v) Complexity and the volume of material to review and analyze	<input type="checkbox"/>
(vi) Inadequate investigation	<input type="checkbox"/>
(vii) Other challenges (please specify)	<input type="checkbox"/> (please specify)

**42. Where the cases resulted in disciplinary or administrative measures, what was the nature of the sexual harassment incidents? (select all that apply)**

i) Attempted or actual rape. (Including unwelcome sexual intercourse or other forms of sexual penetration)	[INSERT: YES/NO]
ii) Attempted or actual sexual assault other than rape (Including but not limited to unwelcome touching, including pinching, patting, rubbing, or purposefully brushing up against another person and unwelcome kissing)	[INSERT: YES/NO]
iii) Verbal sexual harassment (in person or during calls) (Including but not limited to sexually suggestive communications in any format, sharing sexual or lewd anecdotes or jokes, repeatedly asking a person for dates or asking for sex, rating a person's sexuality, making sexual comments about appearance, clothing, or body parts, name-calling or using slurs with a gender/sexual connotation, making derogatory or demeaning comments)	[INSERT: YES/NO]

about someone's sexual orientation or gender identity)	
v) Visual or non-verbal sexual harassment (in person or during video calls) (Including but not limited to making inappropriate sexual gestures, such as pelvic thrusts, staring in a sexually suggestive manner)	[INSERT: YES/NO]
v) Online sexual harassment (on any digital platform including text messages, chat software and email) (Including but not limited to sharing or displaying sexually inappropriate images or videos in any format, sexually suggestive communications in any format, sharing sexual or lewd anecdotes or jokes, repeatedly asking a person for dates or asking for sex, rating a person's sexuality, making sexual comments about appearance, clothing, or body parts, name-calling or using slurs with a gender/sexual connotation, making derogatory or demeaning comments about someone's sexual orientation or gender identity)	[INSERT: YES/NO]
vi) Bystander sexual harassment (Where the affected individual is not the target of the sexually suggestive comment, including but not limited to witnessing the sharing of sexual or lewd anecdotes or jokes or sexual comments about someone else's appearance, clothing or body parts.)	[INSERT: YES/NO]
vii) Other (please specify)	[INSERT: YES/NO and please specify]

Questions from 43 to 45 relate to communications with the affected individual during the disciplinary proceeding.

**43. When did your entity inform the affected individual of the status of the disciplinary process?**  
(select one)

(i) At least every 3 months and at key stages during the process (this includes at the end of the process)	<input type="checkbox"/>
(ii) Only at key stages during the process (this includes at the end of the process)	<input type="checkbox"/>
(iii) Only at the end of the process	<input type="checkbox"/>
(iv) Only when requested	<input type="checkbox"/>
(v) Other (please specify)	<input type="checkbox"/> (please specify)

<b>44.</b> Was the affected individual informed of the outcome of the disciplinary process (including any disciplinary/administrative measures imposed)?	[Insert: Yes/No]
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**45. Regarding the investigation report:**

45. (a) How is the investigation report shared with the affected individual? <i>(select one)</i>	
(i) The report is shared in an unredacted form	<input type="checkbox"/>
(ii) A summary or redacted version of the report is shared	<input type="checkbox"/>
(iii) The report is not shared	<input type="checkbox"/>
(iv) Other (please specify)	<input type="checkbox"/> <i>(please specify)</i>
45. (b) When is the investigation report shared with the affected individual? <i>(select one)</i>	
(i) After completion of the investigation and before completion of the disciplinary process	<input type="checkbox"/>
(ii) After completion of the disciplinary process	<input type="checkbox"/>
(iii) Other (please specify)	<input type="checkbox"/> <i>(please specify)</i>

Questions from 46 to 47 seek data on any legal challenges which were made to your entity's decisions. Question 48 seeks data on any referrals made by your entity to national authorities for consideration of criminal investigation.

\* For purposes of answering the question 46, please include data even if the legal challenge was made in 2022.

46. (a) How many intake decisions made in 2021 by the investigation functions were legally challenged by the alleged offender or by the affected individual?	<i>[INSERT: number or "data not available"]</i>
(i) Legal challenges from the alleged offender	<i>[INSERT: number or "data not available"]</i>
(ii) Legal challenges from affected individual	<i>[INSERT: number or "data not available"]</i>
46. (b) How many findings made in 2021 where allegations were not established following an investigation were legally challenged by the alleged offender or by the affected individual?	<i>[INSERT: number or "data not available"]</i>
(i) Legal challenges from the alleged offender	<i>[INSERT: number or "data not available"]</i>
(ii) Legal challenges from affected individual	<i>[INSERT: number or "data not available"]</i>
46. (c) How many disciplinary decisions* made in 2021 were legally challenged by the alleged offender or by the affected individual? * <i>Disciplinary decisions include: (i) imposition of disciplinary measure; (ii) imposition of administrative measures, (iii) closure of case with no measures; (iv) completion of a disciplinary review for former staff or non-staff personnel; or (v) others.</i>	
(i) Legal challenges from the alleged offender	<i>[INSERT: number or "data not available"]</i>
(ii) Legal challenges from affected individual	<i>[INSERT: number or "data not available"]</i>

**47. How many disciplinary decisions\* by your entity were completely or partially reversed or sustained in 2021 following a legal challenge?**

\* The decisions may have been taken in years preceding 2021.

(i) Number of reversed decisions	[INSERT: number or "data not available"]
(ii) Number of sustained decisions	[INSERT: number or "data not available"]

48. In 2021, how many sexual harassment matters were referred by your entity to national authorities for consideration of criminal investigation?	[INSERT: number or "data not available"]
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Question 49 seeks data on formal reports of actual or threatened retaliation\* which were received by your entity in 2021 in connection with a report of sexual harassment (regardless of when the report of sexual harassment was received).

\* For purposes of answering the question 49 below:

- Retaliation: as defined as each entity's Protection from Retaliation Policy.

49. (a) How many formal reports of actual or threatened retaliation were received in 2021 in connection with a formal report of sexual harassment?	[INSERT: number or "data not available"]
49. (b) Of those, please indicate the number of reports where a <i>prima facie</i> case of retaliation was established upon preliminary review	[INSERT: number or "data not available"]
49. (c) Of those, please indicate:	
(i) Number of reports where retaliation was established following an investigation	[INSERT: number or "data not available"]
(ii) Number of reports where retaliation was not established following an investigation	[INSERT: number or "data not available"]

**50. What is your entity's practice on publication of information on disciplinary matters? (select one)**

(i) Disciplinary practice reports are published internally	<input type="checkbox"/>
(ii) Disciplinary practice reports are published internally and externally	<input type="checkbox"/>
(iii) The entity does not publish such reports	<input type="checkbox"/>