

Lesson 3.4



Sexual Exploitation and Abuse

Lesson at a Glance

Aim

To ensure all peacekeeping personnel know the UN prohibits sexual exploitation and abuse (SEA) as well as the standards of conduct and behavior the UN requires in this regard.

Relevance

- Allegations of SEA by UN peacekeeping personnel have been made by victims in many missions
- The UN has a zero tolerance policy on SEA by UN personnel
- ALL peacekeeping personnel have an obligation to create and maintain an environment which prevents SEA and to uphold the highest standards of conduct

Some peacekeeping personnel may believe that likelihood of SEA occurring in their mission is very small. This belief is not adequate preparation.

Learning Outcomes

Learners will:

- Explain what “zero tolerance of SEA” means
- Describe SEA and the uniform standards on SEA for peacekeeping personnel
- Describe DPKO’s three-pronged approach to addressing SEA – prevention, enforcement and remedial action
- Explain the responsibility of individual peacekeeping personnel on SEA

Lesson Map

Duration: 45 minutes total

20 minutes: presentation

25 minutes: interactive exchange or activity

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The Lesson



Starting the Lesson

Introduce the following (using the Introductory Slides):

- Lesson Topic
- Aim
- Relevance
- Learning Outcomes
- Lesson Overview

This lesson emphasizes the uniform standards personnel are expected to maintain, rather than participant perceptions of SEA. Standard responses to commonly asked questions on prohibited behaviour have been provided for the instructors' convenience.

It is particularly important in this session to ensure that it is well managed and stays on topic. Ensure that confidentiality and anonymity are maintained in any examples used during discussions.

Specific issues may link to the lesson on Women, Peace and Security covered in Module 2.

Duty to “Protect and Serve”

Slide 1



Duty to “Protect and Serve”

- Your behaviour as UN staff upholds the confidence and trust of the people you have come to serve



The slide contains four posters, each with a title and a collage of images. The titles are DIGNITY, INTEGRITY, SAFETY, and COURTESY. Below each collage is the text: 'Your behaviour as UN Staff upholds the confidence and trust of the people you have come to serve'. At the bottom of each poster is the UN logo and the text 'United Nations'.

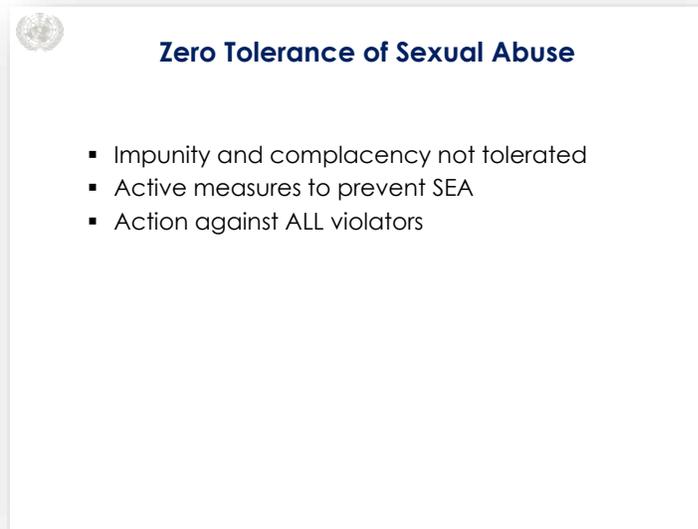
Key Message: Your conduct as UN peacekeeping personnel must uphold the confidence and trust of the people you have come to serve.



Recall the previous lesson. Remind participants that one of the three principles underpinning UN standards of conduct is “zero tolerance policy on SEA”.

Zero Tolerance of Sexual Abuse

Slide 2



Key Message: The UN has a zero tolerance policy on SEA. Zero-tolerance means:

- A culture of impunity and complacency toward SEA is no longer tolerated
- Active measures must be in place to prevent SEA
- Anyone found to have violated UN standards of conduct receives appropriate disciplinary action

The UN's zero tolerance policy on SEA is contained in the Secretary-General's Bulletin on *Special Measures for protection from sexual exploitation and abuse* (ST/SGB/2003/13).

Former UN Secretary-General Ban Ki-moon stated:

"The United Nations, and I personally, are profoundly committed to a zero-tolerance policy against sexual exploitation or abuse by our own personnel. This means zero complacency. When we receive credible allegations, we ensure that they are looked into fully. It means zero impunity."

Unfortunately, there are allegations of misconduct involving peacekeeping personnel. The UN has taken action against personnel violating the standards of conduct on SEA. The problem persists. The UN continues to improve how it:

- Receives and investigates complaints
- Ensures appropriate action against all who violate standards

Individual peacekeeping personnel are responsible for their behaviour and preventing SEA.

Definition of SEA



Definitions of SEA are complicated on the first read. This lesson takes the time to work through them so learners absorb the content. Present the lesson as a guide to the UN zero tolerance policy on SEA. All need to know it thoroughly. Start and end the lesson with the slide of definitions.

Slide 3



Definition of SEA

- **Sexual exploitation:** actual or attempted abuse of a person's vulnerability, differential power or trust for sexual purposes, including profiting monetarily, socially or politically from the exploitation
- **Sexual abuse:** actual or threatened physical intrusion of a sexual nature, by force or under unequal or coercive conditions
- Sexual exploitation and abuse constitute Category I serious misconduct

Key Message: All SEA is Category I: serious misconduct for all UN personnel.

According to the Secretary-General's Bulletin on *Special Measures for Protection from Sexual Exploitation and Sexual Abuse - ST/SGB/2003/13*:

Sexual exploitation: *actual or attempted abuse of a person's vulnerability, differential power or trust for sexual purposes, including profiting monetarily, socially or politically from the exploitation.*

Sexual abuse: *actual or threatened physical intrusion of a sexual nature, by force or under unequal or coercive conditions.*

Examples:

- Providing any help or aid - food, clothing, lodging - in exchange for sexual favours
- Threatening to withhold any help or aid in exchange for sexual favours
- Buying sex from prostitutes, even where prostitution is legal in the host country
- Forcing a young boy or girl to engage in sexual acts
- Rape
- Trafficking people for prostitution
- Procuring prostitutes for others

Slide 4

Interpreting Key Words	
Vulnerable	<ul style="list-style-type: none"> ▪ Fighting for survival in desperate circumstances ▪ Lack of awareness of rights and obligations, denial of human rights ▪ Unequal power relations that can be exploited ▪ Prevalence of sexual and gender-based violence
Differential Power	<ul style="list-style-type: none"> ▪ An imbalance between economic, social, education and professional status ▪ A dependence by one person on another to sustain life ▪ A position of authority of one person over another
Abuse of Trust	<ul style="list-style-type: none"> ▪ Further victimizes vulnerable persons ▪ Violates victims' human rights ▪ Disrupts families/communities and undermines peace
Beneficiaries of Assistance	<ul style="list-style-type: none"> ▪ Broadly interpreted to cover the local population the PKO is mandated to serve

Key Message: Key words to consider in defining SEA include “vulnerability” and “differential power”.

Vulnerable

Members of host communities in peacekeeping contexts are vulnerable for many reasons:

- Collapsed economy with many fighting for survival in desperate circumstances
- Lack of awareness of human rights
- Frustration with denial of human rights
- History of unequal power relations which others can exploit
- Prevalence of sexual and gender-based violence
- Conflict and lawlessness

Differential Power

Differential power in the peacekeeping context can mean the following:

- An imbalance between economic, social, education and professional status
- Dependence by one person on the help of another to sustain life
- Position of authority of one person over another

Abuse of Trust

Peacekeeping personnel must not abuse trust. Abuse of trust:

- Further victimizes vulnerable people
- Violates victims' human rights
- Disrupts families and communities
- Undermines the possibility of peace

Beneficiaries of Assistance

- Where a UN peacekeeping mandate includes serving the population, “beneficiaries of assistance” includes local people

Peacekeeping personnel work with vulnerable people. An inherently unequal dynamic exists between peacekeeping personnel and beneficiaries. Peacekeeping personnel have money, food and shelter. Local people have less or no access to these essentials. The result is differential power. Peacekeeping personnel have more power.

The UN strongly discourages sexual relationships between UN staff and beneficiaries of assistance. Such relationships are likely to be based on inherently unequal power dynamics.



Ensure that sexual harassment is not confused with sexual exploitation and sexual abuse. Sexual harassment is a workplace related offence, so it involves staff or related personnel and not members of the general public.

Slide 5

A white rectangular box with a thin grey border and a drop shadow, containing text. In the top left corner of the box is a small circular icon of the United Nations flag. The text inside the box is as follows:

Difference with Sexual Harassment

- **Sexual harassment:** any unwelcome sexual advance, request for sexual favour, verbal or physical conduct or gesture of a sexual nature or any other behaviour of a sexual nature that might reasonably be expected or be perceived to cause offence or humiliation to another, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment

Key Message: Sexual harassment and SEA are different.

Sexual harassment: any unwelcome sexual advance, request for sexual favour, verbal or physical conduct or gesture of a sexual nature, or any other behaviour of a sexual nature that might reasonably be expected or be perceived to cause offence or humiliation to another, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment. (Prohibition of discrimination, harassment, including sexual harassment, and abuse of authority (ST/SGB/2008/5)).

There is often confusion about whether a particular action or conduct is sexual harassment, sexual exploitation or sexual abuse.

Sexual harassment is:

- Associated with the workplace
- Involves staff or related personnel
- Does not involve members of the public

Not all sexual harassment involves:

- An abuse of a position of vulnerability
- Differential power or trust
- Actual or threatened physical intrusion of a sexual nature

When sexual harassment does involve these, it is also sexual exploitation or sexual abuse.

Perpetrators may commit SEA against:

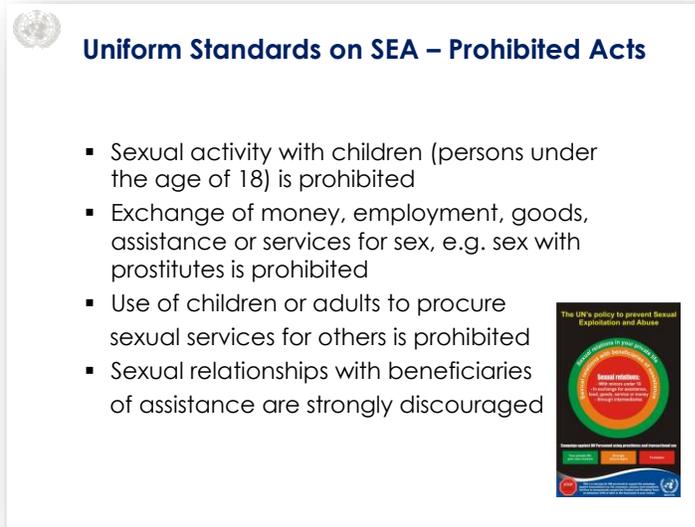
- UN personnel
- Personnel of partner agencies
- Members of the local community

Sexual harassment is Category II misconduct, not Category I serious misconduct.

Sexual harassment and SEA must be reported.

Uniform Standards on SEA – Prohibited Acts

Slide 6



Uniform Standards on SEA – Prohibited Acts

- Sexual activity with children (persons under the age of 18) is prohibited
- Exchange of money, employment, goods, assistance or services for sex, e.g. sex with prostitutes is prohibited
- Use of children or adults to procure sexual services for others is prohibited
- Sexual relationships with beneficiaries of assistance are strongly discouraged

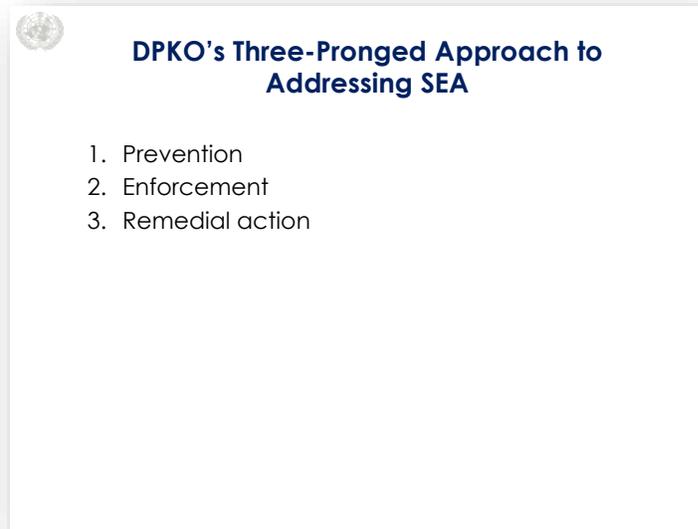


Key Message: Uniform means the same. Uniform standards on SEA apply to all peacekeeping personnel in the same way. Uniform standards on SEA establish:

- Sexual activity with children (persons under the age of 18) is prohibited
- Exchange of money, employment, goods, assistance or services for sex, including sex with prostitutes, is prohibited
- Use of children or adults to procure sexual services for others is prohibited
- Sexual relationships with beneficiaries of assistance as strongly discouraged

DPKO's Three-Pronged Approach to SEA

Slide 7

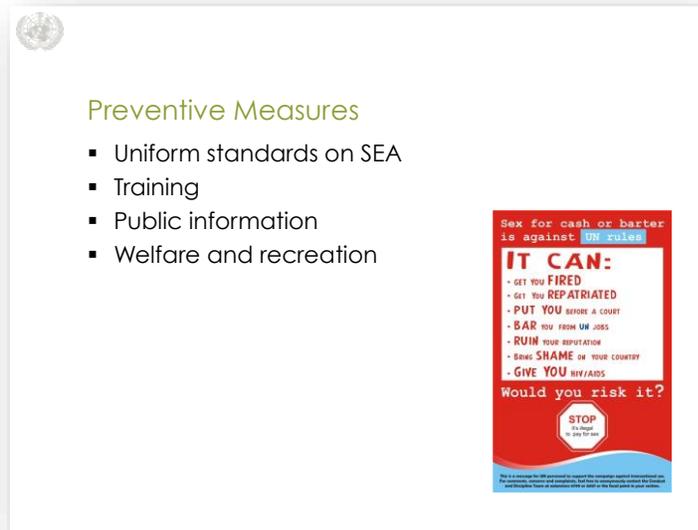


Key Message: DPKO and DFS have a three-pronged strategy for addressing SEA:

- Prevention
- Enforcement
- Remedial action

The UN developed this approach to respond to SEA, but the three steps are relevant measures in addressing all types of misconduct.

Slide 8



Key Message: Preventative measures include:

- Uniform standards on SEA
- Training
- Public information
- Welfare and recreation

Uniform standards on SEA

Uniform standards on SEA establish:

- Sexual activity with children (persons under the age of 18) is prohibited
- Exchange of money, employment, goods, assistance or services for sex, including sex with prostitutes, is prohibited
- Use of children or adults to procure sexual services for others is prohibited
- Sexual relationships with beneficiaries of assistance as strongly discouraged

Training

Peacekeeping personnel must receive training on SEA. Training starts with this pre-deployment course. In-mission briefing and training continues it. In-mission training on misconduct for deployed peacekeeping personnel covers mission-specific conduct and discipline issues.

Public Information

Public information and outreach include poster campaigns, briefings during town-hall meetings, intranet web sites, newsletters and radio broadcasts. The UN releases

information on misconduct, including SEA allegations, investigations and follow-up action.

Welfare and Recreation

Missions have been asked to improve welfare and recreation facilities. The UN repays Member States for the costs of welfare and recreation equipment they provide.

Slide 9



The slide features the United Nations logo in the top left corner. The title "Enforcement Measures" is displayed in green text. Below the title is a bulleted list of four items: "Complaints mechanism/reporting", "Data management", "Investigations", and "Follow-up". In the bottom right corner of the slide, there is a photograph of a woman with long dark hair, seen from the back, wearing a white top. She is standing next to a man in a dark blue uniform with a UN emblem on the sleeve. They appear to be in a meeting or discussion, with a whiteboard in the background decorated with colorful circular markers.

Key Message: Enforcement measures include:

- Complaints mechanisms and reporting
- Data management
- Investigations
- Follow-up

Slide 10



Enforcement Measures

Complaints Mechanism/Reporting:

- CDT & OIOS – the main entities
- Locked drop-boxes
- Private meeting rooms for confidential reporting
- Telephone hotlines
- Secure email addresses
- Focal points
- Civil society/UN networks



Key Message: Conduct and Discipline teams (CDTs) and Office of Internal Oversight Services (OIOS) are the main entities for receiving misconduct allegations.

They have developed different ways to report:

- Locked drop-boxes
- Private meeting rooms for confidential reporting
- Telephone hot lines
- Secure email addresses
- Focal points for the country and region
- Civil society networks
- UN networks

Slide 11



Enforcement Measures

Data Management:

- **Misconduct Tracking System (MTS):** a global database and confidential tracking system for monitoring allegations and cases
- All allegations received are referred for investigation



Key Message: The UN records allegations of misconduct including SEA in a global database for tracking. The Misconduct Tracking System (MTS) helps the UN monitor allegations and cases.

Authorities refer all allegations received to the UN or national authorities for investigation.

The UN uses its Misconduct Tracking System to vet UN international staff. Human resources checks applications to work in field missions against records of misconduct in prior assignments to field missions. The UN similarly vets individually recruited military, police, corrections officers and UN Volunteers. Troop and Police Contributing Countries (TCCs, PCCs) vet military contingents and formed police units for prior misconduct.

Slide 12



Enforcement Measures

Investigations:

- CDT performs assessment of allegations
- Investigation entities: national authorities, OIOS and mission entities, ad-hoc panels
- Six-month timeline for completing investigations
- Immediate Response Teams to gather/preserve evidence



Key Message: The UN commits to a six-month timeline for completing investigations.

CDTs in the missions assess allegations before referring them for investigation.

Investigation entities for serious misconduct and misconduct include:

- National authorities for military personnel
- OIOS
- Mission entities: Special Investigation Unit, Force Provost Marshall and UN Police Unit
- Panels set up for this purpose

The UN has also set up Immediate Response Teams in peacekeeping missions to gather and preserve evidence for use in investigations.

Slide 13



Enforcement Measures

Follow-Up: If the allegation is substantiated

For staff members:	<ul style="list-style-type: none"> ▪ UN takes disciplinary action ▪ Substantiated cases of criminal conduct can also be referred for prosecution or directly prosecuted by national authorities
For those personnel deployed with the status of experts on mission, essentially police personnel and military observers	<ul style="list-style-type: none"> ▪ Disciplinary action determined by the deploying Member State ▪ UN can take only limited action ▪ Substantiated cases of criminal conduct can also be referred for prosecution or directly prosecuted by national authorities
For military personnel:	<ul style="list-style-type: none"> ▪ Disciplinary action or criminal sanctions are determined by TCC ▪ UN can take only limited action ▪ TCCs are required to report back to the UN on outcome of misconduct investigations and prosecutorial actions taken

Key Message: Action is taken when allegations are proven. Where allegations of sexual exploitation and sexual abuse are proven, the perpetrator may be criminally accountable. Follow-up on cases of misconduct happens a) in the mission, b) at UN Headquarters and c) with national authorities.

On proven allegations

For staff members:

- The UN takes disciplinary action against its staff members
- Proven cases of criminal conduct can be referred for prosecution or directly prosecuted by national authorities

For personnel deployed as experts on mission, essentially police personnel and military observers:

- The contributing Member State must take disciplinary action; the UN will ask the contributing Member State to take appropriate action
- The UN can take only limited action against the personnel, for example repatriation and barring them from future missions
- The UN follows up with the contributing Member State until it receives information on actions taken
- Proven cases of criminal conduct can also be referred for prosecution or directly prosecuted by national authorities.

For military personnel:

- The TCC sets disciplinary action or criminal sanctions; the UN asks for appropriate actions to be taken

- The UN can take only limited action against the personnel; for example repatriation and barring from future missions
- TCCs are required to report back to the UN on misconduct investigations and prosecutions
- The UN follows up with a TCC until informed of actions taken

More on accountability

The UN:

- To increase accountability, the UN is implementing measures from the Secretary-General's report Special measures for protection from SEA, adopted by the General Assembly in May 2015:
 - Strengthening administrative measures against staff members found to have committed these acts, including withholding entitlements
 - Suspending pay to TCCs/PCCs in connection with suspects, based on credible evidence

Secretary-General:

- The Secretary-General reports each year on:
 - SEA
 - Disciplinary matters and cases of criminal behaviour for staff members

Peacekeeping missions:

- Peacekeeping missions report quarterly and yearly on conduct and discipline to the Department of Field Support (DFS) at UN Headquarters
- Leadership of peacekeeping missions are accountable. They:
 - Track progress on procedures designed to reduce SEA
 - Report all actions taken to prevent SEA
 - Ensure cooperation during investigations

Slide 14



Remedial Action

- Victim assistance
- Reputation repair
- Regular briefings



Key Message: Remedial action includes:

- Victim assistance
- Reputation repair
- Regular briefings

Victim Assistance

Missions must help and support SEA complainants and victims. Help includes medical and psycho-social care, legal services and immediate material care, for example food, clothing and shelter. Legal services include support for the pursuit of paternity and child support claims.

Learning support: For more information, see the General Assembly Resolution (A/RES/62/614) on the *United Nations Comprehensive Strategy on Assistance and Support to Victims of Sexual Exploitation and Abuse by United Nations Staff and Related Personnel 2007*.

Reputation Repair

The UN communicates the results of investigations to the public, on proven and unproven cases. Information is aggregated so no specific groups, contingents, nationalities or countries are “named and shamed”.

Regular Briefings

Regular briefings may be held to release information on allegations of misconduct, including SEA. This outreach helps manage potentially significant and negative effects of misconduct on:

- A mission's image and credibility
- Its ability to implement its mandate

This refers in particular to cases reported in the media.

Responsibility for Conduct on SEA



Ask participants to recall the Uniform standards on SEA.

Slide 15

The slide is titled "Who is Responsible?" and lists "Individual Responsibility" with five bullet points. To the right of the list is a small image of a hand with fingers spread, overlaid with the text "STOP ABUSE KEEP OUT OF OFF-LIMITS LOCATIONS REPORT ABUSE".

Who is Responsible?

Individual Responsibility

- Professional and personal
- Reflect UN
- Uniform standards on SEA
- Personal discipline
- Duty to SEA-free environment
- Duty to report SEA

STOP ABUSE
KEEP OUT OF OFF-LIMITS LOCATIONS
REPORT ABUSE

Key Message: Individual peacekeeping personnel must uphold the uniform standards on SEA.

Uniform standards on SEA establish:

- Sexual activity with children (persons under the age of 18) is prohibited
- Exchange of money, employment, goods, assistance or services for sex, including sex with prostitutes, is prohibited
- Use of children or adults to procure sexual services for others is prohibited
- Sexual relationships with beneficiaries of assistance as strongly discouraged

When you accept an assignment with the UN, you agree to uphold its standards of conduct. The UN has high standards of conduct.

When you serve with the UN, you represent it during your free time and your working day. You do not have the same freedoms in your “private life” as you do when you are in your home country or working for another organization. The UN holds you to a high, strict standard of conduct because **everything you do reflects on the image of the UN.**

You must live up to the UN’s expectations behavior for its personnel and always prevent SEA.

Working with the UN can be difficult. **You must have strong personal discipline.** You will be subject to a wide variety of dangerous, frustrating and awkward situations, including desperate people asking you to violate UN standards of conduct. Your response is to continue to say “no”.

The UN has found SEA in all duty stations. The form and extent of SEA vary. **All UN personnel and partners have an obligation to create and maintain an environment that prevents SEA and to uphold standards of conduct.** This applies regardless of your opinion of the problem in your duty station or the likelihood of it happening.

Personnel must report concerns or suspicions about SEA to the appropriate office in the mission, or to OIOS. UN authorities must investigate, not a person who reports concerns. Personnel should only report such concerns in good faith. Reporting an allegation known to be false is misconduct. People who report concerns later proven untrue will not face repercussions when they make such a report in good faith.



This part of the session outlines the duty of leadership to be accountable and responsible for maintaining the highest standard of conduct and preventing, monitoring and responding to misconduct. It relates to the third key principles underpinning UN standards of Conduct: Accountability of those in command who fail to enforce the standards of conduct.

Slide 16



Leadership and Accountability

- Implement policies
- Mandatory SEA training by ALL
- Focal Points and awareness-raising
- Welfare and recreation
- Emphasize duty to report
- Address violations
- Report all misconduct to CDT or OIOS



Key Message: Leadership is accountable and responsible. Leadership has a duty to:

- Maintain the highest standards of conduct
- Prevent, monitor and respond to misconduct

Issues of misconduct also raise issues of poor leadership.

Managers and Commanders must work to prevent and respond to misconduct, including SEA. Individuals in these positions can do much to show what “zero tolerance” means.

On SEA, managers and commanders are to:

- Be familiar with the Mission’s Action Plan to Prevent SEA
- Organize campaigns for specific groups (e.g. anti-child prostitution campaigns)
- Include as performance objectives in managers’ work-plans the prevention of misconduct, and evaluate this through performance appraisals
- Remind senior personnel of their role in “setting the tone” and “leading by example”
- Appoint focal points for SEA in field locations
- Actively and publicly support efforts of the mission CDT and focal points to address SEA
- Organize and use meetings for awareness-raising on misconduct. For example:
 - Town-hall briefings
 - Meetings with senior management
 - Meetings by managers with their staff
 - Key meetings with contingent commanders, heads of offices.
- Ensure all personnel under supervision or command take compulsory SEA training, including contingent members
- Include a session on SEA in induction briefings

- Appear at the start of conduct and discipline training sessions to stress leadership commitment to addressing conduct and discipline issues

On prevention measures, managers and commanders are to:

- Set the tone and be role models
- Provide welfare and recreation facilities
- Rotate troops regularly in remote areas
- Ensure induction and on-going training on misconduct

Enforcement measures, managers and commanders are to:

- Set up procedures for internal complaints
- Stress the duty to report
- Establish non-fraternization policy, curfew, off limits locations and patrols
- Coordinate investigations

Summary

The UN's "zero tolerance of SEA"

- A culture of impunity and complacency towards SEA is no longer tolerated
- Active measures are in place to prevent SEA
- Anyone found to have violated UN standards of conduct receives appropriate disciplinary action

Definition of SEA and the uniform standards on SEA for peacekeeping personnel

- **Sexual exploitation:** *actual or attempted abuse of a person's vulnerability, differential power or trust for sexual purposes, including profiting monetarily, socially or politically from the exploitation*
- **Sexual abuse:** *actual or threatened physical intrusion of a sexual nature, by force or under unequal or coercive conditions*
- Examples
 - Providing any help or aid – food, clothing, lodging – in exchange for sexual favours
 - Threatening to withhold any help or aid in exchange for sexual favours
 - Buying sex from prostitutes, even where prostitution is legal in the host country
 - Forcing a young boy or girl to engage in sexual acts
 - Rape
 - Trafficking people for prostitution
 - Procuring prostitutes for others

DPKO's three-pronged approach to addressing SEA – prevention, enforcement, remedial action

- **Preventive measures:**
 - Uniform standards on SEA
 - Training
 - Public information
 - Welfare and recreation
- **Enforcement measures:**
 - Complaints mechanisms/reporting
 - Data management
 - Investigations
 - Follow-up
- **Remedial action:**
 - Victim assistance
 - Reputation repair
 - Regular briefings

The responsibility of each peacekeeping personnel on SEA

- You are accountable for your professional and personal behaviour
- Your behaviour must reflect the UN
- You must uphold the uniform standards on SEA
- You must have personal discipline
- You have a duty to maintain an SEA-free environment
- You have a duty to report SEA

Learning Activities

Detailed instructions for each learning activity may be found below. Here is an overview of learning activities for the instructor to choose from:

Number	Name	Methods	Time
3.4.1	Ground Rules on SEA	Group exercise	10 minutes
3.4.2	Defining SEA	Exercise, discussion	45 minutes
3.4.3	Guidelines and Prohibitions on SEA	Scenarios, questions	45 minutes
3.4.4	Consequences of SEA	Brainstorm	10 minutes

3.4.1 Ground Rules on SEA

Method

Group exercise

Purpose

To set the tone for the lesson on sexual exploitation and abuse and agree on norms

Time

10 minutes

Preparation

- have a flip-chart stand and sheet to note points
- identify counselling and support services available to participants, for referral if needed

Instructions

1. Introduce the exercise and purpose. Sexual exploitation, harassment and abuse of authority are unlike other content in pre-deployment training. Effects are disturbing, and long-lasting. In some cultures, sexual misconduct and crimes are private, not openly discussed. Participants may be uncomfortable. The content is essential, so you need to help them feel more comfortable. Setting norms together increases comfort levels.)
2. Ask participants to think about how they want to work together on this subject. The group will set ground-rules together. Confirm the purpose is not to disclose personal cases or identify alleged perpetrators.
3. Brainstorm for 5 minutes. Don't judge any of the suggestions. Note all points on the flip-chart sheet.
4. Confirm that all agree with suggested ground-rules. Post the sheet so all participants can see them.
5. Close the exercise. Encourage participants to see you at the end of the lesson if they have specific cases or related issues they want to discuss, for referral to appropriate contacts.
6. Summarize

Variation

- If you have already set norms or ground-rules at the beginning of the course, start with them. Ask people to add any norms that will help the group cover sensitive content in a professional way.

3.4.2 Defining Sexual Exploitation and Abuse

Method

Exercise, discussion

Purpose

To strengthen shared understanding of UN definitions of sexual exploitation and abuse, through definitions and examples

Time

45 minutes

Introduction	5 minutes
Small groups	10 minutes
Reports	10 minutes (may vary, depending on number of groups)
Guided discussion	10 minutes
Summary and close	5 minutes

Preparation

- Prepare a slide with the UN definition of sexual exploitation and abuse.
- Write the same definition on a flip-chart sheet, in large letters. Post it. (Prepare two sheets if the group is large – make sure everyone can see and read it.)
- Decide on groups of up to 8 people.
- Consider questions to guide discussion.

Questions

1. What makes members of a host community vulnerable?
2. What does “differential power” mean in a peacekeeping context?
3. Why does it matter that trust not be abused?

Instructions

1. Introduce the exercise. People have 10 minutes to list examples of sexual exploitation and abuse. These may occur in their home country or peacekeeping missions. Remind the group to identify a reporter, and to report examples anonymously.
2. Let people know when several minutes are left, to prepare report-backs.
3. After the first report, ask for new points only - build a cumulative report, no repetitions.
4. Correct any examples that are not sexual exploitation and abuse, e.g. sexual harassment or other misconduct.
5. Guide full group discussion, using the questions.
6. Recap key messages and close the exercise.

Support for 3.4.2 Definitions of Sexual Exploitation and Abuse (SEA)

Available as part of presentation slides for the lesson.



Learning Activity 3.4.2

Definition of SEA

- **Sexual exploitation:** actual or attempted abuse of a person's vulnerability, differential power or trust for sexual purposes, including profiting monetarily, socially or politically from the exploitation
- **Sexual abuse:** actual or threatened physical intrusion of a sexual nature, by force or under unequal or coercive conditions
- Sexual exploitation and abuse constitute Category I serious misconduct

UN Core Pre-Deployment Training Materials 2016

Examples of sexual exploitation and abuse

- help of any kind in exchange for sexual favours: food, clothing, lodging, gifts
- threats to withhold help in exchange for sexual favours
- buying sex from prostitutes, even when prostitution is legal in the host country
- forcing a young boy to engage in sexual acts
- rape
- human trafficking of people for prostitution
- procuring prostitutes for others

Examples of answers to questions

What makes members of a host community vulnerable?

- Collapsed economy with many desperate people fighting for survival
- Lack of awareness of rights and obligations
- Previous experience that may normalize sexual crimes

- History of unequal power relations
- Prevalence of sexual and gender-based violence

What does differential power mean in the peacekeeping context?

- An imbalance between economic, social or education status
- Dependence on another's assistance to sustain life
- A position of authority over another

Why does it matter that trust not be abused?

- Further victimizes vulnerable people
- Violates victims' human rights
- Disrupts families and communities
- Undermines professionalism and legitimacy of a peacekeeping operation

Summary points

- SEA undermines the UN and mission mandate.
- The UN has a zero-tolerance policy on SEA. It classifies SEA as serious misconduct.
- Managers and commanders are responsible for preventing, enforcing and responding to SEA.
- SEA damages individuals, communities, and credibility of the peacekeeping mission.
- Privileges and immunities can and have been waived to address serious misconduct, including SEA.
- Be part of the solution. Don't commit SEA. See it? Report it. Accept no excuses. No legitimate ones exist.

3.4.3 Guidelines and Prohibitions on SEA

Method

Scenarios, questions

Purpose

To apply and deepen understanding of sexual exploitation and abuse

Time

45 minutes

Introduction	5 minutes
Small groups	15 minutes
Reports	20 minutes (may vary depending on number of groups)
Summary and close	5 minutes

Preparation

- Read the scenarios, guiding questions and responses.
- Decide on groups, up to 8 people. Select at least 2 scenarios for each group. Make enough copies of the scenarios and six guiding questions for each group. Put these in a folder for quick distribution. Consider copying responses to hand out at the end.
- Plan how you want to handle report-backs. Shorten report time by getting groups covering the same scenario to report together. For large classes, get each group to answer one question.
- Schedule a break after this exercise.

Instructions

1. Introduce the exercise. People will have 3-5 minutes to read the scenarios and questions, and 10-12 minutes to discuss.
2. Tell people when several minutes are left. Encourage them to prepare the report-back together.
3. Follow your plan for report-backs.
4. Summarize key messages and close the exercise.

Support for 3.4.3 Guidelines and Prohibitions on SEA

Questions

Read the scenario/s and answer the following questions:

1. Has the UN staff person **abused a position of vulnerability** for sexual purpose, or tried to?

Yes/No

2. Has the UN staff person **abused differential power** for sexual purposes, or tried to?

Yes/No

3. Has the UN staff person **abused trust** for sexual purposes, or tried to?

Yes/No

4. Does this scenario cover **prohibited act(s)**?

Yes/No

5. What **standards** on sexual exploitation and abuse are violated? List all that apply.

Scenarios

SCENARIOS	ANSWERS
<p>1. Betty is a 16 year old girl living in a small village. She has four younger brothers and sisters. Her parents do not have much money. They find it difficult to cover education, clothing and food for all of their children. They have discussed Betty dropping out of school to help her mother at the market. However, all the problems have been solved as Betty has started a sexual relationship with Johnson, a senior UNHCR officer. Johnson promises to pay for her school fees and helps to pay for her brothers and sisters to continue their education. Betty's parents feel relief that this opportunity has come. They encourage Betty to maintain the relationship. It has helped the family: all the children can stay in school.</p>	<p>a) Yes <input type="checkbox"/> No <input type="checkbox"/> b) Yes <input type="checkbox"/> No <input type="checkbox"/> c) Yes <input type="checkbox"/> No <input type="checkbox"/> d) Yes <input type="checkbox"/> No <input type="checkbox"/> e)</p>
<p>2. Carlos is a military commander posted in the southern district. He helped set up a boys' soccer club in the town where his national contingent is deployed. Carlos enjoys the soccer games. Even more, he enjoys access the club gives him to local adolescents. He gives presents of magazines, candy, sodas, and pens to different boys in exchange for sexual acts. He thinks there's nothing wrong with this, because the boys are willing and like the presents.</p>	<p>a) Yes <input type="checkbox"/> No <input type="checkbox"/> b) Yes <input type="checkbox"/> No <input type="checkbox"/> c) Yes <input type="checkbox"/> No <input type="checkbox"/> d) Yes <input type="checkbox"/> No <input type="checkbox"/> e)</p>

<p>3. Joey is a locally-hired driver for a UN agency. He transports relief items from a warehouse to the refugee camp for distribution. On one of his trips, he recognized a 15-year old refugee girl walking on the side of the road. Joey gave her a lift back to the camp. Since then, he often offers to drive her wherever she is going. Sometimes he gives her small items from the relief packages in his truck, which he thinks she and her family could use. He wants to impress her and win her over. The last time he drove her home she asked him inside her house to meet her family. The family was happy she had made friends with a UN worker. Joey likes the girl and wants to start a sexual relationship with her. He knows her family will approve.</p>	<p>a) Yes <input type="checkbox"/> No <input type="checkbox"/> b) Yes <input type="checkbox"/> No <input type="checkbox"/> c) Yes <input type="checkbox"/> No <input type="checkbox"/> d) Yes <input type="checkbox"/> No <input type="checkbox"/> e)</p>
<p>4. Marie is a 30-year-old refugee whose desperate circumstances have forced her into prostitution. On Saturday night, a UNICEF staff member in a UN car picked her up as he drove home after dinner. John took her home and paid her for sex. Prostitution is legal in the country. John does not think he is doing anything wrong. He plans to see Maria again.</p>	<p>a) Yes <input type="checkbox"/> No <input type="checkbox"/> b) Yes <input type="checkbox"/> No <input type="checkbox"/> c) Yes <input type="checkbox"/> No <input type="checkbox"/> d) Yes <input type="checkbox"/> No <input type="checkbox"/> e)</p>
<p>5. Josie is an adolescent girl in a refugee camp. Pieter works for the World Food Programme, distributing food. He has offered to give Josie a little extra, if she will be his "special friend". She agrees willingly. Both want a sexual relationship: neither thinks anything is wrong. Josie hopes the relationship will be a passport to a new life. Pieter does nothing to discourage these hopes.</p>	<p>a) Yes <input type="checkbox"/> No <input type="checkbox"/> b) Yes <input type="checkbox"/> No <input type="checkbox"/> c) Yes <input type="checkbox"/> No <input type="checkbox"/> d) Yes <input type="checkbox"/> No <input type="checkbox"/> e)</p>
<p>6. Darlene is a Civil Affairs Officer. She supports her family back home, and is always on the lookout for good business opportunities. She's asked by another Civil Affairs Officer, Stanislas, to contribute funds toward renovating a bar in the town, for a cut of the bar's profits. Darlene soon finds she's getting a steady income from the bar. She gives more money to hire more staff and strengthen</p>	<p>a) Yes <input type="checkbox"/> No <input type="checkbox"/> b) Yes <input type="checkbox"/> No <input type="checkbox"/> c) Yes <input type="checkbox"/> No <input type="checkbox"/> d) Yes <input type="checkbox"/> No <input type="checkbox"/> e)</p>

<p>security. She doesn't go to the bar, but knows many peacekeepers do, and that prostitution happens there. However, she doesn't think this concerns her, because she has no direct role. She's glad of the extra money.</p>	
<p>7. Sven is a Military Observer. He has a close relationship with his landlady, Amanna, who also does his cleaning. They eat meals together and talk in broken English. Amanna's husband and three young children were killed five years ago, when violence engulfed the country. She is lonely and enjoys their talks. One night, Sven returns from a reception for a visiting Force Commander. He is drunk. He has not had sex for eight months. He presses Amanna to come to his bedroom, urges her to make love with him. Embarrassed, Amanna tries to leave the room. Sven is sure she likes him, and is just being shy. He changes tactics, and tells her he may leave her house to find new lodgings if she won't come to bed with him. Amanna is desperate at the thought of losing her only source of income, so she complies. After all the violence she has seen, she expects this behaviour from men, but she thought Sven was different. She was wrong.</p>	<p>a) Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>b) Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>c) Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>d) Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>e)</p>

Responses – Debriefing

General Points

The scenarios all cover prohibited acts under current standards of conduct for UN staff. These prohibitions cover civilian, police, military observers, military members of national contingents. No exceptions apply. The prohibited acts are set out in:

- a) UN Staff Rules and Regulations,
- b) DPKO Disciplinary Directives including the Ten Rules: Code of Personal Conduct for Blue Helmets.

The acts also violate standards listed in:

- c) ST/SGB/2003/13 on Special Measures for Protection from Sexual Exploitation and Sexual Abuse, and;
- d) ST/SGB/1999/13 on Observance by United Nations Forces of International Humanitarian Law.

Allegations and reports of sexual harassment are covered by separate procedures described in ST/SGB/253 and ST/AI/379.

The acts described are misconduct. They could lead to appropriate disciplinary and administrative measures, such as summary dismissal or recommendation to repatriate.

Scenario-specific Points

EXAMPLE OF PROHIBITED ACT	WHY IT CONSTITUTES MISCONDUCT
<p>1. Betty is a 16 year old girl living in a small village. She has four younger brothers and sisters. Her parents do not have much money. They find it difficult to cover education, clothing and food for all of their children. They have discussed Betty dropping out of school to help her mother at the market. However, all the problems have been solved as Betty has started a sexual relationship with Johnson, a senior UNHCR officer. Johnson promises to pay for her school fees</p>	<p>a. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> b. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>c. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> d. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>e. Sexual activity with children – persons under 18 years old - is prohibited.</p> <p>Exchange of money, employment, goods, assistance or services for sex, including sex with prostitutes, is prohibited.</p> <p>Full Explanation:</p> <p>Section 3.2 (b) of the Secretary-General's</p>

<p>and helps to pay for her brothers and sisters to continue their education. Betty's parents are relieved that this opportunity has come. They encourage Betty to maintain the relationship. It has really helped the family and now all the children can stay in school.</p>	<p>Bulletin ST/SGB/2003/13 prohibits sexual activity with anyone under 18. The local age of consent is not relevant. Section 3.2 (c) of ST/SGB/2003/13 also defines what Johnson has done as sexual exploitation. He has abused a position of differential power for sexual purposes, by exchanging money for sexual access.</p>
<p>2. Carlos is a military commander posted in the southern district. He helped set up a boys' soccer club in the town where his national contingent is deployed. Carlos enjoys the soccer games. Even more, he enjoys access the club gives him to local adolescents. He gives presents of magazines, candy, sodas, and pens to different boys in exchange for sexual acts. He thinks there's nothing wrong with this, because the boys are willing and like the presents.</p>	<p>a. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> b. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> c. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> d. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> e. Sexual activity with children is prohibited. Children are defined as people under 18 years old. Believing a person is older is no excuse. Exchange of money, employment, goods, help or services for sex is prohibited. This includes sex with prostitutes. Full explanation: Carlos' acts violate the Ten Rules: Code of Personal Conduct for Blue Helmets and ST/SGB/1999/13 on Observance by UN Forces of International Humanitarian Law. He has abused a position of differential power for sexual purposes, by exchanging money and goods for sexual favours. Such acts are serious misconduct. Carlos is in breach of the same policy for performing sexual acts with children. The UN defines a child as anyone under 18, regardless of local age of consent.</p>
<p>3. Joey is a locally-hired driver for a UN agency. He transports relief items from a warehouse to the refugee camp for distribution. On one of his trips, he recognized a</p>	<p>a. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> b. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> c. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> d. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> e. Exchange of money, employment, goods, assistance or services for sex, including sex with prostitutes, is</p>

<p>15-year old refugee girl walking on the side of the road. Joey gave her a lift back to the camp. Since then, he often offers to drive her wherever she is going. Sometimes he gives her small items from the relief packages in his truck, which he thinks she and her family could use. He wants to impress her and win her over. The last time he drove her home she asked him inside her house to meet her family. The family was happy she had made friends with a UN worker. Joey likes the girl and wants to start a sexual relationship with her. He knows her family will approve.</p>	<p>prohibited.</p> <p>Full explanation:</p> <p>Section 3.2 (b) of the Secretary-General's Bulletin ST/SGB/2003/13 applies. It prohibits sexual activity with anyone under 18, regardless of the local age of consent. The rules also strongly discourage sexual relationships between UN staff and beneficiaries of assistance. Power is inherently unequal. Such acts undermine the credibility and integrity of the UN's work (section 3.2 (d) of ST/SGB/2003/13).</p>
<p>4. Marie is a 30-year-old refugee whose desperate circumstances have forced her into prostitution. On Saturday night, a UNICEF staff member in a UN car picked her up as he drove home after dinner. John took her home and paid her for sex. Prostitution is legal in the country. John does not think he is doing anything wrong. He plans to see Maria again.</p>	<p>a. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> b. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>c. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> d. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>e. Exchange of money, employment, goods, help or services for sex are prohibited. This includes sex with prostitutes.</p> <p>Full explanation:</p> <p>Exchange of money for sexual services violates the standards of conduct expected of all categories of UN personnel. In this case, involving a civilian staff member, the act violates section 3.2 (c) of the Secretary-General's Bulletin ST/SGB/2003/13.</p>

<p>5. Josie is an adolescent girl in a refugee camp. Pieter works for the World Food Programme, distributing food. He has offered to give Josie a little extra, if she will be his “special friend”. She agrees willingly. Both want a sexual relationship: neither thinks anything is wrong. Josie hopes the relationship will be a passport to a new life. Pieter does nothing to discourage these hopes.</p>	<p>a. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> b. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> c. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> d. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> e. Exchange of money, employment, goods, help or services for sex is prohibited. This includes sex with prostitutes.</p> <p>Full explanation: Pieter’s relationship with Josie is sexual exploitation. Section 3.2 (c) of ST/SGB/2003/13 explicitly prohibits exchange of goods for sex or sexual favours. If Josie is under 18, Pieter is in violation of section 3.2 (b) of ST/SGB/2003/13, regardless of the local age of consent.</p>
<p>6. Darlene is a Civil Affairs Officer. She supports her family back home, and is always on the lookout for good business opportunities. She’s asked by another Civil Affairs Officer, Stanislas, to contribute funds toward renovating a bar in the town, for a cut of the bar’s profits. Darlene soon finds she’s getting a steady income from the bar. She gives more money to hire more staff and strengthen security. She doesn’t go to the bar, but knows many peacekeepers do, and that prostitution happens there. However, she doesn’t think this concerns her, because she has no direct role. She’s glad of the extra money.</p>	<p>a. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> b. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> c. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> d. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> e. The peacekeepers using prostitutes are exchanging money for sex, which is prohibited.</p> <p>Full explanation: Darlene and Stanislas are aiding sexual exploitation. This violates the Ten Rules: Code of Personal Conduct for Peacekeepers. The peacekeepers and civil affairs officers who go to the bar are engaged in sexual exploitation. For these categories of personnel, using a prostitute violates the Ten Rules: Code of Personal Conduct for Blue Helmets, and the ST/SGB/1999/13 On Observance by UN Forces of International Humanitarian Law.</p>
<p>7. Sven is a Military Observer. He has a close relationship with his landlady,</p>	<p>a. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> b. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p>

<p>Amanna, who also does his cleaning. They eat meals together and talk in broken English. Amanna's husband and three young children were killed five years ago, when violence engulfed the country. She is lonely and enjoys their talks. One night, Sven returns from a reception for a visiting Force Commander. He is drunk. He has not had sex for eight months. He presses Amanna to come to his bedroom, urges her to make love with him. Embarrassed, Amanna tries to leave the room. Sven is sure she likes him, and is just being shy. He changes tactics, and tells her he may leave her house to find new lodgings if she won't come to bed with him. Amanna is desperate at the thought of losing her only source of income, so she complies. After all the violence she has seen, she expects this behaviour from men, but she thought Sven was different. She was wrong.</p>	<p>c. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> d. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>e. Exchange of money, employment, goods, help or services for sex is prohibited. This includes sex with prostitutes.</p> <p>Full explanation:</p> <p>Sven has breached the Ten Rules: Code of Personal Conduct for Peacekeepers, by using his differential position of power to pressure Amanna to have sex with him.</p>
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Produced by the Inter-Agency Standing Committee Task Force on Protection from Sexual Exploitation and Abuse.

Acknowledgement: Several scenarios are adapted from materials in Facilitator's Guide: *Understanding Humanitarian Aid Worker Responsibilities: Sexual Exploitation and Abuse Prevention*, by the Coordination Committee for Prevention of Sexual Exploitation and Abuse in Sierra Leone.

Key messages for summary

- All the scenarios show serious misconduct and prohibited acts.
- They show sexual exploitation because they all involve actual or attempted abuse of:
 - a) a position of vulnerability,
 - b) differential power, and/or
 - c) trust.
- Most scenarios are of sexual abuse. They threaten physical, sexual intrusion by force, or under unequal or coercive conditions.
- All scenarios have negative consequences.

3.4.4 Consequences of SEA

Method

Brainstorm

Purpose

To consider consequences of misconduct using examples from seven scenarios in the previous exercise

Time

10 minutes

Preparation

- Choose a scenario from the previous activity
- Divide a flip-chart sheet into four equal sections, and write one heading in each:
 - Victim, victim's family, baby
 - Host population
 - Perpetrators – UN staff
 - Peacekeeping mission
- Prepare a briefing note for yourself on consequences for misconduct.

Instructions

1. Introduce the activity. It explores consequences of misconduct using a scenario from the last exercise. The group will consider consequences from four perspectives. Explain the flip-chart sheet headings.
2. Recap the chosen scenario. Ask “What are the consequences of sexual exploitation and abuse?” Work through the four sections, noting responses.
3. Prompt the group on consequences not mentioned.

Variations

- Invite experienced peacekeepers to share anonymized examples of consequences of misconduct for peacekeeping personnel.
- If your assessment of learning is that participants need more time to absorb content in this lesson, work through several scenarios.

Support for 3.4.4 Consequences of Misconduct

Possible consequences ...

... for victim, victim's family, baby

- shunning by community
- pregnancy, baby born outside of marriage
- established pattern of exploitation and abuse, increased vulnerability
- lifelong damage – psychological, social, emotional, physical
- robbing a person of his or her humanity (point made in *Serve With Pride*, film in Learning Activity 3.4.5)

... for host population

- reduced confidence in the peacekeeping mission
- resentment
- more divided and fractured community
- disappointment – shattered hopes
- can lead to increased sex trafficking and criminality (point made in *Serve with Pride*, film in Learning Activity 3.4.5)
- increase in under-age prostitution (point made in *Serve with Pride*, film in Learning Activity 3.4.5)

... for perpetrators – UN staff

- disciplinary action
 - shame and embarrassment
 - dismissal and repatriation
 - termination of contract
 - criminal proceedings – by governments
 - financial liability
-
- The UN can take disciplinary action against civilian personnel if an investigation substantiates misconduct. Summary dismissal is possible.
 - The UN can only take limited action against uniformed personnel, e.g. repatriation and barring from future services. The UN relies on Member States to discipline or prosecute national personnel.
 - UN investigations are administrative. The UN does a preliminary assessment of an alleged crime. The case is referred to the appropriate Member States for investigation and action.
 - Privileges and immunities a peacekeeper enjoys affect consequences. Uniformed personnel remain liable to disciplinary action and even

criminal proceedings for violations of their national code of conduct that are crimes.

SOURCES: 1) Revised draft model Memorandum of Understanding between the UN and Troop Contributing Countries; 2) General Assembly Resolution on Criminal accountability of United Nations officials and experts on mission (A/RES/62/63).

...for peacekeeping mission

- damage to the image of the mission
- negative effects on implementation of mandate and peace
 - Example: in the Democratic Republic of Congo (DRC), media reports had serious negative impact on the mission's credibility and UN reputation and capacity to address critical political issues.
- reduced legitimacy and credibility for the mission, and troop or police contributing countries
- public perception of the UN as an exploiter, failing to take responsibility for suffering of victims
- resentment and powerlessness, fueling increased violence – against the perpetrator, a contingent or the mission
- openings for false allegations against the mission and the UN

Key messages

- Most of the scenarios involve “willing victims”. Desperate people will act to survive in ways they would not under normal circumstances. The UN holds itself to a higher standard. Many peacekeepers have stories of local people questioning and challenging prohibitions. Peacekeepers need to be ready to identify exploitation, avoid it and consistently embody higher standards.
- Peacekeepers must be role models – disciplined professionals at all times focused on implementing the mandate.
- Compliance with UN standards of conduct and rules is the best guarantee of security and support to mission mandate.
- Peacekeepers are ambassadors of the United Nations and their countries. They are “on duty” 24 hours a day, 7 days a week.

Evaluation

Notes on Use: Types of learning evaluation questions are:

- 1) Fill in the blank/sentence completion
- 2) Narrative
- 3) True-False

Combine in different ways for pre-assessment and post-assessment. Each evaluation type covers different content. No sub-set covers all learning outcomes. Make sure you include learning evaluation questions for each learning outcome when you combine them.

Three main uses of evaluation questions are: a) informally ask the whole group, b) semi-formally assign to small groups or c) formally give to individuals for written responses.

The UN takes SEA seriously, and wants all peacekeeping personnel to be fully familiar with content of this lesson. Give extra support to helping participants really learn the material. Mix up the evaluation questions and answers, and prepare separate reference sheets. Divide the group into pairs and give each pair several sheets. One person in the pair asks, the other answers. After 10 minutes, get them to change roles. Circulate, and where learners are having trouble, help with guidance and prompt questions. Evaluation questions used this way help reinforce learning.

Evaluation Questions for Lesson 3.4	
Questions	Answers
Fill-in-the-blanks	
1. The UN has a _____ policy on sexual exploitation and abuse.	Zero tolerance. The UN forbids staff any involvement in SEA.
2. SEA is _____ misconduct.	Category 1, Serious Misconduct.
3. _____ happens in a workplace, is a work related offence.	Sexual harassment. This distinguishes it from sexual exploitation and abuse.
4. _____ is abuse of a person's vulnerability and trust for sexual purposes.	Sexual exploitation. The person doing the exploitation may profit in different ways – money, power, social favours. <u>Attempted</u> abuse of a person's vulnerability or trust, or use of power against them, is SEA, not just actual abuse.
5. Actual or threatened sexual physical intrusion is _____	Sexual abuse.

<p>6. Both sexual exploitation and sexual abuse are _____ of power.</p>	<p>Misuses or abuses.</p> <p>Peacekeepers have more power than local people in a mission area. Any who use it for sex are committing SEA and serious misconduct.</p>
<p>7. When one person has more power than another, a _____ exists. Give two examples.</p>	<p>Power differential, exists when:</p> <ul style="list-style-type: none"> • one person has more money, status, education and protection than another • one person depends on another to sustain life • one person has a position of authority over another
<p>8. _____ receive help from a peacekeeping mission. Broadly interpreted, this includes local people.</p>	<p>Beneficiaries of assistance</p>
<p>9. Jokes about sex made at work that offend colleagues so they cannot work efficiently is a kind of _____.</p>	<p>Sexual harassment.</p>
<p>10. The UN strategy on SEA has _____ prongs; name them.</p>	<p>Three</p> <ol style="list-style-type: none"> 1. Prevention 2. Enforcement 3. Remedial action
<p>11. _____ and _____ are the main entities that receive misconduct allegations from a peacekeeping mission.</p>	<ol style="list-style-type: none"> 1. Conduct and Discipline Team, in mission 2. Office of Internal Oversight Services (OIOS)
<p>12. Locked drop-boxes, secure email addresses and telephone hot-lines are three ways the UN has set up for peacekeepers to _____.</p>	<p>Report allegations of SEA or other misconduct.</p> <p>Other measures:</p> <ul style="list-style-type: none"> • private meeting rooms for confidential reporting • focal points for country and region • Civil society • UN networks
<p>13. The UN commits to a _____ timeline for completing investigations of misconduct, as possible.</p>	<p>Six months</p>
<p>14. The UN can only take limited action against police personnel, military observers and military personnel</p>	<ul style="list-style-type: none"> • Repatriation • Barring them from future missions

<p>who commit SEA: _____ and _____.</p>	<p>The deploying Member State is responsible for disciplinary action.</p> <p>Proven cases of criminal conduct can be referred for prosecution or directly prosecuted by national authorities.</p>
<p>15. The UN _____ with a Troop Contributing Country on misconduct investigations and prosecutions, until informed of action taken.</p>	<p>Follows up. The UN is limited in actions can take against military personnel for misconduct – repatriation, barring from future missions. It asks TCCs to take suitable action, and follows up until it receives notice of action.</p>
<p>16. A perpetrator may be _____ accountable when SEA allegations are proven.</p>	<p>Criminally. Either a national government or a deploying Member State may prosecute criminal acts.</p>
<p>17. Missions may hold _____ to release information on allegations of misconduct, including SEA – especially cases reported in the media.</p>	<p>Regular briefings, to help manage negative effects of misconduct on:</p> <ul style="list-style-type: none"> a) mission image and credibility b) ability to implement its mandate
<p>18. The UN has found SEA in _____ duty stations.</p>	<p>All. The form and extent vary. The reality is shocking, to:</p> <ul style="list-style-type: none"> a) UN, b) international community, c) people who depend on the UN for protection, d) people betrayed by peacekeepers acting unethically, immorally and criminally. Don't be one.
<p>Narrative</p> <p><i>Note: Frame narrative evaluations as questions, requests or directions.</i></p>	
<p>1. Lesson 3.4 covers different duties and obligations peacekeepers have on sexual exploitation and abuse. Explain these obligations.</p>	<ol style="list-style-type: none"> 1. Do not engage in any sexual exploitation and abuse yourself. It's a crime, and a human rights violation. 2. Uphold the highest standards of conduct in all professional and private activities – you are accountable and must uphold Uniform Standards on SEA. 3. Report cases of sexual exploitation and abuse. 4. Contribute to a positive environment of respect that

	<p>prevents SEA.</p> <p>5. "Protect and serve" – behave in ways that justify the confidence and trust of people you have come to serve: with dignity, integrity, safety and courtesy.</p>
<p>2. Explain the UN's zero tolerance policy on SEA.</p>	<ul style="list-style-type: none"> • The UN passed the policy in 2003 because victims accused peacekeepers in different missions of SEA (Violations in Democratic Republic of Congo were widely reported) • All missions have reported SEA. The problem persists. • The UN zero tolerance policy means zero complacency, and zero impunity. • The policy means the UN: <ul style="list-style-type: none"> a) investigates credible allegations; b) holds perpetrators accountable, no impunity. c) puts active measures in place to prevent SEA, including mandatory training.
<p>3. What is the UN's policy on SEA?</p>	<p>Policy: Secretary-General's Bulletin on Special Measures for protection from sexual exploitation and abuse (ST/SGB/2003/13).</p> <p>Two other measures strengthen the policy.</p> <p>In 2015, the General Assembly adopted a report from the Secretary-General on <i>Special measures for protection against SEA</i>, which</p> <ul style="list-style-type: none"> • strengthens administrative measures against staff found guilty of misconduct, including withholding entitlements; • suspends pay to troop and police contributing countries in connection with suspects, based on credible evidence.

	<p>In 2007, the UN General Assembly approved <i>The United Nations Comprehensive Strategy on Assistance and Support to Victims of Sexual Exploitation and Abuse by United Nations Staff and Related Personnel</i>.</p>
<p>4. Who is responsible when a peacekeeper commits sexual exploitation and abuse?</p>	<ol style="list-style-type: none"> 1) The peacekeeper is responsible. Every peacekeeper has to a) be responsible, b) prevent SEA. 2) The manager or commander is responsible. Part of leadership's job is prevention of SEA. 3) The UN is responsible, for prevention. 4) Any colleagues aware of SEA are responsible for reporting misconduct. <p>The victim is not responsible.</p>
<p>5. Sexual exploitation can involve three types of abuse. Name them.</p>	<ol style="list-style-type: none"> 1. abuse of a person's vulnerability 2. abuse of a difference in power 3. abuse of trust
<p>6. Name at least five examples of SEA.</p>	<ul style="list-style-type: none"> • providing any help or aid in exchange for sexual favours – food, clothing, lodging • threatening to withhold help or aid in exchange for sexual favours • buying sex from prostitutes • forcing a young girl or boy to have sex • rape • trafficking people for prostitution • procuring prostitution for others
<p>7. In what ways are local people in a peacekeeping setting vulnerable, including to SEA?</p>	<ol style="list-style-type: none"> 1. fighting for survival in desperate circumstances 2. not knowing their rights and state duty / obligations to protect those rights – denial of human rights, resulting frustration 3. unequal power relations – and a history of inequality that others can exploit 4. widespread SGBV, worsening in conflict and lawlessness 5. dependence and trust on peacekeepers for safety and

	<p>security; belief in them</p> <ol style="list-style-type: none"> 6. broken family and community support networks – especially increases vulnerability for children under 18 years
<p>8. Name three consequences of abuse of trust, including through SEA.</p>	<ol style="list-style-type: none"> 1. Further victimizes vulnerable people and struggling societies 2. Negatively affects victims, possibly for life 3. Violates victims' human rights – the perpetrator violates human rights law 4. Disrupts families and communities 5. Undermines peace 6. Undermines credibility and legitimacy of the UN, peacekeeping, the mission
<p>9. How is sexual harassment different from sexual exploitation and abuse?</p>	<p>Sexual harassment involves a workplace; SEA do not.</p> <p>SEA is abuse of:</p> <ol style="list-style-type: none"> a) a person's vulnerability, b) differential power or trust for sexual purposes, and c) physical intrusion of a sexual nature. <p>Sexual harassment is any type of unwelcome sexual advance that:</p> <ol style="list-style-type: none"> a) interferes with work, b) is made a condition of employment or c) creates a hostile, offensive work environment. <p>Sexual harassment is always a work-related offense.</p>
<p>10. The UN prohibits three kinds of sexual activity for peacekeepers, and strongly discourages a fourth. Name them.</p>	<p>Prohibited:</p> <ol style="list-style-type: none"> 1. sexual activity with children under 18 years 2. exchange of money, work, goods, help or services for sex, including sex with prostitutes 3. use of children or adults to procure sex for others <p>Strongly discouraged:</p> <ul style="list-style-type: none"> • Sexual relationships with

<p>11. How does the UN prevent SEA?</p>	<p>beneficiaries of assistance</p> <ol style="list-style-type: none"> 1. Prohibits three types of sexual acts (sex with children, exchange of anything for sex, getting others to procure sex) 2. Discourages one type of sexual act (sex with beneficiaries of assistance) 3. Trains peacekeepers and requires training by Member States, so everyone is familiar with SEA and responsibilities to prevent it 4. Keeps the public informed, through public information and outreach: poster campaigns, briefings, town-hall meetings, intranet web sites, newsletters, radio broadcasts 5. Releases information about SEA allegations, investigations and follow-up (i.e. to the public) 6. Provides welfare, recreation facilities – or reimburses Member States for recreational equipment
<p>12. Explain the difference between how the UN investigates reports of SEA and sexual harassment.</p>	<p>Experts and professionals from HQ, OIOS, investigate SEA allegations.</p> <p>Conduct and Discipline Team and other mission units follow up sexual harassment charges.</p>
<p>13. Explain the Misconduct Tracking System and its use.</p>	<ol style="list-style-type: none"> 1) UN tracks misconduct allegations in Misconduct Tracking System (MTS). This global database include SEA. 2) MTS helps the UN monitor allegations and cases. Authorities refer all allegations to UN or national authorities for investigation. 3) The UN uses MTS to vet applications: <ol style="list-style-type: none"> a) international staff b) individually recruited military, police, corrections officers

	<p>c) UN Volunteers</p> <p>It checks applications against records of misconduct.</p> <p>TCCs and PCCs vet: a) military contingents and b) FPU for prior misconduct.</p>
<p>14. Name at least three entities that investigate or support investigation of Category I and II misconduct.</p>	<ul style="list-style-type: none"> • National authorities for military personnel • OIOS • In mission: Special Investigation Unit, Force Provost Marshall, UN Police Unit • Panels • Immediate Response Teams, set up in some peacekeeping missions to gather and preserve evidence for use in investigations
<p>15. The UN substantiates a misconduct allegation. Explain how follow up is different for a) UN staff members, b) experts (police and military observers) and c) military personnel.</p>	<p>Staff</p> <ul style="list-style-type: none"> • UN takes disciplinary action • authorities can refer criminal conduct for prosecution or national authorities may directly prosecute <p>Experts on mission – police, military observers</p> <ul style="list-style-type: none"> • deploying Member States take disciplinary action • UN can only take limited action • authorities can refer criminal conduct for prosecution, or national authorities may prosecute <p>Military personnel</p> <ul style="list-style-type: none"> • TCC sets disciplinary action or criminal sanctions. • UN can take only limited action – repatriation, disbaring – but asks TCCs to take appropriate action. • TCCs must report to the UN on misconduct investigations, prosecutions.

	<ul style="list-style-type: none"> The UN follows up, until the TCC informs about actions.
<p>16. Name some ways mission leaders and senior managers are responsible and accountable for SEA.</p>	<p>Responsibility</p> <ul style="list-style-type: none"> make sure their staff know about <ol style="list-style-type: none"> SEA and consequences, how seriously the UN views it - zero tolerance, make sure ALL staff take mandatory SEA training create an environment that does not tolerate SEA – encouraging all staff to report observed or suspected SEA appoint focal points for SEA and support awareness-raising – show up for activities emphasize to all staff the duty to report report all misconduct to CDT or OIOS help provide healthy recreation for staff be a genuine leader – a role model <p>Accountability</p> <ul style="list-style-type: none"> track progress on procedures to reduce SEA report all actions taken to prevent SEA ensure cooperation during investigations
<p>17. The UN's 3-pronged approach includes remedial action: name three types of remedial action.</p>	<ol style="list-style-type: none"> victim assistance reputation repair regular briefings – i.e. to the public
<p>18. Explain four main provisions in the UN's Uniform Standards on Sexual Exploitation and Abuse.</p>	<p>Uniform Standards <u>prohibit</u>:</p> <ul style="list-style-type: none"> sex with children under 18 years exchanging anything for sex use of anyone to procure sex <p>Uniform Standards <u>strongly discourage</u>:</p> <ul style="list-style-type: none"> sexual relationships between peacekeepers and beneficiaries of assistance

True-false	
1. Unless SEA is a problem in mission, peacekeepers do not need SEA training.	<p>False.</p> <ul style="list-style-type: none"> • The UN requires SEA training for all peacekeepers. • SEA is often kept hidden. Perpetrators can use shame to silence victims. • Peacekeepers believing it isn't happening is not adequate preparation or prevention.
2. When a person exchanges favours for sex, it isn't sexual exploitation because it does not involve money.	<p>False</p> <p>Sex, attempted sex, favours in exchange for sex -they are all serious. Sexual exploitation is an abuse of power. The actual act or benefit doesn't matter. The benefit can be money, power, social status or other favours.</p>
3. An attempted abuse of a person for sexual purposes is as much SEA as actual abuse.	<p>True. The definition is "actual or attempted abuse" of a person for sexual purposes. Even trying to commit SEA is serious misconduct.</p>
4. Both sexual exploitation and sexual abuse involve abuse.	<p>True.</p> <p>Sexual exploitation: <i>actual or attempted abuse of vulnerability or trust for sex, profit or benefit.</i></p> <p>Sexual abuse: <i>physical intrusion of a sexual nature.</i></p> <p>"Actual or <u>attempted</u> abuse" and "actual or <u>threatened</u>" physical intrusion equal misconduct.</p>
5. Force must be used, for the UN to classify an incident as sexual abuse.	<p>False. Force may be used: so can other means. Coercion, pressure to have sex, or manipulating a vulnerable person to have sex are also sexual abuse.</p> <p>Sexual abuse: <i>actual or threatened physical intrusion of a sexual nature, by force <u>or under unequal or coercive conditions.</u></i></p>

	Unequal power and misuse of power apply in both sexual exploitation and sexual abuse.
6. Peacekeepers can have sex with prostitutes when prostitution is legal under national laws.	False. Buying sex from prostitutes is SEA for the UN, Category 1 misconduct, even if it is legal in the host country.
7. Sexual harassment is Category II misconduct	True. SEA is Category 1, serious misconduct; sexual harassment is Category II. Sexual harassment is still misconduct, and still has consequences, for victims and perpetrators. Note; if sexual harassment involves an abuse of power or trust, different power or trust, or sexual physical intrusion, it <u>is</u> also SEA.
8. The UN strongly discourages peacekeepers from having sex with local people who benefit from UN assistance, but does not prohibit it.	True. Uniform Standards on SEA prohibit three acts – sex with children, exchanging anything for sex, and getting others to procure sex. Sex with beneficiaries of assistance is “strongly discouraged”.
9. CDT and OIOS only assess or refer some credible SEA allegations for investigation.	False. Authorities refer all credible allegations for investigation. The CDT assesses allegations before referral for investigation, to ensure credibility. The key word is credible. All credible allegations are investigated.
10. Troop and Police Contributing Countries must report to the UN on misconduct investigations and prosecutions.	True. The UN can only take limited action on military observers and police, and military personnel who commit misconduct. It does a) ask TCCs and PCCs to take appropriate action, and b) requires a report back on misconduct investigations and prosecutions. The UN follows up until informed about actions taken.
11. The UN can: a) withhold entitlements from staff found guilty of SEA, and b) suspend pay to TCCs and PCCs in connection with suspects, based on credible evidence.	True. In May 2015 the UN General Assembly adopted a report from the Secretary-General, <i>Special measures for protection from SEA</i> , which includes these measures. SEA policy was passed in 2003. The

	Member States are holding the UN increasingly accountable for addressing this misconduct, including through such special measures.
12. The Secretary-General reports to the General Assembly every two years on SEA, disciplinary matters and cases of criminal acts by staff.	False. S-G reports on these matters every year. The Security Council and General Assembly take SEA seriously, and have asked the S-G for annual reports.
13. Peacekeeping missions report quarterly and yearly on conduct and discipline to Department of Field Support at UN Headquarters in New York.	True. Quarterly reports are how the UN HQ stays informed about SEA, part of taking it seriously. Information in annual reports combine in the Secretary-General's annual report on SEA, misconduct and criminal acts by staff.
14. UN peacekeeping missions must help and support SEA complainants and victims.	<p>True. SEA has been ignored or tolerated for many years. In too many places, it still is. Victims can be blamed. The UN's zero tolerance on SEA rejects complacency and victim-blaming.</p> <p>In 2007, the UN General Assembly approved <i>The United Nations Comprehensive Strategy on Assistance and Support to Victims of Sexual Exploitation and Abuse by United Nations Staff and Related Personnel</i>.</p> <p>It requires missions to give medical and psycho-social help, legal services and immediate material care – food, clothing, shelter. Legal services include support for pursuit of paternity and child support claims.</p>
15. The UN keep SEA investigations and reports fully internal, so no reputations are damaged.	<p>False. The UN communicates results of investigations to the public, proven and unproven cases.</p> <p>A mission may hold regular briefings to release information on allegations of misconduct, including SEA.</p> <p>It is true that information is aggregated: no specific groups, contingents, nationalities or countries are “named</p>

	and shamed". The UN does try to protect reputations, but it does not keep information from the public.
16. Making false reports or allegations about SEA or other crimes is itself misconduct.	True. Personnel must report suspicions and concerns about SEA to the CDT in mission or OIOS. But people should only make such reports in good faith. People who report concerns later proven untrue will not face repercussions.

Commonly Asked Questions and Key Words

Key Words or phrases for this lesson:

Key Word or Phrase	Definition
Sexual exploitation	Sexual exploitation: actual or attempted abuse of a person's vulnerability, differential power or trust for sexual purposes, including profiting monetarily, socially or politically from the exploitation.
Sexual abuse	Sexual abuse: actual or threatened physical intrusion of a sexual nature, by force or under unequal or coercive conditions.

Commonly asked questions from participants:

Possible Questions	Possible Responses
Where can one find numbers for investigated and resolved cases of SEA?	Annual General Assembly reports on investigations (OIOS report). Information circular on Disciplinary Measures taken by the Secretary General. Annual report on Special Measures for Protection from Sexual Exploitation and Abuse.
Why does the United Nations not have authority over Member States with regards to individual SEA cases?	Member States are sovereign, according to Article 2 in the UN Charter. Uniform personnel sent by Member States remain under the jurisdiction of these states. Civilian staff members working for the UN have a contractual employment relation with the UN and this provides a degree of administrative jurisdiction to the UN on these staff members.
How is misconduct linked to the domestic jurisdiction of the host country and the home country of the staff member?	The presence of UN personnel in the host country gives that country the jurisdiction over UN personnel, other than members of national contingents, for misconduct that amounts to breaches of the law in that host country, subject to lifting of the UN privileges and immunities. For members of national contingents, they remain subjected to the laws of their own country. UN personnel, other than members of national contingents, could also be prosecuted for breaches to the national laws of their own country even if those breaches are committed outside of their own country.
Does having consensual sex with a prostitute automatically become sexual exploitation?	Yes, it is prohibited.

<p>Does it matter if SEA occurs outside of the mission area in the officer's own country (or another country) while on leave?</p>	<p>It does not matter. This policy is applicable to UN personnel wherever they are.</p>
<p>My national standards of conduct are different to the UN standards. Which standards apply to me?</p>	<p>Regardless of national standards, the uniform standards on SEA are the minimum standards for UN personnel.</p>
<p>Why does the UN supply condoms while at the same time preach zero-tolerance on SEA?</p>	<p>Part of the DPKO comprehensive HIV/AIDS prevention strategy. Sexual relations between consenting adults who are UN personnel are not prohibited, provided they do not contravene applicable codes of conduct.</p>

Reference Materials

Below are materials which are a) referenced in this lesson, and b) required reading for instructor preparations:

- Charter of the United Nations
- Charter of the United Nations (articles 100 and 101 (3) – and with regard to the meaning of terms such as integrity, efficiency and competence)
- United Nations Peacekeeping Operations Principles and Guidelines (also known as the Capstone Doctrine)
- International Bill of Human Rights
<http://www.ohchr.org/EN/ProfessionalInterest/Pages/InternationalLaw.aspx>
- 1946 Convention on the Privileges and Immunities of the United Nations
<http://www.un.org/en/ethics/pdf/convention.pdf>
- Model Memorandum of Understanding (MOU) between the United Nations and Troop Contributing Countries (A/C.5/60/26)
http://www.un.org/en/ga/search/view_doc.asp?symbol=A/C.5/60/26
- Subsequent amendments to the Model MOU between the United Nations and Troop Contributing Countries (A/61/19/REV.1(SUPP))
(annex contains 10 Rules/Code of Personal Conduct for Blue Helmets “We are the United Nations Peacekeepers” from the UN General Assembly Report of the Special Committee on Peacekeeping Operations and its Working Group on the 2007 Resumed Session (A/61/19 Part III))
<http://daccess-dds-ny.un.org/doc/UNDOC/GEN/N08/372/78/PDF/N0837278.pdf?OpenElement>
(Guidance on disciplinary matters is in the revised model Memorandum of Understanding, (A/61/19 part III).)
- Model status-of-forces agreement for peacekeeping operations, 9 October 1990 (A/45/594)
- Secretary General's Bulletin on “Special measures for protection from sexual exploitation and sexual abuse” (ST/SGB/2003/13) 9 October 2003
- Secretary General's Bulletin on “Prohibition of discrimination, harassment, including sexual harassment, and abuse of authority” (ST/SGB/2008/5)
- Family and child support obligations (ST/SGB/1999/4)
- Reporting of suspected misconduct (ST/IC/2005/19)
- Secretary General's Bulletin on “Protection against retaliation for reporting misconduct and for cooperating with duly authorized audits or investigations” (ST/SGB/2005/21) 19 December 2005

Additional Resources

UN Information

The website for UN peacekeeping: <http://www.un.org/en/peacekeeping/>

UN Documents

UN documents can be found on: <http://www.un.org/en/documents/index.html>
(Search by document symbol, e.g. A/63/100)

DPKO and DFS Guidance

The repository for all official DPKO and DFS guidance is the Policy and Practice Database: ppdb.un.org (only accessible from the UN network). Official peacekeeping guidance documents are also accessible through the Peacekeeping Resource Hub: <http://research.un.org/en/peacekeeping-community>

Instructors are encouraged to check for the latest guidance.

UN Films

UN films can be found on YouTube: <https://www.youtube.com/user/unitednations>

Additional Information

The PIP provides information on the mission and the local context:
<http://peacekeepingresourcehub.unlb.org>

Additional Training Resources

The Conduct and Discipline Unit at headquarters and Conduct and Discipline Teams (CDTs) in the mission provide additional information or support on issues covered in the lesson.