9. Observations in UNPP

A. Overview

UNPP has an "observations" feature that allows for the UN to append observations to a CSO's profile. Observations may be related to risk, or they may not be related to risk (e.g. observations may be in regard to neutral or favourable issues.)

Observations in UNPP are only viewable to a subset of UN users. They are never viewable by CSOs.

UNPP Advanced Editors have the ability to add observations to CSOs, and only to CSOs located in their own country. UN HQ Editors have the ability to add observations to CSOs, regardless of location. The content of observations added in UNPP is visible to UN Advanced Editors and UN HQ editors, whether in UNICEF or UNHCR or WFP. UN Basic Editors and UN Readers are able to view the number—but not the content—of observations. CSOs do not have access to the observations feature.

UN Advanced Editors and UN HQ Editors are encouraged to exercise professional judgment when adding observations to CSO profiles, ensuring that observations contain credible, value-adding information that would aid UN colleagues when considering partnership with a given CSO. In cases where a CSO profile already has one or more observations associated with it, UN Advanced Editors and UN HQ Editors should review the existing observations before adding any new observations, to ensure non-duplication.

B. Types of Observations in UNPP

Observation Type	Description
Not risk-related observation	A non-risk-related observation is appended by a UN Advanced Editor or UN HQ Editor to record salient information of a neutral or positive nature about a CSO that would be of relevance and interest to other UN agencies in deciding whether or not to pursue partnership. A non-risk-related observation may be appended, for example, to provide background information on a CSO.
Risk-related observation	A risk-related observation is added to a CSO profile by a UN Advanced Editor or UN HQ Editor when a CSO presents one of the following kinds of risk: (1) sanctions match; (2) reputational / ethical; (3) financial; (4) operational; (5) compliance; (6) sexual exploitation and abuse; (7) safeguarding violation; and (8) other. A risk-related observation may be added on the basis of first-hand knowledge, monitoring reports from UNICEF or other UN entities, and local media reports or other credible sources, including credible internet sources. The addition of such a 'regular' risk-related observation indicates that the risk is not of a magnitude, severity or certainty that justifies the escalation to a UN HQ Editor, or the immediate blocking of the CSO. However, it indicates that there is risk that should be considered prior to the selection of the CSO in UNPP. Any UN Advanced Editor who wishes to select such a CSO with a risk-related observation may proceed to do so, subject to local guidance at Country Office level.
Risk-related observations escalated to UN HQ Editor	A risk-related observation escalated to UN HQ Editor is a risk-related observation that is of a magnitude, severity of certainty that requires the review of a UN HQ Editor, for further guidance. A risk-related observation may be created and immediately escalated to UN HQ Editor. Alternatively, a risk-related observation initially accorded the 'regular,' non-escalated status may subsequently be escalated to a UN HQ Editor. An escalated risk-related observation should be reviewed by the UN HQ Editor, and a decision made as to whether the risk-related observation should be de-escalated (and

| | deferred back to the Country Office for local decision making), or "confirmed." In "confirming" the escalated observation, the UN HQ Editor appends a red flag to the CSO's profile, thus barring it from being selected. |

C. Risk Categories in UNPP

There are 8 categories of risk: (1) sanctions match; (2) reputational / ethical; (3) financial; (4) operational; (5) compliance; (6) sexual exploitation and abuse; (7) safeguarding violation; (8) other.

Risk Category	Description
Risk category #1: Sanctions match	UNPP has an automated sanctions list scanning feature. Any CSO that enters an organizational name or personnel names that form a text string match with an entry on the UN Security Council Sanctions List will have a system-generated risk-related observation appended to its profile.
Risk category #2: Reputational/ ethical risk	UNICEF's CSO implementing partners should demonstrate a commitment to the highest ethical standards. The UNICEF Policy Prohibiting and Combatting Fraud and Corruption states that CSO implementing partners are expected to adopt and enforce robust policies combatting fraud and corruption. Partners who fail to do so present reputational/ethical risk to the UN.
Risk category #3: Financial risk	UNICEF is implementing the HACT Procedure. Partners who have consistently received problematic spot check reports or audits demonstrating inability to provide assurance of funds provided by UNICEF present financial risk.
Risk category #4: Operational risk	UNICEF's CSO implementing partners should demonstrate adequate and strongly functioning internal processes, people and systems, to successfully implement programme activities. CSOs that consistently demonstrate inability to deliver services on time, within budget, in accordance with agreed/set terms, and toward the achievement of defined targets present operational risk.
Risk category #5: Compliance risk	UNICEF's civil society implementing partners are expected to comply with the General Terms and Conditions of the Programme Cooperation Agreement or Small Scale Funding Agreement signed with UNICEF. Partners who do fail to do so present compliance risk.
Risk category #6: Sexual exploitation and abuse	UNICEF's civil society implementing partners are expected to ensure that all employees and personnel comply with the provisions of the UN Secretary-General's Bulletin on "Special Measures for Protection from Sexual Exploitation and Sexual Abuse." Civil society organizations who fail to address sexual exploitation and abuse (SEA) through appropriate preventive measures, investigation and corrective action present SEA risk.
Risk category #7: Safeguarding violation	UNICEF's civil society implementing partners are expected to familiarize themselves with the UNICEF Policy on Conduct Promoting the Protection and Safeguarding of Children. They are expected to have in place policies for the protection and safeguarding of children and beneficiaries, and must ensure that none of their employees and personnel exposes children or any other intended beneficiary to any form of discrimination, abuse or exploitation. They are required to inform UNICEF if they have reasonable suspicions or become aware of any reports or allegations that their personnel have engaged in conduct that is prohibited under safeguarding policies. Civil society organizations who do not demonstrate commitment to promote the protection

	and safeguarding of all children and beneficiaries present safeguarding violation risk.
Risk category #8: Other	Depending on the local programme context, it may be relevant to add a risk-related observation that cannot be neatly categorized by one of the other categories above. A non-exhaustive list of additional potential risk factors include a CSO's linkages to political, business or military actors; issues of community legitimacy and acceptance; previous performance on other UNICEF or UN-supported projects; issues around transparency, etc.