

Board of Trustees  
17-18 June 2022

Refers to  
agenda item 7a

## **Agenda Item: Q1 2022 Safeguarding and Incident Management Report**

**Summary:** This report covers 1 January 2022 to 31 March 2022 (Q1: 2022) providing quarterly incident management (IM) and safeguarding (SG) management information to support effective management and governance oversight.

**Action Required:** The Board to read and note the report

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### **KEY TO ACRONYMS**

ACR	Americas and the Caribbean Region
AR	Africa Region
AWR	Arab World Region
BoT	Board of Trustees
C-FAR	Finance, Audit and Resources Committee
DLT	Directors Leadership Team
EN	European Network Region
ESEAOR	East and Southeast Asia and Oceania Region
IC/ICs	Incident Coordinator/s
MA/Assoc/CP	Member Association/Associate Member/Collaborative Partners

# Q1 2022 Quarterly Safeguarding and Incident Management Report Introduction

## 1. Introduction

This report covers 1 January 2022 to 31 March 2022 (Q1: 2022) providing quarterly incident management (IM) and safeguarding (SG) management information to support effective management and governance oversight.

Following the internal audit of the safeguarding and incident management functions completed at the end of Q4 2021, a management action plan was produced to track progress of the 19 actions required. Two actions have been completed, 11 actions are underway and progressing and six actions have not yet commenced.

**Data correction:** the 2021 Annual Incident Management and Annual Safeguarding reports reported the cumulative total of reported safeguarding concerns to 31 December 2021 as 17. Completion of the post migration data cleansing of the legacy system cases undertaken in February 22, identified a further safeguarding case that had been incorrectly classified as an Employment and Work Place Matters. This case was open and closed in 2021 and all allegations, were dealt with before the case was closed. The only impact of this mis-classification is that the cumulative total number of safeguarding concerns received by 31 December 2021 is 18, rather than the 17 stated previously and the cumulative total of Employment and Workplace Matters concerns reduced by one.

## 2. Key Messages

### Incident Management

#### ▪ Cumulative Status of Concerns reported to end of Q1

The cumulative number of all reported concerns received since IPPF SafeReport went live in December 2018 to the end of Q1 2022 now stands at 225. Of this total, 187 (83%) have been closed and 38 concerns remain open.

Of all open concerns:

- Seven relate to the Secretariat of which four relate to Employment and Workplace Matters, and three to Financial Wrongdoing.
- 31 relate to MAs, of which 16 relate to Employment and Workplace Matters, one to Equality, Diversity and Inclusion, nine to Financial Wrongdoing, and five relate to Safeguarding.

Within the 38 open concerns, some are in the 2020-2021 backlog; five (13%) were reported in 2020 and nine (26%) in 2021. When compared to the backlog at the end of Q4 2021, this represents an 18% reduction in the 2020 backlog and 46% in the 2021 backlog. The backlog will continue to be a key priority for relevant staff.

#### ▪ Q1 Status

In Q1, 22 reported concerns were closed and 25 new concerns reported; as compared to the 2021 Q1 closure of 53 concerns and 12 concerns reported. The Q1 2021 case closures figure is an anomaly as it was in this period that a large number of historical Arab World cases were closed.

Of the 25 new concerns reported, 16 relate to Employment and Workplace Matters, two relate to Safeguarding, six relate to Financial Wrongdoing and one relates to Information and Service Provision to Clients.

### Safeguarding

The 2022 Annual Safeguarding and Incident Management Workplan has been agreed and activities agreed will be progressed through the Safeguarding Team and with increased input from the repopulated Safeguarding Task Force.

Appendix 1 of this report provides data relating to the completion of the 2021 Mandatory Safeguarding Refresher Training. This was to be completed by all staff between November and the end of December 2021. The deadline was extended to 31 January 2022 and the data in Appendix 1 includes this extension period. The training included five modules with each carrying 20% contribution to course completion data.

The overall completion data identifies that of the 291 individuals required to complete the refresher Training (including consultants and the DLT), 114 people (39%) completed all five modules, 35 people (12%) completed four modules, eight people (3%) completed three modules, 12 people (4%) completed two modules, 69 people (24%) completed one module and 53 people (18%) did not complete any modules. Of the 53 people that did no modules, four were on paternity, maternity or sick leave. Lessons learned about this first pilot annual refresher training is included in Appendix 1, and these will be built into the design, timing and roll out of the 2022 refresher training.

### 3. Achievements

#### Incident Management

- **Progression of the Management Action Plan** responding to the Safeguarding and Incident Management internal audit undertaken in Q4 2021:
  - Developed an improved triage documentation for regional offices to utilize.
  - Reviewed the list of designated Incident Coordinators across the secretariat.
- **Completed the post migration data cleanse:** this commenced in Q4 2021, and completed in Q1 2022
- **Continued focus and attention on the pace and approach to open cases:** the number of reported concerns that remain open at the end of Q1 (38) has increased quarter on quarter and year on year. However, in light of the fact that the number of new concerns reported in Q1 (25) is double the Q1 2021 figures (12), and more than double the Q4 2021 figures (11), the positive trend of improving attention to and pace of closure continues, irrespective of the number of new reported concerns received.
- **Began reviewing the information recorded in IPPF SafeReport about lessons learned:** Lessons to be learnt is mandated narrative to be recorded in IPPF SafeReport by Incident Coordinators for every reported concern before it can be closed. This is so we can extract this information to improve or better embed knowledge/understanding and practice. We have already identified that the quality of the lessons learned narrative recorded to date, does not provide the information required. Incident Coordinators need to better understand how to recognise and record lessons. Training will be developed and delivered to redress this.

**Table 1: IM related training delivered in Q1.**

SafeReport System Training delivered in Q1			
Training delivered	No of courses delivered in Q1	Total No. of participants trained	Participants
Regional Incident Reporting Unit Responsibilities	1	3	Head of Operations, Deputy Regional Director
Total no. of staff trained			3

#### Safeguarding

- **Began the evaluation of the new Global Safeguarding Induction training:** as this training commenced in October 2021, the evaluation of the training will be done twice a year to inform the continuous improvement our Safeguarding Induction Training.
- **Commenced a safer recruitment compliance initiative:** to assess how the secretariat is aligned with the safer recruitment requirements of relevant IPPF policies.
- **Collaborated with Governance and Accreditation colleagues:** to discuss whether and to what extent the proposed safeguarding and incident management amendments to the MA Accreditation standards and checks will be included in the new model.
- **Agreed and implemented new ways of working:** for the Safeguarding Task Force to facilitate progression of the workplan priorities agreed, with increased input from regional offices.

**Table 2: SG Training delivered in Q1**

Safeguarding-related training delivered in Q1		
Training course	Audience	Total No. of participants
Global Safeguarding Induction Training	New Secretariat staff	21
Safeguarding Train the Trainer	1 MA	12
Safeguarding Train the Trainer	Secretariat staff	5
Total no. of staff trained		38

## 4. Looking ahead to Q2 and beyond

Looking ahead to Q2, key priorities will be:

- **Closure of Backlog reported concerns:** Continued focus and push for the completion and closure of the 2020 (5), and 2021 (9) open cases.
- **Global Safer Recruitment Initiative:**
  - review of secretariat-wide recruitment practice to assess compliance with IPPF's safer recruitment requirements as per the Safeguarding (Children and Vulnerable Adults and Employment Principles policies); changes to be proposed and implemented where required; and
  - develop a proposal for the DLT consideration, in respect of a sector wide initiative seeking to prevent sexual abuse, exploitation and harassment in our sector – the Misconduct Disclosure Scheme administered by the Steering Committee for Humanitarian Response.
- **Safeguarding Capacity Building:**
  - promotion of new monthly safeguarding technical surgeries provided by safeguarding subject experts. These will be drop-in, online sessions to provide space for colleagues to drop in and ask questions about safeguarding. These sessions will not facilitate the sharing of concerns that people have individually about safeguarding – rather provide knowledge growth and capacity building opportunities for regional offices;
  - support, workshops etc, for the AWRO to improve safeguarding and incident management practice;
  - continue to provide opportunities to increase MA awareness of safeguarding through training; and
  - planning quarterly MA peer to peer safeguarding forums, intended to provide subject expertise to MAs in attendance, promote and facilitate MA to MA peer learning and information sharing of lessons learned.

## 5. Incident Management Dashboard

### No of Secretariat staff and MAs – Chart 1

**Chart 1** shows the number of Secretariat staff and the number of MAs in the Federation by the end of Q1. At the end of Q4 2021, the total number of staff in the secretariat was 277 and the number of MAs, including collaborative and other partner entities was 141. By the end of Q1 2022, staff numbers increased to 280 (+ 10 on Q4 2021) and the number of MAs remained static at 141.

### Concerns reported – Charts 2-6

**Chart 2** shows the number of concerns reported to IPPF SafeReport *in* Q1 2022 and Q1 2021. This is inclusive of Safeguarding Concerns, but these are reported separately in **Charts 3 and 3a** for clarity.

**Chart 2a** shows the cumulative total of all concerns reported *by* the end of Q1 2022 and Q1 2021 including safeguarding concerns.

**Chart 3** shows *only* the safeguarding concerns reported *in* Q1 2022 and Q1 2021.

**Chart 3a** shows the cumulative total of safeguarding concerns reported *by* the end of Q1 2022 and Q1 2021.

**Chart 4** shows the breakdown by Primary Issue Type (PIT), of *all* reported concerns from the Federation *in* Q1 2022 and Q1 2021.

**Chart 4a** shows the breakdown of safeguarding concerns reported *in* Q1 2022 and Q1 2021.

**Chart 5** shows the number of concerns reported by region in Q1 2022 and Q1 2021.

**Chart 6** shows the concerns reported by PIT sub-category in Q1 2022 and Q1 2021.

**Key takeaway?** The number of concerns reported *in* Q1 has increased slightly year on year with 25 in Q1 2022 compared to 12 in Q1 2021. Nine of the 25 new concerns were submitted in February and March from the Arab World Region. All nine cases were MA related, about issues that had been reported to staff at the regional office, but not added to SafeReport as required. This was picked up and discussed at DLT level in March, followed by guidance, and support as well as clear direction about how such cases should be handled in future.

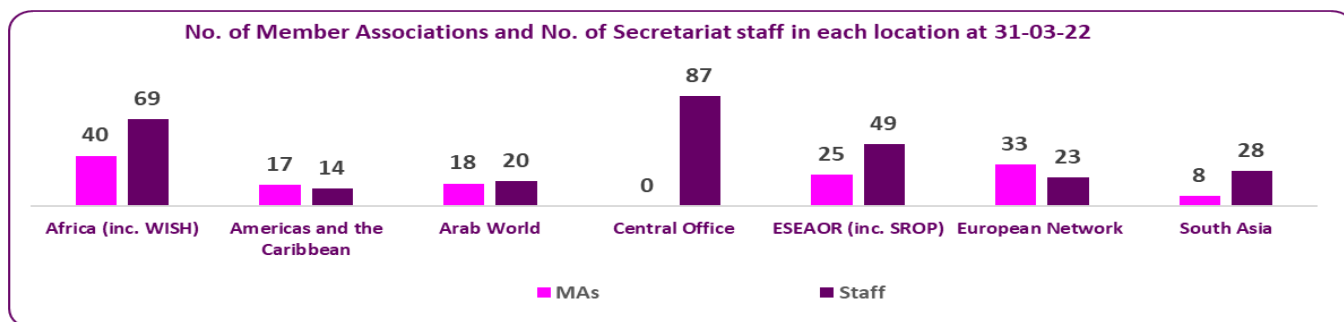
Without this group of nine concerns, the number of concerns reported remains static at an average of six new concerns a month, based on the 3¼ years IPPF SafeReport has been operating.

Cumulatively, the most frequent issues have always been static: Employment and Workplace Matters and Financial Wrongdoing. However, the gap between the number of Financial Wrongdoing cases and Employment and Work Place Matters widens, with the latter now standing at a cumulative total of 128 concerns while Financial Wrongdoing concerns total 61.

As mentioned in previous reports, an increased number of Employment and Workplace Matters could suggest an increased level of staff dissatisfaction or the opposite – e.g., growing trust in the system and processes in place to respond to concerns raised and an increase in the sense staff have that their concerns will be taken seriously. This is something that can be tested by including specific questions in the next staff pulse survey, to support our understanding of what the data implies, but which needs further qualitative information to corroborate.

SafeReport has for some time now, had six Primary Issue Types, each with its own group of sub-categories. There may be other matters raised in reported concerns, but the data provided in this and related reports, covers the primary issue and its most relevant sub-category.

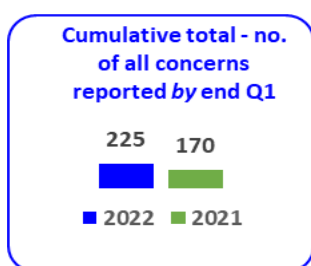
**Chart 1**



**Chart 2**



**Chart 2a**



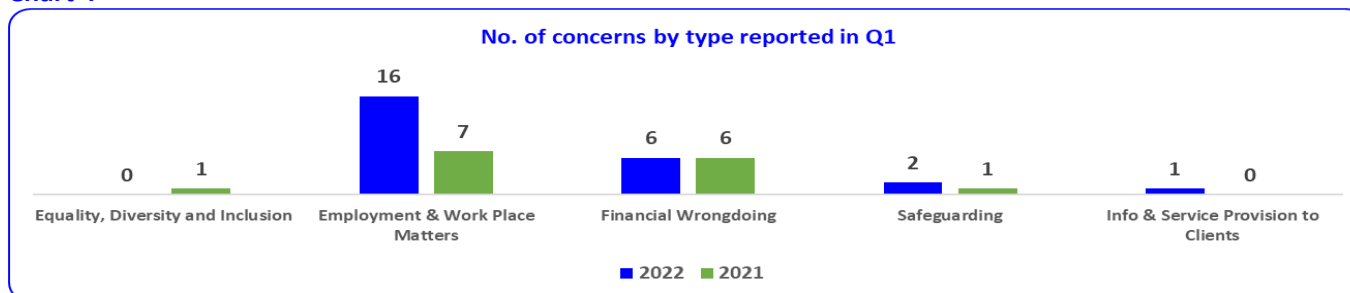
**Chart 3**



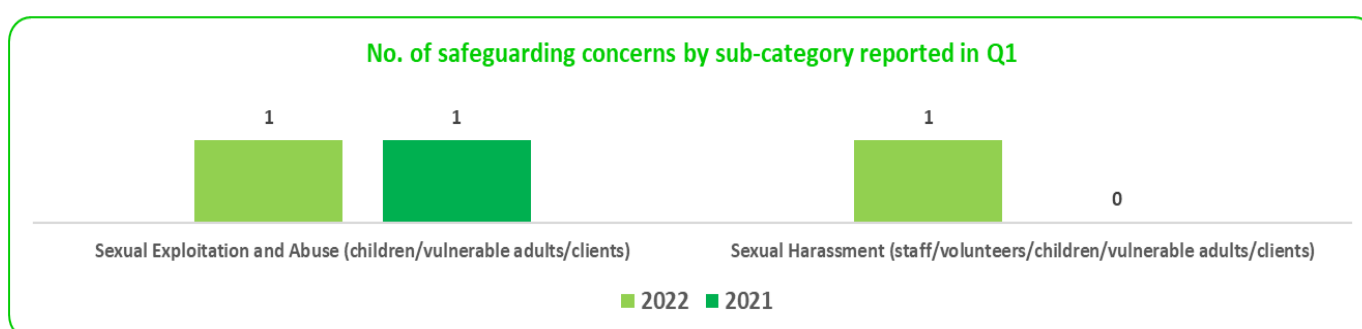
**Chart 3a**



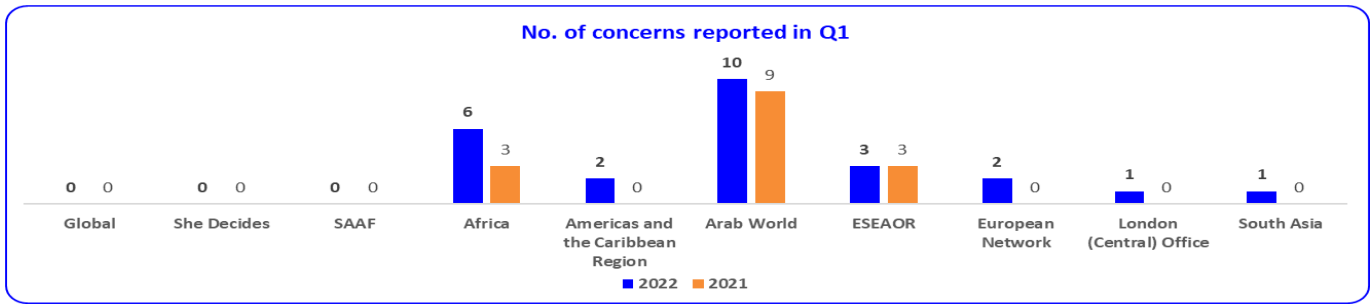
**Chart 4**



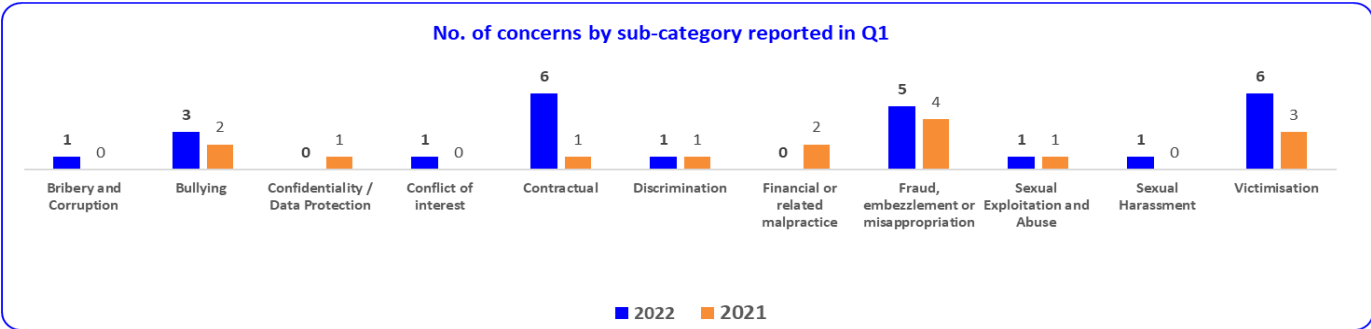
**Chart 4a**



**Chart 5**



**Chart 6**



**Concerns closed – Charts 7 - 9**

**Chart 7** shows the number of all concerns that were closed *in* Q1, irrespective of when they were reported.

**Chart 7a** show the cumulative total of all concerns closed *by* the end of Q1.

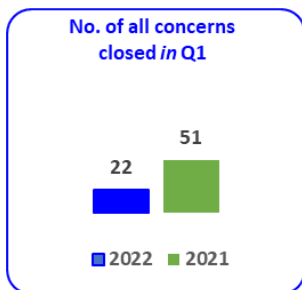
**Chart 8** shows the number of safeguarding concerns closed *in* Q1, irrespective of when they were reported.

**Chart 8a** shows the cumulative total of safeguarding concerns closed *by* the end of Q1.

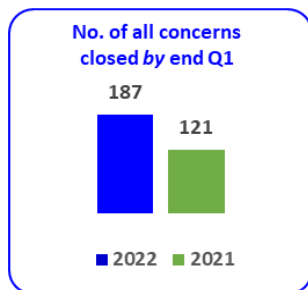
**Chart 9** shows the number of reported concerns closed by region/programme/location *in* Q1.

**Key take-away?** Our focus remains on improvements to the pace of the response to concerns reported in. With respect to the cases that relate to the secretariat there has been a noticeable improvement in the pace and robustness of the work being undertaken.

**Chart 7**



**Chart 7a**



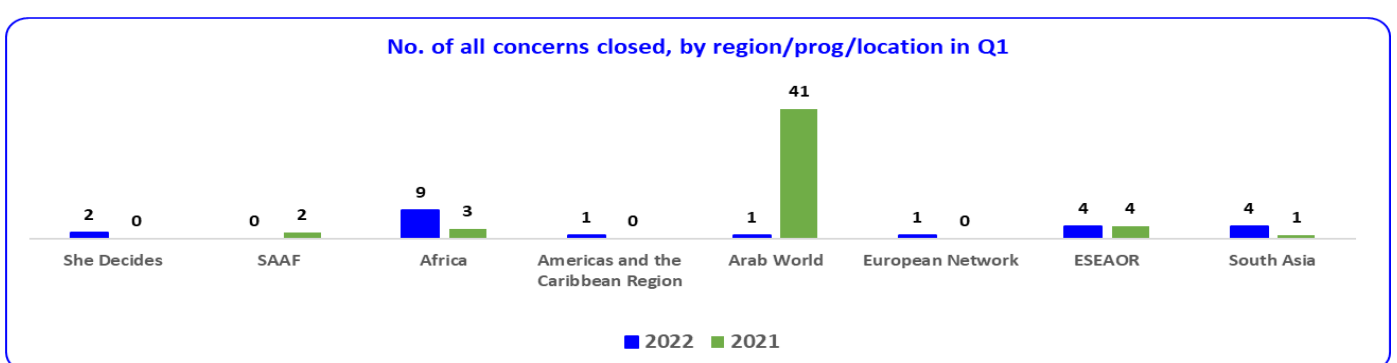
**Chart 8**



**Chart 8a**



**Chart 9**



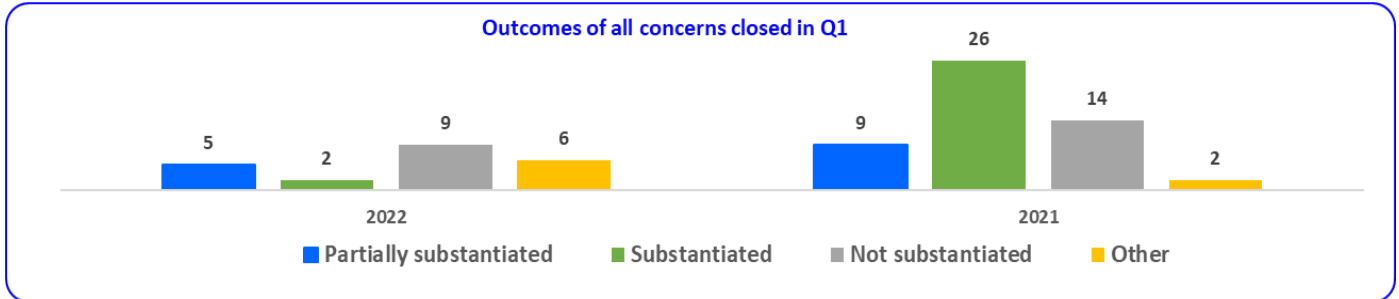
**Concern outcomes – Charts 10 – 10a**

When concerns reported to IPPF SafeReport are concluded and closed, the outcome of each case is recorded. **Chart 10** shows the cumulative outcomes of **all** concerns closed in Q1 2022, including safeguarding concerns.

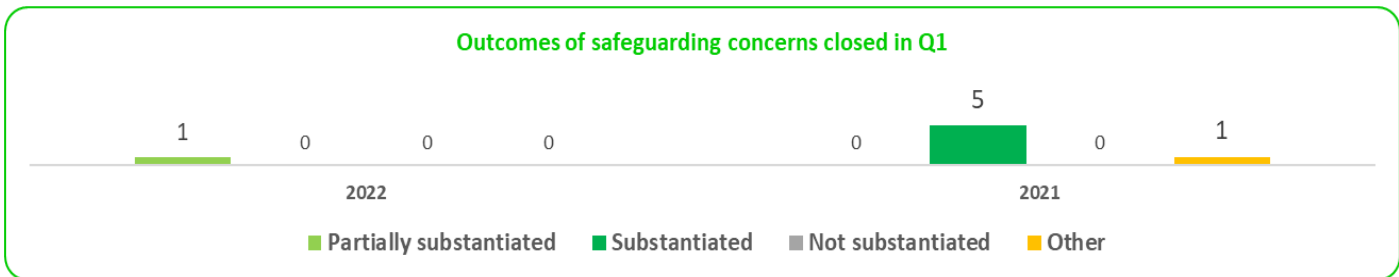
**Chart 10a** shows the outcomes of **only** safeguarding concerns concluded and closed in Q1 2022.

**Key Takeaway?** Outcomes of cases closed in Q1 indicate an even spread of outcomes in all four categories. The comparison with Q1 2021 is unhelpful as that quarter saw a big spike in case closures in the Arab World Region.

**Chart 10**



**Chart 10a**



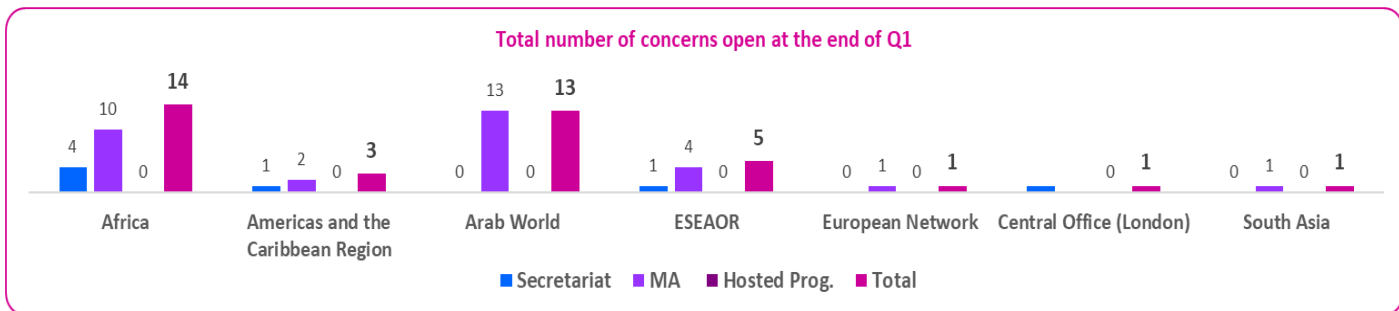
**Open concerns**

**Chart 11** shows the number of reported concerns that remain open by the end of Q1; 38, which is 17% of the total caseload. Secretariat locations and hosted programmes with no open cases do not appear in the chart.

Of the 38 cases which remain open, 31 (82%) relate to MAs; an increase of 8% on the Q4 2021 figures, seven (18%) relate to Secretariat Offices (no change on the Q4 2021 figures). Three backlog cases cannot be closed, despite all work being progressed, however this case is subject to court action which remains pending.

**Key Takeaway?** It is noticeable that the number of open cases relating to MAs has steadily increased. This is a result of more MA new concerns being reported than are being progressed to conclusion. Feedback received from MAs about the length of time these concerns are taking to progress tends to be about lack of resources to engage an investigator, requests for the secretariat to do the work rather than the MA, lack of underpinning policies to guide this work and lack of competency in the areas of incident management, investigation, and related skills. Developing resources to support secretariat staff and MA staff will be progressed in 2022.

**Chart 11**



## Appendix 1: 2021 Mandatory Safeguarding Refresher Training: Reflections, Learning, Completion

In Q4 2021, IPPF's first mandated Safeguarding Refresher Training was created in-house by the Safeguarding Team. HR colleagues across the secretariat provided the names of all staff, consultants and interns etc, in their location and the training was shared on 23 November 2021 with 291 people.

### About the training

The training was split into five modules. Collectively, the modules aimed to ensure that once completed, staff had refreshed their knowledge of the IPPF Safeguarding Framework and deepened their understanding of the core concepts of safeguarding. It also aimed to ensure people understand their rights and responsibilities in relation to safeguarding within the context of their role.

The fifth module (The Kaya Module) is an online course, created by the Humanitarian Leadership Academy. It specifically seeks to support a deeper understanding of safeguarding in the humanitarian and development sector. It looks at a diverse range of safeguarding issues affecting the vulnerable groups we serve and focus on the 'non-negotiables for conduct' in safeguarding. Bespoke training was created for the DLT, comprising two modules. Module one was delivered on 23 November 2021, and DLT members were required to complete the Kaya Module.

Staff were mandated to complete the training by 21 December 2021 with the exception for the Directors Leadership Team who were given until 31 December. Mechanisms for follow up by line managers were not enforced regionally. Global and regional completion data is provided below. A number of staff did not complete the training on time and so the decision was taken to include in the completion data all staff that completed the training by 31 January 2022. Each of the five modules contributed 20% completion rate, as follows:

- 20% completion – staff completed any one of the five modules
- 40% completion – staff completed any two of the five modules
- 60% completion – staff completed any three of the five modules
- 80% completion – staff completed any four of the five modules
- 100% completion – staff completed all five of the five modules

For this first, pilot year, certificates of participation are provided to every individual that completed any of the five modules. Only those that did not complete any module will not receive a certificate. This is to introduce a more carrot than stick approach to underpin the increased expectations around completion to be implemented in 2022.

### Reflections to inform the 2022 training

This training was a pilot and a number of clear learnings have been identified and will be factored into the development of the 2022 training, including:

**Lesson 1: Technical challenges:** Feedback was received from a small number of people (less than 10%) about technical challenges (and frustration) around accessing or saving the data as they progressed through the course.

**Action:** the 2022 training will consider technical issues that arose and make changes where possible.

**Lesson 2: Completion rates for all five modules not ideal:** central office completion rates were particularly poor. While there were technical challenges experienced, we need to increase the completion rate for the 2022 training to 100% of the training, completed by 100% of the staff.

**Action 2:** Line Managers and HR colleagues will be asked to work together to take proportionate action if the training is not completed by one or more of their team. Regional and Divisional Directors to ensure the 100% completion compliance rate is a key message when the 2022 training is launched.

**Lesson 3: The timing of the training should be brought forwards:** November is not a good month for training.

**Action 3:** It should be expected that the increased regional management oversight and follow up, will result in improved completion rates. For the 2022 refresher training, the training will be launched earlier, but other than in exceptional circumstances, extended deadlines will not be agreed.



## Completion data

### Secretariat-wide – 291 people

- **53 (18%) completed no modules**
- 69 (24%) completed 1 module
- 12 (4%) completed 2 modules
- 8 (3%) completed 3 modules
- 35 (12%) completed 4 modules
- **114 (39%) completed all 5 modules**

### Directors Leadership Team – 11 people

- 11 (100%) completed one module
- 9 (82%) completed all modules DLT modules

## Regional completion data

### ACRO – 12 people

- **0 (0%) completed no modules**
- 6 (50%) completed 1 modules
- 0 (0%) completed 2 modules
- 0 (0%) completed 3 modules
- 1 (8%) completed 4 modules
- **5 (42%) completed all 5 modules**

### ENRO 24 people

- **2 (8.5%) completed modules**
- 0 (0%) completed 1 module
- 1 (4%) completed 2 modules
- 2 (8.5%) completed 3 modules
- 6 (25%) completed 4 modules
- **13 (54%) completed all 5 modules**

### ARO 74 people

- **6 (8%) completed no modules**
- 31 (42%) completed 21 module
- 3 (4%) completed 2 modules
- 1 (1%) completed 3 modules
- 5 (7%) completed 4 modules
- **28 (38%) completed all 5 modules**

### ESEAORO 30 people

- **7 (23.5%) completed no modules**
- 9 (30%) completed 1 module
- 0 (0%) completed 2 modules
- 1 (3%) completed 3 modules
- 3 (10%) completed 4 modules
- **10 (33.5%) all 5 modules**

### AWRO 18 people

- **0 (0%) completed no modules**
- 8 (44.5%) completed 1 module
- 0 (0%) completed 2 modules
- 0 (0%) completed 3 modules
- 2 (11%) completed 4 modules
- **8 (44.5%) completed All 5 modules**

### SARO 20 people

- **6 (30%) completed no modules**
- 5 (21%) completed 1 module
- 1 (4%) completed 2 modules
- 0 (0%) completed 3 modules
- 4 (17%) completed 4 modules
- **13 (54%) completed all 5 modules**

### CO 78 people

- **29 (37%) completed no modules**
- 8 (10%) people completed 1 module
- 6 (8%) people completed 2 modules
- 2 (3%) people completed 3 modules
- 10 (13%) completed 4 modules
- **23 (29%) completed all 5 modules**

### SROR – 20 people

- **6 (30%) completed no modules**
  - 2 (10%) completed 1 module
  - 1 (5%) completed 2 modules
  - 2 (10%) completed 3 modules
  - 4 (20%) completed 4 modules
  - **5 (25%) completed all 5 modules**
-