Agenda Item: Q4 2022 Safeguarding and Incident Management Report

Summary:

This report covers 1 October 2022 to 31 December 2022 (Q4: 2022), providing quarterly incident management (IM) and safeguarding (SG) management information to support effective management and governance oversight.

It is positive to report that the last quarter saw five key achievements:

1. Completion of Annual Safeguarding Refresher Training at 95% across the Secretariat, a significant shift from last year, which illustrates the embedding of Safeguarding into our operating rhythm and culture.

2. Training of all ACRO MA/CPs (Executive Director level)

3. Training of entire Family Planning Association Malawi (governance and staff) as part of a joint mission between Safeguarding, ARO Accreditation and W2A compliance.

4. Roll-out of Escalation framework and procedures

5. Progressed translation of the Safeguarding Training Pack into the following languages: Malay, Swahili, Russian, Nepali, Hindi, Kannada, Bengali, Sinhalese, Tamil.

We also strengthened the Safeguarding Team with a highly experienced Safeguarding Adviser to support ARO, AWRO and SARO joining the team in Q4 and are looking to moving back to full complement of resource over the next three months.

Action Required: The Board to read and note the report

Contents	Page

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

Q4 2022 Quarterly Safeguarding and Incident Management Report

Introduction

This report covers 1 October 2022 to 31 December 2022 (Q4: 2022), providing quarterly incident management (IM) and safeguarding (SG) management information to support effective management and governance oversight.

Key Messages

Incident Management

1. **Cumulative Status of Concerns reported to end of Q4**

The cumulative number of all reported concerns received since IPPF SafeReport went live in December 2018 to the end of Q4 2022 now stands at 282. Of this total, 244 (87%) have been closed and 38 (13%) remain open.

Of all open concerns:

- Five (13%) relate to the Secretariat, of which three relate to Employment and Workplace Matters, one to Financial Wrongdoing, and one to Safety and Security.

- 33 (87%) relate to MAs, of which 16 relate to Employment and Workplace Matters, one to Equality, Diversity and Inclusion, 14 to Financial Wrongdoing, and two relate to Safeguarding.

2. **Clearance of the 2020/2021 backlog and additional concerns to join backlog**

Sadly, of the seven backlog cases, none that were open at the beginning of Q4 were closed in Q4. All backlog concerns are arising from or about MAs. Despite the fact that no backlog concerns were closed in Q4, more progress has been made on *all* seven open backlog concerns, of which:

- Two concerns reported in 2021 will be closed in January 2023;

- Three linked concerns, reported in 2020 and awaiting court action, are likely to be ready for closure in Q1 2023 as these have been more deeply reviewed and actions to close have been discussed and agree;

- One concern, reported in 2020 has progressed significantly and will very likely be closed in Q1 2023; and

- One concern, reported in 2021, has been investigated. We await the MA feedback and next steps

From Q1 2023, reporting on backlog concerns will include concerns that remain open for six months or more.

Q4 Status

In Q4, 20 reported concerns were closed, and 12 new concerns reported. Of the 12 new concerns reported, five (42%) relate to Employment and Workplace Matters, one (8%) to Equality, Diversity and Inclusion and four (34%) to Financial Wrongdoing, one (8%) to Safeguarding, and one (8%) to Safety and Security.

Achievements

The Q3 report noted the work planned for completion in Q4:

- **Rolled out the policy, process and procedure for the Reportable or Serious Incidents (RoSI):** systematising effective and compliant internal escalation and external reporting to donors and regulators; **Completed**

- **Roll out of 2022 Safeguarding Refresher Training**, deepening staff knowledge of safeguarding and facilitating the mainstreaming of the principles of safeguarding in the work they do. All secretariat staff were required to complete this by 31 December. **Completed – compliance data included below**

- **Completion of delivery** of the annual safeguarding course to the Board of Trustees, refreshing knowledge and supporting the board's ability to fulfil its safeguarding governance responsibilities. **Completed**

In addition, we:

- **Continued to pilot technical drop-in sessions** for staff responsible for Incident Management work.

- **Audit Management Action Plan** two further actions were completed taking us to 80% completion of corrective actions raised in the audit report.

Table 2: SG Training delivered in Q4

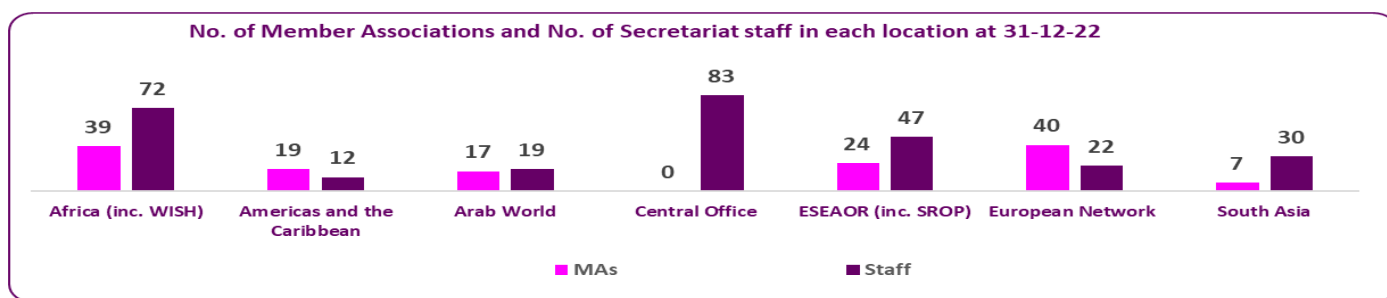| Training course	Audience	Total No. of participants
Global Safeguarding Induction	New Secretariat staff	14
Safeguarding Sensitisation and Awareness	All ACRO MAs/CPs	14
Safeguarding Sensitisation and Awareness	Family Planning Association of Malawi – Board of Trustees and staff	37
Safeguarding Refresher course 2022	IPPF Board of Trustees	7
	Total no. of people trained	**72**
	Total no. of hours	24

Looking ahead to 2023

Key priorities include:

- **Roll out** of the Safe Recruitment initiative - to deepen our practice of pre-employment screening and improve our suitability assessments of candidates – as per the Safeguarding Framework.

- **Design and deliver** 2023 Safeguarding Refresher training for staff and Trustees, using the 'knowledge refresh and test' approach used in the 2022 and, aiming to increase and deepen knowledge through case studies.

- **Establish, accredit, and manage** a cadre of diverse investigators from IPPF's different regions/countries to facilitate speedier engagement of investigators/audit firms to investigate SafeReport cases and improving the quality assurance of investigations under the 'Respond' pillar of the Safeguarding Framework.

- **Embed and develop safeguarding roles**, according to the new organisational structure, integrating safeguarding and incident management to strengthen and streamline our capacity.

- **Achieve the 2023 KPIs agreed** for Safeguarding and for Incident Management:
  a. 70% of MAs received safeguarding training at Executive Director and Board Level
  b. 100% completion compliance of the 2023 Safeguarding Refresher Training – for staff and Trustees
  c. 100% of new staff at IPPF to attend global safeguarding induction within four weeks of their start date.

- **Increase the capacity** of Regional Offices to deliver safeguarding training to MAs/CPs.

- **Continue the development** of new safeguarding and incident management resources/training/support/events to improve organisational competencies in these areas.

Incident Management Dashboard

No of Secretariat staff and MAs – Chart 1

Chart 1 shows the number of Secretariat staff and MAs in the Federation by the end of Q4. By the end of Q4 2022, staff numbers remained the same overall as Q3: 285, albeit Regional changes have happened. The number of MAs also remained the same as Q3: 139.

No. of Member Associations and No. of Secretariat staff in each location at 31-12-22

Location	MAs	Staff
Africa (inc. WISH)	39	72
Americas and the Caribbean	19	12
Arab World	17	19
Central Office	0	83
ESEAOR (inc. SROP)	24	47
European Network	40	22
South Asia	7	30

Concerns reported – Charts 2-6

Chart 2 shows the number of concerns reported to IPPF SafeReport *in* Q4 2022 and Q4 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 Q4 2022 and Q4 2021 including safeguarding concerns.

Chart 3 shows *only* the safeguarding concerns reported *in* Q4 2022 and Q4 2021.

Chart 3a shows the cumulative total of safeguarding concerns reported *by* the end of Q4 2022 and Q4 2021.

Chart 4 shows the breakdown by Primary Issue Type (PIT), of *all* reported concerns from the Federation *in* Q4 2022 and Q4 2021.

Chart 4a shows the breakdown of safeguarding concerns reported *in* Q4 2022 and Q4 2021.

Chart 5 shows the number of concerns reported by region in Q4 2022 and Q4 2021.

Chart 6 shows the concerns reported by PIT sub-category in Q4 2022 and Q4 2021.

Key takeaways?

Of the 12 concerns reported to IPPF SafeReport in Q4: nine were related to MAs and three to regional offices.

Of the nine MA concerns reported: four were about Employment and Work Place Matters, one about Equality Diversity and Inclusion, three about Financial Wrongdoing, and one about Safeguarding.

Of the three RO concerns reported: one was about Employment and Work Place Matters, one about Financial Wrongdoing and one about Safety and Security.

The number of all new concerns reported to SafeReport in Q4 including safeguarding, remained static year on year. However, in Q4, the 12 new concerns reported represents a 54% decrease to those reported in Q3 (22 concerns reported). There is no obvious reason for this decrease, other than December, according to trends analysis, is a month in which we have always received fewer new reported concerns.
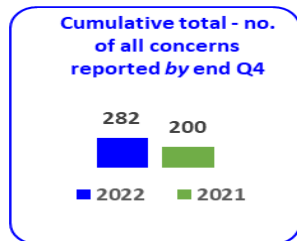
Chart 2

No. of all concerns reported *in* Q4

12   11

■ 2022 ■ 2021

Chart 2a

Cumulative total - no. of all concerns reported *by* end Q4

282   200

■ 2022 ■ 2021

Chart 3

Safeguarding concerns reported *in* Q4

1   1

■ 2022 ■ 2021

Chart 3a

Cumulative - total no. Safeguarding concerns reported by end Q4

23   18

■ 2022 ■ 2021

Chart 4

No. of concerns by type reported in Q4

	Equality, Diversity and Inclusion	Employment & Work Place Matters	Financial Wrongdoing	Safety and Security	Safeguarding
2022	1	5	4	1	1
2021	0	7	3	0	1

■ 2022 ■ 2021

Chart 4a

No. of safeguarding concerns by sub-category reported in Q4

	Sexual Harassment (staff/volunteers/children/vulnerable adults/clients)
2022	1
2021	1

■ 2022 ■ 2021

Chart 5

No. of concerns reported in Q4

Region	2022	2021
Africa	2	2
Americas and the Caribbean Region	2	2
Arab World	4	4
ESEAOR	1	2
European Network	1	0
South Asia	2	1

Chart 6

No. of concerns by sub-category reported in Q4

Sub-category	2022	2021
Bullying	2	2
Conflict of interest	0	1
Contractual	0	2
Discrimination	1	0
Financial or related malpractice	2	3
Fraud, embezzlement or misappropriation	2	0
Health and Safety	0	2
Sexual Harassment	1	1
Theft / Electronic Theft	1	0
Victimisation	3	0

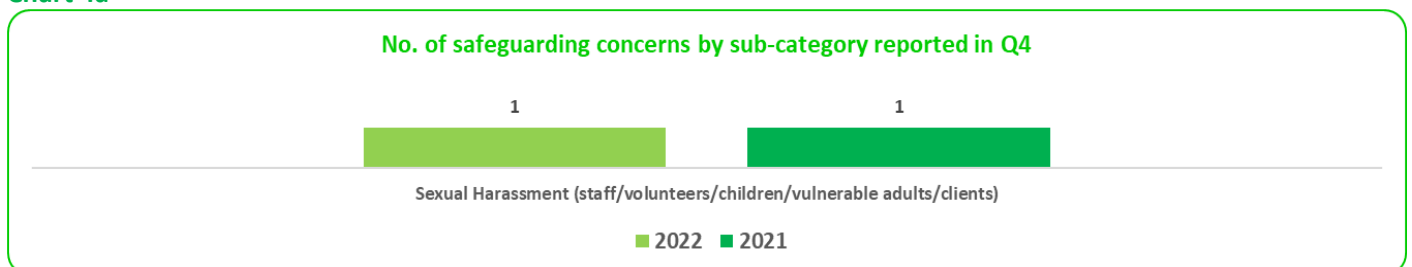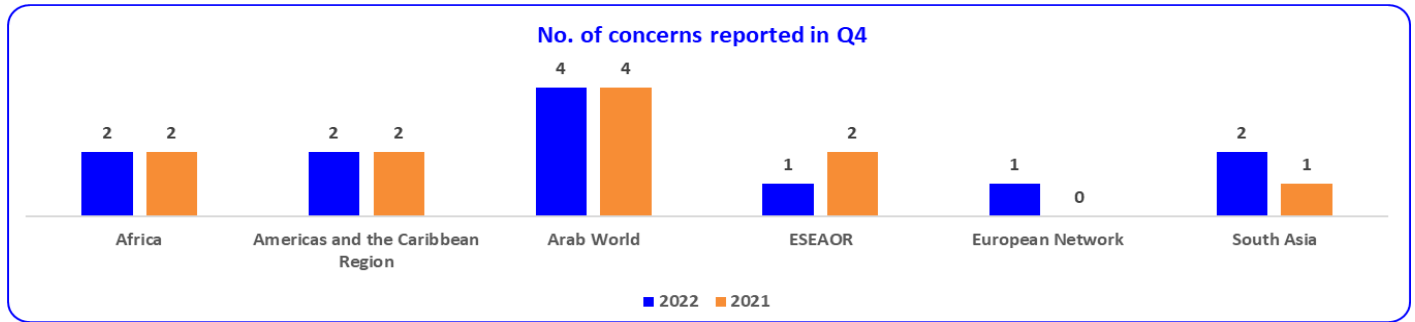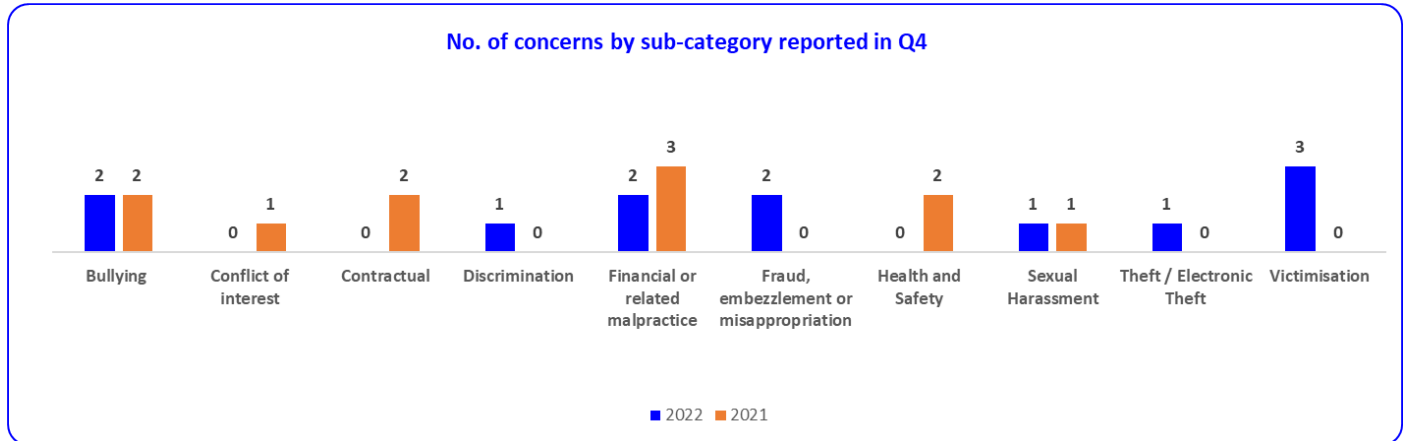## Concerns closed – Charts 7 - 9

Chart 7 shows the number of all concerns that were closed *in* Q4, irrespective of when they were reported.

Chart 7a show the cumulative total of all concerns closed *by* the end of Q4.

Chart 8 shows the number of safeguarding concerns closed *in* Q4, irrespective of when they were reported.

Chart 8a shows the cumulative total of safeguarding concerns closed *by* the end of Q4.

Chart 9 shows the number of reported concerns closed by region/programme/location *in* Q4.

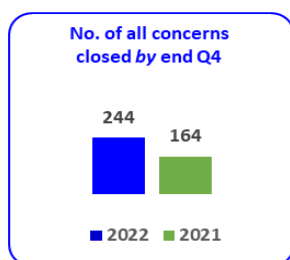**Key take-away?** The number of concerns closed in Q4 (22) remained very similar to Q3 (22).

Chart 7

No. of all concerns closed *in* Q4

2022	2021
20	11

Chart 7a

No. of all concerns closed *by* end Q4

2022	2021
244	164

Chart 8

No. of safeguarding concerns closed *in* Q4

2022	2021
0	1

Chart 8a

Cumulative - total no. safeguarding concerns closed *by* end Q4

2022	2021
21	14

Chart 9

No. of all concerns closed, by region/prog/location in Q4

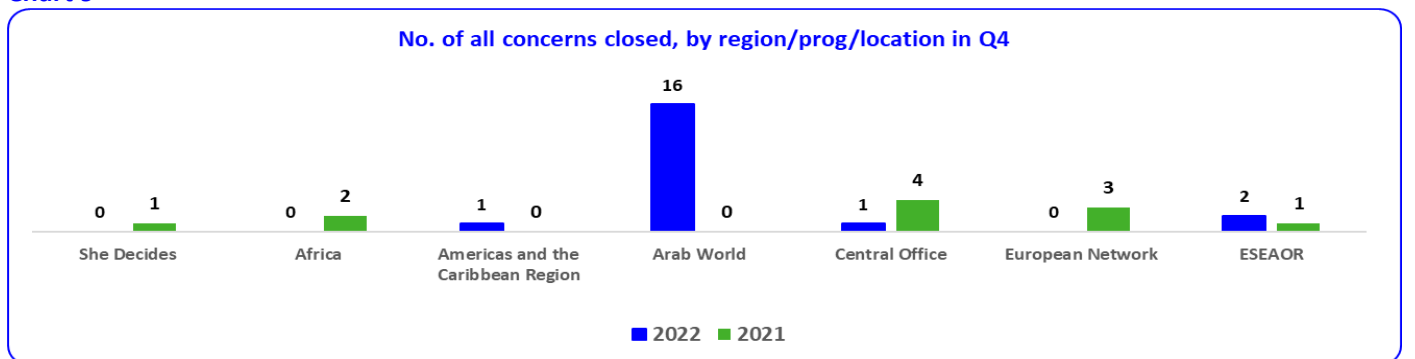| Region	2022	2021
She Decides	0	1
Africa	0	2
Americas and the Caribbean Region	1	0
Arab World	16	0
Central Office	1	4
European Network	0	3
ESEAOR	2	1

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 Q4 2022, including safeguarding concerns.

Chart 10a shows the outcomes of *only* safeguarding concerns concluded and closed in Q4 2022.

Key Takeaway? Q4 saw 55% of concerns being fully substantiated, 0% unsubstantiated, 0% partially substantiated. 45% of the concerns closed related to other reasons for closure. For Q4, those other reasons for closure were: Duplicate report (2); Insufficient info to investigate (1); No response from reporter (4); Pursuance of court action (1); Retracted/Withdrawn (1); Substantiated (11)
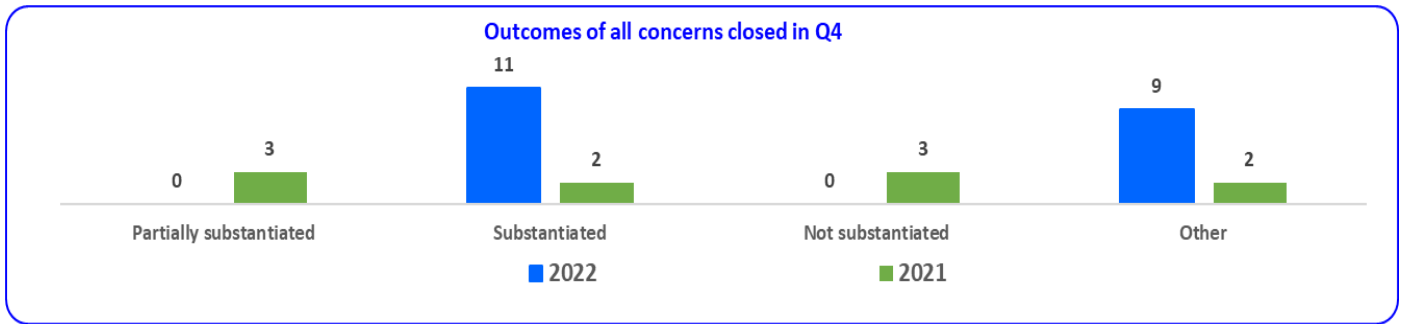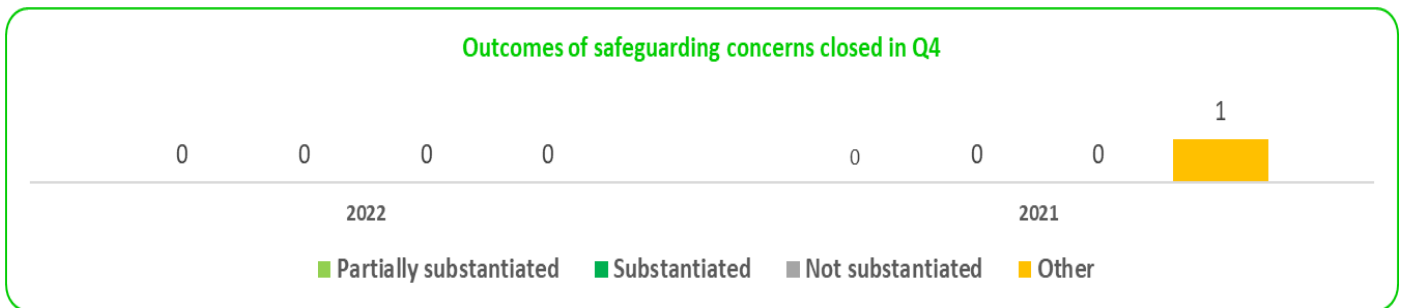
Chart 10

Outcomes of all concerns closed in Q4

Partially substantiated	Substantiated	Not substantiated	Other
2022: 0	2022: 11	2022: 0	2022: 9
2021: 3	2021: 2	2021: 3	2021: 2

■ 2022   ■ 2021

Chart 10a

Outcomes of safeguarding concerns closed in Q4

2022: Partially substantiated 0, Substantiated 0, Not substantiated 0, Other 0
2021: Partially substantiated 0, Substantiated 0, Not substantiated 0, Other 1

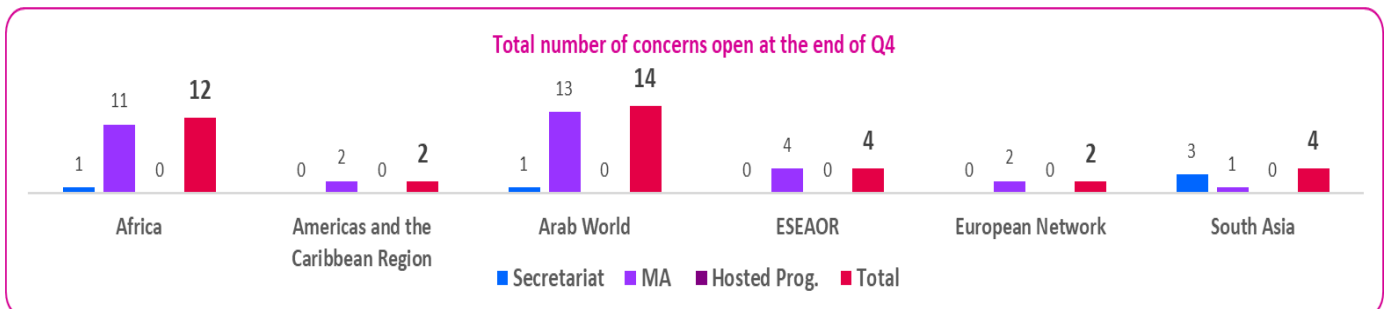■ Partially substantiated   ■ Substantiated   ■ Not substantiated   ■ Other

Open concerns

Chart 11 shows the number of reported concerns that remain open at the end of Q4 - 38, which is 13% 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, 33 (87%) relate to MAs and five (13%) relate to Secretariat Offices.

Key Takeaway? MAs are responsible for progressing concerns reported about or from within the MA. As such, while we can support MAs with guidance and advice, the pace at which MAs can/are able to progress cases to conclusion is the remit and responsibility of MA staff and board members.

It is important to recognise the improvement in the closure of secretariat related concerns. At the end of Q1 18% of open concerns related to regional offices. To the end of Q3, this reduced by 3% to 15%. In Q4, this reduced by a further 2% resulting in 15% of open concerns relating to the secretariat.

Chart 11

Total number of concerns open at the end of Q4

	Africa	Americas and the Caribbean Region	Arab World	ESEAOR	European Network	South Asia
Secretariat	1	0	1	0	0	3
MA	11	2	13	4	2	1
Hosted Prog.	0	0	0	0	0	0
Total	12	2	14	4	2	4

■ Secretariat   ■ MA   ■ Hosted Prog.   ■ Total

Appendix 1: Evaluation of Global Safeguarding Induction Training delivered in Q4

	Q1	Q2	Q3	Q4
No. of participants trained	21	17	21	**14**
No. of participants who returned evaluation forms	8	5	17	**13**
No of total participants that returned evaluation forms	38%	29%	81%	**93%**
% of participants that responded, who **strongly agreed** they could confidently apply what they had learnt	37%	100%	35%	**46%**
% of participants that responded, who **agreed** they could confidently apply what they had learnt	62.5%	-	53%	**54%**
Comments from participants	• I think the timing could be slightly longer to allow more synthesis of the concepts • This is a critical training that needs more time. Consider doing a series that really expands on the contents • Discussing more on trainee experiences • This is a good training • Great Job Vanessa			

Appendix 2: Evaluation and Compliance: 2022 Mandatory Safeguarding Refresher Course

The 2022 course content and delivery platform were developed with the evaluation feedback we received from staff about the 2021 Refresher Course. This 2022 course was made available to all staff on 24 October 2022, with a requirement for completion by 31 December 2022.

No of staff that completed the training by 31 December 2022, by Region

Region	No of staff	Number completed	% completion
ACR	12	12	100
ARO	62	59	95
AWR	19	19	100
CO	80	72	90
EN	26	25	96
ESEAOR	47	46	98
SARO	31	31	100
DLT	11	11	100
Total	**288**	**275**	**95**

I believe I will be able to apply what I have learnt

Strongly Agree	(56 %)
Agree	(41 %)
Neutral	(3%)
Disagree	(0.36 %)
Strongly Disagree	0

The training objectives were reached

Strongly Agree	(50 %)
Agree	(42 %)
Neutral	(5 %)
Disagree	(2 %)
Strongly Disagree	(0.36 %)

How do you rate the training overall?

Excellent	(38 %)
Good	(53 %)
Average	(8 %)
Poor	(1 %)
Very poor	0

In your view, how did completing the 2022 training on the Moodle platform, compared to 2021 training?

Much improved	(46 %)
Improved	(34 %)
somewhat	(3 %)
Neutral	(17 %)
No Improvement	(1 %)

How did you find using the Moodle platform to complete the training?

Very easy	(68 %)
Somewhat easy	(28 %)
Somewhat challenging	(3 %)
Very Challenging	(0.73 %)

Staff comments about the course and the new learning platform used – Moodle

- It is an efficient summary of key take aways because it covers all the topics, not too heavy but gives all the necessary information...

- All good thanks for the new revised refresher a lot easier than previous, so I appreciate that feedback was taken into account.

- Overall, it was good, there were a few terms where I suggest a clear definition would be useful, particularly 'zero tolerance for victimisation'.

- It was much smoother without IT hiccups and was all in one place with examples of learning to ensure we are understanding correctly.

- It was fast - clear - and when a mistake is made the correct answer pops up helping to clarify where you were wrong.

- The prep-explanatory guidance helped...

- Bullying is a serious safeguarding issue which I think was undermined a bit compared to the other types.

- I personally didn't fully understand the relevance of the pillar questions.

- I don't understand why I have to do safeguarding training this frequently when it's not that closely related to my position.

- Simple, articulate and to the point.

- Very basic. Patronising in tone.

- Clear, well designed, simple and very informative.

Feedback about further information staff would like to see in future safeguarding refresher course

- More examples and scenarios.

- Refresher on what is contained in the Code of Conduct and what that looks like in an office setting.

- Justice delayed is justice denied so I would like to see timelines for complaints resolution also in every process.

- More of how one is protected when you speak up so that there is no fear.

- In relation to youth work, I think there is a lot that can done to tune it to the specific teams who work with young people directly. I however appreciate that this course was more general.

- The training can include more practical cases related to discrimination and mistreatment in the workplace.

- More on how to report and expound the role of managers.

- More face-to-face training.

- More simple case studies, how, when, and why to submit safeguarding reports and what is the process for reviewing them.

- I think a lot of staff don't want to submit reports cos they believe its futile or might put their employment at risk.

- What happens when someone misreports - what actions are taken to ensure the reputation and mental health are protected by IPPF?

- How to put in practice a safer culture within the federation.

- Actual lessons from the reporting year.