

Board of TrusteesRefers to
agenda item 8**09-10 March 2023****Agenda Item: Safeguarding and Incident Management****Summary:**

This is the IPPF 2022 Annual Incident Management report, providing data, analysis and commentary on IPPF's Incident Management Work in 2022. Efforts continued to improve the way IPPF responds to concerns reported to IPPF SafeReport; our independent, confidential reporting service/incident management system. There are six different Issue Types that may be reported to IPPF SafeReport:

- | | |
|--|--|
| 1. EDI: Equality, Diversity and Inclusion | 4. SAS: Safety and Security |
| 2. EWPM: Employment and Workplace Matters | 5. SG: Safeguarding |
| 3. FW: Financial Wrongdoing | 6. ISPC: Information & Service Provision to Clients |

Throughout this report, the terms - case, concern and reported concern, are used interchangeably. These terms relate to concerns that have been reported to IPPF SafeReport and may be - concerns, grievances, allegations or complaints. Cumulative data refers to reported concerns submitted to IPPF SafeReport since it was implemented in December 2019, to 31 December 2022.

Key achievements 2022

- At 31 December 2021, 35 backlog cases remained open. At the end of 2022, this reduced to seven open cases, achieving closure of 80% of backlog cases in 2022.**
- Audit Management Action plan:** 80% completion of corrective actions raised in the audit report.
- Rolled out the policy, process and procedure for escalation of Reportable or Serious Incidents (RoSI):** systematising effective, compliant internal escalation and external reporting to donors/regulators.

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KEY TO ACRONYMS

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

ACTION REQUIRED:

- The Board to read and note the report and to advise if this report provides the information it requires in this area of governance.

2022 Annual Incident Management Report

This is the IPPF 2022 Annual Incident Management report, providing data, analysis and commentary on IPPF's Incident Management Work in 2022. Key achievements are noted on the cover sheet above.

1. 2022 in-year and cumulative data at a glance summary

In Year: 1 Jan to 31 Dec 2022 – at a glance				Cumulative: 1 Dec 2019 to 31 Dec 2022 – at a glance			
82 new cases	77% MA related	23% sec. related	79 cases closed	282 cases received		244 (86%) cases closed	
49 EWPM cases received	17 FW cases received	30% of new cases received relate to AWR		44% sec. related	56% MA related	23 SG cases received	87% SG cases closed
5 SG cases received	7 SG cases closed	80% of 2020 and 2021 backlog cases closed		70 average no. of new cases received each year		60 average no. of cases closed each year	

a) 2022 case intake: Between 1 January 2022 to 31 December 2022, a total of 82 concerns were reported to IPPF SafeReport. 77% of the new concerns related to MAs and 23% to the secretariat. The Arab World Region received the highest number, accounting for 30% of all concerns reported in 2022. The remaining 70% was spread across the five other regions, London office and two hosted programmes – **see Tables 1 & 2 below.**

b) Cumulative case intake: by the end of 2022, a total of 282 cases had been received. Of the 282 reports received, 56% relate to MAs, 42% to secretariat offices and five to our two hosted programmes - SheDecides and the Safe Abortion Action Fund (SAAF). Five were safeguarding cases (2% of new 2022 cases and 8% of total cases received) –**see Tables 1& 2 below.**

c) 2022 case closures: An impressive 79 cases were closed during 2022. In addition to closing 51 cases received in 2022, we closed 28 from the backlog; 21 (75%) from 2021 and 7 (25%), from 2020 – **see Table 4 below.**

d) Cumulative case closure: by the end of 2022, 244 (86%) of reported concerns were concluded and closed – **see Table 4 below.**

e) Open cases at 31 December: a total of 38 cases remain open, of which: 4 (10%) were reported in 2020, 3 (8%) in 2021, and 31 (82%) in 2022 – **see Table 7 below.**

f) Top three Primary Issue Types (PITs): Employment and Workplace Matters (57%) and Financial Wrongdoing (26%), collectively accounting for 83% of reported concerns. The third most common PIT was Safeguarding, accounting for 8%. The remaining 9% related to: Equality, Diversity and Inclusion - 6%, Information and Service Provision to clients - 2% and Safety and Security - 1% – **see Table 3 below.**

2. Activities and improvement initiatives

a) Financial Wrongdoing (FW): as FW is one of our high-risk areas, the Director, Risk and Assurance, (appointed in Q4 2021) implemented initiatives to improve oversight, management and progression of cases including conclusion and closure, including:

- increased subject matter expert input and oversight of cases;
- regional weekly meetings were held with Incident Coordinators and RIRU Leads, to discuss progression of FW cases, provide advice and guidance, with regions prioritised on a risk basis; and
- an online course was loaded to Academy, the new secretariat training platform Understanding Financial Crime and Preventing Criminal Practices.

These initiatives have had tangible positive impact on how we respond to FW allegations raised. Where allegations of FW were substantiated through audit and investigation, proportionate actions were taken on a case-by-case basis.

In cases related to secretariat operations, this led to disciplinary action or dismissal. For MA related cases, appropriate sanctions considered and acted upon.

b) Performance: incident management performance has improved in 2022, evidenced by the 80% drop in backlog cases, increased oversight of FW cases and in most regions, improving case management, generally in relation to timelines and process.

However, two regions are outliers in respect of performance improvements; ACR and AWR. The ACR has a smaller team and been effected by staff turnover limiting progress on cases and recording of progress.

AWR case progression and updates have been reviewed by Head of Safeguarding and Regional Director to ensure focal points better understand their responsibilities and requirements for effective delivery. This led to improvements in Q4 setting the standard to be maintained for 2023.

Where performance has improved in any secretariat location, this has been achieved through a range of initiatives seeking to more deeply embedding IC's understanding and delivery of their designated incident management responsibilities, including:

- regular compliance case checks;
- refresher training for staff who need it;
- escalation to line managers and when necessary, to DLT members, when action required notifications are ignored;
- the trial of virtual drop-in IM surgeries; and
- more resources and support available through the SGIM Hub.

c) Annual Review of SafeReport: following discussion with ICs about what changes they would like to see implemented to SafeReport, we completed a full review and worked with the supplier (Navex) to implement updates to the platform, where these were possible and appropriate.

d) Culture of reporting: the 2021 Annual Incident Management Report mentioned that some secretariat staff had negative perceptions about our commitment to deal with the concerns being raised. A regular report has been integrated into Secretariat Townhalls to bring attention to progress to build visibility and confidence in the process. It will be helpful to include questions about people's views in any future staff pulse survey agreed so we can assess this both qualitatively and quantitatively.

3. Lessons learned

a) Lessons learned narrative: as planned, in December 2022, a report was extracted from SafeReport on the narrative about lessons learned recorded for each case before closure. It was hoped that this extract would provide useful data to inform changes, improvements and management information.

However, the extract report did not provide the quality of information required to identify trends and this remains an ongoing area for development.

b) Oversight of case work: the evidence of improvements achieved through increased subject matter expert oversight for FW cases, should and will be fed into the way IM work is undertaken going forward. This will be fed into the realignment proposals to seek the same improvements for all Issue Types.

c) Investigations: reviewing case work across the year, it has become clear that outcomes of casework, are directly related to the quality of terms of references agreed for investigations/audits.

4. Conclusion

By the end of 2022, the IM function has become increasingly embedded as relevant, best practice work. Cases are progressing more quickly, outcomes more nuanced and follow up actions being more consistent.

The 80% reduction in the clearance of backlog cases serves to protect IPPF both reputationally and financially.

5. Key Priorities for 2023

- **Production of development and learning opportunities around lessons learned:** to create better identification of learn lessons from SafeReport case work.
- **Implement IM designated responsibilities within the new secretariat structure:** to ensure the improvements we have achieved in IM work and compliance is maintained.
- **Create resources to support improvements to investigations:** learning from work undertaken in 2022, and increasing a standardised set of templates which can be adapted in respect of jurisdiction factors.
- **Develop a cadre of investigators and auditors that IPPF can access for investigations where required:** to reduce avoidable delays in case management during the early stages of new cases, while these subject matter experts are commissioned to undertake investigations and /or audits.

6. Incident Management Data - Detail

Table 1: Cumulative Global Total of Reported Concerns at 31 December 2022, by Primary Issue Type

PIT	Cumulative Total 2022	MA/Assoc/CPs 2022	Cumulative Total 2021	MA/Assoc/CPs 2021
(1) EDI	17	6 (35%) **	10	4 (40%) **
(2) EWPM	161	86 (53%)	112	47 (42%)
(3) FW	72	40 (56%)	55	26 (47%)
(4) SAS	4	2 (50%)	2	1 (50%)
(5) SG*	23	18 (78%)	18	13 (72%)
(6) ISPC	5	4 (80%)	3	3 (100%)
Total	282	156 (55%)	200	94 (47%)

* Discussed in the 2022 Annual Safeguarding Report.

** All the figures in brackets e.g., 6 (35%) of the cum total (17 in 2022) & 4 (40%) (10 in 2021), relate to MA/Assoc/CPs.

Table 2: Regional Intake Information: below, provides the number of secretariat staff and the number of MA in each secretariat and the number of reported concerns received cumulatively to 31 Dec 2022.

Region	Sec. staff	No. of MAs	Cumulative to 31-12-22	Concerns Reported in 2022	Concerns Reported in 2021	Concerns Reported in 2020	Concerns Reported in 2019
ACR*	12	19	11 (10) **	5 (5)	2 (1)	1 (1)	3 (3)
AR	72	39	82 (58)	16 (12)	15 (12)	31 (19)	20 (15)
AWR	19	17	100 (47)	30 (29)	13 (6)	21 (5)	36 (7)
EN	22	40	18 (12)	11 (7)	3 (2)	2 (2)	2 (1)
ESEAOR	47	24	29 (21)	11 (7)	6 (5)	9 (6)	3 (3)
London Office	83	0	11 (NA)	2 (0)	0 (NA)	6 (NA)	3 (NA)
SAR	30	7	20 (9)	7 (3)	3 (1)	5 (3)	5 (2)
Global	NA***	NA	6	0	0	4	2
Hosted Progs.	NA***	NA	5	0	3	2	0
Total	285	146	282 (157)	82 (63)	45 (27)	81 (18)	74 (31)

** For figures in brackets e.g., 6 (5) means, of the 6 concerns reported, 5 relate to MA/Assoc/CPs and 1 relates to the secretariat.

*** Staff numbers for hosted programmes and global entities are included in the figures given for each secretariat office.

Table 3: Top 3 Primary Issue Types (PITs)

PIT	Concerns reported by 31 Dec 2022 (%)	Concerns reported by 31 Dec 2021 (%)	Concerns reported by 31 Dec 2020 (%)	Concerns reported by 31 Dec 2019 (%)
(2) EWPM	161 (57%)*	115 (57.5%)	94 (61%)	40 (54%)
(3) FW	72 (26%)*	54 (27%)	43 (28%)	25 (34%)
(5) SG	23 (8%)*	17 (8.5%)	12 (8%)	5 (7%)

* All the figures in brackets shows the % of the total caseload of 282 reported concerns.

Table 4: Cumulative year by year intake and cases closures

Year	Cumulative total cases received	No. of cases closed per year	Cum closed (No. of MA/Assoc/CPs)	% of total case load closed at year end (% of MA/Assoc/CPs)
2019	74	5	5 (1) *	7% (1% of MA)
2020	155	65	70 (23)	45% (15% of MA)
2021	200	95	165 (68)	82.5% (34% of MA)
2022	282	79	244 (124)	87% (51% of MA)

* All the figures in brackets e.g., 5 (1) of the 5 concerns closed, 1 relates to MA/Assoc/CPs and 4 relate to the secretariat.

Table 5: Outcomes of cases closed by outcome category and per year

Year	Outcomes of closed cases by each year end (reported in any year)					
	Substantiated	Unsubstantiated	Partially Substantiated	Retracted	No response from reporter	Other
2022	87 (36%)*	89 (36%)	32 (13%)			36 (15%)
2021	64 (39%)	72 (44%)	19 (11%)	8 (5%)	2 (1%)	
2020	18 (26%)	45 (64%)	4 (6%)	3 (4%)	0	
2019	3 (60%)	2 (40%)	0	0	0	

* Figures in brackets shows the % of the total number of cases closed per outcome, per year.

Table 6: Outcomes of the most frequently reported concerns

Outcomes of the most reported concerns (by PIT - cumulative)					
Primary Issue Type	Closed at 31-12-22	Substantiated	Unsubstantiated	Partially Substantiated	Other
(2) EWPM	142	44	54	21	23
(3) FW	57	22	23	7	5
(5) SG	21	13	3	3	2

Table 7: Open Concerns at 31-12-22

Secretariat Location	No. Open Cases total	Of which relate to MAs	Of which relate to the secretariat
ACR	2	100%	0
AR	12	91%	8%
AWR	14	93%	7%
EN	2	100%	0
ESEAOR	4	100%	0
London Office	0	-	0
SAR	4	25%	75%
Total	38	85%	15%

Table 8: the average no. of cases received over the last 4 years by Issue Type and Region

Region/Host Prog Issue Type	Global	Africa	Americas and the Caribbean	Arab World	Central Office	ESEAOR	European Network	South Asia	SAAF	SheDecides
(1) EDI	0	0.25	0	0.75	0.5	0.75	1.5	0	0	0.5
(2) EWPM	0.75	9.5	2	16.5	1.5	4.25	1.25	4.5	0	0
(3) FW	0.75	7.75	0.5	6.75	0.25	0.5	0.5	0.5	0.5	0

(4) SAS	0	0.5	0	0	0	0	0.25	0	0	0.25
(5) SG	0	2.25	0	1	0.5	1.75	0.25	0	0	0
(6) ISPC	0	0.25	0.25	0	0	0	0.75	0	0	0
Average received per year	1.45	20.50	2.75	24.95	2.25	7	4.5	5	0.5	0.75