

Board of Trustees
15-16 June 2023

Refers to
 agenda item 7

Agenda Item: Q1 2023 Safeguarding and Incident Management Report

Summary:

This report covers 1 January 2023 to 31 March 2023 (Q1: 2023), providing quarterly incident management (IM) and safeguarding management information to support effective management and governance oversight.

Each year, we review the format of this report and the data it provides, to ensure it remains fit for purpose, does not grow longer as more data is collected over time and, importantly, that we focus adequately on lessons learned.

All cumulative data originates from December 2018 - when IPPF SafeReport was launched.

KEY TO ACRONYMS

ACR	Americas and the Caribbean Region
AR	Africa Region
AWR	Arab World Region
EDI	Equality, Diversity and Inclusion
EN	European Network Region
ESEAOR	East and Southeast Asia and Oceania Region
EWPM	Employment and Work Place Matters
FW	Financial Wrongdoing
IM	Incident Management
IC/ICs	Incident Coordinator/s
ISPC	Information and Service Provision to Clients
MA/Assoc/CP	Member Association/Associate Member/Collaborative Partners
RSM	IPPF's Internal Auditors
SAS	Safety and Security
SG	Safeguarding
ToR	Terms of Reference

Action Required:

- The Board to note the contents of the report.

Quarterly Safeguarding and Incident Management Report – Q1 2023

This report covers 1 January 2023 to 31 March 2023 (Q1: 2023), providing quarterly incident management (IM) and safeguarding management information to support effective management and governance oversight. All cumulative data originates from December 2018 - when IPPF SafeReport was launched.

Incident Management Data: at-a-glance

Chart 1 new summary chart showing Q1 2023 and cumulative IM data. All figures in brackets relate to MA cases.

Q1 2023: 01 Jan to 31 Mar 2023			Cumulative: 01 Dec 2018 – 31 Mar 2023			
12 (9) Total: all cases received in Q1 (Jan – Mar 2023)	0 (0) Total: SG cases received in Q1 (Jan – Mar 2023)		294 (166) Cumulative total: all cases received by end Q1		23 (18) Cumulative total: SG cases received by end Q1	
19 (16) Total: no of cases closed in Q1 (Jan – Mar 2023)	0 (0) Total: SG cases closed in Q1 (Jan – Mar 2023)		263 (140) Cumulative total: all cases closed by end Q1		21 (16) Cumulative total: SG cases closed by end Q1	
PITs: Reported in Q1 ↓	Outcomes: Closed cases in Q1 ↓		PITs: Reported by end Q1 ↓		Outcomes: Closed cases by end Q1 ↓	
EWPM 7 (5)	Substantiated	3 (3)	EWPM	168 (91)	Substantiated	90 (51)
	Partially Substantiated	2 (2)	EDI	17 (7)	Partially Substantiated	34 (14)
			FW	77 (44)		
FW 5 (1)	Not Substantiated	8 (7)	ISPC	5 (4)	Not Substantiated	97 (48)
			SG	23 (18)		
	Other*	6 (4)	SAS	4 (2)	Other*	42 (27)

Safeguarding Achievements

In quarter one, some business as usual safeguarding work continues although much of the focus has been against the backdrop of the secretariat restructure:

- **Developed new role profiles** for dedicated and designated safeguarding roles for the new structure;
- **Mapped key areas of risk** for transition to the new ways of working under the new secretariat structure;
- **Delivered Mandatory Safeguarding Induction** training to 28 new starters across all secretariat locations;
- **Completed the translation and promotion to MAs and ROs** of the Safeguarding Training Pack in: Malay, Swahili, Russian, Nepali, Hindi, Kannada, Bengali, Sinhalese, Tamil;
- **Working through Bond's Safeguarding steering group**, facilitated a series of 'listening exercises' for small organisations to enable Bond to understand better what safeguarding support small organisations need; and
- **Strengthened our Safe Recruitment practices**, standardising this across the Secretariat.

- **Other:** Duplicate report; Fraud threshold not met; Insufficient information to investigate; Malicious; No response from reporter; Out of Scope; Persuance of court action; Retracted/Withdrawn; Vexatious. Figures in brackets relate to MAs

** **From January 2022:** data about the WHR region are included in the ACRO data and not noted as separate, to ensure cumulative data Remains consistent

Incident Management: Achievements

- **Improved information collection/reporting re cases reported to the Charity Commision (CCom):** SafeReport has been revised to enable the record keeping about cases that have been escalated and reported to the CCom. Collection of this data will commence for any relevant new case from 3 April. Restrospective work will be done to ensure that going back to the start of 2021, any case reported through SafeReport *and* reported to the Charity Commision will have this information added and reports will be reviewed internally every quarter.
- **Ran workshops for all Incident Coordinators** so they better understand what a 'lesson learned' might look like, how to record these and why this is such vital information. Internal Audit are contributing to a list of questions being developed for ICs to consider when recording 'lessons' in SafeReport.
- **Reporting more overtly about lessons learned in each Monthly Incident Management Report:** both the narrative that Incident Coordinators record as lessons learned before they close a case and overview analysis of these records by the Director of Safeguarding and Incident Management.
- **Developed a new ToR Template** and approval process for Financial Wrongdoing Investigations/audits.

Incident Management: Data

This section replaces what was previously entitled Incident Management Dashboard. **Chart 2** one below provides the data on the 31 SafeReport cases with an open status at the end of Q1. All figures in brackets relate to MAs. Backlog cases are now clearly classified as any case that has been open for 12 months or more. At the end of Q1 we had six backlog cases, all of which relate to MAs and are identified in below.

It was expected, that four of the backlog cases that remained open at the end of Q4 2022 would be closed by the end of Q1 2023, however this has not been possible. One of the four cases has resulted in a recommendation being made to the Membership Committee that the MA be suspended. The basis for this is that the MA has not handled safeguarding allegations robustly enough in addition to governance weaknesses stemming from the long-term absence (6+ months) of the Honorary President.

The other three cases all relate to a different MA. An investigation was launched in 2020, however, the external investigation team were not able to complete their work, as the MA refused to cooperate. The MA membership was terminated in December 2022. To close the case, the risk and assurance team has reviewed the draft investigation report and estimated the losses due to suspected fraud. The case is due to be closed in May 2023.

Chart 2 shows the breakdown of all open concerns by region, by end Q1 2023

Region/Entity	Length of time cases have been open for				Total no. of open cases
	0-6 months	6-12 months	BACKLOG CASES		
			12- 18 months	>18 months	
Global					0 (0)
SAAF					0 (0)
Africa Region	6 (3)	4 (4)		4 (4)	14 (11)
Americas & the Caribbean*	2 (2)				2 (2)
Arab World Region	4 (4)	4 (3)	1 (1)		9 (8)
Central Office					0 (0)
ESEAOR	1 (1)	1 (1)	1 (1)		3 (3)
European Network	1 (1)				1 (1)
South Asia Region		2 (1)			2 (1)
Total	14 (11)	11 (9)	2 (2)	4 (4)	31 (26)

Chart 3 breakdown of cases received in Q1 by Region

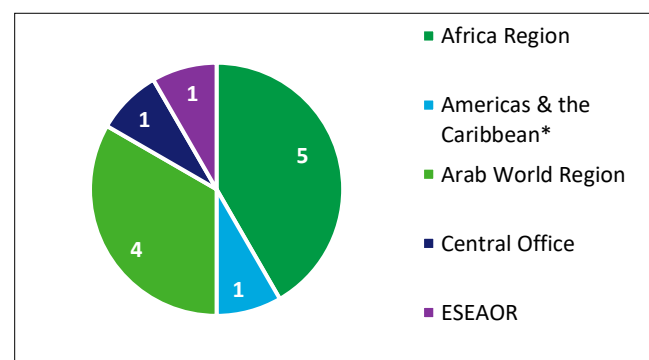


Chart 4 breakdown of cases received by end Q1 by Region

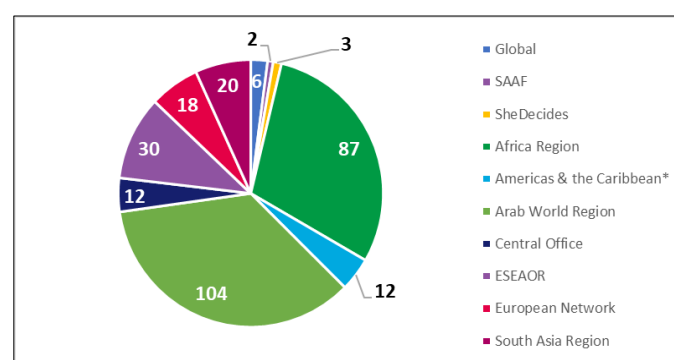


Chart 5 breakdown by PIT of all cases reported *in* Q1

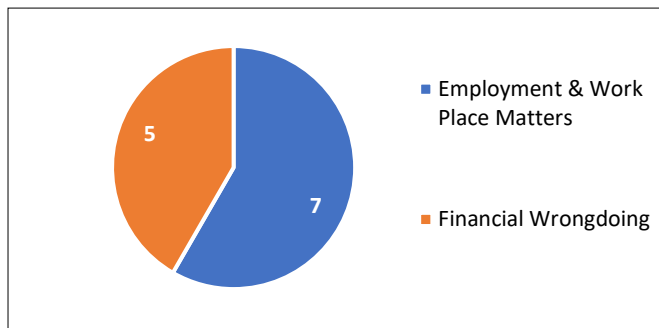


Chart 6 breakdown by PIT of all cases reported *by end* Q1

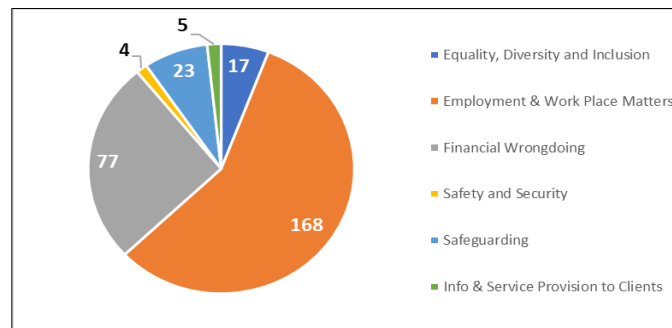


Chart 7 breakdown by outcome of all cases closed *in* Q1

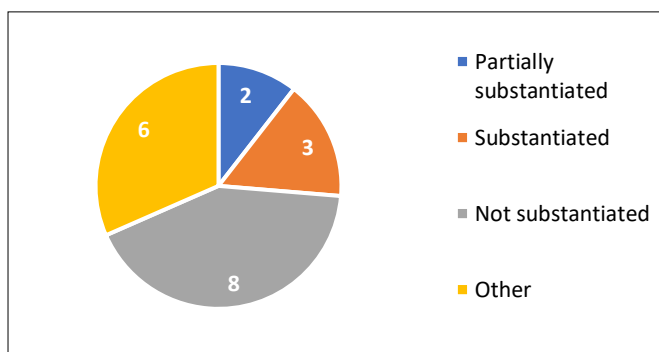
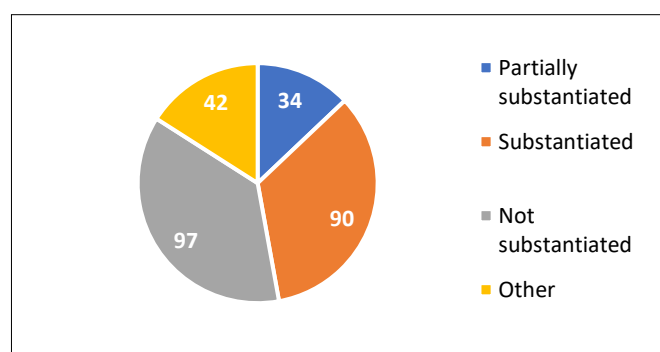


Chart 8 breakdown by outcome, all cases closed *by end* Q1



Incident Management: Lessons Learned

In Q1 we closed a total of 19 cases in SafeReport, of which 16 related to MAs and three to the secretariat. We also hoped to close four further backlog cases which was not possible – see note on Page 2.

Key lessons identified and the actions required to redress these have commenced or are planned.

- The quality of investigations/audits and the related findings** is directly related to the quality of the ToR created for each case. For Financial Wrongdoing cases, this has been a clear issue requiring action. To redress this issue, a new ToR template has been created. Once drafted by Incident Coordinators, ToRs will require approval by the Director of Risk and Assurance. This will better facilitate clarity about whether the work being undertaken is an investigation or a financial audit, what the investigation/audit should seek to substantiate or not, and which policies may have been breached if the allegations made are substantiated.
- Identifying lessons learned** has been reported previously as a weakness in our incident management work. We have prioritised Financial Wrongdoing cases for our initial developments in this area. Guidance is being developed with input from our internal auditor (RSM), to highlight the issues and questions that Incident Coordinators should consider in order to identify and correctly record lessons learned. This guidance will be included in the training developed to support new and existing staff in the new structure with designated incident management responsibilities. This will be rolled out when all relevant vacant posts are filled.
- Better triangulation of intelligence held within the secretariat is required.** This is to ensure no preventable time or resource is expended unless necessary. This lesson arose from an MA case where a concern was reported about lack of payments being received by the MA. Work was undertaken to progress the case, however, the Incident Coordinator was unaware that the MA had been suspended resulting in payments not being made. The action to be taken to redress this issue will be included in the move to new ways of working required within the new structure.
- We need to have the right people designated to lead cases reported to SafeReport.** This has been identified previously as an issue and has been considered globally and built into the realigned secretariat structure. The new structure and ways of working should by design, ensure that for MA cases, those working closest to MAs e.g., Architects of Cooperation will undertake this work. For secretariat cases, staff working with expertise on the issue being reported, will undertake the work.