

Board of Trustees
23-24 November 2023

Refers to
agenda item 10.1

Agenda Item: Safeguarding and Incident Management

Summary:

This is the **Q3 2023 Safeguarding and Incident Management Report (SGIM)**. This covers 1 July 2023 to 30 September 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.

The **Q2 SGIM Report** was produced after the Board meeting 15 -16 June. However it is important to share with the Board that Q2 saw IPPF reach a significant watershed moment in respect of Incident Management. We closed a total of 33 cases including the final backlog cases from 2020 and 2021. The one backlog case that remains open was reported in 2022. A year ago, at the end of Q2 2022 we had 25 open backlog cases from 2020/2021 – representing 22% of our open caseload of 46 cases. In comparison, at the end of Q2 2023, we have one open backlog case, representing 6% of our open caseload of 17 cases. This is the lowest number of open cases we have had since 2019.

Q3 achievements are noted in this report across Safeguarding and Incident Management.

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/Collaborative Partner
DLT	Directors Leadership Team

Action Required:

- The Board to note the progress in this areas of our work.

Quarterly Safeguarding and Incident Management Report – Q3 2023

This report covers 1 July to 30 September 2023 (Q3: 2023), providing quarterly incident management (IM) and safeguarding (SG) 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 Q3 2023 and cumulative IM data. All figures in brackets relate to MA cases.

Q3 2023: 01 Jul to 30 Sep 2023			Cumulative: 01 Dec 2018 – 30 Sep 2023			
17 (13) Total: all cases received in Q3 (Jul - Sep 2023)	0 (0) Total: SG cases received in Q3 (Jul - Sep 2023)		330 (186) Cumulative total: all cases received by end Q3		26 (21) Cumulative total: SG cases received by end Q3	
17 (8) Total: no of cases closed in Q3 (Jul - Sep 2023)	2 (2) Total: SG cases closed in Q3 (Jul - Sep 2023)		313 (172) Cumulative total: all cases closed by end Q3		24 (19) Cumulative total: SG cases closed by end Q3	
PITs: Reported in Q3 ↓	Outcomes: Closed cases in Q3 ↓		PITs: Reported by end Q3 ↓		Outcomes: Closed cases by end Q3 ↓	
EWPM 10 (9)	Substantiated	2 (1)	EWPM	187 (102)	Substantiated	96 (56)
	Partially Substantiated	1 (1)	EDI	17 (7)	Partially Substantiated	39 (18)
FW 6 (4)	Not Substantiated	9 (2)	FW	90 (50)		
			ISPC	5 (4)	SG	26 (21)
SAS 1 (0)	Other*	5 (4)	SAS	5 (2)	Other*	58 (36)

Safeguarding Achievements

- **Delivered Mandatory Safeguarding Induction** to **49** new starters across all secretariat locations. We also improved the methods of capturing new starters' information to ensure new starters receive their safeguarding induction within four weeks of their start date – which is a target in place. For Q3, 31 (62%) new starters attended the training within four weeks and 19 (38%) new starters didn't attend the training within four weeks.
- **Contributed to the Global Induction training being developed** to support all new and existing staff to understand all IPPFs work, functions and ways of working.
- **Safeguarding Training in Tanzania:** continuing the capacity building of WISH MAs toward full compliance with donor (FCDO) and IPPF safeguarding standards, a three-day safeguarding training was delivered to the MA in Tanzania from 1 to 3 August 2023. Twenty-nine participants attended including all HQ staff, SMT and trustees.
- **Strengthened the team** with the appointment of a new SGIM Adviser for ESEAOR and SARO.

- **Commenced working on raising awareness of the lack of safeguarding concerns reported by clients**, commencing in the Africa region at a meeting with all MA Executive Directors. Eighty MA representatives were present. This was followed by a session with all Africa Region Architects of Cooperation.
- **The Safeguarding Global Induction course was updated significantly.** Changes included a new *Welcome to IPPF* video from Kate Gilmore, making clear to all new starters that safeguarding is a strategic priority, which has been very well received by all who attended the first roll out of the new course in September.

Incident Management: Achievements

- **We delivered incident management training to 29 staff.** Following the restructure, a considerable amount of recruitment to new posts continued. As 67% of Incident Coordinators left during the restructure, we have had to invest time and effort into building confidence and skills in incident management.
- **Lessons learned analysis informed new training materials:** Our analysis of lessons learned continues, with lessons identified in Q3 noted on the final page of this report.

Incident Management: Data

Chart 2 below provides the data on the 17 SafeReport cases with an open status at the end of Q3. All figures in brackets relate to MAs. Backlog cases are classified as any case that has been open for 12 months or more. At the end of Q3 we had one backlog case, an MA case.

Chart 2 shows the breakdown of all open concerns by region, by end Q3 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
SAAF					0
Africa Region	4 (3)		1 (1)		5 (4)
Americas & the Caribbean*	2 (2)				2 (2)
Arab World Region	7 (7)				7 (7)
Central Office					0
ESEAOR	1 (0)				1 (0)
European Network	1 (1)				1 (1)
South Asia Region	1 (0)				1 (0)
Total	16 (13)	0	1 (1)	0	17 (14)

Chart 3 breakdown of cases received *in* Q3 by Region

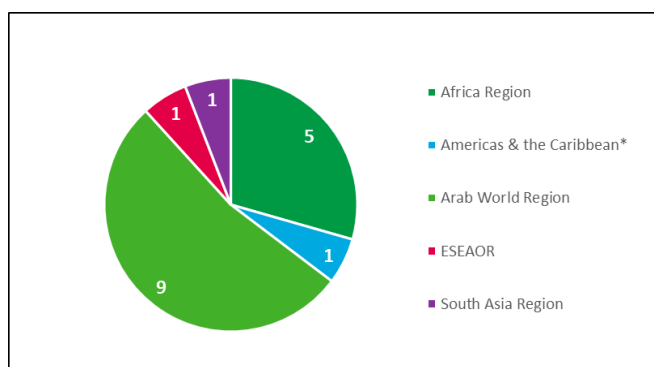


Chart 4 breakdown of cases received *by end* Q3 by Region

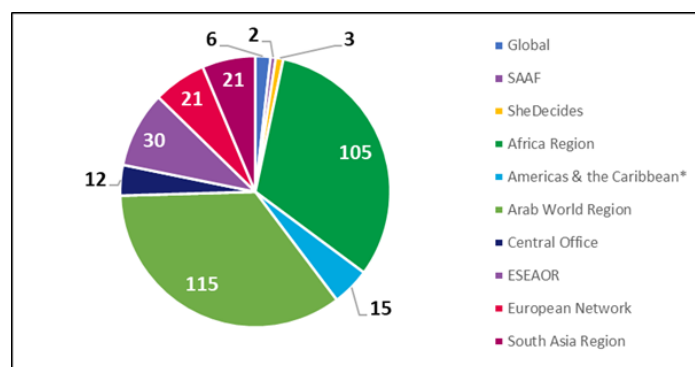


Chart 5 breakdown of cases by primary issue type *in* Q3

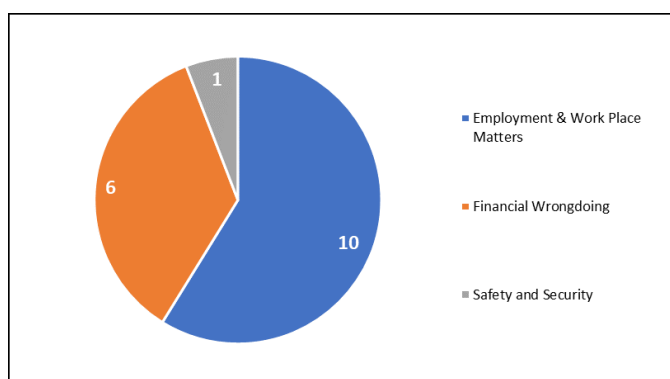


Chart 6 breakdown of cases received *by end* Q3 by PIT

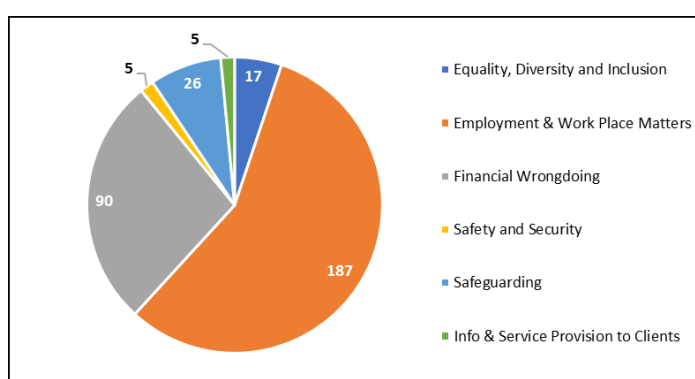


Chart 7 breakdown by outcome of all cases closed *in* Q3

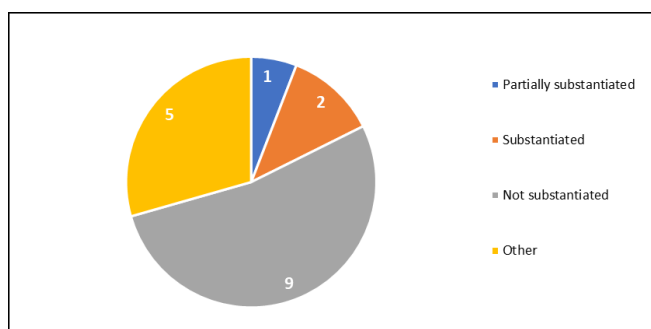
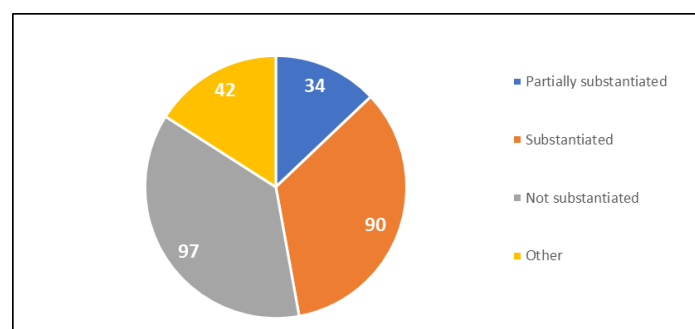


Chart 8 breakdown by outcome, all cases closed *by end* Q3



Incident Management: Lessons Learned

In Q3 we closed a total of 17 cases in SafeReport, of which eight related to MAs and nine to the secretariat. Key lessons learned were reported monthly to the DLT. Actions required to redress these have commenced or are planned.

- 1. Financial Wrongdoing (FW) allegations can be well addressed through an audit before an investigation is approved.** This approach leads to investigations being approved only where an audit identifies merit investigation.

Action taken already: Templates designed and implemented to ensure FW cases are reviewed by the right people before the response to a new FW case is agreed. Investigations for FW cases must be approved by the Director R&A. This template is also now being used for other case types too, e.g., the response to new MA cases (other than to pass the case to the MA to progress) now has to be approved by MA Support and Development Directors.

- 2. Cases that are progressed well by an MA or a RO should be anonymised and used in case study exercises for staff training on Incident Management.**

Action taken already: well managed casework is now considered for our case study library for safeguarding and incident management training and resource development. All case studies are completely anonymised before being used for training purposes

- 3. The choice and appointment of external investigator/auditor must improve.** This needs to evolve and more robust checks are required so that the individual doing an investigation is suitably skilled and experienced. In addition, the terms of reference should include strict timelines, clarity of deliverables, all allegations made, and policies that apply. The ToR should be signed off by someone who has the right skills and experience to do so. If an MA/CP chooses to undertake an internal investigation, by someone senior, but who lacks the required skills and experience, the investigation findings can and are likely to be skewed, as a direct result of the lack of this skills gap, personal bias issues etc.

Action taken already: Financial Wrongdoing Investigation ToRs are now signed off by the Director R&A and Safeguarding Investigation ToR's by the Director, Safeguarding and Incident Management.

Action yet to be taken: Further approval routes are required for other case types and this will be considered in the future as resources allow.