

Module 2: Reporting Systems

Facilitation Guide

Purpose: Module 2 is designed to convey the importance of having a well-functioning reporting system, introduce your agency system and think through barriers to reporting.

Training Audience: Module 2 is principally designed for use with Agency staff. However, it can be modified for use with beneficiaries. Suggestions on how to modify this unit for use with beneficiaries is found below.

Timing: Depending on the audience, this module may take 60 minutes [e.g. senior management] or go to 180 minutes [programming staff; beneficiaries; partners]. A key part of tailoring this training is assessing the audience's needs and then deciding how much time to devote to each of the three sessions in this module.

Materials: If needed, the handouts should be translated into the relevant local language. If this is not possible, it will be important to have a co-facilitator who can provide oral translations of these materials, for those who are not able to work in English, if you the trainer cannot do this.

Agenda:

Session 1: Overview of Reporting

- Opening discussion: Value of Reporting Systems
- Handout: Reporting Systems Guidance

Session 2: Agency System

- Quiz: Test Staff Knowledge
- Presentation of your Agency's System: Internal Reporting
- Optional Handout: Your Agency's Reporting Guidance
- Plenary Discussion

Session 3: Barriers to Reporting

- Small Group Work: Barriers to Reporting
- Plenary discussion

Session 1: Overview of Reporting systems

Begin by reviewing with the group the basic values of having a reporting system. Point out, in particular, that mandatory reporting actually frees staff from having to make a decision regarding whether or not to report what they saw.

In plenary, ask participants: what should be reported? Ask someone to write down on flipchart what people identify [5-15 minutes for this exercise, depending on audience]. Ideally, the answers in the room can be grouped into the following broad categories:

- A **practice or behavior** suggesting that a staff member has abused the power invested in him/her, by virtue of his/her post, to sexually exploit or abuse a beneficiary
- An allegation that a staff member has breached an agency's policy and rules regarding SEA **outside the work environment** (e.g., by engaging in sex with a person under 18)
- **Concerns that cover a wide range of issues** involving the exploitation of women and/or children ranging from inappropriate behavior to possible criminal offences
- Concerns regarding the **past behavior** of a staff member
- **Concerns expressed by a government partner, UN agency, NGO or international NGO** about the behavior of a staff member

Distribute copies of the Handout, to assist with the next two sessions. Point out the section on terminology.

Terminology: Complaints, Reports and Allegations

- The terms *complaints*, *reports*, and *allegations* are used interchangeably
- Your organization can decide which term it will use. The important thing is to understand what is being addressed by the term.

Session 2: Agency Reporting system

This session will rely on your own Agency's reporting guidelines. For a staff-only session, ensure you cover both internal [staff] and external [beneficiaries] reporting systems. If you are only meeting with community members or beneficiaries, focus on the beneficiary reporting system.

For the Staff only session, begin with a quick oral quiz based on your own Agency's reporting system. The purpose of this exercise is to test awareness among staff of the internal and external reporting systems. After the quiz/questions, you may wish to hand out copies of your Agency's reporting guidance/guidelines to staff. Review key aspects of this including how reports are submitted, who receives the reports, and other rules your agency may have regarding Reporting.

For a session with beneficiaries only, ask them what would they do, if they had concerns about the behavior or actions of your staff? Do they know they have a right to complain/identify issues? Do they know how to bring it forward? Again, when only meeting with beneficiaries, it would be best to orally review the system and then ask someone, at the end, to recap what they heard, to ensure the external reporting system is understood. Unless you are certain that everyone is literate, a handout would not be appropriate in this context.

Session 3: Barriers to Reporting

Staff Session: Divide the participants into two groups, one representing Staff and the other representing beneficiaries. Ask each group to identify what might be barriers to reporting, either as staff or as beneficiaries. Give them 15 minutes for this exercise and then, in plenary, have the

beneficiaries group present some of the barriers they identified. Do the same then with those who worked on staff barriers. Review whether some issues were similar [e.g. unequal power dynamics impacting ease of reporting; cultural barriers to idea of 'complaining']. Conclude with note that when designing reporting systems, concerns such as these need to inform the design process.

Beneficiaries/Community members session: Ask participants how they view 'complaining' or bringing issues forward. How do they address difficult issues in their community? Do they have prior experience with NGO-led or other systems and if so, what was the experience? Did they feel heard and listened to when issues were brought forward?

NOTE: if women or children are present, it is important to have a separate conversation with them about barriers, as they will likely not name them in the presence of men/elders.

Go through some barriers to complaining if they have not been identified by participants, such as:

- Lack of trust that the allegation will be taken seriously
- Fear of reprisal and no protection
- Respect for/fear of senior officer/expat
- Little confidence in reporting mechanisms because beneficiaries perceive no action will be taken
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- Fear of reprisal and no protection
- Respect for/fear of senior officer/expat
- Little confidence in reporting mechanisms because beneficiaries perceive no action will be taken
- Fear that aid/source of income will be taken away
- Fear of losing life, job, status, prospects
- Cultural issues and norms – SEA seen as acceptable practice
- Not culturally appropriate to challenge those in authority
- Reporting may render one “unmarriageable”
- Few channels for reporting
- Concern that boxes are not secure
- Beneficiaries are benefiting from the transaction, so they may not want to complain
- Beneficiaries may not desire punishments as proposed by NGOs – may wish to shop for alternatives
- Fear of being accused of making a false accusation if they have no tangible proof
- No one has heard outcomes of investigations
- Fear of getting it wrong
- Community leaders act as gatekeepers to engaging with aid organizations

Barriers for Children:

- They will not be believed
- They will be killed or hurt if they tell
- They will be taken away from families
- They will not be able to explain/articulate
- Their families will be hurt
- Abuse is normal and it happens to everyone
- The abuser will be sent to prison, fired, or killed
- They are bad and it is their fault
- Abuse is their fault because they do not practice religion enough
- Will not receive presents, money, food

Module 2: Reporting Systems

Handout 1: Internal and External Reporting

Reporting Systems: General Guidance

Value of Formal Reporting Systems

- The system is transparent and known to all
- There is a consistent approach
- Staff know what to do with concerns of inappropriate behavior
- Beneficiaries are protected
- Staff are protected (clear reporting & investigation procedures guard against false allegations)
- The organization will be less attractive to potential abusers
- The organization can maintain its reputation
- The organization shows commitment to the protection of human rights, thereby minimizing SEA

Internal Reporting: Staff Reporting System

- Responsibility of each agency to develop
 - Approaches may differ
 - Not necessarily participatory [in terms of developing the system]
- Mandatory reporting
 - Understanding penalties for not reporting
 - Protects staff who worry about reporting on colleagues
- Clear guidelines on how to report
 - May rely on existing channels [e.g. fraud reporting; sexual harassment reports]
 - Including alternate channels if necessary

External Reporting: Beneficiary/Community Complaints/Feedback System

- Community reporting of SEA should IDEALLY be common to all agencies in a given location
- Simple, consistent reporting procedures
- Co-designed with beneficiary/community input

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