**Reporting Serious Incidents**

The IUCN serious incident reporting procedure requires project executing agencies to inform IUCN of all serious incidents caused by or related to a project that have or could have significant negative impacts on people or on the environment. The purpose of reporting serious incidents is to ensure that appropriate responses and corrective actions are taken in order to minimize, mitigate and/or remedy the impacts.

**What is a serious incident?**

A serious incident is an unplanned or uncontrolled event that has an adverse effect on project personnel and workers, community members or on the environment within the project’s area of influence, as well as events that have adverse effects on the project or that give rise to liabilities or reputational risks that could jeopardize achievement of the project’s objectives. Serious incidents include the following:

* **Fatalities, serious injuries and accidents at work.** This would cover any fatalities, serious injuries and other occurrences affecting project workers, defined as: (i) people employed or engaged directly by the project executing entity to work specifically in relation to the project, (ii) people employed or engaged through third parties to perform work related to core functions of the project (including contractors and subcontractors), (iii) community workers employed or voluntarily engaged in a project. It would include deaths and serious injuries occurring during routine patrols or anti-poaching operations, kidnapping, murder and other forms of violence affecting project workers, accidents related to project transport or equipment, and loss of life or serious injuries caused by natural or other disasters.
* **Fatalities, serious injuries and accidents affecting local communities and others.** This would include serious injuries or deaths caused by project workers, including contractors, subcontractors and their workers, or local community workers or volunteers. It would also cover major accidents involving project vehicles or other forms of transport (boats, planes), equipment or materials provided by a project.
* **Violations of human rights.** This would cover human rights violations or public accusations of human rights violations attributed to project workers, contractors of community workers or volunteers. It would cover deaths and injuries to suspects arrested in the conduct of law enforcement activities, torture or other forms of unlawful use of force, or unlawful damage to or confiscation of community or private property. It would include violations of human rights that have occurred as a direct consequence of a project activity and with involvement of project workers, and violations that have taken place using equipment provided by the project, including occurrences that have taken place outside the boundary of the project, where a project partner was implicated (including members of state security agents). It would also cover **sexual and** **gender-based violence** attributed to project workers, including rape, sexual exploitation, abuse, harassment and physical violence against women. It would also cover the use of, and public accusations of the use of **harmful child labour** by the project, contractors or community workers and volunteers.
* **Forced evictions.** This would cover the forcible eviction of people from sites within a protected area or other project sites.
* **Conflicts, disputes and disturbances leading to loss of life, violence or the risk of violence.** This would include inter-community or inter-ethnic violence caused or exacerbated by project activities, and conflicts that have the potential for violence towards project personnel and/or local communities.
* **Environmental impacts** or public accusation of significant environmental impacts attributed to project activities that have led to or could lead to serious contamination, destruction or degradation of natural habitats or areas of high biodiversity value.

**How to report a serious incident**

All serious incidents must be reported to the IUCN Project Manager and the IUCN ESMS Coordinator within 48 hours of the incident occurring, using the template provided below. Since detailed information may not be immediately available, a draft report is acceptable. A more comprehensive update is prepared once the details have been established. The updated report should state whether the incident will be subject to a formal inquiry, criminal investigation or legal proceedings to determine the circumstances of the incident, responsibilities and root causes. The ESMS Coordinator may ask for clarification or further information, on the understanding that questions about responsibility and root causes may have to await the conclusions of a formal inquiry or court case. Any gaps in the information should be highlighted.

If the incident is not subject to a formal inquiry or legal proceedings, the report should provide:

1. a detailed description of the incident and its effects;
2. an analysis of the root-causes, covering the management and control measures that were in place and any failings identified in regard to management or procedures; and
3. details of any response provided, actions taken to remedy the situation, and/or to prevent its recurrence.

If the incident is subject to a formal inquiry or legal procedure, the findings of the inquiry should be summarised by the executing agency, using the attached template, along with a link to and/or an electronic copy of the inquiry’s final report, if it is made available to the public.

The executing agency must inform IUCN about any ongoing or future issues related to the incident that may require attention, such as grievances, claims for compensation or other legal action taken by the victims’ families.

Annex 1

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| **Serious Incident Report** |
| General Information |
| Project name, country, region  |  |
| Executing Agency |  |
| Person and agency submitting the information |  |
| Organizations, agencies and/or companies involved in the incident |  |
| Details of the people affected, status (e.g. if they are working as rangers, volunteers, etc.), names, ages, gender. Details of the community or communities involved |  |
| Details of the Incident |
| Date and time the Incident occurred  |  |
| Location |  |
| Type of Incident | *Fatalities, serious injuries and accidents at work* [ ]  |
| *Fatalities, serious injuries and accidents affecting local communities and others* [ ]  |
| *Violations of human rights or accusation of human rights violations, incl. sexual and gender-based violence and harmful child labor* [ ]  |
| *Forced Eviction* [ ]  |
| *Conflicts, disputes and disturbances leading to loss of life, violence or the risk of violence*[ ]  |
| *Environmental incidents* [ ]  |
| Detailed chronological description of the Incident and its circumstances (if possible with photos)  |

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| Root Cause Analysis  |
| Detailed description of key causational factors (internal and external), potential management failings and identification of absent/ inadequate/ failed/ unused management and control measures(e.g., non-compliances with ESMS standards or measures)  |  |
| Specification of relevant roles and responsibilities of the agencies, authorities and others involved |  |
| Reaction to the incidents by the victims, involved families or communities as well as local/national/international media |  |
| Agency or agencies responsible for investigation of the case. What is the scope of the investigation? Does this include a root cause analysis?  |  |
| Response and Corrective Actions  |
| Description of the response (if available) and agencies involved.  |  |
| Description of any corrective actions, plans or next steps to prevent the incident from recurring or follow up to close the case or proceed with further investigations (include action plan with responsibilities and schedule) |  |
| Incident Report Approval |
|  | Position | Name | Date |
| Prepared by |  |  |  |
| Approved by (ESMS Coordinator or Senior Management) |  |  |  |