

Incident report: theft, diversion, looting

This form is to be used in the case of theft or losses caused by actions primarily outside of the control of Partners. It is not to be used in the case of fraud or theft by an partner employee, staff members or supplier. Instructions are attached below. The information in this form will be treated by OCHA as **STRICTLY CONFIDENTIAL**.

DATE OF SUBMISSION [DD-MMM-YYYY]

SUBMISSION BY [implementing partner / HFU]

1 – Project Details

Organization Name:		Cluster	
Project Code:		Contact Name:	
Location:		Contact Email/Tel No.:	
Actual project duration (start and end date as grant agreement):		Date of Allocation:	
Project Title:		Amount Allocated:	

2 – Description of Losses

Type of Loss: Indicate the type (s) of loss being reported.	Contribution of Other Organizations:
<input type="checkbox"/> Cash <input type="checkbox"/> Property <input type="checkbox"/> Assets <input type="checkbox"/> Other If you selected Assets, Property, or Other, please specify and describe. Please provide summary of items here, and attach a packing list or excel sheet with the items, quantities and costs::	If funding or support for these items was also provided by other donors/organizations, please list them below, and identify:

3 – Value of Losses

Provide information about the value of the losses.

Value of Losses in form of Cash
 Value of Loss of Assets
 Value of Loss of Property
 Value of Loss (Other)
Total of Value of Losses


\$	%
\$	%
\$	%
\$	%
\$	

Please be as specific as possible, and consider that these amounts will be verified through the end of project audit. Please also indicate if any further enquiries or analysis is expected that may provide more details or allow further quantification of the loss.

4 – Summary of the Incident

Summary

Please provide a description of the event that occurred which resulted in a loss. Please be as specific as possible. Where applicable, refer to Supporting Documents, which may be included below.



5 – Mitigating Steps

Recommendations

Recommendations to mitigate a recurrence of this incident:

Figure 1 is a line graph illustrating the percentage of respondents who believe that the use of force is justified in various circumstances. The x-axis lists five circumstances: 'Self-defense', 'To protect others', 'To stop a crime', 'To punish someone', and 'To show authority'. The y-axis represents the percentage of respondents, ranging from 0 to 100. The graph shows that the highest percentage of respondents (around 85%) believe that the use of force is justified in self-defense, followed by to protect others (around 75%), to stop a crime (around 65%), to punish someone (around 55%), and to show authority (around 45%).

Circumstance	Percentage of Respondents
Self-defense	85%
To protect others	75%
To stop a crime	65%
To punish someone	55%
To show authority	45%

9 – Next Steps (if applicable):

- ☐ Submit to OCHA via email
- ☐ Upload Form and Supporting Documents to GMS
- ☐ Submit the Report to the cluster coordinator
- ☐ Submit the Report to the UNDSS or the U.N. Mission (*where appropriate*)
- ☐ Other (*please expand*)

N.B. OCHA will prepare a Summary Report of incidents to present to the Advisory Board without naming the partner.

10 – Certification and Signature:

By submitting this report, I certify that the information I have given is accurate and correct, and that I have presented the facts to the best of my knowledge and ability.	Name and Position:	Signature:	
		Date	

Instructions for reporting incidents - For Partners**Scope**

Incident Reports must be submitted in cases of losses suffered by **Partners** due to circumstances outside of their control. OCHA should be informed in writing as soon as the incident occurs, and then the incident report and supporting documents should be submitted within 30 days.

Incidents that must be reported include (but are not limited to) theft by third parties, diversion of humanitarian assistance by a third party (for example, a third-party actor diverts aid at a roadblock), the looting of offices or warehouses belonging to the partner, damage to partner property.

What is not to be reported using incident report forms:

Eruptions of violence or conflict that cause changes in program operations, but do not result in loss of assets, should be noted in project revisions through the Grant Management System (GMS).

If the theft or loss is the result of the actions of partner employees, staff members, or suppliers (i.e. fraud), this must be reported directly to the OCHA Head of Office or Fund Manager or through the anonymous complaints mechanism of the CBPF.

Purpose

These guidelines are designed to assist Implementing Partners in filling out the Incident Report Form.

Instructions for the Form:

1. Project Details. This Report should be filled out as soon as possible following an incident and should as much

as possible, include the actions taken following the incident and the follow up. This Report must be submitted within the duration of the project, so that it can be considered and reviewed by OCHA and included in the audit of the project. If assets from more than one CBPF project were lost, this can be reported on one form, but the report must identify the assets lost per project, and the forms must be submitted and uploaded for each project.

2-3. Description of Losses, Value of Losses. The Report includes fields for the type of loss, contribution of other organizations, and value of the losses. This information is important in cases where partners may have received funding from multiple sources, so that OCHA can track how much the Fund has contributed to the lost property/assets.

Please be as specific as possible, and consider that these amounts will be verified through the end of project audit. Please also indicate if any further enquiries or analysis is expected that may provide more details or allow further quantification of the loss.

4. Summary of the Incident. The Report also includes a section for the summary of the incident. In this section, the partner can give a description of what occurred to cause the loss. The description should be as detailed as possible, and should include the context in which the loss occurred (for example, as part of a larger conflict, or an isolated incident, et cetera).

5. Mitigating Steps. Please include your recommendation of steps to take in the future to prevent this or similar incidents from recurring.

6. Impact. In this section, explain briefly the impact of the incident on project activities (please note that any significant changes to the project implementation need to be requested and approved through the GMS). Please indicate whether it will be possible to recover project activities within the existing approved budget, and explain what measures have been taken to do so. Please be as specific as possible.

7. Budget. In this section, state the budget elements and expenditures affected by the incident. Please be as specific as possible.

8. Supplementary Documents. Please provide any documents which give further information about the losses, including police reports, valuation of property, photographs taken before/after the incident, media reports, reports to UNDSS or other donors et cetera. It is understood that in some cases (such as ongoing conflict), it may not be possible to obtain a police report, but there should be clear evidence of actions taken following the incident, and the relevant documentation should be submitted. In the space provided, list the attached documents by name.

9. Next Steps and Follow-Up. In addition to completing the Report and submitting it to the GMS, partners should also submit the Report to the appropriate cluster and U.N. Mission, where applicable. A summary of incidents will be presented by OCHA to the Advisory Board and include plans to prevent and protect the project from future theft, diversion, or looting. The summary provided to the Board should be saved and included in U.N. audits.

10. Certification and Signature. Please provide your name, date, and signature to certify the contents of the Report.