

## Pilot Set of Minimum Standards for Risk Management

The following standards are proposed as a set of risk management minimum standards as a pilot approach, based on the context of cross-border response and a fit for the remote management purposes. These standards do not replace any existing administrative procedures that organizations have in place. Instead, they seek to reiterate the importance of adhering to the existing provisions in several policies, procedures and systems the organization developed internally to promote a systematic approach to ensuring the smooth implementation of activities as well as safeguarding the organization’s valuable assets both human and financial. Any policies on minimum standards need to ensure compliance with relevant national legislation.

Organizations are strongly encouraged to take the pilot set of minimum standards into consideration when administering their activities and when costing budget calculations, including ensuring that risk management related resources are appropriately allocated. The pilot minimum standards are recommended, they are not binding, therefore, each organization remains responsible for determining its own internal policies and controls, taking into consideration risk management principles and all relevant legal requirements. All organizational policies, norms, and standards must fully comply with the legal requirements of the country of registration, including of the Turkish legal requirement if registered in Turkey.

For the purpose this working draft the recommended set of (pilot) minimum standards are classified as the below table:

| Standard   | Brief Guidance Notes  |
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| <b>1. Strategic</b>                              |   |
| 1.1. Strategic Planning and Business Development | Organization maintains policies, processes and systems that support a commitment to humanitarian principles and inclusiveness.  |
| 1.2. Organizational Annual Workplan              | Organization’s program commitments are in line with organizational capacities.  |
| 1.3. Business Continuity Management              | Organization maintains policies, processes and systems that support a commitment to further strengthen the organization's ability to ensure staff safety and security, and maintain continuity of critical functions during any critical incidents.               |
| 1.4. Networking and External Linkages            | Organizational policies and strategies must include a clear commitment to coordination and collaboration with others, including national and local authorities, without compromising humanitarian principles.   |
| 1.5. Internal Communications and Decision Making | Organization’s internal communications, including its vision and mission, and decision making, as well as leadership and succession planning, should effectively translate organization’s support to and commitment to humanitarian principles and inclusiveness. |
| 1.6. External Communications and Advocacy        | Organizational external communications, including those used for fundraising purposes, are accurate, ethical and respectful, presenting communities and people affected by crisis as dignified human beings.  |
| 1.7. Code of Conduct                             | Organizational policies, processes and systems must include a clear codification of the general and   |

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|                                | <p>permanent rules published in the organizational operational manual outlining, in compliance with humanitarian principles as well as the country specific legal requirements, the norms, rules, and responsibilities of, or proper practices and governance for the; governing body, board, staff, and organization.</p>   |
| 1.8. AAP                       | <p><i>Please refer to Accountability Framework and CHS standard and nine AAP commitments;</i><br/> <a href="https://corehumanitarianstandard.org/files/files/Core%20Humanitarian%20Standard%20-%20English.pdf">https://corehumanitarianstandard.org/files/files/Core%20Humanitarian%20Standard%20-%20English.pdf</a></p>   |
| 1.9. Duty of Care              | <p><i>Please refer to Duty of Care Framework – Annex 1.</i></p>  |
| 1.10. Gender and PESA Policies | <p><i>Please refer to IASC Guidelines on <a href="#">PSEA</a>, <a href="#">Gender</a>, <a href="#">Protection</a> and <a href="#">Inclusion</a>.</i></p>   |
| <b>2. External</b>             |  |
| 2.1. Access                    | <p>Joint Operational Procedures<br/>           Organization should take measures to gain, maintain and enhance principled humanitarian access across their programs. During program design areas with specific access constraints need to be taken into special consideration, to make sure that humanitarian aid reaches the ones most vulnerable. Before and during project implementation staff should be sensitized on the importance of principled humanitarian access and reporting channels in case principled humanitarian access is compromised in any way.</p>   |
| 2.2. Aid Diversion             | <p>Joint Operational Procedures, Monitoring and Accountability Policies<br/>           Incident Management and Reporting SOP<br/>           In crisis contexts aid diversion is a risk that should be mitigated through various methods, including awareness raising on humanitarian principles and the establishment of strong and confidential reporting channels. Aid diversion attempts or actual aid diversion by any party should be immediately reported and flagged with the respective donors.</p>  |
| 2.3. Safety & Security         | <p>S&amp;S Management Plan, Risk Register<br/>           Operating in an insecure and volatile context, humanitarian actors in Northwest Syria need to have safeguards in place to protect their own staff and beneficiaries from hostilities. Safety and security analysis should be an elementary part of project design at the proposal stage and then considered throughout the program. Safety and security, as well as contingency plans should be prepared and implemented in the emergency case, especially for humanitarian facilities (such as camps, community centers etc.).<br/>           Saving lives together:</p> |

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|  | <a href="https://www.unocha.org/es/themes/saving-lives-together-slt">https://www.unocha.org/es/themes/saving-lives-together-slt</a>   |
| 2.4. Environment   |   |
| <b>3. Internal</b>   |   |
| 3.1. Administrative  |   |
| Organizational Finance and HR Manuals must clearly stipulate how organization accepts and allocates funds and gifts-in-kind ethically and legally ensuring that the acceptance of resources does not compromise its independence.  | Organizational strategy obliges the administration of: <ul style="list-style-type: none"> <li>a. Service Delivery Standards</li> <li>b. Field Support, Operations and Oversight</li> </ul>  |
| 3.2. Financial   |   |
| Organizational policies and strategies should be risk aware and risk diligent and include a clear commitment to the principles of economy, efficiency, effectiveness, transparency and accountability are adhered to applicable country and donor specific regulations while safeguarding the effective management and governance practices compliant with the international applicable standards. | Organization financial policy clearly stipulates the effective management and governance of; <ul style="list-style-type: none"> <li>a. Budgeting (organizational and project specific).</li> <li>b. Double-entry Accounting System.</li> <li>c. Internal Controls.</li> <li>d. Financial Control and Inventory Management.</li> <li>e. Financial Statements and Reporting.</li> <li>f. Financial Risk Management.</li> <li>g. Audit (external/internal).</li> </ul>               |
| 3.3. Human Resources   |   |
| The organizational policies set out commitments which consider the diversity and ensure the safety, security and well-being of all personnel.  | Organization have effective and robust Personnel Policy, which include Duty of Care; Staff Safeguarding and protection.<br>Organization have the required ‘Processes’ in place to ensure appropriate, auditable and accountable management of: <ul style="list-style-type: none"> <li>a. Staff Recruitment and Retention.</li> <li>b. Staffing and Job Descriptions.</li> <li>c. Staff Management and Payrolls.</li> <li>d. Staff Salaries, Compensation and Benefits.</li> </ul> |
| 3.4. Logistics and Procurement   |   |
| Organization have a clear ‘Anti-Corruption Policy’ that addresses corruption, fraud, conflicts of interest and misuse of resources.  | Organization have standard operating procedures and minimum operating standards to guide, under obligation of its financial and operational manuals, the processes of; <ul style="list-style-type: none"> <li>a. Procurement.</li> <li>b. Outsourcing and Contracting.</li> <li>c. Fixed Assets and Inventory Management.</li> </ul>  |
| 3.5. Operations  |   |
| The organizational operational manual in line with its organizational policies enables the organization to conduct its operations effectively and efficiently without compromising humanitarian principles as well as its independence.  | Organization have the required ‘Processes’ in place to ensure appropriate and accountable management of; <ul style="list-style-type: none"> <li>a. IT and Data (protection and management).</li> <li>b. Service Delivery Standards.</li> <li>c. Field Support, Operations and Oversight.</li> </ul>   |
| 3.6. Programmatic  |   |
| The organization program policy obliges organization engaging communities and people   | The organizational program policy needs to clearly articulate the following processes and provide the   |

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| <p>affected by crisis, reflecting the priorities and risks they identify in all stages of the work, to ensure the quality of delivery.</p> | <p>required detailed guidance to ensure the process are compliment with but not limited to:</p> <ul style="list-style-type: none"> <li>a. Full adherence to the humanitarian principles</li> <li>b. Legal requirement of the country of registration</li> <li>c. Donor compliance</li> <li>d. Sub-grant management</li> <li>e. Program and technical reporting</li> <li>f. Programming and technical capacity</li> <li>g. Stakeholders’ involvement</li> <li>h. Project cycle and performance management</li> <li>i. Monitoring, evaluation and quality assurance</li> <li>j. IASC AAP Commitments</li> <li>k. Gender, GBV and PSEA policies</li> <li>l. Risk management</li> <li>m. Culturally sensitive programming; and</li> <li>n. <i>Do No Harm</i> approach.</li> </ul> |