

NGO Standards for Safety and Security Checklist (2020 Edition)

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Guidance on this checklist	
1	This checklist is a list of the key actions which are called for in the "NGO Safety and Security Standard Guidebook". This list is expected to be used by individual NGOs to facilitate discussions. It depends on each organization to decide in what ways key actions are addressed, referring to indicators in each section of the guidebook. It also depends on individual organizations to explore more appropriate actions, taking account of their own circumstances.
2	The number in each check item indicates the page number where you will find corresponding content in the guidebook. The number in brackets shows the page number where you will find further information. (It should be noted that the purpose of the guidebook is to provide information and good practices; it depends on individual NGOs to decide which standards are prioritized.)
3	If a check item is not relevant to your organization, or if you have already taken more effective actions, you can leave the box empty, giving explanations in the comment box.
4	In respect of each check item, please select the statement that is most correct: A: Fully implemented. B: Partially implemented. (When there are multiple issues in one item, and when one of them is implemented.) C: Hardly implemented. Empty: Not applicable for the organisation (please provide explanations.)
5	In this checklist, 'staff' refers to those people who are engaged with the organization's activities, including board members, experts, consultants, seconded persons, interns, and volunteers, paid or unpaid.
6	In this checklist, 'employee' refers to those who have contracts with the organization. It depends on individual organizations to decide to what extent the scope of check items are applied to non-employee staff members. If your workforce mainly consists of non-employee staff members, you can treat these two types in the same way.
7	If your organization is a member of international federation or confederation, your interpretations of 'headquarters', 'field office', and 'field locations' may differ from those of Japanese NGOs.
8	If your organization has no office in the field, 'field location' or 'field' can mean local partner organization, local agent, or a team traveling from Japan. If you cooperate with individuals, consultants, or part-time staff in the field instead of local partner entities, 'partner organizations' can mean those who work for your organization.
9	When you make a judgement as to items which include statement such as 'all staff members are informed' or 'inform the whole organization', one way of confirming it is attained is to ask board members, managers, and relatively new staff (working for less than two years) if they are aware of the item in question, and if all belonging to these three categories answer 'yes' unanimously.
10	Under some check items, you will find 'notes', supplementing information as to check items in the immediate above.

Introduction to the NGO Standards for Safety and Security
 This NGO Standards for Safety and Security (hereafter 'the Standards') were adopted by member NGOs of Japan NGO Initiative for Safety and Security (JaNISS). The Standards reflect most common denominators of internationally accepted safety and security standards. Signatory NGOs are expected to develop their own safety and security policies and mechanisms based on the Standards. The Standards are aimed at complementing existing safety and security measures of the signatory NGOs, which are specific to individual members. Each NGO is ultimately responsible for determining how the seven Standards are met. The ways in which it is accomplished will be based on the mission, mandate, values and risk tolerance of each organization. It is desirable that signatories conduct self-assessment at least every four years. The process of designing, implementing and reviewing the organization's standards should be realized through the involvement of, as necessary, not only the management but all staff members (including employees, volunteers, interns, contractors and others) and local partners, reflecting the ever-changing safety and security conditions of each operation.

Safety and Security Item	Rating			Comment	
	A	B	C		
Standard 1: Commitment to Safety and Security The management of signatory organizations commits to ensuring the safety and security of its staff, volunteers, interns, and contractors in line with their duty of care and accepted international standards for safety and security.					
1	The governing body of the organization (e.g. Executive board, annual meeting) explicitly states and convey the organization's Duty of Care to all employees, concerning safety and security in the workplace. (See explanations about Article 644 of the Civil Code in Guidance Notes 1, 2 (P12).)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
【Notes】	a. 'States' here means that it is written properly in a document which can be seen by the staff, and also published externally. b. 'Convey' here means that all staff members are informed when they start working for the organization or when they receive some training. As mentioned in Guidance above, senior managers from various sections of the organization need to agree that this is ensured.				
2	The governing body of the organization delegates responsibilities to executives (e.g. the chair of the board) to ensure legal and regulatory compliance concerning safety and security in the workplace. (See Guidance Note 3 (P12) and Reference 5-1 Example Structure and Responsibilities p. 60)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
【Notes】	Delegation as to who has the ultimate responsibility for security management should be explicitly stated in the organization's policy documents or minutes of meetings.				
3	Widely accepted international standards (e.g. Code of Conduct for IFRC and NGO, CHS) are recognized in the organization. (see also Guidance Notes 4, 5, 6, 7 (P13-14))	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
【Notes】	a. This item should be considered by those organizations which are engaged with humanitarian assistance. b. Whether or not these international standards are recognized by the organization can be judged by organizational practice to explain to the newly				
4	All staff members are made aware of their legal rights and obligations concerning safety and security in the workplace. (See Guidance Notes 1 (P12), 8 (P14), Standard 2.1 Guidance Notes 5 (P22), Standard 5 Guidance Notes 2 (P57))	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
【Notes】	a. 'Legal rights' refer to entitlement to require managers of implementing duty of care. It also includes fulfilment of rights specified in organization's policies such as insurance, safety and security training, and evacuation, and so on. b. 'Obligations' refer to staff's responsibilities for safety and security (roles in prevention of crime, response to natural disasters and accidents) as specified in organization's policies or agreement with their managers. c. 'Made aware of' refers to the situation in which relevant documents are written and referred to, and also proper explanations are given when a staff member starts to work for the organization. There should be an agreement by managers from various sections.				

Standard 2: Organizational Safety and Security Policies and Plans

Signatories shall have an organization safety and security policies in accordance to the organization’s mission, mandate, values and risk tolerance at headquarters’ level, and security plans at both the headquarters and field levels based on a participatory security risk assessment and analysis.

2.1. Safety and Security Policies

5	Organizational scope of safety and security, mission, principles, roles of the organization’s management team, and organization’ responsibilities for its staff are clearly defined in the safety and security policy. (See Guidance Notes 1, 2, 3, 4, 5, 6 (P19-25), and Reference 2-I: Sample Outline of Safety and Security Policies (P28).)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
【Notes】	a. If all the points specified in the above are covered in the organization's policy or guideline documents, the rating should be 'A'. If partially covered, it should be 'B'. b. For smaller NGOs, emails exchanged in the past can substitute for written policies. If the project is managed by a handful members, and if the above points are understood by these members and trust and communication is established, written documents are not necessarily expected.			
6	The organization’s risk management objectives and the rationale for managing security risks that are based on the security risk assessment, linking with organization’s risk tolerance, mandate, and commitments, are clearly stated in its safety and security policy. (See Guidance Notes 2 and 4 (P20, 21))	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7	A mechanism to redress, remedy, and take disciplinary measures in the event that the organization or its employees fail to adhere to the safety and security policies is established. (See the section ‘Failure to comply with safety and security policies’ in Guidance Notes 5 “Organization’s Security Principles” (P22), and Guidance Notes 6 “Legal obligations related to staff safety” (P25))	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8	The safety and security policy, including the above Items 5-7, and taking account of Guidance Notes 5 and the key issues shown in Reference 2-1 (P28), are written down and are known to all staff members including those in headquarters and field locations. (see also Guidance Note 5 (P22).)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2.2. Security Plan at Headquarters

9	The relationship between the headquarters and field locations and their respective responsibilities are clarified. Operational security procedures at the headquarters and those between the headquarters and field locations are clearly defined. (See Guidance Notes 1 and 2 (P30).)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
【Notes】	a. "Responsibilities" here should include roles and duties to be fulfilled by headquarters and field offices respectively. It is important to avoid any confusion or contradiction which might increase risk. b. Clarification involves existence of written guidelines. For smaller NGOs, some reference materials including emails will be sufficient. c. Those organizations without field offices are expected to clarify responsibilities of headquarters and local teams and existing security procedures.			
10	Based on the headquarters’ responsibilities to be clarified in Item 9 above, measures and procedures concerning risk assessment and safety and security plan development at the headquarters level are clearly defined (See Guidance Notes 1, 2, 3, 4 (P30-31), and Reference 2-II regarding the key issues to be considered in the safety and security plan for headquarters (P34).)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
【Notes】	If those NGOs without field offices do not make safety and security plan of field travel team in particular, it is expected that those who travel to the field take part in the planning of headquarters' security plan which should integrate the security measures for their travel..			
11	A mechanism to report situations and all accidents and incidents, with clear scope, line, frequency and format, is established. (See Guidance Note 4 (P31).)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
【Notes】	Those NGOs without field office should consider reporting mechanism by staff who are traveling.			
12	A Critical Incident Management Plan (CIMP) at headquarters is developed. (Guidance Notes 5 (P31).)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
【Notes】	a. Those organizations with field offices need to develop CIMP based on shared responsibilities. b. If those organizations without field office integrate security management plan for staff who are traveling, those who travel should take part in the development of the plan.			
13	A safety and security plan at headquarters is developed, covering the Items 9-12 above, and with reference to “Sample Outline of a Security Plan for Headquarters”. (See also Standard 5 Guidance Notes 2 (P57))	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14	Periodic reviews of the safety and security plan and reflection exercise after an incidence with the participation of all relevant staff members are conducted. The safety and security plan is updated incorporating any lessons learnt. (See Guidance Notes 3 (P30))	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
【Notes】	a. A periodical review should take place at least once a year to update the organization's project plans and revise risk assessment. b. When a periodic review is conducted but participation of all staff members is not materialized, or only one of either a periodic review or revision after incident is conducted, the rating should be 'B'. c. It depends on the organization to decide what 'all staff members' mean, but it is recommended that the management team should consider the best option to fully understand the risk and vulnerabilities associated, and mitigating measures, and also to have a shared awareness among the staff. When a periodic review is conducted, those staff members who were involved in the the planning should take part. When a revision is done after an incident, those who were involved should participate in the revision process.			

2.3. Security Plan in the Field

15	A Security Risk Assessment (SRA) for the operating environment is conducted to identify any potential security risks and threats. Mitigating measures for all identified risks are also identified, based on security policies. (See also Guidance Notes 1 and 3 (P36, 37), Standard 2.1 Guidance Notes 4 (P21).)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
【Notes】	Those organizations without field offices are supposed to assess risk associated with traveling and local partner organizations.			
16	Standard Operating Procedures (SOPs), which define security-related day-to-day operations, are established. (See Guidance Notes 5, 6, 7, 8, 9, 10, 11 (P38-40) for key issues in to be considered in SOPs.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
【Notes】	SOPs are sometimes called 'manuals' or 'guidelines' among Japanese NGOs. The denomination can be chosen by each NGO.			
17	Critical Incident Management Plans (CIMPs), that identify the Critical Incident Management Team (CIMT) in field locations, staff members’ responsibilities, and standard procedures, are developed in close liaison with headquarters. (see also Guidance Note 4 (P37))	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

18	An incident and situation reporting system among field offices is established. Regular communication with and reporting to headquarters based on procedures is specified. (See Standard 2.2 Guidance Notes 4 (P31))	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
19	Security management plans for field locations, that include all the items in the above and refer to "Sample Outline of a Security Plan for Field Posts (P44)", are developed. (See Guidance Note 1-15 (P36-41) and Standard 5 Guidance Notes 2 (P57).)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
[Notes]	Refer to Item 13 above for these check items.				
20	Periodic reviews of security plans with the participation of all relevant staff members are carried out. A review after any incident is conducted and all lessons learned are incorporated into the revised security plans. (See Guidance Note 1 (P36) and Standard 2.2 Guidance Note 3 (P30))	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
[Notes]	Refer to Item 14 above for this check item.				
Standard 3: Resources					
Signatories shall make available the appropriate financial, human and other resources to mitigate the safety and security risks identified through the organization's security risk analysis.					
21	A clear policy is adopted that necessary security costs are funded (such as staff deployment, training, research/monitoring/evaluation, stakeholder engagement, and networking with other actors, management costs). (See Guidance Notes 2 & 3 (P46).)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
[Notes]	Having a policy means some written guidelines exist, or whether or not senior managers who are involved in budget making in the organization agree that in practice such costs are covered.				
22	When an appropriate level of budget for safety is not secured, or when human and other resources are not ensured, the plan is reviewed and revised to implement the project within the budget, avoiding the situation where staff to work beyond the organisation's accepted risk threshold. (See Guidance Note 4(P47).)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
[Notes]	Avoiding the situation' refers to having guidelines, or having a feedback mechanism allowing staff to be heard, or having cases where some relevant measures have been taken in the past or present.				
23	If the donor is not willing to fund necessary security costs, advocacy efforts are made towards the donor to change its policies. Alternatively, efforts are made as an NGO community member, contributing to the development of whole NGO-wide resources. (See Guidance Note 4 (P47)).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
[Notes]	Advocacy work refers to any related action taken towards the donor in the past. For example, whether or not the organization made suggestions to change funding policy directly to the donor, collaborated with network organizations on this issue, or responded to a questionnaire survey.				
Standard 4: Human Resources Management					
Signatories shall have personnel guidelines and procedures that prepare employees to cope with safety and security issues at their post of assignment, support them during their service, and address post assignment issues.					
24	All positions in the organization have Terms of Reference (TOR) in which positions' roles and responsibilities are clearly described. (See Guidance Note 1 (P52).)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
25	The organization's human resource policy include clearly defined responsibilities for security management according to positions. (See Guidance Note 2 and 4 (P52), see also Standard 2.1 Guidance Note 6 (P25).)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
[Notes]	a. See "Reference 5-I: Example Structure and Responsibilities" (P60) for security and safety responsibilities. All staff members are accountable for their own actions. They are responsible for complying with all security policies, procedures and directives, and also for ensuring their behaviour does not increase risk to themselves and/or others. They are responsible for reporting all security incidents appropriately.				
26	Clear guidance as to stress management for international and national/local staff members is provided (e.g. safe working environment, appropriate working hours, measures for international staff including R & R). (See Guidance Note 3 (P52), see also Guidance Note 6 (P53) for support to staff's family.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
27	Gender-specific vulnerabilities for the staff are properly addressed, and relevant international standards and guidelines are followed. Necessary policies are established for this purpose. (See Guidance Note 5 (P52).)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
28	Security training that international and national/local staff members must attend is clearly defined. (Guidance Notes 8 and 9 (P53).)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
29	Clear policies as to health benefits and insurances for international and national/local staff members are established. (See Guidance Note 10 (P53).)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
30	Context-specific issues and vulnerabilities for the national/local staff are taken account of, and security policies and plans are translated into local languages as appropriate. (See Guidance Note 12 (P54).)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Standard 5: Accountability					
Signatories shall incorporate management systems that will ensure accountability for safety and security at both headquarters and field levels, and all personnel understand their respective roles and responsibilities.					
31	A staff member or a group of staff members who act as a security focal point and/or focal working team to take the lead in developing and implementing the security management framework are assigned in the organization. (See Guidance Note 1 (P56).)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
32	Opportunities for presenting the organization's mission and values, security roles and responsibilities to staff members at all levels are provided at headquarters and the field locations. (See Guidance Note 2 (P57).)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
[Notes]	Opportunities' here means that occasions where security management is explained about to newly recruited staff members and to those who travel to the field. Also included are those occasions in which security management plans are reviewed after an incident takes place.				
33	Periodic organizational security reviews are carried out by a means such as evaluations of employees' and management performance on security related responsibilities, drills of Critical Incident Management, and review of safety and security plan. (See Guidance Note 3 (P58), Planning Process at Standard 2.3 (P35).)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Standard 6: Collaboration with Other Actors					
Signatories shall actively participate in safety and security related forums at both headquarters and field levels and collaborate with other members of the humanitarian and development communities to advance their common safety and security interests.					

34	The importance of safety and security collaboration with other agencies in the humanitarian and development sector is shared and understood within the organization. (See Guidance Notes 1, 2, 3 (P61-62).)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
【Notes】	a. See Item 4 above for the definition of 'shared and understood'.				
35	A focal point person is appointed to attend safety and security forum meetings (cf. Item 30 above). His/her responsibilities are clearly described in the TOR. (See Standard 5 Guidance Note 1 (P56) and Reference 5-I: Example Structure and Responsibilities (P60).)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
36	The organization actively participates in security forums organized by NGOs and/or UN agencies at the headquarters and/or field office levels. The organization is recognized as a member of the safety and security community both at headquarters and the field level. (See Guidance Notes 3,4 (P63-64).)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
【Notes】	a. 'Actively participating organizations' refers to those organizations whose representative comments and asks questions in safety and security meetings, takes part in unofficial information exchange gatherings, or gets involved in the operation of the security forum. Those organizations which are only registered with the forum and attend meetings simply to gather information are not active participants. b. 'Being recognized as a security community member' refers to those organizations which take part in network/periodic meetings and/or have multiple peer organizations to consult with or exchange information.				
Standard 7: Safety and Security of Local Partner Organizations					
Signatories shall endeavour to achieve the above six Standards in implementing a project with a local partner organization , based on mutual respect and shared responsibility.					
37	When implementing a project with a local partner entity, the organization agrees on responsibilities and roles in case of crisis, in addition to those in day-to-day operational contexts. The agreement is shared among relevant staff members. (See Guidance Note 2 (P65); Standard 2.3 Guidance Note 4 (P37).)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
38	When implementing a project with a local partner entity, potential security risks, mitigating measures, staff's roles and responsibilities, and inherent vulnerabilities are thoroughly discussed before starting activities. (See Guidance Note 1 (P64) and 3(P65), see also Standard 2.1 Guidance Note '5. Organization's Security Principles: Full Participation of National/Local Staff in Security Planning'(P23).)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
【Notes】	a. This check item is based on the following assumptions: • In case the organization's staff member implements a project under a local partner's security management. • In case the organization's staff is seconded to a local entity to implement a project. • In case the sizes of the Japanese organization and the local entity differ significantly and a project is largely managed by one of these two organizations. • When the organization's project is managed by a country office which is managed by an international federation.				
39	When an organization implements a project with a local partner entity in a high-risk area, both parties understand the risks to take (including a reputation risk) and risk tolerance of the both, and make efforts not to pose unintended harm on each other. (See Standard 3 Guidance Note 2 (P46); Standard 4 Guidance Note 4 (P52). See also Standard 2.1 Guidance Note 4 (P21) and Standard 2.3 Guidance Note 1 (P36).)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
【Notes】	a. This check item is based on the assumption that international staff cannot travel to the country or area in question, and hence the project is implemented by a local partner entity.				