



STEWARDWOMEN

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**Support the Empowerment of Women and their Rights for Development Organization, South Sudan
(STEWARDWOMEN)**

RISK MANAGEMENT POLICY FRAMEWORK

Approved by Board of Directors, 13th May 2017

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1.0 Purpose, Scope and Definitions:

1.1 Purpose;

This policy establishes the process for the management of risks faced by **STEWARDWOMEN**. The aim of risk management is to maximize opportunities in all **STEWARDWOMEN** activities and to minimize adversity. STEWARDWOMEN risk management policy serves two main purposes: to identify, reduce and prevent undesirable incidents or outcomes and to review past incidents and implement changes to prevent or reduce future incidents. The risk management policy is directed at uncertainty related to future events and outcomes. By implication, risk management is the responsibility of everyone in STEWARDWOMEN, since the staff and stake-holders at all levels can provide some insight into the nature, likelihood and impacts of risk.

1.2. Scope;

The policy applies to all activities and processes associated with the normal operation of **STEWARDWOMEN**. It is the responsibility of all Board members, staff and volunteers to identify, analyze, evaluate, respond, monitor and communicate risks associated with any activity, function or process within their relevant scope of responsibility and authority.

1.3. Definitions;

- 1.3.1 Risk** refers to the uncertainty that surrounds future events and outcomes. It is the expression of the likelihood and impact of an event with the potential to influence the achievement of an organization's objectives. This implies that, as a minimum, some form of quantitative or qualitative analysis is required for making decisions concerning major risks or threats to the achievement of an organization's objectives.
- 1.3.2 Risk management** is a systematic approach to setting the best course of action under uncertainty by identifying, assessing, understanding, acting on and communicating risk issues.
- 1.3.3 Risk control** means taking action to first eliminate health and safety risks so far as is reasonably practicable, and if that is not possible, minimizing the risks so far as is reasonably practicable. Eliminating a hazard will also eliminate any risks associated with that hazard.
- 1.3.4 Risk Assessment** is the process of evaluating and comparing the level of risk against predetermined acceptable levels of risk.
- 1.3.5 Integrated Risk Management** refers to a continuous, proactive and systematic process to understand, manage and communicate risk from an organization-wide perspective. It is about making strategic decisions that contribute to the achievement of an organization's overall corporate objectives.

2.0 Risk Management Philosophy:

STEWARDWOMEN aspires to operate in a way that protects the health, safety and security of beneficiaries, staff members and volunteers while lifting up the organization's mission and safeguarding assets needed for mission-critical programs and activities.

3.0 Risk Management Goals and Principles:

Risk management is a key governance and management function. Therefore, the safety of personnel receiving or engaged in delivering services sponsored by STEWARDWOMEN shall at all times be regarded as a top priority and this emphasis shall be communicated throughout the organization in order to ensure its understanding. STEWARDWOMEN is proactive in its approach to risk management, balances the cost of managing risk with anticipated benefits, and undertakes contingency planning in the event that critical risks are realized.

It is STEWARDWOMEN's policy to involve appropriate personnel, whether board or staff, at all levels of the organization in the identification of risks and creation of practical strategies in order to make certain that the organization's approach to risk management considers diverse perspectives and that staff understand their responsibility to protect the confidentiality of our clients, beneficiaries, the safety and security of our facilities, the integrity of our reputation, the preservation and future growth

of assets as well as the fulfillment of our mission. Effective risk management involves a commitment to health and safety from the **STEARAWOMEN** Board of Directors and the involvement and cooperation of **STEARAWOMEN's** staff.

4.0. Responsibility for Risk Management:

All Board members and staff contribute to the establishment and implementation of risk management systems for all functions and activities of STEARAWOMEN. The risk management practice shall align with the government legislations. A person can have more than one duty and more than one person can have the same duty at the same time.

4.1 Board of Directors;

- a) Sets risk management goals, adopts annual operating objectives and budget with risk management included.
- b) Adopts annual capital budget with risk management in mind.
- c) Reviews operational reports to determine compliance and future priorities.
- d) Ensures compliance with policies and standards imposed by the government, donors and donor agencies and accredited organizations.
- e) Adopts and establishes policies and standards.
- f) Reviews the organizations' risk management plan regularly.

4.2 Team Leader/Program Director;

- a) Assigns staff to design and carry out safety and risk management activities.
- b) Assigns staff to perform regular review of the safety and risk management activities.
- c) Executes contracts for the organization.
- d) Keeps the board apprised of emerging threats and opportunities facing the organization.

4.3 Risk Management Committee;

- a) Champions organization-wide effort to protect the vital assets of STEARAWOMEN and engage key stakeholders in risk management activities.
- b) Convenes periodically to review the agency's priority risks and corresponding risk management strategies.
- c) Oversees the development, implementation and monitoring of loss prevention programs.
- d) Oversees the purchase of insurance for the organization.
- e) Evaluates the insurance program.

4.4 Security Staff;

Ensure, so far as is reasonably practicable, that:

- a) The workplace, including entry and exit and anything arising from the workplace are without risks to health and safety.
- b) The fixtures, fittings or plant are without risks to health and safety.
- c) The plant, substance or structure is without risks to health and safety.
- d) Establish and implement risk management systems for all functions and activities of **STEARAWOMEN**.

4.5 General Staff;

- a) Compliance with Risk Management Policy.
- b) Contribute to the establishment and implementation of risk management systems for all functions and activities of the organization.

5.0 Organizational Governance Structure:

5.1 Articles of Incorporation;

STEARAWOMEN was incorporated in the office of Relief and Rehabilitation Commission (RRC) on 06th June, 2016 as a National Organization, under the NGO Act, 2016. The articles of incorporation were last reviewed by legal counsel on 6th June 2014, to ensure compliance with the national laws. We have maintained our corporate status by filing with the state as required by law. The date of our last filing was 12th June 2014. Board representatives reviewed the articles for compliance with the current mission and purpose of the organization in 2011. The Board and legal counsel will review the articles of

incorporation every [three] years to maintain its relevance and legality. The original articles of incorporation are stored in Nimule, Kololo with the Chairperson Board of Directors. An authenticated copy of the articles is stored in Juba, Munuki, with the Program Director.

6.0. Risk Management Strategies:

6.1 Human Resources;

6.1.1 Written Employment Policies;

STEARDWOMEN believes that written employment policies are an essential risk management tool. The organization has compiled its key employment policies in the human resource manual. All new policies are communicated in writing to staff through the use of memos and other appropriate policy documents. In addition, new policies are incorporated in the policy manual when that manual is updated periodically. Updated versions of the Human Resource manual is made available to all staff when required and all new staffs are required to go through the Human Resource Manual in a systematic way so as to clearly understand and comply with it. New policies are communicated verbally and in writing to employees. Staffs are also required to confirm their understanding of and willingness to abide by any new policies. STEARDWOMEN reviews and updates the Human Resources Manual every three years in order to ensure that policies remain suitable for the organization and in compliance with domestic laws. The organization shall obtain assistance from an employment attorney in this effort.

STEARDWOMEN has developed job descriptions for all paid and volunteer positions in the organization. These documents are finalized before the recruitment process begins and used during interviews with prospective candidates to inquire whether the candidate is able to perform all the duties listed.

6.1.2 Employee Orientation;

The Human Resources Officer at STEARDWOMEN is responsible for conducting orientation session for all new employees and volunteers on the first day of employment. During this session, key provisions of the Human Resources manual are discussed, the employee is asked to provide any additional information necessary for benefits enrollment, and the employee is encouraged to ask questions about any aspect of employment policy or operations. Employees are also introduced to other staff and provided with an overview of equipment and systems they will be required to use.

The respective supervisor of the new staff is responsible for designing and conducting an appropriate orientation session for their new staff. The orientation must take place within the first week of employment. A typical orientation includes review of key policies, introduction to software and hardware programs that will be used by the employee, introduction to other staff and key volunteers, and a review of the supervisor's expectations and reporting requirements.

6.1.3 Conflict of Interest;

- a) We limit contact between our clients and staff to approved activities. Staff should not meet with a client outside the parameters of our organization. Staff is prohibited from "baby-sitting" for our clients, the clients' families or other participants within the program. Staff cannot meet with a client and/or the client's family other than during scheduled program activities.
- b) Staff cannot include anyone other than an authorized employee or volunteer in any program activities involving our clients. Clients cannot include members of their families or friends in any program activities unless specifically permitted. No overnight visits or activities are permitted without the approval of the organization. No gifts of a value greater than \$100 should be exchanged between staff and clients. No money should be given to a client and expenditures for program activities should be limited to \$100.

6.1.4 Emergency Procedures;

To ensure the safety of our clients, and staff, STEARDWOMEN has established an emergency action plan. The emergency action plan is a way for the agency to prepare and plan for various emergencies. All personnel are responsible for knowing and following the plan.

6.2. Financial Management:

6.2.1 Financial Responsibilities and Objectives;

It is the responsibility of the Board of Directors to formulate financial policies and review the operations and activities of STEWARDWOMEN on a regular basis. The Board delegates this oversight responsibility to the Program Director. The Program Director delegates the responsibility for implementing all financial management policies and procedures on a day to day basis to the Finance and Administration Manager. The Finance and Administration Manager manages the various aspects of financial management.

The financial management objectives of STEWARDWOMEN are to:

- a) preserve and protect financial assets needed for mission critical activities;
- b) exercise appropriate care in the handling of incoming funds and disbursement of outgoing funds;
- c) Strive for transparency and accountability in fiscal operations.
- d) Budgeting Process.

6.2.2 Financial Statements;

The Board of Directors shall review the financial statements quarterly. The financial statements will show a comparison of budget to actual revenue and expenses and also a list of grants or funding that is anticipated but not yet received.

6.2.3 Internal Controls;

STEWARDWOMEN has adopted a number of internal control measures as part of an overall effort to safeguard financial assets. These controls include:

- a) A policy requiring that all incoming cheques and cash are indicated in the STEWARDWOMEN Finance manual.
- b) A detailed log of all incoming cheques and cash is maintained and reconciled with deposit slips and monthly bank statements.
- c) Segregation of duties in the financial and procurement processes so that a single staff member isn't required to perform two or more of the functions.

6.2.4 Audit;

It is the policy of STEWARDWOMEN to engage the services of a reputable, independent Auditing firm to conduct an annual audit of the organization's financial statements. The audit is required to be completed within six months of the end of each fiscal year. The audit firm is selected by and reports to the organization's Audit Committee.

A report from the Audits is to be presented in the Annual reports (financial and narrative). This report must be presented at the first quarter Board of Directors meeting of the year.

6.2.5 Technology and Information Management;

STEWARDWOMEN's information and office technology systems (networks, software, computers, telephones, printers, copiers, etc.) are tools provided to employees and volunteers to enhance productivity and performance on the job.

Limited non-business use is permitted when on personal time (e.g. during lunch hour or after work). Regardless of the type of use, employees must not have any expectation of privacy to data, information or files that are created, stored or used on STEWARDWOMEN's systems.

The Program Director or his/her designee reserves the right to access the employee's computer or files at any time. Staffs are expected to use good judgment in their use of STEWARDWOMEN's information and office technology systems, especially electronic mail. Access to all systems, including electronic mail and the Internet, is a privilege, not a right.

To safeguard its office and technology assets, STEWARDWOMEN maintains a complete inventory of its electronic equipment and computer and technology systems, including hardware, software, media and data. The inventory process includes documentation of how the networks and systems are configured. Responsibility for maintaining the inventory has been assigned to a regular staff member.

The inventory is updated at least quarterly or whenever new equipment, media or software are acquired or discarded. The inventory is stored on-site as well as off-premises. Assets are all branded in the name of the organization. To expedite recovery from an incident involving the organization's equipment and systems, responsibility has been assigned for establishing and maintaining an inventory and documentation of all systems. The documentation shall include a complete inventory of electronic equipment and computers technology, including hardware, software, media and data. The assigned staff person will update the documentation on a quarterly basis or as warranted by system acquisitions.

6.2.6 Systems Backup;

STEARAWOMEN understands the importance of maintaining computer operations in order to deliver services and programs. A major tool to mitigate damage to computer systems is to adopt procedures for creating and storing system backups to enable the organization to quickly restore any lost files or systems.

STEARAWOMEN uses external hard drives to back up its system information and this is done weekly and monitored monthly. The external drives are stored in the safe for proper safety.

6.3 Transportation Risks;

Providing transportation services to our beneficiaries and staff during organizations' activities is one of our requirements in fulfilling our mission. However, the organization recognizes its responsibility to provide safe and efficient transportation. The following rules apply to all drivers and vehicle users;

- a) Only people approved and authorized by STEARAWOMEN are permitted to drive either the Organization owned vehicle or any other vehicle on organization's behalf.
- b) Organization owned vehicles are not to be driven for personal use without the permission of the Program Director or his/her designee. While driving on behalf of the organization, personal errands should be avoided. Organization owned vehicles are to be used within the approved guidelines for use. To protect our clients and staff, STEARAWOMEN will restrict the people allowed to drive on behalf of the organization and specify the terms and conditions when driving or providing transportation services. STEARAWOMEN is committed to providing a safe environment for its staff and beneficiaries. To achieve this goal, anyone driving on behalf of the organization must be approved.
- c) All approved drivers must possess a valid driver's license, acceptable driving record, and adequate personal automobile insurance.
- d) Periodically checking motor vehicle records is in our policy—pulling the MVR at the onset of employment or volunteer service is increasingly common. Consider pulling an updated record on a regular basis for your drivers (more for full-time drivers and less often for occasional drivers).
- e) STEARAWOMEN has assigned responsibility to the Driver or a specified regular staff member who ensures that all agency-owned vehicles are maintained and repaired. The Driver or the vehicle supervisor oversees maintenance and repair procedures, such as: mileage and maintenance of logbook. Each vehicle contains a log book for drivers to record each trip, including the driver, purpose, and miles driven. The book should also document any maintenance or repairs performed.
- f) Pre-trip inspection. A short pre-trip inspection form is completed by the driver before using the vehicle. Drivers are instructed to refer any problems to the vehicle supervisor. The vehicle supervisor also inspects vehicles periodically.
- g) The vehicle supervisor schedules and documents the routine maintenance of all vehicles (oil changes, tire rotation and replacement, fluids checked).
- h) The Drivers are instructed concerning the proper way to report maintenance and repair needs (flat tire, broken seat belt). And they are required to report promptly and using the right procedure.

6.4 Accident Procedures;

Any accident involving a motor vehicle or motorcycle driven on STEWARDWOMEN's behalf, regardless of severity, location, or fault, must be reported immediately to the law enforcement authority within the jurisdiction where the accident occurred and to the driver's supervisor at STEWARDWOMEN.

Fleet vehicles containing an Emergency Kit must have reflective triangles, accident procedures and first aid kit. In the event a rented vehicle is being used, the driver should also follow the procedures outlined on the rental agreement and/or posted in the vehicle. All organization's drivers MUST be instructed to follow the following procedure for all accidents.

- a) Stop and secure the vehicle,
- b) Set out warning devices (triangles) properly,
- c) Immediately contact the local police to advise them of the accident and request medical assistance if there are any injuries. Once any medical needs are taken care of, obtain information on the other driver or drivers involved in the accident,
- d) Use the accident form to record this vital information. Provide the other driver(s) involved in the accident with the vehicle's information, including insurance coverage. Insurance information should be located in the Emergency Kit of all fleet vehicles. The driver should cooperate with the police and other authorities, but do not admit fault. If necessary due to the condition of the vehicle, arrange for towing to a nearby garage.

6.5 Risk Financing Strategy;

To safeguard the assets and resources of STEWARDWOMEN, the organization will purchase insurance for those insurable risks of major importance to mission-critical operations and the financial health of the organization. It is the Program Director's responsibility to oversee the organization's insurance program and provide an annual insurance report to the board.

7.0 Emergency Planning Policy:

It is the policy of STEWARDWOMEN to promote good health, well-being and occupational safety for its employees, volunteers and service recipients. Emergency situations require the participation of all staff. Everyone must be familiar with emergency operations. Certain responsibilities are defined to ensure smooth operations. The emergency plan must be readily available, posted in a prominent location, and reviewed annually by the organization's senior management.

In order to do this, STEWARDWOMEN views emergency planning as essential. The organization's emergency plans reflect input from key organization personnel. Components of the plan include business continuity, crisis communications and facility evacuation among others.

All Budget holders of STEWARDWOMEN are required to make financial estimates for emergencies in their departments as part of their contribution to the Annual budget.

8.0. Risk Management Policy Implementation

It should be noted that Risk management forms part of strategic, operational and line management responsibilities, and are integrated into strategic and service planning processes. Risk management should be embedded in all policies and procedures, with staff contributing to risk management systems.

The end!