

## Duty of Care Maturity Matrix (EISF version)



Maturity level:	Initial	Structured	Defined	Measured	Optimised
Processes	Insufficient	Partially sufficient	Basic good practice	General good practice exceeded	Ethical and legal duty of care considered
Duty of information (collecting, collating, analysing, sharing, informing, understanding)	Recruitment	Recruitment is carried out solely by HR or the line manager without security input.	Recruitment is carried out on the basis of basic information received from security focal points for high risk locations. No further involvement from security during the recruitment phase.	Recruitment is carried out on the basis of basic security information received from security focal points for high risk locations or high risk roles. Additional input from the security focal point is obtained if deemed necessary.	Recruitment of staff is informed by a detailed risk assessment carried out in relation to the role and operational context. This recruitment lead or HR / line management lead on recruitment but in close coordination with security focal points who can be called in to provide additional advice to the recruiters and to the candidates. These measures extend beyond high risk contexts and high risk roles.
	Induction	Some form of induction received by most staff.	Most staff receive structured induction upon recruitment and prior to travel.	Staff receive compulsory induction upon recruitment and prior to travel. Staff induction covers: - Key policies (security policy) - Security procedures - Code of conduct - Roles and responsibilities - Other key briefings related to role	All staff receive compulsory induction upon recruitment and prior to travel. This induction covers: - Key policies (security policy) - Security procedures - Code of conduct - Roles and responsibilities - Other key briefings related to role - Their safety and security roles and responsibilities The content of this induction is regularly updated to reflect learning from other safety and security processes.
	Training	Staff do not receive personal safety and security training.	Some international staff receive personal safety and security training on an ad hoc basis.	Personal safety and security training in the form of a hostile environment awareness training (HEAT) (in house or external) is mandatory for all staff travelling to high risk countries. This personal safety and security training must be regularly taken, at least once per year.	All staff receive regular personal safety and security training in accordance with their role, operational context and personal risk profile. For example, low risk travellers receive online safety and security training. High risk travellers receive hostile environment awareness training (HEAT). Crisis team members receive crisis management training. Those with safety and security responsibilities receive safety and security risk management training.
	Risk assessment	Safety and security risk assessments are carried out in an ad hoc manner. They do not follow a set template.	Safety and security risk assessments are carried out for high risk locations and programmes. They follow a standardised template.	Safety and security risk assessments are carried out for all country programmes, including high risk locations and programmes, and consider the safety and security of staff assets, the organisation and beneficiaries. They use a standardised template. These are updated regularly.	Safety and security risk assessments are carried out for all country programmes, including each project, and consider the safety and security of staff, assets, the organisation as a whole and beneficiaries. They use a standardised template. Staff personal risk profiles are included in these risk assessments, e.g. the impact on LGBTIQ, ethnicity, nationality, gender. These assessments include internal threats, e.g. sexual violence. These assessments are regularly updated and feed into organisational-wide learning. These risk assessments include information from incident reporting mechanisms, including information from other organisations operating in the same context.
	Pre-departure briefings for travellers	Travelling staff to high risk countries may receive a safety and security briefing or a document with safety and security information upon arrival.	Most travelling staff receive a pre-departure information document with a summary of safety and security risks and guidance for all country programmes.	All travelling staff receive a pre-departure information document with a summary of safety and security risks and corresponding procedures. This is complemented by face-to-face briefings prior to departure and upon arrival in country. Information on safety, risks, safety and security measures in place to prevent and respond to incidents, as well as reprecautions (whether prior to travel or after arrival) and there are no reprecautions for withdrawing.	All travelling staff receive a pre-departure information document with information on safety and security risks and corresponding procedures. This includes in-country travel for both international and national staff. This is complemented by face-to-face briefings prior to departure and upon arrival. These briefings cover risks (including risks to particular personal profiles), safety and security measures in place to prevent and respond to incidents, as well as staff members' personal responsibility in relation to safety and security. Staff are given the right to withdraw upon receiving information (whether prior to travel or after arrival) and there are no reprecautions for withdrawing. Information provided is regularly updated from information received from assessments and post-deployment de-briefings.
	Access to expertise	The organisation has a number of contacts inside and outside of the organisation with expertise. This expertise covers only some of the following aspects: - Health - Safety - Security	Not all operating contexts have access to this expertise.	All the organisation has in-house expertise or pre-arranged access to external expertise. This support covers all of the following aspects: - Health - Safety - Security	The organisation has in-house expertise or pre-arranged access to external expertise. This support covers all of the following aspects: - Health - Safety - Security
	Risk treatment	Safety and security risk treatment measures are carried out for all high risk country programmes. These are not consistently written down.	Safety and security risk treatment measures are put in place for all country programmes. These are informed by an organisation-wide security policy, which includes a clear organisational risk threshold.	Safety and security risk treatment measures are put in place for all country programmes. These are informed by an organisation-wide security policy, which includes a clear organisational risk threshold. Risk treatment measures are also informed by risk assessments and staff consultations.	Safety and security risk treatment measures are put in place for all country programmes. These are informed by an organisation-wide security policy, which includes a clear organisational risk threshold. Risk treatment measures are also informed by risk assessments and staff consultations. They are accessible by all staff in a written format.
Duty of prevention (anticipating, planning, providing guidelines)	Pre-departure measures for travellers	Staff are responsible for their own health checks and vaccinations prior to international travel. This is not monitored systematically and not mandatory.	Staff are given the option of obtaining vaccinations prior to international travel.	Staff are given the option of obtaining health checks and vaccinations prior to international travel to high risk locations. These are not considered mandatory by the organisation unless required by law (e.g. yellow fever vaccination).	Staff are required to obtain health checks and vaccinations prior to international travel and this is facilitated by the organisation. These are considered mandatory by the organisation.
	Insuring against risks	Basic insurance which may not cover all staff and all countries of operation.	Comprehensive health and accident insurance coverage is available for international staff travelling or on deployment.	Comprehensive health and accident insurance coverage is available for all staff travelling or on deployment. Insurance coverage for national staff meets national staff requirements. Special risks insurance is obtained.	Comprehensive health and accident insurance coverage is available for international and national staff. Special risks insurance is obtained after comprehensive due diligence processes.
	Auditing	Safety and security are not regularly audited.	Safety and security policies and procedures are audited in high-risk countries. These audits are done on a regular basis or in accordance with local legal requirements. Some of the recommendations from these audits are actioned.	Safety and security policies and procedures are systematically audited across all country programmes by qualified individuals (externally or internally). This is done on a regular basis. Recommendations for improvement from the audits are documented and shared with senior management in-country and at headquarters level. Most of the recommendations from the audits are actioned.	Safety and security policies and procedures are systematically audited across all countries of operation. Under-reporting is addressed through awareness raising and training. This is done on a regular basis. Recommendations for improvement from the audit are documented and shared with senior management in-country and at headquarters level. Most of the recommendations from the audits are actioned. The responsibility of an individual or group of individuals for recommendations not actioned is communicated to the organisation documents the rationale for why not.
Duty of monitoring (reviewing, checking compliance, learning)	Safety and security incident information management	Incident monitoring mechanisms are in place and followed in most countries, and in all high risk contexts. The data is held by the safety and security focal points in a database and shared with senior management.	Incident monitoring mechanisms are in place across all countries of operation. This incident data is collected by safety and security focal points and shared regularly with senior management. Actions are taken on the basis of this incident information to inform safety and security plans and procedures at a local or national level.	Incident monitoring mechanisms are in place across all countries of operation. Under-reporting is addressed through awareness raising and training. This incident data is collected in the centralised safety and security focal points and includes data from external sources, including pooled databases.	Incident monitoring mechanisms are in place across all countries of operation. Under-reporting is addressed through awareness raising and training. This incident data is collected in one centralised location by the safety and security focal points and includes data from external sources, including pooled databases. Incident statistics are shared regularly with senior management to inform decision-making around programmes, safety and security plans and procedures, as well as resource allocation. HR, safety and security staff meet regularly to ensure cross-training in case each team has their own incident databases (being mindful of confidentiality concerns).
	Documentation	The organisation does not systematically document safety and security policies, plans or procedures.	The organisation documents safety and security policies, plans and procedures at headquarters level. The organisation documents policies, plans and procedures in some high risk country contexts.	The organisation documents safety and security policies, plans and procedures in all programme locations. Staff sign the code of conduct.	The organisation documents safety and security policies, plans and procedures in all programme locations. The organisation also ensures that staff sign that they understand and adhere to the code of conduct. Staff sign that they received a safety and security briefing and that they know what the work they will be doing after all the training. The organisation has put in place to mitigate risk. Changes in procedures and plans are well-documented.
	Crisis management	Crisis management plans and response mechanisms are not well-established with overreliance on travel health and accident insurance providers.	Crisis management plans put in place but no training is provided. Crisis management response structure is agreed in theory but not clearly well-established. Access to crisis assistance providers is dependent on whether or not there is a crisis response provider attached to the organisation's policy; these are not carefully vetted before an incident.	Crisis management plans put in place and implemented. Crisis management response structure put in place and implemented. Crisis management training is provided to crisis team members at headquarters level. Crisis management providers are pre-identified and vetted. These may be separate from the organisation's insurance policies. Response procedures are in place for internal incidents, e.g. where perpetrators are staff, as well as sensitive cases such as sexual violence. Investigation procedures are in place and staff trained to carry these out.	Crisis management plans put in place and implemented. Crisis management response structure put in place and implemented. Crisis management training is regularly provided at headquarters and in high risk locations for crisis team members. Crisis assistance providers are pre-identified and vetted. There may be separate from the organisation's insurance policies. Response procedures are in place for internal incidents, e.g. where perpetrators are staff, as well as sensitive cases such as sexual violence. Investigation procedures are in place and staff trained to carry these out. These measures are regularly reviewed and amended based on learning.

Duty of intervention (responding, supporting, caring, protecting, ensuring compliance)	Post-deployment/travel de-briefings	There are no post-deployment de-briefings.	Post-deployment/travel de-briefings do not take place in a regular manner. Trip reports are expected to be completed by returning staff.	Post-deployment/travel de-briefings take place for international travellers with their line managers. Trip reports are expected to be completed by returning staff after international travel or in-country travel to high risk locations. This may include meetings with safety and security focal points to raise concerns. Psycho-social support services may be offered to returning staff.	Post-deployment/travel briefings take place for all staff with their line manager, this includes in-country travel in high risk locations. Lessons from these are used to amend other processes, including pre-departure briefings, inductions and trainings. Trip reports are expected to be completed by returning staff after international travel or in-country travel to high risk locations. This information is used to inform decision-making at local, national and organisational levels where appropriate. Reporting individuals are kept informed of all follow-up actions. Psycho-social support services are offered to all staff. Staff who have had traumatic experiences are encouraged to take advantage of these services.	Post-deployment/travel briefings take place for all staff with their line manager, this includes in-country travel in high risk locations. Lessons from these are used to amend other processes, including pre-departure briefings, inductions and trainings. Trip reports are expected to be completed by returning staff after international travel or in-country travel to high risk locations. High risk travel requires a post-travel meeting with safety and security focal points. This information is used to inform decision-making at local, national and organisational levels where appropriate. Reporting individuals are kept informed of all follow-up actions. Psycho-social support services are offered to all staff. Staff who have had traumatic experiences are encouraged to take advantage of these services.
	Complaints mechanisms	The organisation has a complaints mechanism in place but this is available only to beneficiaries.	The organisation has complaints and whistleblowing mechanisms in place for beneficiaries and staff members. Reports go to one or two more staff members at headquarters level. Staff are informed of the existence of these mechanisms upon recruitment.	The organisation has complaints and whistleblowing mechanisms in place for beneficiaries and staff members. Reports go to one or two more staff members at headquarters level. Staff are informed of the existence of these mechanisms upon recruitment.	The organisation has complaints and whistleblowing mechanisms in place for beneficiaries and staff members. Reports go to several individuals in headquarters and/or an external service provider. For national staff access to these mechanisms is accessible in the local language. Staff are informed of the existence of these mechanisms, how to access them and what actions the organisation commits to take upon receipt of a complaint or report of misconduct. Procedures are in place to protect the identity of reporting individuals.	The organisation has complaints and whistleblowing mechanisms in place for beneficiaries and staff members. Reports go to several individuals in headquarters and/or an external service provider. For national staff access to these mechanisms is accessible in the local language. Staff are informed of the existence of these mechanisms, how to access them and what actions the organisation commits to take upon receipt of a complaint or report of misconduct. Procedures are in place to protect the identity and security of reporting individuals. These mechanisms are regularly reviewed and improved to reflect learning.
	Disciplinary/sanctions procedures	The organisation becomes aware of infringements on an informal way or by chance. Perpetrators of such infringements are randomly held accountable, with some not held to account at all.	Senior management are informed of infringements due to staff members failing to manage staff, including their responsibility to act swiftly if an infringement is acknowledged and they are empowered to discipline or sanction staff for lack of compliance.	Staff and managers have formal opportunities to discuss infringements against the physical and mental health and wellbeing of staff, e.g. in the annual appraisal process. Managers know when and how to escalate to a higher level (both internally or externally) reports of infringements. Managers are trained on how to investigate reports and how to discipline or sanction at their level.	The organisation collects and analyses data on allegations of infringements against the physical and mental health and wellbeing of staff and how reported cases were handled by the organisation.	The organisation has a dedicated lessons learnt process. Staff and managers' awareness of their rights and obligations in relation to compliance is regularly assessed and improved, including procedures for investigating allegations of infringements. Managers receive training on how to discipline or sanction staff (including those that should be discipline) through appropriate individuals, e.g. HR. The organisation has its disciplinary/sanctions policy and procedures externally reviewed at least every 5-8 years.
	Health and safety	Only basic office health and safety matters are considered in headquarters according to local legislation. No health and safety regulations at country level.	Health and safety regulations of local legislation are followed in almost all the organisation's offices. Where local legal provisions are absent bare minimum procedures are put in place. Staff care, such as psycho-social support or stress management are available but only upon request.	Health and safety regulations of local legislation are followed in almost all the organisation's facilities, including offices, accommodation and warehouses. Where local legal requirements are not met, exceeding local legislation requirements. Staff care support is regularly available to all internal staff and seconded staff in certain countries in the form of sessions or training. Staff are encouraged to attend these staff care trainings or access services if line managers deem there is need.	Health and safety regulations of local legislature are followed in all the organisation's facilities, including offices, accommodation and warehouses. Where local legal requirements are not met, exceeding local legislation requirements. Staff care support is available to all staff in all countries in the form of services or trainings. Care and support services are provided in the local language and from local service providers where possible. Staff are encouraged to attend sessions or access services and can do so without going through their line manager or other senior staff. In-house experts oversee that staff care measures are put in place and are adequate. Learnings are fed back to ensure adequate staff care measures, including site safety and security.	Health and safety regulations aim to meet European level standards in all the organisation's facilities, including offices, accommodation and warehouses. These consider the needs of staff who require reasonable adjustments, e.g. limited mobility. Staff care support is available to all staff in all countries in the form of services (external or internal) or trainings. Care and support services are provided in the local language and from local service providers where possible. Staff are encouraged to attend sessions or access services and can do so without going through their line manager or other senior staff. In-house experts oversee that staff care measures are put in place and are adequate. Learnings are fed back to ensure adequate staff care measures, including site safety and security.
	Redress measures	All redress measures rely on the insurance cover obtained.	In addition to insurance cover, additional measures such as long-term psychological support are offered to staff involved in a critical incident.	Long-term psychological support is offered to all staff involved in a critical incident. The organisation has resources in place to cover expenses that the insurance may not cover but that ensure staff wellbeing post-incident.	Long-term psychological support is offered to all staff involved in a critical incident. The organisation has resources in place to cover expenses that the insurance may not cover but that ensure staff wellbeing post-incident. Affected staff are informed of measures the organisation has taken to reduce the likelihood of similar incidents taking place in future. Flexibility and support measures in returning to work are provided to affected staff.	Long-term psychological support is offered to all staff involved in a serious (not necessarily critical) incident. The organisation has resources in place to cover expenses that the insurance may not cover but that ensure staff wellbeing post-incident. Affected staff are informed of what led to the incident taking place and all staff are informed that the organisation has taken to reduce the likelihood of similar incidents taking place in future. Flexibility and support measures in returning to work are provided to affected staff. Support is made available to staff for several years after a critical incident, even after the insurance cover has ended. Senior management regularly review redress measures and amend based on learning.
	Risk management process	Roles and responsibilities in relation to staff safety and security are vaguely clear. Security and safety responsibilities are not clearly set out in job descriptions.	Roles and responsibilities in relation to staff safety and security are vaguely clear. Security and safety responsibilities are not clearly set out in job descriptions.	Roles and responsibilities in relation to staff safety and security are clearly documented and staff informed of these responsibilities. Some job descriptions clarify these responsibilities. Experts in HR, safety and security are available to support staff in making informed safety and security decisions at headquarters level. High risk countries will have dedicated safety and security focal points.	Roles and responsibilities in relation to staff safety and security are clearly documented and staff informed of these responsibilities. Job descriptions and organisations clarify these responsibilities. Job owners are clearly understood in all staff. Roles and responsibilities in relation to seconded staff safety and security are available to support staff in making informed safety and security decisions at country and headquarters level. High risk countries will have dedicated safety and security focal points. Lower risk countries may have staff with a combined function of safety/security and another position.	Roles and responsibilities in relation to staff safety and security are clearly documented and staff informed of these responsibilities. These are regularly reviewed and amended based on learning. All job descriptions and organisations clarify these responsibilities. Risk ownership within the organisation is clearly understood and adhered to by all staff. Dedicated experts in HR, safety and security are available to support staff in making informed safety and security decisions at headquarters level and in all countries of operation. There is a safety and security culture in place at all levels within the organisation.
	Partnership arrangements	No due diligence is carried out with partner organisations before staff are embedded within the partner structure. There is an assumption that the partner organisation takes over duty of care responsibility for seconded staff.	Basic due diligence is carried out on partner organisations before staff are seconded to the partner. This due diligence is mandatory for all new partnerships.	Comprehensive due diligence is carried out on partner organisations before staff are seconded to the partner. This is mandatory and ensures that duty of care provisions are at a similar level to that of the seconding organisation. If the seconding organisation does not meet duty of care standards then the employing organisation will choose not to enter into partnership at all for reputational reasons. Roles and responsibilities in relation to seconded staff safety and security are pre-agreed with the partner organisation. It is understood that ultimate duty of care for seconded staff remains with the employing organisation.	Comprehensive due diligence is carried out on partner organisations before partnership agreements take place. This is mandatory and ensures that duty of care provisions are at a minimum level for partner staff. If the partner organisation does not meet duty of care standards then the employing organisation will choose not to enter into partnership at all for reputational reasons. Roles and responsibilities in relation to seconded staff safety and security are pre-agreed with the partner organisation. It is understood that ultimate duty of care for seconded staff remains with the employing organisation.	Comprehensive due diligence is carried out on partner organisations before partnership agreements of any kind take place. This is mandatory and ensures that duty of care provisions are at a high level for partner staff. If the partner organisation does not meet duty of care standards then the employing organisation will choose to improve partner capacity, particularly in safety and security risk management. Partner capacity is regularly reviewed, and until partner capacity improves in this area, the employing organisation will take place. Roles and responsibilities in relation to seconded staff safety and security are pre-agreed with the partner organisation and regularly reviewed. It is understood that ultimate duty of care for seconded staff remains with the employing organisation.

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