

# Duty of Care Maturity Matrix (EISF version)



Maturity level:	Initial	Structured	Defined	Measured	Optimised
Processes	<i>Insufficient</i>	<i>Partially sufficient</i>	<i>Basic good practice</i>	<i>General good practice exceeded</i>	<i>Ethical and legal duty of care considered</i>
Duty of information (collecting, collating, analysing, sharing, informing, understanding)	Recruitment	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 by the security focal point. 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.	Recruitment of international and national staff is informed by a risk assessment carried out in relation to the role and operational context by the security focal point. This involves the inclusion of security information in the job advertisement, particularly around risk profiles of particular staff (e.g. ethnicity). HR / line management lead on recruitment but in close coordination with security focal points. Upon selection of a final candidate the security focal point carries out a second risk assessment to understand the final candidate's risk profile in relation to the role and operating context. The risk assessments are discussed with the candidate prior to finalising recruitment.
	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. 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 in high risk locations.	All staff receive compulsory induction upon recruitment and prior to travel. International and national staff 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 - Staff care and wellbeing (e.g. stress management training) 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 every 3 years. Other staff receive online or in-country safety and security briefings as part of their induction process.	All staff receive regular personal safety and security training in accordance with their role and their operational context. 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. These may cater to staff with disabilities if these staff members are present. These with safety and security responsibilities receive safety and security risk management training. All international and national staff receive specific training on the organisation's safety and security procedures in their country of operation. Feedback is obtained by trainers and used to inform future trainings.
	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 each high risk project, 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 LGBTQ+, ethnicity, nationality, gender. These are regularly updated.
	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 information on safety and security risks and corresponding procedures. This is complemented by face-to-face briefings prior to departure and upon arrival in-country. Information shared covers: risks, 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 this information (whether prior to travel or after arrival) and there are no repercussions 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. Information shared covers: 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 this information (whether prior to travel or after arrival) and there are no repercussions for withdrawing. Information provided is regularly updated from information received from assessments and post-deployment de-briefings.
	Access to expertise	There is no access to expertise in relation to health, safety, security.	The organisation has a number of contacts inside and outside of the organisation with expertise. This expertise covers all of the following aspects: - Health - Safety - Security Not all operating contexts have access to this expertise.	The organisation has in-house expertise or pre-arranged access to external expertise. This support covers all of the following aspects: - Health - Safety - Security This support is available in all high-risk operating contexts.	The organisation has in-house expertise or pre-arranged access to external expertise. This support covers all of the following aspects: - Health - Safety - Security This support covers all geographical areas where the organisation regularly has staff.
Duty of prevention (anticipating, planning, providing guidelines)	Risk treatment	Safety and security risk treatment measures are put in place for all high risk country programmes. These are not consistently written down. They are shared in an ad hoc manner with staff. These are mandatory in principle but not enforced by senior management.	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 consultation. They are accessible by all international and senior staff in a written format who receive briefings on them upon recruitment or arrival in-country. These are mandatory but enforcement is dependent on senior management.	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 consultation. They are accessible by all staff in a written format who receive briefings on them upon recruitment, as part of pre-departure briefings or upon arrival in-country. These briefings are regularly carried out, especially after major changes to risk levels or procedures. If there is deviation from what other organisations do in the same local area, then the rationale for this is documented and informed by experts. Internal risks such as harassment and sexual violence are included in risk treatment measures.	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 consultation. They are accessible by all staff in a written format who receive briefings on them upon recruitment, as part of pre-departure briefings or upon arrival in-country. These briefings are regularly carried out, especially after major changes to risk levels or procedures. If there is deviation from what other organisations do in the same local area, then the rationale for this is documented and informed by experts. Internal risks such as harassment and sexual violence are included in risk treatment measures.
	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 health checks and vaccinations prior to international travel. This is not monitored systematically and not mandatory.	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. As part of their induction and pre-departure briefings, staff are briefed on how to access medical support, including psychological support, while in-country, including accessing insurance cover. Learning from post-deployment de-briefings feed into these measures.	Staff are required to obtain health checks and vaccinations prior to international travel and this is facilitated by the organisation. This includes psycho-social support services, which are optional. As part of their induction and pre-departure briefings, staff are briefed on how to access medical support, including psychological support, while in-country, including accessing insurance cover. Learning from post-deployment de-briefings feed into these measures.
	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. Special risks insurance is obtained.	Comprehensive health and accident insurance coverage is available for all staff travelling or on deployment. Insurance coverage for national staff meets national regulations. 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. There is scope to extend insurance coverage and response to non-employees, e.g. family members or consultants, in instances where senior management deem this appropriate. Insurance providers are assessed after every response and learning is applied for future incidents. This includes regular assessing whether the insurance providers continue to be appropriate.
Duty of monitoring (reviewing, checking compliance, learning)	Auditing	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 audit are documented and shared with senior management in-country and at headquarters level. Most of the recommendations from the audits are actioned, with oversight of implementation made the responsibility of an individual or group of individuals. For those recommendations not actioned the organisation documents the rationale for why not.	Safety and security policies and procedures are systematically audited across all country programmes by qualified individuals (externally and internally). 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, with oversight of implementation made the responsibility of an individual or group of individuals. For those recommendations not actioned the organisation documents the rationale for why not.	Safety and security policies and procedures are systematically audited across all country programmes by qualified individuals (externally and internally). 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, with oversight of implementation made the responsibility of an individual or group of individuals. For those recommendations not actioned the organisation documents the rationale for why not.
	Safety and security incident information management	Incident monitoring mechanisms are not systematically put in place across any locations.	Incident monitoring mechanisms are in place and followed in most countries, and in all high risk contexts. This 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. Under-reporting is addressed through awareness raising and training. This incident data is collected in one central database by 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 regional and national programmes, plans and procedures.	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 central database by 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 regional and national programmes, plans and procedures. HR, safety and security staff meet regularly to ensure cross-learning 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 have received a safety and security briefing and accept the risk of the work they will undertake after all the treatment measures the organisation has put in place to mitigate risk. Changes in procedures and plans are well-documented. These measures are regularly reviewed and amended based on learning.
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 insurance policy. If 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 regularly provided at headquarters and in high risk locations for crisis team members. Crisis assistance 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. The organisation takes a survivor-centred approach to all incidents of sexual violence. Response 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. 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. The organisation takes a survivor-centred approach to all incidents of sexual violence. Investigation procedures are in place and staff trained to carry these out. Each crisis is followed by a lessons learned exercise and changes to processes made in accordance with these learnings. Affected staff are asked to input into these lessons learned exercises.	

<b>Duty of intervention (responding, supporting, caring, protecting, ensuring compliance)</b>	<b>Post-deployment/travel de-briefings</b>	There are no post-deployment de-briefings.	Post-deployment 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 to high risk locations. Trip reports are expected to be completed by returning staff after international travel or in-country travel to high risk locations. All high risk travel requires a post-travel meeting with safety and security focal points. Psycho-social support services are offered to returning staff.	Post-deployment/travel briefings take place for all staff with their line manager. This includes in-country travel to 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 organisation wide 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.
	<b>Complaints mechanisms</b>	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 an internal staff member. 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 two or more staff members at headquarters level. Staff are informed 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 these mechanisms, how to access them and what actions the organisation commits to take upon receipt of a complaint or report of misconduct. This information is easily accessible and staff are regularly reminded of this. Procedures and resources are in place to protect the identity and security 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. Reports can be made anonymously and through a variety of mechanisms (e.g. through an online form, in paper format, etc.) Access to these mechanisms is available in all languages where the organisation operates. Other access constraints are also considered, e.g. for those with mobility impairments or those without internet access. Staff are informed of these mechanisms, how to access them and what actions the organisation commits to take upon receipt of a complaint or report of misconduct, including anonymous reports. This information is easily accessible and staff are regularly reminded of this. Procedures and resources are in place to protect the identity and security of reporting individuals. Reporting individuals are informed of actions taken in response to their report. These mechanisms are regularly reviewed and improved to reflect learning.
	<b>Disciplinary/sanctions procedures</b>	The organisation becomes aware of infringements on a staff members' physical and mental wellbeing in an informal way or by chance. Reporters of such infringements are randomly held accountable, with some not held to account at all.	Senior management are informed of infringements due to active awareness raising among staff. Managers' responsibility to take action after 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 wellbeing of staff, e.g. in the annual appraisal process. Managers know when and how to escalate to another level (both internally or externally) reports on 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 physical and mental wellbeing of staff and how reported cases were handled by management. Supervising managers take action when lower level managers fail to act in accordance with provisions.	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 regular training on how to discipline or sanction staff (including whether that should be done directly or through appropriate individuals, e.g. HR). The organisation has its disciplinary/sanctions policy and procedures externally reviewed at least every 3-5 years.
	<b>Health and safety</b>	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 possible the highest level of standards are met, even exceeding local legislation. Staff care support is regularly available to all international staff and some national staff in certain countries in the form of services or trainings. 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 legislation are followed in all the organisation's facilities, including offices, accommodation and warehouses. Where possible the highest level of standards are met, even exceeding local legislation requirements. Staff care support is available to all staff in all countries in the form of services or trainings. For national staff support is 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 on-site staff. Use of these services is confidential. In-house experts oversee that staff care measures are put in place and 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 to 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. For national staff support is 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 on-site staff. Use of these services is confidential. In-house experts oversee that staff care measures are put in place and adequate. Learnings are fed back to ensure adequate staff care measures, including site safety and security.
	<b>Redress measures</b>	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 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 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 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. Support is made available to staff for several years after a critical incident, even after the employment contract comes to an end. Senior management regularly review redress measures and amend based on learning.
	<b>Risk management process</b>	Roles and responsibilities in relation to staff safety and security are unclear.	Roles and responsibilities in relation to staff safety and security are equally 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 to provide advice and technical guidance. Lower risk countries may not have a safety and security focal point.	Roles and responsibilities in relation to staff safety and security are clearly documented and staff informed of these responsibilities. Job descriptions and organigrams clarify these responsibilities. Risk ownership is clearly understood by all staff. Experts in HR, 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 staff. 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 key staff informed and trained in these responsibilities. These are regularly reviewed and amended based on learning. All staff job descriptions and organigrams 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.
	<b>Partnership arrangements</b>	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 partner organisation does not meet duty of care standards then the secondment does not take place. 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 not second staff to the partner organisation and may 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 efforts are made to improve partner capacity, particularly in safety and security risk management. Partner capacity is regularly reviewed, and until partner capacity improves in this area no formal secondments 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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