

Travel Safety and Security Policy and Procedures

BACKGROUND

CAWST's vision is a world where people have the opportunity to succeed because their basic water and sanitation needs have been met.

CAWST's mission is to provide training and consulting and to act as centre of expertise in water and sanitation for the poor in developing countries.

CAWST values collaborative and inclusive processes.

The world's poorest live in regions which may present safety and security risks to CAWST staff and volunteers.

CAWST's services are among the first steps required in the human development process....developing capability and empowering people to meet their own basic water and sanitation needs so that they can build the foundations required to break the cycle of poverty.

POLICIES

CAWST's travel safety and security policy is to:

- Accept that while a level of travel risk is inherent in service delivery anywhere, with elevated risk in areas where there is often the greatest need, travel is undertaken only when risk is deemed acceptable as assessed using CAWST's risk assessment procedures.
- Set appropriate levels of approvals for travel of different levels of risk.
- Train employees in risk assessment and risk mitigation.
- Share with employees joint responsibility to evaluate the situational contexts of any potential project, to decide on whether to go or not go, and to develop a risk mitigation plan and a contingency plan specific to the circumstances.
- Expect and support employees and volunteers to decline or withdraw at any time from a situation that they, in their sole discretion, deem as unsafe or insecure. This is consistent with Alberta legislation on the "right to refuse unsafe work".

ROLES AND RESPONSIBILITIES

The respective roles and responsibilities of the traveler and of CAWST in executing these policies are as follows:

Traveler

The responsibilities of the traveler are to:

- participate fully and directly in the risk assessment, risk mitigation, and decision to deploy
- develop the travel plan
- refuse to travel or to withdraw from travel at any time
- receive approvals consistent with the risk assessment procedure

Organization

The responsibilities of CAWST are to:

- Establish security risk procedures, here contained, that provide the confidence that:
 - Security and other risks are thoroughly analyzed case by case, and risk mitigation options employed
 - Travel and evacuation insurance is in place for all CAWST travelers
 - Travelers are well prepared, educated, informed and supported before, during and after travel
 - There is an effective and efficient response from CAWST in the case of an incident.
- Establish and staff an emergency response plan and crisis management plan to effectively manage any health and safety and reputation impacts that occur during travel and ensure staff are trained and regularly exercise the plans.
- Designate an 'on-call support' person for travelers to call on arrival and upon return from their destination, and in the case of an emergency.
- Designate an 'administrative support' person to ensure the Travel Checklist and travel file for all traveling staff or volunteers is complete and the arrival and emergency procedures are understood.
- Convene a Deployment Decision Committee, when the Canadian Government has issued a Travel Advisory recommending "avoid all travel" *. This committee will consist of the CEO, the Director Training and Consulting, the Traveler(s) and one other Director. The committee will review risk analysis, assist with risk mitigation plans and sign off on the accepted level of risk.
- Investigate safety and security incidents to identify root cause(s) and apply lessons learned to guide policy improvements, and systematically reduce the probability of future incidents occurring.

* Note: Travel Advisories are generally intended for tourists.

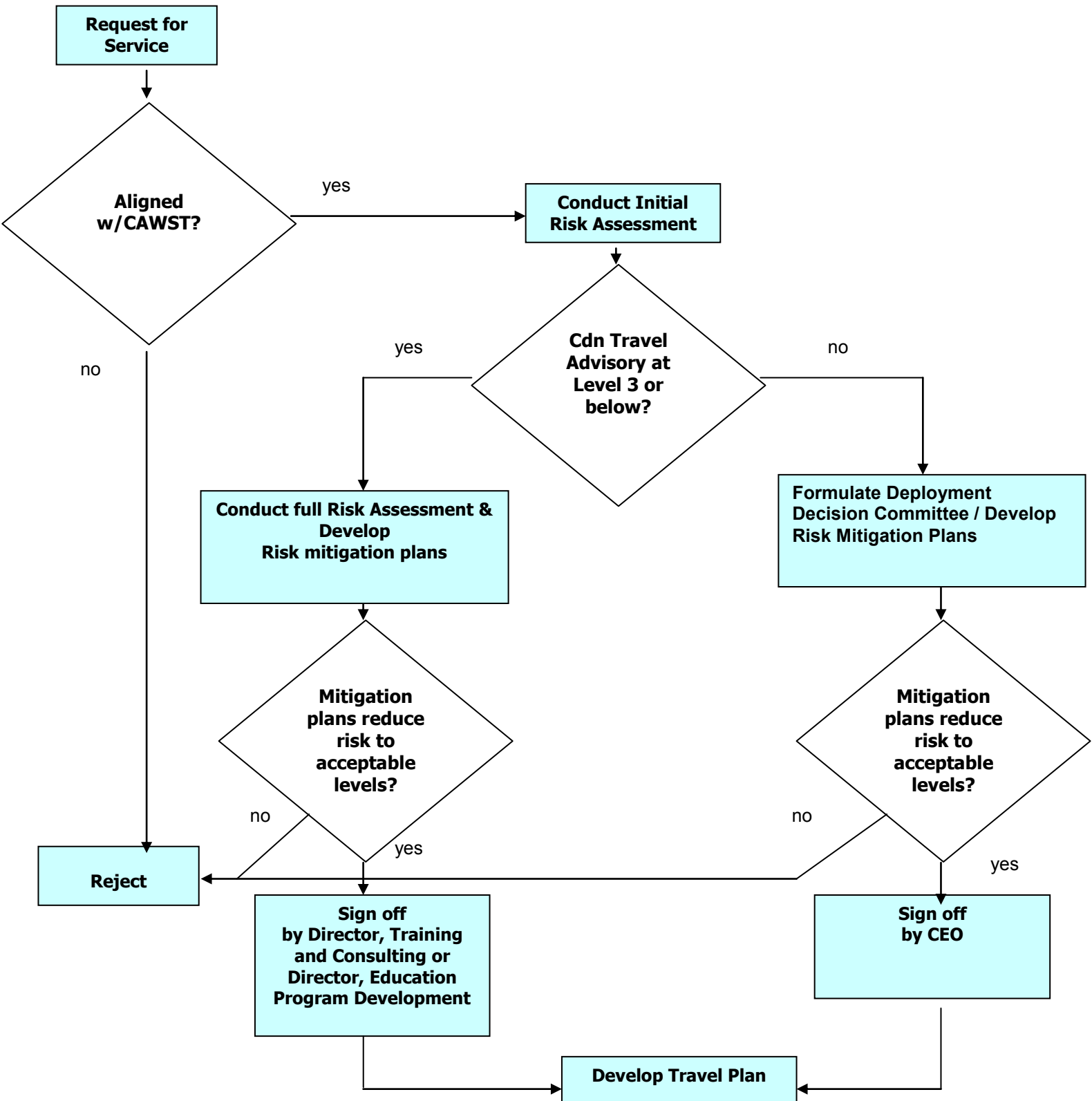
PROCEDURES

CAWST will employ the following procedures to implement the Travel Safety and Security Policies:

- A. Risk Assessment, Mitigation and Approval Authority Levels
- B. Travel Preparation and Plans,
- C. Emergency Response and Crisis Management
- D. Staff Development/training
- E. References and Resources
- F. Compliance Reporting
- G. Policy and Procedure Review

A. Risk Assessment, Mitigation and Approval Authority Levels

The following procedures will be used to assess and mitigate travel risk and maximize alignment with organizational standards.



1. Initial Request & Context Analysis

Request for Service

- Send Service Request Form

Context Analysis and Data Gathering

- Review client service request form, and gather additional information as needed by email and phone:
 - client information
 - location
 - type of training requested
 - number of people to be trained
 - other organizations to be invited
 - implementation plans
- Confirm work aligns with CAWST's vision, mission and strategies.
 - If no, decline work. If yes, proceed with further analysis.
 - Assess project against other priorities, other mechanisms to train (e.g. via WET Centre),

2. Assess Security Risk Potential

- Check Canadian Travel Advisory
 - Convene a Deployment Decision Committee when the Canadian Government has issued a Travel Advisory recommending "avoid all travel". No Deployment Decision Committee is necessary if the Travel Advisory recommends: "exercise normal security precautions"; "exercise a high degree of caution", or "avoid non-essential travel".
 - For Travel Advisories recommending "exercise normal security precautions", travel may be approved with a reduced pre-departure process, without conducting a full risk analysis and mitigation plan.
- Check traveler's National Government Travel Advisories and Advisories of Governments with particular interest/historic connection with the country (e.g. France - Mali, UK – Kenya, Belgium – Congo). If advisories consulted recommend "avoid all travel" (or similar wording), convene a Deployment Decision Committee.
- Upon conducting an initial context analysis, identify risk potential and severity using checklist, advice and advisories.
 - Risks to be considered include, but are not limited to, incidents of health, accidents, petty theft, political unrest., armed conflict and first response to emergency situations Is it a conflict zone or subject to post-conflict instability?
 - Consult available tools (check list) for country analysis (formal: Canadian Government and other Travel Advisories, Reliefweb and UN sitreps; informal: personal and staff contacts, in-office experience, etc).
 - Consult other NGOs with a presence on the ground (e.g Oxfam, CARE, etc.)
 - Does the risk vary from region to region?

- Partner Analysis: (some of these questions will already have been answered from the service request form, in initial request and context analysis)
 - Are we being invited by a reputable organization?
 - Does it have a permanent presence on the ground?
 - Does the partner have a safety & security policy?
 - What is their current security level?
 - To what extent will they be responsible for the traveler's safety and security?
 - What are the measures in place?
- Service / training analysis
 - How long will our stay in the country be?
 - Have we assembled all relevant information (example: venue proposed for session, name of hotel accommodations, transportation arrangements from arrival to departure)
- Individual Analysis
 - Are any CAWST staff or volunteers prepared to consider providing services in this location? If no, do not proceed. If yes, continue with analysis.
 - Is it suitable for the traveler to travel alone?
 - What level of experience is required?

In all instances, the Director, Training and Consulting and/ or the Deployment Decision Committee will work with the employee and the requesting agency to determine what additional risk mitigation measures specific to the risks can be implemented to reduce the risk.

3. Travel Approval Authorities

If the Canadian Government Travel Advisory for the region that will be visited recommends “exercise normal security precautions”; “exercise a high degree of caution”, or “avoid non-essential travel”, the Director, Training and Consulting, the Director, Education Program Development, CEO, or a delegate can approve the travel. Other Directors may be approved by the CEO to approve travel. Authority granted to Directors and designates to approve travel is based on time at CAWST, experience travelling and working in other countries, experience on CAWST's safety and security protocol, and demonstrated judgment in executing CAWST's departure checks.

If the Canadian Government Travel Advisory recommends “avoid all travel”, the Deployment Decision Committee will advise the CEO on whether the employee should travel. The CEO is accountable to approve any travel and the employee must agree. CEO's travel to a “avoid all travel” country will be vetted by the DDC, with final approval by the Audit, Finance, and Risk Committee.

B. Travel Preparation and Plans

Following the decision to deploy, a Memorandum of Understanding (MOU) is developed with the client, outlining expectations and responsibilities by the client and CAWST, including budget and safety and security arrangements.

All mitigation measures must be documented in the travel plan (see attached).

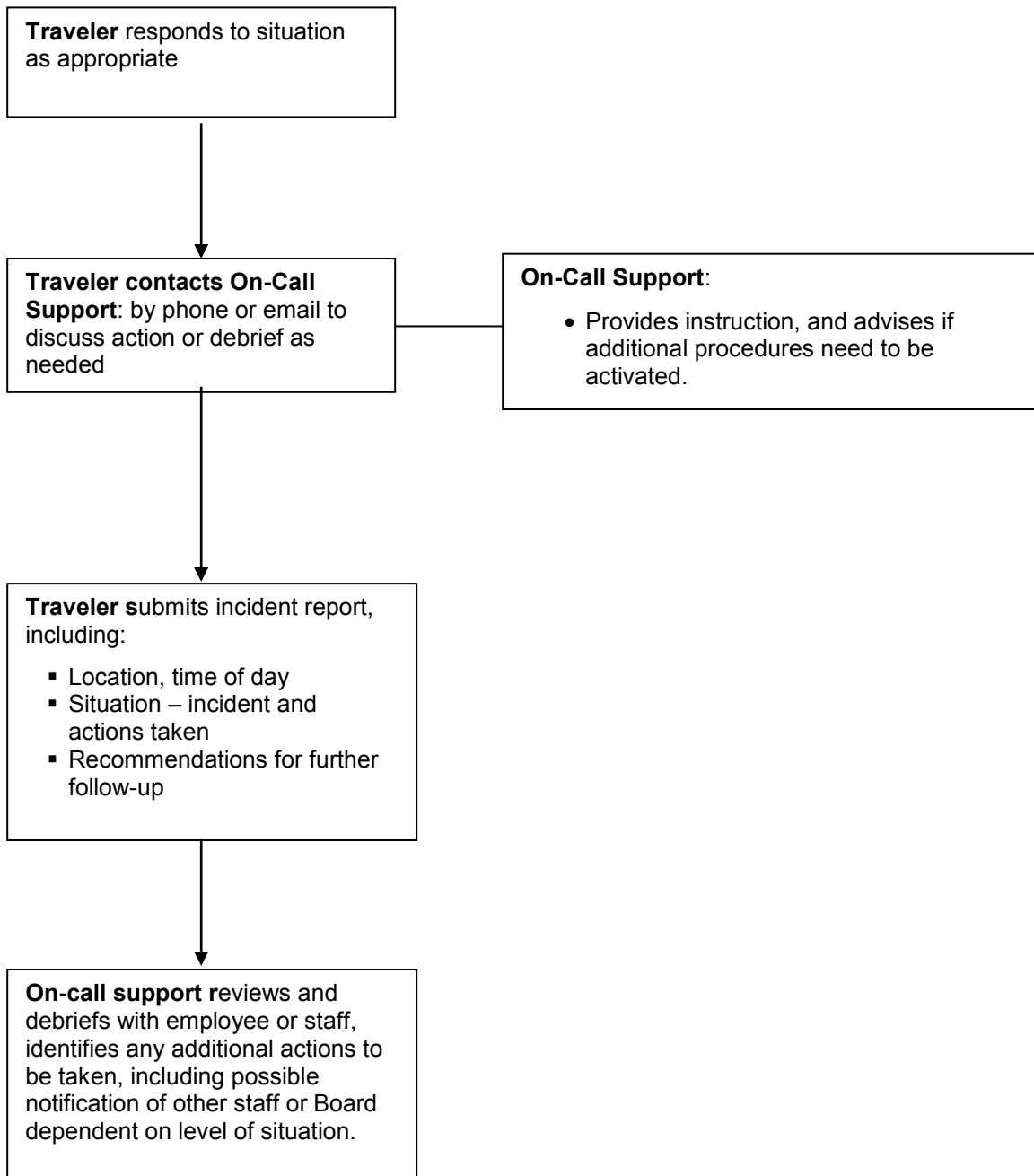
Pre-departure

- Traveler: Ensures that travel plan is in place
- Director, Training and Consulting, Director, Education Program Development, or delegate: Approves the pre-departure safety check list and travel plan which confirms that employee, volunteer and supervisor understands the travel risk mitigation plan
- Traveler and CAWST (Calgary) will ensure the travel plan is followed.

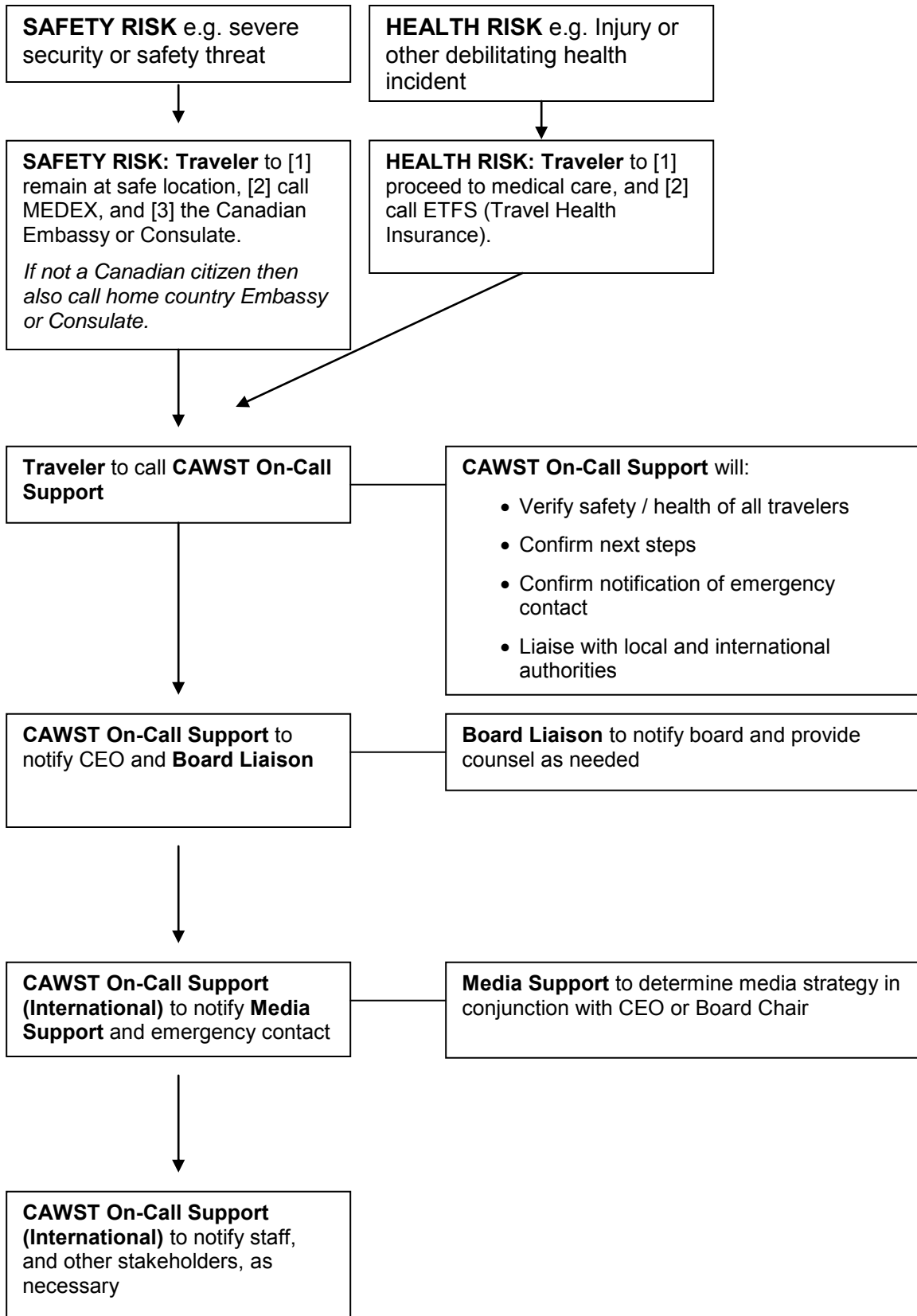
C. Emergency Response and Crisis Management Plan

The following procedures will be used to respond to a travel emergency or crisis in the case of (1) a standard incident, (2) a traveler initiated emergency or (3) a CAWST office initiated emergency response. Testing of these procedures will be conducted annually.

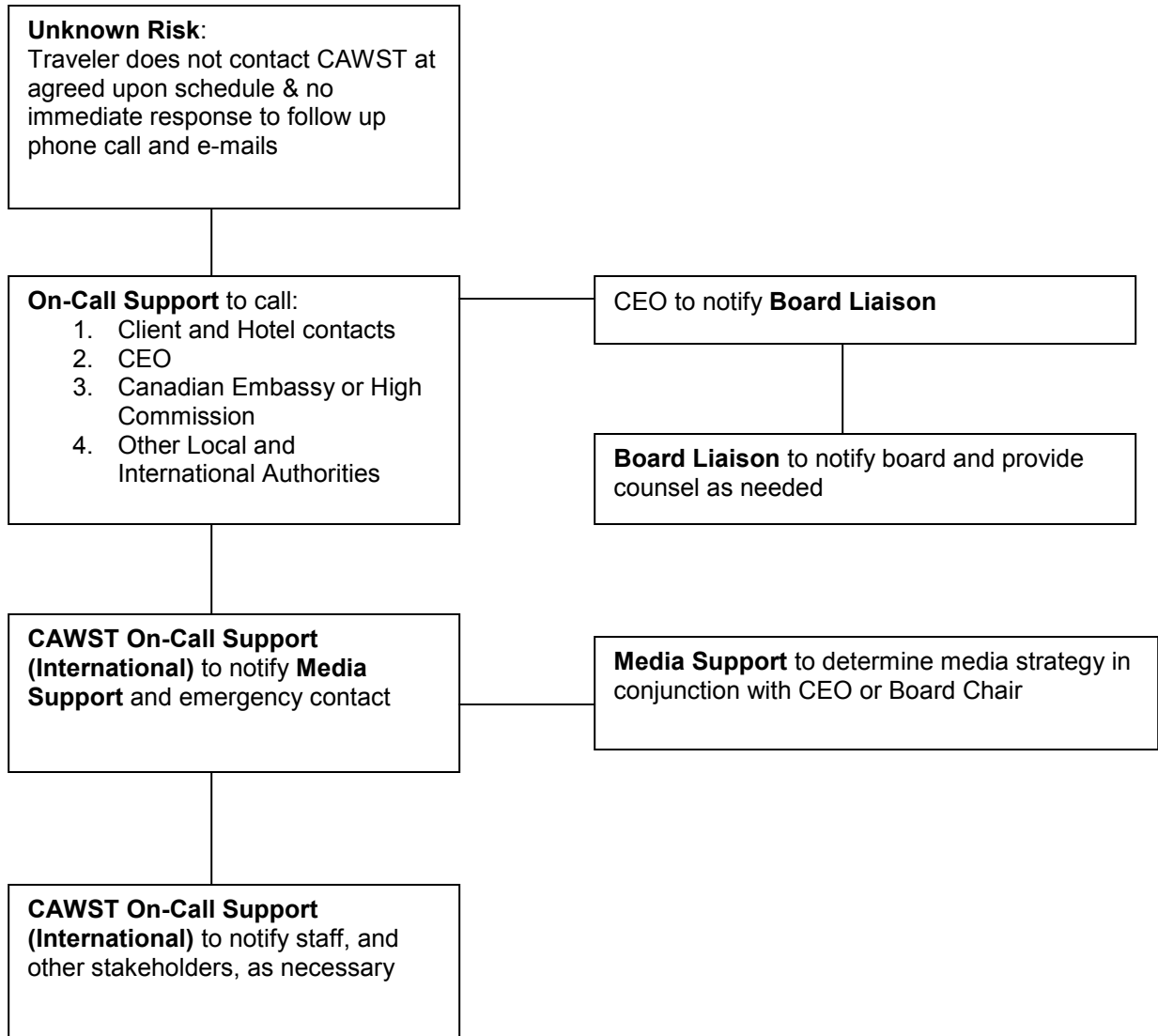
1. Standard Incident



2. Emergency Incident – Traveler Initiated



3. Emergency Incident; CAWST Office Initiated



D. Staff Development

One of the most effective forms of accurately assessing and mitigating safety and security risk is to continually develop the traveler's competencies to analyse and respond to different situations.

To this end, CAWST will

- Include the topic of Safety & Security in our Learning Exchanges annually
- Include Safety & Security as part of each trip debrief
- Encourage staff to include Safety and Security in their professional development planning
- Evaluate group custom training opportunities on Safety & Security for CAWST travelers
- Develop "Personal Safety, Behavior and Health Care Guidelines" for CAWST travelers
- Train all employees in their roles assigned by the emergency response and crisis management plans.
- Test the emergency response procedures annually.

E. References and Resources

All CAWST travel and security related procedure documents/tools will be listed on the CAWST server with reference to location of file. Additional selected travel safety and security documents will also be made available on the CAWST server.

F. Compliance Reporting

Compliance to the Travel Safety & Security Policy and Procedures will be reported annually to the Audit, Risk, and Finance Committee. In addition, the Board will be advised of plans for individual country entry on a regular basis through the Monthly Operations Reports.

G. Policy and Procedure Review

Safety & Security policy and procedures will be reviewed annually by Management. Any recommended changes to Policy will be reviewed by the Audit, Risk, and Finance Committee and approved by the Board of Directors.



**Document: Travel Safety & Security
Policy & Procedures**

Last Updated: November 6, 2014

I have read and understand the Travel Policy & Guidelines.

Signature

Date

Print Name