

# Example sanctions/counterterrorism policy

## TOOL 12

This provides a template sanctions/ counterterrorism policy that organisations can adapt as needed.

### 1. PURPOSE AND BACKGROUND

As a non-profit non-governmental humanitarian organisation, World Response is committed to acting in a manner consistent with international humanitarian law and to undertaking its activities in accordance with the principles of humanity, impartiality, neutrality and independence. World Response is committed to ensuring that assistance and protection reach those most in need, and to preventing and mitigating the risk of aid diversion.

World Response's mandate means that the organisation sometimes operates in the same area as individuals and entities that states or intergovernmental organisations have designated under sanctions or groups that have been proscribed under counterterrorism measures. Counterterrorism legislation and sanctions in World Response's country of registration, operation and donor states can impose responsibilities and obligations on it and its staff. Non-compliance with these requirements may lead to disallowed costs, termination of grant agreements, determinations of ineligibility for grants, legal action, fines and criminal charges.

This policy sets out the main principles that will allow World Response to deliver assistance and protection to those most in need in accordance with humanitarian principles, while complying with relevant sanctions and counterterrorism legislation and obligations.

### 2. MAIN PRINCIPLES

#### Humanitarian principles

World Response remains committed to accountability and transparency and adheres to the principles of humanitarianism and 'do no harm' set out in:

- ✓ The Code of Conduct of the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief
- ✓ The Core Humanitarian Standards
- ✓ The SPHERE Humanitarian Charter and Minimum Standards in Humanitarian Response

World Response will ensure that it does not agree to donor conditions containing counterterrorism or sanctions compliance requirements that prevent the delivery of assistance in line with the humanitarian principles.

## General principles

World Response is required to ensure that its funds or other assets are not made available to people or groups designated under United Nations Security Council (UNSC) sanctions. Noting, however, the humanitarian exemption introduced by UNSC Resolution 2664, it may be permitted for World Response to make resources and funds available to these groups and entities when essential and necessary for the timely delivery of humanitarian assistance or to support other activities that support basic human needs.

Some of World Response's donor states have also adopted autonomous sanctions and counterterrorism measures. World Response may have contractual obligations to these donors to comply with these national frameworks. In addition, World Response must follow local laws in the countries in which it operates, including those related to sanctions and counterterrorism legislation. World Response will take all reasonable effort to adhere to these requirements using the controls outlined below. In some instances, donor or host states may have adopted humanitarian exemptions to sanctions and counter-terrorism legislation to facilitate the delivery of assistance.

World Response is committed to preventing and mitigating aid diversion and has put in place appropriate controls to prevent or mitigate the risk of intentional and/or reckless diversion of aid to ensure that assistance and protection reaches the intended beneficiaries.

### These controls include:

- ✔ An ethical code of conduct, enforced by clear disciplinary procedures, which is binding on all World Response staff and consultants, and includes obligations to safeguard World Response assets and to act strictly in accordance with humanitarian principles of neutrality and impartiality.
- ✔ Programme cycle management systems that require systematic needs assessments and robust post-distribution monitoring.
- ✔ Anti-corruption procedures that focus on preventing fraud, theft and waste, including the diversion of aid and funds.
- ✔ Internal screening of staff (above grade X), and of contractors and implementing partner organisations with World Response contracts of more than \$X against applicable sanctions lists and lists of proscribed terrorist groups.
- ✔ Mandatory internal requirements to report suspicious transactions involving criminal groups, which would include individuals and groups engaged in acts of terrorism.

## Duty of care

World Response is committed to providing clear, relevant guidance and support to staff and partners at all levels on how to best manage and implement programmes and operations in relation to sanctions and counterterrorism measures.

## Screening

World Response will screen potential partners, contractors, and vendors above a certain threshold, and candidates for employment and employed staff above a specific grade before entering a partnership or signing an agreement.

In accordance with the humanitarian principles of impartiality and independence, World Response will not screen final beneficiaries, nor will it require partners to do so.

## **Allegations of misconduct**

World Response staff who become aware of information that World Response assets might have been misappropriated via fraud or diversion must immediately report such information to XXX in accordance with the relevant policy.

## **3. IMPLEMENTATION AND COMPLIANCE**

World Response's director and board have overall responsibility for ensuring the organisation manages risk appropriately and activities are undertaken in accordance with World Response's policies and procedures.

## **4. RELATED DOCUMENTS**

- Standard operating procedure: screening
- Data protection policy
- Risk management policy
- Logistics handbook
- Financial handbook
- Policy on engagement with non-state armed groups and de facto authorities