

Checklist for establishing a national tri-sector working group

TOOL 6

This checklist is designed to support the setup of tri-sector working groups to address financial sector derisking and other challenges that non-governmental organisation (NGOs) experience arising from sanctions and counterterrorism measures. It is based on findings from the fourth session in the Norwegian Refugee Councils (NRCs) [‘Dialogue series on solutions to bank derisking’](#) that considered the [role of tri-sector working groups](#) in operationalising solutions.

PARTICIPATION

NGOs

1. Do you have NGOs of various sizes represented including large international NGOs, local NGOs, and civil society organisations?

*Ensure organisations of **various sizes** are represented, noting that smaller NGOs often face the greatest bank derisking challenges and have fewer resources to address this.*

2. Do you have NGOs with diverse mandates represented such as humanitarian organisations, human rights organisations, peacebuilding and faith-based organisations?

*Ensure organisations with **diverse mandates** are represented.*

Government

3. Are the following government ministries represented in the group?

- International development
- Foreign affairs
- Finance (including banking regulation)
- Various authorities responsible for sanctions and counterterrorism measures design and implementation
- Prosecution and/or Justice departments

Consider including a range of government ministries to ensure that all government departments with a role in aid, foreign affairs, sanctions and counterterrorism compliance, and finance are present.

Financial institutions

4. Are diverse banks represented in the group including those with less experience working with the NGO sector?
Consider including representatives from the financial sector including those that have less exposure to the NGO sector and those acting as intermediary/ correspondent banks.

Ad hoc

5. If the group is discussing a certain topic, consider including additional participants:
 - Development banks
 - Wider private sector beyond financial institutions such as trade partners
 - Networks representing the financial and private sectors
 - FinTech providers
 - Financial Action Task Force (FATF) representatives
 - Financial regulators

RESOURCING

6. Are there **adequate resources** to cover the core functions of the tri-sector group?
Consider applying for independent funding to ensure the secretariat can be resourced.
7. Is the **funding from an independent source** that does not dictate the agenda of the working group meetings?
Consider exploring funding options that allow the working group operational independence.
8. Have representatives from each sector agreed with their institutions the time and resources needed to allow them to dedicate time to the group?
You could ask representatives to establish agreements with their institutions to ensure participants can commit to engaging in the working group recommendations and tasks.

SET-UP

9. Is the group convened by a **focal point** that is independent from the government?
Consider asking a think tank or research institute, academic body, or NGO to convene the group to ensure the group maintains a level of operational independence from government decision making.
10. Is every sector represented on the group's **secretariat**?
Ensure that all sectors included in the working group are represented on the secretariat.
11. Is there a clear definition of each **stakeholder's roles and responsibilities**? Are these roles and responsibilities divided between the represented sectors?
Consider developing a term of reference to ensure that all participants are aware of their roles and responsibilities in the group and to encourage active participation.
12. Is there an **accountability mechanism** to ensure that participants from all the sectors represented are actively involved and contribute to sharing challenges, solutions and implementing recommendations?
*Consider establishing **smaller working groups** on specific issues with representatives from different sectors to encourage exchange and accountability between participants.*

APPROACH

13. Does the group's work plan allocate time and resources to build trust between stakeholders?
Ensure there is time for stakeholders to establish trust and a shared understanding of issues and challenges before tackling solutions.
14. Does the group have a method to **share and store information** and knowledge from the group's members?
*Consider creating a **knowledge management system** to ensure institutional knowledge is retained even when individual representatives may change.*
15. Has the group considered ways to encourage all representatives to **actively participate** in the meetings?
Consider holding meetings under Chatham House rules and not recording the meetings. Consider investing in bringing representatives together in-person when possible, to develop trust to encourage all representatives to participate and share the challenges they face.
16. Has the group considered ways to **address knowledge gaps** that may exist within the group on certain topics?
Consider connecting with representatives from other national tri-sector working groups to share conduct, commission or encourage additional research when there are knowledge gaps.
17. Will the group establish ways to **exchange** with other existing tri-sector working groups?
Consider connecting with representatives from other national tri-sector working groups to share knowledge, best practices, and lessons learnt.
18. Is the group discussing ways to **implement recommendations**?
Consider ways to monitor the success and challenges of each recommendation and identify blockages.