

## UFCH Risk and Crisis Management Policy

### 风险危机管理制度

Board Approval Date 理事会批准日期: 2024-12-18

#### 1. Purpose

The purpose of this policy is to standardize the workflow of risk and crisis management for United Foundation for China's Health (hereinafter referred to as the "UFCH"). To enhance UFCH management and its program's daily operations as well as development. To prevent and control public sentiment crisis or potential threats timely and effectively that UFCH may face, to minimize the negative impact of crisis on UFCH's reputation.

#### 2. Basic Definition

##### Risk management

Risk management refers to a series of activities undertaken by UFCH to identify, assess, monitor, and control various risks that may arise during daily management and project operations.

Risk management covers various risks in its UFCH's daily management and operation, mainly including:

- 1) Project execution risk: Risks in project execution caused by external partner defaults or insufficient performance capabilities, non-compliance with national policies and legal requirements, etc;
- 2) Public welfare risks of the project: Risks related to the public welfare of the project caused by improper project design and approval, improper operating procedures, human errors, etc;
- 3) Reputation risk refers to the risks caused by negative public sentiment and opinions;
- 4) Other risks that may affect the healthy development of UFCH or its project.

##### Public sentiment

Public sentiment is any situation that has the potential to damage UFCH's image and development and normally involves all of the following:

- 1) Falls under close or exaggerated media attention and public scrutiny
- 2) Has the potential to escalate in intensity, run out of control or negatively affect the community or UFCH's relationship with the community

#### 1. 目的

为规范和加强北京和睦家医疗救助基金会（以下简称“基金会”）的风险管理工作，保障基金会日常管理及公益项目的稳健运行和发展，有效预防、及时控制和妥善处理基金会可能面临的舆情与公关危机，最大限度地减少危机对基金会声誉和形象的负面影响，特制定本政策。

#### 2. 基本定义

##### 风险管理

风险管理是指基金会针对日常管理、项目运营过程中可能出现的各类风险进行识别、评估、监测和控制的一系列活动。

风险管理的范围涵盖基金会日常管理和项目运营过程中面临的各种风险，主要包括：

- 1) 项目执行风险：由于外部合作伙伴违约或履约能力不足、项目不符合国家政策法律要求等造成项目执行方面的风险；
- 2) 项目公益性风险：因项目设计立项欠妥、操作流程不当、人为过错等造成项目公益性方面的风险；
- 3) 机构声誉风险：负面的公众舆论与观点等造成声誉方面的风险；
- 4) 其他可能影响基金会或项目健康发展的风险。

##### 舆情

舆情是指任何可能损害基金会形象和发展的情况，通常涉及以下内容：

- 1) 受到密切或夸大的媒体关注和公众监督
- 2) 有可能加剧或失控的，或对社区产生负面影响的，或影响基金会与社区关系的情况
- 3) 损害或可能损害基金会的资产、项目目标或

- 3) Damages or threatens to damage UFCH's assets, program objectives or reputation
- 4) Clear threat or the possibility of damage to people in connection with UFCH's activities.

### 3. Working Principles

Create risk and crisis awareness in daily work, consider below principles at internal auditing, evaluation, monitoring, and alerting, to resolve risk and crisis trigger factors as much as possible.

- 1) Cover All: risk and crisis work covers all departments and positions in UFCH, as well as the entire process of internal governance and project management.
- 2) Coordination and Communication: improve timeliness and effectiveness in coordination and communicating among all departments in risk and crisis management;
- 3) Fast Response and Sincere Communication: respond and make decisions within 24 hours after a crisis event occurs, minimizing the negative impact as much as possible; communicating with the public and media sincerely and honestly, releasing accurate and official information timely;
- 4) Learning and Improvement: conduct internal audit and make correction timely in risk and crisis work; emphasis the reflection after the risk and crisis event, analyze existing problems, learn from lessons, and accumulate practical experience;
- 5) On Time: UFCH's development strategy and internal governance policy is updated timely in accordance with the changes of relevant laws and regulations.

### 4. Risk & Crisis Management Team and Workflow

Risk & Crisis Management Team is formed and consists of Founder, Board Director, Secretary General and Communication dept. head. This team takes immediate response to the risk and crisis according to internal approval and decision process so to avoid escalation of the crisis.

#### Team responsibility:

- 1) Study and develop risk and crisis management policy and workflow;
- 2) Identify, assess, and monitor risks in UFCH's daily management and project operation;
- 3) Make decisions on risk management and solutions of major risk events according to the risks identified or reported;
- 4) Provide independent risk assessment opinions on the daily management, major projects, new development strategies, and new projects of UFCH;

#### Risk and Crisis Management Workflow

The impact of crisis event and public sentiment is in dynamic, it requires constant crisis alert level assessment and identifying, and to respond appropriately.

- 1) The Secretariat and Communication Department maintain daily monitoring of public opinion on various public channels and media platforms.

声誉

- 4) 对与基金会业务有关的人员构成明显威胁或可能造成损害

### 3. 工作原则

在日常工作过程中，提高风险危机的意识，结合以下原则，开展风险危机的自查、评估、监测和预警等工作，尽可能地化解诱发因素。

- 1) 全面涵盖原则：风险危机工作贯穿基金会所有部门、所有岗位、以及内部治理、项目管理的全过程；
- 2) 协调和沟通原则：各部门就风险危机管理工作加强协调和沟通的及时性和有效性；
- 3) 快速反应和真诚沟通原则：在危机事件发生后，在 24 小时内做出反应和决策，尽可能把负面影响降至最低；以真诚、坦率的态度与公众、媒体进行沟通，及时公布准确、权威的信息；
- 4) 学习和改进原则：对风险危机管理工作进行及时的内查和纠正；重视风险危机事件后的学习和总结，分析存在的问题，汲取教训，积累实践经验；
- 5) 适时原则：根据相关法律法规的调整，基金会发展战略与内部制度适时地进行更新和完善。

### 4. 风险危机管理小组及工作流程

基金会成立风险危机管理小组，由发起人、理事长、秘书长、传播部负责人员组成。根据内部程序决策批准的方案迅速行动，避免危机的扩大与蔓延。

#### 风险危机管理小组职责：

- 1) 研究和制定风险危机管理的制度和流程；
- 2) 对基金会日常管理、项目运行进行风险识别、风险评估和风险监控；
- 3) 根据发现或报告的风险进行管理决策及重大风险事件的处置；
- 4) 对基金会日常管理、重大项目及新发展战略、新项目等提出独立的风险评估意见；

#### 风险危机管理流程

风险危机事件与舆情造成的影响是动态变化的，需要根据发展随时进行级别认定、调整并据此做出相应处理。

- 1) 基金会秘书处、传播部日常保持对各公开渠道和媒体平台的舆论监测。

- 2) Keep awareness in daily work, be sensitive of related risk factors, conflicts trend, negative opinions, etc. monitor these regular or irregular.
  - 3) The Secretariat and Communication Department document, file and report to the Risk and Crisis Management Team when the following situations are found during the monitoring:
    - a) Any anonymous or non-anonymous complaint, tip-off, criticism, challenge question and comments which are not specific illustrated from external beneficiaries, its members, partners and public;
    - b) Questionable opinions to UFCH publicized both on public media and personal media;
    - c) Inquiries about UFCH from relevant official authorities;
    - d) Negative public sentiment events happened in donors, beneficiary partners, or other important related parties of UFCH.
  - 4) The Communication Department is responsible to liaise with the media, seeking its understanding and support, in accordance with internal management decision to organize media communication meetings when necessary.
  - 5) The Risk and Crisis Management Team assigns the spokesperson of UFCH. According to the public sentiment and crisis, the spokesperson is also responsible for coordinating internal resources, conducting internal information dissemination and explanation, issuing external statements, press releases upon the Risk and Crisis Management Team's authorization, representing UFCH in crisis dispute communication, negotiation, etc.
  - 6) The spokesperson is the solely channel to release information, guiding positive public opinion. The press release covers:
    - a) Government supervisory departments: report the trend of the situation timely, obtain their guidance and supports;
    - b) Internal staff and related party: inform all UFCH staff or related party quickly and accurately of the beginning and end of the event with the taken measures, working together to overcome it;
    - c) The media: provide factual truth and relevant information, express UFCH's perspective and attitude, eliminate misunderstandings, minimize conflicts, strive for understanding, support and cooperation;
    - d) Relevant responsible parties: If the crisis event involves relevant responsible parties outside of UFCH, appropriate measures should be taken based on the reality of the situation.
  - 7) Each department in UFCH takes actions according to the plan made by the Risk and Crisis Management Team, and reports back promptly when any new risks that may arise during the action.
- 2) 在日常工作中，对于所涉及的相关领域的风险因素、争议动态、负面意见等保持敏感，定期或不定期进行监测。
  - 3) 基金会秘书处、传播部在监测时发现如下情形应予以重视，收集并保存相关信息，同时汇报给风险危机小组：
    - a) 来自外部（受益方或其成员、合作方和公众）实名或非实名但无具体指向的投诉、举报、批评、质疑等意见；
    - b) 发表在公众媒体和自媒体上，针对本基金会的质疑性言论；
    - c) 相关主管部门对本基金会的质询；
    - d) 基金会的捐赠方、资救助合作方或其他重要关联方出现负面舆情事件。
  - 4) 传播部负责媒体的接洽，争取媒体的理解与支持，根据内部管理决策，必要时组织召开媒体沟通会。
  - 5) 基金会的新闻发言人由风险危机管理小组指定。根据舆情与危机的具体情况，指定的新闻发言人同时负责协调组织内部资源、进行内部的信息通报和说明；依风险危机管理小组授权审定（或向上报审）对外发布文件（包括声明、新闻稿等）、代表基金会进行危机争议沟通、谈判等。
  - 6) 所选定的新闻发言人为唯一的信息发布渠道，引导正面舆论。信息发布范围包括：
    - a) 对上级政府主管部门：及时请示汇报，报告事态的发展，争取上级政府主管部门的指导和支
    - b) 对基金会内部员工：迅速而准确地把事件的始末和将采取的对策告知全体员工，齐心协力，共渡难关；
    - c) 对媒体：提供事实真相和相关信息，并表明态度、消除误解，尽量减少对立冲突，争取谅解、支持和合作；
    - d) 对相关责任方：若危机事件涉及本基金会以外的相关责任方，根据事实情况做相应处理。
  - 7) 基金会各部门按照风险危机管理小组通过的方案实施相关工作，及时报告实施过程中可能出现的新风险。

#### **Risk & Crisis Event Alert Classification**

According to the severity and potential impact, the event classified into three levels:

#### **风险危机事件预警级别：**

根据舆情的严重程度和可能造成的影响，将风险危机事件级别分为三级：

**Level I (Red Alert):** Public sentiment and crisis event have caused serious damage to UFCH's reputation and credibility, facing a significant threat to UFCH's legitimacy after fined severely by official authorities, the negative impact is difficult to eliminate in a long time;

**Level II (Yellow Alert):** Public sentiment and crisis event result in significant damage to UFCH's brand reputation and credibility, its related projects or activities are forced to stop due to delays. The negative impact is difficult to eliminate in the short term;

**Level III (Blue Alert):** Public sentiment and crisis event have affected UFCH's reputation and credibility, but the negative impact can be eliminated shortly.

The risk and crisis management plan's rationality and effectiveness is reviewed in according with the practical situation and different factors, this policy will be revised and updated continuously.

#### **RELATED FORMS**

- F0018 FORM-UFCH Risk & Crisis Event Log

**END OF POLICY**

**I级(红色预警):** 舆情与危机事件导致基金会品牌声誉、公信力严重受损, 及被主管部门严重处罚致合法存续面临重大威胁, 负面影响在较长时间内难以消除;

**II级(黄色预警):** 舆情危机事件导致本基金会品牌声誉、公信力受到较大损害、基金会相关项目或活动受滞被迫停止, 负面影响在短期内难以消除;

**III级(蓝色预警):** 舆情危机事件导致本基金会品牌声誉、公信力受到影响, 但负面影响能在短时间内消除。

结合实际情况和各方面因素, 分析和总结风险和危机管理方案的合理性及有效性, 不断修正和完善此风险危机管理政策。

#### **相关表格**

- F0018 FORM-UFCH Risk & Crisis Event Log

**政策结束**