

Compliance 2: Governance and Risk Management

E-book summary

Compliance 2: Governance and Risk Management is a practical e-book that helps leaders, management teams, and consultants supporting growing organizations build an institutional system for compliance, governance, and risk management.

The e-book is based on one central idea:

An organization must be able to demonstrate how it is governed, who is accountable for its controls, and how it manages risks, using documents and practices that can be verified.

Compliance 1 focuses on documentation and accountability for a funded project.

Compliance 2 extends this work to the organization and its portfolio: roles, controls, risks, partners, donor requirements, and institutional capacity. Its eight-week process connects these elements in a system the team can implement, review, and present.

1. The problem this e-book addresses

Many organizations grow in projects and responsibilities, while their governance still depends on memory, personal trust, and decisions made by a few individuals. When a funder or board asks for evidence, it becomes difficult to show how the organization operates.

This weakness becomes visible when the organization:

- Depends on key individuals for procedural knowledge and decision-making.
- Has written policies without assigned owners, controls, or follow-up routines.
- Knows its risks but does not prioritize them or document how they are managed.
- Selects partners and suppliers without consistent review criteria.
- Signs donor commitments without translating them into internal controls.
- Lacks a consolidated view of projects, reports, budgets, and risks.
- Describes its capacity through claims it cannot support.
- Identifies gaps without assigning actions, owners, and deadlines.

The e-book helps turn these disconnected practices into a documented system. Teams can clarify responsibilities, prioritize risks, organize reviews, and demonstrate institutional capacity to funders, partners, and governing bodies.

2. What you will build

By the end of the process, the organization will have an institutional compliance and risk package that demonstrates its governance with evidence. The e-book describes this as institutional donor readiness: the ability to show how the system works and how gaps are addressed.

The main deliverables are:

Deliverable	Status
1. Institutional Compliance Assessment — gaps, document inventory, scope, and priorities	☐ Complete
2. Institutional Compliance Manual v1.0 — roles, minimum controls, routines, and filing	☐ Complete
3. Institutional Risk Map — five priority risks, mitigation measures, owners, and alerts	☐ Complete

Deliverable	Status
4. Partner and Supplier Due Diligence Template — review with criteria, evidence, and documented decisions	☐ Complete
5. Library of Donor-Aligned Clauses — funder requirements translated into controls and evidence	☐ Complete
6. Portfolio Dashboard — projects, reports, financial implementation, risks, and key indicators	☐ Complete
7. Organizational Capacity Statement — one- or two-page presentation of capacity with verifiable supporting evidence	☐ Complete
8. Institutional Strengthening Plan — improvements over six to twelve months, owners, and deadlines	☐ Complete

The two individual sessions serve as review points. After Module 3, the manual, risks, and partner assessment are reviewed. After Module 6, the institutional package is reviewed and final adjustments are prioritized.

The final exercise brings the components together in a 45-minute presentation with supporting documents. The organization will be able to explain its governance, risk controls, partner selection, portfolio monitoring, and capacity-strengthening plans.

3. How IGROW guides the process

IGROW structures each module as a step in institutional implementation. Progress is verified through deliverables and evidence, with clear criteria for what is complete and what needs review.

IGROW stage	How it applies in this e-book
I — Intention / Issue	Identifies the institutional gap requiring attention and explains why it matters.
G — Goal	Defines the verifiable deliverable to complete in each module.
R — Reality	Examines current documents, controls, and practices, identifying informal processes, dependence on individuals, and causes of gaps.
O — Options	Adapts templates, matrices, checklists, dashboards, and protocols to address gaps through verifiable controls and practices.
W — Way Forward	Completes each deliverable, reviews what is missing, assigns next steps, and connects progress to the next component of the system.

4. What this e-book promises

This e-book does not promise risk-free organization or guarantee donor approval. Institutional readiness requires applying controls, maintaining evidence, and reviewing gaps continuously.

After completing the process and tools, the organization will have a documented basis for explaining how it is governed, how it assesses partners, and how it oversees its portfolio. It will also have capacity-strengthening priorities and people responsible for following them up.

The e-book turns governance based on individuals and informal practices into an institutional system with responsibilities, controls, evidence, and a path for improvement.

This helps readers move from saying:

“Management knows all our projects, and we trust our team, but we struggle to show how our controls work and which risks we are managing.”

To say:

“We can show who is accountable for each control, which risks we prioritize, how we assess partners, and the status of our portfolio. We know what to strengthen and who will do it.”