

THE CID CODE OF CONDUCT

The Council for International Development (CID) serves as the umbrella organisation for Aotearoa New Zealand non-government organisations active in international development. Its members have a vision for Aotearoa New Zealand as a leader working towards a sustainable world free from extreme poverty and injustice.

The membership of CID adopted a Code of Conduct in October 2014, with the latest version dated December 2017 and a review to be undertaken in 2019. The CID Code of Conduct is a voluntary, self-regulatory sector code of good practice that aims to improve international development outcomes and increase stakeholder trust by enhancing the transparency and accountability of signatory organisations.

The Code serves both as a guide to good practice and as a risk management document. The Code was adopted unanimously at the 2014 CID AGM. All existing members are now compliant, and new members must become Code signatories within two years of joining CID.

THE IMPORTANCE OF THE CID CODE OF CONDUCT

The Code of Conduct helps to 'professionalise' the whole sector through:

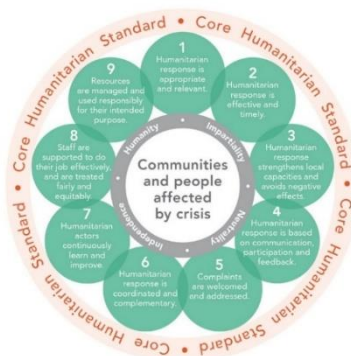
- Providing an opportunity for CID members to improve effectiveness of development outcomes.
- Better management of risk for the sector in New Zealand by boards with respect to donors.
- Assisting CID members with learning and sharing of information and good practice within the membership.
- Providing an effective tool for organisational development and continuous improvement.
- Increasing accountability and transparency – placing CID members as leaders in their field.

HOW DOES THE CID CODE RELATE TO OTHER STANDARDS?

- CID's Code is built on the ACFID Code of Conduct, one of the most long-standing and credible codes in the sector, adopted in 1997 and updated in 2010 and 2016
- Where strong international standards exist, these are incorporated (ICRC Code of Conduct, Sphere Humanitarian Charter, and the Core Humanitarian Standard)
- Interest from MFAT in incorporating the CID Code into their accreditation process



AUSTRALIAN
COUNCIL
FOR
INTERNATIONAL
DEVELOPMENT



Sphere

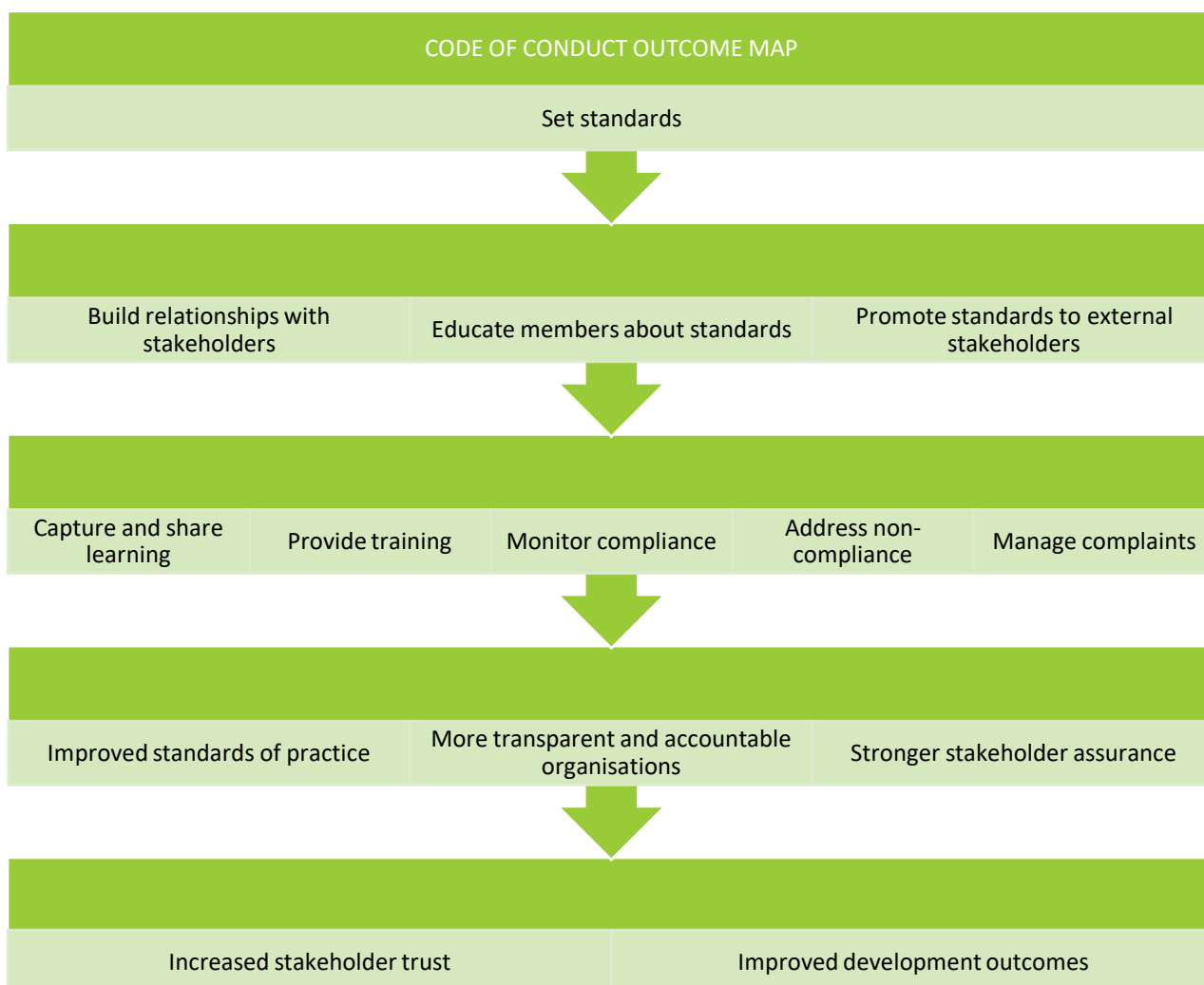
Humanitarian Charter
and Minimum Standards
in Humanitarian Response

OUTCOMES FOR SIGNATORY ORGANISATIONS

CID provides assistance, support and training around the implementation of the Code for all members. There are provisions for the termination of membership if an organisation cannot reach the bar over time, but all practical assistance would be provided to avoid that outcome. CID has a Code of Conduct Coordinator, supported by members’ fees, to work solely for and with members to help them achieve compliance.

However, member organisations have the task of making the Code work for them while working towards compliance. Staff working for signatory organisations need to understand the Code obligations while governing bodies and senior managers need to ensure obligations are being met.

By becoming Code signatories, members give funders (government, private and public donors) assurance that they are working to agreed professional and ethical standards. It is up to signatory organisations to decide how to engage with staff, their governance bodies, wider stakeholders and funders. Funders and donors are increasingly demanding more transparency and accountability from development NGOs. The Code gives this assurance.



WHAT'S IN THE CODE?

The Code sets out standards in the three areas of accountability, each containing a number of **principles** (which frame the overarching intent) and **obligations** (which outline specific requirements of signatory organisations). In total, there are 50 principles and 122 obligations:

1. **Programme Principles** – including Obligations for effectiveness in aid and development activities, human rights and working with partner agencies
2. **Public engagement** – including Obligations of signatory organisations to be ethical and transparent in marketing, fundraising and reporting
3. **Organisation** – including Obligations for governance, management, financial controls, treatment of staff and volunteers, complaints handling processes and compliance with legal requirements

B. Programme Principles	C. Public engagement	D. Organisation
<ul style="list-style-type: none">•B.1 Effective aid and development•B.2 Relationships with partners•B.3 Human rights•B.4 Advocacy•B.5 Emergency management	<ul style="list-style-type: none">•C.1 Integrity in marketing and reporting•C.2 Annual reporting•C.3 Fundraising	<ul style="list-style-type: none">•D.1 Structure•D.2 Integrity and ethics•D.3 Governance•D.4 Financial management•D.5 Staff and volunteers•D.6 Complaint-handling within signatory organisations

Every organisation is different and has the flexibility to interpret how the Obligations are best applied within their unique context. If in doubt about how to interpret an Obligation, a signatory organisation should look to the Principle for a sense of the intention of the Code.

GOVERNANCE

The Code of Conduct Committee was established as a standing Committee of the CID Board through amendments to the constitution, adopted at the 2014 AGM. The aim of the Code of Conduct Committee (CCC) is to provide assurance to CID members and partners that the Code of Conduct is being implemented effectively, to consider matters of Code compliance, and to ensure that complaints in relation to the Code of Conduct are being examined promptly and fairly.

The main responsibilities of the CCC are:

To consider compliance issues and implement the assessment, monitoring and review of compliance in relation to the Code of Conduct

To examine complaints (i.e. alleged breaches of the Code)

To develop and adopt relevant policies regarding the implementation of the Code

To report on overall matters regarding the Code to the CID AGM and promote compliance to the wider public

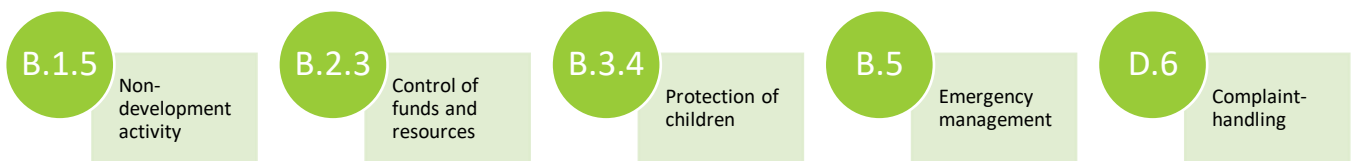
- To set Code of Conduct standards (noting that these cannot be changed without full agreement of the CID membership)

MANDATORY PRINCIPLES

The Code of Conduct contains five Mandatory Principles. While adherence to all principles and obligations under the Code is required, these five are recognised as critical, and are submitted to an extra level of scrutiny in the compliance process.

The other principles and obligations in the Code are progressive, meaning that organisations can indicate if they are progressing in implementing the obligations in order to reach full compliance over time.

In order for an organisation to reach Code signatory status, they must be fully compliant with all Mandatory Principles (except organisations that do not engage in emergency management work, who are exempt from principle B.5). These Mandatory Principles are:



B.1.5 – NON-DEVELOPMENT ACTIVITY:

Funds raised for aid and development activities are not used to promote a particular religious adherence or to support a political party or candidate.

B.2.3 – CONTROL OF FUNDS AND RESOURCES:

Signatory organisations make every reasonable effort to ensure that funds and resources disbursed to third parties and partners are applied lawfully and with proper risk management in place.

B.3.4 – PROTECTION OF CHILDREN:

Signatory organisations are committed to the safety and best interest of all children accessing services or programmes and working toward the elimination of abuse.

B.5 – EMERGENCY MANAGEMENT:

Signatory organisations commit to providing humanitarian assistance in line with internationally agreed standards and coordinating their activities with other humanitarian actors.

D.6 – COMPLAINTS-HANDLING:

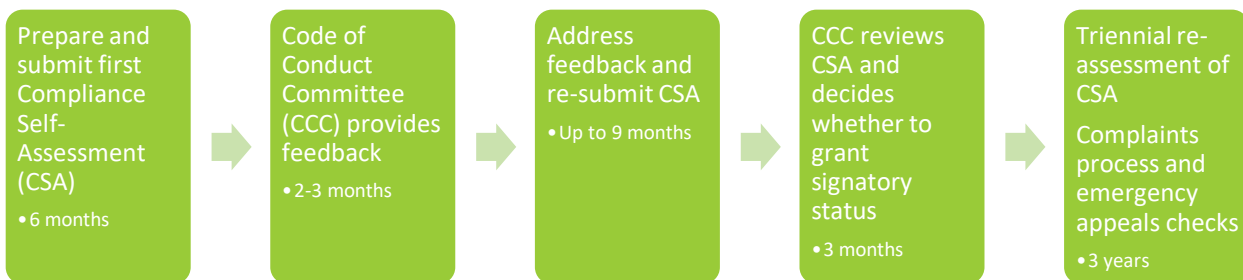
Signatory organisations have fair and transparent processes in place for dealing with complaints and make information on the process available to all stakeholders.

COMPLIANCE

Assessment of signatory compliance with the Code is provided by:

1. Commitment to the Code Principles
2. Public disclosure of relevant aspects of the Code standards
3. Triennial self-assessment by the signatory organisation's governing body
4. Verification of compliance with selected aspects of the Code by the Code of Conduct Committee (CCC)
5. A complaints-handling and discipline process
6. Building creative and trusting relationships with the communities in which they work

CID members are required to complete the Code of Conduct Compliance Self-Assessment (CSA) form every three years. The CSA is a true self-assessment and tracks the Code Principles and Obligations, allowing signatory organisations to assess their own compliance – and to provide the relevant supporting explanation to describe the way in which compliance is achieved. Organisations can assess each of the obligations in terms of being *compliant*, *partially compliant*, *not compliant*, or *not applicable*.



COMPLETING THE CSA

The CSA form is a writeable PDF format. It allows you to select from drop-down menus, write in the comment boxes, and save your work as you go. It is recommended that you save frequently and keep a back-up copy of the CSA on your computer to avoid losing information.

You don't have to fill out the form in sequential order, and you may wish to involve multiple people in completing the CSA.

Understanding the principles and obligations

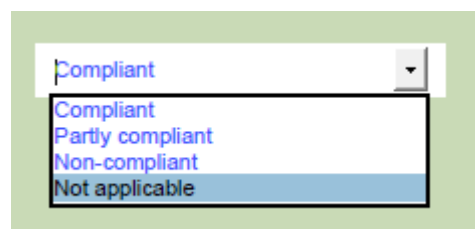
Before starting the CSA, it can be helpful to read through the principles and obligations and think about how they apply to your organisation and how you work. If any of them don't make sense to you, check the Implementation and Reference Guide, or get in touch with the Code of Conduct Coordinator – they are there to help you through the process!

CHOOSING YOUR LEVEL OF COMPLIANCE

When you start filling out the CSA, you will see that there is a drop-down menu next to each obligation where you should choose your level of compliance. The options are; *compliant*, *partly compliant*, *non-compliant*, and *not-applicable*.

In addition to assessing your organisation's level of compliance, you should also explain why you chose the level of compliance you did and justify this choice with evidence. The explanation required depends on the compliance level:

Compliant – You are confident that your organisation meets the requirements of the obligation. Use the comments box to explain how your organisation meets the requirements of the obligation. Where possible you should include references to specific policies, procedures, templates or other documents to back up your explanation. If you reference large documents such as your organisation's constitution or a policy manual, you should provide references to specific pages, chapters or articles within the document.



Partly compliant – You think your organisation does not fully meet the requirements of the obligation, but does have some policies, procedures or practices in place that go part of the way to meeting them. Here you can explain how your organisation is partly meeting the requirements of the obligation, and include a note explaining how you will work towards full compliance over time.

Non-compliant – Your organisation does not meet the requirements of this obligation at all and will need to work towards compliance. Use the comments box to explain how your organisation will work towards full compliance over time. In order to reach signatory status, you will need to provide a plan and timeframe for addressing any areas of non-compliance and partial compliance.

Not applicable – The nature of your organisation and its work mean that it would not be possible or would not make sense for your organisation to comply with this obligation. Note that for some mandatory Principles the *not applicable* option is not permitted. Explain in the comments box why you think this obligation does not apply to your organisation.

Note that you may commence the self-assessment process being non-compliant on a particular obligation but over the next few weeks/months may become partly or fully compliant. When submitting your first CSA it is normal to have some areas of non-compliance and partial compliance – you are not expected to be fully compliant at this stage!

You may wish to include an explanation of your organisation's overall approach in the comments box at the Principle level, but this is optional.

SUPPORTING DOCUMENTS

At a minimum you must submit supporting documents for all the **mandatory principles**, as well as a copy of your most recent **annual report** and **governing instrument** (e.g. Constitution or Trust Deed). You may submit additional documents if you wish, and the Code Coordinator or CCC may request more documents as they review your CSA.

<p><i>Principle</i> B.1.4 Addressing gender</p> <p><i>Signatory organisations are committed to addressing the effect of gender inequalities and inequities. Gender equity and equality are fundamental to the effectiveness of aid and development activities.</i></p> <p><i>Obligation</i> 1. Signatory organisations will ensure that an appropriate focus is given to understanding and addressing gender issues in their aid and development programme design, implementation, monitoring and evaluation cycles.</p> <p><i>Obligation</i> 2. Signatory organisations will also work to assist partners to become aware and supportive of signatory organisation's commitment to deal with gender issues in their aid and development activity.</p> <p><i>Principle</i> B.1.5 Non-development activity</p> <p><i>Funds and other resources designated for the purpose of aid and</i></p>	<p><i>Progressive compliance accepted.</i></p> <p>Compliant</p> <p>Partly compliant</p> <p><i>This Principle and Obligations are applicable to all signatory organisations and are mandatory.</i></p>	<p><i>Optional comment on overall approach</i></p> <p><i>Comment</i></p> <p>Gender analysis is a part of project design (see Project Handbook chapter 4), and indicators related to gender issues are included in M&E systems. Staff are trained in gender analysis.</p> <p>We have not had a systematic approach to this, so have worked more with some partners than others. We will work towards developing a gender policy to ensure gender issues are always a part of discussions with partners and training is offered if necessary. We will aim to have this in place by December 2017.</p>
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DECLARATION BY OFFICE-BEARERS

The sign-off page must be signed by the highest Executive Officer (e.g. CEO) and the highest member of your organisation's governing body (e.g. Board Chair). You can do this using a digital signature, or by printing the sign-off page, having it signed and then scanning it. It is ok to submit the sign-off page separately from the rest of the CSA, but signatory status cannot be granted if the sign-off page has not been received.

MINIMUM REQUIREMENTS CHECKLIST

This checklist is intended to help you work out if you've met the minimum requirements in your CSA before you submit:

DECLARATION BY OFFICE BEARERS	The Office Bearers Declaration is signed by the chair of your governing body and a senior officer within your organisation.
COMPLETENESS	At least 80% of the CSA has responses which are substantiated as set out below
MANDATORY PRINCIPLES	Responses and supporting evidence provided for all five Mandatory Principles
DETAIL	Each Obligation is substantiated by a narrative and reference to a policy, set of procedures, or programme document (if applicable)
CONGRUENCE	Your response aligns with the meaning of the Code. Lack of congruence means you may not understand the meaning of the Principles or Obligation
PLANS OF ACTIONS	If you self-assess as partially compliant or non-compliant, a timeframe and/or a plan of action to address the issues should be provided
COMPLAINTS HANDLING	Commitment to the Code of conduct complaint handling mechanism (E.3.1)

THE FEEDBACK PROCESS

Once your CSA is submitted, it will be reviewed by the Code of Conduct Coordinator, who will provide a summary for the Code of Conduct Committee (CCC). In some cases, the full CSA may also be reviewed by a member of the CCC for moderation purposes.

The CCC and Code Coordinator will aim to send feedback on your CSA within 2-3 months. This feedback will provide recommendations for improvement, identify any gaps not highlighted in your CSA, and outline the steps needed to reach signatory status.

ADDRESSING FEEDBACK

Your organisation will then have up to 12 months to address the feedback on your CSA. During this time, you may want to contact the Code Coordinator to talk through any areas of feedback you are unsure about or ask for resources and examples to help you develop any new policies. The Code Coordinator may also be able to put you in touch with a signatory organisation who can offer advice.

CODE OF CONDUCT LOGO

When member organisations are fully compliant with all applicable areas of the Code, they will be granted Signatory status and be able to use the CID logo or the Code of Conduct logo on their websites and other promotional material

COMPLAINTS

CID offers an independent mechanism to address concerns relating to the conduct of CID members. Complaint can be made against a Code of Conduct signatory organisation (including CID) that is believed to have breached the Code of Conduct. A complaint may be made by a member of the public, another signatory organisation to the Code or any other body. The Code of Conduct Committee is responsible for investigating complaints.

If you have a complaint against CID or one of our members, please fill out the complaints form on our website or contact us directly:

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office@cid.org.nz

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Wellington 6142

Aotearoa New Zealand

Further information on the Code of Conduct can be found at www.cid.org.nz including the Code of Conduct and the Implementation and Reference Guide.

If you have any questions regarding the Code or require support with your organisation's CSA, you can reach the Code of Conduct Coordinator on code@cid.org.nz.