

COUNCIL *for* INTERNATIONAL DEVELOPMENT  
Kaunihera mō te Whakapakari Ao Whānui



# *Code of Conduct*

*Compliance*

*Self Assessment*

February 2018



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## INTRODUCTION

The section below provides an explanation of the relevant elements of the Code and the Compliance Self-Assessment (CSA) and a general guide to completion of the CSA.

### MAIN PARTS OF THE CODE

The Code includes three clusters of Accountabilities – B: Programme Principles, C: Public Engagement and D: Organisation. Each Accountability contains a number of Principles and Obligations. The Code also includes section E: Compliance with this Code which sets out Obligations in relation to Code compliance. There are five **mandatory principles** in the Code. These are: Principles B.1.5 – non-development activity, B.2.3 – control of funds and resources, B.3.4 – child protection, B.5. – emergency management (if undertaken) and D.6 – complaints handling.

### IMPLEMENTING THE CODE OF CONDUCT

Further information on implementation of the Code of Conduct within each organisation can be found in the Code of Conduct Implementation and Reference Guide. Typically, the implementation will involve:

- **Awareness** - what the organisation does to make the relevant people aware of the requirements of the Code and the organisation's commitment to the Code Principles.
- **Operationalising** - what the Principles mean in practice and what the organisation does to embed the Principles and Obligations in their day-to-day operations.
- **Monitoring** - what the organisation does to monitor and ensure its compliance with the Code.

### COMPLIANCE SELF-ASSESSMENT (CSA)

This document is completed by all signatories as part of their biennial reporting to the Council for International Development (CID) on compliance with the Code of Conduct or as part of the application to become a CID member.

This self-assessment largely allows the signatory organisation to assess its own compliance (Compliant, Partly Compliant, Non-Compliant or Not Applicable) and to provide the relevant supporting explanation describing the way in which the state of compliance is achieved.

### COMPLETING THE CSA FORM

The CSA form is a writeable PDF format. The following steps should be taken complete the form:

- Open the document and save into your organisation's filing system.
- Then proceed through the document self-assessing compliance against each of the obligations under each principle, within each section. **Remember to save as you go.** There is no requirement to fill in the form in sequential order.
- Each drop-down box has 4 options - compliant, partially compliant, non-compliant and not-applicable – select as appropriate. The default is “non-compliant”. 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 partially or fully compliant.
- Comments should relate to the progress towards meeting the CSA criteria or other information referring to any source documents (e.g. policies or partnership agreement templates) that relate to compliance. Please refer to the Code of Conduct Implementation and Reference Guide for more information on the types of source documents that are suitable to demonstrate compliance.
- Supporting documents (e.g. policies) are only required for the **mandatory** Principles (see below) but should be made available if requested by the Code of Conduct Committee. These should to be attached separately in an email, or posted if not available in electronic form.
- Other supporting documents can be provided to CID if the signatory organisation deems it relevant to demonstrating their compliance. For example in certain instances providing the organisation's constitution or annual report as a reference may be appropriate.
- For final CSA submission, ensure that the **Declaration by Office-Bearers** (section E.4 in the CSA form) is completed and signed by the most senior executive within the signatory organisation and the chief governing officer within the governing body of your organisation (e.g. the Chair of the Board or equivalent).

## OVERALL GUIDANCE

1. The Code of Conduct recognises that size, scale, area of operation and overall strategy have an impact on the compliance level required of signatory organisations. In general, there is considerable flexibility for signatory organisations in implementation of Principles and Obligations.
2. When in doubt about how to interpret an Obligation, look to the Principle for a sense of the intention of the Code. If still in doubt refer to the Code of Conduct Implementation and Reference Guide, Online Toolkit or contact the CID Code of Conduct Coordinator.
3. Not all Principles and/or Obligations apply to every signatory organisation (e.g. advocacy or emergency management Principles only apply to organisations that undertake this work. Definitions can be found in Section of F of the CSA form).
4. There are five **mandatory** Principles B.1.5 – non-development activity, B.2.3 – control of fund and resources, B.3.4 – child protection, B.5. – emergency management (if undertaken), and D.6 complaints handling.
  - 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.
  - **N/A responses are not permitted (for B.1.5, B.2.3, B.3.4 and D.6).**
  - The Code **does not permit an “if not, why not”** response for **mandatory** Principles and Obligations.
  - Mandatory Principles are indicated in **blue** in the CSA form.
5. For all except the mandatory Principles and Obligations, progressive compliance is acceptable. This means that organisations can work towards full compliance over time. Signatory organisations are expected to have a plan to work toward meeting these Obligations and to monitor their implementation.

Signatory organisations:

- Can indicate that they are **partly compliant** in the CSA.
- Can refer to the following indicative levels:
  - Early stages of compliance - establishing relationships, risk-managed.
  - Some progress – capacities and gaps clear, plan in place.
  - Substantial progress – pathway clear, further action planned.

- Should prioritise working towards meeting the Code Principles and Obligations which are relevant to them, have a plan to phase in their introduction over time, and actively monitor the plan over time.
  - Organisations applying for signatory status should submit a compliance plan along with their CSA, outlining how they will work towards full compliance in any areas they have assessed as partly or non-compliant, and provide timeframes for doing so.
6. Processes/policies that are being developed or revised by signatory organisations should be marked as **partly compliant**.
  7. Most Obligations also permit an **“if not, why not”** response from signatory organisations.
    - That is, if a signatory organisation believes that it is compliant with a Principle, however there are compelling reasons why it does not meet a particular Code Obligation, then the Code allows for the signatory organisation to explain how it meets the Principle in some other way.
    - Note that it is impossible to anticipate every possible “if not, why not” circumstance, so signatory organisations should be aware that the Code of Conduct Committee may not necessarily accept that every offered “if not, why not” explanation is satisfactory.

## SUBSTANTIATION

There will be differences in how the CSA form is completed by individual signatory organisations, reflecting their particular circumstances.

- Room is provided for an optional overall explanation of how compliance with the **Principle** is achieved.
- In general, signatory organisations are asked to provide a sentence or two describing how compliance is achieved for each **Obligation** in the comments sections along with a **reference to the relevant source documents**.
- **Relevant source documents should be attached** (in an email) for review by the Code of Conduct Committee **only for the mandatory Principles and Obligations**. These should be clearly labelled to correspond to the relevant Principle or Obligation.

- Signatory organisations should attach (in an email) a list of all the documentation that they have both **referred to** and **provided**.
- Where the same compliance information is relevant from another section of the Code, it is acceptable to simply refer to that previous explanation (eg. “see explanation under x.x.x”).
- Where a signatory organisation believes that a Principle or Obligation is not relevant to its activities (and the Code permits an “N/A” response), signatories should provide sufficient explanation.

## VERIFICATION

The Code of Conduct Committee will actively verify compliance for selected Obligations. These include the **mandatory** Principle and Obligations.

The Code of Conduct Committee may also request further information from signatory organisations.

## A. PREAMBLE

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 the vision for Aotearoa New Zealand as a leader working towards a sustainable world free from poverty and injustice.

The CID Code of Conduct (“the Code”) 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. It serves both as a guide to good practice and as a risk management document.

The Code Committee of the CID Board (“Code Committee”) monitors adherence to the Code and investigates complaints, which may be brought by any member of the public.

Development of policies and procedures to comply with the Code will be appropriate to the size and complexity of the organisation and the extent of their operations. Not all policies necessarily apply to all signatory organisations.

## VALUES

Signatory organisations while varying in size, and differing in their approach to development work, share values that underpin their work in aid and development and that inform this Code. Signatory organisations, as development actors, adhere to the following principles/values<sup>1</sup>.

1. The Treaty of Waitangi is fundamental to development in Aotearoa New Zealand and to members’ approach to development issues internationally.
2. Respect and promote human rights, social justice and equality for all people.
3. Embody gender equality and equity while promoting women’s and girl’s rights and support women’s efforts to participate as fully empowered actors in the development process.

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*1. These are largely based on the Istanbul CSO Development Effectiveness Principles agreed at the Open Forum’s Global Assembly in Istanbul, September 28-30, 2010.*

4. Focus on people's empowerment, democratic ownership and participation, with an emphasis on the poor and marginalised.
5. Promote and practice environmental sustainability for present and future generations as part of all development initiatives.
6. Practice transparency and accountability to recipients and donors as well as integrity with respect to internal practices of the member's organisation.
7. Pursue equitable partnerships and solidarity with other development actors.
8. Create and share knowledge and commit to mutual learning with other civil society organisations and development actors.
9. Commit to realising positive sustainable change, focusing on results, with special emphasis on poor and marginalised populations.
10. Promote development education in Aotearoa New Zealand as an integral part of sustaining public support for development assistance.
11. Ensure that promotional, educational and fundraising programmes are consistent with the above principles and values.

## ACKNOWLEDGEMENT

The following structure, principles, obligations and processes detailed in this Code are predominantly based on the Australian Council for International Development (ACFID) Code of Conduct. The support and assistance provided by ACFID staff and the permission granted to draw so heavily on the long experience that is distilled in the current ACFID Code of Conduct is gratefully acknowledged.

Each principle is backed up by implementation guidance, examples and other resources as available for this code. These can be read in the Code Toolkit on the CID website and are contained in the CID Code of Conduct Implementation and Reference Guide document. The Implementation and Reference Guide document is adapted from the ACFID Code of Conduct and Guidance document, which provides comprehensive 'how-to' information for signatory organisations to implement the Principles and Obligations.

## STRUCTURE

The Code sets out standards in three areas of accountability:

1. *Programme Principles* – including Obligations for effectiveness in aid and development activities, human rights and working with partner agencies.
2. *Public engagement* – including Obligations on 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.

## CID CODE OF CONDUCT GUIDANCE

Each Principle is a statement of intent that links to the values framed in the Preamble. The specific requirements of signatory organisations are then set out in the numbered obligations.

The Code Implementation and Reference Guide and online Code Toolkit complements the CID Code of Conduct and provide some assistance with compliance. Unlike the Principles and Obligations set out in the Code, the Guidance is not contractually binding, unless specific reference is made to it in the Obligations.

The Code of Conduct will adapt over time to meet the changing environment, the needs of stakeholders and emerging good practice from within the sector.

## ASSESSMENT OF 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' signed off by the signatory organisation's governing body;
4. verification of compliance with selected aspects of the Code by the Code Committee at the time of application and through periodical checking; and
5. a complaints handling and discipline process.

Accountability

## B. PROGRAMME PRINCIPLES

Section

### B.1 Effective aid and development

Aid and development refers to activities undertaken in order to reduce poverty and address global justice issues that support sustainable development goals. In the non-government organisation sector this may occur through a range of engagements that includes community projects, emergency management, community education, advocacy, volunteer sending, provision of technical and professional services and resources, environmental protection and restoration, and promotion and protection of human rights.

Not all of these aid and development activities are undertaken by signatories, however, these Principles form the basis of effective work in all of these areas.

Principle

#### B.1.1 Accountability to primary stakeholders

*Signatory organisations will ensure that their purpose and processes are shaped by stakeholders and that their work is open to review and comment by partners and participants alike. In all instances those directly affected by aid and development activities are considered the primary stakeholders and their views afforded the highest priority.*

Obligation

**1.** Signatory organisations will prioritise accountability to local people and those directly affected by aid and development activities, prioritising their needs and rights with specific reference to gender, age, disability and other identified vulnerabilities.

Obligation

**2.** Signatory organisations will seek the genuine, informed, consensual participation of local people and their representatives in aid and development activities, ensuring that they have the opportunity to authentically contribute to the design, implementation, monitoring and evaluation of these activities.

Obligation

**3.** Signatory organisations will analyse the needs and expectations of key stakeholders in all aid and development activities, pursuing informed and balanced accountability to each.

Compliant  
Partly compliant  
Non-compliant  
Not applicable

Substantiation?

Action to become compliant?

Action? Reason to remain non-compliant? (If not, why not?)

Explanation?

### Name of Organisation

*Comments should relate to the progress towards meeting the CSA criteria or other information referring to the separate attachment of documents that relate to Compliance. More detailed comments, opinions or explanations can be written up and submitted as a Word document.*

*Progressive compliance accepted.*

*Please select your organisation's status from the drop down list.*




*Optional comment on overall approach*

*Comment*

- Principle B.1.2 Quality approach**
- Signatory organisations will apply a quality approach to the design, implementation, monitoring and evaluation of aid and development activity that emphasises relationships, learning, adaptation and impact.*
- Obligation 1.** Signatory organisations will focus on building and maintaining strong, honest and robust relationships with their partners in development, the local people and organisations with which they work.
- Obligation 2.** Signatory organisations will focus on the impact of their activity and will use the information gained in monitoring and evaluation to improve aid and development processes and outcomes over time.
- Obligation 3.** Signatory organisations will ensure that they have analysed and understood the context in which planned activities will occur and will continue to review their understanding as the context changes.
- Obligation 4.** Signatory organisations will set out a clear purpose and objectives for all aid and development activity including consideration of the timeframe, sustainability of the activity and its impacts beyond their involvement.

- Principle B.1.3 Consistency with vision, purpose and values**
- Signatory organisations will ensure that their aid and development activities are clearly aligned with the vision, purpose and values of their organisation and that these are clearly communicated in their relationships with all stakeholders.*
- Obligation 1.** Signatory organisations will ensure that their aid and development activities are consistent with the vision, purpose and values of the organisation.
- Obligation 2.** Signatory organisations will communicate their core and shared values in their relationships with all stakeholders.

	Compliant Partly compliant Non-compliant Not applicable	Substantiation? Action to become compliant? Action? Reason to remain non-compliant? (If not, why not?) Explanation?
<p><i>Progressive compliance accepted.</i></p> <div style="background-color: #f0f0f0; height: 30px; margin-bottom: 5px;"></div>		<p>Comment</p> <div style="background-color: #f0f0f0; height: 30px; margin-bottom: 5px;"></div>
<p><i>Progressive compliance accepted.</i></p> <div style="background-color: #f0f0f0; height: 30px; margin-bottom: 5px;"></div> <div style="background-color: #f0f0f0; height: 30px; margin-bottom: 5px;"></div>		<p>Optional comment on overall approach</p> <div style="background-color: #f0f0f0; height: 30px; margin-bottom: 5px;"></div> <div style="background-color: #f0f0f0; height: 30px; margin-bottom: 5px;"></div>

**Principle B.1.4 Addressing gender**

*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.*

**Obligation 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.

**Obligation 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.

**Principle B.1.5 Non-development activity**

*Funds and other resources designated for the purpose of aid and development will be used only for those purposes and will not be used to promote a particular religious adherence or to support a political party. Where signatory organisations also undertake non development activities, these will be accurately represented to the people they work with, donors and the public.*

**Obligation 1.** Signatory organisations will clearly distinguish – through policy or guidelines – between aid and development and non-aid and development objectives and activities, based on the definitions of aid and development and non-aid and development activity contained in Section F (Definitions) of the Code.

**Obligation 2.** In the event that non-development activity is undertaken in conjunction with development activity, this will be clear in all fundraising, programmes and other activities, in public communication and in all reporting including annual reports.

Compliant  
Partly compliant  
Non-compliant  
Not applicable

Substantiation?  
Action to become compliant?  
Action? Reason to remain non-compliant? (If not, why not?)  
Explanation?

*Progressive compliance accepted.*





Optional comment on overall approach

Comment

Optional comment on overall approach

Comment

*Obligation* **3.** Any fundraising solicitations that include references to both aid and development and non-aid and development activities will provide donors with the choice of contributing to aid and development activities only.

*Obligation* **4.** Signatory organisations will ensure that any such separation in fundraising, programmes and other activities, in public communication and in reporting, extends to partner and implementing organisations and is documented.

*Principle* **B.1.6 Environmental sustainability**

*The aid and development activity of signatory organisations will be informed by and implemented with an understanding of the environmental impact, if any, of their activities.*

*Obligation* **1.** Signatory organisations will commit to conducting their aid and development activities in an environmentally sustainable manner that is consistent with traditional beliefs and practices and reflects local understandings of kaitiakitanga/stewardship in relation to the environment.

*Section* **B.2 Relationships with partners**

Partners are individuals, groups of people or organisations that collaborate with signatory organisations to achieve mutually agreed objectives in aid and development activities. This may include affiliates. Signatory organisations' commitment to Te Tiriti o Waitangi runs throughout the Code as a living example of respect for equality in partnership, both in Aotearoa New Zealand and overseas.

<p>Compliant Partly compliant Non-compliant Not applicable</p>	<p>Substantiation? Action to become compliant? Action? Reason to remain non-compliant? (If not, why not?) Explanation?</p>
<div style="background-color: #e0f2f7; height: 40px; margin-bottom: 10px;"></div> <div style="background-color: #e0f2f7; height: 40px;"></div>	<div style="background-color: #e0f2f7; height: 40px; margin-bottom: 10px;"></div> <div style="background-color: #e0f2f7; height: 40px;"></div>
<p><i>Progressive compliance accepted.</i></p> <div style="background-color: #e0f2f7; height: 40px; margin-top: 20px;"></div>	<p><i>Optional comment on overall approach</i></p> <div style="background-color: #e0f2f7; height: 60px; margin-top: 10px;"></div> <p><i>Comment</i></p> <div style="background-color: #e0f2f7; height: 120px; margin-top: 10px;"></div>

*Principle* **B.2.1 Mutual respect and support**  
*The relationship between signatory organisations and their programme partners will be characterised by manaakitanga, meaning placing value on respectful partnerships and achieving cross-cultural understanding while working and learning together.*

*Obligation* **1.** The relationship between a signatory organisation and its programme partners will be based on honest and transparent communication and on two-way learning, which leads to continuous improvement in the development practices of both.

*Obligation* **2.** Signatory organisations will demonstrate a willingness to invest in their partner organisations to enable partners to:

- a.** Be more effective in fulfilling their own development objectives and priorities; and
- b.** Enhance their ability to help the signatory organisation meet its obligations under this Code in the areas of accountability to primary stakeholders, child protection, gender equity and control of funds and resources.

*Principle* **B.2.2 Clarity in roles and responsibilities**  
*In work undertaken with partner organisations, signatory organisations will ensure mutual clarity and agreement about the objectives of the partnership and the respective roles, responsibilities and mutual accountability mechanisms.*

*Obligation* **1.** Signatory organisations will work towards having a written agreement with each of their partners which sets out the agreed objectives of the collaborative aid and development activity and the roles, responsibilities and obligations of each party.

*Obligation* **2.** In their communications with stakeholders, signatory organisations will reference the role of their partners in delivering aid and development activities.

Compliant  
 Partly compliant  
 Non-compliant  
 Not applicable

Substantiation?  
 Action to become compliant?  
 Action? Reason to remain non-compliant? (If not, why not?)  
 Explanation?

*Progressive compliance accepted.*




*Progressive compliance accepted.*



*Optional comment on overall approach*

*Comment*

*Optional comment on overall approach*

*Comment*

*Principle* **B.2.3 Control of funds and resources**

*Signatory organisations will make every reasonable effort to ensure that funds or resources disbursed to partners or third parties are applied lawfully, in accordance with the promise to the donor, for a proper purpose and with proper controls and risk management in place. (New Zealand Government legislative requirement).*

- Obligation*
- 1.** A signatory organisation will only disburse donated funds or resources to a third party (including affiliates or partner agencies) for aid and development activities where it is satisfied that:
    - a.** The activity is consistent with the explicit or implicit promise to the donor;
    - b.** the activity is consistent with the signatory organisations' strategy, objects, purpose and values;
    - c.** the third party has the capacity to apply the funds or resources in accordance with the promise to the donor, with this Code, with the signatory organisations' strategy, objects and purpose and with the specific instructions of the signatory organisation;
    - d.** the funds or resources will be disbursed in accordance with relevant laws including taxation, counter terrorism financing and anti-money laundering legislation; and
    - e.** appropriate control and risk management mechanisms are in place to mitigate the risk of misappropriation or improper use of the funds or resources once disbursed.

Compliant Partly compliant Non-compliant Not applicable	Substantiation? Action to become compliant? Action? Reason to remain non-compliant? (If not, why not?) Explanation?
<p><i>This Principle and Obligations are applicable to all signatory organisations and are <b>mandatory</b>.</i></p>	<p>Optional comment on overall approach</p>
<p><input type="text"/></p> <p><input type="text"/></p> <p><input type="text"/></p> <p><input type="text"/></p> <p><input type="text"/></p> <p><input type="text"/></p>	<p>Comment</p>

Section **B.3 Human rights**

Principle **B.3.1 Human rights in aid and development**

*Signatory organisations' aid and development activity will be informed by and implemented with an understanding of the human rights dimensions of the activity.*

**Obligation 1.** Signatory organisations will ensure that they provide a commitment to internationally recognised human rights principles within their organisation.

**Obligation 2.** Signatory organisations will ensure that their aid and development activities are consistent with respecting and protecting internationally recognised human rights including civil and political, economic, environmental, social and cultural rights.

Principle **B.3.2 Rights of vulnerable and marginalised people**

*Signatory organisations are committed to including and addressing the needs and rights of vulnerable and marginalised people and their representatives in all aspects of their aid and development activities. These groups may include women, children, people with a disability, Indigenous Peoples, minorities, refugees and displaced people, HIV positive people and those most at risk of HIV.*

**Obligation 1.** Signatory organisations will ensure that they respect and protect the human rights of people from vulnerable and marginalised groups and an appropriate focus is given to promoting these in their aid and development activities.

Compliant  
Partly compliant  
Non-compliant  
Not applicable

Substantiation?  
Action to become compliant?  
Action? Reason to remain non-compliant? (If not, why not?)  
Explanation?

*Progressive compliance accepted.*



*Progressive compliance accepted.*

Optional comment on overall approach

Comment

Optional comment on overall approach

Comment

**Principle B.3.3 Working with people with a disability**

Signatory organisations are committed to including and addressing the rights of people with disabilities and their representatives in their aid and development activity.

**Obligation 1.** Signatory organisations will ensure that an appropriate focus is given to understanding the rights of people with a disability and addressing these in their aid and development activities.

**Principle B.3.4 Protection of children**

Signatory organisations are committed to the safety and best interests of all children accessing their services and programmes or involved in campaigns, voluntary support, fundraising, work experience or employment, and in particular, to working towards the elimination of abuse.

**Obligation 1.** Appropriate to their circumstances and the extent of their contact with children, signatory organisations will have a documented Child Protection Policy and procedures for dealing with children which are regularly reviewed. The Policy will be appropriate to the risk and address:

- a.** Development programme planning and implementation;
- b.** use of images and personal information for fundraising and promotion purposes;
- c.** personnel recruitment including staff, volunteers, consultants and suppliers – in both New Zealand and overseas;
- d.** all applicable legal obligations including mandatory police checks where available and appropriate for all personnel who have regular contact with children;
- e.** behaviour protocols or codes;

Compliant  
Partly compliant  
Non-compliant  
Not applicable

Substantiation?  
Action to become compliant?  
Action? Reason to remain non-compliant? (If not, why not?)  
Explanation?

Progressive compliance accepted.

Optional comment on overall approach

Comment

This Principle and Obligation 1 are applicable to all signatory organisations and are **mandatory**. Compliance with Obligations 2 and 3 are applicable only to organisations that work with children and may be **progressively** achieved.






Optional comment on overall approach

Comment

- f. education and training of personnel and communication of the policy to all stakeholders; and
- g. reporting procedures.

*Obligation* **2.** Signatory organisations that work with children will seek ways to incorporate the voices of children in shaping the development programmes that affect them.

*Obligation* **3.** Signatory organisations that work with children will ensure that their complaints handling processes are child friendly.

*Section* **B.4 Advocacy**

This Section only applies to those signatory organisations that undertake advocacy work and is in addition to the Principles in Section B1, which form the basis of activities in this area.

Advocacy consists of activities undertaken to change the systemic and structural causes of poverty and disadvantage, which may include popular campaigning, lobbying, research, policy positions, alliances and use of the media. It may occur both in New Zealand and globally.

*Principle* **B.4.1 Speaking from evidence**

Where a signatory organisation takes on an advocacy role in New Zealand or globally, either alone or in partnership with others, this will be done from an evidence based position and will include the perspectives of those affected.

*Obligation* **1.** Signatory organisations will be transparent about the basis of the claims that underpin their advocacy.

*Obligation* **2.** Signatory organisations will disclose any conflicts of interest.

Compliant Partly compliant Non-compliant Not applicable	Substantiation? Action to become compliant? Action? Reason to remain non-compliant? (If not, why not?) Explanation?
	<p><i>Comment</i></p> <div style="border: 1px solid #ccc; height: 80px;"></div>
	<div style="border: 1px solid #ccc; height: 40px;"></div> <div style="border: 1px solid #ccc; height: 80px;"></div> <p><i>Optional comment on overall approach</i></p> <div style="border: 1px solid #ccc; height: 100px;"></div> <p><i>Comment</i></p> <div style="border: 1px solid #ccc; height: 80px;"></div>

*This section only applies to signatory organisations that undertake activities that fall under the definition of advocacy (see Section F. Definitions).*

*Progressive compliance accepted.*



		Compliant Partly compliant Non-compliant Not applicable	Substantiation? Action to become compliant? Action? Reason to remain non-compliant? (If not, why not?) Explanation?
<i>Obligation</i>	<b>1.</b> Signatory organisations will incorporate the principles of the Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief into their work.		<i>Comment</i>
<i>Obligation</i>	<b>2.</b> Signatory organisations will adhere to the Sphere Humanitarian Charter and, and Companion Documents such as the Livestock Emergency Guidelines and Standards (LEGS), and Minimum Standards in Disaster Response.		
<i>Obligation</i>	<b>3.</b> If involved in the distribution of pharmaceuticals and other donations in kind, signatory organisations will strive to reflect the principles embodied in guidelines covering drug donations to developing countries.		
<i>Obligation</i>	<b>4.</b> Signatory organisations will comply with International Humanitarian law, Human Rights law and Refugee law and other relevant International Conventions.		
<i>Obligation</i>	<b>5.</b> Signatory organisations will consider the principles of the WHO's IASC (Inter-Agency Standing Committee) Guidelines on Mental Health and Psychosocial Support in Emergency Settings.		
<i>Principle</i>	<p><b>B.5.2 Coordination with other actors</b></p> <p><i>Signatory organisations will coordinate their activities and work collaboratively with other actors throughout the emergency management cycle of providing humanitarian relief.</i></p>		<i>Optional comment on overall approach</i>
<i>Obligation</i>	<b>1.</b> Signatory organisations will aim to be active participants in existing communication and planning networks and clusters.		<i>Comment</i>
<i>Obligation</i>	<b>2.</b> Signatory organisations will utilise the information gained from participation in networks to improve their disaster response.		

Accountability

## C. PUBLIC ENGAGEMENT

Section

### C.1 Integrity in marketing and reporting

Principle

#### C.1.1 Transparency

Signatory organisations are committed to accurate and transparent communication with their stakeholders.

Obligation

1. Signatory organisations will proactively make information available to stakeholders which is accurate, accessible and timely.

Obligation

2. Signatories will be clear about what information they will and will not provide to stakeholders.

#### C.1.2 Reflecting values

Principle

Marketing materials will reflect signatory organisations' missions and values and the values of this Code.

Obligation

1. Signatory organisations will ensure their marketing materials clearly reflect their organisational values and the values of this code.

#### C.1.3 Portrayal of local people

Principle

Signatory organisations will ensure that the use of images and messages portraying women and men, boys and girls in their communications respects the dignity, values, history, religion and culture of the people portrayed.

Obligation

1. Images and messages of women and men, boys and girls will present them in a dignified, respectful manner, portraying them as equal partners in the development process.

Obligation

2. Images and messages will honestly portray the diversity of local people including age, disability and other marginalised groups.

Obligation

3. Images and messages will honestly convey the context and complexity of the situations in which local people live.

Compliant  
Partly compliant  
Non-compliant  
Not applicable

Substantiation?  
Action to become compliant?  
Action? Reason to remain non-compliant? (If not, why not?)  
Explanation?

Comments should relate to the progress towards meeting the CSA criteria or other information referring to the separate attachment of documents that relate to Compliance. More detailed comments, opinions or explanations can be written up and submitted as a Word document.

Optional comment on overall approach

Comment

Optional comment on overall approach

Comment

Optional comment on overall approach

Comment

	Compliant Partly compliant Non-compliant Not applicable	Substantiation? Action to become compliant? Action? Reason to remain non-compliant? (If not, why not?) Explanation?
<i>Obligation</i> <b>4.</b> Key figures in images will be informed of what the image is being used for and if possible, their permission obtained.		Comment
<i>Obligation</i> <b>5.</b> Origins of any images used will be known and any necessary permissions, including copyright releases, be held.		
<i>Obligation</i> <b>6.</b> Care will be taken to ensure that the identification of or use of images of local people will not endanger the people they portray.		
<i>Section</i> <b>C.2 Annual reporting</b>  <i>Principle</i> <b>C.2.1 Transparency</b>  <i>Signatory organisations will use their annual report as a key part of their accountability to all stakeholders.</i>		Optional comment on overall approach
<i>Obligation</i> <b>1.</b> A written annual report will be produced and be made available to the signatory organisation's stakeholders including their members, staff, volunteers, supporters, partner agencies, and members of the public.		Comment
<i>Obligation</i> <b>2.</b> The annual report will provide stakeholders with: <ul style="list-style-type: none"> <li><b>a.</b> A description of the signatory organisation's purpose, objectives/ aims and values;</li> <li><b>b.</b> a plain language summary of the signatory organisation's income and expenditure and overall financial health;</li> <li><b>c.</b> a description of the most significant aid and development activities undertaken during the reporting period and their impact; and</li> <li><b>d.</b> information about evaluations into the effectiveness of and the learning from aid and development activities conducted by the organisation.</li> </ul>		

- Obligation* **3.** The annual report will also specifically include:
- a.** A report by the management and/or the governing body;
  - b.** financial statements prepared in accordance with the requirements of relevant New Zealand legislation;
  - c.** a statement of commitment to adherence to the Code;
  - d.** identification of the ability to lodge a complaint against the organisation and a point of contact; and
  - e.** identification of the ability to lodge a complaint for breach of the Code with the Code Committee and a point of contact.

*Principle* **C.2.2 Financial statements**

*Signatory organisations will publish financial statements in their annual report.*

- Obligation* **1.** Signatory organisations will publish an annual report which will contain:
- a.** Financial statements prepared in accordance with the Implementation Guidance to this Principle. This requirement is not withstanding any other legal or parent body requirements; and
  - b.** A reference to the availability of the full financial report (if the full financial report has not been included in the annual report).

Compliant  
Partly compliant  
Non-compliant  
Not applicable

Substantiation?  
Action to become compliant?  
Action? Reason to remain non-compliant? (If not, why not?)  
Explanation?


*Comment*

*Optional comment on overall approach*


*Comment*

*Principle* **C.2.3 Access to full financial reports**

*Signatory organisations will ensure that in any references to financial performance stakeholders are made aware of their right to access the full financial reports.*

- Obligation* **1.** Any other publications that refer to financial performance, in summary, in an extract of detail or in commentary, will make it clear that the full financial report is available on request.

*Section* **C.3 Fundraising**

*Principle* **C.3.1 Legal obligations and ethical principles**

*Signatory organisations will abide by applicable fundraising legislation and will be aware of best practice standards in fundraising.*

- Obligation* **1.** Signatory organisations will have processes and procedures in place to ensure that all legislative requirements are met in their fundraising activities.

- Obligation* **2.** Signatory organisations are encouraged to be aware of and comply with the Fundraising Institute of New Zealand's (FINZ) Code of Ethics and Professional Conduct and their standards for the type of fundraising undertaken (e.g. telemarketing, direct mail, electronic, events, face-to-face, grants and workplace giving).

*Principle* **C.3.2 Truthfulness**

*Fundraising solicitations by or on behalf of signatory organisations will be truthful, will accurately describe the organisation's identity, purpose, programmes, and needs and will only make claims which the organisation can fulfil.*

- Obligation* **1.** Signatory organisations will ensure that staff, volunteers and contractors are aware of the requirement that fundraising solicitations must be truthful.

Compliant  
Partly compliant  
Non-compliant  
Not applicable

Substantiation?  
Action to become compliant?  
Action? Reason to remain non-compliant? (If not, why not?)  
Explanation?

Optional comment on overall approach

Comment



Optional comment on overall approach

Comment



Optional comment on overall approach

Comment



Optional comment on overall approach

Comment

*Obligation* **2.** Fundraising materials and solicitations will accurately identify the organisation's name, address, Charities Act registration number, New Zealand Business Number (if relevant) and purposes.

*Obligation* **3.** Fundraising solicitations will clearly state if there is a specific purpose for the donations (see also Non-development activity at Principle B.1.5 and Control of funds and resources at B.2.3 and Advocacy at B.4).

*Obligation* **4.** Fundraising materials and solicitations will, in particular, avoid material omissions, exaggerations of fact, misleading visual portrayals and overstating either the need or what a donor's response may achieve.

*Obligation* **5.** Solicitations should accurately portray intended recipients, their situations and the potential solutions.

*Principle* **C.3.3 Responsibility**

*Signatory organisations will be responsible for all fundraising activities outsourced to a third party and will put all such contracts and agreements in writing.*

*Obligation* **1.** Signatory organisations will ensure that all contracts for fundraising meet the applicable legislative and regulatory requirements.

*Obligation* **2.** Signatory organisations will have written contracts with third-party fundraisers that specify the expectations, responsibilities and obligations of each party.

*Obligation* **3.** Signatory organisations will ensure that any form of fundraising undertaken by a third party clearly identifies the signatory organisation as the beneficiary of the funds.

Compliant  
Partly compliant  
Non-compliant  
Not applicable

Substantiation?  
Action to become compliant?  
Action? Reason to remain non-compliant? (If not, why not?)  
Explanation?

Comment

Optional comment on overall approach

Comment

*Principle* **C.3.4 Protection for donors**

*In all fundraising activities conducted by or authorised by signatory organisations, there will be policies and procedures in place to protect the rights of donors.*

- Obligation*
- 1.** Signatory organisations will have policies and procedures in place to ensure that the privacy of donors or potential donors is protected (consistent with the Privacy Act (1993), including the right to:
    - a.** Have their names deleted or suppressed from mailing lists, including those that the organisation intends to share;
    - b.** identify collectors, see documentation confirming their bona fides and know whether they are volunteers, paid staff or agents of the organisation; and
    - c.** be informed about the purposes for which funds are being raised and be able to access information on programmes supported by their donation.

*Principle* **C.3.5 Acceptance of donations**

*Signatory organisations will ensure that decisions to accept or reject donations support the purpose of the organisation.*

- Obligation*
- 1.** The governing body of the signatory organisation will have a position on acceptance and refusal of funds.

Compliant  
Partly compliant  
Non-compliant  
Not applicable

Substantiation?  
Action to become compliant?  
Action? Reason to remain non-compliant? (If not, why not?)  
Explanation?

*Optional comment on overall approach*

*Comment*

*Optional comment on overall approach*

*Comment*

	Compliant Partly compliant Non-compliant Not applicable	Substantiation? Action to become compliant? Action? Reason to remain non-compliant? (If not, why not?) Explanation?
<p><i>Principle</i> <b>C.3.6 Application of donated funds</b></p> <p><i>In public fundraising for a specific purpose, signatory organisations will have a plan for handling any excess and for substantiating the application of donors' funds.</i></p> <p><i>Obligation</i> 1. Signatory organisations will ensure that when fundraising for specific purposes they will have a plan for use of any excess funding and make this known at the commencement of the fundraising appeal.</p> <p><i>Obligation</i> 2. Signatory organisations will maintain financial records that enable substantiation of application of donor funds and will provide this on request.</p>		<p><i>Optional comment on overall approach</i></p> <p><i>Comment</i></p>
<p><i>Principle</i> <b>C.3.7 Disclosure of fundraising and administration costs</b></p> <p><i>Any use by signatory organisations of expenditure ratios (e.g. percentage of funds spent on administration and fundraising costs) will truthfully and transparently disclose all costs incurred in the donation programme.</i></p> <p><i>Obligation</i> 1. Signatory organisations should not give the impression that fundraising has no costs nor that aid and development programmes have no administrative component.</p> <p><i>Obligation</i> 2. If using financial ratios, signatory organisations will comply with the Financial Reporting Implementation Guidance at C.2.2.</p> <p><i>Obligation</i> 3. Signatory organisations will fully and accurately disclose to the public their fundraising and any administration costs incurred, and will reflect this in financial ratios, if used, in publications and marketing material.</p> <p><i>Obligation</i> 4. Signatory organisations will accompany any use of ratios with a note explaining how these have been determined.</p>		<p><i>Optional comment on overall approach</i></p> <p><i>Comment</i></p>

Accountability

## D. ORGANISATION

Section

### D.1 Structure

Principle

#### D.1.1 Public benefit

Signatory organisations are not-for-profit and formed voluntarily by a group of interested people for a common purpose that serves a public benefit and is not carried on for the profit or gain of individual members of the organisation.

Obligation

1. The signatory organisation’s governing instrument(s) will clearly indicate the not-for-profit purpose and character of the organisation and the public benefit to which it is dedicated.

Obligation

2. The organisation may make and retain or invest a surplus, provided that surplus is directed to carrying out the organisation’s purposes.

Obligation

3. The governance instrument(s) will prevent the organisation from distributing profits or assets for the benefit of members or other private persons, both during operation and on winding up.

Section

### D.2 Integrity and ethics

Principle

#### D.2.1 Legal requirements<sup>1</sup>

It is the responsibility of each signatory organisation to ensure that they are meeting the range of legal obligations that are applicable to them in each jurisdiction in which they work.

Obligation

1. The governing bodies of signatory organisations will ensure that their organisations have in place compliance systems and processes to ensure that their legal obligations are being met in each jurisdiction where work is carried out.

1. This principle and its associated obligation are not intended to apply to non-violent direct action undertaken by any CID member. Legal responsibility for consequences arising from non-violent direct action rests with the organisation concerned.

Compliant  
Partly compliant  
Non-compliant  
Not applicable

Substantiation?  
Action to become compliant?  
Action? Reason to remain non-compliant? (If not, why not?)  
Explanation?

Comments should relate to the progress towards meeting the CSA criteria or other information referring to the separate attachment of documents that relate to Compliance. More detailed comments, opinions or explanations can be written up and submitted as a Word document.

Optional comment on overall approach

Comment

Optional comment on overall approach

Comment

*Principle* **D.2.2 Respect for other NGOs**  
 Signatory organisations will ensure that their public communication is respectful of other NGOs. They will not denigrate other agencies, or make inaccurate or misleading public statements regarding other agencies.

*Obligation* **1.** Signatory organisations will ensure that any communication regarding another NGO will be factually accurate and will not intentionally or otherwise mislead.

*Obligation* **2.** Signatory organisations will not make statements about other NGOs with the intention of creating a reputational or other advantage for themselves.

*Principle* **D.2.3 Anti-fraud and anti-corruption**

Signatory organisations will minimise any risk of wrongdoing, corruption, fraud, bribery or other financial impropriety among its governing body, paid staff, contractors, volunteers and partner organisations.

*Obligation* **1.** The governing bodies of signatory organisation will ensure that their organisations:

- a)** Articulate their stance against any wrongdoing, ensure that their ways of working actively minimise the risk of operational wrongdoing and monitor for evidence of wrongdoing;
- b)** have internal and external processes for safe reporting of wrongdoing ('whistle blowing') that include:
  - I.** Publicised points of confidential contact (including at least one member of the governing body);
  - II.** A process for investigation and escalation; and
  - III.** Prescribed timeframes for investigation and response; and
- c)** take prompt, firm corrective action where wrongdoing is identified.

Compliant  
 Partly compliant  
 Non-compliant  
 Not applicable

Substantiation?  
 Action to become compliant?  
 Action? Reason to remain non-compliant? (If not, why not?)  
 Explanation?






Optional comment on overall approach

Comment

Optional comment on overall approach

Comment

	Compliant Partly compliant Non-compliant Not applicable	Substantiation? Action to become compliant? Action? Reason to remain non-compliant? (If not, why not?) Explanation?
<p><i>Principle</i> <b>D.2.4 Conflicts of interest</b></p> <p><i>The governing bodies of signatory organisations will ensure that their organisations manage any real or perceived conflicts of interest for their governing body, paid staff, volunteers and partners.</i></p> <p><i>Obligation</i> <b>1.</b> Signatory organisations will have a clear conflict of interest process that:</p> <ul style="list-style-type: none"> <li><b>a.</b> Requires members of the governing body, paid staff, and volunteers to disclose any real or perceived conflict of interest or any affiliation they have with an actual or potential supplier of goods and services, recipient of grant funds or organisation with competing or conflicting objectives.</li> <li><b>b.</b> Requires members of the governing body and paid staff to absent themselves from discussion, as appropriate, and abstain from voting or otherwise participating in the decision making on any issue in which they have a conflict of interest.</li> <li><b>c.</b> Requires members of the governing body, paid staff, and volunteers to disclose any material gifts or offers of gifts for their personal use and prohibits them from accepting valuable or otherwise inappropriate gifts.</li> </ul>	<div style="background-color: white; width: 100%; height: 30px; margin-bottom: 10px;"></div> <div style="background-color: white; width: 100%; height: 30px; margin-bottom: 10px;"></div> <div style="background-color: white; width: 100%; height: 30px;"></div>	<p><i>Optional comment on overall approach</i></p> <div style="border: 1px solid #ccc; height: 100px; width: 100%;"></div> <hr style="border: 0.5px solid #ccc;"/> <p><i>Comment</i></p> <div style="border: 1px solid #ccc; height: 150px; width: 100%;"></div>
<p><i>Principle</i> <b>D.2.5 Environmental impact of operations</b></p> <p><i>Signatory organisations will aim to operate their domestic and field operations in an environmentally sustainable way.</i></p> <p><i>Obligation</i> <b>1.</b> Signatory organisations will actively work to reduce the environmental impacts of their domestic and in country operations including the use of energy efficient systems and technologies.</p>	<div style="background-color: white; width: 100%; height: 30px;"></div>	<p><i>Optional comment on overall approach</i></p> <div style="border: 1px solid #ccc; height: 100px; width: 100%;"></div> <hr style="border: 0.5px solid #ccc;"/> <p><i>Comment</i></p> <div style="border: 1px solid #ccc; height: 150px; width: 100%;"></div>

*Section* **D.3 Governance**

*Principle* **D.3.1 Governing instrument**

*Signatory organisations will have written documentation (called a governing instrument in the Code) that sets out the goals and purpose of the organisation and defines how it operates.*

*Obligation* 1. A signatory organisation’s governing instrument will set out:

- a. The organisation’s basic goals and purposes;
- b. the membership of the organisation and members’ rights and obligations;
- c. the governance structure and processes of the organisation;
- d. the frequency and processes for meetings of members (at least annually);
- e. the method of appointment/election of governors/board members, their terms of office, any provisions for termination and, where applicable, the basis for their remuneration (details may be specified in a separate policy);
- f. the rules for meetings of the governing body, including the frequency of meetings (at least two a year) and the size of a quorum;
- g. the powers and responsibilities of the governing body including a statement of the overall responsibility of the governing body;
- h. the strategic control (e.g. approving business plan, appointing the CEO) of the governing body;

Compliant  
Partly compliant  
Non-compliant  
Not applicable

Substantiation?  
Action to become compliant?  
Action? Reason to remain non-compliant? (If not, why not?)  
Explanation?

*Optional comment on overall approach*

*Comment*

- i.* the financial control (e.g. approving budgets, receiving audited financial accounts and appointing the auditor) of the governing body; and
- j.* the power of the governing body to delegate authority to officers, staff and others.

*Obligation* **2.** The governing instrument will be readily accessible to members and supporters.

*Obligation* **3.** The governing instrument will comply with the relevant New Zealand legislative requirements.

*Principle* **D.3.2 Governing body**

*Each signatory organisation will have a governing body that has ultimate responsibility for all aspects of the organisation and to whom the organisation is accountable.*

*Obligation* **1.** A signatory organisation's governing body will be elected or appointed by members from within the organisation's body of membership and will be accountable to them.

*Obligation* **2.** The governing body must have a majority of non-staff (non-executive) members.

*Obligation* **3.** The governing body may delegate authority to staff or others, but may not delegate its overall responsibility.

*Obligation* **4.** Where authority is delegated to management or others, there will be clearly defined lines of authority between the governing body and those granted the authority.

*Obligation* **5.** The respective roles and responsibilities of the governing body, staff and management will be clearly set out and communicated to all concerned.

	Compliant Partly compliant Non-compliant Not applicable	Substantiation? Action to become compliant? Action? Reason to remain non-compliant? (If not, why not?) Explanation?
	[Blank]	Optional comment on overall approach
	[Blank]	Comment
	[Blank]	
	[Blank]	Optional comment on overall approach
	[Blank]	Comment
	[Blank]	

*Principle* **D.3.3 Annual general meeting**  
 Signatory organisations will hold an annual general meeting (AGM) of their members as defined in the governing instrument.

- Obligation* **1.** The AGM of the signatory organisation will:
- a.** Deal with substantive matters including reports from the governors and managers, receiving the annual audited financial statements and appointing an independent auditor, if applicable, for the subsequent year/s;
  - b.** in accordance with its governing instrument, provide members with every reasonable opportunity to attend and engage with the governors and managers of the organisation; and
  - c.** provide advance notice of the meeting to all members and provide reasonable access to any relevant information.

*Principle* **D.3.4 Governing body policies**  
 Signatory organisations will have written policies covering appointment, induction, termination and, where applicable, remuneration of members of the governing body for their work as board members/governors, including reimbursement for expenses and any loans.

*Obligation* **1.** To the extent that appointment and termination of members of the governing body are not covered by the governing instrument(s), a written policy will set out the processes for selection, appointment and induction.

*Obligation* **2.** There will be documented governing body policy setting out the signatory organisation approach to reimbursement of expenses by members of the governing body.

*Obligation* **3.** Where applicable, there will be a documented policy with respect to any remuneration by the signatory organisation of members of the governing body. This policy must be approved by the Annual General Meeting of the members of the organisation.

Compliant  
 Partly compliant  
 Non-compliant  
 Not applicable

Substantiation?  
 Action to become compliant?  
 Action? Reason to remain non-compliant? (If not, why not?)  
 Explanation?

	Optional comment on overall approach
	Comment
	Optional comment on overall approach
	Comment

	Compliant Partly compliant Non-compliant Not applicable	Substantiation? Action to become compliant? Action? Reason to remain non-compliant? (If not, why not?) Explanation?
<p><i>Section</i> <b>D.4 Financial management</b></p> <p><i>Principle</i> <b>D.4.1 Internal financial controls</b></p> <p><i>Signatory organisations will maintain internal financial control procedures that minimise the risk of misuse of funds.</i></p>		<p><i>Optional comment on overall approach</i></p>
<p><i>Obligation</i> <b>1.</b> Signatory organisations will maintain detailed accounting records.</p>		<p><i>Comment</i></p>
<p><i>Obligation</i> <b>2.</b> Signatory organisations will have policies and procedures in place to ensure appropriate segregation of duties, taking into consideration size and capacity of the organisation.</p>		
<p><i>Obligation</i> <b>3.</b> Signatory organisations will have adequate procedures for the review and monitoring of income and expenditure by management and the governing body.</p>		
<p><i>Obligation</i> <b>4.</b> Signatory organisations will have a governing body approved policy for internal loans and transactions to staff and governing body members. This policy will include disclosure and reporting about such loans and transactions.</p>		
<p><i>Obligation</i> <b>5.</b> The nature of the relationship and the amount of any loans or payments to the members of the governing body or related parties must be fully disclosed in the annual financial report and subject to audit.</p>		
<p><i>Obligation</i> <b>6.</b> Signatory organisations will ensure that funds and resources entrusted to them are controlled and properly invested and managed prior to their disbursement to any third party.</p>		

**Principle D.4.2 Auditing of financial statements**

*Signatory organisations will comply with the requirements of the Charities Act 2005 regarding auditing and review of financial statements.*

**Obligation 1.** Signatory organisations will comply with the requirements of the Charities Act 2005 regarding auditing and review of financial statements.

**Principle D.4.3 Effective use of resources**

*Signatory organisations will strive to be effective in their use of resources and will minimise financial wastage in the planning and implementation of development and aid activities.*

**Obligation 1.** Signatory organisations will ensure that their aid and development activities are structured to enable measurement of costs.

**Obligation 2.** Signatory organisations will be diligent in reviewing the costs of their engagement, and seeking cost savings and efficiencies where appropriate to the context and nature of their aid and development activity.

**Section D.5 Staff and volunteers**

**Principle D.5.1 Human resources**

*Signatory organisations will protect the human rights and safety of personnel, including paid and volunteer staff, working in New Zealand or overseas.*

**Obligation 1.** Signatory organisations will meet all minimum legal and regulatory requirements relating to personnel, including the requirements of the 2015 Health and Safety at Work Act (HSWA), and will document and maintain policies and procedures that relate to personnel.

**Obligation 2.** Signatory organisations will include in their human resources policies and procedures a statement of unacceptable behaviours expressly including reference to any sexual exploitation or abuse.

Compliant  
Partly compliant  
Non-compliant  
Not applicable

Substantiation?  
Action to become compliant?  
Action? Reason to remain non-compliant? (If not, why not?)  
Explanation?

Optional comment on overall approach

Comment

Optional comment on overall approach

Comment

Optional comment on overall approach

Comment



*Principle* **D.5.4 Human rights and anti-discrimination**

*Signatory organisations will apply human rights principles to their own organisations.*

*Obligation* **1.** Signatory organisations will make clear their commitment to human rights and anti-discrimination in employment and advancement in the organisation's key documents.

*Obligation* **2.** Signatory organisations will engage staff and volunteers within a framework that actively promotes human rights and avoids discrimination, in a way that supports the organisation's identity, philosophy and values and meets the statutory obligations of any anti-discrimination legislation

*Obligation* **3.** Signatory organisations will have comprehensive gender equity policies and disability guidelines in place that aim to produce equitable outcomes between women and men, and people with a disability, in all activities of the organisation, including:

- a.** Engagement of volunteers and staff;
- b.** engagement of partner agencies; and
- c.** senior management and governance.

*Section* **D.6 Complaint-handling within signatory organisations**

*Principle* **D.6.1 Value of complaints**

*Signatory organisations recognise the importance and value of listening and responding to concerns and complaints.*

*Obligation* **1.** Signatory organisations will equip staff and volunteers with an understanding of the organisation's approach to complaints response and assist them to effectively implement the policies.

Compliant  
Partly compliant  
Non-compliant  
Not applicable

Substantiation?  
Action to become compliant?  
Action? Reason to remain non-compliant? (If not, why not?)  
Explanation?

Optional comment on overall approach

Comment






*This Principle and Obligations are applicable to all signatory organisations and are **mandatory**.*

Optional comment on overall approach

Comment

*Obligation* **2.** The signatory organisation will have in place a process for reviewing and analysing information available from concerns and complaints raised with the organisation.

*Principle* **D.6.2 Accessibility and awareness**

*Signatory organisations will seek to ensure that their feedback and complaints handling processes about their aid and development activities conducted in New Zealand and overseas, are effective, safe, confidential and accessible to all stakeholders, irrespective of their gender, status or background and without prejudice to their future participation.*

*Obligation* **1.** Signatory organisations will have a documented complaints handling policy and procedure that:

- a.** Provides an accessible, safe and discreet point of contact for stakeholders in New Zealand and countries where work is carried out to raise concerns or complaints about the organisation;
- b.** is responsive and fair;
- c.** provides information to all stakeholders about the reporting and complaints procedure;
- d.** provides information in a clear and easily understandable manner in appropriate forms and through appropriate media;
- e.** ensures requirements for filing a complaint take into consideration the needs of the most vulnerable and considers minority and disadvantaged stakeholders; and
- f.** advises a complainant of the ability to make a complaint regarding an alleged breach of the Code to the Code Committee of the CID Board.

Compliant Partly compliant Non-compliant Not applicable	Substantiation? Action to become compliant? Action? Reason to remain non-compliant? (If not, why not?) Explanation?
[ ]	<p><i>Comment</i></p> <div style="border: 1px solid #ccc; height: 100px; width: 100%;"></div>
[ ]	<p><i>Optional comment on overall approach</i></p> <div style="border: 1px solid #ccc; height: 100px; width: 100%;"></div>
[ ]	<p><i>Comment</i></p> <div style="border: 1px solid #ccc; height: 100px; width: 100%;"></div>
[ ]	<p><i>Comment</i></p> <div style="border: 1px solid #ccc; height: 100px; width: 100%;"></div>
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[ ]	<p><i>Comment</i></p> <div style="border: 1px solid #ccc; height: 100px; width: 100%;"></div>
[ ]	<p><i>Comment</i></p> <div style="border: 1px solid #ccc; height: 100px; width: 100%;"></div>

Accountability

## E. COMPLIANCE WITH THIS CODE

Section

### E.1 Compliance

Principle

#### E.1.1 Compliance with this Code

Signatory organisations will be compliant with all applicable aspects of this Code and will not engage in activities which bring the sector into disrepute.

Obligation

1. Signatory organisations will monitor themselves to ensure they are compliant with the Code.

Obligation

2. Signatory organisations will promote their commitment to the Code and the Code complaints handling process on their website.

Obligation

3. Signatory organisations that become aware of major transgressions against this Code in their own, or other, signatory organisations are encouraged to notify or make a complaint to the Code Committee.

Section

### E.2 Assessment of compliance

Principle

#### E.2.1 Application to become a signatory

Organisations wanting to become a signatory to the Code of Conduct must complete the application process as determined by the Code of Conduct and must be fully compliant with the Code's mandatory obligations, as applicable, before being granted Code signatory status.

Obligation

1. On application to become a signatory, an organisation will complete the Compliance Self-Assessment Process, which details organisational documentation that supports compliance with the Code Principles and Obligations.

Obligation

2. On application, the organisation will provide the Code Committee with copies of the relevant documents that demonstrate compliance with the Principles and Obligations in the Code.

Compliant  
Partly compliant  
Non-compliant  
Not applicable

Substantiation?  
Action to become compliant?  
Action? Reason to remain non-compliant? (If not, why not?)  
Explanation?

*In this section, organisations completing their first CSA are expected to provide a statement of commitment to the various elements of the Code compliance system. In this case, organisations should mark 'Compliant' if they commit to comply with the requirements of the obligation.*

*Organisations completing subsequent CSAs should reflect on their past history of compliance with the obligations and assess each obligation based on this.*






Optional comment on overall approach

Comment




Optional comment on overall approach

Comment

	Compliant Partly compliant Non-compliant Not applicable	Substantiation? Action to become compliant? Action? Reason to remain non-compliant? (If not, why not?) Explanation?
<i>Obligation</i> <b>3.</b> Organisations must complete their application process within 12 months of lodging their initial application.		Comment
<i>Obligation</i> <b>4.</b> Organisations are not able to use the Code of Conduct logo until they have Code signatory status.		
<i>Principle</i> <b>E.2.2 Triennial assessment</b>  <i>Signatory organisations will provide information on a triennial basis demonstrating their continued compliance with the Code.</i>		Optional comment on overall approach
<i>Obligation</i> <b>1.</b> On a triennial basis, signatory organisations will complete the Compliance Self-Assessment process, which requires signatory organisations to report on compliance with the Principles and Obligations in the Code and advise if any of their key supporting policies and documents have changed materially.		Comment
<i>Obligation</i> <b>2.</b> The Compliance Self-Assessment must be submitted no later than six months before the expiry of the organisation's current signatory status.		
<i>Obligation</i> <b>3.</b> Signatory organisations will promptly provide the Code Committee with any reasonable requests for clarification or additional information.		
<i>Obligation</i> <b>4.</b> Signatory organisations will comply with any remedial actions recommended by the Code Committee.		

*Principle* **E.2.3 Promotional material**

*Signatory organisations will respond promptly to rectify any Code of Conduct breaches identified in random promotional material checks conducted during an emergency appeal.*

*Obligation* **1.** Where the signatory organisation is advised by the Code Committee of a breach in the Code, the signatory organisation will rectify the breach within a time frame nominated by the Committee and put in place systems to ensure that the breach does not recur.

*Section* **E.3 CID Code of Conduct complaints handling**

*Principle* **E.3.1 Agreement to the process**

*Signatory organisations agree to be bound by the independent, accessible, fair and confidential CID Code complaints handling process.*

*Obligation* **1.** Signatory organisations will comply with the complaints handling process as set out in the Guidance. This forms part of the binding obligations of this Code.

*Obligation* **2.** Signatory organisations will comply with Code Committee requests for information within all reasonable time limits as set.

*Obligation* **3.** If there is a breach of the Code, signatory organisations will comply with the corrective or disciplinary action agreed with the Code Committee, as described in the Implementation Guidance and which forms a binding part of the Obligations of this Code.

*Obligation* **4.** If a breach has occurred, the signatory organisation will comply with the Code Committee requirements that it will put in place measures to minimise the risk of the breach recurring.

Compliant  
Partly compliant  
Non-compliant  
Not applicable

Substantiation?  
Action to become compliant?  
Action? Reason to remain non-compliant? (If not, why not?)  
Explanation?

*Optional comment on overall approach*

*Comment*



*Optional comment on overall approach*

*Comment*

## E.4 DECLARATION BY OFFICE-BEARERS

*To be provided with final CSA submission. Signatory status cannot be granted without a signed declaration.*

### Re-affirmation of commitment

*On behalf of the Governing Body of*

*Full legal name of signatory organisation*

*we confirm that our organisation continues to be committed to full adherence to the CID Code of Conduct.*

### Accuracy of this self-assessment

*We confirm that the governing body has reviewed the above self-assessment. We are satisfied that it is an accurate reflection of the state of compliance by the organisation with the Code of Conduct.*

*Name and title of chief Governing Office-bearer*

*Digital signature*

*Date*

*Name and title of most senior Executive Officer*

*Digital signature*

*Date*

## F. DEFINITIONS

### Financial definitions used in this code are contained in Implementation Guidance.

**Accountability:** 'The processes through which an organisation makes a commitment to respond to and balance the needs of stakeholders in its decision making processes and activities, and delivers against the commitment' (Pathways to Accountability, the GAP Framework One World Trust, 2005)

**Actors:** An organisation, government department or individual with a role or influence. (Safety with Dignity, Action Aid, 2009)

**Affiliate:** An organisation to which the signatory organisation has some form of membership, formal association or alliance.

Aid and development: Activities undertaken in order to reduce poverty and address global justice issues in the broader context of working to achieve sustainable development. In the non-government organisation sector, this may occur through a range of engagements that includes community projects, disaster risk reduction, responding to disasters, community education, advocacy, volunteer sending, provision of technical and professional services and resources, environmental protection and restoration, and promotion and protection of human rights.

**Advocacy:** Activities undertaken to change the systemic and structural causes of poverty and disadvantage, which may include popular campaigning, lobbying, research, policy positions, alliances and use of the media. It may occur both in New Zealand and globally.

**Civil society organisation (CSO):** Includes non-government organisations (NGOs), not-for-profit organisations (NPOs), and charities and community-based organisations (CBOs). Can also include religious organisations, trade unions, foundations and any institutions outside of the corporate and government sectors. (Pathways to Accountability, the GAP Framework, One World Trust, 2005).

**Collaborate:** A process in which two or more parties contribute core competencies and share the risks and decision-making to achieve mutual objectives.

**Communities:** Locally organised or informal groups or networks. (Safety with Dignity, Action Aid, 2009).

**Complaint:** An expression of dissatisfaction. (International Standards Organisation standard on complaints handling).

**Development:** Seeks to improve the conditions and quality of life of communities in a sustainable way. The focus is on working with communities or organisations, rather than for, or on behalf of, communities.

**Dignity:** The feeling of having decision making power, freedom and autonomy over life choices, together with the feeling of self-worth and self-confidence, and feeling one has the respect of others. (Safety with dignity, ActionAid 2009 based on Protection: an ALNAP Guide for Humanitarian Agencies, Slim and Bronwick 2005.)

**Disability:** Persons with disabilities include those who have long-term physical, mental, intellectual or sensory impairments which in interaction with various barriers may hinder their full and effective participation in society on an equal basis with others (United National Convention on the Rights of People with a Disability).

**Emergency management:** Involves plans, structures and arrangements established to engage the normal endeavours of government, voluntary and private agencies in a comprehensive and coordinated way to respond to the whole spectrum of emergency needs. (The United Nations International Strategy for Disaster Reduction (UN ISDR) 2004). This includes preparedness, mitigation, response, rehabilitation, reconstruction, development and prevention activities.

**Effectiveness:** Promoting sustainable change that addresses the causes as well as the symptoms of poverty and marginalisation. (ACFID NGO Effectiveness Framework 2004).

**Emergency:** A threatening condition that requires urgent action. (The United Nations International Strategy for Disaster Reduction (UN ISDR 2004).

**Gender:** Gender is the social attributes opportunities and roles associated with being female and male. Gender determines what is expected, allowed and valued in a woman, man, boy or girl in a given context. (Source: NZAID Gender Analysis Guideline)

**Gender analysis:** The process of considering the impact that a development programme or project may have on women and men, boys and girls and the economic and social relationships between them. (Guide to Gender and development, AusAID, 2007.)

**Gender equality:** When men and women have the same right, status, opportunities and resources to realise their potential and contribute to political, economic, social and cultural development, and benefit equally from the results. (Gender Analysis Guideline, MFAT, 2012)

Gender equity Ensuring fairness between men and women often through measures to compensate for political, economic, cultural or historical disadvantages that prevent equality. (Gender Analysis Guideline, MFAT, 2012)

**Human Rights:** Legal statements by the international community that assert the equality and dignity of all human beings, including civil and political rights and economic, social and cultural rights.

**Humanitarian relief:** Fulfilling the most basic requirements for sustaining the lives and dignity of those affected by calamity or conflict. (Sphere Project, 2004)

**Local people:** The women and men, boys and girls who are participants in, and directly affected by, aid and development activities in the geographical area in which the activity is undertaken. May also be known as beneficiaries or primary stakeholders.

**Non-development activities:** Includes all activities that do not meet the Code of Conduct definition for aid and development activities defined above.

**Non-government organisations:** Voluntary, not-for-profit, organisations formally registered with government that are run by a governing board that is accountable to its members.

**Non-food items:** Includes clothing and bedding, personal hygiene items, cooking and eating utensils, stoves, fuel and lighting, tools and equipment. (Sphere 2004)

**Other resources:** Includes (but is not limited to) funds raised, gifts in kind, property, assets, staff and volunteers of signatory and partner organisations.

**Partner:** Partners are individuals, groups of people or organisations that collaborate with signatory organisations to achieve mutually agreed objectives in aid and development activities. This may include affiliates.

**Primary stakeholders:** (see local people).

**Promoting a particular religious adherence:** Activities undertaken with the intention of converting individuals or groups from one faith and/or denominational affiliation to another.

**Psycho-social support:** Any type of local or outside support that aims to promote psychological and social wellbeing and/or to prevent or treat mental disorder.

**Signatory:** An organisation which the CID Code Committee has accepted as a signatory to the CID Code of Conduct and which has not resigned or been removed and has paid all its fees.

**Stakeholders:** Individuals and groups that can affect or are affected by an organisation's policies and/or actions (Pathways to Accountability, the GAP Framework One World Trust, 2005).

**Supporting a particular party, candidate or organisation affiliated to a political party:**

Agency personnel or their representatives (when using the agency name or resources in paid time) being involved in party political activities; using funds or resources to facilitate or support a specific political party, candidate, or party political organisation in a local, regional or general/national election; using funds or resources to facilitate or support a particular politician or faction to gain power within a government or within a party political structure.

**Sustainable development:** Meeting the needs of the present without compromising the ability of future generations to meet their own needs. (World Commission on Environment and Development, 1987). Sustainable development also needs to address the maintenance of the carrying capacity of natural systems upon which humanity ultimately depend and ensure humanity operates within that carrying capacity.

**Transparency:** An organisation's openness about its activities, providing information on what it is doing, where and how this takes place and how it is performing. (Pathways to Accountability, the GAP Framework, One World Trust, 2005).

**Third parties:** May be a contractor, partner or an affiliate of the non-government organisation.

## G. GUIDE TO CODE ELEMENTS

*The section below provides an explanation of the elements to the Code and the Guidance – using the formatting that is intended to distinguish each of the elements.*

### Main parts of the Code

There are eight parts to the Code including the three clusters of Accountabilities – Programme Principles, Public Engagement, Organisation – and Compliance with the Code. There is introductory text for each of the three Accountabilities.

### Section of Accountability

Each Accountability is divided into logical sections.

### Principle

Each 'clause' begins with a statement of principle that aims to distil the intent of the 'clause' and how it links to the values framed in the Preamble.

The Principle may be followed by a few explanatory comments – that should be for clarification, not modification of the principle.

### Obligation

The specific requirements on signatory organisations are set out in the numbered Obligations and are drafted with a view to external credibility. They aim to be clear statements of what a stakeholder can expect to see from signatory organisations.

The Obligations use the term 'will' rather than 'must' or 'shall' to avoid a legalistic tone and to be consistent with the idea that they are a promise to stakeholders rather than imposed by them.

In some cases the Obligations are detailed and are located in the Implementation Guidance. Note that in these cases, the Guidance forms a contractual part of the Code and are binding on signatory organisations.

### Implementation Guidance

The audience for the Implementation Guidance text is signatory organisations themselves and the language is couched in less precise terms and aims to provide assistance in how to implement the Principles and Obligations within their particular context.

Some of the Guidance is framed discursively as 'how-to' and other parts are presented as an example or illustration of how a signatory organisation might implement the Principles and Obligations.

The Guidance may also include tips and references to external sources of advice or information.

**COUNCIL** *for* **INTERNATIONAL DEVELOPMENT**  
*Kaunihera mō te Whakapakari Ao Whānui*



PO Box 24-228  
Manners St, Wellington, 6142  
Aotearoa New Zealand

**Tel:** +64 4 496 9615

**Email:** [office@cid.org.nz](mailto:office@cid.org.nz)

**www.cid.org.nz**