



one world trust

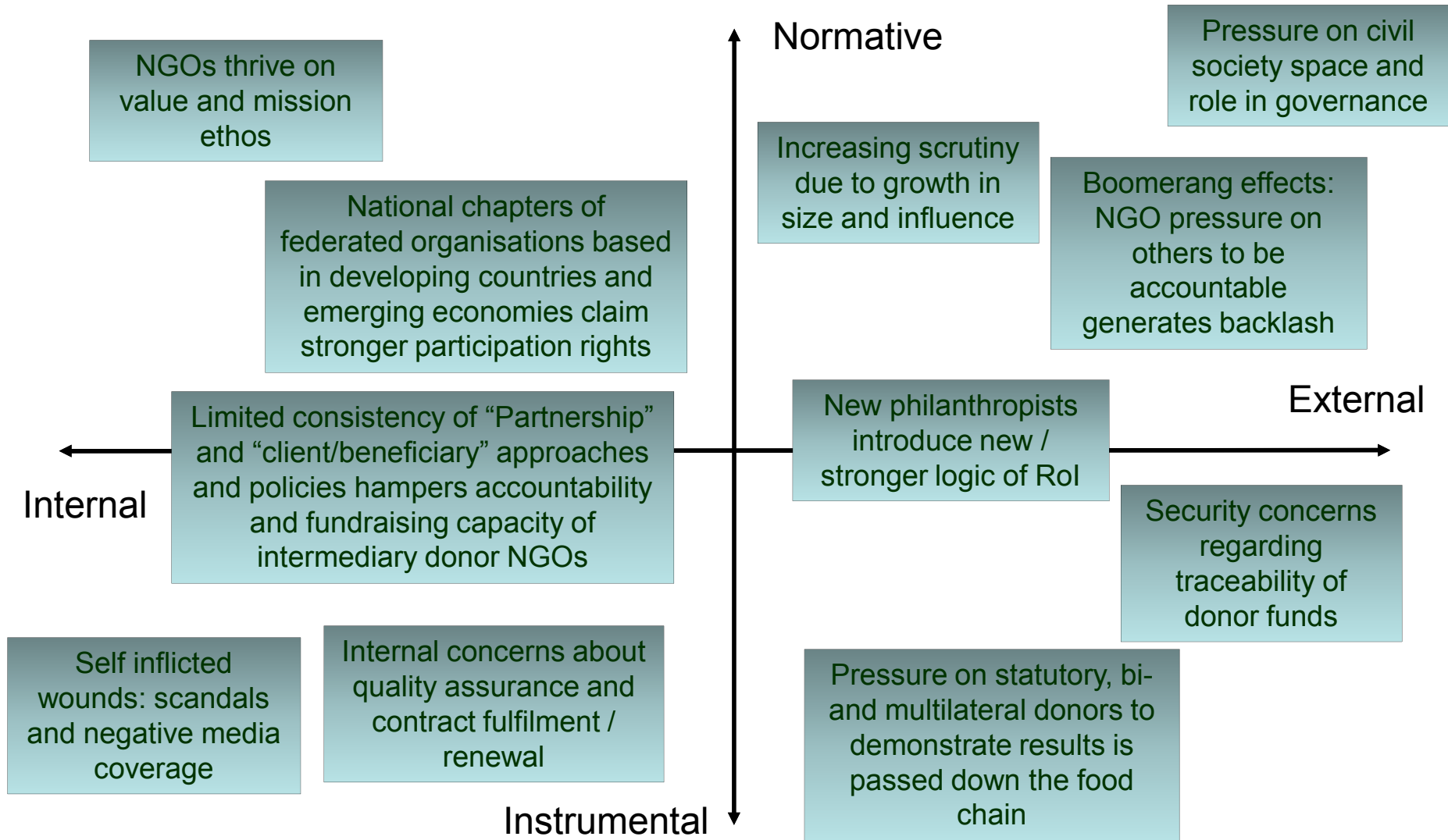
Mapping civil society self-regulation

Context, challenges and opportunities to strengthen independence and role of NGOs in governance

Issues to cover

- **Drivers of the debate – why be accountable?**
 - External
 - Internal
 - Normative
 - Instrumental
- **Accountability – c'est quoi?**
 - Defining a nebulous term
 - Stakeholder web
 - Core principles
 - Components
- **How are NGOs responding: results from the One World Trust project**
 - At individual level
 - At sector level
 - Regionally
- **Types of Self Regulation Initiatives and the question of strength**
- **Challenges & opportunities for organisational and sector wide reform**

Why be accountable? Drivers of the debate



What is accountability?

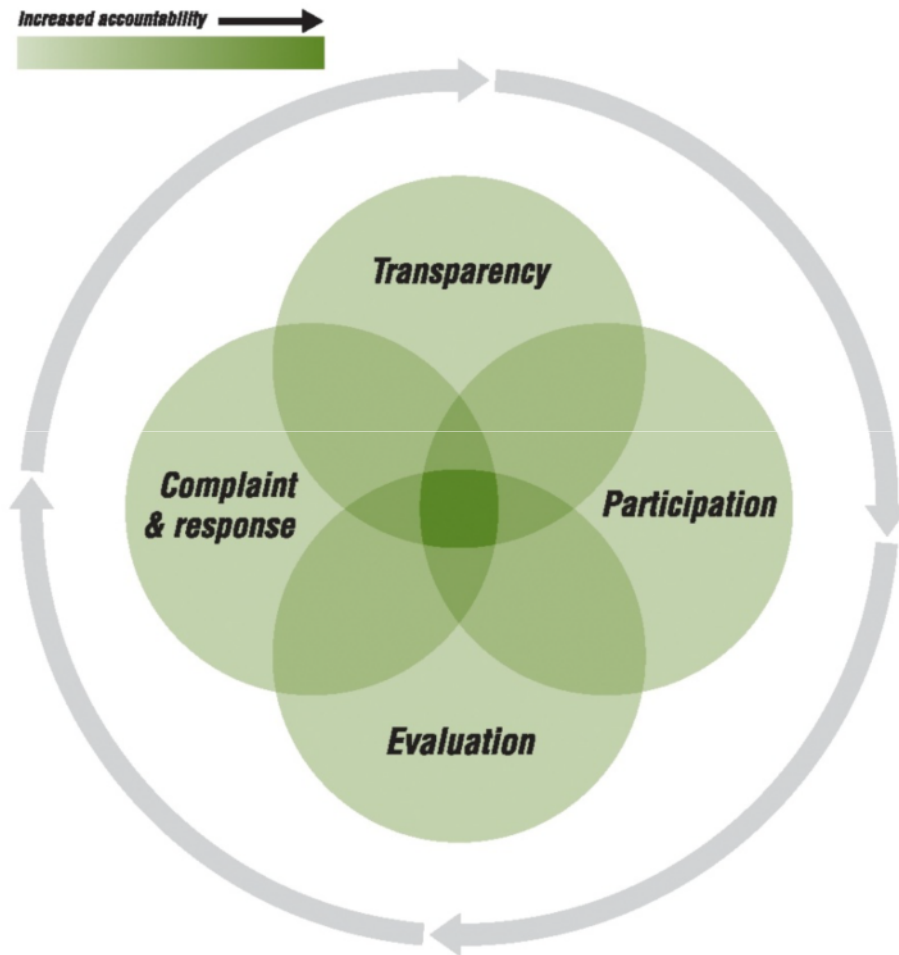
“the processes through which an organisation makes a commitment to respond to and balance the needs of its stakeholders in its decision-making processes and activities, and delivers against this commitment”

From the One World Trust Global
Accountability Framework & Reports

Multiple stakeholders of NGOs



Core principles of accountability



- Mutually reinforcing principles
- Developed and tested with organisations from across all sectors
- Proactive rather than reactive accountability
- Accountability as learning, not just compliance

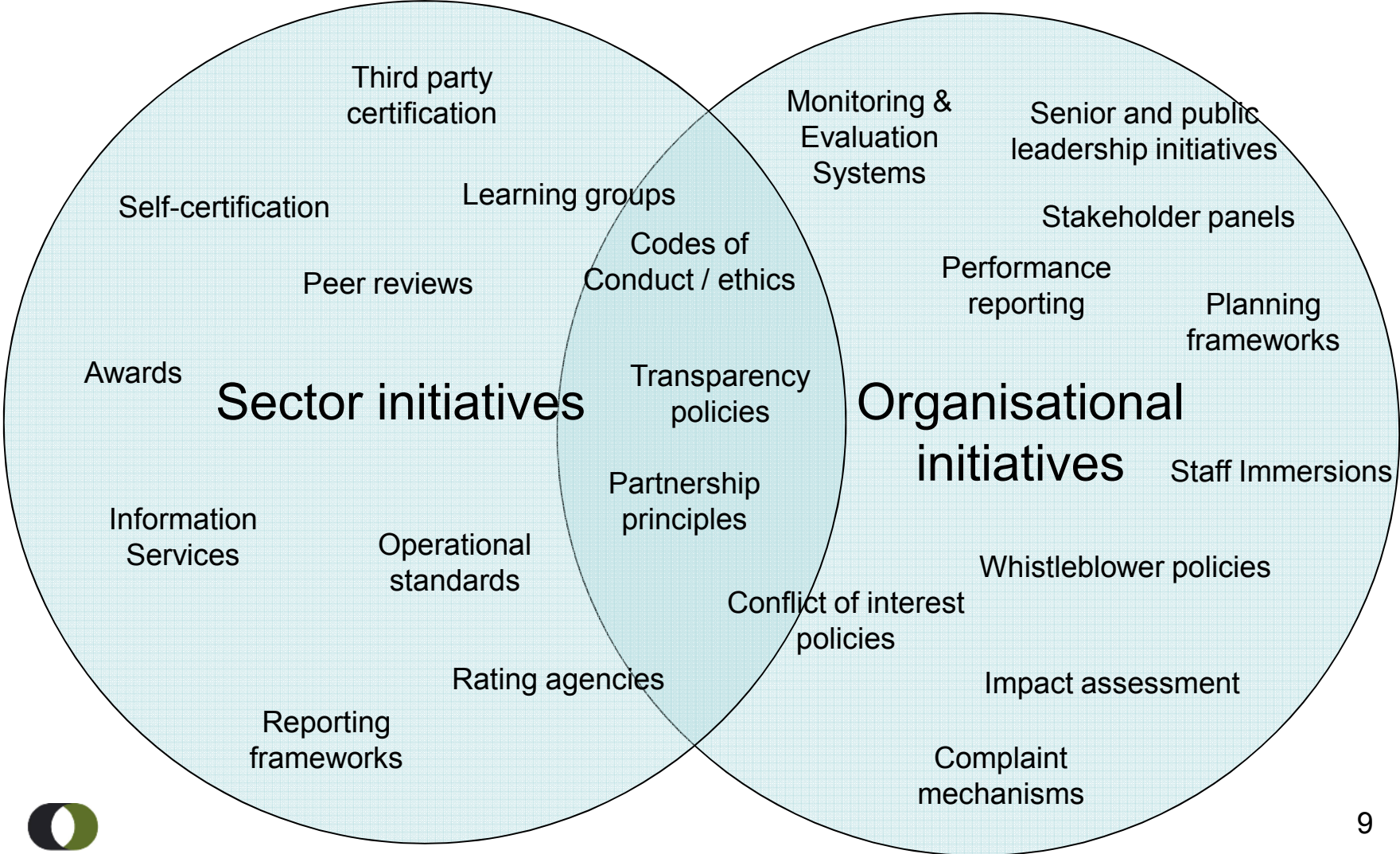
Key components of accountability



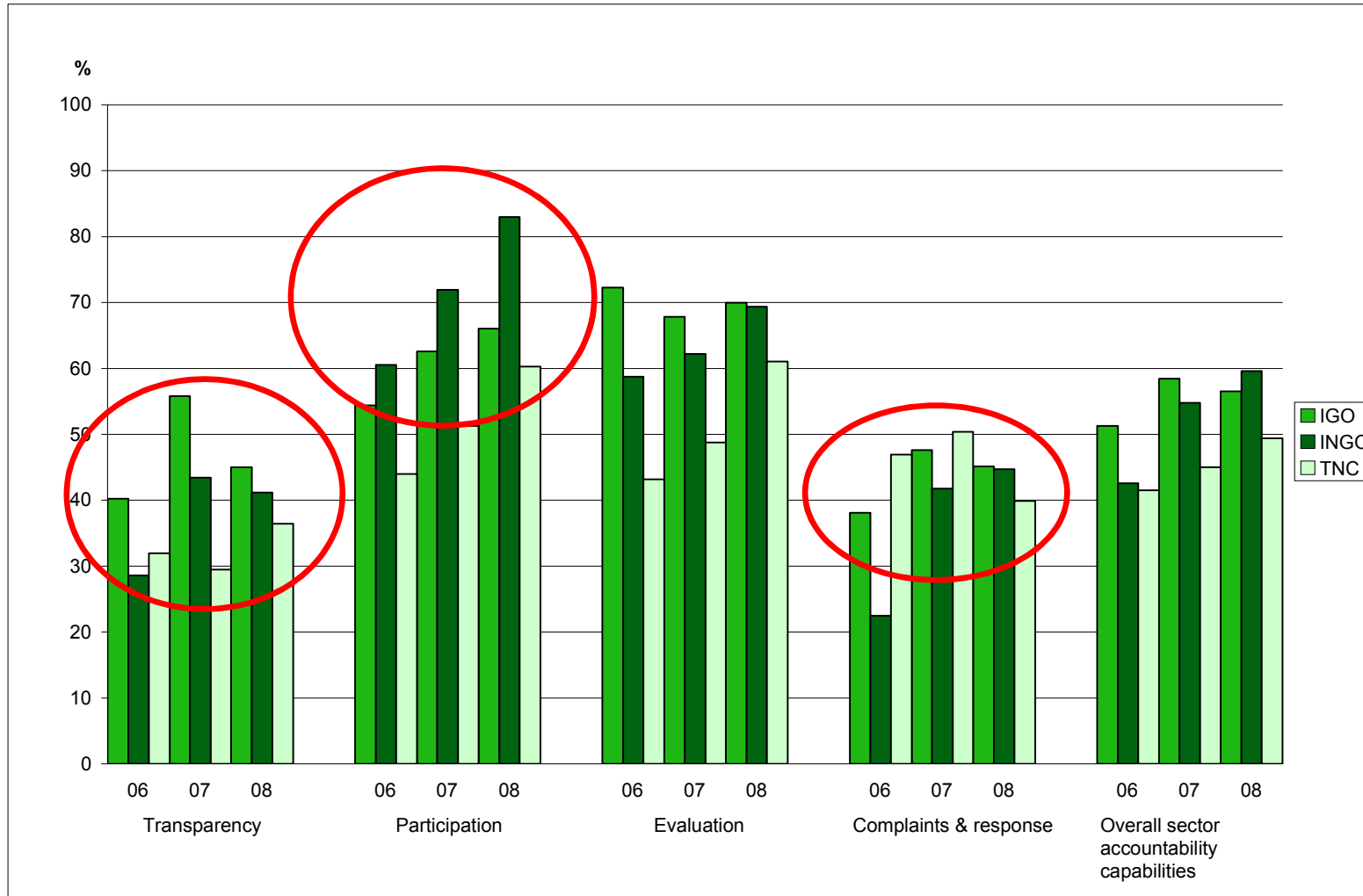
How are NGOs responding to the accountability challenge?

- **Organisational and sector initiatives**
 - Humanitarian sector
- **Self-regulation as a preventative and protective tool**
 - Civil society space and role in governance
- **Search for integrity and establishing ‘good’ performance as a sector**
 - Key results from the One World Trust Global Accountability Report
- **A typology of self regulation**
- **The role of compliance**

How are NGOs responding to challenges to their accountability?



Results from the Global Accountability Reports – a cross-sector perspective



What is self-regulation?

- **Involves two or more organisations coming together to either define common norms and standards to which they can be held to account or share good practices so as to improve their accountability and effectiveness**
- **The common thread to all forms of CSO self-regulation is that it is not fully mandated by government regulation; and that at least some aspects of each CSO self-regulatory initiative are the result of voluntary participation by the sector in developing and administering common norms and standards of behaviour.**
- **Self-regulation can involve external assessment or even control by a third party such as a peer CSO or watchdog, or a sufficiently independent state accredited umbrella organisation, or a governmental but arms-length body**

Examples of self regulation initiatives in the NGO field: the humanitarian sector

Active Learning Network for Accountability and Performance (ALNAP)

Sahel and West Africa Club/OECD - Draft Revised Food Aid Charter: A Code of Good Conduct in Food Crisis Prevention and Management

Steering Committee for Humanitarian Response (SCHR)

SPHERE

Code of Conduct for the International Red Cross and Red Crescent Movement and Non-Governmental Organizations (NGOs) in Disaster Relief

Interagency network for education in emergencies - Minimum standards

Synergie Qualite - Coordination SUD

Humanitarian Accountability Partnership International

Emergency Capacity Building Project (ECB)

Quality COMPASS - Group URD

People in Aid - Code of Good Practice in the Management and Support of Aid Personnel

Global Humanitarian Platform - Principles of Partnership

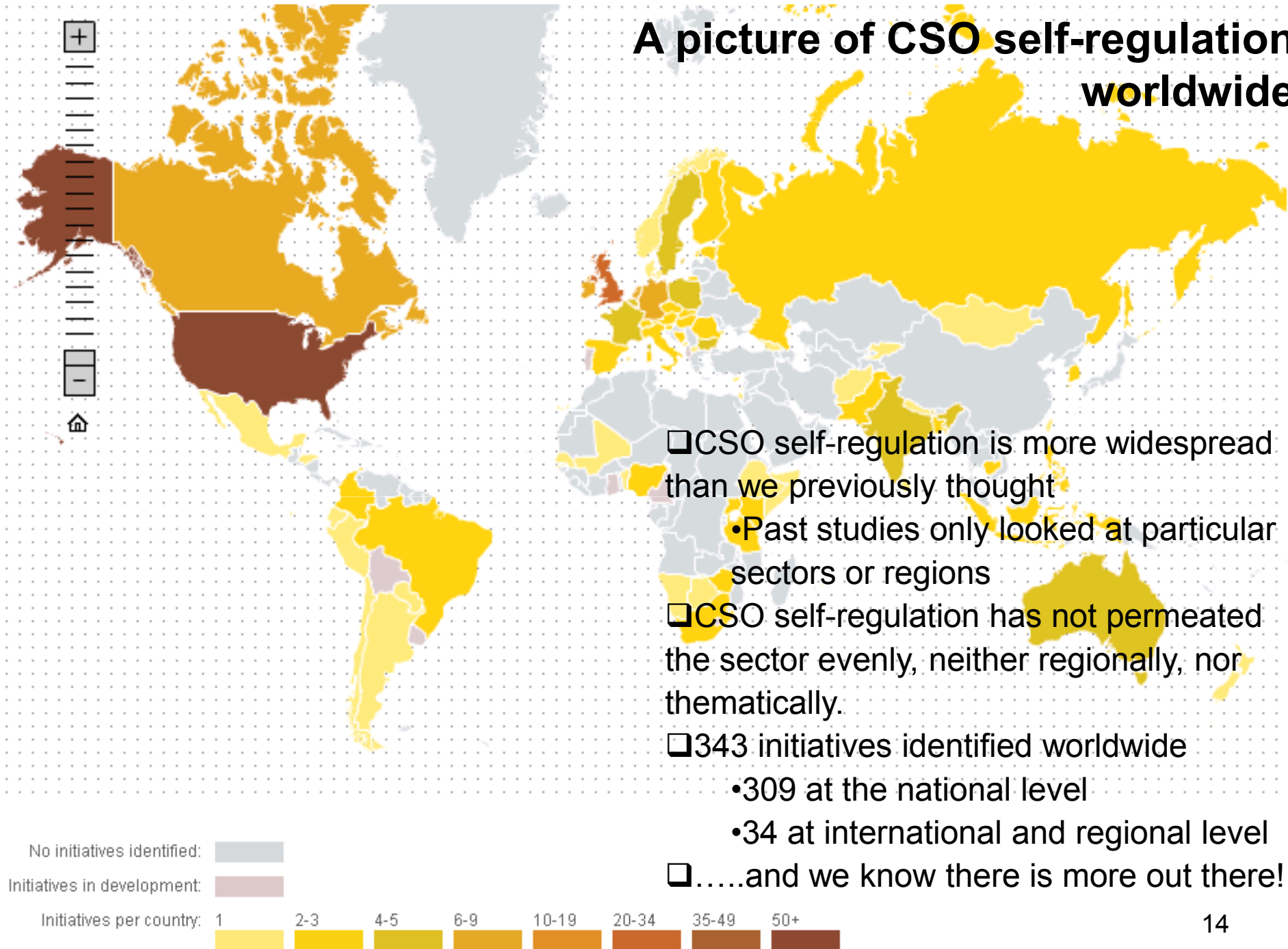


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The OWT CSO self-regulation project

- **Strengthen and protect the credibility and legitimacy of CSOs as actors in governance and public policy by encouraging the development and implementation of sector level self-regulation**
 - *Raise awareness of existing self-regulatory initiatives worldwide*
 - *Facilitate the sharing of experiences and learning on self-regulation, internationally*
 - *Identify and increase understanding of best practice*
 - *Increase understanding of complementarities, overlaps and tensions between initiatives*
- **Tools**
 - *Online database of CSO self-regulatory initiatives*
 - *Interactive map indicating levels of CSO self-regulation worldwide*
 - *Thematic and issue specific briefing papers*
- **Future plans: toolkits and expansion of the analytical function of the database**

A picture of CSO self-regulation worldwide

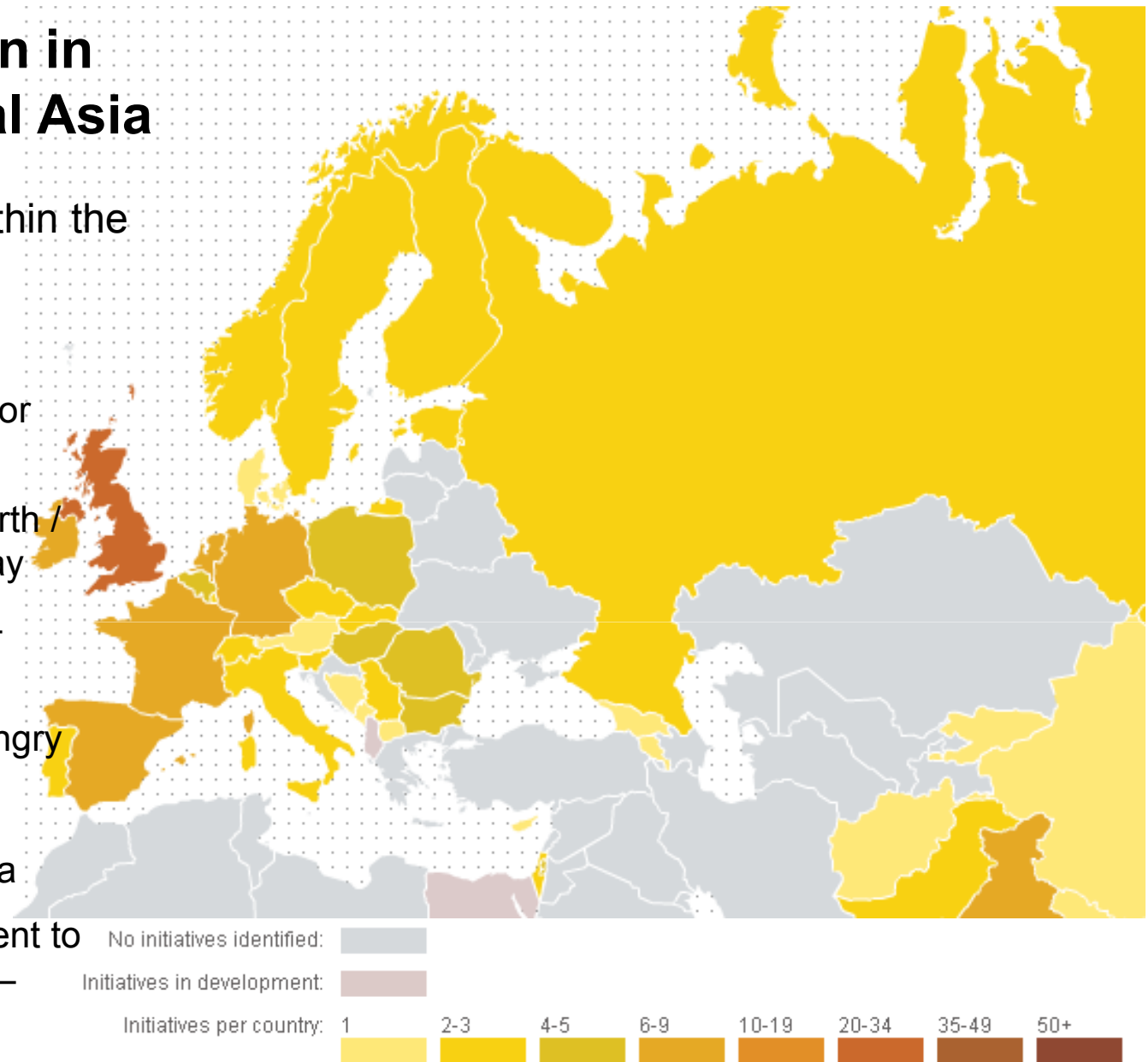


- CSO self-regulation is more widespread than we previously thought
 - Past studies only looked at particular sectors or regions
- CSO self-regulation has not permeated the sector evenly, neither regionally, nor thematically.
- 343 initiatives identified worldwide
 - 309 at the national level
 - 34 at international and regional level
-and we know there is more out there!

CSO self-regulation in Europe and Central Asia

144 initiatives identified within the region

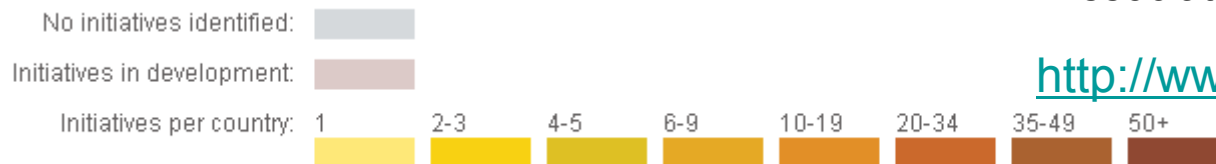
- Austrian Seal of Quality for Donations
- Ethical Guidelines for North / South Information in Norway
- Le Comite de la Charte – France
- Trademark of Trust – Hungary
- Guidestar Netherlands
- NCO Coorinates – Russia
- Social Actions Commitment to Quality in the Third Sector – Spain



CSO self-regulation in the Americas

85 initiatives identified within the region, including:

- ☐ Transparency Standards for NGOs - Chile
- ☐ NGOs for Transparency Network - Colombia
- ☐ Evaluation of Organisational Development System - Paraguay
- ☐ Interaction PVO Standards - USA
- ☐ Governance & Transparency Indicators - Mexican Center for Philanthropy
- ☐ Code of Ethics of CSOs - Honduras
- ☐ Letter of Principles Brazilian NGO Association

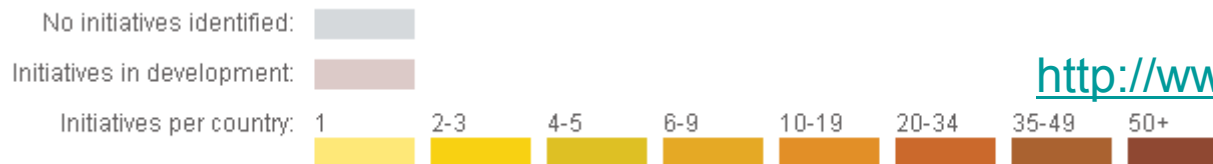
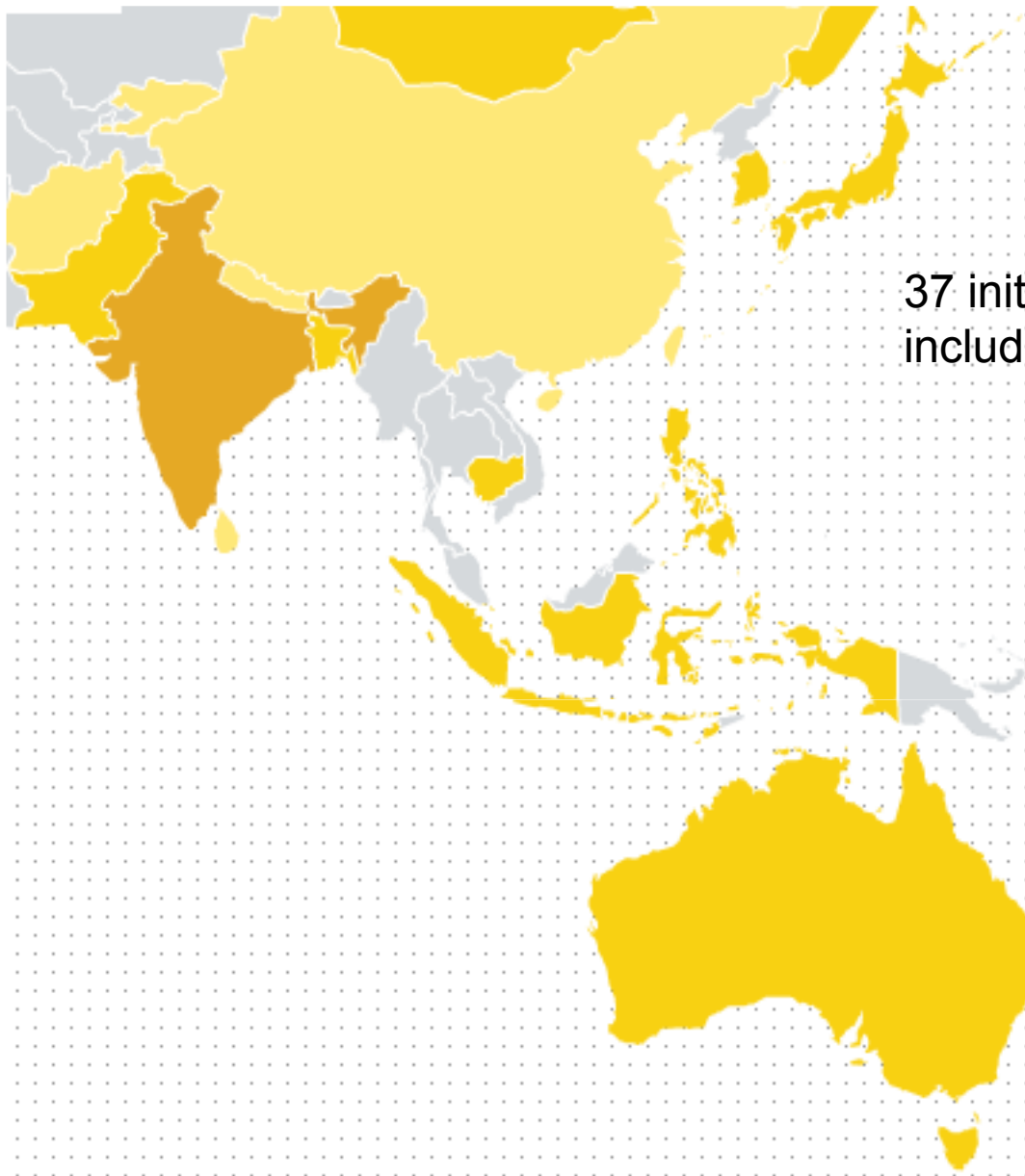


<http://www.oneworldtrust.org/csoproject/>

CSO self-regulation in Asia and the Pacific

37 initiatives identified within the region, including:

- NPO Certification - Pakistan
- PCNC NGO certification - Philippines
- GuideStar Korea
- 10 Point Accountability Agenda – Bangladesh
- Credibility Alliance Norms and Good Standards– India
- ACFID Code of Conduct – Australia
- NGO Good Practice Project Certification System – Cambodia

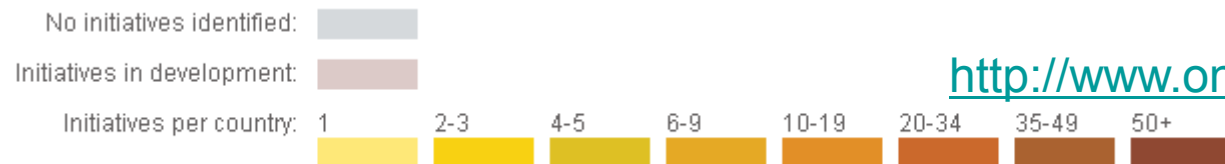
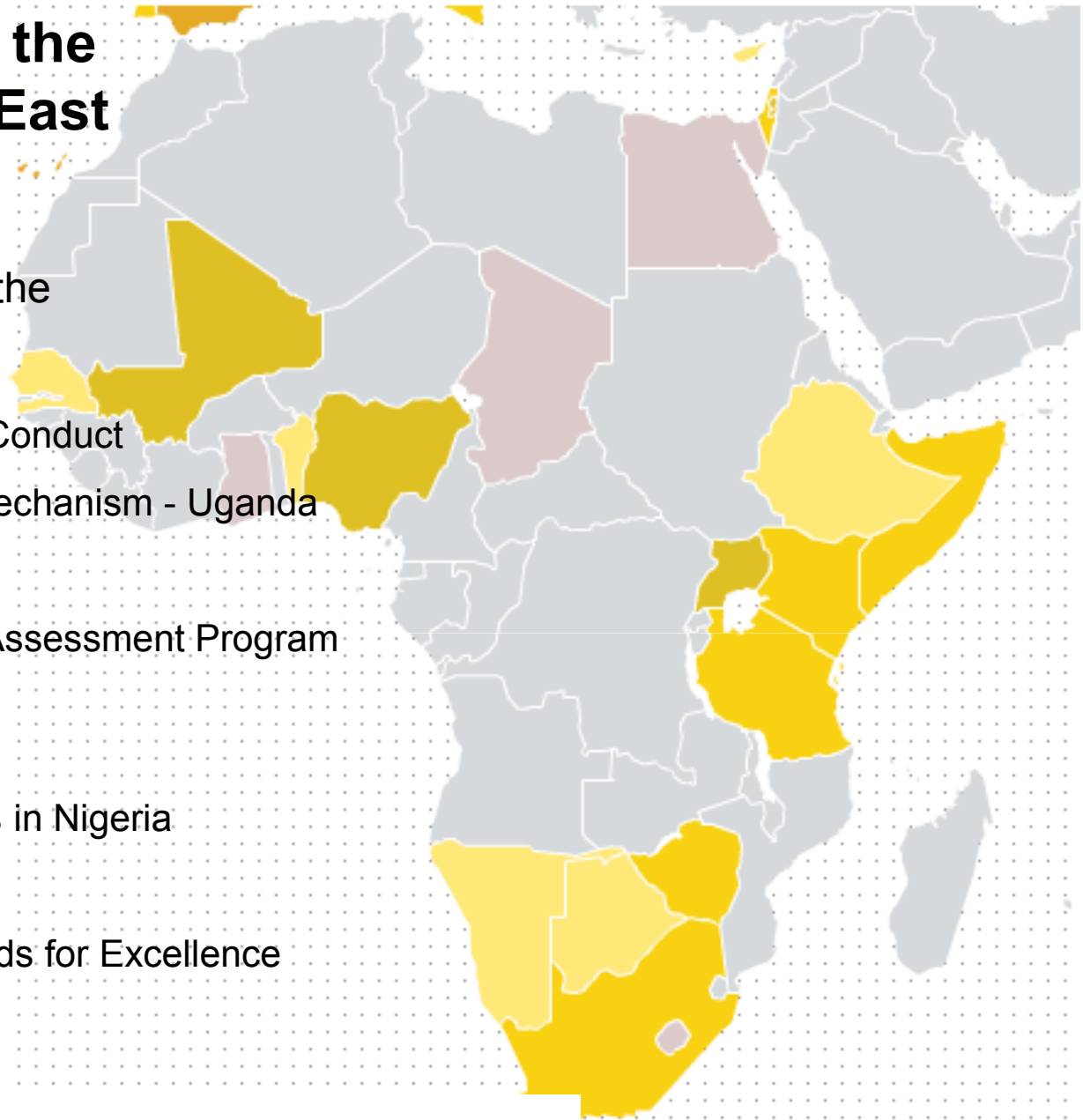


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CSO self-regulation in the Africa and the Middle East

43 initiatives identified within the region, including:

- Palestinian NGO Code of Conduct
- NGO Quality Assurance Mechanism - Uganda
- GuideStar Israel
- NGO Code of Ethics Self-Assessment Program - Tanzania
- Greater Good South Africa
- Code of Conduct for NGOs in Nigeria
- Database of Malian CSOs
- Ghana CSO/NGO Standards for Excellence Project



<http://www.oneworldtrust.org/csoproject/>

How to search the online database

- **By location**
 - International and region-wide, Cultural, political and regional groups, country
- **By type of initiative Certification scheme**
 - Code of Conduct/Ethics, Information Service, Self-Assessment , Working Group, Awards scheme
- **By areas addressed by initiative**
 - Communications / advocacy / fundraising, Governance and Management , Human resources, Beneficiary / client / supporter participation , Monitoring and Evaluation
- **By targeted activity sector**
 - General, Advocacy / lobbying, Agriculture / food / nutrition, Arts / culture / sport, Development, Education, Environmental and social impact , Fundraising, Health, Humanitarian / emergency relief, Human rights, Infrastructure, Microfinance, Philanthropy, Research, Social care and services, Water / sanitation , Other
- **Additional resources and services**
 - Regional and thematic analytical papers
 - Advisory services: research, review, consulting, training

Search initiatives

Select one or more options below to search the initiatives database:

NGO Good Practice Project Certification System

[Print](#)[Search again](#)[How initiatives are assessed](#)

[Basic information](#) | [Contact details](#) | [Areas addressed](#) | [Participation](#) | [Compliance](#) | [Similar initiatives](#) | [Downloads](#)

Basic information

Host or sponsor: Umbrella organisation

Type: Certification scheme

Year established: 2007

Status: Active

Thematic area: Development, **Humanitarian** / emergency relief

Summary: The NGO GPP Certification System is based on the Code of Ethical Principles and Minimum Standards for NGOs in Cambodia. NGOs wishing to obtain a Code of Compliance Certificate are assessed against the principles and standards of this code.

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Contact details

Host organisation: Cooperation Committee for Cambodia

Acronym: CCC

Website: www.ccc-cambodia.org

Email: info@ccc-cambodia.org; ngogpp@ccc-cambodia.org

Phone: (855-23) 214-152

Participation

Reasons for participation

- Certificate / seal of approval
- Enhancing credibility, quality or reputation

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Compliance

Evidence base: Desk & Field/site

Description of monitoring mechanism: The NGO Code Working Group reviews the documents submitted by the applicant and upon its recommendation a field visit and review is organised by NGO GPP staff. The reviews are then submitted to the NGO Code Compliance Committee for final approval. The certification is valid for three years.

Has sanctioning mechanism: Yes

Description of sanctioning mechanism: Complaints board reviews complaints

Can removal be enforced?: Yes

Has removal ever been used?: No

Arts / culture / sport Development Education

Environmental and social impact Fundraising Health

Humanitarian / emergency relief Human rights Infrastructure

Microfinance Philanthropy Research

Social care and services Water / sanitation Other

Thematic searches: e.g. “fundraising”

[Home](#) [Search initiatives](#) [International initiatives](#) [Regional initiatives](#) [Resources](#) [About the project](#)

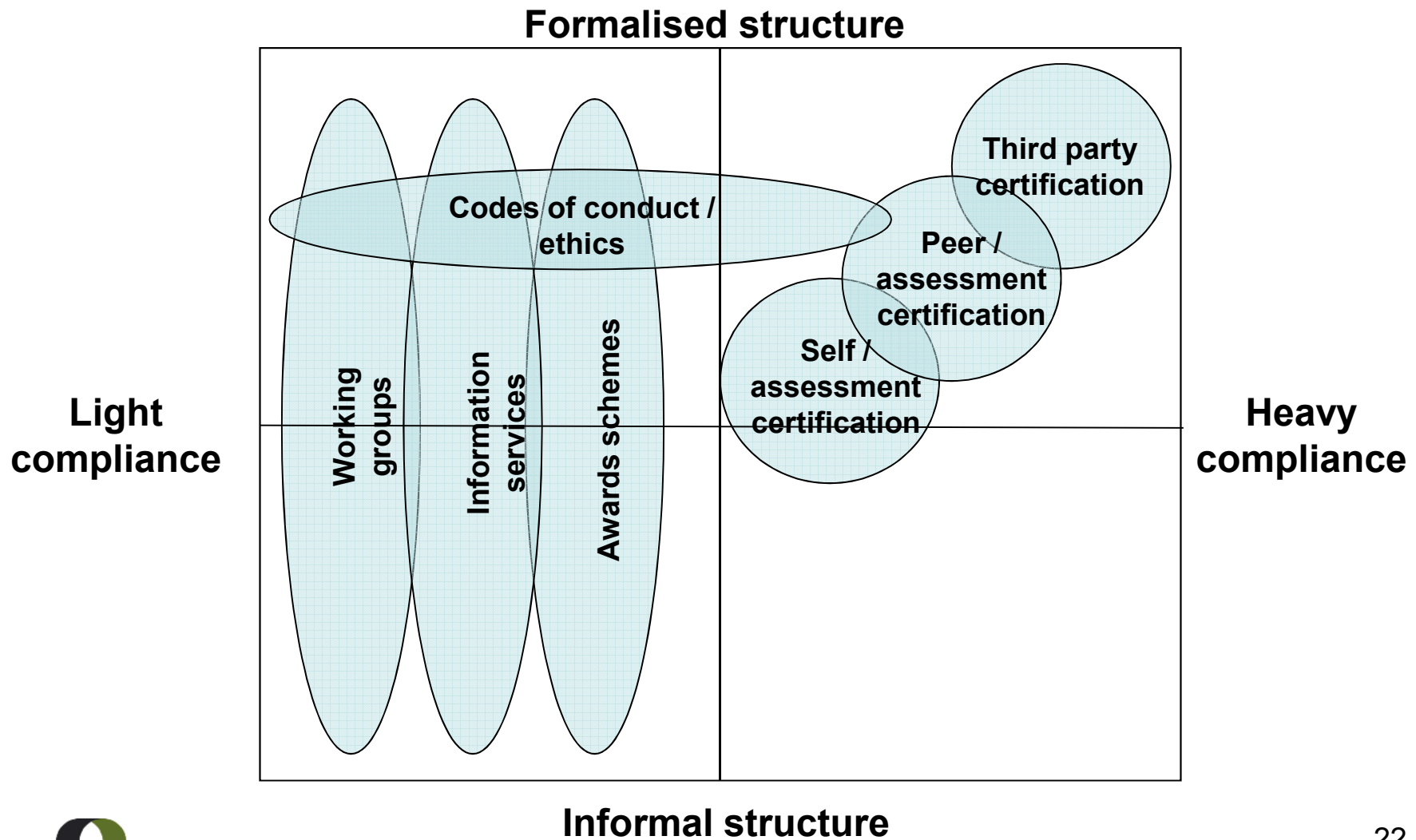
Search results

You searched by 'Thematic area: Fundraising'

25 results [Print](#) [Search again](#) [How initiatives are assessed](#)

| Name | Host | Location | Summary |
|-------------------------------------|--|---------------|---|
| EFA Certification | European Fundraising Association | Europe | The EFA seeks to develop common standards for fundraising across Europe. The EFA certifies fundraising training programmes. This certification sets minimum content standards to ensure consistency across all National Fundraising Organisations that are members of EFA. National Fundraising Organisations are responsible for recognising programmes which comply with the EFA training syllabus and standards, then and making recommendations to the EFA Certification Board. The EFA Certification Board ratifies local recognition, validates programmes. Successful programmes carry the mark "EFA Certified". |
| European Fundraising Award | European Fundraising Association | International | No details are currently available. |
| ICFO International Standards | International Committee of Fundraising Organizations | International | The ICFO International Standards address good governance and management for international non-governmental, or not-for-profit, private organisations that directly, or indirectly through subsidiary bodies, raise funds from the public for charitable or public benefit purposes. |

Types of Self-Regulation



What makes a “strong or effective” self-regulation initiative?

- **Difficult to establish firm criteria for measuring this, but research literature suggests that effectiveness is strongly related to the design and structure of the initiative, in particular to the following aspects:**
 - **the authority of the scheme to grant and withdraw accreditation**
 - **the level of stringency and the potential for enforcement by a third party**
 - **the imposition of high standards on applicants**
 - **strong verification mechanisms.**
- **A key role for compliance mechanisms across a range of operational aspects of a self regulation initiative**

So what about compliance mechanisms?

| Monitoring mechanism | | | Sanctioning mechanism | |
|----------------------|------------------------|--|---|---------------|
| Proactive | Self assessment | <ul style="list-style-type: none"> •Desk assessment •Field assessment •Both | Recommendations for improvement | ↓ Strength |
| | Peer assessment | | Disclose of complaint and corrective action taken | |
| | Third party assessment | | Financial penalty | |
| Reactive | Complaints procedures | Removal from initiative | | |

- No compliance mechanism is inherently better than another, and adaptation to context is key
- Yet surprisingly, most initiatives do not have them

CSO self-regulation: key operational findings

- **CSO self-regulation is growing but has not permeated the sector evenly, neither regionally, nor thematically**
- **There is no one size fits all approach to CSO self-regulation.**
 - **Social, political and regulatory context is very important.**
 - **Detailed standards need to be balanced with wide participation**
- **Right entry levels need to be found so that raising sector standards does not become prohibitive to smaller CSOs**
- **Important to prevent self-regulation from becoming a tiresome tick box exercise rather than a tool for improving performance**
- **Compliance mechanisms are weakly developed but deserve more attention to make initiatives effective**
- **Leadership in organisations and sector ownership is essential for reform**

CSO self-regulation: key political findings

- **Self-regulation is an emancipation tool, not one of control: there are risks of making the debate and their development subservient to interests which are alien or not congruent to the values of the sector**
- **The relationship of self-regulation with formal regulation at state level, and their complementarity needs to be better understood.**
 - **Formal regulation can be detrimental to strengthening accountability when used repressively to limit the space for CSOs in public policy and governance**
 - **Self regulation has large potentials, but cannot answer all questions and regulatory needs**
- **There are other areas in which CSO self regulation has a natural area of expansion for instance at global level where formal regulators are per se often absent**

For more information and contact

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Many thanks