

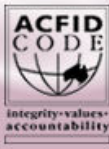
**ACFID's Code of Conduct e-bulletin** provides updates on changes to the Code, its Guidance Document and the current work of the Code of Conduct Committee. As only one bulletin is sent to each signatory agency, please ensure that it is circulated internally and that staff members are aware of any information relevant to them.

## Code Review Status and Way Ahead

- The Code Review is progressing in accordance with the project's Terms of Reference and Work Plan which can be found at: <http://www.acfid.asn.au/code-of-conduct/review>
- On 17 Jun 09 ACFID's Executive Committee (EXCOM) provided guidance for the Code of Conduct Committee (CCC) on the "framing of the Code for 2010 and beyond". The guidance provided was associated with:
  - the principles/strategic imperatives around which the Code should be "framed for 2010 and beyond";
  - the Purpose of the Code in 2010 and beyond;
  - the need to revise the Preamble of the Code to describe the operational context for the Code in 2010 and beyond;
  - the structure of the Code; and
  - the need to strike the right balance between a principles-based versus a compliance-based Code.
- **Next Steps:**
  - The CCC intends to convene an extraordinary meeting on 29 Jun 09 to develop the concept for "framing the Code for 2010 and beyond" within the context of the guidance provided by EXCOM on 17 Jun 09.
  - EXCOM plans to consider in Jul/Aug 09 the CCC's proposed concept for "framing the Code in 2010 and beyond".
  - An additional round of consultation with Signatories in Jul/Aug 09 is being considered.
  - It remains planned to seek endorsement of both the "framing of the Code for 2010 and beyond" and a range of rewritten sections of the Code at Council on 30 Oct 09.

The details of the Code Review can be found on the ACFID website at:  
<http://www.acfid.asn.au/code-of-conduct/review>

**Have Your Say**  
**on the review of the content of the Code**  
**by contacting Greg Molyneux at [gmolyneux@acfid.asn.au](mailto:gmolyneux@acfid.asn.au)**  
**or Phil Khoury of the Navigator Company at [phil.khoury@thenavigator.com.au](mailto:phil.khoury@thenavigator.com.au)**



## Introduction of Compliance Self-Assessment from 1 Jul 09

- On 17 Jun 09 EXCOM **endorsed** the CCC's proposed new Compliance Self-Assessment Process for implementation from 1 Jul 09. The compliance self-assessment documentation consists of a Compliance Self Assessment Checklist and an Action Plan. Copies of the EXCOM-endorsed Compliance Self Assessment Checklist and Action Plan can be obtained from the Code Management Team. This documentation will be available on the ACFID website shortly.
- The Compliance Self-Assessment Process will be conducted and managed on-line. The on-line tool will be ready for introduction of Compliance Self-Assessment on a voluntary basis from 1 Jul 09 as planned.
- **Consultation.** Consultation with Signatory stakeholders was conducted over the period May – Jul 09. 13 selected Signatories were invited to participate in the consultation process, and feedback received from those Signatories has been incorporated into the proposed compliance self-assessment process where that feedback has improved the proposed process for the benefit of *all* Signatories.
- **Implementation:**
  - The implementation plan for *current* Signatories is to introduce the Compliance Self-Assessment Process on a voluntary basis in 2009/10 (from 1 Jul 09), and then on a mandatory basis in 2010/11 (from 1 Jul 10). The first mandatory completion will be due by 31 Aug 10 in conjunction with the submission of 31 Mar 10 financial year-end Annual Report and financial reporting information.
  - The implementation plan for *new* applicants for Code Signatory status is to require new applicants to complete their compliance self-assessment concurrently with their application for Code Signatory status, effective from 1 Jul 09. Those new applicants that do not meet all Code compliance requirements at the time of their application will continue to be entitled to 12 months to meet all requirements.
  - All Code Signatories are strongly encouraged to conduct an initial self-assessment during the financial year 2009/10, prior to it being introduced on a mandatory basis from 1 Jul 10.
  - The "voluntary" year of participation, 1 Jul 09 – 30 Jun 10, will be treated as a further "testing and refinement" phase for this new tool.
- **Key Implementation Dates:**
  - **Financial year-end 31 Mar 09:**
    - voluntary Compliance Self-Assessment due by 31 Aug 09.
    - compulsory Compliance Self-Assessment due by 31 Aug 10.
  - **Financial year-end 30 Jun 09:**
    - voluntary Compliance Self-Assessment due by 30 Nov 09.
    - compulsory Compliance Self-Assessment due by 30 Nov 10.
  - **Financial year-end 30 Sep 09:**
    - voluntary Compliance Self-Assessment due by 28 Feb 10.

- compulsory Compliance Self-Assessment due by 28 Feb 11.
- **Financial year-end 31 Dec 09:**
  - voluntary Compliance Self-Assessment due by 31 May 10.
  - compulsory Compliance Self-Assessment due by 31 May 11.
- **Training.** An initial training session on the new Compliance Self-Assessment Process will be conducted in conjunction with ACFID's 10-12 Nov 09 MIF program.

## Introduction of Revised Financial Reporting Requirements from 1 Jan 10

- On 17 Jun 09 EXCOM **endorsed** the CCC's proposal to introduce "revised financial reporting requirements" for all Code Signatories from 1 Jan 10. This major project has involved the redrafting of the Code Guidance Document's explanatory notes in support of Clause 4.1 and Section 5: Finances in their entirety.
- There have been many changes and refinements made to Section 5 of the Guidance Document, principal amongst them being the introduction of "differential reporting", where different entity types have been recognised and different financial reporting requirements will be required from each.
- The EXCOM-endorsed documents can be obtained from the Code Management Team. This documentation will be available on the ACFID website shortly.
- The EXCOM-endorsed documents are now ready for ratification at Council on 30 Oct 09.
- **Consultation.** 48 Code Signatories and four external stakeholders were targeted as part of a comprehensive consultation process associated with this project. Technical input received from RSM Bird Cameron has been incorporated into the revised draft documentation. Feedback received from Signatory stakeholders has been incorporated into the revised draft documents where that feedback has improved the documentation for the benefit of *all* Signatories.
- **Implementation Dates.** Although it is planned to introduce the "revised financial reporting requirements" from 1 Jan 10, it should be noted that Signatories will *not* be required to report in the revised reporting format until:
  - for financial year-end 31 Dec 10 – first report in the revised format is due by May 11;
  - for financial year-end 31 Mar 11 – first report in the revised format is due by Aug 11;
  - for financial year-end 30 Jun 11 – first report in the revised format is due by Nov 11;
  - and
  - for financial year-end 31 Sep 11 – first report in the revised format is due by Feb 12.
- *\* Notwithstanding these forecast timeframes, Signatories will be encouraged to adopt the revised reporting formats sooner if possible.*
- **Training.** Two training activities to address Signatories' annual reporting obligations, including the revised financial reporting requirements, have been scheduled for 27/28 Aug 09 and 25/26 Feb 10.
- **Next Steps.** Planned next steps are to:
  - incorporate the EXCOM-endorsed documents into the review of the content of the Code project;

- conduct the first training activity on 27/28 Aug 09;
- seek ratification of the revised documentation at Council on 30 Oct 09 (as part of the review of the content of the Code project); and
- implement the “revised financial reporting requirements” from 1 Jan 10.

## New Guidance of the Control & Security of Funds

- On 17 Jun 09 EXCOM **endorsed** the CCC’s proposed new guidance on the Control & Security of Funds. The EXCOM-endorsed Control and Security of Funds documentation consists of:
  - a proposed Clause 2.8 for the Code of Conduct (this will be a new clause for the Code that will need to be ratified at ACFID’s Council on 30 Oct 09);
  - proposed Guidance Document explanatory notes for Clause 2.8; and
  - a proposed Supplementary Guidance document in support of both Clause 2.8 and the Guidance Document’s explanatory notes.
- The EXCOM-endorsed documentation can be obtained from the Code Management Team. This documentation will be available on the ACFID website shortly.
- **Consultation.** Over the two month period of Feb and Mar 09 31 Signatories were targeted to provide feedback on the draft documents. Feedback from Signatories led to a range of refinements to the proposed new documentation. All feedback has been incorporated into the proposed new guidance documentation where that feedback has improved the documentation for the benefit of *all* Signatories. The EXCOM-endorsed documents are now ready for ratification at Council on 30 Oct 09.
- **Next Steps.** Planned next steps are to:
  - incorporate the new guidance documents into the review of the content of the Code project;
  - seek ratification of the new guidance documents at Council on 30 Oct 09 (as part of the review of the content of the Code project); and
  - disseminate the new guidance documents to all Code signatories in Nov 09.

## Revised Code Signatory Application Process including the Introduction of Provisional Code Signatory Status from 1 Jul 09

- On 17 Jun 09 EXCOM **endorsed** a revised Code Signatory Application Process including the introduction of a **Provisional Code Signatory (PCC)** status from 1 Jul 09.
- The revised Signatory Application Process is illustrated in an [attachment to this email](#).
- From 1 Jul 09 organisations that apply to become Code Signatories will have their application processed in one of four ways (groups):
  - **Group 1:**
    - These applicant organisations will be ineligible to apply for Code Signatory (CC) status because they do not meet the eligibility criteria.

- **Group 2:**
  - The applicant organisations that meet all Code compliance requirements on the application form and all of the broader self-assessed compliance requirements will be granted CC status immediately.
- **Group 3:**
  - The applicant organisations that meet all compliance requirements on the application form but not all the broader self-assessed compliance requirements will be granted PCC on application.
  - The PCC organisation will then have up to 12 months to meet all the broader self-assessed compliance requirements before being granted CC status.
  - The PCC organisation may achieve CC status in much less than 12 months.
- **Group 4:**
  - The applicant organisations that meet only some of the compliance requirements on the application form and either none or not all of the broader self-assessed compliance requirements will continue to be referred to as an Applicant organisation and will have up to 12 months to meet all compliance requirements on the application form.
  - Once the Applicant organisation meets all compliance requirements on the application form it will be granted PCC status
  - The Applicant organisation may achieve PCC status in much less than 12 months.
  - The PCC organisation will then have up to 12 months to meet all the broader self-assessed compliance requirements before being granted CC status.
  - The PCC organisation may achieve CC status in much less than 12 months.
  - An option open to Applicant organisations is to meet all compliance requirements on the application form and all the broader self-assessed compliance requirements and thus achieve CC status within a 12 months period from the time of application.
  - An important outcome of the revised CC Application Process is that future applicants will need to be compliant with *all* aspects of the Code (assessed by the Code's Membership Working Group for the minimum compliance requirements on the application form, and by self-assessment for all other Code compliance requirements), before they will be granted CC status and be able to enjoy the benefits of CC status including the use of the Code's icon.
- **Entitlements of PCC Status:**
  - A PCC organisation will be entitled to:
    - state PCC on its documents, publications and website;
    - be advertised on the ACFID website as a PCC;
    - networking as part of the Code Signatory community;
    - attend MIF (subject to the continuation of current policy);
    - Code Management Team and CCC support, expertise and guidance in meeting additional compliance requirements; and
    - attend ACFID training at discounted cost.

- A PCC organisation will not be entitled to:
  - use the Code logo; or
  - apply for AusAID accreditation; or,
  - apply for full membership of ACFID.
- **Implementation:**
  - The revised CC Application Process including PCC status will be implemented from 1 Jul 09 *for new applicant organisations only*.
  - The revised CC Application Process will be complementary to the new Compliance Self-Assessment Process, which will also be implemented from 1 Jul 09 on a voluntary basis.
  - From 1 Jul 09, when an applicant organisation is granted PCC status, it will be expected to complete the compliance self-assessment process over the following 12 months. If, by the end of that following 12 months, the PCC organisation has demonstrated that it has met all of the broader compliance requirements associated with the new self-assessment process, it will be granted CC status.

### Code Manager Resignation from ACFID

I wish to advise that I have submitted my resignation from ACFID effective from COB Fri 4 Sep 09. I have learnt an enormous amount during my time with ACFID, and I have very much appreciated the support I have received from and the association I have had with Code Signatories over the past few years. My wife and I are headed North from Canberra to settle in the hinterland of the Sunshine Coast. Between now and the 4 Sep 09 I am committed to bringing a major part of the Code Review to fruition by the end of Aug 09, and to implementing the range of other Code projects outlined above.

### Next Code Committee Meeting

The ACFID Code of Conduct Committee will hold an extraordinary meeting on Mon 29 Jun 09 to discuss the Code Review, as outlined above.

The next scheduled meeting of the ACFID Code of Conduct Committee is Thu 20 Aug 09.

### Code Committee's Compliance Working Group

The ACFID Code of Conduct Committee's Compliance Working Group (CWG) will meet on 10 Jul 09 to assess Annual Report and financial reporting submissions.

### Do you have the latest version of the Guidance Document?

**What is the Guidance Document?** A tool to help Signatories interpret and apply the principles of the Code.

**How can it help you?** The Guidance Document provides practical ways that Signatories can implement the Code in their guidelines, policies and practices.

**Is the Guidance Document relevant?** The Guidance Document is regularly revised to reflect the evolving standards of the international aid and development sector.

**Where do I access the Guidance Document?** Download the latest version of the Guidance Document from the [Code web page](#), or by contacting the Code Management Team.

**Do you have a question about the Guidance Document?** Code Management Team members are expert in the Guidance Document, and welcome all your questions. Please call us on 02 6281 9222 or email [code@acfid.asn.au](mailto:code@acfid.asn.au).

The December 2008 version of the Guidance Document is available online at:  
<http://www.acfid.asn.au/code-of-conduct>

## ACFID Training Program

### Upcoming training

- **Basics for Board Members**  
 This full-day workshop for board members provides participants with a general overview of Australia's NGO aid and development sector, and highlights key issues related to governance.
  - Tue 23 Jun 09 (Melb)
  - Wed 24 Jun 09 (Syd)
- **Risk Management Workshop**  
 This workshop aims to provide participants with a practical understanding of the key elements of risk assessment and risk management.
  - Wed 29 Jul 09 (Melb)
  - Thu 30 Jul 09 (Syd)

For more information on the above training, please contact Renata Zanetti on 02 6281 9229. For registration details and more information see: <http://www.acfid.asn.au/training/acfid-training>

### Promote your status as a Code Signatory

#### 3 ways Signatories can advertise their Signatory status:

- A web page dedicated to the ACFID Code of Conduct
- A web page dedicated to 'Partners' of your organisation
- Displaying the Code Logo on all organisational stationery. For example, fundraising material, newsletters, email bulletins, letterheads, and in annual reports.



#### ACFID Code of Conduct Logo: *guidance for use by Signatories*

This document provides examples of how information about the logo can be personalised for use by Code Signatories and ACFID members.

To get a copy of this document, or for any advice about the use of the logo, please contact the Code Management Team.

## CODE IN FOCUS – CLAUSE 3.5

### Open and Accurate Disclosure

***The governing body will commit the organisation to open and accurate disclosure of information concerning its goals, programs, finances and governance. Due regard will be given to the human rights and personal safety of staff, partners and aid recipients, legal requirements regarding privacy and confidentiality, proprietary information and personnel matters.***

The provision of open and accurate information concerning an organisation's activities is key to public accountability.

Code Requirement	Compliance Indicators
The governing body will commit the organisation to open and accurate disclosure of information concerning its goals, programs, finances and governance.	A minimum requirement for open and accurate disclosure is demonstrated through the production <b>and</b> distribution of an annual report (as defined in the ACFID Code of Conduct Clause 4.1), newsletters and

If you would like to provide feedback to the Code of Conduct Management Team or submit information for inclusion in the ACFID Code e-bulletin please forward it to [code@acfid.asn.au](mailto:code@acfid.asn.au).  
 Access previous issues of the ACFID Code e-bulletin at [www.acfid.asn.au](http://www.acfid.asn.au)

<p>Due regard will be given to the human rights and personal safety of staff, partners and aid recipients, legal requirements regarding privacy and confidentiality, proprietary information and personnel matters.</p>	<p>websites.</p> <p>Policies, procedures and processes relating to staff, partners and aid recipients that should (where relevant) be informed by:</p> <ul style="list-style-type: none"> <li>• Rights and obligations as outlined in the Universal Declaration of Human Rights and expressed in relevant employment legislation,</li> <li>• Personal safety issues,</li> <li>• Privacy legislation and any other confidentiality issues,</li> <li>• Proprietary information - commercial information (apart from annual financial statements) about the internal operations of the organisation should be protected and confidentiality respected,</li> <li>• Personnel matters - Section 6 of the Guidance Document for further information on personnel matters.</li> </ul>
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### Tips

- See Section 6 of the Guidance Document for further information on personnel and management.

### Code of Conduct Management Team

The Code of Conduct Management Team has two principal roles:

- (1) to assist the Code of Conduct Committee in all aspects of its work; and
- (2) to assist Signatories to meet their compliance obligations.

If you need to clarify any issues of concern, would like to provide feedback on issues relating to the Code, or to access Code resources, please feel welcome to contact the Code Management Team.

Code Manager	02 6281 9220	Greg Molyneux
Program Administrator	02 6281 9222	Helen Vogt
Compliance Officer	02 6281 9234	Alicia Toohey

Further details at: <http://www.acfid.asn.au/code-of-conduct/contact-the-code-management-team>

**Greg Molyneux**  
**Code of Conduct Manager**