

Governance & Professional Practices

Accountability គណនេយ្យភាព



Symbol of Trust និមិត្តសញ្ញានៃនាពរទុកចិត្ត

Standards of Good Governance & Professional Practices for NGOs
in Cambodia

Fourth Edition
2014

Produced by: NGO GPP

Hosted by: Cooperation Committee for Cambodia (CCC)

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សហប្រតិបត្តិការដើម្បីកម្ពុជា

Cooperation Committee
for Cambodia

Comité de Coopération
Pour le Cambodge

The Code of Voluntary Certification System for NGO Good Governance & Professional Practices

TABLE OF CONTENTS

Abbreviations and Acronyms	1
Foreword	2
Introduction to the Revised Edition	4
What is the history of the Code, the Standards, and the Certification System?	6
What is the purpose of the Code and the Standards?	6
Who is the Code for?	7
What do the Code and the Standards contain?	7
How does the Certification system work, and how are standards verified?	8
What are the processes involved, and who are the persons involved in assessing applications for certification?	8
Definition of Terms	10
Standards, Guidelines and Indicators	
1. Good Governance	13
2. Relationships and Communications	18
3. Sound Financial Management	21
4. Accountability and Transparency	24
5. Quality Assurance	28
6. Effective Human Resource Management	30
Annex 1: Prerequisite Requirement	37
Annex 2: The Certification Process	38

Annex 3: Field Assessment Flow Chart	40
Annex 4: Code of Ethical Principles	42
Annex 5: Original Code of Ethics	43
Annex 6: Fee Charging of VCS	45
Annex 7: List of documents	50
Annex 8: Application Form	51

ABBREVIATIONS & ACRONYMS

AOP	Annual Operational Plan
CCC	Cooperation Committee for Cambodia
CSO	Civil Society Organization
CNGO	Certified NGO
GPP	Governance & Professional Practices
HR	Human Resource
KICPAA	Kampuchea Institute of Certified Public Accountants and Auditors
MIS	Management Information System
M&E	Monitoring and Evaluation
MoFA	Ministry of Foreign Affair
MoI	Ministry of Interior
NCCC	NGO Code Compliance Committee
NGO	Non-Governmental Organization
PA	Performance Appraisal
VCS	Voluntary Certification System
VFA	Voluntary Field Assessor
VMV	Vision, Mission and Values
WG	Working Group

FOREWORD



Dear friends and colleagues,

CCC is honored to present the Standards of Good Governance and Professional Practices for NGOs in Cambodia book to all interested NGOs, development partners and government in Cambodia who wish to promote professionalism and good practice within their organization and their partners. This revised book has been developed by and for NGO in Cambodia in wider consultation with NGO sectors, development partners and other stakeholders and build on previous version. This book combines in one volume, updated versions of two key publications of the NGO GPP: The Code of Ethical Principles and Minimum Standards for NGOs in Cambodia (12th Revision, November 2013) and the Guidelines for Application of NGO Code and the Voluntary Certification System (3rd Revision, November 2013).

The objectives of this publication are:

1. To support interested NGOs and civil society organization who want to become role model NGOs with good organizational practices and wish to participate in the Voluntary Certification System. It aims to assist NGOs to prepare their organizational policies and practices to put into action the Code of Ethical Principles and to meet the Standards for NGOs in Cambodia.
2. To be used as a guideline by the staff of the GPP, the Working Group, the NGO Code Compliance Committee, and others, to review the documents filed by applicant NGOs, and to guide the conduct of field checks to assess the level of compliance.
3. To serve as a continuing guide for Certified NGOs in their efforts to maintain their adherence to the Standards.

We would like to thanks Voluntary Field Assessors, Working Group members, NGO Code Compliance Committee members, Certified NGOs, the NGO sector, government, development partners and individuals who have contributed to this publication.

Due to regular revision of the Code and Standards, the information in this document is subject to changed.

CCC trusted that we together can foster NGOs in Cambodia to live up with high standards of accountability.

Soeung Saroeun
Executive Director
Cooperation Committee for Cambodia

INTRODUCTION



Voluntary Certification System Ethics and Accountability for the NGO Sector

Thank you for your interest in NGO GPP's Voluntary Certification System, based on compliance with the Code of Ethical Principles and Standards for NGOs in Cambodia. The voluntary certification system provides a model for how well-managed and responsibly-governed NGOs operate. The voluntary certification system is one component of the NGO GPP and provides NGOs with the opportunity to demonstrate that the standards have been implemented in their organization.

To participate, organizations must submit the application, and provide the requested documentation through online process. The review process is designed to assess and determine if the applicant organization has met the standards. After NGO GPP staffs conduct an initial review of the submitted application and materials, and if they are found to be complete, further review will take place involving the NGO GPP Working Group. Upon the recommendation of the Working Group, a field visit and review will be conducted by NGO GPP staff and voluntary field assessor. The field visit report will be submitted to the NGO Code Compliance Committee for final approval. Successful organizations will be awarded a Code Compliance Certificate which is valid for three years.

We realize that organizations will require different amounts of time to complete the application, due to different factors (e.g. the policies and practices an organization has in place at the beginning of the application process, staffing, timing of board meetings, etc.). While one organization may complete the application process in two weeks, another may take two years to undergo this learning process.

Thank You

for your commitment to the ethics, good governance & accountability in the NGO sector.

ABOUT THE CODE



What is the history of the Code, the Standards, and the Certification System?

The present Code of Ethical Principles and Standards for NGOs in Cambodia builds on the foundations that were started with the original Code of Ethics for NGOs and People's Organizations in Cambodia.

The Original Code of Ethics for NGOs and People's Organizations in Cambodia was drafted in English by the executive committee members of the CCC in 1995.

The Code was then translated into Khmer by the Federation of Ponleu Khmer, a Cambodian NGO umbrella organization and promoted among Cambodian NGOs. Ponleu Khmer was replaced by the NGO STAR Kampuchea. In cooperation with STAR Kampuchea's Cooperating Organizations, the Code of Ethics was reviewed and revised. STAR Kampuchea continued to promote the Code of Ethics for NGOs and People's Organizations in Cambodia during the following years.

In 2004, CCC's NGO Governance & Professional Practices (NGO GPP), in cooperation with STAR Kampuchea, began facilitating the review of the Code of Ethics for NGOs and People's Organizations in Cambodia. The NGO GPP pilot project aimed to go one step further — to provide practical steps on how to put the nine principles of the Code into practice, and develop a set of Minimum Standards through consultations with the NGO sector throughout Cambodia.



From 2004-2007, extensive consultation and revisions were done, and the 10th revision was completed in August 2007. This was officially titled the Code of Ethical Principles and Standards for NGOs in Cambodia.

A pilot certification system was also established in 2007. The Certification System involved the development of Guidelines and Indicators for each of the Minimum Standards, tools and checklists for data collection, the establishment of a Working Group to do desk reviews of documents, the convening of an NGO Code Compliance Committee to review the findings from the field assessment and award the Certificate. The NGO Good Practice Project, then in its second phase served as the Secretariat and also carried out the field checks. Certification, valid for three years, was awarded to two NGOs in 2007.

The NGO Good Practice Project reached its final phase in December 2010, and moving into 2011 has undergone a rebranding of NGO Governance & Professional Practices. The Voluntary Certification System will continue to be steered by NGO GPP, which now refers to NGO Governance & Professional Practice.

What is the purpose of the Code and the Standards?

The Code of Ethical Principles and Standards for NGOs in Cambodia aims to maintain and enhance standards of good organizational practice throughout the NGO sector. This Code also aims to ensure public trust in the integrity of the individuals and organizations that make up the NGO sector, and the effectiveness of NGO programs.

ABOUT THE CODE



These principles are based upon moral and ethical values, which are held to be important throughout Cambodia, in combination with standards of good organizational practice (locally and globally). This accountability framework draws strength from both the body of knowledge developed globally and from Cambodia's unique social context.

The Code of Ethical Principles and Standards for NGOs in Cambodia expresses a shared vision about the principles and good practice standards that guide the work of NGOs. Thus, the Code and the Standards are tools for organizational change.

Who is the Code for?

The Code of Ethical Principles and Standards for NGOs in Cambodia is for interested NGOs (local or international) who are registered with relevant ministries and are operating in Cambodia. The Code is voluntary and has been developed exclusively by, for and with the NGO sector. Adherence to the principles thus depends on the commitment of organizational leaders and staff. Application for Certification is likewise voluntary, and is not a requirement for government registration, or for receiving donor funds.

NGOs that choose to comply, agree to be held accountable to the Ethical Principles and Standards in the Code. It is accepted that many NGOs will have policies and apply practices that are above the standards, and application of the certification system provides the evidence as well as independent verification of this.

What do the Code and the Standards contain?

Ethical principles are the foundation for the Code and Standards for NGOs in Cambodia, and are based on core organizational values of:

- Integrity
- Cooperation
- Responsiveness
- Quality
- Inclusiveness

Nine (9) principles are provided in the Code (Annex 4). The principles are intended to guide the professional practice of NGOs, and to inform stakeholders and the general public about the principles they can expect to be upheld by NGOs.

Twenty-five (25) Standards have been developed and are provided as practical steps that describe how NGOs should act to be ethical and accountable in their governance, organizational management and programs. Each standard has a corresponding set of guidelines and indicators. The Standards cover six key areas as follows:

1. **Good Governance**
2. **Relationships and Communications**
3. **Sound Financial Management**
4. **Accountability and Transparency**
5. **Quality Assurance**
6. **Effective Human Resource Management**

Participating NGOs must comply with applicable state laws, and the Code of Ethical Principles and Standards for NGOs in Cambodia builds on that foundation.

How does the Certification System work, and how are Standards verified?

Since mid-2007, a Certification System has been in place. Guidelines for application have been developed and a set of prerequisite requirements have been disseminated. NGOs wishing to apply must first review the prerequisite requirements to see if they are eligible to submit an application.

Once the applicant completes the required documentation, this is sent to CCC in the required format and sequence.

A preliminary review of documents is done by the certification officers; if the requirements are met, then the application is reviewed by the Working Group. A field check is the next step and assessed by voluntary field assessors and GPP team. The field check team will meet a group of staffs, management, board of director, beneficiary, and partners (Donor/Government) of the applicant NGO. The findings from the field visit are then presented to the NGO Code Compliance Committee (NCCC), which has the responsibility to do a final review. This may either result in the Certification being awarded, or recommendations to meet Standards that are only partially fulfilled. These recommendations need to be addressed by the NGO applicant within a specified time period. If these recommendations are not met within 12 months, then the application process begins again with a new submission (reapply).

Currently, certification has a three year validity period. Certified NGOs (CNGOs) are required to submit each year an annual report and an audit report, as well as any new policy that they develop. A follow up visit during the interim period is also scheduled, to assess challenges and continuing compliance with the Standards. If it is shown by the supporting documentation that the CNGO continues to maintain the Standards required to achieve certification, they will be re-certified for a further three years. However, if it is clear (or there is doubt) that the CNGO has not maintained all of the Standards, the Certification officers will work with the NCCC to investigate further to determine whether the CNGO should be de-certified. The procedure to de-certification will follow the steps on the complaint policy.

What are the Processes Involved, and who are the persons involved in assessing applications for certification?

Application for certification involves the following processes:

1. The application for certification fill out the online system as following:
 - a. Contact NGO GPP Team to get username and password.
 - b. Login to the online application form: www.ngogpp.org, enter username and password received from NGO GPP.
 - c. Complete the cover page and enclose application form which signed off by Executive Director and Chairperson of Board.
 - d. In one folder, upload all documents listed on the documents checklist page. To expedite the application and review process, carefully check to be sure that all attachments are enclosed.
 - e. Click to submit to NGO GPP.
 - f. You will receive a confirmation receipt that the NGO GPP team has received your application within two (2) working days after you have submitted your application. If you do not receive this confirmation within

two (2) working days, please contact the NGO GPP team.

2. Preliminary Review of the documentation by NGO GPP Team.
3. Desk Review of the documentation by the Working Group.
4. Field Assessment at selected sites where the NGO is based, or is implementing projects by GPP team and VFA.
5. Interviews with five sets of stakeholders; a percentage of NGO Staff (all levels, management and support staff), The Governing Body, Beneficiaries, Partners and Donors. Questionnaires for informants /stakeholders who may not be in Cambodia.
6. Presentation of the report and recommendations to the NGO Code Compliance Committee.
7. Decision and Final Recommendations by the NCCC.
8. Feedback to the applicant NGO on the status of the application and the recommendations. The Working Group Members and the NCCC members have specific terms of reference. They all work as volunteers, declare potential conflicts of interest, and receive no compensation. A list of the current Working Group and the NGO Code Compliance Committee members is available on website. Thus, three independent bodies are involved; the certification team, the WG and NCCC. If you would like further information please contact the certification team through the contact details provided, or check the website: www.ccc-cambodia.org / www.ngogpp.org.

To take responsibility for your actions. Or as a representative of your organization, to take responsibility for the actions of your organization.

An Acceptable Firm

Audit

Accounting frame work

Certification

Code of Ethical Principles

Conflict of Interest

Ethics

Equity

Gender Equity

Gender Equality

9

Objective

A measurable statement about the end result that a service or program is expected to accomplish in a given period of time; objectives are based on goals, the purpose of a program, or the organization's overall mission.

Principles

Statements or descriptions of what should or should not be done that describes the rules, criteria or guidelines for performing the task; values that govern a person's behavior.

Governance and Professional Practices

A program to develop proficiency in the skills required to develop organizational structures, systems and policies so that it can ensure the effective implementation of quality services and achieve its vision, mission and goal.

Quality

A fulfillment of expectation; the ability of a product or service to meet the expectations of the persons or group that are the direct beneficiaries of a project or service.

Quality Assurance

A set of activities to determine or verify whether products or service meet or exceed the expectations of those the products and services are intended to. Quality assurance is a process-driven approach with specific steps to help define and attain goals

Stakeholders

Individuals and groups that affect or are affected by an organization and its activities.

Standards

Statements that explain what organizations should do to achieve good organizational practice, used to measure organizational performance.

(Minimum) Standard

Representing the lowest possible amount or degree that is acceptable or attainable.

Sustainability

Being able to continue into the future.

Transparency

An openness and willingness to accept public scrutiny that reduces the capacity for an organization to engage in dishonest or deceitful practices.

Values

The deeply held beliefs of a person or group; in an organization, values are demonstrated through the day-to-day behavior of all staff.

Vision

A compelling and inspiring image of a desired and possible future that an organization seeks to achieve.

STANDARDS

GUIDELINES &

INDICATORS

1. Good Governance



STANDARD 1.1: The organization has a clearly defined vision, mission statement and set of organizational values

GUIDELINES:

1.1.1. A vision statement should:

- a) Define the purpose or broader goal for being in existence and can remain the same for a long period of time
- b) Define the future state (of the organization or the area they are working in)
- c) Be a long-term view of how the organization wants the world to be in which it operates
- d) Be a source of inspiration

1.1.2. A mission statement should:

- a) Express the organization's identity and role in Cambodia
- b) Be a broad, strategic statement of the organization's goals, attitudes and outlook
- c) Be clearly defined to serve as a focus point to encourage others (stakeholders) to identify with the organization's purpose
- d) Be brief and to the point
- e) Usually include core programs, purpose statement, constituency and target groups served

1.1.3. A values statement should:

- a) Express what an organization believes in
- b) Guide the staff, management and leadership of the organization in performing their duties

INDICATORS:

1.1.1 The vision and mission statement and organizational values are clearly written in any of the key documents such as:

- a) Charter/by-laws
- b) Annual report, and/or
- c) Strategic plan

STANDARD 1.2: The staff and governing body are aware of and implement the organization's vision, mission and values

GUIDELINES:

1.2.1 The organization's vision, mission and values are promoted, for example through orientation of new staff members, staff meetings, and/or performance appraisals

1.2.2 The staff members understand and use the VMV to guide decisions and activities

1.2.3 The governing body participates in defining the organization's vision, mission and values then approve them

1.2.4 The governing body approves the organization's vision, mission and values

INDICATORS:

- 1.2.1 More than 80% of management staff and ordinary staff members interviewed are able to:
 - a. Clearly interpret the organization's vision, mission and values (VMV)
 - b. Explain and demonstrate how they use the VMV to guide their decisions and activities
- 1.2.2 More than 80% of interviewed governing body members express that they approve of the organizations vision, mission and values.

STANDARD 1.3: The organization regularly reviews the consistency of its mission and program activities

GUIDELINES:

- 1.3.1 The staff and governing body members meet to conduct periodic review (e.g. annually and/or during strategic planning) on their mission statement, to determine if their current program(s) and activities are consistent with the mission statement.
- 1.3.2 Strategic planning is conducted with participation from governing body members to look at internal and external factors to determine the future direction of an organization.
- 1.3.3 A strategic plan/long term plan should at least include: vision, mission, values, strategic goals, strategic objectives/outcomes, and strategic partner(s) target location and timeframe.

INDICATORS:

- 1.3.1 The organization provides its most recent copy of meeting minutes, which reflect a review of their mission statement, to determine if their current program(s) and activities are consistent with mission statement.
- 1.3.2 More than 80% of ordinary and management staff, and governing body members interviewed can describe their involvement in the strategic planning process and or strategic plan review and how it reflects the organization's mission.
- 1.3.3 The 3-5 year strategic plan for an organization is made available and used to guide program implementation (and includes the items highlighted in guideline 1.3.3)

STANDARD 1.4: The organization is registered with relevant ministries

GUIDELINES:

- 1.4.1 The organization must ensure that it fulfills all legal requirements and is registered with the appropriate government ministry or department.
- 1.4.2 The recognition letter(s) from the relevant ministry(ies) should be shared publicly including to local authorities and beneficiaries that the organization works with.
- 1.4.3 The organization must inform either the Ministry of Interior (MOI) or the Ministry of Foreign Affairs (MOFA) if the Executive Director (or equivalent) and/or board members are changed.

INDICATORS:

- 1.4.1 The organization must have a valid registration document(s) from the relevant ministry(ies) which are available at the office and acknowledge that the organization is registered in accordance with the laws of Cambodia.
- 1.4.2 Document(s) are provided and show that the organization has officially informed the relevant ministry(ies) about the changes of its Executive Director (or equivalent).

- b) The frequency, notice, and quorum requirements for organizational meetings. These can be internal or regular meetings of the organization, or external meetings such as those for the general public, with other stakeholders.
- c) Voting qualifications and procedures for approval of governing bodies. This is related to the governance structure of the organization's board.
- d) The number and terms for members of the governing body, scope of authority, method of nomination and election of the governing body, and provision for filling vacancies.
- e) Title and scope of authority for the executive director (or equivalent) and other staff members who are responsible for the day to day functioning of the organization.
- f) Record-keeping and financial reporting responsibilities.
- g) Amendment procedures for the by-laws and provisions for dissolution of the organization.
- h) That the organization is non-profit.
- i) That the organization is not politically affiliated.
- j) The statement that if an organization closes/dissolves than any remaining property or resources will be distributed to another organization working in a similar sector.
- k) The statutes or by-laws shall be developed, reviewed and approved by the governing body and submitted to the line ministry(ies).

INDICATORS:

- 1.6.1 Statutes or by-laws developed and approved by the governing body and contain all items outlined in guideline 1.6.2.
- 1.6.2 More than 80% of interviewed staff members show a thorough understanding that the activities/projects/programs of the organization are not undertaken for a profitable purpose.

STANDARD 1.7: The organization develops and reviews all organizational key policies, using a participatory approach.

GUIDELINES:

- 1.7.1 Key policies including: human resource policies, financial management and administrative policies, conflict of interest policy, as well as relevant procedures and guidelines are developed using a participatory approach with all staff members.
- 1.7.2 The staff members have shared their opinion and been involved in the development and/or review of policies and procedures.
- 1.7.3 Members of the governing body provide feedback and approve on the key organizational policies.

INDICATORS:

- 1.7.1 Staffs are given the opportunity to participate, or provide comments on the development and/or revision of organizational policies and procedures (as outlined guidelines 1.7.1) as reflected in meeting minutes.
- 1.7.2 More than 80% of interviewed management and ordinary staff members are able to talk about the process of organizational policies and procedures in which they have been involved in developing and/or revising.
- 1.7.3 All key policies approved by the governing body.
- 1.7.4 More than 80% of interviewed members of the governing body are able to talk about the process of providing feedback and approval of the organizational policies.

STANDARDS

GUIDELINES &

INDICATORS

2. Relationships and Communications



RELATIONSHIPS and COMMUNICATIONS

STANDARD 2.1: Management staff meet regularly for decision making purposes, and meetings are documented

GUIDELINES:

- 2.1.1 The organization should have a management team with a clear description of their roles as outlined in clear terms of reference document. The typical items addressed in the management team's Terms of Reference include:
- a) Composition of management staff members.
 - b) The main responsibilities of members, including: contribute to strategic direction of organization, managing programs/projects, reviewing program/project activities.
 - c) Quorum/decision making process.
 - d) Frequency of meetings (at least quarterly /four times per year).
- 2.1.2 Final decisions which are made and impact staff members and affect the organization and program must be shared with staff members after the meetings.
- 2.1.3 Management team should conduct meetings at least every three months and meetings are well documented.

INDICATORS:

- 2.1.1 A document outlining the roles and responsibilities for the management team is available as outlined in the guideline 2.1.1.
- 2.1.2 The management team meeting minutes are available.
- 2.1.3 More than 80% of the interviewed management members are able to describe the decisions made and actions taken during management team meetings.

STANDARD 2.2: An annual report is to be produced and made available both internally and externally

GUIDELINES:

- 2.2.1. The main body of the annual report should be a concise but comprehensive summary of the main activities and achievements of the organization during the year and how it has worked to achieve its aims and objectives. The Annual report should include:
- a) Basic information about the organization, e.g. name of the organization, the registration number, the financial year to which the reports relates, contact details, e.g. the address phone and fax number, email address and website address.
 - b) A description of the objectives of the organization.
 - c) The names of the members of the governing body during the reporting period.
 - d) Key achievements both in quantitative and qualitative information, any significant changes, any important events, and any likely future developments.
 - e) A description of the organizational structure and staff members.
 - f) A summary financial report (revenues, expenditures and remaining balance).
 - g) Be signed and dated by the Executive Director (or equivalent).

INDICATORS:

- 2.2.1 An organizational annual report is produced in a timely manner (within six months after the end of the previous fiscal year) and meets the minimum requirements of the information in the guidelines (2.2.1).
- 2.2.2 The annual report is accessible both internally and externally.

STANDARD 2.3: Fundraising communication tools will accurately describe the organization's identity, purpose, programs and scope of achievement

GUIDELINES:

- 2.3.1. Descriptions of the organization's identity, purpose, programs and scope are used for funding purposes and provides an accurate and honest representation of the organization, which matches the current planned activities.
- 2.3.2. Fundraising status is shared with relevant staff and management periodically to ensure that staff understand their projects/programs and funding sources.

INDICATORS:

- 2.3.1 Project/program proposals should state the purpose, scope and strategies, key activities and target, and budget, which is consistent with organizational strategic plan or program.
- 2.3.2 A valid funding agreement must be in place for at least one year from the date of application for GPP certification.
- 2.3.3 More than 80% of management and ordinary staff member can describe the project/program activities, and funding sources.

STANDARD 2.4: The organization has good and supportive internal relationships

GUIDELINES:

- 2.4.1. The senior leaders of the organization demonstrate personal qualities including trust worthiness, honesty and respect.
- 2.4.2. The organization takes time to reflect on staff working relationships and build teamwork to improve the overall working environment.
- 2.4.3. The organization creates and practices a culture of open communication, trustworthiness and cooperation between all internal stakeholders (board, management, staff and volunteers).

INDICATORS:

- 2.4.1 More than 80% of staff interviewed express that the senior organization leaders are trustworthy, honest and respected.
- 2.4.2 More than 80% of staff interviewed express satisfaction with the working environment in their organization.
- 2.4.3 More than 80% of staff interviewed indicate that they have trusting relationships with other staff and managers.

STANDARDS

GUIDELINES &
INDICATORS

3. Sound Financial Management



STANDARD 3.1: The organization has an annual organization-wide financial audit by an acceptable firm or equivalent body

GUIDELINES:

- 3.1.1 The auditor should be properly recruited with clear Terms of Reference and by an appropriate committee including either: management team members, governing body members, and/or with donor consultation.
- 3.1.2 The organization ensures that an annual organization-wide financial audit or equivalent forms of financial audits are conducted and documented. Organization-wide financial audit refers to an audit covering all whole organizational financial statements. Equivalent forms of financial audits refer to separated audits of all projects/programs as long as the audits cover the whole organizational financial statements.
- 3.1.3 The organization wide audit is shared with all relevant staff.
- 3.1.4 Financial statements should be prepared in accordance with the organization's financial manual.
- 3.1.5 The recommendations from the auditors, should be followed and duly implemented.
- 3.1.6 The recommendations from funders on financial management are duly implemented.

INDICATORS:

- 3.1.1 Various types of recent audit reports including management reports and financial reports, must be available (by the following fiscal year) and shared with all relevant staff.
- 3.1.2 The recommendations of the auditors and donors have been addressed or have an action plan to be addressed at least six (6) months after the auditor's report. Minutes of the meeting should be recorded about any action taken as a result of the auditor's report.

STANDARD 3.2: Practical financial policies and procedures are in place

GUIDELINES:

- 3.2.1. The current financial policy and procedures should comply with the following key contents:
 - a) Policy and procedures for organizations using the cash basis/modify cash of accounting framework, the following should be included in the accounting manual:
 - 1. Statement of Management/Governing Body.
 - 2. Management responsibility.
 - 3. Accounting framework and financial year.
 - 4. Currency.
 - 5. Internal control System.
 - 6. Chart of account.
 - 7. Documentation and filing.
 - 8. Asset management.
 - 9. Procurement.
 - 10. Authorization and approval of expenditure.
 - 11. Cash on hand and at bank management.
 - 12. Advance.
 - 13. Budgeting.
 - 14. Accounting system.
 - 15. Period end closing procedures.
 - 16. Period end reports.
 - 17. Audits.
 - b) Appendix – document templates.

INDICATORS:

- 3.2.1 The financial policies and procedures abide by the guidelines 3.2.1.
- 3.2.2 The financial policies and procedures are well documented and available to all staff members.
- 3.2.3 More than 80% of interviewed staff members (including the finance unit) can demonstrate understanding and compliance of financial policies and procedures that are relevant to their own work.

STANDARD 3.3: The organization has an effective and well-functioning finance system

GUIDELINES:

- 3.3.1. The finance function system should consider the following:
 - 3.3.1.1 Strategy: Documented objectives and strategies of the finance function are available
 - 3.3.1.2 Annual review of the manual and approval by the governing body:
 - a. Clear and functioning financial structures are available.
 - b. Clear job description of financial and accounting staff.
 - c. Staff qualification.
 - d. Clear reporting lines.
- 3.3.2 Independency of finance unit:
 - a. Lessons learned are reflected in the amended accounting manual.
 - b. Capacity development of finance unit.
 - c. The implementation needs to comply with the financial policy and procedures.

INDICATORS:

- 3.3.1 The organization has developed strategies for financial sustainability that are well implemented.
- 3.3.2 More than 80% of interviewed finance unit staff identified that they can perform their work independently and professionally and without pressure from senior management.
- 3.3.3 An internal financial report is completed by the finance unit and available.

STANDARDS

GUIDELINES &

INDICATORS

4: Accountability & Transparency



STANDARD 4.1: The organization regularly shares relevant information with staff

GUIDELINES:

- 4.1.1 The organization shall share information with staff members through a variety of methods, for example: information board, online sharing, regular staff meetings, etc.
- 4.1.2. Staff meetings should be conducted at least once every three months and agenda of the meeting should include an update on income statements/funding sources, progress and challenges of program, and plans for the next quarter.
- 4.1.3 Relevant information, including: annual/semester/quarterly reports; funding information, project/ program activities, and network meetings.

INDICATORS:

- 4.1.1 Staff meetings are conducted at least once in every three months and the minutes are properly filed and available.
- 4.1.2 More than 80% of interviewed staff members are able to describe agendas and contents of the staff meetings and have access to meeting minutes.

STANDARDS 4.2: The organization ensures the participation of the target groups/population in all stages of project/program development processes

GUIDELINES:

- 4.2.1 All stages of project/program development processes must include target beneficiaries input. For example in: initial assessment, planning, implementation, and monitoring and evaluation.
- 4.2.2. The organization encourages the target beneficiaries to take ownership of the project/program implementation and to participate in program monitoring and provides opportunities for them to raise questions.
- 4.2.3 Proposals, annual reports and other relevant documents should contain descriptions of how the organization involves the community and stakeholders in all stages of the project/program development processes.

INDICATORS:

- 4.2.1 The implementation of the project uses a participatory engagement process, including reviewing the project with target groups/population.
- 4.2.2 More than 60% of interviewed beneficiaries can describe their involvement in all stages of the project/program development processes.
- 4.2.3 Target community and stakeholders participation is described in the annual report, project proposals and meeting minutes, etc.

GUIDELINES:

A conflict of interest policy should include the following:

- INDICATORS:

4.3.3 This policy is made available to all staff.

STANDARD 4.4: The organization provides information on its governance, finance, and program/s, to the public and external stakeholders

GUIDELINES:

- 4.4.1 The organization conducts an annual progress update briefing meeting with its development partners, target communities and other stakeholders. At this meeting the organization should share relevant information, including: annual/semester/quarterly reports; funding information, and project/ program activities.
- 4.4.2 The organization should participate in networks to improve coordination, disseminate information, share experiences and good practices with all stakeholders and beneficiaries.

INDICATORS:

- 4.4.1 More than 80% of the organization's development partners, networks and/or relevant government officials who respond to enquiries from GPP application assessments are satisfied with information shared by the organization.
- 4.4.2 The annual/semester/quarterly/project/ program evaluation report/s are available from at least one of the organization's information sources, such as website, resource center, office, etc.

STANDARDS

GUIDELINES &

INDICATORS

5: Quality Assurance



STANDARD 5.1: The organization conducts regular monitoring and evaluation of its program/projects

GUIDELINES:

- 5.1.1. The organization should have procedures, system and frameworks for monitoring and evaluation (M&E) of program/project/s. The M&E framework should include: Annual Operational Plan (AOP); log frame; action plan/s; checklists, observation of activities/performance; reports etc.
- 5.1.2 The organization shall conduct internal evaluation of its program/project/s with participation from beneficiaries and other relevant stakeholders every year or at the midterm of the program/project/s.
- 5.1.3 The organization must conduct an external evaluation on its program/projects at the end of program/project.
- 5.1.4 The organization should continue to make improvements to its program/ project/s based on the findings and recommendations from the M&E report/s.
- 5.1.5 M&E responsibilities are included in job descriptions of relevant staff.
- 5.1.6 The organization shall provide an opportunity for the beneficiaries to make complaints through the appropriate channels, for example a complaint mechanism. This could include: open meetings, feedback box, anonymous information, safety phone number etc.

INDICATORS:

- 5.1.1 M&E tools and systems for program/projects are developed and implemented with participation from staff members.
- 5.1.2 Internal and external evaluation on program/projects management reports are produced and made available.
- 5.1.3 Job descriptions indicate that relevant staffs are actively responsible for M&E.
- 5.1.4 Complaint mechanisms are develop and made available for beneficiaries and other related stakeholders use for better performance of the organization.

STANDARDS

GUIDELINES &

INDICATORS

6: Effective Human Resource Management



STANDARD 6.1: The organization has a clear and fair written personnel policy and procedures which are implemented

GUIDELINES:

6.1.1. Personnel policies shall be compliant with Cambodian Labour Law and relevant regulations, especially in relation to:

- Non-discrimination (Article 12)
- Staff contracts (Article 65, 67, 68, 73 -96)
- Working hours (Article 137)
- Public holidays (Article 161)
- Annual leave (Article 166)

6.1.2. A personnel policy document includes provisions covering key areas such as:

- Organizational Profile
- Code of Conduct
- Work Schedule/Shift
- Conflict of interest policy
- Sexual harassment policy
- Recruitment Policies
- Compensation Policies
- Payroll Information
- Benefits
- Training and Development
- Performance Assessment Procedures
- Disciplinary and Termination Procedures
- Data Practices (personnel information/ HR-MIS)
- Supplementary Information
- Gender/minority equity policy
- Child protection policy
- Environmental friendly policy

INDICATORS:

6.1.1 A personnel policy must be in place, accessible and properly applied to all staff members.

6.1.2 The contents of the Personnel Policy include key items listed in guideline number 6.1.2 and are consistent with the Cambodian Labour Law and relevant regulations, especially those in relation to the articles listed in guideline number 6.1.1.

6.1.3 More than 80% of interviewed management and ordinary staff members are able to describe key elements of

the personnel policy.

STANDARD 6.2: All employees have valid contracts and clear roles and responsibilities

GUIDELINES:

6.2.1. The organization should produce contracts for all employees, which are compliant with the Cambodian Labor Law, specifically Chapter 4, Articles: 65, 67, 68, and 73-96

6.2.2. The organization must develop clear job descriptions for all employees.

The job description should include:

- a) Job title
- b) Location
- c) Reporting and management line
- d) Job summary
- e) Responsibilities
- f) Qualifications (education, and experience)

INDICATORS:

6.2.1 All employees have current contracts which reflect relevant legislation in the Cambodian Labour Law, as outlined in guideline 6.2.1

6.2.2 Job descriptions are in place for each position and include all items outlined in guideline 6.2.2

6.2.3 More than 80% of interviewed employees are able to clearly describe their roles and responsibilities

STANDARD 6.3: Annual performance appraisal is conducted for every employee

GUIDELINES:

6.3.1. Performance appraisal (PA) should:

- a) Have a scheme and procedure which have been developed with participation from employees
- b) Include key performance indicators
- c) Include areas for employee improvement
- d) Include the employees next work plan
- e) Be conducted for all employees and kept in confidential files
- f) Be conducted at least once a year
- g) Have appropriate and relevant forms
- h) Be conducted by the line manager with participation from employees (PA for staff)

6.3.2 Discussions between employees and their line manager after the PA is completed should include opportunities for staff capacity development and/or staff training (can be internal or external).

6.3.3 The PA for the Executive Director (or equivalent) should be conducted by appropriate persons (usually governing body members) with participation from executive director.

INDICATORS:

6.3.1 Performance appraisal forms and procedures (including all items listed in guideline 6.3.1.) are in place and are regularly used for all employees.

6.3.2 More than 80% of interviewed employees can describe the process of performance appraisals and the purpose of the appraisal.

6.3.3 All employees have their performance appraised at least annually.

6.3.4 The result of performance appraisals are available to relevant employees, and are properly filed and confidentially maintained.

STANDARD 6.4: The organization has policies and procedures to promote gender and minority equity

GUIDELINES:

6.4.1. A gender and minority equity policy should be in place and include:

- a) Statements which support the achievement of equality between women and men, and minorities, to ensure sustainable development.
- b) Advance the equitable participation of men, women and minorities as decision-makers in shaping the sustainable development of their societies.
- c) Reduce gender or minority inequalities in access to and control over the resources and benefits of development.

INDICATORS:

6.4.1 Statements related to gender and minority equity are developed and included in organizational policies

6.4.2 The policy/policies are applied to both organizational level and program level of the organization

STANDARD 6.5: The organization has and implements clear written grievance policy and procedures that protect the interests and rights of all employees

GUIDELINES:

6.5.1. The organizational policy manual should include a grievance procedure which is compliant with article 301 and 309 of the Cambodian Labour Law. Grievance procedures and policies for staff can be incorporated within the organization's personnel policy.

The grievance procedure should:

- a) Encourage individuals to work together to solve difficulties.
- b) Provide a clear path of reconciliation if possible (e.g. Line manager, line manager supervisor, Director, Governing Body etc.).
- c) Include clear timeframes within which issues must be raised and responded to.
- d) Allow the individual to have a support person through the process.
- e) Describe types (minor, medium, serious) of misconduct.
- f) Protect staff members who wish to report misconduct (suspected or actual) of any staff member.

INDICATOR:

6.5.1 A grievance policy exists and is implemented in compliance with article 301 and 309 of the Cambodian Labour Law.

6.5.2 Any grievances are addressed fairly and satisfactorily and follow the guidelines outlined in 6.5.1.

6.5.3 More than 80% of interviewed staffs are aware of and able to describe the organization's grievance procedures.

STANDARD 6.6: The organization has clear written child protection policies and procedures which are implemented

GUIDELINES:

- 6.6.1. The child protection policy and procedures are incorporated with four basic child rights (right to participation, right to education, right to development and right to life). The child protection policy should include:
- a) Definition of children.
 - b) Child protection statement.
 - c) Scope (employees, boards, donors, visitors, organizational networks).
 - d) Awareness (include training, introduction, basic child right, child abuse).
 - e) Protection.
 - f) Reporting: who to report to (who is responsible for investigating the allegations).
 - g) Response/reaction.
- 6.6.2. The organization's code of conduct must contain disciplinary procedures for any employee who is found to have breached any section of the code. All employees must sign the disclosure form/code of conduct on child protection upon commencing employment with the organization.

INDICATORS:

- 6.6.1 The organization has a clearly written child protection policy and procedure which includes key items as described in guideline number 6.6.1.
- 6.6.2 More than 80% of interviewed staff are able to demonstrate the key elements of child protection policy
- 6.6.3 All employees must sign the disclosure form/code of conduct on child protection which includes disciplinary procedures as outlined in guideline 6.6.2.

ANNEXES

Annex 1: Prerequisite Requirement

Annex 2: The Certification Process

Annex 3: Field Assessment Flow Chart

Annex 4: Code of Ethical Principles

Annex 5: Original Code of Ethics

Annex 6: Fee Charging of VCS

Annex 7: List of Documents

Annex 8: Application Form

PREREQUISITE REQUIREMENTS



ANNEX ONE

The following standards or principles are minimum requirements to be eligible for application. An NGO must fulfill the following prerequisite requirements before an application form can be accepted.

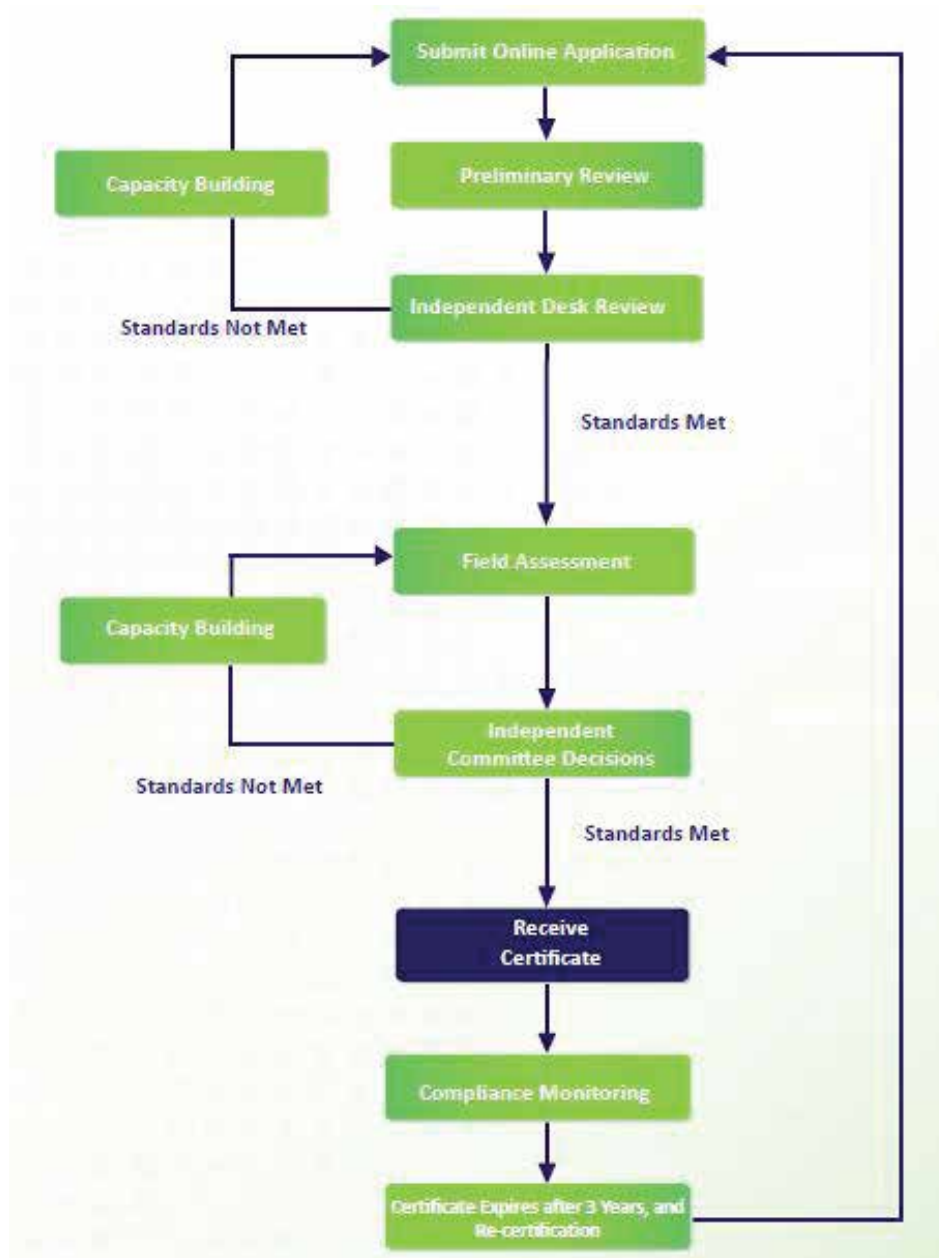
(Note: standard/principle numbers denote location in the Code of Ethical Principles and Minimum Standards for NGOs in Cambodia).

Criteria

1. The NGO is registered with relevant ministries (standard.1.4)
2. The NGO has a governing body with at least five members (standard.1.5)
3. NGO has organizational statutes or bylaw (standard.1.6)
4. The NGO produces an organizational annual report (standard.2.2)
5. The NGO has current annual financial audit (standard.3.1)

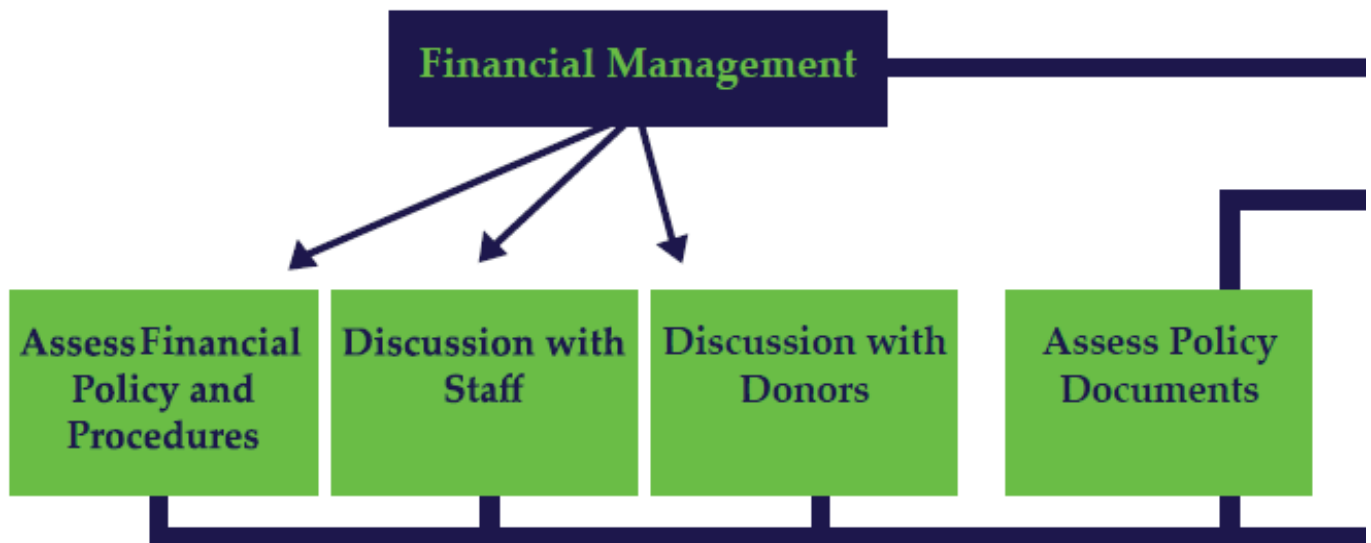
CERTIFICATION PROCESS

ANNEX TWO



FIELD ASSESSMENT FLOW CHART

ANNEX THREE



FIELD ASSESSMENTFLOW CHART

Field Assessment

Internal Governance

Program Delivery

Discussion with
Board Members

Discussion with
Staff

Target
Community
Feedback

Visit of Field
Activities

Assessment Report

NGO Code Compliance
Committee Review

ANNEX FOUR

NGOs engage in diverse activities, but have one constituency and that is the public. We aim to improve the welfare of the people we serve. We commit ourselves to the following ethical principles:

- An NGO's purpose is to work in partnership with stakeholders for a sustainable development of Cambodian society, based on justice, equality, transparency, accountability and respect for human rights (1.1)
- An NGO's policy and vision is appropriately and independently determined from that of any donor or government agency (1.2)
- NGOs are not aligned or affiliated to any political party (1.3)
- NGO activities will be carried out without discrimination on the basis of nationality, group, political affiliation, ideologies, race, age, religion, gender, HIV status or disability (1.5)
- NGOs will respect the values, dignity, history, religion of the communities they serve (2.1)
- An NGO's cooperation with other NGOs will be based on equality, dialogue and mutual respect (3.1)
- NGOs will ensure that their relationships with funding agencies are honest and transparent (3.5)
- NGOs will cooperate with the Cambodian people, the government and other stakeholders to improve the quality of life of the people (4.1)
- NGOs are committed to using non-violent ways in solving problems, disputes and conflicts. (5.2)

(Note: the numbers in parentheses are the location numbers of the principles in the original Code of Ethics document (1997); some of these principles have been slightly revised by the Working Group in 2005-2007). Please see Annex 5

ANNEX FIVE

Code of Ethics for Associations, Non-Governmental Organizations and People's Organizations in Cambodia

Article 1: Associations, Non-Governmental Organizations and People's Organizations are organizations:

- 1.1 Whose purpose is to work in partnership with stakeholders for a sustainable development of the Cambodian society, based on justice, equality, transparency, accountability and respect for human rights;
- 1.2 Whose policy and vision is appropriately and independently determined from that of any donor or government agency,
- 1.3 That are not aligned with or affiliated to any political party;
- 1.4 That are not-for-profit organizations in which no profits of the organizations are distributed for private gain;
- 1.5 Whose activities are carried out without discrimination on the basis of nationality, group belonging, political loyalties, ideologies, skin color, race, age, religion, handicap or gender;
- 1.6 That operates within the laws of the Kingdom of Cambodia.

Article 2: Through their programs, Associations, NGOs and People's Organizations should:

- 2.1 Respect the moral values, dignity, history, religion, custom, tradition and culture of the communities they serve, when suggesting an improvement of the current situation;
- 2.2 Facilitate self-reliance, self-help, people participation, for sustainable development so as to avoid dependency;
- 2.3 Seek to strengthen the human resources and the institutions of the Kingdom of Cambodia;
- 2.4 Have, as their fundamental concern, the well-being of those affected by the development programs;
- 2.5 Seek to promote the women's status and implementing international conventions regarding elimination of all forms of discrimination against women;
- 2.6 Seek to ensure that any material assistance provided by them is appropriate and meets internationally accepted standards and, if possible, it should be purchased in Cambodia,
- 2.7 Seek to ensure all development and relief assistance provided by them is guided and informed by internationally recognized and professional standards,
- 2.8 Are non-partisan in any public policy and lobbying activities with which they are involved.

Article 3: Partnership and cooperation between Associations, NGOs and People's Organizations:

- 3.1 Will be on the basis of equality, equity, dialogue and mutual respect;
- 3.2 Associations, NGOs and People's Organizations recognize that for a long term development, international experts are needed, but their support should be limited in time and the goal must be to strengthen the capacity of the Cambodian staff;
- 3.3 Associations, NGOs and People's Organizations will share relevant project information with each other, will refrain from competing with each other, and will cooperate at the field level to avoid duplication and disruption of each other's projects;
- 3.4 Associations, NGOs and People's Organizations strive to mutually support each other, so as to promote and

ORIGINAL CODE OF ETHICS



maintain their values;

- 3.5 All Associations, NGOs and People's Organizations try to make sure that their relations with funding agencies are honest and above board. Under no circumstances will activities such as double funding for one plan, diverting resources to non-project related activities, overstatement of achievements or capabilities or distortion of facts be carried out or condoned by Associations, NGOs or People's Organizations.

Article 4: In their relations with the Royal Government, Associations, NGOs and People's Organizations shall:

- 4.1 Strive to cooperate with the Cambodian people and the Government to rebuild the country and to improve the quality of life of the people;
- 4.2 Strive to create a culture of mutual respect and openness based on the perspective that Associations, NGOs and People's Organizations are important components of any democratic society.

Article 5: Within their own organizations, Associations, NGOs and People's Organizations shall:

- 5.1 Be governed by an independent and well-qualified Board of Directors or Legislative Committee, and a duly constituted Executive Committee, so that they function with transparency, accountability and respect for human rights;
- 5.2 Solve all problems and conflict on the basis of non-violence;
- 5.3 Prohibit either direct or indirect conflicts of interest by members of the Board of Directors, employees, or volunteers;
- 5.4 Conduct their affairs with integrity and truthfulness. Their activities shall be open and accessible to scrutiny by their donors, except for personnel matters and proprietary information;
- 5.5 Strongly oppose and take no part in corruption, bribery, other financial impropriety or any illegal acts;
- 5.6 Recognize that all of their activities impact on the public perception of the community of Associations, NGO's and People's Organizations, and that they share a significant responsibility to enhance the public trust;
- 5.7 Provide avenues for individual growth and development of staff;
- 5.8 Provide just compensation and promote the rights and welfare of all employees;
- 5.9 Strive to promote participatory and democratic management practices.

I hereby sign the Mission, Goal and Roles and the Code of Ethics for Associations, NGOs and the People's Organizations as a statement of the principle and intentions of the Associations, NGOs and the People's Organization which I present.

FEE CHARGING OF VCS



ANNEX SIX

1. Introduction

As the leading and longest established membership organization for local and international NGOs in Cambodia, CCC has played a unique role since 1990 in strengthening the cooperation, professionalism, accountability, governance, and development effectiveness of the civil society organizations (CSOs) that are working across diverse sectors in Cambodia. While Cambodia makes positive steps forward, the role of both international and local NGOs remains significant for the reduction of poverty and overall development of Cambodia.

While the development of Cambodia continues to face numerous challenges, one of the most critical is the challenge posed by Cambodia's lack of inherent and pervasive good governance. This includes the NGO sector, where CCC recognizes that low adherence to the ethics of accountability and transparency undermines and compromises the sector's capacity to demonstrate its full potential as a powerful development actor.

NGO Governance & Professional Practice (NGO GPP), hosted by CCC since 2004 (originally known as NGO Good Practice Project) facilitates the Voluntary Certification System (VCS) for NGOs in Cambodia, as a way to recognize NGOs that demonstrate standards of good practice. NGO GPP acts as a vehicle to support the NGO sectors in its efforts to act with accountability and transparency, and to display these behaviors to government and donors.

As stated in the Governance Hub Program (GHP 2014-2018) of CCC, the Voluntary Certification Component is heading toward an independent certification center by the end of 2017. To reach this, a number of surveys, consultations and recommendations have been made with many important stakeholders of CCC including NGO GPP Working Group members, NGO Code Compliance Committee (NCCC), applicant NGOs and certified NGOs to ensure sustainability of the center. NGO GPP has also conducted the comparative studies on this issue with other schemes around the region and the globe.

One of the important recommendations found in the studies and surveys informs that there requires to have a justification and wide support for applying reasonable fee to the VCS to cover processing and monitoring costs so as to ensure sustainability and credibility of the scheme. NGO GPP has conducted extensive consultations since 2009 to develop/revise fee charging scheme for the Voluntary Certification System. The fee charging scheme has been endorsed at the NGO GPP Annual Multi-Stakeholder Forum on 23 September 2011 with 150 participants representing from different bodies including: provincial NGOs, certified NGOs, applicants NGOs, NGO Working Group members, NGO Code Compliance Committee, Development Partners and Government.

2. Key Findings of Surveys and Studies

Many studies conducted by CCC in the past informed that:

The VCS in Cambodia appears to be the only country-specific certification scheme among 343 existing schemes in the world where no fees are paid upon entry into scheme or during validity of certification period.

- Average processing time of new applications can range from 15 days for small NGOs, to 22 days for larger NGOs.
- Cycle or lead time for organizations to secure full certification status can be as short as two months, to as long as 34 months.
- Preparation and processing for each follow-up visit with certified NGOs can take from seven to 10 days, including follow-up planning and arrangement, field visits, and reporting.
- Bulk part costs to walk through full application process till full certification is estimated at USD 3,000 for small NGO and USD 5,000 for large NGOs. (costs of following up and corporate promotion of VCS not included)

FEE CHARGING OF VCS



Financial sustainability is crucial for the continuing existence of the voluntary certification system, as well as for the development of the independent certification centre. One study has suggested that the income of the institution can be obtained from following sources:

1. Fees from the applicant NGOs,
2. Annual fees from the certified NGOs,
3. Participation fees from trainings and seminars conducted by GPP,
4. Contributions from NGO networks, and
5. Engagement with the private sector.

3. Fee Scheme

The fee scheme is categorized into two different types - an application fee and an annual certification fee. These fees are charged according to the annual budget of the NGO.

Why do we need to charge these types of fee?

1. The application fee will partially contribute to the cost of application processing. On average GPP dedicates 15 days to process applications for small NGOs and 22 days for large NGOs.
2. Annual fee will contribute to the cost of follow up and monitoring during the three years of the validity of the certificate. GPP dedicates eight days per certified NGO to conduct monitoring and follow up.
3. . Token contribution toward strategic plan to develop sustainability for the Voluntary Certification System for NGO community in Cambodia, reducing dependence on donors.
4. Strengthen ownership of the NGOs community to the VCS.
5. Value added to the VCS. Psychologically, when people pay, they tend to recognize their ownership and important contribution to the process.
6. All NGO certification systems worldwide charge fees – it is reasonable that the VCS in Cambodia should pass on some costs to those who benefit from the system.

3.1. Application Fee

The Application fee applies to both new certification and re-certification. Fees shall be paid to NGO GPP once the applicant NGOs receives notification from NGO GPP that their application is accepted to go through the certification process. This fee shall be in effect from 1 April 2012 onward.

Annual Budget for current year (in USD)	Application Fee (in USD)
Below 50,000	20
50,001 to 100,000	50
100,001 to 150,000	100
150,001 to 200,000	150
200,001 to 499,999	200
500,000 to 999,999	250
≥ 1,000,000	300

The application fee is non-refundable.

3.1.1 The applicant NGOs will receive the following benefits:

1. An independent and full assessment against the Code of Ethical Principles and Standards for the NGO Community in Cambodia.
2. Professional and technical guidance to improve the organization's performance in compliance with the Code of Ethical Principles and Standards for the NGO Community in Cambodia.
3. Assisted reflection on the strengths and weaknesses of their own organizations while the VCS application is being processed.
4. Comments and feedback from the organization's internal stakeholders.
5. Recognition as an NGO that commits to have good governance, accountability and transparency.
6. Involvement in promoting good governance, accountability and transparency to NGO community in Cambodia which will contribute to the promotion of development effectiveness in Cambodia.
7. Ongoing access to continuing learning and information-sharing on issues relating to governance and

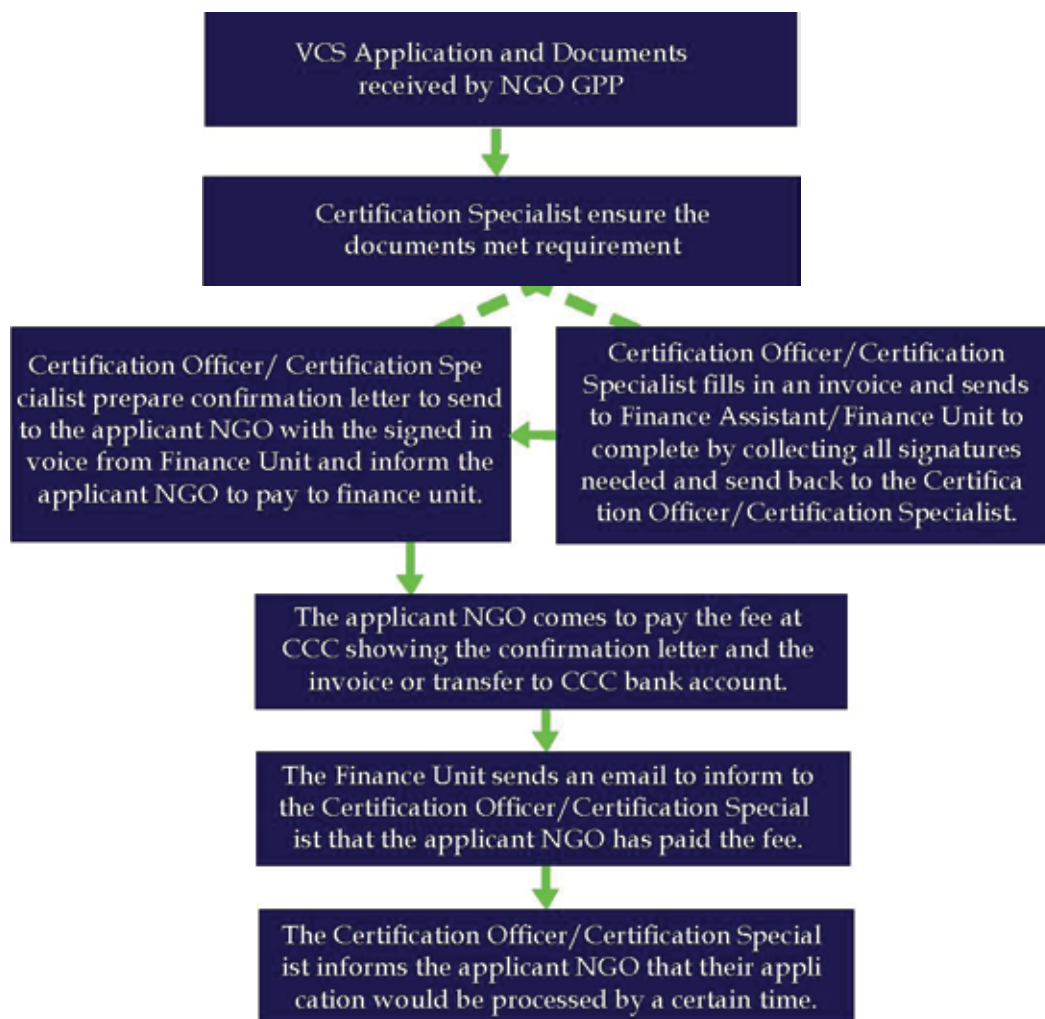
FEE CHARGING OF VCS

professionalism.

8. Introduction to donor agencies for fundraising purposes.

3.1.2 Process of Application Fee Charge

Diagram below illustrates the process of application fee charge.



FEE CHARGING OF VCS



3.2 Annual Fees

All certified NGOs will be required to pay a fixed annual fee payable on the date that they become certified, and on the anniversary of their certification for each subsequent year (and upon being fully re-certified). This fee will license the certified NGO to use the NGO GPP logo and associated corporate promotional materials featuring NGO GPP branding. The fee will also contribute to not less than one follow-up visit by GPP staff to ensure consistent compliance with the VCS standards.

This fee shall be in effect from 1 January 2013. A pro rata rate will be applied for any certified NGO with a certificate that is due to expire in different calendar year. Failure to pay the annual fees on time will result in a review on the certification status of those certified NGOs. If a certified NGO refuses to pay annual fees on time, recourse may include suspension from the VCS, as decided by the GPP team.

Annual Budget for current year (in USD)	Annual Fee (in USD)
Below 50,000	50
50,001 to 100,000	100
100,001 to 150,000	150
150,001 to 200,000	200
200,001 to 499,999	300
500,000 to 999,999	500
≥ 1,000,000	750

The annual fee is non-refundable.

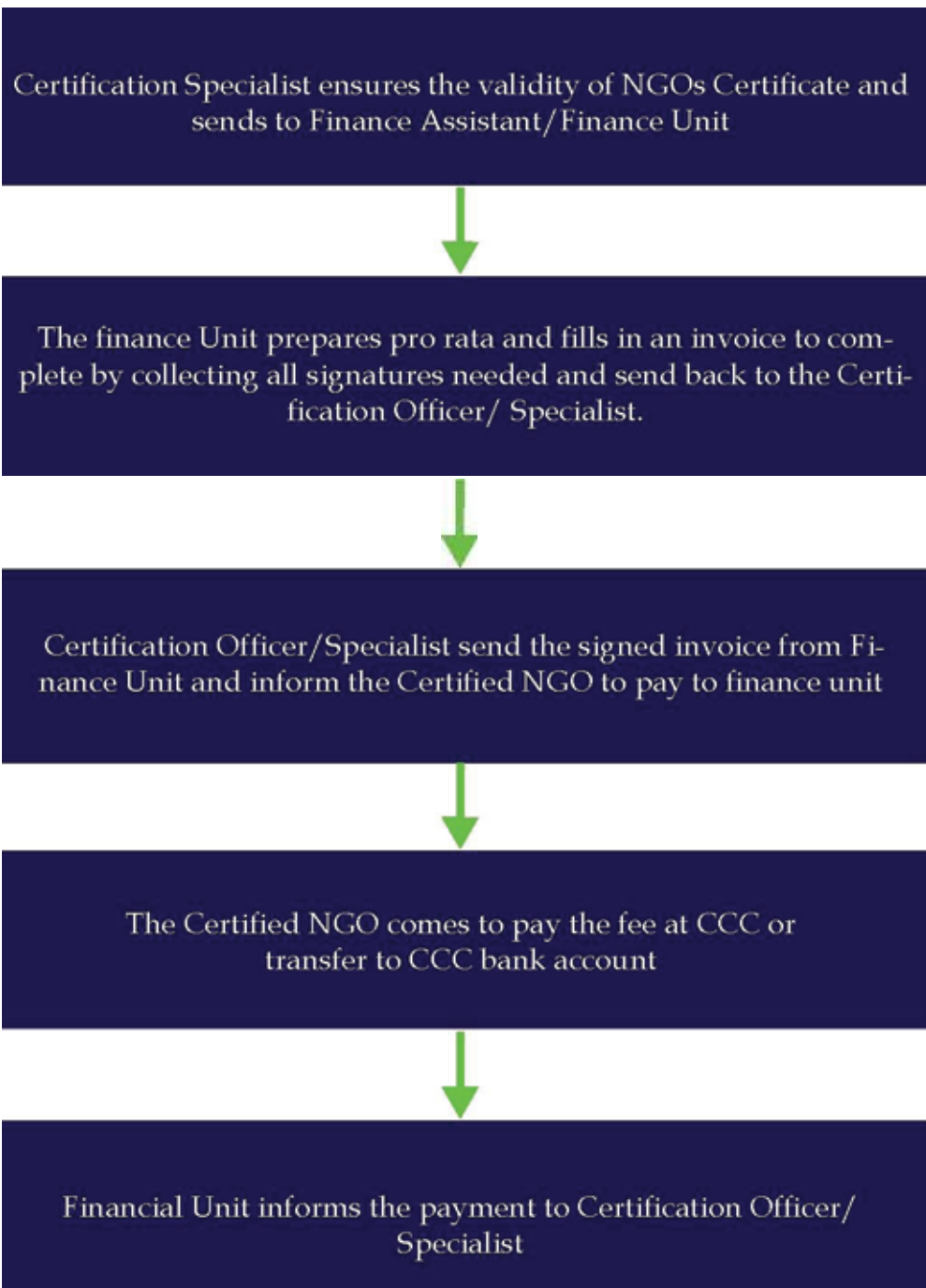
3.2.1 The certified NGO will receive the following benefits:

1. Receive NGO GPP certificate and logo, as well as being promoted nationally and internally as a trustworthy and transparent organization.
2. Use of the NGO GPP logo and CCC's communication system to promote the status and profile of the organization.
1. Continue receiving services from GPP Team with follow up and monitoring activities conducted by the members of the GPP Team.
2. Through the service of GPP team the organizations will be indirectly introduced to potential donors or other development partners.
3. Participate in various events organized by NGO GPP, and through these, participants continue to learn from each other as certified NGOs what needs to be changed and improved within the organizations to make sure that the NGOs can maintain good governance, accountability and transparency of the organization.
4. Recognition as an NGO with good governance, accountability and transparency.
5. Maintain visibility as a Certified NGO on the CCC website, and ongoing promotion of Certified NGOs with donors through CCC corporate messaging.

3.2.2. Process of Annual Fee Charge

The annual fee will be calculated based on the amount of budget highlighted in the submitted application. Diagram below illustrates the process of annual fee charge.

FEE CHARGING OF VCS



LIST OF DOCUMENTS



ANNEX SEVEN

List of Documents to be send to NGO GPP for review

(Note: See Code Guidelines for more detail)

Please upload all these documents into system:

1. The Organization's written Vision Mission and Values statement (Standard 1.1)
2. The Organization's Strategic Plan (Standard 1.3)
3. The Organization's registration document/official letter of agreement(Standard 1.4)
4. Minutes from the last two board meetings (Standard 1.5)
5. List of current board members with the following information for each member: name, main employer, occupation, date each board member's term expires (Standard 1.5)
6. Any documents that outline the role of board members (Standard 1.5)
7. The Organization's bylaws or statutes (Standard 1.6)
8. Terms of Reference for Senior Management Team (Standard 2.1)
9. The Organization's most recent Annual Report (Standard 2.2)
10. The Organization's most current implemented project proposal (Standard 2.3)
11. The Organization's most recent external audit statement or report (Standard 3.1)
12. The Organization's financial policies (Standard 3.2)
13. Conflict of Interest Policy and Procedure (Standard 4.3)
14. The Organization's most recent program evaluation report (Standard 5.1)
15. The Organization's personnel policies (Standard 6.1)
16. Sample job description from the Organization (Standard 6.2)
17. Staff appraisal form (Standard 6.3)
18. Gender and Minority Policy and Procedure (Standard 6.4)
19. Grievance Procedure (Standard 6.5)
20. Child protection policy (Standard 6.6)
21. Current list of the Organization's stakeholders including donors, government, partners, membership, target community and staff members.

APPLICATION FORM FOR GPP CERTIFICATE



ANNEX SEVEN

Governance and Professional Practice (GPP)

Hosted by: Cooperation Committee for Cambodia (CCC)

House #9-11, Street 476, Toul Tompoung I, ChamkarMorn, Phnom Penh

P.O. Box 885, Phnom Penh, Kingdom of Cambodia

Telephone: (855-12) 012 875 160 or 023 214 152 / 023 216 009 / Fax: (855-23) 216 009

E-mail: ngogpp@ccc-cambodia.org

Website: www.ccc-cambodia.org

The application package for the Voluntary Certification System (VCS) consists of this form (to be completed, scanned and submitted online) and attachments that the organization will supply online according to the application instructions.

Please read the *Standards of Good Governance & Professional Practices for NGOs in Cambodia*, as well as the guidelines for the VCS, and the application instructions thoroughly before beginning the application process.

By signing this application form, your organization agrees to comply with the following system and procedures as annexes below:

- Annex 1: Agreement for the GPP Certificate Application;
- Annex 2: GPP Standards;
- Annex 3: Fee Charge policy;
- Annex 4: Guideline for Certified NGO; and,
- Annex 5: Complaint Mechanism Policy.

Name of organization:

Acronym:

Sector:

Is the NGO affiliated to any political party? (Please tick one) ☐ yes ☐ no

Please tick one ☐ CCC member ☐ Non member

Postal address:

Street address (if different to above):

Phone:

Fax:

Email:

Website:

Number of staff:

Female:

Current annual budget:

Current donor/s:

Name and position of individuals primarily responsible for assembling this application package:

Date:/...../.....

Signature: _____

CERTIFICATION STATEMENT

We certify that the information provided in this Voluntary Certification System application is true and correct, policies outlined are followed, and governmental approval necessary for operations have been obtained.

APPLICATION FORM FOR GPP CERTIFICATE



Date:/...../.....

Chairperson of Board:
Signature

.....
Print Name

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Address

.....
Phone

.....
Email

Date:/...../.....

Executive Director:
Signature

.....
Print Name

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Address

.....
Phone

.....
Email

