



Responding to development effectiveness in the global South

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Introduction

Non Governmental Organisations (NGOs) and Civil Society Organisations (CSOs) more widely are facing increasing pressure to demonstrate their accountability, legitimacy and effectiveness. In response, a growing number are coming together at the national, regional and international level, to define common standards and promote good practice through codes of conduct, certification schemes, information services, working groups, self-assessment tools, and awards.

An important driver of this trend is the increasing scrutiny that the non-governmental sector has faced from governments, the private sector and the public. More recently, on-going discussions around the development effectiveness agenda have also steered the sector towards discussing these issues.

Following a previous joint One World Trust – World Vision International briefing paper that looked at international and northern national level self-regulation initiatives for development and humanitarian relief NGOs¹, this paper provides a picture of civil society self-regulation initiatives in the global South. Through an analysis of 90 initiatives across 54 countries it

¹ Lingán, J.; Cavender, A.; Lloyd, R.; Gwynne, B. (2009): Responding to NGO Development Effectiveness Initiatives OWT-WV Briefing Paper No.122, November 2009, London, One World Trust
<http://www.oneworldtrust.org/csoproject/images/documents/Responding-to-NGO-Development-Effectiveness-Initiatives-OWT-WV-122-2009.pdf>

identifies some of the common principles that underpin southern effectiveness efforts through self-regulation, key characteristics of institutional design, and specific drivers and challenges.

This briefing paper hopes to contribute to the debate on how development effectiveness is being viewed and how self-regulation is being used to strengthen the legitimacy and performance of NGOs and CSOs in the South. Given the current global process to stimulate discussion and agreement on what effectiveness means for CSOs and NGOs worldwide, (underway through the Open Forum on CSO Effectiveness), this paper seeks to provide a timely input to help inform the identification of common principles of effectiveness and any future approaches for monitoring their implementation at national level.

Methodology

The purpose of this paper is to analyse self-regulation initiatives developed by NGOs and CSOs in countries of the global South. In this paper, the term global South is used in a broad way and groups a wide range of countries from low to upper middle income economies as ranked by the World Bank classification of 2005. Information on the initiatives reviewed for this paper has been taken from a global database of CSO self-regulation compiled by the One World Trust². In order to explore some of the specific drivers and challenges to self-regulation in the South, we have supplemented this data with interviews with initiatives in Colombia, Cameroon, Chile, Kenya, India, Indonesia, Romania and the Middle East. These interviews were conducted between December 2009 and January 2010.

What are self-regulation initiatives?

We define NGO/CSO self-regulation initiatives as initiatives that have been developed by two or more organisations in a domestic civil society sector or at regional and international level in order to support greater accountability and more effective programming of the organisations that sign up and adhere to them. Critically, self-regulation initiatives are based on the work and participation of civil society, rather than being government led or induced. That said, self-regulation initiatives can be triggered by government regulation or pressure to regulate, and especially monitoring and compliance functions may be taken on or forward by state based bodies, which however have to be independent from government.

Types of self-regulation initiatives

In mapping self-regulation in the global South we applied a rather broad understanding of the term 'self-regulation'; our working definition was any initiative that was developed by or for the sector with the aim to improve performance of by setting common principles or standards of good practice. In addition to supporting greater effectiveness and accountability, self-regulation initiatives, however, have also proved important in that they help to create space for civic activity, support and strengthen the voice and legitimacy of civil society involvement in governance processes at the national and international level. Looking at form, purpose and elements featured by different self-regulation initiatives in this way, allowed us to identify a range of different types of initiative. The following typology was

² <http://www.oneworldtrust.org/csoproject/>

originally developed for the One World Trust's global database on CSO self-regulation, and is also used in the introductory briefing paper to this series.³

- **Codes of conduct or ethics** are sets of principles that guide the behaviour of members. They tend to be formalised but usually lack any systems for monitoring compliance.
- **Certification Schemes** tend to be highly formalised and have relatively strong compliance mechanisms. They usually grant a mark or certificate to organisations that comply with certain standards.
- **Information Services** enhance transparency by sharing information on the existence and activities of non-profit organisations with the general public and across the sector.
- **Working Groups** are informal groupings of organisations that come together on a regular basis to discuss, share and define best practice on a particular issue. To encourage the adoption of best practice they often develop **self-assessments, toolkits and guides** for their members. While informal, they can play an important role in laying the foundations for more formalised self-regulation.
- **Awards** are prizes that seek to identify, highlight, and reward good practice. They can be administered by a peer, umbrella or third party organisation.

Nature of compliance mechanisms

Alongside the different types of self-regulation mechanisms detailed above, the research also highlighted a range of approaches initiatives take to monitoring and verifying compliance with principles. A compliance system is the set of mechanisms, processes and procedures in place to support the implementation of a self-regulation initiative and, in turn protect its credibility⁴. In general there are five main types:

- **Commitments to compliance** in which signatory organisations simply promise to meet agreed commitments (usually a list of principles) and there are no arrangements for following up, monitoring or reporting on compliance.
- **Complaints based compliance procedures** put in place to allow stakeholders such as members of the public, to make a complaint against organisations that they believe are not in compliance with the commitments of an initiative.
- **Self-assessment initiatives** under which organisations are required to undertake a self-assessment of their compliance with principles. In some cases they are also required to report to the body administering the initiative and make the report public.
- **Peer review or assessments** under which peer agencies assess an organisation's compliance with agreed principles or standards and make recommendations for improvement.
- **Third party assessments** where a third party body undertakes an independent assessment of compliance.

³ Warren, S.; Lloyd, R. (2009): CSO Self-Regulation: The Global Picture, One World Trust Briefing Paper No 119, June 2009, London, One World Trust, <http://www.oneworldtrust.org/csoproject/images/documents/CSO-self-regulation-the-global-picture-OWT-119-2009.pdf>

⁴ See Lloyd, R.; Calvo, V.; Laybourn, C. (2010) Ensuring the Credibility and Effectiveness of CSO Self-regulation: Designing a Compliance System, Briefing Paper 127, June 2010

What are the principles that underpin effectiveness? In the previous briefing paper produced by the One World Trust and World Vision International that focused on NGO effectiveness and self-regulation at the global level and among northern humanitarian NGOs, it was found that similar effectiveness principles underpinned the 46 initiatives that were analysed⁵. At this level, an emerging consensus had developed around what effectiveness and accountability mean. Significantly, of the 90 southern initiatives that have been included in this paper, apart from slight differences in language, all are underpinned by similar principles of effectiveness and accountability. **Table 1** compares the principles identified from global and northern initiatives with those that emerged from an analysis of southern initiatives. Below is a brief explanation of what is meant by the six principles:

- The first principle is concerned with **accountability to the people that the NGOs/CSOs serve** (sometimes described as primary stakeholders, target groups, community members or beneficiaries), **as well as to staff and volunteers**. It stresses the multidimensionality of accountability and the responsibility organisations have to support staff and ensure recruitment is open and merit based.
- The second principle addresses issues of **ownership and sustainability (including commitment to participation, collaboration and relationships)**. It emphasises the engagement of local stakeholders in decision making and highlights the commitment to work on an agenda based on the needs and priorities of these local stakeholders.
- The third principle focuses on **transparency and good governance**. It concerns the disclosure of information about NGO activities, finances and governance arrangements for guaranteeing internal controls, integrity and efficiency.
- The fourth principle found to underpin many southern NGO/CSO self-regulation initiatives is that of **learning, evaluation and managing for results**. It encourages organisations to learn from the work they do and develop better strategies based on that learning. Emphasis is on measuring performance and impact and on capacity to learn from experience.
- The fifth principle many of the initiatives emphasise is **financial and political independence**. This was highlighted as an important principle by many southern CSOs/NGOs where they were given access to foreign donor support and to clarify the links between civil society and the state where there was a context of more rigid government.
- Finally, a sixth principle focuses on the **Respect for diversity** (gender, race, tribe, religion etc.), **human rights and the environment** in guiding NGO action.

⁵ Lingán, J.; Cavender, A.; Lloyd, R.; Gwynne, B. (2009): Responding to NGO Development Effectiveness Initiatives OWT-WV Briefing Paper No.122, November 2009, London, One World Trust, <http://www.oneworldtrust.org/csoproject/images/documents/Responding-to-NGO-Development-Effectiveness-Initiatives-OWT-WV-122-2009.pdf>

Table 1: High Level Principles of Effectiveness in Southern Countries⁶			
High Level Principle for global/northern initiatives ⁷	High Level Principle for southern initiatives	Percentage of southern country initiatives with focus on this area	Examples of guiding principles/standards used within the initiatives
Accountability (internal & external) stresses multidimensionality of accountability demands	Accountability to the people organisations aim to serve; as well as to staff and volunteers	<ul style="list-style-type: none"> • Staff Relations, equal opportunities (47%) • Staff development and training (18%) • Volunteer relations (17%) 	<ul style="list-style-type: none"> • Clearly define the relationship with volunteers, establishing rights and obligations of both parties. • Staff are recruited in a transparent manner, following written policies • Capacity development programs for staff, members and leaders to ensure potentials are fully developed and utilized
Ownership, Partnerships & Participation (engagement of local stakeholders in decision making; agenda based on their needs and priorities)	Ownership & Sustainability (commitments to participation, collaboration and building relationships)	<ul style="list-style-type: none"> • General commitment to beneficiary/client/supporter participation (46%) • CSO collaboration and partnership (31%) • State-CSO relations (23%) 	<ul style="list-style-type: none"> • Our programs will be planned, designed, implemented, monitored and evaluated with egalitarian practice and the participation of the people concerned. • Signatories of the Code agree that active participation of the citizens is necessary for the improvement of general political, social and economic situation in the society.
Transparency & Good Governance (disclosure of information about NGO activities, finances and governance arrangements for guaranteeing internal controls and efficiency)	Transparency and Good Governance	<ul style="list-style-type: none"> • General commitment to transparency (70%) • General commitment to good governance (52%) • Auditing (38%) • Board structure (33%) • Financial reporting (59%) • Stewardship of funds (28%) • Fundraising standards (21%) • Conflict of Interest (37%) 	<ul style="list-style-type: none"> • NGO leaders shall avoid potential conflict of interest between their political and NGO interests. • An NGO annually should prepare and make available to the public basic financial information on the organization. The NGO should also provide public access to appropriate financial records.
Learning, Evaluation & Managing for Results (encourages organisations to learn from the work they do)	Learning, Evaluation & Managing for Results	<ul style="list-style-type: none"> • General Commitment to M&E (40%) • Dissemination of evaluations (20%), Impact evaluation (21%) 	<ul style="list-style-type: none"> • The CSO has a stated intent, policy and plan on monitoring; evaluation and researching for evidence based interventions. The policy encourages the identification and documentation of best practices, lessons learnt opportunities, innovations, and challenges and solutions, etc to inform program/project design and implementation.
Independence (from political and economic	Financial and Political	<ul style="list-style-type: none"> • Financial Independence 	<ul style="list-style-type: none"> • Not to act as instruments of government foreign policy (...). We formulate our own policies and

⁶ **Analysis based on the principles taken from initiatives in:** Afghanistan, Argentina, Bulgaria, Benin, Brazil, Bosnia, Botswana, Chile, Colombia, Cambodia, Cameroon, Ecuador, Egypt, Ethiopia, Ghana, Gambia, Georgia, Honduras, India, Indonesia, Kenya, Kyrgyzstan, Mali, Mongolia, Montenegro, Nepal, Nigeria, Peru, Philippines, Pakistan, Poland, Palestine, Paraguay, Romania, Russia, South Africa, Somalia, Serbia/Kosovo, Sri Lanka, Tanzania, Uganda, Uruguay, Zimbabwe.

⁷ Taken directly from OWT-WV Briefing Paper No.122

interests)	Independence (32%) <ul style="list-style-type: none"> Political Independence (40%) 	<p>implementation strategies and do not seek to implement the policy of any government, except in so far as it coincides with our own independent policy.</p> <ul style="list-style-type: none"> We will not be under the control of any government, government body, political party or any business (...) but should instead focus on principles and policies.
Respect for diversity and human rights in guiding NGO action)	Respect for gender diversity, the environment, human rights <ul style="list-style-type: none"> Gender equality (27%) Environmental impact (21%) Human Rights (27%) Ethical communications (16%) 	<ul style="list-style-type: none"> Policy or written guidelines that ensure a fostering of gender equity, safeguarding rights of minorities and avoid any form of discrimination in its operations and practice. Non-Governmental Organization will at all times adopt the principle of the equality of rights between men and women in making decisions and formulating organizational policies as well as in seizing opportunities.

Main features of southern based self-regulation initiatives

The following section provides an analysis of some of the feature of self-regulation initiatives in the global South. It looks at the scale at which they function, the approaches taken (code of conduct, certification etc) and the nature of the compliance system.

International and regional level initiatives

In sharp contrast with global and northern initiatives where a significant number operate across national borders, there are only two regional level initiatives promoted by southern based organisations. The first is the working group on Transparency, Responsibility and Accountability of Ibero-American NGOs. This initiative involves a group of Latin American and Spanish organisations that work on accountability and transparency meeting periodically to exchange experiences and dialogue. The second is the Drivers of Change, an award scheme aimed at individuals and organisations from the Southern Africa region who contribute to the development of novel and effective public policies and strategies to overcome poverty. Interestingly, there are a number of regional initiatives in development, including: the Code of Conduct for Arab Civil Society Organisations facilitated by the Friedrich Naumann Foundation; and a proposal for a Code of Ethics and a Code of Conduct for Non-Governmental Organisations in the Arab World coordinated by the Bisan Centre for Research and Development.

Southern National Level Initiatives

90 national level initiatives have been identified in 54 southern countries. Of these, 66 initiatives are currently active, 10 are inactive and 14 are still in development⁸. The most common type (65%) are codes of conduct/ethics, however, only 47% of these have any

⁸ We could not confirm the current status of two other initiatives: the Code of Conduct of the Development Information Network in Nigeria and the Code of Standards for Armenian Non-Commercial Organizations. A full list of national initiatives is found in Annex 2.

means of monitoring or verifying compliance. For example, The Code of Ethics of Civil Society Organisations in Honduras lists ethical principles that members should follow concerning their responsibilities towards society, the organisation itself, peers, the state and funders, but leaves the responsibility for ensuring compliance with the principles to individual members.

Case Study 1: A Code of Ethics and Certification Scheme for Cameroon NGOs

Civil society in Cameroon became very vibrant and vocal in the 1990s when a series of laws were passed that liberalised the political landscape. For example, the law of decentralisation in 2004 encouraged local government councils and other decentralised state institutions and services to develop strategies for working with civil society so as to enhance the delivery of basic services and give a voice to grassroots communities in their provision. This work however brought concerns about the performance of some NGOs and created tensions between NGOs and the government and other development partners including grassroots groups.

One organisation that attempted to tackle this legitimacy, accountability and transparency deficit is the North West Association of Development Organisations (NWADO). It conducted research into the major issues facing CSOs in Cameroon and found that transparency and providing a signal of quality were the issues most raised. In response NWADO, in consultation with national civil society, developed a code of ethics and a certification scheme. The code addresses issues such as governance; organisational integrity and independence, human resource management; financial management and accountability; communication and networking and conflict of interest. While still in development, in the future, the initiative will consist of three levels of accreditation; NWADO is currently setting up regional and national level committees to carry out the monitoring.

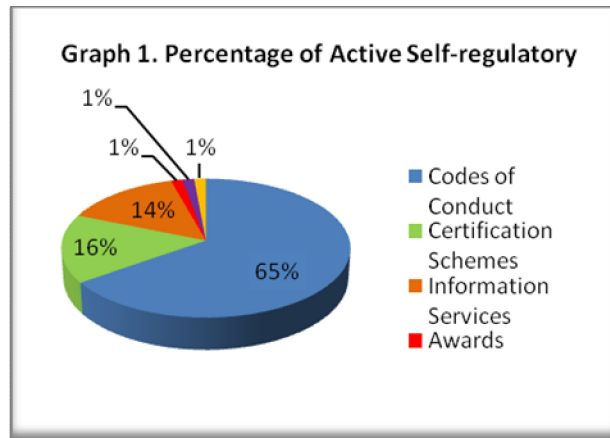
Of the **codes of conduct or ethics**⁹ that do have a compliance mechanism a large number use complaints procedures. For example the NGO Code of Conduct of the Council of NGOs of Botswana assigns responsibility for overseeing complaints and sanctioning organisations for non-compliance to an NGO Task Force; the Code of Conduct for Somali NGO Networks has established a Regulatory Committee which handles complaints; and the Code of Ethics and Principles Letter of the Association ACCION of Chile has an Ethical Committee which monitors compliance and can act on requests of any affected persons.

Only 16% (11) of the active initiatives are **certification schemes**. Eight of these are assessed by a third party. They are all managed by an NGO or NGO umbrella body. Such initiatives include: the NPO Certification Model of the Pakistan Center for Philanthropy, a certification system that assesses organisations' governance, programme delivery and financial management; the NGO Certification of the Philippine Council for NGO Certification, which is a private, non-profit corporation which certifies non-profit organisations

applying for 'donee' status (organisations that can receive donations allowed as business deductions for tax income purposes); the Kenyan CSO Standards developed by the Poverty Eradication Network (PEN) which has established an independent certification body called VIWANGO; and the NGO Quality Assurance Mechanism (QuAM) of the Uganda National NGO Forum and Development Network of Indigenous Voluntary Associations, which involves a peer review that verifies the findings of a preliminary self-assessment and provides recommendations for improvement.

⁹ We could not find information about five of those codes of conduct. See Annex 2.

There are 10 **information services** among the active initiatives. For example, the Civil Society Database of the Kosovar Civil Society Foundation collects and disseminates information on CSOs such as their mission and vision statements, a summary of current and past activities, and staff. Another example is the NGO Database of the Open Society in Bulgaria which provides general information and programmatic information about specific projects, budgeting and key donors of NGOs in Bulgaria.



Two **award schemes** were identified: the Drivers of Change Award, for Southern African people or organisations that have developed novel and effective public policies and strategies to overcome poverty, and the India NGO Award, instituted by the Resource Alliance and the Nand and Jeet Khemka Foundation, which aims to promote the financial and organizational sustainability of civil society and strengthen community support for its work.

One **self-assessment** was identified: an online self-assessment tool launched in Argentina by Help Argentina, available to non-profit organisations wishing to reflect on accountability and how these principles can be incorporated into its practices.

Finally, two **working groups** were identified: the Ibero-American Working Group on Accountability, discussed above, and the Groupe de Réflexion et d'Action des Intervenants en Environnement du SECO-ONG (GRAINE), a peer working group whose activities include supporting capacity development and exchange of information and experiences between Malian NGOs working on environmental and natural resource management issues.

What motivates NGOs and CSOs to participate in a self-regulation initiative?

In order to explore some of the drivers of southern initiatives and reasons why organisations participate a number of interviews were conducted with representatives in Kenya, Cameroon, Indonesia, Colombia, Chile, Romania and the Middle East.¹⁰ The drivers for self-regulation can be grouped according to the following areas:

¹⁰ We are grateful to the following people for sharing with us their view and opinions about their self-regulation experiences: Rosa Ines Ospina (NGOs for Transparency, Colombia), Eric Ngang (NWADO, Cameroon), Rocio Noriega (Chile Transparente), Thomas Kirongo (PEN, Kenya), Jeronimo Almeida (The Omega Rating, India), Khairul Amri (KPMM, Indonesia), Dana Pirtoc (Donors Forum, Romania) and Ubab Murad (Friedrich Naumann Foundation for Liberty, Middle East).

The relationship between the state and the NGO sector

An important driver for many initiatives is the nature of the relationship between civil society and the state. In the case of Columbia for example, the development of the 'NGOs for Transparency' Initiative was used as a way to fight back against government attempts to implement legislation that would restrict the activities of NGOs and that was being introduced under the pretences that the sector was not accountable or transparent. This tension is common in a number of other contexts and is usually triggered by the active role of NGOs advocating for social justice, rights or trying to influence public policy. NGOs are seen by some governments as political competitors, as a barrier for policy implementation or in some cases even as intermediaries of foreign interests. Self-regulation initiatives have emerged as a way of trying to build trust and legitimacy with governments, and pre-empting attempts of more intrusive regulation.

Restoring public trust in the sector

During the last years, the scrutiny faced by NGOs has increased considerably. Questions about their effectiveness and impact, legitimacy and accountability have permeated all layers of society. The need to build public trust was cited by all the initiatives as a major driver for self-regulation. In countries as diverse as Kenya, Romania and Cameroon the credibility of the sector in the eyes of the public is poor. Self-regulation was developed as a way of cleaning up the sector and assuring the public of organisations' legitimacy and credibility.

Case Study 2: Transparency and communication key tasks for NGOs in Colombia

Colombia has a well developed system of legislation with regard to NGOs. Access to information laws have been enforced since 1986 and a new constitution in 1991 instituted the rights of NGOs including the right to conduct oversight of the government. However, there have been repeated attempts to pass laws restricting the activities of NGOs. In an effort to push back such restrictive legislation, the NGOs for Transparency Network organised "collective exercises of accountability" where along with regional umbrella organisations, it gathered information on which NGOs work in a specific region and produced reports (regional reports and a national aggregated report) which were then presented at public meetings to local governments, private sector and international cooperation organisations. Alongside this, members of the Network also commit themselves to publishing a minimum of information on their websites. The information includes: transparency policies, history, mission, board structure, statutes, financial reports and evaluation reports. The initiative has been running for five years now and more than 300 NGOs around the country participate.

Case Study 3: Restoring public trust in Romania

In the years following the end of single party rule in Romania, civil society has changed from being a vehicle for delivering public services to a diverse sector comprising a wide range of organisations. Historically government regulation of NGOs has been poor and the relationship, especially towards advocacy groups, tense. Furthermore, the reputation of the sector has suffered significantly after a law passed in the 1990s allowing NGOs to buy second hand cars from Europe was abused by people trying to make a quick profit by selling them. To address this issue, Opportunity Associates Romania in partnership with Civil Society Development Foundation and CENTRAS, undertook consultations with the NGO sector in Romania and developed a Code of Conduct. Organisations that comply with the code form a Coalition of Good Practice Organisations who work together to attempt to increase its use. The code sets minimum standards for NGOs on issues such as: leadership, management, human resources, finances, operations and public relations.

Providing a signal of quality to donors

Another driver of self-regulation mentioned by a number of interviewees was the need to provide donors with a signal of quality. In a crowded sector, effective NGOs and CSOs need a way of standing out from the rest. Likewise, governments and private donors faced with a wide range of organisations are looking for a guide to which is most effective. The necessity to build donors' trust is not only aimed at the usual international aid donors but many initiatives have the objective of encouraging local philanthropy for which they need to be able to differentiate good from bad performers.

Case Study 4: The Omega Rating India

In India there are now around 1.7m NGOs and the numbers are growing at an increasing rate. This growth has increased concerns about organisations formed simply to take advantage of donor funds and tax benefits. The perception of NGO corruption among government officials has also diluted the effectiveness of the sector as a whole, and the credibility of NGOs is low. The Indian Confederation of NGOs (ICONGO) is attempting to remedy this credibility deficit through the Omega Rating, a certification scheme which has already audited 87 organisations. The scheme assesses financial management and human resources policy, particularly with regard to issues such as sexual harassment. There are 4000 NGOs currently applying to be assessed. Those NGOs who have been accredited are benefiting from increased attention from donors. The Omega Rating is just one part of a 5-year programme of advocacy and lobbying to mainstream the idea of earning and standardising legitimacy and credibility for the NGO sector.

What are the challenges when setting up an initiative?

The following section outlines some of the challenges faced by southern initiatives in developing self-regulation

Creating a culture of accountability

All interviewees identified the lack of a 'culture of accountability' within the sector as a major barrier to setting up self-regulation. Many organisations fear that being transparent could be disadvantageous as it might lead to sensitive information on their finances, activities and donors being disclosed. This information could in turn be used by other organisations to gain an advantage in a competitive market and be misused by actors critical of NGOs to undermine their work. In this regard, although most organisations recognise the need for a more accountable and effective sector, efforts are still needed to develop understanding of what it means to be accountable in different environments.

Dealing with a diverse sector

Designing a self-regulation initiative that takes into account the diversity in NGO size, resources, focus, and structures was identified as another challenge. The initiatives participating in this study, noted what while establishing agreement on general good practice principles is a relatively easy task, generating common understanding on how to put those principles into practice can be challenging. This might be the reason why most of the

initiatives identified in this paper are Codes of conduct that rely principally on signatories promising to meet the principles, rather than formal compliance mechanisms.

Available resources

Another challenge was securing support from donors. This manifest itself in two ways: firstly, individual organisations often find it difficult to secure funds to put in place the measures required by a self-regulation initiative. This can be particularly problematic when an initiative has compliance mechanisms and an organisations inability to comply may result in its exclusion. Secondly, organisations that establish, and administer a self-regulation initiative find that donors are often reluctant to provide funding for a programme whose benefits are often intangible and impact difficult to measure.

Conclusion

This paper shows that the use of self-regulation by civil society organisations in the global South is rapidly expanding and becoming an increasingly common feature within the sector to demonstrate effectiveness amongst NGOs and CSOs. At the same time, however, our research demonstrates that the majority of initiatives do not include a compliance element and rely on members promising to implement principles. While extensive and deep consultation around the development of a code of conduct can generate strong commitment to a set of principles, in the absence of any sort of compliance system, the temptation for a NGO to prioritise other issues and default on the commitments made under a self-regulation initiative is strong. This does not mean that all initiatives should pursue third party assessment to ensure compliance, and there are a range of approaches that can be used to fit the context in which organisations work. Leaving compliance to promises is not enough however and can undermine an initiatives' ability to improve practice, build public trust and provide a credible signal of quality within the sector.

The evidence reviewed for this paper also shows that the principles that underpin southern effectiveness initiatives are the same as those of global and northern initiatives. This is significant, as this suggests that there is convergence between North and South around what constitutes NGO effectiveness, accountability and quality mean, and how they can be enhanced.

These findings are particularly important as current efforts of the Open Form on CSO Effectiveness are seeking to achieve just that: define common principles of effectiveness and quality for CSOs. In addition, the growing number of self-regulation initiatives that are being developed in both the North and the South, and donors funding self-regulation initiatives as part of their efforts to support an enabling environment for civil society, may be interested to understand the emerging commonalities in principles, and how they can be effectively put into practice.

Lastly, while this paper does discuss the evolution of self regulatory initiatives and the drivers behind them, it is important to emphasise again that it does not assess each initiative included in the review in terms of its effectiveness. For example, it does not go into whether a 'commitment only' process works better than a 'peer-review' process in terms of improving accountability. That said, while it is good to have an initiative in place, it is more important to have an effective initiative in place.

Further research is therefore underway to explore what 'effectiveness' means in terms of self-regulation initiatives, and how to develop a good quality NGO effectiveness initiative at the national level. The aim of this next stage of research will be to develop a guide for southern organisations that can be used at the national level to develop self-regulation initiatives that are suited to their particular context.

About the authors

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ANNEX 1: International Level Initiatives

Note: more information concerning the principles and practices of each initiative can be found on the One World Trust online database at www.oneworldtrust.org/csoproject

Region	Name of Initiative	Organisation	Status	Type of initiative	Compliance Mechanism
Africa	Code d'Ethique et de Déontologie (Code of Ethics)	Réseau des Plates-formes nationales d'ONG d'Afrique de l'Ouest et du Centre (Network of National NGO Platforms in Central and West Africa)	<i>No information available</i>	Code of Conduct	<i>No information available</i>
	Code of Ethics and Conduct for African Civil Society Organisations	African Women's Development and Communications Network	Inactive	Code of Conduct	Complaints based
	Drivers of Change Award	Southern Africa Trust	Active	Award	NA
Middle East	A Proposal for a Code of Ethics and a Code of Conduct for Non-Governmental Organisations in the Arab World	Bisan Center for Research and Development	In development	Code of Conduct	Commitment only
	A Code of Conduct for Arab Civil Society Organizations	Friedrich Naumann Foundation for Liberty	In development	Code of Conduct	Commitment only
Latin America and the Caribbean	Code of Good Conduct for Caribbean NGOs	Caribbean Policy Development Centre	Inactive	Code of Conduct	Commitment only
	Ibero-American Working Group on CSO Accountability	Instituto de Comunicación y Desarrollo and others	Active	Working Group	NA

ANNEX 2: National Level Initiatives

Note: more information concerning the principles and practices of each initiative can be found on the One World Trust online database at www.oneworldtrust.org/csoproject

Country	Name of Initiative	Organisation	Status	Type of initiative	Compliance Mechanism
AFRICA					
Benin	Charte des Organisations de la Société Civile du Bénin	Organisation de la Société Civile Béninoise	Active	Code of Conduct	Commitment only
Botswana	NGO Code of Conduct	Botswana Council of NGOs	Active	Code of Conduct	Complaints based
Cameroon	Code of Ethics for Cameroon Civil Society Organisations	North West Association of Development Organisations (NWADO)	In development	Code of Conduct	Complaints based
Cape Verde	Código de Ética e de Postura (Code of Ethics)	Plataforma das ONG de Cabo Verde	In development	Code of Conduct	<i>No information available</i>
Egypt	Code of Ethics and Conduct for Non Governmental Organizations		In development	Code of Conduct	Commitment only
Ethiopia	Code of Conduct For NGOs in Ethiopia	Christian Relief and Development Association	Active	Code of Conduct	Complaints based
Ghana	Ghana CSO/NGO Standards for Excellence Project	Pan African Organization for Sustainable Development (POSDEV)	In development	Code of Conduct	<i>No information available</i>
	Draft Code of Ethics for Ghanet	Ghanet	In development	Code of Conduct	Complaints based
Gambia	Non-government Organisation Code of Conduct	The Association of NGOs	Active	Code of Conduct	<i>No information available</i>

Country	Name of Initiative	Organisation	Status	Type of initiative	Compliance Mechanism
Kenya	Code of Conduct	National Council of NGOs	Active	Code of Conduct	<i>No information available</i>
	Kenyan CSO Standards	Poverty Eradication Network	Active	Certification Scheme	Third Party assessment
	National HIV and AIDS Response Code of Conduct	National AIDS Control Council	In development	Code of Conduct	Third Party assessment
Lesotho	Code of Conduct of the Lesotho Council of NGOs	Lesotho Council of NGOs	In development	Code of Conduct	<i>No information available</i>
Mali	Code de déontologie des ONG au Mali (Code of ethics for NGOs in Mali)	Fédération des Collectifs d'ONG du Mali	Active	Code of Conduct	Commitment only
	Base de données des OSC au Mali (Database of Malian CSOs)	Forum des organisations de la société civile au Mali	Active	Information Service	NA
	Groupe de Réflexion et d'Action des Intervenants en Environnement du SECO-ONG (GRAINE)	Secretariat de Concertation des ONG Maliennes	Active	Working Group	NA
Mauritius	Code of Conduct for NGOs	Mauritius Council of Social Services	Active	Code of Conduct	<i>No information available</i>
Namibia	NGO Code of Ethics	Namibia NGO Platform	Active	Code of Conduct	<i>No information available</i>
Nigeria	CONSS Code of Conduct	Coalition of NGOs in Sokoto State	Active	Code of Conduct	Commitment only
	Code of Conduct	Development Information Network	Active	Code of Conduct	<i>No information available</i>
	Code of Conduct for Non-governmental Organizations in Nigeria	Nigeria Network of NGOs	Active	Code of Conduct	Commitment only
	Directory of NGOs in Nigeria	Nigeria Network of NGOs	Active	Information Service	NA

Country	Name of Initiative	Organisation	Status	Type of initiative	Compliance Mechanism
South Africa	Code of Ethics	South African NGO Coalition	Active	Code of Conduct	Commitment only
	Prodder: The South African NGO and Development Directory	SANGONet and Guidestar International	In development	Information Service	NA
	Greater Good South Africa	GreaterGood South Africa Trust	Active	Information Service	NA
Senegal	Code d'éthique et de déontologie du CONGAD (CONGAD Code of Ethics)	Conseil des ONG d'Appui au Développement au Sénégal (Council of NGOs in Support of Development in Senegal)	Active	Code of Conduct	<i>No information available</i>
Sierra Leone	Accountability Standards	Accountability Alert - Sierra Leone	In development	Certification Scheme	Third Party assessment
Somalia	The Code of Conduct for Somali NGO Networks	Somali Civil Society	Inactive	Code of Conduct	Complaints based
	Somali Civil Society Profiles	Somali Civil Society	Active	Information Service	NA
Tanzania	National NGO Code of Ethics	Tanzania National Council of NGOs	Active	Code of Conduct	Complaints based
	Database of Development Partners and Projects	European commission Canadian International Development Agency	Active	Information Service	NA

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Uganda	NGO Forum Generic Code of Conduct	Uganda National NGO Forum	Active	Code of Conduct	Commitment only
	NGO Quality Assurance Mechanism (QuAM)	Uganda National NGO Forum and Development Network of Indigenous Voluntary Associations	Active	Certification Scheme	Peer assessment
Zimbabwe	Code of Ethics	National Association of NGOs	Active	Code of Conduct	Commitment only
	Zimbabwe NGO Directory	National Association of NGOs	Active	Information Service	NA
CENTRAL ASIA					
Afghanistan	Code of Conduct for NGOs engaged in Humanitarian Action, Reconstruction, and Development in Afghanistan	Agency Coordinating Body for Afghan Relief	Active	Code of Conduct	Complaints based
Georgia	Code of Ethics	Citizens Advocate! Program // Civic Initiative Center	Active	Certification Scheme	Third party assessment
Kyrgyzstan	Ethical Code	Association of Civil Society Support Centers	Active	Code of Conduct	Complaints based
EAST ASIA					
Cambodia	NGO GPP - NGO Good Practice Project - Code of Ethical Principles and Minimum Standard for NGOs in Cambodia	Cooperation Committee for Cambodia	Active	Code of Conduct	Commitment only
	Voluntary NGO Certification System. Ethics and Accountability for the NGO Sector	Cooperation Committee for Cambodia	Active	Certification Scheme	Peer assessment

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India	Norms and Good Practices around Governance and Public Disclosure	Credibility Alliance	Active	Certification Scheme	Peer assessment
	The Omega Rating	Indian Confederation of NGOs	Active	Certification Scheme	Third Party assessment
	Guidestar India	Civil Society Information Services India / Guidestar International	In development	Information Service	NA
	Charity Research Initiative	Copal Partners	Inactive	Certification Scheme	Third Party assessment
	Give India Credibility Alliance	Give India	Active	Certification Scheme	Third Party assessment
	India NGO Award	The Nand and Jeet Khemka foundation	Active	Award	Third Party assessment
Indonesia	Code of Ethics Non-Governmental Organization	Institute for Social and Economic Research, Education & Information	Active	Code of Conduct	Commitment Only
	Code of Conduct	Konsorsium Pengembangan Masyarakat Madani (Consortium for Civil Society Development)	Active	Code of Conduct	Complaints based
	Certification of Indonesian NGOs	Satunama	In development	Certification Scheme	Third Party assessment
Mongolia	NGO Ethical Principles	Democracy Education Centre	Active	Code of Conduct	Commitment Only
	NGOs Online Database	Democracy Education Centre	In development	Information Service	NA
Nepal	NGO Code of Conduct	NGO Federation of Nepal	Active	Code of Conduct	Complaints based

Country	Name of Initiative	Organisation	Status	Type of initiative	Compliance Mechanism
Philippines	NGO Certification	Philippine Council for NGO Certification	Active	Certification Scheme	Third Party assessment
	CODE-NGO Covenant on Philippine Development	Caucus of Development NGO Networks	Active	Code of Conduct	Complaints based
Sri Lanka	Code of Conduct	Consortium of Humanitarian Agencies	Active	Code of Conduct	Commitment Only
EASTER EUROPE					
Albania	Code of Conduct	Albanian NGO Forum	In development	Code of Conduct	<i>No information available</i>
Armenia	Code of Standards for Armenian Non-Commercial Organizations	Professionals for Civil Society NGO (PFCS)	<i>No information available</i>	Code of Conduct	<i>No information available</i>
Bulgaria	Code of Ethics for NGOs	Open Society Institute, Bulgaria	Inactive	Code of Conduct	<i>No information available</i>
	Code of Ethics of the Bulgarian Donors' Forum Association	Bulgarian Donor's Forum	Active	Code of Conduct	Commitment Only
	NGO database	Open Society Foundation - Sofia	Active	Information Service	NA
	Environmental NGO Directory	Bluelink	Active	Information Service	NA
Bosnia	Code of Conduct	Civil Society Promotion Center	Active	Code of Conduct	Complaints based
Macedonia	Charter of Principles	Civic Platform of Macedonia	Active	Code of Conduct	Commitment Only
Montenegro	Code of Conduct for NGOs in the Republic of Montenegro	Coalition of NGOs By Cooperation to the Goal	Active	Code of Conduct	Complaints based
Poland	KLON and JAWOR Directories of NGOs	Centrum Informacji dla Organizacji Pozarzadowych	Active	Information Service	NA

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Romania	Romania Development Gateway NGO database	eRomania Gateway Association	Active	Information Service	NA
	Code of Conduct for Romanian Non-Profit, Non-Governmental Organizations	The Romanian Coalition for Good Practices in the Nonprofit Sector	Active	Code of Conduct	Commitment Only
Russia	NCO-Coordinates	Agency for Social Information	Active	Code of Conduct	Commitment Only
Russia	Code of Ethics	Union of Charitable Organisations	Active	Code of Conduct	Complaints based + self-assessment
Serbia/Kosovo	Code of Ethics	Platforma CiviKos	Active	Code of Conduct	Commitment Only
	Civil Society Database	Kosovar Civil Society Foundation	Active	Information Service	NA
MIDDLE EAST					
Palestine	Code of Conduct for Palestinian NGOs	AMAN Coalition	Active	Code of Conduct	<i>No information available</i>
	Palestinian NGOs Code of Conduct	NGO Development Centre of Palestine	Active	Code of Conduct	Complaints based + self-assessment
LATIN AMERICA					
Argentina	Auto Evaluación para las Organizaciones de la Sociedad Civil. Principios de buenas prácticas para organizaciones sociales (Self-Assessment for Civil Society Organisations. Principles of Good Practices for Social Organisations)	Fundación HelpArgentina (Help Argentina Foundation)	Inactive	Self-assessment tool	Self-assessment

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Brazil	Carta de Princípios (Letter of Principles)	Associação Brasileira de ONGs (Brazilian NGOs Association)	Active	Code of Conduct	Commitment Only
	Guia de Gestão Responsável para OSC (Guide of Responsible Management for Civil Society Organizations)	Parceiros Voluntarios (Volunteer Partners)	In development	Certification Scheme	Third Party assessment
Chile	Ética para la Acción. Una Contribución a la Transparencia y la Democracia. Código de Ética y Carta de Principios (Ethics for Action: A Contribution to Transparency and Democracy: Code of Ethics and Principles Letter)	Asociación ACCION	Active	Code of Conduct	Complaints based
	Estándares de Transparencia para ONGs (Transparency Standards for NGOs)	Chile Transparente	Active	Code of Conduct	Commitment Only
	Decálogo pro Transparencia para las organizaciones miembro de la Comunidad de Organizaciones Solidarias (Pro Transparency Decalogue for members of the Community of Solidary Organisations)	Comunidad Organizaciones Solidarias (Community of Solidary Organisations)	Active	Code of Conduct	Commitment Only
Colombia	Código de Ética (Code of Ethics)	Confederacion Colombiana de ONGs (Confederation of Colombian NGOs)	Active	Code of Conduct	Commitment Only
	Requisitos mínimos de información a ser publicada a través de la web (Minimum requirements for information to be published on web page)	Red ONGs por la transparencia (NGOs for Transparency)	Active	Code of Conduct	Complaints based

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Ecuador	Código de Ética de las ONGs Ambientalistas Ecuatorianas (Code of Ethics of Ecuadorian Environmental NGOs)	Coordinadora Ecuatoriana de organizaciones para la Defensa de la Naturaleza y el Medio Ambiente (Ecuadorian Coordinator for the Defense of Nature and the Environment)	Active	Code of Conduct	Commitment Only
Mexico	Indicadores de Institucionalidad y Transparencia (Governance and Transparency Indicators)	Centro Mexicano para la Filantropía (Mexican Centre for Philanthropy)	Active	Certification Scheme	Third Party assessment
Paraguay	Sistema de Evaluación de Desarrollo Organizacional- SEDO (Evaluation of Organizational Development System)	Colegio de Organizaciones para el Desarrollo Social (School of Organisations for Social Development)	Active	Certification Scheme	Third Party assessment
Uruguay	Código de Conducta Ética de la Asociación Nacional de ONG Orientadas al Desarrollo (Code of Ethical Conduct of the National Association of Development NGOs)	Asociación Nacional de ONG Orientadas al Desarrollo (National Association of Development NGOs)	Active	Code of Conduct	Complaints based
Honduras	Código de Ética de las Organizaciones de Sociedad Civil (Code of Ethics of Civil Society Organizations)	Foro Permanente de Organizaciones de la Sociedad Civil	Active	Code of Conduct	Commitment Only

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SOUTH ASIA					
Bangladesh	10 Point Accountability Charter	Campaign on Good Governance and Institutional Governance of NGOs Convention	Active	Code of Conduct	Commitment Only
	Code of Conduct	Association of Development Agencies in Bangladesh	Inactive	Code of Conduct	Commitment Only
Pakistan	NPO Certification Model	Pakistan Center for Philanthropy	Active	Certification Scheme	Third Party assessment
	Pakistan NGO Forum Code of Conduct	Pakistan NGO Forum	Inactive	Code of Conduct	Commitment Only