

Terms of Reference

Midterm Evaluation, Caritas Da Nang, Project for Promotion of Inclusion of Persons with Disabilities and Mitigation of Climate Change, Diocese of Da Nang

1. Project Information

Project Title:	Promotion of Inclusion and Mitigation of Climate Change: Installation and Operation of Solar Energy Systems with Vocational Training and Job Creation for People with Disabilities, Da Nang, Vietnam
Project Number:	DCV project no: P.325-2019-006 BMZ project no: PN: 5119
Project Period:	01.05.2021 – 28.02.2025
Project Evaluation Period:	01.05.2021 – 31.12.2023
Overall Budget:	660,000 EUR
Project Donors:	German Federal Ministry for Economic Cooperation and Development (BMZ) (75%) and Caritas Germany (25%)
Project Partner:	Caritas Da Nang, Vietnam

2. Background information and Context

a. Background

Situational background: With a current total population of around 95.5 million people, it is estimated that about 7.5 million people with disabilities live in Vietnam, approx. 7.8 percent of the population, with an increasing trend. They are often among the poorest of the poor (vicious cycle of poverty and disability) and are disproportionately vulnerable, often stigmatized and largely excluded from key areas of life such as health care, education and vocational training, gainful employment and social life in general. The majority of persons with disabilities have no vocational qualifications, even if they may have managed to go to school (inclusive schooling is still the exception) and may even have a high school diploma, because inclusive vocational training courses are hardly available or even unaffordable. Vocational training and gainful employment are key factors for the social participation of people with disabilities.

As a reaction to the increasing energy and climate problems, the renewable solar energy market in Vietnam has been growing in recent years and will surely have growth potential in the future. With the solar energy sector, which requires an increase of skilled workers, a new economic sector and labor market has been opening-up, which can offer opportunities for vocational training and employment of young people with disabilities and thus for their inclusion in the working world. The installation and maintenance of the photovoltaic systems in the present project on the roofs of two church-supported institutions provide opportunities to train young people with disabilities for the job of solar worker cum electrician while facilitating their entry into the solar energy and general electrician labor market adapted to their individual abilities.

Key stakeholders and donors:

The main stakeholders involved in the project activities are: Caritas Da Nang, Thanh Tam Center Da Nang, the private Technical Vocational Training Institute *Phuong Dong College of Da Nang*, the Solar Energy Company *Quang Minh Dat Electrical Construction and Consulting Co. Ltd (abbrev. QMD Company)* responsible for the installation and maintenance of the solar energy systems created with the support from this project, the management of the An Binh Clinic and of the Social-Pastoral Center of Da Nang Catholic Diocese, the parents and relatives of the young trainees with disabilities, the trainees themselves, and the (potential) employing companies for the trainees who have graduated from the training program. – The donors of the project are the German Federal Ministry for Economic Cooperation and Development (BMZ) which is providing 75 percent of the project funds; DCV/Caritas Germany International Department is contributing 25 percent of the project funds; local resources come in by way of personal family support in-kind for the young trainees.

Former projects: The idea for this project arose from the many years of expertise and community-based project experience of the two state-recognized church institutions Diocesan Caritas Da Nang and the Thanh Tam Center of the Catholic Sisters Congregation Soeurs de St. Paul de Chartres in Da Nang, the latter specifically in the sector of social and professional inclusion of people with disabilities.

Initial consultations with the Vietnamese project partner Caritas Da Nang on this project topic already took place in 2018/2019. For the concrete preparation of the project, a technical feasibility study was prepared in 2019, which was financed by DCV/Caritas Germany International Department from its own funds, supplemented by workshops in which the concept for the vocational training of young people with disabilities was developed together with the local partner. The project was proposed for funding to the BMZ funding title "Private Träger" and received an A-categorization in the third attempt by Engagement Global / BENG0 in 2020. The full application submitted to BENG0 in May 2020 was amended several times in response to BENG0 queries and finally approved at the end of February 2021. The BENG0 forwarding contract was received in March 2021, and the project then began officially in May 2021.

b. Context:

Intended Objectives:

Overall objective / impact: The use of modern solar energy technology contributes to effective climate protection, leads to sustainable management of social institutions and thus to the improvement of their services to their users / target groups and opens up the new occupational profile "electrician and solar worker" for the professional and social inclusion of people with disabilities.

Project objectives / outcomes (social as well as technical or economic and ecological):

- 1) Young people with disabilities (40 in the course of the present project) are trained and independently earn income in the occupational field of electrician and solar worker with different employment opportunities.
- 2) Patients of the rural An Binh Clinic and users of the diocesan Social-Pastoral Center of Da Nang receive improved health care as well as services in the form of educational and cultural programs.
- 3) The use of solar energy actively contributes to national and global climate protection.

Note: For detailed sub-objectives / outputs & indicators, see BMZ PT full proposal (DCVFR-#818021)

Target Groups: With the operation of the installed solar systems, the target groups and beneficiaries directly reached are the clients of two facilities: patients of the rural An Binh Clinic (about 7,200/year) and participants in the programs and events of the Social-Pastoral Center of the Diocese of Da Nang in Da Nang City (about 2,000/year).

With the project's social inclusion component of linkage to vocational training and employment promotion especially developed for young people with disabilities, about 40 selected trainees with disabilities are directly reached as a pilot group of later electrical and solar workers.

Indirectly, all people are reached who work and live together with the trainees with disabilities and who experience the importance of inclusion concretely: the families of the trainees, the staff of the training/employing companies and their customers, neighbors and the general environment of the residential groups in which the young people with disabilities live during vocational training.

The implementation activities throughout the project as well as the current state of the project's implementation to date (end of December 2023) are described in the project partner's annual narrative reports for the years 2021, 2022 and 2023 (the latter was sent to Caritas Germany on 22/01/2024) as well as in Caritas Germany's annual narrative reports to BMZ/bengo for the years 2021 and 2022 (2023 is to be submitted by Caritas Germany to BMZ/bengo by 30/04/2024).

Some notable successes and some problems in short:

- The solar power systems that have been installed are working well and have increased the service capacities of the rural An Binh Clinic and of the diocesan Social-Pastoral Center. However, the initial plan to sell surplus solar power to the national power grid EVN, and thereby generate income, is on hold due to an unexpected change of the Vietnamese Government's energy policy, suspending payment for the intake of privately produced electric power into the public grid.
- The young trainees with disabilities are motivated and enjoy their training. They have gained self-confidence in daily life. To date, the majority of them have found employment, but not all of them yet. It is not easy for the implementing project partner to find work placements for them and to provide on-the-job accompaniment and problem solving for both sides, the employees and the employers, among other reasons due to the project partner's limited project staff capacity.
- In the beginning, the progress of project implementation was slowed down due to the effects of the Corona pandemic, but the project partner was able to compensate and move slowly forward step by step, partly with the help of remote virtual work meetings.
- A recurrent problem has been project staff fluctuation: resigning of the first project coordinator and of the lead social worker; both have been replaced, but such transitions always cause interruptions of project continuity.

The project has been operational since May 2021 and will continue until February 2025. The local cost of the project (partner budget) amounts up to EUR 559,745.00 whereby 75% (EUR 419,808.75) are funded by the German Federal Ministry for Economic Cooperation and Development (BMZ), the rest is financed by Caritas Germany's own funds (25% = EUR 139,936.25).

3. Objective of the Evaluation

[Objectives - Clearly explain:

- ✓ Why the evaluation is being undertaken at this time and what the evaluation aims to find out. The description of objectives might start with an overall objective of the evaluation, followed by its specific objectives.

The overall objective of this mid-term evaluation is to analyze and understand better the impacts of this project's interventions in its different components and to improve further intervention design and management in the remaining project period and for working towards post-project sustainability.

Specific objectives of the evaluation:

On the social inclusion side: This mid-term evaluation is being undertaken at this time, because – even though somewhat beyond mid-term – it appears meaningful now that 25 (62.5%) of the originally envisaged number of 40 trainees with disabilities have graduated from the project's vocational training courses from the beginning of the project until the end of 2023. So, at this point there is a good opportunity to extract lessons learned from the implementation of the training courses delivered so far and from the job placement efforts, and based on this, to make any necessary adjustments in this regard in 2024 (in which the project partner wishes to provide two more training courses).

On the technical & economic / ecological side: Now is a good moment to analyze (quantitatively and qualitatively) how the installed solar power systems actually presently benefit the service provision of the An Binh Clinic and of the Social-Pastoral Center.

- ✓ Type of evaluation: participatory mid-term evaluation
- ✓ Reasons for scheduling this type of evaluation: due to slow onset of project implementation, resulting from the effects of the Corona pandemic, mid-term is removed to slightly later than exactly mid-term.
- ✓ What does the evaluation seek to accomplish: to draw lessons learned for the remaining project period and for already working towards post-project sustainability.
- ✓ How will the evaluation benefit the stakeholders: the stakeholders will benefit from the improvements undertaken on the basis of the lessons learned.
- ✓ Who will use the evaluation results: the evaluation results will be used by the local project partner Caritas Da Nang and by Caritas Germany.
- ✓ How will the findings of the evaluation be used in terms of accountability, learning and improvement: Caritas Da Nang and Caritas Germany will discuss how to use the conclusions and recommendations of the evaluation for improvement; this includes transparency and accountability vis-à-vis all the stakeholders of the project.

4. Scope of the Evaluation

[Scope- Specifically describe the boundaries or limits of the evaluation:

- ✓ **Thematic coverage:** Which activities or aspects of the program are being evaluated? Mainly the social inclusion aspects and related activities; if possible the technical and economic / ecological aspects.
- ✓ **Time period:** What time period of the project implementation should be analyzed during the evaluation process? (E.g. first, second phase; years; the whole program) The whole program from the beginning to date: 2.5 years.

- ✓ **Geographical focus:** Which primary geographical area should be evaluated? Should all cities/region/countries covered by project implementation be analyzed during the evaluation process? Or just some specific area/region?

The area within the boundaries of the diocese of Da Nang, which is the operating area of the project partner and the area from which the trainees with disabilities are recruited.

- ✓ **Target group:** which target groups should be evaluated?

All stakeholders: The project staff of Caritas Da Nang, the project advisors of Thanh Tam Center Da Nang, the 25 trainees with disabilities who were trained by the end of 2023 and who either found employment or did not yet find employment, the families of the trainees, the private technical vocational training institute Phuong Dong College of Da Nang, the solar energy company Quang Minh Dat Electrical Construction and Consulting Co. Ltd., the (potential) companies for providing employment for the graduated trainees, the management and staff of the An Binh Clinic, the management of the Social-Pastoral Center of Da Nang Catholic Diocese.

- ✓ **Out-of-scope:** Specify issues that are explicitly outside of the scope of the evaluation]

Outside the scope of the evaluation are the patients of the An Binh Clinic and the users of the Social-Pastoral Center.

5. Evaluation Criteria and Key Evaluation Questions

This evaluation will focus on **5 OECD-DAC evaluation criteria and related key questions**, which are:

- (i) **Relevance** (from the perspective of the project beneficiaries) – key evaluation questions: To what extent are the project's objectives and activities consistent with the needs and priorities of the beneficiaries?
- (ii) **Effectiveness** – key evaluation questions: To what extent have the project's objectives been reached? If this has been challenging, has some progress been made towards their achievement? – Are the project activities adequate to realize the objectives? – What were the problems and constraints encountered during the implementation? – What steps need to be taken to increase the effectiveness of the project (on organizational level; on country, province, community level; on donor level)?
- (iii) **Efficiency** (economical perspective) – key evaluation questions: Were the implemented project activities cost-efficient? Are the project results being achieved at an acceptable cost?
- (iv) **Impact** (significant and/or lasting effects produced by the project: directly, indirectly, intended and unintended) – key evaluation questions: What real difference has the project made for the beneficiaries; how have their living conditions changed or not changed? – What is the assessment of the project's contribution to human and institutional capacity building in terms of knowledge and competencies? – What are the social, economic and environmental effects on individuals, communities and institutions?
- (v) **Sustainability** (the probability of continued long-term benefits) – key evaluation questions: Are the achieved positive changes likely to be maintained after donor funding will have ceased? – What are the factors (internal / external) that will help to sustain the positive effects of the project? – To what extent has the project established processes and systems that are likely to support the continued implementation of the project? – What steps need to be taken to ensure project sustainability? – Is the project contributing to social change and institutional capacity?

6. Approach and Methodology

The Evaluator(s) is (are) expected to perform the evaluation in a strictly methodical manner in order to produce verifiable information and make recommendations that are sufficiently valid and reliably based on dependable data and analysis, which are accessible to the client.

The evaluation will adopt a participatory, transparent and solution-oriented approach using internal and external stakeholders. The evaluation process, as well as the final results should be gender-sensitive and human-rights-based. The evaluator(s) will use mix-methods that are able to appropriately address the primary evaluation questions, as well as properly support its derivative conclusions and recommendations.

The evaluation methods to be used may include, but are not limited to:

- **Review of project documentation (Desk Research):** An array of major documents that should be studied (e.g. project documents, monitoring reports, final reports, as well as statistical data, documents pertaining to similar projects led by other donor organizations, etc.) Existing project documents and reports are to be shared with the evaluator in order to facilitate the realization of the tasks. The evaluator is invited to request additional documents that may be needed for the completion of the evaluation.
- **Interviews with all the key informants and key players:** (semi-)structured Interviews with beneficiaries and other important stakeholders as already indicated above are a must and should be supported by interview protocols and the list of respondents (e.g. direct project beneficiaries, local staff, etc.). Among others, it will be important to interview (potential) employers of the graduated trainees with disabilities, to know their attitudes towards inclusion of persons with disabilities among their workforce, and to assess the possible need for more intensified lobbying and support vis-à-vis such employers.

The selection criteria should be based on gender, age, beneficiaries/non-beneficiaries and geographical spread in the project region.

The exact sample size should be proposed by the evaluator(s) and discussed together with Caritas Da Nang and Caritas Germany before the start of the evaluation. **Direct observation during field visits:** Caritas Da Nang will organize field visits at different project sites.

- **Focus group discussion** with beneficiaries, local leaders or local partner staff (if feasible within the timeframe)
- **Standardized Survey and questionnaires:** to quantify the result and deliver a statistical analysis.

7. Deliverables and Timeframe

Optional deliverables for the evaluation are:

i. Inception Report:

An inception report will be submitted by the evaluating consultant in order to demonstrate his understanding and planning of the evaluation, which will be reviewed and discussed in cooperation with Caritas Da Nang and Caritas Germany.

The inception report should include an *evaluation matrix*¹ (including the final evaluation questions and indicators); the overall evaluation design and methodology with a detailed description of the data collection methods and data analysis techniques, as well as a proposed timeframe for the activities and deliverables. The evaluator is free to suggest additional methodological framework for the evaluation.

The inception report of the evaluation should not exceed 5 pages and follow a predefined structure as described in *Annex 1*.

ii. Workshops/ Meeting:

The evaluator is free to select the type of workshops (e.g. kick-off/mid-term/validation workshop) during the conduction of the evaluation.

The Kick-off workshop provides an opportunity to discuss organizational processes, methodology, data collection instruments, timetable, milestones, reporting dates, task and responsibilities. Moreover, the mid-term workshop is useful to discuss problems that may arise in the course of an evaluation and allow a joint development of strategies for solutions.

During a validation workshop, the evaluator will present the findings collected in the field to Caritas Da Nang and Caritas Germany. The workshop will be organized in order to discuss and validate findings, lessons-learned and recommendations proposed by the evaluator. Stakeholders are invited to make recommendations for amending the review.

iii. Draft Report:

The consultant is expected to submit the primary findings resulting from his evaluation, as well as his initial recommendations to the desk officer of Caritas Germany. The Draft Report should be presented after the field work has been concluded and should incorporate comments supplied by Caritas Germany and its partner organizations.

iv. Final Report:

The final report serves to illustrate the relevant evidence corresponding with the evaluation issues, questions and criteria listed in the Terms of Reference. The final report should provide an executive summary in English. The Final report should take all aspects reviewed during evaluation workshops or meetings into consideration and is subject to approval by Caritas Da Nang and Caritas Germany.

The proposed report structure is outlined in *Annex 2*; its length should not exceed 28 pages (excluding appendices). All documents and tools are to be written in English language.

8. Timeframe for Deliverables

The actual evaluation work is to be carried out from 8th April 2024 to 19th April 2024, resulting in a total of 10 days.

The timeline for the activities consists of the following phases:

Preparation Phase: 2days

- Analysis of relevant project documents, as well as further research
- Preparation of inception report and exchange with Caritas Da Nang and Caritas Germany
- Kick-off Workshop involving Caritas Da Nang and Caritas Germany (the latter virtually via Zoom)

¹ Evaluation Matrix template, see *Annex 4*

Field Phase: 5 days

- Briefing with Caritas Da Nang, Caritas Germany and other relevant actors in Da Nang Diocese (Da Nang City and Quang Nam Province)
- Field visits
- Validation workshop involving Caritas Da Nang and Caritas Germany (the latter virtually via Zoom)

Synthesis Phase: 3 days

- Reporting including management response workshop
- Draft evaluation report
- Produce final report including revision as per feedback

The key products expected for the evaluation are the following:

Deliverable	Dates
Inception Report	28 th March 2024
Draft Report	3 rd May 2024
Final Report	17 th May 2024

The evaluator should present a detailed work plan and timeframe of all activities including the relevant resource allocation (see Annex 3).

9. Roles and Responsibilities

Caritas Da Nang is responsible for organizing and facilitating the logistics to and in Da Nang diocese. Caritas Da Nang and Caritas Germany will provide access to all relevant project documents.

The consultant will be working under and reporting to the Caritas Germany desk officer and the Caritas Da Nang partner organization during the evaluation phase.

10. Guiding Principles & Donor concepts

The consultant is to conduct the evaluation in accordance with the principles outlined in the “Caritas Internationalis management standards” document², the “Caritas Code of conduct”,³ as well as the “Guidelines on Combating Fraud and Corruption in the Project Work of Caritas Germany”⁴. (See Annex 5)

² See Caritas Internationalis management Standards

<http://portal.caritas.de/arbeitsmensch/ci-portal/Documents/CI%20Management%20Standards%20englisch.docx>

³ See Caritas Code of conduct

<http://portal.caritas.de/arbeitsmensch/ci-portal/Documents/Code%20of%20Conduct.pdf>

⁴ See Guidelines on Combating Fraud and Corruption in the Project Work of Caritas Germany

<http://portal.caritas.de/arbeitsmensch/ci-portal/Documents/Leitlinien%20Korruption%20englisch.docx>

The evaluator must take all required steps to ensure that the evaluation is designed and conducted to respect and protect the rights and welfare of the people and the communities of which they are members, as well as to ensure that the evaluation is technically accurate, reliable, and legitimate, and conducted in a transparent and impartial manner. Moreover, the evaluation should ideally contribute to organizational learning and accountability.

11. Professional Qualification and Experience

The evaluation consultant should meet with the following, required skills and competence profile:

- Experiences of evaluation regarding empirical social research, evaluation of programs in international cooperation, application of OECD-DAC criteria for evaluation, managing participatory evaluation process.
- In-depth knowledge and experience in social inclusion aspects and related activities; if possible, also in technical and economic / ecological aspects.
- Ability to provide strategic and practical recommendation to key stakeholders.
- Use of methods in empirical social research (qualitative and quantitative methods, data collection and data analysis).
- Strong analytical skills and ability to clearly synthesize and present findings, draw practical conclusions, make recommendations and prepare well-written reports in a timely manner.
- Expertise in using participatory tools.
- Familiarity with transparency and downward accountability processes and their values.
- Fluency in written and spoken English, ideally in conjunction with good skills in spoken Vietnamese.
- Country and regional experience in Asia, Vietnam / Da Nang.
- Good understanding and appropriate sensitivity with regard to different cultures and traditions.

12. Terms of Payment

The evaluator is to receive payment from Caritas Germany in 3 instalments:

- **1st Payment:** 30 % upon signing of the contract;
- **2nd Payment:** 30 % upon the submission of the first draft of the evaluation report;
- **Final Payment:** 40 % upon the submission of the final evaluation report, subject to its acceptance by Caritas

Caritas Germany will not settle any payment unless the consultancy institution accomplished all the tasks in a timely fashion. The basis for payment scheduling is to be determined during contract negotiations.

13. Application Procedure

Interested candidates should submit their application material by 8th March 2024.

The application itself should include the following components:

- Curriculum Vitae (CV) including 3 professional references, and indication of daily rates
- Cover letter transparently summarizing relevant experiences in as well as practical experience in planning and conducting project evaluations.
- Track record of conducted studies, research, publication, and references.
- A technical proposal for the evaluation, including the proposed evaluation methodology and work plan.

- Financial proposal⁵ underlying the evaluation, including proposed fee for a maximum of 10 working days.
- A sample of recent writing (report or similar) relevant to the terms of reference stated above

The proposal should be addressed to:

Christine Wegner-Schneider

Desk Officer

Caritas Germany

Karlstraße 40,

79104 Freiburg

Phone: + 49 (0) 761 200 598

Email: christine.wegner-schneider@caritas.de

With copy to: corinna.bayer@caritas.de

14. Annexes

- **Annex 1:** Table of content for the Inception Report
- **Annex 2:** Table of content for Evaluation Report
- **Annex 3:** Template for Work plan – Timeframe
- **Annex 4:** Evaluation Matrix Template
- **Annex 5:** Financial Proposal
- **Annex 6:** Caritas Internationalis and Caritas Germany Ethical Guidelines and Code of Conduct.

⁵ See Financial Proposal *Annex 6*

Terms of Reference - Annex 1

Annex 1: Table of Content Inception Report

Cover: Project title and number; authors; Institution Name; date

1. **Introduction** (2 pages)
 - Background and context
 - Objective and scope of the evaluation
2. **Evaluation Methodology** (5-7 pages)
 - Evaluation questions
 - Indicators
 - Methods of Data Collection and Analysis methods
 - Sampling strategy
 - Evaluation planning matrix
 - Risks and Limitations to the evaluations
3. **Work Plan** (2 pages)
 - Timeframe & Deliverables
 - Work plan, including activities in field
 - Responsibility for each evaluation phase
4. **Logistics and Support** (1 page)
 - Specific assistance required from Caritas Germany & Caritas Da Nang
5. **Possible Annexes:**
 - Table of documents reviewed
 - Work Plan (Mandatory)
 - Evaluation Matrix (Mandatory)
 - Terms of Reference (Mandatory)
 - Document reviewed (Mandatory)
 - Draft Data Collection instrument (Mandatory)
 - Interview Questions (If used)
 - Questionnaires (if used)
 - Short biography of the evaluator

Terms of Reference - Annex 2

Annex 2: Table of Content Evaluation Report

Cover: Project title and number; authors; Institution Name; date of final report

Table of Content

List of abbreviations

Executive Summary (2 pages)

- Brief project description
- Objectives of the evaluation and expected use of the evaluation
- Summary of the evaluation methodology
- Key findings and conclusion, related to project goals/target
- Key recommendations
- Summary of lesson learned

1. **Introduction** (1- 1.5 pages)

- Background and project context
- Project description, including: context, scope, stakeholders and beneficiaries, logical framework and project monitoring system

2. **Evaluation objective** (3 –max.4 pages)

- Evaluation objective, scope and focus
- Evaluation key questions
- Limitations
- Composition of the evaluation team

3. **Evaluation Methodology**, including: (3-4 pages)

- Data sources; Data collection and analysis techniques; participatory techniques
- Triangulation of data sources
- Major Limitation on the methodology

4. **Key Evaluation Finding** (with reference to the main issues of the ToR) (8 -10 pages)

5. **Conclusion:** insights into findings; reasons for successes and failures (2-3 pages)

6. **Lessons Learned** (1 page)

7. **Recommendations**, based on evidence and insights (3 pages)

Annexes to the evaluation Report:

- a. Terms of Reference for the evaluation
- b. Evaluation Matrix (see annex 4)
- c. Timetable
- d. List of participants
- e. List of individuals interview and of stakeholders groups and/or communities consulted
- f. List of reference documents reviewed
- g. Interview protocols
- h. List of persons polled
- i. Photo documentation
- j. Other technical annexes (e.g. statistical analysis and figures)
- k. Short biography of the evaluator

Terms of Reference – Annex 3

Annex 3: Template for Work Plan - Timeframe

Activities & Deliverables	Date
Meeting and briefing with Evaluation consultant and Caritas Da Nang and Caritas Germany	
Desk Review and write the Inception Report (if applicable)	
Submission of the Inception Report	
Meeting of evaluation consultant and Caritas Da Nang and Caritas Germany; and approve of Inception Report	
Preparation on the mission on the ground	
Travel	
Work in Field: <ul style="list-style-type: none"> • Kick- off – ; Mid-term; Validation Workshop/ Meeting • Interviews with beneficiaries; Key informant interviews, Focus Groups • Surveys 	
Travel	
Write and prepare Draft Report	
Approve Draft Report	
Submit Final Report, summary report incorporating feedback	
Final Report approved	
Presentation of findings to Caritas Da Nang and Caritas Germany	

Terms of Reference – Annex 4

Annex 4: Evaluation Matrix Template

Criteria	Evaluation Question related to each criterion in the ToR	Indicator for the questions for each criterion	Data Collection method(s)	Sampling	Comments
Relevance					
Impact					
Coherence					
...					

Terms of Reference – Annex 5

Annex 5: Financial Proposal Consultant

The financial proposal shall be submitted in Euro and shall take into account various expenses incurred by the evaluation consultant during the contract period. The financial proposal shall include a breakdown of the lump sum amount as following:

- **Professional Fees (per diem):**
 - Maximum working days (1 working day = 8 hours) _____, -EUR
 - ____% VAT
- **Travel Cost (per diem):**
 - International travel cost (Air fare for the most direct, economical route)
 - Accommodation
- **Any additional Charges:**
 - Travel insurance
 - Visa
 - Translation cost if any

The payment will be effected only upon confirmation of Caritas Germany, following the handover of contractually required documents in a satisfactory manner. For more details regarding our General Terms and Conditions for Consultancy and Expertise Contracts” please contact our desk officer for the necessary documents. [\[English: #415269\]](#)

We are looking for a cost-effective proposal. Please submit your proposal including an expected budget outline based on the aforementioned aspects.

Deutscher Caritasverband e.V.

Ethical conduct / prevention of abuse of power

Project Agreement – 2. Appendix:

English Version

01.06.2020

Index

Introduction

Appendix 2.1: Caritas Internationalis: Management Standards

Appendix 2.2: Caritas Internationalis: Children and Vulnerable Adults Safeguarding Policy

Appendix 2.3: Caritas Internationalis: Code of Ethics and Code of Conduct for staffs

Appendix 2.4: Red Cross: Code of Conduct

Appendix 2.5: Caritas Germany (DCV): Guidelines on Combating Fraud and Corruption

Introduction

Why we ask our partners to commit to the annexes related to ethical conduct:

- The Codes, policies and regulations, which have been adopted by Caritas Internationalis (CI) are binding standards to the member organisations of the global Caritas network. By consequence, they apply to all projects funded through Caritas Germany.
- The International Red Cross Movement Code of Conduct has been signed by Caritas Internationalis and is thereby equally applicable to Caritas Germany and our partners.
- With the Caritas Germany Anti-corruption Policy we combat fraud and corruption for projects funded by Caritas Germany and implemented by our partners.

CI Management Standards (CIMS):

Launched in 2019, the CIMS are an official instrument in the Confederation and they are applicable to all member organizations. Four areas are spelled out to contribute to member organisations improving their leadership and attaining excellence as well as enabling them to be accountable to themselves and to the community. These four areas are: Laws & Ethical Codes, Governance & Organisation, Programme & Finance Accountability, Stakeholder Involvement.

CI Children and Vulnerable Adults Safeguarding Policy:

With this policy, introduced in 2018, Caritas recognizes the unique needs of children (1) and vulnerable adults and committing itself to creating and maintaining an environment that protects these individuals. Caritas hence prohibits all forms of abuse and exploitation such as sexual activity with children, physical or emotional harm, sex for services, misuse of power to either withhold assistance and services or to request payments and other benefits, trafficking of persons. The duty to report, confidentiality of information and preventive measures such as safe recruitment are addressed as well. This policy applies to CI as well as all member organization's staff and associates (2).

(1) Child: Any person under the age of 18

(2) "Staff" refers to all Caritas staff, volunteers, interns and governance members.
"Associates" refers to consultants and contractors

CI Code of Ethics (CoE) + Code of Conduct (CoC):

Both documents date from 2014 and are binding for the Confederation. The CoE comprises the overarching ethical framework to which all Members and staff (1) are expected to adhere. The CoC derives from and is closely interlinked to the CoE. The Code of Conduct for Staff describes mores specifically the behaviour that is expected of all Caritas staff. Hence, all national directors representing their organisation and staff have signed the CoE as well as the CoC.

(1) "Staff" refers to board members, employees, volunteers, consultants and all those who act as agents/service providers of the Confederation at all levels.

Code of Conduct of the International RCRC Movement and NGOs:

Caritas Internationalis is a signatory to the “Code of Conduct for the International Red Cross and Red Crescent Movement and Non-governmental Organisations”. This Code of Conduct seeks to guard standards of behaviour in relation to humanity, independence, impartiality, effectiveness and impact to which disaster response NGOs and the International Red Cross and Red Crescent movement aspires.

Caritas Germany Anticorruption Guideline:

Caritas Germany receives private donations, allocations from public donors and third-person contributions in order to support people in need. Together with its local partner organizations, Caritas Germany carries the responsibility for the effective, efficient, adequate and transparent use of these entrusted project funds. In addition to the CoC, these Anticorruption Guideline signed in 2012 aim at avoiding and fighting fraud and corruption at all levels within Germany and abroad. Apart from the general definition and the various manifestations of corruption as well as specific corruption risks within the work of Caritas Germany, the guideline explain concrete measures and mandatory rules of conduct to prevent and fight fraud and corruption.

Caritas Internationalis Management Standards

Rome, November 2018

Approved by RepCo 28 November 2018

The Caritas Internationalis Management Standards

Rome, November 2018

Approved by RepCo 28 November 2018

The Representative Council during its 14th meeting on 15-17 May 2018, having received the positive recommendations from an external evaluation of the “*ad experimentum*” phase, unanimously approved the revised CI Management Standards.

The revised Management Standards put emphasis on the participation of the people in need in all Caritas programs. Following the invitation of Pope Francis in his Apostolic Exhortation “*Evangelii Gaudium*”, we must let ourselves be evangelized by them. Indeed, they have much to teach us since they have the experience of the suffering Christ, therefore they have to be put at the centre of the Church (*cf. EG 198*).

These final Management Standards launched on 1st January 2019 have become mandatory and permanent and must be applied by all CI Member Organizations.

We thank God and we congratulate all CI MOs who have made this project aiming at supporting the growth and the professionalism of all members of the CI Confederation a reality.

As we look for means and ways to continue the journey that we have undertaken together, we reaffirm that the Catholic Social Teaching remains one of the foundations of our work. We recall the powerful and challenging statement of Pope Benedict in *Deus Caritas Est*, a statement which represents a permanent inspiration for all of us, and a strong support to our IDCS-CIMS initiatives: “*The Church’s charitable organizations, beginning with those of Caritas (at diocesan, national and international levels), ought to do everything in their power to provide the resources and above all the personnel needed for this work. Individuals who care for those in need must first be professionally competent: they should be trained in what to do and how to do it, and committed to continuing care. Yet, while professional competence is a primary, fundamental requirement, it is not of itself sufficient. We are dealing with human beings, and human beings always need something more than technically proper care. They need humanity...Consequently, in addition to their necessary professional training, these charity workers need a “formation of the heart” (DCE n.31.a).*

Working together during the “*ad experimentum*” phase has shown once again that together we are more. In communion and fraternal cooperation, we mobilized resources for trainings, assessments, communications, etc. We developed harmonized standards so that we may have a tool that responds to our common needs. In the spirit of “Emmaus”, the “*accompaniment*” mechanism has been approved as a mean to ensure that no one is left behind and that those who are strong may support those who are in need (*cf. Rom. 15:1*).

We are determined to move forward towards making our Caritas Confederation even more effective and increasingly served by professionals committed to “the Christian’s programme – the programme of the Good Samaritan, the programme of Jesus, which is a “heart that sees” (*DCE 31.b*). We remain conscious that the horizon of our mission as Caritas is the Kingdom of justice and solidarity, that will be achieved only when God will

be all in all (*cf. 1 Cor 15:28*). We know that we have not yet reached our goal, but we are striving to go forward from the point we have each attained (*cf. Phil 3:28*).

Let us continue our journey united in mind and in mutual support.

1 Laws and Ethical Codes	
1.1	Catholic identity: the Organisation identifies as a Catholic charitable organisation, follows Catholic Social Teaching and observes Canon Law
1.2	Law of the land: the Organisation acts in accordance with the laws and legal requirements applicable in the country where it is registered
1.3	Ethics and staff conduct: the Organisation adheres to the Caritas Internationalis Code of Ethics and the Caritas Internationalis Code of Conduct for Staff
1.4	Humanitarian Ethics: the Organisation is bound to observe international Humanitarian standards and principles
1.5	Environmental Ethics: the Organisation ensures that natural resources are used wisely, waste is minimised and projects are environmentally friendly
1.6	Partnership Principles: the Organisation observes the CI Partnership Principles.
1.7	Complaints Procedure: the Organisation has an appropriate and safe complaints handling mechanism, which is formally and publicly communicated as a way to provide feedback
1.8	Implementing level: the Organisation encourages diocesan Caritas organisations to observe these Management Standards

2 Governance and Organisation	
2.1	Constitution: the Organisation has constitutional documents that refer to Caritas values
2.2	Governance Structure: the role and responsibilities of governance bodies are clearly defined
2.3	Leadership and General Management: executive leadership encourages effective and efficient implementation as per the vision and mission of the organisation, and develops new visions and strategies as required by changing circumstances and/or opportunities.
2.4	Human Resource Management: the Organisation manages its Human Resources as stipulated in regulations and procedures that are known to all staff
2.5	Strategic Plan: the Organisation has an up-to-date, comprehensive, realistic and clear strategic plan that brings together its vision, mission and specific objectives
2.6	Fundraising Strategy: the Organisation has a regularly updated fundraising plan for national and international resource mobilisation
2.7	Risk Management: the Organisation assesses internal and external risks that may prevent it from achieving its objectives carefully and regularly. Measures are in place to reduce these risks
2.8	Organisational Learning: the Organisation fosters a culture in which sharing experiences informs the evolution of the organisation

3 Programme and Finance Accountability	
3.1	Project Management: the Organisation ensures that all projects are in line with its vision and mission and are carried out in accordance with the needs, vulnerabilities and capacities of local communities
3.2	Project Quality: the Organisation ensures that all projects are carried out in accordance with appropriate technical standards
3.3	Financial Planning: the Organisation has translated its strategic objectives into multi-annual plans that are drawn up in order to achieve these objectives. Within this framework annual budgets are approved before the start of their respective periods
3.4	Financial Management: the Organisation exercises stewardship in the management of its financial resources, while carefully ensuring the reliability of its financial information
3.5	Procurement Policy: the Organisation has and applies a procurement policy describing the approved procedures and supervision of the tendering and purchasing process
3.6	Assets Management: the Organisation demonstrates good stewardship of resources by ensuring proper procedures to guarantee the existence, maintenance and safety of all capital assets, such as: buildings, vehicle fleet and information technology equipment
3.7	Fund Management: the Organisation manages its unrestricted and restricted funds in accordance with their intended purposes
3.8	Auditing: the Organisation's annual financial statements are audited by an external auditor, and the Organisation undertakes independent internal audits

4 Stakeholder Involvement	
4.1	Safeguarding: the Organisation adheres to the Caritas Internationalis Children and Vulnerable Adults Safeguarding Policy
4.2	Transparency and Accountability: the Organisation has a clear and transparent methodology of communicating with people and communities
4.3	Advocacy: the Organisation engages in national and international advocacy within the limits established by the competent ecclesial authority
4.4	Interacting with constituency: involvement of grassroots and Parish communities
4.5	Networking: the Organisation proactively participates in sectoral and thematic networks
4.6	Information sharing: the Organisation communicates in an ordered and transparent way with stakeholders about its work and performance
4.7	Data protection: the Organisation is responsible for protecting and safeguarding data
4.8	Information Disclosure Policy: the Organisation is transparent and makes information about its programs and operations available to the public in accordance with an information disclosure policy

Appendix 2.2: Caritas Internationalis: Children and Vulnerable Adults Safeguarding Policy



PROTECTION FROM ABUSE AND EXPLOITATION

Caritas Internationalis

Children and Vulnerable Adults Safeguarding Policy

PROTECTION FROM ABUSE AND EXPLOITATION

Caritas Internationalis Children and Vulnerable Adults Safeguarding Policy

1.1 Purpose

Caritas recognizes the right of children and vulnerable adults to protection, regardless of gender, race, culture and disability. Caritas recognizes the power dynamics inherent in working with children and vulnerable adults and the potential for abuse and exploitation by staff of people we work with.

Caritas is committed to creating and maintaining an environment which promotes its core values and prevents abuse and exploitation of all people. Caritas staff¹ and associates² are expected to uphold the dignity of all people with whom they come into contact by ensuring that their personal and professional conduct is of the highest standards at all times. They are equally expected to serve with integrity and promote the right relationships while taking their responsibilities.

Caritas recognizes the unique needs of children and vulnerable adults and, therefore, commits itself to creating and maintaining an environment that protects these individuals.

1.2 Scope

This policy applies directly to the following categories:

1. All Caritas Internationalis General Secretariat staff and associates
2. Those deployed through Caritas Internationalis mandated support mechanisms
3. Member organizations staff and associates

The General Secretariat will support members when needed.

1.3 Protecting Children and Vulnerable Adults

Caritas Internationalis prohibits all forms of exploitation and abuse, namely:

- Caritas staff and associates are prohibited from engaging in sexual activity with children (persons under the age of 18, regardless of the age of majority or age of consent locally). Mistaken belief regarding the age of a child is not a defense.
- Caritas staff and associates are prohibited from causing any physical or emotional harm to children or vulnerable adults.
- Caritas staff and associates are prohibited from the exchange of money, employment, goods, or services for sex, including sexual favors.

1 Staff refers to all Caritas staff, volunteers, interns and governance members.

2 Associates refers to consultants and contractors

- Caritas staff and associates are prohibited from any form of humiliating, degrading, or exploitative behavior toward children, women, and vulnerable adults.
- Caritas staff and associates are not to use their power or position to withhold assistance or services, or to give preferential treatment.
- Caritas staff and associates are prohibited from using their power or position to request or demand payment, privilege, or any other benefit.
- Caritas staff and associates are prohibited from engaging in trafficking in human beings, in all forms.

In the same spirit, Caritas staff and associates are strongly discouraged to engage in sexual relationships with people they work with since they are based on inherently unequal power dynamics. Such relationships are contrary to Caritas principles and values and undermine the credibility and integrity of its work.

1.4 Responsibility to report

Caritas staff and associates are obliged to report any concern or suspicion of exploitation and abuse of a child or vulnerable adult. Failure to report may put the victim and Caritas at risk and is a breach of this Safeguarding Policy and of the Caritas Internationalis Code of Conduct.

Caritas staff and associates should report concerns by a staff from other non-member organization or body through established reporting mechanisms.

1.5 Prevention

Caritas is adhering to the highest human resource and recruitment standards to safeguard people we work with against exploitation and abuse. This includes:

- Safe recruitment – referencing and vetting prospective applicants with emphasis on impeccable track record in carrying out their work in conformity with the Code of Conduct. Caritas Internationalis is adhering to the sector-wide referencing scheme called “inter-agency misconduct disclosure scheme”.
- Induction – all staff have completed an induction on the Caritas Internationalis Code of Conduct, Complaints and Handling Policy and Procedures, Caritas Internationalis Child and Vulnerable Adults Safeguarding Policy and Standards of Behavior Toward Children and Glossary of Terms.
- Acknowledgment – all staff have read, understood and signed the Child and Vulnerable Adults Safeguarding Policy and the CI Code of Conduct.

1.6 Data protection

Caritas Internationalis is committed to apply the highest levels of protection in the processing of personal data. Personal information acquired during investigations related to the breach of the Caritas Internationalis Code of Conduct and the Caritas Internationalis Child and Vulnerable Adults Safeguarding Policy will be treated in accordance to the General Data

Protection Regulation (EU) 2016/679 on the protection of natural persons with regard to the processing of personal data.

Approved by the Executive Board on 11th October 2018

Annexes:

Annex I - Glossary of Terms

Annex II - Standards of behavior towards children

Annex I - Glossary of Terms

CHILD:

Any person under the age of 18. National law or local customs may use different definition; however, Caritas' position is all persons under the age of 18 should receive equal protection regardless of local age limits.

VULNERABLE ADULT:

Vulnerable adults are individuals aged 18 years and over who are at greater risk of significant harm due to factors such as gender, age, mental or physical health, or as a result of poverty, inequality or experience of displacement or crisis.

SAFEGUARDING:

The responsibility that organisations have to make sure their staff and programmes promote the welfare of children and vulnerable adults and do not expose them to the risk of harm and abuse. PSEA (Prevention of Sexual Exploitation and Abuse) and child protection come under this umbrella term.

PROTECTION:

The responsibility and measures taken to prevent and respond to abuse and exploitation of a child or vulnerable adult. This includes building awareness, promoting training, identifying and responding to all complaints, monitoring and evaluating protection structures, and taking personal responsibility.

CHILD PROTECTION:

Child protection is about preventing and responding to violence, exploitation and abuse against children - including sexual exploitation and abuse, trafficking, child labour and harmful traditional practices. It is part of the broader area of work known as Safeguarding.

PSEA (Protection from Sexual Exploitation and Abuse):

All measures that protect people from crisis affected communities from sexual exploitation and abuse by staff (e.g. of NGOs, the UN and other actors).

ABUSE:

Any action or inaction that causes harm to another person. It can include physical abuse, emotional abuse, sexual abuse and neglect. It also includes abuse online and/or through mobile technology. There are various types of abuse including:

1. **Sexual abuse:** Any actual or threatened sexual act of violence perpetrated against a child or adult, whether by force or under unequal or coercive conditions. Examples of sexual abuse include rape, abusive sexual contact like unwanted touching and non-contact sexual abuse such as sexting and verbal or behavioral sexual harassment.
2. **Physical abuse:** The actual or likely physical injury to a child or adult, such as hitting, kicking or shaking, where there is definite knowledge, or reasonable suspicion, that the injury was inflicted or knowingly not prevented.
3. **Emotional abuse:** Harm done by persistent or severe emotional ill-treatment or rejection, such as degrading punishments, threats, bullying, and not giving care and affection.
4. **Neglect:** When basic needs such as food, warmth and medical care are not met, or when there is a failure to prevent exposure to any kind of danger.

EXPLOITATION:

Any actual or attempted abuse of a position of vulnerability, differential power or trust to profit monetarily, socially or politically. There are various types of exploitation including:

1. **Sexual Exploitation:** The actual or attempted abuse of a position of vulnerability, differential power or trust, for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another.
2. **Child Labour:** The term “child labour” generally refers to any economic activity performed by a person under the age of 15.
3. **Trafficking:** The recruitment, transportation, transfer, harboring or receipt of children or vulnerable adults for the purpose of exploitation such as for labor, prostitution or sexual exploitation.
4. **Survival Sex:** Occurs when a child or vulnerable adult living in poverty or in an emergency situation chooses to engage in or is coerced into sex as a last resort for survival. It is transactional sex in exchange for food, water, drugs, shelter, money and any other essential needs for integral human survival.

SUSPECT:

An individual, who is suspected of having abused, exploited or knowingly allowed the ill treatment of a child or vulnerable adult. Such abuse or exploitation may cause physical, sexual, emotional, psychological or other harm to an individual. Investigation would determine whether the suspect is guilty or not.

REPORTER:

An individual who identifies and reports suspected incidents of abuse or exploitation of a child or vulnerable adult. All Caritas Staff are required to report whenever a suspicion of abuse or exploitation involving Caritas Staff or other humanitarian workers is raised, even when they may not have all the facts at hand.

Annex II - Caritas Internationalis Standards of Behaviour towards Children

Caritas staff³ and associates⁴ must remain aware of perceptions and appearances in their language, actions, and relationships to children and safeguard them from harm. Staff and associates should be aware at all times to uphold the dignity of each child and treat all children with respect.

The following outline provides behavioural expectations of all Staff and Associates when interacting with children (any person under 18 years of age).

Caritas staff and associates:

MUST	MUST NOT
<ol style="list-style-type: none"> 1. Conduct themselves in manner consistent with values of Caritas, including complying with the Caritas Internationalis Code of Conduct and Code of Ethics 2. Treat all children and their families with respect, regardless of race, colour, gender, language, religion, political or other opinion, national, ethnic or social origin, property, disability, birth or other status 3. Listen to children 4. Provide welcoming, inclusive and safe environment for children that prevents all forms of abuse and exploitation. 5. Be sensitive when they are around children (i.e. language, conversations, touch, gestures) 6. Respect cultural differences which do not harm children 7. Be transparent in actions and whereabouts 8. Have at least one other adult present when they are with a child. Care and discretion must be used on all one-on-one situations 9. Ensure that an adult caretaker is present when transporting a child; and if not possible, obtain appropriate permission 10. Report any concerns of child abuse or exploitation 11. Disclose all charges or convictions if they relate to child exploitation 12. Comply with relevant country legislation 13. Ensure contact with children is supervised, accompanied or at least in sight of other adults. 	<ol style="list-style-type: none"> 1. Hit and physically abuse children (even if culturally acceptable) 2. Emotionally or verbally abuse a child 3. Be harsh toward a child. If a child expresses discomfort, stop the behaviour 4. Have sex or engage in any sexual activity with a child including inappropriate touch 5. Send degrading or harmful written or verbal messages to a child, such as sex- texting, pornography 6. Use any computers, mobiles, video cameras or social media to exploit or harass children, or access, download or share child exploitation material 7. Hire a child 8. Encourage a child to meet with them outside of work-related activities 9. Take a child to their homes 10. Find themselves alone with a child (there may be exceptions) 11. Do things for child of a personal nature that they are able to do for themselves 12. Show favouritism 13. Be intoxicated or under the influence of drugs when with children

³ Staff refers staff, volunteers, interns and governance members.

⁴ Associates refers to consultants and contractors



Caritas Internationalis

Code of Ethics

&

Code of Conduct for Staff

Rome, May 2014

Approved by the RepCo 18 May 2014

Striving to live our values: Code of Ethics for Caritas Internationalis¹

Introduction

The work of Caritas Internationalis is motivated, oriented and defined by Holy Scripture, the teaching and tradition of the Catholic Church and a loving personal encounter with people in need². “Caritas is the Church’s caress to her people”³ and embodies a preferential option for and with those who are poor, excluded or marginalised. Caritas strives to secure the integral development of the whole person, and to relieve the suffering caused by catastrophes, conflicts & injustice.

Article 1.3 of Caritas Internationalis’ Internal Rules prescribes that: “Member organisations must meet minimum standards of governance, organisational infrastructure, financial viability and accountability, and compliance with ethical codes of conduct, as decided by the Representative Council. They remain autonomous in their juridical, financial and contractual status.”

In addition to the Statutes and Internal Rules which provide the canonical legal framework for Caritas Internationalis, several standards and guidelines have been developed for the work of the Confederation, including the following, the status of which has not changed:

- The Caritas Partnership Guiding Principles (2003)
- Caritas Internationalis Child Protection Policy Framework (2004)
- Caritas Internationalis Guidelines on Relations with the Military (2006)
- Caritas Internationalis Guidelines on Environmental Justice (2006)
- Caritas Internationalis Emergency Guidelines (2007)
- Caritas Internationalis Management Standards (2013)

Caritas Internationalis is also a signatory to:

- The Code of Conduct for the International Red Cross and Red Crescent Movement and Non- governmental Organisations
- The Sphere Project’s Humanitarian Charter and Minimum standards in Disaster Response.

In addition, as a major network in the international humanitarian and development community, Caritas Internationalis actively seeks to improve its work and incorporate good practice as it develops.

1 Caritas Internationalis is the global confederation of 164 Cat

2 “When you meet with the one in greater need, your heart will begin to enlarge, to enlarge, to enlarge! Because our coming together multiplies our capacity to love – our meeting with another enlarges our heart. Do it!”, Pope Francis, Video Message on the Feast of Saint Cajetan, 07 August 2013 (<https://zenit.org/2013/08/07/pope-francis-message-for-the-feast-of-saint-cajetan/>).

3 Pope Francis: A Church Without Charity Does Not Exist,” May 16, 2013, <http://newswire.crs.org/pope-francis-a-church-without-charity-does-not-exist>

The following Code of Ethics is based upon and summarises in one normative statement the values and principles contained in the above, which comprise the overarching ethical framework to which all Members and staff⁴ are expected to adhere. In all its work, Caritas Internationalis, its Members and staff aspire to embody these values and principles, and in so doing to be active witnesses to Christ's compassion at work in the world.

The Minimum Standards of Caritas Internationalis prescribe how this Code of Ethics is translated into organisational policy and behaviour, and include a procedure for assessing Members' compliance. The "Code of Conduct for Staff" describes the behaviour that is expected of all Caritas staff.

Caritas Internationalis is confident that the majority of its Members and staff act with great conscience and integrity, and exemplify the values and principles of this Code of Ethics, without needing explicit statements. This document is a guiding norm for Members of Caritas Internationalis and staff at all levels. However, by means of this Code of Ethics we ensure greater clarity and consistency across the Confederation, above all in its identity and ecclesial mission. Members of the Caritas Confederation are expected either: to i) adopt this Code of Ethics and operating principles as written, or ii) adapt it for their own organisations, ensuring consistency between the two. It is intended that diocesan Caritas will also adopt this Code of Ethics but where this is not the case and programme implementation is undertaken by dioceses or other partners on behalf of Caritas Internationalis members, the latter must ensure through specific agreements that these minimum standards are appropriately applied.

This Code should be included in national and diocesan Caritas' Human Resources policies, and staff in these organisations should receive a copy of it, be trained on the Code and be expected to abide by it.

Values and Principles:

All human life is sacred from conception to natural death. Made in the image and likeness of God, all women and men are created with unique dignity since they "stand above all things, and [their] rights and duties are universal and inviolable."⁵ "By his innermost nature man is a social being, and unless he relates himself to others he can neither live nor develop his potential."⁶ "All of social life is an expression of its unmistakable protagonist: the human person,"⁷ who, "far from being the object or passive element of social life is rather, and must always remain, its subject, foundation and goal."⁸

4 For the purposes of this Code, "staff" refers to board members, employees, volunteers, consultants and all those who act as agents of the Confederation at all levels.

5 Vatican Council II, Pastoral Constitution on the Church in the Modern World: *Gaudium et Spes* (http://www.vatican.va/archive/hist_councils/ii_vatican_council/documents/vat-ii_const_19651207_gaudium-et-spes_en.html), #26

6 *ibid*, paragraph 12.

7 Pontifical Council for Justice and Peace, *Compendium of the Social Doctrine of the Catholic Church*, #106, http://www.vatican.va/roman_curia/pontifical_councils/justpeace/documents/rc_pc_justpeace_doc_20060526_compendio-dott-soc_en.html

8 Pius XII, Radio Message of 24 December 1944, 5: AAS 37 (1945), 12

“This social order requires constant improvement. It must be founded on truth, built on justice and animated by love; in freedom it should grow every day toward a more humane balance.”⁹

Human dignity and the social nature of the human person are the foundation and inspiration for a moral vision of society which will be achieved if we live by the following values and principles:

Values

1. **Justice:** responding to the call of faith, we strive to build a just moral order and “right relationships” within our own lives and organisations, the communities in which we work, and the whole of God’s creation. We accompany, serve and plead the cause of those made poor and pushed to the margins, helping them to transform the societies in which they live and the structures that keep them poor.

“Society ensures social justice when it provides the conditions that allow associations or individuals to obtain what is their due, according to their nature and their vocation. Social justice is linked to the common good and the exercise of authority.”¹⁰

2. **The common good:** the enjoyment of human dignity and ability to grow in community is affected by the way we organise our society: socially, religiously, culturally, economically, ecologically, legally and politically. We work within the universal communion of the Catholic Church, and with other religious traditions, governments, wider civil society and all in authority, to protect human dignity, fulfil individual and social rights and responsibilities, and promote the common good.

“A society that wishes and intends to remain at the service of the human being at every level is a society that has the common good – the good of all people and of the whole person – as its primary goal. The human person cannot find fulfilment in himself, that is, apart from the fact that he exists “with” others and “for” others.”¹¹ The common good is always oriented towards the progress of persons: “The order of things must be subordinate to the order of persons, and not the other way around.”¹²

3. **Integral Human Development:** we view development as based on a holistic understanding of the human person, within the context and experience of the family and the wider community, embracing spiritual, psychological, emotional, physical, material and economic elements. Wherever we work we strive for the development of the whole person and the whole community, and transform unjust social systems. In our work we ensure strong and consistent links between the relief, rehabilitation and developmental components.

“To be authentic, [development] must be well rounded; it must foster the development of each man and of the whole man... Man is truly human only if he is the master of his own actions and the judge of their worth, only if he is the architect of his own

9 Gaudium et Spes, #26.

10 Catechism of the Catholic Church, #1928.

11 Compendium of the Social Doctrine of the Church, #165.

12 Gaudium et Spes, #26/3

progress. He must act according to his God-given nature, freely accepting its potentials and its claims upon him.”¹³

4. **Compassion:** united in one human family we are profoundly moved by the suffering of others and have a moral duty to recognise the humanitarian imperative to respond. This duty is essential both to our identity as a Catholic organization and to our membership of the human family. Thus, as members of the international community, we recognise our obligation to provide humanitarian assistance and the duty of others to ensure unimpeded access for us to do so.

“The Christian’s programme – the programme of the Good Samaritan, the programme of Jesus – is a ‘heart that sees.’ This heart sees where love is needed and acts accordingly.”¹⁴ As Jesus told us: “In truth I tell you, in so far as you did this to one of the least of these brothers of mine, you did it to me.”¹⁵

5. **Preferential Option for and with the Poor and Oppressed:** in accordance with the Gospel of Jesus, we choose to accompany those who are poor, marginalised or oppressed. We are committed to combating the dehumanising poverty that robs people of their dignity and humanity. We are guided by Christian Scripture to work for freedom of the oppressed and an equitable sharing of the gifts of the earth and to help the marginalized be responsible for their own development. We take up the cause of people who are poor as our own, putting ourselves alongside them. To this degree we will take a stand alongside them in their need and confront the injustice they face.

“This rather is the fasting that I wish: releasing those bound unjustly, untying the thongs of the yoke; setting free the oppressed, breaking every yoke; sharing your bread with the hungry, sheltering the oppressed and the homeless; clothing the naked when you see them, and not turning your back on your own.”¹⁶

“The fight against poverty finds a strong motivation in the option or preferential love of the Church for the poor.”¹⁷ “Let us look at the poor ‘not as a problem, but as people who can become the principle builders of a new and more human future for everyone.’”¹⁸

6. **Respect:** we respect religious traditions, culture, structures and customs in so far as they enhance and uphold the dignity of the human person.

13 Pope Paul VI, *Populorum Progressio*, On the Development of Peoples, # 14 and 34 (1967),

www.vatican.va/holy_father/paul_vi/encyclicals/documents/hf_p-vi_enc_26031967_populorum_en.html

14 Pope Benedict XVI, *Deus Caritas Est*, #31(2005),

http://www.vatican.va/holy_father/benedict_xvi/encyclicals/documents/hf_ben-xvi_enc_20051225_deus-caritas-est_en.html

15 Matthew 25:40

16 Isaiah 58:6-7

17 CF John Paul II, Address to the Third General Conference of Latin American Bishops, Puebla, Mexico,(28 January 1979), I/8: AAS 71 (1979), 194-5

18 John Paul II, Message for the World Peace Day 2000, http://w2.vatican.va/content/john-paul-ii/en/messages/peace/documents/hf_jp-ii_mes_08121999_xxxiii-world-day-for-peace.html

“A just society can become a reality only when it is based on the respect of the transcendent dignity of the human person.”¹⁹

7. **Solidarity:** we work in solidarity with people who are poor and marginal, thereby achieving the fruits of peace, justice and human development. Solidarity binds us together in the common vision of establishing a world where all human beings receive what rightly belongs to them as sons and daughters of God.

“Solidarity highlights in a particular way the intrinsic social nature of the human person, the equality of all in dignity and rights and the common path of individuals and peoples towards an ever more committed unity.”²⁰

Principles:

1. **Partnership:** “authentic partnership means a long-term commitment to agreed objectives based on shared values, strategies, and information. It is characterised by honest feedback, joint planning, accompaniment, transparency, and accountability on both sides, and a genuine openness and sensitivity to the other’s needs, feelings, expertise, experience, and wisdom. It is based on mutual respect, trust and goodwill. Effective partnership creates solidarity among member organisations, other organisations that share our vision, and the communities and people with whom we work.”²¹

“... Caritas Internationalis promotes cooperation among its members, without diminishing their due autonomy, by carrying out tasks of encouragement, coordination, representation and capacity building.”²²

2. **Subsidiarity:** we ensure that power, decisions and responsibility are devolved to the lowest level at which they can be properly exercised. In so doing we will strive to maximise and build upon local abilities and resources. Central to our identity as Caritas are the national, diocesan and parish members, and we will all strive to promote and strengthen these to enable them to assume greater autonomy and responsibility.

“Just as it is gravely wrong to take from individuals what they can accomplish by their own initiative and industry and give it to the community, so also it is an injustice and at the same time a grave evil and disturbance of right order to assign to a greater and higher association what lesser and subordinate organizations can do. For every social activity ought of its very nature to furnish help of the body social, and never destroy and absorb them.”²³

19 Compendium of the Social Doctrine of the Church, 132.

20 Pontifical Council for Justice and Peace: “Compendium of the Social Doctrine of the Church” (http://www.vatican.va/roman_curia/pontifical_councils/justpeace/documents/rc_pc_justpeace_doc_20060526_compendio-dott-soc_en.html), #192

21 Caritas Internationalis, Caritas Partnership Principles: A Caritas Internationalis Handbook for Reflection and Action (Rome, 2003, <https://www.caritas.org/who-we-are/publications-and-resources/>)

22 Statutes of Caritas Internationalis, article 1.5

23 Pope Pius XI, Encyclical Letter Quadragesimo Anno, #79, http://w2.vatican.va/content/pius-xi/en/encyclicals/documents/hf_p-xi_enc_19310515_quadagesimo-anno.html

3. **Participation:** we ensure that people we serve are involved in the design, management and implementation of the projects we undertake on their behalf and the associated decisions from assessment through to evaluation. Participation is an expression of human dignity and implies shared responsibility for the human community. Caritas is committed to development processes that prioritise active participation as the foundation of a democratic and inclusive society.

“... man's personal dignity involves his right to take an active part in public life, and to make his own contribution to the common welfare of his fellow citizens..”²⁴

4. **Empowerment:** we help people develop and realise their full potential, and build mutually respectful relations, so they can control and improve their quality of life. Through integral human development and empowerment, we will promote active, powerful local communities with members playing a significant role in civil society.

“I hope there will be noise ... But I want you to make yourselves heard in your dioceses, I want the noise to go out, I want the Church to go out onto the streets, I want us to resist everything worldly, everything static, everything comfortable ... everything that might make us closed in on ourselves. The parishes, the schools, the institutions are made for going out.”²⁵

5. **Independence:** we as Caritas members determine our operational priorities and programmes and do not allow ourselves to be used as instruments of national or foreign economic or political interests, especially when such are not in conformity with Catholic Church Teaching.

“Positive signs in the contemporary world are the growing awareness of the solidarity of the poor among themselves, their efforts to support one another, and their public demonstrations on the social scene which, without recourse to violence, present their own needs and rights in the face of the inefficiency or corruption of the public authorities.”²⁶

6. **Stewardship and Accountability:** we will make every effort to be accountable to those whom we serve, those who support our work and society at large. We also ensure good stewardship of the resources entrusted to us.

“At times it happens that those who receive aid become subordinate to the aid-givers, and the poor serve to perpetuate expensive bureaucracies which consume an excessively high percentage of funds intended for development. Hence it is to be hoped that all international agencies and non-governmental organizations will commit themselves to complete transparency, informing donors and the public of the percentage of their income allocated to programmes of cooperation, the actual

24 Pope John XXIII, *Pacem In Terris*, On Establishing Universal Peace In Truth, Justice, Charity, and Liberty (1963), #26, www.vatican.va/holy_father/john_xxiii/encyclicals/documents/hf_j-xxiii_enc11041963_pacem_en.html

25 Pope Francis, Address to Meeting with Young People from Argentina, Rio de Janeiro, 25 July 2013, http://www.vatican.va/content/francesco/en/speeches/2013/july/documents/papa-francesco_20130725_gmg-argentini-rio.html

26 *Sollicitudo Rei Socialis*, Pope John Paul II, For the Twentieth Anniversary of “*Populorum Progressio*” (1987), #39 http://www.vatican.va/content/john-paul-ii/en/encyclicals/documents/hf_jp-ii_enc_30121987_sollicitudo-rei-socialis.html

content of those programmes and, finally, the detailed expenditure of the institution itself.”²⁷

7. **Equality, universality, impartiality and openness to all peoples:** all women and men, girls and boys are created equal and make their own unique contributions to our world, collectively realising that which is fully human. We commit ourselves to equal and active participation of women and men, girls and boys in all our work.

We serve people impartially, particularly those who are poorest and most vulnerable, according to objective assessments of their situations and the needs they express, irrespective of race, age, sex, physical ability, ethnicity, creed or political persuasion, indeed without adverse distinction of any kind.

“We must ... recognize, affirm and defend the equal dignity of man and woman: they are both persons, utterly unique among all the living beings found in the world.”²⁸ ... Giving women opportunities to make their voice heard and to express their talents through initiatives which reinforce their worth, their self-esteem and their uniqueness would enable them to occupy a place in society equal to that of men.”²⁹

8. **Protection:** we strive to ensure the safety of those with and for whom we work, especially children in accordance with the UN Convention on the Rights of the Child, national legislation and Caritas’ Child Protection Framework (2004) and other good practice.

“I wished to acknowledge personally the suffering inflicted on the victims and the honest efforts made both to ensure the safety of our children and to deal appropriately and transparently with allegations as they arise ... Just as the Church is rightly held to exacting standards in this regard, all other institutions, without exception, should be held to the same standards.”³⁰

9. **Local economies:** whenever possible we use local resources and products and support the local economy wherever possible, in so far as doing so does not exhaust supplies or cause exceptional inflation.

“Subsidiarity, understood *in the positive sense*, [is] economic, institutional or juridical assistance offered to lesser social entities ... Their initiative, freedom, and responsibility must not be supplanted.”³¹

27 Pope Benedict XVI, Caritas in Veritate, 2009, #47,

http://www.vatican.va/holy_father/benedict_xvi/encyclicals/documents/hf_ben-xvi_enc_20090629_caritas-in-veritate_en.html

28 Pope Benedict XVI, Meeting with Catholic Movements for the Promotion of Women, St. Anthony’s Parish, Luanda, Angola, 22 March 2009,

http://www.vatican.va/holy_father/benedict_xvi/speeches/2009/march/documents/hf_ben-xvi_spe_20090322_promozione-donna_en.html

29 Pope Benedict XVI, Post-synodal Apostolic Exhortation Africae Munus (2011), #57,

http://www.vatican.va/holy_father/benedict_xvi/apost_exhortations/documents/hf_ben-xvi_exh_20111119_africae-munus_en.html

30 Pope Benedict XVI, Address to the Bishops of the United States of America on their Ad Limina Visit, 26 November 2011, Vatican City,

http://www.vatican.va/holy_father/benedict_xvi/speeches/2011/november/documents/hf_ben-xvi_spe_20111126_bishops-usa_en.html

31 Compendium, op.cit., #186.

10. **Care for creation and attention to environmental impact:** we protect people and the planet, promoting right relationship with all of God's creation, since the planet and all its resources are entrusted to humankind. Acting as true stewards of all creation, we consider the environment and the heritage of future generations in the planning and implementation of all our work.

"Cultivating and caring for creation is an instruction of God which he gave not only at the beginning of history, but has also given to each one of us; it is part of his plan; it means making the world increase with responsibility, transforming it so that it may be a garden, an habitable place for us all.."32

11. **Coordination:** we will coordinate closely with national governments and local authorities, churches, other religious organisations, civil society, other members of the relief and development communities, and all other relevant stakeholders.

"Born from an impulse of this Apostolic See which then supervised and directed its activity, *Caritas Internationalis* is made up of a Confederation of charitable agencies, usually the national branches of *Caritas*. This Confederation, far from limiting the autonomy to which these branches are entitled, fosters their collaboration through its activities of animation, coordination and representation."33

12. **Advocacy:** we will advocate – nationally and internationally – on behalf of and with the poor and marginalised to bear witness to, and address, their plight and the underlying or structural causes of poverty and injustice. We will be agents of change and social transformation to promote respect for human rights.

"I would also like to emphasize that your mission enables you [*Caritas*] to play an important role on the international level. The experience you have garnered in these years has taught you to be advocates within the international community of a sound anthropological vision, one nourished by Catholic teaching and committed to defending the dignity of all human life. All that you say and do, the witness of your lives and activities, remains important and contributes to the advancement of the integral good of the human person."34

13. **Learning and Staff Development:** we are committed to improving our work, what we do and how we do it, through continual reflection, capacity-building, monitoring, evaluation, knowledge management and strategic planning. We will invest in our staff to ensure that they have the skills, experience and formation they need to reach their full potential and ensure that *Caritas* achieves its potential and makes the greatest difference for those who are poor, marginalised or oppressed.

"The Church's charitable organizations, beginning with those of *Caritas* (at diocesan, national and international levels), ought to do everything in their power to

32 Pope Francis, General Audience, 5 June 2013

http://www.vatican.va/content/francesco/en/audiences/2013/documents/papa-francesco_20130605_udienza-generale.html

33 Pope John Paul II, During the Last Supper, Letter to *Caritas Internationalis* for the Acquisition of Public, Juridic, and Canonical Personality, 16 September 2004,

http://www.vatican.va/holy_father/john_paul_ii/letters/2004/documents/hf_jp-ii_let_20040916_caritas-internationalis_en.html

34 Pope Benedict XVI, Address to the Participants in the General Assembly of *Caritas Internationalis*, 27 May 2011, op. cit.

provide the resources and above all the personnel needed for this work. Individuals who care for those in need must first be professionally competent: they should be properly trained in what to do and how to do it, and committed to continuing care. Yet, while professional competence is a primary, fundamental requirement, it is not of itself sufficient. We are dealing with human beings, and human beings always need something more than technically proper care. They need humanity. They need heartfelt concern.”³⁵

14. **Staff Care:** we ensure just, dignified and sustainable working conditions for all our staff and fulfil our duty of care to staff, promoting good practice in human resources management and complying with employment law within the relevant jurisdiction.

“The rights of workers, like all other rights, are based on the nature of the human person and on his transcendent dignity.”³⁶:

+ Dear Alcard. Rodríguez S.D.B.



Cardinal Oscar Rodriguez
Maradiaga S.D.B,
President
Caritas Internationalis

Michel Roy
Secretary General
Caritas Internationalis

Name
President
Caritas XXXX

35 Deus Caritas Est, #31 a)

36 Compendium of the Social Doctrine of the Church

http://www.vatican.va/roman_curia/pontifical_councils/justpeace/documents/rc_pc_justpeace_doc_20060526_compendio-dott-soc_en.html), #301

Putting our Values into Practice:
Code of Conduct
for Staff of Caritas Internationalis Member Organizations

This Code of Conduct specifies the attitudes and behaviour that all Caritas staff³⁷ are expected to maintain. The Code is derived from, and closely related to, the Caritas Code of Ethics which prescribes the basic values and institutional practices of Caritas organisations.

“Individuals who care for those in need must first be professionally competent: they should be properly trained in what to do and how to do it, and committed to continuing care. Yet, while professional competence is a primary, fundamental requirement, it is not of itself sufficient. We are dealing with human beings, and human beings always need something more than technically proper care. They need humanity. They need heartfelt concern.”³⁸

This Code is divided into four core areas for ease of reference.

All Caritas staff are expected to:

1. Values, Conduct and Ethics

- adhere to, or at least understand and respect the social and moral values and teaching of the Catholic Church
- ensure at all times that their personal and professional conduct is of the highest standards, and is seen to be so
- act in good faith and treat other people with dignity and respect, creating an environment that celebrates diversity
- respect all human rights and challenge discrimination, harassment, abuse, neglect, and exploitation that infringe the rights of others
- avoid “impos[ing] one’s faith upon others ... realiz[ing] that a pure and generous love is the best witness to the God in whom we believe and by whom we are driven to love”³⁹
- refrain from making racist, sexist or otherwise offensive statements publicly or privately
- take reasonable action to protect others from harm
- observe the laws of the country in which they are working, within the bounds of conscience
- respect and be sensitive to local customs and culture, dress accordingly
- ensure that they, and any staff that they manage, act in accordance with health, safety and security guidelines, and endeavour to safeguard others
- ensure that Caritas’ reputation is not be brought into disrepute
- maintain the confidentiality of any information or knowledge obtained during the exercise of their duties with Caritas

37 For the purposes of this Code of Conduct “staff” refers to all board members, employees, volunteers and consultants.

38 Deus Caritas Est, #31.

39 Deus Caritas Est #31c

- perform their duties competently and with love, without prejudice or discrimination of any form, and maintain Caritas' preferential option for the poor
- keep in mind local sensitivities when expressing and practicing their respective beliefs
- welcome, and build solidarity and cooperation with people from other Caritas organisations

2. Conflicts of interest, coercion and corruption.

- avoid using positions of power conferred by their roles as Caritas employees to exert pressure, or extract favours or personal gain economically, professionally, politically or sexually
- declare any potential or actual conflicts of interest (financial, personal or familial) in matters relating to Caritas' work to their supervisor or other senior manager in writing
- refrain from accepting any favours, bribes or other forms of personal enrichment⁴⁰ from beneficiaries, partners or contractors under any circumstances

3. Protecting Caritas property and exercising stewardship

- ensure that Caritas' assets and intellectual property are not misused and are protected from theft, fraud or other damage
- maintain appropriate standards of honesty and integrity in financial accountability

4. Personal conduct

- refrain from carrying of any weapons on any Caritas business or property (owned or rented) including accommodation/office/vehicles etc.
- refrain from using recreational drugs or consuming excessive quantities of alcohol
- ensure that their sexual conduct is appropriate at all times

⁴⁰ In order to respect national and local traditions and conventional hospitality, minor token gifts can be accepted on behalf of Caritas but should be declared.

Implementation of the Code of Conduct

The Director or Chief Executive is responsible for ensuring that all staff are informed of the Code of Conduct and are committed to upholding it, and that the document is reviewed and updated regularly.

Adoption or adaptation of the CI Code of Conduct will be assessed under the procedures determined by CI Internal Rule 1.3 and incorporated in the CI Management Standards.

Complaints mechanism

An external complaints procedure will be developed in accordance with article 1.7 of the CI Management Standards. It is particularly important that beneficiaries, community members and partner staff are able to make a complaint

Duty to report

Every member of staff has a duty to immediately report any suspicions or concerns regarding breaches of this Code. In most cases staff should raise any concerns with their supervisor. This may be done orally or in writing and should include full details and, if possible, supporting evidence. If for some reason, (e.g. the manager may be implicated) this is not possible, they should speak to a more senior manager, board member or another appropriate authority.

All disclosures will be treated in confidence. Anyone who raises concerns about serious malpractice will be protected from victimisation or any other detrimental treatment if they come forward with serious concerns, provided concerns are raised in good faith. Deliberate false allegations are a serious disciplinary offence and will be investigated and treated accordingly.

Breaches of the Code

Any breaches of the Code of Conduct will be investigated, and may lead to disciplinary measures.

Date:

Name
President
Caritas XXXXX

Code of Conduct

for

**the International Red Cross and
Red Crescent Movement and
Non-Governmental Organizations (NGOs)**

in Disaster Relief

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

Prepared jointly by the International Federation of Red Cross and Red Crescent Societies and the ICRC¹

Purpose

This Code of Conduct seeks to guard our standards of behaviour. It is not about operational details, such as how one should calculate food rations or set up a refugee camp. Rather, it seeks to maintain the high standards of independence, effectiveness and impact to which disaster response NGOs and the International Red Cross and Red Crescent Movement aspires. It is a voluntary code, enforced by the will of the organisation accepting it to maintain the standards laid down in the Code. In the event of armed conflict, the present Code of Conduct will be interpreted and applied in conformity with international humanitarian law. The Code of Conduct is presented first. Attached to it are three annexes, describing the working environment that we would like to see created by Host Governments, Donor Governments and Inter- Governmental Organisations in order to facilitate the effective delivery of humanitarian assistance.

¹ Sponsored by: Caritas Internationalis*, Catholic Relief Services*, The International Federation of Red Cross and Red Crescent Societies*, International Save the Children Alliance*, Lutheran World Federation*, Oxfam*, The World Council of Churches*, The International Committee of the Red Cross (* members of the Steering Committee for Humanitarian Response)

Definitions

NGOs: NGOs (Non-Governmental Organisations) refers here to organisations, both national and international, which are constituted separately from the government of the country in which they are founded.

NGHAs: For the purposes of this text, the term Non-Governmental Humanitarian Agencies (NGHAs) has been coined to encompass the components of the International Red Cross and Red Crescent Movement – The International Committee of the Red Cross, The International Federation of Red Cross and Red Crescent Societies and its member National Societies – and the NGOs as defined above. This code refers specifically to those NGHAs who are involved in disaster response.

IGOs: IGOs (Inter-Governmental Organisations) refers to organisations constituted by two or more governments. It thus includes all United Nations Agencies and regional organisations.

Disasters: A disaster is a calamitous event resulting in loss of life, great human suffering and distress, and large-scale material damage.

The Code of Conduct

Principles of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Response Programmes

1 The humanitarian imperative comes first

The right to receive humanitarian assistance, and to offer it, is a fundamental humanitarian principle which should be enjoyed by all citizens of all countries. As members of the international community, we recognise our obligation to provide humanitarian assistance wherever it is needed. Hence the need for unimpeded access to affected populations is of fundamental importance in exercising that responsibility. The prime motivation of our response to disaster is to alleviate human suffering amongst those least able to withstand the stress caused by disaster. When we give humanitarian aid it is not a partisan or political act and should not be viewed as such.

2 Aid is given regardless of the race, creed or nationality of the recipients and without adverse distinction of any kind.

Aid priorities are calculated on the basis of need alone

Wherever possible, we will base the provision of relief aid upon a thorough assessment of the needs of the disaster victims and the local capacities already in place to meet those needs. Within the entirety of our programmes, we will reflect considerations of proportionality. Human suffering must be alleviated whenever it is found; life is as precious in one part of a country as another. Thus, our provision of aid will reflect the degree of suffering it seeks to alleviate. In implementing this approach, we recognise the crucial role played by women in disaster-prone communities and will ensure that this role is supported, not diminished, by our aid programmes. The implementation of such a universal, impartial and independent policy, can only be effective if we and our partners have access to the necessary resources to provide for such equitable relief, and have equal access to all disaster victims.

3 Aid will not be used to further a particular political or religious standpoint

Humanitarian aid will be given according to the need of individuals, families and communities. Notwithstanding the right of NGOs to espouse particular political or religious opinions, we affirm that assistance will not be dependent on the adherence of the recipients to those opinions. We will not tie the promise, delivery or distribution of assistance to the embracing or acceptance of a particular political or religious creed.

4 We shall endeavour not to act as instruments of government foreign policy

NGOs are agencies which act independently from governments. We therefore formulate our own policies and 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. We will never knowingly – or through negligence – allow ourselves, or our employees, to be used to gather information of a political, military or economically sensitive nature for governments or other bodies that may serve purposes other than those which are strictly humanitarian, nor will we act as instruments of foreign policy of donor governments.

We will use the assistance we receive to respond to needs and this assistance should not be driven by the need to dispose of donor commodity surpluses, nor by the political interest of any particular donor. We value and promote the voluntary giving of labour and finances by concerned individuals to support our work and recognise the independence of action

promoted by such voluntary motivation. In order to protect our independence we will seek to avoid dependence upon a single funding source.

5 We shall respect culture and custom

We will endeavour to respect the culture, structures and customs of the communities and countries we are working in.

6 We shall attempt to build disaster response on local capacities

All people and communities – even in disaster – possess capacities as well as vulnerabilities. Where possible, we will strengthen these capacities by employing local staff, purchasing local materials and trading with local companies. Where possible, we will work through local NGHAs as partners in planning and implementation, and cooperate with local government structures where appropriate.

We will place a high priority on the proper co-ordination of our emergency responses. This is best done within the countries concerned by those most directly involved in the relief operations, and should include representatives of the relevant UN bodies.

7 Ways shall be found to involve programme beneficiaries in the management of relief aid

Disaster response assistance should never be imposed upon the beneficiaries. Effective relief and lasting rehabilitation can best be achieved where the intended beneficiaries are involved in the design, management and implementation of the assistance programme. We will strive to achieve full community participation in our relief and rehabilitation programmes.

8 Relief aid must strive to reduce future vulnerabilities to disaster as well as meeting basic needs

All relief actions affect the prospects for long-term development, either in a positive or a negative fashion. Recognising this, we will strive to implement relief programmes which actively reduce the beneficiaries' vulnerability to future disasters and help create sustainable lifestyles. We will pay particular attention to environmental concerns in the design and management of relief programmes. We will also endeavour to minimise the negative impact of humanitarian assistance, seeking to avoid long-term beneficiary dependence upon external aid.

9 We hold ourselves accountable to both those we seek to assist and those from whom we accept resources

We often act as an institutional link in the partnership between those who wish to assist and those who need assistance during disasters. We therefore hold ourselves accountable to both constituencies. All our dealings with donors and beneficiaries shall reflect an attitude of openness and transparency. We recognise the need to report on our activities, both from a financial perspective and the perspective of effectiveness. We recognise the obligation to ensure appropriate monitoring of aid distributions and to carry out regular assessments of the impact of disaster assistance.

We will also seek to report, in an open fashion, upon the impact of our work, and the factors limiting or enhancing that impact. Our programmes will be based upon high standards of professionalism and expertise in order to minimise the wasting of valuable resources.

10 In our information, publicity and advertising activities, we shall recognise disaster victims as dignified humans, not hopeless objects

Respect for the disaster victim as an equal partner in action should never be lost. In our public information we shall portray an objective image of the disaster situation where the capacities and aspirations of disaster victims are highlighted, and not just their vulnerabilities and fears. While we will cooperate with the media in order to enhance public response, we will not allow external or internal demands for publicity to take precedence over the principle of maximising overall relief assistance. We will avoid competing with other disaster response agencies for media coverage in situations where such coverage may be to the detriment of the service provided to the beneficiaries or to the security of our staff or the beneficiaries.

The Working Environment

Having agreed unilaterally to strive to abide by the Code laid out above, we present below some indicative guidelines which describe the working environment we would like to see created by donor governments, host governments and the inter- governmental organisations – principally the agencies of the United Nations – in order to facilitate the effective participation of NGHAs in disaster response. These guidelines are presented for guidance. They are not legally binding, nor do we expect governments and IGOs to indicate their acceptance of the guidelines through the signature of any document, although this may be a goal to work to in the future. They are presented in a spirit of openness and cooperation so that our partners will become aware of the ideal relationship we would seek with them.

Annex I: Recommendations to the governments of disaster-affected countries

1 Governments should recognise and respect the independent, humanitarian and impartial actions of NGHAs

NGHAs are independent bodies. This independence and impartiality should be respected by host governments.

2 Host governments should facilitate rapid access to disaster victims for NGHAs

If NGHAs are to act in full compliance with their humanitarian principles, they should be granted rapid and impartial access to disaster victims, for the purpose of delivering humanitarian assistance.

It is the duty of the host government, as part of the exercising of sovereign responsibility, not to block such assistance, and to accept the impartial and apolitical action of NGHAs. Host governments should facilitate the rapid entry of relief staff, particularly by waiving requirements for transit, entry and exit visas, or arranging that these are rapidly granted. Governments should grant over-flight permission and landing rights for aircraft transporting international relief supplies and personnel, for the duration of the emergency relief phase.

3 Governments should facilitate the timely flow of relief goods and information during disasters

Relief supplies and equipment are brought into a country solely for the purpose of alleviating human suffering, not for commercial benefit or gain. Such supplies should normally be

allowed free and unrestricted passage and should not be subject to requirements for consular certificates of origin or invoices, import and/or export licences or other restrictions, or to importation taxation, landing fees or port charges. The temporary importation of necessary relief equipment, including vehicles, light aircraft and telecommunications equipment, should be facilitated by the receiving host government through the temporary waiving of licence or registration restrictions. Equally, governments should not restrict the re-exportation of relief equipment at the end of a relief operation. To facilitate disaster communications, host governments are encouraged to designate certain radio frequencies, which relief organisations may use in-country and for international communications for the purpose of disaster communications, and to make such frequencies known to the disaster response community prior to the disaster. They should authorise relief personnel to utilise all means of communication required for their relief operations.

4 Governments should seek to provide a coordinated disaster information and planning service

The overall planning and coordination of relief efforts is ultimately the responsibility of the host government. Planning and coordination can be greatly enhanced if NGHAs are provided with information on relief needs and government systems for planning and implementing relief efforts as well as information on potential security risks they may encounter. Governments are urged to provide such information to NGHAs.

To facilitate effective coordination and the efficient utilisation of relief efforts, host governments are urged to designate, prior to disaster, a single point-of-contact for incoming NGHAs to liaise with the national authorities.

5 Disaster relief in the event of armed conflict

In the event of armed conflict, relief actions are governed by the relevant provisions of international humanitarian law.

Annex II: Recommendations to donor governments

1 Donor governments should recognise and respect the independent, humanitarian and impartial actions of NGHAs

NGHAs are independent bodies whose independence and impartiality should be respected by donor governments. Donor governments should not use NGHAs to further any political or ideological aim.

2 Donor governments should provide funding with a guarantee of operational independence

NGHAs accept funding and material assistance from donor governments in the same spirit as they render it to disaster victims; one of humanity and independence of action. The implementation of relief actions is ultimately the responsibility of the NGHAs and will be carried out according to the policies of that NGHAs.

3 Donor governments should use their good offices to assist NGHAs in obtaining access to disaster victims

Donor governments should recognise the importance of accepting a level of responsibility for the security and freedom of access of NGHA staff to disaster sites. They should be prepared to exercise diplomacy with host governments on such issues if necessary.

Annex III: Recommendations to intergovernmental organisations

1 IGOs should recognise NGHAs, local and foreign, as valuable partners

NGHAs are willing to work with UN and other inter-governmental agencies to effect better disaster response. They do so in a spirit of partnership which respects the integrity and independence of all partners. Inter-governmental agencies must respect the independence and impartiality of the NGHAs. NGHAs should be consulted by UN agencies in the preparation of relief plans.

2 IGOs should assist host governments in providing an overall coordinating framework for international and local disaster relief

NGHAs do not usually have the mandate to provide the overall coordinating framework for disasters which require an international response. This responsibility falls to the host government and the relevant United Nations authorities. They are urged to provide this service in a timely and effective manner to serve the affected state and the national and international disaster response community. In any case, NGHAs should make all efforts to ensure the effective coordination of their own services. In the event of armed conflict, relief actions are governed by the relevant provisions of international humanitarian law.

3 IGOs should extend security protection provided for UN organisations to NGHAs

Where security services are provided for inter-governmental organisations, this service should be extended to their operational NGHA partners where it is so requested.

4 IGOs should provide NGHAs with the same access to relevant information as is granted to UN organisations

IGOs are urged to share all information, pertinent to the implementation of effective disaster response, with their operational NGHA partners.

**Appendix 2.5: Caritas Germany (DCV): Guidelines on Combating
Fraud and Corruption**

caritas



Deutscher
Caritasverband e.V.

Essentials

**Guidelines on Combating Fraud and
Corruption in the Project Work of
Caritas Germany**

Essentials

Guideline on Combating Fraud and Corruption in the Project Work of Caritas Germany

Corruption is not only a moral problem but also an economic problem. Every Euro that falls prey to corruption cannot be used to reach humanitarian, social and developmental project goals. Corruption harms the rules of competition and does not favor decisions for the common welfare. Instead, decisions are made based on personal interest.

For these reasons Caritas Germany has developed this Anticorruption Guideline with the aim of avoiding and fighting fraud and corruption at all levels within Germany and abroad.

Within the context of this Guideline, corruption is understood as the misuse of entrusted power for personal advantage¹.

Auditing partner organization

Local partner organizations with which Caritas Germany begins project cooperation, are carefully audited and evaluated with regard to organizational and managerial skills, economic and operational management, accounting practices and transparency before the cooperation begins. In addition, the partner's will and ability to maintain orderly accounting practices and accept financial monitoring must be appraised.

Project agreements and Administrative Guideline

The project agreement with the project partner defines the aims of the project, the use of funds, the amount of the budget as well as the Administrative Guideline to be used. Continual project monitoring by Caritas Germany includes controlling the partner's compliance with project specifications and deadlines. An audit of these documents also includes an appraisal on whether the documents conform to reality and whether the prices noted in the documents realistically comply with local standards.

Accounting

Orderly, transparent and comprehensible accounting practices are a crucial prerequisite to prevent corruption. Project expenses may only be used for the purposes agreed upon in the project agreement and within the limits of the approved budget. For the latter Caritas Germany transfers installments according to the resources needed and the project's progress. Additional project income (e.g. interest earned) must be accounted for separately. Funds that have not been spent must be transferred back to Caritas Germany.

Two-person integrity

For project relevant decisions such as project approval, approval of funds, allocation of funds, project agreements or project completion, two-person integrity is the rule.

¹ Definition according to: Transparency International, Korruption in der Entwicklungszusammenarbeit – ein Problem auch für kirchliche Organisationen, 2007, S. 6., See also: Cremer, Georg, Korruption begrenzen. Praxisfeld Entwicklungspolitik, Freiburg/Br. 2008

Internal auditing and quality control

Audits of the local partner's project accounting and its submission of the report on expenditure of funds are carried out within Caritas Germany by its employees in the accounting department who are familiar with the particular and country-specific specifications of project accounting.

Procedures within Caritas Germany are controlled by Caritas Germany Quality Control according to certain specifications.

External auditing

On the basis of project agreements and the preliminary audit, projects financed by public donors can be audited by external accounting firms either as previously specified in the project agreement or based on an internal decision.

Training and advisory services for employees and partner organizations

Basic administrative knowledge and specialized knowledge of administrative procedures are necessary to ensure transparent financial administration. Caritas Germany trains its own employees in the areas of internal procedure and project administration. Caritas Germany's offices abroad have an important supportive and advisory function for the project partners in the areas of project implementation and administration. Caritas Germany's own advisors on organizational development intervene during project implementation in order to support weak partner structures in the area of organizational development or to assist the decision making process at the managerial level.

Social Auditing

Including target groups and local participants in the project's planning and budgeting phases allows for social auditing later on. This allows for the organized target groups to take over a controlling function at the reporting stage. They assess locally whether or not the funds have achieved their purpose and have been used economically. The local cooperation partner should bear in mind the necessary organizational measures to allow for the participation of grassroots organizations in this way.

Local aid workers strongly encourage the recipients of aid measures to appeal to a higher authority in the case of actual or assumed misuse of project funds and/or relief goods. As a rule, this is the authority directly above the implementing organization, respectively the Caritas Germany employee responsible for the project. For such a beneficiary complaint mechanism adequate provisions must be made.

Allocation of contracts and services; procurement control

The procurement of non-cash items is regulated in the Procurement Guideline of Caritas Germany.

Rules of Conduct for Employees and Partner Organizations

- Personal relationships or personal advantages must not influence the decisions of the employees of Caritas Germany and its partner organizations
- Any form of corruption, whether direct or indirect, is forbidden. This also includes kickback (the reflux of parts of a contractual payment), the use of other means for prohibited services to contractors, suppliers, partners, their employees or public officials as well as the acceptance of bribe money or kickbacks by or for the benefit of relatives.
- The payment of bribes or other benefits with the aim of securing or accelerating an official act which one is entitled to is forbidden. If such payments cannot be avoided or if employees of Caritas Germany are forced to do so (e.g. in the case of border crossings), the Central Office of Caritas Germany and – if possible – the higher authority in the host country must be notified.
- Offering or accepting gifts, entertainment or the reimbursement of expenses is forbidden if they influence the conclusion of business or project approval and exceed the level of sensible and appropriate expenses.

In case of a breach of this Guideline and specifically in case of a violation against the above mentioned rules of conduct, disciplinary or contractual sanctions (warning, dismissal, termination of project cooperation etc.) shall be carried out. In case of a crime, the appropriate legal steps shall be taken.

Caritas Germany reserves the right to make the circumstances of corruption within partner organizations public and to advise against further cooperation with the respective organization.

Freiburg, April 20, 2009

Prelate Dr. Peter Neher
President of Caritas Germany