

DAISI's Policies, Codes of Conduct & Templates



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1.1 Autonomy & Independence

Whilst collaboration and partnership with our international alliances in the South-Pacific are critical to all DAISI activities, DAISI must also ensure its autonomy as an organisation. Having an established Memorandum of Understanding (MoU) with our international partners, where the independent roles played by DAISI and its contributing partners are clearly defined, is critical to maintaining this autonomy. Below is DAISI's Autonomy and Independence policy.

POLICY

1. DAISI will remain autonomous and independent in its right to make, amend or change policies, decide on which projects to sponsor, and where money is to be spent, being free of any form of political or commercial interference or coercion..
2. All decisions on policies, projects, and where money is spent shall be determined by consensus voting by DAISI's Executive Committee & Board Members.
3. All DAIS decisions on policies, projects and where money is spent shall be compliant with DAISI's ethos, its Strategic Plan, and the Australian Committee For International Development (ACFID) Code of Conduct.
4. All DAISI projects with its associated partners are to be conducted with clear understanding of each other's independence, and must be based on a formal Memorandum of Understanding agreed between DAISI and its partner.
5. Whilst the MoU represents shared commitment to projects by DAISI and its partners brought about through negotiation and collaboration, the terms of the MoU must always be uncompromised and steadfastly compliant with DAISI's ethos, its Strategic plan and the ACFID Code of Conduct.
6. All DAISI money used by partners in the South Pacific for development projects must be completely accounted for, and in a timely manner, with accurate reporting by partners on the nature of spending of DAISI funded projects. This is necessary to ensure value for money, and also to monitor for or prevent any misappropriation of DAISI funds.
7. DAISI maintains the right to withdraw funding or support for projects, if it deems that the necessary reporting is not being complied with or that the money is not being responsibly spent by the partners on development projects, or there is evidence of donated money being wrongly spent on non-development projects.
8. DAISI reserves the right to disassociate itself from any partner that is not compliant with the ACFID Code of Conduct, particularly in relation to its Child Protection, Anti-terrorism and anti-Fraud policies.

This policy was first created 15th November 2015 and revised on 1st July 2020

medical donations



2.1 Donation of Medical Supplies

DAISI is committed to the responsible donation of medical supplies in a careful and considered manner that attempts to meet partner needs and requests whilst also considering environmental factors and avoiding needless waste and the stockpiling of unused equipment in recipient counties.

POLICY

- 1 Medical supplies will be delivered in a thoughtful and considered manner attempting to match the specific needs of the receiving country.
- 2 DAISI will comply with World Health Organisation (WHO) Guidelines on the responsible donation of medical equipment.
- 3 All donated medical equipment should benefit the recipient to the maximum extent possible.
- 4 Donations should be given with due respect for the wishes and authority of the recipient, and in conformity with government policies and administrative arrangements of the recipient country.
- 5 There should be no double standard in quality. If the quality of an item is unacceptable in the donor country, it is also unacceptable as a donation.
- 6 There should be effective communication between the donor and the recipient, with all donations made according to a plan formulated and agreed by both parties.
- 7 DAISI, conjoint with the recipient. will ensure appropriate space facilities and protection from heat of medicines that require storage in a cool environment.
- 8 All medical supplies and equipment must be clearly catalogued and packed in such a manner to allow receiving country to unpack in an organised manner.
- 9 The beneficiary Country should receive and approve list of catalogued items prior to dispatch.
- 10 Wherever possible, equipment of same type should be packaged together in a sensible manner
- 11 All packaging of equipment into containers should clearly state the contents within.
- 12 Size and weight of certain donated items should be considered to facilitate equipment unpacking and delivery in the receiving country. For instance, ensuring local availability of lifting machinery (e.g. forklift).
- 13 Dangerous goods codes must be consulted and complied with when shipping equipment containing lithium batteries or other potentially dangerous goods. The packing of explosives is strictly prohibited. All shipments must comply with maritime and/or aviation safety regulations.
- 14 The packing of explosives is strictly prohibited.
- 15 Vehicles sent by shipping container must have battery disabled and petrol tank emptied during transport to avoid risk of explosion.
- 16 DAISI must have in place a plan for the container's delivery from port to end destination with an agreement with receiving partners on who will be responsible for paying customs, port clearance, transport fees.
- 17 The container bond and transport fees to the port destination will be incurred by the donors unless a specific arrangement has been reached between DAISI and the receiving party.
- 18 The payment of customs, port clearance fees, and transport fees should be established and organised in an expeditious manner to avoid incurring excess fees and loss of shipping container bond.
- 19 DAISI will follow up the donation of equipment with an equipment utilisation survey to determine which supplies were used/required and which were not.
- 20 This survey will be considered prior to the sending of further equipment in the same port of destination to allow time for procedural changes, so repeat of poor practice does not occur again.
- 21 Other DAISI policies of relevance to consider when donating medical supplies and equipment include:

[DAISI's Environment protection policy](#)

This policy was first created 15th November 2015 and revised on 1st July 2020

fundraising



2.2 Acknowledgement of Australian Support/Funding

DAISI is committed to the acknowledgement of Australian Government Funding for any of the activities it engages in.

1. This should include use of the DFAT logo and Red Kangaroo Australian Aid logo on all literature, signage and material describing Australian Government funded projects.
2. DAISI should not bring into disrepute the Australian Government for any of its Australian Government funded activities.
3. Media reporting of activities jointly funded by the Australian Government should clearly state this, and DAISI's appreciation for Australian Funding.

This policy was first created 15th November 2015 and revised on 1st July 2020

3.1 Fundraising

DAISI is committed to fundraising in an honest and ethical manner being compliant with both the ACFID Fundraising Charter, and the Fundraising Institute of Australia Code of Practice. It is DAISI's intention to be truthful and ethical in all matters relating to fundraising and marketing, with DAISI's policy stated below.

POLICY

- 1 All DAISI staff or volunteers engaged in fundraising must be familiar with the ACFID Fundraising Charter, Fundraising Institute of Australia Code of Practice, and be committed to truthful and ethical fundraising and marketing, and must have completed the FIA Code training within 6 months of their appointment.
- 2 Prior to fundraising in New South Wales DAISI must hold An Authority to Fundraise from NSW Department of Fair Trading an authority to fundraise under section 13A of the Charitable Fundraising Act 1991, subject to compliance with the Act, the Charitable Fundraising Regulation 2015 and the conditions attached as Annexure A., which is obtained by application through the NSW Department of Fair Trading.
- 3 Members agree to have compliance of Fundraising monitored by the FIA, and one DAISI Board member must sign off annually as being adherent to this FIA Code of Practice.
- 4 All DAISI staff or volunteers engaged in fundraising will not bring DAISI into disrepute, but will act professionally for the cause they represent, Donors and Beneficiaries, and at a level that encourages others to aspire.
- 5 All DAISI staff or volunteers engaged in fundraising must be factual about exactly where the money raised is actually going to be spent including amount spent on development programmes versus administration and non-development activities.
- 6 All DAISI staff or volunteers engaged in fundraising must be respectful of those who do not want to donate, or request not to receive any further solicitations.
- 7 The use of child photos in any fundraising must be with the parent's consent, must not portray the child in an undignified manner, and should not allow the child to be recognisable.
- 8 All DAISI staff or volunteers engaged in fundraising must be particularly respectful of disadvantaged groups, particularly those that lack capacity to make a decision, including children, within the donor community, allowing them to "opt out" of donations when reasonable or requested.

- 9 All DAISI staff or volunteers engaged in fundraising must ensure appropriate measures are in place to protect donor's information compliant with the Privacy Code.
- 10 The source of all donations to DAISI must be published in DAISI's Annual Finance report.
- 11 Decisions to accept or reject a donation must be made in keeping with DAISI's Principles and Code of Conduct, and the FIA Code of Conduct.
- 12 Where the donor's ethos is at odds or in contradistinction to the ethos of DAISI, and there is ethical uncertainty about accepting such donations, the acceptance or rejection of the donation must be made by unanimous vote by DAISI executive.
- 13 Before accepting funds, DAISI will conduct checks of individuals and organisations against the Criminal Code list of terrorist organisations and the DFAT consolidated list of individuals and entities subject to targeted financial sanctions.
- 14 Where large sums of money are being considered for donation, such as in a bequest, DAISI must not prevent or discourage a donor from seeking legal advice or from having a family member present when making the decision.
- 15 Examples of where it would be unethical or unwise for DAISI to accept a donation include where: the donors lacks capacity to make a donation, where the donors' activity is incompatible with the cause, where the cost of accepting the donation is greater than the donation or where there is reason to believe DAISI may be exposed to litigation as a result.
- 16 The privacy of donors consistent with the privacy act must be adhered to.
- 17 Photos, Videos, Imagery or articles used as marketing to promote fundraising must be truthful, factual, and used with permission and be compliant with DAISI's privacy policies relating to the use of Photos, Videos, Imagery and Articles.
- 18 DAISI will clearly state the purpose for use of donated funds
- 19 All donors will be provided by DAISI with a receipt for money donated, with DAISI's name, ABN, and the purpose for this money stated on the receipt.
- 20 A Donor's wishes must be respected, and written permission must be obtained from the donor before public recognition of a donor.
- 21 If contractors are involved in fundraising, they must meet all legislative and regulatory requirements and be clearly identified as beneficiaries to those donating.
- 22 If contractors (or third parties) are used for fundraising, these contractors should represent accurately the ethos of DAISI and its members
- 23 If contractors (or third parties) are used for fundraising, these contractor's fees should be proportionate to the funds raised, and represent fair market value for services provided.
- 24 If contractors (or third parties) are used for fundraising, these contractors must provide a written contract clearly stating the responsibilities of each party.
- 25 All photos, imagery, videos used for Marketing and/or Fundraising purposes must be reviewed and have unanimous support by DAISI executive.
- 26 The primary spokesperson for fund-raising matters should be one of the Executive board members chosen by unanimous vote amongst the DAISI executive board members.
- 27 The spokesperson should be familiar and compliant with both the Fundraising Institute of Australia Code of Practice and ACFID's Fundraising charter.
- 28 Training for DAISI spokespersons is given on suitable organisational protocols necessary for responsible and ethical Fundraising, with all DAISI Executive board members encouraged to complete the courses offered by the Fundraising Institute of Australia.
- 29 Public material is reviewed annually and voted on by DAISI executive in order to keep public information accurate, relevant and as current as possible.
- 30 Although special concessions are given to registered charities such as DAISI to contact people on the "Do Not Call Register of the Australian Communications and Media Authority, DAISI chooses not exercise this privilege.
- 31 If telephone calls are made for the purpose of fundraising, they must be compliant with the FIA Code, with full open transparency, stating their name, purpose of the call and intended used for donations and be restricted to 9am – 8pm Monday to Friday, and 9am – 5pm on Saturday, and strictly prohibited on Public Holidays.
- 32 Face to Face fundraisers, must wear a name badge with current photo including date, stating DAISI's name and ACNC number and full business address, and the cause for which money is being raised, and must approach public on their own (not in a group of two or more), and must not accept cash, a cheque or personal gift.

- 33 Opt-Out options should be stated and presented in clearly visible text next to the call to action or cause on all DAISI digital (web, email, sms) and hard copy fundraising material.
- 34 Fundraising using SMS (text messages) must be compliant with the spam Act. (ACMA Website)
- 35 DAISI will contain all fundraising data using CRM (Customised Visual Sales) software and will complete data hygiene, respecting donor preferences and deleting contact details of donors who are now deceased, to avoid causing unnecessary offence to surviving partners or family.
- 36 DAISI will portray beneficiaries only with their permission, and always in a dignified manner in all fundraising material, will not use pictures of children, if funds are intended for adults and if parental consent is not obtained.

This policy was first created 15th November 2015 and revised on 1st July 2020

3.2 Conflict of Interest Policy and Safeguards

A Conflict of Interest is defined as a situation in which a person is in a position to derive personal benefit from actions or decisions made in their official capacity. Conflicts of Interest are explicitly contrary to DAISI's not-for-profit or personal gain policy

POLICY

1. Conflict of Interest

1. DAISI is committed to fostering ethical awareness, conduct and decision-making. All DAISI's members and staff must be mindful that their actions and decisions are lawful, consistent with DAISI policies and do not involve any conflict of interest.
2. Aside from contractors' or salaried employees with an agreed remuneration, DAISI members and volunteers may not make a financial gain as a result of working with DAISI. DAISI members, volunteers and employees must not grant favourable treatment to contractors or their suppliers.
3. DAISI members, volunteers and employees may accept personal gifts on behalf of DAISI. Any offer of an in-kind donation with a value greater than \$100 must be discussed with the Chairperson. If approved and accepted, the details will be noted on the Asset
4. Register. All gifts of money or in-kind donation must be entered in the Asset Register as a donation to DAISI.
5. As DAISI is a small NGO, Board members and Office Bearers may agree to assist in the DAISI office in areas of their expertise in a voluntary capacity. The DAISI Chair and Secretary will coordinate their volunteer work as they would for the work of any other staff.
6. Each staff member must be mindful of his or her duty of care to DAISI. Any DAISI member, volunteer or employee must have the express approval of the Board of Directors to enter into a contract or other obligation for or on behalf of DAISI

2. Conflict of Interest Procedures

1. The following sets out guidelines on best practice to deal with conflicts of interest.
2. Where goods or services are provided by DAISI members or volunteers, a proper tendering process should be established which includes obtaining at least three competitive quotations.
3. A Board Director or Office Bearer should excuse himself or herself from Board proceedings at meetings where decisions are taken which may be of benefit to the Director or Office Bearer or a member of the Director or Office Bearer's family (including family companies and family trusts).

3. Declaration of Conflicts of Interest

1. Declaration of Conflicts of interest is a standing item at all DAISI Board and Committee meetings.
2. Where it is intended that a Director or Officer Bearer or Member receives a salary, fee or some other benefit (other than reimbursement of reasonable out-of-pocket expenses), prior approval must be obtained from the Board and from the ACNC.
3. A person should not accept the office of auditor where he/she serves on the Board, is an Officer Bearer, or member of DAISI.
4. It is recognised that from time-to-time conflicts of interest are unavoidable. In such cases, a full and frank disclosure of the conflict must be reported promptly after it has arisen or first been identified and appropriate measures adopted.

4. Conflict of Interest Definition

1. A conflict of interest exists where a reasonable and informed person would perceive that a person could be influenced by a private interest when carrying out his or her public duty.
2. Examples of pecuniary conflicts of interest are as follows.
 - Goods and services are supplied to the organisation by a person involved with DAISI. The person may also benefit if the supplier is a family business or family company or trust.
3. Alternatively, there may be direct benefit to another member of the person's family.
 - An asset belonging to DAISI is sold to a person working for DAISI
 - A Director of DAISI is in receipt of a salary, fee or some other benefit (other than reimbursement of reasonable out of pocket expenses).
4. Examples of non-pecuniary conflicts of interest are as follows.
 - A Director of DAISI votes on a matter which directly affects that person, a member of his or her family or a company or trust owned by him or her or a member of his family.
 - The auditor or other professional retained by DAISI is a Director, Office Bearer or member of DAISI or related to a member of the Board.
 - The auditor acts on behalf of two clients which have common dealings.
5. Dealing with a Conflict of Interest
 1. If appropriate, a conflict or possible conflict of interest must be declared at the outset of the first meeting after the conflict or a possible conflict has arisen or been identified.
 2. If the matter occurs away from a meeting, it must be promptly and fully disclosed in writing to the Chairperson and/or Secretary.
 3. The person involved must excuse himself or herself if such a matter is discussed, debated or determined by the DAISI Board.
 4. All DAISI staff must be mindful of real or apparent conflicts of interest and if necessary, seek advice from the Chair, Secretary and/or CEO to avoid/rectify the perceived or real conflict.

This policy was first created 15th November 2015 and revised on 1st July 2020

3.3 Conflict of interest Code of Conduct

DAISI's Code of Conduct for recognising and dealing with a perceived or actual Conflict of Interest is below:

POLICIES

All DAISI volunteers and member and staff must agree to follow the below Conflict of Interest Code of Conduct:

1. Be committed to fostering ethical awareness, conduct and decision-making that is of pure honest intent, and that cannot be perceived as causing a conflict of interest.
2. Be mindful that your actions and decisions must always be lawful, consistent with DAISI policies and that do not involve any conflict of interest.
3. Be sure to not make a financial gain as a result of working with DAISI, above and beyond the reasonable salary attached to the position (in the case of salaried employees).
4. Do not grant favourable treatment to contractors or suppliers if you have a personal relationship with them or they are a family member, or a member of a Trust fund that you belong to.
5. Declare to the Chairperson all personal gifts you accept on behalf of DAISI. This will protect you from any subsequent claims of conflict of interest, with this decision being made by the Executive Board. The Board may determine that very large expensive donations (e.g. bottle of Grange) that seem disproportionate with a large resale value, may be considered inappropriate and represent a conflict of interest in which case you will be asked to return the gift..
6. Declare any monetary donation over \$100 to the Chairperson to be cleared and approved by the Board.
7. Register all gifts of money or in-kind donation so that DAISI's finance Officer and Treasurer are aware and can enter this as a donation to DAISI.
8. Always obtain DAISI Executive Approval for any contractual work conducted on behalf of DAISI.

9. Where the contractor is a personal friend or relative, or member of a Trust that you belong to, you must remove yourself from the decision making and allow the DAISI executive to determine whether or not to use this contractor. The DAISI board would need to determine that the contractor is providing value for money, and this would involve a proper tendering process obtaining at least three competitive quotations, with the best valued quotation the preferred contractor.
10. Excuse yourself from the AGM, Board or any committee meeting proceedings where decisions are taken which may benefit you financially. Once that decision is decided on, you can return for the rest of the meeting.
11. Declare a Conflict of interest at any meeting where financial or purchasing decisions are being made that involve yourself, a close friend, relative, or member of a Trust fund that you are a member of.
12. Obtain DAISI executive approval before receiving any salary, fee or some other benefit (other than reimbursement of reasonable out-of-pocket expenses)
13. Give a full and frank disclosure to the DAISI Executive of any suspected case of conflict of interest in a prompt manner, as soon after it has arisen or first been identified and so that appropriate measures can be adopted. Sometimes the conflict cannot be avoided, but just needs to be recognised and monitored.
14. If you suspect a conflict of interest outside of a meeting, then you must promptly and fully disclose this in writing to the Chairperson and/or Secretary. Do not wait for the next board meeting to declare it.
15. Seek advice from the Executive (i.e. the Chair, Secretary and/or CEO) at even the slightest hint of conflict of interest, realising that it is not only actual conflict of interest, but perceived conflict of interests that can be damaging to DAISI's credibility.

This policy was first created 15th November 2015 and revised on 1st July 2020

human resources

4.1 Recruitment of volunteers & members

DAISI's recruitment policy is committed to robust screening of all volunteers and members to ensure the exclusion of undesirable candidates.

POLICIES

1. All volunteer or member applications to DAISI should include the following safeguarding screening measures:
 1. Mentioning DAISI's strict adherence to the [ACFID Code of Conduct on Child protection](#). This measure is important as a deterrent to any applicants thinking DAISI is a safe haven for those who abuse children.
 2. Asking about criminal record and previous child offence charges.
 3. mention of requirement for National Police Record (NPR) check and Working With Children Certificate (WWCC).
 4. mention of need for currently Australian Health Practitioners Regulatory Agency (AHPRA) checks for evidence of previous suspension or misconduct.
2. These should all then be verified with documentation of NPR, WWCC, and AHPRA registration/conditions sighted and recorded, with any deficiency discussed at a Executive/Board level before informing the candidate of their application's success or otherwise.
2. Interviews conducted for volunteers and members must also mention DAISI's commitment to the ACFID Code of Conduct on all matters including Child Protection, as well as the requirement for WWCC and NPR checks.
3. A copy of WWCC and NPR Certificates must be kept on file for all members and Volunteers.
4. DAISI is committed to gender equality, and to having fair and equal representation of men and women among its membership, and executive.
5. All DAISI volunteers and members must agree to maintenance of confidentiality when it comes to the use of personal information of partners, recipients, or other members and volunteers.
6. All DAISI volunteers and members are orientated in matters related to occupational work and safety.
7. All DAISI volunteers and members must obtain travel insurance when travelling to the South Pacific to volunteer.

This policy was first created 15th November 2015 and revised on 1st July 2020

4.2 Recruitment of Employees

DAISI's recruitment policy is committed to robust screening of all employees and to ensuring protection of their rights and provision of a safe working environment.

POLICIES

Screening of unsuitable candidates

1. All job advertisements, applicant interviews and reference checks should include the following safeguarding screening measures:
 1. Mentioning DAISI's strict adherence to the [ACFID Code of Conduct on Child protection](#). This measure is important as a deterrent to any applicants thinking DAISI is a safe-haven for those who abuse children.
 2. Asking about criminal record and previous child offence charges.
 3. mention of requirement for National Police Record (NPR) check and Working With Children Certificate (WWCC) .

Recruitment & Advertising of Positions

1. All recruitment processes and advertising of positions vacant should be as open and transparent as possible, to attract talent from a broad arena, and to avoid actual or perceived nepotism

2. All job descriptions must state as accurately as possible the true nature of the position, whether it be: pro bono (voluntary) or paid; full-time or part-time (stating the Full Time Equivalent (FTE) hours); permanent, casual or contract, and whether or not the position comes with an initial probationary period.
3. All job descriptions must state the requirement for WWCC and NPR checks.
4. All job descriptions must mention DAISI's strict adherence to the [ACFID Code of Conduct regarding Child Protection](#).
5. DAISI is committed to preventing any form of gender, racial, sexual or disability discrimination from occurring in interview and selection processes consistent with the relevant laws (the Racial Discrimination Act 1984, the Sex Discrimination Act 1992, the Human Rights and Equal Opportunity Commission Act 1986 and the Disability Discrimination Act 1992)

Conducting the Interview

- Composition of the Interview Panel:
 - All members of the Executive Board (Chair, Deputy Chair, Secretary, & Treasurer) and the Chief Executive Officer (CEO), make up the Executive Team, and should be invited to attend the interview panel.
 - A majority of Executive Team must be present on the interview panel, with one of those the Chair.
 - Sufficient flexibility should be exercised to ensure a suitable interview time to attract the greatest possible number of the Executive Team on the interview panel.
 - The Chair must be included on every interview panel.
 - Any member of the Executive Team that has a perceived or actual Conflict of Interest should remove themselves from the interviewing process, to eliminate any perceived or actual case or complaint of Nepotism (A conflict is where employing the candidate could provide a personal benefit. Conflict of interest might include being related to, or a close friend of, the candidate, or a close friend of a relative. Being a current or past employee elsewhere would also represent a conflict of interest.)
- Briefing of the Panel
 - The Executive Team should be briefed on all candidates prior to the interview. This includes the provision of copies of resume, reference checks, and application with all submitted supporting documents.
- Standardisation
 - Where more than one candidate is interviewed, a standard rating proforma must be used to ensure objectivity and accurate assessment and comparison of candidates.
 -
- Determining the successful candidate
 - The Executive Team will decide on the successful candidate after private discussion amongst themselves.
 - Where more than one candidate is interviewed, the calculated score based on answers given in the interview will be discussed and will be one of the influencing factors in determining the successful candidate.
- Notifying Candidates of Decision
 - Successful and unsuccessful candidates are only notified, after private post-interview discussion has occurred with consensus reached by the Executive Team.
 - Where a consensus cannot be reached, the position will be re-advertised.

Pro-Bono (Voluntary) positions

1. Pro Bono (voluntary) positions must clearly state in all descriptions and advertisements that the position is Pro-bono (Voluntary) in nature to avoid misunderstanding and attracting applications who are expecting a paid position.

Salaried Positions

1. Where the position attracts a salary the structure (whether contract, temporary or a permanent position) must be clearly stated in all descriptions of the position and advertisement.
2. Where the position attracts a salary, this amount must be above award wage and/or represent fair market value for a similar position.
3. The rates of pay for DAISI salaried permanent staff are based on the [DFAT Enterprise Agreement 2019 – 2022](#), and are used as a guide for the agreed salary for all positions.
4. Salaries must be reviewed at least annually to ensure that DAISI remains competitive.

Hours of employment

1. The hours of employment, stated as Full Time Equivalents (FTE), should be stated clearly in all job descriptions.
2. When possible or necessary DAISI will consider providing other compensation to employees such as flexible working arrangements, or extra leave entitlements.

Contracts

Where the position is contractual, the time frame of the contract (usually 12-24 months) should be clearly stated in the job description. After the contract has expired, the DAISI Executive Team will make a decision whether to renew the contract or not and this should be made by consensus vote.

Probationary Period

An initial "probationary period" may be employed, (typically 3 months) to determine if the candidate is the correct fit for purpose, after which a decision is made by the Executive Team whether or not the candidate will continue in the position in a non-probationary capacity. If a "probationary period" is intended from the outset, this should be clearly stated in the job description.

This policy was first created 15th November 2015 and revised on 1st July 2020

4.3 Staff Code of Conduct

DAISI is committed to professional conduct amongst all its staff, members and volunteers with clear a clear Code of Conduct.

POLICIES

1. To ensure all Directors, Office Bearers, employees, volunteers and contractors of DAISI behave appropriately and practice standards of professional and personal conduct that are consistent with DAISI's values and uphold the public reputation of the organisation.
2. This Code of Conduct applies to all DAISI Directors, Officer Bearers, employees, volunteers and contractors.
3. The Code of Conduct outlines the required standard of acceptable conduct and behaviour that is expected of all Directors, Office Bearers, employees, volunteers and contractors in the performance of their duties and interactions in the workplace. This required standard of acceptable conduct and behaviour supports DAISI's ability to maintain public trust and confidence in the integrity and professionalism of the services provided to the community, and our ethos as a leading not-for-profit organisation in the South-Pacific.
4. The Code of Conduct and the behaviours outlined within it are fundamental to DAISI building healthy and positive relationships with its clients. The Code of Conduct also governs the way in which employees, volunteers and contractors are to relate to other staff, professionals, clients, visitors and stakeholders.
5. However, the Code of Conduct is not intended to provide a detailed and exhaustive list of what to do in every aspect of work. Instead, it represents a broad framework that will help guide conduct and behaviour in the performance of duties and interactions in the workplace.

RESPONSIBILITIES

DIRECTORS, OFFICE BEARERS, MEMBERS, EMPLOYEES, VOLUNTEERS AND CONTRACTORS

6. Be aware of and comply with the Code of Conduct.
7. Report behaviour that may be contrary to the Code of Conduct and required standards of behaviour.
8. Role model the required behaviours and standards identified in the Code of Conduct.
9. Model our organisational values of Integrity, Respect, Perseverance, Compassion and Celebration.
10. Comply with mandatory reporting requirements, including but not limited to, mandatory reports of domestic and family violence, reportable incidents involving children and vulnerable people or other regulatory requirements.

BOARD DIRECTORS

11. Be aware of and comply with the Code of Conduct.
12. Role model the required behaviours and standards identified in the Code of Conduct including through the day-to-day management of staff.
13. Model our organisational values of Integrity, Respect, Perseverance, Compassion.

14. Ensure all Office Bearers, members, employees, volunteers and contractors are aware of the conduct and behaviours expected of them as described in the Code of Conduct.
15. Ensure all Office Bearers, Members employees, volunteers and contractors have access to copies of the Code of Conduct and other relevant documents and policies.
16. Take appropriate steps to resolve conflict that arises in the workplace to ensure a healthy and harmonious work environment.
17. Take appropriate action to address breaches of the Code of Conduct by employees, volunteers or contractors.
18. Comply with mandatory reporting requirements, including but not limited to, mandatory reports of domestic and family violence, reportable incidents involving children and vulnerable people or other regulatory requirements.

OFFICE BEARERS

19. Provide advice to members, volunteers, employees, Partners & contractors in relation to the Code of Conduct and its application.
20. Role model the required behaviours and standards identified in the Code of Conduct.
21. Model our organisational values of Integrity, Respect, Perseverance Compassion and Celebration.

POLICY APPLICATION

PERSONAL & PROFESSIONAL BEHAVIOUR

22. All Directors, Office Bearers, Members, employees, volunteers and contractors are expected to maintain a standard of professional behaviour that maintains and promotes confidence and trust in the work of DAISI.
23. As board members, executive directors, office bearers, members, employees, volunteers and contractors engaged by DAISI, our personal and professional conduct must strive to create a harmonious, safe and productive workplace which models our ethos and organisational values. Therefore, it is incumbent upon us to:
 1. Uphold the highest standards of honesty and integrity in the conduct of duties.
 2. Respect the dignity of the public, our clients, volunteers and other employees by treating them with courtesy, honesty and sensitivity to their rights.
 3. Treat others in the workplace fairly and with respect.
 4. Exercise our best judgment in the interests of DAISI and our clients.
 5. Make decisions ethically, fairly and without bias using the best factual information available.
 6. Comply with any legislative, industrial or administrative requirements, and all lawful and reasonable directions given by persons in authority.
 7. Comply with all DAISI's policies and procedures relevant to the person's position.
 8. Act responsibly in the event of becoming aware of any unethical behaviour or wrongdoing by any other employee or volunteer and report such conduct or activities to the appropriate level of management.

Protection of those most vulnerable

24. DAISI's Code of conduct includes the protection of those most vulnerable, and therefore mandates reporting of any actual or suspected child abuse, sexual exploitation, workplace bullying sexual harassment, or discrimination based on gender, race, or religion. DAISI's protection policies for these vulnerable groups are listed below:

[Protection of children policy](#)

[Protection of the disabled](#)

[Protection from gender inequality](#)

[Protection against sexual exploitation](#)

[Protection of the vulnerable person](#)

Use of information

25. Confidential information is information obtained or developed in the course of the conduct of DAISI's business and which if disclosed will or could lead to risk, damage or injury to DAISI, its Directors, Office Bearers, Members, employees, Volunteers, beneficiaries, contractors or third parties.
26. All Directors, Office Bearers, members, employees, volunteers and contractors must:
27. Protect confidential information.
28. Only access confidential information when it is required for work purposes.
29. Not use confidential information for any unofficial or non-work purposes.
30. Only release confidential information if authorised to do so.

31. Directors, employees, volunteers and contractors are only permitted to release confidential information in accordance with established policies and procedures. As a guideline, staff shall not give information unless:
32. Required to do so by law.
33. Appropriate authority has been granted to release the information.
34. The information is officially available to the public and is released in accordance with DAISI procedures.

Conflicts of interest

35. The Code of Conduct should be read in conjunction with the Conflict of Interest Policy and applies to Directors, Office Bearers, employees, volunteers and contractors. In addition, the Code of Conduct considers appropriateness of certain personal relationships.
36. Under no circumstances are DAISI Executive, Office Bearers, employees, volunteers or contractors permitted to develop personal relationships with beneficiaries in the South-Pacific, including after-hours and through the use of digital and social media. A personal relationship is an association between two or more people that may be based on liking, love, some other type of social commitment or regular business interactions. Personal relationships may include a relationship between two parties that can have the unintentional effect of influencing judgment or behaviour or creating a perception of influencing judgment.
37. Where an employee, volunteer or contractor has a pre-existing relationship with a beneficiary, this may lead to a conflict of interest and they must disclose this to the Executive or Chief Executive Officer, and the Conflict of Interest Policy must be followed. A plan should be put in place and approved by the DAISI Directors (or Nominees of relevant Licences) to mitigate any potential conflict of interest. The relationship must not directly or indirectly compromise the performance of their duties or conflict with DAISI's interests at any point in time.
38. Furthermore, where an employee, volunteer or contractor is involved in a decision relating to the selection, appointment or promotion of a person with whom they share a personal relationship, for example a family member, it must be immediately declared in writing to the Executive prior to the decision being made. DAISI treats any conflict of interest in this regard extremely seriously and any instance of non-disclosure may result in disciplinary action up to and including termination.
39. Please also refer to DAISI's Conflict of Interest Policy for further information.

Use of DAISI resources

40. DAISI equipment, funds, facilities and other resources are to be used:
 1. effectively, economically and carefully;
 2. and for the benefit of DAISI.
41. Minimal use of telephones, computers, faxes or similar equipment for private purposes is acceptable in accordance with established policy. Occasional, limited use of photocopiers may be permitted with the prior consent of the manager.

Public comment

42. All Directors, employees, volunteers and contractors must ensure that public comments (either verbal or written) made in a private capacity are not attributed as official comment of DAISI.
43. In this regard, Directors, employees, volunteers and contractors are not permitted to use official stationery for private correspondence or for purposes not related to official duties. This prohibition extends to the provision of references for current and/or former staff members.
44. Directors, Officer Bearers, employees, volunteers and contractors should only publish information which is considered ethical and lawful.
45. Furthermore, Directors, employees, volunteers and contractors must abide by DAISI's Media and Social Media Policies when using social networking sites and commenting on the organisation in any manner.

Acceptance of gifts and benefits

46. It is unethical for Directors, employees, volunteers and contractors to solicit any gifts, benefits or additional money for themselves or other DAISI Directors, employees, volunteers or contractors.
47. Under no circumstances are Directors, employees, volunteers or contractors to accept gifts or benefits, or any inducement which might in any way obligate, compromise or influence DAISI or that person in their official capacity.
48. The Code of Conduct should be read in conjunction with the Gifts & Benefits Policy.

Secondary employment

49. DAISI employees (excluding senior executives) are permitted to engage in outside employment, provided that this employment does not have a detrimental impact on the employee's ability to meet the

requirements of their role, adversely affect the employee's work performance or give rise to a conflict or potential conflict of interest.

50. Before engaging in work that could potentially raise a conflict of interest, employees must seek written permission from a senior manager. Approval will not be granted where the secondary employment involves or could involve a conflict of interest with DAISI related duties, or could reasonably be perceived by a member of the public to give rise to a conflict of interest..

Responsibilities after leaving DAISI

51. Directors, Office Bearers, employees, volunteers and contractors must not disclose any official information after leaving DAISI that was non-disclosable during their engagement.
52. Former Directors, Office Bearers, employees, volunteers and contractors must not use or take advantage of, personal, confidential or official information that they have obtained during the course of their employment.
53. Furthermore, all Directors, Office Bearers, employees, volunteers and contractors must be careful in their dealings with former employees and ensure they do not give them favourable treatment or access to personal, confidential or official DAISI information.
54. Furthermore, Directors, Office Bearers, employees, volunteers and contractors must not use their position to advance their prospects for future employment, or allow their work to be influenced by plans for, or offers of, external employment which would conflict or compromise in any way the best interests of DAISI.

FAILURE TO COMPLY WITH THE CODE OF CONDUCT

55. Where it is established that a Director, employee, volunteer or contractor has breached the Code of Conduct, they may be subject to disciplinary action, up to and including termination of employment or contract.

AUTHORITY

56. This Policy has been authorised by the Executive Leadership Team and the Board of Directors.

RELATED POLICIES

57. All Directors, Office Bearers, Employees Members, Volunteers & contractors are expected to comply with all DAISI policies and procedures and are not limited to the below list of policies

[Conflict of Interest Policy](#)

[Social Media Policy](#)

[Gender Equality Policy](#)

[Child Protection Policy](#)

[Vulnerable adult policy](#)

[Sexual Exploitation Policy](#)

[Privacy Protection Policies](#)

[Collaboration Policies](#)

This policy was first created 15th November 2015 and revised on 1st July 2020

4.4 Staff Safety & Security

The safety and security of DAISI's people is of paramount importance. DAISI works in many challenging governance and security environments across the South-Pacific that may present heightened safety and security risks to people who work in and travel to these locations..

POLICY

Content

1. Principles on Safety and Security
2. Security strategy

3. Design and Implementation of the Security Policy

4. Roles and Responsibilities

4.1 HQ Level

4.2 Field Level

4.3 Personal Level

5. Coverage under and extent of the policy and relation to external groups

6. Nature of the policy

7. Code of Conduct

8. Protocols

8.1 Risk Rating System

8.2 Briefing

8.3 Travel - Preparation

8.4 Travel – Execution

8.5 Communication

8.6 Crisis Management

8.7 Incident Reporting

1. Principles on Safety and Security

The safety and security of our staff and volunteers on field teams are a key responsibility of our organisation. We accept a duty of care for all staff and volunteers on field teams. With an increasing number of missions, we are committed to a clear, relevant and proportional security policy, protocols and plans.

Additionally, as an organisation specialised in medical and surgical assistance, we must set a good example. The aim of the policy is to increase the security awareness of all DAISI staff and volunteers field teams involved to create a culture of security, and ultimately, to fulfil the objectives that our work aims to achieve.

The key to effective safety and security management is the creation of a culture of security and DAISI will work to create such an environment. Each staff and field team volunteer member has a responsibility for their own safety and security and that of others. Furthermore, we believe each staff and field team volunteer has a duty to address issues of safety and security proactively and at all times.

DAISI recognises that humanitarian work is often performed in extremely unstable and potentially dangerous environments and has therefore created this safety and security policy with a view to maintaining the safest possible working conditions.

DAISI subscribes to the Principles of the People in Aid Code of Good Practice and believes that staff comprise the most important resource for DAISI and the communities we serve. Effective safety and security policies and procedures are designed to ensure that the work of DAISI can continue even in challenging environments.

DAISI believes that safety and security exist when staff and volunteers are enabled to pursue their tasks without undue risk to health or life.

2. Security strategy

Being a non-governmental organisation (NGO) DAISI adopts the principals of non-partiality, neutrality and “do no harm”, principles that steer the missions of most humanitarian organisations. These principals are the foundation of a strategy based upon acceptance by the host community.

3. Design and Implementation of the Security Policy and Protocols

The security policy and protocols are developed in line with other Australian Aid agencies and follow acceptable normal practises as suggested by DFAT.

4. Roles and Responsibilities



Every individual at every level has specific roles and responsibilities. This policy outlines at which level certain responsibilities lie and where staff or field team volunteers should look for guidance or action concerning safety and security issues.

Performance objectives and reviews should include management of security. This can be at the individual level, i.e. displaying awareness of personal security issues, the impact of our own actions on the security of self, others and agency members. It can also be more formal in terms of the safety and security remit of the specific role that is being undertaken.

4.1 HQ Level

Country Programme Officers/Coordinators:

- Setting the security policy and protocols for the organization
- Producing security plans and Standard Operating Procedures (SOPs) for the field missions, which can then be adapted to each different field context
- Insurance Policy
- Training Policy
- Providing competent field teams, including those with previous field team experience.
- Planning of field operations
- Allocating sufficient resources. Both financial and human
- Providing support to field teams when necessary
- Monitoring the effectiveness of security management in the field
- Ensuring lessons are learned from experience and that policy and procedures are updated accordingly
- Taking appropriate corrective action to address deficiencies in security procedures.
- Deciding on deployment or evacuation
- Ensuring that designated staff at HQ are well prepared to take timely security related decisions when necessary. This includes the preparedness and implementation of a crisis management team for managing certain serious or high-profile incidents.
- Being aware of the extent of legal liability if various contingencies were to occur
- Taking appropriate corrective action to address deficiencies in security procedures

4.2 Field Level

Team member

- Thoroughly reading, accepting and complying with the Security Policy, Security Plan and SOPs.
- Participating actively and proactively in security assessments during the field operation
- Contributing actively to developing the rules for the trip and committing to active participation in the establishment of these.
- Taking appropriate corrective action to address deficiencies in security procedures.
- Acknowledging the authority of the DAISI team leader in security and behavioural aspects.
- Ensure there is a satisfactory in country safety briefing prior to a field trip.
- Be aware of evacuation plan and procedures

Team Leader

- Thoroughly reading, accepting and complying with the Security Policy, Security Plan and SOPs.
- Guiding of and taking responsibility for all team members, under delegated authority.
- Taking local responsibility for implementation of security measures and behavioural aspects.
- Assessing the security situation during the field operation
- Reviewing and commenting on the Security Plan
- Deciding on evacuation if and when necessary
- Taking appropriate corrective action to address deficiencies in security procedures.

4.3 Personal Level

Operating with security awareness in order to ensure, in the best possible way, the safety and security of team members, the field team and the organisation at all times, in every level of the organisation.

5. Extent of the Security Policy and Protocols

All DAISI staff, volunteers and all individuals contracted by DAISI on a professional or voluntary basis working on DAISI activities are covered under this policy and protocols. The policy does not cover family members of the above individuals and staff under contract with other NGOs or institutions. People are the organisations highest priority. The Security Policy and Protocols cover only people, not material and financial assets.

6. Nature of the Security Policy and Protocols

Adherence to the policy and protocols is a requirement. Only in life threatening situations do team leaders have the authority to bypass these to a certain extent. Team leaders also have the right to leave locations where their personal assessment is that their safety and security or that of others is being compromised.

If despite of the initial risk assessment, the security situation deteriorates beyond limits of acceptability, the DAISI team leaders have the ability to decide upon evacuation and this decision cannot be overruled.

If, and when an individual team member within a team does no longer feel comfortable with the security situation, the team member has the right to depart earlier at his/her own costs and responsibility.

7. Code of Conduct

DAISI strongly adheres to The ACFID and ICRC Codes of Conduct.

Respect and Care for the Participant/Client/Beneficiary

We shall adopt a professional association with participants/volunteers/clients and respect their culture, beliefs and background. We take participants seriously; there are no stupid questions". We develop a safe learning, where participants/volunteers/clients feel comfortable to approach us.

Training courses can be over-whelming and participants can get emotional. Please take this into consideration. Controversial topics (such as drugs, abortion, faith and politics) must be treated with sensitivity.

Respect for Culture and Custom

We will endeavour to respect the culture, structures and customs of the communities and countries we are working in. As a volunteer of DAISI, one is automatically a representative of the organisation. The team member act as an "ambassador" as much as a trainer, consultant, teacher and service provider. At the moment the team member travels to the field representing DAISI, his/her behaviour will be subject to close scrutiny by both DAISI members, local staff as well as the wider public in the host community. DAISI and its representatives will respect the law and the culture of the host community. This implies that cultural rules concerning expected dress codes, non-use of alcohol and other restrictions are respected to a sensible degree. Before travel, the individual has the obligation to study the context and the cultural laws of the community of destination.

Adherence to International Standards

DAISI is committed to international program standards. For each intervention it is the duty of the Team Leader to make sure the relevant standards are known to all team members. Many security issues arise from lack of knowledge of these standards.

Continuous improvement

We continuously strive to maintain, heighten and improve the standards of our activities. Field staff shall provide honest feedback to DAISI.

8. Protocols

DAISI considers the following protocols, part of the security policy, to be binding for all individuals covered under the security policy.

8.1 Risk Rating System

All Country Program locations are rated according to the assessed level of risk by the Country Programme Officer/Coordinator. The risk rating categories will be made available to all Team Leaders. Security Plans will be designed in the context of the assigned risk rating for that location. Security Plans will be flexible enough to cope with changes in risk ratings from time to time.

8.2 Briefing

All DAISI representatives travelling will be briefed before departure, either by email, in person or both. The briefing will contain logistical, content related and security details. Whenever possible and appropriate, DAISI will arrange security briefings upon arrival in the Country of destination. Upon return, all DAISI representatives will attend debriefing sessions and fill out a mission report feedback forms and can request a debriefing phone call if required.

8.3 Travel – Preparation

Training

Before departure, all team members receive an appropriate safety and security training. This is to include evacuation preparedness and possible security scenarios.

Health and Safety

Every DAISI team member is obliged to make sure they have all necessary vaccinations and other medical precautionary measures including hand sanitiser, protective personal equipment (PPEs) such as gloves, face masks and eye protection. If travelling to malaria prone areas, protective lightweight long sleeve/pants, clothing, mosquito repellent, and mosquito nets may be required.

Appropriate travel insurances is mandatory before travelling on DAISI mission to the South Pacific.

All staff and volunteers will be provided Anti-bullying policy, Workplace, Health and Safety policy and training on induction.

Emergency Precautionary Measures

Before travelling to a field operation, all DAISI team members must fill in an online application form which includes a personal profile. This is to include any health issues, medications, the volunteer's next of kin and emergency contact information.

Cancellation

DAISI makes the decision to cancel or continue planning the mission. However, DAISI stays responsible for continuous monitoring. If changing security situations require cancellation or evacuation, DAISI has the obligation to do so. With regards to these decisions, DAISI acknowledges the important but non-urgent nature of its mission.

8.4 Travel – Execution

Composing Standard Operation Procedures (SOPs)

Staff at all levels should continually monitor significant political, social, economic, security events in the areas where DAISI works. Often those best able to conduct assessments in a specific region are the field teams working within them. Therefore, team and team leader have primary responsibility for informing HQ of any possible disturbances.

8.5 Communication

All field staff and volunteers are to have mobile phone communication with various numbers of HQ contacts. Contact within the team will be preserved at all times. Team members must be aware of the location and communication means of their travel companions. If the team goes separate ways for whichever reason, team leader will ensure that the different parties have means of communication and will determine the interval of the communication.

8.6 Crisis Management

DAISI defines as a crisis any unstable situation of extreme danger or difficulty, which harmfully affects staff or volunteers or their ability to perform necessary duties.

Evacuation

Planning and preparation for evacuation is a key part of any security plan. Preparation should also be made for "hibernation" – when it is safer to stay in a location rather than to attempt to move.

If during field operations the security situation deteriorates beyond limits of acceptability both HQ Coordinators as well as team leader have the possibility to decide upon evacuation and this decision cannot be overruled. Australian Government assistance could be requested if required.

In an evacuation, DAISI's aim is to return staff and volunteers to their home base/HQ, or place of safety. Notwithstanding legal obligations, we endeavour to undertake, as far as reasonably practicable, to move all staff and volunteers to a place of safety, if they are at risk directly as a consequence of their work with DAISI, their nationality, their ethnic origin or are subject to a particularly serious or targeted threat. All staff and volunteers should be made aware of their own and DAISI's responsibilities in advance. Staff and volunteers who are evacuated will, as far as practicable, be offered a formal debrief and counselling if deemed appropriate.

8.7 Incident Reporting

DAISI defines an incident as "all events, which have caused, are likely to cause or could have caused the profile of the organisation and/or its representatives to be harmed (e.g. unwanted contacts with or questioning by police, intelligence services or any other authorities)."

In DAISI's current working region there is a very real danger from natural disasters. It is common to have cyclones and the resultant flooding, earthquakes and possible tsunamis and other natural disasters. Staff are to be fully briefed on how to prepare for all likely scenarios.

DAISI's Staff Safety and Securities Policy 2020

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This policy was first created 15th November 2015 and revised on 1st July 2020

4.5 Anti-bullying and discrimination

DAISI is committed to a work environment that is free from bullying and discrimination.

POLICIES:

1. DAISI is committed to fairness and equality in the workplace and providing a workplace free of bullying, discrimination, harassment, sexual harassment and victimisation. This commitment includes actively promoting policy and procedure and monitoring the workplace on a regular basis with the aim of preventing the occurrence of bullying, discrimination, harassment, and victimisation in the workplace.
2. DAISI recognises the difference between its employees and the various skills and perspectives that these differences contribute to our workplace. Behaviour that is discriminatory, harassing or bullying, whether displayed by an employee, manager, supervisor or contractor, will not be tolerated.
3. The aim of this policy is to ensure employees, contractors, member and volunteers of DAISI have a clear understanding of DAISI's expectation pertaining to acceptable and appropriate behaviour within the workplace. The workplace also pertains to work conducted here in Australia, offsite in the South Pacific, as well as activities at a work related social event.

Scope

This policy applies to all Employees, Contractors, Volunteers (including students), Board Members, and Work Experience Personnel.

Legislation



DAISI must meet all legislative requirements of New South Wales and Federal Legislation including but not limited to the following:

- Federal Jurisdiction
 - Australian Human Rights Commission Act 1986
 - Sex Discrimination Act 1984
 - Disability Discrimination Act 1992
 - Racial Discrimination Act 1975
 - Equal Opportunity for Women in the Workplace Act 1999
 - Fair Work Act 2009
- NSW State Jurisdiction
 - Anti Discrimination Act 1977 NSW Legislation

Responsibility of Managers

It is the primary responsibility of management and other employees in a position of authority to establish monitor and proactively maintain a working environment free from discrimination, harassment and bullying. Responsible personnel must also model appropriate behaviour and monitor the workplace in which their employees, members, and volunteers (including contractors) perform their role to ensure that acceptable standards of conduct are observed at all times.

Gender Equality Protection Officers

The role of the Gender Equality Protection Officer is to provide confidential, general information and support to any employee including matters relating to discrimination, harassment and bullying related to their gender. The Gender Equality Officer can help employees identify the issues in their situation, the outcome they want and the options available to achieve these. The Gender Equality Protection Officer does not provide legal advice, nor judge what is or is not discrimination bullying or harassment based on gender, but instead provides general information that will help the employee decide how to handle their own situation. The Gender Equality Protection Officer can be contacted by calling DAISI on +61 478 067 159, or by completing the Gender Inequality Incident Reporting Form listed under the “contact us” tab on our website daisi.com.au

Non-Gender Related Complaints

All matters of suspected discrimination, harassment and bullying not related to gender can be directed to the Chair of DAISI via email: staff@daisi.com.au or mobile: .61 478 067 159, unless it concerns an allegation against the Chair, in which case the Secretary should be contacted by email: gary@daisi.com.au or by mobile +61 411 248 910

Management of Complaints

Management will treat all concerns and complaints quickly, fairly and seriously in accordance with our complaints and whistleblowing policy.

Complainants will not be disadvantaged in their employment conditions or opportunities as a result of lodging a complaint.

No employee, member or volunteer of DAISI will be penalised or disadvantaged as a result of raising legitimate concerns or complaints relating to discrimination, harassment or bullying. Where a complaint is substantiated it

may result in disciplinary action up to and including termination of employment or disqualification of membership. If unsubstantiated or found to be vexatious it may also result in disciplinary action against the complainant.

Discrimination

Unlawful discrimination occurs when a person treats or proposes to treat another person less favourably owing to a protected attribute listed below. This is known as direct discrimination. Unlawful discrimination also occurs when there is a requirement or condition or practice which has the intention of treating everyone the same ends up disadvantaging, or potentially disadvantaging a person with one or more of the protected attributes listed below. This is known as indirect discrimination. Protected attributes in New South Wales include:

- Age
- Disability/impairment
- Industrial activity/inactivity
- Lawful sexual activity
- Sexual orientation or preference
- Gender identity
- Marital status, including de facto
- Political belief or activity
- Pregnancy
- Breastfeeding
- Race includes colour descent or national or ethnic origin
- Religious belief or activity
- Sex
- Status as a parent or carer
- Personal association with someone who has one or more of the above attributes
- Irrelevant criminal conviction (one that does not relate to an inherent requirement of the role)

Workplace discrimination can occur in:

- Recruiting and selecting staff
- Terms, conditions and benefits offered as part of employment;
- Who receives training and what sort of training is offered;
- Who is considered and selected for transfer, promotion, retrenchment or dismissal

It is important to note that from a legal perspective it is irrelevant whether or not the discrimination was intended.

Harassment:

A person unlawfully harasses another person if he or she makes that other person (another employee or member of the public) feel offended, humiliated or intimidated because of one of the protected attributes listed above. It may involve inappropriate actions, behaviour, comments or physical contact that is objectionable or causes offence. It is important to note that from a legal perspective it is irrelevant whether or not the harassing behaviour was intended.

Unlawful harassment may have occurred if the behaviour makes the victim feel:

- Offended and humiliated; and/or
- Intimidated or frightened

Unlawful harassment can include behavior such as:

- Telling insulting jokes about particular racial groups
- Sending explicit or sexually suggestive emails
- Displaying offensive or pornographic posters or screen savers
- Making derogatory comments or taunts about an individual's race or religion
- Asking intrusive questions about someone's personal life, including their sex life

Sexual Harassment

Sexual harassment occurs when a person makes an unwelcome sexual advance, or an unwelcome request for sexual favours to another person, or engages in any other unwelcome conduct of a sexual nature in relation to another person. Sexual harassment has nothing to do with mutual attraction or consenting friendships, whether sexual or otherwise.

Sexual harassment is unlawful in pre-employment activities and in the workplace. The workplace includes any place a person goes for the purpose of carrying out any function in relation to his/her employment and can also extend to social functions.

Some examples of sexual harassment include:

- Persistent, unwelcome demands or even subtle pressures for sexual favours or outings
- Staring or leering at a person or at parts of their body
- Un-welcomed patting, pinching, touching or unnecessary familiarities, such as unnecessarily brushing up against a person
- Offensive comments or questions about a person's physical appearance, dress or private life
- Sexually explicit pictures or posters or screen savers (words or images)
- Sexually explicit telephone calls, letters, faxes, emails or voice mail messages
- Humour such as smutty or suggestive jokes or comments
- Innuendo, including sexually provocative remarks, suggestive or derogatory comments about a person's physical appearance, inferences of sexual morality, or tales of sexual performance
- Requests for sex
- Insults or taunts based on sex
- Sexually explicit physical contact

Some types of sexual harassment may also constitute offences under the criminal law.

Bullying

Workplace bullying is repeated, unreasonable behaviour directed toward an employee, or group of employees, that creates a risk to health and safety.

"Unreasonable behavior" means behavior that a reasonable person, having regard to all the circumstances, would expect to victimise, humiliate, undermine or threaten the other person.

"Behaviour" includes actions of individuals or a group, and may involve using a system of work as a means of victimising, humiliating, undermining, punishing or threatening.

"Risk to health and safety" includes risk to the mental or physical health of the employee.

The following types of behaviour, where repeated or occurring as part of a pattern of behaviour could be considered to be workplace bullying:

- Physical or verbal abuse
- Intimidation
- Yelling, screaming or offensive language
- Excluding or isolating employees
- Psychological harassment
- Assigning meaningless tasks unrelated to the job
- Giving employees impossible jobs
- Deliberately changed work rosters to inconvenience particular employees
- Undermining work performance by deliberately withholding information vital for effective work performance.

Workplace bullying can occur between all and any personnel.

Bullying is not an acceptable part of DAISI work culture. It is a significant occupational health and safety issue of concern as it can cause harm to a person's health and wellbeing, both physical and psychological. Bullying may also be unlawful if it is linked to, or based on, one of the above-specified protected attributes covered by anti-discrimination legislation.

Bullying and harassment does not include situations where an employer raises an issue or concern with an employee in relation to legitimate and reasonable:

- Employee performance, including constructive feedback, setting performance goals, standards and deadlines
- Inappropriate behavior
- Organisational change
- Disciplinary action

Victimisation

It is unlawful for a person to subject or to threaten to subject another person to any detriment because the other person, or someone associated with the other person, has made an allegation or complaint of discrimination, harassment or bullying on the basis of a protected attribute.

This policy was first created 15th November 2015 and revised on 1st July 2020

4.6 Medical student supervision

DAISI is committed to the provision of elective placements for medical students in the Pacific-Islands. This is an important aspect of a doctor's training that can potentially have profound impact on their future careers, and attitudes toward public health matters. DAISI is also committed to the provision of high quality, safe medical care and teaching to Pacific Islanders. The following policies relating to the supervision of Medical Students



aim to appreciate the real benefits medical students can make to DAISI programmes in the South Pacific whilst also ensuring the delivery of high quality services.

POLICIES

Application

Medical students volunteering with DAISI must:

- Complete application form, including two referees
- Provide a current Working With Children Certificate
- Agree to abide by DAISI's policies, and the ACFID Code of Conduct

Supervision

Medical students must be:

- Directly supervised by a qualified and registered medical practitioner in the country in which they volunteer.
- Supervised when performing medical or surgical procedures

Monitoring

Medical students must where practical:

- Complete induction prior to volunteering
- Complete post trip debriefings
- Complete DAISI's feedback form

This policy was first created 15th November 2015 and revised on 1st July 2020

4.7 Occupational Health & Safety

DAISI is committed to ensuring the safety of its employers, members and volunteer.

POLICIES

1. The health and safety of our members and volunteers on field trips to the South Pacific is of utmost importance.

2. DAISI is committed to ensuring the safety of its members and volunteers when attending field trips in the South Pacific, realising there are many occupation health and safety risks attached with working in public hospitals in the topics of the South Pacific. It is essential that all members and volunteers attend briefing sessions prior to volunteering in the South Pacific where issues relating to protection of staff safety will be discussed. It is also essential that all members and volunteers attend debriefing sessions, where pertinent feedback is obtained about the overall experience, and any adverse events that have occurred. All DAISI members and volunteers are also sent a feedback questionnaire, asking members to rate their experience, and to identify if any adverse injury or illness occurred, and whether contact by a member of the DAISI executive/board is required.

3. APPLICATION PROCESS

All members and volunteers undergo a vetting process, skills and past experience and medical and psychiatric history is assessed, and where medical information and next of kin contact details are obtained. This is printed on the reverse side for member and volunteers ID cards. This information is also kept by the Secretary in the head office database, should it be required.

4. BRIEFING SESSIONS

All volunteers and members must attend briefing sessions, usually the week prior to departure, where a member of DAISI's Exec/Board with experience in that particular field, with local knowledge should also attend, and discuss the below precautionary measure to ensure the safe return of all members and volunteers, and address concerns and answer all relevant questions. [DAISI's staff safety and security policy](#), including evacuation plan (if needed) will be discussed at this briefing session.

5. DEBRIEFING

All DAISI members must attend debriefing sessions held usually on the last day at the hospital/country where volunteering took place. This session will be supervised by a senior experienced member of the DAISI team, to allow constructive feedback and advice.

6. FEEDBACK FORMS

The DAISI feedback form is emailed to all members or volunteers in the first week after returning from a field trip to the South Pacific.

7. CONTACT OF MEMBERS/VOLUNTEERS BY DAISI EXECUTIVE

A member of the DAISI executive will make contact (usually by phone) of any DAISI member or volunteer who requests it in their feedback form, and any DAISI member or volunteer who suffered an adverse event or illness. All adverse events and illness must be presented at the DAISI Executive/Board meeting usually held every three months, but a minimum of twice yearly.

8. ESSENTIAL ADVICE GIVEN AT BRIEFING SESSIONS

The below advice to reduce the risk of an adverse event, injury or sickness is provided to all members and volunteers at the initial Briefing session.

9. TYPES OF INJURIES

Physical and psychological harm can result from a field trip to the South Pacific. Methods for reducing this risk are suggested below.

10. PREPARATION PRIOR TO DEPARTING

Register your trip with DFAT Smart Traveller, and check this site for listing of areas best avoided due to illness or political unrest or natural disaster.

1. Register your trip with DFAT Smart Traveller, and check this site for listing of areas best avoided due to illness or political unrest or natural disaster.
2. Provide an itinerary to your next of kin, with contact details and planned contact dates.
3. Know where the Australian Consulate is located in the Country you visit, and have the email and phone number readily available.
4. Photocopy and keep in safe spot a copy of all your travel documents (passport, visa, immunisation record) in case of theft.
5. Discuss specific concerns you may have with the DAISI Executive/Board or team leader.
6. Have your medications packed safely in moisture resistant containers. Ensure all vaccinations are up to date and carry proof of vaccination.
7. Provide an itinerary to your next of kin, with contact details and planned contact dates.
8. Know where the Australian Consulate is located in the Country you visit, and have the email and phone number readily available.
9. Photocopy and keep in safe spot a copy of all your travel documents (passport, visa, immunisation record) in case of theft.
10. Discuss specific concerns you may have with the DAISI Executive/Board or team leader.
11. Have your medications packed safely in moisture resistant containers.
12. Ensure all vaccinations are up to date and carry proof of vaccination.

11. VACCINATION

Make sure that your vaccination status is known and up to date.

Vaccination is mandatory for COVID, hepatitis A & B, cholera, typhoid, polio, tuberculosis, measles, mumps, rubella, chickenpox, tetanus, Japanese encephalitis. You may also benefit from getting advice on vaccination against rabies.

12. MALARIA PROPHYLAXIS

Know the risk of malaria in the Country you are travelling to and Chloroquine resistance. Visit a GP with vaccination qualifications to obtain advice on the best anti-malarial prophylaxis. Doxycycline 100mg daily is frequently advised, but there is a risk of photosensitivity. Malarone (Atovaquone/proguanil) needs to be started one week prior to travel to be effective and continued one week after return. Malaria prophylaxis is

not safe in pregnancy. Malaria is increasingly resistant to Chloroquine, and side effects following scuba diving are common making it the least popular malaria prophylaxis.

13. MALARIA PREVENTION

In addition to antimalarials, consider use of DEET (N,N-diethyl-m-toluamide) based cream or spray such as RID or Aerogard. Light long sleeved clothing and mosquito nets are a must. Consider if your accommodation has fans or air-conditioning, which also reduce your risk of mosquito bites.

14. COVID

Be familiar with [DAISI's COVID precautions policy](#), and complete the compulsory [COVID screening questionnaire](#) 7 days before departure.

Familiarise yourself with COVID entry and exit requirements and quarantine laws.

15. DENGUE FEVER

There is no vaccination or effective treatment for Dengue fever currently approved in Australia. Visit travel smart

16. DIRTY WATER

Vaccination against Hepatitis A, Cholera and Typhoid is recommended. There is no vaccination against travellers diarrhoea, and bottled or boiled water is recommended.

17. TRAVEL INSURANCE

Always purchase travel insurance.

18. ALTITUDE SICKNESS

Never scuba dive within 24 hours of arriving or departing by flight, as this could result in "The Bends". Some antimalarials (e.g. Doxycycline) increase your risk of altitude sickness.

19. HOSPITALS

Only work in designated hospitals that have a current MoU with DAISI.

20. SCOPE OF PRACTICE

Only work within your scope of practice. You will be more likely to make errors if you practice outside your scope of practice, and medicolegally will not be covered. Medical students must be supervised at all times by a suitably trained doctor.

21. PSYCHOLOGICAL HARM

We recommend travelling within a supportive group to reduce your risks of an adverse event such as kidnapping, assault or rape and possible psychological harm. As a minimum travel two by two, especially in remote areas and after hours. Dress in a manner that is culturally appropriate, and that does not draw attention or ridicule. Avoid flashing cash in public, and always show situational awareness. If withdrawing money from an ATM or bank, keep the money concealed and have someone accompany you. Attend all briefs and debriefing sessions, so that if an adverse event is encountered, psychological support can be provided.

22. IMPRISONMENT

Always have a valid prescription or letter from your doctor explaining all medication taken through customs. Ensure your passport is valid 6 months from your departure date, and that you have the appropriate visa. Be aware of local laws that might be quite different to Australian laws on various relating to sexuality, alcohol and drug use, and the criticism of government on social media. Ensure that you have local registration to practice your specialty.

23. RECREATIONAL ACTIVITIES

It is always tempting to turn a volunteer trip into a bit of a holiday, and engage in recreational activities while. Remember to do this safely, as the medical facilities may not be able to provide you the medical or surgical attention you need if you sustain an injury. Always use protective equipment when required/available such as life vests (when travelling by water) helmets (by bike) or seat belts (by road).

24. OTHER INJURIES

Heat stroke, fatigue and dehydration can occur in the tropical hot humid environment so always carry sun protection, bottled or boiled water, and avoid working long hours without a break.

Antifungals, and proper footwear is also needed to avoid foot injuries.

25. PERSONAL PROTECTIVE EQUIPMENT

The supply of PPEs in the hospital you visit cannot always be assured, and therefore it is recommended that members and volunteers bring with them their own personal supply of gloves, hand sanitiser, goggles and masks to last the duration of your trip.

26. SHARPS/NEEDLESTICK INJURIES

Sharps containers are not always abundant in the hospital in the South Pacific. Multi-use ampoules are sometimes still in practice by local health practitioners. Remember to apply the same needle stick and blood borne virus precautions on field trips that you apply back home, and report any needle stick injury or blood exposure immediately to your trip leader.

27. NOTIFICATION OF ADVERSE EVENT OR PERSONAL INJURY

It is never too late to notify your trip leader, of DAISI's Executive/Board of an adverse event or personal injury sustained while at work on a volunteer trip to the South Pacific. This will allow the appropriate investigations and treatment to be implemented, and will also allow for root cause analysis, and planning to prevent a similar episode from occurring.

This policy was first created 15th November 2015 and revised on 1st July 2020

4.8 Grievances and complaints

DAISI staff have the right to raise concerns made in good faith through a legitimate grievance process, without fear of retribution or retaliation, knowing that complaints will be adequately investigated.

POLICIES

1. DAISI's Code of Conduct for staff members states clearly the conduct expected of all staff. Serious erring from this code of conduct, could amount to misconduct, and represent grounds for complaint or termination of employment.
2. DAISI takes all complaints very seriously and has a [Whistleblowing and Complaints policy](#) and process, where the contact details for making complaints to DAISI is listed.
3. DAISI also has incident reporting contact forms on its website for specific complaints related to alleged [sexual exploitation or misconduct](#), [fraud or terrorism activity](#), unfair treatment of [marginalised or vulnerable adults](#), [children at risk](#), and [gender inequality](#)

This policy was first created 15th November 2015 and revised on 1st July 2020

partnership



5.1 Collaboration

DAISI must have a respectful appreciation for the contributions, expectations, responsibilities and accountabilities of all parties it works with. DAISI's policies to promote successful collaboration with its South-Pacific partners are presented below.

POLICIES

1. It is the aim for DAISI members through collaboration will negotiate shared goals with our South Pacific partners.
2. Partners must be aligned with DAISI's values and objectives
3. Partners must be legally registered and have appropriate governance mechanisms (eg Board)
4. Partners must have appropriate financial systems in place and have the capacity to manage and control funds
5. Partners must be assessed to have the capacity to apply funds and resources in accordance with the promise to the donor, DAISI's strategy and specific instructions to the partner.
6. The aim of DAISI is to support and complement, not replace, existing systems and infrastructures in partner projects in the South Pacific.
7. There must be adequate time given to discussions between DAISI members and its South Pacific partners, ideally prior to, during and after joint projects in the South Pacific.
8. Invite partners to develop content for agreements
9. Discuss and negotiate the content of agreements with partners rather than imposing predetermined templates or contracts
10. At every stage, DAISI members must remember that they are guests and conduct discussions in a manner which encourages the autonomy of its South Pacific partners, recognising also their unique strengths.
11. DAISI promotes and adheres to the [ACFIC Collaboration Guidance Notes](#), which promote a collaborative framework to joint projects.
12. It is DAISI's aim to work with our South Pacific partners in a respectful manner.
13. DAISI must be respectful of the governing policies and procedures in place in the South Pacific countries they participate with.
14. For Doctors and Nurses, this includes being compliant with local Governance and legal registration requirements.
15. DAISI members must also undertake due diligence and capacity assessments to identify potential strengths and risks to inform the approach taken to when working with our South-Pacific partners.
16. This includes reference checks of partners against prohibited entities listings.
17. Capacity assessment for implementation of key safeguarding and risk policies (e.g. child protection and prevention of sexual exploitation, abuse and harassment)
18. DAISI must foster a partnership with its South-Pacific neighbours, realising that partnerships are often as strong as their weakest link. These weak links are recognised and supported.
19. DAISI must foster a team approach between DAISI Members and its South-Pacific partners, that is harmonious and congenial. This requires humility, patient active listening, and thoughtful consideration.
20. The aim of DAISI is to develop mutually identified aims and goals, as this will promote solidarity and in turn, the greatest investment, productivity and overall satisfaction of all involved.
21. DAISI must actively seek out information from its partners, to ensure their voice is heard.
22. This be facilitated by
 1. an external consultant,
 2. feedback survey
 3. roundtable meetings
 4. or informally through discussion.
23. The exact mode for seeking information is not as important as the frequency with which it happens, realising there are cultural differences in terms of expected time to wait for any given response when communicating from afar.

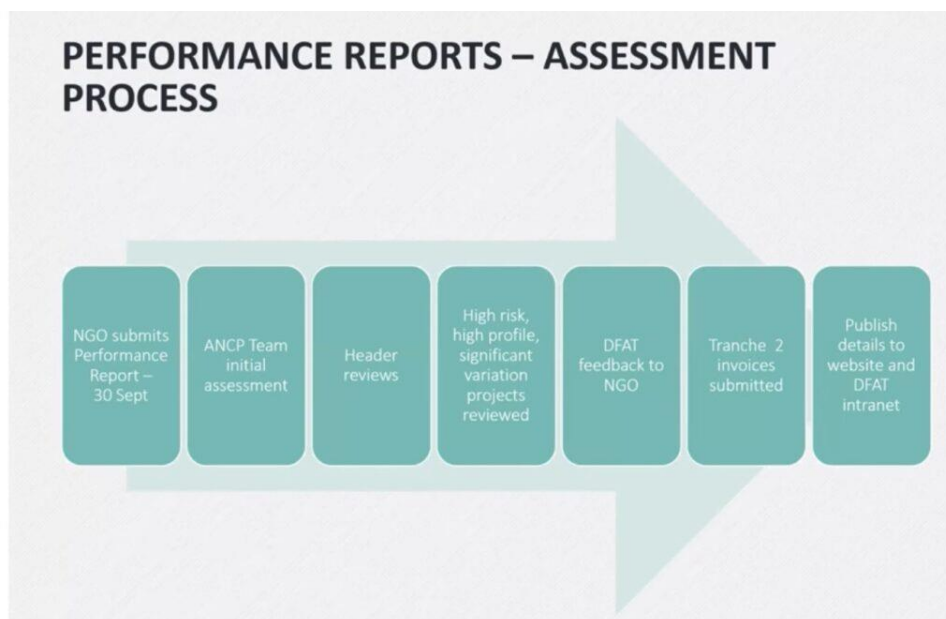
24. The CEO and Country Programme Officers for each country will evaluate partnerships and present their assessment at the Board/Executive meeting. This should occur, as a minimum, annually at the Board/Executive meeting that follows immediately after the Annual General Meeting (AGM).

This policy was first created 3 Feb 2021. And revised 30th July 2021.

5.2 ANCP Progress Report Template

The DAISI Performance Reporting to ANCP should be honest, accurate and wherever possible based on robust, or adequate evidence.

1. The ANCP Performance Report is should be submitted on-time annually. This is done online by the cut off date for submission usually 5pm last business day of September via Smartigrants <https://ancp.smartygrants.com.au> (login required):



2. DAISI's performance report must contain the necessary and accurate data to meet DFAT and other stakeholder requirements including the ANCP.
3. The person that performs the performance report should not be the same person who signs off the authorisation. Typically the Secretary prepares the report which is signed off by the Chairperson.
4. Always check for error messages in Header (eg calculations) before hitting submit.

Purpose of Performance Reports

- 5 The purpose of performance reports are to follow up on Atplan reported in June each year. (The Atplan report is stating what DAISI intends to deliver for the next financial year). The performance report is following up on this Atplan showing how DAISI has gone in delivering to the Atplan commitment.

PERFORMANCE REPORTS PURPOSE

- Acquittal and accurate record of project
 - Audit and compliance reviews
- Qualitative and quantitative data for ANCP reporting
 - Aid Program Performance Report (public)
 - Aid Quality Check (internal)
 - Senate Estimates, Budget Estimates
- Partner Performance Assessments
- Briefings material – internal, external, Ministerial
- Post and thematic area reference reports
- M&E visit background
- Public communications

ANCP Information Session

6. The key part of the performance report is the acquittal; an accurate report of what happened on the ground with DAISI projects so that DFAT can keep accurate records of how aid funds were spent.

7. A percentage (11:57) NGO's will also be ask to submit a Partner Performance assessment.

Questions

8. Questions concerning ANCP performance reports should be directed to the ANCP Mailbox. Technical questions on use if the smartygrants website can be directed to the smartygrants email.

ANCP TEAM CONTACTS

ancp@dfat.gov.au

smartygrants@dfat.gov.au

02 6178 5888

<http://dfat.gov.au/aid/who-we-work-with/ngos/ancp>

1. The Header should answer questions with a corporate summary response referring to how DAISI has achieved its requirements across the whole financial year. The template for the Online Header Navigation is shown below:

Form Navigation

1. [Annual Performance Report Header](#)
2. [Executive Summary](#)
3. [Beneficiaries](#)
4. [ANCP Program Budget Summary](#)
5. [Meta-Evaluations](#)
6. [Meta-Evaluation Details\(Not Applicable\)](#)
7. [Case Study Details](#)
8. [ANCP Annual Performance Report Certification](#)

10. Where evidence (eg evaluation reports) can be used to support claims, these should be referenced in the Header Report.

11. The first question of the The Header asks about results and achievements DAISI has had in the financial year. This should be an executive summary with one or two examples (do not just a list of examples). Although not compulsory, It is preferable to enter the ANCP project number for two effective programs that highlight DAISI's effectiveness.

12. The following YouTube clip gives practical advice in submitting the Performance report to ANCP, and should be viewed by the person submitting this report: <https://youtu.be/2KVPNWs9a8E>

13. DAISI should keep abreast of changes to ANCP performance reporting requirements by attending rejuvenate webinars when they are advertised.

This policy was first created 1st July 2020

5.3 Capacity Assessment Implementing Partners Template

The following Capacity Assessment Implementing Partners template is a standardised tool that allows their capacity to be assessed in a standardised manner..

PURPOSE OF THE TOOL?

1.The purpose of this tool is to assess whether an organization has the necessary capacity to implement a DAISI supported programme, and identify any weak areas that need improvement to raise its capacity to the minimum necessary levels. When used at the beginning and end of interventions for improving capacity, it can serve as a tool for measuring results of the capacity building interventions.

STRUCTURE OF THE TOOL

2.The tool consists of four sections: A: Introduction and Instruction B: Identification Information C: Overall Assessment D: Assessment Matrices (consisting of nine dimensions), and E: The Capacity Building Recommendations.

3.The Overall Assessment sections consists of a summary of the assessments by dimension. The sections fill automatically upon completion of the assessment of the dimensions

4.The nine dimensions include: 1) Governance and Leadership 2) Human Resources 3) Programme 4) Monitoring and Evaluation 5) Financial Management 6) Procurement Systems, 7)

5.Comparative Advantage 8) Knowledge Management 9) Partnerships. Each of these dimensions is assigned a weight, which is used to calculate the final assessment score. (Weights are shown on each assessment sheet).

6.Each dimension consists of items (statements or questions) which constitute the primary assessment units. For each dimension, additional assessment criteria (row) that may be more relevant to the unit or Implementing Partner can be added simply by inserting a row above the ARMY GREEN COLOR row. Additions made by inserting above this row are automatically included in the calculations of the overall score.

7.An extra column is provided for comments. These comments should provide additional information to be used to decide on whether the organization should be enrolled as a partner and on

HOW TO USE THE TOOL?

8.The recommendations for strengthening the capacity of the organization.

9.Fill the Background and identification section

10.Respond to each item, using the drop down facility provided.

11.Make comments, if any

12.Check on the Overall Assessment and use the results to inform decision-making

13.Fill the table for capacity building recommendation

14. The final score should be used to inform the decision of whether to add the organization to the roster of UNFPA implementing partners. The recommendation for capacity building should inform a plan to intervene and improve the capacity of the partner

DECISION POINTS

15. If the Overall Weighted Score is less than 1.5 (or 1.2 if Financial and Procurement sections omitted), consider not enrolling the organization as an implementing partner.

16. If the Overall Weighted Score is between 1.5 and 2.5 (or 1.2 and 2 if Financial and Procurement sections omitted), the organization needs capacity building support urgently; if the score is between 2.5 and 3.5 (or 2.1 and 2.8 if Financial and Procurement sections omitted), the organization needs capacity building, but not urgently; if the score is above 3.5 (2.8 if Financial and Procurement sections omitted) the organization hardly needs capacity building support.

WHO SHOULD USE THIS TOOL?

17. This tool should be intended for use by the DAISI Executive (including CEO), Country Program officers. And Risk Assessment Committee (RAC).

WHEN SHOULD THE TOOL BE USED FOR?

18. This tool is used to assess the Implementing Partner whether they be new or existing:

(a) New implementing partners: The assessment should be done at the time of original selection of a new Implementing partner (no AWP in the past five years) at any time during the programme cycle.

(b) Existing implementing partners: The assessment should be conducted upon entering into the next programme cycle, and then every two programme cycles after that. In addition, the assessment can be conducted any time a UNFPA manager believes the implementing partner's structure has experienced significant changes since the last assessment

WHO SHOULD ADMINISTER THE TOOL?

19. The tool can be administered by : (a) a DAISI member (b) an independent consultant, with knowledge in the areas of DAISI's programmes.

IMPLEMENTING PARTNER CAPACITY ASSESSMENT TOOL

20. The tool should be administered using the following data collection methods:

a. Document review and/or individual interviews: review relevant documents and/or interview relevant individuals to compile preliminary responses to the questions and statement proposed in the tool.

b. Focus Group Discussion (FGD): conduct at most two focus group discussions of five to seven participants each, to verify and finalize the preliminary responses. If one FGD is conducted, ensure a good representation of the key units of the organization. If two FGDs are conducted, separate the groups by seniority levels: a group of senior staff and a group of junior staff who can speak competently about the topics in the assessment tool. The number of FGD should depend on the staff size - e.g. more than 50 staff members (two FGDs).

c. Some questions in the tool require consultation with peer organizations to the organization being assessed. In this instance, at least 3 peer organizations should be consulted

The tool is designed to be administered using the Excel spreadsheet to benefit from automated functions. However, if using the spreadsheet is not feasible, hard copies should be printed and used to administer the tool. In such instances, the overall assessment should not be filled manually, rather it should be completed automatically upon entering the hard copy data into the Excel spreadsheet.

STEPS FOR ADMINISTERING THE TOOL

21. Make an appointment to brief the organization about the assessment process;

22. Brief the organization – explain the two steps, indicate the documents that you will need for the first step, agree on how you will access these documents, and set dates for the focus group discussions. Explain that the tool will also be used to suggest capacity building areas and interventions, and to track the results of the capacity building interventions that were accepted and implemented;

23. Review the documents, and conduct individual interviews, as needed, to make a preliminary assessment;

24. Share the preliminary review with relevant staff members of the Country office and ask for their comments, if any;

25. Identify the assessment area/questions for which you need more information;

26. Conduct the FGDs focusing on the areas identified in step 5;

27. Finalize the assessment of each dimension;

28. If an item is not assessed, leave the assessment column blank;

29. Submit the final results to the unit manager (country representative) to inform selection and capacity building decisions;



30. Keep on file a copy of the filled tool.

NATURE OF ORGANISATION

Name of organization to be assessed:

Country Programme Office/Head Office/Risk Assessment Committee (doing assessment):

Year:

Name of DAISI member in charge of assessment:

TYPE OF ORGANISATION

Government:

Local:

Private Sector:

Bilateral development agency:

Multilateral development agency:

International Organisation:

Year

PROGRAMME AREAS OF ORGANISATION'S WORK

Preventative Health Care (Population and Development)

Primary Healthcare (Medicine and Surgery)

Vulnerable persons health?

e.g. Gender Equality, Reproductive Health Services, Adolescent Sexual Health, Paediatrics HIV/AIDS

OVERALL ASSESSMENT (SCORE OUT OF 4)

Governance and Leadership

Human Resources

Programme

Monitoring and Evaluation

Financial Management

Procurement Systems

Comparative Advantage

Knowledge Management

Partnership

Average Score

Weight 0.127

Overall Weighted Score

Governance and Leadership					
GOVERNANCE AND LEADERSHIP	SCORE (1-4)	Score Levels			
		1	2	3	4
1.1. What is the legal status of the organization?		The organization has no legal status	The organization has legal status in only a few districts or regions in the country	The organization has national legal status though it is undergoing renewal	The organization has full national and duly renewed legal status
1.2. Are the organization's goal and mission clear and in writing?		The organization does not have clearly defined mission and goals	The organization has a clearly defined mission and goals but they do not reflect the organization's current structure and context and they may or may not be written and posted.	The organization has a clearly defined mission and goals that reflect the organization's structure and context, but they are not written down	The organization has a clearly defined mission and goals that reflect the organization's structure and context, are written, and are clearly posted
1.3. Does the organization have well documented and comprehensive governance framework tools?		The organization has no written constitution, by-laws or operational policies to guide work, human resources management practices, or financial management	The organization has basic written constitution and by-laws but no written policies that guide its work, human resource management practices or financial management	The organization has a constitution, by-laws and some written policies but policies are incomplete	The organization has well conceived constitution and by-laws and thoroughly developed operational policies to guide work, human resources management practices and financial management
1.4. Does the organization have a formal structure of different governance levels (Executive Board, Executive Committee or Management) with delineated respective roles and responsibilities?		The organization does not have a formal structure of the different governance levels	The organization has a formal structure of different governance levels, but the respective roles and responsibilities of the different levels are not well delineated	The organization has a formal structure of different governance levels, the roles and responsibilities of the different levels are well delineated but not appropriately aligned with the governance hierarchy	The organization has a formal structure of different governance levels, the roles and responsibilities of the different levels are well delineated and appropriately aligned with the governance hierarchy
1.5. To what extent do the Executive Board and the Executive Committee adhere to their respective roles and responsibilities?		The organization does not have delineated roles and responsibilities between the Executive Board and the Executive Committee	The delineated roles and responsibilities exist, but neither the Executive Board nor the Executive Committee adheres to them regularly	The delineated roles and responsibilities exist, but one of the two organs, Executive Board or the Executive Committee, does not adhere to them regularly	The delineated roles and responsibilities exist and both Executive Board or the Executive Committee adhere to them regularly
1.6. To what extent is the organization's current strategic plan well developed, with a robust frameworks (Results and M&E)		The organization has no current strategic plan	The organization has a strategic plan, but it is not well developed and does not have a robust result framework	The organization has a strategic plan, which has a robust result framework but was not developed in a participatory manner	The organization has a strategic plan, which has a robust result framework and was developed in a participatory manner
In case of need for additional criteria (rows), insert above this row					
Average score					
Weight	0.127				
Average weighted score					

Human Resource					
2. Human Resources:	SCORE (1-4)	Score Levels			Comments
		1	2	3	4
2.1 To what extent are the recruitment, employment and personnel practices clearly defined and followed, and embrace transparency and competition?		The organization does not have defined recruitment, employment and personnel practices	The recruitment, employment and personnel practices are clearly defined but are not followed regularly and do not embrace transparency and competition	The recruitment, employment and personnel practices are clearly defined and followed, but do not embrace transparency and competition	The recruitment, employment and personnel practices are clearly defined and followed, and they embrace transparency and competition
2.2 To what extent is the expertise of the staff consistent with the mission and programs of the organization?		The expertise of the staff is not consistent with the organization's mission and programmes	A few staff members have expertise that is consistent with the organization's mission and programmes	Most staff members have expertise that is consistent with the organization's mission and programmes	All staff members have the expertise that is consistent with the organization's mission and programmes
2.3 To what extent are the established staff positions filled and the organization has adequate staff resources to implement UNFPA-funded activities?		Few (less than 35%) of the established positions are filled	About half (35% - 65%) of the established posts are not filled	Almost all the established posts (more than 65%), are filled, but the staffing level is not adequate to implement UNFPA-funded activities	Almost all (more than 65%) established posts are filled and the staffing level is adequate to implement UNFPA-funded activities
2.4 What proportion of the professional level staff is local staff?		Less than 25%	25% to 49%	50% to 74%	75% or more
2.5 To what extent does the organization have and comply with a staff performance planning and assessment system (work plan outputs, output indicators, planning and assessment deadlines)?		The organization does not have a staff performance planning and assessment system	The organization has a system, but it is weak: does not include the minimum elements.	A system exists and includes the minimum elements, but compliance is low	A system exists, it includes the minimum elements and compliance is high (e.g. more than 60% of staff met last deadline)
2.6 To what extent are the salaries clearly structured, and benefits policy is written and practiced?		Salaries not systematically structured and benefits policy not written	Salaries systematically structured but benefits policy not written	Salaries systematically structured, benefits policy written but not practiced	Salaries systematically structured, benefits policy written and practiced
In case of need for additional criteria					
Average score					
Weight	0.127				
Average weighted score					

Programme					
SCORE (1-4)	Score Levels				Comments
	1	2	3	4	
3.1 To what extent does the organization have and use clearly written guidelines and tools (e.g. project development checklist, work planning templates, annual work planning schedule) to support development of programs and plans	The organization does not have any guidelines or tools for supporting development of programmes	The organization has guidelines and tools but they are not clearly written	The organization has clearly written programme planning guidelines and tools but they are not used consistently	The organization has and consistently uses clearly written programme planning guidelines and tools	
3.2 To what extent does the organization's current (largest) programme have a clearly and appropriately defined result framework (clear goals, objectives, strategies, activities) that is aligned with the organization's mandate?	The organization's current largest programme does not have a defined results framework	The organization's largest programme has a result framework but the results are not clearly and appropriately defined	The organization's largest programme has a results framework. The results are clearly and appropriately defined, but they are not aligned with the organization's mandate	The organization's largest programme has a results framework. The results are clearly and appropriately defined and they are aligned with the organization's mandate	
3.3 To what extent are the organization's current programme priorities and services defined in collaboration with stakeholders and based on need assessments and institutional capacity?	Current programme priorities and services are not defined in collaboration with stakeholders and are neither based on needs assessments nor on institutional capacity	Current programme priorities and services are defined in collaboration with stakeholders, but are neither based on a needs assessment nor on institutional capacity	Current programme priorities and services are defined in collaboration with stakeholders, and are based on a needs assessment but not on institutional capacity	Current programmes priorities and services are defined in collaboration with partners, and are based on both needs assessment and institutional capacity	
3.4 To what extent the organization has annual work plans (that meet minimum standards: Outcomes to contribute to, expected outputs, activities to be carried out, time frame for the activities, responsibility for the activities, and the inputs for each activity) and a system to ensure adherence to the work plans?	There are no annual work plans	The annual work plans exist but do not meet the minimum standards.	The organization has annual work plans that meet the minimum standards, but does not have a system for ensuring adherence to the work plans	The organization has annual work plans that meet the minimum standards, and a system for ensuring adherence to the work plans	
3.5 To what extent has the organization achieved the annual work plan targets of the immediate past complete calendar year?	Programme does not have reports about achievement of the targets	Reports are available and show that the programme achieved on average less than 25% of the planned targets	Reports are available and show that the programme achieved on average 50% of the planned targets	Reports are available and show over 50% of targets achieved	
In case of need for additional criteria (rows), insert above this row					
Average score					
Weight	0.127				
Average weighted score					

Monitoring and Evaluation					
4. Monitoring and Evaluation	SCORE (1-4)	Score Levels			Comments
		1	2	3	
4.1 To what extent the organization has and consistently complied with monitoring and evaluation guidelines, and the guidelines are documented and readily accessible to staff?		No monitoring and evaluation guidelines exist	Monitoring and evaluation guidelines exist, but are not well documented and readily accessible to staff	Monitoring and evaluation guidelines exist, are well documented and readily accessible to staff. But they are not complied with consistently.	Monitoring and evaluation guidelines exist, are documented and readily accessible to staff, and are complied with consistently.
4.2 To what extent do the organization's on-going programmes have M&E frameworks with indicators, baselines, and targets?		None of the programmes have M&E frameworks	Some programmes have M&E frameworks, but the frameworks are incomplete	Some programmes have complete and high quality frameworks	All programmes have complete and high quality M&E frameworks
4.3 To what extent does the organization regularly and consistently report programme progress based on reliable indicators?		No regular reporting of programme progress	The organization irregularly reports programme progress, and the indicator data is not reliable	The organization regularly reports programme progress, but the indicator data is not reliable	The organization regularly reports programme progress with reliable indicator data
4.4 To what extent is monitoring data analyzed and used to inform programme decision making?		There is no reliable programme monitoring data to support data analysis and use to inform programme decision-making	Reasonable programme monitoring data is available, but not systematically analyzed and used to inform programme decision-making	Programme monitoring data is available and routinely analyzed, but not frequently used to inform programme decision-making	Programme monitoring data is available and routinely analyzed and frequently used to inform programme decision-making
4.5 In the past five years, have any of the organization's programmes been subjected to an independent evaluation that made recommendations specifically for the organization to follow up, and the organization followed up on these recommendations?		None of the organization's programmes were subjected to an independent evaluation process.	At least one programme was subjected to an independent evaluation process, but the evaluation did not make recommendations specifically for the organization to follow up	At least one programme was subjected to independent evaluation, the evaluation made recommendations specifically for the organization to follow up, but the organization did not follow up on these recommendations	At least one programme was subjected to independent evaluation, the evaluation made recommendations specifically for the organization to follow up, and the organization followed up on these recommendations
4.6 What is the level of monitoring and evaluation expertise in the organization?		The organization has no in-house expertise in monitoring and evaluation and has irregular access to external expertise	The organization has limited in-house expertise; irregular access to external expertise exists	The organization has limited in-house expertise, but there is regular access to external expertise	The organization has strong in-house expertise as well as regular access to external expertise
In case of need for additional criteria (rows), insert above this row					
Average score					
Weight	0.127				
Average weighted score					

Financial Management					
SCORE (1-4)	Score Levels				Comments
	1	2	3	4	
5. Financial Management - Skip if Partner eligible for HACT Micro assessment					
5.1 Does the organization have finance policies and procedures manual or guidelines?	Organization has no financial manual	Organization has a financial manual, but the manual is not comprehensive and is not readily accessible	Organization has a readily accessible but incomplete financial manual	Organization has a readily accessible and comprehensive financial manual	
5.2 To what extent does the organization keep accounts of money that can be presented on demand?	No accounts kept	Financial records are kept for money received and spent, but it is difficult to establish how much money is held at any one time	Accounts are up-to-date and balances and statements are prepared at the end of the year	Balances and statements prepared quarterly. At the end of the year, they are presented to external stakeholders for approval	
5.3 To what extent can the organization's accounting procedures accommodate multiple currency and donor accounts?	No defined accounting system	Accounting procedures in place do not enable handling of multiple donor and multiple currency accounts	Accounting procedures in place do not enable handling of multiple donors but can handle multiple currency accounts	Accounting procedures in place enable handling of multiple donor and multiple currency accounts	
5.4 Does the organization have bank deposit procedure for checks and balances?	No defined bank deposit procedure for checks and balances	Bank deposit procedure for checks and balances are weak. Bank checks are signed by at least two people, one of whom also prepares financial reports. Checks are not reviewed and approved by a dedicated budget management person	Bank deposit procedure for checks and balances are acceptable for the most part. Bank checks are signed by at least two people, none of whom also prepare financial reports. Bank checks are not reviewed and approved by a dedicated budget management person.	Bank deposit procedure checks and balances are strong. Bank checks are signed by at least two people, none of whom also prepare financial reports. Bank checks are reviewed and approved by a dedicated budget management person	
5.5 To what extent does the organization maintain and adhere to regularly scheduled internal and external financial audits	No regularly scheduled internal and external audits	Regular schedule of internal and external audit exist, but it is not consistently adhered to	Regular schedule of internal and external audit exists, it is consistently adhered to, but there is no consistent follow up to the recommendations	Regular internal and external audit schedule exists, it is always adhered to and there is consistent follow up to the recommendations	
5.6 To what extent does the organization implement cash advance control system?	No cash advance control system exists	Cash control system exists but is not comprehensive and is not adhered to consistently	Cash control system is comprehensive, but it is not adhered to consistently	Comprehensive cash control system exists and is always adhered to	
5.7 Does organization provide accurate financial records on time to donors?	No experience of submitting donor reports	Reports are submitted late and are often incomplete	Reports are submitted on time but often are incomplete	Reports are submitted on time, are complete, and always meet donor requirements	
In case of need for additional criteria (rows), insert above this row					
Average score					
Weight	0.127				
Average weighted score					

Procurement Systems					
SCORE (1-4)	Score Levels				Comments
	1	2	3	4	
6. Procurement Systems - Skip if Partner eligible for HACT micro assessment					
b.1 To what extent does the organization have clearly documented procurement guidelines?	No procurement guidelines	Procurement guidelines exist but not documented	Procurement guidelines exist, are documented, but not consistently followed	Procurement guidelines exist, are documented and consistently followed	
6.2 Does the organization maintain and use a "Source and Prices list" of all items?	There is no such a list	List exists, but it is not updated and is not followed	Updated list exists but is not consistently followed	Updated list exists and is consistently followed	
6.3 To what extent does the organization have and comply with competitive procurement procedures, as expected by DAISI?	There are no organization-specific Procurement procedures	Some procurement procedures exist, but they are weak and not compliant with UNFPA's expectations, and are not followed	Procedures that comply with UNFPA's expectations exist, but are not consistently followed	Procedures that exist are fully compliant with UNFPA expectations and are always followed	
6.4 Does the organization have a system for supply and material management?	There is no specific supply and material management system	There is a system in place, but it is weak and not consistently complied with	There is a system in place; it is comprehensive but not consistently complied with	There is a system in place; it is comprehensive and consistently complied with	
6.5 Does the organization have capacity (enough staff) and experience to manage and monitor contractees' performance?	The organization has neither the capacity nor the experience of managing and monitoring contractees' performance	The organization has limited experience and no capacity for managing and monitoring contractees' performance	The organization has adequate experience but limited capacity for managing and monitoring contractees' performance	The organization has adequate experience and capacity for managing and monitoring contractees' performance	
In case of need for additional criteria (rows), insert above this row					
Average score					
Weight	0.078				
Average weighted score					

Comparative Advantage					
7. Comparative Advantage	SCORE (1-4)	Score Levels			Comments
		1	2	3	4
7.1 To what extent is the organization recognized as credible by its stakeholders and partners? (Poll 5 to 10 stakeholders/partners)		Compared to other similar organizations, the organization is considered to be less credible by most stakeholders	Compared to other similar organizations, the organization is considered to be equally credible by most stakeholders	Compared to other similar organizations, the organization is considered to be more credible by most stakeholders	Compared to other organizations, the organization is considered to be more credible than all stakeholders
7.2 What is the organization's working experience and level of prominence in ICPD-related fields in the country?		The organization has less than one year of work experience in the country and has no prominence in any health or development programmes	The organization has one to four years of previous work experience in the country, and enjoys some level of prominence in health and development programmes	The organization has five to ten years of work experience in the country and enjoys prominence in health and development programmes	The organization has more than ten years of work experience in the country and enjoys high prominence in health and development programmes
7.3 In the last five years, to what extent did the organization have stable core resources?		No stable core resources, situation varied year to year	Small core resources, less than about xx% of annual budget, fluctuated over the years.	Small core resources, about xx% of the annual budget, but very stable over the years	Large pot of core resources, xx% of annual budget, very stable over the years
7.4 Does the organization have adequate physical infrastructure: building, office space, and furniture?		Infrastructure is inadequate: inconvenient location, untidy premises, insufficient work space, rudimentary furniture	Location is suitable but minor improvements are needed for the premises, and major investments are needed to improve the work space and furniture	Location, premises are adequate; investments are needed to improve work space and furniture	Physical infrastructure is adequate
7.5 To what extent does the organization's current strategic plan focus on at least one of the DAISI focus programme areas including those most vulnerable		The organization does not have a current strategic plan	The organization has a current strategic plan, but the plan does not focus on any of the UNFPA focus programme areas	The organization has a current strategic plan, which lightly mentions but does not focus on any of the UNFPA focus programme areas	The organization has a current strategic plan. The plan focuses on at least one of the UNFPA focus programme areas
7.6 To what extent is the organization connected to grass root networks and does it cover both urban and rural areas?		The organization does not connect with grass root networks	The organization has weak connections with grass root networks	The organization has strong connections with grass root networks but covers only urban or rural areas	The organization has strong connection with grass root networks and almost equally cover urban and rural areas
In case of need for additional criteria (rows), insert above this row					
Average score					
Weight	0.127				
Average weighted score					

Knowledge Management					
SCORE (1-4)	Score Level				Comments
	1	2	3	4	
8. Knowledge Management and other support services					
8.1 Does the organization have systems and tools to systematically collect, analyze, and use programme monitoring data?	No systems or tools exist to collect, analyze and use programme monitoring data	Some systems and tools exist, but they are not populated with data	Some systems and tools exist, but they are populated with poor quality data, which cannot support analytical work	Systems and tools exist, they are populated with accurate and updated data that can support analytical work.	
8.2 To what extent is the organization's technological infrastructure up-to-date with the technological advancement in the country?	The organization is behind the curve in most aspects regarding staff's access to telephone, fax, computer and internet facilities	The organization is on par in some aspects of staff's access to telephone, fax, computer and internet facilities	The organization is ahead of the curve in some aspects of staff's access to telephone, fax, computer and internet facilities	The organization is ahead of the curve in all aspects of staff's access to telephone, fax, computer and internet facilities	
8.3 Does the organization maintain a web site?	Organization has no web site	Organization has a web site with very basic features that is not systematically updated and has limited information about on-going activities	Organization has a comprehensive web site, which has up-to-date information, and most information is about the organization	Organization has a robust web site, comprehensive and interactive, regularly maintained, and contains a wealth of information including links to useful external resources	
In case of need for additional criteria (rows), insert above this row					
Average score					
Weight	0.078				
Average weighted score					

Partnerships						
	SCORE	Score Level				Comments
	(1-4)	1	2	3	4	
9. Partnerships						
9.1 To what extent has the organization worked with local and international NGOs in the past five years?		The organization has not worked with any local and international organization in the past five years	The organization has worked with a few local NGO but no international NGOs	The organization has worked with many local NGO but a few international NGO	The organization has worked with many local and international NGOs	
9.2 To what extent does the organization have a diversified funding base, including local and international donors and the private sector?		The organization does not have a funding base or donors	The organization has a narrow funding base, including a few local donors, but no private sector donors	The organization has a diverse funding base including local and international donors but no private sector donors	The organization has a diverse funding base including local, international, and private sector donors	
9.3 To what extent does the organization have experience in joint programmes with other organizations - as a prime partner and/or a regular partner - in the past five years?		The organization has had no joint programme experience in the past five years	The organization has limited joint programming experience (less than two years or only one partner in past five years)	The organization has extensive (more than two years or two or more partners) experience in joint programming, but has never played the role of the prime (lead) partner.	The organization has extensive (more than two years or two or more partners) experience in joint programming, and has played both prime (lead) and regular partner roles.	
In case of need for additional criteria (rows), insert above this row						
Average score						
Weight	0.078					
Average weighted score						

Capacity Building Recommendations

Capacity Building Recommendations				
Area	Capacity building recommendations	Capacity building should be before or during implementation		Other capacity building partners
		Before	During	
Governance and Leadership				
Human Resources				
Programme				
Monitoring and Evaluation				
Financial Management				
Procurement Systems				
Comparative Advantage				
Knowledge Management				
Partnership				

This template was first created and approved on 31st July 2021

5.4 Contractual Agreement for Partners Template

The following template is the standard agreement form for establishing a partnership with another organisation.

**Memorandum of Understanding (MoU)
Between
Doctors Assisting In South-Pacific Islands Ltd (DAISI)
And
insert the full name of the partner organisation.**

1. Rationale

The work of Doctors Assisting In South-Pacific Islands Ltd. (DAISI) is undertaken by forming relationships with medical institution partners in **insert Country of partnership**. DAISI board policy requires formal agreements with In-country Partners as part of good governance and adherence to the Australian Council for International Development (ACFID) code of conduct. The management, doctors and surgeons at **insert the full name of the partner organisation** would also like to establish an agreement covering the scope, objectives and roles and responsibilities associated with our partnership.

2. Scope

This memorandum of understanding covers the programs and projects undertaken jointly by DAISI and **insert the full name of the partner organisation** as partners in our relationship. It does not preclude either partner from forming agreements with other partners for medical or surgical volunteer activities in the **insert Country of partnership**.

3. Objectives & Roles

Our joint partnership objective is to improve the health of the people **insert Country of partnership** through training partnership programs for medical professionals that improve and increase the general medical and surgical knowledge and service capacity in **insert Country of partnership**. This objective may at times be further supported by projects other than training programs.

The objectives of this agreement are to formalize an existing partnering relationship by instituting a governance structure, specifying the roles and responsibilities of each partner and the working arrangements.

The overall role of **insert the full name of the partner organisation** is to bring local knowledge and expertise in medical and surgical needs, conditions and services and in undertaking programs and projects aimed at improving health.

The overall role of DAISI is to provide advanced knowledge and expertise in medicine and surgery and apply that through training of doctors and nurses and other means in supporting **insert the full name of the partner organisation** in their work, with a major emphasis on capacity building.

As the relationship is highly cooperative in nature, many of the activities within programs and projects will be undertaken jointly and possibly with the support of other sister organizations with which DAISI has a working relationship, such as the Australian & New Zealand Gastroenterology International Training Association (ANZGITA), The Solomon Foundation, The Rotary Club, and MedEarth. The expectation is that each partner, and any other organizations involved, will freely provide its knowledge and expertise.

4. Governance of Partners

DAISI is a registered charity in Australia limited by Guarantee. It is regulated by the Australian Securities and Investments Commission (ASIC) and the Australian Charities and Not-for-profits Commission

(ACNC). It has adopted the Australian Council for International Development (ACFID) Code of Conduct as part of meeting its ACNC commitments. Its funding sources are various and include philanthropic individuals and organizations and Australian government grants (directly or via other organizations). It also receives donations of equipment and materials from healthcare industry suppliers. Although not currently DFAT funded, DAISI is in the process of applying for DFAT funding.

The **insert the name of the organisation** is at present the major honia for **insert name of province or Country it serves** is under the supervision of the Ministry of Health.

Each partner has a Governing Body that oversees this agreement. For DAISI it is the Board of Directors consisting of an elected Chair, Deputy-Chair, Secretary and Treasurer. DAISI also has a General Manager elected by the Executive Board. The Senior Member of the Board is the Chair. **insert the full name of the partner organisation** is administered by the Ministry of Health. Day-to-day administration of **the insert the full name of the partner organisation** is overseen by the **insert the name of the governing body** consisting of the **insert the titles/for partner members who will be overseeing and signing this MoU**. The Senior Member is the **insert the most senior partner member**.

5. Governance Structure & Reporting

The Partner Leaders in the **Insert the Country of partnership** will consist of the **Insert the full title and name of all partner members**.

The Partner Leaders from DAISI will consist of the Current Executive/Board Members, which currently at the time of signing include the DAISI's Chairperson- **insert current Chairperson's name**, the General Manager, **insert current General Manager's name**, the Deputy Chair – **insert the current Deputy Chair's name**, and the Treasurer – **insert the current Treasurer's name**. It will also include DAISI's designated **insert the name and title of the Office Bearer directly involved in the programme (this is usually the Country Programme Officer)**.

These Partner Leaders constitute the Partnership Committee that will be responsible for the execution of this agreement consistent with the expectations of the Governing Body of each partner. .

The Partnership Committee will prepare a master plan covering the period of the agreement and annual plans for programs and projects that will be endorsed by both partners. They are responsible for overseeing the execution of the programs and projects and will review outcomes and prepare annual reports for the Governing Bodies. Each partner may use the annual reports in order to account to donors, governments, regulators or other relevant parties.

The Partnership Committee will meet as required through the year. It is anticipated only one face-to-face meeting will be possible annually. The decisions of the meetings will be recorded in minutes and reported to the Governing Bodies.

The Governing Body of either partner can direct the Partnership Committee to investigate a particular issue and prepare recommendations to the Governing Bodies.

6. Organization, Scheduling and Operations

The overall organization and scheduling of a training program is the joint responsibility of the partners led by the Program Leaders on behalf of the Partnership Committee. The Program Leader for **insert the full name of the partner organisation** will be the Head of the Program. The Program Leader for DAISI will be one of its nominated Partnership Committee members.

Insert the name of the partner organization is responsible for the preparation of hospital facilities so that they are suitable for the activities scheduled in a training program. The operation of a training program, including all logistical needs, is the responsibility of the **insert the name of the partner organisation**.

The organization, scheduling and operational arrangements for other projects are to be specified in the annual plan that incorporates the project.

7. Academic Curriculum

The design of the curriculum for a training program is a joint activity between the partners undertaken by the Program Leaders. The DAISI Program Leader will consult with the director responsible for curricula on DAISI programs who advises the DAISI Board on these matters.

8. Trainer Management

DAISI¹ is responsible for providing at its own cost the number and caliber of trainers as agreed for each training program. It is also responsible for ensuring they are appropriately credentialed and briefed prior to a program. It will ensure that doctor trainers are covered by medical indemnity for practitioners who are also engaging in training. Evidence of coverage will be provided to **insert the name of the partner organisation** upon the commencement of this agreement, whenever amended, renewed or otherwise modified, or as requested. AISI is responsible for the conduct and performance of their trainers. Trainers and trainees will be required to provide feedback on their involvement in a program.

Trainers will meet the requirements of the **insert the Country of partnership** Medical and Dental Practitioners Board and the and Nursing Council of **insert the Country of partnership** with regard to obtaining temporary registration, but the **insert the Country of Partnership** Ministry of Health will be responsible for meeting any fees required for such registration.

9. Trainee Management

Insert the name of the partner organisation is responsible for providing the number and caliber of trainees as agreed for each training program. It is also responsible for ensuring they are appropriately credentialed and briefed prior to a program. **Insert the name of the partner organisation** is responsible for the conduct of the trainees. Performance monitoring of trainees during a program and assessment will be a joint responsibility of the partners.

10. Provision of Equipment, Accessories & Disposables

Equipment availability for training programs and the servicing of equipment is the responsibility of **insert the name of the partner organisation**.

11. Financial

11.1. Funding

What each partner will fund on a program or project is to be agreed before any expenditure. Funding recommendations (only changes if associated with annual training programs) from the Program Leaders are to be referred to the Governing Bodies for approval.

Each partner is responsible for sourcing its funding. One partner will support the other in securing funds where requested and feasible.

11.2. Budgets

Each partner is responsible for the budget for items it is responsible for providing within a program or project. Where DAISI is contributing funds to **insert name of the partner organisation** for a specific item or activity, the relevant hospital's budget is to be shared with DAISI to enable its assessment of the appropriateness of the allocation of funds.

Where appropriate for a project, a consolidated project budget will be jointly prepared by the Program Leaders and referred to the Governing Bodies for approval.

11.3. Procurement

Procurement of items in **insert Country of partnership** is carried out by **insert name of the partner organisation** using DAISI provided funds must be done in compliance with the DAISI Overseas Procurement Policy, to the extent that it is consistent with the laws and policies of the **insert Country of partnership** Government.

11.4. Monies transferred from Australia

A funds transfer procedure using international banking facilities will be agreed by the DAISI Treasurer and a member of the **insert name of the partner organisation** Executive Board,.. Amongst other things the procedure will require timely confirmation that transferred funds have been received

by **insert name of the partner organisation** as transmitted and ensure that funds cannot be spent without the personal approval of the **insert name of the partner organisation** Lead Director.

12. Signage

Where promotional or functional signage is appropriate for programs and projects conducted under this agreement it will identify both partners through use of their logos and names. Documentation and reports associated with each program or project will also use the logos of both partners. Costs associated with the creation of suitable templates and signage will be shared by the partners.

13. Liaison with other Parties

Each partner is responsible for managing liaison with its own government, embassy and other government bodies in relation to programs and projects undertaken through this agreement.

14. Misconduct, Poor Performance

All persons directly involved in activities under this agreement are to be instructed by the partner they represent to report, without exception, any concerns regarding professional or personal misconduct, including fraudulent and corrupt activities, or poor professional performance by anyone representing either partner on a program or project. The report is to be made to their Lead Director or the senior member of the Governing Body of the partner they represent.

The Program Leaders will agree how to investigate a report and decide what action to take following investigation. If agreement cannot be reached at any point, the matter will be escalated to the senior member of each Governing Body. The person making the report is to be briefed on the outcome.

The identity of the person making the report will be treated confidentially throughout an investigation and when any subsequent action is taken. Confidentiality can be waived by the reporting person if they choose.

If the person making the report is not satisfied with the progress of investigation or outcome, they have the right to approach the senior member of the Governing Body of the partner they represent.

This is in addition to, and does not limit or detract from, any procedure, policy or law relating to conduct, performance or similar in **insert Country of partnership** Government.

15. Duration, Review and Evaluation of Agreement

The duration of agreement is five years from the date of signing. The agreement may be renewed at the end of that period after a joint review of the agreement by representatives of the Governing Bodies.

An annual review of progress against master plan and the state of the relationship will be conducted by the Partnership Committee and reported to the Governing Bodies.

The agreement may be terminated by either partner with a notice period of at least one month that must include the completion of any already agreed annual training program, unless otherwise agreed by both partners.

16. Resources

Each partner funds their own resources unless otherwise agreed.

Each partner will provide a qualified and competent person for each activity it agrees to resource. Specific responsibilities will be identified in the program and project plan. Each partner is responsible for the conduct and performance of their own resources.

17. Confidentiality and Privacy

Each partner agrees that it will only use information provided to it by the other party for the purposes of performing activities under this agreement and its ordinary functions. The partners must not disclose information obtained from the other party that is by its nature confidential without the consent of the other party and any individuals identifiable in the information.

DAISI must not use or disclose any medical information that is the personal information of a patient except for the purposes of performing activities under this agreement, unless it is with their explicit permission. DAISI must notify **insert name of the partner organisation** immediately if it becomes aware of any breach or possible breach of this obligation.

18. Conflict Resolution

In the event of a conflict arising that cannot be solved through normal working processes, the partners will request the assistance of its partner charities with which it has a working relationship, such as the Australia and New Zealand Gastroenterology International Training Association (ANZGITA) in finding a resolution.

19. Authorization

Each signatory is authorized to sign this Memorandum of Understanding on behalf of his or her organization.

20. ACFID Code of Conduct

Partnership between DAISI and **insert name of the partner organisation** and **insert Country of partnership** Ministry of Health is on the understanding that both parties agree to abide by the Australian Council For International Development (ACFID) Code of Conduct when it comes to all matters relating to five key critical areas highlighted below:

1. Child Safety and Protection.

Specifically, members must demonstrate their organisational commitment to the safeguarding of children and have a code of conduct that advances child safeguarding behaviours and applies to all personnel, partners and project visitors, and a documented child safeguarding incident reporting procedure and complaints handling procedures that aligns with principles of privacy and promotes safety and dignity.

2. Protection against Exploitation

Partners must also demonstrate their organisational commitment to ACFID principles in regards to the prevention of sexual exploitation and abuse, through a survivor-centred approach.

3. Transparency

Partners must demonstrate an organisational commitment to ACFID principles of operating transparently with all stakeholders, stating clearly their development initiatives from non-development activities.

4. Management of Complaints

Partners must enable stakeholders to make complaints to the organisation in a safe and confidential manner.

5. Management of financial resources and risks

Partners must control and manage their financial resources and risks

DAISI does not require its partners to have their own policies and safeguards on matters relating to the above-mentioned key five areas, but does require partners to be familiar with and agree in principle to abide by the ACFID principles underpinning its Policies and codes of conduct on all such matters. A complete listing of these principles is found on the DAISI website: <https://daisi.com.au/daisi-compliant-to-code-of-conduct/>

21. Medical and Nurse Registration of DAISI volunteers



DAISI will ensure that all doctors and nurses volunteering with DAISI in the **insert Country of partnership** have a completed application and necessary supporting documents including Working With Children Check (WWCC) and National Police Certificate (NPC), for temporary medical registration with the **insert the Country of partnership** Medical & Dental Board, and nursing registration with the Nursing Board, Ministry of Health and Medical Services (whichever is applicable), no later than two months prior to planned volunteering to allow adequate processing time.

Insert the Country of partnership Partners will ensure that adequate steps are taken to process and approve medical and nurse registration in a timely manner, so as to not impeded the planning of volunteer activities.

22. Medical and Nurse Indemnity Protection

While DAISI members including nurses and doctors are working voluntarily with their **insert the Country of partnership** Ministry of Health partners on agreed joint projects, DAISI members will be considered as practicing under the auspices and protection of the local Ministry of Health benefiting from the same level of protection that other registered nurses and doctors in the **insert the Country of partnership** would receive while working for the **insert the Country of partnership** Ministry of Health.

This protection is dependent on DAISI members practicing strictly in compliance with local authorities and health standards, being at all times registered with the relevant regulatory body, and practicing strictly within the terms of reference of the agreed project, and within their qualification and usual scope of practice.

The below signing by both partners of this Memorandum of Understanding between Doctors Assisting IN South-Pacific Islands (DAISI) and the **insert the Country of partnership** Ministry of Health and is acceptance of the above terms and conditions stated above, and will remain effective for five years from the date of signing.

Insert Full Name
Chairman,
Doctors Assisting In South-Pacific Islands

.....
Date

Insert Full Name & Title
Insert Partner Organisation
Country of Partnership

.....
Date

Insert Full Name
General Manager
Doctors Assisting In South-Pacific Islands

.....
Date

Insert Full Name & Title
Insert Partner Organisation
Country of Partnership.

.....
Date

Insert Full Name

Insert Full Name & Title

.....
Date

.....
Date

**Insert Full Name
Deputy Chair
Doctors Assisting In South-Pacific Islands**

**Insert Full Name & Title
Insert Partner Organisation
Country of Partnership.**

.....
Date

.....
Date

**Insert Full Name
Treasurer,
Doctors Assisting In South-Pacific Islands**

**Insert Full Name & Title
Insert Partner Organisation
Country of Partnership.**

.....
Date

.....
Date

**Insert Full Name
Secretary
Doctors Assisting In South-Pacific Islands**

**Insert Full Name & Title
Insert Partner Organisation/Country
Country of Partnership.**

.....
Date

.....
Date

This policy was first created 15th November 2015 and revised on 1st July 2020

5.5 Due Diligence Assessment Template

The following minimum 31 questions should be asked as a screening tool of any organisation prior to DAISI considering entering into partnership. These questions relate to five areas of: Registration, Governance, Risk management, Fraud, and Vulnerable persons protection. In each case, the question begins with “Does the partner have...?”

CORE VALUES AND OBJECTIVES

1. Values and objectives that align with [DAISI's Values and Constitution?](#)

REGISTRATION

2. Legal registration being duly licensed?
3. Registration as a local or international not for profit entity in the country of operation?

4. Certification as an entity?
5. A clear and publicly available constitution and policies?

GOVERNANCE

6. A Memorandum of Understanding (MOU) with its partners?
7. A formal governing instrument?
8. A constitution/governing instrument that refers to its constitution and by-laws?
9. A clearly stated process for appointment and termination of executive members?
10. A statement of its charitable purpose and status as a not for profit organisation?
11. A statement on its distribution of assets policy in the case of dissolution?
12. A copy of its organisational structure?
13. An organisational structure officially recorded with government?
14. A board/executive that meet regularly and function according to the constitution?

CONFLICTS OF INTEREST

15. Any obvious conflicts of interest that could impact governance?
16. Any board members related to members of the executive?
17. Any involvement in any litigation or subject to serious complaints or investigations?

RISK MANAGEMENT

18. Controls in place to manage the risk of fraud and/or misappropriation of funds?
19. Publicly accessible annual reports"
20. Publicly accessible audited financial reports?

FRAUD

21. Its bank account in the organisation's name?
22. A two signatories policy to withdraw funds?
23. A clear operational budget and means of recording and tracking expenses against the budget?
24. A transparent process for recording gifts and donations?
25. A requirement to obtain and keep original receipts for expenditure?
26. A transparent financial reporting process?

VULNERABLE PERSONS PROTECTION

27. Written child and vulnerable persons safeguarding policy?
28. A website that show any areas of possible child or vulnerable persons abuse (for example disclose children's identity, advertise orphanages, promote tourism or unskilled volunteering etc)
29. Child or vulnerable persons safe screening and recruiting practices including (as a minimum) a police records check and working with children check on all volunteers and staff.
30. A Child and Vulnerable Persons safeguarding code of conduct?
31. A clear procedure for reporting concerns or allegations?

This policy was first created 15th November 2015 and revised on 1st July 2020 and again on 25th Sep 2021.

5.6 Fiduciary Risk Assessment Template Field Monitoring Report Template

All DAISI projects must undergo fiduciary assessment. Fiduciary Assessment (FA) is a key tool used to assess elements of the. third and fourth partnership commitments. Specifically they help us to assess and. monitor partner commitment to improving financial. Management (including fiscal transparency), strengthening domestic. financial accountability, and fighting corruption.

Managing Fiduciary Risk when Providing Financial Aid

Introduction

1. This How to Note provides operational guidance on how to manage fiduciary risk when providing financial aid.

2. A standard Fiduciary Risk Assessment (FRA) evaluating the national public financial management (**PFM**) system is mandatory where Financial Aid is being provided or considered. It will also be useful in countries where financial aid is not yet being considered, as it can help in monitoring partner government's PFM reforms and provide a basis for dialogue on future financial aid. It also helps in understanding the fiduciary risk environment faced by other development partners who might provide financial aid.

3. This policy is for DAISI staff involved in Fiduciary Risk Assessments (FRAs), , and programmes aimed at improving partner financial management, strengthening partner financial accountability, and fighting corruption. It aims to provide a consistent and holistic approach to fiduciary risk management in South Pacific country programmes.

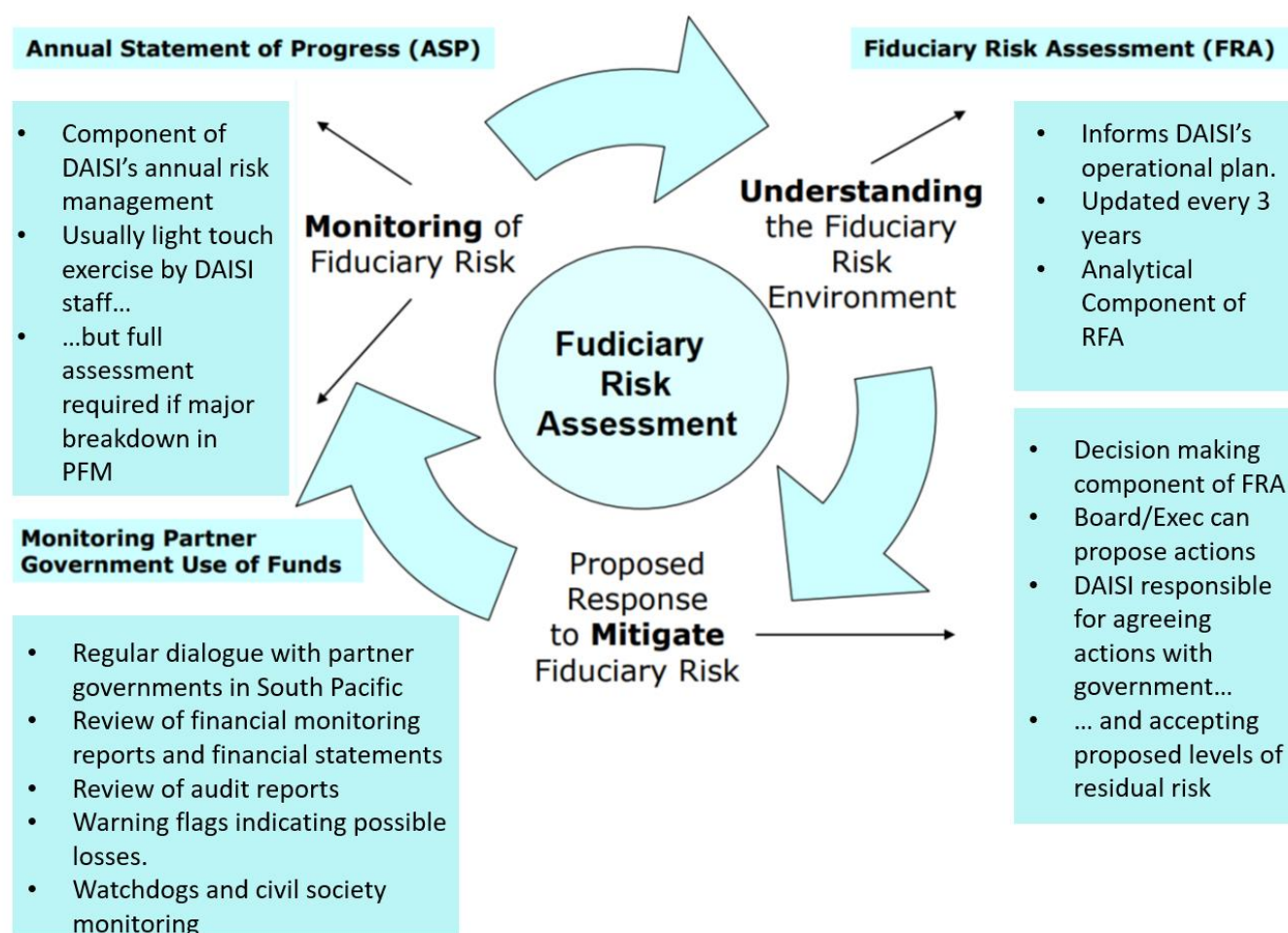
4. DAISI is committed to practices that strengthen external audit and legislative scrutiny and to undertake regular Fiduciary assessment of its partner countries.

6. Aid accounts for only part of the resources available to any developing country and in many cases only a small proportion of the total budget. Fiduciary risk is a risk for many stakeholders. The most sustainable way to reduce fiduciary risk to DAISI's financial aid is to work with partner countries to improve the financial accountability environment.

7. DAISI's approach to managing fiduciary risk is designed to allow us to work effectively with partner governments to support them in strengthening their PFM and accountability systems and fighting corruption. DAISI's approach to managing fiduciary risk is based on three mutually reinforcing principles:

- Understanding the fiduciary risk environment
- Mitigating risks to the proper use of funds
- Monitoring risks, performance and use of funds on an on-going basis.

This approach underpins the management of all DAISI financial aid in a country programme. The three elements feed into each other – a good understanding of fiduciary risk should inform the design of our aid programme, including whether any mitigating measures are required to help safeguard funds. Monitoring progress reinforces our understanding and allows remedial action to be taken quickly if problems arise. The three elements of fiduciary risk management should be undertaken as part of a continual process as illustrated in figure 1.



32. Fiduciary Risk Assessment (RMA) informs DAISI'S operation plans. This then allows the DAISI Board/Executive to propose actions that mitigate the fiduciary risk. DAISI is responsible for agreeing actions with local government, and accepting proposed levels of residual risk. DAISI will remain engaged and review reports and financial statements of government and Monitoring Partners tasked with "watch dog" responsibilities in ensuring proper use of funds. Reporting by DAISI's Risk Appraisal Committee in the form of an annual statement of progress (ASP) is presented at the yearly Board/Executive meeting (following the AGM) and included in the minutes.
33. In reaching an opinion on whether or not DAISI might provide Financial Aid, our past experience of the country will be important, and information drawn from the Country Governance Analysis (CGA) will be useful. Both the CGA and FRA help to inform the choice and mix of aid instruments and provide information on the partner government's commitment to improving public financial management, strengthening domestic financial accountability and fighting corruption. There should be a two-way relationship between CGAs and FRAs. The wider analysis on the quality of governance undertaken in the CGA should feed into key assessments in the FRA – especially in relation to the risk of corruption and the credibility of reform programmes. Likewise, the detailed analysis in the FRA will generate information that the CGA can draw on in areas such as revenue mobilisation, PFM and corruption. Country offices should take advantage of these synergies to streamline, rather than duplicate analytical work.
34. Mitigating Fiduciary. It is not sufficient to simply identify fiduciary risks. Risk Assessment Committee in combination with the Country Program officers must consider how fiduciary risks can best be mitigated and balance this against the potential development benefits of different options. Country Program officers should bear in mind the four approaches to mitigating individual risks: **transfer, treat, tolerate or terminate**. Aggregate risks can be managed more effectively by risk-spreading and portfolio management.

35. Fiduciary risk is difficult to **transfer** to another organisation. Working through other development partners or managing agents may provide distance between DAISI and the fiduciary risks, but ultimately the risks, including reputational risks, are still borne by DAISI. Where DAISI relies on others, such as the World Bank, and Department of Foreign Affairs and Trade (DFAT), with necessary sanctions to manage risks, DAISI needs to ensure they are doing what they have undertaken to do, and to ensure appropriate remedial action is taken where necessary.
36. Fiduciary risks can be **treated**, in the short term by the use of safeguards (at national or aid instrument level), and in the longer term through effective PFM and anti-corruption reform programmes. The time for reforms to reduce risk levels is likely to be medium to long term (five to ten years would not be uncommon). In the shorter term, that is, within the life-span of many aid instruments, country offices need to evaluate whether additional short-term safeguards are appropriate to mitigate key fiduciary risks. In so doing, country programme officer should bear in mind the trade-off between short term safeguards and longer term development of PFM capacity.
37. Some level of fiduciary risk will need to be **tolerated** whenever financial aid is provided: the level of tolerance acceptable will depend on the expected development benefits from providing financial aid. The purpose of fiduciary risk assessments is not to eliminate fiduciary risk but to ensure DAISI understands, accepts and own the risks it is taking, and manage risks effectively. It is important, in this context, that financial aid programmes operating in high risk environments are able to closely monitor and document the development benefits achieved through the funding, to provide evidence to justify taking the associated risks.
38. Fiduciary risk can be **terminated** by channelling elsewhere. For example, if fiduciary risk is very high in one South Pacific Country, DAISI may decide to channel funding to a Country with a lower fiduciary risk profile. Such decisions should be based on wider considerations than just fiduciary risk, for example development effectiveness risks, and the overall perceived medical and health needs of the Country. Typically in a country with high levels of corruption, there are also significant needs, and DAISI must remain true to its ethos of going where the need is greatest, as well as meeting is humanitarian crisis needs.
39. Risk-spreading can be used to reduce overall risk, and basically involves “not putting all eggs in one basket” . For example substituting a large programme with a number of smaller ones could reduce overall risk, provided that the risk factors for the smaller programmes are not closely related (e.g. are not all determined by the same trigger). Country Programme officers often chose to spread risk by using a variety of aid instruments and working across different sectors.
40. Monitoring Performance on an Ongoing Basis It is essential to monitor performance on an ongoing basis to:
 - Ensure partner governments remain committed to improving PFM, strengthening domestic financial accountability and fighting corruption
 - Check that planned reforms and agreed safeguards are being implemented effectively.
 - Monitor key residual risks and be alert to indications of significant losses occurring, e.g. audit reports that identify suspected misuse of funds and are not followed up
 - Identify any new fiduciary or corruption risks or changes in circumstance.

Definitions

Annual Statement of Progress (ASP) is the report of fiduciary risk given by the Risk Assessment Committee to DAISI’s Board/Executive.

Public Financial Management (PFM) is the system by which financial resources are planned, directed and controlled to enable and influence the efficient delivery of public service goals⁵ PFM includes the systems and processes of budget formulation, implementation, accounting and reporting, audit and accountability, covering both revenue and expenditure (including procurement). PFM systems exist at all levels – national, regional, local and state owned enterprises.

Fiduciary Risk Assessment (FRA) –is the risk that funds are not used for the intended purposes; do not achieve value for money; and/or are not properly accounted for. The realisation of fiduciary risk can be due to a variety of factors, including lack of capacity, competency or knowledge; bureaucratic inefficiency; and/or active corruption.

Corruption – is the abuse of entrusted power for private gain'. Corruption risk is the likelihood of corruption occurring, as opposed to the other factors (lack of capacity, inefficiency etc) which determine fiduciary risk.

Country Governance Analysis (CGA)

Residual Risk (RR) means the portion of an original risk or set of risks that remain after mitigating measures have been applied.

Risk Assessment Committee (RAC) is a three membered panel tasked with the responsibility of assessing DAISI's risk and feeding this information back to the DAISI Executive/Board members at its governance meetings.

This template was first created and approved on 31st July 2021

5.7 Project Risk Appraisal Template

All DAISI projects must undergo vigorous risk assessment weighing up the benefits against the risks of physical, financial and reputational harm

POLICIES

1. [DAISI's risk appraisal tool](#) is a risk assessment framework/matrix that must be applied to all DAISI projects it is directly involved in or activities engaged in by downstream partners or sub contractors involved in projects DAISI is funding.
2. This assessment tool basically looks at risk as a function of likelihood, as well as the severity or consequences of such risks (see table below).

LIKELIHOOD		IMPACT/CONSEQUENCE			
		5	4	2	1
		Catastrophic	Major	Minor	Insignificant
5	Almost Certain	Extreme (25)	Extreme (20)	High (10)	Moderate (5)
4	Likely	Extreme (20)	High (16)	Moderate (8)	Moderate (4)
3	Possible	High (15)	High (12)	Moderate (6)	Low (3)
2	Unlikely	High (10)	Moderate (8)	Low (4)	Low (2)
1	Rare	Moderate (5)	Moderate (4)	Low (2)	Low (1)

Fig. 1 Risk

Assessment Matrix

Risk Rating Descriptors and Mitigating Action Requirements.

3. The matrix and its accompanying definitions and escalation protocols are designed to provide DAISI members and volunteers with guidance about what to do (monitor or treat the risk) and where to escalate the risk (i.e. to line manager or CEO, DAISI Executive, or higher including government regulatory authorities).

Risk Rating	Score	Description	Action Required by DAISI
Extreme	20 - 25	Risks that significantly exceed the acceptable tolerance and need urgent and immediate attention.	DAISI Executive & Senior Management (CEO) responsibility, immediate treatment required - Escalate to the responsible DAISI Executive (Board Directors and CEO) immediately, with a detailed treatment plan. - Report to governing bodies (ACNC, DFAT, relevant Government Authority) as appropriate
High	16 - 10	Risks that exceed the risk acceptance threshold and require proactive management.	DAISI Executive & Senior Management (CEO) responsibility. Treatment required. - Escalate to responsible management immediately with detailed treatment plan to reduce risks to an acceptable level within 3 months. - Report to governing bodies (ACNC, DFAT, relevant Government Authority) as appropriate
Moderate	4 - 9	Risks that are within the acceptable threshold and require active monitoring.	CEO responsibility, with a member of the DAISI Executive to be made aware. - Escalate to responsible management immediately with detailed treatment plan to reduce risks to an acceptable level within 3-6 months.
Low	1 - 4	Risks that are below the acceptable threshold and do not require active management.	Local line management responsibility, treatment not required. Significant management effort should not be directed towards these risks.

Fig. 2. Risk

Rating Descriptors and Mitigating Action Requirements

Consequence Rating: Evaluation Criteria

Factors of Consequences/ Categories of risk		Colleges or Service Division Activity					Major Projects		
Consequence Category		Reputation and Image	Compliance with Legislation	Disruption to Operations	Financial	General Environment & Social Impacts	Project Budget	Project Delays	Managing Contractor/ Head Contractor Relationship
	Catastrophic	Long term damage to reputation and standing of the University Serious public or media outcry with national and international coverage Significant breakdown in strategic and/or business partnerships	Major systemic non-conformance resulting in loss of TEQSA license, other key license or accreditation Criminal convictions resulting in imprisonment Significant legal penalties or regulator sanctions Litigation including class actions jeopardising future approvals, licensing and funding.	- Disruption to DAISI services causing closure of key programmes for > 1 month. - Critical infrastructure service loss for > 1 month. - Disruption to DAISI services causing closure of key programmes for > 1 week.	Financial impact >\$50M	Extensive detrimental long term impacts on the environment and community. Catastrophic and/or extensive discharge of persistent hazardous pollutant.	>20% of project budget	Project halted, major delay Duration increased >30%	Legal recourse initiated.
	Major	Sustained damage to brand/image or reputation nationally or locally Significant adverse national media coverage Breakdown in strategic and/or business partnership	Systemic non-conformance resulting in suspensions or conditional licenses University staff prosecuted without being imprisoned Legal penalties or regulator sanctions	- Disruption to DAISI services causing closure of key programmes for > 1 week Several key operational areas closed Critical infrastructure service loss for > 1 week.	Financial impact >\$30M and <\$50M	Long term detrimental environmental or social impact Chronic and/or significant discharge of pollutant.	10-20% of project budget	Major delay Duration increased >10%	Executive intervention
	Moderate	Significant short term damage to reputation Heavy local media coverage	Serious one off non-conformance resulting in suspensions or conditional licences University staff being subject to legal proceedings Minor or no legal penalties	Disruption to a number of operational areas for up to one week Critical service interruption not back within the agreed timeframe.	Financial impact >\$10M and <\$30M	Serious, discharge of pollutant Source of community annoyance within general neighbourhood that requires remedial action.	5-10% of project budget	Significant delay Duration increased >5%	Resolved at senior management level.
	Minor	Minor, adverse local public or media attention and complaints Reputation of a small number of people affected	One off non-conformance University receiving warning or other notice from regulatory authority to rectify non-conformance	Some disruption to operational activity exceeding 1 day Local interruption only, service loss to localised operations.	Financial impact >\$5M and <\$10M	Short term, detrimental effect on the environment or social impact Minor discharge of pollutants within local neighbourhood.	1-5% of project budget	Short delay Duration increased < 2%	Resolved at working level.
	Insignificant	Issue resolved promptly by day to day management processes Little or no adverse media coverage	Minor non-conformance rectified internally Unlikely to result in adverse regulatory response or action.	Disruption of < 1 day to operational activity No interruption to infrastructure services.	Financial impact <\$5M	No lasting detrimental effect on the environment ie. harm, nuisance, noise, fumes, odour, dust emissions of short-term duration.	< 1% of project budget	Little or no delay	Either party is irritated but no formal complaints.

Fig 3.

Consequence Rating: Evaluation Criteria

4. The risk matrix is the endorsed framework for assessing risks at all levels for DAISI activities (strategic, operational and day-to-day) and should be used to determine an appropriate course of action.

5. All DAISI projects must as a minimum be risk assessed using this framework annually, and immediately in the event of a single major or catastrophic risk event occurring.

This policy was first created 15th November 2015 and revised on 1st July 2020

photography



6.1 Photography

Photography by DAISI volunteers can be harmful to the people photographed so should be regulated and used with caution. Photography of marginalized populations to further DAISI's mission brings with it a tremendous responsibility. Careful ethical consideration should be given to all aspects of the photography supply chain: its planning, creation, and distribution.

Every mobile phone is now equipped with in built cameras, making the temptation for volunteers to take a quick photo or selfie while on placement in the South-Pacific very great. This temptation needs to be tempered with a few precautions. Moreover these photos have the potential to end up on social media with potential negative consequences for those host nation people in the photo. Such "Snap-happy" voluntourism (behaving like a tourist while volunteering) can be self-serving and demeaning to the local people DAISI is trying to help with damaging consequences to DAISI's trust with its partners & shared projects. Therefore DAISI suggests volunteer applicants ask themselves before volunteering, "would I still volunteer if I was not able to take photos or share them on social media or let anyone back home know about my volunteer activities?" If the answer is "no" then it is likely that this person is not the right volunteer for DAISI.

POLICIES

1. All DAISI volunteers must therefore be cautioned during their pre-trip induction session against the unnecessary or gratuitous taking of photos while volunteering.
2. All volunteers should be advised that all photos should be taken with the consent of the people in the photograph first obtained.
3. The politeness of Pacific Islanders and tendency not to refuse should not be taken advantage of realising that it is not always polite or necessary or helpful to the DAISI cause to take a photo even if consent is given.
4. Taking photos of patients and children or vulnerable people without good reason and without consent is a form of abuse.
5. Photos for a particular purpose taken by a local partner with dedicated to this task with proper translated consent can be preferable and more easily monitored and less likely to cause offence than random photography by multiple DAISI volunteers.
6. When planning a photography campaign, DAISI members and volunteers must examine the motives for creating particular images and their potential impact. Not only must a faithful, comprehensive visual depiction of the subjects be created to avoid causing misconception, but more importantly, the subjects' dignity must be preserved.
7. When confronted with an ethical dilemma, DAISI recommends the use of a standardised [Ethical Decision Making Framework \(EDMF\)](#) tool.
8. DAISI should avoid words and images that elicit an emotional response by their sheer shock value (e.g. starving, skeletal children covered in flies) as these are harmful because they exploit the subjects' condition in order to generate sympathy for increasing charitable donations or support for a given cause.
9. DAISI members and volunteers must not in their photography violate privacy and human rights, as this so-called 'poverty porn' is harmful to those it is trying to aid because it evokes the idea that the marginalized are helpless and incapable of helping themselves, thereby cultivating a culture of paternalism.
10. "Poverty porn" is also detrimental because it is degrading, dishonouring and robs people of their dignity.
11. While it is important to illustrate the challenges of a population, DAISI members and volunteers must always strive to tell stories in a way that honours the subjects' circumstances, and (ideally) illustrates hope for their plight.

Legal issues

1. DAISI must comply with all local laws concerning photography

2. Legal issues are more clear cut when images are created or used in stable countries where legal precedent for photography use has been established.
3. Image use and creation becomes far more murky and problematic in countries in which law and order is vague or even non-existent, and additional caution should be exercised by all DAISI volunteers and members.
4. Even though images created for DAISI non-profit campaigns aren't being created or published for typically commercial applications, it's strongly recommended that precautions are taken around permissions. If creating images, one should obtain model releases whenever possible, especially if there is a chance that the person pictured may experience negative consequences as a result of having their photo used.
5. If the subject isn't able to read the release or sign his/her name, an interpreter should be made available to explain the intended use of the photography.

Approaches to Successful Photography Creation

6. Where a dedicated photography campaign is intended, adequate planning and an intimate understanding of the conditions on the ground are essential and DAISI advises the following of its members and volunteers:

- 1) Refrain from photography to document potentially delicate situations if that may negatively impact the reputation of DAISI?
- 2) Refrain from taking photos if your subjects aren't willing to have their photographs taken?
- 3) Where language barriers are anticipated, organise a 'fixer' who can overcome language barriers, make introductions, explain the intention of the photography to the subjects, facilitate the signing of releases, and ultimately, help the DAISI team establish trust. Trust is a critical element in making great photography happen.
6. DAISI members should never bribe subjects to feign despair, anger, or other emotions, or seek to influence the "slant" of the photography in any way.
7. DAISI must protect the privacy of subjects in photos who have not given consent. In such cases sometimes it works well to photograph subjects from behind so that only their activities, and not their faces, can be seen. For example, the face of the doctor who is performing an eye exam may be shown, but not the patient's face. This not only prevents the patient from getting distracted, but also protects their privacy.
8. DAISI members and volunteers when taking photos, must be humble, considerate, and respectful, especially during private moments of grief. In this case, one should try to capture images from afar without being intrusive.
9. DAISI members should not be an aloof stranger, but rather, should attempt to foster a relationship of mutual understanding with the subject.
10. It is important that DAISI members or volunteers engaging in photography captured images that document what you believe the real situation of subjects. Photos must be carefully and faithfully edited (there should be minimal digital manipulation and no fancy embellishments) to avoid misinterpretation.
11. Photography should not stereotype or make false generalizations. For example, a single photograph of a starving child in the South-Pacific is not representative of the situation throughout the region. Use captions to properly contextualize visual images. Careful consideration of the media used to deliver the imagery is also recommended, as this can affect its intended message dramatically.

Other DAISI policies of relevance include:

[DAISI's Fundraising Policy](#)

[DAISI's Social Media Policy](#)

This policy was first created 15th November 2015 and revised on 1st July 2020

6.2 Photography Code of Conduct

DAISI is committed to the responsible use of photography.

POLICIES

1. DAISI members and volunteers must:
 1. respect the culture being documented with photography.
 2. value subjects of photography by taking measures to interact with or involve them, and by treating storytelling and image-making as a collaboration.

3. use discernment in candid photography and videography, and all published material, because another's dignity and honour matters to us.
4. inquire about how others are impacted by our images, examining the the actual results of our best intentions.
5. intentionally highlight common humanity through images.
6. when taking photos or documenting a culture must explore both macro and micro factors that affect a place or people in an effort for multidimensional coverage.
7. seek permission from the parents before taking a photo of a child, and refrain from taking a photo if asked not to.
8. take the courage to delete some images that may reinforce destructive stereotypes, or publish them only along with other images that tell a more complete story.
9. not take photos of people unable to give consent.
10. Consider use of [Ethical Decision Making Framework \(EDMF\)](#) prior to the use of photography in a public domain.

This policy was first created 15th November 2015 and revised on 1st July 2020

6.3 Informed consent for taking photos

DAISI is committed to the responsible use of photography and obtaining consent when a photo is taken of a child.

POLICIES

1. DAISI's [informed consent for taking photos](#) form must be signed by the patient prior to any photo being taken. In the case of children (defined as less than 18), where the child can understand and is able to sign, their signature may be obtained, in addition to the signature of both parents.

This policy was first created 15th November 2015 and revised on 1st July 2020

6.4. Ethical Decision Making Framework (EDMF)

DAISI's Ethical Decision Making Framework (EDMF), is specifically designed to be used when considering ethical dilemmas around the use of images and information to be used in communications materials. It can also be used for approaching any ethical decision making process.

This framework is a way of mandating proper assessment of the situation, the alternatives, analysing the negative and positive impacts a decision may have (particularly on those most vulnerable) and if the application of a particular decision achieves the greatest good. Finally, if it meets favourable criteria, make a decision that you will be prepared to stick by when scrutinised in public .

There are 5 stages to the framework: **Assessment, Consider Alternatives, Analysis, Application and Action**

1. Assessment

Gather all the relevant facts and gain a clear understanding of the situation. In order to do this, ask the following questions: does it abide by the law? Does it align with DAISI's Constitutions, Goals and Aims? Does it agree with DAISI's Code of Conduct and Safeguarding policies? Does it align with DAISI's Privacy Policy, Fundraising Policy, and Photography Policy. Does it align with the ethical values in Australia, as well as the partner nation?

2 Consider Alternatives

Consider your options.

Is this the only option available to achieve this outcome?

Ask if there is a alternative method for achieving the same or similar outcome. Consider the pros and cons for each of these methods.

3 Analysis

Identify the best identified proposal and subject it to rigorous analysis

Do both positive and negative impacts result in overall good justifying the proposal? Has the decision been made in the "heat of the moment" or in a rushed reactive manner? How will this proposal look in the long-term, for example in a years time. Are there are influencing factors (conflicts of interest) that may affect your judgement or be perceived by others to have affected your judgement.

4 Application

Does it sit comfortably with DAISI's critical principles by promoting and protecting

-
- human rights,
 - empowerment and local ownership
 - sustainable change through high quality and effective projects,
 - Good governance
 - Respect for our members and all stakeholders,
 - Environmental stewardship,
 - Effective and transparent communication
 - collaborative and collegiate approach.
-

Will application of this proposal ensure commitment to each of the above stated ethical principles. Does it treat others, the way we would like to be treated? Is the proposal fair and beneficial to all involved?

5 Action

Finally, make the decision knowing that this could go into the public arena. Are you comfortable with all aspects of its potential portrayal in the media (both positive and negative)

Are you prepared to make a decision and stick with it to its fruition despite criticisms.

Ethical Decision Making Framework (EDMF)

1. ASSESSMENT	2. ALTERNATIVES	3. ANALYSIS	4. APPLICATION	5. ACTION
---------------	-----------------	-------------	----------------	-----------

CONSIDER

Gather all the relevant facts and gain a clear understanding of the situation

Consider you options.

Identify the best proposal and subject it to rigorous analysis. Consider both the positive and negative impacts.

Does it Sit comfortably with DAISI's Constitution and principles by promoting and protecting:
Human rights
Empowerment and local ownership
Sustainable change through high quality and effectiveness
Good governance
Respect for our members

Finally, make the decision knowing that this could go into the public arena. Are you comfortable with all aspects of its potential portrayal in the media (both positive and negative)?

QUESTIONS

Does it abide by the law?
Does it align with DAISI's Constitution and principles?
Does it agree with DAISI's: Code of Conduct? Safeguarding Policies? Child protection policies? Photography policies?
Does it align with ethical values and accepted norm both Australia and

Is this the only option available to achieve this outcome?
Is there an alternative method for achieving the same or similar outcome?
Consider the pros and cons for each of these methods?

Do both positive and negative impacts result in overall good justifying the proposal.
Has the decision been made in the "heat of the moment" or in a rushed reactive manner?
How will this proposal look in the long-term for example in a year's time.
Are there influencing factors (conflicts of interest) that may affect

Does it promote health by providing medical and surgical services and education where it is most needed in the South Pacific in keeping with DAISI's Constitution and principles (see above)?
Will application of this proposal ensure commitment to each of the above stated principles?
Does it treat others the

Are you prepared to make a decision and stick with it to its fruition despite criticism?

Adapted from PMI Ethical Decision Making Framework" by the Project Management Institute <https://www.pmi.org/>

projects



7.3 Project Appraisal Template

DAISI's Project Appraisal Tool is an organised means for considering the goals, stakeholder opinions, community support and budgetary factors that are overall likely to determine the worthwhileness and longevity of a project. It should be applied prior to every new project.

1.GOALS

What were the goals of the project?

- 1.
- 2.

2.OBJECTIVES

What were the objectives that you wanted to achieve within the time frame of your project?

- 1.
- 2.

3.PRIMARY STAKEHOLDERS

A. Who are your project stakeholders?

B: Specify the stakeholders who should participate in this evaluation:

C: Specify the stakeholders who need information from this evaluation and will see the results:

- 1.
- 2.
- 3.
- 4.

(nb. Stakeholders are the individuals or organizations that have a vested interest in your project. They include individuals and organizations that make decisions, participate in the project, or may be affected by project activities)

4. PARTICIPATION OF PRIMARY STAKEHOLDERS

1. Were all relevant primary stakeholders been considered?
2. In what ways were primary stakeholders included in this project?
3. What strategies were used to promote participation of primary stakeholders?
4. Have focus group discussions occurred (e.g. with primary stakeholders)?
5. Were primary stakeholder groups allowed to participate directly in decision making (please explain and given examples)?

5. MINORITY (MARGINALISED) GROUPS

1. Have minority (marginalised) groups been allowed to participate in decision making?

6. PROJECT OUTCOMES

1. What outcomes did you achieve during or right after the completion of your project (i.e., your immediate or short-term outcomes)?
2. What outcomes did you achieve (or expect to achieve) within three to six months after the completion of your project that you could still attribute to the activities of the project (i.e., your intermediate outcomes)?

7. BUDGET CONSIDERATIONS

1. What budget was allotted to this project?
2. Were you able to remain within budget?.

8. ONGOING SUPPORT

1. Is there ongoing support by stakeholders for this project?
2. Explain the tangible and non tangible support for the ongoing implementation of this project.

This policy was first created 15th November 2015 and revised on 1st July 2020

disability

8.1 Disability

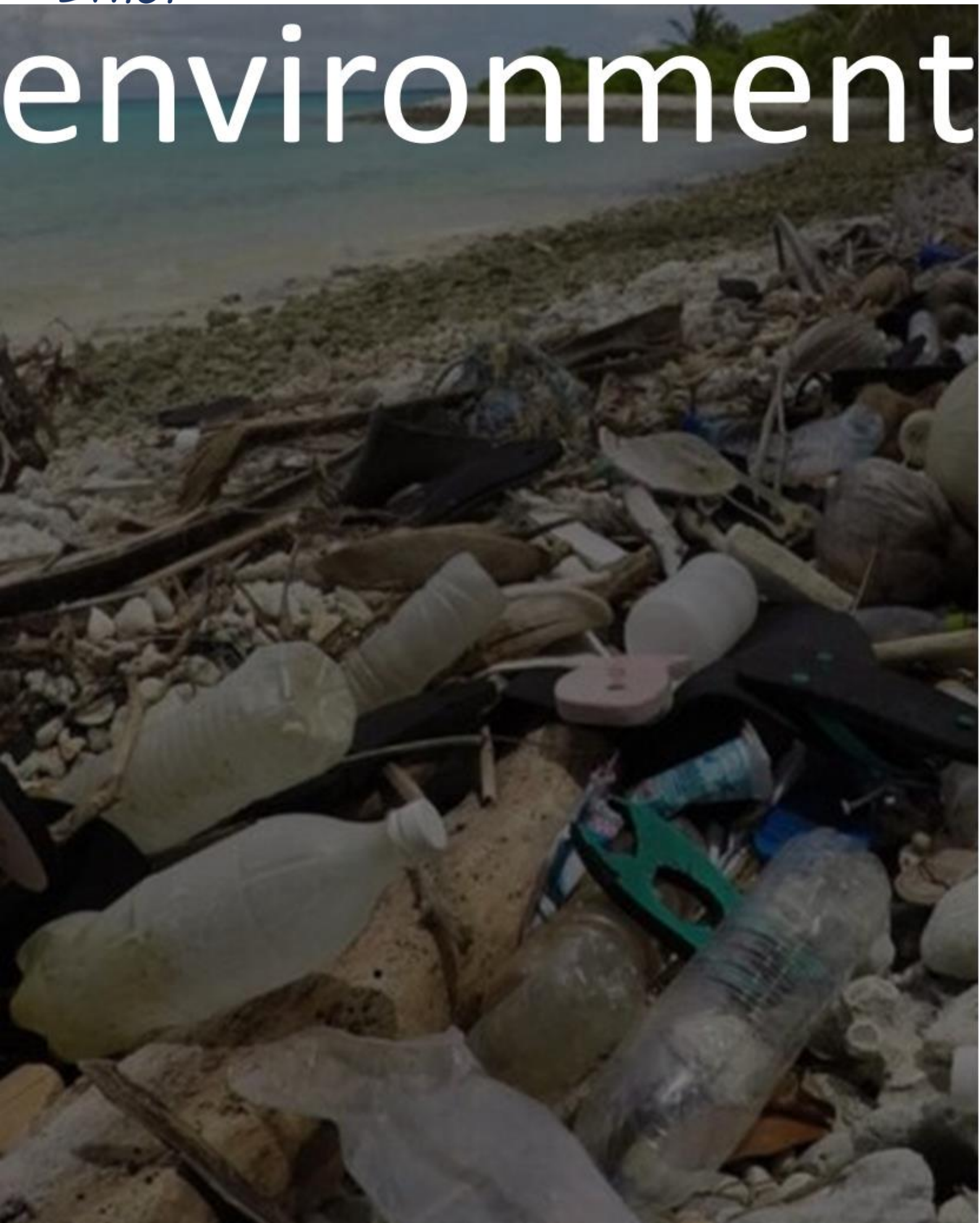
DAISI promotes the empowerment of people with disabilities with the development of an number of governing policies to ensure their inclusivity. For all matters or concerns relating to disability, please contact our [disability support officer](#).

POLICIES

1. DAISI members demonstrate an organisational commitment to the inclusion of people with disabilities.
2. DAISI is committed to the [United Nations policies on the rights or persons with disability](#).
3. DAISI activities must include a focus on disability rights, and inclusion of people with disabilities.
4. People with disability are often more marginalised in the South Pacific due to limited resources, therefore there must a a greater effort of inclusivity for this marginalised group in DAISI activities.
5. All DAISI planning process must includes consultation with people with disabilities and contextual analysis of the barriers to social inclusion and participation.
6. DAISI promotes providing opportunities for people with disabilities and/or their representative organisations to participate in decision-making.
7. DAISI is committed to monitoring and evaluating progress in promoting the empowerment of people with disabilities.

This policy was first created 15th November 2015 and revised on 1st July 2020

environment



8.2 Environment protection

DAISI is committed to improving its environmental performance and reducing its organisation's carbon footprint. To this end DAISI has developed an environment protection policy & safeguards. Any environmental concerns should be directed to the [Environment Protection Officer](#).

POLICIES

1. DAISI witnesses and confirms the negative impact that global warming has had in the South Pacific with rising sea-levels a direct consequence of this.
2. Global warming is the single biggest threat to many islands in the Pacific, potentially reversing many of the development gains of recent decades.
3. DAISI supports long-term community sustainable development projects that help people move towards self-sufficiency and reducing poverty.
4. This includes promoting long term solutions that mitigate the current and anticipated environmental effects of global warming
5. It is incumbent on us, individually and collectively in our day to day activities to modify our behaviour to reduce our greenhouse gas emissions, and negative impacts of pollution on the South-Pacific.
6. Where carbon emissions cannot be avoided, we will mitigate them when possible with carbon offsetting.
7. DAISI is compliant with all of its legal and other environmental requirements
8. DAISI is aware of its own carbon footprint and is committed to:
 1. reducing or offsetting DAISI's greenhouse gas emissions
 2. implementing waste minimisation particularly when it comes to the supply of single-use medical disposables.
 3. minimising our water usage
 4. initiatives that promote efficient transport solutions for our volunteers and staff to reduce the impacts of fuel burning on greenhouse gas emissions
9. To this end, DAISI has a dedicated [Environment Protection Officer](#), whose role it is to ensure minimal negative environmental impact related to DAISI activities.
10. This includes the responsible reclaiming of medical and surgical supplies from Australia, otherwise destined to become landfill, and their responsible shipping to the South Pacific
11. DAISI must also ensure that it only sends equipment and medical supplies that are genuinely needed, and likely to be used in a timely manner to reduce the negative environmental impact that sending unused equipment has on the South Pacific
12. Wherever possible, DAISI should promote self reliance with reusable equipment and the avoidance of single-use disposables that end up as land fill or cluttering the shoreline and ocean.
- 13.

This policy was first created 15th November 2015 and revised on 1st July 2020

8.2.1 Environment Protection Code of Conduct

DAISI is committed to protecting the environment.

By reading and agreeing to this Code of Conduct, you will be more aware of ways you can protect the environment & reduce your carbon footprint during your volunteering in the South-Pacific.

Code of Conduct Checklist.

All DAISI staff, volunteers and members must adhere to the following Environment Protection Code of Conduct:

1. Realise the importance of protection the fragile ecosystem and environment of Islands in the South-Pacific while working with DAISI.
2. Be respectful to the environment.
3. Be sensitive and actively look for ways to reduce DAISI's negative impact on the environment during DAISI trips to the South-Pacific.
4. Be aware that cultural differences exist between countries and communities in the South Pacific, and that limited resources In these mostly poor South-Pacific Islands may result in disposal of waste in manners which in Australia are considered environmentally unfriendly.
5. Be aware of the facilities available for disposing of waste and situations where waste generates by DAISI's trips may be disposed in a manner that may be harmful to the environment (e.g. incineration, dumping as landfill or inadvertent entry to waterways and the ocean)
6. Whenever possible avoid single use of plastic packaging and single use instruments.
7. If donating equipment try to find re-usable rather than single use items.
8. Make yourself aware of the local methods fir dealing with medical waste on the community or hospital you engage with.
9. Be conscious of the excesses in packaging of many medical and surgical supplies and where possible remove this excess in packaging before taking or sending items to the South-Pacific.
10. Enquire with partners in host counties as to what equipment is really needed to avoid sending items which will not be used and end up as waste.
11. Ensure at least 12 months shelf life of all medical equipment (as per WHO guidelines) sent to the South-Pacific
12. Ensure Medical and surgical equipment is fully functioning and where possible serviced before sending to the South-Pacific
13. Where possible provide ongoing service and maintenance of equipment,
14. Use low carbon emitting energy sources (e.g. solar, wind) in preference to high carbon emitting sources (diesel) when possible.
15. Travel economy on flights and use direct routes.
16. Offset Carbon emissions whenever possible.
- 17.

This policy was first created 15th November 2015 and revised on 1st July 2020

gender equality



8.3 Gender equality

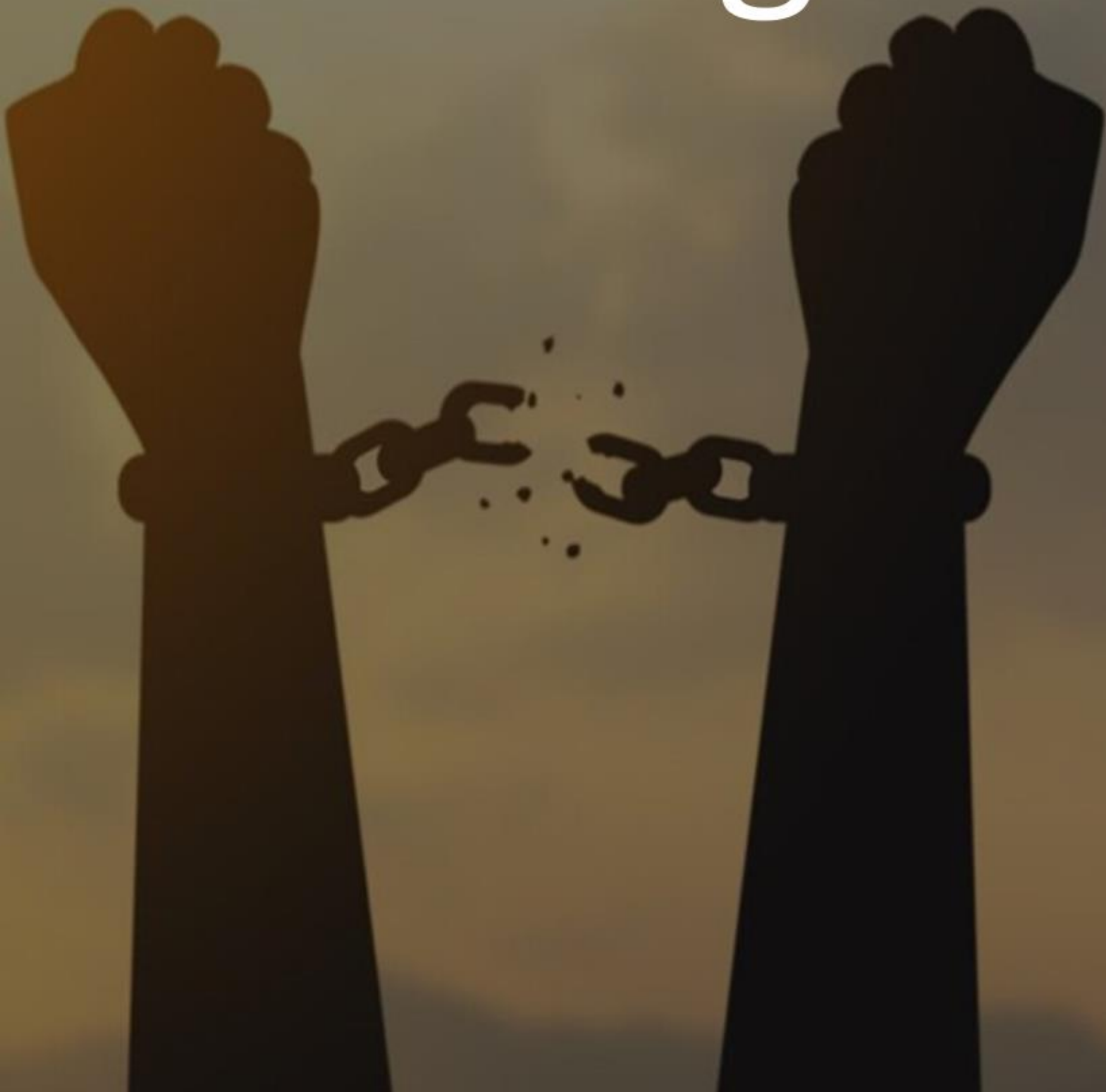
All people have the right to equality and to live a life without discrimination on the basis of their gender. DAISI has an organisation commitment to gender equality and social inclusion (GESI), both in the workplace, and on its field trips to the South Pacific, and a dedicated gender focal person for contact for all matters or concerns gender related.

POLICIES

1. All DAISI members must promote gender equality in the workplace and on field trips to the South-Pacific
2. Wherever possible include female representation in the Directorship, Executive Board Membership, and Office Bearer Positions
3. DAISI has a gender equality policy for staff recruitment
4. Targeted questions regarding Preventing Sexual Exploitation, Abuse and Harassment (PSEAH) are asked of candidates to explore their attitudes
5. All DAISI leadership staff are committed to promoting Gender Equality
6. Planning of activities for those girls and women oppressed or exploited, must include a female perspective
7. DAISI promotes the involvement of women and girls in decision making
8. DAISI has a gender focal person in place who is the person to contact for all matters relating to gender and gender inequality.
9. All complaints or matters of gender inequality are submitted to the DAISI executive for investigation
10. DAISI highlights amongst its staff the awareness that sex discrimination is a crime and to respond to discrimination and abuse on the basis of gender by:
 1. Report violence or gender discrimination incidents to the CEO or another nominated person in an organisation
 2. In Australia, report allegations of sex discrimination by a staff member or volunteer in the organisation to the state police
 3. Treat all concerns raised seriously
 4. Ensure that all parties will be treated fairly with prime consideration of the principles of natural justice
 5. Handle all reports professionally, confidentially and expediently
11. DAISI is committed to the reporting of data disaggregated by gender to highlight the needs and progress made in those prejudiced by gender.

This policy was first created 15th November 2015 and revised on 1st July 2020

human rights



8.4 Human rights

DAISI is committed to maintaining human rights for all people with human rights being inalienable, indivisible and universal.

POLICIES

1. Human rights are for everyone, regardless of race, religion, ethnicity, indigeneity, disability, age, displacement, caste, gender, gender identity, sexuality, sexual orientation, poverty, class or socio-economic status.
2. DAISI members aim to protect its primary stakeholders from abuses of human rights, including violence, abuse, exploitation or neglect.
3. DAISI members and policy makers will ensure that all of its aims and objectives are underpinned by human rights principles.
4. DAISI recognises the human rights of children and women. It also recognised sexual rights of all individuals, regardless of orientation, as a fundamental human right.
5. DAISI abhors the use of violence and torture consistent with the Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment
6. DAISI recognised the human rights needs of refugees, and supports UNHCR Convention and Protocols on the status of Refugees. <https://www.unhcr.org/protect/PROTECTION/3b66c2aa10.pdf>
7. DAISI members will report back to Executive on pertinent issues of human rights including those related to children, women and sexuality.
8. DAISI members will uphold its lawful obligation to report to relevant authorities when atrocities of human rights are encountered.
9. DAISI strongly supports the advocacy of human rights activities.
10. DAISI members will, when possible advocate with partners and government to make changes to law and policy to better support human rights.

This policy was first created 15th November 2015 and revised on 1st July 2020

privacy



8.5 Privacy

Protecting your privacy matters to us because we value you – our supporters and [volunteers](#) – as well as the people and communities we serve.

POLICIES

1. Our Privacy Policy also details how we collect and manage your personal information. DAISI is compliant with the [Australian Privacy Principles](#), the [WITHDRAW](#) and the [Payment Card Industry Data Security Standard](#), all of which are extremely important to us.
2. By providing your personal information you consent to our collection, use and disclosure of that information in accordance with this Privacy Policy.

This policy was first created 15th November 2015 and revised on 1st July 2020

8.5.1 Collecting Information about you

When it comes to collecting personal information about you, DAISI is committed to protecting your privacy and personal details. If you have concerns regarding the collection of data about you then please [CONTACT US](#). DAISI's Policy on collecting information about you is presented below.

POLICIES

- 1.1 DAISI collects and stores your name, address, telephone number, email, payment card details (including transaction details/history), date of birth, authorisations, records of your communication and interaction with us as well as services and activity with our digital services.
- 1.2 We generally collect these types of information directly from you. On occasions, we may also collect this type of information about you where the information is publicly available.
- 1.3 We collect information about you when you:
 - Provide feedback;
 - contact us by email, via the DAISI website or social media;
 - call us;
 - send us photos or videos;
 - make a donation online, over the phone or at one of our DAISI Charity Balls
 - go on a field trip with us (e.g. volunteering in the South-Pacific);
- 1.4 We need certain information to meet your expectations as a supporter; we can't give you a tax receipt or send you information about activities you may have been involved in or plan to be involved in if we don't have your name, email and address. If you apply to work with us (including as a volunteer) then we will collect information (such as your work experience and references) so that we can make a decision about this.
- 1.5 Sometimes we might have photos or stories about you if you have volunteered with DAISI in the South Pacific, or gone to one of our events such as the Annual Charity Ball
- 1.6 Sometimes we might collect your information from someone else such as from parents or guardians if you are under 15
- 1.7 Sometimes we might collect and/or ask you for sensitive information because:
 - we are very careful about who visits children in the communities we partner with, so will ask you for a criminal record check; and
 - we are curious about what makes you passionate about poverty and justice issues; like your faith, your values or your opinions, as this helps us communicate with you better.
- 1.8 To opt out, call us on 0478 067 159 or email us on staff@daisi.com.au

This policy was first created 15th November 2015 and revised on 1st July 2020

8.5.2 Sharing Information about you

Sharing your information with others can help us to improve your experience working with DAISI. This is not done without due consideration to your privacy needs. If you have concerns about the sharing of your information with others then please [CONTACT US](#). DAISI's policy on sharing information about you is below.

POLICIES

- 1.1 DAISI will use your information to help us provide, administer, improve and personalise our communications to you, engage, and manage our relationship, with you. For example, if you are a supporter, we will use your information to process your donations, newsletter subscriptions, change of details, and to tell you about our work including via email, SMS, Facebook message and/or other social media platforms.
- 1.2 It is important that DAISI tell you about how your support is making a difference to the people of the South Pacific we serve, and you will from time to time receive group emails. All emails have an unsubscribe option should you wish to be removed from group emails.
- 1.3 DAISI will also encourage you to learn more about poverty and justice issues currently faced and let you know about other opportunities to partner with us. This is what it means for you to be part of DAISI. However you can set your own preferences for how you will hear from us by contacting us.
- 1.4 This may also include processing payments, managing promotions, providing refunds, verifying your identity, conducting market research, maintaining and updating our records, dealing with enquiries from you and working with our service providers.
- 1.5 DAISI may monitor and record your communications with us (including email and telephone) for security, dispute resolution and training purposes.
- 1.6 Sometimes DAISI will have to disclose your information to other people for a specific purpose, such as when you need a National Police Records (NPR) check or a Working With Children (WCC) check so that you can visit a community.
- 1.7 DAISI does not as a general rule disclose your information to anyone else – importantly, we never rent, sell or exchange your personal information without your consent.

This policy was first created 15th November 2015 and revised on 1st July 2020

8.5.3 Keeping your Information Safe

DAISI always endeavours to keep your information safe. If you have concerns about the safety of your information then please [CONTACT US](#). DAISI's policy on keeping your information safe is presented below.

POLICIES

1. Our website uses secure response forms with ReCAPTCHA for all our contact forms, and uses ANZ E-Gate secure online banking when we ask for your personal and payment card details.
2. We will always take reasonable steps to keep your information secure by having safe systems in place.
3. Under Australian privacy law we are required to delete or de-identify your personal information when we no longer need it unless required by law (or a court/tribunal order) to keep it.
4. DAISI takes all reasonable steps to preserve the security of your personal information in accordance with our website terms of use and Privacy Policy. If your browser is suitably configured, it will advise you whether the information you are sending us will be secure (encrypted) or not secure (unencrypted). If secure transmission is indicated, DAISI currently uses 256-bit TLS encryption as a minimum.
5. DAISI complies with the Payment Card Industry Data Security Standard (PCI DSS) to ensure all sponsor and donor credit card information is securely transmitted, processed and stored.
6. Our employees and service providers are also expected to keep personal and payment card information confidential and secure.

7. Unfortunately, no data transmission over the Internet can be guaranteed as totally secure. Accordingly, although DAISI strives to protect such information, we cannot ensure or warrant the security of any information you transmit to us or from our online products or services and you do so at your own risk. However, once we receive your transmission, we take reasonable steps to preserve the security of the information in our own systems.

This policy was first created 15th November 2015 and revised on 1st July 2020

8.5.4 Resolving your privacy issues

DAISI values your support and contribution, so if you have a complaint relating to a privacy issue, then please let us know. If you have any questions or complaints about [DAISI's Privacy Policies](#) or our handling of your personal information, please [CONTACT US](#) as set out below.

A member of DAISI will contact you within 30 days of receipt of your complaint.

After that, if you are not satisfied with our management of your complaint, you can also contact the Office of the Australian Information Commissioner as follows:

Office of the Australian Information Commissioner:

Post: GPO Box 5218, Sydney, NSW 2001

Phone: 1300 363 992

Email: enquiries@oaic.gov.au

Web: www.oaic.gov.au

POLICIES

1. A member of DAISI Executive Team must contact privacy concern complainants within 30 days of receipt of complaint.
2. DAISI Response to complainants must also include the option of them making a complaint to the Office of the Australian Information Commissioner if they are still not satisfied with the management of the complaint.
3. All complaints must be discussed at the quarterly Executive Board Meeting.

This policy was first created 15th November 2015 and revised on 1st July 2020

8.5.5 Updating or Deleting your information

DAISI holds certain information about its staff, members and volunteers, which is used in strict accordance with Privacy Laws. If you would like to enquire as to what information is held, and/or access, delete or amend your information then please [CONTACT US](#) and we will do our very best to facilitate this. DAISI's Policy on Updating and Deleting your information is given below.

POLICIES

1. If at any time, you want to know what personal information DAISI holds about you, then we shall endeavour to provide you with this information in a timely manner.
2. Similarly, If you wish to correct or amend any personal information we hold about you, we will endeavour to do this in a timely manner.
3. If you wish to have your personal information deleted, please let us know and we will take reasonable steps to delete it unless we need to keep it for legal, auditing or internal risk management reasons.
4. Under the Privacy Act and other relevant laws, we are required to provide our reasons if we are unable to process your request.

5. If we use personal information in ways other than as stated in this policy, we will ensure we comply with the requirements of Privacy law.

This policy was first created 15th November 2015 and revised on 1st July 2020

8.5.6 Use of photos videos, imagery and articles

DAISI has a photos, videos, imagery and articles policy designed to reduce harm or offence, being respectful and maintaining the dignity of those included in the use of such media. If you have any concerns about the inappropriate use of photos, videos, imagery or articles by DAISI, then please [CONTACT US](#). DAISI's policy on the use of photos, videos, imagery and articles is detailed below.

POLICIES

1. DAISI is committed to the use of photos, videos, imagery of any kind and articles used on social media or for marketing in an ethical manner that accurately depicts affected people and recipients of DAISI's charitable work, in a manner that is respectful of their dignity, values, history, religion, language and culture,
2. Such photos, videos, imagery of a person or people should be authentic to the context and person/people.
3. Should only be used where consent is given.
4. Must be used in a culturally sensitive manner, respectful of local cultures, and situations where filming, taking of photos, or portraying imagery (particularly of those deceased, mutilated, or unconscious) is culturally unacceptable.
5. Must never portray people in a manner that is undignified, and this includes the portrayal of deceased people, or body parts (such as genitalia) that would not normally be publicly viewable.
6. Where there is a suspicion that offence may be caused to somebody by the public display of imagery or an article, the stakeholder should be included in the decision making process on whether or not publication is acceptable.
7. The taking of photos, films or imagery of any kind, should not impede in any way or compromise the safe functioning of primary development activity that is the primary purpose.
8. The taking of photos, films or imagery should not be gratuitous or "in your face", realising there are times and places where cameras are not allowed or appropriate.
9. DAISI members should seek clarification from their partners/stakeholders in the country in which they are volunteering as to the appropriateness or otherwise of taking photos, videos, or other kinds of imagery, and be respectful of the opinions given.
10. In situations where consent cannot be obtained (deceased, unconscious, underage, incompetent, or for whatever reason unable to communicate or give informed consent) the taking of photos, videos or imagery of any kind should be explicitly prohibited.
11. Consent for the taking of photos, video and writing of articles for public display intended should be obtained with adequate comprehension by the stakeholder, and where language is an impediment, occur with accurate local translation and delivery.
12. Adequate time and sufficient explanation with provision of necessary information of the intended use of photos, videos or articles should be given before any consent of use if requested.
13. Use of photos, videos, or articles should be considerate of all stakeholders, which includes partners, beneficiaries, and other charitable organisations. Where offence is likely to occur to any of these stakeholders, and decision to omit used of a photo, video or article should be considered in interest of the common good.
14. Where it is intended that photos, videos or imagery of any kind be depicted of a particular project, discussion amongst the team should occur, with clear objectives and guidelines on what is an what isn't acceptable footage.

15. Ideally a single person, rather than multiple people, should be primarily involved in taking of photos, videos, and imagery, with this person clearly identified, and not distracted by other duties. In this way, targeted discussion with this person by the team leader can ensure that boundaries are not crossed, and offence caused.
16. The operating theatre, is an area where the potential for abuse of photo or video taking can be very great resulting in dire consequences. The unconscious patient cannot give consent, and there is a real risk of including naked or mutilated body parts (even if not intended) or causing serious distraction by the photographer or film-maker. For this reason DAISI advocates limited and restricted use of photo taking and video recording in the operating theatre. In the rare cases that it is felt necessary, it must be done, with clear terms of reference in writing and be decided upon prior to any taking of photos or video recording in the operating theatre. These terms of reference must be agreed by all stakeholders. Photos are only to be conducted with prior written consent from the patient, and must not include photos of children, or photos of private body parts (genitalia), or any photos depicting the unconscious patient.

This policy was first created 15th November 2015 and revised on 1st July 2020

exploitation



8.6 Sexual exploitation Policies and Safeguards

DAISI is committed to a workplace that is free from sexual exploitation, sexual abuse and sexual harassment. All of us have a responsibility to act in an ethical and transparent way to build a respectful working culture that rejects inappropriate behaviour, and where staff, partners and communities feel supported and valued. This policy sets out expectations and requirements for DAISI staff and partners to manage the risks of sexual exploitation, abuse and harassment. Where programs are supported by the Department of Foreign Affairs and Trade (DFAT) specific requirements also apply under the DFAT Preventing Sexual Exploitation, Abuse and Harassment Policy which are included in this Policy.

1. SCOPE

1. DAISI does not support sexual exploitation, sexual abuse or sexual harassment of any kind.
2. This policy applies to all representatives of DAISI, including staff, volunteers and board members, consultants, family members accompanying staff on travel and assignment, and any other organisations or people acting for or on behalf of DAISI (Representatives of DAISI). This policy applies at all times when such persons are working for, travelling or representing DAISI, both during and outside normal working hours.
3. DAISI will take all reasonable steps to prevent sexual exploitation, sexual abuse and sexual harassment, and to promote the rights of people and communities with whom we work.
4. The principles that underpin DAISI's Policy are:
5. **Principle 1:** Zero tolerance of inaction
6. Sexual exploitation, abuse and harassment are never acceptable. Zero tolerance is not the same as zero incidents. DAISI defines zero tolerance as acting on every allegation in a fair and reasonable way with due regard for procedural fairness.
7. **Principle 2:** Survivor needs are prioritised
8. Action to address sexual exploitation, abuse and harassment should be underpinned by a "do no harm" approach prioritising the rights, needs, and wishes of the survivor, while ensuring procedural fairness to all parties. This approach treats the survivor with dignity and respect, involves them in decision making and provides them with comprehensive information. It also protects privacy and confidentiality, does not discriminate based on gender, age, race/ethnicity, ability, sexual orientation, or other characteristics and considers the need for counselling and health services to assist the victim/survivor with their recovery.
9. **Principle 3:** Gender inequality and other power imbalances are addressed
10. Available data indicates that the majority of survivors are female and the majority of perpetrators are male. However, there are also other power imbalances at play. Inequalities based on the distinctions of worker/beneficiary; ability/disability; ethnic and Indigenous status; religion; gender identity and sexual orientation; age; health and poverty, can also result in sexual exploitation, abuse and harassment. The intersection of gender with other forms of inequality can further increase the likelihood of SEAH occurring.
11. Engagement with intended beneficiaries should be based on respect for diversity, promotion of gender equality and social inclusion, accountability, and a strong "do no harm" focus.

RESPONSIBILITIES

12. Board · oversight of this Policy · approval of any revisions
13. CEO · overall implementation, monitoring and review of this Policy
14. Director of Systemic Change and Partnerships · ensuring compliance with clause 6.2 including that controls are in place with program partners to manage and monitor the risk of SEAH and that processes are adhered to.

2. IMPLEMENTATION

1. DAISI will apply this policy and, where applicable, the DFAT Preventing Sexual Exploitation, Abuse and Harassment Policy, in accordance with the DFAT PSEAH Minimum Standards commensurate with the level of SEAH risk associated with the activities. DAISI requires that all staff, volunteers and board members sign that they have read, understood and agree to abide by the DAISI Code of Conduct, including the requirements to comply with this policy.
2. **Risk Management:** While we acknowledge that it is not possible to eliminate all risks of sexual misconduct, DAISI has adopted a risk management process by which risks are identified, monitored and reasonably mitigated against in the assessment of all our activities. This includes a process by which activities are assessed to determine the level of risk for Sexual Misconduct, and application of the DFAT PSEAH Minimum Standards where applicable. This policy and the DAISI Code of Conduct will be included in inductions, as well as communicated through internal communications, contracts and via DAISI's website. Those who are directly engaged in activities assessed as high risk or above, will complete additional PSEAH induction and refresher training (every 3 years). DAISI will undertake a risk assessment for all partners or other organisations acting for or on behalf of DAISI to identify risks, classify any high risk activities and document steps being taken to reduce Sexual Misconduct risks. The risk assessments will be undertaken at the program design and proposal stage, form part of regular monitoring and be reviewed at regular reporting intervals.
3. **Program Partners:** It is mandatory for all international program partners receiving Australian Government funds to comply with the DFAT Prevention of Sexual Exploitation, Abuse and Harassment Policy and apply the minimum standards based on the associated level of risk (see DFAT PSEAH Risk Guidelines). All program partners will: a) act in accordance with the principles and requirements in this Policy; b) sign DAISI's Code of Conduct committing to adhere to this Policy; c) have Prevention of Sexual Exploitation, Abuse and Harassment clauses included in all partnership agreements and agree to yearly compliance monitoring by DAISI; and d) adopt and comply with their own policies and procedures by which risks are identified, monitored and mitigated against, including assessing the level of risk for Sexual Misconduct and mitigating the same in, establishing organisational reporting and investigation procedures, and applying the DFAT Policy and PSEAH Minimum Standards where applicable; DAISI will assist partners with information to support their compliance with these sexual exploitation, abuse and harassment requirements and to develop their own policies and reporting processes and systems. DAISI will review partner PSEAH related compliance on a yearly basis.

3. REPORTING

1. Where any person has reasonable grounds to suspect that DAISI or any persons within the scope of this Policy have engaged in sexual exploitation, sexual abuse or sexual harassment, DAISI encourages them to report their concerns immediately in accordance with this Policy. Person reporting shall not suffer any sanctions from DAISI on account of their actions in this regard provided that their actions: · are in good faith based on reasonable grounds, and · conform to the designated procedures outlined below. An individual victim or survivor is under no obligation to report any incident that has happened to them; however, DAISI will ensure individuals who self-report will have access to timely and suitable assistance.

How to report

2. Anyone wishing to report under this policy can notify DAISI using any of the following mechanisms: 1. Inform their supervisor within DAISI at any time in person or via phone, text, email or contact DAISI's head office directly by phone 0478 067 159 or by email staff@daisi.com.au or complete the SEXUAL EXPLOITATION INCIDENT FORM on the DAISI website.
3. **Reports of Sexual Misconduct** for people under the age of 18 should be made under DAISI Child Protection Policy.
4. When making a disclosure, the reporting person may do so anonymously. People are encouraged to share their identity when making a disclosure, as it will make it easier for DAISI to address the disclosure, but they are not required to do so. If they do not share their identity, DAISI will assess the disclosure in the same way as if they had revealed their identity. However, there may be some practical limitations in conducting the investigation.

How DAISI will manage disclosures

5. DAISI will make all reasonable endeavours to keep the identity of the person making the disclosure and the individual victim or survivor confidential unless that disclosure is authorised by the relevant person or required by this policy or the law.
6. **Following receipt of a report of Sexual Misconduct, DAISI CEO will:**
undertake a prompt impartial and appropriate investigation, to determine what action, if any, should be taken in the circumstances. Any such investigation shall observe the rules of natural justice and the provisions of procedural fairness;
 - advise the chair of the board of the report;
 - make any notifications required under law, DFAT or other donor agency policy where applicable;
 - If the complaint or concern relates to a person employed by an DAISI partner organisation, subject to obligations of confidentiality, DAISI's Chief Executive Officer, or her delegate, will discuss the allegations with the partner organisation's Chief Executive Officer and decide together upon the next steps.
 - Before any adverse finding, the subject of the report shall be informed of the allegations against them and provided with an opportunity to reply to the allegations.
 - At an appropriate time the person making the report may be asked to comment on any additional evidence obtained/and or the need to be a witness
 - If at the conclusion of the investigation, the allegations disclosed are considered to be substantiated, effective remedial action, commensurate with the severity of the offence will be taken.
 - If the CEO is implicated in a disclosure, then the Director of Business Transformation will manage the disclosure.

For allegations of Sexual Misconduct in connection with any DFAT funded activities there are two kinds of reporting required:

7. **Mandatory and immediate** (within two working days of becoming aware of an alleged incident) reporting by all staff and DFAT partners of any alleged incident of sexual exploitation, abuse or harassment related to the delivery of DFAT business. This includes any alleged incident that poses a significant reputational risk to DFAT. For example, an allegation against a senior staff member of a partner organisation. Reports of alleged abuse or exploitation of individuals under the age of 18 years must follow DFAT's Child Protection Policy (www.dfat.gov.au/childprotection)
8. **Mandatory reporting** (within five working days) by all staff and DFAT partners of any alleged Policy non-compliance; for example, failure to adhere to the PSEAH Policy Minimum Standards or principles
9. **Misconduct:** Any person found to be involved in Sexual Misconduct may be subject to disciplinary action (including but not limited to termination of employment or engagement). DAISI may refer any person that has engaged in Sexual Misconduct to law enforcement authorities for further investigation. Any person making allegations frivolously, maliciously or for personal gain, may also be subject to disciplinary action (including but not limited to termination of employment or engagement).

4. IMPLEMENTATION

1. The Chief Executive Officer, in conjunction with the DAISI Leadership team, is responsible for the administration, interpretation, and application of this policy. A copy of this policy shall be placed on DAISI's shared drive and website.
2. **REVIEW AND AMENDMENT:** This policy will be reviewed not less than every 3 years to ensure it remains compliant with law, relevant and effective. This policy may be amended by the Board.

KEY DEFINITIONS

Sexual misconduct: Means sexual exploitation, sexual abuse or sexual harassment. 3.2. Sexual Exploitation Any actual or attempted abuse of a position of vulnerability, differential power, or trust for sexual purposes. It includes profiting monetarily, socially, or politically from sexual exploitation of another

Sexual abuse: The actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions. It covers sexual offences including but not limited to: attempted rape (which includes attempts to force someone to perform oral sex); and sexual assault (which includes non-consensual kissing and touching). All sexual activity with someone under the age of consent (in the law of the host country or under Australian Capital Territory law [16 years], whichever is greater) is considered to be sexual abuse.

Sexual harassment: A person sexually harasses another person if the person makes an unwelcome sexual advance or an unwelcome request for sexual favours, or engages in other unwelcome conduct of a sexual nature, in circumstances in which a reasonable person, having regard to all the circumstances, would have anticipated the possibility that the person harassed would be offended, humiliated or intimidated. Sexual harassment can take various forms. It can be obvious or indirect, physical or verbal, repeated or one-off and perpetrated by any person

of any gender towards any person of any gender. Sexual harassment can be perpetrated against beneficiaries, community members, citizens, as well as staff and personnel.

Examples: Examples of acts of sexual exploitation, sexual abuse and sexual harassment include, but are not limited to:

- Sexual assault (any unwanted or forced sexual act committed without consent) or threat thereof. Sexual assault can occur either against a person's will, by force or coercion, or when a person is incapable of giving consent, such as when they are under duress, under the influence of drugs or alcohol. Force includes: o actual physical aggression, including but not limited to: rape, forcible sodomy, forcible oral copulation, sexual assault with an object, sexual battery, forcible fondling (unwanted kissing or touching) o threats of physical aggression o emotional coercion o psychological blackmailing
- Forcing someone to have sex with anyone
- Forcing a person to engage in prostitution or pornography or videotaping or photographing sexual acts and posting it without permission
- Refusing to use safe sex practices
- Alleging or threatening to allege that anyone already has a history of prostitution on legal papers
- Name-calling with sexual epithets
- Insisting on anything sexual, including jokes that may be uncomfortable, frightening or hurtful
- Demanding sex in any context or telling someone that they or anyone else are obliged to have sex as a condition for anything.

Examples of behaviour that could be considered sexual harassment include, but are not limited to:

- Unwanted physical contact, sexual suggestions, or demands
- Making obscene or sexually suggestive remarks, insults or jokes that may cause offense
- Sending explicit or sexually suggestive emails
- Intrusive enquiries into a worker's private

This policy was first created 15th November 2015 and revised on 1st July 2020

vulnerable adults



8.7 Victims of humanitarian crisis

DAISI supports to undertake humanitarian assistance principles of humanity, impartiality, independence and neutrality with the following policies in place to deal with Humanitarian Crisis:

POLICIES

1. DAISI will develop humanitarian response and disaster preparedness strategies that incorporate and reflect international humanitarian response standards
2. DAISI will share information and knowledge with other stakeholders, and participate in joint planning and integrated activities wherever possible, including national and local authorities, without compromising humanitarian principles.
3. DAISI will coordinate with and compliment the work of others already providing assistance wherever possible.
4. DAISI is committed to promoting self governance in the countries it works with, where empowerment and promotion of leadership by local partners is the aim.
5. DAISI recognises that effective humanitarian responses require collective action.
6. DAISI is guided by s guided by The Core Humanitarian Standard on Quality and Accountability (CHS)
7. When responding to humanitarian crisis, DAISI will apply the principles of humanity, impartiality, independence and neutrality as defined in the Core Humanitarian Standard on Quality and Accountability (CHS).
8. Donations are based on the perceived need as expressed by the recipient and not distributed without prior consent
9. Donated drugs must be on the list of essential drugs of the recipient country, or if no such list is available, the WHO Model List of Essential Drugs
10. Donated drugs must comply with the quality standards of the recipient country and be authorised for use in that country
11. All donated drugs should have a shelf-life of at least 12 months upon arrival in the recipient country
12. Where crisis results in a shortage of supply, DAISI is committed to resourcing and supplying these when possible and practical.

This policy was first created 15th November 2015 and revised on 1st July 2020

8.8 Vulnerable adult

DAISI is committed to the inclusion and representation of those who are vulnerable and those who are affected by the intersecting drivers of marginalisation and exclusion.

POLICIES

1. DAISI members will engage in planning process that include consultation with those who are vulnerable and those who are affected by marginalisation and exclusion and analysis of their needs and rights and barriers to their inclusion in context-specific ways.
2. DAISI members when developing humanitarian initiatives will consider the impact this will have on those who are vulnerable and those who are affected by marginalisation and exclusion with a view to preventing unintended harm
3. DAISI will report on progress on addressing the needs, rights and inclusion of vulnerable and marginalised groups to your governing body and stakeholders in key documents such as in its Annual Report.

This policy was first created 15th November 2015 and revised on 1st July 2020

child safety



8.9 Child Safety

DAISI has a zero tolerance towards sexual exploitation and abuse (SEA). Central to everything we do is our commitment to first “do no harm”. If you have any concerns about the safety or protection of a vulnerable child or adult, the please [CONTACT US](#), or notify us through the confidential child safety and concerns [INCIDENT REPORTING](#) online form, or contact our [Child Protection Officer](#).

DAISI’s policies and resources on child safety protection are presented below and are focused on protecting all children anywhere from harm caused by DAISI employees and affiliates being applicable equally in emergency relief and development aid programmes.

This policy was first created 15th November 2015

8.9.1 Child Safety Code of Conduct

DAISI is committed to protecting the safety and well-being of children (child defined as being under 18 years of age).

By reading and agreeing to this Code of Conduct, you will be more aware of the policies that guide best practice standards for Charitable organisations working with children. This will, in turn, make you more comfortable working with children, knowing what is acceptable and unacceptable behaviour.

Code of Conduct Checklist

1. All DAISI staff, volunteers and member must agree before working with children to adhere to the following Working With Children Code of Conduct:

1. Realise the importance of undergoing a Working With Children Check (WWCC) and National Police Certificate (NPC) prior to working with DAISI.
2. Be respectful to children, showing them dignity, using appropriate language and respecting their privacy, including keeping information about them confidential.
3. Be sensitive and actively listen and look for the verbal and non-verbal signs they send you about how comfortable they are with you your closeness of contact, languages used, (including tone and loudness) as well as the natures of the conversation, and respectfully respond accordingly to lessen any uncomfortableness felt by the child..
4. If a child says “stop” or appears uncomfortable with a particularly action or interaction, then stop this immediately and consider alternative approaches, including removing yourself from this interaction or replacing yourself with someone else more appropriate.
5. Be aware that cultural differences exist between countries and communities in the South Pacific, and that your conduct (how you behave, speak and dress) should be culturally sensitive and appropriate.
6. Seek permission from the child and child’s parent or relevant family members before taking any photos, videos. This permission, whilst it is preferably in writing, should convey the true and exact intent of use for such images, including placing these images online. Consider any potential harm that may come to the child or their family from public display of such images
7. Photos should not be kept for personal use.
8. Except in emergency or unavoidable situations, avoid being in isolation with a child. It is always preferable to have the child you are interacting with in full view of another adult, in case a false accusation or misinterpretation occurs. If you are a contractor, and not a member of DAISI, you must be accompanied at all times by a DAISI member when in contact with children.

9. Never hit or abuse any child. Raising your voice with intent to make a child feel uncomfortable is a form of abuse. Abuse can also be in the choice of words used or emotional context in which a work or message is given.
 10. DAISI does not support corporal punishment but recommends alternative methods of discipline.
 11. Avoid close physical contact with a child. This includes cuddles, hugs, kisses.
 12. Be careful and try to avoid personally giving gifts to children, particularly to one or only some children, as this could be seen as favouritism or grooming and could have negative consequences for that child .
 13. Never provide alcohol or drugs to a child
 14. Do not hire children to help around the house or otherwise exploit children through inappropriate labour. Remember that children have a right to education and play.
 15. Do not become personally involved with children socially after work. This includes on social media.
 16. Do not become involved sexually with a child whether by direct contact, exposing them to sexual materials or other non-contact sexual activity (grooming). In Australia, such conduct can be a serious offence punishable by imprisonment.
 17. International, national and local laws about child protection must always be complied with.
 18. Even when a child's behaviour can be interpreted as inappropriate (for example, seductive behaviour) you are the adult in the situation, and therefore are always responsible for your behaviour towards a child.
 19. Inappropriate or suspicious behaviour should always be reported to your DAISI contact or the [Child Protection Officer](#) or made via the online [INCIDENT REPORTING](#) form.
 20. DAISI will attempt to investigate such breaches of Code respect for all those involved. However, non-compliance with DAISI's Working With Children Code of Conduct is a serious breach of contract and will be dealt with accordingly, and may be grounds for termination of membership and/or employment, and where felt necessary be reported to relevant authorities.
 21. Notify immediately a senior DAISI personnel, or the designated DAISI [Child Protection Officer](#) if you witness a breach of code or conduct or have concerns about child safety misconduct occurring either at work or after hours.
2. A signed and dated declaration testifying agreement to the above Working With Children Code of Conduct must be obtained from all DAISI staff, volunteers and members before being allowed to work with children (this is in addition to other screening checks carried out such as National Police Record (NPR) check and Working With Children Check (WCCC) and reference checks).

This policy was first created 15th November 2015 and revised on 1st July 2020.

8.9.2 Child Safety Safeguards

DAISI's safeguard policies on child protection are presented below and are focussed on protecting all children anywhere from harm caused by DAISI employees and affiliates being applicable equally in emergency relief and development aid programmes.

POLICIES

1.0 Child Safeguard Policies and Responsibilities

1.1 Development of relevant Child Safeguard Policies: DAISI Executive and Field Officers are responsible for ensuring the development, implementation and periodic review of relevant Child Safeguard policies. These should be consistent with the standards outlined in this document and in accordance with local laws. These should be reviewed at least once every five years.

1.2 Awareness: All DAISI Board Directors, Office Bearers, members & volunteers just sign an acknowledgement that they know, understand and will follow this Child Safeguards Policy. Signed agreements are kept on file by the relevant office.

1.3 Relevant DAISI People and Affiliates: DAISI equips all Executive Directors, Office Bearers, Members, volunteers & employees to understand and perform their Child Safeguard obligations. DAISI also applies appropriate standards to external parties, including visitors, community volunteers, contractors, partners, and others affiliated with partners or contractors, to address Child Safeguards relating to their engagement with DAISI's work. Hereafter, the

full range of people for whom all or some of this Policy are relevant (either directly or through contractual arrangements) will be referred to as 'DAISI people and/or affiliates'

1.4 Agreements with Contractors: Contractors engaged in situations where they—or their employees or subcontractors—may have access to children in DAISI programmes, or may have access to personal data about such children, require Child Safeguards in their contract with DAISI. In addition, a copy of the Child Safeguards must be attached to the contract. These requirements apply whether the Contractor is being paid for the services, or is providing them for free ('pro bono'), and is irrespective of the duration of the contract. In the course of performing this contract, Contractor and Contractor's employees will ensure that:

1.4.1 Any individuals with access to children, or to personal data about such children, will have a National Police Check (NPC) for past criminal activity and a Working With Children Check (WCCC) for offenses against children, to the extent permitted by law (evidence of which will be provided to DAISI upon request); and Any of their interactions with children or with personal data about such children will comply with the attached DAISI Child Safeguards Policies, and with any other reasonable Child Safeguards that DAISI may specify;

1.4.2 Any incidents of harm or risk of harm to children will be reported immediately to DAISI. This can be done by completing the online [Child Protection Incident Reporting form](#), by contacting the [Child Safety Protection Officer](#), or using the Contact Form on DAISI's homepage.

If at the time of an incident reporting DAISI is a recipient of DFAT funding, then DAISI will immediately [notify DFAT](#). If there is sufficient indication or ongoing risk or legal requirement, then the relevant Police Authority will also be notified.

1.4.3 These Child Safeguard obligations will be clearly communicated to, and acknowledged by, all employees who may have access to children or to adult beneficiaries, or to personal data about such persons, and will be extended in identical form to any subcontractors (if any are authorised) engaged to perform this contract.'

1.5 Agreements with Partner Organisations: When engaging a partner for a DAISI programme or programme activity, the agreement (also referred to as, 'Memorandum Of Understanding'), specifies that before the Partner begins any work on the project, the Partner's Child Safeguards policy must be provided to DAISI and approved by DAISI as appropriate for the programme at issue. Alternatively, in the absence of such a policy, the Partner can agree to follow DAISI's local Child Safeguards Policy in carrying out the programme activities. The agreement must ensure that any of the Partner's personnel working in the DAISI project will have a current clean criminal background check for offenses against children, to the extent permitted by law (evidence of which will be provided to DAISI upon request).

1.6 Safeguards Responsibility Staffing: DAISI appoints a Child Safety Protection Officer to provide leadership to the implementation of child protection safeguards. This person must convey every incident of possible child abuse or exploitation to DAISI's Chair.

1.7 Training: All DAISI employees, volunteers, interns, and Board/Advisory Council members, as well as partner employees or partner volunteers working within a DAISI project, receive Child Safeguards training at the start of employment or DAISI affiliation. DAISI employees and volunteers receive periodic refresher or other Child Safeguards training at least once every two years thereafter.

2.0 Behaviour Protocols

2.1 Child Safeguard Responsibilities Protocols: DAISI employees and affiliates behave in ways that protect children and prevent sexual exploitation and abuse, and prevent any other intentional or unintentional harm to the people DAISI serves or works amongst. Rules of behaviour are based on local and culturally appropriate interactions (provided these meet or exceed the minimum protocols below) with children, members of the opposite sex, and other vulnerable adults, and are included in each contextualised Child Safeguard Policy. All DAISI employees and affiliates abide by these protocols in their activities with DAISI, for all children anywhere (see Definitions).

Acceptable Behaviour – DAISI employees and affiliates:

2.1.1 create and maintain an environment which prevents sexual exploitation and abuse of children and promotes the implementation of these Behaviour Protocols;

2.1.2 are careful about perception and appearance in their language, actions and relationships with children. Their behaviour—including in person and on digital platforms, both online and offline—demonstrates a respect for children and their rights; c) ensure that all physical and online contact with children is appropriate in the local culture;

2.1.3 use positive, non-violent methods to manage children's behaviour;

2.1.4 accept responsibility for personal behaviour and actions as a representative of the organisation;

2.1.5 are always accountable for their response to a child's behaviour, even if a child behaves in a sexually inappropriate manner; adults avoid being placed in a compromising or vulnerable position with children;

- 2.1.6 where possible and practical, follow the ‘two-adult’ rule while conducting DAISI work, wherein two or more adults supervise all activities that involve children, and are visible and present at all times;
- 2.1.7 comply with Child Safeguard Responsibility-related investigations (internal and external) and make available any documentary or other information necessary for the completion of the investigation;
- 2.1.8 comply with applicable data privacy laws and with relevant DAISI data privacy and information security policies, including DAISI digital child safeguarding protocols, when handling any personal data about individual children noting in general that collecting or using such data must be limited to the minimum necessary, and that such data must be maintained and transferred in a secure, confidential manner;
- 2.1.9 immediately report through established reporting mechanisms any known or suspected Child Safeguard incident or breach of this Policy by a DAISI employee or affiliate, or a humanitarian aid worker from any other agency.

Unacceptable Behaviour – DAISI employees and affiliates do not:

- 2.1.10 behave in an inappropriate physical manner, or develop a sexual relationship with a child (under 18 years old), regardless of the country specific legal age of consent or age of majority. This also includes consenting or condoning the above behaviour (including fostering or condoning child marriage (under 18 years old));
- 2.1.11 develop or seek a sexual relationship with any beneficiary of any age; such relationships are not acceptable and will not be tolerated since they are based on inherently unequal power dynamics. Such relationships undermine the credibility and integrity of DAISI’s humanitarian aid or development work;
- 2.1.12 sexually exploit or abuse any beneficiaries (adult or child); such behaviour constitutes an act of gross misconduct;
- 2.1.13 exchange money, employment, goods, or services for sex (including sexual favours, other forms of humiliating, degrading, or exploitative behaviour, or hiring sex workers) or other exploitative demands is strictly prohibited. This includes exchange of assistance that is already due to beneficiaries;
- 2.1.14 fondle, hold, kiss, hug or touch children in an inappropriate or culturally insensitive way;
- 2.1.15 use language, make suggestions or offer advice to a child which is inappropriate or abusive, including language that causes shame or humiliation, or is belittling or degrading;
- 2.1.16 spend excessive or unnecessary time alone with a child away from others or behind closed doors or in a secluded area;
- 2.1.17 condone or participate in behaviour with children which is illegal, unsafe or abusive; including harmful traditional practices, spiritual or ritualistic abuse;
- 2.1.18 hire children in any form of child labour (including as “house help”) unless it is within the best interest of the child and in alignment with local law and international standards (‘Child labour’ is work that is mentally, physically, socially or morally dangerous and harmful to children, or that interferes with their schooling. ‘Child work’ in contrast may be beneficial if permitted by International Labour Organisation (ILO) Conventions and puts the child’s interests ahead of any benefits gained by adults);
- 2.1.19 hit or use other corporal punishment against a child while the child is in DAISI care or the DAISI employee or affiliate is conducting DAISI work;
- 2.1.20 take a child alone in a vehicle for DAISI work, unless it is absolutely necessary, and with parental/guardian and managerial consent;
- 2.1.21 misuse or be careless with personal data about individual children; m) communicate with a child in DAISI’s program areas via digital platforms (e.g. Facebook, Twitter), via mobile technology (e.g. texting, Whatsapp, Skype, Zoom), or online without consent and knowledge of his/her parents. Further, DAISI employees or affiliates never communicate on mobile, digital or online platforms with children in ways that are inappropriate or sexual; n) stay silent, cover up, or enable any known or suspected Child Safeguard incident or breach of the related Policy by a DAISI employee or affiliate.

2.2 Disciplinary Action: Failure to follow DAISI’s Child Safeguard Behaviour Protocols, failure to follow any other part of this Policy, other inappropriate behaviour toward children, or failing to report a known or suspected Child Safeguard Responsibility incident committed by a DAISI employee or affiliate, is grounds for discipline, up to and including termination of the employment or other affiliation with DAISI.

3.0 Recruitment

3.1 Screening: DAISI takes diligent measures to screen out all people who might seek to use DAISI to harm children or whose past actions indicate an unacceptable risk of such harm. These measures include addressing Child Safeguard Responsibilities in job advertisements (when feasible), applications, interviews and references. Safeguarding screening measures are applied to staff and volunteer applicants including asking of past criminal record and previous child offence charges in all application forms, and mandating that any volunteer, DAISI member

or employee have a current National Police Certificate (NPH) and Working With Children Certificate (WWCC). All DAISI members, volunteers and employees will have a screening interview. During the interview process, applicants are asked about previous work with children. For references supplied by applicants, questions are asked regarding the suitability of the candidate to work with children or for a child-focused agency. Documentation of references, NPH and WWCC certificates are all kept on file.

3.2 Similar safeguarding screening measures are applied to individual contractors who will have access to children or to their personal data.

3.3 Note that major grant donors may have specific screening requirements for work they fund, so relevant grant terms and regulations should be checked.

3.4 Identity and Background Checks: Candidates for employment, Board/Advisory Council members, volunteers, and interns—as well as relevant personnel of contractors and partners—have an identification check and an appropriate criminal record/police background check, to the extent permitted by law, prior to employment or engagement with DAISI, and periodically thereafter as required by law or appropriate for the context. Formal Global Centre exemption approval is required for alternatives to police background checks in contexts where they are not feasible or trustworthy or lawful. People with a prior conviction for any crime against children or sexual exploitation or abuse against an adult are not hired or engaged by DAISI, to the extent permitted by applicable law, and in any case will not be placed in a position with access to children or to their personal data.

4.0 Visits to DAISI Projects

4.1 Visitors: Visitors subject to this Policy include people going to a DAISI field programme or meeting with a DAISI beneficiary child(ren). This includes sponsors, donors, and other delegations from Support Offices such as bloggers, celebrity supporters, or journalists invited by DAISI. Government officials or institutional donors (government, multilateral) based in the hosting country do NOT require Child Safeguard Responsibility clearance, but are accompanied by a DAISI employee(s).

4.2 Visit Preparation: Visits by all sponsors and private donors, and other international visitors are pre-approved by both the sending and the hosting office. Support Offices and Field Offices with National Resource Development programmes conduct police background checks on potential sponsor or donor visitors prior to any field visit, where permitted by law. Unannounced visits to sponsored children or DAISI project communities are not permitted.

4.3 Visitor Orientation to Child Safeguards: Each DAISI Entity is diligent to ensure that visitors uphold the relevant sections of this Policy. The following requirements apply to visitors who visit a project or have direct contact with community members in DAISI programming areas. a) Visitors from other DAISI offices who are employees or Board Members: The hosting office provides a brief orientation to any distinctive Child Safeguards Responsibility Behaviour Protocols that apply in that context, as well as local customs regarding adult interaction with children. b) Visitors who are not DAISI employees or Board Members: All such visitors are briefed on DAISI's Child Safeguards Responsibilities Behaviour Protocols (Section 2.1) and Prevention of Harm in Communications (Section 5.4) by the sending office prior to the visit. Upon arrival, visitors receive a brief written or oral orientation and sign acknowledgement of receipt of the protocols. The signed acknowledgement is kept on file by the hosting entity. Non-employee or Board visitors are accompanied by a DAISI employee when visiting projects.

5.0 Communications, Social Media and Digital Technology

5.1 Dignity: DAISI takes care to ensure local traditions or restrictions for reproducing personal images are adhered to before photographing or filming a subject, and DAISI ensures images are honest representations of the context and the facts. In all forms of communication, children are treated and portrayed with dignity and not as helpless victims or in sexually suggestive poses.

5.2 Consent: Children who are primary subjects of text, photo and/or video resource gathering by DAISI employees must provide informed consent. Informed consent means the subject has a general understanding of the purpose of the reporting or photography, and gives verbal or written permission thereof. If the primary subject is a child, written consent is also collected from the parent, guardian, or other legally required entity or individual. In the following situations, written consent is collected from the child (as appropriate for age): a) a child could be personally identified or b) the sensitive nature of their personal disclosure or situation could possibly cause damage to their privacy, dignity, safety or reputation, or c) where otherwise required by applicable law.

5.3 Digital Awareness: DAISI actively supports Registered Children (RCs) and their parents/caregivers—as well as any children participating in DAISI organised Information and Communication Technology (ICT) activities—to understand how to safely and appropriately utilise social media and digital technology, while avoiding risks and appropriately responding to threats or incidents.

5.4 Prevention of Harm in Communications: DAISI is committed to storytelling that raises awareness of and promotes solutions to ending violence and abuse against children. DAISI takes the following steps to prevent harm

through communications, social media and digital technology (including photographs/videos/audio clips, stories, articles, or any other communication materials):

5.4.1 Personal child and information that is captured, stored or sent through electronic, on-line or mobile devices is password protected. In addition, data is handled in accordance with DAISI's current information security standards for personal data, which may include encryption and other requirements.

5.4.2 Wherever possible, measures are taken to prevent electronic copying of photographs without DAISI permission (utilising digital water-marking and right-click disable functions in accordance with the DAISI Partnership Minimum Standards for Internet Presence).

5.4.3 Recognising the special vulnerability of children, material posted on social media or digital technology does not contain a child's family name, sponsorship ID number, or child's personal location/address.

5.4.4 Material with a child or children is not geo-tagged to precise locations if it contains any part of the child's name. An acceptable alternative is to retag photos with the child's first name only to the Area Programme or project office location.

5.4.5 DAISI discourages direct, unfacilitated, undocumented communication through social media without DAISI's knowledge between a child and any DAISI member or affiliate.

5.4.6 DAISI provides reporting and response options so that children or their caregivers can report any incident(s) where either party feels uncomfortable or threatened.

5.4.7 DAISI websites, domains and social media platform profile pages contain reporting options for child protection concerns or incidents.

5.5 Reporting Communications, Social Media and Digital Technology Policy Violations: All violations of this policy should be reported to the national Child Protection and Legal Officer (<https://daisi.com.au/contact-daisi-child-protection-and-legal-officer/>)

6.0 Child Safeguards Responsibilities, Incidents and Response Protocols

6.1 Responding to Child Safety Incidents: DAISI Entities are required to investigate and respond to reports of child abuse in DAISI programmes in ways which are consistent with local law. DAISI uses three levels of Safety protection Incidents to determine DAISI's response, which is based on the seriousness of the incident and DAISI's role.

6.2 Level 1 Child Safeguard Incidents: Abuse of or harm to a child, in a community where DAISI has programme operations and that is not committed by DAISI employees or affiliates, is a Level 1 Incident. Field offices must report Level 1 [DAISI's Child Protection and Legal Officer](#) in cases of serious harm that threaten the child victim's survival, safety or development.

6.3 Level 2 Child Safeguard Incidents: Level 2 Incidents are defined as any violation of this Policy which puts children or adult beneficiaries in direct risk of potential harm, but where no actual harm is believed to have occurred. DAISI Entities report Level 2 Incidents to [DAISI's Child Protection and Legal Officer](#).

6.4 Level 3 Child Safeguard Incidents: A Level 3 Incident is an allegation or accusation of harm or abuse to a child by a DAISI employee or affiliate. If a child is involved, two additional types of incidents qualify: death or serious injury of a child while participating in or at a DAISI activity or caused directly by a DAISI-related person, and/or a road traffic accident involving a DAISI vehicle or driver affiliated with DAISI in which a child is injured or killed. DAISI Entities report actual or alleged Level 3 Incidents to DAISI Safeguarding within 24 hours of first notice. Response is implemented by the national entity with oversight by and accountability to the DAISI [Child Protection Officer](#) and support from the Regional Safeguarding focal point.

Reporting:

6.5 All DAISI employees and affiliates are responsible and obligated to report any suspicions of child abuse (or other safeguarding concerns, including any violations of this Policy) that is connected to DAISI or its programmes. In addition, any credible concern or suspicion of sexual abuse or exploitation by a humanitarian worker outside DAISI is immediately reported. Where interagency mechanisms are established, these are utilised to report the incident, in consultation with the [DAISI Child Protection and Legal Officer](#).

6.6 Reports can be made by DAISI employees or affiliates by contacting [DAISI's Child Protection & Legal Officer](#) or any member of the DAISI Executive.

6.7 Disclosure: Whilst DAISI maintains appropriate confidentiality for individuals in Child Safeguard Incidents, DAISI may disclose information about incidents, when lawfully permitted, in order to support prosecution of suspected criminal activity, meet donor or regulatory requirements, support learning and accountability, advocate to prevent future incidents, or as required by law.

6.8 Information in ongoing investigations of Child Safeguard Incidents, and information about past incidents, is shared only with those on a 'need-to-know' basis, as deemed necessary by the national office or regional office or [DAISI Child Protection and Legal Officer](#). If it is likely that sensitive information about survivors or about violence

against children or adults will not be kept confidential, and would put people at risk if accessed by unauthorised parties, such information is not collected.

6.9 Detailed personal information, in particular health information, is not obtained or maintained by DAISI, except for the minimum necessary to ensure DAISI handles the matter appropriately. Such personal data is kept strictly confidential and protected in accordance with the applicable data protection and informational security standards.

6.10 Reporting to Authorities: DAISI Entities shall evaluate reporting Child Safeguard violations to appropriate legal authorities, assessing any legal obligations to report, as well as the interests of the survivor(s). Generally reports are made, unless a report is judged likely to cause greater harm to existing victims or potential future victims.

7.0 Programming Considerations for Child and Vulnerable Adult Safety Protection.

7.1 Child Safeguards Essentials in Programming: DAISI seeks to do no harm to children, to keep the interests of community members—especially children—at the centre of its activities, and to utilise opportunities to help children be safer within their families and communities. This includes consideration during programme design of local child protection threats and issues, and influencing local actors and groups to be safer organisations for children. In emergency programme designs, humanitarian protection threats are considered in addition to child protection threats.

7.2 Community Feedback and Complaints Mechanisms: Children, parents, and other adults are aware of established complaint mechanisms in DAISI projects and their right to be safe from abuse and exploitation in DAISI programmes. Every community-level DAISI programme: a) works with children in the community to help them recognise inappropriate conduct by DAISI employees or affiliates, and to develop safe and contextually appropriate community feedback mechanisms by which community members can report both general suggestions and any serious incidents of misconduct by DAISI employees or affiliates. b) provides information on how to report child abuse, sexual exploitation and abuse, or other breaches of Behaviour Protocols by DAISI employees or affiliates.

7.3 Institutionalisation and Adoption: DAISI does not facilitate the adoption of children or support programming within long term institutions in ways that perpetuate the institutionalisation of children.

8.0 Safe Child Participation

8.1 Prevention of Harm in Child Participation: DAISI works to empower children as citizens and participants in their own well-being, and to minimise any risk of harm or negative consequence resulting from participation in activities promoted by DAISI. Child participation programmes and activities are based on context analysis with clearly identified needs and expected results, along with how the project will measure progress towards achievement while mitigating risks through risk assessments.

8.2 Ethics: Child participation activities are designed and implemented to adhere to principles and ethics which keep the best interests of children as the top priority.

8.3 Informed Consent in Child Participation: Child participation activities are voluntary and inclusive (especially of the most vulnerable children), and both children and parents/caregivers make informed decisions regarding participation, including due consideration of the benefits and risks that could be associated with the activity.

8.4 Child Travel: When it is in the best interests of children, DAISI sometimes helps children travel to events, activities or other opportunities. In such cases the parents or caregivers, or other legally required entity or individual, give informed consent prior to the travel. The child's health, safety, well-being, and meaningful participation are the most important priorities during travel supported by DAISI. DAISI does not facilitate visits of children outside of their country to their sponsor.

9.0 Introductory and Ongoing Training

9.1 Introductory and ongoing training is provided to all DAISI staff members, employees, volunteers, project partners, and visitors. Existing staff will have annual training and refresher courses, ensuring minimum understanding and competencies are met.

DEFINITIONS:

Beneficiary: In regards to Child Safeguards Policies, DAISI uses a broad, working definition of 'beneficiary' to include not only direct beneficiaries of a particular project, but also any child or adult who might suffer harm caused by DAISI employees or affiliates as part of DAISI programme presence⁵.

Child: Any person below the age of 18. The Child Safeguards Management Policy covers interactions by DAISI employees and affiliates with all children anywhere (not only beneficiaries).

Child protection: All measures taken to prevent and respond to abuse, neglect, exploitation and all other forms of violence against children. A World Vision global sector, together with child participation.

Contractor: DAISI regularly contracts with non-employee individuals and organisations to perform services for DAISI. These non-employee individuals and organisations may also be referred to as 'independent contractors', 'consultants,' or 'vendors', and are referred to in this document as 'Contractors'. Contractors are distinguished

from organisations with which DAISI partners to carry out programme activity (including subgrantees). See Partner, below.

Partner: A partner organisation, for Child Safeguards purposes, is a Non-Governmental Organisation, Community-Based Organisation, for-profit enterprise, or other entity implementing a programme or activity on DAISI's behalf or in collaboration with DAISI, and which has a written agreement with DAISI. The partner may or may not receive funding from DAISI.

Child Safeguards: Preventing, reporting, and responding to harm or abuse of adult beneficiaries and any children or vulnerable adult by DAISI employees and affiliates.

Child Safeguard protection: Preventing, reporting, and responding to harm, abuse or exploitation of any child (< age 18) by a DAISI employee or affiliate. The Safeguarding Management Policy also requires reporting/ referring child abuse cases affecting any child in DAISI programmes, even if not committed by DAISI employees or affiliates.

Sexual Exploitation and Abuse (SEA): The term "sexual exploitation" means any 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. The term "sexual abuse" means the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions.

Prevention of Sexual Exploitation and Abuse (PSEA): A term used by the United Nations and International Non-Governmental Organisation community to refer to measures taken to protect vulnerable people from sexual exploitation and abuse by humanitarian aid workers.

Volunteer: A person who is neither employed by DAISI nor legally obliged to work for DAISI, but who on free will and without expectation of payment or other remuneration, contributes their time, skill, knowledge, efforts and expertise to DAISI's work. 'Volunteer' includes a 'business volunteer' in a DAISI office or affiliate; a 'supporter volunteer' without physical contact with sponsored children or their records; 'community volunteer' who volunteers on behalf of their community to fulfil the community's responsibilities in an ongoing DAISI project; and volunteers or 'incentive workers' from groups or communities targeted for humanitarian assistance. All categories of volunteers are subject to applicable Child Safeguard Management Policy, except community volunteers for whom the following apply:

1. The community volunteer does not have physical contact with sponsored children or their records as part of their volunteer activities; AND
2. Beyond basic training, DAISI does not specify how to complete the relevant activities; AND
3. The community does not perceive or consider this person as 'part of DAISI's work' due to their volunteer activities, and if they were to harm a child or adult, would not be expected to hold DAISI responsible.

DAISI employees and affiliates: Refers to the full range of people accountable to DAISI's Child Safeguard policies and protocols, including all employees, interns, volunteers, and Board/Advisory Council members, as well as external parties, including visitors, community volunteers, contractors, partners, and others affiliated with partners or contractors.

This policy was first created 15th November 2015 and revised on 1st July 2020.

8.9.3 Child Safety Incident Reporting Process

DAISI's policy on [Incident Reporting](#) of potential child safety issues, is presented below. This policy is robust and clear giving guidelines on the appropriate actions required of DAISI and its staff when an incident of potential concern to child safety is raised. This process most importantly involves notification of the [Child Protection Officer](#) in the first instance, and members of the DAISI Executive Board, and CEO subsequently. DAISI's Incident Reporting Policy also makes it clear when Mandatory Reporting is required to the Police, and Department of Community Services (DoCs)

PURPOSE

1. To outline the responsibilities of all DAISI staff, members and volunteers of the organisation who identify evidence of a serious incident concerning child safety.

2. To outline the responsibilities of DAISI's Child Protection Officer and the Executive Board Members Housing when they receive a report of, or identify, a serious incident of child safety breach.

SCOPE

1. This policy applies to the DAISI's Child Protection Officer, Board of Directors, and all staff, members and volunteers of DAISI.

GUIDING PRINCIPLES

1. It is DAISI's aim to apply a reliable and consistent best-practice approach to reporting and managing serious incidents of child safety concern.
2. DAISI's aim is to prevent any actual or perceived conflicts of interest through its standardised and detailed systematic approach to managing serious incidents of child safety concern.
3. It is DAISI's aim to respond to complaints of serious incidents/events efficiently in a timely and professional manner, and wherever indicated, intervening early in order to manage and reduce risk to the affected child.

POLICIES

1. DAISI aim is to self-govern in such a manner through effective internal policies and procedures subjected to rigorous monitoring and review so as to prevent serious child safety incidents from ever occurring.
2. DAISI staff will notify its Child Protection Officer of any incidents of concern to related to child safety.
3. DAISI will as part of its induction of staff, volunteers, and associates provide education on what constitutes child abuse, maltreatment or exploitation, as well as the mechanism in place to deal with such incidents.
4. DAISI will as part of its induction of staff, volunteers, and associates, provide information on the "[INCIDENT REPORTING](#)" online form on the DAISI website, which is main venue by which complaints of this nature are made.
5. DAISI will as part of its induction of staff, volunteers, and associates, provide information on the hierarchical structure within DAISI for reporting and escalating complaints, with all complaint initially referred to the [Child Protection Officer](#).
6. DAISI's [Child Protection Officer](#) will be familiar well versed with the [ACFID guidelines and policies and code of conduct](#) regarding child protection.
7. DAISI's [Child Protection Officer](#) will endeavour to respond to all reports of incidents of child safety concern within 48 hours of receipt of such notifications, with response within 24 hours where the child concerned is at a high likelihood of ongoing exposure to harm.
8. DAISI's [Child Protection Officer](#) will brief DAISI's Chair within one week of any reported incident of child safety concern, who in turn will notify all members of DAISI's executive board and the CEO of DAISI at the quarterly Board Meetings.
9. DAISI's [Child Protection Officer](#), Chair, and all of DAISI's Board Members will be familiar with mandatory notification laws within Australia, particularly the mandatory notification of the Australian Police if an alleged criminal offence is conducted by an Australian citizen, or an offence is committed against an Australian Citizen.
10. DAISI's [Child Protection Officer](#), Chair, and all of DAISI's Board Members will be familiar with mandatory notification laws within Australia, particularly the mandatory notification the Child Protection Service division of the Department of Community Services (DOCs) if an alleged offence is committed against a child of Australian Citizenship.
11. DAISI's [Child Protection Officer](#), Chair, and all of DAISI's Board Members will be familiar with DAISI's mandatory notification laws of reporting all potentially criminal activity to the local police authority in the country in which the alleged offence took place.
12. DAISI's [Child Protection Officer](#), Chair, and all of DAISI's Board Members will be familiar with DAISI's mandatory notification laws of reporting all potentially criminal activity and incidents of child safety concern to the Department of Foreign Affairs (DFAT), whilst DAISI is a recipient of DFAT funding.
13. DAISI's [Child Protection Officer](#), Chair, and all of DAISI's Board Members will be familiar with DAISI's policy of risk minimisation, whereby if the allegations in the incident reporting are sufficiently serious or likely to be based on fact and not hearsay, that the involved person should be stood down from their position within DAISI until the matter is fully investigated.
14. DAISI's [Child Protection Officer](#), will be familiar with Australia's Prosecution and Extradition laws when it comes to convicting Australian Citizens who commit child abuse in foreign countries.

This policy was first created 15th November 2015 and revised on 1st July 2020

reporting



9.1 Complaints

This policy outlines who can make a complaint and DAISI's approach to handling complaints. This policy also including processes to respond to complaints, and protecting those who report wrongdoing

POLICIES

WHY WE ARE INTERESTED IN YOUR COMPLAINT ?

1. Complaints assist us in identifying and responding to fraudulent, illegal or unethical conduct (including any sexual exploitation) in any of the environments we work. In this was DAISI is able to improve its operations. DAISI also has legal and regulatory obligations to listen to and act on complaints.

WHO CAN MADE A COMPLAINT?

2. Anyone can make a complaint or express a concern.
3. DAISI is committed to receiving complaints or concerns from anyone, especially those most vulnerable.
4. Complaints can be made by anyone. This includes individuals or organisations in relation to any aspects of DAISI's work
5. This includes its operations here in Australia, as well as its international development work, and humanitarian responses.

WHO CAN COMPLAINTS BE MADE AGAINST

6. Complaints can be made against
 - People inside DAISI (Executive, Directors, Members and Volunteers)
 - People outside the DAISI (including stakeholders, recipients, and partners).
 - And anyone else not listed above who wishes to make a complaint or report

WHO CAN COMPLAINTS BE MADE TO?

7. Complaints can be made to any DAISI employee, member, volunteer or partner can make a complaint to any DAISI employee. They may consult with their direct manager or may contact the Complaints Focal Person directly to get advice on the next steps. However, all sensitive or whistle blower complaints (including child protection, sexual exploitation, abuse or harassment or fraud) must be reported via staff@daisi.com.au.
8. If you are a staff member and have a complaint about employment issues, you should first speak with your manager. If you feel your complaint is not being heard, it is appropriate to escalate it in line with this policy.

WHAT PROTECTION WILL I RECEIVE IF I MAKE A COMPLAINT?

Maintaining confidentiality

9. If you feel afraid to speak up, there are things we can do to help protect you.
10. We know people may feel safer to report a complaint if they know it will be treated confidentially. This means your identity (your name and other details) will not be shared, where possible and appropriate. Confidentiality means we share with the minimum number of people, and only with people who need to know. Exceptions to this, include mandatory reporting obligations, where police must be notified, and specifics of the complainant obtained.
11. Whilst it is our aim always to protect your confidentiality, freedom of information laws in Australia sometimes allow court injunctions to forcibly obtain information against our will.

Providing a dignity and ease of access during the complaints process

12. We endeavour to ensure that our complaints process is safe, and easily publicly accessible.
13. We will ensure during the complaints process that you are managed in a safe and dignified manner. We will ensure that we can be contacted in multiple ways, and in a manner that does not unnecessarily inconvenience you. Examples include telephone, email, teleconference (e.g. ZOOM) and by mail. We work

with our in-country employees and program partners to develop ways to make complaints that are safe, easily accessible, while being mindful of local contexts, culture and language.

Protecting the vulnerable

14. We are aware of needs of those who are vulnerable or may be victims/survivors of harm, and the potential effects that complaints may have on them. . We will provide you with information about how we handle complaints. We will: treat you with dignity and respect; actively involve you in decision making whilst aiming to protect privacy and confidentiality, and where we cant assist you, provide access other support services that may be required. We will take all reasonable steps to make sure that people making complaints, particularly if vulnerable persons, are not negatively affected because a complaint has been made by them. In the case of someone making a complaint on your behalf (for example, a family member speaking up instead of you), we will do our best to ensure that you, and that person, are not affected

Complete Impartiality

15. Each complaint will be handled with in a fair and non biased manner. This means that all parties, including the respondent, are treated in a fair and dignified way.
16. We will ensure that the person handling a complaint is different from any employee who is being complained about to avoid any bias or conflict of interest.

Timely response

17. DAISI aims to act in a timely manner to your complaint to provide a fair and considered response that is sensitive to the needs of those involved. An initial response should be received in 2 days. We will respond to complaints according to how urgent or serious they are. If somebody's safety or security is at risk, we will respond immediately and will escalate appropriately. In most cases if an investigation is undertaken we will attempt to contact you with an outcome within 30 days.

TYPES OF COMPLAINTS

18. Not all complaints are of the same nature or level of seriousness, and management of complaints will depend on its nature. There are broadly three categories of complaints:
19. A complaint from anyone who has observed, heard about or been directly affected by the actions of DAISI or our partners, or who believes that DAISI or its partners have failed to meet a specific commitment or obligation

General Complaints

20. Examples of General complaints includes but is not limited to:

- Conflict of Interest issues
- Employment issues including complaints or concerns about:
- Funding and program decisions
- Fundraising and Supporter Services
- Program implementation
- Safety or security within the work environment
- Unethical behaviour associated with organisation changes
- Unfair or unjust employment conditions

Sensitive complaints

21. Complaint that needs to be treated urgently and confidentially by senior employees within the organisation. A sensitive complaint can be made by anyone who has observed, heard about or been directly affected by the actions of DAISI or its program partners. Sensitive complaints may include bullying and harassment between employees, or unlawful discrimination.

22. Examples of Sensitive complaints includes but is not limited to:

1. Abuse
2. Bullying, harassment or discrimination between personnel
3. Corruption
4. Discrimination

5. Exploitation
6. Fraud
7. Harassment
8. Misuse of funds
9. Misconduct negligence
10. Theft

Whistle blowing complaints

23. Whistle blower complaints are complaints made by DAISI by its own member or volunteers or partners about wrongdoing such as fraud, corruption, abuse, misuse of resources, risk to health and safety etc. This may also be considered a sensitive complaint. DAISI has a separate policy on Whistleblowing.

Anonymous complaints

- 24.** Anonymous complaints are where the complainant does not reveal their identity, or if their identity is revealed, it is on the understanding that their identity will be kept confidential.
- 25.** We will investigate all anonymous complaints. While we may not be able to respond directly to the complainant, we may be able to use the complaint to alert us to matters that need to be investigated and/or referred to authorities.
- 26.** Where practical and appropriate, we will protect the identity of complainants. Personal information that identifies individuals will only be disclosed when required by law. When required for purposes of the investigation or other related purposes, all reasonable efforts will be taken to de-identify information that is not required for the purpose of the disclosure. In some instances, it may not be possible for an investigation to progress if the existence of the report cannot be disclosed and a statement by the individual cannot be provided as evidence.
- 27.** We understand that some complaints need to be kept confidential in order to protect those making or involved in the complaint. However, in some instances we might judge that the reporter will be better served if others are involved in the resolution of a complaint.
- 28.** Third parties will only be included in the resolution of confidential complaints on a case-by-case basis and with the agreement of the complainant.
- 29.** We will reduce the risk that a complainant will be identified by, for example, redacting records or de-identifying information about them, using gender-neutral language.
- 30.** Despite our best intentions to keep complainants confidentiality, Australia's freedom of information laws may require DAISI to release information if this is decided in a court of law.

HOW TO MAKE A COMPLAINT?

30. We recommend making all complaints directly to the DAISI CEO. This can be done by email (staff@daisi.com.au) or by phone (612 478 067 159), or by post (DAISI, PO Box 679, Crows News, NSW, 1585) or in person at our head office (Shop 1, 38 Pacific Hwy, St Leonards, NSW, 2065). Depending on the nature of your complaint it may also be allocated to a complaints focal person to deal (see below):

- [Environment Protection Officer Ms Lyndall Dalley](#)
- [Child & Vulnerable Adult Protection Officer Ms Nili Hali](#)
- [Gender Protection Officer Ms Vasu Santhanam](#)
- [Disability Support Officer Ms Erina Yip.](#)

31. Alternately you can complete an online Whistle blower Incident Reporting Form, which will be passed onto the relevant Focal Point Protection Officer.

- [Environmental Protection Incident Reporting Form](#)
- [Sexual Exploitation Incident Reporting Form](#)
- [Gender Inequality Incident Reporting Form](#)
- [Vulnerable Adult Incident Reporting Form](#)

- [Child at Risk Incident Reporting Form](#)
- [Fraud or Terrorism Reporting Form](#)
- [Whistleblowing Hotline Reporting Form](#)

CAN I APPEAL A DECISION?

32. We want you to make sure the complaint is satisfactorily resolved. We encourage you to ask for clarification or feedback during the process. If, after having the opportunity for feedback, you do not feel satisfied with the outcome, you can submit a formal appeal via staff@daisi.com.au or call us on 0478 067 159 and your appeal will be considered by the DAISI Executive Committee and Board. You will be contacted by a representative of DAISI with updates and ultimately the outcome of the appeal.

PROCESS FOR REVIEWING AND ANALYSING EVERY COMPLAINT.

33. Any DAISI staff member, volunteer, or partner who received a complaint should document the following

34. Name and contact details of the person making the complaint

35. Details of the complaint or concern including date, location and people involved.

36. Whether there is anyone in danger

37. Your name and date you received the complaint.

WHAT TO ADVISE COMPLAINANT

38. The complainant is to be advised that someone from DAISI will be in contact with them

39. All complaints of a general nature will be passed on to the CEO

40. If the complaint relates to child protection, vulnerable adults, gender inequality or environment protection that their complaint will be referred to the complaints focal point.

41. All complaints can also be received in writing to staff@daisi.com.au

THE CEO OR COMPLAINTS FOCAL POINT RESPONSE

42. The CEO (for all general complaints) or Focal Point (for complaints relating to child protection, vulnerable adults, gender inequality or environment protection) will be in contact with the Complainant within two working days.

43. The CEO or Focal Point will confirm with the complainant the accuracy of the details received and advise support options

ASSESSMENT OF THE COMPLAINT

44. The CEO or Focal point will determine if there is a requirement for any of the following

45. more information

46. mandatory reporting to external agency (eg. Criminal or child safety offence)

47. involvement by DAISI, or referral on (if DAISI not directly involved)..

INITIAL REPORTING TO THE COMPLAINANT

48. The complainant will be advised of

49. the initial outcome of the assessment

50. whether it warrants further investigation and if so who will contact them and when.

RECORDING OF ASSESSMENT PROCESS

51. The above steps must be recorded in the complaints register and not discarded (particularly any complaint alleging misconduct). On occasions it is necessary to de-identify complaints at the request of the complainant or survivor.

CONDUCTING AN INVESTIGATION

52. If the initial assessment process determines that investigation is warranted, this will be discussed at the Board/Executive Committee level and the following determined:

53. Terms of reference for investigation

54. Members of the investigation Committee (ensuring no conflicts of interest)

55. Appoint lead investigator

56. Begin investigative process.

OUTCOME OF INVESTIGATION

57. The lead investigator will present the report to the investigating committee

58. The investigating committee will determine an appropriate outcome and action plan

59. This is fed back to the CEO or Focal Point

NOTIFICATION OF OUTCOME TO THE COMPLAINANT

60. The complainant is notified in a timely manner (usually within 30 days of making the complaint) of the outcome and recommended action plan

61. The complainant is notified that the matter is closed.

62. The complainant is notified that if they are unsatisfied, appeals can be made to the CEO or a complaint made to ACFID.

NOTIFICATION OF OUTCOME TO AUTHORITY OR REGULATORY BOARD

63. In the case of mandatory reporting, the outcome of the investigation will be fed back to the relevant authority or regulatory board.

REVIEW THE PROCESS.

64. A report to the Board/Executive should be prepared by the CEO detailing

65. lessons learnt

66. recommendations

67. changes in policy required

Definition of Mandatory reporting: Mandatory reporting is the obligation of certain professional groups and community members to report incidents of abuse. At DAISI it is mandatory to report any concerns, suspicions or alleged incidents of child abuse or exploitation and/or any sexual exploitation, abuse or harassment in line with our PSEAH and Child It is also mandatory to report fraud. or complaints with criminal aspects (including alleged incidents of fraud, sexual exploitation, abuse and harassment). We will consider whether it is safe to do so, and take into consideration the wishes of the victims/survivors and whistle blowers.

COMPLAINT PROCESS GUIDELINES

To be followed by any DAISI member who receives a complaint

Member receiving complaint checklist

Questions for complainant

- ☐ Name
- ☐ Contact details
- ☐ Details of complaint
- ☐ Date & time of event
- ☐ Witness details
- ☐ Does the complaint involve:
 - ☐ a child (< 18years)?
 - > Child Protection Officer notified
 - ☐ vulnerable adult exploitation
 - > vulnerable adult protection officer notified
 - ☐ a person with a disability
 - > disability support officer notified
 - ☐ the environment
 - > environment protection officer notified

Advice for complainant

- ☐ Someone from DAISI will be in contact
- ☐ Complaint will be referred to the CEO or relevant protection officer (if related to child, disability, environment or vulnerable adult)
- ☐ We can be contacted by our email :staff@daisi.com.au

CEO or relevant Protection Officer checklist:

Acknowledge the complaint

- ☐ within 2 working days
- ☐ Contact all details are accurate
- ☐ Advise of support options

Assess the complaint

- ☐ is more information required?
- ☐ does it require mandatory reporting to police or other external body? (e.g. criminal or child safety issue)
- ☐ is an investigation required?
- ☐ does the complaint involve DAISI, if not should it be referred on?

Advice for complainant

- ☐ the outcome of the assessment
- ☐ Whether or not the complaint will be investigated
- ☐ Who will be in contact with them

Record details in complaints register

- ☐ the details of the complaint and complaint process must be recorded as a permanent record.

After the Investigation

- ☐ PI provides report to IC to determine outcome & Action Plan (AP)
- ☐ IC hands over AP to relevant person

CEO or relevant Protection Officer will

Advise complainant

- ☐ outcome of complaint outcome (if this can be shared)
- ☐ That the matter is closed
- ☐ If not satisfied can make an appeal to CEO or complaint to ACFID`

Organise the Investigation

- ☐ establish the terms or reference
- ☐ appoint Investigating Committee (IC)
- ☐ appoint a Principle Investigator (PI)

Review and prepare report

- ☐ lessons learnt
- ☐ updates to policy or procedures
- ☐ recommendations

This policy was first created 15th November 2015 and revised on 1st July 2020 and again revised on 26th Sep 2021.

9.2 Development versus Non-Development activity

DAISI's development activities are strategically focussed on the improvement of health care in the South-Pacific. DAISI is committed to ensuring that funds (including Department of Foreign Affairs & Trade (DFAT) funds and other programme resources) are used only for the purpose of development and not allocated for the purpose of religious, political or welfare activities. DAISI is also committed to the truthful portrayal in all of its communication of what donated money is spent on development versus no development projects.

BACKGROUND/PURPOSE

DAISI recognises that lasting change is best met through long term integrated and sustainable development programs.

All DAISI development funds raised are therefore used in the delivery of development programs in the South Pacific aimed at improving health care services.

DAISI's programs may include the donation of medical supplies and surgical equipment. This occurs within a broader health care development program in the South Pacific, with these supplies and equipment necessary to implement these programmes, and therefore such donations of supplies and equipment should not be viewed as 'welfare', or "charitable donations", but rather part and parcel of DAISI's development program.

POLICIES

1. Development activities are those undertaken in order to reduce poverty (including inaccessible health care services) and address global justice issues via direct engagement through community projects, emergency management, community education, advocacy, volunteer sending, provision of technical and professional services and resources, environmental protection and restoration, and promotion and protection of human rights.
2. Non-development activities include those undertaken for the purpose of religious witness, welfare objectives or partisan political objectives.
3. DAISI complies with the Australian Taxation Office (ATO) guidelines in relation to the claiming of deductibles, fundraising guidelines and donors obligations regarding acceptance and non-acceptable of funds.
4. DAISI complies with the Department of Foreign Affairs & Trade (DFAT) guidelines in relation to the claiming of [Recognised Development Expenditure \(RDE\) calculations](#) & deductibles.
5. DAISI works in partnership with many organisations including welfare and faith based organisations, government and non-government organisations in the delivery of its services.
6. DAISI will not use donated money to financially support the delivery of political, religious or welfare activities, either directly or via its partners.
7. DAISI staff must perform a partner capacity assessment prior to entering into a Memorandum of Understanding with any partner in the South Pacific and complete the relevant section to confirm that the partner does not use donated money intended for development projects for the use in evangelistic and/or political activities.
8. DAISI must be clear in its reporting obligations and communication separating development from non-development activities. Any money spent on welfare, religious or political activities, represents non-development activities, and should be clearly states as such in all reports and communications. .
9. Monitoring processes for South-Pacific development projects must include an assessment to ensure that no DAISI development resources have been used, or are planned to be used, for welfare, political or religious activities.

10. If reports that DAISI development funds are being utilised for welfare, political or religious activities by partner organisations then DAISI management must immediately investigate allegations and act, if necessary, to suspend the partnership.
11. DAISI is committed to the all reporting data being disaggregated by gender to help identify gender inequality and respond accordingly.

This policy was first created 15th November 2015 and revised on 1st July 2020

9.3 Self-improvement

DAISI is committed to self improvement and quality assurance. To this end, DAISI adopts ACFID's PEML guidance tool when it comes to appraisal of its projects and activities. The four tenants of this appraisal tool are: Planning, Evaluation Monitoring and Learning. DAISI's policies on self improvement and quality assurance are listed below.

POLICIES

1. DAISI members and volunteers must commit to monitoring, auditing and reporting the outcomes of all activities they engage in.
2. How this information will be collected and by whom and the processes should be adequately resourced with time, people and funds.
3. All volunteer trips to the South Pacific must be well planned, with clear written objectives agreed between members and partners/stakeholders and measurable outcome factors.
4. All members and volunteers must Evaluate and Monitor the efficacy of projects conducted, against the measurable outcome factors identified prior to the trip
5. Team leaders of DAISI volunteer trips to the South Pacific must ensure that all volunteers attend briefing sessions prior to trips and debriefing sessions after their volunteer trip, and completion of feedback forms by all volunteers.
6. Scheduled reporting from Members and Volunteers should be provided within 30 days of completing a trip to the South Pacific and should include the following:
 1. clear statement and aims and goals of the trip with measurable outcome factors.
 2. detailed documentation of activities performed (for surgical trips this would include a comprehensive de-identified log book of cases seen, operated on with gender of cases identified).
 3. Objective measurable outcome factors (for surgical trips this would include morbidity and mortality data).
 4. Outcome of briefing and debriefing sessions, and level of volunteer and partner involvement in these sessions, including gender breakdown.
 5. Where aims and goals and measurable outcome factors were met and where they were not
 6. Consideration to lessons learnt, and areas for improvement.
7. Scheduled field visits with associated report templates by senior DAISI members;
8. Minutes for Board meeting must include review of reporting and evaluation methods.
9. Members must reflect on results and lessons in order to inform and improve practice.
10. The Annual Report must include reporting of outcome factors in a truthful and transparent manner
11. This reporting should be publicly available for the perusal of all members and stakeholders – primary stakeholders, partners and donors.

This policy was first created 15th November 2015 and revised on 1st July 2020

9.4. Transparency and Open Disclosure

DAISI is an organisation which relies upon the trust of its stakeholder. By holding ourselves 'accountable', we demonstrate that we are worthy of this trust. Our Core Values require us to be open and factual in assessing our work and in our dealings with all of our stakeholders. DAISI's Transparency and Open Disclosure Policy is as stated below.

POLICY

1. DAISI is committed to sharing information about our activities and operations openly unless there are compelling reasons for withholding it. By adopting this approach, we enable our stakeholders to assess how we have made decisions; how we have managed our finances; and, how effective our programmes have been.
2. DAISI is committed to open and factual sharing of information, which includes the publishing of all necessary and pertinent information about its activities, including an Annual Review and Financial reports on compliance with various 'accountability and reporting' frameworks that include information about our governance and decision-making processes, strategies, policies, programmes, and finances.
3. DAISI is committed to sharing information openly, however, there are legal, operational and practical considerations that need to be taken into account, balancing our commitment to accountability and transparency with our obligations to other stakeholders, including our staff, sponsors, donors, our partners, and particularly the children and communities with whom we work [Appendix 1 below]
4. If the information sought from is not readily available in DAISI publications or on the DAISI website, then DAISI is committed to replying to your requests and providing the necessary information you require in a timely manner. If the information requested is not available or a request is denied, it must only be with good reason, and we will always endeavour to explain why.
5. DAISI will not disclose the following information to the public in certain circumstances as stated below:
Private: Information which by its nature is private to the individuals concerned.
 - Private information may include personal information held by DAISI (such as name, address, passport number (or equivalent), financial information or health status) about any persons, whether employees, volunteers, sponsors, sponsored children or families, any other individuals.
 - Confidential: Information may be confidential for legal, commercial or contractual reasons. It includes information received from or sent to third parties under an expectation of confidentiality and commercially sensitive information (such as matters under negotiation or in dispute or detailed fundraising plans and strategies).
 - Relevant to safety and security: Information that, if disclosed could endanger the safety and security of any individual or jeopardize DAISI's ability to operate in a particular country or location.
 - Legal Advice including internal communications, processes and administrative details: To protect the integrity of our business processes it is essential to encourage the free flow of ideas and information internally. Unless intended for public circulation, we will not disclose: internal communications or documents (such as emails, working papers or drafts); documents relating to internal investigations, audits and review findings (such as office capability assessments) which are aimed at improving the performance of the organisation; information relating to internal DAISI administration or operating systems which have no direct effect outside the organisation.
 - Stewardship: As good stewards, we need to manage the resources required to respond to requests for information. We may decline to respond to requests where substantial information is already available and provision of additional information would take up significant staff time. Where we

consider that the cost of disclosure, whether as a time cost or a monetary cost, would be disproportionate to the request, we may decline disclosure but will explain that this is the reason.

- Bona fide requests: DAISI will only reply to bona fide requests, requiring that the individual or organisation provide verifiable contact details.
- Vexatious requests: Where in our opinion a person is making frivolous, excessive or abusive requests for information, we may consider that the request is vexatious, and decide not to respond.

This policy was first created 15th November 2015 and revised on 1st July 2020

9.5 Whistleblowing

All staff, volunteers, contractors and partners who are aware of possible wrongdoing have a responsibility to disclose that information

Complaints of a serious nature including those related to fraud, theft, corruption, sexual misconduct or criminal behaviour can be made via the whistle-blowing Hotline reporting form found on DAISI's website.

DEFINITION

a Whistleblower is a member of staff, volunteer, contractor or partner who reports suspect wrongdoing, including suspicion of fraud, misuse of resources, neglect of duties or a risk to health and safety.

POLICIES

-
1. All DAISI staff, members, volunteers, and partners should be made aware of the whistleblowing hotline for reporting complaints of a serious nature related to fraud, theft, corruption, sexual misconduct, or criminal behaviour.
 2. DAISI will guarantee that staff and volunteers who in good faith disclose perceived wrongdoing via the whistleblowing hotline will be protected from adverse employment consequences.
 3. DAISI must guarantee the establishment of a fair and impartial investigative process in response to all whistleblowing complaints.
 4. DAISI's Chair and CEO must be made aware of any whistleblowing complaint within 48 hours.
 5. Whistleblowing complaints must be discussed at the Board/Executive Officer level with Quorum attendance within 30 days of the complaint being made, with a reply given to the complainant within 30 days.
 6. Whistleblowing complaints that are of a criminal nature occurring outside Australia must be reported to the Australian Federal Police.
 7. Whistleblowing complaints that are of a criminal nature occurring inside Australia must be reported to the Australian Police in the state or territory where the alleged offence took place.
 8. Whistleblowing complaints that are of a criminal nature or that represent potential professional misconduct or that invoke mandatory reporting laws, must be made to the relevant regulatory body, college or society.
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This policy was first created 15th November 2015 and revised on 26th September 2021

transparency



9.4 Transparency

DAISI is an organisation which relies upon the trust of its stakeholder. By holding ourselves ‘accountable’, we demonstrate that we are worthy of this trust. Our Core Values require us to be open and factual in assessing our work and in our dealings with all of our stakeholders. DAISI’s Transparency and Open Disclosure Policy is as stated below.

POLICIES

1. DAISI is committed to sharing information about our activities and operations openly unless there are compelling reasons for withholding it. By adopting this approach, we enable our stakeholders to assess how we have made decisions; how we have managed our finances; and, how effective our programmes have been.
2. DAISI is committed to open and factual sharing of information, which includes the publishing of all necessary and pertinent information about its activities, including an Annual Review and Financial reports on compliance with various ‘accountability and reporting’ frameworks that include information about our governance and decision-making processes, strategies, policies, programmes, and finances.
3. DAISI is committed to sharing information openly, however, there are legal, operational and practical considerations that need to be taken into account, balancing our commitment to accountability and transparency with our obligations to other stakeholders, including our staff, sponsors, donors, our partners, and particularly the children and communities with whom we work [Appendix 1 below]
4. If the information sought from is not readily available in DAISI publications or on the DAISI website, then DAISI is committed to replying to your requests and providing the necessary information you require in a timely manner. If the information requested is not available or a request is denied, it must only be with good reason, and we will always endeavour to explain why.
5. DAISI will not disclose the following information to the public in certain circumstances as stated below:
 - 5.1 Private: Information which by its nature is private to the individuals concerned. Private information may include personal information held by DAISI (such as name, address, passport number (or equivalent), financial information or health status) about any persons, whether employees, volunteers, sponsors, sponsored children or families, any other individuals.
 - 5.2 Confidential: Information may be confidential for legal, commercial or contractual reasons. It includes information received from or sent to third parties under an expectation of confidentiality and commercially sensitive information (such as matters under negotiation or in dispute or detailed fundraising plans and strategies).
 - 5.3 Relevant to safety and security: Information that, if disclosed could endanger the safety and security of any individual or jeopardize DAISI’s ability to operate in a particular country or location.
 - 5.4 Legal Advice including internal communications, processes and administrative details: To protect the integrity of our business processes it is essential to encourage the free flow of ideas and information internally. Unless intended for public circulation, we will not disclose: internal communications or documents (such as emails, working papers or drafts); documents relating to internal investigations, audits and review findings (such as office capability assessments) which are aimed at improving the performance of the organisation; information relating to internal DAISI administration or operating systems which have no direct effect outside the organisation.
 - 5.6 Stewardship: As good stewards, we need to manage the resources required to respond to requests for information. We may decline to respond to requests where substantial information is already available and provision of additional information would take up significant staff time. Where we consider that the cost of disclosure, whether as a time cost or a monetary cost, would be disproportionate to the request, we may decline disclosure but will explain that this is the reason.
 - 5.7 Bona fide requests: DAISI will only reply to bona fide requests, requiring that the individual or organisation provide verifiable contact details.
 - 5.8 Vexatious requests: Where in our opinion a person is making frivolous, excessive or abusive requests for information, we may consider that the request is vexatious, and decide not to respond.

risk management



10.1 Risk Management

The purpose of risk management is the creation and protection of value. It improves organisational performance, encourages innovation and supports the achievement of the objectives of DAISI. This policy sets out DAISI's approach to Risk Management.

SCOPE

Risk Management is the responsibility of all those who participate in the work of DAISI. This includes Board Members, Office Bearers, staff, members and volunteers.

As a condition of organisational partnership, DAISI also expects appropriate risk management is undertaken by those partner organisations who work in partnership with DAISI.

POLICIES

1. DAISI is committed to continually developing and maintaining organisational culture and practices that optimise the ability of members, volunteers, staff, management, partner organisations and Board Members to pursue the Mission/Vision and achieve organisational objectives, while ensuring the appropriate identification, assessment, monitoring and management of risk.
2. DAISI integrates [risk likelihood matrix](#) consideration of risk in planning and decision-making processes by senior management and the Board.
3. DAISI's Risk Management Policy aims to reduce and manage risks faced by the organisation. The principles of the policy are as follows:
 1. Integrated – risk management is an integral part of all organisational activities at all levels within the organisation, both operational and strategic;
 2. Structured and comprehensive – the process of risk management is consistent across the organisation to ensure efficiency, consistency and reliability of results;
 3. Customised – Risk management activities are able to be customised and proportionate to the level of risk faced by the organisation;
 4. Inclusive – Engaging partners and stakeholders in risk management processes recognises that communication and consultation are key to managing risk;
 5. Dynamic – Risk management activities need to be iterative and responsive to emerging and changing risks;
 6. Best available information – to effectively manage risk it is important to understand and consider all available information relevant to an activity and to be aware that there may be limitations on the information.
 7. Human and cultural factors – risk management needs to recognise the contribution that people and culture have on achieving the organisations objectives
 8. Continual improvement – Risk management is continually improved through learning and experience

Risk Management Framework

9. The purpose of the risk management framework is to assist with integrating risk management into all activities and functions. Our risk management framework is centred on leadership and commitment. Senior management are accountable for managing risk. DAISI's Board is accountable for overseeing risk Management and establishes the amount and type of risk that may or may not be taken (risk appetite) (specific roles and responsibilities are articulated further below):

1. Integration – As articulated in our policy principles, risk management is part of, and not separate from, all aspects of the organisation;
2. Design – Risk management needs to be aligned with the strategy, objectives and culture of the organisation. The internal and external context of the organisation needs to be understood and considered. Communication and consultation arrangements need to be established;
3. Implementation – The risk management process defines the appropriate implementation plan including accountability and deadlines as well as identifies where, when and how different types of decisions are made, and by whom;
4. Evaluation – As articulated in our policy principles, risk management is an iterative process. As part of this process, we should continually evaluate the effectiveness of existing controls and processes and introduce improvements where necessary;

5. Improvement – As articulated in our policy principles, we need to continually monitor and adapt our risk management framework and associated processes to address internal and external changes, and ultimately improve the value of risk management.

Roles and Responsibilities

10. All DAISI directors, office bearers, staff, members & volunteers have a responsibility to be mindful of risk and to ensure appropriate steps and measures are taken to identify, analyse and manage risk in the course of their work.

11. DAISI's Board must:

1. Oversee the Risk Management Policy and Processes ensuring that management is taking appropriate measures to manage risk in the organisation;
2. Set the organisational culture and values toward risk management;
3. Set the risk appetite of the organisation ensuring it aligns with the strategic objectives and aims;
4. Regularly review and provide feedback on the organisational risk assessments and risk register;

12. Senior management including the Board Directors, Office Bearers, General Manager & CEO will:

1. Monitor and ensure compliance with this policy and related processes;
2. Arrange regular risk management training and development;
3. Ensure risk management is integrated into all organisational activities that they are responsible for – it is not a stand-alone process;
4. Continually monitor and assess risk in their areas of responsibility;
5. In our country office, ensure adequate risk management assessments are undertaken as part of the partner due diligence and capacity assessments;
6. In our South-Pacific Island Country Projects, ensure adequate risk management assessments are undertaken for each project and an adequate risk management plan is put in place to mitigate such risks;
7. In our South-Pacific Island Country Projects, ensure partner organisations have adequate risk management processes in place and provide training, support and guidance where necessary

13. Partners must:

1. Comply with all obligations as defined in their agreements with DAISI including those pertaining to risk management;
2. Provide or develop risk management policies and procedures with assistance from DAISI where required;
3. Ensure regular training is undertaken with staff for risk management.

14. The Chief Executive Officer (CEO) (with the assistance of the Treasurer and Secretary):

1. Is responsible for the interpretation, administration, application and revision of this Policy and processes;
2. Is responsible for the consolidated reporting of organisational risk assessments and mitigation strategies to the Audit, Risk and Governance Committee and Board.

Definitions

Risk is the effect of uncertainty on objectives. Risks includes events that cause damage or are negative in impact as well as events which prevent realising positive opportunities or benefits.

Risk Management Processes are the systematic application of management policies, procedures and practices to the activities of communicating, consulting, establishing the context, and identifying, analysing, evaluating, treating, documenting, monitoring and reviewing risk.

Risk Assessment is the process of identifying, analysing, quantifying and documenting risk.

Risk Register refers to the document that records risks and assigns responsibility for their controls and treatments.

Inherent Risk Rating is the risk rating before the impact of any control or treatment.

Residual Risk Rating is the risk rating after the impact of any control or treatment.

Risk Control Current Processes are the procedures, actions or other measures that are taken to reduce the likelihood of a risk occurring or minimise the impact if the risk were to occur. A control is something that is currently in use, as opposed to a treatment, which is a control not yet implemented.

Likelihood is the chance of a risk happening

Consequence is the outcome or impact of a risk happening. The risk can affect DAISI's reputation and objectives, its stakeholders or the wider community.

Risk Rating is the rating (or level) of a risk derived from the combination of consequences and their likelihood.

Risk Matrix is the criteria against which the level of risk is evaluated, taking account of likelihood and consequence. DAISI has a specific risk matrix for rating risks.

Risk Treatment is strategy or the process or procedure that aims to reduce the likelihood, share or mitigate the impact of risk. A risk treatment is something being proposed or planned.

Risk Appetite is the amount and type of risk that an organisation is willing to bear to achieve its objectives either before or after treatment.

Risk Owner is a named person/entity with accountability or authority to manage a risk.

This policy was first created 15th November 2015 and revised on 1st July 2020

10.2 Anti-Corruption

The misappropriation of resources or misuse of power compromises our values and our accountability to all stakeholders. Suggestions that DAISI is linked to corruption can be damaging to reputation – undermining the morale of staff and the trust and support of beneficiaries, partners, the wider public and donors. DAISI is keen to know any suggestion of corruption or fraud through its confidential [corruption and fraud incident reporting form](#). Corruption also poses legal risks both for the organisation and individuals involved. We must act, and be seen to act, in a way that is honest and transparent. This policy exists to reinforce DAISI's commitment to an organizational culture in which corruption is unacceptable.

POLICIES

2. Corruption on the part of any DAISI employee, board member, officer bearer or volunteer (collectively "DAISI Persons") or any third party (consultant, vendor, partners, etc.) in their engagement with DAISI entities, is prohibited.
3. No DAISI Person, or any third party acting on behalf of DAISI or dealing with DAISI, shall offer to pay a bribe, or pay a bribe, nor shall they solicit the payment of a bribe, or accept a bribe in conjunction with any aspect of DAISI's activities.
4. Payments otherwise prohibited should be considered only if there is immediate threat to personal safety in which case the payment must be immediately reported to management and clearly identified in the accounting records as such.
5. All DAISI entities will perform a corruption risk assessment to inform the development of a corruption aware workforce and foster an organizational culture in which corruption is never acceptable.
6. All DAISI entities will ensure employees, board members, office bearers, volunteers, and third parties that engage with DAISI are made aware of its Anti-corruption Policy.
7. All DAISI entities will implement a "whistle blower" policy and procedures to provide employees, board members, officer bearers, volunteers, and third parties with a mechanism to report evidence of misconduct, including corruption, and to encourage such reporting.
8. All DAISI entities will develop a corruption response plan documenting how incidents will be investigated, reported and closed.
9. Employees of DAISI who commit a corrupt act, fail to report knowledge of corruption or fail to manage the risk of corruption will be subject to disciplinary action up to and including termination of employment. Members of Boards and Office Bearers who fail to comply with this policy are subject to removal. Third parties who fail to comply with this policy will have their agreements and/or contracts with DAISI terminated. DAISI may also seek restitution or prosecution or other legal remedies.
10. DAISI entities will immediately report all instances of suspected and actual corruption to the local governing board, where one exists (except in cases where the allegation is directed at that body), which is responsible and accountable for ensuring the incident is investigated appropriately. Also, all incidents of suspected and actual corruption will immediately be reported to the DAISI Chief Executive Officer (CEO) or Chairperson or his designee, who shall assess what other DAISI groups and or parties (e.g., funding entities) should be notified. The Board delegates to the Chairperson the responsibility and authority to develop Partnership management policies as necessary to ensure the effective implementation of this policy.

This policy was first created 15th November 2015 and revised on 1st July 2020

10.3 Audit and Risk Committee

DAISI's Audit & Risk Committee is responsible for statutory compliance, accounting, risk management and finance. Members of the committee also offer an expert resource for supporting DAISI staff when dealing with such matters. Their work includes oversight of all financial reporting, preparing the annual budget, and assessing opportunities that increase DAISI's income. A large part of the audit & risk committee's role is to create a link between the DAISI Board of Directors and its internal and external auditors.

POLICIES

1. Purpose of the audit committee

1. The audit & risk committee is elected by the board as a sub-committee and its powers are delegated by the board.
2. The board retains responsibility for decisions, performance and outcomes of the audit committee and should therefore continually monitor the audit committee's activities. The audit committee minutes are to be circulated to all board members, once approved by the audit committee chair.
3. The audit committee should report to the board on a regular basis.
4. The roles, composition and necessary powers and responsibilities of the audit committee are generally set out in its charter.
5. The charter should be evaluated annually to ensure that it is operating effectively and fulfilling its functions.
6. Revisions to the charter, or further training and development for committee members may be necessary as a result of the evaluation.
7. The audit committee plays a key role in assisting the board to fulfil its oversight responsibilities in areas such as an organisation's financial reporting, internal control systems, risk management systems and the internal and external audit functions.
8. The audit committee is to schedule, at least annually, a meeting with the external auditors without the organisation's management present, to enable them to have a discussion about any matters of significance that arose during the audit process.
9. Risk is included within the ambit of the audit committee.

2. Responsibilities of the audit committee

1. The main responsibilities of the audit committee is to assist the board to discharge its responsibility to exercise due care, diligence and skill in relation to the following areas.

3. Audit issues:

1. Facilitating communication between the DAISI's board of directors and the internal and external auditors;
2. Facilitating the maintenance of the independence of the external auditor;
3. Consideration of significant matters that were raised during the audit process;
4. Making a recommendation to the board regarding the appointment or dismissal of an auditor for the following year;
5. Providing a structured reporting line for internal audit and facilitating the independence of the internal auditor
6. Reviewing and maintaining an appropriate Internal control system.

4. Financial management issues:

1. Reporting of financial information to users of financial reports;
2. Application of accounting policies;
3. Financial management processes and procedures;
4. Monitoring the financial position and performance of DAISI;
5. Guiding the annual budget;

5. Investment management issues (if required):

1. Develop and review board policies that guide management in the investment activity of the organisation, outlining:
 1. Delegated authority;
 2. Acceptable risk;
 3. Internal controls.
 4. Risk management:
 5. Risk management system
 6. Insurance coverage for the organisation and the directors and office bearers;
 7. Compliance with applicable laws, regulations, standards and best practice guidelines.
7. Other responsibilities:
 1. Perform other activities related to this charter as requested by the board;
 2. Institute and oversee special investigations as needed;
 3. Review and assess the adequacy of this charter annually, requesting board approval for changes, and ensure appropriate disclosure to ACNC, DFAT, ATO, Department of Fair Trading as may be required by law or regulation;
 4. Confirm annually that all responsibilities outlined in this charter have been carried out;
 5. Evaluate the performance of the audit committee and its members on a regular basis.
8. Independence of the audit committee
 1. An independent audit committee is a fundamental component of good corporate governance.
 2. There is no general legal reference to what constitutes 'independent' in the not-for-profit sector, although there may be a specific reference for certain industries (for example, superannuation funds).
 3. When determining if directors are independent, some issues to consider include:
 1. Is the director an executive or non-executive director?
 2. Is the director related to a senior employee?
 3. Is there a business relationship between the company and the director?
 4. Has the director been appointed as a representative director?
 5. How long has the individual been a director of the organisation?
 4. Being a member of the organisation would not in itself mean the director is not independent. It is more important to assess their ability to use their director position to influence an outcome that would benefit themselves or associated individuals or entities.
9. Who should be members of the audit committee?
 1. The audit committee should be of sufficient size and its members should have the technical expertise to ensure that it is able to discharge its mandate effectively.
 2. Good governance practice mandates that the audit committee should be structured so that:
 1. it consists of at least three members;
 2. all members are non-executive directors; it is chaired by someone other than the chair of the board.
 3. Due to the financial nature of the role of the committee, it is important for at least one member of the committee to have financial or accounting skills to ensure financial responsibilities are being met.
 4. It is also good practice to ensure there are members of the committee who have good knowledge of the organisation's industry to ensure risk issues and compliance requirements are fully identified and are being properly managed.
 5. Someone on the committee with legal expertise is also advantageous.
10. What is the relationship between an audit committee, an external auditor and an internal auditor?
 1. External auditors perform an audit to form an opinion about whether DAISI's annual financial reports comply with the requirements of the Corporations Act 2001 [particularly ss 307-309] and accounting standards and give a true and fair view of DAISI's financial affairs. Because the independence of the external auditor is critical, auditors are generally nominated by the audit committee and approved by the board and not by management.
 2. The audit committee reviews the scope of the audit and oversees the relationships with the auditors. The committee should also brief the auditors about any concerns that the board may have.
 3. The internal audit function usually evaluates and monitors the adequacy and effectiveness of the internal control systems and so plays a vital role in managing risks.

This policy was first created 15th November 2015 and revised on 1st July 2020

10.4 Business Continuity and Disaster Recovery Plans

Business continuity and disaster recovery planning are processes that help DAISI prepare for disruptive events – whether those events are a natural disaster such a tsunami or cyclone, a viral epidemic that decimates DAISI’s staffing numbers, a disruption to funding, a disruption stored information and database, or threat to DAISI’s reputation caused by a negative media portrayal. Below are some Business Response & Disaster Recovery Plans for these specific scenarios:

[Funding Disruption](#)

[Information Technology Disruption.](#)

[Natural Disaster](#)

[Negative Media Portrayal of DAISI](#)

This policy was first created 15th November 2015 and revised on 1st July 2020

10.4.1 Critical Personnel

DAISI’s critical personnel are needed to ensure Business Continuity and Disaster Response in a coordinated and rapid fashion when the need arises.

POLICIES

1. The key personnel and hierarchy with job delegation to ensure business continuity and a coordinated disaster response are as follows:

- Chairperson – responsible direction overall coordination and executive decision making in cases of emergency.
- CEO – responsible for day-to-day organisation of Country programmes and programmes officers. The CEO is usually the Designated media spokesperson.
- Treasurer– responsible for ensuring up to date budgetary advice and the maintenance of a funds reserve to buffer DAISI against unexpected or un-foreseeable expenses.
- Secretary – responsible for maintenance of up to date policies and protocols including those for business continuity and disaster response. Responsible for safe storage of critical database, operations systems.
- Deputy Chair – To assume the role of Chair in the event of incapacitation due to injury, death or otherwise.
- Country Coordinators – Critical to the implementation of DAISI’s local disaster response at a Country Level, working under the direction of the CEO.
- General Manager – responsible for coordinating And communicating with the above mentioned personnel and partners in the South Pacific. Although a part-time position, in emergency disaster response these hours may need to be extended to enable constant communication and coordination during the critical component of the disaster response.
- Shipping & Logistics Officer – Responsible for coordinating the delivery of urgent necessary supplies and equipment.
- Environment Protection Officer – Responsible for assessing, containing and minimising the negative environmental impact caused by disaster.
- Sponsorship Officer – responsible for organising urgent funding campaigns for specific emergency disaster response programmes.

- Protection & Support Officers – the Child Support Officer, Disability Support Officer and Gender Support officer may be called upon to coordinate protection and support for vulnerable adults and children as a consequence of disaster.

This policy was first created 15th November 2015 and revised on 1st July 2020

10.4.2 Funding Disruption

DAISI's risk management policy for funding disruption is presented below.

POLICIES

1. DAISI shall at all times have a Business Continuity and Disaster Management Plan should its regular sources of funding become disrupted.
2. This plan has the following safeguards in place to mitigate the effects of funding disruption;
 1. A [funds reserve](#) in place specifically intended for such events;
 2. A dedicated [sponsorship officer](#) responsible for ramping up public awareness for donations in response to specific disaster responses.
2. A dedicated risk assessment and management committee to monitor and advise DAISI in matters relating to financial risk.
- 3.

This policy was first created 15th November 2015 and revised on 1st July 2020

10.4.3 Information Technology Disruption

DAISI's Business Continuity and Disaster Recovery Plan must ensure that the DAISI's critical operations system, contacts and database are not affected by such things as power outage, hardware or system failure, data corruption, cyber attacks or even accidental or malicious data deletion by employees. It must also protect against theft, and both man made and natural disasters (eg fire and flooding).

POLICIES

1. DAISI shall at all times keep a back up copy of all DAISI's database both in the cloud and on an external hard-drive, should there be disruption to one of these sources.
2. All DAISI computers should be current in their antivirus and firewall protection.
3. Printed form of DAISI policies, codes of conduct, procedure reports members and contact details should be kept at a separate location to the primary DAISI office.
4. Contact details of all employees, members, partners, contractors, and associates including mobile and landline phone numbers, & email addresses should be kept on separate back up database both onsite and offsite.

Preventing virus & spyware (e.g. Malware) attacks

5. Induction training will occur for all DAISI staff on the early recognition of spyware or malware threats and attacks including common scenarios leading to malware attacks (e.g. fake emails asking for links to be clicked, documents to be opened, or asking for personal details or online payment)
6. Where in doubt a screen shot and second opinion from another DAISI staff or IT support Person should be obtained.
7. Regular checks and scanning off all computers for virus and ensuring up to date antivirus and firewall should occur.

Power Surge & Power Outage

8. The computer server & database should have power surge circuit breaker and an emergency battery supply for power outage.

Flooding

9. If DAISI's head office or country offices are in flood prone areas, then protections of critical documents, computers and database against water damage due to flooding should occur.
10. Water proofing of the office should occur and where possible, storage of critical data and equipment should be kept higher than ground level.
11. Back up data is to be kept in the cloud or in an external hard drive kept offsite.

Fire

12. Back up supply of critical data should be kept in the cloud or offsite, or in fire-proof safe

Theft

13. The office containing critical data and equipment should be protected by locked doors after hours. Ideally alarm systems, CCTV are to be installed to detect and deter theft.

Malicious attacks by employees

14. DAISI prides itself on the supportive culture it generates for all staff and members. Nonetheless, it is a fact of reality that from time to time in any organisation a member of staff or volunteer member may become disgruntled. DAISI must realise in the worst case scenario that a staff member or volunteer may seek retaliation through malicious damage to DAISI's database and critical operations equipment and therefore recommend the following precautions:
 1. All passcodes login passwords are to periodically changed and specifically changed in the case of a suspected disgruntled staff member or volunteer with access to the central database and critical operations equipment.
 2. Keys and passcodes for access to critical database and operational equipment must be returned by employees on completion of employment contract, resigning or termination of employment.

This policy was first created 15th November 2015 and revised on 1st July 2020

10.4.4 Natural Disaster

DAISI's risk management policy for natural disasters including cyclone, tsunami, earthquake and volcanic eruption, are presented below:

POLICIES

1. In the region DAISI works there are many natural disasters. These can be earthquakes, tsunamis, cyclones, storm surges and flooding. Malaria and other tropical diseases can also be an issue. There is a small risk of public unrest as well.
2. All staff are to be well orientated to the possible dangers in each country they work prior to deployment and situations are to be constantly monitored.
3. Slow onset disasters (cyclones, flooding, etc) will be monitored locally and from HQ and evacuation plan could be enacted.
4. All areas of work will have an evacuation plan and the Team Leader will coordinate with local authorities in relation to any evacuation.
5. Part of any MOU with host governments is the provision of security if required. No unnecessary risks will be taken in keeping programs ongoing.
6. Decisions can be made by DAISI Executive Team (CEO & Board if Directors) to continue when safe to do so.

This policy was first created 15th November 2015 and revised on 1st July 2020

10.4.5 Negative Media Portrayal of DAISI

Potential crises affecting image and credibility of a company or organisation must be considered and planned for. Each organisation defines a ‘crisis’ differently, but a common element of all crises is that the media play a crucial role in either exacerbating the issue or helping to alleviate negative results.

POLICIES

1. Any media crisis has the potential to harm DAISI’s reputation and credibility, as well as our ability to raise public funds to fulfil our mission. Crises (affecting image and credibility) for DAISI may include:

- public allegations of poor practice in DAISI projects (including program activities harming beneficiaries, staff misconduct, service provision not reaching the intended source, negative stories from projects);
- sponsor/donor complaints or allegations in regards to sponsorships or DAISI’s use of donations (e.g., inappropriate use of funds);
- problems arising from a sponsor visit (e.g., poor conduct by DAISI member towards recipients, inadequate DAISI supervision of volunteers).

2. General crises involving the entire aid sector (and the Australian charity sector generally) also need to be planned for. These potential crises need to be managed and have as much importance placed on them as specific DAISI crises. DAISI crises on a South-Pacific scale also need to be considered by DAISI so that steps can be taken to manage the issue at a local level if necessary. It is highly possible that negative practices in a DAISI Partnership Programme could be picked up by Australian media and given a local angle.

Responding to a crisis

3. In any crisis, DAISI’s primary obligation to the people and communities served by the organisation should be the overriding consideration driving the crisis management plan.

4. The most important element in managing crises is to communicate clearly and openly with DAISI’s key public audiences, particularly with DAISI supporters. It is also extremely important that the organisation does not react to the crisis defensively and that information is disseminated regularly and as quickly as possible.

5. Those primarily involved in dealing with any DAISI crisis, and also as the initial contact points, will include DAISI’s:

- Chairperson
- Chief Executive Officer
- Sponsorship and Marketing Officer
- Relevant Country Programme Officer
- Relevant Protection Officer (e.g. if complaint of Child abuse, then the Child Protection Officer should be involved).

6. These key people will also need to be readily accessible throughout the management of the crisis.

7. It is important that in a crisis DAISI have one spokesperson throughout, so that the organisation ‘speaks’ with one voice. This spokesperson will usually be the CEO.

8. In dealing with a major crisis, DAISI’s PR & Social Media expert Ashley Blacker will be asked to assist the organisation in developing a plan to manage the issue.

9. All DAISI staff will play a crucial role in assisting to manage any crisis, primarily in their daily communication with DAISI supporters. If a large proportion of sponsors and donors their support, the financial impact to the work of DAISI could be devastating, therefore communication with supporters must be of utmost importance.

Crisis action plan

10. The following is a general crisis management action plan, which details the steps required to minimise any potential detrimental impact to the organisation. It is important that each crisis, depending on its level and expected impact, be dealt with promptly and individually based on circumstances and those involved.

11. After notification (or early warning) of the issue to the primary DAISI contacts, an initial management plan is to be developed by key DAISI staff (as set out above) in partnership with DAISI’s PR & Social Media expert. This will include DAISI’s agreed response to the crisis.

12. If the crisis is significant, the DAISI Board of Directors will be immediately briefed on the crisis and the management plan.

13. Depending on how DAISI is notified of the crisis (i.e., internal/external, pre- warning/post-event), it is important that DAISI first verify the information provided to confirm and validate the details.

14. The management plan will detail the steps to be taken by DAISI to resolve the problem/issue.
15. If the crisis involves harm or loss experienced by aid beneficiaries, the management plan must consider appropriate response and/or restitution to those aid beneficiaries affected.
16. DAISI's proposed media plan regarding the crisis will be decided (i.e., proactive or reactive). Media releases, response or comment will be prepared as required, DAISI spokespersons briefed, etc. It is important that in all media communications that they are not seen as the enemy, that information is not withheld and that they are responded to promptly and efficiently.
17. The DAISI Communications Team is to be the first point of contact for all media enquiries and the CEO will usually be the designated spokesperson.
18. DAISI employees will be promptly notified of crises and informed of DAISI's response, which will in turn be conveyed to DAISI supporters if necessary.
19. In responding to a high level crisis, specialised communication pieces will be distributed to DAISI supporters detailing the issue and DAISI's response. This will be done as quickly as possible post-crisis.
20. Evaluation will also take place after the crisis to determine numbers of media enquiries, media coverage, DAISI supporter response and general key public attitudes towards the organisation. Depending on the level of the crisis it may be necessary to carry out 'recovery' communications campaigns aimed at improving the image and credibility of DAISI among key public audiences.
21. The following table details examples of potential crises and the primary media comment/communication DAISI would need to carry out – following steps above and dependent on level and specifics of crisis.

Issue	DAISI's Primary Response/Action
General adverse publicity relating to inappropriate use of charitable funds	This issue is focused upon by the media quite regularly and in most cases DAISI should make no specific comment and let the industry bodies speak on behalf of the sector. If DAISI is directly implicated or is specifically mentioned, then comment will definitely need to be made. This comment will need to focus on the organisation's effective use of sponsorship contributions (annual independent audits, ACFID Code of Conduct Complaint, ACNC reporting, procedures in place for DFAT accreditation, etc). Copies of DAISI annual reports are also to be made available to anyone who requests a copy.
Volunteer sponsorship criticised as an effective means of running an overseas aid program	DAISI supporters know what a difference volunteer sponsorship makes and are comfortable with how the system operates, therefore it is more likely that the general public will need to be convinced of its effectiveness. For the general public, the main risks are in decreased levels of acquisition of new sponsors, rather than losing existing DAISI supporters. DAISI will need to communicate how effectively volunteer sponsorship works and how the organisation's programs offer real and practical solutions to the health issues facing people in the South-Pacific. A public communications campaign may need to be conducted if public opinion is severely affecting acquisition of new sponsors.

Issue	DAISI's Primary Response/Action
Public allegations by sponsors/donors in regards to how sponsorships/donations are handled by DAISI	Initially it is important to discover why the allegation was made and why it had not been already dealt with appropriately. Another attempt will then need to be made to resolve the problem directly with the sponsor/donor. If a media response is required the DAISI spokesperson (CEO in this situation) will need to explain DAISI's processes and why they are handled this way. It is beneficial to highlight happy and long-term sponsors as it helps to put a positive light on the sponsorship process.
Inappropriate conduct by DAISI staff, member, volunteer, office bearer or a Board Director	This issue needs to be dealt with by senior members of staff at DAISI, comprising the CEO and the Executive Board of Directors. The decision to provide a media response depends on the specific details of the issue. At the least, the organisation will be required to say that the matter is being taken seriously and is under investigation. Action against the staff member, volunteer, office bearer or Board Director needs to be taken to assist in resolving any negative publicity particularly among DAISI's existing supporters and the general public.

This policy was first created 15th November 2015 and revised on 1st July 2020

10.5 Cheque Signatories

DAISI has in place delegation and authorisation levels for personnel, including cheque signatories policy.

POLICIES

1. All expenses using donated money from the DAISI bank account must be approved by two members of the Executive Team. This can be obtained either in writing or via electronic phone banking, using the IB4B system.
2. The Executive Team consists of the Chair, General Manager, CEO, Vice-Chairs, Secretary & Treasurer.
3. All expenses using donated money from the DAISI bank account of more than \$250 must include approval by the current elected DAISI Chair. This can be obtained either in writing or via electronic phone banking, using the IB4B system.
4. Expenses greater than \$1,000 should be discussed and approved by consensus voting at the quarterly board meeting.
5. Payment of reasonable anticipated ongoing expenses for approved projects do not need additional written approval but must be accurately recorded in the annual budget.
6. Payment of additional unanticipated ongoing expenses for approved projects do need additional written approval from the Chairperson and must be accurately recorded in the annual budget.
7. Payment of volunteer travel and accommodation expenses needs board approval if directly from the DAISI account with no volunteer contribution.
8. Payment of volunteer travel and accommodation expenses does not need board approval if payment amount matched by volunteer contribution.
9. Ongoing anticipated outgoings (rent, electricity, phone bills, mailbox renewal, public liability insurance, postage, stationary) do not need board approval but must be accurately recorded in the annual budget.

10.6 COVID Precautions

DAISI is committed to protecting the safety of its volunteers, partners & beneficiaries. The following COVID precautions should be adhered to by all DAISI volunteers to the South-Pacific.

POLICIES

1. All reasonable measures should be taken by volunteers to the South Pacific to reduce the risk of contracting or transmitting COVID-19 virus including:
 1. Compulsory completion of the [COVID Screening Questionnaire](#) less than seven days prior to departure.
 2. Excluded from volunteer trips during the COVID pandemic are the following high risk people:
 1. a positive COVID swab result.
 2. a history of recent COVID contact.
 3. symptoms of fever, flu-like illness (Fever, runny nose, cough, or sore throat, malaise, shortness of breath, altered sense of smell or taste)
2. In addition, those most vulnerable to infection must not be permitted to volunteer on DAISI trips during the COVID pandemic including:
 1. The elderly (70+)
 2. Those with respiratory condition and poor respiratory reserve.
 3. Those immunocompromised.
3. Standard COVID precautions employed in Australian and New Zealand Hospitals should be adhered to in hospitals in the South-Pacific by volunteers wherever possible. These include:
 1. Use of personal protective equipment (PPE) including the wearing of face masks and protective eyewear in all clinical settings.
 2. Use of 70% alcohol hand sanitiser between patient to patient contact.
 3. Social distancing practices whenever possible including avoidance of large congregational gatherings of more than 20 people.
 4. Rigorous infection control & sterilising measures for high risk procedures including bronchoscope & gastroscopy.
 5. The cancelling of non-urgent, high risk procedures that promote aerosolization of fluids such as gastroscopy and bronchoscope.
4. Prior to departure for the South-Pacific all volunteers must produce documented evidence of a negative COVID Swab testing result within seven days of departure date.
5. Upon return from the South-Pacific all volunteers must:
 1. Comply with all Government quarantine requirements including mandatory hotel quarantine for two weeks at volunteer's own expense.
 2. Complete testing for COVID-19
6. All volunteers are encourage to source and bring with them their own face masks, protective eye wear and hand sanitizer, as adequate supply of these in the South-Pacific cannot be guaranteed.
7. Whilst the efficacy of Hydroxychloroquine for protecting against COVID is not proven, this is one of the recommended anti-malarial prophylaxis for malaria prone regions in the South-Pacific.
- 7.7. Proof of COVID vaccination (two doses) and recent COVID negative swab (less than 72 hours prior to departure) is mandatory of all DAISI volunteers to the South-Pacific..

This policy was first created 15th November 2015 and revised on 1st July 2020, and on 31st July 2021.

10.7 Foreign Currency Exchange

DAISI has a responsibility to manage and mitigate the risk of foreign currency exposures. DAISI is also responsible for accurately reporting all revenue to the ACNC. This includes realised gains on foreign currency transactions. DAISI is also responsible for keeping records of, and conducting all foreign currency exchanges in a proper and legitimate manner that avoids money laundering or the misappropriation of money intended for development activities.

POLICIES

- DAISI will manage and mitigate the potential risk of exposure to foreign currency, by keeping all reserve funds, as much as possible, in Australian held banking institutions.
- DAISI is committed to being completely accountability to the Australian Taxation Office and the Australian Charities Not-for-profit Commission (ACNC) for all money spent and income received both in Australia and overseas.
- Wherever possible electronic transfer of funds is preferable to cash transfer, so as to provide a definite money trail of income and expenses.
- All money transfers overseas are to be accounted for in the financial report to ACNC with invoices and receipts required.
- Realised gains and losses incurred from overseas foreign currency exchange should be accurately reported to the ACNC as income and expenses.
- DAISI money exchange in the South Pacific should be through reputable and office banking institutions.
- The taking of DAISI money to the South Pacific in cash form is strongly discouraged, and is only indicated where there is no access to banks, as might occur arriving in remote parts of the South Pacific, or arriving on weekends or holidays.
- When DAISI money is taken to the South Pacific in cash form it must be done so in a manner compliant with immigration law and declaration policy. Strict written records of amount taken and exact nature and use of money spent should be recorded, and provided to DAISI's finance officer, with supporting receipts.

This policy was first created 15th November 2015 and revised on 1st July 2020

10.8 Fraud Control

DAISI is committed to protecting against, detecting and responding to fraud and corruption in order to protect the interests of DAISI, its members, volunteers, partners and beneficiaries, while also maintaining its good reputation and ethical standards.

POLICIES

1. DAISI does not tolerate fraud or corruption in any form.
2. Stealing money from DAISI by theft or fraud reduces the DAISI's capacity to maintain the same level of frontline services to people in need or will reduce back office support to compensate for the loss.
3. DAISI relies on the support of government, business and the community to deliver the services it provides.
4. Reputational damage arising from fraud can cause significant decline in confidence in DAISI as a reputable charity and have an adverse impact on donations and funding, leading to a more severe impact on the services we deliver and back office support than the initial theft.

Scope

5. It is everyone's responsibility (all DAISI volunteers, executive, board and regular members) to prevent fraud and corruption from occurring and to report every suspected incident immediately to their supervisor (except where their supervisor may be involved in the fraud or corruption event), and the DAISI Board.



Roles And Responsibilities

6. Everyone in DAISI is responsible for fraud control and corruption prevention. Every person must report every suspected incident immediately to their supervisor (except where their supervisor may be involved in the fraud or corruption) and the DAISI Board.

7. Further specific responsibilities are:

Board

8. The Board together with executive management sets ethical principles that form the foundation of an ethical anti-fraud culture.

Audit & Risk Committee

9. Reviewing and monitoring policies for preventing and detecting fraud,

10. Reviewing fraud reports from management and auditors.

CEO

11. Set the ethical culture allowing it to flow throughout DAISI and its entities to entrench a culture of high ethics and integrity,

12. Approve terms of reference for any investigation into fraud or corruption, and

13. Approve or endorse final action to be taken in response to actual incidents of fraud or corruption.

Directors

14. Ensure that there are programs and controls in place to address risk including fraud and corruption risk and that those controls are effective.

15. Oversee daily operations in which fraud or corruption risks may arise,

16. Be actively involved in planning activities to prevent, detect and respond to suspected fraud and corruption incidents.

17. Respond to adverse trends identified from the fraud and corruption database.

Office Bearers

18. Introduce and maintain controls to prevent incidents of fraud or corruption from arising in their area of responsibility.

19. Ensure that a fraud or corruption risk assessment has been conducted for their area of responsibility at least once annually.

20. Immediately notify all suspected fraud or corruption incidents that are detected within their jurisdiction to the head of risk management.

21. Respond to the outcomes of any investigation or inquiry into any suspected fraud or corruption incident.

All Workers (Directors, Office Bearers, members, volunteers and employees, volunteers, contractors

22. Be continually alert to the possibility of fraud or corruption incidents;

23. Inform their supervisor (or the Board directly) of any suspected incidents of fraud.

24. Not engage in any fraudulent or corrupt conduct.

Head of Audit & Risk Committee

25. Prepare investigation terms of reference and investigation plans.

26. Consult with Directors & CEO about the best course of action when suspected fraud or corruption incidents are raised.

27. Consult with appropriate office Bearers, members, volunteers and staff during inquiries or investigation into fraud or corruption.

28. Ensure there is a quality internal investigative capability independent of line management.

29. Provide notice to external parties of fraud or corruption incidents after approval by the Chairperson.

30. Facilitate fraud and corruption awareness and education.

31. Report on status of the fraud control and corruption prevention strategy to the Board of Directors as well as the Audit & Risk Committee.

32. Review the integrity framework and the fraud control strategy regularly.

Internal Monitoring

33. Maintain awareness of the possibility of fraud or corruption during audit work.

34. Provide advice and guidance on internal controls to prevent fraud or corruption.

35. Conduct tests of systems to identify possible fraud or corruption.

36. Provide specialist investigatory expertise where needed and maintain a manual of investigatory procedures.

External Monitoring

37. Maintain awareness of the possibility of fraud or corruption during audit work.

38. Notify the Board if incidents of fraud or corruption are identified.

Application

39. DAISI is committed to minimising fraud and corruption and instilling a culture of:

- Zero tolerance' of fraudulent and corrupt behaviour;
- inquiring and investigating all suspected fraud and corruption tip-offs;
- Reporting all incidents of fraud or corruption to external parties as appropriate
-

Prevention

40. Preventative measures include:

1. Regular review of the integrity framework supporting a culture of integrity and intolerance of fraud or corruption
2. Awareness training and education
3. Risk assessments as part of annual project risk assessments
4. Continual quality improvement reviews of internal control and compliance measures
5. Pre-employment screening (including volunteers, contractors and consultants, where appropriate)
6. Annual update of fraud control and corruption prevention plans for resolution of shortfalls in any of these preventative measures
7. monitoring of partners for evidence of fraud or corruption
8. mention of commitment to ACFID Code of Conduct in Memorandum of Understanding (MoU) with partners in all matters

Detection

41. Detective measures include:

1. Fraud & corruption detection programs such as data mining and analysis
2. Alternative reporting mechanisms such as the Speak Up Integrity Line
3. Whistleblower protection
4. Discovery during grievance management
5. Quality assurance officer and compliance officer awareness during reviews
6. Internal audit awareness during audits
7. External audit awareness during audits

Response

42. Response measures include:

1. Amendment of the Fraud Control & Corruption Prevention Plan
2. Revision and refreshment of policies to rectify deficiencies
3. Maintenance of an internal investigative capability including qualified investigator and up-to-date investigation manual
4. Internal reporting of outcomes and escalation where appropriate
5. Review of internal controls after every confirmed incident
6. Application of disciplinary procedures for detected incidents
7. Civil action to recover losses where appropriate
8. Public reporting of incidents where CEO approves
9. Media management involvement as appropriate
10. Reporting to funding agencies of incidents and rectification measures
10. Referral to external organisations and agencies, such as Police, as appropriate, after Chairperson approval

This policy was first created 15th November 2015 and revised on 1st July 2020

10.9. Finance reserves

DAISI's finance reserve is an unrestricted fund balance set aside to stabilize its finances by providing a cushion against unexpected events, losses of income, and large unbudgeted expenses.

POLICIES

1. finance reserves must be reliable, with a realistic plan to replenish them.
2. Finance reserves should not be used to cover a long-term or permanent income shortfall.
3. Reserves can allow DAISI to weather serious bumps in the road by buying time to implement new strategies.
4. Reserves should be used to solve temporary problems, not structural financial problems.
5. In the worst case scenario, reserves can be used for an orderly shut down of the organization.
6. DAISI will maintain its reserves by setting aside cash in addition to the regular bank fund balances for use when regular cash flow is disrupted.
7. Reserves are also different from restricted funds. Restricted funds are grants and contributions that have been received for specific programs or projects. These funds are “restricted” for use according to the grant agreement or donor’s instructions. Sometimes this means that restricted funds sit idle in the bank for a while and the non profit cannot use those funds for some other purpose.
8. Finance Reserves, on the other hand, are “unrestricted” funds that can be used in any way that the non profit’s management and board chooses.

This policy was first created 15th November 2015 and revised on 1st July 2020

10.10 Prevention of Terrorism Financing

DAISI is committed to the prevention of Terrorism Funding, with a confidential [online incident reporting form for any suspected terrorism funding](#).

1. PURPOSE

This policy articulates DAISI’s commitment to avoid directly and indirectly being involved in or supporting terrorist activities, money laundering or other criminal misuse of funds.

2. BACKGROUND

2.1. For the purposes of this policy, a “terrorist act” is any violent act, or a threat to commit such an act, that is done with the intention to coerce or influence a civilian population or government through intimidation.

2.2. For the purposes of this policy, “criminal misuse of funds” includes money laundering activities, the commission of underlying predicate crimes and all other unlawful uses or receipt of resources.

2.3. As a non-profit organisation operating in Australia and overseas, there is a risk of DAISI being misused by individuals or other organisations to finance and support terrorist activity or violent extremism or to be misused by other criminals or criminal organisations to launder money to legitimise proceeds from committing crimes (referred to as ‘predicate crimes’). This risk of being misused increases if WWF-Australia is not able to provide direct oversight of projects and programs.

2.4. A Policy on Counter-Terrorism & Prevention of Criminal Misuse of Funds is necessary to ensure that WWF-Australia and the financial resources entrusted to it are not being used, directly or indirectly, to support terrorist or other criminal activities and to provide clear guidance on what to do if terrorist or other criminal activity is suspected.

2.5. The Australian Government has extensive legislation around counter-terrorism and national security. National and international funding bodies impose strict obligations on funding recipients to ensure funds do not support terrorist activities. Terrorism is against the law, against Australia’s national interests and undermines sustainable development.

2.6. Under Australian law, it is also an offence to knowingly receive, possess, conceal, dispose of, import, export or engage in a banking transaction relating to, the proceeds or an instrument of crime. Money laundering enables almost all serious and organised crime in Australia and is also against the law, against Australia’s national interests and undermines sustainable development.

2.7. DAISI makes all reasonable efforts [1] to ensure that its projects and programs are conducted in accordance with these laws and obligations and that funds are not being directed to terrorist activities, money laundering or other criminal misuse of funds.

1. In Attorney-General's Department guidance, the term "all reasonable efforts" is used "to reflect the need for positive action and a common sense approach, based on the level of risk, to meet legal obligations and avoid inadvertently financing terrorist activity"

3. POLICIES

3.1 To exercise diligence in relation to counter-terrorism and criminal misuse of funds, DAISI will:

Confirm the identity, credentials and good standing of all DAISI members and the people or organisation that it directly assists, through which it funds activities, and from whom it receives funding.

- Ensure that DAISI members, and the people or organisation that it directly assists and through which it funds activities are aware of and are obliged to comply with the relevant Australian law and this policy, and that they in turn are obliged to ensure that their distribution of the fund or support is made on the same basis.
- Check that the people or organisation that it directly assist, through which it funds activities, and from whom it received funding, are not on the following lists:

Attorney-General's Department's Listed Terrorist Organisation [2]

Department of Foreign Affairs and Trade's Consolidated List [3]

- <https://nationalecurity.gov.au/Listedterroristorganisations/pages/default.aspx>
- <http://defat.gov.au/international-relations/security/sanctions/pages/consolidated-list.aspx>
-

3.2 Recognise that organisation not included in these lists can still be considered "terrorist organisation" or may be otherwise involved in criminal misuse of funds, DAISI will not accept funding or resources from, nor provide funds or make assets available to, any organisation or individual it suspects as being a terrorist organisation, having links with a terrorist organisation or otherwise involved in criminal misuse of funds.

3.3 To report suspected terrorism-related or criminal links or activity, DAISI will:

Notify DFAT immediately if any link between Australian Government aid program funds or Australian Government-supported activity is discovered.

1. Report any suspected terrorism-related or criminal activity to the Australian Federal Police or the National Security Hotline on 1800 123 400, or from outside Australia, +61 1300 123 401 or through in-country officers located in Australian diplomatic posts.

3.4 To demonstrate all reasonable efforts to ensure funds are not being directed to terrorist or other criminal activities, DAISI will:

1. Develop and maintain records of project and program budgets that account for all expenses.
2. Develop and maintain records of gifts, donation and other resources received.
3. Produce annual financial statements that provide detailed breakdowns of incomes and expenditures.
4. Have an annual audit undertaken by an external auditor

4. SOURCES OF AUTHORITY

4.1 International

The Charter of the United States (1945) (Part 4)

United Nations Security Council Resolution 1373 (2001)

Financial Action Taskforce International Standards on Combating Money Laundering and the Financing of Terrorism and Proliferations (2012-2017)

4.2 Federal Legislation

Criminal Code 1995, Part 5.3, sections 102.6, 102.7 and 103.1

Anti-Money Laundering and Counter-Terrorism Financing Act 2006

Anti-Terrorism Act 2005 (No. 2)

Anti-terrorism Act 2004

Crimes Act (1914)

4.3 Departmental Guidance and Requirements

Attorney-General's Department (2009) Safeguarding your organisation against terrorism financing: A guidance for non-profit organisation

Attorney-General's Department Listed Terrorist Organisations

Department of Foreign Affairs and Trade Consolidated List

Department of Foreign Affairs and Trade Australian NGO Accreditation Guidance Manual (June 2018)

5. SCOPE

5.1 This Policy applies to all DAISI board members, office bearers, staff, volunteers, members and contractors.

5.2 This policy applies to all Partner Organisation and their board members, staff, volunteers and contractors implementing Aid and Development Activities by, or through, DAISI.

6. DEFINITIONS

Aid and Development Activities:

Activities to reduce poverty and address issues of global justice through community projects and education, emergency management, advocacy, volunteering, the provision of technical and professional services and /or resource, environmental protection, and/or restoration, and promotion and protection of human rights.

Money Laundering:

Money laundering involves hiding, disguising or legitimising the true origin and ownership of money used in or derived from crimes. It is an extremely diverse activity that is carried out at all levels of sophistication and plays an important role in organised crime.

Partner Organisation:

Organisation implementing program or projects funded by, or through, DAISI.

Terrorism/Terrorist Act:

Any Violent act, or a threat to commit such an act, that is done with the intention to coerce or influence a civilian population or government through intimidation.

7. RESPONSIBILITIES

7.1 Executive Management (Board Directors) are responsible for:

Ensuring that DAISI and all staff members, volunteers and contractors comply with all relevant legislation and DAISI policies (including this one).

Ensuring that all Partner Organisations and their board members, staff members, volunteers and contractors implementing Aid and Development Activities funded by, or through, DAISI, comply with all relevant legislations and DAISI policies (including this one).

Notify appropriate government agencies/authorities in the event of suspected terrorist-related or other criminal activity.

7.2 People & Culture are responsible for:

Assisting manager and supervisors with the construction of appropriate training and development programs, designed to aid compliance with this policy.

Providing managers and supervisors and other staff members with support and assistance during any complaint or dismissal process.

Managing the recruitment and selection process for all employees, volunteers, members in accordance with the Recruitment and Selection Policy.

7.3 Managers and Supervisors are responsible for:

Ensuring that they comply with all relevant legislation and DAISI policies.

Communicating this Policy to all Partner Organisations, and ensuring that Partner Organisation communicate this Policy to their Board Members, Office Bearers, staff, volunteers, regular members, and contractors implementing Aid and Development Activities funded by, or through, DAISI.

Approving activities and/or funding only when the requirements of this Policy have been met.

Provide the CEO, People and Culture Director will all information that relates to breaches or potential breaches of this policy.

Seeking support and assistance from People and Culture as required.

7.4 All employees and volunteers are responsible for:

Complying with this Policy, as required by the following procedures.

8. PROCEDURES

8.1 This Policy will be included in all contract and memoranda of understanding with Partner Organisations.

8.2 No later than November of each financial year, DAISI will organise an induction/workshop – which may be held either face-to-face or by Skype or Zoom or by phone conference – at which this Policy, its importance and consequences or non-compliance, will be presented to the Partner Organisation's executive and relevant staff, volunteers and contractors.

8.3 All Aid and Development Activities funded by or through DAISI and Partner Organisations and relevant staff, volunteers, and contractors will be monitored to ensure they are not in breach of this Policy. Monitoring will be proportionate to the amount of funding, the risk of breach (as a result of the funded activities, organisation or skills and experience of board and staff) and will be recorded in the program/Project file. Monitoring will include at least one country visit annually at which this Policy will be made the subject of special presentation.

8.4 Applying this Policy may be difficult in some situations and sound judgement will be necessary. The Policy cannot provide a specific response for every circumstance. DAISI will apply the spirit and intent of this clause in the conduct of Aid and Development Activities.

8.5 If this policy does not provide a clear answer on how to comply in a particular circumstance, DAISI will document clearly the decisions made and the reasons behind them and make them available to both recipients and donors.

8.6 Feedback is important to DAISI and our Partner Organisation as it encourages improvement. Therefore, all feedback is welcomes. Feedback will be directed to the relevant Department of DAISI for action. A complaint regarding an alleged breach of ACFID Code of Conduct can be made directly to ACFID.

9. CONFIDENTIALITY AND DOUCMENT CONTROL

9.1 This Policy is available on DAISI.com.au website for all employees.

9.2 A copy of this policy will be provided to any person or organisation on request.

This policy was first created 15th November 2015 and revised on 30th July 2021

social media



DAISI

10.11 Social Media

DAISI is committed to the responsible use of social media

1. Social media consists of tools such as websites and applications that allow users to create and share content and to participate in social networking. Social media may include:

- social networks, such as Yammer, Facebook and LinkedIn
- media sharing networks, such as Snapchat, Instagram, Soundcloud and YouTube
- bookmarking and content curation networks, such as Pinterest
- corporate networks, such as SharePoint and Skype
- blogging networks, such as WordPress or newshub
- micro-blogging networks, such as Twitter and Tumblr
- discussion forums, such as Whirlpool
- wikis, such as Wikipedia
- online gaming networks, such as World of Warcraft and Second Life
- sharing economy websites, such as Gumtree and Uber.

2. The term **post** in this policy refers to any shared or created content put on social media. This could be a post on Facebook, a message in Skype or content created and edited on Wikipedia.

How we use social media

3. We have official social media accounts that we use to share information with the public and answer general queries.

4. Only authorised staff can respond to the public on our behalf on social media. This includes responses from our official social media accounts.=

About this policy

5. As employees of DAISI staff have agreed to comply with:

- the Public Service Act 1999 (the Act)
- all internal agency policies.

6. Contractors and contract staff have also agreed to comply with our policies.

7. We base our Social Media Policy on these documents which set out the responsibilities and obligations of staff when they use social media.

8. As members of the Australian community, staff have the right to participate in public and political debate. But this is not an unlimited right.

9. Staff have responsibilities that limit their ability to participate fully in public discussions, including on social media.

10. When making public comment, staff must act in a way that does not undermine the public's confidence in them and us to act impartially and deliver government services professionally and without bias. This applies to activities at work and during non-work hours.

11. Deciding whether to make a particular comment or post certain material online is a matter of careful judgement and common sense. It is not a simple formula. This policy sets out factors to consider when deciding if and what to post. Staff should act with caution and take into account the underlying principles of this policy.

Using social media tools at work

12. Staff use various internal social media tools such as newshub, Yammer and SharePoint. These channels all include features that enable users to create, share or engage with content or to participate in social networking.

13. These tools have their own guidelines that staff must follow. While we encourage healthy debate, we want to ensure that these networks are an open and welcoming place for all staff.

14. When accessing internal social media networks, staff must use our ICT facilities in an acceptable manner. This should not interfere with the performance of their work.

15. In addition to this, when using social media at work, staff must:

- be polite and respectful of the opinions of others at all times
- be mindful that others may not share the same sense of humour
- not use our ICT resources to provide comments to journalists, politicians or lobby groups other than in the course of official duties
- not access or engage with any material that is inappropriate or unlawful. This may include posts that are fraudulent, threatening, bullying, embarrassing, of a sexual nature, obscene, racist, sexist, defamatory or profane, whether obscured by symbols or not
- not use our ICT resources to post explicit or sexually suggestive messages
- not infringe another person's, or our, intellectual property rights.

Personal use of social media

16. Staff have the right to participate in public and political debate. But in some cases, their responsibilities may limit their ability to participate fully in public discussions, including on social media.

17. We respect the right of staff to participate in public and political debate in their private lives. In doing so, staff must behave in a way that does not call into question their capacity to act apolitically and impartially in their work.

18. It is also important that staff do not risk our reputation with comments they make online. Staff can generally make public comment in a personal or private capacity if the comment is lawful and a reasonable person couldn't perceive it to be:

- made on behalf of DAISI
- affecting their ability to fulfil their duties in an impartial manner
- so harsh or extreme in its criticism or endorsement of DAISI that they are no longer able to work professionally, efficiently or impartially
- damaging to the integrity or reputation of us or DAISI
- so strong in its criticism of our administration that it could seriously disrupt the workplace
- a gratuitous personal attack that connects them to DAISI
- compromising public confidence in us or DAISI

19. When using social media, it is not acceptable at any time to:

- post comments or images that are obscene, offensive, threatening, harassing or discriminatory in relation to work, another DAISI member, a stakeholder or DAISI
- create a social media page to protest policies that staff are responsible for implementing or promoting

- comment on policy matters that DAISI is involved with
- post inappropriate images that reference or involve us in some way. This could be photos taken of members engaging in misconduct that breaches DAISI Values or the Code, or otherwise damages our reputation
- engage in comments that breach anti-discrimination law
- release sensitive, personal or confidential information without proper authority
- use an official DAISI email address, or anything else that connects them to us, when making public comment
- use external social media tools for DAISI related internal communications, this excludes corporate networks such as WhatsApp, ZOOM and Skype.

20. Staff must exercise discretion and use judgement when deciding to make public comment or participate online.

21. We encourage staff to resolve any concerns or criticisms they have about other DAISI members or management, through an informal discussion with a manager or by using internal dispute resolution mechanisms.

What to consider when using social media

22. When using social media DAISI members and staff should:

- uphold their obligations as a DAISI member/employee, which includes, at all times, behaving in a way that upholds the integrity and reputation of us and DAISI
- behave with respect and courtesy, even when disagreeing with someone or something
- stick to the issues under discussion and avoid personal attacks
- make it clear that their views are personal and not our views
- ensure that the information they post is informed and factually accurate, when commenting about DAISI
- understand that if they like, share or comment on a post, they could be endorsing the content or author.

23. Before deciding to post something, staff also need to be mindful that:

- comments posted online are available immediately to a wide audience
- material posted online effectively lasts forever and may be copied without limit
- others may view material posted online out of context or use it for an unintended purpose
- they should not rely on a site's security settings to protect or keep material private
- anything they post can trace back to them and identify them as our staff – they can't rely on anonymity or a pseudonym to protect them.

24. Senior members and staff, particularly staff in the Executive/Board and Officer Bearers need to exercise particular care because of their leadership role, and the real, or apparent, influence they may have with other DAISI members, partners and stakeholders. It is more likely for a reasonable person to perceive they are commenting on DAISI's behalf, even when commenting in their personal time.

Breaches of the social media policy

25. The DAISI executive periodically does social media searched and manages DAISI's reputation online. Where necessary, Executive/Board members will contact DAISI members or staff to discuss their online behaviour.

26. In situations where members or staff's online behaviour potentially breaches DAISI Values or the Code, DAISI Executive/Board will refer the case to the Audit and Risk Committee for investigation and action.

26. We consider other factors when assessing whether social media activity is in breach of this policy. These include the nature of employment, seniority and the context within which the activity occurred.

28. When we investigate a potential breach of this policy, what members and staff meant to do, or how serious any breach was, is not relevant.

29. Factors of that kind may be relevant to what the appropriate sanction is if staff have breached the Code. They don't affect the decision about **whether** they breached the Code.

30. For more information about breaches of the Code, staff can refer to our Conduct and Behaviour Policy on the DAISI home page.

More information

32. This policy is not exhaustive and it does not anticipate every possible use of social media.

32. Staff should contact their DAISI Executive/Board, the General Manager or CEO if they:

- aren't sure if they should engage with social media content
- are worried about their privacy or reputation due to social media posts
- find information online they think we need to know about, including inappropriate activity on social media by other staff.

33. Staff should always make sure they provide as much information as possible, including links or screenshots.

34. We have procedures to authorise creating social media accounts to carry out our work. If staff are thinking of creating social media accounts for this purpose, contact the Digital Media section before proceeding.

This policy was first created 15th November 2015 and revised on 1st July 2020
