

PARTOS 9001:2015

Self-evaluation form

Name organisation:

Developed by Partos
Version 2018

 Partos 9001 Table – Sector-specific application of ISO 9001:2015

Partos 9001 (standards to be applied, from selected parts of ISO 9001:2015 sections)	List procedures, policies, systems etc. with regard to which the application of the standards can be demonstrated	Describe the extent of the implementation of the standard throughout the organisation	List actions to further implement standards if implementation is currently below 100%
5 Leadership			
5.1.2 Customer focus			
<p>The requirements of the primary customer (citizens in the South) are the organisation's first concern.</p> <p>In addition to this primary concern, the management sees to the identification of the requirements of the following customer groups (conditional upon services delivered): supporters, donors, major donors/financiers, companies, knowledge (and other) institutes, governments and partner organisations.</p>			
<p><i>As specification of sub a) of this ISO section, the organisation shall meet the following minimum requirements:</i></p>			

<p>I) If the organisation raises substantial funds from the Dutch general public or business community, the organisation shall be:</p> <ul style="list-style-type: none"> a. in the possession of the CBF Seal of Approval (CBF Keurmerk), b. recognised by the Dutch Inland Revenue as an ANBI (Institution for General Benefit). 			
<p>II) In accordance with the SBF Code of Good Governance, a clear distinction in functions has to be made between daily execution, management and supervision.</p>			
<p>III) Dutch remuneration guidelines (GDN, Goede Doelen Nederland); highest salaries in accordance with the Rules on the remuneration of top executives in the IC sector (Regeling bezoldiging topfunctionarissen OS-sector).</p>			
<p>IV) Corporate social responsibility policy that reflects social developments and the organisation's values.</p>			
<p>Gender policy</p>			

<p>Guidelines on financial management for charities by Goede Doelen Nederland (laying down rules for responsible management of financial reserves and funds).</p>			
<p>V) Annual report, including annual accounts.</p>			
<p>VI) In the auditor's report, the auditor informs relevant internal parties in the organisation about the results of their audit. The auditor's report shall minimally cover:</p> <ul style="list-style-type: none"> a. the 'in control statement' and the risk management of the organisation; b. the continuity, financial and other, of the organisation; c. the quality of governance; reliability of assumptions in relation to the underlying assumptions of the long-term policy; d. the topics which required special attention during the audit. 			
<p>VII) Organisations shall only use financial derivatives (including foreign exchange hedging etc.) to hedge against financial risks (such as interest and foreign exchange risks).</p>			

<p>Other codes and standards that are commonly used in the sector and have added value for the organisation (e.g. the Core Humanitarian Standard for emergency aid or the ICRC Code of Conduct for emergency aid).</p>			
<p>5.3 Roles, responsibilities and authorities within the organisation</p>			
<p><i>The following is specified with regard to the financial function:</i></p>			
<p>I) The responsibilities and authorities, including authorisations with respect to expenditure (including financing and transfers of funds) are explicitly described.</p>			
<p>II) The responsibilities and authorities with regard to managing the organisation are separated from those with regard to the monitoring function, in line with the intention of the SBF Code of Good Governance.</p>			
<p>III) The financial function is described as a separate task and lies with a designated member of the board or the management.</p>			
<p>IV) The control function has an independent position within the organisation. The controller will be</p>			

involved in decision-making on strategy and implementation in a timely manner.			
<p>V) Organisations using financial derivatives have in place a clear description of the following relevant elements:</p> <ul style="list-style-type: none"> a. authorities and mandates; b. internal control; c. internal accountability, role and involvement of the external accountant and d. role and involvement of the Supervisory Board. 			
6 Planning			
6.1 Responding to risks and opportunities			
<p>6.1.1</p> <p>Risks and opportunities need to be identified at at least two occasions:</p> <ul style="list-style-type: none"> 1. when drafting the long-term policy plan and the year plan; 2. when formulating or evaluating projects and programmes. 			
6.1.2			

<p>Risk management is described in process and job descriptions and is embedded in all aspects of the management of the organisation.</p>			
<p>An organisation working with financial derivatives shall have set up a structure to control the risks associated with its use of financial derivatives.</p>			
<p>7 Support</p>			
<p>7.1.4 The environment of work processes</p> <p>The organisation charts the risks for all employees sent to the South, and take appropriate measures to reduce these risks as much as possible.</p>			
<p>7.1.4.1. Integrity</p> <p>The organisation</p> <p>l) has a Code of Conduct which defines the standards and values of the organisation in a clear and concise manner. The code covers all aspects of integrity, as listed under b) below, and defines what is considered unacceptable behavior, sets out how potential victims are protected and receive good care and shall be easy to find on their website. The Code of Conduct is readily accessible and published on the website. It devotes attention to the following:</p>			

<p>Misuse of power or position</p> <ul style="list-style-type: none"> a. Corruption. b. Conflicts of interests and partiality (e.g. nepotism, favouritism). c. Manipulation or unauthorised divulgence of information <p>Financial violations</p> <ul style="list-style-type: none"> d. Fraud. e. Misuse or improper use of resources; theft. f. Tax evasion or asset management/investment policy contrary to the organisational purpose and objectives. <p>Interpersonal violations</p> <ul style="list-style-type: none"> g. Unwanted intimacy, sexual intimidation and sexual violence. h. Aggression, discrimination and bullying. 			
<p>II) The Code of Conduct is translated into guidelines for behavior for any people or parties who act on behalf of the organisation (such as service providers and partner organisations)</p>			
<p>III) Has assigned overall responsibility for the integrity system to a director or management team member,</p>			

<p>and relevant supervision to a member of the supervisory body.</p>			
<p>IV) has one or more sufficiently equipped staff members who are engaged in policy formulation, advice and practical implementation</p>			
<p>V) for the reporting of violations, have in place:</p> <p>a. a person or unit to whom reports can be submitted in an easily accessible, safe and confidential way by staff, volunteers and other stakeholders</p> <p>b. one or more persons of trust</p> <p>c. formal arrangements with an external whistleblowers authority.</p>			
<p>VI) has available capacity and expertise (either in-house or externally) to:</p> <p>a. investigate reports</p> <p>b. advise on proportional disciplinary action/punishment, including possible legal action</p>			

<ul style="list-style-type: none"> c. advise on appropriate victim support or compensation d. take decisions on measures to be taken and implement them e. advise on appropriate communication about any integrity violations. 			
<p>VII) all target group, members of staff, volunteers and those acting on behalf of the organisation are aware of the Code of Conduct, guidelines and reporting procedures, and are alert to their proper application.</p>			
<p>VIII) identifies, at appropriately regular intervals, all relevant integrity risks.</p>			
<p>IX) has set up a moral learning process, to include a system of regular moral deliberations about issues and dilemmas put forward by staff.</p>			
<p>X) devotes a part of the organisation's Annual Report to integrity, including information about:</p>			

<ul style="list-style-type: none"> a. the manner in which the organisation complies with all above requirements b. the number and nature reports about integrity violations and the action taken in response to those reports c. reflection on the organisation's own integrity policy. 			
<p>7.1.5 Resources for monitoring and measuring</p>			
<p>7.1.5.1 General</p> <p>The organisation has an appropriate measuring system for carrying out baseline measurements, measuring and monitoring outputs and outcomes of projects and programmes and carrying out evaluations.</p>			
<p>7.1.6 Knowledge within the organisation</p> <p>The organisation shall systematically share the lessons learned from project and programme evaluations and apply them in the development of new policies, programmes and projects.</p>			

7.2 Competence			
<p>In addition to the requirements laid down in the ISO section, the following requirements shall be fulfilled:</p> <p>I) The requirements set out in the ISO section regarding competence, training and awareness of staff also apply to volunteers.</p>			
<p>II) An organisation using financial derivatives shall have a sufficient number of staff who are competent in this area, or purchase this professionalism (see Section 8.4)</p>			
8 Implementation			
8.1 Operational planning and control			
<p><i>The following additional specifications apply to paragraph a) of this ISO section:</i></p>			
<p>a1) Assessable quality objectives should be determined at output and outcome levels for projects and programmes. Where possible, quality objectives must also be determined at impact level;</p>			

a2) Projects and programmes should be based on a change strategy that specifies how the intended outcomes and impact are to be attained;			
a3) Policy regarding the capacity development of partner organisations should be focused on independence;			
a4) A baseline measurement should be conducted if the costs of a baseline measurement are proportionate to the costs of the project or programme, the progress of the project or programme should be periodically monitored and the project or programme should be evaluated upon completion.			
8.2 Requirements for products and services			
8.2.1 Customer communication			
<i>The organisation shall minimally inform all customer groups and stakeholders about the following subjects (when relevant):</i>			
I) Management and administration costs.			
II) Accountability for the financial and substantive progress of results of projects and programmes.			

III) Lessons learned from past mistakes and failures.			
IV) Disbursement of funds to the goals for which these funds were raised.			
V) An 'in control statement' by the board, laid down in the annual report, with regard to setup, existence and implementation of risk management and control systems, as well as risk insight and evaluation (see Section 6.1.2 on risk management).			
When requested by stakeholders or in the event that the organisation has received €250,000 or more in grants by the Ministry of Foreign Affairs, the organisation will use the IATI open data standard, following the rules recorded in the document 'How to use the IATI Standard, Publication Guidelines for Partners, Contractors and Suppliers of the Netherlands Ministry of Foreign Affairs'.			
8.2.2 Determining requirements for products and services			
<i>In addition to what is specified under a2): crucial requirements for the quality of the final product are:</i>			

I)	Context analyses and change strategies form the basis for defining programmes and projects;			
II)	The approach with regard to projects and programmes must be tailored to the target groups and meet their needs and wishes;			
III)	Projects and programmes must be coordinated with other organisations that focus on the same target groups with similar or complementary programmes or projects;			
IV)	Where relevant, cooperation must be sought with other stakeholders;			
V)	Projects and programmes are developed in consultation with partners and other stakeholders;			
VI)	Projects and programmes must be aimed at achieving a lasting improvement or can be continued by partners and/or target groups without external guidance (i.e. a durable solution);			

VII) Capacity development must be aimed at achieving durable capacity development solutions for partners.			
8.4 Control of processes, products and services supplied externally			
8.4.1 General			
<i>In addition to the requirements in this ISO section, the organisation establishes:</i>			
I. A selection procedure for partner organisations;			
II. Criteria for selection and evaluation of partner organisations;			
III. Periodic reviews of partner organisations.			
8.4.2 Type and extent of control			
The organisation establishes a financial monitoring system for organisations to which money or resources are allocated.			

When the organisation intends to visit projects or carry out financial or substantive audits at partner sites, the organisation should lay down the intended arrangements in the contract.			
8.4.3 Information for third party suppliers Contracts with partner organisations contain clearly formulated objectives, tasks, responsibilities, authorities, competences and qualifications of staff used, methods of monitoring and evaluation, and terms and conditions.			
8.5 Production and the supply of services			
8.5.1 Control of production and the supply of services			
<i>The organisation should minimally have:</i>			
I) An adequate financial and administrative organisation;			
II) A balanced long-term budget (at least T+3) including underlying assumptions based on the long-term policy plan;			
III) A planning and control cycle, including appropriate budget management;			

IV) A financial supervision system for organisations to whom funds or resources are allocated;			
V) A review cycle, including substantive and financial reports;			
VI) An anticorruption and fraud policy;			
VII) A sanction policy with regard to parties to whom funds or resources are allocated;			
VIII) A code of conduct establishing internal rules and good manners and including integrity policy and diversity policy;			
IX) Professional procedures and methods for performing context analyses, change strategies and monitoring & evaluation;			
X) A system to ensure that projects and programmes meet the purchasing requirements specified by the donors;			
XI) Information published in accordance with IATI standards shall be tested for quality, reliability, security and privacy risks prior to			

publication. This scope of this test is laid down in and/or guaranteed by the quality system.			
8.6 Release of products and services			
The organisation shall monitor its projects and programmes and evaluate them in a suitable manner.			
9 Performance evaluation			
9.1 Monitoring, measuring, analysing and evaluating			
9.1.1 General			
<i>The organisation applies suitable methods for the planning, monitoring and evaluation (PM&E) of its projects and programmes. The PM&E system fulfills the following criteria:</i>			
1) Generates usable and valid data;			
2) Provides insight into the input, output, outcome and, when possible, the impact of projects and programmes;			

3) Includes a baseline measurement if the costs of such a study are proportionate to the costs of the project or programme;			
4) Makes adjustments to projects and programmes when necessary;			
5) Evaluates projects and programmes in a suitable manner;			
6) Defines project and programme objectives that can be evaluated;			
7) Is able to comply with donor requirements.			
<i>The organisation:</i>			
I) Is committed to effectiveness both in its own internal organisation and in projects and programmes;			
II) Employs standards for management and administration costs to ensure these costs remain proportionate to the expenditure on objective-related projects and programmes;			

<p>III) Employs standards for fundraising costs to ensure these costs remain proportionate to the expenditure on projects and programmes geared towards achieving the objective.</p>			
<p>10 Improvement</p>			
<p>10.1 General</p> <p>The organisation has in place systems and methods for learning at project, programme and organisational levels. Learning takes place within the organisation as well as through the exchange of expertise with partner organisations and other IC organisations. New projects and programmes are based on lessons learned in the past.</p>			
<p>10.2 Nonconformities and corrective actions</p> <p>The organisation has in place a complaints procedure. Part of this procedure is an independent commission. The complainant can turn to this commission to verify whether the complaints procedure was carried out correctly.</p>			