

Ministry of Foreign Affairs and Trade

MANATŪ AORERE

Manaaki

"Uplifting mana, through listening, supporting and empowering"

Guidelines

CLIMATE ROUND - MAY 2023

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Introduction

Manaaki: “uplifting mana, through listening, supporting and empowering”

All applicants should read these Guidelines before they submit an application for Manaaki.

The Ministry of Foreign Affairs and Trade (MFAT) established Manaaki to support New Zealand registered non-government organisations (NZNGOs) working with local civil society organisations (CSOs) (and other partners, on a case-by-case basis) to deliver impact that aligns with, or complements, the [New Zealand International Development Cooperation \(IDC\) Programme priorities](#). Through a contestable and transparent annual selection process, MFAT will fund activities in priority developing countries that reach vulnerable and/or marginalised people and groups so that no one is left behind.¹

In August 2022, Minister Mahuta launched the Aotearoa New Zealand International Climate Finance Strategy - Tuia te Waka a Kiwa (ICFS). The Manaaki Climate Round is designed to support principal climate change mitigation and adaptation activities delivering at the community level. A principal climate Activity is where the main outcome of an activity (or investment) is about addressing climate change. This means:

- Addressing climate change risks or opportunities is fundamental to the Activity and clearly expressed in the Concept Note
- The Activity includes climate change as an important high level outcome in the Results Framework
- Climate change is explicitly addressed through specific outputs

Note that all new climate finance activities must be principal climate.²

The Manaaki Climate Round will make up to NZ\$8 million available for investment, NZ\$5.5 million of which is guaranteed within the ICFS 2022-2025 period. MFAT’s investment will range in size from NZ\$100,000 to NZ\$1.25 million across the life of an activity. Activities funded under the Manaaki Climate Round will not require co-investment from NZNGOs. This is a fixed-term measure which will not apply to the regular Manaaki rounds. Approved Manaaki activities will have a two to three year implementation timeframe. As funding beyond the current ICFS 2022-2025 period is not guaranteed, organisations applying to the Manaaki Climate Round for three year activities will need to carefully consider how they may continue their activities in a third year or phase out early if further funding is not made available. This may include planning for seeking alternate funding sources.

Manaaki will be guided by [New Zealand’s International Cooperation for Effective Sustainable Development \(ICESD\)](#) principles and will contribute to the delivery of the Sustainable Development Goals, Pacific Resilience outcomes and other New Zealand IDC Programme priorities. MFAT will pursue impact through development outcomes that are: effective, inclusive, resilient and sustained. Eligible focus areas include: economic resilience, climate change, non-climate change environmental issues (such as environmental degradation, invasive species, habitat loss and pollution), human development (especially health and education), inclusive development (e.g. women’s political and economic empowerment, child and youth), human rights (e.g. a human rights based approach to development, disability rights, SOGIESC rights³, indigenous rights), governance and democracy and other bilateral and regional aid programme priorities.

¹ Defined as people and groups experiencing, or at risk of, discrimination and exclusion by historic, existing and/or emerging economic, social, geographic and political inequalities, and humanitarian situations of crisis, conflict and fragility, which render them disadvantaged and at risk of being left behind by the usual development processes and benefits.

² See Annex 3 on page 29.

³ Sexual Orientation, Gender Identity, Gender Expression, Sex Characteristics

Manaaki will fund activities delivered through established relationships between NZNGOs and local CSOs that address local problems, respond to local priorities as articulated by communities and their legitimate representatives and that deliver on national priorities. In some circumstances (e.g. where an in-country CSO does not exist) Manaaki will consider funding activities with an in-country partner that is a non-CSO. To be considered, the activity must strengthen civil society, have community development at its core, and meet all other criteria of the Manaaki Fund.⁴

Only NZNGOs that meet the eligibility and due diligence criteria, including having a track record of effectively managing international development funding for at least three years, will be able to access funding.

These guidelines provide details for applicants on eligibility and the application process.

Manaaki Climate Round opens on Tuesday 30th May 2023 with concept note applications due by 11am Tuesday 1st August 2023.

1 Overview

1.1 How Manaaki will operate

The Manaaki Climate Finance Round will be an efficient mechanism to deliver climate mitigation and/or adaptation development impact in the Pacific (at least 60% of funding) and other priority countries⁵ (up to 40%) for the New Zealand IDC programme.

The Manaaki Climate Finance Round will contribute to the following long-term outcomes of MFAT's engagement with New Zealand NGOs through:

- Increased impact in line with the Sustainable Development Goals, Pacific Resilience goals and other New Zealand IDC Programme priorities;
- Supporting positive relationships between MFAT and NGOs;
- Enhanced capacity of local partners and communities to address local development needs;
- Increased engagement of the New Zealand public in the New Zealand IDC Programme;
- Enhanced MFAT policy and programming with clear reference to local, regional and national priorities.

Alongside delivering New Zealand's commitment to enhance community resilience to the impacts of climate change through all Activities having a principal climate focus, Manaaki will be managed to:

- Focus on listening to local voices and respond to local priorities as articulated by communities and their representatives;
- Strengthen relationships between NZNGO and local CSOs;
- Support positive relationships between MFAT and NZNGOs;
- Minimise transaction costs for all parties.

Manaaki will prioritise activities and approaches which reach marginalised and/or vulnerable people and groups.⁶

⁴ If you would like to apply for funding to work with a non-CSO partner, please get in touch to discuss this prior to submitting an application by emailing PartneringForImpact@mfat.govt.nz

⁵ See section 1.4 on pages 4-5.

MFAT will use a portfolio approach to report annually on the portfolio's contribution to development impact in the Pacific and beyond. Information will be used to provide evidence of development results and promote broader understanding and greater participation by New Zealanders in New Zealand's international development cooperation in the Pacific and elsewhere.

1.2 Eligible NZNGOs

Manaaki will work through NGOs registered in New Zealand as not-for-profits that can meet the due diligence requirements, have demonstrated working relationships with local CSOs in the Pacific and/or beyond, and who can demonstrate a track record of effectively managing international development funding for at least three years. NZNGOs with [Negotiated Partnerships](#) are not eligible to apply.

1.3 Joint applications

MFAT welcomes joint applications to Manaaki between eligible New Zealand organisations. In many cases, this helps to strengthen some NZNGOs so that they can apply to Manaaki in future as the sole NZNGO applicant. A lead applicant must be designated for joint applications. The lead applicant must be a New Zealand based organisation. The lead applicant is accountable for the delivery of the activity and is the organisation that has the most significant role in coordinating and delivering the activity.

The lead applicant submits the concept application, and, if successful, enters into a contract with MFAT and is required to meet all of the Manaaki Due Diligence standards. The secondary NZNGO is strongly advised to ensure they meet Due Diligence requirements and are actively working toward standards that they do not meet, however they are not required to go through the formal due diligence process.

We would expect to see the following in joint applications:

- Partners to collaboratively engage in a common initiative at country level
- The Activity harnesses each of the agencies' strengths, synergies and links with the work of the in-country partner(s)
- The Activity governance structure is clearly outlined and the roles and responsibilities make sense for the proposed activity
- Shared understanding on systems and procedures for reporting or responding to incidents

MFAT does not require a legal structure between applicants to submit a joint application. However, organisations may wish to seek independent legal advice before submitting a joint application.

1.4 Geographic and sector focus

The following regions, countries and sectors have been prioritised and this will be taken into consideration when finalising the annual grant portfolio. Applicants are encouraged to discuss applications directly with MFAT, in New Zealand or at Posts, prior to submission in order to ensure strong alignment with regional and local development priorities for New Zealand.

Table 1: Geographic focus

Geographic Region	Manaaki Funding allocation
Pacific	At least 60%
South East Asia LDCs	No more than 40%

Figure 1: Manaaki Climate Finance Round: Geographic and Sector Focus

Primary sector focus: Climate Change

Sector	Pacific	South East Asia
Economic Resilience	●	●
Climate Change	●	●
Non-climate change environmental issues	●	●
Inclusive Development (e.g. youth, women's political and economic empowerment)	●	●
Human Development (especially health and education)	●	● (Timor Leste only)
Human Rights (e.g. disability)	●	●
Governance	●	
Democracy	●	

Pacific	Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tokelau, Tonga, Tuvalu, Vanuatu, Wallis and Futuna
South East Asia (Least Developed Countries)	Cambodia, Lao PDR, Myanmar ⁷ and Timor-Leste
Other Focus Countries	Assessed on a case-by-case basis.

⁷ Applications that focus on Myanmar will be assessed on a case-by-case basis due to health and safety risks associated with operating in a conflict-affected environment.

1.5 Eligibility

Eligibility: Investment is available to eligible NZNGOs where the following criteria have been met:

1. The applicant must be a New Zealand Charities Registered non-government organisation (NZNGO) <https://www.register.charities.govt.nz/CharitiesRegister/Search>.
2. The applicant and its partner must demonstrate how their activity will deliver sustainable development impact aligned with the Aotearoa New Zealand International Climate Finance Strategy and New Zealand IDC programme priorities.
3. The applicant and its partner must demonstrate how their activity will be principally climate change focused.
4. One concept note per partner per round. For partners submitting joint applications, the lead applicant cannot also submit a sole application, however secondary NZNGOs may apply as the sole or lead applicant in another concept note.
5. The applicant must pass a due diligence assessment which includes demonstrating a track record of effectively managing international development funding for at least three years.
6. The applicant must demonstrate a relationship with a local civil society organisation or partner.
7. The applicant and its partners must demonstrate how they will work together and reflect the interests and demands of local communities – especially marginalised and/or vulnerable populations⁸ – as well as alignment to national development priorities.
8. The applicant and its partner/s must demonstrate how they will effectively engage with New Zealanders.

Ineligible activities: Manaaki **will not** fund the following:

1. NGOs who have a Negotiated Partnership Arrangement or other partnerships with MFAT
2. Activities in which the New Zealand organisation adds little or no value, i.e. is acting only as a conduit to transfer funds
3. Promotion of, or engagement in, religious or political activities
4. Stand-alone feasibility studies and/or pure research (activities with small research components that comprise up to 20% of the total budget and clearly contribute to activity implementation will be considered)
5. Fees or costs associated with an international branch or overseas partner of the applicant where the partner cannot demonstrate added value to the activity
6. Retrospective activities
7. Activities that build in profit margins beyond reasonable market rates
8. Activities that appear to require indefinite funding support to achieve sustainable outcomes
9. Advocacy activities within New Zealand
10. Activities that predominantly are the supply of goods and services for which MFAT considers a more appropriate route is via a competitive procurement process

⁸ See footnote 2 on page 2.

11. Activities which contravene New Zealand's international legal commitments, trade obligations, trade agreements or policy positions in international negotiations
12. Equity grants or loans
13. Micro-finance as part of the Activity delivery, except where the Activity is not-for-profit and where any repaid micro-finance funds and interest form a revolving fund
14. One-off advisory missions
15. Activities relating to manufacturing, distributing or selling arms, tobacco, alcohol, gambling products or services; and/or that negatively impact human rights, gender equity or the environment; and/or directly or indirectly support terrorists
16. Activities in which the MFAT contribution would not fall within the [OECD Development Assistance Committee definition of Official Development Assistance](#)
17. Research, conferences, seminars, training events (unless these are at the community-level as part of the activity outputs) and/or exchanges to New Zealand or partner country
18. Costs associated with participants attending events
19. Substantial freight of goods supplied to the overseas country
20. Major capital expenditure (purchase of buildings or land)
21. Activities considered to be welfare activities, for example on an individual or family rather than a community basis and/or activities that are implemented long term without a clear exit strategy. Some examples include:
 - activities that involve unskilled volunteers supporting orphanages
 - providing food or medicinal supplies to residential care institutions
22. Activities that are determined to be contrary to the interests of New Zealand
23. Providing funding to, inadvertently or otherwise, designated terrorist entities as listed on the [New Zealand Police website](#).

2 Operating principles

The operating principles of Manaaki will be applied to decide which applicants will be supported, who the fund will target and how activities will be designed, delivered and implemented.

The operating principles ensure the management of Manaaki contributes to the fund's short, intermediate and long-term outcomes.

Manaaki Climate Finance Round operating principles:

- Activity has a principal climate mitigation and/or adaptation focus
- Focus on reaching vulnerable and/or marginalised people and groups⁹
- Emphasis on quality relationships with local civil society organisations and their constituents
- Supports local context, understanding and genuine representation
- Responsive to community needs and locally identified priorities
- NZNGOs are working to their strengths
- NZNGOs have strong relationship with a New Zealand constituency
- Focus on sustainability of outcomes
- Protects and promotes human rights (including gender and inclusion) and environmental sustainability
- Enable collaboration to achieve enhanced development impact, where appropriate
- Efficient process and engagement with MFAT
- Transparent decision making
- Confirmed additionality - activity is not an existing initiative or work programme scheduled to happen anyway
- NZNGOs will meet eligibility requirements
- At least 60% of MFAT investment is focused on the Pacific Region
- Align with or complement partner country, Aotearoa New Zealand Climate Finance Strategy, and New Zealand IDC programme priorities
- New Zealand and in-country operative costs must sit within 10% of the total Activity budget

⁹ See footnote 2 on page 2.

3 Funding process

The process is designed to maximise efficiency and achieve the Manaaki objectives. The development and assessment of concept notes, due diligence and designs will confirm the:

- 1 Eligibility of the activity and the NZNGO and partners.
- 2 Activity objectives and outcomes, how they impact on the local communities and how they align with partner country Aotearoa New Zealand's International Climate Finance Strategy (ICFS), and New Zealand IDC programme development priorities.
- 3 Activity has a principal climate mitigation and/or adaptation focus.
- 4 Relationship between the NZNGO and local CSO and map out key roles and responsibilities.
- 5 Feasibility of proposed implementation including how the NGO is best placed to deliver and other stakeholder relationships.
- 6 Proposed monitoring and evaluation and reporting approach and how they will be delivered.
- 7 Timeframe and support available to develop a detailed design, workplan and budget.

Table 3 provides an overview of the funding process and this is elaborated in the sections below and their supporting annexes.

Table 2: Overview of Manaaki Climate Finance Round 2023 funding process

Stage 1: Request for NZNGO applications 30 May 2023 – 1 August 2023	<ul style="list-style-type: none"> NZNGO eligibility self-assessments NZNGO concept note that aligns with Aotearoa New Zealand's International Climate Finance Strategy (ICFS) and New Zealand IDC programme priorities
Stage 2: Appraisal August – September 2023 September – October 2023	<ul style="list-style-type: none"> MFAT undertakes internal and external appraisal of Concept Notes MFAT reviews Concept Note assessments MFAT approves Manaaki Portfolio Applicants informed of the outcome of their application MFAT engages external due diligence assessments (for new partners) which need to be completed before design
Stage 3: Detailed design and contracting September 2023 – April 2024 (approximately 3 months for design, 3 months for appraisal and contracting – longer timeline includes process for new partners to complete due diligence)	<ul style="list-style-type: none"> MFAT approves contribution towards expenses for design MFAT facilitates input from the Partnerships Team, bilateral, post and technical expertise as necessary MFAT appraises design and/or engages external assessment. Appraisal involves Partnerships Team, bilateral, post and technical experts as necessary. NZNGO contracted

Stage 4: Implementation,
monitoring and reporting

March 2024 – ongoing

- Annual activity reporting
- Annual Manaaki Portfolio reporting

3.1 Stage 1: Request for applications

3.1.1 Due diligence assessment

The due diligence assessment will be undertaken to ensure that MFAT supports high performing, legally compliant and registered NZNGOs who can demonstrate international development best practice and work closely with local CSOs that reflect the needs and demands of local communities. Refer to Annex 2 for the due diligence framework and criteria.

Note: Organisations that have passed Manaaki due diligence within the past five year do not need to repeat due diligence. However, they do need to declare any substantive changes that may impact their previous due diligence assessment (page 16).

Due diligence assessment is conducted in two stages:

1. NZNGOs will complete a self-assessment against the eligibility criteria and due diligence standards in Annex 2 and confirm that they are able to provide all mandatory documentation.¹⁰ If the NZNGO assesses that it satisfies due diligence standards after completing the form in Annex 3, then it can submit a concept note in Annex 4.

Note: If an NZNGO is not able to satisfy all due diligence criteria and provide all mandatory documentation in line with the requirements outlined in this document, then it should not submit a concept note and/or should seek further guidance from MFAT. The purpose of the self-assessment is to maximise the efficiency of the process and ensure that NZNGOs, local CSOs, communities and MFAT do not invest in developing and assessing concept notes that will not be eligible for funding.

2. If the concept note is approved, then the NZNGO will be invited to submit all mandatory documentation for due diligence. This submission will be reviewed by an external provider to recommend to MFAT whether the NZNGO meets the due diligence standards.

For organisations not yet able to meet the due diligence requirements, the self-assessment process can be used to identify areas to strengthen capability and then re-assess whether an organisation could be eligible for future Manaaki funding.

How do the MFAT due diligence frameworks work alongside the Council for International Development Code of Conduct?

MFAT views its due diligence frameworks and Council for International Development (CID) Code of Conduct as complementary.

The CID Code of Conduct is a voluntary, sector self-regulated code of good practice, which MFAT sees as crucial for raising awareness and encouraging best practice and accountability within the New Zealand

¹⁰ The due diligence assessment seeks to confirm that NZNGOs are currently meeting due diligence standards and are already actively applying the policies and processes described in the mandatory documentation. Policies developed for the purpose of meeting the due diligence standards will generally not be accepted as NGOs will need to demonstrate ongoing review of policies, with the exception of mandatory documents marked with one asterisk* (i.e. a letter of support from the in-country partner) and the documents noted via the footnotes in the due diligence as being able to be under development.

international development sector. MFAT's due diligence is a rigorous evidence-based process, which seeks to provide the Government and New Zealand taxpayers with the reassurance that organisations receiving funding have been objectively and independently verified as meeting key criteria.

Being a signatory to the CID Code of Conduct provides an additional source of verification for various domains within the Manaaki Due Diligence process, but it is not a mandatory requirement. This is to ensure that Manaaki is widely accessible to a diverse range of NZNGOs. If any NGO receiving Manaaki funding was not a CID member or Code of Conduct signatory, MFAT would encourage them to consider joining and becoming a signatory.

3.1.2 Concept Note

The concept note template provides an overview of the proposed activity and evidence of the relationship between the NZNGO and local NGO. This will form the basis for a preliminary business case for MFAT to co-invest in an activity.

The concept note confirms:

- 1 The country of the proposed activity
 - 2 The sector of the proposed activity
 - 3 The problem definition and opportunity
 - 4 Who will benefit
 - 5 The total budget required for the proposed activity
 - 6 The investment requested from MFAT
 - 7 The strength of the relationship with the New Zealand public
 - 8 Expected long term outcomes and how they align with MFAT development priorities
 - 9 Local voice and representation
 - 10 Delivery feasibility and risk, and
 - 11 Value for money
-

MFAT will review the concept notes and apply an assessment rating as described in 3.2.

3.2 Stage 2: Concept appraisal

The application will be assessed to determine it meets the eligibility criteria outlined in section 1.5. If it does, assessment of the concept note will be undertaken based on the four assessment areas (with an additional section on responding in the COVID-19 context also taken into account):

1. **The relevance and effectiveness of the strategic investment** – Applicant needs to demonstrate that the Concept is based on sound knowledge of the context and inclusive of approaches which will reach vulnerable and/or marginalised people and groups.
2. **The local investment** – Proposed activities must be based on genuine partnership with local CSO partners who can demonstrate a connection to communities and can represent community needs and voices, utilising a strengths-based approach. Manaaki applicants must also demonstrate how their activities will strengthen local civil society in order to build long-term resilience.
3. **The management feasibility** – MFAT needs to be confident that the intended delivery of activities will be effectively project managed with clear roles and responsibility for respective parties based on demonstrated capability.

4. **The financial investment** – MFAT needs to be confident the financial investment will allow efficient delivery of all activities and offer value for money.

Applicants responses to assessment questions in each area will be assessed according to the framework provided in Annex 5. Each of these four assessment areas has been weighted at 25%. Applications exceeding page/word limits may face point deductions. The selection of successful concept notes will be based on a two-stage process:

- **Review of individual concept notes (primary process):** Concept notes will be reviewed by an external assessor, the MFAT Partnerships Unit and MFAT posts, bilateral and thematic teams as appropriate. Individual assessment questions will be scored from 1-5 and scores will be averaged for each assessment area. Manaaki will prioritise the highest scoring concept notes in line with the fund's objective to support strong projects to achieve impact.
- **Review of the portfolio (secondary process):** Once the highest scoring concept notes are identified, MFAT will review the portfolio to ensure that 60% of funding will be focused on the Pacific. If the highest scoring concept notes (those receiving scores of 4 and 5 in all assessment areas) represent more than NZ\$6 million, then MFAT will consider the complementarity of concepts in the portfolio and the extent to which MFAT's geographic and sectoral priorities are represented. If the highest scoring concept notes represent less than NZ\$6 million, then MFAT will consider concept notes which have scored 3 in any of the assessment areas.

MFAT will provide feedback to successful and unsuccessful applicants through a phone call to discuss the assessment and written feedback on performance in each assessment area.

As noted above, if an NZNGO's concept note is selected, then they will be required to provide all mandatory documentation (and supplementary evidence as required) to demonstrate compliance with MFAT's due diligence standards (unless the applicant has already passed Manaaki due diligence). An independent provider will undertake the due diligence assessment of the NZNGO.

3.3 Stage 3: Detailed design and contracting

For successful concept notes MFAT will provide a contribution to expenses to develop a full design. MFAT will confirm in writing that it will provide this support. Contribution to design costs will be 8% of the MFAT co-investment amount, up to a maximum of \$40,000, with half paid once MFAT has completed its due diligence process and half on receipt of a design sufficient for appraisal.

Submitted designs will be appraised and applicants will be advised of the outcome of the appraisal.

A design document template will be provided to applicants with successful concept notes. This includes:

-
- The Goal
 - Problem and/or opportunity
 - Optioneering
 - Expected results and long-term, medium-term and short-term outcomes
 - Who will benefit (how will vulnerable and/or marginalised people and groups be reached?)
 - Actual outputs to be delivered
 - Clear roles and responsibilities of the NZNGO and local CSO partner
 - Stakeholder mapping
-

-
- A comprehensive activity work plan
 - Detailed Risk Matrix and Management Plan
 - A complete budget
 - Verification as to how co-investment and in-kind contributions will be made available/sourced
 - A monitoring and evaluation framework that confirms how information will be captured at the input, activity, output and outcome levels¹¹
 - A New Zealand constituency engagement plan
 - A table of deliverables (e.g. progress reports, acquittals and constituency engagement products)
-

When designs are approved, MFAT will negotiate Grant Funding Arrangements (GFA) with the NZNGO.

Together MFAT and the NZNGO will agree:

- a tranche payment schedule
- a reporting and acquittal schedule linked to the payment schedule, and
- a monitoring schedule.

MFAT may independently monitor activities in coordination with NZNGO and local partners.

3.4 Stage 4: Implementation

The design document will guide project implementation and all monitoring, reporting and performance assessment will be based on the programme theory and results framework therein. Further guidance on how Manaaki will align with and report against MFAT's development, partnerships and public diplomacy outcomes can be found in the overarching monitoring, evaluation, research and learning (MERL) Framework for the Partnering for Impact Programme.

If you have any questions about the Manaaki Guidelines, please contact:

PartneringforImpact@mfat.govt.nz.

¹¹ It will be critical to demonstrate how beneficiaries and local partners will be enabled and encouraged to provide direct reports and feedback.

How to complete the application

Annex 1 Applying to the Fund

The Ministry of Foreign Affairs and Trade (MFAT) uses the information you provide to determine the application eligibility and which concept notes should proceed to design. It is important that you provide all information requested. Please write as concisely as possible.

Reviewing the guidelines and writing your application:

- **Please read the Manaaki Guidelines for Applicants and the Manaaki Application Form in full** before starting to fill them out. Take particular care when reading through the eligibility and ineligibility sections (at 1.5) as well as the due diligence self-assessment and concept note template sections.
- **Please complete the due diligence self-assessment first** to determine whether your organisation meets the criteria to apply to the fund. Do **not** submit a concept note if your organisation is not able to satisfy all due diligence criteria and provide all mandatory documentation.
- **Only applications using the Manaaki Application Form concept note template format will be accepted.** The completed concept note must comply with the indicated A4 page limits. Applications exceeding page/word limits will face point deductions. Please enter information using the headings in the guidance provided in the template.

Sending your application:

- **Please submit documents as word documents**, *do not* convert them to PDFs (with the exception of the signed declaration if this is a scanned pdf).
- **Required information includes:**
 - a. Due diligence self-assessment form or the declaration at the end of Annex 4 for NGOs that have previously passed due diligence (Annex 4)
 - b. Concept note application form (Annex 5)
 - c. Signed declaration (see Annex 7)

No additional documentation will be considered.

- **Please email all three completed documents by 11am Tuesday 1 August 2023 to Partnering for Impact: partneringforImpact@mfat.govt.nz**

If you have any questions or would like to discuss your application, please get in touch by emailing partneringforImpact@mfat.govt.nz.

Annex 2 Due Diligence Assessment

The due diligence assessment will be undertaken to ensure that MFAT supports high performing, legally compliant and registered NZNGOs who can demonstrate international development best practice and work closely with local CSOs¹² that reflect the needs and demands of local communities. Note:

1. Organisations that have passed Manaaki due diligence from a previous round do not need to repeat due diligence. However, they do need to declare any substantive changes that may impact their previous due diligence assessment by completing the due diligence declaration on page 1 of the application form.

Due diligence assessment is conducted in two stages:

1. NZNGOs will complete a self-assessment (see Annex 4 in the application form) against the following due diligence standards and confirm that they are able to provide all mandatory documentation. If the NZNGO believes it satisfies due diligence standards after completing the self-assessment form, then it should submit a concept note in Annex 3.

Note: If an NZNGO is not able to satisfy all due diligence criteria and provide all mandatory documentation in line with the requirements outlined in this document, then it should not submit a concept note and/or should seek further guidance from MFAT. The purpose of the self-assessment is to maximise the efficiency of the process and ensure that NZNGOs, local CSOs, communities and MFAT do not invest in developing and assessing concept notes that will not be eligible for funding.

2. If the concept note is approved, then the NZNGO will be invited to submit all mandatory documentation and explanatory narrative. This submission will be reviewed by an external provider to make recommendations on whether the due diligence standards have been met and/or whether strengthening could be undertaken during design and/or implementation that would enable standards to be met. MFAT reserves the right to ask for additional information where necessary to ensure it can verify a standard is met.

The due diligence assessment seeks to confirm that NZNGOs are currently meeting due diligence standards and are already actively applying the policies and processes described in the mandatory documentation. Policies developed for the purpose of meeting the due diligence standards will not generally be accepted¹³ as NGOs will need to demonstrate ongoing review of policies, with the exception of mandatory documents marked with one asterisk* (i.e. a letter of support from the in-country partner) and the documents noted via the footnotes as being able to be under development. For organisations not yet able to meet the requirements, the self-assessment process can be used to identify areas to strengthen prior to future Manaaki funding applications.

¹² See footnote 1 on page 2.

¹³ Exceptions may be considered on a case by case basis.

	STANDARD	INDICATORS: NGO IS (OR HAS)	MANDATORY EVIDENCE	WHAT ASSESSORS TEST
1	NGO is a legally established not-for-profit with a head office or primary place of business in New Zealand	Registered in New Zealand as a Charitable Trust or Incorporated Society Registered as a not-for-profit on the Charities Register	Registration number	Confirm entity is a NZ charitable organisation registered and based in NZ Confirm location of head office is in NZ Confirm NGO is up-to-date with its filing requirements.
2	NGO has adequate structures and systems for governance, management, and accountability to stakeholders	A suitably qualified and functioning Board that operates as per the NGO's governing instruments A suitably qualified and functioning management team Policy and procedures to identify, report, and (if appropriate) manage conflicts of interest	Governing Instrument (Constitution or Trust Deed) List of governing members summarising experience, qualifications* List of key management personnel summarising experience, qualifications* Conflict of Interest (COI) Policy (or equivalent ¹⁴) which outlines: how COI are identified; how often they are updated and what procedures are to be followed when a COI is identified Copy of current COI register	Confirm that the Governing Instrument provides sufficient detail about the board's structure, its terms, appointment requirements and responsibilities Confirm that the Board meets regularly to carry out its responsibilities Check that the recruitment process for Board/Management is robust Check that collectively, the Board has sufficient skills and experience to fulfil the roles and responsibilities documented in the governing documents Check that collectively, the Management team has sufficient skills and experience to fulfil key management and program roles and responsibilities Confirm there is an appropriate process to identify and manage COIs, and that COIs are updated regularly

* Can be produced for the purposes of the due diligence process/this application.

¹⁴ i.e., manual, documented procedures or guidelines.

	STANDARD	INDICATORS: NGO IS (OR HAS)	MANDATORY EVIDENCE	WHAT ASSESSORS TEST?
3	Relationship with New Zealand constituency	<p>Able to clearly identify New Zealand constituency/supporter base</p> <p>Evidence of communication outreach strategies to constituency</p> <p>Evidence of capacity to communicate MFAT support</p>	<p>Annual Report or equivalent¹⁵ (or link to website) which describes engagement with the New Zealand public¹⁶ and demonstrates donor acknowledgement</p> <p>Statement of willingness to communicate MFAT support*</p> <p>Two examples of relationship with New Zealand constituency i.e. social media, membership, supporter newsletters.</p>	<p>Confirm Annual Report or equivalent documents/website describe engagement with the New Zealand public and demonstrate donor acknowledgement</p> <p>Check the statement presented explicitly states willingness to communicate MFAT support</p> <p>Confirm relationship examples are recent and target the NGO's NZ constituency and/or supporter base.</p>
4	NGO has appropriate financial systems and controls	<p>Documented policies and transparent procedures to account for funding</p> <p>Accounting systems that can effectively, efficiently and transparently manage and monitor the use of public funds</p> <p>Financial systems for controlling general ledger and project ledger</p> <p>Annual audited/reviewed financial statement</p>	<p>Financial Policies and/or procedures manual provides details on how the NGO actions receipting grants, partner funds transfer, acquittals, cash management, monthly reconciliation process, budget management, payment controls, separation of roles, foreign exchange/interest rate gains, internal audits/controls</p> <p>Financial Delegation policy</p> <p>Name of accounting system and a chart of accounts (list of General Ledger accounts)</p> <p>Signed copy of audit/reviewed¹⁷ Financial Statements and copy of audit/reviewer's management letter¹⁸ (3 years).</p>	<p>Confirm there is an appropriate policy or manual including for each of the following: receipting grants, partner funds transfer, acquittals, cash management, monthly reconciliation process, budget management, payment controls, separation of roles, foreign exchange/interest rate gains, internal audits/controls</p> <p>Confirm Financial Delegation policy is appropriate, <2 years old; and includes one-up approval for discretionary expenditure</p> <p>Check General Ledger codes allow revenue and expenses to be tracked at a sufficient level of detail to report on the differing types of income and expenditure</p> <p>Identify if an audit/review has identified any control or misrepresentation issues relevant to this due diligence.</p>

¹⁵ Public publication or accountability reporting.

¹⁶ This can include the public in New Zealand, New Zealand citizens based offshore and New Zealand based private sector.

¹⁷ Financial statements must be audited by a qualified auditor if the total operating expenditure for the previous two years was over \$1m. Between \$1m-\$500k financial statements must be either audited or reviewed by a qualified auditor. Less than \$500k financial statements are not required by law to have an audit or review unless required by the NGO's rules (e.g. trust deed, constitution or charter) or as a condition of receiving a grant.

¹⁸ The letter or report provided by your auditor to management and governance at the end of the audit which sets out the key areas of focus during the audit, recommendations for improvements, any audit adjustments, and required communications.

	STANDARD	INDICATORS: NGO IS/HAS	MANDATORY EVIDENCE	WHAT ASSESSORS TEST?
5	NGO is in a sound Financial Position	<p>Assets are of greater value than liabilities, and sufficient liquidity and working capital and reserves to meet existing and planned commitments</p> <p>The capacity to raise funds from the New Zealand public¹⁹</p> <p>Operating within any bank covenants</p>	<p>Audited/reviewed Financial Statements (3 years) - <i>assessor will use those provided in Standard 4</i></p> <p>Statement of fundraising over past three years*</p> <p>Reserves Policy</p> <p>Any Bank covenants</p>	<p>Check NGO received an unqualified opinion for the last 3 years and seek further information if required</p> <p>Check the working capital ratio is sufficient given the size of the organisation</p> <p>Check whether recent years show signs of a deteriorating working capital position, and seek further information if required on the causes and implications of this</p> <p>Check the value (and quality) of assets is greater than the value of liabilities</p> <p>Check revenue streams indicate the NGO can continue to consistently raise funds from the public to cover expenses and that it is not reliant on MFAT funding</p> <p>Review use of reserves is in line with reserves policy and that NGO can meet Manaaki's co-investment criteria (section 1.3).</p> <p>If applicable, check NGO meets terms of bank covenants.</p>
6	NGO has systems to prevent funding terrorism	Systems and processes for countering financing of terrorism which are consistent with New Zealand counter terrorism legislation and include a verifiable process for ensuring that partners (and any downstream sub-grantees or pertinent contractors) are	<p>Counter-Terrorism Policy and procedures which contain at a minimum, but not limited to:</p> <ul style="list-style-type: none"> i) references to the Anti-Money Laundering and Countering Financing of Terrorism Act 2009, and Terrorism Suppression Act 2002 ii) requires reviews of all organisations and individuals regularly against global lists of 'terrorist organisations' iii) the frequency of the check is documented iv) the prevention procedures in place in the staff recruitment process 	<p>Confirm policy and procedures contain elements (i) -(viii)</p> <p>Confirm screening has been done for partners</p> <p>If applicable, confirm screening has been done for downstream partners/sub-contractors.</p>

¹⁹ This can include funds raised from the public in New Zealand, New Zealand citizens based offshore, New Zealand based philanthropic organisations, income from New Zealand based services and NZ based private sector.

	STANDARD	INDICATORS: NGO IS/HAS	MANDATORY EVIDENCE	WHAT ASSESSORS TEST?
		regularly checked against published lists	<p>v) details the steps on how any issues identified are reported to management</p> <p>vi) a 'counter-terrorism' clause is written into all partner agreements</p> <p>vii) direct partners or potential partners checked against the NZ terrorism watch lists annually</p> <p>viii) identifies where these checks are stored</p> <p>Evidence of terrorism screening check²⁰ of downstream implementing partners/subcontractors if the terrorism risk is rated minor or above*.</p>	
7	NGO has systems in place to prevent, manage and report fraud, bribery, and corruption	<p>Policies and control mechanisms that enable the prevention and detection of fraud, bribery and corruption including processes for investigating suspected fraud, reporting to donors and consequences</p> <p>Confidential safe reporting of wrongdoing (see Standard 13)</p>	<p>Fraud Control Policy/and procedures which contain at a minimum, but not limited to:</p> <p>i) an explicit definition of actions that are deemed to be fraudulent/corruption</p> <p>ii) allocation of responsibilities for the overall management of fraud</p> <p>iii) a statement that all appropriate measures to deter fraud will be taken</p> <p>iv) the formal procedures which employees should follow if fraud is suspected</p> <p>v) notification that all instances of suspected fraud will be investigated and reported to the appropriate authorities</p> <p>vi) the steps to be taken in the event fraud is discovered and who is responsible for taking these actions</p> <p>vii) confidential safe reporting internal & external</p> <p>An explanation* and recent evidence of how the NGO promotes awareness of a) fraud risk and b) how staff can report fraud</p>	<p>Confirm Fraud Control Policy/and procedures contain elements (i) -(vii)</p> <p>Confirm allocation of responsibilities for the overall management of complaints</p> <p>Confirm suitable policy and procedures exist to easily enable protected disclosures/whistle blowing/complaints internally and externally (see Standard 13)</p> <p>Verify:</p> <ul style="list-style-type: none"> training is provided to the staff around fraud, confidential reporting/ protected disclosures (whistleblowing), and bribery policies are communicated to staff

²⁰ Can be a checklist outlining date and result of check.

	STANDARD	INDICATORS: NGO IS/HAS	MANDATORY EVIDENCE	WHAT ASSESSORS TEST?
8	NGO has effective project management systems	Documented guidelines and or systemic procedures for project management (design, appraisal, reporting) through the project cycle	Documented guidelines and/or procedures for project management which cover design, appraisal, progress and risk reporting and monitoring, evaluation, research and learning (MERL) Two pieces of evidence to demonstrate two different project management phases An explanation of how the organisation tracks various projects* (i.e. through a project management system, excel or another IT application), and evidence of this.	Confirm guidelines and/or procedures cover design, appraisal, progress, risk reporting, and monitoring, evaluation, research and learning (MERL) Check the evidence provided demonstrates the application of the guidelines/procedures Check the evidence provided demonstrates effective project management oversight.
9	NGO can demonstrate a track record of effectively managing international development funds	A history of effectively implementing and completing international development projects Past completion reports and performance reports	Table of international funds/ or projects implemented in the past three years including activity purpose, location, duration and funding amount* Any other evidence (evaluations/ referee reports/other donor performance reports etc.)	Confirm table shows a 3-year track record of implementing international development projects Confirm that a positive referee or donor evaluation report is provided for 1 or more of these projects Check MFAT Performance reports if relevant/available
10	NGO can demonstrate an organisational commitment to good practice development	Able to demonstrate an understanding of 'ineligible' activities (e.g. proselytism, partisan political activities) Able to demonstrate commitment to gender in development and inclusive development approaches	Confirmation of CID membership, or, if not a member, a Statement or Policy which demonstrates the NGO understands that good development practice does not involve supporting activities such as welfare, partisan politics, and evangelism / proselytism Gender Policy ²¹ (or equivalent) outlining the NGO's commitment to gender/gender equality. This should include organisational commitment (e.g gender balance on governance and recruitment processes) and development practice (development strategy) and how gender is considered throughout the project cycle. Policy on Inclusive Development/Disability Inclusion ²² (or equivalent) outlining the NGO's commitment to	Sight CID signatory status (Obligation B1.5 Non-Development Activity), or if a not a member, check the NGO has a Statement or Policy which demonstrates that the organisation understands that good development practice does not involve supporting activities such as welfare, partisan politics, and evangelism / proselytism Check that the NGO has a commitment to gender/gender equality & has a plan to ensure gender is sufficiently considered in it's own organisational commitment, as well as in design, implementation, monitoring, evaluation, research and learning** Check that the organisation has a commitment to inclusive development and has a plan to ensure inclusive development is sufficiently considered in design, implementation, MERL

²¹ Can be policy, manual, documented procedures or guidelines in development/recently redrafted but must show sufficient commitment/understanding to give MFAT confidence its practical application can be demonstrated during Manaaki design.

²² As per the footnote above.

	STANDARD	INDICATORS: NGO IS/HAS	MANDATORY EVIDENCE	WHAT ASSESSORS TEST?
			inclusive development/meeting the needs of people with disabilities and how this is considered throughout the project cycle	** Some NGOs may prefer to outsource advice and/or planning expertise if in-house resources are limited.
11	NGO can demonstrate the application of effective Health and Safety systems	<p>Able to demonstrate commitment to effective Health and Safety (H&S) from senior leaders including that leaders and workers are competent in the work they manage, supervise or conduct; how risks are identified, assessed and controlled; how incidents are managed and reported; how H&S performance is monitored and improvements made; and how co-ordination is undertaken with partners where duties overlap</p> <p>Sufficient H&S capability to complete a specific safety plan for anticipated scope of activities that identify relevant hazards and means of eliminating or minimising risks of serious harm to workers</p>	<p>Health and Safety Policy/Manual that has been reviewed in the last 12 months which includes:</p> <ul style="list-style-type: none"> • how the NGO ensures the physical, mental, and emotional well-being of workers and prevents work-related injuries and diseases including systems for monitoring competency and task related training²³ • how the NGO will consult, co-ordinate and co-operate with other partners where they share overlapping duties • how external feedback, concerns or complaints will be handled • how/when H&S training is undertaken • ensuring workers have the opportunity to engage in H&S matters • how incidents and hazards are reported (including serious incidents). (NB copies of templates to be included) • signature from CEO/management representative to demonstrate commitment from leadership <p>Example of a H&S Plan for anticipated* or previous activity (which demonstrates how policies and systems are reflected in a specific plan including training of staff/contractors for H&S/travel safety)</p> <p>Example of a risk register or any other document that outlines how risks are identified, assessed and managed through appropriate control measures</p> <p>One example to demonstrate H&S is monitored and improvements made i.e. copy of a health and safety</p>	<p>Check the Health and Safety Policy/Manual sufficiently:</p> <ul style="list-style-type: none"> • confirms commitment from leadership • demonstrates how the NGO plans to keep workers, contractors, sub-contractors, volunteers and other persons safe including via its awareness and training in hazard identification and job related safety • that it has a system in place that monitors competency of workers or volunteers including any task related training • outlines how the NGO will consult, co-ordinate and co-operate with other partners where they share overlapping duties • ensures workers have the opportunity to engage in health and safety matters • outlines how incidents and hazards are reported with appropriate templates provided (including serious incidents) • details how external feedback, concerns or complaints will be handled <p>Check the NGO can demonstrate how their overall policies/safety system is reflected in specific safety plans and standard practises</p> <p>Check the NGO can demonstrate that risks are identified, assessed and adequately controlled</p> <p>Confirm the NGO's health and safety performance is monitored and that it implements improvements</p> <p>Determine whether the NGO has received any notices, fines, prosecutions or enforceable undertakings by a regulator with regards to local /or international health and safety matters and the implications of this for any proposed project/activity,</p>

²³ MFAT will assess individual safety plans once activity areas are agreed.

	STANDARD	INDICATORS: NGO IS/HAS	MANDATORY EVIDENCE	WHAT ASSESSORS TEST?
			<p>inspection/audit report, review, safety/in-house meeting minutes, reporting dashboard</p> <p>Statement declaring whether NGO has/has not received any notices, fines, prosecutions or enforceable undertakings by a regulator with regards to local and/or international H&S matters.* If it has, provide details of what occurred, the outcome, lessons learnt, and any changes made as a result.</p>	<p>including confirming what has been put in place to ensure the issue/incident does not re-occur</p> <p>Conduct research on NGO to ensure no prosecution or enforceable undertakings have occurred that have not been declared.</p>
12	NGO has adequate systems and processes for managing organisational risk	<p>A Risk Management Policy and or Framework which details the management of both organisational risk and project risk</p> <p>Insurance policies in place</p>	<p>Risk Management Policy and procedures, or equivalent²⁴ that demonstrates how organisational and project risks are identified, assessed/rated, monitored, reported, reviewed (and how often), treated, and if necessary escalated</p> <p>A copy of the current organisational risk register, and (if not included in the organisational risk register) one example of a project risk register</p> <p>Insurance policies i.e. travel, business continuity, public liability</p>	<p>Check risk policy or procedures adequately covers how risks are identified, assessed/rated, monitored, reported, reviewed (and how often), treated and escalated</p> <p>Check current risk register for evidence that risks are regularly reviewed, updated and risk treatments are enacted</p> <p>Check that the following risks are included in the risk register (organisational or project even if assessed low risk):</p> <ul style="list-style-type: none"> • business continuity • financial viability/sustainability • Health and Safety • counter-terrorism • PSEAH • Child Protection (which identifies risks of child abuse, neglect and sexual exploitation) • privacy/information assurance/IT security (i.e., cyber-attacks) <p>Confirm that business risks are adequately insured (where the risk can be mitigated with insurance).</p>

²⁴ i.e., manual, documented procedures or guidelines.

	STANDARD	INDICATORS: NGO IS/HAS	MANDATORY EVIDENCE	WHAT ASSESSORS TEST?
13	NGO has effective mechanisms for complaints and whistle-blowing	<p>Confidential mechanisms for complaints and/or whistle-blowing</p> <p>Accessible and appropriate mechanisms for various situations (e.g. community-based, online)</p> <p>Widely understood mechanisms and/or appropriate steps to ensure awareness</p> <p>Policies/procedures and communications that explicitly include protection for victim/complainant/whistle blowers.</p>	<p>Whistle-blower/Complaints Policies and procedures - internal and external*** including for fraud, child protection, health and safety and PSEAH</p> <p>(*** link on the website)</p>	<p>Confirm effective policy and procedures exist to easily enable protected disclosures/whistle blowing/complaints internally and externally</p> <p>Check these processes are context relevant i.e. including that communities where project sites are located know where to report concerns and/or harm (with details determined in design)</p>

	STANDARD	INDICATORS: NGO IS/HAS	MANDATORY EVIDENCE	WHAT ASSESSORS TEST?
14	NGO has adequate systems for the prevention, detection, and response to sexual exploitation, abuse, and harassment (PSEAH) and Child Protection	<p>Able to demonstrate organisational commitment to Preventing SEAH and to the safeguarding of children through the key focus areas of prevention of harm, raising awareness, protecting those most at risk, and reporting and responding</p> <p>A Code of Conduct which explicitly references child safeguarding and other unacceptable behaviour issues (such as SEAH) and is supported by contracts which authorise dismissal, suspension or transfer to other duties for any employee who breaches the Code of Conduct</p>	<p>PSEAH and Child Protection policy, guidance and/or equivalent²⁵ that covers prevention, awareness, reporting and responding including as a minimum:</p> <ul style="list-style-type: none"> • staff and supplier code of conduct • reference checking and recruitment screening • employment contracts contain provisions to manage an employee who is under investigation and dismiss if the complaint is upheld • staff and supplier education on the policy, prevention, risk factors and responding to harm (NB: Education work can be outsourced to suitably qualified in-country partner/s) • clear and accessible systems and processes are in place for reporting (see standard 13) and investigation of; code of conduct infringements and policy non-compliance, including sanctions for breaches • ensuring risks are identified and actively managed in risk assessments <p>Two examples of the practical application of the policy or equivalent such as awareness raising activities, reporting forms, training material.</p>	<p>Confirm the policy, guidance or equivalent adequately addresses prevention, awareness, reporting and responding, and risk management and that the evidence provided demonstrates:</p> <ul style="list-style-type: none"> • the practical application of the Policy, procedures and guidance • an enforceable code of conduct that is embedded within practice and it is actively monitored (i.e. it should also ensure children are not employed) • robust PSEAH and Child Protection recruitment and screening processes for all personnel and consultants. Appropriate contract clauses are in place • that the organisational approach to Preventing SEAH and Protecting Children is multi-faceted and built into a wider organisational approach to risk management and eliminating all harmful and inappropriate behaviour • the organisation has systems and processes in place to receive complaints and they are able to respond, investigate and report appropriately <p>Risk management processes are appropriate and sound.</p>

²⁵ These matters do not need to all be covered in the same policies or procedures (i.e. could be spread across various policies including code of conduct, HR policies) however must be adequately covered and recognition is needed that the obligation to protect beneficiaries extends beyond illegal activity e.g. harassment-free and safe workplace cultures are needed to ensure organisations can protect beneficiaries.

	STANDARD	INDICATORS: NGO IS/HAS	MANDATORY EVIDENCE	WHAT ASSESSORS TEST?
15	<p>NGO has systems for child safeguarding and protection of children when the activity involves 'working with children'²⁶</p> <p><i>Note: This is an additional standard for NGOs defined as 'working with children' as per above</i></p>	<p>Able to demonstrate additional organisational commitment to the safeguarding and protection of children, through the key focus areas of prevention of harm, awareness raising, reporting and responding</p>	<p>Child Protection Policy (or equivalent²⁷) that is fit-for purpose based on the child safeguarding risk (identified in Standard 12) and includes²⁸:</p> <ul style="list-style-type: none"> • child participants know how to report concerns and/or harm. • evidence of child safe recruitment e.g. staff integrity checks (and/or criminal record checks), child protection specific questions at interview where relevant²⁹ • guidance on child participation³⁰ (including consent, safe recruitment of facilitators, supervision and physical safety). • guidance on taking images and using them such as for fundraising which ensures safeguarding, consent and privacy of children is applied for all project communication <p>Two examples of the practical application of the policy or equivalent.</p>	<p>Confirm that the evidence provided demonstrates:</p> <ul style="list-style-type: none"> • practical application of the Policy, procedures and guidance • application of the recruitment screening processes for all personnel and consultants and that appropriate contract clauses are in place. • that education is embedded within the organisation as a part of ongoing learning and development • the organisation has systems and processes in place to receive allegations of harm against children and they are able to respond, investigate and report appropriately.

²⁶ Any paid or unpaid work that involves regular or overnight contact with children, or at least once a week, or at least 4 days per month. Contact includes physical, oral (in person or by phone) or by any electronic medium (writing or visual). (New Zealand's Children's Act 2014)

²⁷ i.e., manual, documented procedures or guidelines.

²⁸ In the absence of an organisational policy, when Implementing Partners are small or informal, the following steps should be incorporated into the Activity design as project steps.

²⁹ <https://www.orangatamariki.govt.nz/assets/Uploads/Working-with-children/Childrens-act-requirements/Safer-Organisations-safer-children.pdf>

³⁰ Relevant guidelines are here: <https://resourcecentre.savethechildren.net/library/practice-standards-childrens-participation-user-friendly-summary>

	STANDARD	INDICATORS: NGO IS/HAS	MANDATORY EVIDENCE	WHAT ASSESSORS TEST?
16	Genuine NZNGO partnership/relationship with local CSO ³¹ legitimately representing local constituents	<p>A fully defined relationship with a local CSO</p> <p>A relationship with a local CSO that is able to confirm legitimate representation of local constituent needs and demands</p>	<p>Signed Partnership MOU* or Joint Statement from NGO and CSO*, or (draft) Project Agreement*</p> <p>A signed letter of support from the NZ NGO's in-country partner that confirms the partner legitimately represents the needs/demands of a local constituency and outlines the length/depth of the relationship with the NZNGO.*</p>	<p>Check the MOU/Joint Statement or (draft) Project Agreement sufficiently outlines/includes the following:</p> <ul style="list-style-type: none"> • purpose and objectives of the relationship/project • roles and responsibilities of both organisations • confirmation the parties will act in good faith and meet NZ and local legal requirements • is signed by a person in an appropriate senior position in New Zealand as well as in-country <p>Check the *Letter of Support is dated and clearly demonstrates:</p> <ul style="list-style-type: none"> • the Partner's support for the proposed Manaaki project • that the relationship with the NZ NGO is genuine • that the CSO legitimately represents a local constituency • is signed by a person in an appropriate senior position <p>If not included in the MOU (etc), the Letter should include the project's purpose, objectives and define roles and responsibilities.</p>

³¹ MFAT will consider funding a NZNGO working with an in-country partner other than a civil society organisation (such as local or national government) where it aligns with the principles and intent of the fund and includes strong development outcomes. If you would like to apply for funding to work with a non-CSO partner, please get in touch to discuss this prior to submitting an application by emailing PartneringForImpact@mfat.govt.nz

	STANDARD	INDICATORS: NGO IS/HAS	MANDATORY EVIDENCE	WHAT ASSESSORS TEST?
17	NGO routinely undertakes satisfactory due diligence / organisational capacity assessment of partners and has systems/processes to provide strengthening	<p>An appropriate system for routinely undertaking due diligence assessments of its partners³² - covering financial and administrative capability, legal status, good practice, governance, child protection and Prevention of Sexual Exploitation, Abuse and Harassment (SEAH)</p> <p>Responsive to capacity strengthening needs</p>	<p>Signed Partnership MOU* or Joint Statement from NGO and CSO* or (draft) Project Agreement* which includes expectations/requirements for: results and financial reporting; financial controls (i.e. to enable auditing, prevent fraud); counter-terrorism; budget planning and variance management; Child Protection and PSEAH³³ (see standards 14/15); Health and Safety; unspent funding at end of stage or project; termination; good practice development; due diligence of any downstream partners/outourcing</p> <p>A policy (or equivalent³⁴) covering the organisation's approach to performing and checking due diligence of partners/downstream partners including a copy of a due diligence assessment template checklist (even if this template is from a third party)</p> <p>A policy (or equivalent³⁵) covering the NGO's approach to assessing, strengthening and monitoring capacity of in-country partners/downstream partners including</p>	<p>Check the MOU/Joint Statement or (draft) Project Agreement includes sufficiently robust expectations/requirements for:</p> <ul style="list-style-type: none"> • results and financial reporting • financial controls (i.e. to enable auditing, prevent fraud) • counter-terrorism • Child Protection and Prevention of SEAH (see standards 14/15) • Health and Safety • budget planning and variance management • unspent funding at end of stage or project • good practice development • termination • due diligence of any downstream partners/outourcing <p>Check the due diligence policy/guidance sufficiently covers when, who, where, how, why due diligence is undertaken and how due diligence requirements are tracked, monitored and documented</p> <p>Check the due diligence assessment checklist includes:</p> <ul style="list-style-type: none"> • legal identity, governance and good practice development • organisational structure (to support governance, management, delivery) • checks against prohibited entities listing • risk policies and practices • budget planning and variance management • its track record of delivery (project and financial management) • complaints/whistle blowing processes (standard 13) • financial systems/controls (including financial spot checks) • technical ability to undertake the specific activity (if required)

³² In rare circumstances where MFAT has agreed that the in-country partner can be a government department/agency and this is the sole in-country partner, due diligence requirements will be determined via consultation with the appropriate MFAT bilateral/Post teams on a case-by-case basis.

³³ If small implementing partners do not have child protection and/or PSEAH policies, they could a) agree as part of the MOU/joint statement/project agreement to a code of conduct for child protection and PSEAH and to follow reporting and response procedures b) sign up to the main in-country partner's Child Protection and PSEAH policies. Activity specific risks, mitigations and processes and procedures will be required in Manaaki activity design.

³⁴ Can be policy, manual, documented procedures or guidelines in development/recently redrafted but must show sufficient commitment/understanding to give MFAT confidence its practical application can be demonstrated during Manaaki design appraisal. In-country partner due diligence can involve accessing fit-for-purpose due diligence performed by appropriate third parties (if agreed with MFAT).

³⁵ Can be policy, manual, documented procedures or guidelines in development/recently redrafted but must show sufficient commitment/understanding to give MFAT confidence its practical application can be demonstrated during Manaaki design appraisal. Can involve accessing fit-for-purpose capability/capacity assessments performed by appropriate third parties (if agreed with MFAT) and/or outsourcing training to relevant expertise in-country.

	STANDARD	INDICATORS: NGO IS/HAS	MANDATORY EVIDENCE	WHAT ASSESSORS TEST?
			<p>how it responds to strengthening needs identified during due diligence and how changes required are monitored</p> <p>A recent (within the last 12 months) example of a capacity assessment or a partner capacity strengthening plan and records of training/mentoring responding to the assessed gap.</p>	<ul style="list-style-type: none"> • Prevention of SEAH and Child Protection covering measures for prevention, awareness, reporting & response (standards 14/15) • Health and Safety <p>Check the capacity building policy/guidance sufficiently covers when, who, where, how and why capacity assessments and strengthening are undertaken and monitored (i.e. does the NGO have the policies/systems to identify organisational and capacity gaps of partners and provide/procure relevant strengthening assistance throughout the life of Manaaki?)</p> <p>Test if the example aligns with the policy/guidance and responds to an identified need/gap.</p>

Annex 3 Climate Principal Activities

Climate change represents an existential threat to communities in the Pacific and further afield. As slow on-set impacts of climate change and severe weather events become more intense and more frequent, building resilience at the community level in the Pacific and other identified countries is critical. Slow on-set impacts of climate change and severe weather events are increasingly impacting communities, and disproportionately affecting groups such as women, youth, elderly and people living with disabilities. As a result, building community resilience, in the Pacific and other identified countries through climate change mitigation, adaptation, and disaster risk reduction, in an inclusive and accessible way is critical.

The *Climate Finance for Community Resilience Programme* looks to scale up climate finance to communities in the Pacific and further afield, as part of [Aotearoa New Zealand's International Climate Finance Strategy - Tuia te Waka a Kiwa](#) (ICFS). This Programme is expected to enhance resilience at the community level by ensuring climate finance is reaching the community and supporting community mitigation and adaptation. This will be achieved through inclusive, community-level climate change mitigation and adaptation initiatives. Partnering with NZNGOs and CSOs will ensure that local partners and communities are at the forefront of climate-related initiatives. Supporting local aspirations and building on Pacific people's capabilities, including their Indigenous knowledge, is key to sustainable development impact.

Climate principal activities are those where the main outcome of an activity (or investment) is about addressing climate change. This means:

- Addressing climate change risks or opportunities is fundamental to the design of the Activity as expressed in the Activity Design Documents
- The Activity includes climate change as an important high level outcome in the Results Framework
- Climate change is explicitly addressed through specific outputs

Examples of climate principal activities include, but are not limited to, the following:

- Introducing climate-smart agriculture to increase resilience to the impacts of climate change (adaptation of agricultural systems to respond to the impacts of climate change and sea level rise)
- Strengthening natural resource governance to respond to changes in the environment as a result of climate change to enhance community resilience (sustainable fisheries management, water management, biodiversity etc.)
- Applying nature based solutions to strengthen ecosystem resilience to the impacts of climate change – managed natural regeneration (forests), mangrove restoration (carbon sequestration) – to mitigate climate change.
- Renovating or building new infrastructure to respond to the impacts of climate change, such as increasing/renovating water capture and storage, or building WASH facilities, to respond to impacts of climate change
- Relocating infrastructure (e.g. a hospital or a coastal road) off a flood plain/coastline, because of the impacts of climate change

Note that it is possible for an activity to be 'climate principal', while also having other substantial focuses, such as gender and social inclusion, or biodiversity outcomes.