

SELF-ASSESSMENT RESULTS
of the level of compliance of the Ukrainian National Platform of the Eastern Partnership Civil Society Forum (UNP) with the CODES OF ETHICAL CONDUCT of the Eastern Partnership Civil Society Forum (EaP CSF) and UNP

Name of National Platform involved in the self-assessment: Ukrainian National Platform (UNP) of the Eastern Partnership Civil Society Forum (EaP CSF)

Name of the NP Code of Ethical Conduct advisor: Maksym Koriavets

Period of final self-assessment completion:
08/02/2022 – 22/02/2022

Link to the self-assessment form filled in by NP membership:
https://docs.google.com/document/d/1C4jWVI_XVpZDIKcOX1Cm_PeGhkYEIV54/edit?usp=sharing&oid=103004042881869386280&rtpof=true&sd=true

EXPLANATION OF THE SELF-ASSESSMENT TOOL

The yearly self-assessment process aims to assess to what extent EaP CSF and its internal bodies (National Platforms (NPs) are implementing the Forum's values and standards of conduct as described in the [EaP CSF Code of Ethical Conduct \(CoEC\)](#) and in each NP-specific Code of Ethical Conduct. This tool is designed to guide the UNP and its various internal bodies to assess to what extent they are implementing the Forum's values and standards of conduct as outlined in the [EaP CSF Code of Ethical Conduct](#) and [UNP Code of Ethical Conduct](#)

The self-assessment process provides an opportunity for each NP to:

- **Reflect** on practices related to ethical conduct at the Forum and at the NP level (internally);
- **Monitor** institutional developments concerning the ethics within each body of the Forum and highlight areas of learning;
- **Identify** areas in the implementation of the CoEC where more attention is needed (in the framework of one year (until the next self-assessment) and in the long term (within a period of three years);
- **Identify and share internal best practices**

In the case of the UNP, the self-assessment process in 2022 has been led and coordinated by the UNP CoEC Advisor. In order to conduct the self-assessment UNP CoEC Advisor and UNP Secretariat have distributed the self-assessment form among UNP members with the request to fill in the form within the period 08/02/2022 – 22/02/2022.

The respondents were invited to assess the UNP level compliance to the CoEC in the context of different aspects of its activity. For this purpose, the following scoring scheme were proposed:

Score 1: Unsatisfactory level of compliance. The NP does not fulfil the basic requirements of the CoEC standards. Needs serious improvement, if this is feasible in the specific country context.

Score 2: The NP demonstrates a partial level of compliance. Needs improvement.

Score 3: The NP demonstrates full compliance with the CoEC.

In cases where respondents were unsure whether to give scores 1 or 2, or 2 or 3, they were proposed to provide a halfway score: 1.5 or 2.5. For not applicable statement the UNP members were proposed to mark N/A (Not Applicable) option. In cases when respondents hadn't sufficient

information to respond to a specific question they could mark IIA (Insufficient Information Available) option.

THE MAIN FINDINGS OF THE SURVEY SELF-ASSESSMENT

13 members of the UNP have passed the self-assessment. The following categories of UNP members have filled in the self-assessment questionnaires (notification: one person can belong to several categories):

National Coordinator of the UNP	0
UNP Working Group coordinators	3
EaP CSF delegates	5
Secretary of the UNP	1
UNP Ethical Conduct Advisor	1
Other UNP members (UNP WGs' members)	7
TOTAL*	13

* 1 EaP CSF delegate is UNP Ethical Conduct Advisor

3 EaP CSF delegates are UNP Working Group coordinators

In general, the level of compliance of the Ukrainian National Platform of the Eastern Partnership Civil Society Forum with the CODES OF ETHICAL CONDUCT of the Eastern Partnership Civil Society Forum and UNP can be evaluated as high / good according to present self-assessment results.

There were a few respondents pointed partial level of compliance for some indicators, but any explanations and ways for improving has not been provided to them. More detailed consideration of the individual sections is provided below.

There were cases when UNP representatives have consulted the CoEC (3 of 13) for different reasons not connected with explicit violations of CoEC statements:

- to verify the compliance of other UNP documents with CoEC;
- to discuss the legitimacy of including the candidate to the UNP membership list;
- to get acquainted with CoEC content in order to assess the behavior of some UNP members.

A feature worth noting is that some respondents are not aware of the existence of the Code of Ethical Conduct Advisor within UNP (2 of 13). Despite the availability of relevant information on the UNP web page (<http://eap-csf.org.ua/2021/03/15/kodeks-etychnoi-povedinky-unp-fhs-skhp/>; <http://eap-csf.org.ua/2020/11/05/pryjniato-statut-ta-kodeks-etychnoi-pov/>), this means that **there is still a necessity to conduct public and educational measures for increasing the awareness of UNP members on the CoEC and improving competences for its application.** At the same time, the level of understanding the UNP CoEC advisor responsibilities among knowledgeable respondents can be mostly assessed as good.

The need for events to raise the competences of using CoEC on practice can be also explained by cases that required the involvement of the UNP CoEC advisor (2 of 13). But there were no any comments on that cases or facts when any misconduct was reported within UNP during 2021. Existence of significant number of "IIA" responses regarding several statements in self-assessment questionnaire also proves that **informational sessions / events on CoEC awareness should be complemented with explanations on how UNP actually acts in the light of the most sensitive CoEC statements.**

Almost all respondents believe that discussing ethical matters at the NP level is important and necessary. As well as all respondents highly assess the importance of the CoEC self-assessment exercise for UNP.

More detailed consideration of self-assessment indicators provided below.

FUNDAMENTAL VALUES

The respondents noted high level of compliance with fundamental values and principles of the UNP (the platform is guided by human rights in its internal functioning, activities, making recommendations and reports): 5 persons indicated “2,5 score”, 7 persons – “3 scores”.

The level of respect for the dignity of individuals (UNP members) was also marked as high: 4 persons indicated “2,5 score”, 8 persons – “3 scores”.

The level of compliance in terms of practice of transparency within UNP (free flow of relevant information internally within UNP and with other EaP CSForum bodies and members) was positively evaluated in general: 5 persons indicated “2,5” score, 6 persons – “3” scores. The existence of answers “2” and “IIA” proves that **there is a need to create additional conditions for sharing of knowledge and mutual learning within UNP (incl. from each other), sharing experience (internally and externally – with other Forum bodies and members).**

According to responses, UNP and its leadership follows the procedures described in the Forum's and UNP's Statutes and internal UNP's rules and regulations on fair and good level. So, the practice of good governance generally corresponds to codes of ethical conduct. The existence of answers “2” and “IIA” means that **existing adopted internal organizational-communicational rules and regulations of UNP need to be explained to the general membership to the greater extent (by conducting additional informational sessions / events).**

Gender equality issues, diversity and inclusiveness are respected by UNP members and governing bodies. Most of respondents indicated “2,5” and “3” scores for the statements that UNP fully promotes principles of diversity and inclusiveness in gender, ethnicity, social background, disability and other relevant factors in its membership and activities, as well as UNP makes a conscious effort to ensure a balance of women and men in its leadership and programs.

The promotion of democratic ownership and participation also has high level of compliance with codes of ethical conduct. It is sensible to implement activities aimed at making UNP members to feel their own the decision-making processes, activities and outcomes within the platform.

The promotion of environmental sustainability is practiced in the UNP in terms of consideration of environmental issues in activities and project proposals.

The level of opposition to corruption and other illegalities or improprieties within the UNP's functioning was mostly evaluated with “2,5” (6 answers) and “3” (3 answers) scores. The existence of 4 “IIA” answers prove that **there is a need for more intensive popularizing the UNP's activity results among members in order increase the level of transparency (it should be taken into account that UNP makes proper comprehensive periodic reports on its activity in accordance with all Forum's policies and procedures and internal policies - it's about increasing popularizing activities).**

FUNDAMENTAL PRINCIPLES

According to respondents' rates, UNP bodies and members make decisions independently from government agencies, religion and ideology, and UNP members represent CSOs that are bona fide not-for-profit, independent and voluntary entities.

ETHICAL CONDUCT WITHIN THE FORUM

UNP members behave respectfully towards each other within the UNP and with external stakeholders. The grounds of nationality, ethnicity, culture, gender and beliefs, diversity of thinking and differences among fellow members are respected within UNP, according to marked scores.

There were no any concrete facts regarding conflicts of interest within the UNP indicated by survey respondents. But the existence of 5 “IIA” answers evidences that **there is a necessity for additional explaining the existing mechanisms of avoidance of conflicts of interest inside UNP.**

EXTERNAL ACTIVITIES

During UNP history there were cases of affiliation of some UNP members with political parties, but at the moment of research there were no concrete evidences of affiliation of certain CSOs with any political party or coalition provided. In general, UNP explicitly independent of party politics which is evidenced by survey results. At the same time, a large number of “IIA” answers on the question regarding the affiliation of individual members with any political party/ coalition in an official position requires **conducting actions to re-verify individual UNP members for belonging to any political institutions. For this case the re-verification report should be presented to all UNP members.**

UNP’s grantmaking and fundraising activity was largely recognized as such that meets the codes of ethical conduct of the EaP CSF and UNP. Two “2 scores” answers were given for each of the following statements: “UNP’s fundraising practices focus solely on the EaP CSForum’s / UNP’s mission, without improper motive, inappropriate conduct or personal benefit” and “The UNP fully honors approved grants in an ethical and legal manner”. This is mostly connected with the fact that most of UNP members did not deal with respective issues in practice.

THE DISTRIBUTION OF THE RESPONSES

SELF-ASSESSMENT PART 1: GENERAL ASSESSMENT OF THE CODE OF ETHICAL CONDUCT AWARENESS LEVELS

	Question	Survey options		Comments by the CoEC Advisor
1.	Have you consulted the CoEC (and / or CoEC Advisor) during 2021?	Yes: 3	No: 10	
1.1	If you answered „yes“, please explain „why“.	Options answered: - to verify the compliance of other UNP documents with CoEC; - invitation of the CoEC Advisor to the UNP Steering Committee meeting to discuss including the candidate to the UNP membership list; - to get acquainted with CoEC content in order to assess the behavior of some UNP members		
2.	Are you aware of the existence of the Code of Ethical Conduct Advisor within UNP?	Yes: 11	No: 2	There is still a necessity to conduct public and educational measures for increasing the awareness of UNP members on the CoEC and improving competences for its application

2.1	If you answered „yes“ at the previous question, how would you assess your level of understanding of the responsibilities of the UNP CoEC advisor?	Poor: 0	Fair: 3	Good: 6	Very good: 2	
3.	Throughout 2021 year have you been in a situation that required the involvement of the UNP CoEC advisor?	Yes: 2	No: 11	There is a need for events to raise the competences of using CoEC on practice		
4.	Do you believe that discussing ethical matters at the NP level is important / necessary?	Yes: 12	No: 1	Need for informational sessions / events on CoEC awareness with explanations on how UNP actually acts in the light of the most sensitive CoEC statements		
5.	How would you assess the importance of the CoEC self-assessment exercise for UNP?	Not important: 0	Somehow important: 4	Important: 8	Very important: 1	

SELF-ASSESSMENT PART 2: FUNDAMENTAL VALUES AND PRINCIPLES

		LEVEL OF COMPLIANCE SCORES						Comments reflecting on the received answers
		1	1.5	2	2.5	3	IIA	
1.1 FUNDAMENTAL VALUES								
1.1	The application of human rights (equality, diversity, inclusion). The UNP is fully guided by human rights in its internal functioning.	0	0	0	5	7	1	
1.2	Respect for the dignity of individuals. The UNP's leadership and members fully respect the dignity of fellow members and external actors.	0	0	0	4	8	1	
1.3	Practice of transparency. The UNP's leadership and members ensure the free flow of relevant information internally within UNP and with other EaP CSForum bodies.	0	0	1	5	6	1	There is a need to create additional conditions for sharing of knowledge and mutual learning within UNP (incl. from each other), sharing experience (internally and externally – with other Forum bodies and members)
1.4	Practice of good governance. The UNP fully follows the procedures	0	0	1	4	6	2	Existing adopted internal organizational-communicational rules and

		LEVEL OF COMPLIANCE SCORES						Comments reflecting on the received answers
		1	1.5	2	2.5	3	IIA	
	described in the Forum's and UNP's Statutes and internal UNP's rules and regulations.							regulations of UNP need to be explained to the general membership to the greater extent (by conducting additional informational sessions / events).
1.5	Promotion of diversity and inclusiveness. The UNP fully promotes diversity in its membership and activities (i.e. gender, ethnicity, social background, disability and other factors).	0	0	2	5	5	1	
1.6	Promotion of gender equality. The UNP makes a conscious effort to ensure a balance of women and men in its leadership and programs.	0	0	1	5	6	1	
1.7	Promotion of democratic ownership and participation. The UNP's members own their decision-making processes and activities.	0	0	1	4	7	1	
1.8	Promotion of environmental sustainability. The UNP makes a conscious effort to promote environmental sustainability in its activities.	0	0	1	7	2	3	
1.9	Opposition to corruption and other illegalities. The UNP is vigilant in preventing and detecting all forms of corruption and other improprieties.	0	0	0	6	3	4	Need for informational sessions / events on CoEC awareness with explanations on how UNP actually acts in the light of the most sensitive CoEC statements. There is a need for more intensive popularizing the UNP's activity results among members in order increase the level of transparency (it should be taken into account that UNP makes proper comprehensive periodic reports on its activity in accordance with all Forum's policies and procedures and internal policies - it's about increasing popularizing activities)

		LEVEL OF COMPLIANCE SCORES						Comments reflecting on the received answers
		1	1.5	2	2.5	3	IIA	
1.2 FUNDAMENTAL PRINCIPLES								
1.2.1	Independence. UNP bodies and members make decisions independently from government agencies, religion and ideology.	0	0	0	3	8	2	
1.2.1	Non-profit principles. UNP members represent CSOs that are bona fide not-for-profit, independent and voluntary entities.	0	0	0	4	7	2	
2. ETHICAL CONDUCT WITHIN THE FORUM								
2.1	Respect							
a.	UNP members behave respectfully towards each other within the UNP and with external stakeholders.	0	0	3	2	7	1	
b.	UNP as a whole and its members do not make disparaging remarks based on nationality, ethnicity, gender, culture and beliefs.	0	0	2	3	7	1	
c.	UNP members fully respect diversity of thinking and other differences among members.	0	0	1	3	8	1	
2.2	Conflicts of interest. The principle of the avoidance of the conflict of interest by the UNP bodies and its members is practised and enforced.	0	0	0	2	6	5	Need for informational sessions / events on CoEC awareness with explanations on how UNP actually acts in the light of the most sensitive CoEC statements. There is a necessity for additional explaining the existing mechanisms of avoidance of conflicts of interest inside UNP.
3. EXTERNAL ACTIVITIES								
3.1	Political activity.							
a.	UNP members represent CSOs that are not	0	0	1	3	4	5	Need for informational sessions / events on CoEC

		LEVEL OF COMPLIANCE SCORES						Comments reflecting on the received answers
		1	1.5	2	2.5	3	IIA	
	affiliated with a political party or coalition.							awareness with explanations on how UNP actually acts in the light of the most sensitive CoEC statements. There is a need in actions to re-verify individual UNP members for belonging to any political institutions (re-verification report should be presented to all UNP members).
b.	None of the UNP's individual members are affiliated with any political party/ coalition in an official position.	0	0	1	1	3	8	
c.	The UNP is explicitly independent of party politics when undertaking its activities.	0	0	1	4	5	3	
3.2	Financial activities and solicitations.							
a.	Fundraising principles. The UNP's fundraising practices focus solely on the EaP CSForum's / UNP's mission, without improper motive, inappropriate conduct or personal benefit.	0	0	2	4	5	2	
b.	Grant commitment. The UNP fully honors approved grants in an ethical and legal manner.	0	0	2	1	8	2	

4. REPORTING MISCONDUCT		Responses				
4.1	Have you witnessed or been a victim of any form of ethical misconduct within UNP during 2021?	No: 12			Yes: 1	
4.2	Was the misconduct reported within UNP during 2021 (whether to the UNP CoEC Advisor, CSF Compliance Committee, UNP Steering Committee, UNP Secretariat, EaP CSF Steering Committee, or EaP CSF Brussels-based Secretariat)?	No: 13			Yes: 0	
4.3	Was the reporting taken seriously?	No	Yes	IIA	Partly	N/A: 13
4.4	Was the misconduct dealt with satisfactorily?	No	Yes	IIA	Partly	N/A: 13

Comments on Section 4: Reporting misconduct

1 respondent witnessed ethical misconduct within UNP during 2021 according to the answer, but no concrete evidence or explanation was provided by the respondent regarding this.

None of the members have ever reported about misconduct within the UNP during 2021.

PRIORITIZING ISSUES THAT NEED IMPROVEMENT/SETTING BENCHMARKS

Question number	Summary of issue	Steps to be taken to improve compliance	Current score	Benchmark score
1.4	Practice of good governance. The UNP fully follows the procedures described in the Forum's and UNP's Statutes and internal UNP's rules and regulations.	Existing adopted internal organizational-communicational rules and regulations of UNP need to be explained to the general membership to the greater extent (by conducting additional informational sessions / events).	2.5	3
1.9	Opposition to corruption and other illegalities. The UNP is vigilant in preventing and detecting all forms of corruption and other improprieties.	Need for informational sessions / events on CoEC awareness with explanations on how UNP actually acts in the light of the most sensitive CoEC statements. There is a need for more intensive popularizing the UNP's activity results among members by conducting popularizing activities in order increase the level of transparency.	2.5	3
2.2	Conflicts of interest. The principle of the avoidance of the conflict of interest by the UNP bodies and its members is practised and enforced.	Need for informational sessions / events on CoEC awareness with explanations on how UNP actually acts in the light of the most sensitive CoEC statements. There is a necessity for additional explaining the existing mechanisms of avoidance of conflicts of interest inside UNP.	IIA	3
3.1	None of the UNP's individual members are affiliated with any political party/ coalition in an official position.	Need for informational sessions / events on CoEC awareness with explanations on how UNP actually acts in the light of the most sensitive CoEC statements. There is a need in actions to re-verify individual UNP members for belonging to any political institutions (re-verification report should be presented to all UNP members).	IIA	3