



Norwegian Church Aid (NCA) CHS Maintenance Audit Report

NCA-MA1-2018-04

Date: 2018-06-14

Table of Content

TABLE OF CONTENT	2
1. GENERAL INFORMATION	3
2. SCHEDULE SUMMARY	4
2.1 OPENING AND CLOSING MEETINGS AT HEAD OFFICE	4
2.2 INTERVIEWS	4
3. RECOMMENDATION	4
4. QUALITY CONTROL	5
QUALITY CONTROL BY	5
FOLLOW UP.....	5
5. BACKGROUND INFORMATION ON THE ORGANISATION	5
5.1 GENERAL	5
5.2 ORGANISATIONAL STRUCTURE AND MANAGEMENT SYSTEM.....	5
5.3 WORK WITH PARTNERS.....	6
6. REPORT	6
6.1 OVERALL ORGANISATIONAL PERFORMANCE	6
6.2 SUMMARY OF ACTIONS FOR RESOLUTION OF PREVIOUS AUDIT'S CARS.....	6
6.3 STATUS OF THE CORRECTIVE ACTION REQUESTS OF THE PREVIOUS AUDIT	7
6.4 SUMMARY OF CORRECTIVE ACTION REQUESTS OF THE MAINTENANCE AUDIT	8
7. ORGANISATION'S REPORT APPROVAL	9
ACKNOWLEDGEMENT AND ACCEPTANCE OF FINDINGS.....	9
8. HQAI'S DECISION	10
CERTIFICATION DECISION.....	10
NEXT AUDITS.....	10
APPEAL.....	10
ANNEX 1: EXPLANATION OF THE SCORING SCALE	11

1. General information

Organisation	Norwegian Church Aid (NCA)		
Type	<input type="checkbox"/> National	<input checked="" type="checkbox"/> International	
	<input type="checkbox"/> Membership/Network	<input type="checkbox"/> Federated	
	<input type="checkbox"/> Direct assistance	<input checked="" type="checkbox"/> Through partners	
Mandate	<input checked="" type="checkbox"/> Humanitarian	<input checked="" type="checkbox"/> Development	<input checked="" type="checkbox"/> Advocacy
Verified Mandate(s)	<input checked="" type="checkbox"/> Humanitarian	<input checked="" type="checkbox"/> Development	<input checked="" type="checkbox"/> Advocacy
Size (Total number of programme sites/ members/partners – Number of staff at HO level)	<p>As at Oct.19th 2016, NCA worked in 33 countries, with country offices located in 22 countries. As of May 2018, NCA has 15 programme sites, due to an ongoing process of rationalisation of its offices and programmes overseas.</p> <p>As at Oct.19th 2016, NCA had 226 partners. That number decreased to 206 but only includes partners in country offices. NCA is working with more partners through joint offices, MoUs, direct partner funding from HO, humanitarian responses etc.</p> <p>As of January 2018, 136,9 permanent staff and 7 temporary staff at HO.</p>		
Lead auditor	Mathieu Dufour	Auditor	N/A
		Others	N/A
	Head Office		
Location	Oslo, Norway		
Dates	April, 24th 2018		

2. Schedule summary

2.1 Opening and closing meetings at Head Office

No opening and closing meetings were conducted due to the timing constraints.

2.2 Interviews

Position of interviewees	Number of interviewees
CHS Focal point	1
Advisor, system development & Team leader M&E	1
Senior advisor programme communication and innovation	1
Head of Division, Global IT	1
Head of Fundraising Division	1
Head of Division, Global Logistics & Logistics advisor	1
Humanitarian coordinator	1
Senior advisor HR	1
Senior advisor Guatemala & Civil Society Partnerships	1
Total number of interviews	9

3. Recommendation

In our opinion, NCA has implemented the necessary actions to close the minor CARs identified in the previous audit and continues to conform with the requirements of the Core Humanitarian Standard. We recommend maintenance of certification.

Detailed findings are laid out in the rest of this report and its confidential annex.

Mathieu Dufour



Barcelona, June 12th

4. Quality Control

Quality Control by	Elissa Goucem
Follow up	
First Draft	2018-05-30
Final Draft	2018-06-25

5. Background information on the organisation

5.1 General

Norwegian Church Aid (NCA), is an independent humanitarian and ecumenical organisation with headquarters in Oslo, Norway which was established in 1947. Norwegian Church Aid works together with people and organisations across the world to eradicate poverty and injustice. NCA provides emergency assistance in disasters and works for long-term development in local communities. In order to address the root causes of poverty, NCA advocates for just decisions by public authorities, business and religious leaders. Norwegian Church Aid is a diaconal organisation for global justice. Norwegian Church Aid is a member of the ACT Alliance which consists of church-based organisations throughout the world and cooperates with organisations across religious faiths. Norwegian Church Aid provides emergency assistance in disasters, works for long-term development in local communities and address the root causes of poverty, and advocates for just decisions by public authorities, business and religious leaders. NCA budget for 2018 equals 1036 MNOK (129,929,000 USD pr. exchange rate 27/04/2018)

5.2 Organisational structure and management system

The department of International Programmes (DIP) was restructured during autumn 2017, with effect from 1 January 2018. Main changes include a reduction in number of geographic divisions (the previous Division for Southern Africa and Latin America and the Division for Francophone countries merged to become Division for Southern and Francophone countries). NCA has also established a division for Partnership and Strategic Solutions (PASS). Team leader functions for cross-department teams such as PMER, Thematic and Funding are placed under this division. From having specific finance controller focal points for each country office, the Finance Department established a help desk function at HO to support Finance Managers at country offices, whom answer questions and forward requests to relevant finance consultant/advisor/controller.

In addition to these changes, the Operations manual in general is further updated since the last audit, which provides all staff with requirements and templates regulating Norwegian Church Aid's international programs and operations. In regard to complaints management, a major shift occurred in 2017: after having handed it over to country offices to develop feedback processes autonomously, NCA senior management decided to make it a priority, centralized its approach, and set the objective to contextualize every mechanism by the end of 2018. (During the last CHS audit 3 countries had contextualized mechanisms. 8 to 9 are effective today with an objective of 50% by June 2018)

A new HR system has been implemented (ADITRO), including an online portal with modules on salary system (built for head office), time and attendance (optional for country offices), performance review system (pilot projects in 2018), sick leave module. The expected changes include an ability to overview situations, digitalized performance reviews, and potentially competence plans.

5.3 Work with Partners

In 2017 NCA reviewed its partnership MOU and reviewed an entire chapter of its operations manual on partnership. This work has allowed systematization, organization and appropriate localization of a number of existing documents. Up until recent years, NCA based its cooperation and requirements on the financial grant related Project Agreements. Over the last couple of years however, in some countries (for instance in Guatemala), NCA also began to sign a Partnership MoU with key local partner organisations. This practice will now be systematized and become a requirement for all partnerships foreseen to last for more than two years, as the revised Operations Manual puts it.

The purpose of the Partnership MoU is to clarify and formalize expectations between NCA and the partner and clearly define the type of partnership, thereby outlining its scope, focusing on mutual accountability and support within the partnership. The MoU will be part of the Annual bilateral Partner Meeting and linked to the process of partnership assessment and discussions about mutual capacity development. The partnership MOU will not replace the annual project agreements, and conditions of grants from NCA will remain spelled out in these project agreements. The newly written chapter 5 of operations manual defines steps to enter a new partnership, including screening, formalization of a MOU, communication to HO. This chapter outlines the requirements and templates for how NCA works with partners, from entering partnerships, executing partnerships and ending partnerships, to ensure equal practice in all its programs.

6. Report

6.1 Overall organisational performance

While maintaining organizational commitment towards the CHS, NCA has taken action against corrective action request established in the initial audit. The review of the operation manual, reorganization of internal department, review of partnership agreements, and the current complaints mechanism contextualization are steps in improving NCA's conformity with the CHS. With a clear agenda and mandate, CHS focal points have started to support the compliance commitment, by capacitating NCA staff, updating policies and procedures, review plans and reports, and through close cooperation with key stakeholders. Systems must be improved accordingly to ensure NCA continues to take corrective actions appropriately.

6.2 Summary of actions for resolution of previous audit's CARs

NCA has developed an increased organisational sensitivity towards the CHS. It established a number of focal points at HO and in COs, whom mandate is to enable NCA to comply with the CHS commitments by capacitating local and partners' staff, updating local guidelines, procedures, plans and reports, and through close cooperation with key stakeholders. An action plan was implemented by the focal points, including a dedicated section on each CAR, documents associated, defined responsible, progress status and action plan. NCA signed a framework agreement with the Norwegian ministry of foreign affairs that includes a learning component. NCA chose to focus on the CHS and as a result, one of the 9 commitments will

be assessed yearly: in 2017 a review was conducted in Burundi over commitment 3, in 2018 potentially the review will address commitment 5.

NCA has taken positive steps to close its gaps at processes level, which effects on the ground will be tested at the practice level during the mid-term audit.

6.3 Status of the Corrective Action Requests of the previous audit

Corrective Action Requests	Type (Minor /Major)	Original deadline for resolution	Status of CAR
3.2 NCA does not have policies or processes in place to ensure the results of community hazard and risk assessments and preparedness plans guide activities.	Minor	02/05/2018	Closed
3.6 NCA has not put in place systems to identify and act upon potential and actual negative effects of its programming in the areas of people's safety, security, dignity and rights, b) sexual exploitation and abuse by staff, c) culture, gender, social and political relationships, d) livelihoods, e) the local economy, and the environment.	Minor	02/05/2018	Closed
3.8 NCA does not have a policy or systems in place covering how personal information gathered from communities and people affected by crisis should be stored and managed and thus they are not safeguarded from being put at risk.	Minor	02/05/2018	Closed
4.1 NCA does not ensure that partners provide information to communities and people affected by crisis about the organization, the principles it adheres to, the expected behaviours of staff, its programmes and deliverables.	Minor	02/05/2019	Open
4.2 NCA does not ensure that communication with communities uses languages, formats and media that are easily understood and respectful and culturally appropriate for different parts of the community, especially vulnerable and marginalised groups.	Minor	02/05/2019	Open
4.6 NCA does not have policies in place for engaging communities and people affected by crisis and reflect the priorities and risks communities identify in all stages of the work	Minor	02/05/2018	Closed
5.1 Communities and people affected by crisis are not consulted on the design, the implementation and the monitoring of complaints handling processes.	Minor	02/05/2019	Closed
5.3 NCA doesn't have a system in place to manage complaints in a timely, fair and appropriate manner that prioritises the safety of the complainant and those affected at all stages.	Minor	02/05/2018	Closed

5.6 Communities and people affected by crisis are not aware of the expected behaviour of staff, including commitments on the prevention of sexual exploitation and abuse.	Minor	02/05/2019	Open
9.4 NCA does not have mechanisms in place to show how it considers how its use of local and natural resources considers the impact on the environment.	Minor	02/05/2019	Open

6.4 Summary of Corrective Action Requests of the maintenance audit

Corrective Action Requests	Type (Minor /Major)	Status of CAR	Deadline for resolution
3.2 NCA does not have policies or processes in place to ensure the results of community hazard and risk assessments and preparedness plans guide activities.	Minor	New	1 year
3.6 NCA has not put in place systems to identify and act upon potential and actual negative effects of its programming in the areas of gender, livelihoods, and the local economy.	Minor	New	1 year
4.1 NCA does not ensure that partners provide information to communities and people affected by crisis about the organization, the principles it adheres to, the expected behaviours of staff, its programmes and deliverables.	Minor	Open	1 year
4.2 NCA does not ensure that communication with communities uses languages, formats and media that are easily understood and respectful and culturally appropriate for different parts of the community, especially vulnerable and marginalized groups.	Minor	Open	1 year
5.1 Communities and people affected by crisis are not consulted on the monitoring of complaints handling processes.	Minor	New	1 year
5.6 NCA does not yet have a systematic way to ensure communities are informed on appropriate behaviour of partners staff.	Minor	Open	1 year
9.4 NCA does not have mechanisms in place to show how it considers how its use of local and natural resources considers the impact on the environment.	Minor	Open	1 year
TOTAL Number of open CARs			7

7. Organisation's report approval

Acknowledgement and Acceptance of Findings

For Organisation representative – please cross where appropriate

- I acknowledge and understand the findings of the audit
- I accept the findings of the audit
- I do not accept some/all of the findings of the audit

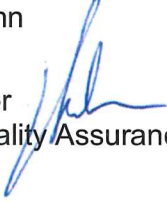

Please list the requirements whose findings you do not accept


Name and Signature

26.06.18, Oslo
Date and Place

Date of document: 2018-06-14

8. HQAI's decision

<p>Certification Decision</p>	
<p>Certificate:</p> <p> <input checked="" type="checkbox"/> Certificate maintained <input type="checkbox"/> Certificate reinstated <input type="checkbox"/> Certificate suspended <input type="checkbox"/> Certificate withdrawn </p>	
<p>Next audits</p> <p>Mid-term audit before 2019-05-02</p> <p>Second maintenance audit before 2020-05-02</p> <p>Re-certification: 2021-05-02</p>	
<p>Pierre Hauselmann</p> <p>Executive Director Humanitarian Quality Assurance Initiative</p> 	<p>Date: Geneva, June 27th 2018</p> 

Appeal

In case of disagreement with the conclusions of the report and/or decision on certification, the organisation can appeal to HQAI within 30 days after the final report has been transmitted to the organisation.

HQAI will investigate the content of the appeal and propose a solution within 15 days after receiving the appeal.

If the solution is deemed not to be satisfactory, the organisation can inform in writing HQAI within 15 days after being informed of the proposed solution of their intention to maintain the appeal.

HQAI will take action immediately, and identify two Board members to proceed with the appeal. These will have 30 day to address it. Their decision will be final.

The details of the Appeal Procedure can be found in document PRO049 – Appeal and Complaints Procedure.

Annex 1: Explanation of the scoring scale

In line with the CHS's emphasis on continuous learning and improvement, rather than assessing a pass/fail compliance with the CHS requirements, the CHS Verification Scheme uses a scoring system. It is graduated from 0 to 5 to determine the degree to which organisations apply the CHS and to measure progress in this application.

Be it in the framework of a self-assessment or in a third-party assessment process, it is key to have detailed criteria to evaluate (score) the degree of application of each requirement and commitment of the CHS. A coherent, systematic approach is important to ensure:

- Transparency and objectivity in the scoring criteria;
- Consistency and reliability between one verification cycle and another, or between the different verification options;
- Comparability of data generated by different organisations.

This document outlines a set of criteria to orient the assessment process and help communicate how the respective scores have been attributed and what they mean.

While verification needs to be rigorous, it needs also to be flexible in its interpretation of the CHS requirements to be applicable fairly to a wide range of organisations working in very different contexts. For example, smaller organisations may not have formal management systems in place, but show that an Organisational Responsibility is constantly reflected in practices. In a similar situation, the person undertaking the assessment needs to understand and document why the application is adequate in the apparent absence of supporting process. It is frequent that the procedures actually exist informally, but are "hidden" in other documents. Similarly, it is not the text of a requirement that is important, but whether its intent is delivered and that there are processes that ensure this will continue to be delivered under normal circumstances. The driving principle behind the scoring is that the scores should reflect the normal ("systematic") working practices of the participating organisation.