

# CAFOD

## Recertification Audit – Summary Report 2020-08-20

### 1. General information

#### 1.1 Organisation

| Type  | Mandates  | Verified mandates   |     |
|---|---|---|-----|
| <input type="checkbox"/> National<br><input type="checkbox"/> Membership/Network<br><input type="checkbox"/> Direct Assistance<br><input checked="" type="checkbox"/> International<br><input type="checkbox"/> Federated<br><input type="checkbox"/> With partners | <input checked="" type="checkbox"/> Humanitarian<br><input checked="" type="checkbox"/> Development<br><input checked="" type="checkbox"/> Advocacy | <input checked="" type="checkbox"/> Humanitarian<br><input checked="" type="checkbox"/> Development<br><input checked="" type="checkbox"/> Advocacy |     |
| <b>Head office location</b>   | London  |   |     |
| <b>Total number of country programmes</b>   | 40 countries  | <b>Total number of staff</b>  | 400 |

#### 1.2 Audit team

|                       |                |
|-----------------------|----------------|
| <b>Lead auditor</b>   | Johnny O'Regan |
| <b>Second auditor</b> | Aninia Nadig   |
| <b>Third auditor</b>  | --             |
| <b>Observer</b>       | --             |
| <b>Expert</b>         | --             |
| <b>Other</b>          | --             |

#### 1.3 Scope of the audit

| Audit Stage                    | CHS Verification Scheme             |                          |                          |                          |
|--------------------------------|-------------------------------------|--------------------------|--------------------------|--------------------------|
|                                | Certification                       | Independent Verification | Benchmarking             | Other                    |
| Initial audit (IA)             | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| First maintenance audit (MA1)  | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Mid-term audit (MTA)           | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Second maintenance audit (MA2) | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Recertification audit (RA)     | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Extraordinary audit            | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Short notice                   | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Other ( <i>specify</i> )       | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

#### 1.4 Sampling

| Randomly sampled country programme site | Included in final sample (Yes/No) | Replaced by | Rationale / Comments  | Selected for onsite visit or remote assessment |
|---|-----------------------------------|-------------|---|--|
| Colombia                                | Yes                               |             | Relatively large programme with 9 international partners and one UK partner, covering humanitarian, development and advocacy activities. Relatively safe for traveling. | Initially planned for onsite visit             |
| Eritrea                                 | No                                | Mozambique  | Considerable entry restrictions into the country  | Not selected                                   |
| Mozambique                              | Yes                               |             | Important to have at least one African country, given CAFOD's focus on Africa and CAFOD undertook a recent  | Initially planned for onsite visit             |

|           |     |  |   |        |
|-----------|-----|--|---|--------|
|           |     |  | response in Mozambique and therefore it offered an opportunity to audit against its humanitarian mandate. |        |
| Sri Lanka | Yes |  | Representative spread of programmes and partners  | Remote |
| Honduras  | Yes |  | Representative spread of programmes and partners  | Remote |
| Zambia    | Yes |  | Representative spread of programmes and partners  | Remote |
|           |     |  |   |        |

#### Add any other sampling performed for this audit:

COVID-19 affected the sampling as the programme site visits to Colombia and Mozambique were cancelled due to COVID-19 travel restrictions. This meant that community interviews and group consultations were all cancelled because of lock downs in both countries, and it was not possible to arrange remote interviews with community members due to these restrictions. Although face-to-face interviews with partners were also not possible, CAFOD arranged remote interviews with all partners scheduled for visits in Colombia and Mozambique and arranged an additional partner interview in Zambia.

The auditors also interviewed all staff that were scheduled for interview as part of the audit, some additional staff relevant to selected country programmes and re-interviewed a number of CAFOD staff that were interviewed during Stage one of the audit (to establish whether and how situations had changed due to COVID-19).

CAFOD is at the beginning of its second 4-year audit cycle with HQAI. Over the first cycle, 2015-2019, CAFOD demonstrated improving performance over time. CAFOD has internal quality assurance and control systems in place to address requirements of the CHS, and other strategic commitments. These give the auditors sufficient confidence to recommend that CAFOD be re-certified, despite the lack of a site visit, or consultations with communities during this audit. Furthermore, to compensate for the cancelled site visit, the auditors recommend that if feasible, the next maintenance audit include a programme site visit, so that consultations with partner staff, communities, and affected populations can take place directly.

*\*It is important to note that the audit findings are based on a sample of an organisation's country programmes, its documentation and observation. Findings are analysed to determine an organisation's systematic approach and application of all aspects of the CHS across different contexts and ways of working.*

## 2. Activities undertaken by the audit team

### 2.1 Locations assessed

| Locations (offices, projects at country programme level) | Dates          | Onsite or remote |
|--|----------------|------------------|
| Colombia   | June/July 2020 | Remote           |
| Mozambique   | June/July 2020 | Remote           |
| Sri Lanka  | July 2020      | Remote           |
| Honduras   | July 2020      | Remote           |
| Zambia   | July 2020      | Remote           |

### 2.2 Interviews

| Position / level of interviewees (add information as necessary) | Number of interviewees | Onsite or remote |
|---|------------------------|------------------|
| Head Office   |                        |                  |

|                                   |           |                              |
|-----------------------------------|-----------|------------------------------|
| Management                        | 5         | 4 onsite<br>1 remote (Skype) |
| Staff                             | 6         | All onsite                   |
| <b>Country Programme(s)</b>       |           |                              |
| Management                        | 5         | 1 onsite (HO)<br>4 remote    |
| Staff                             | 2         | Remote                       |
| Partner staff                     | 15        | Remote                       |
| Others (specify)                  |           |                              |
| <b>Total number of interviews</b> | <b>33</b> | <b>33</b>                    |

### 2.3 Consultations with communities

| Type of group                                       | Number of participants |          |
|---|------------------------|----------|
|   | Female                 | Male     |
| None - <i>Please see sampling note above in 4.1</i> | 0                      | 0        |
| <b>Total number of participants</b>                 | <b>0</b>               | <b>0</b> |

### 2.4 Opening meeting

|                                       |            |
|---------------------------------------|------------|
| <b>Date</b>                           | 14/01/2020 |
| <b>Location</b>                       | London     |
| <b>Number of participants</b>         | 3          |
| <b>Any substantive issues arising</b> | None       |

### 2.5 Closing meeting

|                                       |                |
|---------------------------------------|----------------|
| <b>Date</b>                           | 28/07/2020     |
| <b>Location</b>                       | Remote meeting |
| <b>Number of participants</b>         | 8              |
| <b>Any substantive issues arising</b> | None           |

### 2.6 Programme Site(s)

#### Briefings

|                                       |  |
|---------------------------------------|--|
| <b>Date</b>                           | 16/06/2020   |
| <b>Location</b>                       | Colombia-Remote  |
| <b>Number of participants</b>         | 16 (2 CAFOD staff, 11 partners from 3 partner organisations, 2 auditors, 1 translator) |
| <b>Any substantive issues arising</b> | No   |

#### De-briefings

|                                       |                               |
|---------------------------------------|-------------------------------|
| <b>Date</b>                           | 26/06/2020                    |
| <b>Location</b>                       | Colombia-Remote               |
| <b>Number of participants</b>         | 4 (2 CAFOD staff, 2 auditors) |
| <b>Any substantive issues arising</b> | No                            |

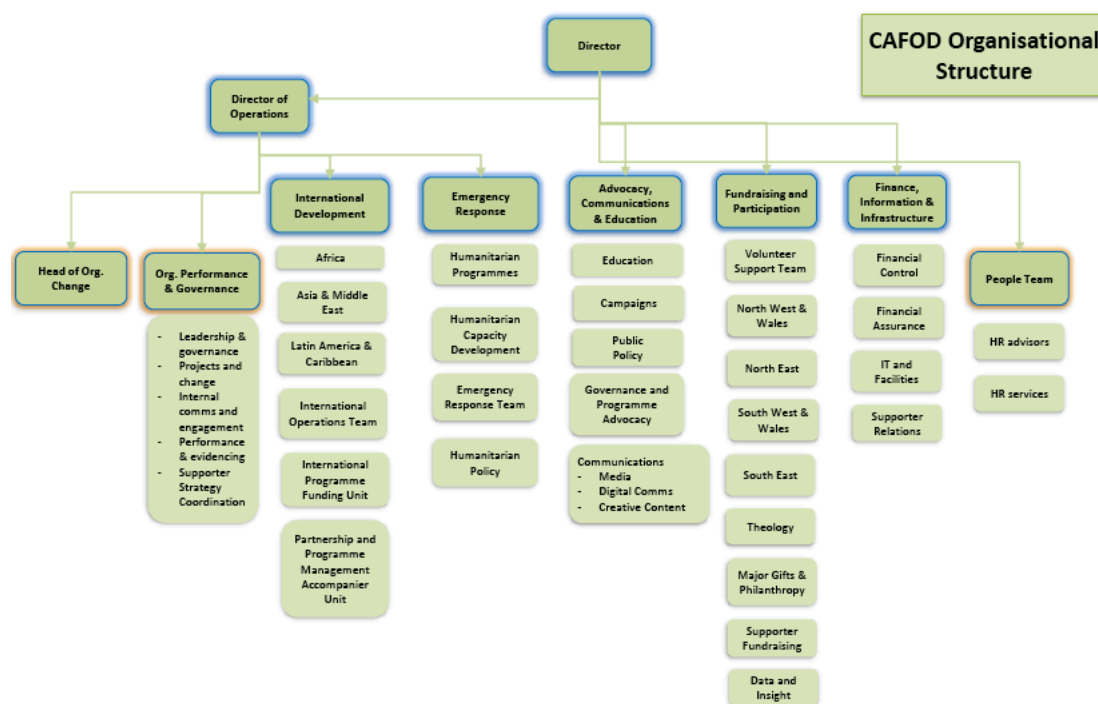
### 3. Background information on the organisation

#### 3.1 Governance and management structure

Compared to the 2018 Mid-Term Audit (MTA), there are no major changes in the main features of CAFOD's organisational governance, mechanisms and processes relevant to decision-making at organisational level.

Catholic Agency for Overseas Development (CAFOD) (est. 1962) is the official overseas development and relief agency of the Catholic Church in England and Wales. CAFOD acts as part of the global Caritas network, a federation of approximately 160 Catholic relief and development agencies and continues to work in 4 main thematic areas: Sustainable Development, Disaster and Emergency Response, Campaigning and Advocacy, and (in the UK) Education. CAFOD currently works in 40 countries worldwide.

The organisation is governed by a Board of Trustees and managed by the CAFOD Leadership Group (CLG), its key decision-making body on strategic orientation and on quality and accountability. The CLG meets once a month and is comprised of the Executive Directors Group (EDG), heads of all main CAFOD Departments (see most recent Organogram below), including International Development, Emergency Response, Advocacy and Education, People and Performance, Finance.



A number of management groups meet regularly and report to the CLG. These are, in particular:

- The International Programmes Strategy Group (IPSG), comprised of the heads of group for the International Development Group (IDG), Emergency Response Group (ERG) and Advocacy and Education Group (AEG);
- Income Oversight Cluster; key postholders within the organisation looking at CAFOD's overall income from all income streams
- Supporter strategy group; engaging the Catholic community in England & Wales for participation and income raising;
- Organisational Development Cluster is comprised of key postholders who play a role in organisational development and health such as change, culture and people.
- Security Cluster, a subgroup of the CAFOD Leadership Group, has oversight and assurance of CAFOD's internal security processes and is responsible for CAFOD's security policy, effective crisis management, and linkages with other Caritas agencies.

The following Groups do not report directly to the CLG:

- International Programme Leadership Group (IPLG), which reports to IPSG, is comprised of all management team members from AEG, ERG and IDG. It focuses on cross group topics and projects (including IP Futures), and links closely with the Programme and Partnership and Programme Management Working Group on key pieces of work;
- Strategy and performance committee, a subset of the Board of Trustees examine performance against strategy and decides what information to report to the full Board of Trustees
- Finance Legal Audit and Risk Committee, a subset of the Board of Trustees, examines financial health and compliance and decides what information should be reported to the full Board.

Since 2016, in the wake of Pope Francis' Encyclical "Laudato Si" (2015), CAFOD focuses more on localisation and sustainability. Its goal is to address the root causes of poverty in a context of growing environmental problems.

*Our Common Home* (2020), the CAFOD Strategic Framework replacing Just One World, represents these changes in a fundamental conceptual and operational shift towards a more horizontal management structure and a root causes-focused approach with strong links between poverty and environmental issues. The Strategic Framework continues to reflect the 4 strategic directions launched by the CLG in 2016, which focus on organisational quality, resource stewardship, impact of the Catholic community and redressing the imbalance of power at global and national level.

CAFOD is currently at advanced drafting stage for *International Programmes Futures* (IP Futures), a fundamental strategic review of international programmes in light of *Our Common Home*. IP Futures foresees a total re-think, including, potentially, management structure, operating models, geographic focus, and partner selection. For example, by 2030, CAFOD intends to become a carbon neutral organisation, which implies strengthening MEAL activities with less traveling and a move from bilateral to multi-lateral and more horizontal partner relationships.

The results of the 2018 MTA had a profound impact on CAFOD. Over the past two years, all governance levels, including the CLG, worked on reviewing and improving CAFOD's internal ways of working and its relationship with partners, with particular focus on safeguarding and complaints mechanisms.

### **3.2 Effectiveness of the internal quality assurance systems**

CAFOD'S Management groups (described in the section above) and the CLG are the highest level quality assurance mechanisms. Many change processes are intended to be managed through *IP Futures*, notably partner support, MEAL and staff workload. At the end of the audit (July 2020), CAFOD was at the stage of externally reviewing programmes against the intent of *Our Common Home*.

CAFOD's programme quality standards and standard operating procedures are aligned with the CHS. Those developed under CAFOD's Just One World Strategic Plan remain valid, in particular the Programme Management Manual, the International Partnership Manual and the Finance Manual. CAFOD also developed substantial tools in child protection, gender mainstreaming, resilience, protection, enterprise development and environmental stewardship.

In response to issues raised in the 2018 MTA, CAFOD took actions to improve programme quality and accountability to communities and people affected by crisis by actively developing and updating relevant policies, standards and guidance, including for complaints and safeguarding. CAFOD has dedicated significant human and financial resources to address identified gaps in these areas.

One key tool is the Safe, Accessible, Dignified & Inclusive (SADI) programming framework, developed in 2018. It includes safeguarding and complaints components, but also other critical aspects of programming such as community engagement, information sharing and learning. The SADI Steering Group ensures a structured rollout and implementation process with clear instructions and milestones for staff. SADI is part of the broader, fundamental organisational change process, coordinated by the Organisational Performance and Governance team, which leads on performance improvement and increasing organisational coherence and staff engagement in change processes.

CAFOD is training staff on SADI, with a focus on complaints. Staff then onward capacitate partners as required. Linked to SADI, CAFOD is carrying out a partners' risk profiling and gaps analysis, including safeguarding, complaints and information sharing. The information gathering stage is due to end in October 2020 and will allow CAFOD to prioritise partners for capacity strengthening. As of July 2020, 88% of partners had safeguarding profiles attached to their records; 81% of partners (and almost 100% of high-risk partners) had at least partially completed assessments of safeguarding requirements. As outlined in *IP Futures*, CAFOD may also review the partnership criteria and choice of partners to work with.

Staff emphasised the positive impact of the change process, while also recognising that in particular the focus on SADI's development and rollout was onerous for staff and partners and that other areas of improvement, such as inclusion, MEAL, and technical support to partners, have not received sufficient attention. To support staff in this process, the Performance and Governance team has grouped the various change elements in an *Organisational Change Portfolio* which should help coordinate the various initiatives and minimize the impact on staff time. In July 2020, the Portfolio contained 13 distinct change initiatives with defined deliverables and milestones.

Ethics Point is CAFOD's complaints and incident management system for all staff, partners and communities. There are quarterly outputs to CAFOD leadership group and trustees and to HR. Interviews with staff suggest that Ethics Point works and that staff have sufficient trust in the organisation to file complaints.

During 2020, CAFOD's Internal Audit function has been reviewing compliance with UK and overseas legislation, donors and standards such as mapping compliance against legal and partner requirements, reviewing financial management requirements and CAFOD's application of enhanced due diligence in countries designated as high risk in the context of terrorism. CAFOD intends to eventually link up the compliance review with the other change process initiatives to enable CAFOD to provide and use data and information for various audiences (such as auditors) and purposes.

CAFOD's programme management system, Webpromise, is used organisation-wide. Users say it generally functions adequately, if somewhat clumsily, is not accessible offline and is not fully usable for a variety of purposes, particularly sharing learning across the organisation. Field staff interviews support this finding. As of July 2020, CAFOD is committed to updating WebPromise based on developments in *IP Futures*. It is also working on finding ways to integrate Partner Safeguarding Profiles into WebPromise.

In terms of PDMEAL, as stated in earlier audit reports, some countries have in-country resources and expertise, but there is limited consistency across countries. Support for PDMEAL was moved in 2016 from central to local programme teams, with the aim of building up and stabilising local expertise. This has not happened consistently yet and CAFOD has not renewed its focus on PDMEAL, mainly due to the current focus on safeguarding. However, PDMEAL is one of CAFOD's focus areas identified in 2020 as part of *IP Futures*, including a COVID-19 MEAL framework.

The 2019 Dignity, Diversity and Equality Policy for the workplace is intended to secure a diverse workforce who are treated equally. CAFOD rolled out awareness trainings for staff and

updated existing policies and action plans that support a safe work culture. Staff performance reviews increased in frequency from yearly to quarterly in 2019.

### **3.3 Work with partner organisations**

Outside the UK, CAFOD works through approximately 400 short and long-term partnerships with local and international organisations, both faith-based and secular. CAFOD disaggregates partnerships into three categories: strategic, fellowship and project. A project partnership is defined by a set of specified deliverables on behalf of the actor with which CAFOD engages; a fellowship partnership is largely driven by CAFOD's engagement with the core values and vision of the partner; while a strategic partnership is driven by joint strategizing, and both deliverables and engagement on core values. This forms the basis for different levels of engagement and capacity strengthening support including on quality and accountability.

There have been no fundamental changes in the way CAFOD works with partners since the previous audits, with a continued focus on localization and capacity strengthening.

The subsidiarity principle remains central as CAFOD focuses on relationships and shared values. This means that the individuality, bureaucratic capacity and context of partner organisations are recognised and valued. At the same time, the focus on key principles such as safeguarding and a growing focus on MEAL means that the organisation is now working towards greater consistency among partners. The ongoing IP Futures process will determine CAFOD's long-term strategic approach to partner capacity strengthening. In the interim, capacity strengthening work continues through formal programmes (such as the Humanitarian Capacity Strengthening Unit) and informal, targeted capacity strengthening done by Project Officers in the course of regular grant management. Nonetheless, CAFOD recognises that it may be difficult to translate some un-recorded partners' work into required reporting formats. Partner interviews supported the contention that CAFOD engages with partners in a positive and supportive way, and that at the same time the systematisation of MEAL and other approaches was not (yet) reached.

CAFOD has reduced its technical support staff at HO and provides limited support (upon request) to partners, who are intended to source technical support locally. However, recognising the varying levels of partner capacity, CAFOD develops and rolls out tools including on resilience and sustainability and environmental stewardship. As part of the aforementioned organisational shift towards localisation, CAFOD has guidance on enterprise development and designing programmes to build resilience. CAFOD is currently exploring social impact investment opportunities and potential working arrangements with social enterprises.

CAFOD invests a lot of effort to support partners to link them up with existing country-level response structures and in engaging them in local, national and global learning events, and supports them in their local and national advocacy and awareness-raising efforts as needed. CAFOD also engages in national-to-global advocacy at various levels.

## **4. Overall performance of the organisation**

### **4.1 Effectiveness of the management system and internal quality assurance and governance**

CAFOD scores reasonably well on internal quality control because of a solid performance on context analysis and programme adaptation, programme design, sharing learning, and resource management. However, this audit highlights an ongoing issue with respect to using learning to drive change. CAFOD has taken a systematic and uniform approach to resolving CARs identified in previous audits, through rolling out the SADI approach across country programmes. The available evidence suggests that this is delivering change, particularly with respect to organisational responsibilities such as supporting partners to put complaints mechanisms in place and developing organisational culture in relation to complaints, in terms of being open and responsive to complaints and understanding their importance for quality and accountability. CAFOD's governing body and senior management have championed this

process which has resulted in the strong focus at all other levels of the organisation. Supporting partners to implement action-based indicators (e.g. consultation in relation to complaints and management of complaints) is a longer process and interviews and documentation suggest that CAFOD is primarily at the stage of gathering information and analysing how partners are delivering on these indicators. However, due to COVID-19 it was not possible to triangulate findings with communities, which is critical for a number of indicators relating to complaints.

#### **4.2 Overall performance in applying the CHS**

CAFOD has made strong progress in relation to the delivery of the CHS, particularly in the area of complaints, which represented a significant challenge in previous audits. CAFOD continues to address these issues and understands the requirements and constraints and it has adopted a realistic and sensible approach to supporting partners to develop appropriate systems and procedures. Otherwise, the audit generally demonstrates that CAFOD continues to perform well in areas such as alignment of assistance to needs, effective and timely aid, resilience, coordination and management of resources. Other areas that continue to require attention are monitoring and learning, and aspects of participation and information sharing. Due to the COVID-19 crisis, the auditors were not able to visit country programmes and interviews with local staff and partners were carried out remotely. The auditors did not have any contact with affected communities. Therefore, some indicators could not be audited as robustly as demanded by the CHS and so a number of CARs and observations have been maintained until the next audit, where it is recommended that a visit to a country programme takes place.

Note: CHS Alliance Verification Scheme scoring range evolved over the first certification cycle. Since 2019, the scale is no longer from 0 to 5 but from 0 to 4, and so some indicators have been revised accordingly.

#### **4.3 PSEA**

CAFOD's culture around complaints handling is strong, including promoting that culture in partners and supporting them to develop their own mechanisms, which is helping to create a recognition of the importance of the prevention of sexual exploitation and abuse. Nonetheless, it was difficult to substantiate progress because of restrictions due to COVID-19 and a number of CARs (see Section 4.6 below) have been maintained until further evidence can be gathered directly from programme visits and community consultation. Otherwise, CAFOD scores relatively well on indicators relating to engagement of communities, including a more consistent approach to providing information to communities about the organisation. The same is the case for policies to prevent negative effects and addressing constraints, which contribute to the prevention of sexual exploitation and abuse.

#### **4.4 Localisation**

CAFOD's commitment to localisation is evident in its policies and overall approach to coordination, and a strong focus on resilience and empowerment of local structures, partners and communities in all humanitarian response and development activities. CAFOD also scores comparatively well on participation and information sharing. This results in a strong score on localisation.

#### **4.5 Gender and diversity**

CAFOD scores reasonably well on gender and diversity, driven by its commitment to social justice and its inclusive approach to vulnerable groups in programmes. CAFOD's approach to participation and impartial assistance helps drive this process as well as staff policies that are fair and transparent.



#### 4.6 Organisational performance against each commitment

| Commitment   | Strong points and areas for improvement  | Feedback from communities  | Average score |
|--|--|--|---------------|
| <b>Commitment 1:</b><br>Humanitarian assistance is appropriate and relevant                            | CAFOD's meets its commitments to undertake contextual analysis and needs assessments and use this information to design impartial programmes that target the extreme poor and vulnerable and deliver impartial assistance. CAFOD analyses context at the macro level through strategic planning processes and coordination mechanisms and at the micro level through project proposal development with partners. CAFOD disaggregates data by sex, age though not systematically by ability. CAFOD has demonstrated a willingness and ability to adapt programmes to changes in context and circumstances, including during the ongoing COVID-19 crisis.  | The auditors were unable to conduct the site visit and gather feedback from communities due to COVID-19 disruptions. | 2.8           |
| <b>Commitment 2:</b><br>Humanitarian response is effective and timely                                  | CAFOD's programming is in line with its strategic plan and it considers the balance between its commitments and capacities. However, the main current concern is that COVID-19 may affect its ability to deliver its commitments across the range of country programmes if/when funding decreases. CAFOD incorporates 'Do no harm' principles into programmes, prioritises community safety and security and is vocal and supportive of communities at risk of harm. CAFOD's approach to emergencies focuses on how to deliver the most timely and effective response. Staff and partners in country programmes expressed strong satisfaction with technical support for safeguarding and complaints handling although some staff noted that CAFOD's focus on these areas has decreased the focus on other aspects of technical support. CAFOD monitors activities and outputs systematically but in some instances (particularly programmes funded from core funds), it does not systematically monitor outcomes. | The auditors were unable to conduct the site visit and gather feedback from communities due to COVID-19 disruptions. | 2.4           |
| <b>Commitment 3:</b><br>Humanitarian response strengthens local capacities and avoids negative effects | CAFOD's work has a strong focus on building on local capacities to enhance resilience. CAFOD's own systems for safeguarding personal information are strong and is analysing the extent to which partners have similarly robust systems in place, but is not yet at the stage of systematically providing capacity strengthening to partners to ensure that they safeguard personal information. CAFOD thinks through programme exit/transition of interventions, for example, describing how programmes will be technically, socially, and economically sustainable. CAFOD's approach promotes early disaster recovery and focuses on benefitting the local economy with due regard to quality but it does not systematically identify potential unintended negative effects in some areas of concern.  | The auditors were unable to conduct the site visit and gather feedback from communities due to COVID-19 disruptions. | 2.8           |
| <b>Commitment 4:</b><br>Humanitarian response is based on communication,                               | Many of CAFOD's partners are community-based organisations. CAFOD has made consistent efforts to ensure that its partners systematically communicate who they are and what affected people can expect of them, in particular regarding staff behaviour. SADI trainings, Project Funding Agreements (PFA) and interviews  | The auditors were unable to conduct the site visit and gather feedback from communities due to COVID-19 disruptions. | 2.7           |

|  |  |   |     |
|--|--|---|-----|
| participation and feedback   | confirm that this aspect has been integrated thoroughly in CAFOD's policies and guidelines although not necessarily consistently applied in practice. Community participation in decision-making and feedback are also strengthened in CAFOD's approach but are not yet systematically recorded.   |   |     |
| <b>Commitment 5:</b><br>Complaints are welcomed and addressed                  | CAFOD has developed a strong culture in relation to accepting and managing complaints; senior management receives analysis of complaints and is regularly appraised of progress against goals regarding the roll out of complaints mechanisms with and of partners. This focus appears to be informing and driving an accepting culture of complaints by partners. CAFOD has a designated budget that can be accessed to provide capacity strengthening to partners to develop complaints mechanisms. CAFOD staff are engaging with partners to address gaps identified, particularly with partners who are ranked as high risk in the partner safeguarding profiling. Despite these initiatives and clear progress, the COVID-19 related inability to travel to programme sites and meet with communities constrained the auditors' ability to come to any firm conclusions on this issue and will need to be confirmed during community consultations at the next audit. | The auditors were unable to conduct the site visit and gather feedback from partner organisations and from communities due to COVID-19 disruptions. | 1.7 |
| <b>Commitment 6:</b><br>Humanitarian response is coordinated and complementary | CAFOD is an active member of the humanitarian community. The organisations strategic framework <i>Our Common Home</i> identifies collaboration at all levels – from local to global – and with a wide variety of actors as a key aspect of the organisation's way of working. This vision, along with a strong commitment to broad coordination, is supported in the Humanitarian Strategy. The Humanitarian Mandate further anchors these commitments in a partnership approach that is characterized by subsidiarity. It is ambitious in its aim to support partners' unique assets while striving for systematising organisational quality. CAFOD engages its partners in country-level, regional and global exchanges among partners, supports them in strengthening their advocacy voice at local level and feeds their messages into global advocacy. CAFOD has solid information sharing channels to ensure it can share information appropriately at all levels.   | The auditors were unable to conduct the site visit and gather feedback from communities due to COVID-19 disruptions.                                | 3.3 |
| <b>Commitment 7:</b><br>Humanitarian actors continuously learn and improve     | CAFOD continues to make organisational and programme-based learning a priority. Some challenges remain in terms of systematising and improving the organisational information management and making it fully operational for monitoring and learning. CAFOD's Programme Information Management system is currently too cumbersome to adequately fulfil its intended role in storing and retrieving programme information for continuous and organisational learning. However, CAFOD engages partners in monitoring and learning activities and supports them to develop their own monitoring capacity. Learnings are shared internally and on CAFOD's public website.  | The auditors were unable to conduct the site visit and gather feedback from communities due to COVID-19 disruptions.                                | 2.5 |

|   |  |  |     |
|---|--|--|-----|
| <b>Commitment 8:</b><br>Staff are supported to do their job effectively, and are treated fairly and equitably | CAFOD has clear staff rules and regulations in place, staff are well trained and motivated by CAFOD's mission and values. Staff are guided by CAFOD's Code of Behaviour and understand what is expected of them in terms of behaviour. Continuous trainings ensure adequate staff competencies and skills. As part of their localisation agenda, CAFOD strives to build up local technical support. While this works well in some countries, others with a more fragile civil society structure may struggle to find technical competencies locally. Generally, CAFOD's strong focus on improving its safeguarding approach has meant increased workload for many staff. | The auditors were unable to conduct the site visit and gather feedback from communities due to COVID-19 disruptions. | 2.8 |
| <b>Commitment 9:</b><br>Resources are managed and used responsibly for their intended purpose                 | CAFOD has a solid policy platform in place to ensure appropriate use and management of resources. Its operating approach supports an appropriate balance between quality, cost and timeliness. It systematically undertakes financial management and control reviews of partners and provides capacity strengthening to address weaknesses. CAFOD's governing body and senior management are driving its focus on the environment, as evidenced by its commitment to being carbon neutral by 2030. CAFOD employs a range of measures to prevent, detect and take action on corruption, including its internal audit function and its complaints mechanism.               | The auditors were unable to conduct the site visit and gather feedback from communities due to COVID-19 disruptions. | 2.8 |


## 5. Summary of non-conformities

| Corrective Action Requests (CAR) / Weaknesses   | Type<br>( <i>minor / major</i> ) | Resolution due date                      | Date closed out |
|---|----------------------------------|--|-----------------|
| 2019 - 3.8: CAFOD has not yet demonstrated sufficient capacity strengthening and oversight of partners to ensure that partners are systematically protecting personal information.  | minor                            | 2020-04-15<br><br>Extended<br>2022-08-04 |                 |
| 2019 - 5.1: CAFOD has not yet demonstrated that it has undertaken sufficient capacity strengthening and oversight of partners to ensure they consult with communities on the design, implementation and monitoring of complaints-handling processes. (2019-5.1) | minor                            | 2020-04-15<br><br>Extended<br>2022-08-04 |                 |
| 2019 - 5.3: CAFOD has not yet demonstrated systematic capacity strengthening and oversight of partners to ensure that partners are managing complaints timely, fairly and appropriately.  | minor                            | 2020-04-15<br><br>Extended<br>2022-08-04 |                 |
| 2019 - 5.6: CAFOD has not yet demonstrated formal oversight over partners' efforts to ensure that communities are aware of expected staff behaviour.  | minor                            | 2020-04-15<br><br>Extended<br>2022-08-04 |                 |
| 2020 - 7.2: CAFOD does not yet systematically use learning from M&E, complaints and feedback to implement change.   | minor                            | 2022-08-04                               |                 |

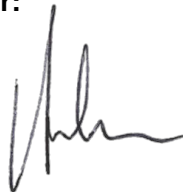
## 6. Sampling recommendation for next audit

|   |  |
|---|--|
| <b>Sampling rate</b>                                  | The standard sampling rate indicates that 4 CPs should be included in the Maintenance Audit. No deviation from this standard sampling is recommended.  |
| <b>Specific recommendation for selection of sites</b> | We recommend including one country programme site visit for the Maintenance Audit as there are elements that need further triangulation on site, particularly with respect to commitment 5 but also a number of other specific indicators that rely on community consultation to ensure robust findings (see the Annex – Detailed Findings, for the specific indicators) as well as with partners who interact with communities. |

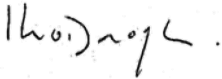
## 7. Lead auditor recommendation

|  |   |
|--|---|
| <p>In our opinion, CAFOD is implementing the necessary actions to address the minor CARs identified in the previous audit. Notwithstanding the need to extend some of the CARs because of the restriction in scope caused by COVID-19 that prevented a programme site visit, in our opinion CAFOD continues to conform with the requirements of the Core Humanitarian Standard on Quality and Accountability. We recommend maintenance of certification issued at stage one of this audit.</p> |   |
| <b>Name and signature of lead auditor:</b><br><br>Johnny O'Regan   | <b>Date and place:</b><br>04 August 2020, Dublin, Ireland |

## 8. HQAI decision

|   |   |
|---|---|
| <input checked="" type="checkbox"/> Certificate maintained<br><input type="checkbox"/> Certificate suspended  | <input type="checkbox"/> Certificate reinstated<br><input type="checkbox"/> Certificate withdrawn |
| <b>Next audit</b><br>Maintenance Audit to be completed before 2021/07/18  |   |
| <b>Name and signature of HQAI Executive Director:</b><br><br>Pierre Hauselmann | <b>Date and place:</b><br>August 20 <sup>th</sup> 2020, Geneva                                    |

## 9. Acknowledgement of the report by the organisation

|   |  |
|---|--|
| <b>Space reserved for the organisation</b>  |  |
| Any reservations regarding the audit findings and/or any remarks regarding the behaviour of the HQAI audit team:<br><br><i>If yes, please give details:</i> | <input type="checkbox"/> yes <input type="checkbox"/> no   |
| <b>Acknowledgement and Acceptance of Findings:</b><br><br>I acknowledge and understand the findings of the audit<br><br>I accept the findings of the audit  | <input type="checkbox"/> yes <input type="checkbox"/> no<br><br><input type="checkbox"/> yes <input type="checkbox"/> no |
| <b>Name and signature of CAFOD's representative:</b><br><br>               | <b>Date and place:</b><br>London, 25/09/2020   |

## Appeal

In case of disagreement with the decision on certification, the organisation can appeal to HQAI within 14 days after being informed of the decision. HQAI will investigate the content of the appeal and propose a solution within 10 days after receiving the appeal.

If the solution is deemed not to be satisfactory, the organisation can inform HQAI in writing within 30 days after being informed of the proposed solution, of their intention to maintain the appeal.

HQAI will transmit the case to the Chair of the Advisory and Complaint Board who will constitute a panel made of at least two experts who have no conflict of interest in the case in question. These will strive to come to a decision within 30 days.

*The details of the Appeals Procedure can be found in document PRO049 – Appeal Procedure.*

## Annex 1: Explanation of the scoring scale\*

| Scores | Meaning : for all verification scheme options  | Technical meaning for all independent verification and certification audits   |
|--------|--|---|
| 0      | Your organisation does not work towards applying the CHS commitment.   | <p><b>Score 0:</b> indicates a weakness that is so significant that the organisation is unable to meet the commitment. This leads to:</p> <ul style="list-style-type: none"> <li>• <b>Independent verification:</b> major weakness;</li> <li>• <b>Certification:</b> major non-conformity, leading to a major corrective action request (CAR) – No certificate can be issue or immediate suspension of certificate.</li> </ul>              |
| 1      | Your organisation is making efforts towards applying this requirement, but these are not systematic.   | <p><b>Score 1:</b> indicates a weakness that does not immediately compromise the integrity of the commitment but requires to be corrected to ensure the organisation can continuously deliver against it. This leads to:</p> <ul style="list-style-type: none"> <li>• <b>Independent verification:</b> minor weakness</li> <li>• <b>Certification:</b> minor non-conformity, leading to a minor corrective action request (CAR).</li> </ul> |
| 2      | Your organisation is making systematic efforts towards applying this requirement, but certain key points are still not addressed.  | <p><b>Score 2:</b> indicates an issue that deserves attention but does not currently compromise the conformity with the requirement. This leads to:</p> <ul style="list-style-type: none"> <li>• <b>Independent verification and certification:</b> observation.</li> </ul>   |
| 3      | Your organisation conforms to this requirement, and organisational systems ensure that it is met throughout the organisation and over time – the requirement is fulfilled.   | <p><b>Score 3:</b> indicates full conformity with the requirement. This leads to:</p> <ul style="list-style-type: none"> <li>• <b>Independent verification and certification:</b> conformity.</li> </ul>  |
| 4      | Your organisation's work goes beyond the intent of this requirement and demonstrates innovation. It is applied in an exemplary way across the organisation and organisational systems ensure high quality is maintained across the organisation and over time. | <p><b>Score 4:</b> indicates an exemplary performance in the application of the requirement.</p>  |

\* Scoring Scale from the CHSA Verification Scheme 2020