



ADRA DENMARK
CHS Certification Report

ADK-CER-2017-009

2017-06-17

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3. Schedule summary

3.2 Verification Schedule

Name of Programme sites/members/partners verified	Location	Mandate (Humanitarian, Development, Advocacy)	Number of projects visited	Type of projects
ADRA Rwanda	Rwanda	Development	2	Livelihoods, health, education

3.2 Opening and closing meetings

3.2.1 At Head Office

	Opening meeting	Closing meeting
Date	18/5/17	19/5/17
Location	Naerum, DK	Naerum, DK
Number of participants	13	4
Any substantive issue arising	No	Likely major non compliance on commitment 5

3.2.2 At Programme Sites

	Opening meeting	Closing meeting
Date	22/5/17	12/6/17
Location	Kigali, Rwanda	Skype
Number of participants	4	4
Any substantive issue arising	No	Likely major non-compliance on complaints reiterated

4. Recommendation

In our opinion, because of a major non-compliance on complaints handling, ADRA DK does not conform to the requirements of the Core Humanitarian Standard. We do not recommend certification.

Detailed findings are laid out in the rest of this report.



Dublin June 26, 2017

Lead Auditor's
Name and
Signature

5. Background information on the organisation

5.1 General

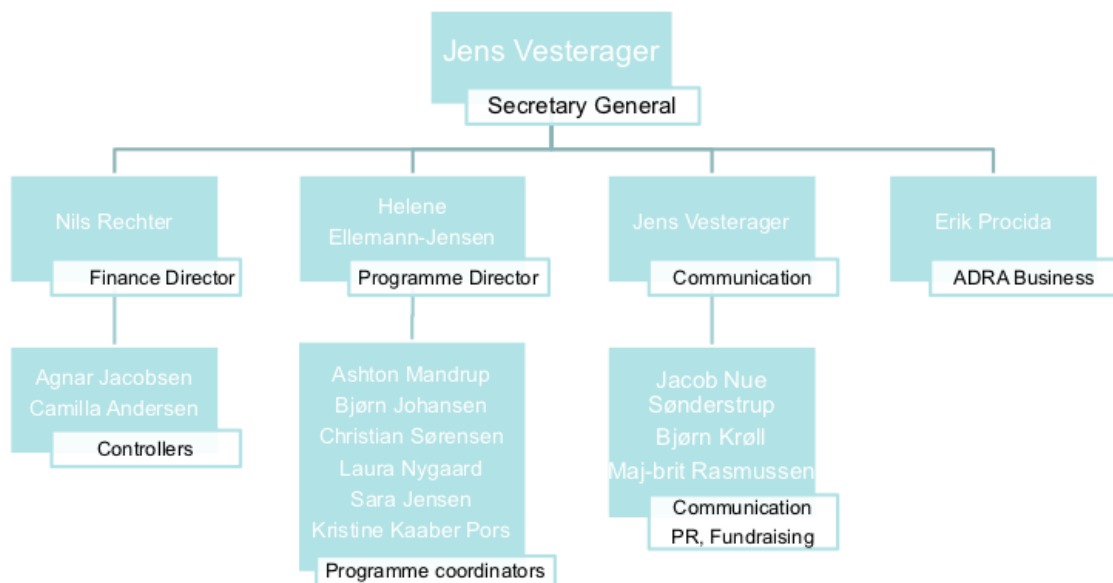
The Adventist Development and Relief Agency Denmark (ADRA DK) is a Danish humanitarian agency founded in 1987. ADRA DK is an independent faith based Christian organisation with its own board and bylaws. ADRA DK is a recognized member of the global ADRA network consisting of 134 independent nationally founded ADRA organisations, operating under the guidance of ADRA International. The national ADRA partner is the owner and the implementer of activities, while ADRA DK takes on the role of facilitator, supporter and fundraiser. ADRA DK's mission is to relieve human suffering, to enhance personal dignity, contribute to social justice, build social capital and facilitate poverty reduction and sustainable development in poor and marginalized communities. To fulfil this mission, ADRA DK undertakes humanitarian, development and advocacy activities, supports people affected by conflict and crises to be resilient and provides life- saving humanitarian assistance and protection. ADRA DK works through ADRA partners in eight countries in Africa and the Middle East: Burundi, Malawi, Rwanda, Uganda, Sudan, South Sudan, Syria and Yemen. In addition, ADRA DK supports other projects through the international ADRA network. ADRA DK's programs and projects are funded by DANIDA, ECHO/EU and private fundraising in Denmark. ADRA International's global system responds to humanitarian crises. ADRA international takes the lead in coordination of the response to emergencies. The Emergency Response Management System (ERMS) is a standardised management system that is used across the ADRA Network for emergency response planning and training, and to ensure a coordinated response to an emergency event. The Emergency Response Team (ERT) is a group of trained and experienced people who respond to an emergency. They may be sourced from within a country, the region or the wider ADRA Network. ADRA DKs

Human Rights Based Approach (HRBA) to development focuses on promoting and protecting people’s human rights and addressing the underlying causes of vulnerability or poverty. A central dynamic of HRBA is identifying the root causes of poverty and defining the responsibility for the fulfilment and realization of human rights. ADRA works to strengthen rights-holders to claim their rights – through strengthening their awareness of their rights, of the responsibilities of duty-bearers and of their opportunities for influence. The PANT-principles Participation, Accountability, Non-discrimination and Transparency are central in the implementation of a HRBA.

5.2 Organisational structure and management system

The ADRA DK team consists of 17 staff (see organogram below). The Secretary-General has been in position for the past 3 months. The management team (ADCOM) consists of the Secretary-General, Programmes Director and Director of Finance.

ADRA Danmark Organigram – May 2017



The Agency's highest authority is the Committee of Representatives (effectively a general assembly), which has representation from across the ADRA family and Adventists in Denmark and meets once annually. An Executive Committee, which meets five times annually, supervises the management of the Agency in accordance with the guidelines adopted by the Committee of Representatives.

5.3 Work with Partners

Partnership is central to ADRA DK's way of working and is described in section 5.1. ADRA DK always works in close partnership with the ADRA office in the partner country, and the partners must clearly contribute to ADRA DK's overall strategy. The national ADRA partner is the owner and the implementer of activities. ADRA DK's role is fundraiser, facilitator, and advisor- providing technical support during programme design, planning and implementation, and monitoring programmes remotely and through visits. ADRA Denmark has developed a number of partnerships with implementing ADRA offices in Africa and the Middle East.

5.4 Certification or verification history

ADRA DK does not have any previous relevant certification or verification.

6. Sampling

6.1 Rationale for sampling

ADRA DK's funding is split equally between development and humanitarian programmes, and so visiting either a humanitarian or development programme was considered reasonable. Nevertheless, the majority of humanitarian programmes funded by ADRA DK were not selected from the outset because of security/access, and confirmed visa issues.

Syria was the preferred programme site because of the scale of the ADRA response and access seemed possible. However, the security situation seriously deteriorated when the auditors had to make a final decision and it was discarded for a visit of auditors. The team nevertheless discussed the Syria programme and reviewed a sample of documentation in order to provide the humanitarian perspective.

Rwanda has one development programme funded by ADRA DK in two project sites (Burundi was considered but only had one project site) and therefore was selected for the visit at programme site level.

Disclaimer:

It is important to note that the audit findings are based on the results of a sample of the organisation's documentation and systems as well as interviews and focus groups with a sample of staff, partners, communities and other relevant stakeholders. Findings are analysed to determine the organisation's systematic approach and application of all aspects of the CHS across its organisation and to its different contexts and ways of working.

6.2 Interviews

6.2.1 Semi-structured interviews (individual interviews or with a small group <6

Type of people interviewed	Number of people interviewed
Head Office	
Management team and staff	8
ADRA International staff	2
Programme sites	
Management and staff	13
Total number of interviews	23

6.2.2 Focus Group Discussions (interviews with a group >6

Type of Group	Number of participants	
	Female	Male
Livelihoods (2 groups)	13	9
Education	20	18
Health	8	1
Total number of participants	41	28

7. Report

7.1 Overall organisational performance

ADRA DK has a strong rights based focus that works effectively through its local partners. ADRA DK supports those partners effectively in significant areas such as developing theories of change, implementing the rights based approach, creating the conditions for community empowerment and developing higher level results frameworks. The major issue it faces is around the development of complaints response mechanisms, and particularly in supporting partners to develop their mechanisms, which results in a major non-compliance.

Other areas where ADRA DK has not sufficiently developed its approach are around policy guidance for evaluations, dissemination of learning and information sharing. However, practice in these areas is more developed as information sharing (on programmatic activities) is strong and evaluations and action plans are undertaken reasonably systematically. ADRA DK does not formally support partners to systematically identify all potential negative effects of programmes although the use of the risk analysis tool in humanitarian settings is encouraging. ADRA DKs programmatic approach to participation (in development contexts) is very much in line with the standard as it encourages communities to lead programmes.

7.2 Summary of non-conformities

Non-compliance	MAJOR	MINOR	TIME FOR RESOLUTION
Commitment 1			
Commitment 2			
Commitment 3		<p>3.6 ADRA DK does not formally identify all potential and actual unintended negative effects in a timely and systematic manner.</p> <p>3.8 ADRA DK does not have systems to safeguard personal information collected from communities and people affected by crisis and does not formally work with partners to develop systems to safeguard personal information collected by them.</p>	18 months
Commitment 4		4.1 ADRA DK does not support partners to develop contextualised information sharing plans to ensure they share information about its values, principles or staff	12 months

		behaviour. 4.5 ADRA DK does not have an information sharing policy	6 months
Commitment 5	5.1 ADRA DK does not support its partners to consult communities on any aspects of complaints handling mechanisms. 5.3a ADRA DK does not support partners to manage complaints. 5.7 ADRA DK does not support its partners to refer out-of-scope complaints to relevant parties.	5.2 ADRA DK does not work with partners to ensure that complaints are welcomed and accepted. 5.3b ADRA DK does not support its partners to ensure the safety of complainants. 5.4 ADRA DK does not track partner's development or implementation of complaints mechanisms or support partners to develop complaints mechanisms. 5.5 ADRA DK does not support partners to develop their organisational culture in relation to complaints. 5.6 ADRA DK does not support its partners to communicate expected behaviour by its staff to communities.	
Commitment 6			
Commitment 7		7.4 ADRA DK does not have evaluation or learning policies or procedures. 7.5 There is no formal guidance on the recording and dissemination of learning and internal meetings where knowledge is shared are not recorded.	12 months
Commitment 8			
Commitment 9		9.6 ADRA DK has no policy guidance on ethical acceptance and allocation of funds and gifts-in-kind, the environment or audit.	12 months
TOTAL Number	3	12	

7.3 Strong points and areas for improvement

Commitment 1: Humanitarian assistance is appropriate and relevant

Score: 2.6

ADRA DK supports partners to undertake context and stakeholder analysis and needs assessments. Programmes are designed based on analyses of risks, rights and needs disaggregated based on sex and age. There is a strong focus in development programmes on community capacities. However, policies and strategies do not recognize important vulnerabilities such as disability and data is not disaggregated based on disability.

Feedback from people affected by crisis and communities on Commitment 1

Communities were appreciative of the focus on rights based approaches and ADRA DK's partners approach to working with them based on their capacities. They were clear on the selection and assessment processes conducted by ADRA DK.

Commitment 2: Humanitarian response is effective and timely

Score: 2.1

Programmes are delivered timely and ADRA DK advocates for unmet need through the cluster system and strongly supports partners to work with communities so that they can advocate for their own needs to be met. ADRA DK has strongly encouraged and supported partners to move from activity level monitoring to monitoring higher level results (though not always at outcome level). ADRA DK programmes consider constraints but do not systematically identify all unintended negative effects and poor performance, although it addresses them when discovered. ADRA DK's commitments are generally in line with organizational capacity.

Feedback from people affected by crisis and communities on Commitment 2:

Communities are satisfied that ADRA DK funded programmes are safe and realistic and are delivered in a timely manner. They feel more empowered to advocate for unmet needs and recognize that ADRA DK adapt programmes based on monitoring results.

Commitment 3: Humanitarian response strengthens local capacities and avoids negative effects

Score: 2.3

ADRA DK's programmatic focus is to identify and build on local capacities and community resilience. ADRA DK's partners are capacitated as first responders and it works with partners to support communities to ensure representation in local leadership. Programmes are designed to promote early recovery although ADRA DK does not systematically support partners to develop exit or transition strategies. ADRA DK has not yet developed its Linking Relief Rehabilitation and Development (LRRD) policy, although this is a focus of its work in practice. ADRA has not fully operationalized its risk management guidance in development programmes and does not formally work with partners to systematically identify all potential negative effects. ADRA DK does not have systems to safeguard personal information and does not work with partners to develop such systems.

Feedback from people affected by crisis and communities on Commitment 3:

Communities feel more resilient and capacitated as a result of ADRA DK's programmes and feel that their livelihoods have benefitted through their interventions.

Commitment 4: Humanitarian response is based on communication, participation and feedback

Score: 2.5

ADRA DK has no information sharing policy and does not support partners to develop contextualized information sharing plans to communicate commitments around staff behaviour, organizational values and future plans. Nonetheless, country programmes have communication strategies and communication (around ADRA's programmes and community rights) is integral in ADRA DK's programme approach. ADRA DK's approach goes beyond participation and encourages and facilitates communities to develop their own strategies to claim their rights and entitlements from duty bearers.

Feedback from people affected by crisis and communities on Commitment 4:

Communities understand ADRA's faith-based background and programmatic approach that focuses on empowerment. Communities are aware how to contact ADRA and feel free to give feedback. They are not familiar with the Code of Conduct, complaints mechanisms or ADRA's plans for the future.

Commitment 5: Complaints are welcomed and addressed

Score: 0

ADRA DK's fraud, whistleblowing and complaints policy contains a very brief section on its intent to support partners to develop complaints mechanisms; however, this has not been operationalised. The section in the partnership agreement that stipulates a complaints mechanism contains no details such as the scope of complaints. ADRA DK does not monitor partner's development or implementation of complaints mechanisms and has not supported partners to develop complaints mechanisms. Some partners have (at least on paper) complaints mechanisms though their operationalisation is unclear.

Feedback from people affected by crisis and communities on Commitment 5:
Communities did not have any awareness of formal complaints mechanisms.

Commitment 6: Humanitarian response is coordinated and complementary

Score: 3

ADRA DK commits to working in cooperation with partners and other actors in strategies and policies. ADRA DK supports partners to engage in coordination mechanisms in programme countries to ensure complementarity with national authorities' actions, including UN agencies the cluster system and civil society networks.

Feedback from people affected by crisis and communities on Commitment 6:
Communities did not identify and gaps in assistance or duplication or activities in any ADRA DK supported programmes.

Commitment 7: Humanitarian actors continuously learn and improve

Score: 2

ADRA DK has no evaluation or learning policies or formal guidance on how learning is recorded and disseminated and does not support partners to develop such guidance. However, ADRA DK supports partners to incorporate lessons learnt into programme design and to use learnings from monitoring and evaluation exercises to make changes to programmes. It shares learning internally and with partners and supports partners' efforts to share learning with communities.

Feedback from people affected by crisis and communities on Commitment 7:
Communities recognized ADRA DK's partners' efforts to support cross learning amongst community groups.

Commitment 8: Staff are supported to do their job effectively, and are treated fairly and equitably

Score: 3

ADRA DK has the management and staff capacity to meet its obligations, job descriptions are in place and performance reviews are undertaken systematically. Despite being stretched when critical staff members are unavailable, ADRA maintains a reserve to cover absent staff. ADRA DK has its own code of conduct for staff but does not monitor whether its partners have a code. ADRA DK has generally clear staff policies though they are not sufficiently clear with respect to some aspects of discrimination such as race. ADRA DK promotes staff development through staff performance appraisals and is open to realistic training requests that are within the staff training budget.

Feedback from people affected by crisis and communities on Commitment 8:

Communities gave positive testimonies about ADRA's partner staff and described them as capable and approachable.

Commitment 9: Resources are managed and used responsibly for their intended purpose

Score: 2.5

ADRA DK supports partners to consider the balance of quality, cost and timeliness in programme design and its financial and procurement systems and way of working (through partners) help ensure that resources are used efficiently. However, it does not consider environmental efficiency in programme design. ADRA DK systematically monitors and reports against budget. It makes clear to partners its commitment to anti-fraud and reports any identified corruption on its website. ADRA DK has no policy guidance on ethical acceptance and allocation of funds and gifts-in-kind, the environment or audit.

Feedback from people affected by crisis and communities on Commitment 9:

Communities were satisfied with ADRA DK's use of resources and noted no instances of corruption.

8. Organisation's approval

Acknowledgement and Acceptance of Findings

(Organisation representative – please cross where appropriate)

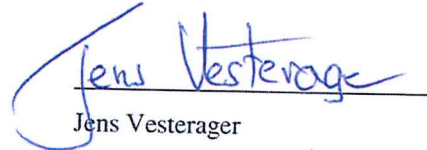
I acknowledge and understand the findings of the audit

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

Organisation's
Representative Name
and Signature:


Jens Vesterager


Naerum July 25, 2017

Date of document: 2017-06-17

9. HQAI's decision

Quality Control by: Elissa Goucem	Quality control First Draft: 2017-06-21 Final Draft: 2017-06-29
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Certification Decision:	
Certification	Intermediate audit
<input type="checkbox"/> Certified <input checked="" type="checkbox"/> Preconditioned (Major CARs)	<input type="checkbox"/> Maintenance of certificate <input type="checkbox"/> Suspension of Certificate (Major CARs)
Deadlines: First Maintenance Audit before 2018-07-24 Mid-term Audit before 2019 -07-24 Second Maintenance Audit before 2020 -07-24 Recertification Audit before 2021 -07-24	

Certification Decision Pierre Hauselmann Executive Director Humanitarian Quality Assurance Initiative	Date: 2017-08-22  HUMANITARIAN QUALITY ASSURANCE INITIATIVE Ch. de Balexert 7 1219 Châtelaine Geneva, Switzerland CHE-347.806.420
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Appeal

In case of disagreement with the conclusions 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 days 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.

What do the scores stand for?

Score	Key actions	Organisation responsibilities
0	<ul style="list-style-type: none"> Operational activities and actions systematically contradict the intent of a CHS requirement. Recurrent failure to implement the necessary actions at operational level. A systemic issue threatens the integrity of a CHS Commitment (i.e. makes it unlikely that the organisation is able to deliver the commitment). 	<ul style="list-style-type: none"> Policies and procedures directly contradict the intent of the CHS requirement. Complete absence of formal or informal processes (organisational culture) or policies necessary for ensuring compliance at the level of the requirement and commitment.
	<p>Score 0 means: The organisation does not work currently towards the systematic application of this requirement/commitment, neither formally nor informally. This is a major weakness to be corrected as soon as possible.</p>	
1	<p>Some actions respond to the intent behind the CHS requirement. However:</p> <ul style="list-style-type: none"> There are a significant number of cases where the design and management of programmes and activities do not reflect the CHS requirement. Actions at the operational level are not systematically implemented in accordance with relevant policies and procedures. 	<p>Some policies and procedures respond to the intent behind the CHS requirement. However:</p> <ul style="list-style-type: none"> Relevant policies exist but are incomplete or do not cover all areas of the CHS. Existing policies are not accompanied with sufficient guidance to support a systematic and robust implementation by staff. A significant number of relevant staff at Head Office and/or field levels are not familiar with the policies and procedures. Absence of mechanisms to ensure the monitoring and systematic delivery of actions, policies and procedures at the level of the commitment.
	<p>Score 1 means: The organisation has made some efforts towards application of this requirement/commitment, but these efforts have not been systematic. This is a weakness to be corrected.</p>	

Score	Key actions	Organisation responsibilities
2	<p>Actions broadly respond to the intent behind the CHS requirement:</p> <p>Actions at operational level are broadly in line with the intent behind a requirement or commitment.</p> <p>However:</p> <ul style="list-style-type: none"> • Implementation of the requirement varies from programme to programme and is driven by people rather than organisational culture. • There are instances of actions at operational level where the design or management of programmes does not fully reflect relevant policies. 	<p>Some policies and procedures respond to the intent behind the CHS requirement. However:</p> <ul style="list-style-type: none"> • Relevant policies exist but are incomplete or do not cover all areas of the CHS. • Existing policies are not accompanied with sufficient guidance to support a systematic and robust implementation by staff. • A significant number of relevant staff at Head Office and/or field levels are not familiar with the policies and procedures. • Absence of mechanisms to ensure the monitoring and systematic delivery of actions, policies and procedures at the level of the commitment.
	<p>Score 2 means: The organisation is making systematic efforts towards application of this requirement/commitment, but certain key points are still not addressed. This is worth an observation and, if not addressed may turn into a significant weakness.</p>	
3	<p>Actions respond to the intent of the CHS requirement:</p> <ul style="list-style-type: none"> • The design of projects and programmes and the implementation of activities is based on the relevant policies and reflects the requirement throughout programme sites. • Staff are held accountable for the application of relevant policies and procedures at operational level, including through consistent quality assurance mechanisms. 	<p>Policies and procedures respond to the intent of the CHS requirement:</p> <ul style="list-style-type: none"> • Relevant policies and procedures exist and are accompanied with guidance to support implementation by staff. • Staff are familiar with relevant policies. They can provide several examples of consistent application in different activities, projects and programmes. • The organisation monitors the implementation of its policies and supports the staff in doing so at operational level.
	<p>Score 3 means: The organisation conforms with this requirement, and organisational systems ensure that it is met throughout the organisation and over time.</p>	
4	<p>As 3, but in addition:</p> <ul style="list-style-type: none"> • Field and programme staff act frequently in a way that goes beyond CHS requirement to which they are clearly committed. • Communities and other external stakeholders are particularly satisfied with the work of the organisation in relation to the requirement. 	<p>As 3, but in addition:</p> <ul style="list-style-type: none"> • Policies and procedures go beyond the intent of the CHS requirement, are innovative and systematically implemented across the organisation. • Relevant staff can explain in which way their activities are in line with the requirement and can provide several examples of implementation in different sites. • They can relate the examples to improved quality of the projects and their deliveries.

Score	Key actions	Organisation responsibilities
	<p>Score 4 means: The organisation demonstrates innovation in the application of this requirement/commitment. 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>	
5	<p>As 4, but in addition:</p> <ul style="list-style-type: none"> • Actions at all levels and across the organisation go far beyond the intent of the relevant CHS requirement and could serve as textbook examples of ultimate good practice. 	<p>As 4, but in addition:</p> <ul style="list-style-type: none"> • Policies and procedures go far beyond the intent of the CHS requirement and could serve as textbook examples of relevant policies and procedures. • Policy and practice are perfectly aligned.
<p>Score 5 means: On top of demonstrating conformity and innovation, the organisation receives outstanding feedback from communities and people. This is an exceptional strength and a score of 5 should only be attributed in exceptional circumstances.</p>		