



ANNEX 1: DETAILED FINDINGS

NABA'A
CHS Certification
Maintenance Audit Report

2019-03-06

Note: In the findings section, the text in blue indicates weaknesses in the application of the CHS

- 3.6 Identify and act upon potential or actual unintended negative effects in a timely and systematic manner, including in the areas of:
f. the environment.

Score: 1

Ind. 3.6: Programmes identify and act upon potential or actual unintended negative effects in a timely and systematic manner, including in the area of f) the environment.

Findings: The Initial Audit issued an Observation as the potential effects on the environment were not systematically covered in Baseline and Participatory Needs Assessments or risk analyses. During the Mid Term Audit in 2018 it was observed that potential effects on the environment are not systematically identified and acted upon. The present Maintenance Audit found that Naba'a has not shown evidence of change in the identification of potential and unintended effects of programmes in the area of the environment since the Mid Term Audit in 2018.

The present Maintenance Audit downgraded this Observation to a minor CAR.

Evidence: Interviews with staff.

Minor CAR: Potential effects on the environment are not systematically covered in Baseline Analysis, Risk Analysis or Participatory Needs Assessment and acted upon.

- 4.1 Provide information to communities and people affected by crisis about the organisation, the principles it adheres to, how it expects its staff to behave, the programmes it is implementing and what they intend to deliver.

Score: 2

Ind. 4.1: Information is provided to communities and people affected by crisis about the organization, the principles it adheres to, the expected behaviours of staff, its programmes and deliverables.

Findings: The Mid-Term Audit identified a gap in systematic provision of information in all project locations on how the organisation expects its staff to behave with communities. To address this gap, the organisation has set up orientation meetings at the start and 2-yearly project review meetings. At the start of psycho-social projects and the child rights projects Naba'a staff explain the Code of Conduct, Child Protection policy and complaints procedure. Orientation on child rights and child protection is part of the youth empowerment projects. Naba'a has developed a Question and Answer (Q&A) document for each humanitarian project to instruct staff on how to communicate with beneficiaries about the project, how staff should behave and how the complaints system works. Staff have been oriented to use the Q&A. However, as this audit is remote there is no confirmation from communities and beneficiaries that they have received information on the expected behaviour of Naba'a staff. This will need to be checked at the next audit.

The present Maintenance Audit found enough evidence to close the Minor CAR. However, an Observation remains open as triangulation of information was not possible on site.

Evidence: Document 2, 17, 20, and interviews with staff.

Observation: There is no evidence from communities yet that they have received

information about the organisation expects its staff to behave.

5.1 Consult with communities and people affected by crisis on the design, implementation and monitoring of complaints-handling processes.

Score: 2

- Ind.5.1: Communities and people affected by crisis are consulted on:
- the design
 - the implementation
 - the monitoring of complaints handling processes.

Findings: The Mid Term Audit in 2018 observed that Naba'a did not provide evidence to show that it systematically involves communities and affected people in the design, implementation and monitoring of the Complaints handling process in all project locations. Since the Mid-Term Audit, Naba'a has held quarterly orientation meetings with the local community and beneficiaries to gather ideas for improvements on project delivery. Communities are consulted if any problems occurred with regards to staff, relations with beneficiaries, logistics. Naba'a staff interviewed at this Maintenance Audit state that communities are consulted on their suggestions for improvements to the complaints handling processes but could not provide documented evidence of this. No evidence was submitted that demonstrates that consultations were conducted specifically on the design, implementation and monitoring of the complaints handling processes.

As the present audit is remote the auditor could not directly triangulate with communities on site. This will have to be checked at the recertification audit, and Naba'a is expected to provide documented evidence.

Evidence: Document map 13: Minutes of meetings, interviews with staff

Observation: There is no documented evidence that communities are consulted on the design, implementation and monitoring of complaints handling processes.

5.6 Communities and people affected by crisis are fully aware of the expected behaviour of humanitarian staff, including organisational commitments made on the prevention of sexual exploitation and abuse.

Score: 1

- Ind. 5.6: Communities and people affected by crisis are aware of the expected behaviour of staff, including commitments on the prevention of sexual exploitation and abuse.

Findings: The Initial Audit in 2016 issued an Observation on this indicator. The Mid Term Audit issued a minor CAR as there was no evidence found to demonstrate that Naba'a ensured systematically that communities and people affected by crisis were fully aware of the expected behaviour of staff and volunteers. According to staff, Naba'a has engaged with communities to discuss expected behaviour of staff, during quarterly orientation and review meetings in development projects (See also 4.1). Naba'a has given an orientation to its staff to use the Question and Answer Document for each humanitarian project on how to communicate with beneficiaries that also includes rules for staff behaviour with regards to sexual exploitation and abuse. However, as the audit is remote there is no direct evidence collected from communities that shows that they are now fully aware of the expected behaviour of staff. This will have to be checked at the next audit.

The CAR remains open until feedback from communities allows triangulation of information.

Evidence: Document 2, Interviews with staff
Minor CAR: There is no evidence that communities are fully aware of the expected behaviour of staff.

8.2 Staff adhere to the policies that are relevant to them and understand the consequences of not adhering to them.

Score: 3

Ind. 8.2: Staff adhere to the policies that are relevant to them and understand the consequences of not adhering to them.

Findings: The Mid Term Audit made the observation that not all staff have a clear understanding of the Code of Conduct and what the consequences are of not adhering to it. Since the Mid Term Audit Naba'a has installed an HR Coordinator who is working on the development of HR systems and the administration and monitoring of HR policies. Each new staff member and volunteer attends an orientation session on the Naba'a Code of Conduct and Child Protection policy. Staff and volunteers sign it after the probation period with their contract. It is made clear to all that disciplinary measures will follow to those who breach the Codes. Staff interviewed were all aware of Naba'a's commitment to (child) protection and the consequence of not adhering to this.

The present Maintenance Audit found enough evidence to close this Observation.

Evidence: Document 19, interviews with staff
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8.7 A code of conduct is in place that establishes, at a minimum, the obligation of staff not to exploit, abuse or otherwise discriminate against people.

Score: 3

Ind.8.7: A code of conduct is in place that establishes, at a minimum, the obligation of staff not to exploit, abuse or otherwise discriminate against people.

Findings: During the Mid Term audit, it was observed that one volunteer had not signed the Naba'a Code of Conduct. Since the Mid-Term Audit Naba'a has worked to ensure that not only staff but also volunteers sign the Code of Conduct and the Child Protection Policy. The new HR Coordinator coordinates that all staff and volunteers receive an introduction to the Code of Conduct and the Child Protection Policy and sign them. In January 2019 all volunteers had received an orientation and signed both documents. Action is taken to make sure that those absent will also sign.

The present Maintenance Audit found enough evidence to close this Observation.

Evidence: Document 19, interviews with staff
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9.2 Manage and use resources to achieve their intended purpose, so minimising waste.

Score: 2

Ind. 9.2: The organisation manages and uses resources to achieve their intended purpose and minimise waste.

Findings: The Initial Audit issued an Observation as Naba'a did not have a waste management system or environmental policy for its offices and programme activities. The Mid Term Audit in 2018 noted an improvement in more awareness in the organisation of waste management and resource activities at head office level, but no evidence to confirm that Naba'a is managing and using resources in a way that minimises waste. During the present Maintenance Audit, staff report no significant change in the management of resources to minimise waste since the Mid Term Audit. **The organisation has no system in place to manage and use resources in a way that minimises waste.**

Evidence: interviews with staff.

Observation: There is no evidence that the organisation has a system in place to manage and use resources in a way that minimises waste.

9.4 When using local and natural resources, consider their impact on the environment.

Score: 1

Ind. 9.4: Local and natural resources are used taking their actual and potential impact on the environment into account.

Findings: The Initial Audit issued an Observation as Naba'a did not systematically consider the impact on the environment when using local and natural resources. The Mid Term Audit observed no evidence to confirm that the impact on the environment is considered systematically in all project locations. The present Maintenance Audit did not find evidence of any action taken to address this Observation or that there is a significant change from the Mid Term Audit findings. Naba'a does encourage its staff to minimise waste and recycle goods. **However, there is still no guideline to consider the environment in project planning or implementation.**

The present Maintenance Audit downgraded this Observation to a minor CAR. Naba'a is expected to provide evidence that the impact on the environment is considered systematically in all project locations within two years.

Evidence: interviews with staff.

Minor CAR: The impact of the environment when using local and natural resources is not systematically considered.

9.6 Policies and processes governing the use and management of resources are in place, including how the organisation: b. uses its resources in an environmentally responsible way;

Score: 2

Ind.9.6: Policies and processes governing the use and management of resources are in place, including how the organisation: b. Uses its resources in an environmentally responsible way;

Findings: The Initial Audit issued an Observation as policies and processes to govern the

use and management of its resources in an environmentally responsible were not in place. The Mid Term Audit in 2018 observed that there are no adequate processes in place to put the organisation's policy on being an environmental friendly organisation into action. The present Maintenance Audit found no evidence of action taken on this Observation since the last Audit.

Evidence: interviews with staff.

Observation: The organisation does not have processes in place to ensure systematically that the use and management of its resources is done in an environmentally responsible way.

