

TPO Uganda

Initial Audit – Summary Report - 2023/01/06

1. General information

1.1 Organisation

Type	Mandates	Verified
<input type="checkbox"/> International <input checked="" type="checkbox"/> National <input type="checkbox"/> Membership/Network <input type="checkbox"/> Direct Assistance <input type="checkbox"/> Federated <input type="checkbox"/> With partners	<input checked="" type="checkbox"/> Humanitarian <input checked="" type="checkbox"/> Development <input type="checkbox"/> Advocacy	<input checked="" type="checkbox"/> Humanitarian <input checked="" type="checkbox"/> Development <input type="checkbox"/> Advocacy
Legal registration	NNGO	
Head Office location	Kampala	
Total number of organisation staff	374 (25.08.2022)	

1.2 Audit team

Lead auditor	Susanne Neymeyer
Second auditor	Andrew Nzimbi
Third auditor	-
Observer	-
Expert	-
Witness / other participants	-

1.3 Scope of the audit

CHS Verification Scheme	From Verification to Certification Scheme
Phase of the audit	Initial Audit, 2 nd cycle
Coverage of the audit	The entire organisation with its field offices based on a sample of 5 projects
Extraordinary or other type of audit	

1.4 Sampling*

Total number of Country Programme/Project sites included in the sampling		5/20	
Total number of sites for onsite visit		2	
Total number of sites for remote assessment		3	
Name of Country programme/project site	Included in final sample (Y/N)	Rationale for sampling and selection / de-selection decision	Onsite or remote
Random sampling			
<u>Gulu Field Office</u> Project: Provision of integrated Physical and Psychological	Y	The project site is located in northern Uganda and addresses mental health & psychosocial support. Both the region and	Onsite

Rehabilitation Assistance to War Victims in Northern Uganda (TFV)		the sector are focus areas for TPO. Hence, the sample represents TPO's geographical and thematic scope.	
<u>Lira Field Office</u> Project: Promoting and scaling up violence prevention initiatives at national and community levels (ESVAC)	Y	The project in Lira is located in a different area. In addition, it focuses on child protection and not on mental health and psychosocial support as most TPO projects do. It provides further coverage of mandates.	Onsite
<u>Kiryandongo Field Office</u> Project; Community and Family based Protection and Psychosocial support for families adversely affected by war and COVID-19 in West Nile and Northern Uganda (CFPP)	N	The project has just started.	Remote
<u>Mbarara Field Office</u> USAID's Keeping Children Healthy & Safe (KCHS)	N	The mid-term audit from 2020 recommended avoiding a USAID funded project given the fact they undergo important number of reviews.	Remote
<u>Yumbe & Rwamwanja Field Offices</u> Provision of Mental health and Psychosocial support services for Refugees in Uganda (UNHCR)	Y	It is one of the larger TPO projects, with different project locations.	Remote
Purposive sampling			
Addressing drivers of conflict in Uganda (SIDA)		The project is implemented in collaboration with partners.	Remote
Building Resilience in Southern Karamoja II (BRISK II) project in Amudat district.		This project was chosen because it has a different thematic focus than most of the other projects. Its focus is on livelihood and it is implemented since January 2020.	Remote
Any other sampling performed for this audit: No			
Sampling risks identified: Auditors believe that the evidence obtained is sufficient and appropriate to provide a basis for the conclusions and recommendation thanks to the number of people interviewed and randomisation.			

**It is important to note that the audit findings are based on a sample of an organisation's activities, programmes, and documentation as well as direct 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	Dates	Onsite /Remote (O/R)
Kampala Head Office	2022/07/25	Onsite
Gulu Field Office	2022/07/26 - 2022/07/27	Onsite
Lira Field Office	2022/07/27 - 2022/07/28	Onsite
Kampala Head Office	2022/08/02	Remote
Yumbe, Lamwo and Adjumani Field Offices	2022/08/03	Remote

2.2 Interviews

Level / Position of interviewees	Number of interviewees		Onsite/ Remote (O/R)
	Female	Male	
Head Office			
Management	5	5	Onsite and remote
Staff	1	1	Onsite and remote
Project Sites			
Management	1	2	Onsite and remote
Staff	7	6	Onsite and remote
Partner staff	-	1	Remote
Others (interviews with local authorities: face to face and 1 FGD)	3	11	Onsite
Total number of interviewees	17	26	43

2.3 Consultations with communities

Type of group and location	Number of participants		Onsite or Remote
	Female	Male	
Buluyele CBT Group, Gulu	20	10	Onsite
Berbedo Loyo Lonyo Group, Gulu	8	5	Onsite
Life Skills youth group one, Lira	8	2	Onsite
Life Skills youth group two, Lira	8	3	Onsite
Community parenting group, Lira	9	8	Onsite
Community parenting facilitators, Lira	7	5	Onsite
Total number of participants	60	33	

2.4 Opening meeting

Date	2022/07/25
Location	Kampala, Uganda.
Number of participants	13 (6 females, 7 males)
Any substantive issues arising	No

2.5 Closing meeting

Date	2022/08/11
Location	Remote
Number of participants	20 (9 females, 11 males)
Any substantive issues arising	No

3. Background information on the organisation

3.1 General information

TPO Uganda is a Non-Governmental Organisation (NGO) registered in Uganda that has been delivering services to vulnerable communities in Uganda since 1994. TPO Uganda has been committed to empowering communities affected by armed conflict and other natural and man-made disasters to meet their protection needs, psychosocial, mental health well-being and to improve their livelihoods. TPO Uganda has over the years expanded its area of intervention to over 45 districts in the north, northeast and southwest of Uganda. To date TPO has worked with more than 30 donors (incl. USAID, BMZ, Trust Fund for Victims, OAK Foundation), reaching a budget of UGX 30 billion in 2020.

In April 2022, TPO carried out a total of 20 projects. TPO implements most of its projects on its own, but increasingly works in consortia with other organisations, such as Safer World and Baylor Uganda. As for partnerships within the communities, TPO collaborates with local authorities and community support structures, mainly to empower them with the skills and tools they need. TPO works with both refugee hosting and non-refugee hosting communities in Uganda. Community members TPO engages with include refugees, mental health clients and survivors of gender based violence in fragile and emerging settings in Uganda.

TPO Uganda envisages a dual impact from its interventions: reduced incidents of mental illness, neurological and substance use disorders on the one hand, and resilient individuals, households and communities on the other.

In July 2022, TPO launched and adopted its new Strategic Plan 2022-2027. TPO's new Strategic Plan aims to improve mental health and socio-economic wellbeing of individuals and communities through the following thematic areas: mental, neurological and substance use; child-care and protection; gender-based violence prevention and mitigation; HIV/AIDS prevention, care and support; disaster risk prevention and response; and livelihood support.

To finance the Strategic Plan 2022-2027, TPO Uganda requires an estimated UGX 121 billion over the five-year period and anticipates raising the funds from both external and internal avenues, including bilateral and multi-lateral donors, foundations, private sector, among others.

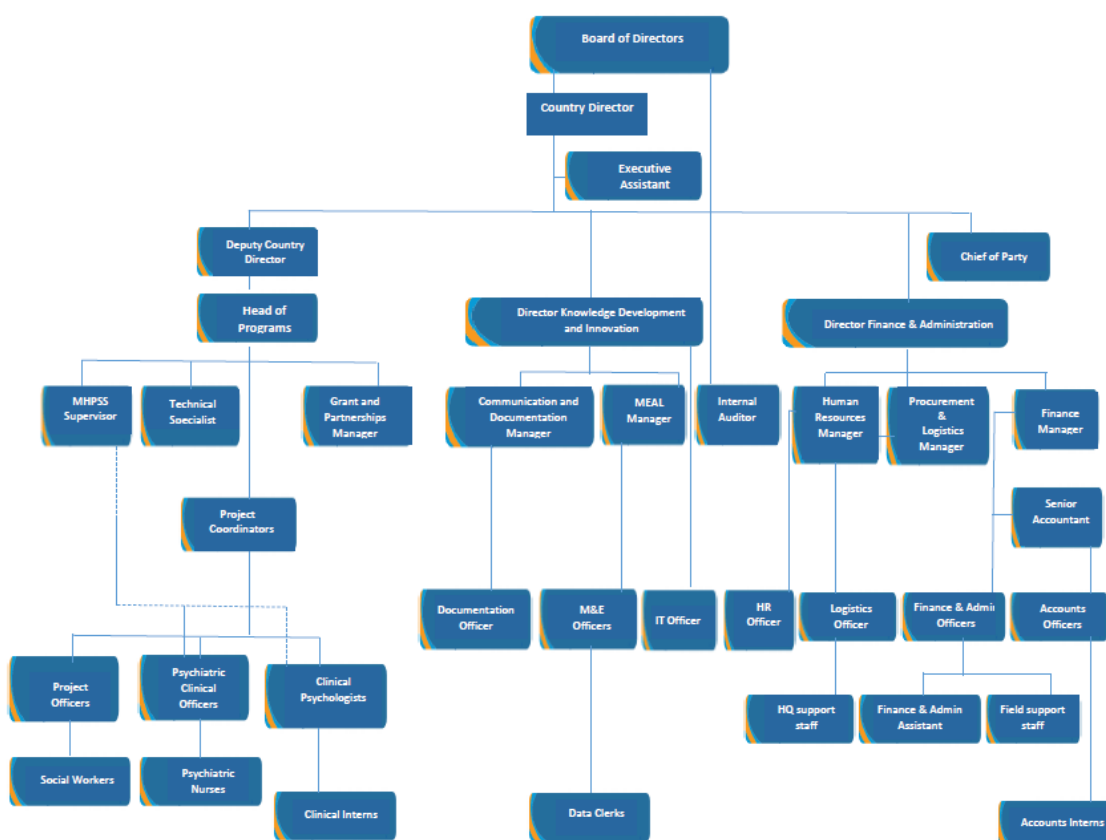
3.2 Governance and management structure

TPO Uganda is governed by a nine-member Board that oversees the operations of the organisation and ensures compliance with the national regulatory framework and operating environment. The TPO Country Director is incorporated to the Board as the Secretary. Service on the Board is voluntary and the selection method used is through public invitations to serve. The Board is organised into 3 committees: Audit and Risk Management, Governance and Organisational Development and the Programmes and Resource Mobilization Committees. The

Board performs monitoring visits in the field at least once a year to ascertain compliance to organisational policies.

The leadership of TPO Uganda comprises the Senior Management Team led by the Country Director and supported by the Deputy Country Director. Other members of the Senior Management Team include the Director of Finance and Administration, Director of Knowledge Development and Innovations, and Head of Programmes who are responsible for day-to-day programme planning and management. TPO staff are recruited under the Programmes, Finance and Administration and Knowledge Development and Innovation departments.

Since the last audit, TPO recruited an internal auditor who is in charge of checking TPO's compliance to policies. The internal auditor reports to the TPO Board.



3.3 Key internal quality assurance, internal control and risk management mechanisms

TPO has mechanisms that support quality assurance, internal control, and risk management. The revised Design, Monitoring and Evaluation (DME) protocol from 2021 highlights the importance of both quantitative and qualitative DME activities and insists on the use of M&E findings to adapt projects and facilitate decision-making. All TPO projects have M&E officers and M&E plans to support the ongoing collection and analysis of project data. M&E findings from assessments, evaluations, monitoring visits, support supervision visits from headquarters are used to improve quality of interventions and inform programmatic decision making. M&E findings are discussed in weekly project staff meetings, monthly project coordinators meetings, quarterly and annual review meetings and monthly community feedback sessions.

TPO Risk Management policy ensures that all organisational risks are identified, analysed, evaluated, and prioritised on a quarterly basis. TPO keeps a risk register which is updated based on changing contexts. A risk tracker is developed for following up on mitigation of identified risks.

TPO hired an internal auditor who checks TPO's compliance to policies. The internal auditor reports to the TPO Board, and the Board enforces the application of audit guidelines. TPO conducts general purpose audits for all projects and project specific audits for specific donors. Audit reports are endorsed by the Audit and Risk Committee and the Annual General Meeting (AGM).

TPO's Human Resource Management manual, Financial Management policy, Procurement policy and TPO's Code of Conduct guide on how to prevent and address corruption, fraud and conflict of interest and misuse of resources. There are different approval levels for financial and procurement processes. Staff are taken through relevant policies that address prevention of fraud and corruption in weekly staff meetings. It is mandatory for all staff, volunteers, interns, and suppliers to sign the TPO Code of Conduct. TPO provides awareness to staff, stakeholders, and communities on ways for reporting fraud and corruption.

3.4 Work with partner organisations

TPO is increasingly working in consortia to address other needs in communities. Partnership within the community is mainly based on TPO's niche area MHPSS. To identify appropriate partners at community level, TPO conducts stakeholder identification and analysis. TPO onboards stakeholders based on their alignment to the organisation's mandate, complementarities to TPO's work and alignment to TPO's policies.

TPO works with strategic partners such as the Ministry of Gender, Labour and Social Development at the national and local levels, civil society organisations, academic institutions, community structures and other stakeholders. TPO closely engages with global partnerships and networks including the Child Protection in Crisis Learning Network, the Mental Health and Psychosocial Support Network, Child Protection Working Group, and the Global Social Service Workforce Alliance.

4. Overall performance of the organisation

4.1 Effectiveness of the governance, internal quality assurance and risk management of the organisation

In recent years TPO reorganised its structure to adapt to the increased growth of the organisation and to continue to ensure the quality of its activities in general. This process started around 4 years ago and is now complete. To strengthen quality assurance, an internal auditor was hired in November 2020.

TPO's management system and governance structure continued to perform well. No major delays occurred. Regular support supervisions to the field by TPO management and Board members appears to be an effective strategy for maintaining TPO's good practices. Moreover, TPO's Board of Directors receives quarterly a risk management report (incl. risks related to SEAH) and meets with senior management to ensure that resources are used according to the priorities laid out in the Strategic Plan. Over the years, it has been a strategic goal of TPO to make the transition from the CHS verification to the CHS certification scheme.

Previous audits demonstrated a strength of TPO in its work with partners, its adaptability to changing contextual conditions, and its ability to respond quickly in the event of a crisis. This audit can affirm that TPO has maintained these strengths, and in recent years has improved its capacity, particularly with regard to identifying actual and potential risks and disseminating information relevant to communities (e.g. information about TPO principles and its complaint handling mechanism). Critical to the change was TPO's adoption of a risk management policy and tool, the strengthening of internal audits by hiring an internal auditor, and the introduction of new policies (e.g. TPO's new Communication and Branding policy) that further emphasized the dissemination of information among communities. However, TPO's weaknesses still lie in the full implementation of a complaints mechanism across all projects and the identification of possible negative environmental effects of its projects. To address these weaknesses, TPO has

developed new plans and process documents, but the majority of staff are not yet aware of them and therefore have not yet put them into practice.

4.2 Level of implementation of the CHS

TPO's performance has continued to improve in the areas where weaknesses were identified at the Mid-term audit 2020 such as 1) documentation of the complaint-handling process and consulting communities on this process (commitment 5) and 2) putting in place a system as well as policies and processes to consider impact on the environment and to ensure an environmentally friendly use of resources (commitment 9).

However, this audit still identified a Minor Corrective Action Request (CAR) in the area of complaint documentation and awareness of complaint handling processes (indicator 5.5). In addition, the audit noted several observations, including the non-identification of negative effects of its projects on the local economy (indicators 3.5, 3.6) and observations related to the fact that staff are not yet familiar with some newly introduced plans and procedures (indicators 5.1, 9.4, 9.6).

TPO has policies and processes in place to comply with the commitments towards PSEA, such as the Code of Conduct and the PSEAH policy. TPO has ensured that both documents have been discussed and shared with TPO staff and the communities. Communities interviewed know about the expected behaviour of TPO staff and that they can complain or seek support in case of SEAH. In addition, TPO has appointed SEAH focal points to facilitate high awareness of the topic among staff and communities.

In what concerns localisation, TPO is a national organisation whose main strategy is based on the collaboration with community support structures to strengthen local systems. Empowerment of communities is in the centre of TPO's work. To do so, TPO acts on the basis of capacity gap assessments and action plans that are discussed jointly with local organisations and local governments. TPO continues to build the capacity of local leaders and other community structures such as youth and women's groups. TPO's idea of introducing Children's Parliament and Children's Court in schools was taken over in an adapted form by local authorities. However, possible unintended effects of TPO projects or of its livelihoods activities on the local economy are not systematically assessed.

Cross-cutting theme "Gender and diversity": The commitment to "gender and diversity" is reflected in TPO's Code of Conduct and its Gender Policy. TPO's plans and protocols provide guidance to staff on disaggregation of data to take into account the diversity of community members when assessing needs, risks, and capacities. TPO's close collaboration with local authorities and local community structures ensures that all parts of the community are included in projects. In addition, TPO distributes key information that is easy to read and appropriate for the context, using images to convey messages to people with low reading skills. The communities interviewed confirmed that TPO involves in its activities people from different groups of the communities, such as men and women, youth, people with disabilities, etc.

Overall, the performance has improved:

- 4 Minor Weaknesses from the MTA of the verification cycle have been closed
- 1 CAR has been opened
- 3 observations have been resolved
- 8 new observations have been noted.

4.3 Performance against each CHS Commitment

Commitment	Strong points and areas for improvement	Feedback from communities	Average score*
Commitment 1: Humanitarian assistance is appropriate and relevant	<p>TPO's new Strategic Plan 2022-2027 and Code of Conduct commit to impartial and non-discriminatory assistance.</p> <p>TPO uses internal assessment guidelines, tools and processes to support better understanding of the scope, diversity, characteristics (including needs and capacities) of targeted communities. TPO also utilizes findings from government and other stakeholders (secondary data) to inform the assistance provided to clients and partners.</p> <p>During project implementation, TPO conducts ongoing context analysis using a range of processes including support supervision field visits, project specific and joint monitoring visits, community awareness meetings, evaluations, and periodic review meetings. These involve going back to the communities, partners and other stakeholders to identify changes in context against services provided and services required.</p> <p>TPO uses findings from context analysis to adapt its programmes.</p>	<p>Communities interviewed described TPO as an impartial organisation which provides communities with assistance, based on their needs and vulnerabilities.</p> <p>Communities explained that TPO consults them regularly to understand their changing needs and capacities, and adjusts projects based on context analysis.</p> <p>Communities provided examples of TPO project adjustments over time, informed by TPO's context analysis. They said TPO projects are relevant.</p>	3
Commitment 2: Humanitarian response is effective and timely	<p>TPO is able to flexibly adapt to changing conditions to provide effective support and avoid delays. TPO's use of relevant sector technical standards, staff training and regular support supervision visits by senior management ensure that good practices continue to be applied. Another strength of TPO is its networking, which makes it easy for the organisation to refer unmet needs.</p> <p>To ensure safety for the communities, TPO identifies risk factors and possible risk mitigation measures that are reflected in project proposals. Moreover, TPO commits to implementing monitoring and evaluation activities to address poor performance. However, TPO does not systematically translate recommendations from assessments and evaluations into action steps.</p>	<p>Communities interviewed said that TPO performs well and has enough resources to meet project commitments made. When TPO could not support them, they were quickly referred to other support structures.</p> <p>Communities also said that they feel safe participating in TPO's activities.</p>	2.9
Commitment 3: Humanitarian response strengthens local capacities and	<p>Empowerment of communities is in the centre of TPO's work, and as such, TPO's key strategies focus on building the capacity of local leaders and community support structures. TPO's training programme at community level includes capacity building around livelihood and disaster</p>	<p>Communities interviewed said that they feel empowered and more confident in progressing without the assistance of TPO.</p>	2.9

<p>avoids negative effects</p>	<p>risk prevention to improve the resilience of vulnerable communities.</p> <p>Moreover, TPO has systems in place to safeguard personal information collected from communities, and staff is aware of these.</p> <p>However, while TPO policies strive to prevent negative impacts on communities and staff, TPO does not systematically assess potential unintended effects of TPO projects or of its livelihood activities on local economies and the environment.</p>	<p>Local leaders consider TPO as a complementary partner with whom all relevant information is shared and discussed, and said that they will be able to continue project activities without the assistance of TPO.</p>	
<p>Commitment 4: Humanitarian response is based on communication, participation and feedback</p>	<p>TPO has a number of strategic documents that focus on community feedback and participation. TPO's communication approach is to provide access to information in user-friendly formats to ensure stakeholders feel involved. Communication officers oversee staff communications with communities and the feedback they receive from them.</p> <p>Through regular community visits and radio talk shows, TPO shares information about its mission, vision, core values, and policies (including its PSHEA, anti-corruption and confidentiality policies) as well as information about TPO's project interventions and the complaints and feedback possibilities.</p> <p>TPO's close collaboration with local community structures facilitate the information sharing and ensures that all parts of the community are included in the feedback and participation processes.</p>	<p>Communities interviewed were able to explain TPO's values, mandates and its main policies. Moreover, they expressed satisfaction about the level of information received and said that their expressed needs are adequately considered by TPO staff.</p> <p>Communities also said that they are pleased with the type of communication material they have received. The way they have been portrayed in TPO's publicly available materials is appropriate for them.</p> <p>Communities indicated that they have been involved in identifying those persons most in need. Some have been involved in M&E-activities.</p>	<p>3</p>
<p>Commitment 5: Complaints are welcomed and addressed</p>	<p>TPO's Standard Operating Procedures for its Complaint, Feedback and Response Mechanism (CFRM) provides information on all the essential elements that need to be addressed and followed. However, the document has not yet been rolled out and applied across the organisation. The widely distributed one-page process map on the complaints-handling process has not been updated to include the procedures for complaints on SEAH.</p> <p>Despite this, TPO staff show a welcoming attitude towards complaints and consistently consult the communities about their preferred ways of complaining. Staff at field office level are</p>	<p>The communities interviewed stated that they know how they can complain and that any complaint would be accepted. In case they had a sensitive complaint, they would feel safe voicing it to TPO.</p> <p>Communities also confirmed and recalled that the ways of providing feedback and complaints was discussed with them as well as the expected staff behaviour and</p>	<p>2.4</p>

	<p>particularly knowledgeable on how to handle sensitive complaints but they are less able to explain the complaints process for other types of complaints. Complaints that do not fall within TPO's scope of operation are referred to other organisations.</p> <p>TPO staff and partners know how to handle confidential information. In addition, TPO has appointed regional focal points and trained them on SEAH issues.</p>	<p>TPO's commitment on the prevention of SEAH. Communities were able to give examples of what staff are not allowed to do.</p> <p>Community facilitators confirmed that TPO refers complaints that do not fall within its scope to the appropriate body.</p>	
<p>Commitment 6: Humanitarian response is coordinated and complementary</p>	<p>TPO commits to collaboration and coordination with partners, other stakeholders, and government in their response. TPO participates in local and national working groups and coordination meetings, and closely collaborates with line government ministries to ensure that response complements that of national and local authorities and other humanitarian organisations. TPO's response aligns to government priorities and plans.</p> <p>TPO conducts mapping of stakeholders to determine stakeholders' capacities, locations, services provided and coverage. This informs the partnerships that TPO pursues to address community needs.</p> <p>To enhance coordination and collaboration, TPO invites stakeholders and line government officials for project inception, quarterly review meetings and shares its monthly work plans and budgets with local authorities. TPO is part of joint referral pathways with partners. The TPO Board conducts annual support supervision visits to the field to ensure coordination and collaboration with other stakeholders.</p> <p>TPO signs partnership agreements and MOUs with its consortium partners and line government ministries.</p>	<p>Communities interviewed mentioned that TPO collaborates well with local authorities and community structures like village health teams, religious leaders, and parenting group facilitators.</p> <p>Communities said that TPO does not duplicate the interventions of other actors and described TPO as neutral, impartial, and independent from external influence.</p>	3
<p>Commitment 7: Humanitarian actors continuously learn and improve</p>	<p>TPO has evaluation and learning policies and a learning agenda that underscore the importance of learning from programming, through critical reflection and documentation of lessons learnt and promising practices.</p> <p>All TPO projects have monitoring and evaluation officers who support collecting and recording knowledge, experience and lessons learnt from projects. TPO uses M&E findings and lessons learnt to improve existing projects and to design new ones. TPO shares learning and innovation with other stakeholders through quarterly and</p>	<p>Communities interviewed explained that their feedback is used to improve and increase coverage of TPO's interventions. Communities also mentioned that M&E findings are shared by TPO via community support structures and in community meetings.</p> <p>Communities interviewed shared examples of learning,</p>	2.8

	<p>annual review meetings, social media, project inception meetings, radio talk shows and the organisational website.</p> <p>Learning is shared internally through trainings, regular staff and management meetings and reports. There is a centralised repository where staff can access knowledge, documentation, and records from across the organisation. However, this access is limited to just a few staff and only for specific projects. Hence, staff without access to the repository must rely on others to share with them records they may not have received via email.</p>	<p>innovations, and improvement over time, from projects implemented by TPO.</p>	
<p>Commitment 8: Staff are supported to do their job effectively, and are treated fairly and equitably</p>	<p>TPO's staff policies are in line with the Employment Act, and the Child Protection policy of Uganda. TPO's policies are described by staff as fair, transparent, and non-discriminatory.</p> <p>TPO's staff receive ongoing induction on the organisational strategic plan, organisational objectives, and policy updates. All staff sign mandatory policies, including the Code of Conduct, child protection, safeguarding, and PSEA policies. TPO's volunteers, interns and suppliers also sign TPO's Code of Conduct, which establishes an obligation for parties involved in TPO work not to exploit, abuse, or discriminate against people.</p> <p>TPO provides a supportive environment for staff to improve their skills and competencies. Staff receive peer to peer support, and technical training both internally and externally.</p> <p>TPO's Safety and Security policy strives to minimize the impact of loss of life, injuries to property and life when staff are conducting their official duties. However, it was observed that safety and security briefing and training requirements have not been systematically rolled out in all projects, as required by the Safety and Security Plan.</p>	<p>Communities interviewed shared that they receive awareness on TPO's commitment to prevention of sexual exploitation and abuse.</p> <p>Communities also explained that TPO staff are approachable, appropriately skilled to perform their roles and treat them with dignity.</p>	2.9
<p>Commitment 9: Resources are managed and used responsibly for their intended purpose</p>	<p>TPO has policies that guide the acceptance, allocation, management, and use of resources ethically and legally. TPO also has policies that guide on how to prevent and address corruption, fraud and conflict of interest and misuse of resources. TPO has clear segregation of duties and approval thresholds for financial and procurement processes and uses online or mobile payments for all transactions. It was however observed that bureaucracy in TPO's technical requirements for procurement</p>	<p>Communities interviewed mentioned that resources are spent according to plans, and they are aware of mechanisms for reporting misuse, fraud or corruption. Communities described that they receive quality goods and services.</p>	2.5

	<p>processes sometimes leads to delays in project implementation.</p> <p>TPO has a range of processes for monitoring and reporting expenditure against budget including weekly project review meetings, and monthly and quarterly budget review sessions. TPO conducts internal and external audits and audit reports are endorsed by the Audit and Risk Committee and the Assembly General Meeting (AGM).</p> <p>TPO recently developed a draft Environmental and Social Impact Management Plan (ESIMP) to guide the prediction and assessment of potential impacts of projects on the well-being of communities and the natural environment, and to identify recommendations and actions that integrate economic, social, and environmental concerns. It was observed that the ESIMP has not been systematically adopted and utilized across all TPO projects.</p>	<p>Communities interviewed provided evidence that there is awareness on the need for environmental management and shared examples of good practices on how this was being implemented.</p>	
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* *Note: Average scores are a sum of the scores per commitment divided by the number of indicators in each Commitment, except when one of the indicators of a commitment scores 0 or if several scores 1 on the indicators of a Commitment lead to the issuance of a major non-conformity/ weakness at the level of the Commitment. In these two cases the overall score for the Commitment is 0.*

5. Summary of non-conformities

Corrective Action Request (CAR)*	Type	Resolution due date
2022 – 5.5: TPO does not ensure that all staff are aware of the complaints procedure and that field staff systematically record complaints.	Minor	2024/09/15
Total Number of CARs: 1		

* *Note: The CARs/Weaknesses are completed by the audit team based on the findings. The audited partner is required to respond with a Management Response for each CAR to HQAI before a certificate is issued (reference: HQAI Procedure 114).*

6. Recommendation for next audit

Sampling	The sampling rate can be done according to the usual methodology.
Any other specificities to be considered in the next audit	At present, there is no specificities to be considered in the next audit.

7. Lead auditor recommendation

In our opinion, TPO Uganda largely conforms with the requirements of the Core Humanitarian Standard on Quality and Accountability. The organisation has taken the necessary actions, and has resolved almost all the weaknesses identified in previous audits.

We recommend certification.

Name and signature of lead auditor:



Susanne Neymeyer, Lead Auditor, HQAI

Date and place:

September 8th, 2022, Berlin
(Germany)


8. HQAI decision

HQAI decision:

- Certification preconditioned to the provision of a management response
 Certification preconditioned to the closure of Major CAR

Management response expected by: 2022-12-13

Name and signature of HQAI Executive Director:



 Joost Mönks

Date and place:

Geneva, 2022-11-04

Final decision on certification:

- Issued
 Refused

Start date of the certification cycle: 2023-01-06

Next audit before: 2024-01-06

Name and signature of HQAI Executive Director:

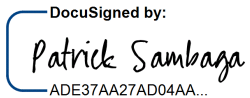


 Joost Mönks

Date and place:

Geneva, 2023-01-06

9. Acknowledgement of the report by the organisation

Space reserved for the organisation	
Any reservations regarding the audit findings and/or any remarks regarding the behaviour of the HQAI audit team: <i>If yes, please give details:</i>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Acknowledgement and Acceptance of Findings: I acknowledge and understand the findings of the audit I accept the findings of the audit	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Name and signature of the organisation's representative: Patrick Sambaga CD	Date and place: 11/29/2022 Kampala
	

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>Score 0: 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"> • Independent verification: major weakness. • Certification: major non-conformity, leading to a major corrective action request (CAR) – No certificate can be issued or immediate suspension of certificate.
	Your organisation is making efforts towards applying this requirement, but these are not systematic.	<p>Score 1: 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"> • Independent verification: minor weakness • Certification: minor non-conformity, leading to a minor corrective action request (CAR).
2	Your organisation is making systematic efforts towards applying this requirement, but certain key points are still not addressed.	<p>Score 2: 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"> • Independent verification and certification: observation.
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>Score 3: indicates full conformity with the requirement. This leads to:</p> <ul style="list-style-type: none"> • Independent verification and certification: conformity.
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>Score 4: indicates an exemplary performance in the application of the requirement.</p>

* Scoring Scale from the CHSA Verification Scheme 2020