



Christian Aid
Mid-term Audit Report
CHS Certification

CA-MTA-2018-001

Date: 2018-05-15

Table of Content

TABLE OF CONTENT	2
1. GENERAL INFORMATION	3
2. SCHEDULE SUMMARY	4
2.1 VERIFICATION SCHEDULE	4
2.2 OPENING AND CLOSING MEETINGS	4
3. RECOMMENDATION	5
4. HQAI QUALITY CONTROL	6
QUALITY CONTROL BY	6
FOLLOW UP.....	6
5. SAMPLING	6
5.1 RATIONALE FOR SAMPLING	6
DISCLAIMER:	7
5.2 INTERVIEWS:.....	7
6. REPORT	8
6.1 OVERALL ORGANISATIONAL PERFORMANCE	8
6.2 STATUS OF THE CORRECTIVE ACTION REQUESTS OF THE PREVIOUS AUDITS	8
6.3 SUMMARY OF CORRECTIVE ACTION REQUESTS OF THE MID-TERM AUDIT	11
6.4 STRONG POINTS AND AREAS FOR IMPROVEMENT:	12
7. ORGANISATION’S REPORT APPROVAL	17
ACKNOWLEDGEMENT AND ACCEPTANCE OF FINDINGS.....	17
8. HQAI’S DECISION	18
CERTIFICATION DECISION.....	18
NEXT AUDIT.....	18
APPEAL.....	18

1. General information

Organisation	Christian Aid		
Type	<input type="checkbox"/> National <input type="checkbox"/> International <input type="checkbox"/> Membership/Network <input type="checkbox"/> Federated <input type="checkbox"/> Direct assistance <input checked="" type="checkbox"/> Through partners		
Mandate	<input checked="" type="checkbox"/> Humanitarian <input checked="" type="checkbox"/> Development <input checked="" type="checkbox"/> Advocacy		
Verified Mandate(s)	<input checked="" type="checkbox"/> Humanitarian <input checked="" type="checkbox"/> Development <input checked="" type="checkbox"/> Advocacy		
Size (Total number of programme sites/ members/partners – Number of staff at HO level)	42 country programmes 398 partners 331 Staff at ICH 16 staff based elsewhere with a Global remit	Sampling Rate (Country programme sampled)	2 Kenya & Philippines
Lead auditor	Annie Devonport	Auditor	Tanya Wood
		Others	n/a
	Head Office	Programme Site(s)	
Location	Remote		
Dates	17 – 19 January 2018	Kenya	
Dates	22 – 26 January 2018	Philippines	

2. Schedule summary

2.1 Verification Schedule

Name of Programme sites/members/partners verified	Location	Mandate (Humanitarian, Development, Advocacy)	Number of projects visited	Type of projects
ADA	Makueni Kenya	Development	2	Climate change and resilience
CREAW	Nairobi Kenya	Development	-	Women's empowerment, advocacy and Reproductive health
UPA	Manila Philippines	Advocacy; Community organising and empowerment	2	Advocacy and support for urban poor
PKKK	Manila and Basey Philippines	National Women's Coalition	2	Sustaining the Gains in Establishing Resiliency and Sustainable Livelihoods of Women in Basey, Samar
PHILSSA	Manila Philippines	Advocacy	-	Disaster Risk Reduction & Management and Climate Change Adaptation; advocacy at local, regional and national levels

2.2 Opening and closing meetings

2.2.1 Remote visit of Head Office:

	Opening meeting	Closing meeting
Date	16 th January 2018	28 th February 2018
Location	Remote	Remote
Number of participants	14	24
Any substantive issue arising		Implications of Major CARs

2.2.2 On-site visits at Programme Site(s):

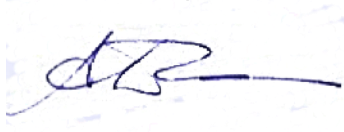
	Opening meeting	Closing meeting
Date	17 th January 2018	-
Location	Nairobi Kenya	-
Number of participants	10	
Any substantive issue arising	Challenge of logistics	The scheduled programme was not achievable due to the distances involved and time available without breaching security protocols, which the audit team refused to do.
Date	22 nd January 2018	26 th January 2018
Location	Manila Philippines	Manila Philippines
Number of participants	12	14
Any substantive issue arising		Schedule for the draft report

3. Recommendation

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

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

Annie Devonport



Date and Place:

UK, 10.04.2018

4. HQAI Quality Control

Quality Control by	Elissa Goucem and Pierre Hauselmann
Follow up	
First Draft	2018-03-01
Final Draft	2018-05-16

5. Sampling

5.1 Rationale for sampling

From the forty-one countries submitted to auditors, twenty-seven were deemed unsuitable for the audit: Malawi and Haiti had been the subject of the initial audit and India the subject of the initial self-assessment; the remaining countries were discounted either because they were considered too insecure or were solely development or advocacy programmes and therefore not representative of the full breadth of Christian Aid's programming. This last criterion ruled out Latin and South America.

Of the remaining country programmes the auditors aimed to choose two countries from different continents with accessible projects. Logistics and time constraints were taken into consideration.

Four countries were shortlisted: Kenya, Philippines, Ethiopia and Nepal. Kenya and Philippines were chosen as both appeared to hold a large portfolio of partners and had ongoing humanitarian responses alongside more long-term development and advocacy programmes. In Philippines partners and communities were met in Manila and one other area with ongoing recovery programmes following a major humanitarian disaster and response in 2013.

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.

5.2 Interviews:**5.2.1 Semi-structured interviews (individual interviews or with a small group <6**

Position of interviewees	Number of interviewees
Head Office	
Head Office Staff	13
Staff with a global remit not located at HO	2
Programme site(s)	
Kenya HO	8
Kenya partner Staff	5
Philippines HO	7
Philippines Partner Staff	11
Total number of interviews	46

5.2.2 Focus Group Discussions (interviews with a group >6

Type of Group	Number of participants	
	Female	Male
FGD 1 Community	5	8
FGD 2 Community	8	14
FGD 3 Community	11	7
FGD 4 Community	8	
FGD 5 Community		6
FGD 6 Community	13	
FGD 7 Community	16	
Total number of participants	61	35

6. Report

6.1 Overall organisational performance

Since the initial audit Christian Aid has embraced some key recommendations of the World Humanitarian Summit, including a localisation agenda and 'leave no one behind'. The organisation has made considerable efforts to drive forward an inclusion agenda, working through the existing gender framework. This has had positive impacts on adherence to the Core Humanitarian Standards and the closing of many CARs. They have also strengthening their approach to their own Code of Conduct with their own staff and reinforced measures for PSEA. Christian Aid works through partners; all of those interviewed expressed appreciation for the training and support provided. The approach to partnership by Christian Aid is one that endeavours not to impose on them. Christian Aid's approach is one that endeavours to enhance the agency of people they seek to help. Great efforts are made to enhance the capacity of the partner and support them in the delivery of services, however, this may result in Christian Aid having a lower profile at community level. The consequence of this has led to Christian Aid falling short in some areas of the CHS.

6.2 Status of the Corrective Action Requests of the previous audits

Corrective Action Requests	Type (Minor/Major)	Deadline for resolution	Status of CAR (Closed/In resolution/New)
2016-1.2: CA does not assure that programmes are based on impartial assessment of the needs and risks of the community involved in all projects.	Minor	2017-09-21	Closed as evidenced during 2018 MTA
2016-1.5: CA does not routinely and systematically collect disaggregated data, taking into account the diversity of communities, including disadvantaged or marginalised people	Minor	2017-09-21	Closed as evidenced during 2018 MTA
2016-2.4: CHS (HAP) protection and PSEA standards are not used in the planning and assessment of all programmes, especially for non-humanitarian programmes	Minor	2017-03-21	Closed as evidenced during 2017 MA
2016-3.3a: CA does not fully enable first responders to perform their role	Minor	2018-03-21	Closed as evidenced during 2018 MTA
2016-3.3b: Programmes do not systematically promote an appropriate representation of marginalised and disadvantaged groups	Minor	2017-09-21	Closed as evidenced during 2018 MTA

2016-3.6 CA does not systematically identify the potential or actual unintended negative effects on people's safety and of sexual exploitation and abuse by CA or partners staff	Minor	2017-03-21	Closed as evidenced during 2017 MA
2016-3.7: CA does not routinely assure robust protection and PSEA mechanisms are in place at the partner level	Minor	2018-03-21	Closed as evidenced during 2018 MTA
2016-4.1 Information is not systematically provided to communities and people affected by crisis about the organisation, the principles it adheres to, the expected behaviours.	Minor	2018-03-21	Closed as evidenced during 2018 MTA See new minor CAR 2018-4.1
2016-4.3: Inclusive representation is not ensured at all stages of the work	Minor	2017-09-21	Closed as evidenced during 2018 MTA
2016-5.1 Communities and people affected by crisis are not systematically consulted on the design, implementation and monitoring of complaint-handling processes.	Minor	2018-03-21	Closed as evidenced during 2018 MTA See new minor CAR 2018-5.1
2016-5.2a: CA does not clearly communicate or ensure that communities are informed of how relevant stakeholders can access its complaint mechanism and the scope of issues it can address.	Minor	2018-03-21	Closed as evidenced during 2018 MTA
2016-5.3b: CA does not ensure complaint-handling mechanisms routinely prioritise the safety of stakeholders.	Minor	2018-03-21	Closed as evidenced during 2018 MTA
2016-5.4: Complaint handling processes are not in place for communities in all country programmes.	Minor	2018-03-21	Closed as evidenced during 2018 MTA
2016-5.6: CA does not systematically ensure that communities are aware of the	Minor	2018-03-21	Closed as evidenced

expected behaviour of its staff or commitments to PSEA			during 2018 MTA See new minor CAR 2018-5.6
2016-7.3: CA does not systematically share learning emanating from the programme with communities, government and other external stakeholders	Minor	2017-09-21	Closed as evidenced during 2018 MTA
2016-8.1a: The Code of Conduct and Child Protection and Vulnerable Adults Policy are not thoroughly covered in induction processes; some staff are not fully aware of these or their implications.	Minor	2017-03-21	Closed as evidenced during 2017 MA
2016-8.1b: Not all components of the CHS are fully integrated into staff induction and performance management processes.	Minor	2017-03-21	Closed as evidenced during 2017 MA
2016-8.7a: CA does not systematically assure that partners have a code of conduct in place for its staff.	Minor	2018-03-21	Closed as evidenced during 2018 MTA See new minor CAR 2018-8.7
2016-8.7b: CA does not systematically assure that staff fully understand its code of conduct and Child Protection and Vulnerable Adults policy and how they apply to them.	Minor	2017-03-21	Closed as evidenced during 2017 MA

6.3 Summary of Corrective Action Requests of the mid-term audit

Corrective Action Requests	Type (Minor/Major)	Status of CAR (Closed/In resolution/ New)	Deadline for resolution
2018-3.6: At the Partner level, CA is not systematic in identifying the potential or actual unintended negative effects of people's safety and of sexual exploitation and abuse	Minor	New	2020-03-21
2018-4.1: CA does not ensure information is systematically provided to communities and people affected by crisis about the organisation's principles and expected behaviours of staff	Minor	New	2020-03-21
2018-5.1 Communities are not always consulted on the implementation and monitoring of complaints.	Minor	New	2020-03-21
2018-5.6: Communities are not always aware of the expected behaviour of its staff, and that of its partners, nor of its specific commitments to PSEA.	Minor	New	2020-03-21
2018-8.7: CA does not ensure that all its partners have a code of conduct in place for their staff.	Minor	New	2019-03-21
2018-8.9 Security policies do not reference health and well-being of staff	Minor	New	2019-03-21
TOTAL Number of open CARs			6

6.4 Strong points and areas for improvement:

Commitment 1: Humanitarian assistance is appropriate and relevant

Score: 3

The initial Certification audit found shortcomings in the assurance of impartiality of assessments and in the limitation of the disaggregation of data collection.

Christian Aid has worked towards ensuring assessments are as impartial as possible. Broad engagement of disaster affected people and increased use of electronic data collection tools strengthens this for new emergency responses.

Following the World Humanitarian Summit Christian Aid has strengthened its commitment to 'Leave no one behind'. Significant efforts have been put into driving the inclusion agenda through the existing gender framework. This has positively impacted the organisation's systems, tools and practice in relation to commitment 1. Whilst there is further progress to be made, systems and guidance now require that all country programmes collect and report on age, gender, disability and other vulnerabilities. However, assessment tools are not standardised across the organisation and not all data is captured in PROMISE, the organisation's programme management tool.

Communities visited stated that the assistance received was appropriate and relevant to their needs as they had contributed to the assessments. They felt that the projects were inclusive and responsive to the needs, taking account of their capacity and of differently abled people.

Commitment 2: Humanitarian response is effective and timely

Score: 3

CA's approach to humanitarian response was found to be timely and effective in the initial audit and this remains the case for the mid-term audit. Programme design is realistic and built on local capacities. Regular programme monitoring leads to adaptation where needed and good communication channels between CA and its partners means issues can be remedied.

The initial audit observed that CA did not have guidance for referring unmet needs. In development programmes, unmet needs are addressed through the PVCA approach and engagement with the local authorities. In humanitarian programming the importance CA attributes to connecting with coordination mechanisms and other humanitarian networks was observed. Therefore, there is a good understanding by CA and its partners for referral of needs.

Since the initial audit, CA has given greater attention to incorporating CHS commitments into planning and reporting guidance through its inclusive programming approach, incorporation of the CHS in partnership reviews and as a necessity for reporting in Annual Reports.

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

Score: 2.9

CA's commitment to its partnership approach and the principles of localisation provides a strong commitment to building on local capacities. While the initial audit found that commitment to building on local capacity was not as strong when working through consortia, the consortia examples in this audit displayed a strong commitment to working with local partners and developing local capacity.

Since the first audit, CA has developed its resilience framework and its inclusive approach to programmes. These have strengthened its policy in regard to working with communities as first responders. This has been complimented through its work with START network's Transforming Surge Capacity programme, placing local responders as drivers for change. This is supported by research and trial programmes into survivor led responses.

In the initial certification audit, CA was found to not systematically identify the potential or actual unintended negative effects of its programmes on people's safety and of sexual exploitation and abuse by CA partners. Whilst new policies have yet to have impact on the ground, CA Partnership Agreements and partner risk assessments include a requirement to ensure systems are in place to prevent or identify incidents of sexual exploitation or abuse.

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

Score: 2.7

Participation of, and feedback from, people affected by crisis is well promoted by CA with policies for sharing information, engaging communities, and encouraging feedback from people affected by crisis about their satisfaction.

CA's partnership approach means that the information provided to communities is reliant on the partner. While Partnership Reviews explore organisational values, and new Information Sharing Guidelines, supported by monitoring tools, required that CA and the partner clearly communicate those values to communities. There is now a requirement that communities are made aware of their rights and of the expected behaviour of its staff.

Commitment 5: Complaints are welcomed and addressed

Score: 2.1

The initial certification audit found that whilst Christian aid was open to complaints the organisation did not methodically provide opportunities for communities to lodge complaints, especially complaints regarding sexual exploitation and abuse and ensuring these are addressed. Communities were not systematically involved in all stages of the complaints procedure.

At country level there remain programmes which do not have a complaints procedure in place. Of those that do, only very few have received complaints. Christian Aid recognised there were weaknesses in their complaints policy and monitoring and has revised the policy and guidance to ensure that the mechanisms to complain are more widely known and accessible. They acknowledge that a lack of complaints may indicate that the mechanism is not functioning well and therefore needs to be reviewed.

Progress has been made through roll out of the Code of Conduct and Safeguarding policy; the revised Complaints Policy and Procedure now includes all elements of CHS Whilst communities were found to be involved in the setting up of complaints procedures they are not always consulted on the implementation or monitoring of complaints.

Christian Aid has worked with partners to support them to establish complaints procedures. Communities were aware of how to complain to the partner but not all knew how to contact Christian Aid nor were all aware of the issues they could complain about. Knowledge of Christian Aid's policies on Prevention of Sexual Abuse and exploitation were also not known by community members.

Two minor CARs were issued at the initial audit. Whilst the new policies and procedures now address the deficiencies it will take time for their impact to be felt by communities. Therefore, one Minor CAR remains.

Commitment 6: Humanitarian response is coordinated and complementary

Score: 2.8

Christian Aid continues to meet the requirements of the commitment. At the initial audit a shortcoming was identified in relation to the identification of roles, responsibilities capacities and interests at country level. The mid-term audit found that a stakeholder analysis is now undertaken at all levels, including the country level. Although the methodology is not prescriptive, guidance is given on the range of tools which may be used for assessing the roles, capacities and interests of stakeholders. This assessment is not, however, always fully documented in all countries.

Christian Aid is strongly engaged in international and national networks.

Communities stated they felt the projects were well coordinated and linked in to local structures, with no overlap with other agencies.

Commitment 7: Humanitarian actors continuously learn and improve

Score: 3

Findings on the initial audit were largely positive in relation to Christian Aid's policy and practice on continuous learning and improving. A deficit was found around the systematisation of sharing learning at community level.

Christian Aid recognised the deficiencies in their overall framework for learning, particularly at project level. New web platforms have been set up to facilitate wider dissemination and a Research, Evidence and Learning division established to take forward rigorous evidence-based learning. At regional level, programme quality fora are being piloted – these provide a safe space for failure and learning to be shared.

Partners gave examples of how Christian Aid supports them in their own learning and in conducting project reviews. People affected by crisis and communities generally stated that learning was shared with them also.

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

Score: 2.6

CA supports staff to do their job effectively and performance management systems are in place across the organisation

CA has strengthened their approach to Code of Conduct and PSEA since the initial audit through a revised Safeguarding policy and by strengthening the corporate induction process, online training with accompanying annual refreshers.

HR policies have been made more accessible through the compilation of an international HR handbook, but these are not systematically being translated into other languages.

Security polices do not pay enough attention to well-being of their staff.

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

Score: 3.2

The initial audit found Christian Aid's policies and processes enabled the organisation to manage finances and resources in an effective, efficient and ethical manner. A shortcoming was identified at partner level with regard to partner's knowledge and understanding of the process for reporting any misuse of funds.

The Mid-Term Audit found that the existing policies and processes remain robust. Christian Aid has strengthened policies and processes and is rolling out training on all areas concerning risk associated with the misuse of funds. Partner agreements are clear about their responsibility to report any suspected misuse of funds. All Partners were aware of what action they should take if they have concerns relating to suspected or actual misuse of funds.

Communities expressed confidence in the management of finances by partners and were aware of how to raise concerns should they arise.

7. Organisation's report approval

Acknowledgement and Acceptance of Findings

For Organisation representative – please cross where appropriate

I acknowledge and understand the findings of the audit

I accept the findings of the audit

I do not accept some/all of the findings of the audit

Please list the requirements whose findings you do not accept

Name and Signature

Date and Place

Paul Valentin



17/05/2018 Helsinki, Finland

Date of document: 2018-05-15

8. HQAI's decision

Certification Decision	
Certificate:	
<input checked="" type="checkbox"/> Maintained <input type="checkbox"/> Suspended	<input type="checkbox"/> Reinstated <input type="checkbox"/> Withdrawn
Next audit	
Second Maintenance Audit before: 2019-03-20	
Pierre Hauselmann Executive Director Humanitarian Quality Assurance Initiative	Date: 2018-05-17



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 day to address it. Their decision will be final.

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