

Danish Red Cross

Mid-Term Audit – Summary Report MTA 2020/06/24

1. General information

1.1 Organisation

Type	Mandates	Verified	
<input type="checkbox"/> National <input type="checkbox"/> Membership/Network <input type="checkbox"/> Direct Assistance <input checked="" type="checkbox"/> International <input checked="" type="checkbox"/> Federated <input checked="" type="checkbox"/> With partners	<input checked="" type="checkbox"/> Humanitarian <input checked="" type="checkbox"/> Development <input checked="" type="checkbox"/> Advocacy	<input checked="" type="checkbox"/> Humanitarian <input type="checkbox"/> Development <input type="checkbox"/> Advocacy	
Head office location	Copenhagen		
Total number of country programmes	20	Total number of staff	Approx. 180

1.2 Audit team

Lead auditor	Nik Rilkoﬀ
Second auditor	Joanne O’Flanagan
Third auditor	
Observer	
Expert	
Other	

1.3 Phase of the audit

CHS Verification Scheme

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

1.4 Sampling

Randomly sampled country programme site	Included in final sample	Replaced by	Rationale / Comments	Selected for onsite visit or remote assessment
Ukraine	Yes		As the first random country programme in the selection, an onsite visit was planned because security conditions were suitable, and the country programme team was available.	Planned onsite, but Covid-19 disruptions caused remote, with DRC staff only.
Guinea Conakry	Yes		As the second random country programme in the selection, this was included for document review but not remote interviews only. It was not possible to facilitate remote interviews for this audit due to language	Remote – document review

			constraints and logistics.	
Belarus	No	Iraq	Belarus is development mandate only	
Palestine	No		Palestine is development mandate only	
Iraq	Yes		As the fifth random country programme in the selection, this was agreed for remote interviews and document review, as it reflects the DRC's humanitarian mandate.	Remote – document review and interviews.
Myanmar	No			

Add any other sampling performed for this audit:

As the auditors were unable to conduct the site visit due to COVID-19 disruptions and remote interviews were mostly confined to DRC staff, sufficient evidence from partners and communities could not be included in many findings for this audit. No community consultations were carried out as movement restrictions, and logistical and linguistic challenges meant that arranging and facilitating community consultations using remote technology was not considered safe or feasible.

Additional interviews were undertaken with DRC Iraq staff to gather further evidence given the cancellation of the Ukraine site visit as a result of Covid-19 disruptions.

It is recommended that further evidence is collected and reviewed in the next audit through an onsite visit.

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

2. Activities undertaken by the audit team

2.1 Locations assessed

Locations (offices, projects at country programme level)	Dates	Onsite or remote
Bagdad, Iraq	16 – 17 April, 2020	Remote
Kyiv, Ukraine	13 – 15 May, 2020	Remote

2.2 Interviews

Position / level of interviewees (add information as necessary)	Number of interviewees	Onsite or remote
Head Office		
Management	1 (male)	Remote
Staff	5 (4 female, 1 male)	Remote
Regional Office		
Staff	1 (1 female)	Remote
Country Programme(s)		
Management	2 (2 male)	Remote
Staff	5 (3 female, 2 male)	Remote
Partner staff (Host National Society (HNS))	1 (female)	Remote
Others (specify)		
Total number of interviews	15 (9 female, 6 male)	

2.3 Consultations with communities

Type of group	Number of participants	
	Female	Male
N/A	N/A	N/A

2.4 Opening meeting

Date	2020/03/03
Location	By Skype
Number of participants	18
Any substantive issues arising	None

2.5 Closing meeting

Date	2020/18/06
Location	By Skype
Number of participants	22
Any substantive issues arising	None

2.6 Programme site(s) briefings

Given the disruptions to the overall audit from Covid-19, remote briefings were not conducted with country teams, however the Country Directors for the two remotely interviewed countries (Ukraine and Iraq) participated in the opening and closing meetings.

Briefings

Date	N/A
Location	
Number of participants	
Any substantive issues arising	

De-briefings

Date	N/A
Location	
Number of participants	
Any substantive issues arising	

3. Background information on the organisation

3.1 Governance and management structure

DRC is a mature organisation, established in 1876, and a member of the Red Cross Red Crescent (RCRC) Movement. It is linked to a well-established network of 190 National Societies globally, whose role as auxiliaries to public authorities can provide access to locations that other humanitarian organisations may not reach.

RCRC organisations are accepted in conflict zones and other operational settings because of their reputation for independence and their community-based volunteer network. This volunteer-based structure provides a significant operational platform that also enhances the efficiency of operations. DRC engages with host National Societies (HNS) and/or other movement members in order to operate in a particular country as a Partner Society (PS).

DRC is a democratic membership organisation, consisting of more than 200 local Danish departments, each of which has its own board of directors. Every second year, representatives of the local departments meet at the General Assembly and elect a governing Board for a term

of four years. Between General Assembly meetings, this governing board has overall responsibility for the governance of DRC. The Board has established four working groups, of which the International Working Group is responsible for monitoring DRC’s international operations. A report on cases of corruption is prepared annually and shared with the Board to ensure transparency and learning.

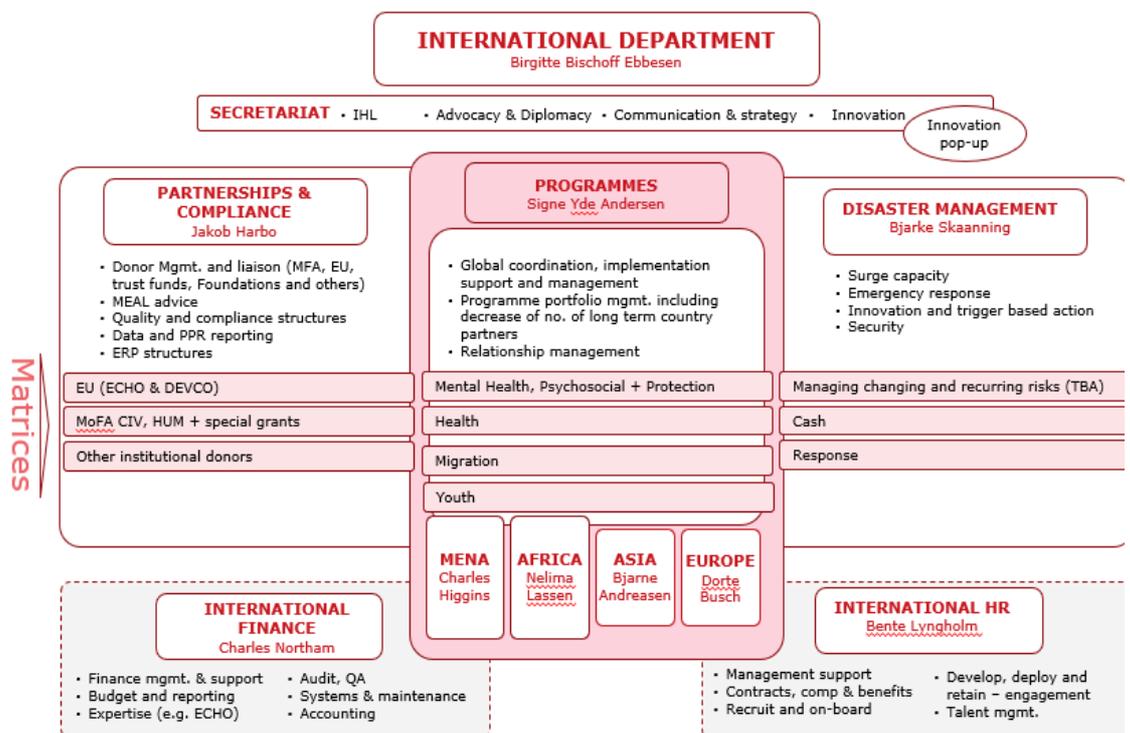
Under the overall responsibility of the Secretary General (appointed by the Board) international operations are managed by the International Department and led by the International Director. The International Department (ID) was restructured in 2018 and organised as a Secretariat and three units. The Secretariat provides support for the International Director in relation to International Humanitarian Law (IHL); advocacy and diplomacy; communication and strategy; and innovation. The International Director oversees the three units each of which has their own Head of Department, with additional support provided from two separate units within the national headquarters, for finance and human resources.

- **Partnership and Compliance** - donor management and liaison; monitoring and evaluation; quality and compliance. CHS certification is part of this unit’s Quality and Compliance mandate, with a dedicated Accountability and Learning Advisor.
- **Programmes** – supporting regions and country programmes in relation to, programme portfolio management; coordination and implementation; relationship management.
- **Disaster management** - surge capacity; emergency response; innovation; security.

ID roles have been reviewed and refined and have become more specialised, while surge capacity has been strengthened. Regional structures and staff have been reduced with a corresponding increase in the responsibilities and scope of Country Manager roles.

A cross organisational Community Engagement and Accountability (CEA) working group has been established to support work on delivering the CHS commitments and the implementation of actions to resolve Corrective Action Requests (CARs).

The structure of the International Department is shown below:



3.2 Description of the internal quality assurance systems of the organisation

DRC's overall quality assurance system is decentralised to the country management level, backed up by three technical and support units along with donor advisors in Head Office (HO). HO has oversight of issues in quarterly financial and narrative reports through portfolio teams that follow up on potential problems and flag risk in a process that can trigger reviews or an evaluation.

An updated *Risk Management Framework (2020)* considers programmatic risks including those linked to competencies and leadership capacity which may hinder the implementation of programmes and the achievement of intended outputs and outcomes. There is also a shorter risk register tool within the *Framework* which facilitates risk assessment for sudden onset emergencies under time constraints; such risk registers must be quality assured by the Portfolio & Risk Analyst and updated regularly. A recent *Go-No-Go Assessment Form (2019)* supports effective decision-making for potential new projects, prompting teams to consider the in-country capacities of DRC and HNS in financial management and technical and human resources. This process is managed by the Partnership & Compliance team and approval is given at designated levels of management, in accordance with levels of funding and risk assessment

The ID has recently moved to a matrix structure for technical expertise, with matrix groups consisting of staff placed both at HO and country office level in technical and partnership areas. The new structure facilitates a greater focus on strategic priorities, monitoring and learning, donor compliance, and enhanced emergency response capacity. Increased decentralisation facilitates greater responsiveness and partner collaboration at country office level.

In relation to the CHS and certification, responsibility sits with the Partnership and Compliance unit that liaises with other units, both within the ID and across the wider organisation, to develop and implement quality and accountability initiatives that support fulfilment of CHS Commitments, including management of the certification process.

3.3 Work with partner organisations

DRC has traditionally worked solely through host National Societies of the RCRC Movement as their main partner in each country, comprised of a head office and geographical branches run by paid staff and volunteers. DRC currently undertakes humanitarian work through HNS in 15 priority countries in Europe, Asia, Africa and the Middle East. DRC cooperates with other Partner National Societies (PNS) to work strategically with HNS, for example by reducing programmatic and reporting duplication and increasing efficiency, impact and localisation. DRC's *International Strategy 2015-2020* raises capacity building of HNS to a strategic goal level, including headquarters, branches and volunteers. Within the Movement, DRC leads on psychosocial support, social cohesion, volunteer and youth development, in cooperation with IFRC and ICRC.

DRC works with other PNS to improve aid effectiveness through the Efficiency, Impact and Localisation (EIL) initiative, where PNS and HNS work to a single plan led by the HNS. The Code for Good Partnership also supports PNS and HNS to strengthen their partnerships and work together more efficiently and effectively. With common standards, PNS contribute complementary skills and share compliance support functions such as finance management, procurement, audit, monitoring and evaluation, reporting etc, alleviating multiple demands on the HNS.

DRC's *International Strategy 2015-2020* signals increased cross-sector cooperation, coordination and programming with non-RCRC partners, including the private sector, academia, think-tanks and other civil society organisations, in order to 'do more, do better and reach further'. In 2020, DRC entered a partnership with ACTED, IMPACT Initiatives, and a local NGO, Right to Protection (R2P) to reduce disaster risk vulnerability in Ukraine. DRC also works in consortia, for example with three PNS and two regional offices of IFRC on AMiRA (Actions for Migrants: Route-based Assistance) providing humanitarian assistance, psychosocial support, and information for migrants and potential migrants in Guinea, Burkina Faso, Mali, Sudan, Egypt and Niger. With funds from the EU Regional Trust Fund in Response to the Syrian Crisis, the 'Madad Fund', DRC leads a consortium of 14 National Red Cross and Red Crescent Societies to support Syrian refugees and host communities in 5 countries.

4. Overall performance of the organisation

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

Community engagement and accountability (CEA) is an approach to RCRC programming and operations. It is supported by a set of activities that help to put communities 'at the centre', integrating communication and participation throughout the programme cycle or operation. DRC's commitment to quality and accountability is strong, evidenced by its efforts to institutionalise the CEA approach within DRC and the wider RCRC movement. DRC has taken a central role in the International Federation of IFRC network on CEA, supporting development of a Feedback Starter Kit and contributing to a study on accountability. DRC engaged in advocacy and pushed for CHS inclusion in a Movement-wide Resolution on CEA, adopted by RCRC partners, IFRC and ICRC in December 2019. This will have significant impact on motivation for uptake of CEA, as once it becomes an HNS priority area, joint, longer-term support plans can be developed between partners.

DRC has made an institutional commitment to CEA through support and guidance, introducing tools and setting requirements for humanitarian budget allocations to feedback mechanisms. A CEA Working Group is mandated to strengthen mainstreaming of CEA in operations, and once institutionalised, should instil CHS implementation at all levels of the organisation.

IFRC organisational capacity assessments of DRC confirm its five core capacities as branch development; humanitarian diplomacy; mainstreaming diversity in planning, monitoring and evaluation; volunteer management systems; and promotion of accountability initiatives. In its strategic plan, and in agreement with other PNS, DRC takes responsibility for supporting these in HNS, recognising that some specific commitments to accountability will require enhanced effort, particularly around complaints handling.

DRC supports HNS to improve the quality and accountability of humanitarian initiatives, recognising the need to meet those partners 'where they are' and overcome barriers to institutionalising a consistent approach to community engagement in all responses. DRC and other PNS invest in advocacy at the leadership level, recognising the necessity of integrating accountability into organisational strategies in order to achieve systemic improvements. This process takes time and is not yet realised across DRC's priority countries, particularly recognising that HNS are autonomous, are often very large societies, and that DRC's influence can be limited.

4.2 Overall performance of how the organisation applies the CHS across its work

DRC has continued to address the CARs raised during the initial certification audit and has continued to achieve progress, including provisions in new HNS Platform Agreements for adherence to the CHS and Sphere. The maintenance audit noted that DRC had not yet undertaken a comprehensive analysis of the extent to which partners have addressed aspects of the CHS, in particular, efforts to systematically implement community participation, documented complaints handling mechanisms and sharing information on expected staff behaviour with communities. Given the challenges of influencing HNS, there remains variable uptake of CEA and CHS in HNS and there are non-conformities in relation to the existence, robustness and safety of complaint handling mechanisms.

Based on the findings and weaknesses identified in previous audits, this mid-term audit was to take a strong focus on the extent to which DRC analyses and supports partners' compliance with the CHS. However, auditors were unable to gather evidence directly from partners and communities in this audit. Due to the COVID-19 pandemic travel was restricted, and it was therefore not possible to conduct a site visit. It was also not possible to arrange consultations with partners and communities remotely as PNS have been directly involved in responding to COVID-19 in-country and it was also not possible to bring community members together for consultations at this time.

Operationally, DRC's risk management within context and stakeholder analyses is strong, as is how risk is monitored. Within DRC, an updated risk management tool and approach has been developed and is being rolled out to all countries, including a minimum standard for monitoring

risks. Efforts to improve identification and action on potential or actual unintended negative effects are ongoing, and requires systematic implementation of safe and responsive complaints mechanisms. There is a process to build on experience and improve programming while ensuring efficient use of resources, including through effective financial monitoring. Learning, innovating, and changing based on monitoring, as well as sharing learning with communities, are also areas for improvement. Staff are well-briefed on the mandate, values and fundamental principles of the ICRC Movement, upholding its strong global identity. DRC's strategic ambition around Protection, Gender and Inclusion (including dignity, access, participation and safety) is also continually being strengthened.

4.3 Overall performance on PSEA

Overall DRC performs comparatively well on PSEA and Do No Harm (DNH), indicating that the organisation is actively committed to ensuring that risks of harm to people and communities are identified and mitigated and that some measures are in place to protect people from sexual exploitation and abuse. DRC's implementation of the DNH approach is designed to reduce negative effects, and the ongoing roll-out of the CEA approach facilitates raising concerns by involving communities across the project cycle. However, some programmes are still at an early stage of implementation of DNH and CEA, and awareness of Codes of Conduct and expected behaviour of staff is not systematically discussed with people and communities. DRC supports partners to develop complaint mechanisms in some contexts, but this is not done on a systematic basis across all programmes, and this inhibits safe and confidential reporting of both serious concerns and unintended negative effects. The number of non-conformities relating to communities having access to safe and responsive complaint mechanisms pose a risk that is partially mitigated by DRC's active role in promoting and rolling out the CEA approach with HNS. Future audits warrant specific focus on the Movement's progress under its CEA commitments for CRMs at the NS level. DRC supports HNS through training on SGBV and safe referrals, the creation of safe environments and on protection mainstreaming, child protection and prevention of GBV.

4.4 Overall performance on localisation

DRC scores strongly on localisation which is very much in line with the mandate and model of the RCRC Movement. DRC's commitment to localisation is reflected in systematic support for strengthened HNS capacities, the prioritisation of youth participation in programmes, an emphasis on volunteer involvement in local issues, and support for community engagement with local decision-making. DRC works through HNS structures of locally based volunteers, as well as affected communities, to ensure that responses are based on local knowledge and capacities and to address the specific needs of affected populations. DRC's prioritisation of cash assistance facilitates local economic recovery by creating demand, thus supporting production and employment. DRC procurement guidance encourages local purchasing and projects emphasise early recovery and support for local economies through project design.

4.5 Overall performance on gender and diversity

DRC performs quite well on gender and diversity in line with its commitments to Protection, Gender and Inclusion (PGI) and to its guidance for programmes on Minimum Actions for PGI, PSS and CEA. DRC is committed to mainstreaming diversity across the project cycle, including consideration of gender and diversity, as well as vulnerable and marginalised groups, and to analysing the specific vulnerabilities of women, men, girls and boys. In cultures where local leadership structures are male-dominated, DRC and HNS teams seek to ensure the involvement of women through alternative consultation and participation channels, and HNS recruit community volunteers to be representative of local cultures, genders and ages. However, DRC does not systematically work with HNS to ensure that programmes pay particular attention to the gender, age and diversity of those giving feedback. Country-level initiatives, to mainstream protection, gender and inclusivity in programmes, make explicit links to human resource management including the screening of potential staff during recruitment and training, and the implementation of key policies, including Code of Conduct, anti-harassment, and child protection.

4.6 Organisational performance in the application of the CHS

Commitment	Strong points and areas for improvement	Feedback from communities	Average score
Commitment 1: Humanitarian assistance is appropriate and relevant	DRC's programmes are appropriate and relevant. Country strategies and project documentation are informed by a range of relevant data sources that indicate that contextual and stakeholder analysis is systematically reviewed and revised on an ongoing basis. DRC applies standards for protection, gender and inclusion (PGI) in its approach to facilitate the mainstreaming of gender, age, disability and other diversity factors across the project cycle and the consideration of context-specific vulnerability factors. Sectoral and thematic integration is improving through the mainstreaming of PGI as a priority across all projects and by embedding community-based psychosocial support (PSS) and social cohesion strategies into ongoing activities. Reporting templates have not yet been fully amended to ensure systematic disaggregation against diversity criteria. Validation of assessment data to ensure an impartial assessment of needs and risks, and an understanding of the vulnerabilities and capacities of different groups is not yet systematic for all projects.	The auditors were unable to conduct the site visit and to gather feedback from communities due to Covid-19 disruptions.	2.5
Commitment 2: Humanitarian response is effective and timely	DRC's programmes are realistic and safe and within the capacity of DRC to manage effectively. Updated risk management procedures provide guidance for country offices to identify and rate risks and to specify risk mitigation and monitoring measures; however, risks are not yet systematically reviewed on an ongoing basis. New mechanisms for assessing potential new proposals take account of the necessary resources and technical capacities of DRC and HNS and help anticipate the risk of delays. Support for HNS includes training on SGBV and safe referrals, and the creation of safe environments, however, DRC does not systematically support partners to advocate with stakeholders for unmet needs to be addressed. The revised departmental structure brings together technical experts across units who can review and technically assure project proposals and support the development of contextually appropriate SOPs and guidance materials. Programme documentation indicates regular tracking and reporting at the level of project activities and outputs, as well as reporting on project adjustments, although DRC does not systematically monitor programme/project outcomes.	The auditors were unable to conduct the site visit and to gather feedback from communities due to Covid-19 disruptions.	2.4
Commitment 3: Humanitarian response strengthens local capacities and avoids negative effects	DRC and HNS work through local volunteers in affected communities to ensure that responses are based on local capacities and address people's specific needs. Resilience and protection and social cohesion (two strategic ambitions for DRC) are sought by strengthening community and livelihoods and enhancing psychosocial well-being. DRC-supported humanitarian actions build on existing hazard assessments and Disaster Risk Reduction (DRR) plans if they exist, and where they do not, DRC provides guidance. The CEA approach emphasises that affected people are not 'victims' but important first responders engaged in the aid effort. To account for different capacities of people, DRC mainstreams Protection, Gender and Inclusion. Country Programme Progress Reports questions the linkages between relief, emergency and development interventions, requiring exit and transition planning, but these questions are not always answered by staff, thus DRC does not systematically develop	The auditors were unable to conduct the site visit and to gather feedback from communities due to Covid-19 disruptions.	2.6

	<p>formal exit strategies. In addition, DRC staff do not systematically adhere to formal procedures put in place to identify unintended negative effects. Since the Initial Audit DRC has improved its procedures for considering potential unintended negative effects and has put systems in place to safeguard personal information. Functioning complaints mechanisms are frequently lacking and not in place however, making it difficult to identify actual unintended negative effects.</p>		
<p>Commitment 4: Humanitarian response is based on communication, participation and feedback</p>	<p>DRC supports the development of age and culturally appropriate information, and guidance for sharing information exists within technical programmes. Prioritisation of protection and social cohesion and mainstreaming inclusion contributes to increased participation. DRC consults people in assessments, monitoring and evaluations and DRC tracks community involvement in design and reporting templates.</p> <p>By 2023, Movement-wide CEA commitments call for all NS to consistently share information with communities about the principles, the Code of Conduct (including PSEA), values and staff behaviour. CEA also promotes community participation in decisions to guide programme design and delivery, and to provide feedback. However, DRC does not work with partners to develop context specific information sharing plans and ensure that important information, such as expected staff behaviour, is systematically shared. The auditors observed that DRC still has some space to improve disaggregated data of people giving feedback.</p>	<p>The auditors were unable to conduct the site visit and to gather feedback from communities due to Covid-19 disruptions.</p>	2.4
<p>Commitment 5: Complaints are welcomed and addressed</p>	<p>DRC takes complaints seriously, and acts upon complaints according to defined processes in a timely, fair and appropriate manner, and that prioritises the safety of the complainant. Roll-out of the <i>Feedback Starter Kit</i> is part of DRC's systematic support to HNS on complaint response mechanisms (CRMs). Where country programmes report CRMs are in place, DRC does not query their robustness, or the extent to which they are documented. As identified in previous audits, DRC does not provide sufficient support to partners to ensure community participation in complaint handling processes. Complaints and concerns are welcomed at the community level through HNS complaint boxes, email addresses and phone numbers, but information on the scope of mechanisms is inconsistent and there are no clear procedures for both the mechanisms and information dissemination processes, which vary by project and Branch office. DRC does not systematically work with its partners to develop information sharing plans that describe expected staff behaviour and staff confirm that communities are not aware of the behaviour they can expect from staff.</p>	<p>The auditors were unable to conduct the site visit and to gather feedback from communities due to Covid-19 disruptions.</p>	1.4
<p>Commitment 6: Humanitarian response is coordinated and complementary</p>	<p>DRC works in accordance with policies on coordination and partnership as defined by the RCRC Movement and has played a role in influencing the Movement on greater coordination with civil society organisations as well with as the UN and private sector. Coordination with the wider humanitarian community is rooted in planning and activities, including partnerships with non-RCRC actors (consortia arrangements). DRC establishes clear agreements with partners and its updated Platform Agreement (2019) describes the commitments and responsibilities of both parties, specifically highlighting mutual commitments in relation to the CHS and, in particular, to the prevention of corruption, abuse</p>	<p>The auditors were unable to conduct the site visit and to gather feedback from communities due to Covid-19 disruptions.</p>	3

	<p>of power and PSEA. DRC participates in coordination mechanisms and relevant clusters, and advocates with HNS to support and encourage their participation in coordination mechanisms. DRC takes a pragmatic approach to working with the private sector and achieves a balance between protecting fundamental principles with identifying relevant technical solutions provided by the private sector, in different contexts.</p>		
<p>Commitment 7: Humanitarian actors continuously learn and improve</p>	<p>DRC places a focus on learning in reviews and evaluations to improve project quality and effectiveness, support adaptive management, and generate lesson learning. Despite this, DRC does not have a specific learning policy in place that describes how it learns from practice and experience. While DRC is working to improve practice by following up more closely on actions to implement learning from reviews and evaluations with HNS, this is not yet done systematically across the DRC portfolio. DRC is committed to supporting learning across the RCRC Movement, with a recent focus on CEA. DRC launched a new, globally accessible intranet and has adopted a new document handling system (Atlas) which has rationalised document management processes. The intranet hosts dedicated spaces for learning and for communities of practice in areas of technical responsibility. DRC supports learning and innovation with HNS, through formal and informal learning events, although it does not systematically share learning with communities and people affected by crisis.</p>	<p>The auditors were unable to conduct the site visit and to gather feedback from communities due to Covid-19 disruptions.</p>	2.2
<p>Commitment 8: Staff are supported to do their job effectively, and are treated fairly and equitably</p>	<p>DRC staff are clear on the mandate, values and fundamental principles of the International Red Cross and Red Crescent Movement, upholding the strong global identity of the Movement. The RCRC and DRC Codes of Conduct are integral to terms of employment and all staff must act in accordance with them. DRC's Code of Conduct names anti-corruption, information technology, child protection and PSEA policies and mandatory reporting process for any policy breaches. Technical support capacity has improved with the restructure of the International Department. There is no documented policy or framework setting out DRC's commitment to staff development, learning and performance management. Unlike in Head Office, there is no fund for country-level training. Budget timeframes often preclude training within short-term projects, leaving field staff disadvantaged in terms of training opportunities. DRC's security culture includes strong security management and staff understanding their roles and responsibilities. Wellbeing is replacing 'stress management' in DRC and a new well-being policy is under development to support mental and physical health. Mainstreaming protection in DRC includes caring for staff and volunteers.</p>	<p>The auditors were unable to conduct the site visit and to gather feedback from communities due to Covid-19 disruptions.</p>	2.6
<p>Commitment 9: Resources are managed and used responsibly for their intended purpose</p>	<p>DRC has robust policies and processes governing the responsible use and management of resources and is currently developing its position and strategy on climate-smart programming, which may provide a basis for future guidance for staff on the use of resources in an environmentally responsible way. However, while DRC applies environmentally responsible standards across its Base Camp operations and works to progressively reduce its carbon footprint, there is no formal guidance for staff on the use of resources in environmentally responsible ways, nor to support systematic consideration regarding the use of local and natural resources and their impact on the environment in programmes. DRC endeavours to limit resourcing and management</p>	<p>The auditors were unable to conduct the site visit and to gather feedback from communities due to Covid-19 disruptions.</p>	2.5

	<p>inefficiencies in contexts where multiple Partner National Societies work with a single HNS by increasingly working through consortia arrangements. DRC is increasingly using cash as a response option, recognising that it can be quicker and more efficient than in-kind assistance and can have a lower carbon footprint compared to material assistance. DRC has quite detailed systems in place for tackling corruption and works to support partners to improve community-level feedback and complaints systems to support better detection of potential corruption. DRC does not, however, systematically monitor and report expenditure against budgets in all programmes.</p>		
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5. Summary of non-conformities

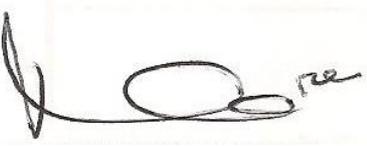
Corrective Action Requests (CAR) / Weaknesses	Type	Resolution due date	Date closed out
2020-2.5: DRC does not systematically monitor programme and project outcomes in order to adapt and address poor performance.	Minor	2021/06/24	
2018-3.6: DRC has limited formal procedures in place for identifying unintended negative effects.	Minor	2020/02/13	2020/06/24
2020-3.6: DRC does not ensure that staff identify unintended negative effects in a timely and systematic manner.	Minor	2021/06/24	
2020-4.1: DRC does not support its partners to ensure that information is provided to communities about the organisations, the principles they adhere to, how staff are expected to behave, the programmes they are implementing and what they intend to deliver.	Minor	2021/06/24	
2018-5.1: DRC does not support partners to ensure communities are consulted on the design, implementation and monitoring of complaints handling processes.	Minor	2020/02/13 Extended to 2022/04/27	
2020-5.4: The complaints-handling process for communities and people affected by crisis is not systematically documented and in place.	Minor	2022/04/27	
2018.5.6: DRC is not systematically working with its partners to develop information sharing plans that describe expected staff behaviour and communities are not sufficiently aware of expected staff behaviour.	Minor	2020/02/13 Extended to 2021/06/24	
2020: 5.7 DRC does not systematically work with partners to ensure out-of-scope complaints are referred to a relevant party in a manner consistent with good practice.	Minor	2021/06/24	
2020-7.2: DRC does not systematically learn, innovate and implement changes on the basis of monitoring and evaluation, and feedback and complaints.	Minor	2021/06/24	
2020-7.3: DRC does not systematically share learning and innovation with people and communities affected by crisis.	Minor	2021/06/24	
2020-8.8 DRC does not have a policy in place to support staff to improve their skills and competencies	Minor	2021/06/24	

Note: CARs with 2022 resolution timeframe are linked to the date of DRC's recertification date.

6. Sampling recommendation for next audit

Sampling rate	<p>Based on the standard sampling rate, it is recommended that 3 country programmes are included in the Maintenance Audit (MA) 2021.</p> <p>As the auditors were unable to conduct the country programme site visit for this Mid-term Audit (MTA) due to COVID-19 disruptions, it is recommended that a site visit to one of the sampled country programmes be included at the MA.</p>
Specific recommendation for selection of sites	<p>The sites selected will need to take the following factors into account and ensure that triangulation is possible with HNS and communities at the sites selected.</p> <p>There are important elements that could not be fully verified at this MTA and which need further triangulation on site, particularly in relation to commitments 4 and 5 (e.g. CARs at 4.1, 5.1, 5.4 and 5.6). It is recommended that the sampling for the next MA and Recertification Audit (2022) includes a specific focus on the Movement's progress under its CEA commitments for communicating expected staff behaviours and implementing CRMs at the NS level. The number of non-conformities in this report is mitigated by DRC's active role in promoting and rolling out the CEA approach with HNS, however the gaps do pose an ongoing risk.</p> <p>Elements of the project cycle involving communities (analysis (1.1, 1.2), design (2.1, 2.2, 3.1, 3.2, 3.4), implementation (including C6), monitoring (2.5, 3.6) as well as safeguarding (3.7, 4.1, localisation (3.3) and participation (4.1, 4.3) will be particularly relevant. A site visit is recommended in order to consult directly with HNS and communities.</p>

7. Lead auditor recommendation

<p>In our opinion, Danish Red Cross is implementing the necessary actions to close some of the minor CARs identified in the previous audit and continues to conform with the requirements of the Core Humanitarian Standard on Quality and Accountability. We recommend maintenance of certification.</p>	
Name and signature of lead auditor:  Nik Rilko, Lead Auditor, HQAI	Date and place: 24 June, 2020 Featherston, New Zealand

8. HQAI decision

<input type="checkbox"/> Certificate maintained <input type="checkbox"/> Certificate suspended	<input type="checkbox"/> Certificate reinstated <input type="checkbox"/> Certificate withdrawn
Next audit Maintenance Audit (MA) to be completed before YYY/MM/DD (date from the issue of certificate)	
Name and signature of HQAI Executive Director: Pierre Hauselmann	Date and place: XXXX

8. 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 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 type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> yes <input type="checkbox"/> no
Name and signature of Danish Red Cross representative: XXXXX	Date and place: XXX

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

0	<p>Major non-conformity or Major weakness</p> <p>Your organisation currently does not work towards applying this requirement, either formally or informally. It's a major weakness that prevents your organisation from meeting the overall commitment.</p>
1	<p>Minor non-conformity or Minor weakness</p> <p>Your organisation has made some efforts towards applying this requirement, but these efforts have not been systematic.</p>
2	<p>Observation</p> <p>Your organisation is making systematic efforts towards applying this requirement, but certain key points are still not addressed.</p>
3	<p>Conformity</p> <p>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>
4	<p>Exceptional conformity</p> <p>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>