

Tearfund (TF)

Recertification Audit – Summary Report 2020/08/18

1. General information

1.1 Organisation

Type	Mandates	Verified	
<input type="checkbox"/> International <input type="checkbox"/> National <input type="checkbox"/> Membership/Network <input type="checkbox"/> Direct Assistance <input checked="" type="checkbox"/> International <input type="checkbox"/> Federated <input checked="" 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	
Head office location	Teddington, London, United Kingdom		
Total number of country programmes	42	Total number of staff	950

1.2 Audit team

Lead auditor	Jorge Menéndez Martínez
Second auditor	Susanne Neymeyer
Third auditor	
Observer	
Expert	
Witness	Claire Goudsmit, HQAI

1.3 Scope 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 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 checked="" 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	Onsite visit or remote assessment
Philippines	No	Myanmar	Philippines programme is now closed. Myanmar was selected to give better geographical coverage. It includes development programmes implemented through partners, hence is included in the audit scope.	Remote
Honduras	Yes		Honduras was randomly selected. It includes development programmes implemented through partners, hence is	Remote

			included in the audit scope and represents the Latin American & Caribbean cluster, giving geographical coverage.	
Pakistan	Yes		Pakistan was randomly selected. It includes development programmes implemented through partners, hence is included in the audit scope. It also represents a programme from the Asia cluster, giving geographical coverage.	Initial plan onsite, but due to COVID-19 disruptions it was remotely assessed.
Niger	No	Zambia	Zambia was included instead of Niger because it is the headquarter of the East & South African cluster and represents an example of how Tearfund works through partners in Africa.	Remote
Haiti	Yes		Haiti was randomly selected. It includes development programmes and humanitarian response through partners, hence is included in the audit scope, and represents the Latin American & Caribbean cluster.	Initial plan onsite, but due to COVID-19 disruptions it was remotely assessed
South Sudan	Yes		South Sudan was randomly selected. It includes implementation of humanitarian response directly, hence is included in the audit scope. South Sudan also represents a programme from the East & Central cluster.	Remote

Add any other sampling performed for this audit:

The programme site visits to Pakistan and Haiti were cancelled in April 2020, due to COVID-19 travel restrictions at this time, and remote interviews with staff, partners and communities took place instead (see details section 2 below). Additional interviews were undertaken with Tearfund staff in all the selected countries and from the Latin American & Caribbean cluster, East & Central Africa and Southern & East Africa Clusters to gather further evidence in mitigation of the cancellation of programme site visits.

In addition, the audit team also interviewed staff of Tearfund Scotland, as recommended by the Maintenance Audit (2019).

Community and Partners consultations were carried out remotely due to the cancellation of travel to the selected country programmes. Challenges with communication through web-based platforms were experienced in some community consultations and the auditors have considered the limitations of remote community consultations (e.g. selection of participants, lack of face-to-face communication when working with a translator) in the findings of this audit.

Tearfund is at the beginning of its second 4-year audit cycle with HQAI. Over the first cycle, 2015-2020, Tearfund has worked steadily through each audit and has demonstrated improving performance over time. Tearfund has internal quality assurance and control systems in place to address requirements of the CHS, and other strategic commitments. These give the auditors sufficient confidence to recommend that Tearfund be re-certified, despite the lack of a site visit, and the recognised limitations of remote discussions and interviews with communities.

Furthermore, to compensate for the cancelled site visit, the auditors recommend that, if feasible, the next maintenance audit include a programme site visit, so that consultations with partner staff, communities, and affected populations can take place face to face (see section 6 below)

**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	Dates	Onsite or remote
Head Office	27 - 28 January	Onsite
Head Office	6 and 26 February, 9 April and 23 June 2020	Remote
Scotland Office	13 February	Remote
Myanmar	27 April 2020	Remote
Honduras	28 April 2020	Remote
Pakistan	3 - 15 June 2020	Remote
Zambia	29 April and 4 May 2020	Remote
Haiti	20 May-3 June 2020	Remote
South Sudan	30 April, 4, 6 and 8 May 2020	Remote
Latin American & Caribbean Cluster	1 May 2020	Remote
East & Central Africa Cluster	30 April 2020	Remote
Southern & East Africa Cluster	29 April, 4 and 5 May 2020	Remote

2.2 Interviews

Position / level of interviewees	Number of interviewees		Onsite or remote
	Male	Female	
Head Office			
Board members		1	Remote
Management	6	12	Onsite and Remote
Staff	6	5	Onsite and Remote
Other	1		Remote
Country Programme(s)			
Management	12	5	Remote
Staff	14	14	Remote
Partner staff	10	1	Remote
Stakeholders (NGOs)	3	1	Remote
Pakistan National Government representative	1		Remote
Total number of interviews	53	39	

2.3 Consultations with communities

Type of group	Number of participants	
	Female	Male
Individual interview - Federation Des Ecoles Protestantes D´Haiti	1	
Individual interview - Federation Des Ecoles Protestantes D´Haiti	1	
Individual interview - Federation Des Ecoles Protestantes D´Haiti		1
Individual interview - World Concern (Haiti)		1
Individual interview - World Concern (Haiti)		1

Individual interview - World Concern (Haiti)		1
Group discussion # 1 - Primary Education Project (Pakistan)	4	
Group discussion # 2 - Primary Education Project (Pakistan)	4	
Group discussion # 3 - Primary Education Project (Pakistan)		4
Group discussion # 4 - Primary Education Project (Pakistan)		4
Group discussion # 5 - Sahara Community Health Association (Pakistan)	4	
Group discussion # 6 - Sahara Community Health Association (Pakistan)	4	
Group discussion # 7 - Sahara Community Health Association (Pakistan)		4
Group discussion # 8 - Sahara Community Health Association (Pakistan)		4
Group discussion # 9 - Sahara Community Health Association (Pakistan)		4
Group discussion # 10 - Sahara Community Health Association (Pakistan)		4
Total number of participants	14	28

2.4 Opening meeting

Date	2020/01/27
Location	Teddington, London, United Kingdom
Number of participants	6
Any substantive issues arising	No

2.5 Closing meeting

Date	2020/07/01
Location	Remote
Number of participants	18
Any substantive issues arising	No

2.6 Programme Site(s)

Briefings

Date	2020/05/08
Location	Remote (Haiti)
Number of participants	3
Any substantive issues arising	No

De-briefings

Date	-
Location	-
Number of participants	-
Any substantive issues arising	-

Briefings

Date	2020/05/07
Location	Remote (Pakistan)
Number of participants	2
Any substantive issues arising	No

De-briefings

Date	2020/06/29
Location	Remote (Pakistan)
Number of participants	10
Any substantive issues arising	No

3. Background information on the organisation

3.1 Governance and management structure

Tearfund UK is a faith-based organisation, which was created in 1968 by the Evangelical Alliance as a response to the Biafra civil war in Nigeria. Tearfund undertakes: long-term development work to address the causes of poverty; disaster response activities to reduce death and suffering caused by disasters and conflict; and advocacy to address the underlying causes of poverty and influence those who can change policies and actions affecting the poor.

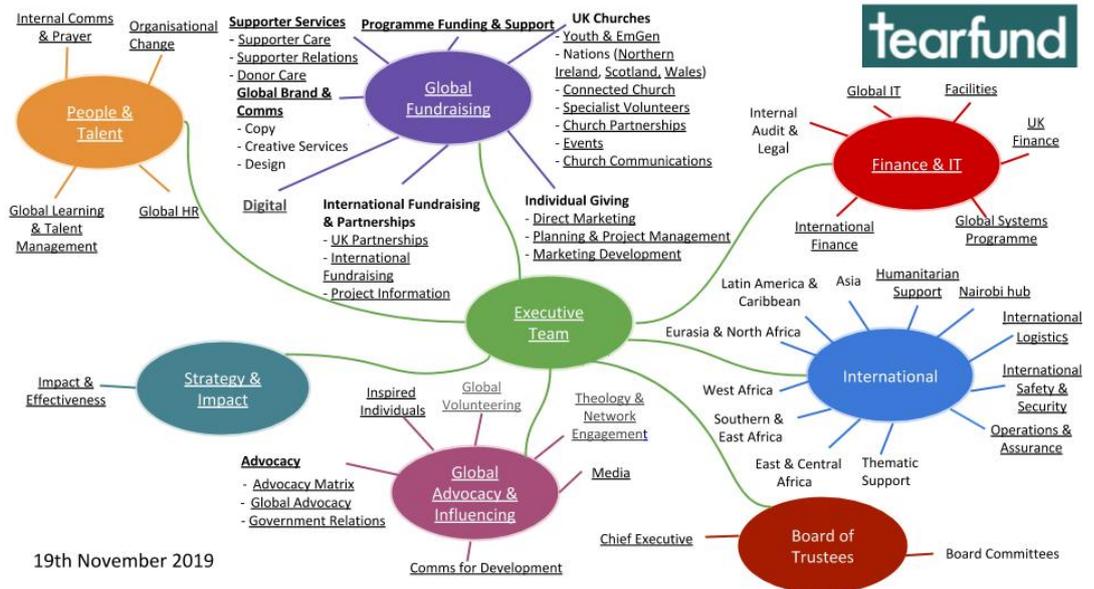
Tearfund is a member of the Disaster Emergency Committee (DEC) in the UK, which launches and coordinates responses to major disasters overseas including through appeals to the public. Tearfund works with the Integral Alliance, a grouping of 22 international Christian NGOs with a focus on coordinating disaster responses. In 2020, Tearfund is operational in 42 countries; with over 1,000 staff members.

A Board of Trustees, appointed by members at the Annual General Meeting, is responsible for Tearfund's strategic direction and formally meets quarterly. Since 2018, the Board of Trustees is regularly updated by quarterly scorecards which, among other things, provide information on the progress of each country programme with regard to Tearfund's 8 quality standards, which embrace the CHS. Completing the quarterly scorecard is mandatory for all country programmes. Since 2019, there is now a safeguarding committee which is responsible to oversee Tearfund's work regarding safeguarding standards. The Board works in consultation with the Executive Team.

As outlined in the Mid Term Audit (MTA) report, Tearfund conducted an organisational review which resulted in the reorganisation to a decentralised and regional cluster-based approach. Six clusters have now been established in six regions (East- and Central Africa, West Africa, Southern and East Africa, Eurasia and North Africa, Asia, Latin America and Caribbean) in order to support more effectively and guide Tearfund's actions in the countries where it works.

At the global level, Tearfund's Executive Team comprises the Chief Executive and six Heads of Departments: 1. International Group (IG), 2. Advocacy & Influencing Group (AIG), 3. Global Fundraising Group (GFG), 4. Finance and Information Technology (FIT), 5. People & Talent Group (P&T), 6. Strategy & Impact Group (S&I).

Tearfund Organogram



The International Group (IG) is organized around the six geographical clusters. Within those clusters, strategy formulation, decision-making and delegation of authority are decentralized to Country Representatives within defined financial limits and in line with Tearfund policies and procedures. In addition, the International Group includes a Humanitarian Support Team that provides coordination, facilitation, advisory and surge support for emergency and disaster responses. The International Group is also supported by the International Safety & Security, the Operations & Assurance, and the Thematic Support teams (see organogram above).

3.2 Effectiveness of the internal quality assurance systems

The second Maintenance Audit (MA2) (2019) noted that: Tearfund further embedded corporate Quality Standards through a Country Office Scorecard system, which reports quarterly on the implementation of the Quality Standards; a new on-line project cycle management system was developed, Tearfund TRACK, which provides a consistent approach to capturing and assessing data across its programmes; and new Field Emergency Response Procedures and revised Project Cycle Management Guidelines were in place to further reflect the CHS and Tearfund's own Quality Standards.

Since then, a new Design, Monitoring & Evaluation (DME) procedure has been introduced in summer 2019. The DME is structured around the project cycle and includes all relevant tools and guidelines. Assigned 'approvers' ensure that the information entered into the Tearfund TRACK system is of the required quality. Tearfund has increased its internal audit capacity from one to three staff, and it is now planned that each country will be audited every three years on its activities. Internal evaluations assess, among other things, Tearfund's quality standards for communities. Tearfund's Operation Assurance team and its Compliance Officers in the regions ensure, as far as possible, that the defined corporate organisational processes and policies are followed.

3.3 Work with partner organisations

Tearfund normally works with local partners, and partners must adhere to Tearfund's values and principles. Tearfund, as a faith-based agency, gives priority to local faith-based agency or local churches.

Tearfund's Country Representatives (or Country Directors) are primarily responsible for relations with partner organisations and capacity building among partners. Various processes, policies and tools facilitate capacity assessment and preparation of capacity building plans for Tearfund's partners. In addition, Tearfund identifies potential partner organisations through relevant assessments.

Tearfund's quality standards and accountability requirements for partners (including community involvement in the design of feedback mechanisms) are embedded in the

partnership agreements and in the newly introduced on-line project cycle management system TRACK. Tearfund staff, as well as staff from partner organisations have access to TRACK. Besides TRACK, Tearfund monitors partner performance through the quarterly Country Office Scorecards and the Quality Standard assessments.

Tearfund invites partner staff to attend Tearfund internal training sessions or online trainings, where appropriate.

As already explained in the MTA (2018) report, when Tearfund works with an international partner, it is generally with an International Non-Governmental Organisation (INGO) within one of Tearfund's networks, primarily the Integral Alliance, within which Tearfund has pre-agreements with other INGOs.

4. Overall performance of the organisation

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

Tearfund has good management and quality assurance systems in place. Across the first certification cycle, Tearfund kept focusing on strengthening its approach to quality assurance. The Quality Accountability and Learning unit is in charge of oversight application of the Quality Standards across the organisation. Also, this unit support country offices and partners to perform Quality Standards assessments and to develop capacity building plans. Country directors are responsible for quarterly reports progress on Quality Standards implementation, through Country Office Scorecard; all reports are sent to Senior Management Team.

Regarding the CARs open in the last audit, Tearfund started developing an on-going action Plan after receiving the audit report; the action plan is a live document that is updated by action owners and is reported back into the International Group Ops Meeting that convenes monthly. Also, Tearfund has created a working group comprising representatives from Thematic Support, Humanitarian Support and Operations & Assurance; they meet on a weekly basis. This group provides visibility over the progress made as well as any raising issues or concerns.

4.2 Performance in the application of the CHS

Tearfund worked steadily through the previous audit cycle to more closely address the requirements of the CHS identified in each audit. At the time of the MTA and since then, Tearfund had strengthened its work on:

- Safeguarding - Tearfund has updated its policy, developed a protocol to ensure the safety of survivors and also updated the mandatory online training.
- The design, monitoring and evaluation of projects and programmes, through the new DME procedure and the TRACK system.
- Investigation of sensitive complains by hiring an investigation manager.
- Accountability to communities.
- Assessing, monitoring and supporting the level of implementation of Quality Standards at the country office and partner levels.
- Ensuring that its staff and partners are aware of and apply Tearfund's key policies and procedures.

Some weaknesses remain in specific areas, such as: the feedback and complaints mechanism; the systematic referral of unmet needs; disaggregation of data by disabilities; context and stakeholders analyses; and ensuring that communities are aware of the expected behaviour of Tearfund and partner staff.

In addition, Tearfund is developing new guidance on the Use of Settlement Agreements and NDAs, in line with the May 2020 CHS Alliance's Guidance note on the use of NDAs and ACAS.

4.3 PSEA

Tearfund has a middle-level score on PSEA. It is committed to PSEA and Do No Harm. The organisation has several policies, tools and mechanisms that ensure that its programmes and projects follow a do not harm approach and contribute to ensuring that SEA is

prevented. Since the previous audit, Tearfund has updated its Safeguarding policy (2019) to provide for the safety and care of survivor; it has developed a protocol for Handling Sexual and Violent Physical Assaults. In addition, Tearfund created in 2019 a safeguarding commission to provide Board oversight to the development of Tearfund's safeguarding culture. Sensitive complaints (including sexual exploitation and abuse) are prioritized, and the safeguarding team and commission are in charge, in order to ensure the investigation is properly managed.

All Tearfund staff sign systematically the Code of Conduct as part of any contract and must complete mandatory training in safeguarding every year.

Tearfund's Partners Agreements require partners to have a code of conduct, safeguarding policies, a complaints mechanism and that partners immediately notify Tearfund when sensitive complaints are received.

Country teams and partners share their commitments on PSEA and Harassment with communities, and develop posters and other information materials in English and local languages to inform how to contact Tearfund in case of safeguarding concerns. However, not all beneficiaries consistently know about the expected behaviour of Tearfund and Partners staff.

4.4 Localisation

Tearfund has a localisation approach and is strongly committed to it. Wherever possible, the organisation recruits and promotes national and local staff and supports its partners. In fact, the audit shows that Tearfund's cooperation with local structures is one of its core strengths. Tearfund's tools and guidelines support staff in strengthening local capacities.

This is also reflected in the training courses for the partners and for communities. Tearfund not only trains community leaders in disaster preparedness and risk management, but also the entire community. Furthermore, it is the community that decides how to improve their skills.

When it comes to participation in relevant coordinating bodies, it is the local Tearfund partners who participate in these.

4.5 Gender and diversity

Tearfund is committed to ensuring diversity and its policies take into account the diversity of communities, including gender equality. At country level, Tearfund and partners developed ethics codes to avoid any discrimination and the various data collection tools (e.g. key informant interviews, village profiles and Participatory Rural Appraisal) at site level ensure that the perception of all persons in a community is covered. In addition, women, men, young and old people and marginalised groups, irrespective of their religion, are included in community meetings. Limitations with regard to diversity are that disaggregated data on disabilities is not systematically collected, and community feedback is not always consistently recorded and processed by Tearfund staff and partners.

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	<p>Tearfund's policies commit to impartial needs-based assistance and its processes ensure ongoing context analysis. As a result, Tearfund and its partners design and implement projects taking into account the views of all relevant stakeholders (incl. women, men, young and old people and persons with disabilities). Moreover, Tearfund proved that it adapts its programmes to changing needs and context.</p> <p>However, Tearfund does not systematically disaggregate data by disabilities and Tearfund's</p>	<p>In interviews with the communities it was confirmed that they are involved in the project design and that support is provided to those in need without discrimination. In addition, communities say that regular meetings take place to discuss their needs and situation.</p>	2.7

	<p>context analyses are not always up-to-date and complete. Tearfund's country level contingency plans are not always updated in timely way.</p>		
<p>Commitment 2: Humanitarian response is effective and timely</p>	<p>Tearfund ensures the effective implementation of programme activities through regular training based on prior capacity analysis. In addition, Tearfund tools, guidelines and technical advisors make sure that good practice is applied. Tearfund's rapid funding and deployment mechanisms allow funds to be released quickly.</p> <p>However, even though Tearfund has good design, monitoring and evaluation procedures in place, findings from monitoring and evaluation activities are not systematically taken into account and feedback from the community members are not systematically recorded. There is evidence that Tearfund has referred some unmet needs to other organisations, however, there are no systematic referral procedures in place.</p>	<p>Communities perceive the technical skills of Tearfund and partner staff as good and in general, activities as being delivered timely.</p>	2.7
<p>Commitment 3: Humanitarian response strengthens local capacities and avoids negative effects</p>	<p>Tearfund has policies and guidance to prevent programmes having any negative effects, such as, for example, exploitation, abuse or discrimination by staff. Local capacities are strengthened through Tearfund's localisation approach. Tearfund's global and local policies safeguard personal information collected from the communities. A particular strength of Tearfund is the close cooperation with local structures to improve the resilience of the communities. Community members developed their own contingency plan.</p> <p>However, most of the Tearfund projects have no clear exit strategy. Assessments on potential or actual unintended negative effects are not systematically identified in a timely manner. Weak feedback and complaint mechanisms are a further obstacle to identifying potential and actual negative impacts.</p>	<p>Communities say that they now feel better prepared for future disasters. They confirmed having carried out risk reduction measures.</p>	2.9
<p>Commitment 4: Humanitarian response is based on communication, participation and feedback</p>	<p>The organisation has relevant and appropriate policies, procedures and tools for engaging communities and people affected by crisis. Dissemination of information to communities is a regular process. Inclusion of affected communities takes places at all stages of the work. Tearfund also has processes to ensure that external communication is correct, ethical and respectful towards community members.</p> <p>However, Tearfund staff and partners do not systematically inform communities about unacceptable staff behaviour. Although communities have the possibility to provide</p>	<p>Communities feel well informed about Tearfund or the partner organisation as well as about project activities. Community members can also remember that they have been informed of Tearfund's commitment on PSEA, but some say that they have not been informed about the expected behaviour of the staff. Interviewed community members easily understand the information provided.</p>	2.7

	<p>feedback, not all can do so in a confidential way and feedback is not systematically collected and processed.</p> <p>On-site visits could have provided a clearer assessment of the extent to which information material is available in sufficient quantity (a weakness identified at the MTA) and is visibly displayed at meeting points.</p>	<p>They confirmed having the opportunity to give feedback or to complain.</p>	
<p>Commitment 5: Complaints are welcomed and addressed</p>	<p>Tearfund has a strong organisational commitment towards accountability to affected populations and communities, which is reflected in its complaints' procedures and mechanisms throughout its programmes and project management. Its commitments to complaint handling are made public, and all information is available on Tearfund's website, and also in partnership agreements. The Complaints Mechanism covers complaints or concerns about safeguarding, child protection, the conduct or behaviour of staff, and fraud or corruption. Tearfund manages complaints in a timely, fair and appropriate manner that prioritises the safety of the complainant and those affected at all stages. Tearfund and its partners consult communities on the implementation, and monitoring of the complaints handling processes; however, not always on the design. Tearfund and its partners' complaints are recorded in the Complaints log. However, minor complaints made verbally to the partners' staff are not always recorded and shared with Tearfund.</p> <p>Tearfund and its partners ensure that communities are aware of their commitment on PSEA and Harassment; however, ensuring that communities are aware of the expected behaviour of Tearfund and partners staff is not systematic.</p> <p>Tearfund staff interviewed stated that Tearfund encourages them to report any wrongdoing and that they feel safe to report, including about their superiors.</p> <p>Tearfund does not use Settlement Agreements and Non-Disclosure Agreements (NDAs) to cover wrongdoing, inappropriate behaviour, misconduct, or to punish or discourage whistleblowing, as is recommended in the CHS Alliance NDAs guidance note and ACAS.</p>	<p>Communities reported good behaviour from Tearfund and partner staff. Communities are knowledgeable about how they can complain through different means, e.g. phone calls, suggestion box, email, or at community meetings or face to face to Tearfund and partners staff.</p> <p>Communities stated that Tearfund and its partners welcome complaints, and they always consult them about the implementation and monitoring of the complaints-handling processes. However, they do not recall whether they have been involved in the design.</p> <p>Communities stated that Tearfund and partners communicate with them about issues of SEA. However, not all of them recall whether Tearfund or partners talked to them about the expected behaviour of staff.</p>	2
<p>Commitment 6: Humanitarian response is coordinated and complementary</p>	<p>Tearfund identifies the roles, capacities and interests of different stakeholders. Tearfund and its partners are committed to the coordination and complementarity of its activities, and ensure that activities create no duplication and are coordinated with national and local authorities, and other organisations.</p>	<p>Communities interviewed explained that there is no duplication of activities and that Tearfund and its partners coordinate with local authorities and other actors well.</p>	2.8

	<p>Partnerships are at the core of Tearfund's activities, and the organisation has built transparent and equal relationships with its partners, that respect each partner's mandate, obligations and independence, and recognises their respective constraints and commitments.</p>	<p>They stated that Tearfund and its partners coordinated with them to plan the activities at times when they were available and that project activities did not interfere with their other activities.</p>	
<p>Commitment 7: Humanitarian actors continuously learn and improve</p>	<p>Tearfund draws from lessons learnt and experience when designing programmes or planning documents, such as country strategies.</p> <p>Tearfund and its partners learn, innovate and implement changes on the basis of monitoring and evaluation, and feedback and complaints; however, partners do not always record verbal feedback and complaints from communities.</p> <p>Tearfund shares experience and innovations internally and externally, through the organisation, with its partners, with communities and other stakeholders. Tearfund is also an active contributor to learning and innovation amongst peers through different means: Tearfund has a Learn website, the organisation participates or leads in numerous forums at an international and national level and publishes in ALNAP and Relief Web.</p>	<p>Communities interviewed said they witness changes to the activities due to the feedback they give to Tearfund and its partners.</p> <p>They stated that Tearfund and its partners share with them the main learning from the project and innovations.</p>	3
<p>Commitment 8: Staff are supported to do their job effectively, and are treated fairly and equitably</p>	<p>Tearfund staff works according to the mandate and values of the organisation and to agreed objectives and performance standards. The organisation's staff policies and procedures are fair, transparent, non-discriminatory and compliant with local employment law. Tearfund staff have up-to-date job descriptions, receive performances appraisals two times per year and receive training to improve their skills and competencies. Tearfund staff interviewed during this audit are all aware of the Code of Conduct.</p> <p>Tearfund follows ACAS guidelines for the NDAs and provides independent professional legal advice to employees when Settlement Agreements and Non-Disclosure Agreements (NDAs) is to be agreed. Tearfund is developing a Guidance Note on the Use of Settlement Agreements, in-line with the May 2020 CHS Alliance's Guidance note on the use of NDAs and ACAS. However, the guidance is not yet finalised and in place.</p> <p>Tearfund assesses the capacity of its partners and ensures that they have relevant policies in place through the Partner Organisation</p>	<p>Communities interviewed stated that Tearfund and partners staff are competent and skilled to implement the activities. They were satisfied with the behaviour of the staff and expressed that they were being treated with respect and dignity.</p>	2.8

	<p>Capacity Assessment, from which a capacity development plan is developed for each partner based on the main gaps identified. Partners confirmed that they have a Code of Conduct in place, and staff are aware of it.</p> <p>Tearfund Country office and partners have safety and security plans in place, and in the case of breaches, sanctions are imposed.</p>		
<p>Commitment 9: Resources are managed and used responsibly for their intended purpose</p>	<p>Tearfund policies and processes governing the use and management of resources are in place, including monitoring and reporting on expenditures. Tearfund manages the risk of corruption through several activities, including e-learning, guidelines, training and reducing the thresholds at the country level if necessary.</p> <p>Tearfund has a new environmental policy in place to ensure that Tearfund complies with all relevant regulatory requirements, and to incorporate environmental considerations into strategic and day to day business decisions. The impact of projects on the environment is considered by the organisation by specific involvement in environmental conservation activities.</p>	<p>Communities stated that from their understanding and observations, the resources for the activities are used wisely by Tearfund or its partners. They had no specific complaints regarding misuse of resources, but all of them stated that they know how to raise a complaint if a case is detected.</p>	3.2

5. Summary of non-conformities

Corrective Action Requests (CAR) / Weaknesses	Type (<i>minor / major</i>)	Resolution due date	Date closed out
2018 - 5.1 Communities and people affected by crisis are not systematically consulted on the design and the monitoring of complaints handling processes.	Minor	2020-05-05	2020-07-24 (Due to COVID-19 disruptions, the audit was delayed, and the closure could only be confirmed in July 2020)
2018 - 5.3 Tearfund does not ensure that complaints are systematically managed in an appropriate manner that prioritises the safety of the complainants and those affected at all stages.	Minor	2020-05-04	2020-07-24 (Due to COVID-19 disruptions, the audit was delayed, and the closure could only be confirmed in July 2020)

2018 - 8.9 Tearfund and partner staff do not systematically implement basic security rules nor apply agreed sanctions over breaches.	Minor	2020-05-04	2020-07-24 (Due to COVID-19 disruptions, the audit was delayed, and the closure could only be confirmed in July 2020)
2020 - 5.1 Communities and people affected by crisis are not systematically consulted on the design of complaints handling processes.	Minor	2022-07-24	
2020 - 5.6: Communities are not consistently aware of the expected behaviour of Tearfund staff, and that of its partners	Minor	2022-07-24	

6. Sampling recommendation for next audit

Sampling rate	Based on the standard sampling rate, it is recommended that 5 country programmes are included in the Maintenance audit (MA) for remote assessment.
Specific recommendation for selection of sites	<p>Given the travel restrictions linked to the COVID-19 pandemic, this recertification audit did not include a CP site visit. It is therefore recommended that one CP is selected for a site visit in the next Maintenance Audit.</p> <p>It is also recommended that this CP has an adequate number of partner organisations that can participate in the audit and ensure community consultations can be facilitated at the time of the audit.</p>

7. Lead auditor recommendation

In our opinion, Tearfund 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 on Quality and Accountability. We recommend maintenance of certification.	
Name and signature of lead auditor: Jorge Menéndez Martínez 	Date and place: Buenos Aires, 24 of July 2020

8. HQAI decision

<input checked="" type="checkbox"/> Certificate maintained <input type="checkbox"/> Certificate suspended	<input type="checkbox"/> Certificate reinstated <input type="checkbox"/> Certificate withdrawn
Next audit Maintenance Audit to be completed before 2021/08/18	
Name and signature of HQAI Executive Director: Pierre Hauselmann	Date and place: 18th August 2020 Geneva

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 Tearfund representative: MARINA KOBZEVA / 	Date and place: 02 September 2020

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	Major non-conformity or Major weakness
	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.
1	Minor non-conformity or Minor weakness
	Your organisation has made some efforts towards applying this requirement, but these efforts have not been systematic.
2	Observation
	Your organisation is making systematic efforts towards applying this requirement, but certain key points are still not addressed.
3	Conformity
	Your organisation conforms to this requirement, and organisational systems ensure that it is met throughout the organisation and over time – the requirement is fulfilled
4	Exceptional conformity
	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.