

CAB: **HQAI – Humanitarian Quality Assurance Initiative (Association)**

Address of location/s audited: **7, Ch. De Balexert – CH1219 – Châtelaine, Switzerland (Remote Assessment)**

Date of audit: **2020-08-18,19 and 20 (1/2 day)**

SCOPE OF AUDIT AND REFERENCE STANDARDS FOR ACCREDITATION¹

	QMS	EMS	Emas	OHSAS	ISMS	PRD	PRS	INSP	FSM	ITSM	EnMS	GHG	ETS	Other	Other	Other
Initial																
First surveillance																
Second surveillance						#										
Third surveillance																
Renewal																
Supplementary																
Extraordinary																
Short notice																
Initial recognition																
Maintenance																
Other :																

Specify if the object of the audit is the transition to another standard: None

Other reference standards: None

¹ Reference standards for accreditation: ISO/IEC 17021 (QMS, EMS, OHSAS, ISMS, EnMS, ITSM), EN 45011 / ISO 17065 (PRD, FSM), ISO 17020 (INSP), ISO 14065 (GHG / ETS). See also the reference standards and documents for the accreditation of CBs (LS-02), IBs (LS-03) and VBs of GHG inventories (LS-12), available on ACCREDIA's website.

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Scope of proposed accreditation (to be completed only in cases of extension, new accreditation or other modifications to the certificate): Not Applicable.

ACTIVITIES UNDERTAKEN BY THE ACCREDIA AUDIT TEAM

Position	Name of Assessor	Schemes audited	Dates and locations assessed	audit days.	N° of days for writing report
Lead Assessor	Riccardo Bianconi	Core Humanitarian Processes Certification	2020-08-18, 19, 20 (1/2 Day) (Remote)	2,5	1
Expert	---	---	---	---	
Observer	---	---	---	---	
Internal	---	---	---	---	

PRESENT FOR THE BODY

Name		Position
1.	Pierre Hauselmann	Executive Director
2.	Désirée Walter	Head of Marketing and Communication
3.	Elissa Goucem	Head of Quality Assurance
4.	Lina Munoz	Quality Assurance Officer
5.	Claire Goudsmit	Quality Assurance Senior Advisor (Consultant)

LIST OF FILES EXAMINED

Scheme	Organization [Activity analysed]
CHS	Danish Red Cross [2020 Midterm Audit]
CHS	ZOA [2019/2020 Certification]
CHS	TEARFUND [2020 Renewal]

LIST OF FILES EXAMINED (for ETS)

Scheme	Area	Organization	Authorization N°	Year of reference of issues	Items Audited
Not applicable to this assessment					

SYNTHESIS OF WITNESS AUDITS PERFORMED ON THE OCCASION OF THE PRESENT ON-SITE AUDIT

Location of audit	CAB auditor/s	ACCREDIA assessor/s	Type of audit / exam session
Not applicable to this assessment			

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DOCUMENTAL EXAMINATION / CLOSURE OF FINDINGS RAISED BY DOCUMENTAL EXAM

Updating of System Documents
CAB has not adopted critical changes the documental structure and contents, that remains in conformity with ISO/IEC 17065:2012

CLOSURE OF FINDINGS AND ADDRESSING OF PREVIOUS COMMENTS

Note for completion: The CAB shall present a file before the audit to the ACCREDIA audit team containing all the findings against it (on-site and witness), fully completed (treatment, cause, CAs/PAs, evidence of closure).

1	Description of Comment (OFI)	Scheme and point of standard: UNI CEI EN ISO IEC 17065:2012 § 5.2	Remote Assessing – Local Top Management premises in Italy	Date: 2019-07-19	Analysed: yes <input checked="" type="checkbox"/> no <input type="checkbox"/>
<p>It's recommended that CAB better formalise the mechanism by which it shares specific impartiality issues and gets information and advice by different parties than Humanitarian Organizations, es e.g.: Donors, Government Organizations, the same CHS original parties. This activities are now in force, but a better formalisation is recommended.</p> <p>The issue has been managed at different level: Public summary and detailed audit findings have been set in the website. Currently there's a public web site update and a new versioning is expected before the end of this year.</p> <p>The impartiality procedure was improved with some changes during last year; anyway, both confidentiality and independence from conflict of interests are guaranteed by procedures and agreements with all the person involved in CAB processes. Because that and improvements, the CAB decided that this situation is now already acceptable. More, there's an oversight of confidentiality and impartiality, with a specific report, presented during the annual meeting of interested parties.</p> <p>Aside this issue, the CAB reported that GDPR conformity process is currently under evaluation by a lawyer for possible adoption of procedures.</p>					Acknowledged: yes <input checked="" type="checkbox"/> no <input type="checkbox"/>

Complaints or other relevant information received by ACCREDIA

Remark made by:	Date of remark:	management of output
ACCREDIA didn't receive any complaint from the market referred to the activities of HQAI and/or Certified Services.		

OTHER Item to be verified: None

GENERAL NOTES: The assessment was completely performed with a remote approach. The Assessment Plan was respected with the really effective cooperation of HQAI Personnel. All the records and documents requested were immediately made available by the use of the CAB IT platform. Good attention were set to IT security issues in communication of documents. The CAB internal Quality Management System, the processes analysed, the records made available for the ACCREDIA Assessor appeared consistent with ISO/IEC 17065 requirements and effectively operated in the aim of the Market expectations (what the institutional Stakeholders expects from the certification process performed by the CAB; the needs of NGO are addressed to improve their operative performances and better respect of critical issues in the aid sector and even more, the guarantee offered by this certification of an effective protection of the rights of Communities by the certified organizations). The Conformity to the Accreditation Standard is thus effectively maintained by HQAI.

A short term planning (before the end of 2020) is required to schedule a remote witness over the CAB operations.

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PROPOSED BY THE ACCREDIA AUDIT TEAM

Supplementary activities are necessary <div style="text-align: center;"> <input checked="" type="checkbox"/> NO <input type="checkbox"/> YES </div> <input type="checkbox"/> on-site <input type="checkbox"/> witness <input type="checkbox"/> documentary <input type="checkbox"/> other	Explanation and description of the objectives of the supplementary activities --/--
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OTHER OBSERVATIONS/REMARKS (e.g. accidents or other dangerous safety and security situations undergone by the ACCREDIA audit team or observations related to the ACCREDIA Code of Ethics and Conduct): None.

List of the documents of which the ACCREDIA audit team has kept a copy: None. Documents used for the Assessments will be destroyed, but the system procedures, that has to be submitted to ACCREDIA when modified.

ATTACHMENTS:

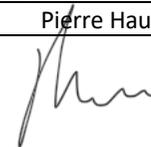
Number of findings: 00 NC, 01 Concern, 02 Opportunity for improvement (Comment)

SPACE RESERVED FOR THE BODY
CAB reserves regarding the findings / remarks or regarding the behaviour of the ACCREDIA audit team <input type="checkbox"/> yes <input checked="" type="checkbox"/> NO Reasons:

The ACCREDIA assessment team shall not disclose to third parties confidential information concerning audits without the written consent of the CAB, except in cases where the law dictates that information can be made known without specific agreement (ISO 17011, 4.4). In addition, the audit team confirms its absence from commercial or other interests and from any current or previous links with the CB under assessment (ISO 17011, 6.1.4). The audit team also confirms its commitment to respect ACCREDIA's Code of Ethics and Conduct and all the other applicable rules, such as the ACCREDIA Statute and the contractual agreement for assessors.

ACCREDIA Lead Assessor			Representative of the Body
Riccardo Bianconi		2020-08-21	Pierre Hauselmann

This document is signed by only one electronic qualified signature by ACCREDIA Lead Assessor.



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AUDIT RESULTS ²

NC Concern N° 01	<input type="checkbox"/>	Std/requirem.: UNI EN ISO/IEC 17065:2012 § 7.4	Scheme: PRD CHS process	Remote Assessment	Date: 2020-08-20	Acceptance by Accredia yes <input type="checkbox"/> no <input type="checkbox"/> Name: Date: Notes:	Closure C <input type="checkbox"/> O <input type="checkbox"/>
Description of finding			Treatment, timeframe, cause		CAs - timeframe	Evidence of closure / effectiveness	If "Open", clarification is needed
Pro115 "Corrective Action Request Procedure" is not enough clear on the ties to apply when a Major NC is recorded during an initial or renewal Audit (e.g. ZOA file, where it's not clearly evident the kind of action that was required in order to guarantee the certification issuance, being present a Major NC, as a containment of possible effect of the NC and reduction to a Minor classification).			PRO115 will be rewritten to ensure more clarity and avoiding possible confusion in the treatment of Major non-conformities. In addition PRO114 will be modified to clarify the validation date of certificates and ensuring consistency with PRO115		September 2020		

1	Description of Comment	Scheme and point of standard: UNI CEI EN ISO IEC 17065:2012 § 6.1.2	Remote Assessing – Local Top Management premises in Italy	Date: 2020-08-20	Analysed: yes <input type="checkbox"/> no <input type="checkbox"/>
	Pro105 "Training and registration procedure" (Rev. 2019-03-21) should better describe the "face to face" training process: duration, way for attendance (in presence or remotely) and the minimum syllabus of contents for each training day.				Acknowledged: yes <input type="checkbox"/> no <input type="checkbox"/>
2	Description of Comment	Scheme and point of standard: UNI CEI EN ISO IEC 17065:2012 § 6.1.2.1.d	Remote Assessing – Local Top Management premises in Italy	Date: 2020-08-20	Analysed: yes <input type="checkbox"/> no <input type="checkbox"/>
	A formal decision to consider an Auditor ready to perform activities on behalf of HQAI should be better stated in the Pro105. This formal decision should be taken at the Executive Director level.				Acknowledged: yes <input type="checkbox"/> no <input type="checkbox"/>

ACCREDIA Lead Assessor			
Riccardo Bianconi		2020-08-21	Representative of the Body Pierre Hauselmann



BIANCONI RICCARDO
21.08.2020 09:36:41 UTC

² *Note for completion: the ACCREDIA audit team shall fill in the description of findings and then the acceptance or closure document and the CAB shall fill in all the remaining sections (treatment, cause, CAs, PAs, evidence of closure).*

In cases of NCs and concerns the CAB shall send the details of the treatment and the CAs to ACCREDIA for acceptance, after which, before the next on-site visit, the CAB shall complete the evidence of closure and send a file to the ACCREDIA audit team with all the findings (on-site and witness) received during the year in the object schemes of the on-site audit.