



**ACT Alliance Secretariat**  
**CHS Certification**  
**Maintenance Audit Report**

ACTA-MA1-2018-002

2018-05-14

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## 1. General information

Organisation	ACT Alliance Secretariat		
Type	<input type="checkbox"/> National <input checked="" type="checkbox"/> Membership/Network <input type="checkbox"/> Direct assistance	<input checked="" type="checkbox"/> International <input type="checkbox"/> Federated <input type="checkbox"/> Through partners	
Mandate	<input checked="" type="checkbox"/> Humanitarian	<input checked="" type="checkbox"/> Development	<input checked="" type="checkbox"/> Advocacy
Verified Mandate(s)	<input checked="" type="checkbox"/> Humanitarian	<input type="checkbox"/> Development	<input type="checkbox"/> Advocacy
Size (Total number of programme sites/ members/partners – Number of staff at HO level)		147 members; 125 countries;	
Lead auditor	Johnny O'Regan	Auditor	n/a
		Observer	Lola Nydegger
Head Office			
Location	Geneva		
Dates	March 15, 2018		

## 2. Schedule summary

### 2.1 Opening and closing meetings at Head Office

	Opening meeting	Closing meeting
Date	22/2/18	15/3/18
Location	Skype	Geneva
Number of participants	2	6
Any substantive issue arising	No	No

### 2.2 Interviews

Position of interviewees	Number of interviewees
<b>Head Office</b>	
Management and staff	4
Advisory groups	2
<b>Total number of interviews</b>	<b>6</b>

## 3. Recommendation

In our opinion, ACT Secretariat has implemented the necessary actions to close the minor CARs identified in the previous audit as requiring to be closed within one year and continues to conform with the requirements of the Core Humanitarian Standard. We recommend maintenance of certification.

Detailed findings are laid out in the rest of this report and its confidential annex.

Johnny O'Regan



Lead Auditor's Name and Signature

Dublin, April 18, 2018

## 4. Quality Control

<b>Quality Control by</b>	Elissa Goucem
<b>Follow up</b>	
First Draft	2018-04-10
Final Draft	2018-05-14

## 5. Background information on the organisation

### 5.1 General

ACT Alliance Secretariat was verified in 2015, after which the Secretariat applied for, and was awarded, certification. Background information from the original verification report remains relevant, members still mobilise approximately \$2.5 billion, financial flows through the Secretariat in 2017 were USD 20.8 million (\$42.5 million in 2015); the flows reduced because there were no mega emergencies (such as Nepal earthquake).

### 5.2 Organisational structure and management system

ACT Alliance Secretariat has not undertaken any significant structural changes since the last audit. However, ACT no longer has a chief operating officer (COO) or a Head of Alliance Development - some of the COOs role is being undertaken by the General Secretary and Head of Finance. There is a new General Secretary. ACT has one new senior management position, Head of Programmes.

### 5.3 Work with members

The ACT Secretariat and HQAI agreement - that ACT Alliance members would be considered as the “partners” referred to in the Standard- still stands. All other ways of working with members remain relevant in 2018.

## 6. Report

### 6.1 Overall organisational performance

ACT Secretariat's commitment to accountability remains evident, as do its overall strengths (resilience and recovery, efficiency and effectiveness at delivery of assistance) and challenges (level of remove from communities). Improvements (described in 6.2) are evident from its focus on CARs since the audit.

### 6.2 Summary of actions for resolution of previous audit CARs

In order to resolve its non-conformities, ACT Secretariat has developed policies and procedures, updated project/programme templates, created e-learning modules, and incorporated learnings into training of trainers. These have been described in an action plan and progress tracker and described in the Quality and Accountability Advisory Group's annual report. The result is that policy-based CARs have been resolved and there is evidence that solid progress has been made against other CARs – though it is not possible to establish this definitively without a field visit. Two CARs that were given one year timeframes for resolution have been closed but new CARs opened to provide opportunity for further testing on the field.

### 6.3 Status of the Corrective Action Requests of the previous audit

Corrective Action Requests	Type (Minor/Major)	Original time for resolution	Status of CAR
2017-2.3 ACT Secretariat does not support members to ensure that unmet needs are systematically referred to organisations with relevant expertise.	Minor	2019-03-05	Open
2017-3.8 The ACT Secretariat does not support members to ensure that personal information collected from communities is systematically safeguarded.	Minor	2019-03-05	Open
2017-4.1 There is limited evidence of the ACT Secretariat supporting members to develop contextualised information sharing plans; communities had limited awareness of members' plans beyond the short term.	Minor	2019-03-05	Open
2017-4.4b There are limited formal mechanisms to disaggregate feedback data, particularly on age and disability.	Minor	2018-03-05	Closed

2017-5.1 The ACT Secretariat does not support members to undertake community consultation for complaints mechanisms and members undertook limited consultation with communities.	Minor	2019-03-05	Open
2017-5.6 The ACT Secretariat does not support members to ensure they make communities aware of expected behaviour of staff and there was limited awareness at community level in Nepal of these expected behaviours.	Minor	2018-03-05	Closed
2017-9.4 ACT Secretariat does not support members to consider potentially negative impacts on local and natural resources.	Minor	2019-03-05	Open
2017-9.6 ACT Secretariat does not have any specific environmental policies or policies on conflicts of interest, procurement or audit. ACT Secretariat does not formally support members to develop policies governing use and management of resources.	Minor	2018-03-05	Closed

#### 6.4 Summary of Corrective Action Requests of the maintenance audit

Corrective Action Requests	Type (Minor/Major)	Status of CAR	Deadline for resolution
2018 - 2.3 ACT Secretariat does not support members to ensure that unmet needs are systematically referred to organisations with relevant expertise.	Minor	Open	2019-03-05
2018 - 3.8: The ACT Secretariat does not support members to ensure that personal information collected from communities is systematically safeguarded.	Minor	Open	2019-03-05
2018 - 4.1 There is limited evidence of the ACT Secretariat	Minor	Open	2019-03-05

supporting members to develop contextualised information sharing plans; communities had limited awareness of members' plans beyond the short term.			
2018 - 4.4 ACT Secretariat does not have a formal system to support members to ensure that communities are encouraged to provide feedback on their satisfaction with assistance received.	Minor	New	2020-03-05
2018 - 5.1 The ACT Secretariat does not support members to undertake community consultation for complaints mechanisms and members undertake limited consultation with communities.	Minor	Open	2019-03-05
2018 - 5.6 The ACT Secretariat does not exercise sufficient oversight over members' efforts to ensure that communities are aware of expected staff behaviour.	Minor	New	2020-03-05
2018 - 9.4 ACT Secretariat does not support members to consider potentially negative impacts on local and natural resources.	Minor	Open	2019-03-05
<b>TOTAL Number of open CARs</b>			<b>7</b>

## 7. Organisation's report approval

### Acknowledgement and Acceptance of Findings

For Organisation representative – please cross where appropriate

- I acknowledge and understand the findings of the audit
- I accept the findings of the audit
- I do not accept some/all of the findings of the audit

Please list the requirements whose findings you do not accept

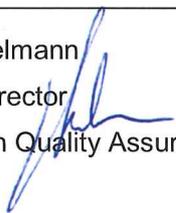
  
Rudelmar Bueno de Faria 16<sup>th</sup> May 2018, Geneva

Name and Signature

Date and Place

Date of document: 2018-05-14

## 8. HQAI's decision

<b>Certification Decision</b>	
Certificate:	
<input checked="" type="checkbox"/> Certificate maintained	<input type="checkbox"/> Certificate reinstated
<input type="checkbox"/> Certificate suspended	<input type="checkbox"/> Certificate withdrawn
<b>Next audit</b>	
Mid-term audit before: 2019-03-05	
Pierre Hauselmann Executive Director Humanitarian Quality Assurance Initiative 	Date: 2018-05-17 

### Appeal

*In case of disagreement with the conclusions and/or decision on certification, the organisation can appeal to HQAI within 30 days after the final report has been transmitted to the organisation.*

*HQAI will investigate the content of the appeal and propose a solution within 15 days after receiving the appeal.*

*If the solution is deemed not to be satisfactory, the organisation can inform in writing HQAI within 15 days after being informed of the proposed solution of their intention to maintain the appeal.*

*HQAI will take action immediately, and identify two Board members to proceed with the appeal. These will have 30 day to address it. Their decision will be final.*

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