



**SAVE THE CHILDREN INTERNATIONAL**  
**CHS Verification Report**

SCI-VER-2017-007

**Date: 2017-07-03**

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## 1. General information

|  |   |  |   |
|--|---|--|---|
| Organisation Name:   | Save the Children International           | Verification Ref / No:   | <b>SCI-VER-2017-007</b>                     |
| Type of organisation:<br><input type="checkbox"/> National Federated <input checked="" type="checkbox"/> International<br><input checked="" type="checkbox"/> Membership/Network<br><input checked="" type="checkbox"/> Direct assistance <input checked="" type="checkbox"/> Through partners |   | Organisation Mandate:<br><input checked="" type="checkbox"/> Humanitarian <input checked="" type="checkbox"/> Development<br><input checked="" type="checkbox"/> Advocacy<br>Verified Mandate(s)<br><input checked="" type="checkbox"/> Humanitarian <input type="checkbox"/> Development<br><input type="checkbox"/> Advocacy |   |
| Organisation size:<br>(Total number of programme sites/ members/partners)  | 17,000 employees;<br>120 programme sites. | Legal Registration:  |   |
| Head Office Location:  | London                                    | Field locations verified:  | Greece, Lebanon, Somalia, Indonesia, Nepal. |
| Date of Head Office Verification:  | 2/3/17-3/3/17                             | Date of Field Verification:  | 13/3/17- 21/4/17                            |
| Lead Auditor:  | Johnny O'Regan                            | 2 <sup>nd</sup> Auditor(s)   | Cath Blunt<br>Naveed Ul Haq                 |
|  |   | Observer(s)<br>(Name and Position)   |   |

## 2. Scope

- Independent verification initial audit     Mid term Audit  
 Certification initial audit     Recertification audit

### 3. Schedule summary

#### 3.2 Verification Schedule

| Name of Programme sites/members/partners verified | Location              | Number of projects visited | Type of projects                            |
|---|-----------------------|----------------------------|---|
| Greece- Athens                                    | Elefsina              | 1                          | Child protection/education                  |
| Greece - Lesvos                                   | Kara Tepe             | 1                          | Child protection/ health and nutrition      |
| Lebanon   | Beirut (Abra)         | 2                          | After school support                        |
| Lebanon   | Beirut (Shheim)       | 2                          | Early Education                             |
| Lebanon- Beekaa                                   | El Marj               | 1                          | FSL   |
| Lebanon- Beekaa                                   | El Sarout (Bar Elias) | 1                          | Early education                             |
| Lebanon- Beekaa                                   | Anjar 50              | 1                          | Shelter                                     |
| Lebanon- Beekaa                                   | Qab Elias – El Harouk | 1                          | Shelter, FSL, Education (Parents committee) |
| Somalia-Puntland                                  | Usugure               | 1                          | Health and FSL                              |
| Somalia-Puntland                                  | Bosaso                | 2                          | Education (IDP and host community)          |
| Indonesia   | Sumba Island          | 2                          | FSL, DRR                                    |
| Nepal   | Sindhupalchowk        | 2                          | WASH, Shelter                               |
| Nepal   | Nuwakot               | 4                          | Shelter, CFW, Health, Child Safeguarding    |

## 3.2 Opening and closing meetings

### 3.2.1 At Head Office:

|                               | Opening meeting | Closing meeting |
|-------------------------------|-----------------|-----------------|
| Date                          | 2/3/17          | 3/3/17          |
| Location                      | London          | London          |
| Number of participants        | 10              | 6               |
| Any substantive issue arising | No              | No              |

### 3.2.2 At Programme Sites:

|                               | Opening meeting | Closing meeting |
|-------------------------------|-----------------|-----------------|
| Date                          | 6/3/17          | 9/3/17          |
| Location                      | Athens          | Skype           |
| Number of participants        | Approx 60       | 2               |
| Any substantive issue arising | No              | No              |

|                               | Opening meeting | Closing meeting |
|-------------------------------|-----------------|-----------------|
| Date                          | 13/3/17         | 20/3/17         |
| Location                      | Beirut          | Skype           |
| Number of participants        | 8               | 2               |
| Any substantive issue arising | No              | No              |

|                               | Opening meeting | Closing meeting |
|-------------------------------|-----------------|-----------------|
| Date                          | 24/3/17         | 31/3/17         |
| Location                      | Nairobi         | Skype           |
| Number of participants        | 16              | 2               |
| Any substantive issue arising | No              | No              |

|                               | Opening meeting | Closing meeting |
|-------------------------------|-----------------|-----------------|
| Date                          | 7/4/17          | 12/4/17         |
| Location                      | Jakarta         | Skype           |
| Number of participants        | 6               | 3               |
| Any substantive issue arising | No              | No              |

|                               | Opening meeting | Closing meeting |
|-------------------------------|-----------------|-----------------|
| Date                          | 17/4/17         | 25/4/17         |
| Location                      | Kathmandu       | Skype           |
| Number of participants        | 7               | 5               |
| Any substantive issue arising | No              | No              |

## 4. Recommendation

The auditors did not find any major weakness. Save the Children International could apply for certification.

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



Johnny O'Regan

Dublin, June 1 2017

Lead Auditor's  
Name and  
Signature

Date and  
Place:

## 5. Quality Control

|  |  |
|--|--|
| Quality Control by: Elissa Goucem,<br>QA Officer | Quality Control finalised on:<br>First Draft: 2017-05- 23<br>Final: 2017-06-07 |
|--|--|

### 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.

## 6. Background information on the organisation

### 6.1 General

Save the Children (STC) was founded in 1919 following the blockade of Europe that left millions of children at risk of starvation. Save the Children International (SCI) was launched in 2011 to deliver international programming through a single organisation, on behalf of the 29 national member organisations. All members share a vision where every child attains the right to survival, protection, development and participation. SCI's mandate includes humanitarian and development activities and it works in 120 countries globally across a range of sectors - protection, education, health, nutrition, food security and livelihoods, shelter and NFIs, and WASH, and multiple cross-cutting themes.

### 6.2 Organisational structure and management system

SCI delivers programmes through a line management structure of regional and country management and advocacy hubs in Brussels, Geneva, Addis Ababa, and New York. SCI's CEO manages six divisional heads: member development and revenue growth, program impact, people, communication and advocacy, finance, and operations. The chief operations officer line manages the humanitarian director whose remit includes policy, advocacy, emergency response and preparedness. Five regional directors (East and Southern Africa, Latin America, Middle East and Eurasia, Asia, West and Central Africa) line manage country directors. Members contribute to programme design and development by providing capacity and expertise to SCI such as humanitarian surge and technical advice. SCI is responsible for providing the operational platform for programmes, through 17,000 employees and by managing deployees.

### 6.3 Work with Partners

SCI defines partners as civil society, government, private sector, research and policy org, and media organisations in the countries where it works. SCI's theory of change includes 'building partnerships' (along with advocacy, innovation and achieving results at scale) as one of its pillars. This is acknowledged to be a significant challenge for an organisation whose various members, are, philosophically, at quite different places on the 'partnership spectrum'. Some are direct implementation organisations at their core while others believe in deeper engagement. In humanitarian contexts, some partners implement programmes as an extension of SCI in a traditional (short or long-term) sub-contracting relationship ('Implementation' partnerships). Other partnerships are strategic and likely to have greater depth to the civil society strengthening dimension ('Strategic partnerships').

SCI has developed a partnership framework embracing partnerships along the humanitarian-development nexus. It is currently developing tools to improve the strategic understanding and operationalization of working with partners. The partnership framework includes principles and standards, roles and tasks of SCI offices in developing and managing partnerships, partnership practices and tools, and a partnership management course. The Humanitarian Partnership Working Group is part of SCI's 3-year Strategy Into Action Process and works closely with the overall Partnership Working Group, the

Humanitarian Capacity Building Group and the Humanitarian Surge Working Group. The HPWGs three year strategy has three objectives, baselining good practice, and developing and adjusting guidance based on that. The next two stages, strengthening SCI partnerships capacity and strengthening partners' capacity are at very early stages.

The Partner Management Cycle includes scoping, forming, design, delivery and phase out. Strengthening partnerships capacity is a staged process, which includes scoping, assessment, management and review of partners. SCIs Partner Assessment Tool assesses the strategic fit between partners and STC, key engagement risks and associated mitigating strategies. The tool considers organisational and programmatic alignment, a high-level organisational assessment (for example tenure of key staff) according to the partnership type and a financial capacity assessment. It also includes an optional organisational capacity assessment (primarily for anticipated strategic partners) against criteria including governance, people management, systems, quality, and linkages with external stakeholders. For partnerships that are pursued, SCI implements capacity strengthening plans based on the results of the assessment tool.

#### 6.4 Certification or verification history

SCI has no previous relevant certifications.

## 7. Sampling

### 7.1 Rationale for sampling:

SCI has in excess of 90 programme sites, so the methodology requires a sample of five programmes. Generally, the sampling aimed at reflecting a good geographic spread of programmes, with three continents represented. The country profile and reasons for individual selections were:

- **Greece** has been hosting (primarily) Afghan and Syrian refugees who initially moved rapidly through the country. The closing of the northern borders and the EU-Turkey deal has resulted in a comparatively static population, housed primarily in camps on the islands and near urban centres on the mainland. Urbanisation is the most recent context shift as refugees move into squats and other accommodation in Athens and other major cities. The Greek response has primarily been working in Education, Child Protection and Nutrition. The rationale was the opportunity to examine accountability in a non-traditional aid context.
- **Indonesia** Nusa Tenggara Timor (NTT) experienced the effects of El Niño in 2015/16. The program provided unconditional cash transfer to address the effects of drought. The purpose was to address the negative coping strategies of communities and provide a model for government to utilise cash transfer in slow onset emergencies. The rationale for selection was to examine a low category, cyclical emergency primarily based on DRR – specifically climate change mitigation. SCI's working relationship with the government was also of interest.
- **Nepal**- SCIs response to two massive earthquakes in 2015 is 3-phased (relief, recover and rehabilitation) response including Shelter, WASH, Health, Nutrition, FSL, Education, Child protection. The rationale for selection was to examine a comparatively recent natural disaster, where SCI works through partners.
- **Lebanon** hosts an estimated 1.5 million Syrian refugees (in a country with a pre-2011 population of 4 million) living in informal tented settlements, shelters and sub-standard housing. The context, a category one crisis since 2013, is comparatively static and SCL continues to be one of the leading agencies, including heading up the Lebanese Cash Consortium. Save works in Shelter, Education, Livelihoods and Child Protection. The sampling rationale was the scale of the crisis and the refugee context.
- **Somalia** has endured protracted conflict and insecurity since the collapse of the central government in the early '90's. Somalia/Somaliland is struggling with provision of basic services and access to livelihoods resulting from repeated crop

failures, diminishing water resources and pasture, reduced livestock assets and deteriorating purchasing power. Any recovery from the famine in 2011 is threatened by famine-like conditions, which SCI has declared a Cat 1 crisis early in 2017. The rationale for selection is the challenging context, significant scale-up, with cross border and remote working.

The following table sets out expenditure in categorized humanitarian responses and percentage expenditure through implementing partners in 2016.

| 2016       | All Categorized Responses | Nepal      | Greece/Refugee Response | Somalia   | Indonesia | Syria (including Lebanon) |
|------------|---------------------------|------------|-------------------------|-----------|-----------|---------------------------|
| Total      | 435,039,117               | 17,823,642 | 22,711,065              | 8,539,046 | 954,543   | 125,778,843               |
| Partners   | 68,315,638                | 5,735,984  | 4,814,993               | 347,469   | 0         | 24,556,098                |
| % partners | 16%                       | 32%        | 21%                     | 4%        | 0%        | 20%                       |

### Disclaimer:

It is important to note that the audit findings are based on the results of a sample of the organisation's documentation and systems as well as interviews and focus groups with a sample of staff, partners, communities and other relevant stakeholders. Findings are analysed to determine the organisation's systematic approach and application of all aspects of the CHS across its organisation and to its different contexts and ways of working.

## 7.2 Interviews:

### 7.2.1 Semi-structured interviews (individual interviews or with a small group <6)

| Type of people interviewed    | Number of people interviewed |
|-------------------------------|------------------------------|
| <b>Centre and members</b>     |                              |
| Management and staff          | 33                           |
| <b>Programme site- Greece</b> |                              |
| Country office                | 9                            |

|                                   |     |
|-----------------------------------|-----|
| Field Office- Athens              | 8   |
| Field Office- Lesvos              | 7   |
| Partners (Athens and Lesvos)      | 2   |
|                                   |     |
| <b>Programme site- Lebanon</b>    |     |
| Country office- Beirut            | 8   |
| Field office- Beirut              | 2   |
| Field office- Bekaa               | 8   |
| Partners (Beirut and Bekaa)       | 2   |
| <b>Refugees (Anjar 50)</b>        | 2   |
|                                   |     |
| <b>Programme site- Somalia</b>    |     |
| Country Office- Nairobi           | 10  |
| Area Office- Puntland             | 9   |
| Puntland partner                  | 1   |
| Area Office- Mogadishu            | 4   |
| Regional Office Nairobi           | 2   |
| Other partners                    | 1   |
|                                   |     |
|                                   |     |
| <b>Programme site- Indonesia</b>  |     |
| Country office - Jakarta          | 8   |
| Field office- Sumba Island        | 5   |
| Partners                          | 4   |
|                                   |     |
| <b>Programme site- Nepal</b>      |     |
| Country office – Kathmandu        | 15  |
| Field Office- Kathmandu           | 4   |
| Partners (Sindhupalchowk)         | 5   |
| Field Office (Nuwakot)            | 4   |
| Partners (Nuwakot)                | 5   |
|                                   |     |
| <b>Total number of interviews</b> | 158 |

## 7.2.2 Focus Group Discussions (interviews with a group &gt;6)

| Type of Group                    | Number of participants |      |
|----------------------------------|------------------------|------|
|                                  | Female                 | Male |
| <b>Greece</b>                    |                        |      |
| Refugee women (Elefsina)         | 6                      |      |
| Refugee men (Elefsina)           |                        | 6    |
| Refugee group ( Kara Tepe)       | 2                      | 6    |
| Refugee group ( Kara Tepe)       | 7                      | 1    |
|                                  |                        |      |
| <b>Lebanon</b>                   |                        |      |
| Refugees - Abra                  | 20                     |      |
| Refugees - Shnneim               | 12                     | 4    |
| Refugees- El Marj                | 4                      | 2    |
| Refugees (Bar Elias- El Sarrout) | 6                      |      |
| Refugees (Qab Elias- El Hrouk)   | 11                     | 1    |
|                                  |                        |      |
| <b>Somalia</b>                   |                        |      |
| IDPs (Usugure)                   | 12                     |      |
| IDPs (Usugure)                   | 2                      | 9    |
| Education programme (IDPs)       | 9                      | 3    |
| Education programme (IDPs)       | 12                     |      |
|                                  |                        |      |
| <b>Indonesia – Sumba Island</b>  |                        |      |
| Lapale Village                   | 9                      | 1    |
| Wehura Village                   | 13                     | 2    |
|                                  |                        |      |

|   |                     |             |
|---|---------------------|-------------|
| Nepal                                     |                     |             |
| Sindhupalchowk (Water Users Committee)    | 7                   | 1           |
| Sindhupalchowk<br>(Shelter beneficiaries) | 8                   | 11          |
| Nuwakot (Child Protection Committee)      | 8 women<br>15 girls | 1<br>5 boys |
| Nuwakot (Health Ctee and volunteers)      | 6                   | 4           |
|   |                     |             |
| Total Number of Participants              | 169                 | 57          |

## 8. Report

### 8.1 Overall organisational performance

SCI has quickly developed many characteristics of a mature INGO by channelling the strengths, experience and expertise of sister agencies into a single operational organisation. It has global reach and established country presences, leadership in the sector (particularly in coordination), and significant (human, financial, technological) resources. SCIs policies are clear and concise and it has well developed processes such as response procedures. It questions itself and looks for solutions. Worth noting is that Save the Children's humanitarian actions are a co-operative effort across the membership. However, only SCI is being verified so the report focuses on SCI and does not capture all of the benefits that arise from the collective.

However, in some other respects SCI lacks cohesion. Sectoral integration is limited, some important (technical and surge) resources are dispersed amongst members who may have varying technical approaches and different philosophies – particularly on partnership. These issues can negatively impact efficiency and effectiveness. SCIs size and status presents opportunities and challenges. Its resources, leadership in the sector and multi-sectoral approach facilitate comprehensive responses and an understanding of the activities of other stakeholders. However, there is a lack of focus on the capacities of others, such as partners and communities. SCIs consciousness of its mandate and reputation drives its focus on child safeguarding/protection and anti-fraud but may also explain its tendency to respond at scale to the sometimes detriment of quality. SCI understands these issues and devotes significant resources to system-based solutions, which is reflected in the low number of weaknesses in the report. Some observations in the report, being 'cultural' (e.g. differing perspectives amongst members) are more difficult to address with resources and present a greater risk of becoming weaknesses in the future. SCI is working to address these through enhancing governance structures and agreeing common approaches.

## 8.2 Summary of weaknesses

| Weaknesses   | MAJOR | MINOR   | TIME FOR RESOLUTION <sup>*</sup> |
|--------------|-------|---|----------------------------------|
| Commitment 1 |       |   |                                  |
| Commitment 2 |       |   |                                  |
| Commitment 3 |       | 3.6 Programmes do not formally identify unintended negative effects on livelihoods, local economy and the environment.  | 2 years                          |
|              |       | 3.8 SCI does not have systems to safeguard personal information collected from communities and people affected by crisis  | 2 years                          |
| Commitment 4 |       |   |                                  |
| Commitment 5 |       | 5.1 SCI does not systematically consult with people affected by crisis and communities on the design, implementation and monitoring of complaints-handling processes. | 2 years                          |
| Commitment 6 |       |   |                                  |
| Commitment 7 |       |   |                                  |
| Commitment 8 |       |   |                                  |
| Commitment 9 |       | 9.4 SCI does not systematically consider environmental impact when using local and natural resources  | 2 years                          |
| TOTAL Number |       | 4   |                                  |

\* time for resolution is provided as an indication in case SCI desires to switch from the independent verification to the certification scheme. It is not relevant in the framework of an independent verification.

### 8.3 Strong points and areas for improvement:

#### Commitment 1: Humanitarian assistance is appropriate and relevant

Score: 2.6

SCIs systems for analysing context and needs are well developed and based on global structures, established country presences, regular update and review processes and comprehensive tools. However, there is minimal input from significant local stakeholders (field staff, partners) into programme design. Needs assessments are generally sector-specific rather than holistic and sectoral strategies are convergent rather than integrated. Risk assessments principally focus on organisational risks and child safeguarding, less on programmatic risks. There is limited emphasis and guidance on assessment of capacities in programme design. SCI systematically collects gender and age disaggregated data and programmes are adapted to changing needs and context. SCI undertakes limited stakeholder analysis but has good knowledge of (at least national level) stakeholders through its leadership and participation in the cluster system.

#### Feedback from people affected by crisis and communities on Commitment 1

People affected by crisis felt that the assistance provided was appropriate (right people targeted) and relevant (met their needs). They considered that SCI was independent and impartial. Nevertheless, communities feedback show that SCI does not always consider community's skills and capacities.

## Commitment 2: Humanitarian response is effective and timely

Score:2.7

SCI monitors systematically at activity level and addresses poor performance but generally does not define (or systematically measure) outcome level indicators. Programme commitments are generally in line with organisational capacity. Programme design considers constraints to ensure realistic and safe programmes. Although timeliness is improving, rapid onsets are still categorised (and therefore responded to) more timely than slow onsets. Preparedness, another significant driver of timeliness, is variable, partly because partners are not systematically consulted on preparedness plans or capacitated as first responders. The recovery phase is not always timely- particularly in less 'immediate' sectors such as education. SCI has significant access to technical resources although different approaches by members can affect coherence. SCIs multi-sectoral approach prevents many potentially unmet needs; although these are not systematically referred, they are advocated for through coordination mechanisms.

**Feedback from people affected by crisis and communities on Commitment 2:**

People affected by crisis and communities generally expressed satisfaction with the timeliness of the response, with the exception of education activities, which they understood are frequently dependent on other stakeholders. They report that programmes are realistic and safe.

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

Score: 2.25

SCI has well-developed systems for avoiding negative effects of sexual exploitation and abuse (SEA), fraud, safety and security but less on livelihoods, the economy and the environment. Programmes build the local capacity of governments, networks and partners through provision of advice, technical support and training. However, SCI has limited guidance on analysing capacities and so resilience building of communities is not strategic. Similarly, partners are not systematically capacitated as first responders. Exit strategies are developed and implemented where practicable but delays in developing transition constrains timeliness of the recovery phase. Neither SCI nor partners have systems to safeguard personal information collected from people affected by crisis.

#### Feedback from people affected by crisis and communities on Commitment 3:

Communities generally felt better able to withstand shocks and stresses because of SCI programmes and no negative effects were identified. However, there was minimal consultation on the type of programs that would reduce risk and build resilience.

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

Score: 2.7

SCIs processes and guidance describe information-sharing and participation in programmes. Information sharing is sensitive to context and culture and through appropriate media. However, SCI has limited contextualised information sharing plans and does not systematically inform people affected by crisis and communities about for example, its values, aspects of staff behaviour (e.g. towards vulnerable adults) and plans for the future. People affected by crisis and communities participate in project implementation but project design, planning and SCIs approach to monitoring and evaluation is mainly consultative. Processes are in place to collect and analyse feedback on satisfaction with the quality and effectiveness of programmes. 'Sign off' procedures for external communications regarding people affected by crisis and communities ensure their accurate, ethical and dignified representation.

#### Feedback from people affected by crisis and communities on Commitment 4:

Communities are informed about project objectives, deliverables and entitlements. Communities are satisfied with staff behavior and their engagement with project teams. But some communities were not well aware of SCIs principles and expected staff behavior.

## Commitment 5: Complaints are welcomed and addressed

Score: 2.15

SCIs organisational culture of complaints is growing. Where complaints are received, they are welcomed and accepted. Documented complaints handling processes for SEA and fraud are in place and are taken seriously. Referral to other agencies occurs in SEA and in some complaints mechanisms. SCI provides guidance on programmatic complaints procedures but these are not mandatory or systematically implemented. There is limited work undertaken with partners on developing programmatic complaints mechanisms. SCI does not systematically include the requirement for complaints mechanisms in partnership agreements.

### Feedback from people affected by crisis and communities on Commitment 5:

There is very limited consultation with communities on the development of the CHP. Information on how to access complaints is generally available but not always understood by people of concern. Communities did not consistently understand expected staff behaviour or the processes of raising a SEA concern. Communities were not always able to access mechanisms such as hotlines. However, instances of reported complaints were actioned.

## Commitment 6: Humanitarian response is coordinated and complementary

Score: 3.2

SCI's policies and strategies demonstrate a very strong commitment to coordination. As the only INGO that co-leads a global cluster (Education, with UNICEF), this commitment is evident and includes strengthening the UN Cluster system at global, national and sub-national level. SCI identifies roles and responsibilities of different stakeholders and understands their capacities and interests. This increases the complementarity of responses with national and local authorities and other stakeholders. SCI is a member of a range of collaborative initiatives through which it shares information with relevant stakeholders. Partnership agreements are consistent and recognise commitments and obligations but not constraints.

### Feedback from people affected by crisis and communities on Commitment 6:

People affected by crisis and communities are generally aware of SCIs collaborative efforts with other organizations.

### Commitment 7: Humanitarian actors continuously learn and improve

Score: 2.2

SCIs is very clearly committed to learning but, because of the size of the organisation and level of learning generated, it sometimes struggles to use it to design programmes. This is partly because of challenges in using technology to analyse and access learning and deploying personnel to apply it. SCI does not systematically define outcome-level indicators so changes are more likely to be implemented based on activity level data. There is a very limited use of (donor driven and generally low standard) evaluations although action trackers are useful where SCI generates targeted, high level recommendations. Other learning exercises such as RTRs are useful and becoming more programmatic though do not happen in lower category crises.

#### Feedback from people affected by crisis and communities on Commitment 7:

There was limited sharing of learning with communities but SCI is committed to making improvements based on what it has learned.

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

Score: 3.1

SCIs Code of Conduct is rigorously applied and HR policies/procedures and feedback processes are delivered systematically. Staff work according to agreed objectives and performance standards, adhere to relevant standards and generally understand the consequences of non-adherence. SCI has the staff capacity and capability to deliver its programmes and although it sometimes struggles to match profiles with needs, it compensates (eg by mobilising additional resources) to ensure that it meets its commitments. Staff generally feel supported to develop themselves through formal training and learning on the job

#### Feedback from people affected by crisis and communities on Commitment 8:

People affected by crisis and communities praised SCI staff for their commitment and attitude and found them to be competent and trustworthy. No communities mentioned a breach of the code of conduct.

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

Score: 2.5

Programme selection and design balance quality, cost and timeliness- although some limitations in preparedness (e.g. prepositioning), SCIs tendency to scale up geographically and lack of sectoral integration negatively impact efficiency. SCIs (finance, procurement, stock) processes drive efficiencies. The organisation monitors and reports on budget and takes corruption very seriously and acts upon it when discovered. However, SCI has a limited focus on the environment.

**Feedback from people affected by crisis and communities on Commitment 9:**

Communities and people affected by crisis were generally satisfied with how SCI uses its resources and were not aware of any instances of financial misappropriation.

## 9. Organisation's signature

Acknowledgement and Acceptance of Findings

(Organisation representative – please cross where appropriate)

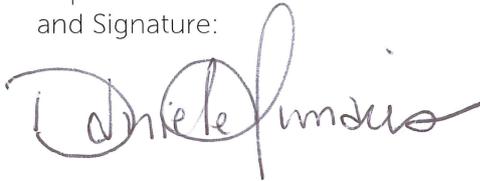
I acknowledge and understand the findings of the audit

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

Organisation's  
Representative Name  
and Signature:



DANIELE TIMARCO  
SCI HUMANITARIAN DIRECTOR

Date and Place:

17<sup>TH</sup> JULY 2017  
LONDON, UK

Date Document: 2017-06-07

## 10. HQAI's approval

|   |  |
|---|--|
| <p>Approval of report</p> <p>Pierre Hauselmann<br/>Executive Director<br/>Humanitarian quality assurance Initiative</p> | <p>Date:<br/>2017-07-19</p>  |
|---|--|



## Annex 1: Explanation of the scoring scale

In line with the CHS's emphasis on continuous learning and improvement, rather than assessing a pass/fail compliance with the CHS requirements, the CHS Verification Scheme uses a scoring system. It is graduated from 0 to 5 to determine the degree to which organisations apply the CHS and to measure progress in this application.

Be it in the framework of a self-assessment or in a third-party assessment process, it is key to have detailed criteria to evaluate (score) the degree of application of each requirement and commitment of the CHS. A coherent, systematic approach is important to ensure:

- Transparency and objectivity in the scoring criteria;
- Consistency and reliability between one verification cycle and another, or between the different verification options;
- Comparability of data generated by different organisations.

This document outlines a set of criteria to orient the assessment process and help communicate how the respective scores have been attributed and what they mean.

While verification needs to be rigorous, it needs also to be flexible in its interpretation of the CHS requirements to be applicable fairly to a wide range of organisations working in very different contexts. For example, smaller organisations may not have formal management systems in place, but show that an Organisational Responsibility is constantly reflected in practices. In a similar situation, the person undertaking the assessment needs to understand and document why the application is adequate in the apparent absence of supporting process. It is frequent that the procedures actually exist informally, but are "hidden" in other documents. Similarly, it is not the text of a requirement that is important, but whether its intent is delivered and that there are processes that ensure this will continue to be delivered under normal circumstances. The driving principle behind the scoring is that the scores should reflect the normal ("systematic" ) working practices of the participating organisation.

### What do the scores stand for?

| Score  | Key actions   | Organisation responsibilities   |
|--|---|---|
| <b>0</b>   | <ul style="list-style-type: none"> <li>• Operational activities and actions systematically contradict the intent of a CHS requirement.</li> <li>• Recurrent failure to implement the necessary actions at operational level.</li> <li>• A systemic issue threatens the integrity of a CHS Commitment (i.e. makes it unlikely that the organisation is able to deliver the commitment).</li> </ul>               | <ul style="list-style-type: none"> <li>• Policies and procedures directly contradict the intent of the CHS requirement.</li> <li>• Complete absence of formal or informal processes (organisational culture) or policies necessary for ensuring compliance at the level of the requirement and commitment.</li> </ul>   |
| <p>Score 0 means: The organisation does not work currently towards the systematic application of this requirement/commitment, neither formally nor informally. This is a major weakness to be corrected as soon as possible.</p> |   |   |
| <b>1</b>   | <p>Some actions respond to the intent behind the CHS requirement. However:</p> <ul style="list-style-type: none"> <li>• There are a significant number of cases where the design and management of programmes and activities do not reflect the CHS requirement.</li> <li>• Actions at the operational level are not systematically implemented in accordance with relevant policies and procedures.</li> </ul> | <p>Some policies and procedures respond to the intent behind the CHS requirement. However:</p> <ul style="list-style-type: none"> <li>• Relevant policies exist but are incomplete or do not cover all areas of the CHS.</li> <li>• Existing policies are not accompanied with sufficient guidance to support a systematic and robust implementation by staff.</li> <li>• A significant number of relevant staff at Head Office and/or field levels are not familiar with the policies and procedures.</li> <li>• Absence of mechanisms to ensure the monitoring and systematic delivery of actions, policies and procedures at the level of the commitment.</li> </ul> |
| <p>Score 1 means: The organisation has made some efforts towards application of this requirement/commitment, but these efforts have not been systematic. This is a weakness to be corrected.</p>                                 |   |   |

| Score  | Key actions   | Organisation responsibilities   |
|--|---|---|
| 2  | <p>Actions broadly respond to the intent behind the CHS requirement:</p> <p>Actions at operational level are broadly in line with the intent behind a requirement or commitment.</p> <p>However:</p> <ul style="list-style-type: none"> <li>• Implementation of the requirement varies from programme to programme and is driven by people rather than organisational culture.</li> <li>• There are instances of actions at operational level where the design or management of programmes does not fully reflect relevant policies.</li> </ul> | <p>Some policies and procedures respond to the intent behind the CHS requirement. However:</p> <ul style="list-style-type: none"> <li>• Relevant policies exist but are incomplete or do not cover all areas of the CHS.</li> <li>• Existing policies are not accompanied with sufficient guidance to support a systematic and robust implementation by staff.</li> <li>• A significant number of relevant staff at Head Office and/or field levels are not familiar with the policies and procedures.</li> <li>• Absence of mechanisms to ensure the monitoring and systematic delivery of actions, policies and procedures at the level of the commitment.</li> </ul> |
| <p>Score 2 means: The organisation is making systematic efforts towards application of this requirement/commitment, but certain key points are still not addressed. This is worth an observation and, if not addressed may turn into a significant weakness.</p> |   |   |
| 3  | <p>Actions respond to the intent of the CHS requirement:</p> <ul style="list-style-type: none"> <li>• The design of projects and programmes and the implementation of activities is based on the relevant policies and reflects the requirement throughout programme sites.</li> <li>• Staff are held accountable for the application of relevant policies and procedures at operational level, including through consistent quality assurance mechanisms.</li> </ul>   | <p>Policies and procedures respond to the intent of the CHS requirement:</p> <ul style="list-style-type: none"> <li>• Relevant policies and procedures exist and are accompanied with guidance to support implementation by staff.</li> <li>• Staff are familiar with relevant policies. They can provide several examples of consistent application in different activities, projects and programmes.</li> <li>• The organisation monitors the implementation of its policies and supports the staff in doing so at operational level.</li> </ul>  |
| <p>Score 3 means: The organisation conforms with this requirement, and organisational systems ensure that it is met throughout the organisation and over time.</p>   |   |   |
| 4  | <p>As 3, but in addition:</p> <ul style="list-style-type: none"> <li>• Field and programme staff act frequently in a way that goes beyond CHS requirement to which they are clearly committed.</li> <li>• Communities and other external stakeholders are particularly satisfied with the work of the organisation in relation to the requirement.</li> </ul>   | <p>As 3, but in addition:</p> <ul style="list-style-type: none"> <li>• Policies and procedures go beyond the intent of the CHS requirement, are innovative and systematically implemented across the organisation.</li> <li>• Relevant staff can explain in which way their activities are in line with the requirement and can provide several examples of implementation in different sites.</li> <li>• They can relate the examples to improved quality of the projects and their deliveries.</li> </ul>   |

| Score | Key actions  | Organisation responsibilities  |
|-------|--|--|
|       | Score 4 means: The organisation demonstrates innovation in the application of this requirement/commitment. It is applied in an exemplary way across the organisation and organisational systems ensure high quality is maintained across the organisation and over time. |  |
| 5     | As 4, but in addition: <ul style="list-style-type: none"> <li>• Actions at all levels and across the organisation go far beyond the intent of the relevant CHS requirement and could serve as textbook examples of ultimate good practice.</li> </ul>                    | As 4, but in addition: <ul style="list-style-type: none"> <li>• Policies and procedures go far beyond the intent of the CHS requirement and could serve as textbook examples of relevant policies and procedures.</li> <li>• Policy and practice are perfectly aligned.</li> </ul> |
|       | Score 5 means: On top of demonstrating conformity and innovation, the organisation receives outstanding feedback from communities and people. This is an exceptional strength and a score of 5 should only be attributed in exceptional circumstances.                   |  |