

# Trócaire

## Initial Audit – Summary Report 2022/10/11

### 1. General information

#### 1.1 Organisation

Type	Mandates	Verified	
<input checked="" type="checkbox"/> International <input type="checkbox"/> National <input type="checkbox"/> Membership/Network <input checked="" type="checkbox"/> Direct Assistance <input type="checkbox"/> Federated <input checked="" type="checkbox"/> With partners	<input checked="" type="checkbox"/> Humanitarian <input checked="" type="checkbox"/> Development <input checked="" type="checkbox"/> Advocacy	<input checked="" type="checkbox"/> Humanitarian <input checked="" type="checkbox"/> Development <input checked="" type="checkbox"/> Advocacy	
<b>Head office location</b>	Maynooth, Ireland		
<b>Total number of country programmes</b>	15	<b>Total number of staff</b>	435

#### 1.2 Audit team

<b>Lead auditor</b>	Karin Wierenga
<b>Second auditor</b>	Aninia Nadig
<b>Third auditor</b>	
<b>Observer</b>	
<b>Expert</b>	
<b>Witness / other</b>	

#### 1.3 Scope of the audit

<b>CHS Verification Scheme</b>	Certification
<b>Audit cycle</b>	First
<b>Phase of the audit</b>	Initial audit
<b>Coverage of the audit</b>	Trócaire's humanitarian, development and advocacy programmes are covered.
<b>Extraordinary or other type of audit</b>	

#### 1.4 Sampling\*

Randomly sampled country programme sites	Included in final sample	Replaced by	Rationale for sampling and selection of sites	Onsite or remote
5 - Lebanon/Syria	Yes		First random country in the selection, included as it covers humanitarian and advocacy mandates, and for its geographic coverage (Middle East).	Remote
9 - OPT	No		Second random country in the selection, not included as the Middle East region is already covered by previous selection.	
7 - Myanmar	Yes		Third random country in the selection, included for Trócaire's humanitarian work implemented by partners, and geographic coverage (Asia).	Remote
11 - Sierra Leone	No		Fourth random country in the selection. Not included as on-site visit was not possible at the	

			time of the audit due to Covid regulations – remote method not applied to allow for better geographic coverage of the sample.	
2 - Ethiopia	No		Fifth random country in the selection. Not included because of the high insecurity situation and considering the pressure the team was under during the audit period due to internal conflict.	
14 - Zimbabwe	No		Sixth random country in the selection. Similar to Sierra Leone: onsite visit was not possible due to Covid prevention measures. Remote method not applied to allow for better geographic coverage of the sample.	
8 - Nicaragua	No	Honduras	Seventh random country in the selection. Initially included. However, it was removed due to sudden country programme shut down in Nicaragua. Geographic spread maintained by choosing Honduras instead, which covers 3 mandates working through partners.	
10 - Rwanda	Yes		Eighth random country in the selection. Selected as it covers three mandates, most focus on development and advocacy, working through local partners (starting up and phasing out), and geographical spread (Africa).	Onsite
4 - Honduras	Yes		Selected to replace Nicaragua. Covers 3 mandates, working through partners and geographic spread (Central America).	Remote

**Any other sampling performed for this audit:**

HO staff sampling was done purposefully with the aim of a mix of management and staff, and to cover the content of all nine commitments. Criteria used for the selection of projects (onsite and remote) included the ability to speak to communities and partner staff, travel distance to the project sites, selection of humanitarian/development/advocacy projects, size of the projects and security situation.

**Sampling risk:**

The risk of not assessing Trócaire's work in insecure contexts is mitigated by keeping the Myanmar country programme in the selection. The remote audits were further decided along considerations of geographic spread, representativeness of the programme and feasibility of engaging CO staff in the audit.

Another element of risk mitigation in the selection methodology was to ensure countries were selected from all three of Trócaire's country categories (Fragile & Conflict affected states, Countries with human rights violations and democratic space deficits, and countries impacted by Climate Change and gender inequality). Based on our sampling methodology, which resulted in a broad geographical spread (Africa, Middle East, Asia and Central-America), a range of contexts and mandates, and work through partners (which is Trócaire's core business), we are confident that the findings and conclusions of this audit are representative of the work of Trócaire.

*\*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
Rulindo & Gakenke Districts, Matabe Sector, Rwanda	2022/03/29	Onsite
Nyaraguru & Nuamagabe Districts, Rwanda	2022/03/30 – 2022/04/01	Onsite

## 2.2 Interviews

Position / level of interviewees	Number of interviewees		Onsite or remote
	Female	Male	
<b>Head Office</b>			
Management	9	4	Remote
Staff	2	2	Remote
<b>Country Programme Office(s)</b>			
Management	3	3	Onsite/Remote
Staff	2		Onsite
Partner staff	2	13	Onsite
Others			
<b>Total number of interviewees</b>	<b>18</b>	<b>22</b>	<b>Total: 40</b>

## 2.3 Consultations with communities

Type of group and location	Number of participants		Onsite or remote
	Female	Male	
Improving Water & Land Use Management through Agro-Ecological Practices project, Partner Duhamic, Gakenke District, Women's group	10		Onsite
Improving Water & Land Use Management through Agro-Ecological Practices project, Partner Duhamic, Gakenke District, Men's group		11	Onsite
Improving Water & Land Use Management through Agro-Ecological Practices project, Partner Duhamic, Gakenke District, Community Representatives	6	4	Onsite
Effective Participation of Women in Decision-making project, Partner Gikongoro Justice & Peace Commission, (CDJP), Nyaruguru / Ruramba Sector, Women's group	10		Onsite
Effective Participation of Women in Decision-making project, Partner Gikongoro Justice & Peace Commission, (CDJP), Nyaruguru / Ruramba Sector, Men's group		10	Onsite
Effective Participation of Women in Decision-making project, Partner Gikongoro Justice & Peace Commission, (CDJP), Nyaruguru / Ruramba Sector, Community Activists group	5	5	Onsite
Improving Resilient livelihoods for rural population, especially women, Partner IPFG, Nyamagabe, Women's group	8		Onsite
Improving Resilient livelihoods for rural population, especially women, Partner IPFG, Nyamagabe, Men's group		9	Onsite
Improving Resilient livelihoods for rural population, especially women, Partner IPFG, Nyamagabe, Water & Community Governance committee	5	4	Onsite
Sustainable Food Security through Climate Change Adaptation Project, Partner Caritas Gikongoro, Nyanza District, Women's group	11		Onsite
Sustainable Food Security through Climate Change Adaptation Project, Partner Caritas Gikongoro, Nyanza District, Men's group		10	Onsite

Sustainable Food Security through Climate Change Adaptation Project, Partner Caritas Gikongoro, Nyanza District, Water Committee	6	8	Onsite
<b>Total number of participants</b>	<b>61</b>	<b>61</b>	

## 2.4 Opening meeting

<b>Date</b>	2022/01/26
<b>Location</b>	Online
<b>Number of participants</b>	17
<b>Any substantive issues arising</b>	None

## 2.5 Closing meeting

<b>Date</b>	2022/04/22
<b>Location</b>	Online
<b>Number of participants</b>	22
<b>Any substantive issues arising</b>	None

## 2.6 Programme site(s)

### Briefing

<b>Date</b>	2022/03/28
<b>Location</b>	Kigali, Trócaire office
<b>Number of participants</b>	12
<b>Any substantive issues arising</b>	None

### De-briefing

<b>Date</b>	2022/04/02
<b>Location</b>	Kigali, Manor Hotel
<b>Number of participants</b>	1 (Country Director)
<b>Any substantive issues arising</b>	None

## 3. Background information on the organisation

### 3.1 General information

Trócaire is the overseas development agency of the Catholic Church in Ireland and is active in 15 countries with both long-term development programmes and short-term humanitarian interventions. The organisation also focuses on human rights advocacy.

Trócaire describes itself as a social justice organisation working in partnership with local organisations and communities to tackle the root causes of poverty, injustice and violence and to support people to create positive and lasting change. Trócaire works on achieving social justice at four levels: Empowered individuals, Sustainable communities, Effective and Accountable institutions, and Strengthened civil society. In its 2021-2026 Strategic Plan, Trócaire focuses on countries with severe human rights deficits, fragile and conflict-affected states, and states affected by climate change and gender inequality. The Strategic Plan identifies two major shifts in Trócaire's ways of working: shifting the power (Localisation) and focus on stronger programmes and clearer understanding of contexts.

Trócaire is a signatory of the Charities Governance Code and follows the Irish Triple Lock standard on ethical fundraising, reporting and governance. It is a member of the CHS Alliance, Caritas Internationalis and Dóchas.

### 3.2 Governance and

Since 2019, Trócaire is a company limited by guarantee (CLG) with a constitution, memorandum and articles of association. Trócaire's country offices are branches of Trócaire. The company members are appointed by the Irish Episcopal Conference and approve the

**management structure**

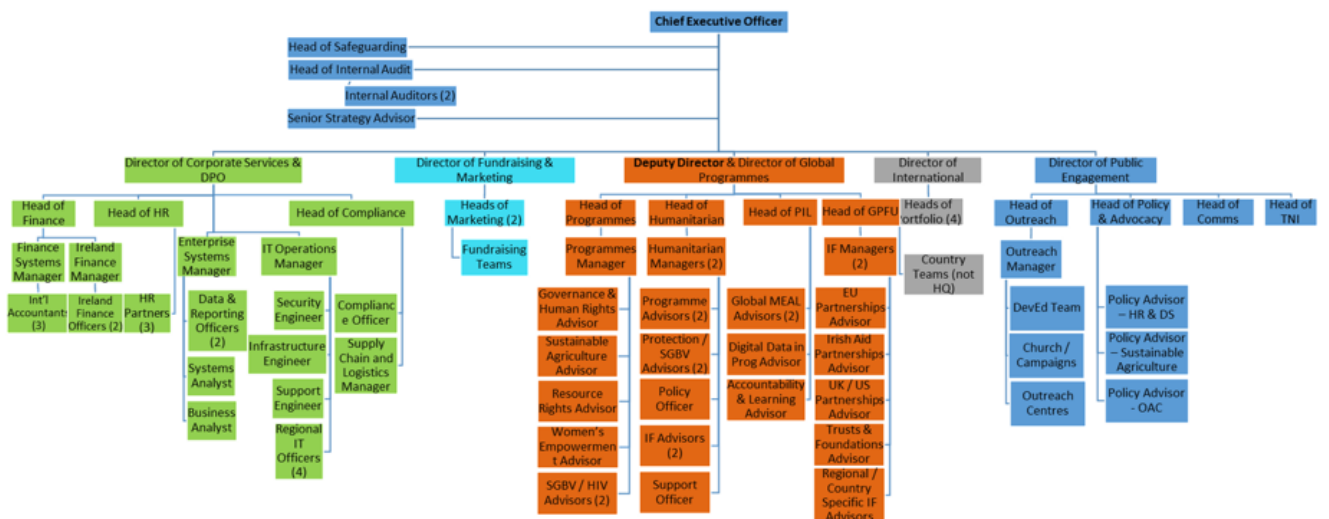
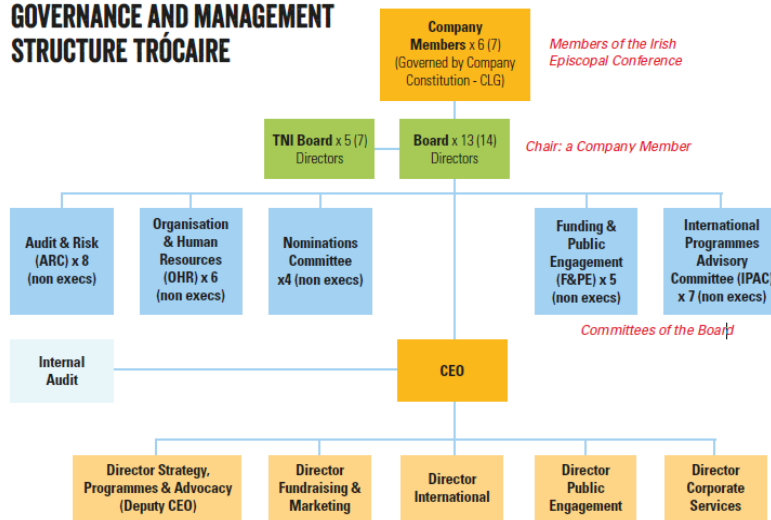
appointment of new company directors (trustees) and external auditors. Trócaire’s Board consists of thirteen non-executive directors including three ex-officio positions.

The Board is supported by five Board Committees: Audit and Risk Committee (ARC), Organisation and Human Resources, (OHR), Nominations Committee, Funding and Public Engagement (F&PE), International Programmes Advisory Committee (IPAC).

The CEO manages five directors/divisions: Global Programmes; Fundraising and Marketing; International; Public Engagement; and Corporate Services. Technical support for humanitarian and development programmes (including funding) falls under the Global Programmes Divisions, whilst line management of country offices sits with International, which is divided by portfolio, partnership, and security functions.

Under the current strategy, countries are grouped along portfolios (climate, democratic space, etc). Much organisational learning takes place within the portfolios, but also across functions, for example for Country Directors, Programme Managers, Gender Advisors etc.

**GOVERNANCE AND MANAGEMENT STRUCTURE TRÓCAIRE**



**3.3 Internal quality assurance mechanisms**

Trócaire’s internal quality assurance mechanisms and risk management approach can be best described with its “three lines of defence” model. It includes a) management control through policies and procedures, b) process risk management and internal controls, risk management and compliance functions, and c) internal audits, which independently monitor the first two lines. Trócaire is also controlled by external audits and donor audits. This full

## and risk management

approach is framed into a risk management process in line with the organisation's risk framework. This framework includes a 5x5 risk grading matrix to assess impact and likelihood of risks at all levels of the organisation. The risk matrix analyses five risk categories covering Project risk, Financial risk, Contextual risk, Partner-related risk (including Partner fraud) and Other Trócaire-related risk.

The Board has an important role in risk management and financial sustainability, and approval of selected policies such as safeguarding. It agrees annually on a formal "risk appetite statement" along risk appetite levels for a variety of activities. Specific risk responses are captured in risk registers and action plans at various organisational levels. The Audit and Risk Committee (ARC) assists the Board in determining the nature and extent of the risks it is willing to take in achieving its strategic objectives. It also reviews financial statements of Trócaire and Trócaire Northern Ireland, internal controls and internal and external audits.

Trócaire's internal audit unit focuses on governance, financial and organisational risk management and internal control processes. The Internal Auditor carries out relevant staff trainings across the organisation, The Head of Internal Audit reports directly to the ARC, and for certain matters (in particular fraud and corruption) directly to the Director of Corporate Services and the CEO.

Trócaire's International Programmes Advisory Committee (IPAC) has strategic oversight of programmes and policy, risk, impact, and funding. Trócaire's Fundraising and Public Engagement Committee (FPE) oversees the development, implementation and evaluation of the public fundraising and public engagement strategies.

Trócaire has a well-established policy management process in place, explained in the Policy Management Framework and complemented by policy communication guidelines. All policy owners need to report to the Policy Steering Committee (PSC) 9 months after publication of a policy on communications, implementation and trainings carried out. Trócaire's organisational policies are accessible through the employee handbook, global policies folder on BOX, and from the Trócaire HR focal points.

## 3.4 Work with partner organisations

Trócaire states that the empowerment of civil society through partnership is at the core of its work. The organisation works almost exclusively through partnerships, which is seen as an expression of its core values of solidarity, participation and subsidiarity<sup>1</sup>. This commitment is also reflected in Strategic Goal 7, which covers effective partnerships. Trócaire works with over 400 partner organisations.

Strategic Goal 7 translates into a strong organisational commitment to localisation (see also the Partnership and Localisation Strategy 2021-2026), whereby partnerships are seen as transformational relationships, as opposed to transactional. As a member of the Charter for Change, Trócaire makes a concerted effort to enable partners to have more agency. Trócaire recognises that localisation is a long-term process towards the stated goal of justice-oriented accountability.

Localisation receives organisational buy-in at every level, all the way up to the CEO. It is front and centre of Trócaire's Strategic Plan and led to the creation of the Nairobi-based Partnerships and Localisation Hub. The hub, created in 2021, is consulted in all key conversations, including the ELT, IDMG, full Board and CEO. Localisation trainings and webinars are carried out and can be found on BOX. Trócaire has a Partnership and Localisation Strategy and a Partnership Policy. These differentiate support to partners along programmes/projects, advocacy/networking and organisational capacity. As outlined in its Partner Financial Management Guidelines, Trócaire requires all partners to have an active and effective Board, a Strategic Plan, a financial oversight system and organisational and project-level auditing.

For its partnerships, Trócaire applies risk management processes at three levels: a) Do-no-harm and safeguarding against exploitation; b) risks to partners doing advocacy; c) risks to Trócaire adopting a partnership approach. The Partner Capacity Assessment and Support (PCAS) includes organisational governance and risk management. Risk perceptions expressed by partners themselves include financial sustainability of the organisation, safety and security of staff and communities, and a closing civil society space.

<sup>1</sup> Implement programmes / activities at the lowest possible level and closest to the people, rather than dictated from above.

## 4. Overall performance of the organisation

### 4.1 Effectiveness of the governance, internal quality assurance and risk management of the organisation

Trócaire's organisational structure and systems are solid and fully set-up to support the country teams to design and implement programmes in line with the organisational strategy and priorities. The Heads of Portfolio, based at Trócaire's Head Office, line manage the country teams and provide direction and support.

Country Management Teams have decision making authorities with regards to project approvals and strategic choices within their country strategy and are responsible for the implementation of their country programme. Quality assurance at CO level is done by monitoring and reporting, data management and analysis, quarterly review and annual review sessions with their partner organisations.

Head Office provides quality control and monitoring, support and capacity development. The organisational structure with country categorisation facilitates cross country learning.

Trócaire has online systems that provide all essential Trócaire knowledge for staff. Staff are aware of relevant quality assurance policies and procedures. Internal audit processes include country offices as well as partner organisations.

Partner management is supported by different tools and systems and implemented by country offices in different ways. The 18 Minimum requirements is the entry process that new partners have to go through and is followed up until partners comply with all requirements. The PCAS partner capacity assessment tool is under revision and is regarded too heavy by some and not always used. Risk management is done in a systematic way by CO and Partner organisations, though not always documented at the project level, which needs improvement.

### 4.2 How the organisation applies the CHS across its work

Trócaire demonstrates high commitment to quality and accountability in its work across the country programmes. Trócaire's highest levels of management are engaged in and driving organisational initiatives on quality and accountability.

Trócaire's Global Strategy commits to delivering quality rooted in the CHS in all its programming interventions. Trócaire has used the CHS for some years now as input for their Protection Mainstreaming Framework and the Humanitarian Programme Quality Benchmark tools, in particular on humanitarian programming.

Trócaire does not explicitly mention its commitment to the CHS when working with partners. CHS commitments are incorporated in frameworks and approaches that are shared and trained to partners, and part of grant agreements, such as the requirement to have complaints mechanisms, safeguarding and child protection policies. The partners included in the sample had received a training on CHS by Trócaire prior to our visit and are very knowledgeable about the CHS and Trócaire's commitment to CHS. This practice is not yet applied to all partner relationships and partner due diligence processes.

### 4.3 PSEA

Trócaire works with its partner organisations to implement strategies and guidance to prevent sexual exploitation and abuse. Safeguarding focal points are in place at CO level to monitor PSEA awareness and ensure training. Trócaire shows an organisational culture where sensitive complaints are taken seriously and are acted upon according to defined policies and procedures. The partners interviewed in this audit have a Code of Conduct and Safeguarding policies in place, and most of them have complaints handling systems, but not all, and Trócaire does not always monitor the functionality and effectiveness of the systems. Specific information regarding expected staff behaviour is not always shared with communities by Trócaire's partners. Risks to communities are assessed but the assessments are not systematically documented.

### 4.4 Localisation

Trócaire is committed to localisation. It opened a Localisation Hub in Nairobi that focuses specifically on supporting COs to work with local partner organisations. The aims are for the partners to become independent, if needed with long-term support, and building their capacity to develop proposals and acquiring donor funds. Trócaire supports partners to engage in humanitarian networks and structures, and to coordinate with local authorities. The empowerment of civil society is key throughout Trócaire's work and visible in its advocacy programmes complementing their development work to empower communities to become self-reliant and advocate for their rights with duty-bearers. In 2021, Trócaire spent 56% of its total expenditure through partners. Trócaire worked with over 400 local organisations in 2021.

### 4.5 Gender and diversity

Trócaire is committed to gender equality and diversity. A significant number of its programmes focus on empowering women in communities. This is in line with its rights-based approach which guides its programming and ensures that the most vulnerable people are targeted, including in many cases vulnerable women and girls. One focus in Trócaire's programmes is to empower women to participate in decision-making structures to advocate

for their communities' needs, as part of Trócaire's Citizen, Monitoring and Advocacy Approach. The minimum requirements for partnership funding cover gender equality within the partner. Partners collect gender and age disaggregated data to be analysed together with Trócaire MEAL or programme staff. Not all partners have a systematic way of logging and recording feedback and non-sensitive complaints. Therefore, Trócaire's understanding of information supporting its global satisfaction indicator lacks the gender and diversity components. Many of Trócaire's staff are women, across all levels of the organisation.

#### 4.6 Organisational performance against each CHS Commitment

Commitment	Strong points and areas for improvement	Feedback from communities	Average score*
<b>Commitment 1:</b> Humanitarian assistance is appropriate and relevant	<p>Trócaire has a strong commitment to impartial assistance and inclusion of vulnerable groups. Context and need assessment processes are systematically implemented. Projects are designed and implemented to meet those needs. Projects are periodically reviewed together with partners and adapted to changing needs and circumstances. Targeting criteria and selection of project participants are set jointly with community representatives and local government.</p> <p>Risk analysis, while developed at country programme level, is not always performed systematically for all projects.</p>	Communities confirm that Trócaire focuses on the most vulnerable people in their communities. Community representatives take part in the process to identify needs, capacities, vulnerabilities and priorities.	2.7
<b>Commitment 2:</b> Humanitarian response is effective and timely	<p>Trócaire structurally undertakes stakeholder and vulnerability assessments that facilitate the identification of constraints and capacity gaps of communities. Activities, outputs, and outcomes are systematically monitored, and include disaggregated data. Technical standards are used. Flexible funds are available to provide rapid response in emergencies. Trócaire maintains close working relationships with other agencies and local authorities, which allow the referral of unmet needs to relevant organisations. The systems and procedures facilitate timeliness and effectiveness.</p>	Communities express satisfaction with the timing of Trócaire and their partners' response activities, with good use of volunteer community committees. Communities report that they have ownership over the activities and representatives participate in monitoring and evaluation processes.	2.9
<b>Commitment 3:</b> Humanitarian response strengthens local capacities and avoids negative effects	<p>Trócaire programmes are built on local capacities and work to build sustainable and resilient communities and people affected by crisis. Systemic change is pursued through combining different strategies of poverty reduction, governance building and advocacy. There is a strong commitment to safe programming and the prevention of negative effects including PSEAH. Project phasing out and exit strategies are generally in place, embedded in annual project plans.</p> <p>Risks are considered, but not systematically documented and revisited throughout the project cycle. Protection of sensitive personal information is taken seriously by Trócaire and partners, and supported by digital systems, but needs more follow up in partner management.</p>	Communities testify that they have gained empowerment and opportunities for future income generation and livelihoods thanks to the support of Trócaire and partners in building their capacities, including in governance and advocacy to meet their future needs.	2.6
<b>Commitment 4:</b> Humanitarian	Trócaire promotes a culture of open information sharing and has integrated this requirement in	Community groups say they understand who Trócaire and	2.1



<p>response is based on communication, participation and feedback</p>	<p>its key policies and guidelines. Community engagement is well established, and so is the requirement to invite feedback from affected communities. External communications are ethical – which is not as strongly rooted in partners' ways of working.</p> <p>However, the requirements for information sharing are not as strong for the development programmes as for the humanitarian ones, and Trócaire does not ensure that all partners (including for development programmes) consistently share project and staff information. Where the information is shared, it is not always in suitable formats.</p> <p>Also, Trócaire does not ensure that communities' feedback and non-sensitive complaints are consistently documented.</p>	<p>their partners are, and how to give feedback on the projects.</p>	
<p><b>Commitment 5:</b> Complaints are welcomed and addressed</p>	<p>Trócaire has a strong safeguarding and complaints handling approach. It trains all partners on the importance of safeguarding. The referral system of sensitive cases is well integrated.</p> <p>However, Trócaire does not consult communities on the preferred ways to provide feedback and complaints, and not all of Trócaire's partners have a functioning and documented complaints mechanism in place.</p>	<p>Communities state that they know what to expect from Trócaire and partner staff's behaviour. Some of them indicate that they prefer lodging complaints with local authorities rather than the partner organisation.</p>	2.0
<p><b>Commitment 6:</b> Humanitarian response is coordinated and complementary</p>	<p>Trócaire's ambition is to develop its partnership approach into a model of meaningful localisation where power is shifted to local organisations. Trócaire provides funding, technical support on project implementation, and organisational capacity support to empower local organisations, as well as networking and advocacy support.</p> <p>Digital systems support country offices in partner management. Trócaire has a strong commitment to ensure that assistance is coordinated and complementary to local structures. Trócaire shares information through formal and informal coordination mechanisms and is an active member of the cluster system at various levels.</p> <p>Trócaire assesses the capacity of its partner organisations at the start of the partnership and supports the capacity development of its partners in many ways, though not always with the use of Trócaire's own formats.</p>	<p>Communities observe no duplication between Trócaire and partner activities and those of other organisations active in the area.</p>	2.7
<p><b>Commitment 7:</b> Humanitarian actors continuously learn and improve</p>	<p>Trócaire has evaluation and learning policies in place and is currently revising its MEAL policy. Current MEAL processes encourage systematic processes for reflection and learning built into project design and implementation. Trócaire internal systems enable learning and sharing of knowledge. Trócaire and partners share learning with communities. Projects are adapted and improved based on beneficiary feedback. Proposals include reflections on previous learning, taking this into account.</p>	<p>Communities report seeing improvements made to projects based on feedback.</p> <p>They also report good engagement with Trócaire and partner staff and involvement in learning sessions.</p>	2.5

	Evaluations generate a management response. Trócaire engages in many external evaluations and reviews of its work. Systematic, documented learning from programmatic feedback and complaints is not yet in place.		
<b>Commitment 8:</b> Staff are supported to do their job effectively, and are treated fairly and equitably	Trócaire puts a lot of effort into developing a strong and supportive HR system, focusing on robust staff capacity and capability (including staff and partner training), as well as staff wellbeing. Recruitment processes are structured and include a strong focus on safeguarding. They comply with local employment laws. Staff policies are fair, compliant and transparent. The staff CoC is signed and known by HO and CO staff. Partners are supported in developing their own CoC or use Trócaire's. Initiatives like "Speak Up" or the "Be Well" programme that focus on key organisational values, are not always contextualised on country level. Staff workload is a persistent issue, the CoC is not systematically made known to local staff that may not speak one of the official languages, and training efforts do not focus enough on individual training needs.	Communities consistently state that Trócaire and partner organisations have competent, skilled and respectful staff.	2.4
<b>Commitment 9:</b> Resources are managed and used responsibly for their intended purpose	Trócaire has a strong organisational system for collecting, processing, and interpreting project information and data. This includes financial oversight of partner projects and procurement. Fraud and corruption risks are prevented through strong control systems and addressed where they occur. Financial oversight is assured through rigorous financial reporting and controls. Environmental sustainability is included in projects where relevant. Internal and external auditing functions well and includes a continuous risk analysis at Country Office and partner levels.	Communities state that the partner organisations are not being wasteful, that they mostly share budget information and that where the projects have an environmental component,	2.7

\* *Note:* Average scores are a sum of the scores per commitment divided by the number of indicators in each Commitment, except when one of the indicators of a commitment scores 0 or if several scores 1 on the indicators of a Commitment lead to the issuance of a major non-conformity/ weakness at the level of the Commitment. In these two cases the overall score for the Commitment is 0.

## 5. Summary of non-conformities

Corrective Action Requests (CAR)	Type	Resolution due date	Date closed out
2022-3.6: Trócaire does not ensure that its partners systematically identify and act upon potential or actual unintended negative effects.	Minor	2025/05/24	
2022-4.4: Trócaire does not ensure that partners systematically facilitate and record feedback from communities on their level of satisfaction, paying attention to the diversity of those giving feedback	Minor	2025/05/24	
2022-5.1: Trócaire does not systematically consult communities on the design of complaints handling processes.	Minor	2025/05/24	

2022-5.4: Trócaire does not ensure that all its partners have a functioning and documented complaints handling process in place.	Minor	2025/05/24	
<b>Total Number</b>	<b>4</b>		

\* *Note: The CARs are completed by the audit team based on the findings. The audited partner is expected to respond with a Management Response for each CAR to HQAI before a certificate is issued (reference: HQAI Procedure PRO114).*


## 6. Sampling recommendation for next audit

<b>Sampling rate</b>	<p>Based on the standard HQAI sampling rate, and assuming the number of Country Programmes in scope does not change, it is recommended that 3 country programmes are included in the Maintenance Audit (MA).</p> <p>In South Sudan, Trócaire has one joint office with CAFOD and SCIAF. This country programme was not considered for sampling in this audit as it is CAFOD-led (systems, policies and staff), with global technical support and funding provided from all three agencies in partnership. Consideration should be given to extraordinary working arrangements with sister agencies such as South Sudan.</p>
<b>Specific recommendation for selection of sites</b>	<p>The projects visited onsite for this audit were in its majority development projects, we recommend therefore to focus in priority on humanitarian projects in the next site visits.</p>

## 7. Lead auditor recommendation

In our opinion, Trócaire has demonstrated that it conforms with the requirements of the Core Humanitarian Standard on Quality and Accountability.


We recommend certification.

<p><b>Name and signature of lead auditor:</b></p>  <p>Karin Wierenga</p>	<p><b>Date and place:</b></p> <p>24<sup>th</sup> May 2022</p> <p>Deventer, The Netherlands</p>
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## 8. HQAI decision

<p><b>HQAI decision:</b></p>	<p><input checked="" type="checkbox"/> Certification preconditioned to the provision of a management response</p> <p><input type="checkbox"/> Certification preconditioned to the closure of Major CAR</p>
<p>Management response expected by: 2022/09/01</p>	
<p><b>Name and signature of HQAI Executive Director:</b></p>  <p>Joost Mönks</p>	<p><b>Date and place:</b></p> <p>July 20<sup>th</sup> 2022, Geneva</p>
<p><b>Final decision on certification:</b></p>	<p><input checked="" type="checkbox"/> Issued</p> <p><input type="checkbox"/> Refused</p>
<p>Start date of the certification cycle: 2022/10/11</p> <p>Next audit before 2023/10/11</p>	
<p><b>Name and signature of HQAI Executive Director:</b></p>  <p>Joost Mönks</p>	<p><b>Date and place:</b></p> <p>11<sup>th</sup> October 2022, Geneva</p>

## 9. Acknowledgement of the report by the organisation

<b>Space reserved for the organisation</b>	
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
<b>Acknowledgement and Acceptance of Findings:</b> 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
<b>Name and signature of the organisation's representative:</b>   1A380940B8E04BA...  Caoimhe de Barra, CEO of Trócaire	<b>Date and place:</b>  19/8/2022   09:04 BST  Maynooth, Co. Kildare, Ireland

## 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\*

Scores	Meaning: for all verification scheme options	Technical meaning for all independent verification and certification audits
0	Your organisation does not work towards applying the CHS commitment.	<p><b>Score 0:</b> indicates a weakness that is so significant that the organisation is unable to meet the commitment. This leads to:</p> <ul style="list-style-type: none"> <li>• <b>Independent verification:</b> major weakness;</li> <li>• <b>Certification:</b> major non-conformity, leading to a major corrective action request (CAR) – No certificate can be issue or immediate suspension of certificate.</li> </ul>
1	Your organisation is making efforts towards applying this requirement, but these are not systematic.	<p><b>Score 1:</b> indicates a weakness that does not immediately compromise the integrity of the commitment but requires to be corrected to ensure the organisation can continuously deliver against it. This leads to:</p> <ul style="list-style-type: none"> <li>• <b>Independent verification:</b> minor weakness</li> <li>• <b>Certification:</b> minor non-conformity, leading to a minor corrective action request (CAR).</li> </ul>
2	Your organisation is making systematic efforts towards applying this requirement, but certain key points are still not addressed.	<p><b>Score 2:</b> indicates an issue that deserves attention but does not currently compromise the conformity with the requirement. This leads to:</p> <ul style="list-style-type: none"> <li>• <b>Independent verification and certification:</b> observation.</li> </ul>
3	Your organisation conforms to this requirement, and organisational systems ensure that it is met throughout the organisation and over time – the requirement is fulfilled.	<p><b>Score 3:</b> indicates full conformity with the requirement. This leads to:</p> <ul style="list-style-type: none"> <li>• <b>Independent verification and certification:</b> conformity.</li> </ul>
4	Your organisation's work goes beyond the intent of this requirement and demonstrates innovation. It is applied in an exemplary way across the organisation and organisational systems ensure high quality is maintained across the organisation and over time.	<p><b>Score 4:</b> indicates an exemplary performance in the application of the requirement.</p>

\* Scoring Scale from the CHSA Verification Scheme 2020