

Audit Summary Report Of HAP 2007 Standard

Application Organisation Information

Organisation:	Christian Aid	Audit Ref / No:	E007/0609-H
Location:	London, UK Dublin, Ireland Ouagadougou, Burkina Faso Delhi, India	Head Office/Field Site:	Head Office Head Office Field Site Field Site
Auditor (s):	Sheryl Haw Chief Auditor, HAP Katharina Samara Director, Regulatory Services	Date (s):	1 st - 5 th June 2009 (Head Office) 3 rd - 7 th August 2009 (India) 14 th -18 th September 2009 (Burkina Faso)
Agency Representative:	Juliet Parker Sajjad Mohammad Sajid Philippe Bassinga	Role of Representative	Emergency Officer, London Regional Emergency Officer, India Programme Officer, Burkina Faso

Methodology

The scope of the Christian Aid audit was:

- Head Office – based in London, England and Dublin, Ireland– through on site audit.
- Programme Sites – working in 48 countries, with 34 country / regional offices. Field sites selected: India and Burkina Faso
- Self-assessments received from all 15 out of 34 offices.

Note: The certification audit covers all Christian Aid activities, including humanitarian, development and advocacy work.

The audit comprised of the following actions:

Phase One: Document Review

Documents of processes and policies presented by Christian Aid in support of their accountability and compliance statement.

Phase Two: On Site Audit at Head Office in both London and Dublin

Document verification and interviews with Head Office staff took place from 1st - 5th June 2009

Phase Three: On Site Audit in Selected Field Sites: India and Burkina Faso

Document verification and interviews with Field Office staff, Partners and beneficiaries took place from 3rd - 7th August 2009 in India and 14th-18th September 2009 in Burkina Faso.

Phase Four: Review of Self Assessments received from All Field Sites

A summary analysis was reviewed from self-assessments carried out by country and regional offices.

This report covers the combined summary findings of all four phases, including both field visits. The detailed findings reports compiled by the independent auditor and the Director Regulatory Services and the corrective action requests make up the full audit report.

Outcome

The HAP chief auditor conducted an audit of Christian Aid in relation to its compliance to the HAP 2007 Accountability and Quality Management Standard, with general oversight and assistance with the Burkina Faso audit from the HAP Director, Regulatory Services. The audit began on the 1st June 2009 at Head Office and finished on 18th September 2009 in Burkina Faso.

The Christian Aid Board and the Senior Management provided evidence to support the Application for Certification. Our opinion is based on the evidence provided, the interviews carried out and the observation of practice noted during the audit visits. We confirm that we meet the formal requirements for HAP auditors concerning professional competence and independence.

The audit was conducted in accordance with the HAP approved procedures and conforms to the ISO 19011:2002 Auditor Standard. Together the procedures and Standard require that an audit obtain reasonable assurance that the agency complies with the HAP Standard. The auditors have audited the agency on a sample test basis through an examination of documentary evidence provided and through interviews with Christian Aid staff at the London and Dublin Head Offices and in the operations in India and Burkina Faso. We interviewed staff from Christian Aid partners in India and Burkina Faso, and met with beneficiaries from project sites in India and Burkina Faso, where interviews were held with focus groups of persons of concern as well as individual programme participants. In addition, the Chief Auditor reviewed the self-assessment statements submitted by country and regional programme offices. In our opinion, the audit process and findings provide a reasonable basis for my opinion.

In my opinion the agency is in compliance with the HAP 2007 Standard; the findings are summarised in the auditor's report, the Head Office, Field Site and Self-assessment Findings Reports.



Summary Report Compiled by Sheryl Haw, Chief Auditor and Katharina Samara, Director, Regulatory Services
HAP International

15th November 2009

Summary Findings

CAR: Corrective Action Request

Date: Deadline for providing a Corrective Action Response that demonstrates what actions have been undertaken to rectify the minor or major non-compliance identified.

HAP Standard	Head Office		Field Sites – India and Burkina Faso		Self Assessments
	MAJOR	MINOR	MAJOR	MINOR	Opinion
Benchmark 1		<u>Requirement 1.2:</u> accountability statement implementation plan missing CAR: 14 March 2010		<u>Requirement 1.2:</u> management system does not consistently enable accountability commitments CAR: 14 June 2011	Country offices have corporate accountability framework but no contextualised accountability framework.
Benchmark 2		<u>Requirement 2.1:</u> information about accountability commitments, progress reports and complaints procedures limited CAR: 14 June 2011		<u>Requirement 2.1:</u> consistent provision of required information is limited CAR: 14 June 2011 <u>Requirement 2.2:</u> quality assurance of partners to ensure information about selection criteria and deliverables is accessible to stakeholders is limited CAR: 14 June 2011	Information provision plans need to be formalised.
Benchmark 3		<u>Requirement 3.3:</u> limited participation in monitoring and evaluation; specific planning needed CAR: 14 June 2011		<u>Requirement 3.2:</u> enabling of participation throughout the project cycle requires strengthening CAR: 14 June 2011	Quality assurance processes need to be strengthened
Benchmark 4		<u>Requirement 4.2:</u> staff awareness and application of the accountability statement limited CAR: 14 June 2011		<u>Requirement 4.2:</u> staff not aware of specific responsibilities and the relevance of accountability and quality commitments made by Christian Aid CAR: 14 June 2011	Increase staff awareness of accountability framework requirements.
Benchmark 5		<u>Requirement 5.1:</u> Demonstrate that consultation has commenced amongst stakeholders regarding complaints procedures and contextualisation by group / region. This must include: <ul style="list-style-type: none"> • Specified area(s) where consultation has been 		<u>Requirement 5.1:</u> formal consultation and contextualisation of complaints procedures is required CAR: 14 December 2010 <u>Requirement 5.2:</u> procedures are in place but needs to be	Formalise and consistently apply complaints response procedures.

		<p>undertaken</p> <ul style="list-style-type: none"> Roll-out plan to ensure consultation occurs with stated stakeholders. Guideline or policy that ensures continuity and consistency in future programmes <p>CAR: 14 March 2010</p> <p><u>Requirement 5.2</u> Demonstrate that complaints handling procedures are documented and accessible to relevant stakeholders. Demonstrate that CRMs have been established (commenced) and a roll-out plan to extend to all Christian Aid sites / stakeholders defined. CAR: 14 March 2010</p> <p><u>Requirement 5.3:</u> absence of implementation of roll-out plan for raising awareness of CRMs and how to use them CAR: 14 March 2010</p> <p><u>Requirement 5.4:</u> record keeping procedures and analysis of complaints not described CAR: 14 June 2011</p>		<p>operationalised CAR: 14 December 2010</p> <p><u>Requirement 5.3:</u> implement awareness raising activities CAR: 14 December 2010</p> <p><u>Requirement 5.4:</u> not possible to test until complaints system fully implemented CAR: 14 June 2011</p>	
Benchmark 6		<p><u>Requirement 6.2:</u> implementation plan for monitoring partners with regard to accountability commitments limited CAR: 14 June 2011</p>		<p><u>Requirement 6.2:</u> partners are not consistently monitored against agreed accountability commitments CAR: 14 June 2011</p>	Increase partners' awareness of the Christian Aid accountability framework and relevance to their work.
					Improvement plan for all (34) country offices required. CAR: 14 December 2010
Total	0	7	0	10	15 / 34 = 44%