

Audit Summary Report Of HAP 2007 Standard

Application Organisation Information

Organisation:	CAFOD Catholic Agency for Overseas Development	Audit Ref / No:	E006/0409-H
Location:	London, UK Maputo & Massingir, Mozambique	Head Office/Field Site:	Head Office Field Site
Auditor (s):	Sheryl Haw Chief Auditor, HAP	Date (s):	21 st to 23 rd April 09 17 th to 22 nd May 09
Agency Representative:	Claire Goudsmit Anne Bouckaert	Role of Representative	Quality and Accountability, Humanitarian Support Department, London Country Representative. Mozambique

Methodology

The scope of the CAFOD audit was:

- Head Office, London, England – through an on site audit.
- Programme Sites – CAFOD is working in 62 countries, with 10 country / regional offices. Programme site selected: Mozambique.
- Self-assessments were received from all 10 offices.

Note: This quality assurance certificate covers all CAFOD activities, including humanitarian, development and advocacy work.

The audit comprised of the following:

Phase One: Document Review

CAFOD submitted documents outlining processes and policies in support of their accountability framework.

Phase Two: On Site Audit at Head Office

The auditor verified all disclosed documents and interviewed Head Office staff from 21st to 23rd April 2009

Phase Three: On Site Audit in Selected Programme Site

From 17th to 22nd May 2009, the auditors visited two Mozambique programme sites where they verified documents and interviewed Programme Office staff, Partners and Beneficiaries.

Phase Four: Review of Self Assessments received from All Programme Office Sites

The auditor made a summary analysis after reviewing all the self-assessments carried out by country and regional offices.

This report includes the audit findings from of all four phases and the corrective action requests. A full audit report has been made available to CAFOD. It includes a detailed findings report compiled by the independent auditor incorporating the corrective action requests from the HAP Certification & Accreditation Board.

Outcome

The auditor conducted a quality assurance audit of CAFOD in relation to its implementation of the *HAP 2007 Humanitarian Accountability and Quality Management Standard* (henceforth referred to as the HAP 2007 Standard). The audit was carried out between 21st April 09 and 22nd May 09.

The evidence provided in support of the Application for Certification is the responsibility of the Board and the Senior Management of CAFOD. It is the auditor's responsibility to express an opinion on the evidence provided, the interviews carried out and the observation of practice noted during the audit. I confirm that I meet the formal requirements for HAP auditors concerning professional competence and independence.

The audit was conducted in accordance with the procedures outlined by the HAP Regulatory Services guidelines, and following the ISO 19011:2002 Auditor Standard, which together require that an audit be planned and performed to obtain reasonable assurance that the agency is in compliance with the HAP 2007 Standard. I have audited the agency on a sample test basis through an examination of documentary evidence and through interviews with CAFOD staff at Head Office and at the Mozambique office. I interviewed staff from four of CAFOD's partners in Mozambique, and met and interviewed people from affected communities at two project sites. In addition, I reviewed the self-assessment statements submitted by country and regional programme offices. I believe that the audit provides a reasonable basis for my opinion.

In my opinion, CAFOD has demonstrated a sufficient level of compliance with the HAP 2007 Standard.

Summary Report Compiled by Sheryl haw
Chief Auditor
HAP International

15th July 2009

The Certification and Accreditation Review Board (CARB) met on the 1st September to review the reports and recommendations made by the HAP Regulatory Services Team.

After due consideration the CARB awarded CAFOD the Quality Assurance Certification of Compliance with the HAP 2007 Humanitarian Accountability and Quality Management Standard.

Date of Certification:	1 st September 2009
Mid Term Progress Audit:	1 st February 2011
Re-certification Date:	31 st August 2012

Nicholas Morris

Signed
Date: 1st September 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 <i>Non-Compliances</i>	Head Office		Field Site(s)		Self Assessments
	MAJOR	MINOR	MAJOR	MINOR	Opinion
Benchmark 1		Requirement 1.2 CAR: 01/04/10		Requirement 1.1 CAR: 01/04/10 Requirement 1.2 CAR: 01/04/10	Country offices have corporate accountability framework, not contextualised.
Benchmark 2		Requirement 2.1 CAR: 31/08/10 Requirement 2.2 CAR: 31/08/10		Requirement 2.1 CAR: 31/08/10 Requirement 2.2 CAR: 31/08/10	Information provision plans to be formalised.
Benchmark 3				Requirement 3.2 CAR: 01/01/11	Quality assurance processes to be strengthened
Benchmark 4		Requirement 4.2 CAR: 01/01/11		Requirement 4.2 CAR: 31/08/10	Increased staff awareness of accountability framework requirements
Benchmark 5		Requirement 5.1 CAR: 01/12/09 CAR: 01/01/11 Requirement 5.2 CAR: 01/12/09 CAR: 01/01/11 Requirement 5.3 CAR: 31/08/10 Requirement 5.4 CAR: 01/01/11		Requirement 5.1 CAR: 01/12/09 CAR: 01/01/11 Requirement 5.2 CAR: 01/12/09 CAR: 01/01/11 Requirement 5.3 CAR: 01/12/09 CAR: 01/01/11 Requirement 5.4 CAR: 01/12/09 CAR: 01/01/11	Formalise and consistent application of complaints response processes required.
Benchmark 6		Requirement 6.2 CAR: 31/08/10		Requirement 6.2 CAR: 01/01/11	Increased partners awareness of accountability framework and relevance to their work
Total	0	9	0	11	100% Submission