

Audit Report

Of HAP 2007 Standard

Summary Findings

Application Organisation Information

Organisation:	Danish Refugee Council (DRC)	Audit Ref / No:	E002/0307-HAP
Location:	Copenhagen North Caucasus (NC)	Head Office/Field Site:	Head Office Field Site
Auditor:	Sheilagh Henry Abhijit Bhattacharjee	Date (s):	21 st to 23 rd March 2007 13 th to 20 th April 2007
Agency Representative:	Peter Klansoe Neils Benzten Maud Johansson	Role of Representative	Policy & Programme Support Unit Country Director NC

Methodology

The scope of the Danish Refugee Council's (DRC) Audit was:

- The Head Office International Programmes – based in Copenhagen, Denmark – through on site audit
- The Field Site Operations (16 country / regional programmes) – through self assessment audit
- The Sample Field Site – North Caucasus Programme – a combination of remote / on site auditing
- The Demining Group – through head office on site audit.

The audit comprised of the following approaches:

Phase One: Document Review

Documents of processes and polices presented by DRC in support of their compliance statement.

Phase Two: On Site Audit at Head Office

Document verification and interviews with Head Office staff took place between 21st and 23rd March.

Phase Three: On Site Audit in Selected Field Site

Due to security access was restricted just prior to the travel to the site. Document review was therefore undertaken remotely. Interview with staff were held via conference calls between 13th and 20th April.

On site observation and verification of good practice took place in May 2007 during subsequent external evaluation.

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

A summary analysis was compiled of responses received from self-assessment carried out by all country managers.

This report covers the combined summary findings of all four phases. The detailed findings report compiled by the independent auditors coupled with corrective action requests combine to make the full audit report.

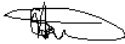
Outcome

The audit comprising two certified auditors and the certification manager of the HAP 2007 Humanitarian Accountability and Quality Management Standard, audited Danish Refugee Council (DRC) in relation to its conformity with the HAP 2007 Standard. The audit was carried out between 20th March to 20th April 2007, with a final verification field visit take in May 2007.

The evidence provided in support of the Application for Certification is the responsibility of the Board and the Senior Management of the Danish Refugee Council. Our responsibility is to express an opinion both on the evidence provided and the interviews carried out during the audit. We confirm that we all meet the formal requirements for HAP auditors concerning professional competence and independence.

Our audit was conducted in accordance with the procedures approved by the HAP Certification and Accreditation Review Board, and following the ISO 19011:2002 Auditor Standard, which together require that an audit be planned and performed to obtain reasonable assurance about whether the agency is in conformity with the HAP Standard. We have audited the agency on a sample test basis through an examination of documentary evidence disclosed and through interviews with DRC staff involved in the Head Office and North Caucasus humanitarian operations. Coupled to this a review of 16 self assessment statements taken from the country / regional Programmes were considered. We believe that the audit provides a reasonable basis for our opinion.

In our opinion the agency is in compliance with the HAP 2007 Standard, with findings summarised in the auditor's report, the Head Office and North Caucasus Findings Reports.



Summary Report Compiled by Sheryl haw
Certification Manager
HAP International

20th May 2007

Audit Team

Sheryl Haw – Chief Auditor, Reg. No: 0307007

Sheilagh Henry – Auditor, Reg. No: 0307002

Abhijit Battacharjee – Auditor, Reg. No: 0307001

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-Compliance</i>	Head Office		Field Site(s)	
	MAJOR	MINOR	MAJOR	MINOR
Qualifying Norms		Qualifying Norm 4 CAR: 24/01/08		Qualifying Norm 4 CAR: 24/01/08
Benchmark 1		Requirement 1.2 CAR: 24/10/08		Requirement 1.2 CAR: 24/10/08
Benchmark 2		Requirement 2.1 CAR: 24/10/08		
Benchmark 3		Requirement 3.2 CAR: 24/10/08		
Benchmark 4		Requirement 4.2 CAR: 24/10/08		Requirement 4.2 CAR: 24/10/08
Benchmark 5		Requirement 5.5 CAR: 24/10/08		Requirement 5.5 CAR: 24/10/08
Benchmark 6		Requirement 6.1 CAR: 24/10/08 Requirement 6.2 CAR: 24/10/08		Requirement 6.2 CAR: 24/10/08
Total	0	8	0	5

Major Non Compliance: this will result in a delay in the recommendation for certification process, which can only proceed once the correction actions have been met and verified.

A major non-compliance could be due to a number of reasons such as:

- Complete absence of a procedure as noted in the Standard
- A series of minor non-conformances all focused on the same element of the standard
- A serious violation of qualifying norms and/or humanitarian principles
- A clear lack of control on some key management issues
- Immediate dangers for the beneficiaries or for the quality of the service to the beneficiaries
- A Minor detected in a previous audit not addressed within the specified time
- False Declarations

Minor Non Compliance: this will not result in a delay of the recommendation for certification but will require corrective action within a specified time frame.

A minor non-compliance could be due to a number of reasons such as:

- Failure to implement management system policy / guidelines systematically
- Incomplete key documents / records
- Oversight