

# Certification Summary Audit Report of HAP 2007 Standard

## Application Organisation Information

<b>Organisation:</b>	Sungi Development Foundation	<b>Audit Ref / No:</b>	AS011/0311H
<b>Location:</b>	Abbottabad, Nowshera /Charsadda and Islamabad	<b>Head Office/Programme Site:</b>	Head office and programme site
<b>Auditor (s):</b>	Coleen Heemskerk, Regulatory Services and Audit Officer  Naveed UI Haq Mirza Trainee	<b>Date (s):</b>	14 -17 February 2011
<b>Sungi Representative:</b>	Dr Manzoor Ahmed Awan	<b>Role of Representative</b>	Director Program (Operations)/HAP focal point

## Background

The Sungi Development Foundation (Sungi), a Pakistan NGO, was founded in 1989 by the late Omar Asghar Khan. It is a rights-based development and humanitarian organisation based in Abbottabad, Pakistan (registered in 1990). Initially, it focused on research, advocacy and consulting to help raise the rural poor's awareness about human rights in Pakistan's Khyber Pakhtunkhwa Province (formerly known as North-West Frontier Province). Sungi has since expanded its scope to humanitarian and development work. It aims to reduce poverty, improve the quality of life of the poor and promote good governance by mobilizing people; influencing government policies, systems and structures but not to take role of the government. Sungi's role is one of a facilitator for the communities, to take their initiatives to lead to positive change.

## Methodology

Sungi applied for HAP certification and the head office and programme sites audit took place from 14<sup>th</sup> to 17<sup>th</sup> February 2011. Sungi achieved certification on 11 April 2011.

The audit comprised of the following phases:

- Phase 1, document review: *Documents of processes and policies presented by Sungi in support of their accountability and compliance statement.*
- Phase 2, review of programme site summary reports received. *A summary analysis was reviewed from the 3 completed programme site surveys.*
- Phase 3, on site audit at head office and programme sites in Abbottabad, Nowshera / Charsadda and Islamabad. *Document verification and interviews with head office and programme site staff, partners and disaster survivors took place.*

This report covers the combined summary findings of all three phases. The detailed findings report compiled by the HAP Regulatory Services and Audit Officer, Coleen Heemskerck, and HAP Trainee Auditor, Naveed Ul Haq Mirza, make up the full audit report.

## Findings

We, as the HAP Regulatory Services and Audit Officer and HAP Trainee Auditor audited the Sungi to examine its conformity with the HAP Standard. The audit was carried out from 14-17 February 2011.

The Board and Senior Management of Sungi are responsible for the evidence provided in support of on-going compliance with the HAP Standard and the implementation of commitments outlined in the Sungi Accountability Framework. The audit team's responsibility is to express an opinion both on the evidence provided, the interviews carried out and the practice observed during the audit.

The certification 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 in a manner that gives reasonable assurance about an agency's compliance with the HAP Standard.

We have audited Sungi on a sample test basis through an examination of documentary evidence disclosed and through interviews with Sungi staff, partners and beneficiaries. We believe that the audit provides a reasonable basis for our opinion.

In our opinion, Sungi conforms with the requirements of the HAP Standard, with 4 minor-non compliances and several recommendations. Detailed findings are laid out in the rest of this report.



Summary Report compiled by Coleen Heemskerk, the HAP Regulatory Services, HAP International.  
11 April 2011

## Summary Table of Findings

*ACA: Agreed corrective action*

*Timeframe: Deadline for providing a response to the ACA that demonstrates what actions have been undertaken to rectify the minor and major non-compliance identified.*

HAP Standard	Head Office	
Qualifying Norms	Met	
Covenant	Met	
Non-Compliances	MAJOR	MINOR
Benchmark 1		<p>ACA Requirement 1.2: Develop and implement a systems approach, document knowledge and control and risk management procedures for the humanitarian quality management system (HQMS). The revised processes must ensure full implementation of the humanitarian accountability framework (HAF).</p> <p><b>Timeframe: 31 October 2012</b></p>
Benchmark 2		<p>ACA Requirement 2.1: Provide documentation on the Sungi HAF that is accessible and comprehensible for beneficiaries.</p> <p><b>Timeframe: 31 October 2012</b></p>
Benchmark 3		
Benchmark 4		<p>ACA Requirement 4.2: Demonstrate that programme staff know the relevance and importance of the HAF and HQMS and understand their responsibilities in implementing the HAF.</p> <p><b>Timeframe: 31 October 2012</b></p>
Benchmark 5		<p>ACA Requirement 5.5: Demonstrate staff complaints are filed and tracked in a manner that ensures an effective and safe complaints handling procedure.</p> <p><b>Timeframe: 31 October 2011</b></p>
Benchmark 6		
Total	0	4

## Audit Key

**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

**Exoneration:** this is when, due to the context of the location audited, a justifiable and up to date explanation has been given by the Sungi as to why a benchmark / requirement has not been met – rationale should be based on the humanitarian accountability principles in the Covenant.

**Recommendation:** This is a non-binding improvement proposition given by the auditor that if not addressed could weaken the Sungi's humanitarian accountability and quality management assurance.

**Observation:** An observation is the value added input an auditor can give to draw the Sungi's attention to issues noted during the audit that could impact the Sungi either negatively or positively. It captures both observed good practice and areas where improvement should be looked into.