

**STD014 - HQAI Initial CHS Self-Assessment Tool**

# **I. Scope of this tool**

This tool is to be used by organisations undertaking a self-assessment against the CHS as a first step in any third-party quality assurance process with HQAI.

**Please note:** Consistency between this HQAI CHS self-assessment and the ADM143 – Audit Map of Documents should be ensured. See GUI125 and GUI126 for guidance and information about the documents requested for the audit.

# II. References

The following reference documents complement this tool:

HQAI ADM143 – Audit Map of Documents

HQAI GUI103 – Manual for Organisations

HQAI GUI125 – HQAI CHS Self-assessment Manual

HQAI GUI126 – Information Management Guidelines

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1. General information

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| --- | --- |
| **Name of organisation:**  |  |
| **Date period of self-assessment:**  | From: YYYY/MM/DD To: YYYY/MM/DD |
| **Date submitted to HQAI:** | YYYY/MM/DD |
| **Name of Focal Point:** |  |

**Recording document evidence:** List your evidence in the spaces provided in this tool. Use your document code in the **ADM143 – Audit Map of Documents** and upload the document to the dedicated folders in your CL\_Folder (these are “Self-assessment” for this report, “Audit map” for ADM143 and “Numbered documents” for all the documents referenced in ADM143)

Refer to: GUI126- Information Management Guidelines for further guidance.

2. Self-assessment of application of the CHS

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| **COMMITMENT 1. Communities and people affected by crisis receive assistance appropriate and relevant to their needs.** |
| **Requirement** | **Question** | **Score** |
| **1.1, 1.3, 1.6 & 6.1** | **What processes are in place to ensure an appropriate on-going analysis of the context and stakeholders, as well as adaptation to changes?** |  |
| *Guide:*1. *How do you map stakeholders (including roles, responsibilities, capacities, power, interest) and use this to inform your response?*
2. *What sources of information are used to assess context (e.g. affected people, local institutions and other stakeholders)?*
3. *What documents/ processes best describe context (at macro/meso level) and how are they used to inform your response?*
4. *What are the main forums or prompts that alter your programmes?*
5. *How are social and contextual factors that contribute to vulnerability, such as discrimination and marginalization assessed and used?*
 |  |
| Summarise your findings here |  |
| List of evidence: |  |
| **1.2, 1.4 & 1.5** | **Which policies commit your organisation to impartial assistance based on needs and capacities and to collect disaggregated data?****What processes are used to ensure that programmes are designed and implemented based on an impartial assessment of needs and risks and an understanding of the vulnerabilities and capacities of different groups?** |  |
| *Guide:*1. *Name the policies that consider the diversity of affected people, commit to impartial assistance, and to collect disaggregated data*
2. *How do you identify vulnerable groups, conduct needs assessments, collect disaggregated data and use them to inform response planning?*
3. *How do you adapt types of assistance and/or protection to different demographic groups?*
4. *How do you match programme budgets and resources with needs?*
 |  |
| Summarise your findings here |  |
| List of evidence: |  |

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| **COMMITMENT 2. Communities and people affected by crisis have access to the humanitarian assistance they need at the right time.** |
| **Requirement** | **Question** | **Score** |
| **2.1, 2.2 & 2.7** | **How do you ensure that all your programmes are designed considering constraints so that the proposed action is realistic, safe and timely for communities?** |  |
| *Guide:*1. *How are constraints and risks (e.g. humanitarian access, security, protection, logistics and funding to affected people) analysed, identified and addressed?*
2. *How do you monitor and address (including resource reallocation) constraints that cause delays such as weather, access or conflict?*
3. *What policies/procedures/systems/ resources (including human resources) drive timely decision making, including resource allocation?*
4. *What early warning systems & contingency plans are used for preparedness?*
 |  |
| Summarise your findings here |  |
| List of evidence: |  |
| **2.3 & 2.4** | **How do you ensure programmes are planned and assessed using relevant technical standards and good practice employed across the humanitarian sector? Or referred to organisations with that expertise?** |  |
| *Guide:*1. *How do staff identify and use relevant technical standards and good practice?*
2. *What processes are there in place to ensure that technical standards are incorporated into programme design (e.g. reviews by technical specialists)*
3. *How are unmet needs identified, documented, and referred to relevant organisations?*
4. *What are the main forums where you advocate for unmet needs to be addressed?*
 |  |
| Summarise your findings here |  |
| List of evidence: |  |
| **2.5** | **How do you ensure that activities, outputs and outcomes are monitored to adapt programmes and address poor performance?** |  |
| *Guide:*1. *How are programme activities, outputs and outcomes monitored consistently across your work?*
2. *What processes are in place to ensure that monitoring results drive changes in programmes?*
3. *How does monitoring help identify and address poor performance?*
 |  |
| Summarise your findings here |  |
| List of evidence: |  |

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| **COMMITMENT 3. Communities and people affected by crisis are not negatively affected and are more prepared, resilient, and less at-risk as a result of humanitarian action.** |
| **Requirement** | **Question** | **Score** |
| **3.1 & 3.7** | **How do you ensure that programmes are built on local capacities and work towards improving the resilience of communities and people affected by crisis?** |  |
| *Guide:*1. *What policies commit to building resilience?*
2. *How do you map and analyse local capacities (e.g. structures, organisations, leadership, support networks and target groups) that strengthen local resilience?*
3. *What processes are in place to develop programmes that build on those capacities?*
 |
| Summarise your findings here  |
| List of evidence: |
| **3.2** | **How do you ensure the organisation uses the results of any existing community hazard and risk assessments and preparedness plans to guide activities and builds local capacity as first responders?** |  |
| *Guides:*1. *How do you identify, analyse and use existing community hazard and risk assessments?*
2. *How do you build local capacity to act as first responders in crises?*
3. *How do you ensure that marginalised groups have appropriate representation in leadership structures?*
 |
| Summarise your findings here.  |
| List of evidence: |
| **3.4 & 3.5** | **Programmes are designed and implemented to promote early recovery, benefit the local economy, and ensure longer term positive effects** |  |
| *Guide:*1. *How do programmes consider and facilitate early recovery?*
2. *How is the potential effect of the programme on the local economy at different stages of the programme assessed and considered?*
3. *How is local procurement encouraged?*
4. *What processes are in place to develop transition and/or exit strategies?*
5. *How are affected people and other relevant stakeholders consulted on and involved in the development and implementation of exit strategies?*
 |
| Summarise your findings here.  |
| List of evidence: |
| **3.6 & 3.7** | **Programmes identify and act upon potential or actual unintended negative effects in a timely and systematic manner, including in the areas of people's safety, security, dignity and rights, sexual exploitation and abuse by staff, culture, gender, social and political relationships, livelihoods, the local economy, and the environment.** |  |
| *Guide:*1. *What policies commit to avoiding negative effects?*
2. *What systems and procedures are in place to detect, assess, mitigate and act upon the range of potential negative effects in this indicator (e.g., monitoring or supervision guidelines, prompts in programme design documents, risk assessments)*
3. *What systems and procedures are in place to detect, assess, mitigate and act upon the range of actual negative effects in this indicator (e.g. prompts in monitoring documents, complaints mechanisms, monitoring visits, follow-up of issues and/or recommendations)*
 |
| Summarise your findings here.  |
| List of evidence: |
| **3.8** | **Systems are in place to safeguard any personal information collected from communities and people affected by crisis that could put them at risk.** |  |
| *Guide:*1. *What systems are in place to safeguard personal information collected from affected people?*
 |
| Summarise your findings here.  |
| List of evidence: |

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| **COMMITMENT 4. Communities and people affected by crisis know their rights and entitlements, have access to information and participate in decisions that affect them.** |
| **Requirement** | **Question** | **Score** |
| **4.1, 4.2, 4.5 & 5.6**  | **How do you ensure that information is provided to communities and people affected by crisis about the organisation, the principles it adheres to, the expected behaviours of staff, and its programmes and deliverables in an accessible way?** |  |
| *Guides:*1. *Describe your information sharing policies and guidelines and whether they instruct staff to share information regarding organisational principles, expected behaviour of humanitarian staff, including organisational commitments made on the prevention of sexual exploitation and abuse, programmes and deliverables. How is this checked?*
2. *How is information sharing planned as part of the programme activities?*
3. *How does the organisation ensure that staff communicate (particularly to vulnerable and marginalised groups) in languages, formats and media that are understandable to them?*
 |
| Summarise your findings here. |
| List of evidence: |
| **4.3, 4.4 & 4.6** | **How do you ensure inclusive representation, participation and engagement of people and communities at all stages of the work (from the design to monitoring and evaluation)?** |  |
| *Guides:*1. *Describe your policies and procedures for ensuring participation and engagement of affected people in programme design, programme implementation etc.*
2. *How are affected people’s views, including the most vulnerable and marginalised, sought and used to guide programme design and implementation?*
3. *Describe procedures to ensure that affected people have a role in monitoring projects, particularly giving feedback on satisfaction with programmes and projects.*
 |
| Summarise your findings here.  |
| List of evidence: |
| **4.7** | **How do you ensure that external communications, including those used for fundraising, are accurate, ethical and respectful, and that they present communities and people affected by crisis as dignified human beings?** |  |
| *Guides:*1. *What systems are in place to ensure that external communications present affected people as dignified human beings?*
 |
| Summarise your findings here.  |
| List of evidence: |

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| **COMMITMENT 5. Communities and people affected by crisis know their rights and entitlements, have access to information and participate in decisions that affect them.** |
| **Requirement** | **Question** | **Score** |
| **5.2 & 5.5** | **Is your complaints-handling process for communities and people affected by crisis documented? Does the process cover programming, sexual exploitation and abuse, and other abuses of power?** |  |
| *Guides:*1. *Describe your complaints handling procedure and whether it covers programming, sexual exploitation and abuse, and other abuses of power.*
2. *Describe processes to ensure that the procedure is appropriately described to affected people (particularly vulnerable ones)*
3. *What are the mechanisms in place to capture all complaints (e.g. are they centralised), protect complainant’s anonymity and safety, and ensure non-retaliation?*
4. *What are the timeframes to investigate and resolve (different types of) complaints, and are these documented and respected?*
5. *List the policies/guidelines relating to your organisation’s duty of care to the people it aims to assist, including investigation procedures, and grievance and whistle blowing policies at staff level and describe how they are publicized to the staff, and how do you promote an organizational culture of taking complaints seriously.*
 |
| Summarise your findings here. |
| List of evidence: |
| **5.1** | **How do you ensure communities and people affected by crisis are consulted on the a) design, b) implementation, and c) monitoring of complaints handling processes?** |  |
| Guides:1. How are affected people consulted in the design, implementation and monitoring phases of complaints handling?
 |
| Summarise your findings here.  |
| List of evidence: |
| **5.7** | **How do you ensure that complaints which do not fall within the scope of the organisation are referred to a relevant party in a manner consistent with good practice?** |  |
| *Guides:*1. *How do you ensure that complaints that are outside your scope are referred to an appropriate other institution or organisation?*
 |
| Summarise your findings here.  |
| List of evidence: |

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| **COMMITMENT 6. Communities and people affected by crisis receive coordinated, complementary assistance.** |
| **Requirement** | **Question** | **Score** |
| **6.2, 6.6 & 7.6** | **How do you ensure your response complements that of national and local authorities and other actors?** |  |
| *Guides:*1. *Describe your policy commitments to coordination*
2. *How does programming coordinate with other actors (UN agencies, NGOs, government etc.) and take their programmes into account when designing, planning and implementing programmes?*
3. *Describe the main types of information and learning (including resources, areas of work) you share in coordination mechanisms and with partners.*
4. *How are gaps in coverage identified and addressed?*
5. *Do your partnership agreements describe the following: respective commitments, mandates, obligations, independence, and constraints?*
 |
| Summarise your findings here. |
| List of evidence: |

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| **COMMITMENT 7. Communities and people affected by crisis can expect delivery of improved assistance as organisations learn from experience and reflection.** |
| **Requirement** | **Question** | **Score** |
| **7.1 & 7.7**  | **Do you have policies, procedures and mechanisms in place to promote learning in the organisation?** |  |
| *Guides:*1. *Describe key aspects of your evaluation and learning policies (e.g. criteria, reporting, planning and managing evaluations and disseminating results)*
2. *Describe the mechanisms to share learning within the organisation (e.g. intranet) and ensure organisation and collaborative learning within the organisation*
3. *How are evaluations and reviews of similar programmes incorporated into programme design?*
4. *How do evaluations, feedback and complaints receive lead to changes and/or innovations in programme design and implementation?*
5. *How do you share relevant lessons learned with other relevant stakeholders, particularly partners and affected people?*
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| Summarise your findings here. |
| List of evidence: |

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| **COMMITMENT 8. Communities and people affected by crisis receive the assistance they require from competent and well-managed staff and volunteers.** |
| **Requirement** | **Question** | **Score** |
| **2.6****8.1, 8.3 8.6 & 8.8**  | **How do you ensure staff work according to the mandate and values of the organisation and to agreed objectives and performance standards?** |  |
| *Guides:*1. *Describe your key staff training & feedback policies and mechanisms*
2. *Describe the staff code of conduct or similarly binding document and the orientation you provide on it, including sanctions for not complying with it*
3. *Do you have a policy for protection from sexual exploitation and abuse by staff (PSEA)?*
4. *How are staff trained on and supported to understand the mandate and values of the organisation, especially key behaviours on protection from sexual exploitation and abuse, child protection, fraud, whistleblowing, and complaints handling?*
5. *How are staff made aware of and trained on performance standards, including technical and quality standards to undertake their work?*
6. *Describe staff appraisal and feedback processes and how staff performance is managed (e.g. staff development plans) and under-performance addressed?*
7. *How are complaints about staff received and handled?*
8. *How do you ensure that you have the staff capacity and organisational resources (e.g. gap analysis of key positions, approaches to human and financial resourcing where you become stretched) to deliver your programmes?*
 |
| Summarise your findings here. |
| List of evidence: |
| **8.5** | **How do you ensure your staff policies and procedures are fair, transparent, non-discriminatory / inclusive, and compliant with local employment law?** |  |
| *Guides:*1. *What process do you use to make sure all your staff policies and procedures are fair, transparent, non-discriminatory, and compliant with local employment law, including in your country programmes?*
 |
| Summarise your findings here.  |
| List of evidence: |
| **8.9** | **Do you have policies in place for the security and wellbeing of staff?** |  |
| *Guides:*1. *Outline your staff security policy and systems for ensuring staff safety and security*
2. *Outline your policies and procedures to ensure staff wellbeing*
 |
| Summarise your findings here.  |
| List of evidence: |

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| COMMITMENT 9. Communities and people affected by crisis can expect that the organisations assisting them are managing resources effectively, efficiently and ethically. |
| **Requirement** | **Question** | **Score** |
| **9.1 &****9.6** | **How do you ensure your programmes are designed and implemented to ensure the efficient, environmentally friendly and appropriate use of resources, while balancing quality, cost and timeliness at each phase of the response?** |  |
| *Guides:* 1. *Describe your policies and processes governing the use and management of resources, including how the organisation:*

*a. accepts and allocates funds and gifts-in-kind ethically and legally;**b. uses its resources in an environmentally responsible way;**c. prevents and addresses corruption, fraud, conflicts of interest and misuse of resources;**d. conducts audits, verifies compliance and reports transparently;**e. assesses, manages and mitigates risk on an ongoing basis; and**f. ensures that the acceptance of resources does not compromise its independence*1. *What organisational processes are in place to promote efficiency including quality, cost and timeliness (e.g. Go/No-Go meetings, technical input from programmes/ finance/ logistics)*
2. *How is value for money and the use of resources monitored, reported and communicated to programme management?*
3. *How do programme plans indicate how resources will be used and for what purpose? Are they shared, as appropriate, with affected people and relevant stakeholders?*
4. *How are programme finances and resources monitored using recognised financial management good practices?*
5. *What are the main systems, processes and resources (including human resources) for mitigating the risk of corruption and taking action where it is suspected or discovered?*
6. *How is impact on local and natural resources monitored, and actions taken to mitigate negative impact?*
 |
| Summarise your findings here. |
| List of evidence: |

1. **Work with partners**

Describe how your organisation works with its partners to meet the CHS commitments and requirements (Refer to: **GUI125 – HQAI CHS Self-assessment Manual,** section 3.3. for guidance)

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| 1. **Does your organisation have a partnership policy or equivalent? Does it refer to the nine CHS Commitments?**
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| Summarise your findings here. |
| List of evidence: |
| 1. **What processes does your organisation use to review organisational capacity of potential partners regarding the CHS requirements, before engaging in a joint project or programme? What is reviewed by this process?**
 |
| Summarise your findings here. |
| List of evidence: |
| 1. **What processes does your organisation use to regularly assess the quality of the work of its partners? Describe your mechanisms to mitigate identified areas of weaknesses and risk?**
 |
| Summarise your findings here. |
| List of evidence: |
| 1. **Do partnership agreements include how complaints are managed between the two parties? Do agreements require partners to have a complaints mechanism in place? How do you ensure complaints mechanisms are implemented, and what are they required to report to your organisation about complaints received (including sensitive cases) from all stakeholders, including from communities?**
 |
| Summarise your findings here. |
| List of evidence: |
| 1. **Do partnership agreements include information on how affected people will participate and provide feedback in different stages of your work, and how is this checked?**
 |
| Summarise your findings here. |
| List of evidence: |
| 1. **Does your partnership agreement include information on how the partner will monitor and evaluate programmes, and how is this checked?**
 |
| Summarise your findings here. |
| List of evidence: |