

## Quality Assurance Plans for CAFI-funded programmes with NUNOs Policy

### Background, Definition and Objective

Further to the CAFI Secretariat's role to support the Executive Board in assessing compliance and performance of the CAFI-funded programmes, as per the CAFI TOR; and considering the requirement of the CAFI accreditation process that demands a Quality Assurance Plan for each programme disbursement made to NUNOs, this policy aims to operationalise the process of creation, approval, implementation and monitoring of the Quality Assurance Plan.

The Quality Assurance (QA) plan is a process and a tool to be drafted, using this policy, by the CAFI Secretariat and the NUNO. The QA will be composed of quality assurance activities such as spot-checks and micro-assessments with pre-defined frequency and pre-defined criteria.

### Structure of the Quality Assurance Plan

Each NUNO will have a QA plan developed, and the assurance activities will include:

- Diligence from the Access Process: This includes (i) at an optional-basis implement the remaining gaps identified during the SEAH (Sexual Exploitation, Harassment and Abuse) assessment, and (ii) comply to the recommendations raised by the Independent Evaluator regarding the Social and Safeguards Assessment.
- Repeat the HACT Micro-assessments (MA): As per to MPTFO's procedure on "Engaging NGOs, Civil Society and others as fund recipients - NUNO Direct Access" all NUNOs must possess a valid MA dated at a maximum 2 years prior to the Access to the Fund as well as before any Tranche payment is made (the latter for projects with payments distributed in more than 1 tranche).
- Mid-Term Social and Environmental Safeguards (SES) Performance Assessment: To be performed at mid-term basis, this assessment is commissioned by the CAFI Secretariat and serves to address any changes and/or updates to environmental and social standards and overall frameworks of Implementing Partners in the course of engagement with CAFI.

### Remarks

- As per the Framework and Financial Agreements with NUNOs, the Executive Board has the authority to mandate any additional or extraordinary audit necessary, regardless of the secondary HACT assessments mentioned above.

- All QA activities commissioned by the CAFI Secretariat, namely HACT micro-assessments, SEAH and SES assessments, spot-checks and audits, are funded and contracted by the CAFI Secretariat.
- The Executive Board reserves the right to prevent fund transfers to approved programmes in case of pending implementation of recommendations from audits.
- CAFI Secretariat will report annually to the EB on the results of the QA activities undertaken on the previous year.
- The FONAREDD-funded NUNOs are also incorporated to the CAFI Secretariat Instruction on the quality assurance plan.
- In line with the Framework Agreement (Sections IV, VII, VIII and IX) which cover the provisions on fraud, sexual harassment, safeguards and audits, NUNOs are the ultimate accountable for compliance with said provisions, using their own applicable regulations, rules, policies and procedures.

#### **Example of a Quality Assurance Plan and Details of its Content**

- CAFI Secretariat share with each NUNO the summary of the QA Plan generated for them. The NUNO implements the QA plan in accordance with its internal policy framework, as per the Legal Agreement signed with MPTFO.
- Regarding the HACT Micro-assessment: The only quality assurance related to the HACT that is present in the QA Plan refers to the re-do of the HACT in every 2 years. As aforementioned, MPTFO requires that before processing any transfer to a NUNO, the NUNO must present a valid HACT Micro-assessment. Validity of a HACT Micro-assessment is of 2 years. CAFI Trust Fund continues to afford the cost for the re-do of the HACT. On a yearly basis, CAFI Secretariat shall review the disbursements planned for the year and against the validity of the existing Micro-assessments. If an MA expires before a programme tranche is requested, a new MA request will be actioned by the CAFI Secretariat.
- Regarding the SEAH: The passing score for the SEAH Assessment during the accreditation is 6 out of 8 scores. The NUNOs who are given access upon achieving this scoring are encouraged to work towards complying to the remaining gaps, communicating to the CAFI Secretariat in case such work is done. However, any work beyond the passing score is considered optional and not mandatory.
- Regarding the SES: During the access process, upon the SES Assessment, the Independent Evaluator might make recommendations to the NUNO for compliance (for example, access is given but the NUNO XYZ needs to provide an evidence ABC in a Year 1-time). This type of recommendation will be transported to the QA Plan. Additionally, it is expected that each project/program be assessed on the performance of their SES measures (SES Performance Assessment). This performance assessment will be implemented on mid-term basis, which shall be communicated in time by the CAFI Secretariat, and agreed with the NUNO.