

An aerial photograph of a flooded agricultural field. The water is dark and still, with numerous small, brown, thatched huts or structures scattered across the landscape. A larger, more prominent thatched structure is visible in the lower center. The overall scene suggests a rural area affected by flooding.

The 2007 Humanitarian Accountability Report

HAP

Humanitarian
Accountability
Partnership

Front cover:

[Somalia] An aerial view of a house nearly submerged by the flooded Juba River in southern Somalia, 14 December 2006. Thousands of Somalis have been displaced by what is described as the worst floods in the country in 10 years.

Photo: © Manoocher Deghati/IRIN

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© The Humanitarian Accountability Partnership International
Maison Internationale de l'Environnement 2 (First Floor, Room 1-08)
Chemin de Balexert
CH-1219 Châtelaine
Genève
Switzerland

Tel: +41 22 788 1641
Fax: +41 22 797 3861

www.hapinternational.org

Introduction

Highlights:

- The humanitarian system reports yet more progress in codifying accountability and quality standards and tools, but still lacks consistency in their application.
- HAP's annual humanitarian accountability opinion survey reveals growing optimism about increasing standards of accountability, but disaster survivors still fare worst in the accountability stakes.
- HAP's Standard in Humanitarian Accountability and Quality Management published.
- HAP's quality assurance scheme launched: three agencies certified.
- Building Safer Organisation's project moves from ICVA to HAP.
- Membership grows from 15 to 19 full members.
- HAP Secretariat achieves 33% growth in overall funding, but raises 76% of its general funding target, and reduces management expenditure to 71% of the budget.
- 69% of the Secretariat Workplan is achieved.

The 2007 Humanitarian Accountability Report contains six chapters.

Chapter 1: Humanitarian Accountability in 2007. The opening essay is a desk-review of materials published in 2007 undertaken by an independent expert. The purpose of the annual humanitarian accountability essay is to offer an informed and independent view of progress made by the humanitarian system towards meeting HAP's strategic vision of *"a humanitarian sector with a trusted and widely accepted accountability framework, which is transparent and accessible to all relevant parties"*.

Chapter 2: Survey of Perceptions of humanitarian accountability. This chapter reports on the third annual survey of perceptions of humanitarian accountability of those people in HAP's contact directory who kindly completed and returned the questionnaire.

Chapter 3: Voices of some disaster survivors. During 2007, HAP staff recorded the views of many disaster survivors. A further eleven interviews were conducted with survivors of the Kashmir earthquake especially for this report. The sobering views of the humanitarian system's principal stakeholders enrich the blend of perspectives about humanitarian accountability in the 2007.

Chapter 4: The HAP Secretariat Annual Report. This chapter was prepared by HAP staff and provides a self-assessment of progress achieved against the objectives set out in the 2007 workplan and the headline targets described in the 2007-2009 medium term strategic plan.

Chapter 5: Members' Accountability Workplan Implementation Reports. Most of HAP's members prepared summary accountability workplan implementation reports for the 2007 General Assembly. These are presented in tabulated form in this chapter.

Chapter 6: Good Practice Case studies: In addition to the implementation reports, thirteen of HAP's members contributed examples of good practices of accountability undertaken during 2007.

Chapter 1

Humanitarian Accountability in 2007¹

1.1. Introduction

The public outcry over failures in humanitarian aid, which gained momentum from the time of the Rwanda genocide in 1994 through the 2004 Tsunami response and sex-for-aid scandals in West Africa, appeared to have receded by 2007. A review of the literature for the year suggests that with the completion of a few major studies in 2006², accountability was a somewhat less controversial and hotly debated topic during 2007. Perhaps symbolic of this trend was the relative absence of research reports on the ODI-Humanitarian Policy Group and ReliefWeb websites in 2007, compared to the previous two years.

In January 2007, the Tsunami Emergency Coalition (TEC) published a synthesis of their 2006 report, highlighting the need for more communication and information sharing with affected populations, including financial information and evaluation results. In an item addressed to all humanitarian actors, the report asserts: "The international humanitarian community needs a fundamental reorientation from supplying aid to facilitating communities' own relief and recovery priorities. Support should aim to empower affected people to articulate claims, demand accountability." The synthesis report summarizes the lessons learned as a result of earlier analysis, but no further documentation is available from TEC. Similarly, the UN-NGO Liaison Service (UN-NGLS) held a panel discussion on NGO accountability in January 2007; but like the TEC Report, the debate largely reflected the situation in 2006, decrying the "accountability gap."

¹ This chapter was written by Dr Alison Raphael, an independent consultant based in the USA. Data was gathered through exploration of 40-50 humanitarian aid websites (including individual organisations, accountability initiatives, NGO associations, UN sites, specialist publications, journals, and news sites), as well as through extensive use of global search functions to identify articles, commentaries, speeches and other references to accountability in humanitarian aid during 2007.

² For example: UN-NGLS, «Debating NGO Accountability»; the NGO Impact Initiative report in the U.S.; and the report of the Tsunami Evaluation Coalition (TEC).

Does this indicate that in the absence of widespread public scrutiny humanitarians put the issue of accountability behind them, moving on to other timely topics? Sceptics may argue this point, and it is probably true in some cases. But the material described below indicates that 2007 was also a year during which some humanitarian aid providers concentrated on applying the principles, standards, and lessons developed in response to the earlier crisis, and refining institutional responses. By the end of 2006 the need for greater accountability had been widely discussed and agreed; the question was how to accomplish the goal, particularly in relation to aid beneficiaries.

By early 2007, guidelines from humanitarian aid quality and accountability initiatives included the following contributions:

- Humanitarian Accountability Partnership: Principles, Standard, and Benchmarks (2007)
- Emergency Capacity Building Project: Impact Measurement and Accountability in Emergencies: The Good Enough Guide (2007)
- International Council of Voluntary Agencies: “Building Safer Organisations” handbook and guidelines for investigating charges of abuse and exploitation by humanitarian workers (2007)
- People in Aid: Code of Good Practice for human resource management in emergencies (2003; revision of 1997 code)
- Sphere: Humanitarian Charter and Minimum Standards in Disaster Response (2004)
- Good Humanitarian Donorship initiative (2003).

Two special concerns identified by this review during 2007 were (1) the impact of climate change on humanitarian action, and (2) the changes wrought by “humanitarian reform,” particularly in relation to coordination of disaster response and funding at the country level. The entire December issue of *Forced Migration Review*, for example, was devoted to humanitarian reform, while an important annual UN/NGO conference took climate change as its theme. These matters are not entirely un-related to the accountability debate—although not usually posed within its frame of reference—and, especially in the case of climate change and the emerging area of disaster risk reduction, may offer new opportunities for beneficiary participation.

During the course of 2007, introspection continued among theorists and practitioners, while agencies directly involved in field operations experimented with and assessed approaches to improving accountability. In addition, a ranking of donor progress toward accountable humanitarian donorship was developed and published for the first time. While no one could argue that by end-2007 humanitarians had perfected the art of accountability, it appears that its vital importance was widely understood and the primary concern was how best to accomplish the goal.

Critical debate also continued, but with a slightly different thrust. Rather than carry on the drumbeat of the previous decade, debate instead focused on whether or not accountability is the cutting-edge issue hampering effective humanitarian aid, given the existence of multiple layers of accountability and the power relations inevitably involved in humanitarian response. Can increased accountability among humanitarian aid providers, some asked, change the reality on the ground?

1.2. Progress toward Accountability

This section examines some of the major accountability-related initiatives and studies in the world of non-profits, UN agencies, and donors involved in the delivery of humanitarian aid during 2007. It highlights emerging good practices and reports the results of tools measuring accountability.

1.2.1. Methodology

The information and analysis reflected in this report was gathered through an examination of some 40-50 humanitarian aid websites (including individual organisations, accountability initiatives, NGO associations, UN sites, specialist publications, journals, and news sites), as well as extensive use of global search functions to identify articles, commentaries, speeches and other references to accountability in humanitarian aid during 2007. The research sometimes involved direct contact with organisations, but was largely web-based. It is important to mention that the researcher “searched” for relevant material on individual websites, but in some cases organisations had not posted this material. Some such articles were found through web searches, but other, similar material may not have been found. In addition, some organisations provided material after the search had been concluded. The consultant assumes responsibility and apologizes for any omissions resulting from these problems.

1.2.2. Non-profit humanitarians

Oxfam GB produced a detailed case study that measured accountability to beneficiaries during Tsunami relief efforts in south India, based on a survey of nearly 1,000 beneficiaries and others. Using existing standards and principles as a framework the survey sought, among other things, to assess:

- The extent of beneficiary participation in assessing needs and monitoring and evaluating program components
- How well staff were prepared to respond effectively to beneficiaries’ needs
- The effectiveness of complaint and response mechanisms
- Beneficiary perceptions and levels of satisfaction.

The findings reported below pinpoint some of the strengths and remaining challenges to progress in implementing accountability mechanisms on the ground.

The study found that most humanitarian workers are familiar with the concepts of accountability and beneficiary participation and, because they work in communities and through local government structures, were putting accountability principles and processes into play. It stressed, though, that effective implementation demands *early involvement* of beneficiaries, at the project design and planning stage, and the need for agencies to “create space” for such involvement. NGOs got fairly high marks for sharing information, with the exception of financial information. They did less well, however, in the area of policies and practices for handling and responding to complaints. A summary of the findings noted:

NGOs have stated that working through community-based organisations (CBOs) and self-help groups has assisted in the process of reporting grievances. However even in these cases documentation of complaints, written policy and dedicated staff for handling complaints remain areas of concern. ... good performance is reported by NGOs on their taking beneficiary suggestions into account and acting on them, particularly in relation to needs assessments and target setting. There needs to be improvement in identification of vulnerable groups and building staff capacities to deal with local powerful interest groups. Documentation of most policies and processes followed by NGOs (including complaints, feedback, etc. that happen at CBO level) through their existing monitoring and reporting system is rather weak.

Among other conclusions, Oxfam noted that organisations with a long history of community involvement are generally the most accountable (because they know and are known to the community where they work). However, few local NGOs are taking advantage of existing accountability guidelines, and Oxfam did not do enough to encourage them to do so, the report concluded.

In a separate contribution, Oxfam-GB published for the first time an “Accountability Report,” outlining the steps it had taken over the 12-month period ending April 2007 to increase accountability to all stakeholders, particularly humanitarian aid beneficiaries.

World Vision International produced a study based on the organisation’s Tsunami disaster response in Sri Lanka. Responding to growing demand for greater accountability to disaster victims, World Vision piloted a new technique in Sri Lanka, creating “*Humanitarian Accountability Teams*” (HATs). The study argues that this model worked well and could be used elsewhere, and describes

key elements for success. The teams, which include beneficiaries, were established after the Tsunami as a separate group empowered to represent community needs and demands. The approach was used first in the housing sector—when it was recognized that the selection of shelter beneficiaries was a potential conflict flashpoint—and then employed in other sectors.

Some Benefits of the HAT Approach

- Accountability works as a community based warning system that can help to significantly reduce organisational risk and flag issues early
- Through good community engagement and liaison with stakeholders, HAT was able to save LTRT over USD 5 million in construction costs by preventing either unsuitable or unneeded construction in the south.
- Having a department with a mandate to represent community perspectives helps staff to reconnect with their original reasons for working for WV and to strengthen commitment to organisational values around valuing people.
- Separating technical and community engagement roles at field level enables job descriptions to focus on technical skills rather than a rare mix of skills so that staff are easier to hire and more likely to succeed.
- Having a HAT function helps to ensure that projects are “fit for (communities) purpose” as well as meeting technical standards. This increases the sustainability of projects and leads to greater beneficiary satisfaction.
- Implementation of shelter programming can be done more quickly as a HAT team can prepare communities while technical preparations are ongoing. There is also greater scope for community construction methodologies to remove bottlenecks and having a team dedicated to complaints and community engagement frees technical specialists to focus on implementation.

Source: World Vision International, “Why Do Accountability? A Business Case from Sri Lanka,” World Vision, April 2007.

The creation of HAT teams was also credited with improving communications between World Vision and communities; HATs were well positioned to relay pertinent information from the field to senior WV leaders. HATs also helped to reduce the potential for corruption, serving as a channel for complaints by beneficiaries and the resolution of differences of opinion over technical matters, by bringing local knowledge to bear on decision-making. In addition, World Vision found that when HATs worked with communities to refine

beneficiary lists, the latter were reduced by around 40%. Having credible and fair mechanisms to do this helped to increase World Vision's standing in communities, justify decisions to other stakeholders, and save resources.

The World Vision report was highlighted on the development practitioner website "*If you only read one thing this week...*" resulting in an important observation: rather than interview beneficiaries, the report relied on interviews with World Vision staff. The purpose of this report was to show the internal value-added to NGOs of being more accountable. However, a parallel evaluation with 134 beneficiaries confirmed that people impacted by the HAT team really valued the approach³.

Another contribution to the discussion of accountability praxis came from Tearfund, based on its work in northern Kenya. Tearfund introduced new approaches to accountability for beneficiaries by hiring a "*Beneficiary Accountability Officer*," forming "*Beneficiary Reference Groups*," making use of strategically located suggestion boxes to gather local feedback, and community notice boards to increase transparency. HAP International conducted an evaluation of the Tearfund approach in August 2007, suggesting important benefits that had enabled Tearfund to:

- Involve beneficiaries at the early stages of projects
- Avoid potential conflict by signalling concerns early
- Strengthen trust through improved communication
- Empower some communities to demand greater accountability

OneWorld Trust's *2007 Global Accountability Report* focused on performance by 30 selected inter-governmental organisations, international NGOs (INGOs), and transnational corporations in four areas, including two closely related to accountability: participation and complaint and response mechanisms. The report found that six of ten INGOs had institutionalised external stakeholder involvement into decision-making at the highest levels. Although all 10 were committed to involving external stakeholders, only four had policies and guidelines for doing so.

The report noted that, as members of HAP International two of the INGOs reviewed, Mercy Malaysia and Christian Aid, were strengthening their accountability mechanisms. Among inter-governmental organisations, the African Development Bank (ADB) was singled out for its recent policy document: "Strengthening Participation for Development Results: A Staff Guide to Consultation and Participation."

3

This paragraph corrected by World Vision International

In relation to complaints-handling mechanisms, the Global Accountability Report found that far more inter-governmental organisations were instituting such procedures in 2007 than had been the case in 2006—six of 10, compared to only one in 2006. Among INGOs, six had defined complaint and response procedures but, the report noted, quality varied widely. Christian Aid was seen as the best performer in this area, as described in the box below.

Good Practice Case Study: Christian Aid explains its supporter and public complaints handling

To ensure complaints from supporters and the public are handled effectively within Christian Aid, a formal complaints handling procedure has been established. The organisation guarantees to: acknowledge all complaints within one working day and send a response within four working days; investigate complaints independently; treat complainants with respect; and hold all complaints in confidence. While care is taken to ensure a complaint is successfully resolved, dissatisfied complainants can also appeal to senior managers.

To provide an overview of the volume and types of complaints received, monthly feedback reports are produced and circulated to all directors and relevant managers. The reports omit any sensitive information including complainant identities. Feedback reports provide senior managers with a regular overview of supporter concerns, enabling them to gauge levels of supporter satisfaction on specific issues.

Christian Aid believes supporter and public feedback strengthens accountability and improves how the organisation works. By having complaints procedures the organisation can develop better relations with supporters and the public and gain insights into their concerns, interests and expectations. This can feed into decisions on issues such as campaign positions or policy formulation as well as on fundraising communications or methods. Such procedures can also deepen supporters' and the public's understanding of the rationale underlying the organisation's decisions and positions.

Source: 2007 Global Accountability Report, One World Trust, p. 58.

The IFRC *2007 Annual Disaster Report* focused on the issue of discrimination against vulnerable groups during disaster response. While the report is not overtly about accountability, Chapter 6 explores key issues such as participation

and complaints-handling. It acknowledges the importance of the tools and guidelines developed by quality and accountability initiatives, urging that now more effort should focus on the “how to” of putting them into practice.

As a means to encourage multi-stakeholder input, the IFRC report suggests the formation of “*Community Response Committees*” to help ensure that local communities lead their own recovery, and that a diverse group of community members is involved. Community surveys and focus groups can also provide important inputs but the report notes that humanitarians are often under pressure not to share the results beyond organisational leaders. In regard to complaint and response mechanisms, IFRC suggested some successful models, as described below.

Handling Complaints on Discrimination in Humanitarian Aid

Some success has been seen with the establishment of grievance procedures for disaster-affected communities. In Indian-administered Kashmir, following the 2005 earthquake, a lok adalat (people’s court) was established for affected areas. The court did not consist of a physical building but a group of people who moved from village to village. People could go to the court and register their complaints about the relief process. The court considered few cases of intentional discrimination based on lines of caste or social or economic status. Most complaints were about inadvertent discrimination by NGOs and governments between equally needy neighbours, weaknesses in relief systems and unfair treatment. A court such as the lok adalat serves as a proactive effort to register injustices by offering a rapid and convenient grievance procedure.

When establishing a formal grievance system, relief organisations should consider proactively seeking out groups that may have concerns with the recovery process. The poorest and most disadvantaged groups may be the least likely to come forward to complain.

Village members in the Indian districts of Villupuram and Nagapattinam created methods for maintaining transparency, with written lists displayed on public buildings, such as on a school or temple wall, detailing all external assistance received by each household. This helped citizens to see what the panchayat (locality) received in their name and from which organisation.

Source: IFRC, 2007 Annual Report.

1.2.3. Partnerships, Initiatives, Academic Institutions

Three new sets of overall guidance for improving accountability were published in early 2007.

- After extensive consultations, HAP finalized its “Standard in Humanitarian Accountability and Quality Management,” in January 2007, providing humanitarian relief groups with a means by which to measure and improve their accountability. The launch received media attention (*Economist*, May 2007; IRIN, 28 May 2007) and was highlighted on several NGO websites.
- ICVA published Guidelines and a Handbook designed for “Building Safer Organisations” in February 2007. The material provides information and guidance on the key steps and issues organisations should consider when responding to allegations of sexual exploitation and abuse of aid recipients by staff. The two publications summarise the steps required to establish effective complaints mechanisms, manage and investigate complaints and report on findings, as well as identifying potential difficulties and practical responses and solutions.
- Also in February, the Emergency Capacity Building Project produced the “Good Enough Guide,” designed to help field workers examine their accountability to local people and measure program impact in emergencies. Drawing on other accountability initiatives, the pocket-size publication offers simple, practical solutions for increasing participation by affected people and creating channels for the expression of complaints and grievances.

To help put these new models into practice HAP, BOND, Sphere and One World Trust held training workshops during 2007 to assist humanitarian aid groups to develop quality mechanisms for accountability to beneficiaries.

The Sphere Project published a series of case studies assessing adherence by member organisations to Sphere’s Humanitarian Charter and Minimum Standards (originally published in 2004). Sphere also produced in 2007 a low-cost edition of this publication, as well as translations into several languages. In addition, Sphere piloted the “All-in Diary” a reference tool providing aid workers with easy reference to all major sets of principles and guidelines for humanitarian aid.

Several evaluations of disaster response by members of the Emergency Capacity Building Project were carried out by ECB, which also produced a guide to joint evaluations of NGO humanitarian response based on experience to date.

ALNAP, the Active Learning Network for Accountability and Performance attempted to gather information for a “Practitioners Handbook” reflecting experience in implementing participatory approaches in humanitarian aid, but found that the evidence base was too weak to go forward. As a follow-on to the 2006 NGO Impact Initiative, the US-based non-profit coalition InterAction formed a Humanitarian Accountability Working Group in 2007, but the group met infrequently, although several InterAction members are closely involved in the work of global accountability initiatives.

Three more case studies in the Tufts University (Feinstein International Center) *Humanitarian Agenda 2015* series were completed in 2007, two of which point to the ongoing need for progress toward accountable humanitarian aid. In Sri Lanka, aid beneficiaries complained that the aid they received was not necessarily what they wanted or needed, adding that they would prefer to receive aid from local groups who better understand their culture, customs, and needs. The case study on Iraq revealed a broad cultural understanding of the concepts underlying humanitarian aid, and noted that when aid groups consulted with local imams, aid processes were facilitated. But it also yielded the following critical observation by an Iraqi staff member of an international aid group:

We have never explained who we are—as humanitarians—to the Iraqis; we have never sought their acceptance or their invitation to operate in the country. We have never explained how we operate and why we operate differently from the coalition forces or other players.

The Feinstein Center also produced assessments of drought and famine relief projects in Zimbabwe during 2007, in which active participation by beneficiaries contributed to successful interventions (FIC, Tufts, 2007).

1.2.4. United Nations System

Following earlier affirmations by senior UN leaders about the global body’s accountability to “the people we serve,” some agencies have incorporated accountability principles and practice into their work. In 2007, a UN University briefing paper noted that within the UN, accountability is understood in (at least) two different lights: managerial and “political.” The latter refers to the UN’s responsibility to be accountable to those affected by its decisions and actions. The report concludes: “The fact that, to date, they are not usually involved in such a process points to a major shortcoming in the political accountability of the United Nations.”

Nevertheless, some progress can be cited. The UN High Commission for Refugees (UNHCR) has been particularly active in establishing accountability frameworks and monitoring activities. The main approach, developed in 2006, is the “Age, Gender and Diversity Mainstreaming” strategy, which calls for systematic dialogue with women, men, girls, and boys of diverse ages and backgrounds as the foundation for participation by traditionally excluded groups. In 2007 UNHCR completed a three-year study of the situation of refugee children in Africa, based on *participatory assessments* (PAs) with groups of children in eight countries, mainly in refugee camps. During the PAs, children were encouraged to discuss the problems they face and recommend solutions. Afterwards, UNHCR staff, camp staff, partner organisations and other stakeholders developed action plans to address the issues raised, and reported back to children and adults in the camp on steps to be taken. Similar work was begun by UNHCR in 2007 on sexual exploitation and abuse in refugee camps.

The International Organisation on Migration (IOM) carried out “Village Assessments” to measure the availability of various services in four States in Southern Sudan during 2007, using a methodology aimed at reaching beneficiaries.

Interviews were conducted ensuring the proper representation of beneficiaries, with target groups including women, youth and the vulnerable. A variety of interview methodologies are employed, including interviews with individual beneficiaries selected at random (with due consideration to gender/age balance), local leaders and specialized workers (e.g. health and education staff) within the village context. Interviewers are all trained in effective interviewing techniques, data sensitivity, and general protection awareness. (ReliefWeb, Dec. 2007)

Finally, a World Food Programme study comparing the merits of food versus cash transfers noted that increasingly beneficiaries are being consulted about which form of aid they prefer. The responses often differ by location, gender and season, underscoring the importance of getting local feedback before making such decisions (Gentilini, 2007). ALNAP noted in a 2007 study of slow-onset emergencies that even lacking an emergency, encouraging participation is often seen as a last priority, but the increasing use of cash transfer programs could help to shift the tide: “The use of cash in emergencies is one of the clearest examples of transferring decision-making to beneficiaries, allowing them to decide for themselves what they need most.”

The *2007 Global Accountability Report* gave high scores to UNDP, UNEP and WFP (ranked first, third and fourth, respectively, among the ten inter-governmental agencies assessed), for overall accountability capabilities in the four key areas of: transparency, participation, evaluation, and complaint and response mechanisms. WFP and UNDP have complaint hotlines for use by external stakeholders. Although all three UN agencies scored 100% for complaint and response mechanisms, the report points out that the mechanisms in place were designed mainly for issues of fraud, waste, and mismanagement rather than impact, discrimination, or similar issues.

Last year's report gave high marks to the World Bank for accountability, but a joint briefing note prepared by nine leading INGOs in September 2007 criticized the Bank and the IMF for their continuing failure to implement participatory impact assessments prior to project implementation (Oxfam, et. al., 2007).

Finally, it is worth noting that a 2007 study of humanitarian aid flows concluded that of seven areas examined only one had experienced significant progress: accountability to stakeholders, including beneficiaries. The analysis found that OCHA's Financial Tracking System has improved the transparency of aid flows, and that "the growing commitment to beneficiary accountability is a welcome move." (Walker and Pepper, 2007).

1.2.5. Donors

For the first time, in 2007 Spain-based Development Assistance Research Associates (DARA) published a Humanitarian Response Index (HRI), ranking donors on their performance in relation to principles and practice of Good Humanitarian Donorship. DARA's goals are closely linked to accountability principles; it "supports the empowerment of affected populations, and among its core principles are the belief that action should be geared toward improving the situation of local populations and based on local demand." Thus DARA's analysis includes measures related to the accountability issues central to this report.

HRI rankings were based on information gathered by a survey of over 800 humanitarian actors in eight countries experiencing longstanding humanitarian crises, as well as quantitative data. One section specifically addressed support for: accountability in humanitarian action, learning and accountability initiatives, and regular evaluations. Rankings also addressed the extent to which donors encouraged beneficiary consultation in both project design and implementation and project monitoring and evaluation.

Britain's Department for International Development (DFID) incorporated several essential elements of Sphere and HAP principles into its 2007 handbook on NGO funding guidelines. NGOs seeking DFID funding must now explain how

they plan to incorporate the principles into their work, describe the methods they intend to use to increase beneficiary participation at all stages of project activity, and ensure adequate complaint and response mechanisms.

Donors were challenged by Action Aid in a document entitled “Making Aid Accountable and Effective,” prepared in advance of the 2008 Third High-Level Forum on Aid Effectiveness. The discussion refers to development aid in general, but includes many elements in common with humanitarian aid, in particular the concept of accountability to end users. Action Aid charges bluntly: “Donors are not accountable to recipient governments, and neither donors nor recipients are really accountable to poor people.”

1.3 Emerging Opportunity

As mentioned earlier, the 2007 literature review revealed an increasing focus on issues of climate change and disaster risk reduction (DRR). Widespread flooding throughout the developing world throughout much of 2007 demanded and received considerable attention from humanitarians. NGOs, UN agencies, and donors published a raft of articles; UNDP devoted its 2007 *Human Development Report* to the issue and the 60th annual UN Department of Information (DIO)/NGO Conference in September 2007 selected climate change as its central theme.

The notion of DRR is closely linked to the concept of “downward accountability,” reflecting an acknowledgement that involving local people from the start—in the case of DRR even *before* an emergency or disaster—results in a better-planned and more cost-effective humanitarian response. A July 2007 paper on DRR published by the Good Humanitarian Donorship initiative stressed the importance of ensuring participation by vulnerable groups in disaster preparedness.

It appears that a basic tenet of humanitarian aid accountability—participation by beneficiaries—is seen as crucial to effective disaster risk reduction. Although the term accountability is infrequently mentioned in DRR discussions, the lessons to date suggest that beneficiary participation will facilitate subsequent relief and development work and make it more cost-effective. Increasing global interest in DRR thus appears to be an important opportunity for the application of emerging methodologies aimed at achieving greater accountability.

1.4 Ongoing Debate

The existence of mechanisms and standards for improving accountability does not guarantee that they are being applied effectively. Only ongoing assessment and analysis such as that being carried out by a few organisations will indicate whether or not humanitarian aid is increasingly

involving beneficiaries in planning and implementing disaster response and better training staff to do so, or whether donors are valuing and insisting on accountability beyond that owed to themselves and the public whose funds are being spent.

The nature of the ongoing debate during 2007 appeared not to revolve around a demand for more accountability across the board, as in previous years, but rather to focus on whether or not stronger accountability mechanisms can resolve underlying issues of power: of donors over NGOs, of NGOs over aid recipients, of national elites over victims of humanitarian crises, etc.

In a study for the Humanitarian Practice Network (HPN) Austen Davis questioned the extent to which accountability measures and standards address the real problems faced by humanitarians; that is, whether or not they have the potential to become “transformative.” Davis argued that humanitarian action remains “fundamentally constrained by the limits of charity,” given the nature of power and power relations at all levels. Nor can better accountability systems address the larger failures in humanitarian aid that occur, such as insufficient funding, failure by states to meet responsibilities, etc. Davis concluded that accountability should be “debated with much more practical rigour” than has been the case to date, taking into account the challenging environments in which humanitarian aid takes place.

Referring to the growing number of actors involved in humanitarian aid delivery (including military and commercial interests), Peter Walker and Kevin Pepper of Tufts University’s Feinstein Center noted that this trend highlights a “fundamental question of agreeing the legitimate response of the international community to a humanitarian crisis; a band-aid on the symptoms or redress for the causes of those symptoms coupled with a prescription for reform?”

Similarly, John Mitchell of ALNAP argued that although accountability and the need for beneficiary participation have increasingly replaced results-based management as the mainstream framework for humanitarian activity, the motive for this growing acceptance is not always clear. For some, it “fits with the current geopolitical agenda and the tactics for winning the war on terror,” since knowing what people want and need is a form of power in itself. “The real question, therefore, is how to implement participatory processes in a way that will not expose vulnerable populations to more risk,” Mitchell concluded.

At a February 2007 conference sponsored by ICVA Antonio Donini of the Feinstein Center raised parallel concerns, referring to the inherent difficulties in delivering humanitarian aid independent of political influence. Donini concluded: “...we are still operating in a dominant, top-down humanitarian enterprise that is not attentive enough and doesn’t listen enough to what is coming from the bottom-up.”

Finally, and along different lines, in a critique of efforts to eliminate sexual exploitation and abuse by aid workers, an article in *Forced Migration Review* called for the creation of an independent watchdog group, given the “achingly slow” progress to date in accountability in this area, despite increased awareness in recent years (Naik, Dec. 2007).

Unlike previous years, then, discussion during 2007 was not centred around calls for greater accountability, but rather on some of the other obstacles to making the delivery of humanitarian aid more responsive and effective.

1.5 Conclusion

The evaluations, studies, and critiques described above pinpoint many of the ongoing challenges facing the humanitarian sector in relation to accountability. The expansion and improvement of models and innovative approaches such as those piloted during 2007 could bring further progress during 2008. In addition, new standards, guides, and handbooks contributed by organisations dedicated to increasing accountability were published in 2007. With more time, and the benefit of evaluations assessing the conditions required for successful application, the impact of these tools should be felt in coming years.

Continuing progress depends heavily on the will of the humanitarian sector to adhere to evolving norms and standards. With an apparent decline in public pressure to improve accountability, such pressure will have to come from within if continuing progress is to be achieved. This makes it incumbent upon groups with a strong commitment to: keep the issue alive, ensure that emerging standards and innovative practices are widely disseminated within the humanitarian community, and discuss compliance mechanisms to which humanitarian aid groups might voluntarily submit.

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[http://www.hapinternational.org/pdf_word/954-Tearfund North Kenya Programme approach to improving accountability.pdf](http://www.hapinternational.org/pdf_word/954-Tearfund_North_Kenya_Programme_approach_to_improving_accountability.pdf)

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Chapter 2

Annual “Perceptions of Humanitarian Accountability” Survey

2.1. Method

For the 2007 survey, 1443 questionnaires were sent out by email to all contacts on HAP’s address list ⁴. Contacts were asked to circulate the survey to anyone else that they felt might be interested in responding. 291 completed responses were received, 113 from people who were not on the HAP contact database, indicating the success of the snowball strategy. Taking away the emails that were undeliverable, the return rate was 25%. This was significantly higher than in previous years (17% for the 2005 report and 9% for the 2006 report).

The survey consisted of six questions with drop down set options. The first question related to respondent’s background: whom they work for, region of residence, main function and HAP membership. The second question referred to perceptions about accountability to specific stakeholder groups. Questions three and four asked about perceived past and future trends in humanitarian accountability. Question five related to individual and organisational awareness of humanitarian accountability and question six referred to levels of interest in humanitarian accountability in 2007. Respondents were also given the opportunity to make additional comments.

2.2. Findings

The majority of respondents were from national and international NGOs, from Asia and roughly divided between field based and headquarter based staff and between HAP and non-HAP members. Most felt that there had been an improvement in accountability to disaster survivors and that this was likely to continue, as compared to 2005 and 2006. It was also felt by the majority of respondents that they had sufficient individual awareness of humanitarian accountability issues and, by a smaller majority, that their organisations had sufficient awareness. Slightly more field-based staff than headquarters based staff reported having sufficient awareness of accountability issues. HAP members were more likely than non-HAP members to feel that they and their organisations had a higher level of awareness. Most respondents also felt

⁴ Of these, 294 of the surveys emailed were returned as ‘undeliverable’ to the email recipient which left a presumed receipt rate of 1149.

that there had been an increase in levels of discussion and interest around humanitarian accountability issues over the past year.

2.2.1. Respondent Background

The great majority of respondents were from international NGOs (65%). 12% of respondents were from UN agencies, 10% from national NGOs, 5% from donor organisations, 3% from research bodies and other types of organisation, and 1% from a host government (in 2006, there were no representatives from host governments).

The largest group of respondents were from Asia (43%). This was followed by Europe (25%), Africa (18%) and the Americas (10%). The Middle East and South Pacific region were significantly under-represented with only 2% and 1% of respondents respectively. These findings differ from 2006, when the majority of informants were from Europe and the Americas.

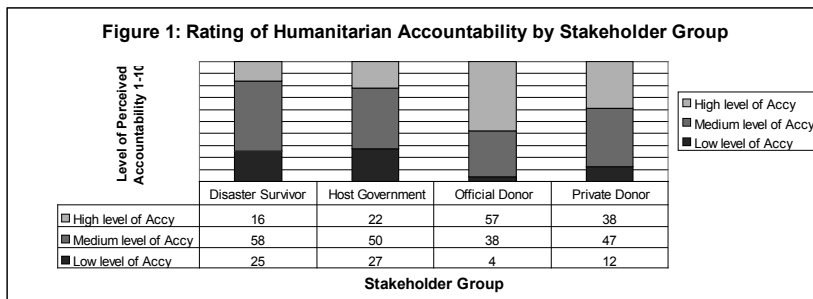
In terms of function, there was a good representation from both field-based staff (46%) and headquarters based staff (54%). The single largest group of respondents were field based programme managers (34%), followed by headquarters senior management (20%). 6% of field based staff were engaged in policy/advisory work and another 6% considered themselves to be field based practitioners. 18% of headquarter staff worked in policy/advisory work and 16% in programme management.

55% of respondents were HAP members and 40% were not. 5% of respondents did not reply to this question, which could indicate that they did not know whether or not their organisation is a HAP member. As one respondent stated: *'I am working in a very responsible position for an international organisation but you can get an idea of the accountability concerns in that I don't know whether my organisation is a member of HAP'*.

2.2.2 Perceptions of Humanitarian Accountability to different stakeholder groups⁵: Highest levels of accountability to official donors and private donors- Lowest levels to disaster survivors and host governments

The 2007 findings reflected the trend identified in both the 2005 and 2006 humanitarian accountability reports, and indicated that there is still a way to go in improving accountability to all stakeholders, but particularly to disaster survivors and host governments (see Figure 1 below)

⁵ Survey respondents were asked to categorise perceived accountability on a 1-10 scale. For the purposes of this report, the score has been further categorized into High, Medium and Low. High refers to a score of 8-10, Medium to a score of 5-7 and Low to a score of 1-4.



Only 16% of disaster respondents felt that accountability of humanitarian agencies to disaster survivors in 2007 was high. The majority of respondents (58%) felt that accountability was medium and 25% of respondents felt that accountability to disaster survivors was low (1% did not reply to the question). This is an improvement on findings in the 2005 Annual Report, when significantly more respondents (40%) felt that the level of accountability to disaster survivors was 'low'.

Figure 2 below provides a comparison of perceptions of humanitarian accountability to different stakeholders in 2005 and in 2007. It reveals a noticeable improvement in perceived accountability to all groups except official donors, where perceptions of high levels of accountability were 2% lower in 2007 than in 2006.

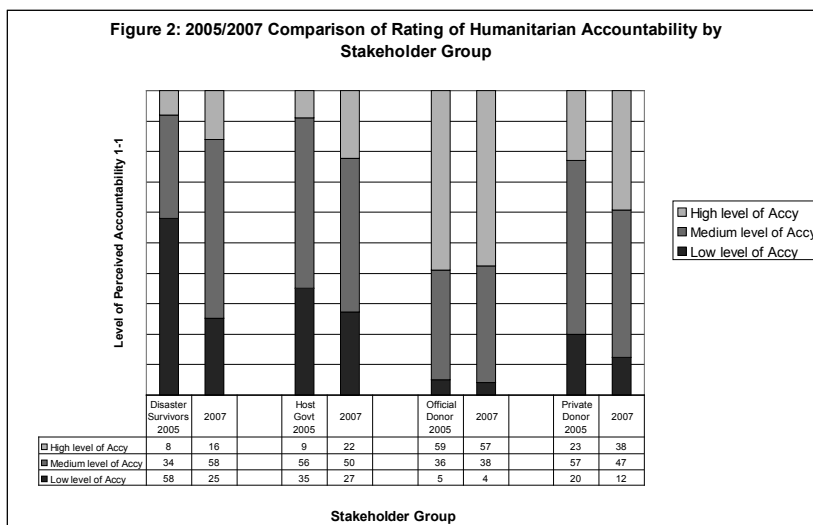
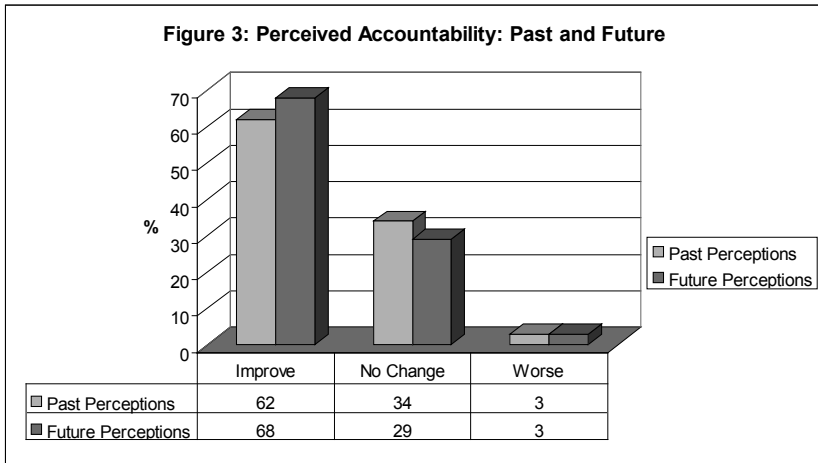


Figure 3 below shows respondents' perceptions of humanitarian accountability in 2007 and their projections for 2008. 62% of respondents felt that overall humanitarian accountability had improved in 2007, with 3% feeling that it had worsened and 34% feeling that there had been no change. The figures are slightly different in relation to projections for 2008, with more respondents believing that the accountability of humanitarian agencies to intended disaster survivors was likely to improve in 2008 (68%). 28% felt that the situation would stay the same and 3% felt that it would deteriorate (1% did not reply to these questions).



There was therefore a growing sense that humanitarian accountability is improving, a finding that is supported when the results are compared with the 2005 survey. Then, only 33% felt that accountability had improved over the preceding year and only 48% felt that it was likely to improve. However, in the 2006 report optimism was greater, with 75% of respondents reporting that humanitarian agencies were becoming more accountable to disaster survivors.

2.2.3. Individual and Organisational awareness and implementation of accountability issues: Contradictory evidence

Respondents were asked to use HAP's definition of accountability⁶ when responding to whether they felt that they and their organisation had sufficient awareness of humanitarian accountability. Caution does need to be taken when interpreting this data as it is based on personal reflection. Some people who may be making considerable effort may be aware that there is a long way to go and therefore be more likely to respond negatively to this question. As one respondent commented: 'Doing "enough" - it is never "enough"!! But, we are serious and committed...'

Caution notwithstanding, the vast majority (82%) of respondents felt that they had sufficient individual awareness and were doing enough to ensure humanitarian accountability. 17% felt that they did not and 1% did not reply to the question. 70% felt that their organisation had enough awareness and was doing enough to ensure humanitarian accountability. 28% felt that they did not. 2% did not reply.

It is worth cross-referencing these findings with the views given by disaster survivors in Chapter 3 below. These beneficiaries' perceptions of agency performance on the HAP humanitarian accountability benchmarks were much less positive. This appears to challenge any simple conclusion that individual humanitarian workers and their organisations have sufficient awareness and are doing enough to ensure humanitarian accountability.

Another discrepancy in the findings is that only 16% of those responding to the perceptions survey felt that accountability to disaster survivors was high. Yet, this same group concluded by a large majority that they and their organisations had sufficient awareness and were doing enough to address humanitarian accountability. Several respondents also added more critical comments, some of which are reproduced below.

⁶ *'Accountability is the means by which power is used responsibly. Humanitarian Accountability involves taking account of, giving an account to and being held to account by disaster survivors.'*

Selected “cautionary” quotes from survey respondents:

‘Especially during emergency situations, agencies tend to make the same mistakes time and again so there is improvement as the situation stabilizes but I have not seen a marked improvement during the emergency phase’

‘I worry that there is increasing interest and increasing discussion and an increasing number of systems being thought about and hoops to jump through but that this isn’t improving our accountability to people affected by crisis.’

‘Although accountability to beneficiaries by some agencies seems to be improving, there hasn’t been a good way to quantify this improvement in real terms.’

‘I personally feel Humanitarian Accountability still remains an area of great concern for the majority of poor and marginalised people. A lot needs to be done in terms of attitudes.’

‘In 2007 what I experienced mostly in terms of accountability was inconsistency... The degrees of accountability depended on the country, the organisation, the individuals within organisations etc.’

‘I must say that the humanitarian organisations involved for the relief and rehabilitation of the earthquake victims [in Pakistan] did not care at all for any accountability. The local staff and international staff are equally responsible for the financial mishaps and misuse of the authority’

‘We all know what is required, but we are locked into a relationship with the donors, who have their own accountability obligations, which are primarily financial and primarily to political authorities and, through those, electorates... So we report to our supporters, make them happy, and whatever the beneficiaries might think, it doesn’t really matter.’

‘A common frustration I’ve experienced... has been the triumph of insecurity over good intentions regarding humanitarian accountability. The mentality of “getting the job done” kicks in, no matter how much energy has been invested into using a responsible approach or seeking feedback along the way’

In terms of ‘who’ felt that they were doing enough, it is worth noting that 86% of field based staff felt that their levels of individual awareness and action were adequate, compared to 79% of headquarters based staff. Levels were highest for field-based practitioners (94%), field based policy/advisory (89%), field based programme management (85%). Headquarters policy/advisory

staff felt that their levels of individual awareness and action were lower than they could be (71%) whereas headquarters programme managers were 89% positive about their individual action and headquarters senior management was 79% positive.

NGOs felt that they had the highest levels of organisational awareness and practice (86% for national NGOs and 75% for international NGOs 75%). Host governments, UN agencies, donors and research agencies felt that they still had a way to go, with only 67%, 49%, 43% and 44% respectively feeling that that their organisation had sufficient awareness and implementation of humanitarian accountability issues. Again, caution should be used when assessing these statistics, as there is a far higher representation of NGOs than other agency types.

Staff in Africa, Asia and the Middle East felt that they had the highest levels of awareness and practice, each scoring over 90%. Respondents from the Americas rated 64% positive, from Europe 72% positive and from the South Pacific 75% positive. It is important to bear in mind the under-representation of the Middle East and the South Pacific in this survey (2% and 1% of respondents respectively).

2.2.4. Increasing levels of discussion and interest around accountability issues

The great majority (78%) felt that there had been an increase in levels of discussion and interest around humanitarian accountability issues over the last year. 18% felt that there had been no change and 3% felt that there had been a decrease in interest.

Interestingly, HAP members felt that they had a greater level of individual awareness and practice (91%) than non-HAP members (73%). They also felt that their organisations had a greater level of awareness and practice (77%) than non-HAP member organisations (61%).

2.2.5. Conclusion

The 2007 Perceptions survey has revealed growing optimism around humanitarian accountability issues. While it is important to applaud the many excellent initiatives that have been taking place, it is important to note that these may not yet have achieved the systematic and wide ranging impact on the disaster survivors themselves, as evidenced by the testimonies below.

Chapter 3

Voices of some disaster survivors

In order to enrich the annual 'Perceptions of Humanitarian Accountability' survey, it was felt important to record the views of people who themselves survived a disaster in 2007. HAP staff in Bangladesh, Pakistan and northern Kenya interviewed over 420 disaster survivors from whom some of the quotes below are drawn⁷. Other comments were received from a further eleven interviewees, drawn from different age groups and communities in Pakistan, who were asked to share their personal experiences of humanitarian accountability in 2007⁸.

The HAP definition of accountability was explained to these informants and the semi-structured interview guide was based on the relevant HAP benchmarks i.e. availability of information and quality of communication, processes for handling and resolving complaints and participation in planning intervention. The findings are presented below in the words of the informants themselves.

3.1. Revealed: Lack of information dissemination

Informants were asked whether they had been given organisational information by the humanitarian organisations working with them⁹. For example, action

7 *The following limitations should be noted: This exercise does not claim to provide a representative sample. Unfortunately, the research had to be cut short due to the fatal attack on an INGO office in Pakistan and the subsequent withdrawal of all INGO staff from the area including the HAP researcher. In Bangladesh, the researchers went to two different field locations but were unable to find informants who could assess whether there had been improvements between 2006 and 2007 as all disaster survivors interviewed were experiencing their first disaster.*

8 *Only one of the interviews in Pakistan was with a woman. The male researcher in Pakistan had arranged for interviews with women disaster survivors but these meetings had to be cancelled due to the security crisis and there was not time to arrange for a female to be present at the newly arranged meetings in the second field location.*

9 *6 INGOs had been operational in the interview location in Pakistan and a number of smaller religious organisations. 2 of the 6 were HAP members.*

plans, accountability frameworks or progress reports. The majority of informants had not seen such information and various perceived reasons for this were given:

'Organisations purposely hide information from communities so that they can act independently without being questioned'.

'Whatever organisations are doing with the communities is not their obligation so they should not be asked for all this information.'

'Most of the organisations share information with the committee and CBO members and influential people which they do not share with the community members.'

It is too much to ask them about all this information they do not even bother to tell us when shall they come to our area and what they want to do.'

Only one organisation (a HAP member) was cited as having given regular information to communities:

'Most of the organisations did not share any of the mentioned information with us. Tearfund in some areas displayed notice boards to share information -notices for community, visit schedule- and maps of their water supply schemes.'

3.2. Improvements in communication by humanitarian organisations between 2006 and 2007: Mixed response

Communication technologies were seen to be a key element of improving or deteriorating communication by humanitarian organisations:

'As local radio has stopped operating in the area, organisations are now unable to communicate effectively'.

'Organisations are making very good use of cellular operations in the area and now communication is lot better as cellular networks are covering more areas.'

'During 2006 many organisations left the area so the communication went down in the quantity terms but in terms of quality it improved because of wider coverage of cellular networks which allowed people living in remote villages to communicate with the organisation. In this regard, organisations made no special effort.'

Interestingly one informant responded to this question by explaining that only after community members had recovered from the crisis situation were they able to find the time to attend meetings:

'Mostly community members have completed building their houses, now they are comfortable and have time to attend meetings because of this they are definitely a lot more aware regarding what NGOs are doing in their area.'

One informant perceived that communication had decreased during 2007 and another explained how he thinks that improved communication would avoid problems:

'During 2007 frequency of communication decreased and its quality also went down'.

'I guess proper and timely communication can bring people very close to the organisations and many problems which come up afterwards can be avoided.'

Informants in Bangladesh also emphasised the importance of communication:

'If you come here to give us something or not, at least you talk to some of us and ask us what we think'

'If I learn about the items [in the relief package] it is good for me because if the value of the items is less than my one day's work I will not go [to the distribution]'

'It is better to feel the truth and know there is no distribution next time than to live with the expectation.' – woman waiting for news about the third distribution round, Patuakhali District, Bangladesh.

3.3. Complaints Procedures: A long way to go...

One informant revealed that the organisation in his community had set up complaint boxes and had acted on at least one of the complaints.

'In my community people used to complain to Tearfund through the complaint boxes set up in the communities. We complained to them about the design of the water supply scheme and they fixed that up.'

However, the response from other informants revealed that significant improvements need to be made in responding to complaints and in setting up mechanisms for communicating responses:

'Very few organisations told us what to do but most of them did not even talk on the issue.'

'[Organisation x] received lots of complaints but responded to few. What they did with the rest I do not know.'

'I went to the office to lodge a complaint regarding a very serious issue but there was nobody to whom I could complain and I came back without complaining.'

'Many people complained against the organisations conducting assessments for housing reconstruction. Some of them were responded to but there was no defined time frame. Many of those complaints have not been resolved yet and community members do not know what is going on.'

'It looks a great idea that we should have a way to complain so that we do not get frustrated and can look for alternative sources to help us.'

3.4. Participation in Planning of actions by humanitarian organisations: Vastly differing experiences

The response to this question was mixed. Where communities have been involved in participatory planning, they appear to be satisfied.

'Organisations listen to us very carefully during the meetings and do what we want them to do most of the time. For example Tearfund has incorporated people's views in their program and always helped us the way we wanted.'

'KIRF (Kashmir international Relief Fund) wants to implement a livelihood rehabilitation program in my village though it is a very low budget program but they have asked us what should be done. I think we can together make it very fruitful for us.'

'Organisations came to us with their programs and discussed with us what would they do and how would they do it.'

However, other informants revealed that their experiences were less than satisfactory.

'Most of the organisations are into numbers game now. They just complete the paper work. When we ask their field staff what are they doing rather than explaining to us, they say that it is a question of their job security and they need to make their bosses happy no matter what they do with communities.'

'NGOs helped people after the disaster. It was very helpful but it would have been even better if they would have consulted local people more as they know all their strengths and weaknesses.'

'Whatever NGOs are doing is very good but it is making people believe that NGOs should do most for the communities and they are becoming more and more dependent.'

3.5 Conclusion

Interviews with this small sample of disaster survivors revealed a mixed range of opinions on issues relating to communication, complaints procedures and participation. Some respondents had good experiences of humanitarian organisations responding to these HAP benchmarks in 2007 but the experiences of other disaster survivors were far from satisfactory.

Chapter 4

The HAP Secretariat Annual Report

Introduction: 2007 was a crucial year for HAP. After extensive research, consultation, testing and review, the HAP Standard and related quality assurance certification scheme were finally launched. The long organisational development process that began with the Humanitarian Accountability Project in 2001 had at last matured into a functioning humanitarian quality assurance system. 2007 was the year for HAP's self-regulatory services to be tested for real. 2007 was a year of transition too; with Building Safer Organisations bringing to HAP a proven capacity in complaints-handling and expertise in tackling sexual exploitation and abuse. 2007 also saw the departure of HAP's first chair, Denis Caillaux, and the Membership Services Coordinator, Zia Choudhury, after four years of keeping faith with a vision that was once dismissed as naïve and impracticable in fora as far removed as Davos, Darfur, Aceh and Abbottabad. This report is dedicated to Denis Caillaux and Zia Choudhury whose commitment to the cause of humanitarian accountability was behind so much of the progress described below and in previous years.

Highlights:

- *Adoption of the HAP Standard in Humanitarian Accountability and Quality Management*
- *Finalisation of the Guide to the HAP Standard*
- *Selection, training and registering of seven HAP auditors*
- *Ten HAP Standard baseline analyses undertaken.*
- *First three agencies certified in Humanitarian Accountability and Quality Management.*
- *Over 40 learning, accountability and quality management workshops delivered*
- *New roving field team deployed and field support strengthened*
- *First HAP regional consultation in Australia*
- *Merger with Building Safer Organisations strengthens complaints handling capacity*
- *Beneficiary Based Consultation: worrying verdict on sexual exploitation and abuse*
- *Four new full members admitted*

- *Membership applications received from Pakistan and Bangladesh NGOs*
- *DFID includes the HAP Principles in new funding guidelines*
- *DEC recognises HAP certification*
- *Economist article raises HAP's profile*
- *33% growth in HAP's income*
- *Management and governance budget 29% under spent*
- *Organisational review completed and change management process initiated*
- *Improved budgeting and financial management system introduced*

While much was achieved in 2007, there was also some slippage when progress is measured against the completion dates and targets set out in HAP's 2007 workplan and the 2007-2009 Strategic Plan. The Secretariat completed 68% of the 71 activities listed in the Workplan, with half of the balance deferred to 2008 and the other half cancelled (details are provided in the tabulated results below). Although total funding increased by 33% over the 2006 position, this growth derived almost entirely from restricted funding for the Building Safer Organisations project, and HAP's general income was 27% below budget. This, compounded by the impact of some donors' grant authorisation processes, which in two cases took up a year to complete, demanded prudent cash-flow management. The Secretariat achieved 29% reduction in management and governance costs, with only 13% being cut from the programme budget. The management savings were achieved largely through cancelled or deferred recruitment, although this meant that the programme was supported by just 70% of the planned human resource capacity.

The chapter is divided into twelve sections, one for each of HAP's operational objectives (1.1 to 2.8) as set out in the 2007-2008 HAP Secretariat Workplan. The sub-headings in each section refer to the key activities scheduled in 2007, exactly as listed in the Workplan. Each section concludes with a brief summary of progress achieved against HAP's strategic objectives as presented in the 2007-2009 Medium Term Strategic Plan (Section 10: "Components of the Approach"). By arranging the report in the same order of objectives and activities used in the Workplan, the coherence of the narrative may have been slightly compromised in the interests of accountability.

Objective 1.1 - Research

To conduct research on the humanitarian and organisational cases for humanitarian quality management and quality assurance

Highlights:

- *“To complain or not to complain: still the question” - Consultations with humanitarian aid beneficiaries on their perceptions of efforts to prevent and respond to sexual exploitation and abuse.*

Research Strategy: In 2007, the Secretariat had hoped to complete three desk studies, two impact studies and two case studies. However, the Research Coordinator’s absence from December 2006 through July 2007 (sick leave followed by maternity leave) prompted a management review of the overly ambitious workplan, and confirmation that HAP would instead pursue its research objectives through the approach envisaged in the 2007-2009 Strategic Plan. This acknowledged that HAP could provide neither a suitable academic environment nor adequate resources for commissioning and managing its own research agenda, and that as a body with a vested interest in demonstrating the business case for humanitarian accountability and certification, it was also not likely to be seen as a source of “independent” and “impartial” research on these topics. However, as HAP would probably be the only organisation willing to undertake some highly specific research subjects, the Strategic Plan envisaged an approach where HAP would advocate for the inclusion of its research interests in the academic programmes of leading aid and international relations research institutions, while directly commissioning occasional research projects on topics of interest only to HAP.

Commissioned studies.

- The annual accountability perceptions study was completed and the results were published in HAP’s 2006 Humanitarian Accountability report.
- A research proposal for examining donors’ perceptions of the importance of humanitarian accountability in their funding decisions was commissioned, but the study was cancelled when it became apparent that the methodology proposed was highly problematic and would yield only anecdotal information at best.
- HAP commissioned research on how humanitarian aid programme participants perceive the impact of activities by humanitarian NGOs to prevent and respond to sexual exploitation and abuse. Between August and November in 2007, 295 beneficiaries participated in sixty-five consultations conducted in three countries; Kenya, Namibia and

Thailand. The results suggest that widely held assumptions of how quickly meaningful change can be achieved, what this requires, and how much it costs; were all off-target.

In summary, although beneficiaries know sexual abuse and exploitation is going on around them and perceive the risks, the vast majority said they would *not* complain about misconduct or abuse. Consequently, complaints are rare and investigations even rarer. “To complain or not to complain” is still a conundrum for most of the beneficiaries participating in the consultation for the following reasons:

- There are too few channels through which to complain.
- Complaints mechanisms are limited to dropping a note in a complaints box or reporting to an individual or chain of people, each of whom will have to choose to take the complaint seriously and pass it “up” for action.
- Lack of confidentiality and of security assurances should they complain.
- Not wanting to make problems for fellow beneficiaries
- Fear of being seen as the trouble-maker who risks creating conflict within their community by complaining.
- Fear of losing aid if they complained about humanitarian agencies’ actions.

Humanitarian staff (volunteer, incentive and salaried) also expressed reluctance to report on fellow aid workers. Fear of retaliation was pervasive, and prohibits most would-be complainants.

On a more positive note, in both Kenya and Namibia, a third or more of consultation participants had been informed about standards of conduct for humanitarian aid workers prohibiting sexual exploitation and abuse.

A report of the findings, to be published in 2008, provides the background, purpose and methodology of the consultation as well as a detailed report for each of the three countries where consultations were held, including country-specific recommendations. The report concludes with an assessment of challenges facing humanitarian agencies in their efforts to prevent and respond to sexual exploitation and abuse, and a set of recommendations for next steps.

Develop Advisory Panel, Reference group and Links with Institutions:

The resignation of the Research Coordinator shortly after the completion of her maternity leave resulted in little formal progress being made to set up an academic advisory panel. However, HAP continued to build links with a wide

variety of research institutions, including Harvard, Tufts, Geneva and London Universities.

Strategic Objective: The 2007-2009 Strategic Plan (Section 10.4) envisaged a shift away from HAP acting as a commissioner and manager of research projects towards an approach that promotes a humanitarian accountability research agenda for adoption by leading academic bodies. HAP did indeed scale back on its own commissioned research work, but due to the resignation of HAP's Research Coordinator, only limited progress was achieved in 2007 in defining HAP's research agenda or establishing formal research partnerships.

Objective 1.2 - Standards Development

To evaluate and revise the HAP Accountability and Quality Management Standard, benchmarks and indicators

Highlights

- *Adoption of the HAP Humanitarian Accountability and Quality Management Standard*
- *Launch of the HAP Standard at General Assembly April 2007*
- *Finalisation of the Guide to the HAP Standard.*
- *Development of a wide range of training materials*

A critical milestone for HAP's organisational development was finally achieved in January 2007 when the Board formally adopted the HAP 2007 Standard in Humanitarian Accountability and Quality Management. This was two months later than had been anticipated in the Strategic Plan and the 2007 Workplan. The major cause of delay was due to delayed recruitment and difficulties encountered in identifying disaster survivors to join the HAP Standard Reference Group experienced in 2005, and because of the unanticipated complexity of the development, testing and adoption processes experienced in 2006 (see the 2005 and 2006 annual reports for more details).

Finalisation of Guide: Work to complete the implementation guide to the HAP Standard had to be delayed until the Standard itself had been adopted. This, combined with an unexpectedly difficult and time-consuming editorial process resulted in the manuscript of the Guide to the HAP Standard being completed eight months behind the 2007 workplan schedule (and 13 months behind the Strategic Plan target date).

Printing of first edition of Guide: The manuscript of the Guide was submitted to Oxfam in September 2007, but this proved to be too late for publication in 2007.

Launch of Standard: Board member Mary B. Anderson and the outgoing Chair, Denis Caillaux, formally launched the HAP Standard during the first HAP certification awards ceremony held during the General Assembly in April 2007. The first two HAP certificates were awarded to OFADEC and the Danish Refugee Council respectively for having successfully demonstrated compliance with the Standard during their respective audits in March and April 2007.

Recruit consultant to develop training materials: This task was undertaken using in-house Membership Services Team capacity, rather than being outsourced as originally planned.

Develop HAP Standard training materials: A wide variety of training materials (on complaint handling mechanisms, accountability self-assessments, introduction to the HAP Standard, developing Humanitarian Accountability Framework, etc) were consolidated throughout the year in response to anticipated demand and specific member requests. In response to a member review and analysis of the original learning and development strategy, it was decided that the TOT approach might not be the best for the achievement of HAP aims. Training resources introducing humanitarian accountability, HAP, and the certification process were developed and published on the website.

Evaluation of HAP Standard: Originally scheduled to start in November 2007, the process for reviewing the HAP Standard was postponed until 2008 as it was considered that it was more important to complete the first wave of certifications and to have a solid body of experience to assess, rather than proceeding with the review simply to comply with the workplan.

Strategic Objective: The finalisation of the Standard took two months longer than originally planned in the 2007-2009 Strategic Plan (Section 10.1), and the publication of the Guide fell a further eight months behind schedule. As the Standard and the Guide were pre-requisites for variously; the promotion of the certification scheme; the membership growth strategy; the accreditation strategy; and the field support methodology; the knock-on effect of these delays was felt across the majority of HAP's strategic objectives in 2007, and these will almost certainly be felt across the whole lifespan of the Strategic Plan.

Objective 1.3 - New Emergencies Policy

To ensure that HAP members implement coordinated, coherent and high quality accountability and quality management practices in humanitarian crises.

Highlights

- *Recruitment of a new roving field team*
- *Broad expansion of services to members in the field*
- *Annual “New Emergencies Policy” workshop*
- *Continuing work in Pakistan*

Develop TOR (for roving team) and funding recovery strategy. The terms of reference for the first HAP Roving Team were finalised in early 2007. The development of the cost recovery strategy was completed during the 2008-9 workplan and budget process in September 2007.

Recruit NEP Manager and Officer: The appointment of HAP’s roving field support team in April 2007 helped to bring about a more energised approach in new emergencies, both as a reflection of growing confidence in what constitutes good field practice, and – according to some members – in response to the Secretariat’s consistent pressure and offers of practical support. HAP’s presence in Kenya and Bangladesh raised the profile of humanitarian accountability, and allowed for immediate and widespread mobilisation of people and ideas.

Develop NEP field methodology: Development of the New Emergencies Policy (NEP) field methodology began in 2007, drawing on lessons learnt during the internal review of the 2006 NEP and the field deployments in the latter part of 2007. Tailoring activities to the needs of interested members, negotiating contracted services and utilising the Standard to assess compliance during monitoring missions have become integral parts of NEP methodology.

Having a new field-based staff member in Pakistan and a roving Field Team meant that HAP’s ability to support members at field sites increased significantly. By working closely with field staff, HAP was able to provide mentoring support and rapid ‘on site’ feedback. The Field Team’s engagement in Northern Kenya was an example of where HAP was able to provide the field component of the Standard baseline analysis service (an integral part of the HAP Certification process) with provision of immediate feedback on how to better apply the HAP Standard.

In Pakistan, HAP's presence in the capital and in earthquake-affected areas has allowed for the sustained delivery of humanitarian accountability advocacy messages to members, non-members, local communities and authorities. The roving Field Team has had similar impact, through increasing significantly the number of HAP briefings and diversity of the target audience.

Review of the New Emergencies Protocol: The process for revising the NEP Protocol began during 2007. The review produced new proposals; for piloting a new approach to reflect member engagement to date; exploring multiple emergency responses rather than focusing on one emergency alone; and joint meetings of HQ and field-based staff

Implementation of the New Emergencies Policy Protocol: In 2007, HAP held three NEP Protocol meetings. The first was for the renewed crises in Somalia, the second covered a number of emergencies including Bangladesh floods, Peru earthquake, Iraqi displacements and the Zimbabwe crisis, while the third focused on Bangladesh alone. The idea of having NEP meetings to discuss multiple crises was well received by members, as was the approach to involve field-based staff in the NEP meetings. As a result, the Roving Field Team was deployed to Kenya, South Sudan and Bangladesh, facilitated individual and collective activities by members in Peru and Somalia, with agreement for 'watching briefs' in other locations.

The team focussed on short and longer-term objectives, for example raising staff awareness and providing support (tools and good practice guidelines) to achieve an immediate increase in accountability to disaster survivors, alongside tailoring approaches to assist agencies to make systemic changes in quality management and field implementation.

Joint activities between HAP and strategic partners, notably other quality and accountability initiatives and inter-agency networks, such as Sphere, Groupe URD, the Inter-agency Working Group, the Listening Project, the Somali Support Secretariat, the Somalia NGO Consortium, and the IASC have taken place in the field, for example, in Kenya, Pakistan and Afghanistan, with plans for work in Somalia.

Following the establishment of the Roving Team, members covered over 80% of the costs of NEP field-based activities. This was linked to the new field deployment methodology, where field support is targeted towards members that are willing to contribute towards the costs of deploying the mobile team, and that commit to monitoring compliance with the HAP Standard.

Pakistan Programme

Active since October 2005, the Pakistan Program continued throughout 2007.

- **Awareness raising and training:** Accountability training workshops were conducted in the areas where NGOs are working in large numbers, and nearly 300 staff of members and non-members attended HAP's training courses in 2007.
- **Field Monitoring and Capacity Building:** During 2007, field-monitoring visits were made with Care International, World Vision, CAFOD, ACTED and Concern Worldwide. The reports for all these visits were shared with respective agencies within two weeks of each assignment and a separate report was made publicly available online.
- **HAP Survey:** 158 aid workers from 15 agencies participated in HAP's survey to measure the accountability deficit in Pakistan, as perceived by aid workers. These include a number of HAP member agencies in Pakistan, and some of their national and local implementing partners. 44% of respondents felt they have a significant understanding of the concept of accountability to beneficiaries. However, the remaining 56% of respondents identified gaps in their knowledge or practice of humanitarian accountability.
- **Strategic partnerships and external events:** HAP participated in a number of collaborative seminars with other agencies and quality and accountability initiatives, such as Sphere and Groupe URD. The objectives of such seminars included highlighting good practices and identifying lessons learned. A number of planned activities had to be cancelled or postponed due to the deteriorating security situation.

Review of NEP/Annual NEP workshop: The annual review of the new emergencies programme took place at the end of 2007 in combination with the Peer Support Group workshop (under 2.1 below). The key conclusion was that accountability and quality management capacity building support from the Field Team should become an integral part of disaster management efforts, particularly in disaster risk reduction. This should take place prior to and after emergencies, while during new rapid-onset emergencies HAP staff should play a lighter monitoring role, working alongside emergency response teams to assist in finding management solutions to accountability challenges.

Strategic Objective: The 2007-2009 Strategic Plan (Section 10.2) highlighted the importance of HAP's field presence while acknowledging that the field support methodology needed to be overhauled. These objectives have been

achieved in 2007, with an approach that is now based upon individual agency support, defined in formal memoranda of understanding, and incorporating a commitment to cost sharing. Assisted self-assessment is designed to provide a field oriented baseline analysis conducted with a relatively light touch, and focussed upon seeking solutions that will bring members into compliance with the Standard.

Objective 1.4 – Certification/Accreditation

To set up the HAP accountability and quality assurance certification system with “accredited” certification franchises

Highlights

- *Selection, training and registering of seven HAP auditors*
- *Ten baseline analyses undertaken against the HAP Standard.*
- *Certification of three agencies against the HAP Standard.*
- *Regional consultation regarding accreditation*

Set up certification system: The inaugural HAP certification was completed in April 2007, providing the first demonstration of the viability of the HAP Standard and its related verification methodology for baseline analysis and certification. This also represented the launch of the first international humanitarian quality assurance scheme.

Report on the applicability of ISO, SGS and Social Audit standards: The 2007-2009 Strategic Plan posed the question whether the credibility and impact of HAP Standard would be strengthened through a formal association with another standard setting body. In her report to the 2006 General Assembly, the HAP Standard Development Manager recommended that HAP retain ownership and control over its standard for the foreseeable future. No further work was therefore undertaken to align the HAP Standard to ISO, SA or SGS.

Train HAP Standard Auditors: By the end of 2007 there were seven trained and registered independent auditors qualified to conduct HAP certification audits. Each auditor took part in a five-day training course held in February 2007, and sat the final examination in order to become registered as a HAP auditor. Auditors are required to take part in a minimum of two supervised audits before they are authorised to lead a HAP audit. HAP Auditors are trained using the requirements listed in the ISO 19011:2002 standard. The HAP web site lists all auditors registered to carry out HAP audits, and their contact details.

First HAP Quality Assurance Certificates issued: HAP’s workplan anticipated seven certification audits during 2007. This target proved to be over-optimistic, mainly because it underestimated both the amount of time that members typically take to decide whether or not to seek certification, and the preparation time required for the baseline analysis and certification audit, a process that takes between 6 and 10 months. HAP was delighted that the agencies that achieved certification were diverse in size and in origin, demonstrating both the scalability and the universality of the HAP Standard and certification scheme.

Agency	Head Office Contact Details	Original Approval	Current Certificate		Certificate Registration No.
			From	To	
OFADEC Office Africain pour le Développement et la Coopération	Villa No. 302 Hann Mariste II Dakar Senegal	4/4/07	4/4/07	3/4/10	A001/0307-H
DRC Danish Refugee Council	Borgergade 10 PO Box 53 1002 Copenhagen K Denmark	24/4/07	24/4/07	23/4/10	E002/0307-H
MERCY Malaysia Persatuan Bantuan Perubatan Malaysia	No. 45B Jalan Mamansa 9 Ampang Point 68000 Ampang Selangor Darul Ehsan Malaysia	28/11/07	28/11/07	27/11/07	AS003/1107-H

Recruit Certification Coordinator: The decision to review and reorganise HAP’s structure following the merger with BSO led to many changes, with the functions of the Certification Coordinator being split between the new posts of Regulatory Services Director and Chief Auditor. The change management process was due to be completed in early 2008.

Negotiate accreditation franchises: The 2007-2009 Strategic Plan anticipated the establishment of up to three HAP certification franchises being awarded to appropriate bodies by 2009. Preliminary discussions were held with ACFID, ICVA, InterAction, the DEC, WCC, ACBAR and several other NGO networks. While these have generated some interest, it has become clear that HAP must first demonstrate demand for its own quality assurance certification scheme before it will be seen as a “franchise-able” product.

Carry out pre audits of agencies (12 in 2007): Agencies were encouraged to first apply for a baseline analysis in order to ascertain their existing degree of compliance with the HAP Standard. Baseline analysis aims to help each agency to clarify its current accountability and quality management status,

understand the steps involved for them to achieve compliance, and then to take informed decisions as to whether to seek certification.

Agencies requesting baselines in 2007 were:

No	Agency	Date	Site	Outcome
1	Danish Refugee Council	Feb 07	Head Office	Certified in April 07
2	Tearfund UK	May 07	Head Office	Applied for certification audit
3	World Vision LTRT – Sri Lanka	June 07	Field Site	Certification Trial carried out
4	World Vision FPMG	July 07	Field Site	Documentation Preparation
5	Christian Aid	July 07	Head Office	Baseline completed
6	Tearfund UK	Aug 07	Field Site	Baseline Completed
7	DanChurchAid	Sept 07	Head Office	Applied for certification audit May 08
8	CARE International	Nov 07	Field Site	Baseline Completed
9	CAFOD	Dec 07	Head Office	Baseline Completed
10	Save the Children UK	Dec 07	Head Office	Documentation review + scope

Run NGO network accreditation workshop: In November 2007, HAP and ACFID (the Australian Council for International Development) co-convened an event in Australia to consult Australian, Pacific and South East Asian regional humanitarian aid networks and agencies about the way forward for certification in accountability and quality management for their region. While confirming much interest in HAP's certification scheme the event also provided evidence that the benefits and cost-effectiveness of HAP's own certification scheme need to be demonstrated more clearly before initiating further moves towards setting up a certification franchise in Australia. This is in large part due to the relatively tough administrative demands required by ACFID's own Code of Conduct, compliance with which is already a necessary pre-qualification for AusAID funding. So while Australian NGOs may be used to certification, many also expressed the view that adding more certification "hurdles" would not be welcomed. HAP's search to establish a certification franchise in the Asia/Pacific region is therefore now likely to switch towards supporting a regional body, such as the Asia Disaster Response and Risk Reduction Network.

Strategic Objective: The 2007-2009 Strategic Plan (Section 10.3) set a target of seven agencies achieving certification by the end of 2007. The fact that the Standard took longer to develop than was anticipated has inevitably meant that the target has been missed. Never the less, completing three certifications in 2007 was a considerable achievement, especially with regard to the commitment demonstrated by the three members who successfully completed the process. However, the delay in finalising the Standard,

combined with the longer than anticipated certification cycle, together meant that the accreditation consultation event in Australia was really undertaken too early. HAP's accreditation policy (Accreditation, the Way Forward, December 2004), recognises that demand for accreditation will only mature once the utility of HAP's own administered certification scheme has been proven.

Objective 2.1 – Membership Services

To provide members with strategic and practical support to assess needs, develop their certification plan, and provide training support to achieve HAP standard.

Highlights

- *Recruitment of 3 new membership support staff*
- *Diversification and expansion of membership services*
- *An increase in tailored workshops and accountability events*
- *Annual Peer Support Group meeting*

Review of members' needs for developing certification plan: Baseline analyses become a major activity in 2007 as demand grew at both headquarters and field locations for assessing organisational development needs for achieving compliance with the HAP Standard.

Develop and disseminate new membership services statement: In 2007 the Secretariat expanded its portfolio of services to provide members with strategic and practical support to assess needs, develop certification plans and provide development support to achieve compliance with the HAP Standard. In addition, HAP provided support for programme reviews, development of new training materials, capacity building via training workshops, drafting accountability work plans, advice on policies, procedures and staff guidelines, coordination of accountability-themed working groups, verbal and written briefings to specified HQ and field-based teams, and development of joint proposals with members.

With the additional field capacity of the Roving Team, the quality and variety of HAP's capacity-building work increased significantly, with workshops being held in Pakistan, Malaysia, Kenya, South Sudan, Bangladesh, Tanzania, USA and the UK. Each workshop was tailored to the specific needs of the participants, and new techniques and fresh styles were introduced. The Pakistan team made use of street theatre groups and invited disaster survivors to events.

The Secretariat also delivered a variety of briefings for members, inter-agency training and agency-tailored workshops, and provided coaching for interested staff at the HQ and in the field. Case studies were developed with members, with a particular focus on capturing levels of beneficiary satisfaction and the quality of the relationship between agencies and local communities.

Different activities and models of engagement with members and non-members in the latter half of 2007 enabled the Secretariat to test and clarify the type of services that would be offered free of charge, at cost recovery and consultancy rates. A membership services statement was drafted, but following the reorganisation of the Secretariat into the policy, development and regulatory service teams, the publication of this was deferred to 2008.

Recruit training officer: In 2007, HAP's membership services capacity was strengthened by the appointment of the Learning and Development coordinator, Barb Wigley.

Support Members to integrate Accountability Work-Plan (AWP) with certification plan: The strategic goal to phase out the use of accountability workplans in favour of certification plans was not pursued following the decision by the April 2007 General Assembly to retain the HAP Statute in its current form. As a consequence submission of, and reporting against, each member's own accountability workplan continued to be a requirement for all full members, with certification being optional rather than obligatory. This led to some confusion and frustration when the members that had been working towards certification realised that this did not exempt them from also submitting an accountability workplan.

Make partnerships with established training institutions: During 2007 preliminary meetings were held with a number of training and educational institutions to promote the integration of humanitarian accountability and quality management into specialist courses and to collaborate on research agendas. RedR, BOND, the universities of London and Geneva were amongst those that HAP maintained contact with.

Roll out 4 regional ToTs; Evaluation of ToTs and in-house revision of materials: The strategy to design and deliver training of trainers (ToT) courses was reviewed in the light of documented experiences of the SPHERE ToTs¹⁰, along with the findings of a training needs assessment with HAP's member agencies, and other evidence gained from responding to specific requests. The review suggested that standard training packages needed to

¹⁰ *The SPHERE Review noted the excellent quality of the ToTs, but acknowledged that many ToT graduates did not use their new skills to train others, or did so poorly, with significant issues around quality control.*

be extensively adapted to the specific needs of clients each time the training was run. As the number of agencies working towards certification increased, so did the demand for capacity building in response to feedback gained from the baseline analysis.

A suite of training materials and resources were developed for the HAP Standard, drawing upon existing resources, the expertise of the Building Safer Organisations team, and newly developed material. Materials were designed in response to demand, and then refined and reviewed according to experience. Some of these materials were made available for download on the website.

Convene annual Peer Support meeting: In December 2007 the Peer Support Group (PSG) Meeting was held in combination with a New Emergencies Policy meeting. Participants shared case studies of change management in strengthening accountability and quality management in their organisations. Lessons learned, success indicators, and common challenges were discussed, recorded and subsequently distributed. The member representatives also identified and prioritized areas of support required from HAP, which included capacity building, field assessments, action research and learning, support to management, support in securing resources for beneficiary accountability work and assistance with communication of accountability messages. HAP staff highlighted support services such as investigations, guidance through the certification process, field based support and facilitation of sharing between members. Other topics included complying with the standard when working through partners, communication between HAP and member focal people, and an exercise exploring the various components of the NEP processes was conducted. Outcomes of the two-day meeting included commitments to exchange and distribute a wide range of information between agencies, to develop a draft project proposal aimed at capturing case studies of local partners' experiences in strengthening the quality and accountability of their work, to distribute the draft AWP guidelines to PSG members for their comments, and to ensure the ability to share case studies and tools between members through the new HAP website.

Strategic Objectives: The 2007 targets in the 2007-2009 Strategic Plan for field support (Section 10.2), capacity building (Section 10.15) and quality management (10.14) were largely achieved through the delivery of better membership services, and in particular in developing the baseline analysis service that provided high value organisational development consulting services at subsidised rates for members. The strategic objective to phase out accountability workplans in favour of certification plans was not realised due to the decision of the General Assembly to retain the current HAP Statute. However, throughout the year, the high volume of demand from members could not be fully met by the Membership Services Team, an indication of

the need to increase the supply of “accountability champions” amongst the membership who can also respond to demands from other members for accountability training, coaching and mentoring.

Objective 2.2 – Complaints Handling

To review and investigate complaints in line with the Complaints Against Member Agencies Procedure (12/03)

Highlights

- *Merger with the Building Safer Organisations project*
- *Eleven BSO Investigations Learning Programme and complaints handling workshops*
- *Beneficiary Based Consultation completed*

Convene Complaints Review Committee and initiate investigations as necessary. The 11th Board meeting appointed a new standing Complaints Handling Committee, but as no complaints were received by HAP, this was not convened during 2007.

Develop “Expert Witnessing” capacity (possibly through merger with Building Safer Organisations project – subject to negotiation with ICVA): The Building Safer Organisations project (BSO) was created in 2004 as part of a global partnership to prevent and respond to sexual exploitation and abuse by aid workers. The goal of the project was to build the capacity of humanitarian agencies to introduce safer and more accessible complaints mechanisms and to improve the quality of investigations when complaints are received.

In April 2007, BSO merged with HAP as the next logical step in supporting organisations to receive and respond to complaints through a more professional, comprehensive and systemic quality assurance mechanism. The project has since evolved into the Complaints Handling Unit of HAP and broadened its goal to general complaints management (complaints mechanisms and investigations procedures), while maintaining its focus on response to sexual exploitation and abuse.

HAP has built member capacity in complaints management by conducting eleven BSO Investigations Learning Programmes and complaints handling workshops. Partnerships with regional networks and NGOs dedicated to eliminating the sexual exploitation and abuse of disaster survivors have expanded through organising regional network meetings and trainings on

complaints management. The highlight of the unit's output in 2007 is the Beneficiary Based Consultation (BBC). This consultation was conducted to ascertain beneficiaries perceptions on accessibility to complaints mechanisms and effectiveness of NGO measures to prevent and respond to sexual exploitation and abuse. The findings of the BBC are currently being analysed and the report will be launched in 2008.

The HAP/BSO merger was a timely and key strategic accomplishment, enabling an existing specialised complaints handling body to be integrated into HAP's more holistic quality assurance system.

Strategic Objective: The 2007-2009 Strategic Plan (Section 10.7) recognised that HAP's mandated responsibility to "*assist members in finding solutions where concerns or complaints are raised about them*" (HAP Statute: Objectives - Article 5.5) could not be achieved without first developing specialised "expert witness" capacity. This strategic objective was fully achieved through the merger with BSO. The addition of BSO's particular expertise in investigating sexual exploitation and abuse also enabled HAP to assist its members in tackling a particularly critical and egregious accountability problem that the humanitarian community at large had pledged itself to address. Furthermore, the merger with BSO expanded HAP's donor base and brought HAP's work to the attention of a large network of trained complaints investigators and to many non-members of HAP, and into new relations with the UN system.

Objective 2.3 - Growth of Membership

To grow the membership of HAP to 25 members by mid 2007

Highlights:

- 4 new full members
- No new associate members

Review new membership applications: Six membership applications were received of which four were approved, bringing the total number of full members to nineteen by year's end. The new full members were Concern Worldwide (first member based in Ireland), DanChurchAid, ACFID (first "network" member and first associate member to convert to full membership) and ACTED (first member based in France). All added to HAP's diversity. The other two applications received in 2007 were due to be reviewed by the Board in early 2008.

Propose to Board and General Assembly new membership engagement criteria and procedures as per the strategic plan:

The membership growth targets in the 2007-2009 Strategic Plan (section 10.5) were predicated upon the assumption that membership would be redefined into three categories: “*certified member*” (those holding a valid HAP certificate), “*partner member*” (founding members and donors) and “*associate member*” (agencies registering their intent to seek certified membership status). As noted above, the proposal to create the new categories was not adopted by the General Assembly in 2007. One effect of this was to ensure that the associate membership category remained unpopular, because full-member status could still be achieved with a relatively light degree of commitment, and without undertaking the more rigorous compliance test afforded by the HAP certification process.

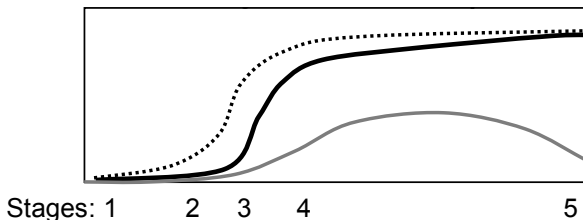
Run four accountability promotional events per year:

Accountability workshops and events were developed as one or two day sessions for a range of humanitarian workers and stakeholders, dedicated to discussing and advocating for humanitarian accountability, using presentations, experiential exercises, briefings, debates and quizzes, for example, to raise awareness and interest in HAP’s message. In 2007, events were held in the Netherlands, Malaysia, Pakistan, Kenya and Bangladesh.

Strategic Objective:

The slower than expected finalisation of the HAP standard, the late start of the certification scheme and the delayed publication of the Guide to HAP Standard together justified postponing the planned membership recruitment drive. By the end of 2007 full membership had reached 76% of the target in the 2007-2009 Strategic Plan (section 10.5) but the decision to not change membership categories in accordance with the strategic plan meant that associate membership remained unattractive to agencies, with no chance of the target being achieved in the foreseeable future.

Planned and Projected Membership Growth Curves



While missing the membership growth target was a cause for concern, the adoption of innovations, such as HAP’s certification scheme, typically follows an “S” curve as illustrated in the diagram above, where growth at the beginning comes almost exclusively from a relatively small group of pioneers, or “early adopters” willing to invest in a relatively unproven product. Fast growth in

stage 2-3 of the curve comes with the participation of the “early majority”, followed in stage 3-4 with the arrival of the “late majority”, leading to near market saturation. HAP is probably still at stage 1-2 where the cumulative delays in completing several key elements of the certification system has had the effect of making the real growth curve follow the path of the solid black line compared with the planned growth represented by the dotted line. As a consequence the strategic targets for membership will take a year or so longer to achieve. However, what remains unclear is whether the absence of stronger internal incentives for certification resulting from the policy to make certification obligatory for full members will in fact have the effect of delivering a growth curve represented by the grey line, where the enthusiasm of the early majority is dulled by reports of limited benefits coming from the early adopters. The mid term review of the 2007-2009 strategic plan will analyse this question more thoroughly.

Objective 2.4 - Advocacy

To promote the widest possible adoption of and support for the principles of humanitarian accountability

Highlights:

- *First HAP Certificates awarded*
- *Economist article on HAP*
- *DFID decision to include the HAP Principles in the new funding guidelines*
- *DEC recognition of HAP certification*

Representation at strategic humanitarian forums: In 2007 HAP staff took part in numerous conferences, workshops and meetings:

- participated in two Good Humanitarian Donorship meetings
- participated in one ALNAP biannual meeting
- participated in high-level peace building meetings in Geneva (presented paper) and Oslo
- lead sessions on accountability in two ATHA training courses (Sweden)
- presented paper on certification to UNHCR pre-ExComm
- presented paper on certification to the VOICE General Assembly
- presented paper on accountability to the LWF annual forum
- gave a keynote address at Merlin’s AGM
- briefed British Red Cross
- made a presentation at BOND workshop (London)
- made a presentation at ADRRN (Malaysia)

Design Accountability Award: The design for the HAP Certificate in Humanitarian Accountability and Quality Management was finalised in time for the first award ceremony in April 2007.

Arrange the Annual HAP Public Debate (part of Annual GA): The certification award ceremony replaced the annual debate in 2007. There was a lively discussion following Mary B. Anderson's keynote address.

Launch Accountability and Quality Management Campaign: The collective energy of HAP staff devoted to advocacy and communications was considerable, although it would be an overstatement to suggest this amounted to a "campaign". The decision to not fill the post of HAP Communication Manager in early 2007 meant that the Secretariat did not have the capacity to sustain a campaign. However, the launch of the HAP Standard enjoyed favourable coverage in the Economist and in several other media articles. The decision by DFID to include compliance with the HAP Principles in the new humanitarian funding guidelines, the Disaster Emergencies Committee's recognition of HAP Certification in its new accountability framework, and the references to HAP in the ECB Good Enough Guide were three important examples of the growing brand recognition being achieved by HAP.

Inaugurate Annual Accountability Awards: The first accountability award ceremony was held in April 2007, with OFADEC and the Danish Refugee Council being the first recipients of the HAP Certificate in Humanitarian Accountability and Quality Management.

Re-launch HAP bi-monthly newsletter: Three newsletters were circulated in 2007, two issues of BSO's Investigator and one issue of the HAP Accountability News.

Strategic Objective: The 2007-2009 Strategic Plan identified advocacy as the key tool for scaling up HAP's impact across the sector. The main focus was meant to be a campaign built around an annual awards ceremony, highlighting the achievements of outstanding agencies and individuals. While HAP instituted the first certification award ceremony in 2007 with limited resources, it did achieve positive media coverage and widened brand recognition.

Objective 2.5 - Marketing

Building Support for HAP's mission

Develop new communications materials to promote the HAP Standard, Certification and Complaints Handling: This objective, originally assigned to the unfilled post of Communications Manager was deferred to 2008.

Strategic Objective: The 2007-2009 Strategic Plan (Section 10.9) envisaged a marketing strategy focussed entirely on recruiting new associate members within a broader framework of promotion of the HAP Standard and Certification scheme. The plan also concluded that there was no value in re-branding HAP, as there was evidence of growing positive brand recognition within the humanitarian community of HAP. Cash-flow uncertainties led to the decision to defer recruitment of the Communications Manager, and this has clearly constrained progress on this objective. However, the lack of incentives for joining as an associate member remained a factor in explaining the decision of interested agencies to either withhold their applications or to seek full membership instead.

Objective 2.6 - Website development

To make the HAP website the most authoritative and interactive source of information and debate about humanitarian accountability on the Internet

Redevelop website with consultant: Following careful market research, the redesign of the HAP website was awarded to Fruity Solutions, a small company that was recommended by Mango and People in Aid. By the end of 2007, the new website was nearly ready for its launch. Most staff had been trained in the use of its user-friendly content management system.

Ensure website content is up to date, relevant, useful and meeting members needs: While HAP was obliged to continue using the old website with its more awkward management and user interfaces, it provided a reasonably up to date service throughout 2007 and recorded continual growth in visitors and downloads with an average of over 200 visitors per day.

Strategic Objective: The 2007-2009 Strategic Plan emphasised the critical strategic role to be played by HAP's website (Section 10.10). The new look and functions envisaged in the plan were demonstrated to the Board in November 2007 and were due for launching in early 2008.

Objective 2.7 - Fund-raising and donor reporting

To engage donor support for HAP's objectives and programme

Highlights

- 33% growth in income
- Merger with BSO widens donor support base
- 92% of income through donations, 28% of which is project related

HAP's total annual income increased in 2007 by 33%. This was largely due to the acquisition of donors linked to BSO. AusAID, USAID's Office of Foreign Disaster Assistance, the US State Department's Bureau of Population, Refugees and Migration and the Oak Foundation together contributed almost CHF 800,000 in restricted funds to the BSO project. HAP's other major donors were AusAID, DFID, DANIDA, Ford Foundation, Irish Aid, the Netherlands, Norway and Oxfam GB. CAFOD, Save the Children, Concern Worldwide, Church World Service Pakistan, MERCY Malaysia and Oxfam GB contributed to specific project funding, such as the Pakistan Phase II and Bangladesh projects.

However, while the aggregate funding picture was indeed positive, there were underlying difficulties that can be seen more clearly when the restricted funding for BSO/Complaints Handling project is excluded from the analysis.

HAP minus Complaints Handling budget & BSO restricted funds in 2007	Swiss Francs	% of adjusted budget
Expenditure budget 2007	2,138,646	
Actual Expenditure 2007	1,719,778	80%
Actual Income 2007	1,654,817	77%

These figures show that HAP's income without the BSO donations was actually 23% below HAP's expenditure budget minus the complaints-handling component. While the BSO project covered its share of HAP's core running costs, a general funding shortfall of this magnitude was bound to have some impact upon HAP's work in 2007. These difficulties were exacerbated by cash-flow concerns (defined as HAP's cash reserves dropping to below two months average expenditure) due to the long grant application cycle of several of HAP's major donors. For HAP the most damaging case was the rejection of a grant application (expected to cover 23% of the total budget) by a major foundation eight months after it had given HAP a clear indication that it was minded to support the proposal. Two other major donors took respectively ten and eleven months to approve HAP's grant applications. Another former donor to HAP had not replied a full thirteen months after the application had been submitted.

Meet donor reporting requirements: The Secretariat met the reporting requirements of all donors.

Recruit Annual Report Writer: The 2006 Humanitarian Accountability Report was compiled by staff, with contributions from an independent consultant who conducted the humanitarian accountability literature review and the

accountability perceptions survey, and from member agencies that submitted highlights of their annual accountability workplan implementation reports.

Publish the Annual Humanitarian Accountability Report: Following extensive revision of the 2006 humanitarian accountability review requested by the Board, the 2006 Humanitarian accountability Report was printed and distributed in September 2007.

Prepare Evaluation Terms of Reference: As 2007 was the first year of implementation for the 2007-2009 Strategic Plan, and in the light of the need to find budget savings, it was decided to defer the evaluation to 2008 when a mid-term strategic review would provide a more appropriate moment for assessing progress.

Strategic Objective: As was anticipated in the 2007-2009 Strategic Plan (Section 10.11) official donor funding provided the great majority of HAP's income. Since the quality, efficiency and effectiveness of official humanitarian aid would be significantly enhanced by the impact of HAP's quality assurance system, there is a strong rationale for this donor base. However, there is more to do to persuade donors that HAP certification is a powerful tool for meeting a large number of the Good Humanitarian Donorship Principles. Membership fees combined with other self-generated funds reached 8% of HAP's total income, on track with the strategic growth target. However, the general funding shortfall and several long delays in grant approvals again indicated the need for a larger financial reserve.

Objective 2.8 - Management and Governance

To ensure effective, efficient, transparent and accountable management of the organisation

Highlights

- *Management and governance budget 29% under spent*
- *Organisational review completed and change management process initiated*
- *Improved budgeting and financial management system introduced*

Throughout the year, prudent management ensured that the shortfall in HAP's general funding was absorbed mainly through cuts in the planned management expenditure, while programme activity was, as far as possible, protected.

	Budget	Expenditure	% actual/budget
Management/Governance	910,300	652,445	71%
Programme - BSO	1,228,346	1,067,333	87%
Programme + BSO	1,390,846	1,661,806	119%

Therefore, while HAP's overall funding situation looked healthy, the shortfall in general funds combined with some donors' slow grant application review processes had the following impact:

- Recruitment for the Communication Manager post was frozen. Most communications and advocacy activities were adversely affected. The proposed accountability campaign was deferred and the HAP newsletter was not re-launched.
- Recruitment for the Administrative Assistant post was deferred from January to November.
- Temporary maternity leave cover for the Research Coordinator was cancelled. HAP's research activities were disrupted as a result.
- The proposed evaluation was deferred to 2008.
- Training materials were produced in-house rather than being outsourced as planned
- Website redesign was delayed by several months

Convene 2 Board Meetings per year: Following the 2006 board decision to meet twice a year rather than three times a year, the HAP Board met in April 2007 to review the annual report, and again in November, after a one month postponement, to review the Secretariat's work plan and budget for 2008-2009.

Convene 1 General Assembly per year: The General Assembly took place on 25-26 April and was concluded with an open session on the HAP Standard and Certification scheme. The Assembly was attended by more delegates than ever before. After four years service, the Chair of HAP International, Denis Caillaux (Secretary-General of CARE International) stood down due to his imminent departure from CARE International. The new Chair, Andreas Kamm (Secretary-General of the Danish Refugee Council) was unanimously elected in June 2007.

Prepare and revise budget: The 2008-2009 HAP Workplan and Budget were prepared in September, several months after the merger with BSO. The planning process highlighted the need for extensive organisational change and as a result the Secretariat proposed a major reorganisation into four work clusters: Policy Services, Development Services, Regulatory Services, and Management and Governance.

- The **Policy Services** team will prioritise the following activities:
 - Promote the HAP research agenda – “the business case for accountability and quality management” with selected academic fora and networks, with a co-convened conference targeted for late 2009.
 - Commission research – but far fewer studies, and only on subjects where HAP enjoys a special research advantage.
 - Coordinating the review and revision of the HAP Standard.
 - Developing a comprehensive suite of HAP training modules and tools.
 - Preparing the HAP annual report and other key communications materials.
 - Launching and coordinating the new HAP website.

- The **Development Services** Team will provide a demand driven programme of support to member agencies both at headquarters and in the field with the following priorities:
 - Supporting and strengthening leadership for the promotion of humanitarian accountability and quality management.
 - Facilitating compliance with the HAP 2007 Standard through the provision of introductory workshops, organisational baseline analysis, and responding to specific service requests, involving significant cost recovery from members.
 - Field support within the framework of the New Emergencies Protocol, including the continuation of the locally-staffed operation in Pakistan.
 - Specialised training support for establishing complaints-handling systems, with a continued focus upon delivering the BSO Sexual Exploitation and Abuse investigation training workshops and strengthening of the regional BSO networks.

- The **Regulatory Services Team** will prioritise the following activities:
 - Managing the certification audit process, funded largely through cost recovery, managed by an independent Chief Auditor supported by other HAP certified auditors, with the necessary training and quality assurance checks.
 - Designing and setting up one or two franchised certification schemes through HAP accredited bodies.
 - Establishing, supporting and administering the Certification and Accreditation Review Board (CARB).
 - Conducting investigations on a full cost recovery basis on behalf of members as required.

- The **Management Team** will prioritise the following activities:
 - Supporting the Board and General Assembly, with a special emphasis upon establishing the CARB and securing the involvement of independent board members
 - Managing the Secretariat, recruitment of new staff and preparing for the mid-term 2008 strategic review to inform the preparation of the 2010-2012 medium term strategic plan
 - Reviewing the complaints against member agencies procedure
 - Strengthening strategic relations especially with regard to the members of the Quality and Accountability Initiatives group and the Good Humanitarian Donorship initiative.
 - Strengthening HAP's fundraising and marketing, partly through including a fundraising and marketing function in the new team leaders job descriptions, and through the launch and wider dissemination of a membership services statement.

HAP's 12th Board Meeting approved the 2008-2009 Workplan and Budget in November 2007. A change management process was initiated in December, designed to maximise opportunities for internal redeployment and to minimise redundancies. By the end of the year good progress had been achieved, but several posts remained unfilled and external recruitment for these was initiated.

The 2008-2009 budget was developed with a more sophisticated coding system that will enable much more effective budget monitoring and reporting.

Produce monthly and annual financial management reports: The Secretariat prepared quarterly rather than monthly financial reports, although

the regularity and timeliness of these was sometimes affected by external factors beyond the Secretariat's control.

Arrange Annual Audit: The 2006 Audit was completed satisfactorily, and the accounts were approved by the General Assembly.

Review HAP reward policy

- A standard salary scale was introduced for the first time in December for implementation in 2008.
- A draft Code of Conduct for HAP Staff and Consultants was prepared for consultation with HAP Staff in early 2008
- A start was made with the review of the 2003 Staff Regulation.

Strategic Objectives: The decision by the General Assembly to retain the existing membership categories meant that a key governance objective in the 2007-2009 Strategic Plan (Section 10.12) was not achieved as planned. The slower than anticipated pace of certification meant that the reform was tabled before confidence in the certification scheme had been fully established. The decision to not provide a dedicated seat at the Board for a representative of the Good Humanitarian Donorship Initiative was also a setback for the governance and strategic partnership objective (Section 10.13)

Objectives	Key Activities	Dates	Status
coordinated, coherent and high quality accountability and quality management practices in humanitarian crises.	<ul style="list-style-type: none"> Develop New Emergencies Policy field methodology Revise New Emergencies Protocol Implementation of New Emergencies Protocol (deployment NEP staff/ distance support) Review/ evaluation of 2006 NEP Annual NEP Workshop 	<p>02/07</p> <p>02/07</p> <p>03/07 onwards</p> <p>01/07</p> <p>06/07</p>	<p>✓</p> <p>✓</p> <p>✓</p> <p>✓</p> <p>✓</p>
1.4 – Certification/Accreditation To set up the HAP accountability and quality assurance certification system with “accredited” certification franchisees.	<ul style="list-style-type: none"> Set up Certification System (Reference Board; Audit Guidelines; Process) Report on the applicability, relevance and appropriateness of ISO standards, the SGS NGO Benchmark, Social Audit 8000 and similar Train HAP Standard auditors Align HAP to ISO, SA or SGS Standard First HAP Quality Assurance Certificates issued Recruit Certification Coordinator Negotiate accreditation “franchisees” Carry out pre audits of agencies (12 in 2007) Carry out 7 certification audits Run NGO network accreditation workshops (1 in 2007) 	<p>01/07 - 04/07</p> <p>02/07</p> <p>02/07 - 03/07</p> <p>04/07 - 02-08</p> <p>05/07</p> <p>04/07 - 06/07</p> <p>09/07 - 12/08</p> <p>02/07 - 12/08</p> <p>05/07</p> <p>10/07 - 10/08</p>	<p>✓→</p> <p>✓</p> <p>✓</p> <p>☒</p> <p>✓</p> <p>→</p> <p>→</p> <p>✓→</p> <p>✓→</p> <p>✓</p>

2. Developing the Partnership: To strengthen and expand HAP’s membership.

Objectives	Key Activities	Dates	Status
2.1 – Membership Services To provide members with strategic and practical support to assess needs, develop certification plan and provide training support to achieve HAP standard.	<ul style="list-style-type: none"> Review of members’ needs for developing certification plan Develop and disseminate new membership services statement Recruit training officer Support members to integrate AWP with certification plan Make partnerships with established Training institutions Roll Out 4 regional TOTs over 2 years Evaluation of first 2 TOTs and in-house revision of materials Convene annual Peer Support Meeting 	<p>01/07</p> <p>03/07</p> <p>11/06-02/07</p> <p>Ongoing</p> <p>04/07</p> <p>07/07-10/08</p> <p>12/07</p> <p>09/07</p>	<p>✓</p> <p>✓→</p> <p>✓</p> <p>✓</p> <p>✓</p> <p>☒</p> <p>☒</p> <p>✓</p>
2.2 - Complaints Handling To review and investigate complaints in line with the Complaints Against Member Agencies Procedure (12/03).	<ul style="list-style-type: none"> Convene Complaints Review Committee and initiate investigations as necessary Develop Expert Witnessing Capacity (possibly through merger with Building Safer Organisations Project - subject to negotiation with ICVA) 	<p>Ongoing</p>	<p>✓→</p>
2.3 - Growth of Membership To grow the membership of HAP to 25 members by mid 2007	<ul style="list-style-type: none"> Review new membership applications and make recommendations to the HAP Board Propose to Board and GA new membership engagement criteria and 	<p>03/07</p> <p>Ongoing</p> <p>04/07</p>	<p>✓</p> <p>✓</p> <p>✓</p>

Objectives	Key Activities	Dates	Status
	<ul style="list-style-type: none"> procedures as per strategic plan. Run four accountability promotional events per year for prospective members 	03/07-12/08	✓
<p>2.4 – Advocacy To promote the widest possible adoption of and support for the principles of accountability to humanitarian beneficiaries</p>	<ul style="list-style-type: none"> Representation at strategic humanitarian forums by secretariat staff and other key accountability advocates (board members, consultants etc) Design Accountability Award Arrange the Annual HAP Public Debate (part of Annual GA) Launch Accountability/Quality Management Campaign Inaugurate Annual Accountability Awards (part of Annual GA) Re-launch HAP bi-monthly Newsletter 	Ongoing 02/07 02/07 03/07 04/07 04/07	✓ ✓ ✓ → ✓ ✓
<p>2.5 – Marketing Building support for HAP's mission</p>	<ul style="list-style-type: none"> Develop new communication materials to promote the HAP Standard, Certification and Complaints Handling/Expert Witness services 	05/07	→
<p>2.6 - Website development To make the HAP website the most authoritative and interactive source of information and debate about humanitarian accountability on the internet</p>	<ul style="list-style-type: none"> Redevelop website with consultant Ensure website content is up to date, relevant, useful and meeting members needs 	03/07 Ongoing	✓ ✓
<p>2.7 - Fund-raising & donor reporting To engage donor support for HAP's objectives and programme</p>	<ul style="list-style-type: none"> Meet donor reporting requirements Recruit Annual Report Writer Publish the Annual Humanitarian Accountability Report Prepare evaluation Terms of Reference 	Ongoing 01/07 04/07 04/07	✓ ✓ ✓ →
<p>2.8 - Management & Governance To ensure effective, efficient, transparent and accountable management of the organisation,</p>	<ul style="list-style-type: none"> Convene 2 Board Meetings per year <ul style="list-style-type: none"> Budget Annual Report Convene 1 General Assembly per year Prepare & Revise budget Produce monthly and annual financial management reports Arrange annual audit Review HAP reward policy with support from Chair 	10/07 04/07 04/07 09/07 Ongoing 02/07 09/07	✓ ✓ ✓ ✓ ✓→ ✓ ✓

Summary of results:

Activities	Number	Percentage of total
Completed	48.0	68%
Deferred	11.5	16%
Cancelled	11.5	16%

Chapter 5

Members Accountability Workplan Implementation Reports

One of the obligations incumbent upon full members of HAP is the submission of an annual accountability workplan implementation report setting out progress achieved and challenges experienced in putting humanitarian accountability into practice. Annual reports were not due from members that joined HAP in 2007; and therefore some of these members are not represented in the list of reports below. However, two longer standing members did not submit reports. All reports were submitted to HAP using a standard tabulated format, and are reproduced below with only minor formatting changes. Presented in alphabetical order, humanitarian accountability workplan implementation reports were received from:

1. Australian Council for International Development (ACFID)
2. CAFOD
3. CARE International
4. Christian Aid
5. COAST Trust
6. Concern Worldwide
7. Danish Church Aid
8. Danish Refugee Council
9. MANGO (associate member)
10. Medair
11. MERCY Malaysia
12. Office Africain pour le Développement et la Coopération (OFADEC)
13. Oxfam GB
14. Save the Children UK
15. Tearfund
16. Women's Commission for Women Refugees and Children
17. World Vision International

<p>1. Australian Council for International Development (ACFID)</p> <p>Preamble / Introductory comments</p> <p>Through ACFID's transition from Associate membership to full membership, ACFID has continued in its' primary role of promoting the HAP standard to ACFID members. ACFID has not undertaken any program delivery functions apart from the original mandate. Therefore, in completing the following report, it is appropriate for ACFID to report against those criteria/aspects that relate to activities, achievements and challenges in promoting the HAP Accountability Principles.</p> <p>In August 2007, HAP entered into a 12-month contract with the Australian Government (AusAID). ACFID has been contracted by HAP to provide services in the order of promotion of the standard and benefits of HAP membership and further work on establishing an accreditation system.</p>		
<p>Key goals for 2007</p> <p>Promotion of the standard and benefits of HAP membership to ACFID members</p>	<p>Achievements / challenges / lessons learned</p> <ul style="list-style-type: none"> • ACFID conducted a 2-day workshop on HAP involving key Australian and Asia Pacific NGO representatives and the HAP Secretariat. • ACFID has provided ongoing promotion of HAP through the ACFID website and email bulletins. • ACFID has also actively promoted HAP by keeping the ACFID Humanitarian Reference Group (an expert humanitarian working group) informed on HAP activities and updates. <p>Plans to establish an accreditation system is dependent on the interest of NGOs in Australia and the region. At present there has been no take-up of HAP in the region.</p>	<p>2008 objectives</p> <p>ACFID will continue to promote HAP to its members and the broad NGO sector in Australia and the Asia Pacific region in 2008</p>
<p>Further work on establishing an accreditation system.</p>	<p>Plans to establish an accreditation system is dependent on the interest of NGOs in Australia and the region. At present there has been no take-up of HAP in the region.</p>	<p>Subject to interest, ACFID is interested in establishing an accreditation system.</p>
<p>2. CAFOD</p> <p>Preamble / Introductory comments</p> <p>This report is against the interim AWP submitted for the period October 2007-October 2008. Following the baseline study (Dec 07) we are in the process of redefining our workplan in order to address the priority areas for action identified by the study. The process and outcome has resulted in much insight into the way that we work and offered valuable recommendations. Within the "2008 objectives" column in this report, not all activities noted are necessarily feasible for completion within 2008; they form part of the longer term plan of action emerging from the baseline study, and the definitive timetable for this still needs to be agreed internally. Their inclusion here however will provide a reference point for ongoing feedback on progress to HAP.</p>		

<p>2. CAFOD</p> <p>The main areas identified for change are: finalisation/publication of a humanitarian accountability framework; establishment of a comprehensive complaints mechanism that builds on existing feedback and grievance systems; establishing a capacity development strategy which incorporates beneficiary accountability.</p> <p>Partly through the process of undergoing the baseline study HAP has gained increased interest and momentum within the organisation at all levels. Certification is now a live issue currently proceeding on a "when and how" rather than "if" basis.</p>	<p>2008 objectives</p> <ul style="list-style-type: none"> • Ensure incorporation of HAP principles and practice are embedded into CAFOD's PCM, develop specific indicators following baseline study findings/ recommendations • Disseminate Baseline study report and findings effectively across CAFOD • Develop comprehensive HAF
<p>Key goal for 2007</p>	<p>Achievements / challenges / lessons learned</p>
<p>1. A humanitarian quality management system (HQMS) (Principles 1, 2, 5 & 7)</p>	<p>PCM guidelines include specific guidance on humanitarian quality standards and principles / challenge to ensure that all systems are interlinked in order that each mechanism is applied and quality assured</p>
<p>1. Incorporate HAP principles into CAFOD's Programme Cycle Management (PCM)</p>	<p>Baseline study completed December 07, Findings reported Feb 08. Next steps are to devise a comprehensive communication strategy of the findings across CAFOD. The baseline showed that CAFOD is in a good position to demonstrate good accountability principles and has a good foundation from which to develop.</p>
<p>2. Undertake Baseline Study</p>	<p>Accountability working group initiated within CAFOD and AWP developed. Key strategic meetings held with directorate regarding baseline report and certification processes.</p>
<p>3. AWP is reviewed and updated or pursue Certification, timing</p>	<ul style="list-style-type: none"> • Redraft AWP to take account of baseline study findings • Take decision on timing and content of HAP certification • Set clear strategy for implementing decision and integrating work into systems
<p>4. Country programmes and partners develop understanding and practices of HAP principles and standards.</p>	<ul style="list-style-type: none"> • Some awareness has been raised with CAFOD staff and partners through the baseline process and discussion. CAFOD has aimed to be more explicit about their work towards beneficiary accountability in recent emergency responses. • Challenges remain to systematically ensure that we continue to integrate principles and monitor / evaluate work against the standard.
<p>4. Country programmes and partners develop understanding and practices of HAP principles and standards.</p>	<ul style="list-style-type: none"> • Develop strategic approach to support key CAFOD staff and partners with training and resources in order to improve accountability within CAFOD's humanitarian response work

<p>2. CAFOD</p>	<p>2. Information, Communication, Transparency (Principle 3)</p>		<p>Goals against this area are absent from the interim AWP.</p>	<p>Baseline analysis offers key recommendations to ensure that CAFOD adheres to this benchmark</p>	<ul style="list-style-type: none"> Adapt CAFOD's communication strategy to ensure provision of information to beneficiaries (directly and/or through partners) Develop PCM guidelines and toolkits to ensure that information regarding selection criteria and deliverables of humanitarian programmes are systematically communicated to / accessible by beneficiaries.
<p>3. Participation and Informed Consent (Principles 3 & 4)</p>	<p>Beneficiary accountability is included in strategic planning at country programme level.</p>	<ul style="list-style-type: none"> CAFOD's participation expectations are built in to all core documentation within our PCM system. Challenges arise in quality assurance that the guidelines and tools are being effectively followed and are to standard. 	<ul style="list-style-type: none"> Continue to enhance existing PCM / Web Promise trainings highlights beneficiary participation principles. Widely disseminate Caritas and HAP toolkits to CAFOD staff and partners (HQ and overseas). Develop key indicators to the above within the HAF. 	<p>In liaison with human resources explore how the HAF can be integrated into interview / induction / appraisal processes.</p>	
<p>4. Staff Competencies</p>	<p>Incorporate accountability principles into all staff inductions</p>	<ul style="list-style-type: none"> CAFOD's new HR handbook - CAFOD PEOPLE manual – will be rolled-out to all relevant staff by end May 2008. CAFOD has just signed up to People in Aid. 	<p>Complaints handling mechanism not yet developed.</p>	<ul style="list-style-type: none"> Develop a strategic action plan to build on CAFOD's existing grievance, whistle blowing, child protection and feedback management policies to establish a comprehensive complaints mechanism within CAFOD 	
<p>5. Complaints and Response Mechanisms (Principle 6)</p>	<p>Publication of CAFOD's HQ level complaints handling process</p>	<p>Models developed for implementing complaints handling procedures in the field and one mechanism developed and piloted in at least one country programme</p>	<p>Complaints handling mechanism not yet developed.</p>	<p>Baseline analysis has assisted CAFOD to examine options for the development of a mechanism for HQ and partners within CAFOD / to give necessary time to develop this piece of work</p>	

2. CAFOD	
New Child Protection Policy in force	New CP policy is in force
BSO tally sheet self assessment follow up	CP working group advised of the self assessment outcomes
<ul style="list-style-type: none"> • Aim to increase a specific number of partners awareness of the need to have a complaints handling procedure and devise a plan to support them in the development of such. • Appropriate and relevant beneficiary feedback / complaints handling mechanism developed and piloted in at least one country programme 	
6. Continuous Improvement (Principles 5 & 7)	
Ensure ongoing learning and improvement on accountability issues	<ul style="list-style-type: none"> • The aim is now that accountability issues are integrated into standard TORs for monitoring visits and internal / external evaluations, as well as systematic use of the DAC criteria. However, this is not yet happening systematically across the organisation as there remains no evaluation policy. Evaluations continue to be shared with the ALNAP database. • We are challenged by the use/learning from evaluations undertaken; that learning is not lost but genuinely feeds back into the programme cycle.
<ul style="list-style-type: none"> • Continue to ensure systematic input into each stage of humanitarian programming to ensure the inclusion of accountability issues through PCM / Institutional funding procedures / monitoring • Agree and sign off a CAFOD humanitarian evaluation policy / guideline for inclusion within PCM. • Continue ALNAP engagement and disseminate learning throughout CAFOD and partners. 	
Plans with regard to: undertaking a baseline analysis, a certification audit, or mid term certification review	
Baseline Analysis is completed (Dec 07); a follow up discussion has since been held between HAP and CAFOD senior management with a view to acting on the accountability gaps identified, and exploring what change programme would be helpful to include in a certification for CAFOD, especially in relation to partners.	
Progress in / highlights from the field (if not otherwise covered above)	
<p>Caritas Bangladesh responded to the SIDR Cyclone in 2007 with emergency food, NFI, Cash for Work, Shelter, rehab programmes. The programme sought to integrate HAP principles in the implementation of this programme and Caritas Bangladesh have tried and tested methodologies for ensuring participation and involvement with the community at most stages of their work. They are also an organisation that aims to continually improve and works to integrate real-time learning on key issues throughout the programme implementation. Caritas Bangladesh participated in a 2-day HAP workshop with other HAP partners for the SIDR Cyclone response. At this stage it is difficult to assess how the training influenced the SIDR response but in the future Caritas Bangladesh expect to be more wisely conversant with the HAP application of the HAP principles in their humanitarian work.</p>	

<p>2. CAFOD</p>	<p>Caritas Pakistan programme continues to integrate HAP into its Earthquake Emergency Response Programme working closely with the HAP focal person located in the Caritas Pakistan field office. Due to challenging environmental and communication issues, beneficiaries of the programme were not directly involved in the initial design of the programme. This has consequently caused some confusion and dissatisfaction during implementation. Difficulties have been faced when handling complaints as it has proved challenging to implement a robust mechanism to address complaints in a timely manner resulting in a resolution.</p> <p>Caritas Kenya continues to develop beneficiary accountability work and aimed to apply HAP principles in their emergency response programme to the recent unrest in the country.</p>
<p>Summary / Other comments</p>	<p>There is a growing awareness in CAFOD that the integration of a HAP approach would help in meeting accountability demands coming from other directions. For example, internal and external audit processes, which are increasingly concerned to assess quality standards claimed by the organisation, and also a donor environment that is placing a higher priority on beneficiary accountability than previously. The new DEC accountability framework for example includes assessment of beneficiary accountability standards, and the new DFID humanitarian guidelines require agencies to state their position in relation to beneficiary accountability. These are now important "push" factors in driving the beneficiary accountability agenda within the organisation.</p>
<p>3. CARE International</p>	<p>Preamble / Introductory comments</p> <p>During the past year, CARE International progressed in promoting better accountability on the institutional front as well as during emergency responses, including Peru following the earthquake and Bangladesh in the wake of cyclone Sidr. CARE also commissioned a review of its prevention of sexual exploitation policies and practices. As part of the process of developing a humanitarian accountability framework (HAF), CARE International and five other agencies commissioned a study in April 2007 using resources from the Gates-funded ECB Project to review existing tools and standards (both internal and interagency) with a view to:</p> <ol style="list-style-type: none"> a) Assessing how the various standards, principles and codes of conduct relate to each other; b) Assisting in clarifying what agency staff should actually be accountable for during a given emergency responses, and what should be viewed as guidance; and c) Describing options for compliance systems to ensure implementation of a HAF that are driven by top levels of management, who themselves need to model appropriate behaviours. <p>CARE International used the results of this study as a basis to develop and field test a draft HAF to be used in planning, implementing, monitoring and evaluating humanitarian programs. In its present form, CARE International's HAF currently consists of three components:</p> <ul style="list-style-type: none"> • Humanitarian Accountability Benchmarks – eight benchmarks define CARE's accountability to main stakeholders, with an emphasis on accountability to disaster-affected populations. Compliance against each benchmark is measured using a selection of key indicators linked to CARE's Programming Principles and interagency standards such as Sphere and HAP.

3. CARE International			
<ul style="list-style-type: none"> • Performance Metrics – consists of a set of five sets of indicator that measure a number of outcomes relating to timeliness, program quality and accountability, performance in four core areas and financing during a response to each emergency of significant scale. • Compliance System – a combination of internal and external mechanisms to measure compliance of CARE’s humanitarian operations allow for regular and systematic audit, self-review, interagency peer reviews, monitoring reviews and external evaluations. The results of such processes will be used for organizational learning for continuous improvement and are periodically reviewed by the highest level of CARE’s leadership. <p>Results to date have been encouraging. The basic design has been largely validated and feedback from testing is continuing to both improve the HAF and increase institutional ownership. Together with ongoing “how to” training based on the Good Enough Guide by CARE Standing Team members and Regional Emergency Coordinators, the draft HAF is proving to be a useful tool to help systematize CARE’s approaches towards quality and accountability. Presentations on the HAF at the ECHO Partner’s conference in Dec. 2007 appear to have influenced the development of their own frameworks.</p>			
Key goal for 2007	<i>Achievements / challenges / lessons learned</i>	2008 objectives	
1. Institutional Commitment (Principles 1, 2 & 7)			
Develop and start field testing CARE’s draft HAF	Draft HAF developed and field tested during the Peru & Bangladesh responses, as well as during CARE’s review of our sexual exploitation policies & practices. Results have been positive, but need more concrete “how to” guidance. A key constraint in Peru was, apart from the Good Enough Guide, a lack of guidance materials in Spanish.	Continue HAF field tests through HAP baseline reviews, SCHR & ECB peer reviews. Refine and revise HAF after field testing prior to formal approval by CARE senior management by the end of 2008 and be in a position to fully implement, including compliance.	
Carry out a global review of CARE International’s policies and performance in preventing sexual exploitation.	Study found that all CI members had existing policies and 80% of Country Offices had developed contextualized policies.	Focus of next stage is on improving practice, including through integrating sexual exploitation procedures into the HAF.	
Conduct humanitarian accountability business case study on three field offices.	Study completed. Results were useful, but it proved difficult to obtain precise financial information in many cases since activities are so integrated.	Evaluations using the HAF as a normative framework are expected to provide insights into the business case.	
2. Accountability in humanitarian action (Principles 3,4,6 & 7)			
As a member of the UN’s RTE Reference Group, Care International has been promoting more participatory approaches. CARE’s work on these principles is largely covered under 1, 3 & 4.	After a reasonable first attempt in Mozambique during the RTE “pilot” mandated by the IASC, focus on participation has regressed.	Support action research to identify innovative approaches to better capture beneficiary perspectives during RTEs.	
3. Monitoring and Evaluation (Principle 5)			
After Action Reviews (AARs) and external evaluations are systematically funded, implemented and follow up on by Country Offices.	Learning and accountability activities are now routine, supported by CARE’s Regional Coordinators and Standing Team members. One challenge has been to achieve consistent facilitation.	Develop a cadre of CARE staff who are skilled in facilitating AARs	

<p>3. CARE International</p> <p>Results from evaluations and AARs are made more accessible to decision-makers and other key stakeholders</p> <p>Early deployment of M&E or Quality & Accountability staff following an emergency</p>	<p>Lessons from CARE's and other IWG agencies reports are now available on the web in user-defined synthesis formats.</p> <p>Positive experiences in Peru and Bangladesh, though in future responses CARE will aim for more robust capacities and improved timeliness.</p>	<p>Populate website and, through internal and external consultations, identify the most suitable (i.e. useful) format for lessons. Integrate into compliance system.</p> <p>Reinforce CARE's Standing Team of quality and accountability specialists and aim for more systematic "real time" monitoring systems.</p>
<p>4. Addressing Complaints (Principle 6)</p> <p>Develop and disseminate practical "how to" guidance on complaints systems.</p>	<p>Awareness has greatly increased, as have the number of CARE offices establishing complaints systems. Aceh, Zimbabwe and Peru have all done significant work in these areas and have provided useful learning.</p>	<p>Build awareness through use of HAF as a normative framework. Dissemination of "how to" guidance (e.g. incorporation of case study into CARE Emergency Toolkit)</p>
<p>Plans with regard to: undertaking a baseline analysis, a certification audit, or mid term certification review</p>		
<p>CARE International is currently discussing certification options at various levels within the organization. In its current workplan, CARE has however recognized the potential value of conducting baseline review of the HAP standards to test the HAF and generally raise institutional awareness about humanitarian accountability. The first such baseline was completed in Aceh in late 2007 and HAP's assistance has been requested in conducting baselines during 2008 in Kenya, Pakistan and, at a HQ level, in CARE USA, CARE Canada and at the CARE International Secretariat.</p>		

<p>4. Christian Aid</p> <p>Preamble / Introductory comments</p>	<p>Christian Aid has a strong commitment to issues of accountability and has made great progress over the last two years in working to strengthen accountability to all stakeholders in all areas of its work. In 2007 Christian Aid came top of the NGOs section in the 2007 One World Trust report. This process laid strong foundations in terms of corporate commitment and raising the debate within Christian Aid for us to now work particularly on the area of downward accountability in our humanitarian work.</p> <p>A baseline analysis was undertaken in Christian Aid's head office in July 2007, the findings of which have been integrated in to ongoing process and systems development. Christian Aid continues to focus on building downward accountability into Christian Aid's Humanitarian systems and processes, and to develop case studies from a range of regional programmes, with the aim of putting together recommendations and training materials on how to support partners in improving their accountability to the communities with which they work through capturing good practice and working to resolve gaps in current practices. Downward accountability has been identified as a key priority in the CA Humanitarian Division work plan for 2008-09.</p>
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<p>4. Christian Aid</p>	<p>Key goal for 2007</p> <p>1. Institutional Commitment (Principles 1, 2 & 7)</p> <p>Ensure understanding and commitment to adhere to accountability principles within CA humanitarian programmes</p>	<p>Achievements / challenges / lessons learned</p> <ul style="list-style-type: none"> HAP Baseline analysis undertaken in July 2007 and recommendations fed in to ongoing process and systems development Included as a priority in Humanitarian Division work plan for 2008-09 HAP focal point representing the Humanitarian Division on the Corporate Accountability Group Decision made to recruit Emergency Officer Accountability to sit within the Humanitarian Division Introductory session on HAP held with Africa based emergency staff in June 07 Introductory training conducted in Lebanon on HAP 	<p>2008 objectives</p> <ul style="list-style-type: none"> Recruit Emergency Officer Accountability post to sit within the Humanitarian Division Put together a Humanitarian Accountability Framework for CA Undertake 1 field based HAP Baseline analysis Sessions in quality and accountability in May 2008 Humanitarian Division conference for establishing shared commitment and way forward for quality and accountability within CAs Humanitarian work (including DRR) Broaden the awareness of HAP and issues of quality and accountability across CA through inductions, training opportunities, and sharing of case studies Develop Disaster Management capacity building strategy for CA staff and partners including a module on quality and downward accountability.
<p>2. Accountability in humanitarian action (Principles 3,4,6 & 7)</p> <p>Increase accountability to beneficiaries in CA humanitarian programmes bringing experience from key field partners</p>	<ul style="list-style-type: none"> Training provided to 8 partners in DRC on areas of participation, information sharing and complaints handling. Participatory Capacity Vulnerability Assessments (PVCAs) undertaken in 8 villages. Agreement reached between partners on areas of information to be shared with beneficiaries as standard, and processes of handling complaints. HAP provided training to 3 CA partners in Kenya. Workplan for each organisation identified and partners now following up. 	<ul style="list-style-type: none"> Ensure that all CA funded humanitarian programmes include a budget line for downward accountability Collate the recommendations and findings of on going case studies in downward accountability (DRC, Kenya, Bangladesh) Set up new case studies (Lebanon, India, and Malawi). Other possibilities for future case studies include Sudan, West Africa and Philippines 	

<p>4. Christian Aid</p>	<ul style="list-style-type: none"> • HAP facilitated process of training, field assessment and follow up, in Bangladesh working with one CA partner. Recommendations now being followed up and shared with other partners in Bangladesh. The CA Emergency Response Strategy for Bangladesh will be revised with partners in light of these recommendations. This has produced really useful material for CA and we plan to replicate this in other regions. 	<ul style="list-style-type: none"> • Develop minimum standards in downward accountability for CA funded humanitarian programmes based on findings of case studies • Incorporate minimum standards in downward accountability into humanitarian policies and procedures • Support CA country programmes and partners in raising awareness of accountability issues, and identifying and implementing mechanisms for improving downward accountability • Training of all Humanitarian Division staff on how to undertake real-time evaluations, facilitated self assessments and developing case studies with partners. May 08
<p>3. Monitoring and Evaluation (Principle 5) CA to improve compliance with accountability standards in its humanitarian work</p>	<ul style="list-style-type: none"> • Recommendations from HAP Baseline being fed in to ongoing process and systems development 	<ul style="list-style-type: none"> • Put together a Humanitarian Accountability Framework for CA • Make HAF available on CA website • Set up a complaints mechanism for partners to feedback to CA • Develop minimum standards in downward accountability for CA funded humanitarian programmes based on findings of case studies • Incorporate minimum standards in downward accountability into humanitarian policies and procedures • Set up a complaints mechanism for partners to CA

4. Christian Aid		
4. Addressing Complaints (Principle 6)		
CA set up/reinforce CA systems to receive evidence of beneficiaries' feedback to partners and support partners' systems for responding to beneficiaries' feedback and complaints	<ul style="list-style-type: none"> it's difficult to encourage partners to pilot a complaints mechanism though some (DRC) have begun to include complaints boxes in communities where they work. Partners more readily pilot the areas of participation and information sharing 	<ul style="list-style-type: none"> Set up a complaints mechanism for partners to CA Support at least 1 CA partner in piloting a complaints mechanism
Plans with regard to: undertaking a baseline analysis, a certification audit, or mid term certification review		
<ul style="list-style-type: none"> Following up on recommendations from the Baseline Analysis undertaken in July 07 Aim to undertake a field based Baseline Analysis during 2008-09 Currently no plans to go for certification, though we follow the experience of other members going through the certification process with much interest. Feel we need to develop our own understanding of how to take forward issues of downward accountability in a partnership model. We will revisit the decision to go for certification later in the work plan. 		

5. COAST Trust	
Preamble / Introductory comments	
<p>COAST has got the membership on January 2008. COAST has a plan to submit its Accountability Work Plan (AWP) first as a draft during the first fortnight of April 2008, then to submit the final plan during the period of May 2008. COAST Executive Director is planning to participate in HAP International AGM during the third week of April, where he will have the chance to share relevant experiences with other members especially with the certification staff, which will enrich the ideas, and which will be worthwhile to the preparation, and it is the reason to submit the final plan after coming back from the AGM finally by the period of May 2008.</p> <p>Meanwhile COAST would like to inform the AGM that already we have principles of accountability, transparency and participation in our values, professional standard, human resource management policy, accounts and audit policies. We have also a defined system of learning and accountability to downward, peer and upward level. But we feel these are all in respect of organizational management, not so defined for approaching toward the beneficiaries. There are a lot of initiatives of accountabilities but which are not officially acknowledged or as an integral part of the total accountability and learning system. We also feel to document the learning cases. Above all COAST believes that we are accountable to the poor and we exist only for them. This will be the prime principle to prepare this AWP.</p>	

5. COAST Trust		
Key goal for 2007	Achievements / challenges / lessons learned	2008 objectives
1. A humanitarian quality management system (Principles 1, 2, 5 & 7)		
		COAST will have time bound work plan by May 2008 for setting standards and its orientation, implementation and periodical monitoring and review.
2. Information, Communication, Transparency (Principle 3)		
		As a part of AWP, COAST will have set of standard code of conduct for communication with beneficiaries and stakeholders and also periodical monitoring and review of those.
3. Participation and Informed Consent (Principles 3 & 4)		
		As a part of AWP, COAST will have set of indicator for participation of beneficiaries through over the project cycle, where periodical monitoring and review will be an integral part.
4. Staff Competencies		
	We already made the Bengali version of HAP Principles of Accountability and disseminated to all of our staff for an initial understanding.	As a part of AWP, there will be initial period to develop staff competencies to implement the COAST accountability and learning standards, probably there will be revise annual staff appraisal system where assessment of new accountability standard will be an integral part.
5. Complaints and Response Mechanisms (Principle 6)		
		As a part of AWP, there will be set of complaints and response standards, based on which there will be periodical monitoring and review system.
6. Continuous Improvement (Principles 5 & 7)		
		As a part of AWP, there will be set of measurable procedures for monitoring, review and improvements efforts involving all internal and stakeholders.

5. COAST Trust		
Plans with regard to: undertaking a baseline analysis, a certification audit, or mid term certification review		
As a part of AWP, COAST will have a base line survey and certification audit.		
Summary / Other comments		
COAST feels need of support from HAP, may be some other external support in this regard too. COAST want to set examples on HAP principles that others will follow in a country like Bangladesh, where humanitarian assistance continues to grow.		
6. Concern Worldwide		
Preamble / Introductory comments		
Concern Worldwide is a non-governmental, international, humanitarian organisation dedicated to the reduction of suffering and working towards the ultimate elimination of extreme poverty in the world's poorest countries. In 2007 Concern was operating both directly and with partners in 28 countries spanning across Africa, Asia and the Caribbean. In January 2007 Concern became a member of HAP.		
Key goal for 2007	Achievements / challenges / lessons learned	2008 objectives
1. A humanitarian quality management system (Principles 1, 2, 5 & 7) 2. Information, Communication, Transparency (Principle 3) 3. Participation and Informed Consent (Principles 3 & 4) 4. Staff Competencies		
Initiate wider understanding of the HAP standard in Dublin HQ	<ul style="list-style-type: none"> Briefings by HAP staff to Senior Concern management and overseas staff in Dublin. Core Accountability Group set up with representatives from Overseas, Policy unit and HR Preparation of draft HAF 	<ul style="list-style-type: none"> Following the completion of the HQ Baseline analysis report, at the end of February, and its review by management, a plan of action will be put in place to improve accountability and quality assurance.
As part of NEP Initiate discussions with HAP for engagement in Bangladesh, Somalia and South Sudan	<ul style="list-style-type: none"> Concern agrees to host HAP staff in Bangladesh in 2008. Meetings held with HAP staff in Juba /Nairobi 	<ul style="list-style-type: none"> In Bangladesh HAP agree to provide: Direct support and hands-on training for core staff from Concern and partner organisations to undertake accountability and quality assessments.

6. Concern Worldwide			<ul style="list-style-type: none"> Building local capacity to undertake accountability assessments and continue monitoring compliance with Principles of Accountability Learning from experience: documenting good practice and lessons learnt to inform future decisions and practice of participating agencies and wider humanitarian community and to inform further HAP deployments.
5. Complaints and Response Mechanisms (Principle 6)			
As above point 1, 2, 3 & 4, and	As above point 2,3&4, and	As above point 2,3&4, and	As above point 2,3&4, and
Roll out of complaints mechanism of Concern's Programme Participant Protection policy (P4)	5 countries developing complaints mechanism for beneficiaries		HAP focal person will work closely with Protection advisor on complaints mechanism that deals with protection matters as well as non-protection matters.
Piloting of an organisational tool in 5 countries to improve accountability to beneficiaries – Action research project	In the process of reviewing progress.		
6. Continuous Improvement (Principles 5 & 7)			
			Subject to plan of action following HAP Baseline Analysis at HQ
Plans with regard to: undertaking a baseline analysis, a certification audit, or mid term certification review			
Plan for baseline analysis in HQ in early 2008			

<p>7. DanChurchAid (DCA)</p>	<p>Preamble / Introductory comments</p>	<ul style="list-style-type: none"> • DanChurchAid, a partner-based Danish NGO made an executive decision in 2006 to work towards HAP certification due to DCA's conviction that an external review and audit of DCA's internal systems and quality control tools which used downward accountability as the key criteria for improving humanitarian response suited DCA's values, style of work through local partners and philosophy. • To prepare for the HAP baseline exercise and to learn more in general about HAP, DCA relief director and HR consultant attended Christian Aid baseline study in 2007. DCA then invited a strategic humanitarian partner called Evangelical Lutheran Development Service (ELDS) in Malawi to observe DCA during DCA's own baseline study. An additional observer from ICCO in Holland also attended the DCA baseline study. • The DCA rational behind being so open and investing so much in the early stages was to gain a good foundation of knowledge and transparency about ourselves and about some of our sister organisations within the Action By Churches Together Network. ACT. • After a baseline study in September 2007 - with the final report submitted to DCA in October 2007 - DCA launched an agency wide push to go "back to basics" with respect to downward accountability in DCA and its partners humanitarian response. Two major non-compliances (Accountability Framework Statement missing and Complaints mechanism missing) were the major priorities for DCA in the next 6 months- 3 years as well as a number of minor non-compliance issues. • In the time from the baseline to the audit on May 7-9, 2008, a DCA HAP dream team was born, composed of relief staff, HR staff, media staff, country coordinators and program development staff. DCA relief officers worldwide and DCA HQ staff worked very intensively to "reawaken" staff on the issue of accountability as one of the major pillars for improving DCA humanitarian response. And the work continues! 	<p>Key goal for 2007</p>	<p>Achievements / challenges / lessons learned</p>	<p>2008 objectives</p> <ul style="list-style-type: none"> • Larger degree of comfort by DCA Regional Representatives and DCA Relief officers worldwide when using accountability terminology in office and with local partners. • Larger degree of systematic work with DCA strategic humanitarian response partners on improving accountability within ACT alliance.
<p>1. Institutional Commitment (Principles 1, 2 & 7)</p>	<p>To get DCA relief officers, DCA board members, DCA senior management, DCA middle level management and DCA regional representatives to understand, endorse and prioritise HAP as a relevant tool for improving DCA support to beneficiaries in humanitarian response.</p>	<ul style="list-style-type: none"> • DCA board meeting April 2007. • DCA relief workshop Nov. 2007 was first major launch of HAP to DCA relief staff. Hands on training and simulation exercise on Hurricane Sidr. • Training of DCA senior management staff in basic international obligations: Code of Conduct and SPHERE. • Budget and plans reflected in Vision and Plan document 2008. 	<p>2. Accountability in humanitarian action (Principles 3,4,6 & 7)</p>	<ul style="list-style-type: none"> • In a decentralised structure with a most recent structural adjustment process in HQ, the entrance of another new project- HAP- has been met with interestingly enough good energy. "Finally we get to focus on the beneficiaries!" 	<ul style="list-style-type: none"> • "Back to basics" prioritisation is accepted and results in more productive field hours spent with beneficiaries and partners in the field.

<p>7. DanChurchAid (DCA)</p>	<p>Back to Basics theme regarding higher prioritisation of monitoring, dialogue with partner during implementation phase and real check up and control that basic humanitarian principles and obligations are being met.</p>	<p>• There is a strong value based commitment to the idea of prioritising accountability but the understanding and ownership of the humanitarian quality management systems needs to improve.</p>	<p>• DCA relief officers change emphasis from project design to project implementation phase.</p>
<p>3. Monitoring and Evaluation (Principle 5)</p>	<p>Overall systematic list of evaluations completed META analysis of existing evaluations and their relevance done 2005 but still very relevant as starting point.</p>	<p>• Evaluation list is now available • 1 lessons learned cross-organisational learning session conducted. • More program and project documentation for relief projects now available as required on INTRANET, though still not 100%.</p>	<p>• Assessment of content of DCA relief monitoring reports in order to improve the content of the reports, the content of the monitoring visit and the content of the dialogue with DCA partner and beneficiaries. • Training related to monitoring with accountability in focus in 2008-2009.</p>
<p>4. Addressing Complaints (Principle 6)</p>	<p>Assess potential for DCA to launch 1-2 pilot studies on a DCA/partner complaints mechanism</p>	<p>• DCA Malawi and DCA Humanitarian Mine Action Program in Angola expressed interest to pilot complaints mechanisms in one humanitarian project, respectively.</p>	<p>• 1 complaints workshop held with DCA Malawi, ACT partners, and DCA regional representative from Ethiopia in order to work out the pilot concept, get it off the ground and gather lessons learned from it by year-end 2008. • Humanitarian Mine Action program in Angola pilots a complaints mechanism there and submits lessons learned by year-end 2008.</p>
<p>Plans with regard to: undertaking a baseline analysis, a certification audit, or mid term certification review</p>			
<p>DCA plans to have a certification audit in May 2008.</p>			

<p>7. DanChurchAid (DCA)</p>	<p>Progress in / highlights from the field</p> <ul style="list-style-type: none"> • DCA regional representatives and DCA relief officers seem encouragingly interested and committed to HAP. Nevertheless, there is still a good way to go to "translate" HAP terminology/benchmarks, etc to the DCA staff worldwide. DCA HQ has been using a systematic email communication to regional representatives, followed up by SKYPE conversations for clarification. In addition, DCA regional representatives are requested to fill in self-assessments from their offices prior to their annual consultations in DCA HQ in April each year. During the consultations in DCA HQ, the self-assessments are discussed. • DCA relief officers receive direct guidance and technical support from DCA HQ relief staff on HAP issues, in addition to a once per year refresher training. • As a partner based organisation working within the Action By Churches Together alliance (ACT), DCA has worked patiently and continuously through local ACT for a (in particular in Malawi, Ethiopia, Bangladesh, Sudan and somewhat in India) to introduce and maintain focus on the HAP concept. DCA regional representatives and DCA relief officers are the major entry point at the local level for these initiatives and it is vital that DCA staff invest time in the introduction of the HAP concept at this level, for this is the primary coordination level for DCA and its ecumenical partners.
<p>Summary / Other comments</p>	<ul style="list-style-type: none"> • DCA still has some very relevant work to do with its local partners within the ACT on accountability and transparency issues. (In 2008 DCA will be focussing its efforts on ELDS in Malawi and following developments in the complaints mechanism closely. These developments will be shared openly at ACT Malawi forum meetings, in order to involve a wider group of partners, including Christian Aid, in the lessons learned.) • The same applies for ACT organisations and their HQ staff. Therefore, DCA will be presenting a HAP status report to the ACT Nordic meeting in Helsinki in March 2008, and hopefully at ACT Emergency Committee meeting April 2008. • DCA will continue to liaise with Danish Refugee Council in Denmark concerning lessons learned, especially with respect to complaints mechanism work. And finally DCA will keep the Danish Foreign Ministry updated on the progress DCA makes to date and the rationale for choosing HAP.
<p>8. Danish Refugee Council (DRC)</p>	<p>Preamble / Introductory comments</p> <p>DRC's general accountability efforts during 2007 were anchored in two of DRC International's strategic focal areas for 2006-07:</p> <ul style="list-style-type: none"> • Preparing for the certification audit under the HAP 2007 Standard, and addressing action points following the audit. • Revising DRC International's programme handbook (from 2000), including mainstreaming the HAP Standard into it. The handbook will be out by mid-2008.

8. Danish Refugee Council (DRC)		
Key goal for 2007	Achievements / challenges / lessons learned	2008 objectives
1. A humanitarian quality management system (Principles 1, 2, 5 & 7)		
<p>DRC's revised global planning and reporting framework is implemented. The framework complements project reporting to donors, comprising of:</p> <ul style="list-style-type: none"> Quarterly strategic reporting at country (or regional) level Internal strategic annual review at country (or regional) level Rolling monitoring and evaluation plans at country or programme level 	<p>The framework is applied in principle by all country programmes. There are three major challenges:</p> <ul style="list-style-type: none"> To focus the reporting on the strategic level (rather than the activity/output level covered in project reporting) Develop an efficient format for preparing, executing and reporting the annual programme reviews Actual use of the plans 	<ul style="list-style-type: none"> Internal review of the global planning and reporting framework. Baseline of DRC's realisation of its HAF and accountability implementation plan.
2. Information, Communication, Transparency (Principle 3)		
Field information instruction and guide is developed.	Developed	<ul style="list-style-type: none"> Field instruction and guide is imparted in all country programmes.
3. Participation and Informed Consent (Principles 3 & 4)		
Existing field participation instruction and guide is revised.	Revised	<ul style="list-style-type: none"> Revised field instruction and guide is imparted in all country programmes.
4. Staff Competencies		
	Standard induction programme for new international staff is revised and extended	<ul style="list-style-type: none"> Key field staff in all country programmes are trained in the revised program handbook DRC's standard format for HQ and international job descriptions is revised to include accountability aspects. Existing field staff performance appraisal systems are reviewed.
5. Complaints and Response Mechanisms (Principle 6)		
CRM is extended to more country programmes. <i>Release of field CRM handbook.</i>	A further two country programmes have introduced CRM. The release of the CRM handbook is postponed until June 2008.	<ul style="list-style-type: none"> Current mechanisms for field staff CRM are reviewed.

8. Danish Refugee Council (DRC)		
6. Continuous Improvement (Principles 5 & 7)		
<i>Review current strategic focal areas (SFA) and identify new SFAs for 2008-09.</i>	DRC International have decided and planned the following SFAs for 2008-09: <ul style="list-style-type: none"> • Revision of DRC's international administration handbook • International human resource development: Improvement of personnel management tools and skills and design and roll-out of comprehensive training programme in the revised programme handbook • Clarification of DRC's role and engagement in respect of migration 	<ul style="list-style-type: none"> • Implementation of the 2008-09 SFAs. • Progress review of the implementation of the 2008-09 SFAs. • Internal review of the global planning and reporting framework. • Revised field instruction and guide for partnerships is imparted in all country programmes.
Plans with regard to: undertaking a baseline analysis, a certification audit, or mid term certification review		
Mid term certification review by 30 September, 2008		
Summary / Other comments		
DRC has initiated a process over the next two years to assess and strengthen its compliance with the HAP Standard in its domestic activities in Denmark.		

9. Mango (Associate Member)	
Mango has actively promoted HAP and the Accountability Principles during the year. We have collaborated closely with Concern to pilot practical tools for managing and reporting downward accountability. We have taught a Masters level university module on NGO Accountability and Effectiveness. And we have worked closely with BOND (the UK networking body for NGOs) and other NGOs on these issues.	
Listen First	<ul style="list-style-type: none"> • Our most important work has been with Concern, collaborating on their "Listen First" research project. The research aims to develop practical tools for managing and reporting downward accountability in field work. It also considers the link between downward accountability and impact. • This work is based on a new "Listen First" model, which sets out four levels of performance for HAP benchmarks two to five (i.e. transparency, participation, listening (including complaints mechanisms) and staff attitudes & behaviours). This model provides a common language and progressive set of expectations for field staff and managers alike. We have successfully used it for self-assessments by field-staff, and are trialling whether we can use it to research local people's opinions; and to report performance to managers. We are also trialling systematic research into local people's satisfaction with field work. The model and these processes could potentially provide practical management tools to implement the HAP standard.

<p>9. Mango (Associate Member)</p>	<ul style="list-style-type: none"> • The research has generated a number of significant findings so far. Field staff have engaged actively with the research, finding it useful and relevant to their day-to-day work. The process of engagement (at field level) has been just as important as the model itself. In other words, field staff have responded positively when we have created time and space for their own reflection, rather than just trying to measure their performance using an externally imposed model. We continue to grapple with how best to balance local-level learning with upward reporting. • We are working with a broad definition of 'listening', including complaints mechanisms, as well as other informal mechanisms for listening (e.g. setting explicit expectations for the amount of time field staff and managers spend in local communities). We are starting to consider whether the model needs a fifth element, on 'representation and organisation', to encourage field staff to examine in more depth who from the local community is speaking on whose behalf, and with what legitimacy. • "Listen First" builds on Mango's previous "Accountability Checklist". We expect to pursue this research in the coming year, and would be delighted to discuss it with other HAP members. <p>Other activities</p> <ul style="list-style-type: none"> • In 2008, Mango taught a Master's level university module on NGO Accountability and Effectiveness at the Liverpool School of Tropical Medicine. The syllabus included: critiquing current approaches to reporting performance (such as logframes); examining the importance of downward accountability; and considering alternative approaches to managing and reporting performance (including HAP). Students found this very challenging, as they re-considered what they had previously been taught and their personal values. However, they rated the module very highly. We hope to build on this experience, possibly with other universities and through Mango's established training programme. • Mango has continued to chair BOND's Quality Standards Group, which helps NGOs develop and discuss practical ways of managing the quality of their work. For instance, the group has discussed Save the Children's approach to child participation and Islamic Relief's Quality Management System. (See: http://quality.bond.org.uk). We have also worked with other NGOs on similar issues, such as Oxfam GB, and promoted financial transparency to local communities through our flagship Guide to Financial Management. • We have continued to strengthen our own accountability, primarily through systematic evaluation of our client NGOs' opinions of the services we offer.
<p>10. Medair</p>	<p>Preamble / Introductory comments</p> <ul style="list-style-type: none"> • Medair continues to hold beneficiary accountability (BA) high up on its agenda. In 2007 new initiatives have started and we look forward to continuing to invest effort in 2008 in order to improve our ability to respond to the people we serve. • The workplan had originally been written for a period of 12 months (from April 2007 to March 2008). However, in order to align with other HAP member's workplan reporting cycles, this workplan has been extended until December 2008. The present report is therefore a progress report covering the 2007 calendar year.

10. Medair	2008 objectives	
Key goal 2007-2008	Achievements 2007	
<p>1. Institutional Commitment (Principles 1, 2 & 7)</p> <p>1. Incorporate beneficiary accountability principles into Medair corporate quality management system</p>	<ul style="list-style-type: none"> • Medair's first strategic objective, Develop our Beneficiary Focus¹, is communicated in HQ sitreps, is posted visibly in the office where it is referred to in a variety of ways, it is promoted during recruitment, briefings and various trainings, and included in the newly launched e-library (Medair's internal website) • Medair's values have been revised in 2007 to include Accountability². The new values have started to be communicated internally and externally • BA has been promoted during some CEO, Directors, Managers and Desk Officers field visits, but not systematically included in field visits' ToR • Medair's BA workplan began to be included in the ISO9001 process in October 2007 	<ul style="list-style-type: none"> • No new action planned: Continue to promote them internally and externally • Include systematically Beneficiary Accountability in field visits' ToR • An ISO field audit is planned for 2008 and will have access to all processes in the field including BA • No new actions planned in 2008
2. Pilot and document accountability methodologies	<ul style="list-style-type: none"> • Medair's Complaints Handling Guidelines and Beneficiary Accountability Guidelines have been developed and disseminated, and shared with other HAP members/HAP secretariat 	<ul style="list-style-type: none"> • Specific BA session at the Country Directors conference (Aug 2008)
3. Increase understanding of beneficiary accountability	<ul style="list-style-type: none"> • BA was included in one session in the Country Directors conference (Aug 2007) 	<ul style="list-style-type: none"> • Continue the promotion of Good Enough Guide (continue giving them out to each new field staff during their briefing).
4. Remain aware of other relevant initiatives and resources	<ul style="list-style-type: none"> • Good Enough Guide promoted in field programmes: 2 hard copies have been sent to all country programmes + soft copy to all Country Directors, and each new field staff has 	

¹ Develop our Beneficiary Focus: "focus on the needs of least recognized crisis victims by increasing beneficiary input and feedback through faster and more effective intervention through emergency relief and rehabilitation given with compassion and respect"

² Accountability: "We make ourselves accountable to our supporters, our staff, and those we serve, and seek input from them to help us improve our activities and procedures"

<p>10. Medair</p>	<p>received one during the briefing at the head office since March 2007 (62 in total)</p> <ul style="list-style-type: none"> The Operations Director has held discussions with ECB representatives to understand their perspective The Operations Manager attended COMPASS workshops which included discussion on beneficiary accountability 	<ul style="list-style-type: none"> Explore following initiatives: "Common Humanitarian Accountability Framework" (ECB), "Aid Governance", etc.
<p>5. Increase profile of beneficiary accountability in external communications</p>	<ul style="list-style-type: none"> Profile was raised throughout all external communication such as Medair News, web feature and especially 2007 Annual Review. No specific documents were written on beneficiary accountability but it was integrated into all writing through the example of capacity building, working alongside beneficiaries, etc. 	<ul style="list-style-type: none"> Continue as in 2007 and include a section specifically on BA in one of the quarterly Medair News (September)
<p>2. Accountability in humanitarian action (Principles 3,4,6 & 7)</p>		
<p>6. Country Programmes develop appropriate and relevant beneficiary feedback systems</p>	<p>Indonesia Village Development Committees representing the community have been set up in 10 villages. They give feedback to a Medair community mobiliser who passes it on to the management team</p> <p>Afghanistan Beneficiaries are trained in/made aware of the feedback and accountability mechanisms employed on each project. These can include feedback boxes, focus groups, and meetings with key community councils etc</p> <p>Feed back systems used (see case study)</p> <p>South Sudan Each project has administered a beneficiary feedback questionnaire after each intervention and after each training session. Feedback has been used to improve the projects like purchase of a mud pump to allow reaching better tasting water.</p> <p>Uganda</p> <ul style="list-style-type: none"> 2 household surveys carried out on beneficiaries' access to clean water and adoption of good hygiene practice (Uganda Jul & Oct) A household survey and post distribution survey was carried out in a health project 	<p>Afghanistan Feedback gained from activities in 2007 is incorporated in 2008 proposals</p> <p>South Sudan Explore alternatives to questionnaires for getting beneficiary feed-back</p> <p>Uganda</p> <ul style="list-style-type: none"> 4 household surveys planned in Uganda (Jan, Mar, Jun, Oct), with reports back to the communities 2 beneficiary satisfaction questionnaires in six communities in Uganda (Feb & Aug) - the results of the first will be analysed to modify the second

<p>10. Medair</p>	<ul style="list-style-type: none"> • Feedback forms issued at the end of each Water User Committee training – changes made to the training material following the feedback is reported to the WUC • Mid term evaluation of watsan project in Uganda included discussions with direct beneficiaries and recommendations fed into project improvements • Work plans of health, psychosocial and watsan projects presented to sub-county and parish chiefs in 2 districts • Monthly meetings with Community Health Workers (volunteers) in Uganda allow the opportunity to give feedback to Medair • At the end of Hygiene Promotion trainings feedback is collected which has led to specific programme improvements like the hiring of a latrine site specialist, increased access to tools, increased incentives to HP and meetings with local leaders who had obstructed the work <p>North Sudan Patient satisfaction is measured (questionnaires) with every clinic assessment that is done in North Sudan</p> <p>DRCongo</p> <ul style="list-style-type: none"> • In the monthly supervision of health facilities, supervisors use a questionnaire which includes questions to the surrounding population about the application of the correct prices. • Feedback is also collected through the health committees, nurses and medical authorities (but neither in an organised or formal way, nor anonymously). The programme has been modified on several instances following this feedback. <p>Madagascar Every year a workshop is organised at the Region level, with the responsible of the communes. Together they review the procedures and the principles of the partnership with Medair. Proposals for improvement come directly from the communes responsible or are taken from the different communal workshops where the responsible for the villages, members of the water committees, women associations' members or direct beneficiaries are encouraged to evaluate Medair's actions and suggest ways to improve the collaboration.</p>
	<ul style="list-style-type: none"> • Launching of a monthly newsletter to parish chiefs encouraged to read it out at parish meetings, to inform on progress and plans • FGD with direct beneficiaries (Jan) to determine needs and shape project proposal <p>DRCongo Elaborate ways to improve and formalise feedback collection from direct (nurses and health authorities) and indirect beneficiaries (patients).</p>

<p>10. Medair</p>	<p>7. Incorporate accountability principles into relief worker training</p>	<ul style="list-style-type: none"> • BA included during the ROC seminar in training sessions as well as in debriefing sessions of practical exercises • BA included in the 'Project Management' session during the briefing just before departure at head office (since March) • BA included in the in-country briefing in North Sudan 	<p>BA incorporated as a cross-cutting issue in proposals in all country programmes (second half of 2008)</p> <p>Measures of satisfaction added in at least one of the proposal and logframe in Afghanistan and DR Congo</p>
<p>8. Incorporate beneficiary accountability into the project cycle</p>	<ul style="list-style-type: none"> • BA incorporated as a cross cutting issue in Afghanistan in all new proposals and was a key tenet of the three ECHO proposals this year • Participatory indicators included in logframes in the most basic sense in Afghanistan – i.e. beneficiary feedback is listed as a source of verification • In Afghanistan, training provided in the use of participatory indicators and relevant techniques such as FGD and PRA 	<p>BA incorporated as a cross-cutting issue in proposals in all country programmes (second half of 2008)</p> <p>Measures of satisfaction added in at least one of the proposal and logframe in Afghanistan and DR Congo</p>	<ul style="list-style-type: none"> • BA included in all new job descriptions in Afghanistan and DR Congo • 2 workshops on BA organised for all staff in DR Congo (Apr and Aug) • In DR Congo, BA included monthly in the regular operational coordination meetings in order to share experience between projects and discuss how to answer to complaints (from Apr on)
<p>9. Mainstream accountability and participation into regular project management activities</p>	<ul style="list-style-type: none"> • 5 Awareness meetings about BA held in South Sudan, 1 in DRC with internationally and locally recruited project managers • BA included in nationally recruited staff briefings for new project activities in Afghanistan and DR Congo • BA included in some job descriptions in Afghanistan • Introductory information based on the Good Enough Guide translated into local language in Indonesia 	<ul style="list-style-type: none"> • BA included in all new job descriptions in Afghanistan and DR Congo • 2 workshops on BA organised for all staff in DR Congo (Apr and Aug) • In DR Congo, BA included monthly in the regular operational coordination meetings in order to share experience between projects and discuss how to answer to complaints (from Apr on) 	<ul style="list-style-type: none"> • BA included in all new job descriptions in Afghanistan and DR Congo • 2 workshops on BA organised for all staff in DR Congo (Apr and Aug) • In DR Congo, BA included monthly in the regular operational coordination meetings in order to share experience between projects and discuss how to answer to complaints (from Apr on)
<p>10. Beneficiary accountability included in strategic planning at country programme level</p>	<p>BA has been included as a cross-cutting theme in the Uganda country strategy 2008-2010</p>	<p>Inclusion of accountability objectives will be reviewed as part of the process of releasing the new standard Strategy Approval documents (June 08)</p>	<p>Inclusion of accountability objectives will be reviewed as part of the process of releasing the new standard Strategy Approval documents (June 08)</p>
<p>11. Enhance field understanding and practice of beneficiary accountability</p>	<ul style="list-style-type: none"> • Medair's Beneficiary Accountability Guidelines finished (Dec07). • Case studies sent to BA focal points on ad hoc basis • A session to promote BA was held at a Field Managers meeting (Uganda, Dec07) 	<ul style="list-style-type: none"> • BA Guidelines disseminated to field programmes and posted on e-library (Jan08) • Country Director to run training sessions on BA in each field location (Uganda) • One department within the Madagascar Medair programme (Maitrise d'oeuvre socio-institutionnelle) who is in charge of the interaction between the project and the beneficiaries is preparing a manual on the subject. 	<ul style="list-style-type: none"> • BA Guidelines disseminated to field programmes and posted on e-library (Jan08) • Country Director to run training sessions on BA in each field location (Uganda) • One department within the Madagascar Medair programme (Maitrise d'oeuvre socio-institutionnelle) who is in charge of the interaction between the project and the beneficiaries is preparing a manual on the subject.

<p>10. Medair</p>		
<p>3. Monitoring and Evaluation (Principle 5)</p>		
<p>12. Ongoing learning and improvement on accountability issues</p>	<ul style="list-style-type: none"> • Accountability principles have been included in the majority of ToR for external evaluations. • Accountability mechanisms and planning part of the Watson consultancy in Afghanistan 	<ul style="list-style-type: none"> • Accountability principles will be included in new Standard ToR for external evaluations (June 08) • Project monitoring unit to be set up and run by the beneficiaries themselves (Madagascar, second half 2008)
<p>13. Improve compliance with accountability standards</p>	<p>Work in progress for including a section on BA in new Standard Proposal, Interim and Final Reports.</p>	<p>New Standard Proposal, Interim and Final Reports with section on BA is posted on e-library</p>
<p>4. Addressing Complaints (Principle 6)</p>		
<p>14. Models developed for implementing complaints handling procedures in the field</p>	<p>Indonesia</p> <ul style="list-style-type: none"> • Design of a complaints and response mechanism including computer database system, standard complaints form with drop box, specific phone number for complaints and design of business card with information to distribute to stakeholders. • Signboards have been set up in 14 project locations • Pictures taken of every aspect of the programme and posted with descriptions on the signboard outside the Medair office. <p>Afghanistan</p> <p>A proper complaint handling process is in place in one project location but has yet to be tested in the face of serious complaints</p> <p>Uganda</p> <p>Complaints handling mechanisms operational in 2 locations in Uganda</p> <p>Madagascar</p> <p>Complaints are gathered through family visits, village meetings, woman meetings and communal meetings. All complaints and suggestions are then discussed at the regional meeting for validation.</p>	<p>Indonesia</p> <ul style="list-style-type: none"> • Rolling out of the complaints and response mechanism in 5 villages and giving response within 14 days • Improvement of the signboards with more precise information like community contribution, challenges faced, handover partners, etc. as well as better quality (zinc shelter, etc). <p>Uganda</p> <p>Notice boards put up in each parish and major population centre in 5 sub-counties: for Medair project communications but also for parish leaders to post own material – on Medair’s departure notice boards to become community assets</p> <p>South Sudan</p> <p>Notice boards about Medair activities put up in all of the 7 clinics in one county in South Sudan as well as in the 7 nearest towns.</p> <p>Community workshops planned with village authorities in those 7 places to discuss and develop complaints mechanisms</p>
<p>15. Ongoing learning and improvement on field based complaints handling mechanisms</p>	<p>Learning and models disseminated to field programmes (Complaints Handling Guidelines, Beneficiary Accountability Guidelines and the ECB Good Enough Guide)</p>	

<p>10. Medair</p>	<p>Plans with regard to: undertaking a baseline analysis, a certification audit, or mid term certification review – N/A</p> <p>Progress in / highlights from the field / challenges</p> <ul style="list-style-type: none"> • In 2008 in Indonesia we will have a position for an internationally recruited staff splitting it's position (50/50) between marketing officer and BAO (BA officer). This person will travel to the different project sites in Indonesia in order to collect and write interest stories on projects and beneficiaries, and at the same time follow up on what is being done with regards to BA, report on it and make suggestions for improvement. The combination of these two positions and benefits of it has yet to be analysed. • One full time nationally recruited BAO has been appointed to two sites in Uganda (Sept07): his role is to ensure Medair is meeting the 3 priority areas of BA: public information / plans known by all stakeholders, effective feedback / consultations system with beneficiaries, and effective use of information received to improve activities and informing future projects. • BAOs have been removed from some programmes as it was found that when a BAO was present, other staff had a tendency to put the whole responsibility of BA on him/her, while other programmes introduced BAOs this year. Further sharing should be done between programmes so as to get more understanding on the impact of having a specific BAO. • One of the challenges highlighted by S.Sudan is to distinguish BA for static teams vs BA for mobile teams: BA can't be put into practice in the same way and systems should be tailored according to the context.
<p>Summary / Other comments</p> <ul style="list-style-type: none"> • Medair continues to hold BA high up on its agenda: it is included in the first strategic objective of the organisation. Medair endeavours not to keep it at a theoretical level, but to put it into practice as well. The focal point for beneficiary accountability at the head office is also the desk officer for one of the programmes, therefore within the operations' department and close to the programmes. • One of the main challenges for coming years will be to mainstream BA in the programmes and at every level of the organisation. 	
<p>11. MERCY Malaysia</p>	<p>Preamble / Introductory comments</p> <ul style="list-style-type: none"> • The Malaysian Medical Relief Society (MERCY Malaysia) is a non-profit organisation established in 1999 to provide medical relief and sustainable health related development for vulnerable communities. In addition to local humanitarian mission in Malaysia, MERCY Malaysia has also worked in other countries including Kosovo, Turkey, India, Cambodia, Afghanistan, Philippines, Sri Lanka, Iraq, Iran, Sudan, Indonesia, North Korea, Pakistan, Maldives and Vietnam. • MERCY Malaysia is a member of the Humanitarian Accountability Partnership (HAP), the International Council of Voluntary Agencies (ICVA) and the Asian Disaster Reduction & Response Network (ADRRN). It is also an NGO with Special Consultative Status with the United Nations Economic and Social Council (ECOSOC) and is an implementing partner with UNFPA. • MERCY Malaysia was awarded HAP Certification on 28 November 2007.

<p>11. MERCY Malaysia</p>	<p>Key goal for 2007</p>	<p>Achievements / challenges / lessons learned</p>	<p>2008 objectives</p>
<p>1. A humanitarian quality management system (Principles 1, 2, 5 & 7)</p>	<p>Establish Humanitarian Quality Management System (HQMS) – starting with Organisation Gap Analysis with PricewaterhouseCoopers Malaysia (PwC)</p>	<p>Achievement:</p> <ul style="list-style-type: none"> • Developed HQMS work plan for 2007 and 2008. • Developed MERCY Malaysia’s Humanitarian Accountability Framework • Developed and finalised key policies and procedures – field operations manual and assessment guidelines. • Reviewed existing policies to strengthen accountability and transparency – Constitution and treasury policy. <p>Challenges:</p> <ul style="list-style-type: none"> • Set up implementation priorities from the Gap Analysis but it was not easily followed through due to human resource restriction – lack of human resource capacity i.e. dedicated and implementation knowledge of internal staff. • Commitment (time) to document processes by each department due to day-to-day operational works. • Taking ownership of the processes by the respective departments and staff (see below) • Understanding of their commitment on accountability and transparency – accountability is the responsibility of everybody in the organisation. • The absence of Monitoring and Evaluation unit – therefore evaluations for past projects/programs are done at Head of Departments Meeting and also De-briefing meetings, which discuss the lessons learnt upon project/program completion. 	<ul style="list-style-type: none"> • Documentation (incl. development and finalisation) of the remaining key policies and procedures (as per HQMS work plan) • Continue working with PwC to ensure the quality of the HQMS
<p>2. Information, Communication, Transparency (Principle 3)</p>	<p>To provide communication clarity and ensure consistency of internal and external engagements</p>	<p>Achievements:</p> <ul style="list-style-type: none"> • Identified (and fine-tuned) the common information shared with stakeholders by different in with stakeholders - particularly with local authorities, beneficiaries representatives and donors (designing MERCY Malaysia’s brand wall to display the humanitarian commitments made 	<p>To ensure full and common understanding across the organisation through:</p> <ul style="list-style-type: none"> • Internal awareness program such as information sharing and advisory support • Training/workshop for field staff on the processes and documentation.

<p>11. MERCY Malaysia</p>	<p>by the organisation such Code of Conduct, HAP Principles, information on MERCY Malaysia, etc))</p> <ul style="list-style-type: none"> • Mapped out the plan of actions and resource requirement to provide clarity in relief works. • Designed MERCY Malaysia's brand wall for displaying of its humanitarian commitments <p>Challenges:</p> <ul style="list-style-type: none"> • Consistencies and coherence of actions i.e. different level of compliance and understanding of the requirements across the organisation. • Time and resources required to cascade information across the organisation and stakeholders – state chapters, country offices and implementing partners (having limited staff and resources had proven this to be challenging). 	<ul style="list-style-type: none"> • Mission briefing • Information checklist for implementation activities
<p>3. Participation and Informed Consent (Principles 3 & 4)</p> <p>Documenting processes and guidelines involved and required to deliver on the requirements of participation and informed consent – development of Assessment Guidelines and staff and volunteer trainings on Assessment</p>	<p>Achievements:</p> <ul style="list-style-type: none"> • Documenting the existing key processes and map out the HAP principles requirement into the existing processes. • Assessment Guidelines that set out the various ways to engage with the beneficiaries to identify their needs and requirements. • Capturing the existing best-practice at field that highlights engagement with beneficiaries • Carried out 2 trainings on Assessment for staff and volunteers during the year. <p>Challenges:</p> <ul style="list-style-type: none"> • There are more undocumented activities and processes making it difficult to capture more best practices within the organisation • Difficulties to engage everybody in the process at the same time due to busy schedule. Maybe better to engage dedicated staff or unit to do documentation. • Common understanding that can be translated into full compliance by the staff involved – everybody have their own interpretation on how to deliver compliance. 	<p>Awareness programs of the available documents – Humanitarian Accountability Framework, Assessment Guidelines, best practices, through</p> <ul style="list-style-type: none"> • Training and workshops • Website <p>Development of stakeholders engagement policies – to set out and guide the process which can deliver on accountability and transparency</p>

<p>11. MERCY Malaysia</p>	<p>4. Staff Competencies</p>	<p>Buying into humanitarian accountability through awareness and understanding</p> <p>Achievements:</p> <ul style="list-style-type: none"> Engage with HR consultant (HAY Group) to initiate the HR strategy to improve organisational performance and capacity Engage key staff across the organisation in the complaints handling workshop by HAP Internal awareness program of HAP principles and benchmarks – discussion and advisory by Planning & Development Department. Conducted a briefing session with the Executive Council members and secretariat staff on the HAP certification requirements. HAF briefing to local staff in Indonesia Disseminate HAF to general public through websites, inclusion in annual report 2006 Engagement in talks to introduce and advocate HAP to partners e.g. ADRRN and major donor <p>Challenges:</p> <ul style="list-style-type: none"> Mindset change is always a challenge but overall accountability principles have been widely embraced. Translating principles and framework into action – this is a slow process as it is often done unconsciously. 	<p>5. Complaints and Response Mechanisms (Principle 6)</p> <p>Development of Complaints Handling Mechanism (CHM)</p> <p>Achievements:</p> <ul style="list-style-type: none"> Initiated the CHM through Workshop by HAP trainers Initiated the development CHM Framework <p>Challenges:</p> <ul style="list-style-type: none"> The dilemma of balancing accountability and capacity to deliver in designing CHM Human resource capacity to be dedicated to the tasks of overseeing CHM. Educating the staff that no complaints does not equal to quality humanitarian works (i.e. no complaints could mean that there is no suitable mechanism to capture feedback and complaints from beneficiaries and other stakeholders)
		<ul style="list-style-type: none"> Road show on HAP Principles and benchmarks to chapters Revise existing training and employee handbooks to include accountability commitment made by the organisation. To identify more advance training for key staff and volunteers – e.g. Rapid Assessment Course which include session on HAP Accountability requirement 	<ul style="list-style-type: none"> Pilot test a CHM at the monthly mobile clinic for the Rohingya Refugees in Klang Malaysia. Fine tune the CHM framework with PwC

11. MERCY Malaysia	
6. Continuous Improvement (Principles 5 & 7)	
Capturing and properly documenting lessons learnt and best practices within the organisation.	<p>Achievements:</p> <ul style="list-style-type: none"> • Documenting key policies standard processes and map out the HAP compliance as a starting point. • Educate and institutionalise the learning and requirements of HAP principles and benchmarks – awareness program and feedback requirements, especially from the field staff • A feedback mechanism to track suggestions on process improvement for manuals/guidelines. <p>Challenges:</p> <ul style="list-style-type: none"> • Centralising the feedback and lessons learnt documents – currently lack of infrastructure and discipline by certain staff/departments.
	<ul style="list-style-type: none"> • Setting up of Monitoring and Evaluation (M&E) unit • Training of M&E staff re. compliance and accountability requirements • Revise training materials for new staff and volunteers to emphasise HAP principles • To identify strategic partnerships to increase staff capacity (e.g. training by PwC and corporate donor to introduce best practises and enhance knowledge) • More awareness programs on accountability across the organisation to include locally hired staff outside Malaysia.
Plans with regard to: undertaking a baseline analysis, a certification audit, or mid term certification review	
Mid-term certification review:	
<ol style="list-style-type: none"> 1. Rectifying minor non-compliance from the certification audit: <ul style="list-style-type: none"> • Monitoring the pilot test of complaints handling at the Mobile Clinic for the Rohingya Refugees for 6 months and evaluate its effectiveness after 6 months – include feedback on the mechanism from beneficiaries, their representatives, staff and volunteers of MERCY Malaysia, analysis of all complaints made during the period. • Consultation with PwC to develop HAF indicators 2. Incorporating some recommendations made by HAP auditors into existing process <ul style="list-style-type: none"> • Project selection criteria and more involvement from beneficiaries • Refinement of partners and the selection criteria for partnership • More awareness program and sharing of information re. HAF, CHM and staff grievance procedure. 	
Summary / Other comments	
Lessons learnt were it would be more efficient to develop HQMS when there is a dedicated unit/staff looking into the process.	

12. Office Africain pour le Développement et la Coopération (OFADEC)		
Preamble / Introductory comments		
<p>OFADEC is seeking to comply the HAP 2007 Standards in humanitarian Accountability and quality management. Then many activities have been done within the projects implemented for refugees in Senegal. OFADEC is engaged to respect and implement accountability principles, to develop and equip the staff of OFADEC with tools necessary to permit beneficiary participation in the elaboration, implementation and evaluation of projects. OFADEC engaged also to give to the beneficiaries and the staff possibility to express their complaints and preoccupations and ask for reparation. During 2007, OFADEC did many things as this:</p>		
Key goal for 2007	Achievements / challenges / lessons learned	2008 objectives
1. Institutional Commitment (Principles 1, 2 & 7)		
<p>Commitment to respect and foster humanitarian standards and rights of beneficiaries</p>	<ul style="list-style-type: none"> • The declaration of intent on the engagement of OFADEC to implement the accountability approved by the General Director has been circulated to the staff and to the beneficiaries • HAP documents are distributed to the staff of OFADEC and to the beneficiaries (AWP) • The Red Cross codes of conduct and the HCR codes of conduct are presented to the personnel of OFADEC • All personnel have signed the commitment to respect the content of the two codes of conduct • OFADEC's humanitarian action is based on the humanitarian rights, international treaties and Geneva convention <p>Challenge: To strengthen the commitment of the personnel, the beneficiaries and others partners to comply with the HAP standards in humanitarian accountability and quality management</p>	<ul style="list-style-type: none"> • A meeting in April to present HAP to the new personnel of agency and circulate the declaration of intent and tools of accountability (the Red Cross Code of Conduct, the UNHCR code of conduct, the HAP Standard) • To train personnel in the mechanism of abuse and sexual investigation • One session To train beneficiaries on their rights and duty • Two sessions on Red Cross code of conduct
2. Accountability in humanitarian action (Principles 3,4,6 & 7)		
<p>Beneficiaries will be informed and consulted – They participate in the programme decisions and their consent is sought. The beneficiaries can complain freely and express their preoccupations</p>	<ul style="list-style-type: none"> • Every two months during 2007, meetings were held with beneficiaries to explain the accountability principles and standard and focus on the activities of the program of the concerns • Focal Point refugee is designated. The refugees have designated a HAP representative of amongst them 	<ul style="list-style-type: none"> • To communicate within the refugees communities (In Dakar and in others regions) all documents on the complaint mechanism (SINFOR) • Two meetings are scheduled in the north region during 2008 with refugees and staff.

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and obtain reparation

- A collecting, Suggestions, demands and objections mechanism (SINFOR) is established and is used within the OFADEC's program. The goals of SINFOR are to collect beneficiaries points of view about the program, and to receive, treat, and bring answers to their objections and demands
- This analysis unit comprises four people in which the refugee focal point of refugee participants is in charge to check, categorise and make recommendations about complaints is named.
 - A mail box is available at the BOS,
 - A mobile box in Saint-Louis,
 - A mail box is available in the Valley,
 - An e-mail address is available under this title: SINFOR@ofadec.org
 - A telephone number.
- Two refugee representatives are members of the committee of scholarships, which chooses every year beneficiaries of scholarship.
- Representatives of refugees are part of committee of assistance
- Representatives of refugees take part in the annual meeting with HCR, BOS and other partners to evaluate the implementation of the program that is implemented for refugees in Senegal and contribute to the plan
- SINFOR is circulated to the community of refugees in Dakar and at the valley.
- A responsible in charge of communication is named
- Challenge: The valley is wide (refugees are in the sites which are land on 700 km), then to communicate the HAP principles in the community of refugees needs means and time.

- Invitation to other stakeholders in information on Account
- To provide training to the representatives of refugees on how to treat complaints (two sessions, one in Dakar and an other in the region)

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3. Monitoring and Evaluation (Principle 5)	
To measure progress in the implementation of accountability principles	<p>During 2007, two evaluations have been done: one in June and the other one in December 2007 with participation of refugees and others stakeholders. These evaluations permit to identify the weakness (communication in the valley, the diffusion of SINFOR in the community of refugees)</p> <ul style="list-style-type: none"> • To hold meetings and distribute HAP existing documents to the refugees • Meetings will be held in the region and in Dakar • To provide training on the accountability principles and HAP standard to the stakeholders
4. Addressing Complaints (Principle 6)	
Beneficiaries and personnel of OFADEC can complain freely, express their preoccupations on security and obtain reparation	<p>During 2007, five complaints were received and treated according to the collecting, suggestions, demands and objections mechanism (SINFOR). The analysis unit constitutes four people (including the refugee Focal Point). It received, investigated and made recommendations for all complaints.</p> <p>Challenges: To strengthen capacities of staff in the investigation of complaints</p> <ul style="list-style-type: none"> • One session to improve training to the staff on how to do investigations and treat complaints • Improve SINFOR implementation and visibility
Report Against Benchmark	
Key goal for 2007	
2008 objectives	
1. A humanitarian quality management system (Principles 1, 2, 5 & 7)	
Humanitarian Quality Management	<ul style="list-style-type: none"> • There is a procedure manual covering all activities (finance, humanitarian resources, protection, health, education, revenue making projects and social) • An annual accountability schedule is established approved by an annual report of OFADEC's accountability and quality management standards • Weekly and annual activities report are produced • A system of internal evaluation against the HAP standards exists • OFADEC's mission statement is published • OFADEC's accountability framework is presented <ul style="list-style-type: none"> • Strengthening knowledge of staff and all stakeholders on the different procedures (to distribute documents on the different procedures) • To publish OFADEC mission statement in every office in Dakar and in the valley • To make OFADEC's brochure available in the offices and in the beneficiary communities

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2. Information, Communication, Transparency (Principle 3)	
<p>Communication /Transparency</p> <ul style="list-style-type: none"> • There are the Committee of Representatives of Refugees in Senegal (CRRS) and the Refugees Women Committee, which collaborates with OFADEC's staff and other stakeholders on the programme. Meetings with beneficiaries are held periodically to focus on the project implemented for them to have their view, suggestions and consent • Beneficiaries are part of the committee of scholarship and assistance • The beneficiary focal point participates in the committee in charge of treatment of complaints • Beneficiaries and other stakeholders participate in an annual meeting to evaluate and plan the programme implemented for refugees. • A responsible in charge of communication is designated 	<ul style="list-style-type: none"> • To publicise the calendar of meetings the theme and the location • A meeting with beneficiaries every three months to focus on the activities of the programme • All reports will be available and will be distributed to the staff and beneficiary representatives and other stakeholders • The list of representatives will be distributed in all the offices and in the communities • Two evaluations per year. The results of the evaluation will be published to the beneficiaries and other stakeholders
3. Participation and Informed Consent (Principles 3 & 4)	
<p>Transparency</p>	<ul style="list-style-type: none"> • Meetings with beneficiaries are held periodically to focus on the project implemented for them to have their view, suggestions and consent • Beneficiaries are part of the committee of scholarship and assistance • The beneficiary's focal point participates in the committee in charge of treatment of complaints • Beneficiaries and other stakeholders participate in an annual meeting to evaluate and plan the programme implemented for refugees. <p>Challenge: Communication between representatives and their communities</p>
4. Staff Competencies	
<p>Strengthening competencies of OFADEC's staff</p>	<ul style="list-style-type: none"> • Two sessions on sexual abuse and the codes of conduct are provided for staff • A session on the accountability principles and the standard is provided to staff and representatives

12. Office Africain pour le Développement et la Coopération (OFADEC)	
5. Complaints and Response Mechanisms (Principle 6)	
<p>A complaint- handling procedure is effective, accessible and safe for intended beneficiaries, the staff and other stakeholders</p>	<p>As described above</p> <ul style="list-style-type: none"> • Meeting in April to communicate this mechanism in the valley within the sites • A mail box will be available in all the news offices of OFADEC in the region in by march • A session to improve the training of the analysis unit of complaint with the participation of staff members and the representatives
6. Continuous Improvement (Principles 5 & 7)	
<p>To improve quality management system and strengthen competencies</p>	<ul style="list-style-type: none"> • Training in international protection • Training to strengthen knowledge of staff and beneficiaries on the standard and accountability principles • Challenge: OFADEC has less means and there are problems to organize enough training according to needs
Plans with regard to: undertaking a baseline analysis, a certification audit, or mid term certification review	
<p>During 2008, the key is to improve the humanitarian accountability framework:</p> <ol style="list-style-type: none"> 1. To provide training in the humanitarian rights and covenant (rights and duties of refugees) to the beneficiaries 2. To do commentaries and explanations of the contains of codes of conduct of The UNHCR and Red Cross to the staff 3. To publish OFADEC's mission statement and make it available in all offices in Dakar and in the region 4. To identify a focal point in the region 	
Progress in / highlights from the field	
<p>Two sessions which have been held on the accountability principles and the standards in June and August 2006 with all stakeholders. The nomination of the members of the unit analysis in charge of investigations and treatment of complaints. This nomination had been done with the participation of representatives who have given their opinion and suggestions on the unit analysis.</p>	

13. Oxfam GB	
Preamble / Introductory comments	
<p>Oxfam believes that in order to achieve our organisational mission and to ensure our work has the greatest impact; we need to be accountable to our stakeholders. Stakeholders include the individuals and communities with whom we work; people and communities affected by crisis; partners and allies; donors and supporters; staff and the wider public; and regulatory bodies in the UK and in countries where we operate.</p> <p>In a humanitarian crisis, our accountability to people directly affected takes priority over other accountability obligations. We believe that by being more accountable to communities affected by crisis we can ensure that our humanitarian programmes have substantially greater impact, help individuals and communities recover more quickly and lay stronger foundations for sustainable development.</p> <p>Our current working definition of accountability to those affected by crisis is the following: People and communities with whom we work systematically inform programme choices and implementation, throughout the lifetime of the project, and are the most important judges of programme impact.</p>	
Key goal for 2007	2008 objectives
1. Institutional Commitment (Principles 1, 2 & 7)	
What was done in terms of commitments to standards?	Worked with ECB agencies on Acct Framework, and SCHR agencies on Peer Review
Adoption of a framework for OGB's accountability to people affected by crisis.	Framework adopted by senior management. The challenges will be in implementing the framework.
Adoption of a Partnership Policy that includes accountability of partners to people affected by crisis.	<i>Partnership Policy adopted and publicised throughout the organisation that commits OGB and its partners to being accountable. The challenges will come in translating the policy into action.</i>
2. Accountability in humanitarian action (Principles 3, 4, 6 & 7)	
Initial practical methodological tools produced and case studies captured to assist humanitarian programme staff improve their participation and information sharing activities.	Various tools produced and case studies captured. Challenges are a lack of documented accountability experience, and a difficulty in expressing and finding agreement on the relationship between participation and accountability in OGB.
	A greater number and variety of relevant tools and case studies are available to programme staff. Related training materials are produced and used. The relationship between participation and accountability in OGB is clarified and shared with staff.
	Complete PR with SCHR agencies – work towards implementing recommendations, writing and disseminating an Open Information Policy
	One country per region (7) is working to improve four areas of accountability: participation; information sharing; feedback mechanisms; and staff attitudes and behaviours.
	All training workshops and field trips carried out to improve the accountability of OGB programmes include relevant partner organisations.

13. Oxfam GB	
3. Monitoring and Evaluation (Principle 5)	
Publication of corporate Accountability Report.	Accountability report published. It was possibly under-publicised to be considered in itself really 'accountable'.
Real Time Evaluations (RTEs) of humanitarian programmes include an assessment of programme accountability.	RTEs carried out which included looking at programme accountability. A challenge is how to ensure authentic beneficiary participation in monitoring and evaluation. Commenced work to tie together lessons learned in accountable humanitarian response into development programme monitoring activities.
	All RTEs include evaluations of programme accountability. Lessons learned from RTEs followed up with those responsible Practical guidance on how to include authentic beneficiary voices in monitoring and evaluation activities is produced. Further work with development programme staff to include beneficiary voices in monitoring activities in a systematic and effective way.
4. Addressing Complaints (Principle 6)	
Adoption of a Corporate Complaints Policy.	Corporate Complaints Policy adopted in November 2007. The challenges will be in putting this into practice.
Plans with regard to: undertaking a baseline analysis, a certification audit, or mid term certification review	
OGB is not moving towards certification at this point.	

14. Save the Children UK (SCUK)	
Preamble / Introductory comments	
Mission statement: Save the Children fights for children's rights. We deliver immediate and lasting improvement to children's lives worldwide. HAP membership - 2006. During 2007 document review of the Emergencies Section was conducted. SCUK hosted HAP staff member in London.	

<p>14. Save the Children UK (SCUK)</p>	<p>Key goal for 2007</p>	<p>Achievements / challenges / lessons learned</p>	<p>2008 objectives</p>
<p>1. Institutional Commitment (Principles 1, 2 & 7)</p>	<p>Understand accountability within the existing structures, systems and procedures</p> <ul style="list-style-type: none"> • SC UK has engaged in two reviews (Disasters Emergency Committee Accountability Assessment and Steering Committee for Humanitarian Response) on accountability to maximize the practical input into the development of the HAF. • Document mapping was conducted by HAP Auditor at the Head Office for the Emergency Section only. • Save the Children Alliance response in Bangladesh Sarankhola, Bagerhat was reviewed against HAP standards as a part of Sidr response review. 	<p>Achievements: The document review conducted by the HAP auditor provided a good basis for understanding the organization's requirements in complying with the HAP standards, and gave clarity in follow-up needed. <i>There is a very strongly expressed commitment by the organization's SMT to improve accountability within our programmes and offices, with our beneficiaries, partners and staff.</i></p> <p>Challenges: Save the Children Alliance Bangladesh Response was reviewed without a HAF in place, and the findings are severe, quite demotivating for the staff and implementing partners.</p> <p>Lessons: Participation from country programmes should be maximized in creating the HAF to allow enough flexibility and increase ownership.</p>	<p>In 2008 Save the Children UK will:</p> <ul style="list-style-type: none"> • Produce a first draft of public HAF with input from Head Office Emergencies Section, policy teams and country offices. • Select a region for further review and capacity building. • Will build in-house capacity within Emergencies Section Advisers and selected region country programmes and with partners for improving accountability and operationalise HAF • Conduct a mid-term review at least in 3 country programmes in the selected region for compliance with HAF.
<p>2. Accountability in humanitarian action (Principles 3, 4, 6 & 7)</p>	<p>Share SC ambition in increasing accountability across teams and initiatives:</p> <ul style="list-style-type: none"> • HAP Document review and HAP Standards 2007 papers are being widely shared across various levels and teams within Head Office. • Various teams of HO SCUK and Alliance are asked to participate at SC-HR self-assessment and interviews, the results of which will be fed into HAF. • Two selected country programmes (Ivory Coast (SCUK) and Haiti (SCUS)) are conducting self- 	<p>Achievements: Next steps are identified.</p> <p>Challenges: HAP principles – 3, 4, 6 already exist in Save the Children's work, however they are framed and named differently in key documents of strategic importance (Change for Children, GIM, 5 Dimensions of Change, How We Work, etc.) and are practised as much as possible by country programmes. The review in the country programmes will require efforts to rename, reframe, and then retrain/re-educate staff on the requirements under HAP/HAF.</p>	<p>In 2008 Save the Children UK will:</p> <ul style="list-style-type: none"> • Include Accountability Standards into Programme Management and Grant Management EOP³. • Preparedness workshops will have sections on Accountability issues • Project evaluations will have an evaluation question that looks at accountability systems, practices and procedures. • The new emergency projects⁴ of 2008 will set up complaints mechanisms from the

³ EOP – Emergency Operating Procedures

<p>14. Save the Children UK (SCUK)</p>	<p>assessments and will undergo interviews within SCHR, the results of which will be incorporated into HAF.</p> <ul style="list-style-type: none"> Accountability Assessment for DEC-funded projects are looking at organization's systems, processes and procedures, the findings of which will be fed into HAF. 	<p>Lessons Learned: HAF is helpful to have as a guiding document when introducing the requirements of the organization against humanitarian accountability standards; however the framework should be flexible enough to allow localization and change-in-process.</p>	<p>very beginning together with an M&E system to monitor their effectiveness and implementation.</p> <ul style="list-style-type: none"> Partnership MoUs for Emergency programmes⁵ signed during 2008 will include a section on following mutually agreed humanitarian standards within the project.
<p>3. Monitoring and Evaluation (Principle 5)</p>	<p>Increase the extent of monitoring in programmes against accountability standards:</p> <ul style="list-style-type: none"> SCUK has a designated staff member to help further and coordinate work within the frames of HAF/HAP as of February 2008. As previously mentioned, a few of the programme evaluations have been asked to look at beneficiary participation and programme monitoring systems' reciprocity. This was done specifically in regards with internalizing beneficiary feedback and management of that feedback. 	<p>Achievements: Coordination among various accountability initiatives is increased.</p> <p>Lessons Learnt: When HAP reviews any of the member agency offices, at least for those organizations that are start-ups, a different review, almost a baseline approach is helpful to apply with a clear identification of systems in place and recommendations, rather than assessments of effective practices.</p>	<p>In 2008 Save the Children UK will:</p> <ul style="list-style-type: none"> Have a strategy and plan for developing the HAF and furthering improvements, as well as monitoring and reporting against HAF mutually shared with a selected region. The bar for M&E and requirements for better quality data for accountability standards will be increased in programmes in the targeted region for review and reporting. Monitoring for accountability standards will be incorporated into partners' monitoring systems as well wherever possible.
<p>4. Addressing Complaints (Principle 6)</p>	<p>Have a framework of complaints handling mechanism, incorporated into preparedness trainings and SOPs:</p> <ul style="list-style-type: none"> SC UK and SC US have been working during February 2008 to identify mutual similarities in 	<p>Achievements: Coordination among the two Head Offices has started from the very beginning of the process, hence will contribute to having an overall framework for complaints handling mechanism.</p>	<p>In 2008 Save the Children UK will:</p> <ul style="list-style-type: none"> Draft a frame for a complaints handling mechanism to be localized by country programmes and projects as appropriate. Preparedness and training schemes will include exercises to emphasise complaints

⁴ Projects managed through and by the Emergency Section in Save the Children UK
⁵ Targeting emergency programmes managed by and through the Emergency Section

<p>14. Save the Children UK (SCUK)</p>	<p>the practiced complaints mechanisms in country programmes within projects.</p>	<p>handling mechanisms</p> <ul style="list-style-type: none"> Internal review in the targeted region, as well as project evaluations will look at the effectiveness of the complaints handling mechanisms.
<p>Plans with regard to: undertaking a baseline analysis, a certification audit, or mid term certification review</p>		
<p>For Year 2008 Save the children is planning to proceed with incorporating HAP-specific standards in its regular work and seek for opportunities for having partial certification and/or full baseline review for the Emergency Section only.</p>		
<p>15. Tearfund</p>		
<p>Preamble / Introductory comments</p>		
<p>In line with its recent strategic review, Tearfund continued to view Beneficiary Accountability as a corporate priority, taking the form of an "Organisational Development Programme" and involving collaboration across the organisation to help outwork our commitments. A baseline analysis was undertaken in Tearfund's head office in May 2007 and a field baseline analysis undertaken in Tearfund's operational programme in North Kenya in August. Following these assessments an action plan was developed to address the findings raised and to prepare for the certification audit, to be carried out in 2008.</p>		
<p>Key goal for 2007</p>	<p>Achievements / challenges / lessons learned</p>	<p>2008 objectives</p> <ul style="list-style-type: none"> A summary version of the Quality Standards to be placed on the Tearfund website Reinforce understanding of the Quality Standards across the operational programmes and amongst relief partners Update Project Approval procedures to place more emphasis on the review of project design in relation to Quality Standards
<p>1. A humanitarian quality management system (Principles 1, 2, 5 & 7)</p>		
<p>Finalise Tearfund's Humanitarian Accountability Framework and establish a system of capturing lessons learnt in emergency response</p>	<ul style="list-style-type: none"> Tearfund's set of Quality Standards in Emergency Response (which represents Tearfund's HAF) were reviewed and updated Workshops and on site support was undertaken with partners, including in Zimbabwe, Egypt and Bangladesh. 	<ul style="list-style-type: none"> A summary version of the Quality Standards to be placed on the Tearfund website Reinforce understanding of the Quality Standards across the operational programmes and amongst relief partners Update Project Approval procedures to place more emphasis on the review of project design in relation to Quality Standards

<p>15. Tearfund</p>	<ul style="list-style-type: none"> Case studies on Beneficiary Accountability published, including Kashmir, N. Kenya and Zimbabwe Update Tearfund's Disaster Response decision making procedures to include Beneficiary Accountability commitments 	<ul style="list-style-type: none"> Monitor outworking of information sharing at the community level and refine the key messages as appropriate
<p>2. Information, Communication, Transparency (Principle 3)</p>		
<p>Agree and disseminate standard information that should be made public at the community level</p>	<p>A set of basic messages on Tearfund's mandate, values, Quality Standards, programme details and accountability commitments was agreed and disseminated</p>	
<p>3. Participation and Informed Consent (Principles 3 & 4)</p>		
<p>Update and disseminate Good Practice Guidelines on Beneficiary Accountability, to give guidance at the field level on participation and informed consent and all other aspects of the HAP Standard</p>	<p>Good Practice Guidelines on Beneficiary Accountability in Tearfund were updated</p>	<ul style="list-style-type: none"> Staff training modules to be modified to place greater emphasis on the fundamentals of participation and accountability DM Project Evaluation ToRs updated to standardise the review of levels of participation and beneficiary satisfaction
<p>4. Staff Competencies</p>		
<p>Review and update job descriptions to reflect beneficiary accountability commitments</p>	<p>Job Descriptions and Person Specifications for field positions were adjusted to include responsibilities and personal qualities consistent with Beneficiary Accountability commitments</p>	<ul style="list-style-type: none"> Briefing schedule and induction materials for new staff adjusted to explain the Tearfund Quality Standards and Beneficiary Accountability commitments
<p>5. Complaints and Response Mechanisms (Principle 6)</p>		
<p>Establish complaints and response mechanisms across all operational programmes</p>	<p>Good practice guidance on complaints handling disseminated and basic procedures agreed for programmes</p>	<ul style="list-style-type: none"> Internal programme reporting template revised to include feedback from beneficiaries alongside review of project progress and log frame reporting Review and update the feedback mechanisms for partners to Tearfund

15. Tearfund	
6. Continuous Improvement (Principles 5 & 7)	
Finalise Tearfund's Humanitarian Accountability Framework and establish a system of capturing lessons learnt in emergency response	A system of capturing key learning points from emergency programmes was established, linking back into the Quality Standards
	<ul style="list-style-type: none"> • Reinforce use of key learning and continually update • Further develop the system of knowledge management across the organisation
Plans with regard to: undertaking a baseline analysis, a certification audit, or mid term certification review	
HAP Certification audit of Head Office to take place 18 – 20 March 2008	

16. Women's Commission for Refugee Women and Children
<i>Preamble / Introductory comments</i>
The Women's Commission for Refugee Women and Children (Women's Commission) remains dedicated to improving its commitment to the beneficiary populations that it represents in its advocacy work. We have made progress in some areas of accountability to beneficiaries; for example, we have begun to develop a Women's Commission humanitarian quality management system. Other areas, such as advancing our work with sub-grantees to comply with the HAP principles of humanitarian accountability, remain largely unaddressed.
1. Institutional Commitment (Principles 1, 2 & 7)
<ul style="list-style-type: none"> • The Women's Commission's HAP work plan goal, to integrate humanitarian accountability into all Women's Commission work on behalf of women, children and adolescents affected by armed conflict, was addressed throughout the organization and more specifically through its new accountability working group in 2007. Approximately one-third of the Women's Commission staff participate in the working group, which meets quarterly. In 2007, the Women's Commission strived to achieve HAP Benchmark 1 – to establish a humanitarian quality management system – and components of Benchmark 2 with regard to making information publicly available to intended beneficiaries. • To establish a humanitarian quality management system, the Women's Commission began to develop an orientation binder for existing and new staff. Materials developed or identified over the past year include: ethical guidelines for gathering information (including via interviews, film and photography); matrix of international guidelines and standards that steer the work of the Women's Commission; authorization and release forms for interviews, focus groups and photographs; code of conduct against sexual abuse and exploitation; HAP principles of accountability; and guidelines for producing reports for beneficiaries. Initiated but not yet complete are research guidelines for conducting focus groups and key informant interviews adapted to the Women's Commission's specific needs. Among the remaining challenges are for the Women's Commission to routinely ensure that the few sub-grantees it supports agree to comply to a code of conduct and the HAP principles of accountability. This delay is partially due to our focus on establishing our own accountability system.

<p>16. Women's Commission for Refugee Women and Children</p>	<p>2. Accountability in humanitarian action (Principles 3,4,6 & 7)</p> <ul style="list-style-type: none"> • Over the past year the Women's Commission has developed a diagram to clearly illustrate how it does its work to effect systemic improvement in how humanitarian aid is provided. The diagram depicts the main activities of our work, beginning with research, which results in documentation with key recommendations, followed by advocacy and communication to improve policies and funding, based on the recommendations. We also finalized a fact sheet on the Women's Commission for refugee audiences. The fact sheet is similar to the Women's Commission's general fact sheet, written in simpler language. • To ensure accountability to displaced populations, the Women's Commission routinely includes the voices of displaced populations in its field research. Over the past year the Women's Commission conducted focus groups with approximately 650 displaced women, men and youth in northern Uganda, Sierra Leone, Jordan, Nepal, Ethiopia and Darfur. In 2008, the Women's Commission launched a Youth Advisory Group comprised of 15 young people from conflict-affected countries to help guide and inform the Out-of-School Youth Initiative. The Women's Commission also supports opportunities for refugees, IDPs and host-country community members to advocate on their own behalf by supporting their participation in international conferences, meetings and Women's Commission events. We supported the participation of seven local NGO staff and community members in the annual inter-agency Working Group on Reproductive Health in Crises meeting in Nairobi in October 2007. The Women's Commission honoured two refugee women and one young man at its annual luncheon in New York City and enabled a local Ugandan to present at the 52nd Session on the Commission on the Status of Women. The Women's Commission partnered with UNICEF and UNFPA to bring four young people affected by conflict to the UN to participate in the ten year review of the Graca Machel report on the impact of Armed Conflict on Children. • The Women's Commission is working to routinely develop a specific beneficiary report from field visits, translate it into the local language and disseminate it to beneficiaries participating in the research. For example, two beneficiary reports based on two field missions to northern Uganda were translated in Luo and distributed back to the communities where the assessments were undertaken. The synopsis of the key findings and recommendations of the Women's Commission's 2006 Beyond Firewood reports have also been translated into Arabic and French in an effort to make the documents more accessible to beneficiaries and local service providers. In addition, the Women's Commission is aiming to make more of its resources and tools accessible to beneficiary populations. One such document produced this year is an illustrated version of the Right to Education document for non-literate audiences.
<p>3. Monitoring and Evaluation (Principle 5)</p>	<p>The Women's Commission recognized the need over the past year to monitor and evaluate its research report recommendations and to identify and monitor specific actions the Women's Commission can undertake to promote uptake of the recommendations. The Women's Commission's Out of School Youth project developed a matrix of the northern Uganda youth report recommendations, which outlines the actions the Women's Commission should take and to whom advocacy should be targeted, as well as actions already undertaken and recommended next steps. This is in the process of becoming adopted across the organization as standard practice.</p>
<p>4. Addressing Complaints (Principle 6)</p>	<p>As the Women's Commission is not a service-delivery organization, this particular issue is relevant only in the few areas where we support local organizations. The Women's Commission now includes contact information in its refugee fact sheets and beneficiary reports.</p>

17. World Vision International		
Preamble / Introductory comments		
<p>Accountability, particularly to beneficiaries, continues to gain mileage in WVI, particularly in regional offices and with those that support field work in emergencies. WVI has a dedicated function, H-Account that promotes increased accountability in emergencies through working with field programmes and global and regional support structures. Apart from the planned work of H-Account, three developments are worth noting:</p> <ol style="list-style-type: none"> 1. In most new initiatives to achieve organisational change in WVI, elements of quality such as accountability are included; 2. Humanitarian accountability has acquired a more formal home in the Quality Assurance Team with humanitarian learning and humanitarian DME. 3. At the end of 2007 WVI established a global accountability unit that has the mandate to enhance and assure improved accountability systems in development, humanitarian affairs and policy & advocacy. Previous work focussed on humanitarian affairs, but now there is a platform to tackle organizational wide issues around accountability. 		
Key goal for 2007	Achievements / challenges / lessons learned	2008 objectives
1. Institutional Commitment (Principles 1, 2 & 7)		
1. Integrate humanitarian accountability into WV emergency response standards and strategies	<ul style="list-style-type: none"> • Accountability is enshrined in standards but not systematically, in the detail of response strategies that are developed when an emergency takes place. For lack of staff we have not been able to consistently support all major relief programmes. • Generally, it is easier to write/ amend standards than to apply them. With this in mind, WVI has formed a global accountability unit that will work across all programmes, development, humanitarian and advocacy to develop systems to hold WV more accountable to policies and standards and to raise organization wide issues where necessary. • The Sri Lanka Tsunami Response programme participated in a HAP compliance trial, generating valuable learning about the mechanics of certification in a large organization. The exercise helped to build momentum to strengthen systems and procedures in advance of the trial as the Standard provided a time bound set of expectations to work towards. 	<ol style="list-style-type: none"> 1.1) Increased consistency in support to major emergencies will occur as the number of staff deployable to emergencies grows. 1.2) Global accountability unit hires staff and develops work plan.
2. Test and document accountability methodologies		<ol style="list-style-type: none"> 2.1) Lessons Learned events, and joint evaluations with IWG agencies continue. 2.2) Sri Lanka accountability tools compiled into a field tool kit that will be available in mid 2008.

<p>17. World Vision International</p>	<p>Key challenges were around allocating sufficient staffing and financial resources to trial preparations and the complexities created by a programme that was gradually phasing down.</p> <ul style="list-style-type: none"> Plans to hold Lessons Learned events have been implemented. A recent humanitarian trends paper was shared at the ALNAP meeting in Dec. 07. During 2007, a major case study of the Sri Lanka Tsunami response was completed, including a full business case and sharing of tools in a variety of internal and external fora (E.g. With peers in IMG standing team meetings). Key Sri Lanka accountability tools were also provided to HAP for inclusion in the Guide to implementing the HAP Standard. A business case has been distributed to peer NGOs and is available upon request from H_Account@wvi.org World Vision also conducted fieldwork and head office work with Transparency International and seven other agencies to develop a tool kit to prevent/ reduce corruption in emergencies. 	<p>2.3) Development of a new country case study of accountability (probably Zimbabwe) finished and published.</p> <p>2.4) Transparency International handbook finished and published.</p>
<p>2. Accountability in humanitarian action (Principles 3,4,6 & 7)</p> <p>1. To clarify and define the relationship between WV humanitarian response and beneficiaries as a professional obligation</p>	<ul style="list-style-type: none"> WV-HEA's description of humanitarian accountability emphasizes beneficiaries. In all our HEA work that touches on 'more quality' the emphasis is on working with beneficiaries as a primary source to enhance quality. Currently WV is undergoing a major change process that will reform how the organization operates and beneficiary accountability requirements have been put into several of these new initiatives. The Good Enough Guide (GEG) has been used at field level as a key tool to promote the need to listen to beneficiaries and to be accountable to them. GEG trainings have been held in Kenya (x3), Swaziland, Zimbabwe, Zambia, DR Congo, Lesotho and Mauritania. Support Offices across Europe and in Australia have also been trained. Further trainings have been held with the Global Relief Group, Africa regional relief office and global surge capacity teams. From 	<p>1.1) With more staff in 2008, more consistent attention to beneficiary accountability and report back in our WV internal and external reports</p> <p>1.2) Develop Quality Assurance strategy and approach that will have beneficiaries as a central theme and combine accountability, DME and learning.</p> <p>1.3) H-Account to provide field support to at least three emergencies</p> <p>1.4) Good Enough Guide trainings will start in French, Bahasa, Arabic and Spanish versions.</p>

17. World Vision International			
		this training, WV has learnt that there is high demand for interagency trainings on accountability.	
2. Ensure that in all WV Partnership agreements MOUs include HAP accountability principles		No progress apart from incidental uptake by a few country programmes of this goal example is WV Pakistan	2.1) Ensure that planned development of generic partnership templates and standards for partner responses include key accountability principles.
3. Monitoring and Evaluation (Principle 5)			
1. To create a regular feedback process with all the stakeholders in one sector on the issue of the sectoral standards, accountability to beneficiaries, and compliance to both		WV's Food Programming Resources Group (FPMG) has been working towards a thematic certification against the HAP standard. This involves taking baselines in 5 focus countries with a view to expanding across all 36 programmes where WV has food programmes run by FPMG. To date FPMG and HAP have working closely together to train FPMG staff from across Africa in Accountability and introduce them to the HAP standard. Five field programmes have been selected for thematic certification as a start.	1.1) Achieve HAP Certification of FPMG in 2008 1.2) Develop standardised products to support accountability across FPMG programmes (e.g. HAF)
2. To strive and demonstrate better quality in our annual reporting to HAP		Alongside provision of information for the HAP annual report, WV has also provide the following reports to HAP: H-Account report to WVI's Humanitarian and Emergency Affairs (HEA) Annual Report, A report against the HAP/ WVI work plan. Copies of accountability lessons learned from internal learning processes. H-Account planning docs (with 10, 5 and 2 year timeframes) and other key reports and products as they have become available.	2.1) Continue to share with HAP all WVI reports, plans and brochures on humanitarian accountability 2.2) Develop a better tracking system to measure and record field progress on accountability issues.
4. Addressing Complaints (Principle 6)			
1. We work toward a system to include in contracts for international and national staff specific ways to hear concerns, negotiate disagreements and to address complaints		Global Whistleblower policy introduced and operational so that staff can flag key accountability issues.	1.1) Communications plan developed to disseminate whistleblower policy
2. To make beneficiaries aware that WV has an open door policy with respect to concerns from their perspective		Only in certain country offices this has started: Sri Lanka and some FPMG programmes in Africa. In 2007, Sri Lanka developed and implemented software to support the	2.1) Community complaints software made available for dissemination to other country contexts.

17. World Vision International		
	management of community complaints. In Zimbabwe work has started to strengthen the community complaints help desk methodology and develop a tool kit for export to other countries.	2.2) FPMG's help desk methodology strengthened and materials developed to enable take up in other countries.
Plans with regard to: undertaking a baseline analysis, a certification audit, or mid term certification review		
<p>During 2008, WV plans to develop a quality assurance framework that will include accountability. This framework will be piloted in the field, but results are only likely in 2009.</p> <p>WV will continue to work on the Certification of the FPMG and develop useful templates and learning in the process. Experience gained in the two approaches above will then be used to inform future baselines on a case-by-case basis.</p>		
Summary / Other comments		
<p>During 2007, and early 2008, momentum grew within WV to be more accountable. H-Account strategy has focussed on building a community of practice internally with key regional, support office and surge capacity staff to equip them to promote accountability in their work. Much has been done to mainstream accountability thinking into various training packages, organizational change initiatives and accountability tools to the point that we are approaching a tipping point. Over the coming year, WV expects this to have growing impact on our field operations, to the benefit of those we seek to assist. This process has been made much easier by the support and momentum generated by working collaboratively with sector initiatives such as HAP, SPHERE and ALNAP and with peer NGOs at field and technical levels. World Vision has greatly valued working collaboratively with all of these partners and will continue to learn and move forward with them in 2008 and beyond.</p>		

Chapter 6: Good Humanitarian Accountability in Practice

Members shared examples of good practice in humanitarian accountability and quality management at the 2007 General Assembly. These are presented by alphabetical order of agency below.

1. CAFOD

Over the past 2 years CAFOD has developed and implemented a new programme cycle management (PCM) system. The system covers assessment of partner capacity, programme development, monitoring, and in the next phase will expand to include impact assessment and evaluation. Roll out of the new system has been intensive, and included training of all CAFOD programme and technical support staff worldwide.

During the recent HAP baseline study, the PCM systems and documentation were helpful in demonstrating that participation (benchmark 3) was strongly embedded in management documents and approaches. The PCM system was also identified in the baseline study as meeting virtually all the requirements demanded by benchmark 2.

The missing area with PCM is a clearer quality assurance mechanism that can be shown to check that the standards and approaches required by PCM are being adhered to. This is a core task for the next phase of the PCM roll out, in liaison with CAFOD's internal audit function.

2. Christian Aid

In July 2007 Humanitarian Division staff delivered a series of trainings in Kindu, Democratic Republic of Congo. The initial workshop was on disaster risk reduction and livelihoods, and incorporated in to this the principles of HAP and downward accountability. Partners expressed real interest and so further trainings on Participatory Vulnerability Capacity Analysis (PVCA) and training on information sharing and complaints mechanisms were undertaken in August and September 2007 respectively.

Eight partner organisations were involved in these trainings in Kindu and then undertook their own PVCA's in the 8 villages within which they work. They reported that they were very successful and were pleased with the outcomes, several partners identified that this was a big help to them in ensuring that programmes were designed in line with priorities identified by the communities themselves and this was significantly different from how they had operated previously. They felt confident this would ensure a well-designed programme aimed at addressing the needs of the community. However, there is clearly a challenge remaining for CA in ensuring that partners view 4-day participatory assessments as basic good practice rather than as a one off exercise.

As a result of the further workshops, the 8 partners made the following commitments:

Participation

Beneficiaries will be involved in:

- Identifying problems
- Identifying priorities
- Beneficiary selection process
- Monitoring and evaluation

Information sharing

The following information will be made available to beneficiary communities

- Criteria of selecting beneficiaries
- Philosophy of the partners
- Budget of the project
- Synergy with the other projects in the same zone
- Complaint mechanism is a right

Complaints mechanisms

- Find adequate ways for people to introduce complaints such as boxes of suggestions, telephone where it is possible etc
- A third person to channel complaints to the headquarters where the complaint involves a development worker (i.e. priest)

3. COAST Trust

Case 1: Monthly News Letter for Accountability In Decentralized Offices.

We have a monthly desktop newsletter from all the sectors of regional offices, which give a glimpse of monthly activities of that region and is distributed to all the external stakeholders especially to the government officials and locally elected leaders of that region, so that if they wish they can act with the information for participation.

Case 2: Annual Meeting System for Learning and Review: As a part of annual planning for operation preparation, at the beginning of year we prepare a set of office, region, project, sector and central based meeting systems in such a way that so that there will be representation from all level of staff and especially the participation of people organizational leaders (representational leadership structure of beneficiaries) will be ensured.

Case 3: Annual Diary as Ready Reference for Cross Communication and Key Standard: COAST publishes an annual diary that contains contact addresses of all staff, offices including board of trustee members. It should be noted that COAST has a set of rules that any one can communicate with any one by any means. The diary also contains information on COAST values, professional standards, major human resource and finance rules, so that staff can see this and also use for ready reference.

4. Concern Worldwide

Concern's Action Research

In January 2007 Concern began an action research project, working in five pilot countries, with the aim of developing an organisational tool to improve accountability to beneficiaries.

Putting accountability into practice

As part of the research a practical set of tools have been developed, under the pilot name of Listen First, which are designed to support and provide benefits to three sets of stakeholders:

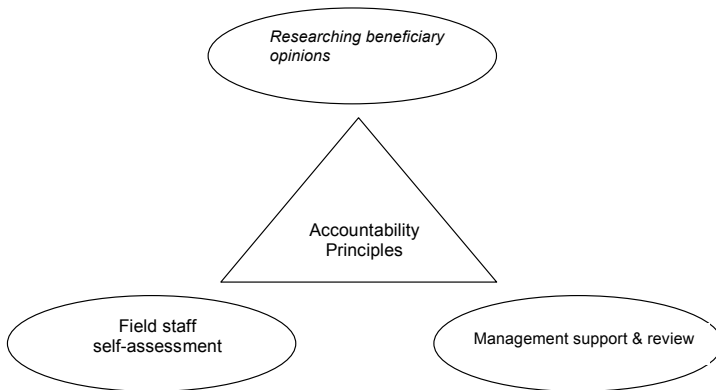
- For beneficiaries, Listen First provides a way to focus field staff and managers' attention on their priorities and concerns. It provides a way of ensuring that beneficiaries' voices are heard throughout Concern's programmes and improving local ownership.
- For field staff, Listen First provides the opportunity for honest reflection on the way they currently work. It also provides a simple, flexible road map for planning improvements.
- For managers, Listen First provides a way of encouraging good practice in the field (by Concern's staff or by partners). It also provides simple, reliable management information on two key indicators of field-level performance: (i) how effectively staff work with local communities, and (ii) how satisfied beneficiaries are with Concern's (or our partners') work.

At the heart of Listen First is a matrix based on the four operational HAP benchmarks. The matrix sets out four levels of performance across the four benchmarks.

	Sapling	Maturing	Flowering	Fruit bearing
Transparency				
Participation				
Listening				
Staff attitudes				

For each of the four elements, examples of good practice from Concern and across the wider NGO sector are being brought together, as resource materials for staff.

Listen First processes (pilot draft):



Our experience in Cambodia – developing Listen First with Partners:

Concern Cambodia was one of the early pilot countries. It works through partners and this work focused on two of those partners. The research focused on understanding accountability from the three perspectives: Concern, the Partner, and the intended beneficiaries.

The work with Concern Cambodia involved:

- Running workshops with the two partners to;
 - Define accountability
 - Assess how accountable they currently are
 - Identify ways to improve their accountability

- Asking beneficiaries how accountable they thought the partners were, and triangulating this with the workshop findings.
- Running workshops with Concern staff to explore their role in improving the accountability of partners to beneficiaries

Findings to date:

The Partners' perspective:

- In defining accountability both partners came up with the same broad areas as the four HAP operational benchmarks.
- Partners needed to be taken through this process (of defining accountability, measuring themselves against this definition) before they can come up with meaningful action plans to improve accountability

The intended beneficiaries' perspective:

- Beneficiaries engaged enthusiastically, and were glad of the opportunity to feedback on partner performance.
- Talking to beneficiaries was helpful in triangulating the partners' self-assessments and pointed out discrepancies in beneficiaries' and partners' views which management could then address.

Concern's perspective:

- Staff found the process a useful way to align partners behind accountability principles and to manage partners' accountability to beneficiaries.
- Staff realised that to be credible they must also improve their accountability to partners.

Going forward:

- A year on we will be revisiting the work in Cambodia to examine the extent to which accountability has improved, and to see how useful staff, partners and beneficiaries have found the Listen First accountability tools.
- Field tests are continuing in the other pilot countries.

5. DanChurchAid

DCA Bangladesh after cyclone Sidr, November 2007 humanitarian response. The extra attention which was placed on accountability by actually having HAP support staff in to work intensively with DCA local partner DSK had quite positive results. The interaction between local partner staff, DCA staff and local communities with respect to budget allocations and project design was interesting. DCA staff on the ground commented on the transparency involved in the exercise and the high level of detail! A good example of positive improvement was the adjustment of project design to include small livestock, in this case goats, as a recovery mechanism which women were highly

motivated for and appreciate of. The quality management system worked here as the report on this intervention was taken back from field to DCA HQ for discussion. It raised the idea that small livestock, as recovery mechanism is a relevant, rapid response, which makes sense in certain contexts.

6. Danish Refugee Council

Strategic Planning in DRC International (ref. Benchmark 6) is taking its point of departure in the broad question “What can we do as an organisation to further enhance the relevance, quality and accountability of our work?”

Annual strategic planning cycle in entire DRC:

- Jan – June: analysing the context
- July-Dec: Defining the strategic focal areas (SFAs)

Typically, the process defines 2-4 SFAs at each level, a) the entire organisation, b) in each of the six DRC departments. Some of level b SFAs reflect level a, others not. An SFA is a special strategic priority that needs an extraordinary and focused attention and it will be specifically resourced. In addition to the SFAs, 5-8 “To Dos” are defined which need a particular attention but can be addressed by existing resources. The number of SFAs and To Dos must be low in order to avoid that their importance is diluted.

Annual Strategic Planning cycle in DRC International (one of the six DRC departments):

- June (from 2008, used to be in October): Annual meeting of all DRC country directors and HQ programme coordinators recommend/revise DRC International’s SFAs for the next two years. At least every two years the annual meeting’s agenda includes one or more Open Space sessions where the participants themselves define groups and agendas under the broad theme “What can we do as an organisation to further enhance the relevance, quality and accountability of our work?”
- July-Dec: HQ refines the recommendations into SFAs (includes project matrix, implementation plan and resourcing). An SFA normally lasts at least one year and typically two years.

Annual SP cycle in DRC International programmes:

Once a year every DRC programme (typically country level, i.e. comprising a cluster of projects) is subject to an internal review. Internal annual programme reviews are conducted in order to, first, systematically review both

implementation progress and project outcomes against specified targets and objectives, second, to revisit the validity of programme assumptions and third, to engage in a process of strategic planning for the future. Annual reviews are jointly conducted by project and HQ staff, and should be carefully prepared through impact studies, stakeholder workshops, external evaluations or sector reviews. The annual review must include the accountability commitments undertaken by DRC and also consider the need for external reviews/evaluations.

The HQ conducts a meta-evaluation of the annual programme review reports, which is fed into the annual meeting.

7. Medair

Beneficiary feed back mechanism in Afghanistan

As part of Medair's ECHO funded Food Aid and Nutrition project, which commenced in Badakshan province in autumn 2007, a feedback "drop box" and "feedback forms" were used to give beneficiaries the opportunity to submit anonymous feedback to the project team. In addition to this the project staff encouraged an open dialogue with the beneficiaries and encouraged the use of the feedback mechanism to all beneficiaries during the distributions.

The system is designed to be simple and provide beneficiaries with the opportunity to present their ideas and concerns effectively to the project team. Community mobilisers inform the community of how they can submit verbal or written ideas, recommendations, and complaints to Medair. Follow up visits by both male and female mobilisers, the Beneficiary Feedback and Accountability Monitor, and the availability of drop boxes for anonymous complaint forms ensure that the beneficiaries know how to voice their concerns, if they feel that they are not being addressed by Medair. The national staff administrator is trained to register and investigate complaints. Serious complaints or those who require additional feedback are investigated by the international programme manager.

During the period of food distribution, many beneficiaries came to the sub-office and distribution site to request food or other assistance from project staff. The food aid team was able to listen to these requests and also give people the option of completing a feedback form to formalize and record their feedback or complaint. The feedback drop box was available at the food distribution site and office base. During the period of food distribution 35 completed forms were received from a total of 142 beneficiary families who participated in the emergency supplementary food distribution in November 2007.

The feedback received was useful to gain different perspectives from the community. Out of the 35 written responses received 16 (46%) were positive

feedback, 2 were complaints about not being part of the distribution, 3 gave suggestions for other projects and input, and 21 (60%) requested further assistance. This system will be used at village level during the next phase of activities in the spring.

Throughout the design and implementation of the project, beneficiaries, community leaders (Shuras) and authorities were consulted extensively. The local Shuras played a key role in selecting the beneficiary families who benefited from the food distribution and will continue to play a key role once the second phase of project activities commence in spring 2008.

8. MERCY Malaysia

Core-housing project in Weu Raya, Aceh post Tsunami.

MERCY Malaysia managed a camp for IDP from Weu Raya Village for about 700 people since it was relatively a small camp that fitted into the organisation's resource capacity at the time. Sphere minimum standards were consulted when setting up this camp and the construction of shelters in the camp. Through consultation and engagement with the beneficiaries (Weu Raya villagers), it was decided that MERCY Malaysia was to build the houses for them on the original land in their village of Weu Raya.

As there was no documentation evidence on the land ownership, all beneficiaries (i.e. landowners) represented by the head of family came together to re-plot and agree on the boundaries of their land before the construction of the houses can take place. Once the re-plotting had been agreed upon by all involved, MERCY Malaysia and the head of families of the villagers held meetings to plan and finalise the design of the core-houses, which incorporated local materials and an anti-seismic feature.

The beneficiaries then approved the final design by signing a consent form. MERCY Malaysia then started the construction with the building of 10 model houses that showed the quality of the house and the anti-seismic features. It then proceeded to construct more houses, which totalled 131 core houses. The beneficiaries were also hired to provide logistic and labour requirement for the construction. In addition, MERCY Malaysia appointed a local contractor to build 30 of the total houses built.

During the building process, the beneficiaries were also responsible for the monitoring the construction progress of their houses. Upon completion, the houses were officially handed over to the beneficiaries, witnessed by the local authorities in Aceh (BRR), the media, the donors and others.

9. OFADEC

A HAP Focal Point amongst beneficiaries is named. He/she is part of unit analysis in charge of investigations and treatment of complaints. He/she collaborates with OFADEC's HAP Focal Point to develop, implement and monitor accountability principles and standards. He/she participates in the organisation of meetings, in the elaboration of the programme of activities in the year. The participation of the Focal Point of beneficiaries in the unit analysis of complaints helps all beneficiaries trust the complaint mechanism.

10. Oxfam GB

The Oxfam GB (OGB) Zimbabwe country team focused on the following 4 areas to improve their accountability in 2007:

1. Information provision to beneficiaries

- Conducted sessions to raise awareness on humanitarian standards, project operations, OGB/Partner values and beliefs and contact details
- Established various communication channels such as verbal (meetings, beneficiary focal persons) and visual (hard copy reports, posters, leaflets)

E.g. Lessons learned: for the urban set up, the participation of beneficiaries in decision-making is hindered to a great extent by the political environment, which limits the possibility of community members to gather without police clearances. Thus information dissemination through focal persons requires a lot of follow up and additional complementary.

2. Complaints or feedback and response mechanisms

- Liaised with communities to identify complaints and response mechanisms
- Informed beneficiaries of complaints mechanisms established (included beneficiary committees, suggestion boxes, complaints desks, focal persons within OGB and partner organisations)
- Systematically recorded complaints and responses given

E.g. something innovative: child feedback meetings where children between the ages of 15-18 were engaged in creative writing, participatory research, and appraising programme operations. This not only encourages children to voice their complaints, but also facilitates the protection of their rights. For example a concern was raised that children were being pulled out of schools to attend food voucher redemption processes on the understanding that children and the elderly were being given preference to get served first. This was quickly rectified by providing different dates for small groups of people to be served over a period of time other than serving a large number in one day.

3. Beneficiary representation or active participation in project decision making

- Carried out community based targeting and monitoring
- Established beneficiary committees with a clear role in decision making
- Conducted household and community consultations during assessments, surveys and process monitoring.

E.g. Good practice: listening to beneficiaries has put them increasingly at the center of programming, allowing them to take charge of progress towards achieving the programme goal. This has also increased their cooperation and proactiveness, for example such as in agreeing on venues for meetings as well as meeting times, where community members would indicate preferred times, which suit their occupations and social responsibilities.

4. Staff attitude/conduct with beneficiaries

- All OGB staff signed the Code of conduct during the induction period.
- Staff training was provided on sexual exploitation and abuse issues and other humanitarian standards
- Partner staff were acquainted with the OGB's Code of Conduct and humanitarian standards to observe

11. Tearfund

North Kenya

Tearfund responded to the drought in Northern Kenya in 2006 with an emergency feeding programme in 10 semi-nomadic communities reaching over 4,000 beneficiaries. The follow up phase focused on strengthening of community capacity to face future drought through the construction of earth dams, animal restocking, growing vegetable gardens and supporting income generating women's groups.

In relation to the HAP Standard benchmarks, the programme focused particularly on Making information publicly available (2), Beneficiary participation in decision making (3) and Complaints handling procedures (5). Learning against benchmark 4, Having competent staff, was also captured.

Making Information Publicly Available

Information needed to be shared in a variety of ways to meet the needs of different groups. Community notice boards were introduced in all ten locations and were sited in consultation with the community and managed by a member of the Beneficiary Reference Group (BRG). BRGs were established in each community and included members who were representative of different parts

of the community. They served as an intermediary between Tearfund and the beneficiaries when necessary and helped to improve verbal communication. The notice boards were used to give information about Tearfund and the programme, beneficiary lists, survey results and in addition pictures and photographs were used to convey information where possible. Those who could not read would rely on those who could to get information from the notice boards, as well as listen to information disseminated verbally during distributions and in community meetings.

Beneficiary Participation in Decision Making

Beneficiaries were involved in decision making where possible, such as choosing distribution sites and compiling beneficiary lists. The existence of the BRGs also meant that the voice of more vulnerable groups could be heard and issues raised with Tearfund.

Complaints Handling Procedures

Complaints handling mechanisms were set up in each of the ten communities through suggestion boxes, community meetings and the BRGs. Suggestion boxes had limited success. During the recruitment of agricultural extension workers five complaints were received which indicated that the Assistant Chief of the area had influenced the process. Subsequently the criteria for recruitment were posted on the notice board and the complainants were able to seek redress according to the criteria. In the main complaints were received verbally so it was essential that BRGs and community meetings could receive complaints. By way of example, in one community meeting the community complained that the design of the water trough attached to earth dams would be wasteful if only a small herd was to be watered, resulting in alterations to the design.

Competent Staff

Staff were trained in Beneficiary Accountability when recruited, as well as during the course of the programme. HAP staff visited and further reinforced their understanding. Having a dedicated staff member in the role of Beneficiary Accountability Officer enabled significant progress to be made on accountability issues. However, his late arrival to the team meant that he was initially viewed with some suspicion, as there was lack of clarity around this new role. With time and training the situation was turned around.

Lessons Learnt

- Information must be communicated in ways which suit different needs of the members of the community.
- Verbal mechanisms should have some reference point to ensure that information does not get distorted.

- The suggestions boxes had limited success because this was not the most appropriate mechanism for dealing with complaints in this context. Greater discussion with the community about the set up of the complaints mechanism should happen early in the programme to ensure efficiency.
- Recruitment of the Beneficiary Accountability Officer should happen early on in the programme. Internal difficulties were experienced because he had to join a team which had already settled into one way of working and then had the task to try to bring about change.

12. World Vision International

In Sri Lanka Tsunami response programme, WV set up a dedicated Humanitarian Accountability Team (HAT) that was equipped to gather community issues and concerns and advocate internally within the programme for their resolution. The HAT was given a formal mandate to take the lead on community engagement, advocacy and coordination issues. This was possible due to a combination of Senior Management support at field level, allocation of resources to build a separate team and the availability of excellent staff who could build systems and apply them from scratch. The HAT team was a separate function that reported directly to the Programme Director and worked in parallel to operations and the programme design/grant compliance functions. This helped to ensure that they could internally advocate for community perspectives and that issues could be taken right up to Programme Director level if necessary.

Through this process, WV learnt that being accountable to beneficiaries ensures that projects meet their requirements better (as well as technical standards), management staff had better information for decision making and expensive mistakes could be avoided. In addition, having a dedicated accountability function like HAT improved staff moral by reminding staff of their impact on people's lives and enabled technical staff to focus on their areas of technical expertise rather than community engagement.

Senior management support was an essential element of making the HAT approach work in Sri Lanka because accountability is as much about organizational culture and systems as it is about new tools. Key success factors that enabled the HAT to hold the rest of the programme to account were having a team leader who could build strong alliances with other departments, empowering staff to solve as many issues as possible at field level and the provision of HAT of field level community engagement and coordination services that were valued by other parts of the organization.

Based on this experience, a business case of the advantages of increased accountability has been developed and used to promote accountability

internally. This has been very useful and helped convince WV Zimbabwe to set up an accountability function. During 2008, a toolkit will be developed that will provide the means to implement many of the tools and approaches that have been proven by HAT.

Report of the auditors to the Board of

**Humanitarian Accountability
Partnership International
("HAP International") in Geneva**

Financial statements for the financial year 2007,
with comparative figures, including:

Balance sheet as of December 31, 2007
Statement of financial activities
for the financial year 2007, with comparative figures

Report of the auditors to the Board of

**Humanitarian Accountability Partnership International
("HAP International") in Geneva**

Sirs,

As auditors of your association "HAP International", we have audited the accounting records and the financial statements for the financial year 2007 with comparative figures.

These financial statements are the responsibility of the Board. Our responsibility is to express an opinion on these financial statements based on our audit. We confirm that we meet Swiss legal requirements concerning professional qualification and independence.

Our audit was conducted in accordance with auditing standards promulgated by the profession in Switzerland, which require that an audit be planned and performed to obtain reasonable assurance about whether the financial statements are free from material misstatement. We have examined on a test basis evidence supporting the amounts and disclosures in the financial statements. We have also assessed the accounting principles used, significant estimates made and the overall financial statements presentation. We believe that our audit provides a reasonable basis for our opinion.

In our opinion, the accounting records and financial statements comply with Swiss law and association statutes.

We recommend that the financial statements submitted to you be approved.

Nyon, Tuesday, March 25, 2008

Bureau Fiduciaire Lerch SA

Enclosure 1

Balance sheet as of December 31, 2007
with comparative figures, in Swiss francs

HAP International
Association located in Geneva

ASSETS	31.Dec.07	31.Dec.06
Petty cash	4,213	2,847
Bank accounts	733,057	565,424
Liquidities	737,270	568,271
Other short term assets	40,998	19,590
Prepaid expenses	13,023	40,358
Current assets (including liquidities)	791,291	628,219
Guarantee deposit	11,543	11,503
Fixed assets	11,543	11,503
Total assets	802,834	639,722
LIABILITIES	31.Dec.07	31.Dec.06
Account payable	52,302	88,379
Social charges & withholding tax payable	32,909	4,114
Accrued liabilities	51,971	16,518
Short term debts	137,182	109,011
Restricted funds (provision)	0	135,000
Funds capital	0	135,000
Reserves	0	0
Retained earnings	395,711	204,351
Net result for the period	269,941	191,360
Association capital	665,652	395,711
Total liabilities	802,834	639,722

Enclosure 2

Statement of financial activities for the period	HAP International
<i>financial year 2007, in Swiss francs</i>	<i>Association located in Geneva</i>

Incoming resources	2007	2006
Membership fees	143,543	136,336
Donations	2,261,099	1,689,235
Costs paid by third parties	14,509	7,130
Other operational revenues	30,121	1,749
Incoming resources	2,449,272	1,834,450
Salaries & social charges	834,023	629,975
Consultants fees & local staff	674,535	497,118
Recruitment & other personnel costs	45,887	14,216
Representation & travel costs	313,451	155,598
Communication, seminar & workshop costs	164,617	75,171
Local office expenses	86,279	132,856
Programme & staff costs	2,118,792	1,504,934
Rental and charges	34,955	40,361
Office cleaning & maint.	7,090	2,918
GA, board and other meeting costs	36,828	23,607
Office & I.T. equipment & supplies	30,953	6,411
Membership fees, newspapers, books	3,080	2,443
Insurances	2,352	616
Phone, fax & mail	8,107	12,498
Professional fees	25,019	17,672
Other expenses	0	3,743
Administration costs including governance	148,384	110,269
Bank charges & exchange diff.	37,433	25,069
Loss on debtors	8,216	0
Taxes	1,506	2,818
Financial costs & taxes	47,155	27,887
Total charges	2,314,331	1,643,090
Net incoming resources	134,941	191,360
Provision released	135,000	0
Net result for the period	269,941	191,360

Enclosure 3

**Statement of financial activities for the period
financial year 2007, in Swiss francs**

HAP International
Association located in Geneva

1. Detail of incoming resources 2007 vs 2006

	2007	2006
MEMBERSHIP FEES		
CAFOD	7,058	8,139
CARE International	16,300	18,797
Christian Aid	14,505	16,749
Concern Worldwide	14,670	-
Danish Refugee Council	8,997	11,376
Medair	2,999	3,459
Norwegian Refugee Council	8,050	9,283
Oxfam GB	16,232	18,719
Save the Children UK	14,670	16,917
Tearfund	8,316	9,590
World Vision International	16,300	18,797
DanChurchAid	8,157	-
Other *	7,289	4,510
Subtotal	143,543	136,336
DONORS CONTRIBUTIONS		
Australian council for International Development / AUSAid	-	135,990
AUSAid (Australian MFA)	386,493	-
Bureau of Population, Refugees & Migration (USA)	281,047	-
DFID (UK)	108,719	414,783
Emergency Capacity Building Project	-	108,078
DANIDA (Danish MFA)	89,624	261,181
Irish Aid	206,825	124,345
Ford Foundation	117,000	122,600
Buitenlandse Zaken (Netherlands MFA)	160,000	155,000
Norwegian MFA	201,509	-
Oak Foundation	183,939	-
Oxfam GB (2 grants)	105,850	121,000
SIDA (Swedish International Development Agency)	177,840	124,942
OFDA (Office of Foreign Disaster Assistance - USAID)	167,458	-
SDC (Swiss Development Corporation)	-	5,000
World Vision International	-	75,812
Tearfund	-	20,205
CAFOD	24,709	20,299
Concern Worldwide	12,220	-
CWS Pakistan	11,682	-
Save The Children	14,204	-
MERCY Malaysia	11,980	-
Subtotal	2,261,099	1,689,235
OTHERS		
Cost paid by third parties	14,509	7,130
Other operational revenues	30,121	1,749
Subtotal	44,630	8,879
Total incoming resources	2,449,272	1,834,450

* Other membership fees: ACFID, ACTED, MERCY Malaysia, WCRWC, MAP, OFADEC, MANGO



HAP International

Maison Internationale de l'Environnement 2
Chemin de Balxert 7 (First Floor, Room 1-08)
CH – 1219 Châtelaine
Geneva, Switzerland

Tel: +41 22 788 16 41

Fax: +41 22 797 38 61

Web: www.hapinternational.org