The 2008 Humanitarian Accountability Report

HAP Humanitarian Accountability Partnership

Front cover:
[Kenya] Displaced families seek refuge on open grounds in the Burnt Forest, Rift Valley Province, one of the areas worst affected by the post-election violence in Kenya in 2008.

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Introduction

Highlights

- The independent review of progress achieved in 2008 towards HAP's vision of a humanitarian system championing the rights and the dignity of disaster survivors found evidence of substantive progress toward this end.
- Similarly, the 2008 Humanitarian Accountability perceptions survey found growing optimism about improved accountability practices towards disaster survivors, but recognition that there is still a long way to go.
- Three concerns emerged from discussions with disaster survivors in 2008: first, the mixed quality of much information provided by agencies; second, the widespread failure to facilitate the right of beneficiaries to complain; and, third, the limited opportunities offered to enable communities to participate in programme planning.
- The UK Parliamentary Under Secretary of State for International Development launched the newly published The Guide to the HAP Standard.
- HAP, Sphere and People In Aid took practical steps towards greater inter-operability
- Record growth of membership, from 19 to 28 Full Members and from 4 to 6 Associate Members.
- 2 agencies were certified in Humanitarian Accountability and Quality Management.
- 14 members enrolled in the HAP certification scheme.
- 21 agencies submitted humanitarian accountability workplan implementation reports to HAP.
- 65% of the activities in the 2008 HAP Secretariat Workplan were completed using 61% of the expenditure budget. However, only 52% of the 2008 revenue budget was raised, with a net operating loss being posted of just over CHF 300,000 for the year.[1]

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1   *In 2008 the rule for recording income was changed, so that donations intended for future years are now shown as a liability in the year of receipt. Using the former rules, HAP would have shown an operating surplus of about CHF 250,000 in 2008.*

Outline:

The 2008 Humanitarian Accountability Report contains five chapters.

Chapter 1: An Overview of Humanitarian Accountability in 2008. The opening chapter provides an overview of materials relevant to humanitarian accountability published in 2008. 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". John Borton, a distinguished independent consultant, undertook the review. The "guest" chapter does not purport to represent the views of the HAP Secretariat or of the HAP membership.

Chapter 2: Survey of Perceptions of humanitarian accountability. This chapter reports on the fourth annual survey of perceptions of humanitarian accountability.

Chapter 3: Voices of disaster survivors. During 2008, HAP staff held extensive discussions with communities affected by disasters. Some of the direct quotes recorded at various locations are presented here.

Chapter 4: Members' Accountability Workplan Implementation Reports. In preparing for the 2009 General Assembly, most of HAP's members prepared summary accountability workplan implementation reports. These are presented in tabulated form in this chapter.

Chapter 5: 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 2008 workplan and the headline targets described in the 2007-2009 medium term strategic plan.

Chapter 1

An Overview of Humanitarian Accountability in 2008
John Borton[2]

1.1. Introduction

The purpose of this Chapter is to provide an overview of the principal developments and apparent trends during 2008 in relation to accountability within the humanitarian system. The chapter is based on a desk review of publications, document sources and information on relevant developments during 2008 supplemented by a dozen interviews. Advice on potential sources was sought from HAP staff and key informants and was complemented by web searches and reviews of agency websites. The review sought to be as comprehensive as possible but inevitably it may have missed certain developments or documents.[3]

Evaluation continues to play an important accountability and learning role within the humanitarian system and a total of 22 evaluations that had been placed on the Evaluative Reports Database of the Active Learning Network for Accountability and Performance (ALNAP) during 2008 were included in the document review. They were reviewed with regard to the extent to which they had sought the views of beneficiaries and affected populations on the assistance provided and the extent to which issues of accountability had featured in the evaluation. Where this was the case, the reports afforded an insight into accountability practices in actual operations.
Material gathered was summarised and then organised either by type of organisation (i.e. NGO, UN and donor) or cross-organisational or system-

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2 This chapter was written by John Borton, an independent consultant and researcher focussing on humanitarian emergencies and the operations of the humanitarian system, and the lead author of the seminal 1996 evaluation report; The International Response to Conflict and Genocide, Humanitarian Aid and Effects. The chapter does not purport to represent the views of the HAP Secretariat or the HAP membership.

3 Readers are encouraged to draw such publications to the attention of HAP staff so that monitoring of key publications on accountability may be improved.

wide relevance. Key developments and the trends apparent from this initial base document were then used in selecting the principal headings used in this chapter.

The chapter is structured as follows:

Section 1.2 provides a reminder of the principal humanitarian operations that took place or continued throughout 2008, together with some available facts about the caseload and scale of expenditures.

Section 1.3 summarises the additional evidence that emerged during the year of the need for improved accountability together with the material that strengthens the 'business case' for organisations to invest in and adjust their systems to be more accountable.

Section 1.4 describes the principal developments during the year either on, or of significance for, accountability within the humanitarian system. The section considers developments within the NGO, UN and donor communities as well as across them.

However promising a policy announcement may sound or however great the potential of a newly launched initiative, the real test of progress is what has changed on the ground. Using the material available, **Section 1.5** offers some (admittedly basic) comparisons on accountability at the operational level between the two cyclone response operations in Bangladesh (from mid-November 2007 onwards) and in Myanmar (from the beginning of May 2008 onwards).

Section 1.6 considers a number of themes and challenges that struck the reviewer as significant. The themes considered include:

- The challenge of accountability in operations with significant organisational interdependence;
- The benefits and opportunity costs of multiple approaches to accountability;
- The potential implications of country-level NGO accreditation and certification schemes;
- The need for more research;
- The need for an agreed framework for assessing 'progress' in relation to accountability and quality in the humanitarian system.

Section 1.7 draws some overall conclusions from the review.

1.2 The Year in Question

2008 began with spreading communal violence in Kenya following the disputed elections of 27 December 2007 and ended with the ongoing Israeli military assault on Gaza that began on 27 December 2008. In between, there were substantial operations in Georgia/South Ossetia, Eastern DRC, Chad, Central African Republic, Sri Lanka, Iraq and Afghanistan.

As well as humanitarian needs created by conflict, 2008 also witnessed massive needs created by natural disasters in Myanmar, China, Haiti and elsewhere. According to a major reinsurance company, natural disasters killed approximately 225,000 people making 2008 the deadliest year since 2004, the year of the Indian Ocean tsunami (Munich Re, 2009). Economic losses resulting from natural disasters were also high – 2008 was the third most expensive year on record, exceeded only by 2005 (the year Hurricane Katrina devastated New Orleans and surrounding areas of the USA) and 1995 when an earthquake devastated the Japanese city of Kobe (Munich Re, 2009).

Overall statistics on the numbers of people receiving assistance through the international humanitarian system are not readily available. However, statistics are available for internally displaced people (IDPs) and refugees (people displaced across international borders). For the former, the Internal Displacement Monitoring Centre estimated the total number of conflict-related IDPs at the end of 2007 as being 26 million, of which an estimated 11.3 million in 13 countries were without any significant humanitarian assistance from their governments. Columbia, Iraq and Sudan together accounted for nearly 50% of the world's IDPs (IDMC, 2008). At the end of 2007, UNHCR's statistical yearbook indicated a total of 11.4 million refugees of which 82% were hosted by developing countries (UNHCR, 2008a).

Box 1. Main new and ongoing emergencies and humanitarian operations during the year

Bangladesh: continuing response to Cyclone Sidr (15 November 2007); 4,400 killed/missing, 55,000 injured, 10 million affected.
Kenya: widespread violence and displacement following disputed election of 27 December 2007; 1,200 killed and approximately 350,000 displaced into temporary camps, with an equal number seeking refuge with friends or relatives.
Myanmar: Cyclone Nargis (2-3 May 2008); 135,000 killed/missing and 2.4 million affected.
China: Sichuan Earthquake (12 May 2008); 88,000 killed/missing, 375,000 injured, 5 million homeless (est.), 15 million displaced (est.) (USG Factsheet).
Georgia/South Ossetia: conflict (August); 350 civilians killed and 192,000 displaced (Amnesty International).
Haiti: Hurricanes Gustav and Ike and tropical storms Hanna and Fay (August and September); 1,100 dead/missing, 826,000 affected (USG Factsheet).
Eastern DRC: conflict induced displacement from August 2008 (DEC Appeal November); 200,000 newly displaced in addition to existing 1.2 million IDPs.
Zimbabwe: ongoing political and economic crisis (disputed elections in March 2008); rampant inflation, general food shortages and nationwide cholera outbreak that began in August; 880,000 displaced.
Somalia: ongoing conflict and insecurity; 1.1 million displaced, 3.2 million in need of humanitarian assistance.
Darfur: ongoing conflict and insecurity; 4.7 m affected, 2.7 million IDPs, estimated excess mortality of 300,000 since 2004.
Chad: ongoing refugee programmes and insecurity; 300,000 refugees, 190,000 IDPs.
Central African Republic: conflict/insecurity in north (links to conflicts in Sudan and Chad); 200,000 IDPs and another 100,000 as refugees in Chad and Cameroon.
Gaza/Occupied Palestinian Territories: Israeli offensive against Hamas (began 27 December); 600 civilians killed (est.).
Sri Lanka: resumption of Government of Sri Lanka/LTTE conflict after GoSL withdrew from ceasefire; 280,000 displaced. Lack of access makes estimates of numbers killed difficult to verify but thought to be in the hundreds.
Iraq: ongoing conflict/insecurity; approximately 9,000 civilians killed (Iraq Body Count), 2.8 million IDPs (IDMC), 2.25 million refugees outside the country (UNHCR).
Afghanistan: ongoing conflict/insecurity; 2,118 civilians killed in 2008 (UNAMA), over 200,000 IDPs (IDMC) and 1.9 million refugees outside the country (UNHCR).
Uganda: earlier conflict/insecurity in the north; 1.2 million still displaced by mid-2008 (IDMC).

Source: Estimates of the mortality and damage are drawn from a variety of sources, including US Government Factsheets, UN agencies and missions, Amnesty International and the International Displacement Monitoring Centre.

1.3 Further evidence of the need and justification for improved accountability

Since 2002, when a report by Save the Children first made visible the issue of child sexual exploitation and abuse by aid workers, and the subsequent *UN Secretary General's Bulletin on Special Measures for Protection from Sexual Exploitation and Abuse* of October 2003, considerable efforts have been made within the humanitarian system to address the issue. Codes of conduct, better interagency cooperation, new mechanisms to encourage the reporting of abuse and a proactive response, and the preparation of training, information and guidance material have all been developed and implemented. However, May and June 2008 saw the publication of separate studies by Save the Children UK and by HAP, both of which not only found evidence of continuing child sexual exploitation and abuse by aid workers but also highlighted a deep-seated reluctance by those affected, their parents and carers and also other aid workers to complain about sexual exploitation and abuse by aid workers.

In *To complain or not to complain: still the question*, Kirsti Lattu and colleagues reported on HAP consultations with a total of 295 aid beneficiaries in Kenya, Namibia and Thailand on their perceptions of efforts to prevent and respond to sexual exploitation and abuse (Lattu. et al., 2008). *No One to Turn To: The under-reporting of child sexual exploitation and abuse by aid workers and peacekeepers* by Corinne Csáky took a wider remit including exploitation and abuse by peacekeepers as well as aid workers. The study undertook 38 focus group discussions with a total of 341 people living in Southern Sudan, Côte d'Ivoire and Haiti and held meetings with 30 humanitarian, peace and security professionals working at national, regional and international levels (Csáky, 2008). The fact that the two studies reached such similar findings across six different country contexts strengthens the validity of their findings.

Whilst troops associated with the UN Department of Peacekeeping Operations were identified as a particular source of abuse, the SC-UK study states:

> *our fieldwork revealed cases of abuse associated with a sum total of 23 humanitarian, peacekeeping and security organisations. These include civil humanitarian agencies such as those delivering food and nutritional assistance, care, education and health services, reconstruction, shelter, training, and livelihood support as well as military actors providing peace and security services. (Csáky, 2008, p. 8)*

The HAP study found that:

> *Although beneficiaries know sexual abuse and exploitation is going on around them and perceive the risks, the vast majority*

*of the 295 beneficiaries consulted said they would **not** complain about misconduct. Consequently, complaints are rare and investigations even rarer. (Lattu et al., 2008, p. 3)*

For both studies, it is this reluctance to complain that helps explains the chronic under-reporting of incidents of sexual exploitation and abuse. Factors contributing to the under-reporting include:

• Fear of losing much-needed material assistance;
• Fear of stigmatisation;
• Fear of a negative economic impact;
• Fear of retribution or retaliation;
• Not knowing how to report;
• Feeling powerless to report;
• Lack of effective legal services;
• Lack of confidence that a complaint will be handled confidentially;
• Lack of confidence that a complaint will be taken seriously and passed 'up' for action.

As noted by the SC-UK report:

Crucially, however, many of these measures [put in place within the humanitarian system since 2002] are dependent on the willingness and ability of children and their carers to report the abuse they experience. If this is not assured, then the system as a whole will remain fundamentally flawed.

The report concluded that:

> *There are three important gaps in existing efforts to curb abuse and exploitation:*
> 1. *Communities – especially children and young people – are not being adequately supported and encouraged to speak out about the abuse against them.*
> 2. *There is a need for even strong leadership on this issue in many parts of the international system – notably to ensure that good practices and new procedures are taken up and implemented.*
> 3. *There is an acute lack of investment in tackling the underlying causes of child sexual exploitation and abuse in communities – abuse not just by those working on behalf of the international community but by a whole range of local actors. (Csáky, 2008, p. 1)*

Both studies concluded that a massive task still faces the humanitarian system if such practices by aid workers are to be curbed and eliminated. [4]

The final report of research on *Preventing Corruption in Humanitarian Assistance* sponsored by the International Secretariat of Transparency International was published during 2008[5]. The research was undertaken by Feinstein International Centre of Tufts University in collaboration with the Humanitarian Policy Group (HPG) at the Overseas Development Institute (ODI) and built on earlier studies by HPG in 2005 and 2006. The objectives of the study were to understand the ways in which corruption manifests itself in humanitarian assistance and to engage with agencies to understand the perceptions of corruption and how agencies are managing them. Seven agencies (four of which are HAP members) volunteered to be part of the project (Action Aid, CARE International, Catholic Relief Services, Islamic Relief Worldwide, Lutheran World Federation, Save the Children and World Vision International) and allowed researchers access to their headquarters staff and documentation along with similar access to field programmes in seven crisis-affected countries. The countries and the details of any findings relating to specific agencies were kept anonymous to ensure honest discussions with agency staff. The study will form the basis of a handbook on good practices on mitigating corruption risk in humanitarian assistance to be published in 2009 by Transparency International (TI).

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4   Dialogue started between HAP and SC-UK on options for the development of a global inspectorate on prevention and investigation of sexual exploitation and abuse. See Chapter 5.

5   The study can be downloaded at http://www.transparency.org/publications/

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Corruption, as defined by TI is "the abuse of entrusted power for private gain". The study found that "the circumstances in which humanitarian assistance is provided make it particularly vulnerable to abuse" (TI, 2008, p. 8). Emergency programming sectors and programming processes that were seen as particularly high risk included:

- food aid;
- construction;
- cash programming;
- health programming involving scarce and high-priced drugs;
- assessment, targeting and registration of recipients;
- trade-offs between speed and control;
- human resource management;
- financial management and audits;
- vehicles and fleet management;
- logistics and supply chain management;
- sexual abuse and exploitation;
- partnership arrangements: "forms of partnership emphasizing the empowerment of the partner, while preferable in terms of sustainability, were perceived to involve higher risks of corruption since there were often fewer controls associated with this approach [compared to a sub-contracting approach with clear contractual arrangements]" (p. 16).

The seven agencies participating in the study were found to be using "a set of common policies and standard management procedures to control corruption risks ... [but] generally this set … is not specifically adapted to working in humanitarian emergencies" (p. 17).

Among the findings regarding agency practice, the study found that:

- The better prepared an organisation is for rapid scale-up and the better its surge capacity, the more likely it is that the corruption risks will be mitigated.
- Whistleblower policies were commonly used, but there was considerable variation in practice with some including state-of-the-art, multi-lingual, 24-hour hotlines, outsourced to third party professionals who can be reached by reversed-charge telephone calls. However, despite advance whistleblower mechanisms at the headquarters level "only two field offices reported knowledge of the existence of such mechanisms and in one of those cases it was only a few senior level staff members who were aware of its existence". Instead, many field offices had created their own local reporting systems including anonymous complaints boxes and specialised committees to investigate corruption and misconduct allegations.

- Whilst there has been a significant focus in recent years on initiatives to improve programme quality, standards, learning and accountability, "Agencies are still not engaging in comprehensive monitoring, and agencies are still largely responsible for reporting on themselves, with little independent involvement in monitoring or evaluation." (p. 19)
- Whilst there is a significant recognition of the role of programme monitoring and financial monitoring as the best way to decrease corruption, "the reality is that not enough of this is done. … Even simple post-distribution monitoring in the case of providing material assistance is the exception, not the rule." (p. 19)
- Upward accountability to donors is shifting as part of the humanitarian reform process (involving greater use of 'common' or 'pooled' funds) and as donors grapple with increasing humanitarian aid budgets but fewer staff.
- There are no industry-wide minimum standards for corruption prevention.
- Staff often point to improved downward accountability mechanisms as the best means of preventing corruption. However, on this, the study concludes that:

> *The current focus on greater accountability to the recipients of assistance through initiatives such as the Humanitarian Accountability Partnership (HAP-I) is clearly of huge potential in enabling agencies to better combat corruption risks… There is however a long way to go in ensuring a range of initiatives is institutionalized in standard responses. The field experience review for this study would suggest that initiatives such as complaints mechanisms are not yet part of emergency response practice with only one agency piloting a 'beneficiary complaint' procedure. (TI, 2008, p. 20)*

Earlier studies in Afghanistan and Liberia by Savage (2007a; 2007b) that fed into the final report was cited as having found "that disaster affected populations were hugely ill-informed about the work of aid agencies and their entitlements". (p. 20)

The main obstacles in the mitigating and preventing corruption in humanitarian assistance were identified as:

- Limited capacity to undertake monitoring – "as consistently as monitoring was praised as essential in the fight against corruption, agencies reported that they had limited capacity (staff or money) to monitor as thoroughly as needed" (p. 24);
- Lack of analysis of specific corruption risks in different contexts as part of emergency preparedness planning;

- Lack of incentives (for agency staff, staff in partner agencies or in communities) to report corruption;
- Lack of safe channels either for staff or for recipient communities to report corruption;
- Inadequate attention to 'non-financial' corruption and corruption outside agencies– "Many programme staff still believe corruption is about finance and procurement, and do not accept that it is fundamentally a programme quality issue" (p. 25);
- Lack of learning by humanitarian agencies from the anti-corruption efforts of international financial institutions such as the World Bank's Department of Institutional Integrity;
- Lack of system-wide analysis and coordinated action by humanitarian agencies to address endemic corruption in specific contexts or "to address the problem of circulation of corrupt staff among agencies" (p. 26).

A concluding comment was that:

> *The study reinforced the perception that corruption is a significant threat to the humanitarian system and greater priority should be given to prevent corruption in humanitarian assistance. This is something of a vicious circle, as without clear signals from leadership within agency headquarters and country offices that corruption is a priority, incentives and mechanisms for uncovering and dealing with corruption are likely to remain weak. As with many issues vying for managers' attention, the issues is not so much whether policies and procedures for combating corruption are in place, but whether they are being effectively implemented at field level. (TI, 2008, p. 27)*

The *2008 Global Accountability Report* (GAR) published by the One World Trust (OWT) presented its annual assessment of the capabilities of 30 organisations (ten inter-governmental organisations; ten non-governmental organisations and ten trans-national corporations) to be accountable. The assessments use the four dimensions of the Global Accountability Framework (Blagescu et al., 2005):

- *Transparency:* being open and transparent about activities and decisions;
- *Participation:* involving internal and external stakeholders in the activities and decisions that affect them;
- *Evaluation:* evaluating performance on an ongoing basis and incorporating learning into policy and practice;
- *Complaints handling:* being responsive to complaints from internal and external stakeholders.

Within each dimension, an organisation's accountability capabilities are measured by assessing the integration of key good practice principles in policies and procedures and the existence of management systems to support their implementation.

Assessments using the Framework were begun in 2006 and so, with this third in the annual GAR series, a total of 90 global organisations have now been assessed.

Eight of the 30 organisations assessed in 2008 may be judged as being key actors in the international humanitarian system and the summary results for these organisations are shown in Table 1.

Box 2. Organisations Assessed in the 2008 Global Accountability Report

Inter-Governmental Organisations
•   European Bank for Reconstruction and Development (EBRD)
•   World Bank – International Finance Corporation (IFC)
•   UN Children's Fund (UNICEF)
•   European Investment Bank (EIB)
•   UN Office of the High Commissioner for Refugees (UNHCR)
•   African Development Bank (AfDB)
•   International Organisation for Migration (IOM)
•   Asia Pacific Economic Cooperation (APEC)
•   North Atlantic Treaty Organisation (NATO)
•   International Atomic Energy Agency (IAEA)\

Non-Governmental Organisations
•   International Federation of Organic Agriculture Movements (IFOAM)
•   Plan International
•   Catholic Relief Services (CRS)
•   Transparency International (TI)
•   Islamic Relief
•   International Planned Parenthood Federation (IPPF)
•   Fairtrade Labelling Organisations International (FLO)
•   International Committee of the Red Cross and Red Crescent Societies (ICRC)
•   CARE International (Secretariat)
•   International Olympic Committee (IOC)

Trans-National Corporations
•   BHP Biliton
•   Royal Dutch Shell
•   Carrefour
•   EDF
•   Unilever
•   Goldman Sachs
•   Cargill
•   Deutsche Post World Net
•   Halliburton
•   CEMEX

None of the humanitarian organisations scored well in relation to transparency capabilities. Indeed, four organisations scored less than 30 (out of a possible maximum of 100). The GAR had this to say about the results in relation to UNHCR, IOM and UNICEF:

The low scores are somewhat surprising; each scores only fractionally higher than NATO and the IAEA [the two IGOS involved in defence and security, two traditionally secretive areas of work]. Yet these organisations are more in the public eye and their influence on individuals is significantly more direct and tangible. … However, despite their clear public impact, none of these organisations have even the most basic of transparency capabilities, lacking both policies and management systems to address transparency issues. UNICEF have recognised this accountability gap and is in the process of developing an information disclosure policy. (GAR 2008, p. 32-33)

Table 1. Summary Results for assessed humanitarian organisations

Organisation	Transparency	Participation	Evaluation	Complaints and Response	Overall	
					Accountability Capabilities	Ranking
UNICEF	26	89	98	64	69	3
Plan Int'l	51	82	83	60	69	3
CRS	38	82	90	63	68	6
Islamic Relief	54	81	72	66	68	6
UNHCR	29	87	83	64	65	11
ICRC	40	80	78	24	56	15
IOM	27	75	63	28	48	21
CARE Int'l [6] (Secretariat)	15	71	94	0	45	23

All of the humanitarian organisations scored strongly (>70) in relation to participation capabilities (equitable members control and external stakeholder engagement capabilities). Apart from IOM, all humanitarian organisations assessed scored strongly (>70) in relation to evaluation. This reflects the significant role accorded to evaluation in approaches to accountability in

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6   *The scores for CARE International are misleading in that the GAR team assessed only the Geneva-based International Secretariat as its unit of analysis, and the results can not be taken to be representative of the scores of the lead (operational) members of CARE International had they been included in the assessment..*

the humanitarian sector over the last 10-15 years and the success of efforts by ALNAP and other groups (e.g. the DAC Evaluation Group and the UN Evaluation Group) to encourage the use of evaluation and improve evaluation practice. None of the humanitarian organisations scored strongly in relation to complaints and response handling capabilities.

In what may be taken as the GAR's summing-up of the current status of accountability, it concludes as follows:

> *[Since the 1980s] there have been major advances in extending principles of accountability to the global level. Debates on accountability have evolved considerably and a growing body of good practice has emerged. However, in the light of significant global challenges, global organisations must do better. The results of this year's Report reveal that even the top performers have only basic accountability policies and systems in place. If global organisations are to be part of the solution to global problems, they need to work with their key stakeholders to build accountability capabilities that address both organisational and stakeholder needs. (GAR, 2008, p. 9)*

The Listening Project of the Collaborative for Development Action (CDA) represents the most extensive attempt ever undertaken to consult with, and give voice to, the views of beneficiaries of development and humanitarian aid. Begun in 2005 by CDA and interested agencies and individuals, by mid-2008 the Listening Project had completed studies by Listening Teams in 13 different countries/contexts (Ecuador, the Thai-Burma/Myanmar Border, Sri Lanka, Kenya, Kosovo, Thailand, Zimbabwe, Angola, Bolivia, Ethiopia, Bosnia, New Orleans USA, and Aceh, Indonesia). Over 240 staff from more than 65 local and international NGOs participated in the listening exercises, holding about 1,500 conversations with approximately 3,500 people. In September 2008, four *Issue Papers* presented common themes and crosscutting issues emerging from the completed studies. Shortly after, the Executive Director of the Collaborative Learning Projects at CDA Mary B Anderson published a paper "The Giving-Receiving Relationship: Inherently Unequal?" in the *Humanitarian Response Index (HRI) 2008*. Though the Listening Project (LP) still has several more country studies to complete and write-up and the Issues Papers and the paper in HRI 2008 do not represent the final product of the project, they provide a rich body of material raising many important challenges for the international assistance and aid agencies.

The *Issues Papers* and the paper in HRI highlight four themes emerging strongly from the studies so far:

- International assistance as a delivery system emphasises speed and efficiency;
- The importance of agency presence at the community level;
- The weakness of current approaches to participation and partnership;
- The dominance of external agendas and priorities.

The following points are taken variously from the different papers. Listening Teams encountered many people, not only in recipient countries but also in donor offices and countries, who felt that international assistance had become an "industry" focussing on the efficient delivery of goods and services rather than on building relationships. "Efficiency" was frequently found to be equated (wrongly) with "speed"—not only in agencies working in humanitarian emergencies but also among donors and agencies involved in longer-term development work. Listening Teams heard many people suggest "slowing down" as one step towards improving the outcomes and impacts of assistance.

> *Even people who have experienced rapid-onset emergencies often say that aid agencies should 'go more slowly', 'invest the necessary time' to 'listen to people' in order to 'learn about the real circumstances,' and get to know people. (LP, 2008a, p. 4)*

For their part, donor and aid agency staff also reported that they feel hurried by tight time-frames for proposals and pressures to use funds quickly and, as a consequence, spend less time in communities. This lack of understanding of the communities was frequently seen as the source of mistakes or the selection of interventions and activities that were unnecessarily costly that, with more local consultation, could have been avoided.

People commented on the similarity in the ways that many donors and NGOs operate and that the space for creativity and innovation seems to be circumscribed.

> *The more the international assistance community coordinates their approaches at the donor/headquarter levels, the fewer the degrees of freedom for locally based innovative activities that exist. For instance, as donors and INGOs learn from experience and codify their improved understandings of aid effectiveness into policies and 'best practices,' many lose a focus on balancing these with the necessity of learning from local contexts. (LP, 2008a, p. 9)*

Listening Teams heard that:

> *[M]any people express their anger at the arrogance of outsiders who bring 'pre-packaged' assistance. They resent international 'targets', 'standards' or coordination mechanisms that ignore local context and realities. (LP, 2008a, p. 9)*

Thought admirable in its intention of supporting local institutions, the use by many donors and international NGOs of local and indigenous NGOs as partners in their programming is seen as adding more "middlemen" between the funders and receivers of international assistance. Listening Teams found that:

> *People in recipient communities find this confusing and distancing—they often do not know who is really behind the assistance that they see in their communities and they do not, therefore, know who to hold accountable or how to do so. (LP, 2008a, p. 7)*

While some agencies use the language of "clients", most recipients do not identify themselves as "clients" because they say that they have no power to hold aid agencies accountable. Lack of knowledge of what they should expect, fear of losing out if they complain, and not knowing where to complain to were all cited as reasons as to why recipients and communities did not complain more.

> *Several people told of sincere attempts to complain and their frustration when they arrived at an NGO office and no one would talk with them or listen to them, or when they called a number they had been given by an aid agency and found it had been disconnected. (LP, 2008a, p. 11)*

"Presence" emerged as a strong theme in what the Listening Teams heard. The reasons given as to why presence was important were listed as:

- "Be here to understand us and our needs"
- "Be here to monitor and assess impacts"
- "Be here for accountability and to take responsibility"
- "Be here for colleagueship, mutual learning and partnership"
- "Be here to provide protection" (LP, 2008b).

The Listening Teams found that:

> *Across the different contexts people want to play active roles in the entire project cycle and aid process: from identifying needs,*

> *determining priorities, to designing and choosing projects/ activities; from selecting who receives aid (and what the criteria are for selection) to implementing and managing the projects; and finally, to monitoring and evaluating the impacts. Of these, needs identification, prioritization, choosing interventions, and selecting who receives assistance were brought up most frequently. (LP, 2008c, p. 2)*

The Listening Teams identified the following factors as being most significant in explaining why active involvement, even though it is universally sought, is missing from so many people's experience with international assistance efforts:

- The current aid system and its structures, time frames and incentives;
- Agencies often don't include enough people or the right people. Too often those "selected as 'representatives' … do not in fact represent most local people's interests. Nor do they adequately inform people of the content of meetings and decisions." However, in several locations the role of NGOs in ensuring the inclusion of marginalised groups such as women and ethnic minorities was commented upon favourably.
- The willingness of communities to become involved is often determined by the way an outside organisation approaches communities and how its staff members conduct themselves;
- How well communities are informed of the process of participation and the project itself and the appropriateness of the language to be used in discussions with the agency representatives;
- People may find it difficult to give the time required to participate due to responsibilities in their personal and professional lives.

People also talked about the funding priorities and donor trends that seem to shift every couple of years, affecting the types of assistance that are available. "They say that the result is that donors and aid agencies have 'projectitis' and develop projects to fit what is 'trendy' or 'sexy' at the time." (LP, 2008d, p. 4)

People were found to resent assistance that is pre-determined and inappropriate. One Listening Team summarized this in the following terms: "There are common complaints that NGOs take a blanket approach and arrived with pre-planned programmes." Listening Teams "heard many people express their anger at the arrogance of outsiders who pre-determine need in categories that they feel are biased and inappropriate in their society, or when they apply programming approaches that have been developed elsewhere in quite different contexts". Such resentment is increased "when people are urged to 'participate' in programme planning and design, but they soon see that choices and decisions have already been made—by outsiders".

A combination of pre-packaged programmes, the use of intermediary organisations before aid reaches the communities and the lack of consultation and flexibility in the design of programmes are frequently viewed as causing significant levels of "wastage" in the aid system.

Such trenchant points generated through such an extensive consultation with aid beneficiaries present the development and humanitarian aid systems with a challenging critique. It will be telling to see how, once the Listening Project is completed and the results are fully analysed and published, the principal groupings of agencies and donors manage their response.

The results of the Listening Project are supported by several of the evaluations that were reviewed where the evaluation team had consulted beneficiaries. For instance, inadequate consultation with beneficiaries was revealed by several of evaluations that actually considered these issues. In the case of an international NGO in Bangladesh responding to Cyclone Sidr, an evaluation team found that the hygiene kits distributed did not include key items needed by women, apparently because the kits were designed after a consultation with a community group that allegedly included few women. Soap or saris had not been distributed by the agency in one district despite the agency's own assessment report stating that many women had lost their clothes during the Cyclone and had not been able to wash due to the lack of soap. None of the women served by the programme had received sanitary towels two months after the start of the response.

> *Certainly all the women consulted in the evaluation focus groups were not consulted and would have requested other items if asked. (Walden et al., 2008, p. 13)*

The evaluation team saw the lack of a comprehensive and up-to-date contingency plan as being largely responsible for some of the problems experienced by the agency.

Inadequate provision of information to beneficiaries was revealed by several evaluations. The evaluation of another international NGO in Bangladesh found that:

> *During group discussions, participants said that households were not informed about the selection criteria, and many beneficiaries were confused about why they were selected and their neighbours were not. (Todd et al., 2008, p. 25)*

The evaluation of a large emergency drought relief operation in Kenya from 2004-2006 found that:

> *… many distributions are still not running to standard. ….; the entitlement is not displayed in the local language or through pictorial reference; many beneficiaries do not know their correct entitlements; … and there are no participatory discussions with the beneficiaries about waiting times or distribution arrangements. (Simkin et al., 2008, p. 23)*

The most common example of 'inflexible' and 'pre-packaged' programme design is the widespread use by agencies of average family sizes when calculating the assistance to be provided to households. Many general food distribution programmes, for instance, provide standard family rations with no variation allowed for differences between the <u>actual</u> family size and the <u>average</u> family size (which is often taken to be 5 or 6 individuals). Though the standard family model is widely acknowledged as benefiting those families that are smaller than the average size and penalising those families that are larger than the average size, the standard family ration model continues in widespread use because of the distinct administrative and logistical advantages of treating all beneficiary families as being of the standard size.

However, the evaluations did reveal one case where an agency distributing WFP-supplied commodities to IDPs in northern Uganda had modified its programme in order to address the inequities and inefficiencies of the standard family size assumption. Once the shift had been made to a system in which food rations were given according to the <u>actual</u> number of people in each household, the distributions became smoother running and the agency was able to hand over the physical distribution activity to the beneficiaries themselves and the Food Management Committees established in each IDP camp (Das and Nkutu, 2008, p. 26).

Box 3. Consideration of accountability to intended beneficiaries and local communities in the evaluations reviewed

Of the 22 evaluations reviewed [7], the majority (16 or 68%) indicated that beneficiaries and/or affected populations had been included among the stakeholders consulted during the evaluation. Four evaluations (23%) did not include beneficiaries and/or affected populations among the stakeholders consulted and two (9%) were unclear as to whether beneficiaries and/or affected populations had or had not been included.

Does the fact that two-thirds of the evaluations reviewed actually included beneficiaries among those consulted represent an improvement? Five years ago the ALNAP Review of Humanitarian Action in 2003 judged 52% of the evaluations to be "poor" in terms of the quality of consultation with and participation by primary stakeholders (beneficiaries and non-beneficiaries) within the affected population during the evaluation. Whilst it is not possible to directly compare the 23% non-inclusion figure from 2008 with the 52% 'poor' figure from 2003, it would appear that there has been a significant improvement in the practice of humanitarian evaluations over the last five years.

As to the use made of the information and perspectives offered by the beneficiaries, the picture is less impressive. By the reckoning of this reviewer, only 10 evaluations (45%) explicitly considered accountability to intended beneficiaries and local communities in their reports. Nine (41%) did not explicitly consider accountability to intended beneficiaries and local communities and in three cases (14%) it was unclear or difficult to determine. Even when accountability to intended beneficiaries and local communities was explicitly considered, it was often with regard to particular issues (such as beneficiary selection mechanisms and the operation of village relief committees) that had been raised in focus group discussions or interviews by the team

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7   *Evaluations produced in 2008 and present in the ALNAP Evaluative Reports Database on 8/1/09 were used. Some of the studies present were not felt to be relevant and so were not included. A later search of the ALNAP ERT Database revealed additional evaluations undertaken during 2008 by UNHCR and other organisations that appear to have been added since the initial search of the ERD in early January. Due to time constraints, it was not possible to include these reports in the review. Of the 22 evaluations, five were of programmes undertaken by components of the UN system and inter-governmental organisations; eight were of programmes funded by bilateral and multi-lateral donor organisations; eight were of programmes undertaken by non-governmental organisations and one was an inter-agency evaluation undertaken by OCHA on behalf of the IASC. No evaluations conducted within the Red Cross and Red Crescent family appear to have been placed on the ALNAP Database during 2008. Within the donor group, five of the eight evaluations had been commissioned by ECHO and, within the NGO group, four of the nine evaluations had been commissioned by the Norwegian Refugee Council. Whilst this reflects a commendable commitment towards evaluation and the sharing of results by these two organisations (one of which is a HAP member), this inevitably skews the results and reduces the representativeness of any conclusions that may be drawn from the results.*

with beneficiaries. In none of the evaluations could it be said that the accountability systems in place had been systematically reviewed and assessed by the evaluation.

It is somewhat paradoxical that when evaluation is regarded as a significant component in the accountability framework of the humanitarian system, none of those reviewed systematically considered the accountability systems in place and more than half of them do not even explicitly consider accountability to intended beneficiaries and local communities in their approach or the way their reports were structured. It would appear that the 'accountability function' of evaluation is seen as being rendered simply by commissioning the evaluation and placing the resultant report in the public domain. There is a strong case for evaluation TOR to require humanitarian evaluations to explicitly consider the operation of the accountability systems in place as well as to consult more consistently and systematically with the intended beneficiaries and local communities.

Whilst there has long been ample evidence that improved accountability to beneficiaries and affected populations invariably results in more appropriate and more effective programmes, it has taken longer to demonstrate a clear financial 'business case' that improved accountability is financially advantageous to humanitarian agencies. Though not producing a comprehensive business case, a study of World Vision's Humanitarian Accountability Team established as part of the agency's Tsunami Response in Sri Lanka, demonstrated improved effectiveness and efficiency—including savings of over US$ 5 million largely by preventing unsuitable or unnecessary construction. The resources saved were reprogrammed in other areas or directed towards other beneficiaries in the Tsunami response (World Vision International, 2007; Srodecki, 2008).

1.4 Principal developments within the humanitarian system

Amongst the evidence of inadequate or poor accountability practices, there is also plenty of evidence of developments and progress being made during 2008 in many different areas of the humanitarian system. This section highlights the principal developments by broad organisational type: NGO, UN and multilateral organisations, donor organisations and cross-sector networks such as ALNAP.

1.4.1. Non-Governmental Organisations

1.4.1.1. Organisations and initiatives working to improve accountability through approaches including third party compliance verification and certification

Humanitarian Accountability Partnership (HAP) International
2008 was a year of significant achievements and new developments for HAP.[8] Nine new Full Members were added during 2008, representing a 50% increase and taking the total number of Full Members to 27. People In Aid and CPDI joined as Associate Members, taking the number in this category to six[9].

Box 4. New Full Members Joining HAP in 2008

- Coastal Association for Social Transformation (COAST) Trust, Bangladesh
- Sungi Development Foundation, Pakistan
- Muslim Aid, UK
- Church World Service (CWS) Pakistan/Afghanistan
- Naba'a (Developmental Action Without Borders), Lebanon
- Action by Churches Together—International, Switzerland
- Lutheran World Federation, Switzerland
- Merlin, UK
- Coordination of Afghan Relief (COAR), Afghanistan

During the year, DanChurchAid and Tearfund successfully completed the HAP Certification process, joining the Danish Refugee Council, OFADEC and MERCY Malaysia as being "Certified in the HAP 2007 Standard." The number of members enrolled in the certification scheme also increased so that, by the end of the year, 14 other members were at different stages of the process.

The Guide to the HAP Standard was published in March 2008 and by the end of the year the first print run of 1,500 copies was nearly sold out with 60% of sales going to humanitarian agencies in 94 countries. Over 1,000 readers downloaded chapters or the full text of *The Guide* from the Oxfam website. Launches of *The Guide* took place in London and Geneva. During

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8   *Progress in the Standard Review process, in the development of the Accreditation Standard and towards inter-operability between HAP, Sphere and People In Aid; recognition of the HAP Standard by bodies such as the International Organisation of Supreme Audit Institutions, and other significant developments in HAP's work in 2008 are presented in Chapter 5.*

9   *Associate Members: CPDI – Pakistan, Danida, DFID, Mango, People In Aid, SIDA.*

the London launch in May, the UK International Development Minister, Gareth Thomas, stated that he "can imagine a time when DFID will make it [HAP certification] a prerequisite for funding". In October, when addressing the UNHCR Executive Committee meeting in Geneva, the Minister stated that, *"Agencies urgently need to put in place standardised monitoring arrangements. And where accountability mechanisms already exist—such as

the Humanitarian Accountability Partnership International—we must use them more systematically".

In line with HAP's *New Emergencies Policy* (NEP) adopted in June 2004, efforts by HAP members and HAP staff to collectively apply the HAP Principles of Accountability continued and were further developed during 2008. In Pakistan, the HAP Office continued its programme of support to members and other agencies. Following the earthquake in Baluchistan Province in October 2008, HAP members and some non-members involved in the response agreed to a collective effort to apply the Principles of Accountability. The HAP Office deployed staff to the area during November to work with agencies and community members to identify accountability successes and areas for improvement in the implementation of the HAP Principles of Accountability. The HAP NEP deployments and member activities in response to Cyclone Sidr in Bangladesh and Cyclone Nargis in Myanmar are discussed in Section 1.5 below.

AMAN: the Palestinian Coalition for Accountability and Integrity
AMAN is the national chapter of Transparency International within Gaza and the West Bank. 2008 saw the completion of the pilot phase of the Nazaha Project, a joint initiative of AMAN and the Konrad-Adenauer Stiftung to develop and test a Certificate of Good Governance for Palestinian NGOs. Three national NGOs participated in the pilot: Arab Though Forum, Riwaq—the Centre for Architectural Conservation, and Musawah—the Palestinian Centre for the Independence of the Judiciary and the Legal Profession. The three organisations were initially assessed in regard to five major areas: institutional development; socio-economic impact; financial efficiency, health and growth; accountability transparency, reporting and communication; and sustainability. A technical team made up of members of the AMAN Coalition undertook a series of project visits and interviews with staff and Board members. Scoring of performance was undertaken using the NGO Star model for evaluating NGO performance developed by the US organisation Foreign AID Ratings. The three organisations exceeded the certification threshold and were awarded the pilot programme's Good Governance Certificate.

The final meeting of the Nazaha pilot in May 2008 also reviewed the results of the third and final opinion poll on perceptions on the level of corruption within the Palestinian NGO sector. The poll revealed a good awareness of

the pilot project and a more perceptive awareness of the corruption problem when compared to the results of the first such survey conducted a year earlier. AMAN has responsibility for coordination of the "NGOs Against Corruption" campaign in the future as well as managing the Good Governance Certification process.[10]

Charities Evaluation Service (CES), UK
In 2008, the Charities Evaluation Service launched the Third Edition of PQASSO—the Practical Quality Assurance System for Small Organisations. Since the publication of the first edition in 1997, 11,000 copies have been distributed. It also began implementing the PQASSO Quality Mark, launched in 2007, which offers an accreditation service to UK-based voluntary and community organisations wishing to show that their achievements against PQASSO standards have been externally verified. The process followed by the PQASSO Quality Mark commences with a self-assessment by the organisation against PQASSO and its application to the Quality Mark process. A peer reviewer is then appointed who undertakes a desk review and site visits and submits a report; the report is then reviewed to determine whether the requirements for the award of a Quality Mark have been met.[11]

Cooperation Committee for Cambodia (CCC)
CCC is the principal professional association of NGOs in Cambodia that was established in 1991. By 2008, its membership comprised 71 international NGO, 27 Cambodian NGOs and seven associate members. Within the framework of its Good Practice Project (GPP), CCC formally launched a Code of Ethical Principles and Minimum Standards for NGOs in Cambodia in June 2007. The Code includes a certification process involving an initial assessment of whether mandatory requirements have been met, followed by a desk review and field assessments undertaken by a working group made up of CCC GPP staff and CCC member agencies. By the end of 2008, 23 organisations had applied for certification, 18 of which completed the process and seven certified against the NGO Code, thereby being recognised as role model NGOs in Cambodia. The seven agencies are: Mith Samlanh, Salvation Center Cambodia (SCC), Vicheasthan Bondos Bodal Neak Krup Krong Karngea Akphiwat (VBNK), Krousar Yoeung (KrY), Community Capacities for Development (CCD), Youth Star Cambodia and the Cooperation Committee for Cambodia (CCC) itself. Judging by the names, Cambodian NGOs have been disproportionately represented in the first batch of certified agencies. Certification lasts for three years whereupon the agencies have to reapply and repeat the certification process.

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10   For more details see www.aman-palestine.org and www.kas.de.

11   For more details see www.ces-vol.org.uk.

Credibility Alliance, India

Credibility Alliance is a consortium of voluntary organisations committed to enhancing accountability and transparency in the Indian voluntary sector through good governance. It was registered as an independent, not-for-profit organisation in 2004 after an extensive consultative process throughout India. As of March 2009, Credibility Alliance had 462 member organisations.

Initially the Alliance focussed on the development and dissemination of "Minimum Norms" and "Desirable Norms" also referred to as Best Practice Norms. In 2007, the Alliance introduced an accreditation process involving external assessment managed by the Accreditation Cell in the Alliance and review of results by the Accreditation Panel and certification award to successful applicants. As of March 2009, 21 member organisations had received accreditation.

Pakistan Centre for Philanthropy (PCP)

PCP was established in 2001 following research conducted by the Aga Khan Foundation (AKF) and a National Conference on Indigenous Philanthropy. The AKF research had indicated that indigenous philanthropic activity generated up to five times the levels of funding provided by foreign aid. In 2003, PCP developed a framework for promoting regulation among National Philanthropy Organisations in Pakistan, the centrepiece of which is a certification regime modelled on that of the Philippine Council for NGO Certification. The process involves the evaluation by PCP staff of the governance, financial management and programme delivery of applicant organisations. Certified organisations are able to obtain not-for-profit, tax exempt status from the Pakistan Central Board of Revenue for a period of two years whereupon the organisation has to re-take the certification process. By the end of 2008, 140 organisations were certified and in receipt of the "Seal of NPO Good Practices".[12]

People In Aid

During 2008 two members (ACORD and CAFOD) achieved "Committed" status against the People In Aid Code of Good Practice. This brought the total number of "Committed" members to 11. The number of members that had achieved "Verified" status against the Code (involving verification of the adequacy of the monitoring and stakeholder consultation systems in place and the completeness and accuracy of the information by an external social auditor) remained at 8 (Concern Worldwide, Health Unlimited, Leprosy Mission International, Mission East, Red Cross UK, RedR, Save the Children UK, Tearfund). The People In Aid network had 139 members by the end of 2008.

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12   For more details see www.pcp.org.pk/resources.html [viewed14/3/09]

At the end of 2008, it was agreed that People In Aid and HAP would undertake a joint baseline analysis of an organisation sharing membership of both People In Aid and HAP. Merlin was identified as the member for the pilot, planned for early 2009.

Philippine Council for NGO Certification (PCNC)
PCNC was established in 1998 by six national NGO networks to certify non-profit organisations as meeting established minimum criteria for financial management and accountability and thereby qualify as a 'donee' institution for which charitable donations are tax deductible. The PCNC model has since been adopted or followed in other countries. Between 1998 and 2007, PCNC received over 1,500 applications for certification and certified 858 applicant organisations. Certification is undertaken by trained volunteers and involves the review of audited financial reports, proof of compliance with government rules and regulations and field visits to the programmes of applicant NGOs. Certified NGOs are in effect awarded a "Seal of Good Housekeeping" and join the membership of the PCNC.

In October 2007, in what the PCNC Chair described as a "bolt from the blue", Executive Order 671 was issued by President Arroyo, divesting PCNC of its mandate to certify NGOs for donee institution status and transferring the function to the Bureau of Internal Revenue (BIR). EO 671 entered into effect in November 2007. Following a lengthy process of discussions by PCNC and its members with the relevant authorities, in April 2008, a new Executive Order (EO 720) was issued, superseding EO 671 and reconfirming PCNC as the government's partner in accrediting NGOs as donee institutions. A provision of EO 720 is that the Philippine Department of Social Welfare and Development is represented on the PCNC Board and other relevant government agencies are involved depending on the type of applicant NGO being certified.

1.4.1.2. Organisations and initiatives working to improve accountability through approaches other than third-party compliance verification and certification

Disasters Emergency Committee UK
In July 2008, at its Annual General Meeting, the UK Disasters Emergency Committee—the national fundraising mechanism for UK humanitarian aid agencies—unveiled a new Accountability Framework, prepared with the help of the international professional services firm Ernst & Young. According to the DEC Annual Report 2007/08, the specific objectives of the Accountability Framework are to:

- ensure that the DEC remains publicly and independently accountable;
- strengthen the Board's ability to hold members and the Secretariat to account;
- ensure members have mechanisms of accountability to beneficiaries;
- improve performance;
- enhance reputation through a commitment to open information.

The Accountability Framework is organized around the following six accountability priorities:

- We run well managed appeals;
- We use funds as stated;
- We achieve intended programme objectives and outcomes;
- We are committed to agreed humanitarian principles, standards and behaviours;
- We are accountable to beneficiaries;
- We learn from our experience.

During the year, "a rigorous process of assessment and reporting against accountability priorities…was rolled out" (DEC, 2008). The summary results of this process for all member agencies were presented in the Annual Report (DEC, 2008).

Emergency Capacity Building Project (ECB)
During 2008 the Emergency Capacity Building Project[13] secured funding for a second phase covering a five-year period. According to the ECB website, Phase II will "continue to nurture innovation and seek new solutions to shared challenges, whilst ensuring that this new knowledge translates into concrete improvements in the speed, quality and effectiveness of emergency preparedness and response. In Phase II, ECB will scale up its impact, both in the field and across the humanitarian sector, through a series of new partnerships, including governments, academia and the private sector."

Meanwhile ECB and its members continued to disseminate *Impact Measurement and Accountability in Emergencies: The Good Enough Guide* that had been published in 2007.

Listen First
Listen First is a two and a half year long joint research project that was finalised and reported on in 2008. The project was undertaken by Concern (a

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13   *The ECB is a project of CARE, Catholic Relief Services, Mercy Corps, Oxfam, Save the Children and World Vision.*

Full Member of HAP) and Mango (an Associate Member of HAP). Its aim was to research practical ways for an agency to manage downward accountability on a systematic basis across different country programmes.

The work began with literature reviews in 2005. Detailed fieldwork was undertaken between mid-2006 and mid-2008 with Concern's programmes in Pakistan, Ethiopia, Cambodia and Angola. Concern Burundi and Concern Kenya trialled tools that were developed during the project. The fieldwork focused on:

- testing practical definitions of downward accountability and management tools;
- developing processes for field staff to assess their current performance and identify improvements;
- researching communities' views of current performance and how useful they found Concern's work;
- understanding the opportunities and constraints for managing downward accountability in practice.

The Listen First Framework is at the heart of the approach developed during the research (see Section 1.6) and is seen as being directly compatible with the HAP 2007 Standard.

The approach uses the Listen First Framework to structure three central processes:[14]
- Workshops for staff to discuss and assess current levels of accountability, and to identify improvements for their specific context.
- Research into local communities' views of how accountable staff are in practice, and how useful they find the NGO's work. This is split by gender.
- Summary reports for managers to understand the level of accountability achieved in different projects. These can be quantified.

German NGO Platform (VENRO)
On 11 December 2008, during its general assembly, VENRO adopted a new code of conduct for its member organisations "VENRO Verhaltenskodex: Transparenz, Organisationsführung und Kontrolle". The code sets forth binding rules for the work of NGOs. It contains principles on management, communication and impact monitoring as well as guidelines for their implementation. Among other things, the code obliges members of VENRO to publish annual reports and to clearly identify and report expenses on marketing and administration.
Sphere Project

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14 *The Framework, reports generated by the research, and practical materials developed during the project are available at http://www.listenfirst.org/. Approaches and working methods are similar to those used by HAP in some of the services that it offers agencies, particularly in emergencies.*

During 2008 the Sphere Board approved a process for other initiatives that have developed standards for humanitarian response to apply to Sphere to become "Companion Standards". Criteria to achieve Companion Standard status include the use of a "Sphere like [consultation] process" in their development, terminology and format compatible with Sphere and at least one year of field-testing on the basis of which revisions have been made. The Inter-Agency Network for Education in Emergencies (INEE) was the first applicant and a "Companionship Agreement" was signed between the Sphere Project and INEE in October 2008. Through the agreement Sphere acknowledges the quality of the INEE Minimum Standards, and of the broad consultative process that led to their development and, in effect, recommends that the INEE Minimum Standards be used as companion and complementing standards to the Sphere Humanitarian Charter and Minimum Standards in Disaster Response.

During 2008, plans were developed for a process to revise the 2004 edition of the Sphere Handbook and take account of changing practices and technical innovations in humanitarian practice. The process was launched in February 2009. Each of the five chapters and the Cross Cutting issues of the 2004 edition will be revised by volunteer focal "working groups", as well as a peer group, and led by a focal point. The next edition of the Handbook is expected to be published in late 2010. The Sphere Board approved that the revision be undertaken in close collaboration with HAP and its process of revising the 2007 Standard, and also with INEE. It is hoped that such collaboration will improve inter-operability between the Sphere Humanitarian Charter and Minimum Standards and the HAP Standard.

In June 2008, discussions between Sphere, HAP and agencies responding to Cyclone Nargis in Myanmar led to the decision to jointly deploy teams to enhance the understanding and improve practice in humanitarian accountability and quality management systems of international and national NGOs involved in the response (see Section 1.5). Learning from the joint deployment led to the decision to launch an Inter-agency Quality and Accountability programme led by a single Co-ordinator.

Steering Committee for Humanitarian Response (SCHR)
At the beginning of 2008 the Steering Committee for Humanitarian Response (SCHR) commenced its Peer Review of Accountability to Disaster Affected Populations. Supported by a part-time facilitator the objectives for the Peer Review are:

•   To understand the range and diversity of approaches to accountability to disaster-affected populations;

- To share best practices, challenges, and learning within and between members in taking forward the adoption, integration, and use of different approaches to accountability, and their relative effectiveness and practicality; and
- To inform decisions about whether and how best to prioritise and integrate the diversity of accountability approaches in SCHR agencies and sectors.

Agencies in the first group (Group 1) of members undertaking the peer review were ICRC, CARE International and Save the Children Alliance. Each organisation nominated two people to participate in the review teams, with one person participating in the country visits and both in the headquarters visits. The two countries selected for the Group 1 were Haiti and Côte d'Ivoire. In an important development following an initiative by the UN High Commissioner for Refugees António Guterres, UNHCR is also participating in the SCHR peer review process.[15]

A lesson-learning workshop to reflect on the experience of Group 1 and feed the results into the design and work of Group 2 (Oxfam, LWF and UNHCR) was held in July 2008. A workshop to reflect on the experiences of Group 2 and how the Group 1 agencies used their results is scheduled for February 2009. Group 3 (WCC/ACT, IFRC and Caritas Internationalis) are scheduled to undertake their reviews in the first half of 2009.

In order to encourage complete openness between the agencies participating in the peer review process, SCHR members agreed that the results relating to individual agencies would be treated in confidence. Information on the results of the Group 1 process is therefore limited at the time of writing.

Tanzanian National Council of NGOs (NACONGO)
In March 2008, NACONGO published an NGO Code of Conduct setting out the core values of member organisations and the standards they will be expected to maintain in relation to: financial transparency and accountability; human resources; communication and information sharing; relationships and networking. Responsibility for assessment against the code rests with individual members.

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15   *In 2008, UNHCR also requested HAP for a head office baseline analysis against the 2007 Standard.*

1.4.1.3. Other Developments/events

International Conference on NGO Accountability held in China
A two-day "International Conference on NGO Accountability" was held in Beijing in April 2008. The conference was hosted by the Research Centre of Renmin University and co-organized by the China Social Enterprise Foundation and Fuping Development Institute. It was sponsored by the Ford Foundation and sought to bring international experience and analyses on NGO accountability into a shared space. The conference included discussion of approaches to self-regulation and three Chinese NGO foundations (China Foundation for Poverty Alleviation, the Amity Foundation and the Chinese Youth Development Foundation) developed a framework of common standards (Vielajust, 2008). Whilst some participants were critical of the comparative underrepresentation of grassroots organisations (the majority of participants were apparently from foundations, academia, government-operated NGOs, international NGOs and well known Chinese NGOs)[16], the conference appears to have provided a basis for exchange between Chinese universities and NGOs and their international counterparts, and the further development of approaches to accountability in the Chinese context.

1.4.2. UN and multilateral organisations

The Humanitarian Reform Process
Rollout of the cluster approach and the various financing initiatives continued during 2008.

The cluster approach was introduced by the Inter-Agency Standing Committee (IASC) as a means of improving predictability, response capacity, coordination and accountability by strengthening partnerships in key sectors of humanitarian response, and by formalising the lead role of particular agencies/organisations in each of these sectors. Cluster leads were appointed for 11 clusters (Agriculture; Camp Coordination/Management; Early Recovery; Education; Emergency Shelter; Emergency Telecommunications; Health; Logistics; Nutrition; Protection; Water, Sanitation and Hygiene). Four crosscutting issues were subsequently identified (Age; Environment; Gender; HIV).

By October 2008 there were 26 countries with Humanitarian Coordinators (HC) and the cluster approach had been formally adopted in 19 of these

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16   *For more details see http://alaiwah.wordpress.com/2008/05/15/ngo-accountability-in-china.*

countries[17]. The remaining seven HC countries[18] were all expected to formally adopt the cluster approach by the end of 2008. In addition to these countries, IASC-agreed procedures for designating sector/cluster leads in major new emergencies have been followed in ten countries since 2006 (Bangladesh, Dominican Republic, Ecuador, Indonesia, Lebanon, Madagascar, Mozambique, Pakistan, Philippines and Tajikistan). In total, the cluster approach had been used in 29 countries since 2006, a figure expected to increase to 36 countries by the end of 2008. By 2009, it should be possible to say that application of the cluster approach is standard practice in all countries with Humanitarian Coordinators and in all major new emergencies (OCHA, 2008).

With regard to the objective of improved accountability, the Cluster Approach Evaluation Report undertaken in 2007 (Stoddard et al., 2007) was only requested to consider accountability in the limited 'upward' sense. The evaluation team noted that, "Because cluster leadership resides with an agency, not an individual, the senior official of that agency is held directly accountable to the Humanitarian Coordinator for his or her cluster's performance. The HC is then accountable to the Emergency Relief Coordinator (ERC) for the overall performance of all the sectors in the country." To determine whether the cluster approach had "infused accountability into the system", the team asked specific questions all of which received a negative result. Accountability was found "being formalised slowly and on a small scale … agencies headquarters have not yet formally incorporated cluster responsibilities into their internal policies and systems" (Stoddard et al., 2007, p. 15).

A second evaluation of the cluster approach will take place during 2009. The principal purposes of the "Cluster 2 Evaluation" are described as:

- to assess the main outcomes of the joint humanitarian response at the country level; and
- assess the operational effectiveness of the cluster approach in facilitating and supporting joint humanitarian response at the country level.

It remains to be seen how effectively the objective of improved accountability of the cluster approach is tracked and assessed.

As part of the UN General Assembly 60/124 that established the expanded Central Emergency Response Fund (CERF) in December 2005, an independent evaluation was required after two years. This was undertaken and submitted to the Emergency Relief Coordinator in July 2008 (Barber et al., 2008).

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17   *Afghanistan, Central African Republic, Chad, Colombia, Côte d'Ivoire, DRC, Ethiopia, Georgia, Guinea, Haiti, Indonesia, Iraq, Myanmar, Nepal, Kenya, Liberia, Somalia, Uganda, Zimbabwe.*
18   *Burundi, Eritrea, Niger, Occupied Palestinian Territories, Sri Lanka, Sudan, Timor-Leste.*

Between March 2006 when the new grant facility became operational and mid-2008, CERF received over one billion US dollars in contributions and disbursed over 1,000 grants in 62 countries. DRC, Sudan and Afghanistan were the top three recipient countries, between them receiving 29% of the total funds allocated by CERF. The food and health sectors were the most important sectors, between them receiving over 50% of the total funds allocated.

The evaluation consulted a wide range of stakeholders including beneficiary groups in the countries visited. The findings were generally positive but with a number of concerns and challenges being noted.

> *First and foremost, the report concludes that the CERF has made considerable progress towards meeting its principal objectives of improving the timeliness of initial response to sudden-onset emergencies and correcting the inequities of humanitarian financing of neglected emergencies. This is a remarkable achievement.*

> *The CERF has also attracted an unprecedented coalition of donors and should reach its annual target of US$ 450 million in 2008.*

> *Nevertheless, the ERC is confronted with many challenges, if the promise of the first two years is to be converted into a consistent track record of high quality projects, with a demonstrable benefit to victims of war and natural disasters. The generally positive tone of this report should not allow readers to underestimate the severity of these challenges. (Barber et al., 2008, p. 17)*

One of the issues considered by the evaluation team was the potential diffusion of accountability lines created by a centralised fund. According to the team,

> *Accountability is one of the biggest challenges currently facing the CERF and opinion is divided on how accountability lines should work, amongst donor, operational agencies and Resident Coordinators/Humanitarian Coordinators. (Barber et al., 2008, p. 87)*

The complicated nature of the current arrangements are shown in the table below, which also lists the officials having a measure of responsibility for the proper use of CERF funds.

Table 2. Officials having a measure of responsibility for the proper use of CERF funds	
Head of UN agency country office in receipt of CERF funds	Responsible for overseeing the project
RC/HC	Responsible for assessing that the agency office was fit for purpose and that the proposed activities were priorities
Emergency Relief Coordinator (supported by CERF Secretariat and OCHA more widely)	Responsible for approving the agency for the use of funds and, as CERF Fund Manager, is considered by the donors and General Assembly as the person accountable for its use
UN Controller	Responsible by virtue as having advanced the funds and then accepted a report of their proper use
Finance Director of UN agency in receipt of funds	Responsible for signing off on the proper use of the funds
Compiled from Barber et al., 2008, p. 88.	

Recognising the need to simplify matters, an international management and auditing firm was commissioned to develop a Performance and Accountability Framework for the CERF.

The CERF process at the field level was perceived by non-UN observers as being insufficiently transparent in nearly all of the country case studies undertaken. In Bangladesh, "INGOs reported that they were not even aware that CERF funds were allocated for cyclone Sidr response, and neither were local NGOs or INGOs involved at any stage in discussion with UN agencies/IOM of CERF prioritisation process". In calling for a greater level of transparency, the evaluation team saw the key to a transparent allocation of CERF resources lying in "functioning cluster or sectoral coordination mechanism in which priorities and available capacity can be considered in a collegial way among key actors" (Barber et al., 2008, p. 90).

As part of the work of the Good Humanitarian Donorship Initiative a review was also commissioned of international humanitarian financing mechanisms, which covered the expanded CERF, the country-level pooled funding mechanisms—the Common Humanitarian Funds (CHF) and Emergency Response Funds (ERF). (Stoddard, 2008) Bilateral government funding to individual aid agencies for specific programmes was found to continue to represent by far the largest share of contributions—roughly 80%. The establishment of the

CERF and CHF has cut into this slightly and together these pooled funding mechanisms now represent 8% of the total. Government-to-government aid and private contributions have remained fairly stable at around 4% each.

The main points emerging from the study were as follows:

- The years since the start of the financial reforms have shown accelerated growth in humanitarian contributions;
- The increase in the growth rate of humanitarian funding is driven by the group of donors most engaged in the new financing mechanisms;
- Overall, donors have decreased the share of their contributions going directly to NGOs and Red Cross societies;
- Overall, pooled funding has not detracted from the core UN humanitarian agencies' direct bilateral support or core contributions;
- Funding relative to stated needs has risen slightly, and global actors have shown improved coverage of requirements;
- Humanitarian funding of early recovery activities in particular is increasing.

Box 5. Developments in relation to accountability in UNICEF and UNHCR during 2008

UNICEF
In the last quarter of 2007, UNICEF launched a series of improvement initiatives to achieve the strategic shifts recommended by an earlier Organisational Review. Included within these initiatives is an Accountability Initiative, which aims to clarify the understanding of accountability in UNICEF, outline the various components of a comprehensive accountability system and to identify and address gaps or areas that require strengthening. Work undertaken during 2008 involved consultations and desk-reviews of accountability-related documentation produced by the UN Secretariat and other agencies. UNICEF also participated in the *2008 Global Accountability Report* (see Section 1.3) in which, based on its capabilities, it was ranked third overall out of the thirty organisations assessed. The first draft of the *Report on the accountability system of UNICEF* was presented to the Executive Board in November 2008. The final version of the report is expected to be presented to the Executive Board during 2009, after which UNIVED will undertake a review of functions, roles and accountabilities at all levels of the organisation. The review is intended to produce a detailed description of accountabilities at country, regional and headquarters levels and will be complemented by a comprehensive assessment framework to measure progress made against the Accountability System. Source: UNICEF, 2009.

UNHCR
In 2007, UNHCR established an Accountability Framework for Age, Gender and Diversity Mainstreaming (UNHCR, 2007). The Framework established "minimum

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standards of office practice to create an enabling organisational and operational environment conducive to achieving equitable outcomes for all persons of concern [to UNHCR]" (Groves, 2008). The Framework uses a check box format to be completed by Country Representatives, Regional Representatives and accountable staff at Headquarters in order to track progress towards four main equality objectives:

- Age, gender and diversity mainstreaming in operations;
- Enhanced protection of women and girls of concern to UNHCR;
- Enhance protection of children of concern to UNHCR, including adolescents;
- Enhanced response to and prevention of sexual and gender-based violence.

Remarkably, the framework does not provide for any input or 'voice' by any of the persons of concern, instead limiting itself to a self-assessment monitoring tool of compliance by UNHCR office to the policies and procedures of the organisation. During 2008 the first global analysis was undertaken of progress measured against the framework, which will serve as a baseline for future global analysis (Groves, 2008). It found that most actions (62%) were 'fully' complied with, 33% partially complied with and 5% not complied with.

The study did not look into the accountability issues raised by the increased use of pooled funding mechanisms.

1.4.3. Donor organisations

OECD Development Assistance Committee (DAC)[19]
Following the agreement on standardised coding of financial data on humanitarian funding across DAC members, 2008 will be the first year in which humanitarian aid contributions by DAC members will be directly comparable. This step is expected to significantly improve the accuracy and reliability of analyses and reports on humanitarian funding flows during 2009.

The DAC peer reviews are a central and unique OECD activity. The reviews monitor individual member countries' efforts and performance in the area of development co-operation. Each member is critically examined by representatives from two 'peers' (2 other DAC member countries) and the DAC Secretariat. The reviews take place approximately once every four years and, in this way, five programmes are generally examined each year.

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19   DAC is a key forum of 23 bilateral donors (members of the OECD) working together to increase the effectiveness of their international development efforts.

During 2008 four countries were reviewed:

- Australia: peer reviewers Ireland and Portugal;
- France: peer reviewers Sweden and UK;
- Norway: peer reviewers Canada and the European Commission;
- Luxembourg: peer reviewers Finland and Spain.

The reports of the peer reviews are available on the OECD/DAC website.

Good Humanitarian Donorship initiative (GHD)
June 2008 marked the fifth anniversary of the adoption of "The Principles and Good Practice of Humanitarian Donorship" document by 17 donor organisations in Stockholm. Since then, GHD membership has grown to include all OECD-DAC members following endorsement at the ministerial level of the OECD-DAC in 2007 and, more recently, of all EU member states. In all, 35 humanitarian donors are committed to implementing or at least making progress in implementing the GHD principles and good practices.

The GHD annual meeting in New York in June 2008 considered two studies: "International Humanitarian Financing: Review and comparative assessment of instruments" (Stoddard 2008) and "Indirect Support Cost Study: Final Report" (Development Initiatives 2008). Also considered were notes on the relationship between GHD and the OECD/DAC, and the future of the GHD initiative.
The study of indirect support costs (ISC) by Development Initiatives is of significance to accountability, quality and participation because the level of ISC, and the effectiveness of how these resources are used by agencies, has a direct effect on many of the areas covered by the Benchmarks in the HAP 2007 Standard. For instance, agencies receiving comparatively low levels of indirect support costs will generally be less able to devote staff time to consultation with beneficiaries and affected populations and to learning activities than agencies receiving higher levels.

Among the findings of the study were that:

- there is considerable variation in terminology that humanitarian agencies use to describe their indirect support costs;
- a percentage rate does not provide a true picture of indirect costs;
- most NGOs have different cost structures, work to different national accounting standards and in different national legal frameworks, making it extremely difficult to achieve standard cost classifications for NGOs;
- organisations with core funding have different needs to recover indirect support costs, depending on the level of core funding. Since the relationship between core and non-core income differs across UN and Red Cross organisations, it does not make sense to talk about a standard support cost charge.

The following were among the recommendations:

> *Donors need to make it clear to humanitarian organisations that they understand that ISC rates are not comparable and they will not use the ISC rates as a major factor in assessing an organisation's performance or eligibility for funding. However, donors clearly need a system for assessing whether an ISC charge is reasonable so humanitarian organisations need to reciprocate by analysing their costs more explicitly and making the case for their indirect cost charges. (Development Initiatives, 2008, p. 23)*

> *Donors should not apply pressure on UN and Red Cross Organisations to achieve one standard rate because this will penalise some and favour others. (Ibid, p. 24)*

The note on the future of the GHD Initiative was considered and the consensus was that it should continue along similar lines to the first five years, though with some rationalisation of the various sub-groups and GHD-related initiatives. The option of creating a secretariat that would be able to provide greater continuity than has been possible with the annual rotation between two co-chairing organisations was deferred. Co-chairing that had been undertaken by the USA and Sweden during 2007-08 was transferred to the EC and Netherlands for 2008-2009.

The note on strengthening linkages between the GHD and the OECD/DAC had been prepared following a series of meetings between the GHD Co-Chairs and the DAC Secretariat. Among the proposals were:

- Champions among the DAC membership should be identified to encourage greater attention to be given to humanitarian assistance within the DAC;
- Improve the dialogue on humanitarian assistance in the DAC peer reviews and move more of the analysis of humanitarian assistance from the annex to the main body of the peer review;
- Identify common terminology on humanitarian assistance that can be used by both DAC and the GHD.

Box 6. Humanitarian Response Index 2008

The Humanitarian Response Index (HRI) 2008 is the second in this annual series by the Madrid-based Development Assistance Research Associates (DARA). The HRI represents an attempt by DARA and a network of researchers and analysts to use the GHD's Principles and Good Practice of Humanitarian Donorship as the framework by which to assess the performance of donors in responding to humanitarian needs around the world and how well they are meeting the standards of good practice that they committed themselves to.

The Index is built up from over 55 qualitative and quantitative indicators that aim to capture the essence of the GHD Principles. The indicators are grouped into five key areas or Pillars of good practice, which are used to score the different donors. The qualitative data was gathered from studies in 11 different crisis areas during which interviews were conducted with over 350 humanitarian organisations and donor agencies and more than 1,400 responses to a survey of donor practice. The quantitative data was compiled from a variety of data sources including the UN, ECHO, World Bank, IFRC and ICRC.

Publication of the first Humanitarian Response Index (HRI 2007) had met a broadly positive reaction from the humanitarian community but had produced a strong reaction from some donor organisations, which were irked by the inclusion of a ranking of donors based on the scores achieved in the Index. This resulted in an exchange of letters between the co-chairs of the DAC and DARA, in which DARA defended the methodology and the use of the ranking (correspondence published on the GHD website http://www.goodhumanitariandonorship.org/).

HRI 2008 describes the "mixed reviews" from the donor community in the following terms: *The fact that the HRI was conceived as an independent initiative, not sponsored by donors, was met with some surprise as most of the initiatives in the sector have relied heavily on donor funding and support. Nevertheless, individuals within donor agencies have expressed encouragement and have privately told DARA that the HRI serves to stimulate debate within their own agencies. In fact, some donor agencies have begun to use the information derived from the HRI indicators, and the HRI has perhaps indirectly contributed to the process of refining and improving the GHD collective indicators. (p. 11)*

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In a paper on "The US as a humanitarian actor", Larry Minear the highly respected researcher and analyst of the humanitarian system wrote: "my conclusion is that the five pillars against which the HRI assesses government performance are appropriate and that the HRI's assessment is broadly confirmed by our own independent studies" (Minear, 2008).

HRI 2008 retains the ranking of donors by their relative Index scores and, taking account of feedback received on HRI 2007 and a series of technical workshops involving donors, NGOs, UN agencies, the Red Cross Red Crescent movement and technical experts, has made a number of improvements to the methodology, indicators and sample size used in compiling the Index. The donors ranked first, second and third in HRI 2007 (Sweden, Norway and Denmark respectively) remain the same in HRI 2008, as does the donor ranked last (Greece).

After two years the HRI is beginning to show areas where donors collectively can do more to uphold the GHD Principles, as well as specific areas where individual donors can improve in relation to their peers. The HRI 2008 findings show that there are great differences among donor, with the policies and practices of some donors more closely aligned to the GHD Principles than others. However, all countries—even the top ranked ones—have room for improvement. This is both a collective and individual responsibility. The HRI findings show that there is still too little consistency in the actions and behaviours of donors and the overall humanitarian system in different crisis situations. This underscores the need to work towards a more predictable, reliable and principled response to all crises. This is one of the underlying aims of the GHD Principles, which is, to a certain extent, shared by the UN humanitarian reform process and many of the quality and accountability initiatives of the sector. The HRI 2008 shows that this ideal is still far from reality.

Though the modifications made to the methodology used in HRI 2008 were noted, it is understood that DARA's insistence on retaining the ranking of donors is seen by some members of the GHD as an obstacle to opening a more constructive dialogue. The ranking is apparently regarded by many GHD members as an "annual beauty contest" that runs counter to the ethos of collegiality and mutual support that has guided the development of the GHD. Some GHD members are also understood to question the methodology underlying some of the indicators used in the HRI. It remains to be seen how the relationship between the GHD group and DARA will evolve. Given the independence of its funding sources, DARA's HRI is "not going to go away" and so some form of accommodation will have to be reached. At present, however, it is not possible to anticipate when and how this might evolve.

European Union/European Commission

On 18 December 2007, the Presidents of the Council of the EU, the European Parliament and the European Commission agreed a joint statement on humanitarian aid. The European Consensus on Humanitarian Aid represents the first comprehensive joint EU policy statement on humanitarian aid and sets out common objectives, common principles and good practices and a common framework to deliver EU humanitarian aid. The European Consensus aims to improve EU coordination of humanitarian aid and emphasises good donor practice. As well as committing EU donors to GHD principles and good practices, specific reference is also made to the NGO/Red Cross Code of Conduct, Sphere Project and the OECD/DAC Guidance on the evaluation of humanitarian aid.

Though representing a significant and welcome step for the EU members and the Commission (which together account for approximately half of international humanitarian assistance), the language relating to accountability in the European Consensus is somewhat underwhelming.

> *[A]s far as possible, a participative approach with local populations at the various stages of the assistance programmes, particularly in protracted crises, are all elements that the EU will consider carefully. …Accountability to people assisted commits the aid provider to work within a framework of quality standards, principles, policies and guidelines and promotes training and capacity building activities, ensuring the involvement of those assisted. (EU, 2007, p. 15)*

During the year, ECHO published two commissioned reports (an evaluation of ECHO's own actions and a review of a range of other donors and agencies experience) on the use of cash and vouchers as a means of transferring resources to vulnerable populations (Lor-Mehdiabadi and Adams, 2008). The two studies readily acknowledged the potential benefit of cash and vouchers to beneficiaries in giving them the ability to decide for themselves what their needs are and how to utilise the resources received. Within ECHO the number of projects using cash and vouchers increased from two projects in 2000 to over 45 projects in 2006.

The evaluation found that cash projects had been dominated by Cash for Work projects largely as a result of past legal interpretations by ECHO on the use of cash. In August 2007, a revised legal interpretation increased the range of resource transfer options open to ECHO's implementing partners and this is expected to allow more flexibility in the use of cash to address the needs of vulnerable households for whom work is not an option. The principal finding of the evaluation was that cash and vouchers projects had consistently achieved their objectives and no evidence was found of "erroneous decisions"

or negative impacts. Beneficiaries, implementing partners and ECHO's in-country experts had all expressed satisfaction with the use of cash and vouchers. The review of other donors found substantial agreement on the key advantages of cash and vouchers, namely:

- Strengthening LRRD[20], Disaster Risk Reduction and disaster preparedness;
- Promoting choice and dignity for beneficiaries often at reduced cost.

A number of organisations were found to have already adopted a "cash first" principle—meaning that the default option should be cash and only where cash is inappropriate should other solutions be found. The principal recommendation made to ECHO was that it considers increasing the resources allocated to cash and voucher projects in the future.

World Bank
In 2008, the World Bank Independent Evaluation Group published, as a Working Paper, the proceedings of a conference and an evaluators' roundtable held in November 2006 entitled "Disaster Risk Management: Taking Lessons from Evaluation" (World Bank, 2008). As part of the evaluators' discussion, a table of 51 evaluation lessons and recommendations generated by 14 diverse institutions (international financial institutions, bilateral donors, humanitarian organisations) presented during the conference was prepared. Of the 51 lessons and recommendations, the third most broadly supported (9 of the 14 institutions) was that:

> *Even in the difficult circumstances of a disaster response, beneficiary participation during the design and implementation stages is essential to success. (World Bank, 2008)*

1.4.4. Cross Sector Networks

ALNAP
ALNAP's Seventh Review of Humanitarian Action was published in April 2008 (ALNAP, 2008b). Its main chapters focused on 'organisational change in the humanitarian sector', 'the quality and future scope of joint evaluations' and a 'synthesis of evaluations of the response to the 2005 Pakistan earthquake'. The latter concluded in the following terms:

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20   *LRRD: Linking Relief, Rehabilitation and Development.*

> *The response to the Pakistan earthquake can be seen as a success, relatively speaking. This is the general picture shown in the evaluations, and is also at least partly supported by the views of the people affected. … While there is still plenty of room for improvement, the humanitarian response system appears to be better prepared to meet the needs of affected populations today than in the past. For example, the improvements in agency surge capacity seen in Pakistan demonstrate that capacity is improving within the system. (Cosgrave and Herson, 2008, p. 214)*

The June Biannual Meeting was held in Madrid under the theme 'News Media and Humanitarian Aid', whilst the December Biannual Meeting was held in Berlin and took as its theme 'Rethinking Impact Assessment'. Both themes included issues of accountability towards affected populations. One of the recommendations of the Madrid Biannual was to "Establish serving the needs of crisis-affected populations as a central common goal of both media and humanitarian agencies" (ALNAP, 2008c). A report on impact assessment will form a key chapter in ALNAP's Eighth Review of Humanitarian Action to be published in 2009.

ALNAP's five-year strategy provides for engagement with, and the provision of, support to regional humanitarian networks. The Madrid meeting outlined the thinking on the forms such support could take and gave profile to existing regional humanitarian networks and institutions including the Asian Disaster Reduction and Response Network (ADRRN), Office Africain pour le Développement et la Coopération (OFADEC) and the All India Disaster Mitigation Institute (AIDMI).

During 2008, under the rubric of its Humanitarian Performance Project, ALNAP also undertook a study on the feasibility of monitoring and reporting on the overall performance of the humanitarian system. The preliminary results were presented to the Madrid Biannual and a chapter on this subject will be included in the Eighth Review of Humanitarian Action to be published during 2009. Thinking within ALNAP evolved during the year and, by the end of 2008, plans were announced to undertake a 'State of the System' assessment during 2009 on a pilot basis. The report from the assessment is expected towards the end of 2009. Other strands of the Humanitarian Performance Project will see further work on consultation with beneficiaries and beneficiary voice during 2009 and an Interest Group on Humanitarian Performance Indicators will be formed in early 2009.

1.5 Accountability 'on the ground': the Cyclone Sidr and Cyclone Nargis response operations

Cyclone Sidr made landfall on the coastal zone of Bangladesh on 15 November 2007. It left an estimated 4,400 dead or missing, 55,000 injured and 2.3 million households affected (Todd et al., 2008). Just under 6 months later, Cyclone Nargis struck the Ayeyarwady Delta area of Myanmar on May 3rd and left 138,000 dead or missing and 2.4 million severely affected. The comparatively low death toll in Bangladesh is widely attributed to an improved forecasting and warning system, cyclone shelters and embankments (e.g. Todd et al., 2008, p. 1). The comparatively high death toll in Myanmar is generally attributed to a general lack of preparedness on the part of the government and communities in the Delta, though this may in turn be partially attributed to the rarity and severity of the event (Turner et al., 2008).

An important difference in terms of the response was that international agencies were able to operate in Bangladesh without significant hindrance, whereas the Government of Myanmar significantly restricted the number of agencies and international personnel able to enter the country. Such restrictions limited the number of international agencies and staff responding and, according to the Inter-Agency Real Time Evaluation (RTE): "it is safe to assume that this factor decreased coverage of affected areas and probably prolonged suffering in some communities." Moreover, due to the relatively small number of responders, several organisations (UN and NGOs) "had to take on a relatively wide variety of sectoral activities, going beyond the institutional technical expertise of agencies" (Turner et al., 2008, p. 6).

The Inter-Agency RTE team noted that the restrictions and delays for international staff to obtain visas and travel permits meant that most of the aid workers who did eventually enter the country were either staff of agencies already present in Myanmar or partnered with such agencies; this contributed to "a significantly higher level of professionalism overall amongst international staff in Myanmar [in comparison with the international response following the Indian Ocean Tsunami]". The team also noted a "tangible sense of self-discipline amongst international aid workers interviewed. These factors, along with the impressive efforts of national actors described above contributed to a situation where, in the words of one head of agency, 'aid workers have behaved like real humanitarians'." (Turner et al., 2008, p. 7)

A result of the larger number of agencies responding in Bangladesh was a degree of competition as agencies sought to work in the worst affected unions. According to the CARE-Bangladesh (CARE-B) evaluation,

This resulted in considerable fragmentation of working areas in some unions and upazilas. For example, in Sarankhola, twelve non-government organisations worked on WASH activities in Rayenda union and nine non-government organisations worked on WASH in Dakshinkhali (South Khali) union. CARE-B ended up working on WASH activities in parts of all four unions of Sarankhola. (Todd et al., 2008, p. 24)

Whilst CARE-B focussed its efforts on Barguna and Bagerhat districts, the Oxfam International response was spread across all four of the most severely affected districts: Bagerhat, Patuakhali, Barguna and Pirojpur, despite assisting less than 10% of the number of households assisted by the CARE-B programme. The Oxfam evaluation team questioned the spread across a "huge geographical area" and asked if concentration on a smaller area to achieve a greater impact would have been preferable to "a thin spread".

From the (admittedly limited) materials available, it appears that more agencies were establishing complaint boxes (as the preferred channel through which complaints could be brought to the attention of humanitarian organisations) in Myanmar than in Bangladesh and that the systems for handling the complaints were better developed in Myanmar.

In Bangladesh, CARE-B established complaint boxes at the distribution centres for the first WFP food distributions. Over 3,000 complaints were received, but the CARE-B Response Programme's Monitoring and Evaluation Unit was only able to investigate one-third of the complaints.

They found that there was some basis to the complaints, and about 30 percent of beneficiaries were not eligible for various reasons including partner NGOs selecting their own members rather than complying with the targeting criteria. The list of beneficiaries was adjusted for the next round, and the number of complaints reduced significantly. Some UP chairmen commented that this was the first time that they had seen an international organisation pay attention to complaints made by beneficiaries and take appropriate action. They added that this improved transparency and their confidence in working with CARE-B. (ibid, p. 29)

In line with HAP's New Emergencies Policy (NEP)[21], the HAP Secretariat and its members worked together to improve accountability in both the Bangladesh

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21   *For the full text of the Policy and the Protocol, see*
http://www.hapinternational.org/projects/field/new-emergencies.aspx

and Myanmar operations. A significant development in the Myanmar response was that HAP and Sphere jointly deployed staff and consultants.

Following Cyclone Sidr, HAP members involved in the response in Bangladesh requested support from the HAP Secretariat during an NEP call. In the first phase of the deployment, the HAP Roving Team guided six agencies (HAP members and/or their national partners) through quality and accountability self-assessments. Each assessment involved spending between 4-7 days at a programme site of the respective agency, accompanied by staff from their head office in Dhaka and from the programme site, collecting information from communities and staff through focus group discussions, semi-structured interviews and observation. In addition, another HAP member agency undertook an accountability self-assessment with remote support and guidance from the HAP team. Overall, the joint teams undertook more than 38 focus group discussions and over 37 semi-structured interviews with disaster-affected communities and staff, and have spoken in total with over 420 beneficiaries and non-beneficiaries. A joint confidential report was prepared for each of the six agencies and an inter-agency workshop was held in Dhaka at the end of March to:

• share learning from the field visits and other self-assessment activities;
• explore options to continue sharing findings and learning from self-assessments;
• discuss accountability action plans, including support for local partners' capacity to comply with the Principles of Accountability ;
• Identify further support from HAP.

Subsequent support included:

• Remote assistance on such areas as complaints handling, providing feedback on progress reports and supporting the development and implementation of action plans;
• A 3-day workshop on complaint-handling processes for representatives from 12 NGOs;
• An After Action Review (AAR) to assess the appropriateness and impact of HAP's role in terms of influencing field practice and humanitarian quality management systems. The AAR included visits to projects sites of those agencies that undertook self-assessments and a 2-day workshop for representatives of HAP member agencies, partner agencies, and Sidr-affected communities.

Following Cyclone Nargis in Myanmar, a series of NEP teleconferences were coordinated through the HAP Secretariat. By the end of June, several HAP members had deployed quality and accountability advisers to Myanmar. According to one of these advisers, "It was great, we were all there together

and it enabled us to be more creative and better coordinated" (Clare Smith personal communication 12/1/09).

As a part of the NEP discussions, it was agreed that HAP staff would be deployed in collaboration with Sphere consultants in order to enhance the understanding and improve practices of humanitarian accountability and quality management for both HAP member agencies and other international and national NGOs. The decision to collaborate proposed "going beyond conducting inter-agency trainings side by side … [and to] explore new modalities to provide joint support in future interventions, to maximise the expertise and resources of the two initiatives" (HAP, 2008b). Hosting arrangements to the joint team were provided by Save the Children in Myanmar (SCiM); CWS Pakistan/Afghanistan provided financial support in 2008.

The deployment was undertaken in three phases:

• Phase 1 (July): assessment of agency needs and feasibility of different approaches
• Phase 2 (July-September): delivery of capacity building support on the implementation of the HAP 2007 Standard and the Sphere Minimum Standards, with a particular focus on complaint handling processes and prevention and investigation of allegations of sexual exploitation and abuse
• Phase 3 (January-June 2009): taking account of the lessons from the first two phases, an Inter-agency Quality and Accountability programme led by a single Co-ordinator.

The experience gained in Myanmar has proved valuable for both HAP and Sphere and each is keen to build on this. Whilst reflection and learning from the experience continues, it is apparent that further development of the joint deployment model is required to achieve a more integrated approach and better meet the various needs of agencies. Nevertheless, the New Emergencies Policy and the way it has developed in conjunction with Sphere represents a significant and constructive step for the operation in Myanmar and bodes well for future humanitarian operations. Intuitively, a supportive relationship with hard-pressed response teams is more likely to achieve the desired accountability outcomes in the field than any amount of 'top-down' admonishments from head offices. Moreover, the development of an integrated quality and accountability programme responds directly to questioning about the number of separate quality and accountability initiatives by donors and humanitarian agencies.

1.6. Reflections on Some Themes and Challenges

The process of reviewing the material for this chapter raised four particular issues:

• The challenge of accountability in operations with significant organisational interdependence;
• The benefits and opportunity costs of multiple approaches to accountability;
• The potential implications of country-level NGO accreditation and certification schemes;
• The need for more research;
• The need for an agreed framework for assessing 'progress' in relation to accountability and quality in the humanitarian system.

The challenge of accountability in operations
with significant organisational interdependence
One of the principal characteristics of the humanitarian system is that agencies are, to a greater or lesser extent, reliant upon each other to achieve their overall objective. Implementing agencies are often dependent (in an upward sense) on other organisations to provide them with critical resources (funding, relief commodities, equipment) and they are also often dependent (in a sideways sense) upon each other to provide complementary services without which the effectiveness of their own intervention will be reduced (e.g. a nutrition intervention that is not complemented by shelter, water and sanitation and health interventions).

The fundamental challenge such vertical and lateral interdependence presents to efforts to improve accountability were revealed by several of the evaluations reviewed. For instance, the evaluation of NRC's general food distribution programme in northern Uganda described how complaint desks were set up after each food distribution, but the team:

> *[...] found that the value of these desks to some degree seems to have withered away. Complaints have been filed to WFP for years without any major action or recourse. The frustration or apathy of no response is showing amongst both IDPs and volunteers, questioning the use/seriousness of these desks. (Das and Nkutu, 2008. p. 27)*

The Listening Project found that the use of local and indigenous NGOs as "partners" by donors and international NGOs has added many more 'middlemen' which people in recipient communities find confusing and distancing. In a number of countries, Listening Teams heard people "compare the delivery chain to a water bottle, out of which everyone along the way takes

a drink so that by the time the aid reaches the communities it was intended to help, there is very little water left." (LP, 2008a, p. 7)

The ongoing humanitarian reform process may simultaneously improve accountability (by clarifying the responsibilities of individual agencies at the cluster level) and diffuse accountability (through the development of the pooled funding mechanisms of the CERF and the country-level Common Humanitarian Funds). The report by Transparency International on preventing corruption noted with some concern the shifting nature of upward accountability as a result of the humanitarian reform process and its greater use of 'common' or 'pooled' funds. Whilst a Performance and Accountability Framework is currently being developed for the CERF, there is good reason to be concerned that accountabilities <u>between</u> organisations within the humanitarian system are in the process of being further diffused and diluted and greater distance is being put between the resource providers and the beneficiaries of those resources. In a revealing comment, the team evaluating the CERF noted that<u>:</u>

> *As the majority of UN agencies work in partnership with government or non-governmental organisations, direct accountability to beneficiaries is often the responsibility of those agencies. (Barber et al., 2008, p. 89)*

With good reason, efforts to improve accountability within the humanitarian system have been largely focussed upon the development of accountability systems <u>within</u> organisations. As a growing number of organisations improve their accountability systems (as a result of efforts by HAP and others), so there is a need to increase efforts to improve systems of accountability <u>between</u> organisations.

HAP is gaining valuable knowledge and experience of accountability in the relationship between international NGOs and their national or local implementing partners. Members such as Christian Aid and CAFOD respond to humanitarian needs with and through their implementing partners. The learning gained on accountability and partnership by HAP members as they undertake baseline analyses and work through the certification process will provide valuable insights into issues of accountability between organisations and is likely to place HAP in a leadership position on efforts to improve inter-organisational accountability.

The benefits and opportunity costs of multiple approaches to accountability

Section 1.4 noted some of the positive developments in terms of collaboration and improved inter-operability between HAP, Sphere and People In Aid. However, recent years have seen the development of a number of different accountability initiatives and their use (or at least advocacy for their use) within the humanitarian system. As well as the HAP 2007 Standard, which was specifically designed for use as a compliance verification tool for independent quality assurance and certification, there is the Global Accountability Framework developed by One World Trust, the Good Enough Guide on Accountability and Impact and the DEC's Accountability Framework. In addition, a number of national level NGO accreditation schemes have come into operation in the last year or two with implicit approaches to quality and accountability systems within agencies (see Section 1.4 and below).

The principal elements of the HAP 2007 Standard, the Global Accountability Framework, the Good Enough Guide on Accountability and Impact and the DEC's Accountability Framework are presented in Boxes 7, 8, 9 and 10.

Box 7. Benchmarks in the HAP 2007 Standard

Specific requirements and means of verification are included in the HAP 2007 Standard as an integral part of each of the six Benchmarks highlighted below. *The Guide to the HAP Standard* provides practical support on implementing the Benchmarks and advice on achieving good practice.

Benchmark 1: The agency shall establish a humanitarian quality management system.

Benchmark 2: The agency shall make the following information publicly available to intended beneficiaries, disaster-affected communities, agency staff and other specified stakeholders: (a) organisational background; (b) humanitarian accountability framework; (c) humanitarian plan; (d) progress reports; and (e) complaints handling procedures.

Benchmark 3: The agency shall enable beneficiaries and their representatives to participate in programme decisions and seek their informed consent.

Benchmark 4: The agency shall determine the competencies, attitudes and development needs of staff required to implement its humanitarian quality management system.

Benchmark 5: The agency shall establish and implement complaints-handling procedures that are effective, accessible and safe for intended beneficiaries, disaster-affected communities, agency staff, humanitarian partners and other specified bodies.

Benchmark 6: The agency shall establish a process of continual improvement for its humanitarian accountability framework and humanitarian quality management system.

Source: HAP, 2008a.

Box 8. The four dimensions of accountability used in the Global Accountability Report

Transparency capabilities are assessed by analysing:

1. Whether organisations make a commitment to transparency and have in place a policy or other document(s), underpinned by principles of good practice, that guides what, when and how information is disclosed;
2. Whether organisations have in place systems to ensure compliance with the policy and commitments.

Participation capabilities are divided into two components, with scoring split equally between them: equitable members control and external stakeholder engagement capabilities.

Equitable member control is assessed by analysing how organisational structures support or undermine members' ability to influence decision making (member states in the case of IGOs; national chapter/affiliates in the case of NGOs and shareholders/owners in the case of TNCs).

External stakeholder engagement capabilities are assessed by analysing:

1. Whether organisations make a commitment to engage external stakeholders in activities and decision making and have in place organisational document(s), underpinned by good practice that guide this process.
2. Whether organisations have in place systems to ensure compliance with these policies and commitments, and whether they have created institutionalised spaces where external stakeholders can feed into decision making at the governing, executive and/or senior management levels.

Evaluation capabilities are assessed by analysing:

1. Whether an organisation makes a commitment to evaluate and has in place policy(ies), underpinned by good practice principles, which guide evaluation practice;
2. Whether an organisation has in place management and systems to ensure both compliance with these commitments and the dissemination of lessons learned.

For the corporate sector, the focus in the evaluation dimension is split evenly between environmental and social impact (e.g. labour standards in the supply chain, community relations). The scoring for each of these areas is then divided equally between policies and systems.

Complaints and response handling capabilities are divided into two components: capabilities for handling internal complaints from staff and capabilities for handling external complaints from affected communities and the general public. Scoring is split equally between them. In both instances, capabilities are assessed by analysing:

1. Whether organisations make a commitment to handling complaints and have in place written documents, underpinned by good practice principles that guide their practices in the area.
2. Whether organisations have the systems in place to ensure these commitments are turned into practice.

In both instances, assessed complaints procedures are in relation to compliance with organisational policies (e.g. codes of ethics, environmental policies, information disclosure policies, etc.)

Source: Blagescu et al., 2005.

Box 9. Good Enough Guide: Basic elements of accountability and impact

Basic elements of accountability

At a minimum, humanitarian project staff should:

1. Provide public information to beneficiaries and other stakeholders on their organisation, its plans, and relief assistance entitlements.
2. Conduct ongoing consultation with those assisted. This should occur as soon as possible at the beginning of a humanitarian relief operation, and continue regularly throughout it. 'Consultation' means exchange of information and views between the agency and the beneficiaries of its work. The exchange will be about:
   • The needs and aspirations of beneficiaries;
   • The project plans of the agency;
   • The entitlements of beneficiaries;
   • Feedback and reactions from beneficiaries to the agency on its plans and expected results.
3. Establish systematic feedback mechanisms that enable:
   • Agencies to report to beneficiaries on project progress and evolution;
   • Beneficiaries to explain to agencies whether projects are meeting their needs;
   • Beneficiaries to explain to agencies the difference the project has made to their lives.
4. Respond, adapt, and evolve in response to feedback received, and explain to all stakeholders the changes made and/or why change was not possible.

Basic elements of impact measurement

Impact measurement means measuring the changes in people's lives (outcomes) that result from a humanitarian project, striking a balance between qualitative and quantitative data. At a minimum, humanitarian project staff should:

1. Establish a basic description (profile) of affected people and related communities.
2. Identify desired changes, in negotiation with affected people, as soon as possible.
3. Track all project inputs and outputs against desired change.
4. Collect and document individual and community perspectives through participatory methods in order to:
   • Increase understanding of what change they desire;
   • Help establish a baseline and track change.
5. Explain methodology and limitations to all stakeholders, honestly, transparently, and objectively.
6. Use the information gathered to improve projects regularly and proactively.

Source: The Good Enough Guide, 2007.

Box 10. The DEC Accountability Framework	
Accountability Priority	Definition
We run well managed appeals	• Efficient and effective fundraising • Timely and appropriate allocation • Review of performance • Accountability to stakeholders
We use funds as stated	Ensuring sound financial management at agency and partner levels
We achieve intended programme objectives and outcomes	Maximising the potential for programmes to achieve objectives and outcomes which respond to a demonstrated need
We are committed to agreed humanitarian principles, standards and behaviours	Fulfilling the principles embodied in the Red Cross Code of Conduct, Sphere, People in Aid[22]
We are accountable to beneficiaries	Taking account of, giving an account to and being held to account by disaster survivors
We learn from our experience	Improving performance based on lessons learnt

Comparison of the four approaches/frameworks reveals a significant degree of commonality between them—transparency, participation, complaints handling and learning are all present in the different elements, though they are presented and treated somewhat differently in each. Given the significant commonality, there is a risk that the differences between them may not be fully understood and give rise to the perception that they represent approaches that are somehow interchangeable. Hypothetically for instance, an agency receiving a high score in a Global Accountability Report may use that result to project itself as an 'accountable agency' in its fundraising efforts, whilst at the same time opting not to become a member of HAP and undertake the HAP certification process because that would be a more 'demanding' process for the agency. Unless public and private donors are fully aware of the different merits and requirements of the Global Accountability Report and the HAP Standard and certification process, for example, they may feel that the agency meets high standards of quality and accountability in all its programmes—a fact which cannot be assured in the absence of quality and accountability assessments at the programme level and the more rigorous assessments and procedures involved in obtaining HAP certification.

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22 *Certification with the HAP Standard was included in earlier versions of the Accountability Framework but it is not mentioned in the current version dated July 2008. (http://www.dec.org.uk/download/560/An-Introduction-to-the-New-DEC-Accountability-Framework.pdf)*

Despite the significant degree of commonality between the four approaches/ frameworks, it is important to recognise the differences between them and what they each represent. The ECB Good Enough Guide is probably best viewed as a capacity building tool for the staff of ECB member agencies and others that may find it useful. The Good Enough Guide is a full part of *The Guide to the HAP Standard*. The Global Accountability Report represents a rating assessment by a think-tank (the One World Trust), against indicators developed by that third party which itself lies outside the humanitarian system. The DEC Accountability Framework is a tool that relies primarily on self-assessment that has been developed by a UK fundraising, membership organisation to enable the Board of that organisation to assure the public that the funds raised through appeals will be used effectively and accountably. HAP is a formalised partnership of agencies within the humanitarian system that have voluntarily stated a commitment to improve quality and accountability through standard-setting, compliance verification and certification based on verifiable indicators and external assessment.

To avoid the potential for confusion between the different approaches and frameworks, it would be desirable for the four organisations concerned to agree on a common statement as to what their respective frameworks and approaches offer and say, as well as what they do not offer and cannot say, about an organisation's accountability and quality management systems. In addition, it should be incumbent on all agencies to ensure that their donors (public and private), their partners and the communities that they work to serve are aware of such differences, particularly when making claims in relation to their use. It is in the longer-term interests of the humanitarian system that differences between potentially confusing and competing approaches are managed as transparently and collaboratively as possible.

The potential implications of country-level NGO accreditation schemes
Section 1.4 described the development over the past 2-3 years of NGO accreditation schemes in Pakistan, India, Cambodia and Palestine, as well as the travails experienced by the Philippine Council for NGO Certification established over ten years ago. The development of such schemes is to be welcomed as it signals concerted and broadly based efforts to improve the accountability and quality management systems of NGOs operating within these countries. From the material examined, it is unclear to what extent the schemes are focussed upon national NGOs and the extent to which international NGOs will be affected by the development and spread of country-level certification schemes. Whatever the details of the different national schemes, it is quite conceivable that, within the next few years, the respective country programmes of international NGOs working in the humanitarian and development fields will be required to participate in such schemes.

This raises a number of questions including: the degree of commonality between the methods and approaches employed by such schemes; the degree to which national schemes are able to recognise and take account of international certification and accreditation schemes such as HAP's.

HAP's current thinking is of encouraging a decentralised accreditation system in collaboration with suitable NGO networks and associations. This approach envisages HAP accrediting national, regional and international NGO networks with the competence and authority to certify their members or affiliates as being compliant with the HAP Standard. If taken up by national bodies, such an approach offers a means of achieving greater commonality. However, this will require a degree of 'retrofitting' and may not address all the functions of the systems already put in place in a number of countries. In such cases, agreement would be needed between HAP and the national bodies as to which aspects of their requirements would be shared in common with HAP and which requirements would still be required to be met for NGOs to achieve certification at the national level. To provide a framework for such discussions, some form of 'international association of NGO accreditation bodies' may be required.[23]

The need for more research
Section 1.3 summarised the results of a HAP member's analysis of the financial benefits resulting from improved accountability to intended beneficiaries and local communities. Such analyses remain rare however and more evidence is required from agencies working in different contexts in order to convincingly demonstrate a clear 'business case' for improved accountability to intended beneficiaries and local communities, i.e. that the investment required by an agency to improve its accountability to intended beneficiaries and local communities is more than justified by the financial and other benefits that will accrue to the agency as a result of making those investments. The type of research required to provide robust evidence would most likely involve months of fieldwork in a number of different locations. This is only likely to be achieved by encouraging PhD or similar research students to focus on this area of work. Such encouragement could be provided by HAP members or by HAP itself forging links with relevant universities or collaborative efforts by groups of universities.[24] In the UK, for example, higher education research councils are

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23   In 2008, HAP started preliminary work on developing an Accreditation Standard.
24   In the HAP Medium Term Strategic Plan 2007-2008, "The aim is for HAP to increase the credibility of its research through the inclusion of other research organisations, but without losing control over the nature of the research. Fulfilling the need to bring legitimacy to the research programme will be achieved progressively by the increased participation of external bodies in one or more of the phases of a research programme (design, data gathering or analysis)". For more details, see Chapter 5.

funding a programme of Enhancing Learning and Research for Humanitarian Assistance (ELHRA) during 2009-2010. Research into the costs and benefits of improved accountability to intended beneficiaries and local communities would appear eminently suitable for such mechanisms.

In a similar vein, it would also be of considerable interest and benefit to HAP members and humanitarian agencies generally for research to be undertaken that compares the performance of those agencies that have achieved HAP certification and those that have so far not become members of HAP and/or commenced the certification process. In preparing this Chapter, a watching brief was maintained for any evidence that might shed light on such issues. None of the evaluations reviewed were of programmes undertaken by HAP certified agencies. Several evaluations focussed on or covered programmes undertaken by HAP members, some of which have yet to begin the certification process. Such evaluations contained examples of 'bad' as well as 'good' practice. It is not possible to make any inferences on the basis of the material reviewed. However, such questions are important and would justify efforts to improve the understanding of performance differences that could be attributable to systems required in order to attain HAP certification. Generating robust evidence on such issues would require high quality research across several agencies and locations and once again this points to the need for improved linkage with university-based researchers.

The need for an agreed framework for assessing 'progress' in relation to accountability and quality in the humanitarian system
This chapter has drawn together information and material from a wide range of sources across the humanitarian system and this will have helped convey the remarkable breadth of what is <u>relevant</u> or potentially relevant to an assessment of developments in relation to accountability in the humanitarian system. Assessing the relative significance of the many developments in a way that is systematic and objective has proven a considerable challenge. It is apparent that a clearer framework for making such assessments in future Humanitarian Accountability Reports is desirable.

Categorising developments in terms of the extent to which they may be regarded as 'positive' or 'negative' may be one way of framing such assessments. A crude example of such an approach is provided in Box 11.

Box 11. Possible categories for assessing 'progress' in relation to accountability and quality in the humanitarian system	
Category	**Reference Score**
Developments having a direct, positive effect on accountability and quality	+3
Developments having an indirect, positive effect on accountability and quality	+2
Developments of relevance to accountability and quality and capable of having a positive effect	+1
Developments of potential relevance to accountability and quality and capable of having a negative effect	-1
Developments having an indirect, negative effect on accountability and quality	-2
Developments having a direct, negative effect on accountability and quality	-3

Another approach may be to compare practices in the year under review with practices from five years earlier. These and other approaches and methods will be explored during 2009 with the objective of having a framework in place to support the overview and assessment in the 2010 Humanitarian Accountability Report.

1.7. A Concluding Assessment

On the basis of the materials reviewed above, the overall impression gained is of a widening and deepening of accountability within the humanitarian system during 2008. The growth in HAP membership and the number of agencies enrolled in the certification scheme; the increased use of complaints handling systems in operations; the development of accountability frameworks within humanitarian agencies; the spread of country-level NGO accreditation schemes; the joint deployment by HAP and Sphere in Myanmar; the SCHR Peer Review; publication of the second Humanitarian Response Index; the publication of the Listening Project's Issues Papers are just some of the notable developments during the year. The sense is of accountability to intended beneficiaries and local communities becoming increasingly, if tentatively and somewhat patchily, integrated within the operational approach of a growing number of agencies.

Whilst some of the developments would have occurred in the absence of HAP, it is interesting to see how many ways in which HAP and its members

are contributing to these developments. By championing accountability, by providing a comprehensive and rigorous method for improving accountability and by supporting accountability efforts in ongoing operations, and by demonstrating the applicability and value of the Standard and the certification scheme to a wide range of international and national agencies, HAP is playing a central role in carrying the accountability agenda forward.

Despite the many positive developments, the review has also shown the scale of the challenge. The tenacity of sexual abuse and exploitation in the humanitarian aid system, due in large part to the massive underreporting[25] by those affected is clear. Also apparent are: significant weaknesses and shortcomings in evaluation, for long the principal component of the humanitarian system's approach to accountability; the potential for the diffusion and dilution of accountability as a result of the new financing arrangements introduced as part of the Humanitarian Reform Process; a deep seated reluctance by organisations, professions and individuals to view beneficiaries as being at the core of accountability; and the emergence of different accountability frameworks and approaches with the potential for creating confusion and competition. These are all area and issues for concern.

And yet the sense of progress in many areas during 2008 is encouraging and essentially a cause for optimism that the humanitarian system is moving in the right direction towards HAP's vision of a humanitarian system championing the rights and the dignity of disaster survivors.

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25   *Generated by factors discussed in Section 1.3 above.*

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Chapter 2

Perceptions of Humanitarian Accountability—Annual Survey

2.1. Method

For the 2008 survey, HAP disseminated the questionnaire by using on-line polling[26]. The survey was open for a total of six weeks from 19 January to 28 February 2009. A total of 658 responses were received. This is more than double the participation rate achieved in previous years (291 in 2007, 165 in 2006, and 320 in 2005). The questionnaire is reproduced at the end of this chapter.

2.2. Findings

Summary
The majority of respondents came from international NGOs, working in Asia or Europe, divided almost equally between programme site and head-quarter-based staff. Slightly more than one third of the respondents worked for HAP member agencies.

Three quarters of the respondents perceived that there had been an improvement in accountability to intended beneficiaries and that this trend was

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26   *Advocates of Internet polling claim that it has a higher response rate and has greater reach than other forms of polling. In particular, studies show that senior managers within large organisations will respond to an online survey three times more than they do to other forms. Also, respondents are 'more likely to be honest, particularly when it comes to politically sensitive and work related questions'. (Shannon Orr, "New Technology and Research: An Analysis of Internet Survey Methodology in Political Science", Political Science & Politics, Volume 38, Issue 02, Apr 2005, pp 263-267). The use of SurveyMonkey © enabled HAP to advertise across multi-platforms and reach a larger representation from the humanitarian and development sectors. Announcements of the Survey were made on the following communication platforms: emails were sent to HAP's contact database, announced on the HAP Facebook group, on the HAP/Building Safer Organisations D-group, Relief web posted a link to the survey on its website on the front page of the 'From Our Partners' section, reminders were placed in the February edition of the HAP Newsletter and on the HAP website.*

likely to continue. The great majority of respondents felt that they had sufficient personal awareness of humanitarian accountability issues, but many reported that their agencies were not yet performing adequately.

The majority of respondents working for HAP member agencies responded that their agencies were doing enough to ensure accountability to beneficiaries, while almost two-thirds of those working for non-HAP members reported that their organisations were not doing enough to ensure humanitarian accountability.

Almost three quarters of the respondents believed that there had been an increase in levels of discussion and interest around humanitarian accountability issues in 2008 when compared to previous years.

2.2.1. Who responded?

The vast majority of respondents were from international NGOs (67%), 11% from national NGOs, 6% UN agencies, 3% from donor agencies, 1% from host governments, and 12% from research bodies and those that indicated their affiliation as 'other'.

The majority of respondents were from Asia (33%); this was followed by Europe (30%), Africa (23%) and the Americas (10%). The Middle East and South Pacific region were significantly under-represented with only 3% and 0.4% of respondents respectively. Except for an increase in the percentage of respondents working in Africa (5%), findings do not differ greatly from 2007, when the regional representation was in the same order.
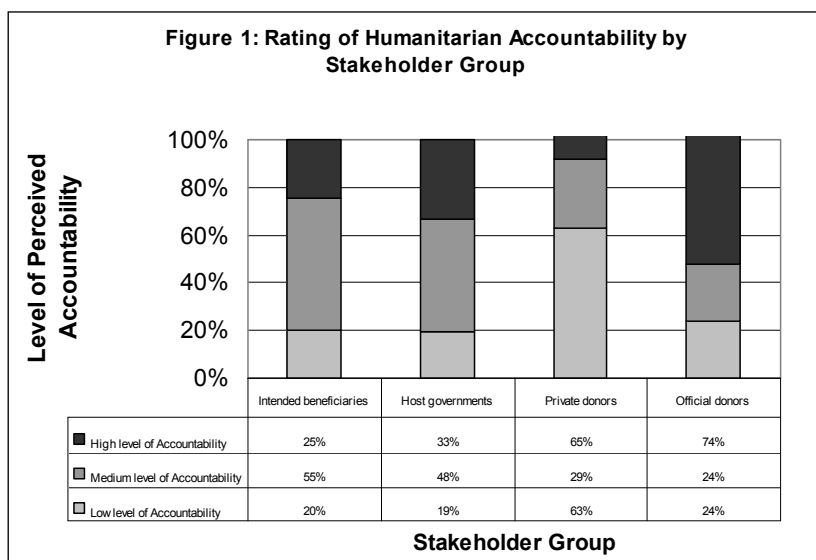
In terms of function, there was near-balance of representation from both programme site (32%) and headquarter-based staff (39%). The single largest group of respondents were programme site managers (18%), followed by headquarter-based programme managers (15%). The percentage of programme site staff engaged in policy/advisory work was low (6%) but only slightly lower than those who considered themselves to be programme site practitioners (8%). Of the overall number of respondents, 10% declared their main function to be headquarter-based staff working in the policy/advisory field and 14% in senior management. Those who indicated their main function as being an Independent Consultant and Other made up the final 11% and 18% respectively.

The growth in respondents for the 2008 survey was largely derived from non-HAP member agencies, with only 38% of respondents reporting that they worked for a HAP member agency. 15% of respondents indicated that they had no relationship with HAP, while 27% did not know if their employer was a

HAP member or not. This latter figure might be an indication that HAP is not yet achieving its strategic target for 'brand awareness'.

2.2.2 Perceptions of Humanitarian Accountability to different stakeholder groups [27]
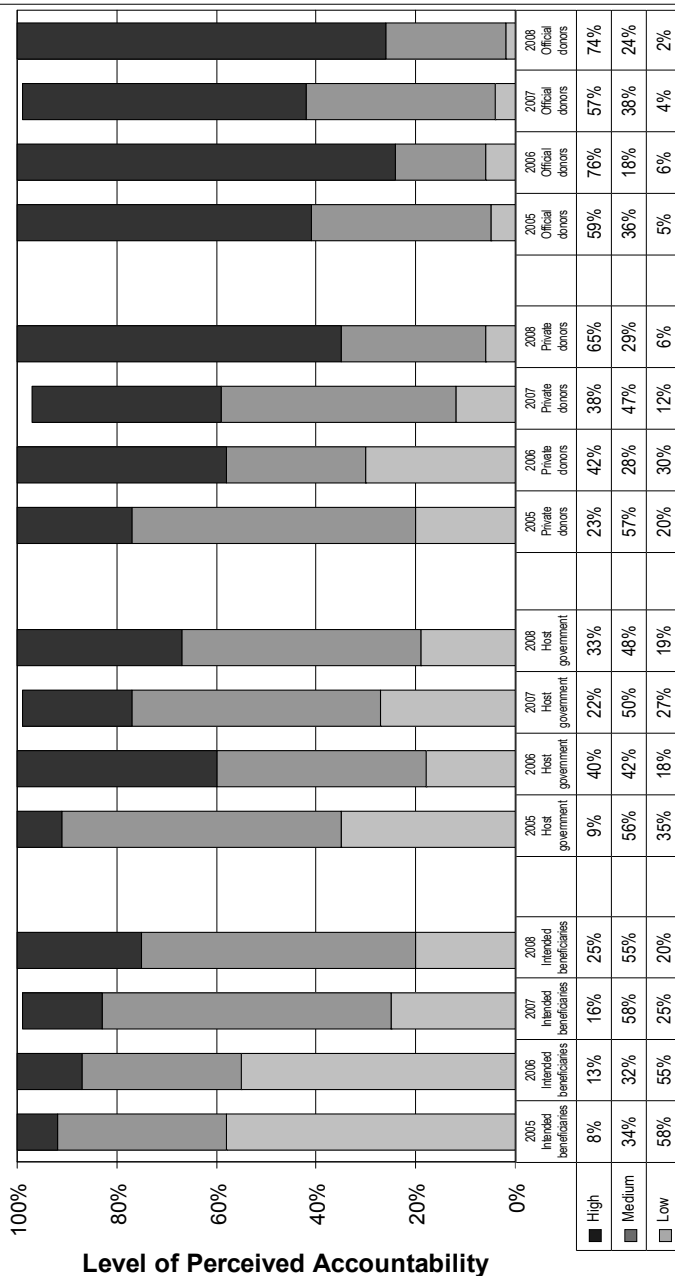
The findings in this report support trends identified in previous annual reports insofar as they indicate that there is still a significant way to go with respect to improving accountability, particularly to disaster survivors and host governments. These two stakeholder groups continue to score lowest when respondents rank accountability to different stakeholder groups (see Figure 1).

Figure 1: Rating of Humanitarian Accountability by Stakeholder Group

	Intended beneficiaries	Host governments	Private donors	Official donors
■ High level of Accountability	25%	33%	65%	74%
▨ Medium level of Accountability	55%	48%	29%	24%
☐ Low level of Accountability	20%	19%	63%	24%

Only 25% of respondents ranked accountability of humanitarian agencies to intended beneficiaries in 2008 at high (7 or above). The majority of respondents (55%) fell in the middle of the scale (4 to 6) with the remaining 20% of respondents ranking accountability to intended beneficiaries at low (3 or below).

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27   *Survey respondents were asked to categorise perceived accountability on a 1-10 scale. In order to manage the data, the results have been collected into three levels of accountability: high (7 to 10), medium (4 to 6) and low (1 to 3).*

Figure 2: Cross-year comparison of perceived accountability rating to four stakeholder groups

	High	Medium	Low
2005 Intended beneficiaries	8%	34%	58%
2006 Intended beneficiaries	13%	32%	55%
2007 Intended beneficiaries	16%	58%	25%
2008 Intended beneficiaries	25%	55%	20%
2005 Host government	9%	56%	35%
2006 Host government	40%	42%	18%
2007 Host government	22%	50%	27%
2008 Host government	33%	48%	19%
2005 Private donors	23%	57%	20%
2006 Private donors	42%	28%	30%
2007 Private donors	38%	47%	12%
2008 Private donors	65%	29%	6%
2005 Official donors	59%	36%	5%
2006 Official donors	76%	18%	6%
2007 Official donors	57%	38%	4%
2008 Official donors	74%	24%	2%

However, Figure 2 shows that considerable improvements in accountability to all stakeholder groups have taken place since HAP's first perceptions report in 2005. The four surveys show fairly consistent improvements with "high" accountability scores increasing over this period by 15% towards beneficiaries, by 24% towards donors, by 16% towards host governments and by 42% towards private donors. These results may simply reflect undetected variations in the populations surveyed, but it more likely reflects the growing importance of accountability as a desirable characteristic of a "good" agency, and the consequent enhancement of efforts devoted towards improving accountability, both through collective initiatives such as HAP, ALNAP and SCHR, and through individual agency efforts. How far HAP itself has contributed to or simply benefited from the growing importance of humanitarian accountability is impossible to judge from these surveys.

However, there remains an inescapable and consistent result from all four surveys: that the pecking order for accountability is always towards institutional donors first and disaster survivors last. Again, these are perceptions (albeit of a group of highly informed people), rather than observed and verified facts, and there may be some unidentified bias at work in these surveys; yet given that the results so clearly correlate with the relative economic, political and administrative powers of the respective stakeholder groups, the case for making a special effort to improve accountability to disaster survivors—the principal stakeholders of humanitarian action—is underlined by the consistent identification of a major accountability deficit towards this group in HAP's surveys.
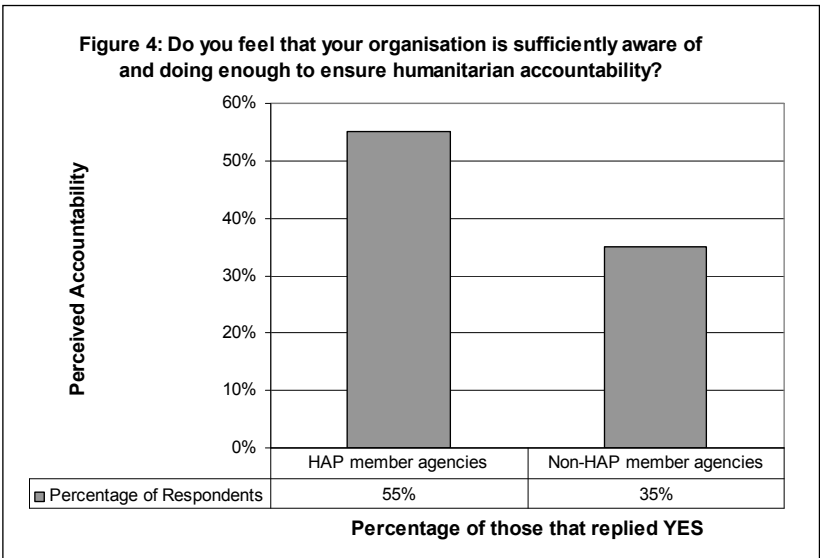

Figure 3: Humanitarian Accountability Rating: Current and Future

	Improve	No Change	Worse	Don't Know
Current Rating	61%	32%	4%	4%
Future Expectation	64%	30%	6%	0%
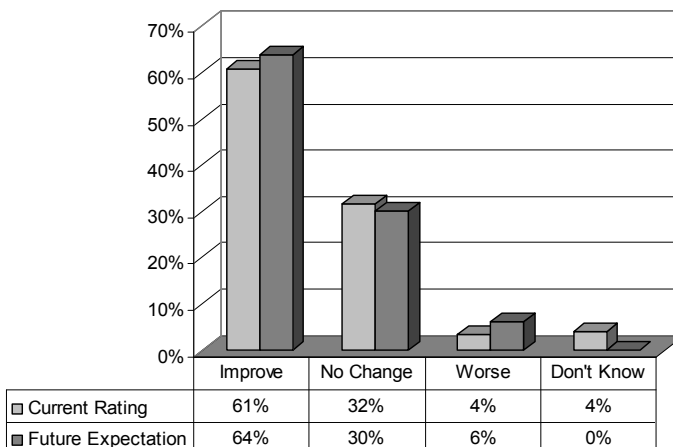
With regard to the prospects for such a change, Figure 3 shows respondents' perceptions of humanitarian accountability in 2008 (when compared to 2007) and their expectations for 2009. 61% of respondents stated that *overall* humanitarian accountability had improved in 2008, with only 4% believing it had worsened and 32% seeing no change. When asked to predict outcomes for 2009, slightly more respondents expected accountability to intended beneficiaries to improve in 2009 (64%), 30% felt that the situation would stay the same, and 6% expected it to deteriorate.

2.2.3. Individual and organisational awareness and practice of accountability: Contradictory evidence

Respondents were asked to consider HAP's definition of accountability[28] when responding to whether they felt that they and their organisation had sufficient awareness of humanitarian accountability. It seems that many individuals perceive themselves to have done the '*right sort of things*' while rating the performance of their organisations less highly. The results indicate that the vast majority (82%) of respondents felt that they had sufficient individual awareness and were doing enough to ensure humanitarian accountability. It is

Figure 4: Do you feel that your organisation is sufficiently aware of and doing enough to ensure humanitarian accountability?

	HAP member agencies	Non-HAP member agencies
Percentage of Respondents	55%	35%

Percentage of those that replied YES

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28   The definition is as follows: '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'.

worth noting that 73% of programme site staff felt that their levels of individual awareness and action was *'enough to ensure humanitarian accountability'*, compared to 63% of headquarter-based staff.

Overall, only 38% of the respondents in the 2008 survey felt that their organisation was sufficiently aware of and doing enough to ensure humanitarian accountability, this compared to the results of the 2007 survey in which 70% expressed satisfaction in the efforts of their agency to improve accountability. What can be learned from these figures is questionable, although there appears to be a general perception that organisational awareness and efforts to improve accountability to beneficiaries is insufficient and may be in decline.

A number of respondents commented on the current financial climate as a possible justification for their low rating of agencies' overall performance. Examples of such comments are: '*organisational accountability is dependent on resources and funding*'; '*there will be increased pressure to be accountable to beneficiaries from donors, but this will be offset as agencies try to cut costs due to the financial crisis*'; or the focus of some agencies is driven by '*competitiveness to seek funding*'.

The results (Figure 4) show that 55% of respondents from HAP members versus 35% from non-HAP members perceive their organisation to be doing enough to ensure humanitarian accountability, although both groups felt that they had high levels of individual awareness and practice in respect to humanitarian accountability (74% and 75% respectively). This would seem to confirm that HAP membership is associated with a significantly enhanced level of organisational commitment to humanitarian accountability with commensurate performance. However, the question remains: has the sector seen the high-water mark of efforts to improve accountability to disaster survivors?

2.2.4. Increasing levels of discussion and interest around accountability issues

Almost three quarters of the respondents (74%) felt that there had been an increase in levels of discussion and interest around humanitarian accountability issues over the last year. 19% felt that there had been no change and 7% felt that there had been a decrease in interest around accountability.

The great majority of headquarter-based senior managers (85%) reported an increased level of interest in accountability, while only 64% of programme site staff expressed this view. However, 82% of programme site staff working for HAP member agencies reported an increased level of interest in humanitarian

accountability, compared to 52% of programme site staff working for non-HAP members. Again, this seems to confirm that HAP membership is associated with a stronger operational commitment to humanitarian accountability.

When examining the overall results, only 25% of the respondents felt that accountability to disaster survivors was high, yet concluded by a large majority that they and/or their organisations had sufficient awareness and were doing enough to address humanitarian accountability.

Some respondents (166) took the opportunity to elaborate on their answers by providing comments on humanitarian accountability in 2008. Selected comments are reproduced in Box 12.

2.3. Conclusion

The 2008 Perceptions Survey has revealed mixed results. While it supports the view that there was growing optimism about progress being made in the quality of humanitarian accountability within the sector, it also highlights the ongoing challenge to achieve greater equity of accountability to different stakeholders, particularly to those whom humanitarian workers themselves perceive their agencies to be least accountable to—disaster-affected communities and host governments. The survey provides support for the argument that HAP member agencies are making significantly more progress in improving their accountability practices than non-HAP members, although there is a widely held view that there remains much to be done.

Box 12. Selected quotes from survey respondents

'Our current performance has dramatically improved over previous years. The sector needs guidance on straightforward accountability structures that report upwards through the agency, and on to the donor, so that donors and agencies learn and re-structure to improve. At the moment, we seem to be moving towards bottom up beneficiary accountability being entirely separate from donor accountability.'

'Colleagues, notably in INGOs, seem to believe that they are well-versed in humanitarian accountability agendas and as such, despite a generalised, demonstrable inability to put accountability mechanisms into action, they appear fatigued by accountability discussions and activities. There needs to be significant pressure placed by beneficiaries and donor governments alike in the interests of professionalising the aid industry. Too many humanitarian workers appear to be undertaking what amounts to "on-the-job training" in the field and are poorly versed in even the most basic of humanitarian principles and best practices. Increasingly, some form of accreditation of humanitarian workers is needed in addition to mandatory volunteer-work pre-appointment, and ongoing monitoring and evaluation and reaccreditation thereafter, including through 360 degree internal and external performance review by peers.'

'There needs to be an emphasis on the commitment to the culture of respect, feedback and wanting to be accountable to beneficiaries. There are still too few people that genuinely believe in the value and benefits to beneficiaries and their organisations of being accountable. Where possible, providing tools of suggested methods might help.'

'There is a tendency to be more accountable to donors rather than beneficiaries.'

'The issue of humanitarian accountability in 2008 seems to have been overshadowed by or confused with discourse on aid effectiveness as the main agenda of institutional donors in 2008. The discourse of aid effectiveness seems to have been more concerned with anti-corruption, double funding and other issues related to donor accountability. These are macro issues that remain important in the long term. However, they need to be balanced with more micro discourse on aid effectiveness which focuses on ensuring humanitarian funding/aid strategies and programmes which are developed based on recovery needs of survivors and their respective governments.'

'As funding gets harder to access, agencies are more interested in competing for funding than meeting the needs of the beneficiaries.'

'Whilst determination to improve has increased, it needs to be realised that this will not happen overnight.'

Survey of Perceptions of Accountability
in Humanitarian Action in 2008

*The Humanitarian Accountability Partnership would like **your views** in this short survey. Your answers will be treated in confidence, and published as aggregated findings in the forthcoming 2008 Humanitarian Accountability Report. Choose your answers from the drop-down menus by clicking on the grey area.*

Our definition of Humanitarian Accountability: 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. Please consider these points when answering this short survey. Thank you.

About you:

1. My region of work is

2. My main function

3. I mostly work/consult

4. The agency that I mostly work/consult for

Humanitarian accountability in 2008*

5. *When marked out of a maximum score of 10 (with 1 being the lowest and 10 the highest), how would you rate the accountability of humanitarian agencies to the following stakeholder groups in 2008*?*

(a) Intended beneficiaries

(b) General Public

(c) Host governments/authorities

(d) Official donors

(e) Private donors

*Agencies responded in 2008 to flooding in Ethiopia, Sudan, Morocco, Guyana, Haiti, Somalia, Algeria, Chad, Rwanda and Niger; cyclones in Myanmar and Mozambique; droughts in East Africa; Hurricanes Hanna, Gustav, Kyle and Paloma in Central America and the Caribbean; earthquakes in Indonesia, Pakistan, and China; as well as the ongoing crises in Afghanistan, Iraq, Zimbabwe, Sudan/Darfur, Somalia, DRC, Sri Lanka, North Korea, East Timor, Georgia, Lebanon and the Palestinian Territories, Northern Uganda and other 'forgotten emergencies'.

Accountability trends

6. In 2008, did the accountability of humanitarian agencies to intended beneficiaries improve, deteriorate or remain much the same when compared to their performance in 2007**?

** Agencies responded in 2007 to earthquakes and tsunamis in the Asia Pacific region, flooding in West, East and Southern Africa, China, Sudan, Pakistan, Bangladesh, the Peru Earthquake, Hurricane Felix in Central America, Hurricane Dean in the Caribbean, aviation influenza globally, ongoing crises in Afghanistan, Iraq, Zimbabwe, Sudan/Darfur, Somalia, DRC, Sri Lanka, North Korea, East Timor, Chechnya, Lebanon and the Palestinian Territories, Northern Uganda and other 'forgotten emergencies'.

Accountability prospects for 2009

7. Do you expect that the accountability of humanitarian agencies to intended beneficiaries will improve, deteriorate or remain the same in 2009?

8. What global factors do you believe affect your choice?

Individual and organisational awareness of humanitarian accountability

9. Do you feel that you/ your organisation is sufficiently aware of and doing enough to ensure humanitarian accountability, as per the definition above?

You	
Your ogranisation	

Discussion and interest in humanitarian accountability

10. Do you feel that there has been an increase, decrease or no change in levels of discussion and interest around humanitarian accountability over the last year?

Other comments on humanitarian accountability in 2008:

Please include your address if you would like a complimentary copy of the report to be sent to you.

Name:

Adress:

We greatly appreciate the time that you have taken to complete this short survey. Thank you.

Chapter 3

Voices of some disaster survivors

This chapter is devoted to the voices of people who experienced a humanitarian disaster and/or received aid in 2008. Although the actual number of aid beneficiaries represented below is small, their views typify the sentiments most often expressed to HAP staff during programme-site activities in Bangladesh, Lebanon, Myanmar, and Pakistan in 2008.[29] At these locations, HAP staff had contact with over 685 disaster survivors from whom the quotations cited below are drawn.[30]

3.1. Information dissemination: content and accessibility

Discussions on the need for, and access to, detailed information on the work of humanitarian agencies highlighted various views, including in relation to advantages of transparent approaches as perceived by communities:

> *'An information office has been set up for organisations; why isn't one set up for beneficiaries […]. Organisations should communicate to us decisions made during the general coordination meetings held between NGOs and government bodies, as beneficiaries are not allowed to take part into those.'*
> *(Ziarat, Pakistan, November 2008)*

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29   *This is not to claim that the voices cited here are representative of the world's disaster survivors and aid recipients. The interviews took place during HAP programme-site activities over the course of 2008: in Bangladesh, semi-structured interviews and focus group discussions with communities affected by the Sidr cyclone took place between January and March and in November; in Lebanon, discussions took place with aid recipients in July; in Myanmar, semi-structured interviews and focus group discussions took place with survivors of the Nargis cyclone in July; and in Pakistan, conversations with survivors of the Baluchistan earthquake took place in November.*

30   *Of the 685 recorded individuals whom HAP staff spoke to, 187 were men, 319 were women, 113 were children; another 66 people took part in focus group discussions, although there was no recorded delineation of their gender or age.*

> *'It is better to feel the truth and know there is no distribution next time, than to live with the expectation.' (Kalapara Upazilla, Patuakhali District, Bangladesh, February 2008)*

> *'I am not an expert of relief and recovery programmes to tell you how things are working between aid agencies and beneficiaries, but I know that where communities had better knowledge about the programme […] their relationship with the organisation was very good and it was easy for the organisation to operate.' (Galliat, Pakistan, July 2008)*

> *'[Agency X] staff in our area are very good, and a lot of information is available from them. They are very respectful to our culture and greatly consider our living conditions when they visit our areas. Their field base is beside the main road and they are very easily accessible [to ask for more information].' (Wom, Pakistan, November 2008)*

> *'It is important for us that [this organisation] has a good relationship with the local people and answers us when we have questions.'' (Pyapon, Myanmar, July 2008)*

The format and media through which agencies share information continue to affect communities' access to relevant and timely information. One example captured in February in Kolapara, Bangladesh comes from a discussion with a woman participant. She stated that, even though agency staff came door to door and informed the village of the location and timing of the distribution, she still 'did not know what items we would get' since no information was left to describe what would be included in the distribution package.

> *'The banner written in Bangla, was good because those who are able to read share information with those who are not.' (Kalapara Upazilla, Patuakhali District, Bangladesh, February 2008)*

> *'In Yangon there are lots of signs, but here [we have access to] few materials showing us visually where they are working and what they are doing.' (Kyaiklat, Myanmar, July 2008)*

Another woman stated that she prefers agencies to share information in public, rather than having male staff come into her house:

'Now everyone knows the message and there is no gossip about the purpose of the discussion between the man and the woman.' (Adarshagram, Bangladesh, January 2008)

3.2. Complaint and response systems

Many disaster survivors demonstrated awareness that agencies enable them to raise complaints, though the accessibility of complaint handling systems and the rate of response was questioned. One participant spoke about the basic "comfort" he found in knowing that the agency had tools in place to listen and to react to concerns that might be raised from his community.

'What I find most remarkable about [Agency X] is their staff, as their conduct tells us how respectful they are; although they do not agree with us all the time, they value us and give us reasons for what they do. It is of great comfort to know that they hear you and act when there is a problem.' (Balakot, Pakistan, February 2008)

Others also welcomed agencies' efforts to address complaints, but highlighted the need for more appropriate channels through which complaints can be raised and the importance of changes in staff attitudes towards handling complaints:

'Now [the] relief phase is over and organisations are not visiting our areas very frequently… we cannot immediately report our concerns; they need to have a system so that our concern can reach them promptly.' (Mansehra Pakistan, July 2008)

'It is very easy for us to approach the staff [of Agency X] as they have given us their contact numbers, and we also know their office address. It helps us to present our suggestions [to problems] that are seriously considered. It will be very good for us if they can set up some other ways to complain so that individual complaints can be furnished to them [in privacy].' (Siran, Pakistan, April 2008)

'When I needed to make a complaint, the person in the office told me to use the suggestion box in my village, but I could not find it. I went back to the office to say I cannot see a suggestion box. A new person in the office told me to look harder and said that she did not know where it was and could not help me.' (Ziarat, Pakistan, November 2008)

One discussant in Bangladesh spoke about the different options made available by agencies for communities to raise complaints:

> *'some can go directly to [Upazilla] members, others wait for staff to come to us, but others like to use the complaint box.'*

3.3. Community participation

Discussants welcomed increased opportunities to participate in programme decisions, but highlighted the need to be involved not just in implementation, but also in planning:

> *'A good NGO has good management, and makes decisions quickly. When you want to do something, plan and discuss it with us beforehand and then do the work.' (Sarankhola Upazilla, Bagerhat District, Bangladesh, November 2008)*

> *'Aid given by [Agency X] is of very good quality. Their package contains all the items in substantial quantity to meet our needs. Their distribution mechanism is very good and they give us freedom to plan and arrange the distribution process; this helps us avoid all sorts of hassles.' (Spayzandi Pakistan, November 2008)*

> *'Water supply schemes implemented by [Agency X] are good, but if they had consulted our representatives on the samples of the materials they are using, it would have helped to better understand what costs are being incurred to buy what quality material.' (Oghi, Pakistan April 2008)*

> *'One of the problems for us is that during consultations organisations are focusing more upon the district government and community representatives, which have left some problems unaddressed. They should also talk to the local people in general so that all the problems can be effectively addressed.' (Ziarat, Pakistan November 2008)*

> *'[The] selection criteria for disaster response were decided based on what [they] saw; they worked with community to decide.' (Sarankhola Upazilla, Bagerhat District, Bangladesh, November 2008)*

3.5 Conclusion

The views captured throughout 2008 reveal a mixture of perspectives related to information sharing, participation and complaints handling; they also highlight that, in 2008, some communities had positive experiences with humanitarian organisations that are implementing different aspects of the HAP Standard. Three key trends emerged when reviewing the data collected through discussions with communities throughout the year: first, when sharing information, agencies must consider both the content as well as the format and media employed; second, although there is an increased awareness of issues related to the 'right to complain', attention is still needed to identify the appropriate channels for communities to raise complaints; and finally, although there is an apparent increase in the level of participation in programme implementation, more consistency is needed in engaging communities in programme planning.

Chapter 4

Members' Accountability Workplan Implementation Reports

When an agency becomes a full member of HAP, it makes a commitment to implementing the HAP Principles of Accountability, preparing a detailed annual Accountability Workplan for implementing the Principles, monitoring its performance and submitting an annual report to the HAP Secretariat vis-à-vis the Workplan, reporting to HAP on complaints handling, and paying the annual membership fee.

This chapter presents members' annual accountability workplan implementation reports covering the period between 1 January 2008 and 31 December 2008. Annual reports were not due from members that joined HAP in 2008, though some have taken this opportunity to submit one. Three longer standing members did not submit written reports; of these, one (MAP) requested permission to only report verbally at the General Assembly in 2009.

While Associate Members are not required to develop Accountability Workplans, they are encouraged to report on activities, achievements and challenges in promoting the HAP Principles of Accountability. One Associate Member submitted a report for 2008.

All reports were submitted to the HAP Secretariat. A tabulated format covering progress achieved and challenges experienced in putting humanitarian accountability into practice was suggested to members and most have followed it. Members' reports are reproduced below with only minor editorial and formatting changes from the original submission. 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
7. Church World Service Pakistan/Afghanistan
8. Danish Church Aid
9. Danish Refugee Council
10. Lutheran World Federation
11. Mango (Associate Member)
12. Medair
13. MERCY Malaysia
14. Muslim Aid
15. Office Africain pour le Développement et la Coopération (OFADEC)
16. Oxfam GB
17. Save the Children UK
18. Sungi Development Foundation
19. Tearfund UK
20. The Women's Refugee Commission
21. World Vision International

1. Australian Council for International Development (ACFID)

Introductory comments: Through ACFID's transition from associate membership to full membership, ACFID continued to promote the HAP Standard to ACFID members. In 2008, ACFID did not undertake any programme 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.

In August 2007, HAP entered into a 12-month contract with the Australian Government (AusAID). ACFID was contracted by HAP to provide services with a view of promoting the Standard and the benefits of HAP membership, and undertake further work on establishing an accreditation system.

Key goal for 2008	Achievements / challenges / lessons learned
Promotion of the Standard and benefits of HAP membership to ACFID members and the broader NGO sector in Australia and the Asia Pacific region	**NGOs kept informed and interested about the HAP certification process:** ACFID targeted agencies likely to undertake accreditation. The key contacts identified were the international emergency managers of CARE Australia, Caritas Australia, Oxfam Australia, Australian Red Cross, Austcare, ADRA, AFAP, Habitat for Humanity and World Vision Australia. These stakeholders meet regularly as part of ACFIDs Humanitarian Reference Group (HRG). Permanent observers of the HRG who also targeted, including MSF. ACFID utilised the HRG as a mechanism for distributing information about HAP and providing a forum for discussion on the HAP Principles and options for accreditation. ACFID also followed up HRG members individually regarding both internal lobbying for HAP within their agencies and updates on the progress of their agency and/or wider federation. Wider dissemination of HAP updates to the NGO sector was done through the ACFID sector and member bulletins, which are distributed weekly and fortnightly. ACFID also undertook direct lobbying at a strategic level, engaging CEOs of the agencies noted above. **The development of a certification process:** In general, agencies strongly upheld the values that HAP promotes and views global accountability standards as a very important issue. However, within the Australian context, the state of play infers that, although Australian agencies uphold the HAP values, they are not yet in a position to move towards certification/accreditation. This stems from a variety of challenges regarding managerial and federation issues, a lack of resources and streamlined processes. Therefore, ACFID was not able to fulfil its contractual agreement with HAP in 2007-08, which included support and development of an accreditation system. **Promote and implement HAP certification in and around the Asia Pacific region:** • ACFID coordinated further consultation on HAP at the HRG meetings, which were held on 18 February, 20 May and 20 August 2008. • ACFID shared HAP updates and the Accountability Principles through the sector and member bulletins, which are distributed weekly and fortnightly. • HAP was discussed during the HRG quarterly meetings.

1. Australian Council for International Development (ACFID)

- ACFID provided advice, assistance and support to individual agencies to lobby internally within their organisations.
- ACFID undertook the coordination of a forum on HAP with the ACFID Executive Committee meeting in February and invited the President of MERCY Malaysia to speak to Australian CEOs about the benefits of certification.

2. CAFOD

Introductory comments: HAP is a priority area of work for CAFOD and we have developed a set of quality and accountability commitments that comply with HAP Principles and hold the model of 'downward' accountability at their centre. We are committed to taking account of the views, needs and capacities of our partners and beneficiary communities so that the quality and effectiveness of our international programmes is strengthened. CAFOD are aiming to apply the HAP Standard across our international programme work, whether they are development or humanitarian in nature. CAFOD are working towards HAP Certification and are in the final stages of preparing for certification audit in April / May 09. The results of the two HAP baseline analyses that have been conducted (Head Office Dec 07, Regional Office Nairobi July 08) have been integrated into the CAFOD Accountability Framework (CAF) that summarises our set of 8 quality and accountability commitments alongside improvement plans across the organisation.

Key goal for 2008	Achievements / challenges / lessons learned	2009 objectives
1. A humanitarian quality management system (HQMS) (Principles 1, 2, 5 & 7)		
Develop and finalise a comprehensive Accountability Framework (CAF) and review PCM documentation / practices to include Internal Review and HAP Baseline recommendations	• CAFOD's set of 8 core quality and accountability commitments were established and an Accountability Framework was developed • HAP Baseline analysis in Nairobi (July 08) • Decision to schedule Certification Audit in April 09 and to apply HAP Principles across international programmes • CAFOD partners involved in Q&A initiatives in Bangladesh, Myanmar, Sudan, Lebanon • Accountability workshops conducted for staff and partners in Bangladesh, Eritrea, Ethiopia *Challenge*: to incorporate all the various accountability and quality initiatives that are taking place across the organisation to produce the CAF *Lesson Learned*: CAF review needs to streamline and simplify the process	• Familiarise CAFOD staff with the CAF through training and discussion; highlight commitments with partners. Review and update CAF in Sept 09 and update website • Work with at least two overseas offices to develop locally-based CAF and accountability workplan • Continue to support key partners in developing and improving their accountability practices

2. CAFOD

2. Information, Communication, Transparency (Principle 3)

• 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	• Examples from emergency response programmes in Bangladesh, Pakistan, Myanmar are being collated to inform the development of a strategy and to integrate into PCM	• Clear understanding between CAFOD and partners on expectations around mutual transfer of information; explore MoUs/agreements options • Agree with partners basic set of information that is disseminated to beneficiary communities on organisational profile, mandate, Q&A commitments, programme details

3. Participation and Informed Consent (Principles 3 & 4)

Continue to enhance existing PCM / Web Promise trainings to highlight partner / beneficiary participation principles	• CAFOD's participation expectations are built into all core documentation within our PCM system • *Challenges* arise in quality assurance that the guidelines and tools are being effectively followed and to standard	• Develop strategy to disseminate Caritas Emergency toolkits and HAP / Good Enough Guide tools to CAFOD staff and partners (HQ and overseas) to enhance existing practices within PCM processes • Capture learning and experiences from partner programmes to guide development

4. Staff Competencies

In liaison with human resources explore how the CAF can be integrated into interview / induction / appraisal processes	• CAFOD People (HR manual) has been rolled-out to relevant staff • CAFOD has received first quality mark under the People In Aid Code	• Incorporate introduction to CAF and accountability principles into Corporate Staff Induction programme • Achieve People In Aid Accreditation and maintain standard of the Code and Practice

5. Complaints and Response Mechanisms (Principle 6)

• 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 system within CAFOD • Aim to increase a specific number of partners' awareness of the need to have a complaints	• A strategic action plan and a draft paper exist to develop and establish a comprehensive complaints system within CAFOD • Examples from programme partners processes are being reviewed, piloting taking place with KidsMedia project in UK and overseas, Bangladesh/Pakistan examples reviewed	• Finalise Complaints Policy and Procedure for Overseas Programmes and disseminate • Conduct regional CM workshop and develop models for implementing complaints handling procedures in the field • Widely consult partners in the rationale and development of CM at country level

2. CAFOD

handling procedure and devise a plan to support them in its development • Appropriate and relevant beneficiary feedback / complaints handling system developed and piloted in at least one country programme	• Child Protection roll-out and training strategy is in place	• Appropriate and relevant beneficiary feedback / complaints handling system developed and piloted in at least one country programme

6. Continuous Improvement (Principles 5 & 7)

• 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	• Various Internal Review processes of key themes / areas of work (decentralisation, Tsunami partnership, capacity building, supply chain management, gender reviews) within CAOFD have highlighted areas for improvement and made clear recommendations for change • DRC Evaluation presentation at the ALNAP Biannual shared valuable lessons learned around working in partnership within a conflict situation	• Incorporate 'review' guidelines and processes into evaluation policy • Develop International Programme Evaluation policy and guidelines, together with training package and materials (incl. DEC/DEC/HAP Principles), roll-out across CAFOD • Review PCM M&E processes / formats to include Q&A commitments • Continue to develop appropriate system for sharing 2-way programme learning with partners

Case Study Example: Good practice in humanitarian accountability and quality management – Summary version

A Field Baseline Analysis was completed in Nairobi Regional Office in July 2008; Caritas Kenya was involved and a field visit to the partner and beneficiary community of the Diocese of Kisii in Eastern Kenya took place. CAFOD and Diocesan partner of Kisii responded to the post-election violence in the area with shelter, NFIs and school equipment. They aimed to place accountability to beneficiaries and impact at the centre of their work, which was evidenced in the baseline discussions. The Diocese made use of its long-standing Justice and Peace structures, which are based within the smallest unit of the Christian Communities, to enable good participation and representation from the beneficiary communities in response to the emergency situation. CAFOD and the Diocese of Kisii partner aim to continue working on these issues to improve our practices in the field.

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 April 09 and Field Site (Mozambique) in May 2009.

Progress in / highlights from the field (if not otherwise covered above)

Workshops on Accountability and Quality were delivered to Prodipan in Bangladesh and Caritas in Eritrea. CAFOD Partner in Myanmar took an active role in the cyclone response and the joint HAP-Sphere initiative, and Caritas Lebanon attended recent HAP workshops.

3. CARE International

Introductory comments: CARE's efforts in this area during 2008 were mainly focused around testing and finalizing our humanitarian accountability framework (HAF). The HAF has been designed to prioritise and organise existing internal and international standards (including the HAP Standard), principles, and codes into a user-friendly framework to help CARE staff improve accountability towards our stakeholders, notably communities affected by disasters. CARE's HAF is made up of three components; 8 benchmarks, a performance measurement system with 5 indicator sets and a compliance system which together provide a common point of reference for CARE managers and staff to assess whether CARE humanitarian interventions fulfil our stated commitments to quality and accountability. Independent studies and reviews conducted during 2008, including the SCHR Peer Review on Humanitarian Accountability and external evaluations in Bangladesh and Myanmar, have found that application of the benchmarks in the HAF with technical support from CARE's Standing Team of quality and accountability specialists along with HAP and Sphere field staff (where deployed) have improved the quality of CARE's response and has usually helped to reinforce the respect of external stakeholders, including disaster-affected communities, towards CARE.

Key goal for 2008	Achievements / challenges / lessons learned	2009 objectives
1. Institutional Commitment (Principles 1, 2 & 7)		
Develop CARE's draft HAF to a point where it can start to be rolled out across the institution.	A SCHR Peer Review conducted together with Save the Children and ICRC found support for the HAF amongst the membership and recommended that CARE consider applying many of these approaches to non-emergency contexts.	Rollout and pilot the HAF, which has been endorsed by CARE's leadership.
2. Accountability in humanitarian action (Principles 3,4,6 & 7)		
Establish humanitarian accountability systems in all major emergencies based on CARE's HAF with support from the Standing Team and, where deployed, HAP and Sphere staff.	Field tests during emergency responses in Bangladesh, Myanmar and Haiti largely endorsed the HAF, though there was a request for further simplification/clarification of the framework. However, staff continued to face challenges in implementing the HAF both due to time pressures during the early phase of an emergency response in addition to coping with an operating environment where they need to report to multiple donors using competing reporting frameworks.	Promote more systematic application of the HAF in emergency responses (not only major emergencies) by, among other things, increasing CARE's Standing Team of quality and accountability specialists to provide more hands-on support to field staff when preparing for, responding to and learning from emergency responses.
3. Monitoring and Evaluation (Principle 5)		
CARE's HAF will provide a common point of reference for CARE managers and staff charged	CARE is now systematically conducting After Action Reviews (AARs) for most emergency responses and,	Improve understanding of how the use of different compliance approaches can most

3. CARE International

with measuring compliance to assess whether CARE interventions fulfil our commitments to quality and accountability.	for large-scale emergencies, independent evaluations and has piloted inter-agency peer reviews and humanitarian accountability reviews using CARE's HAF as a key reference point.	effectively advance CARE's humanitarian accountability agenda.

4. Addressing Complaints (Principle 6)

Complaints/feedback systems are established in accordance with benchmark 5 in CARE's HAF during all major emergency responses.	Despite variation in application by field managers and initial resistance from some field staff concerned about time pressures, such systems were successfully implemented in all major responses. CARE encountered some challenges in operating complaints systems in Bangladesh as many of CARE's activities were implemented through partners.	Expand complaints systems beyond major emergencies as part of the rollout of CARE's HAF and capture appropriate learning.

Case Study Example: Good practice in humanitarian accountability and quality management – Summary version

With support from one specialist from CARE's Standing Team of quality and accountability and HAP field deployment, CARE Myanmar was one of the first international agencies to develop a community feedback system during the response to cyclone Nargis that addressed accountability issues. An independent evaluation not only found a good degree of compliance with CARE's HAF, but that CARE also made concerted efforts to share their learning on accountability systems through active participation in the Accountability Network, presentations during workshops, and circulation of guidelines and lessons learned.

Progress in / highlights from the field (if not otherwise covered above)

CARE UK is part of a 3-year inter-agency project (with Action Aid, CAFOD, CARE, IRC UK, ICVA, Oxfam GB and SAVE UK) to promote the NGO perspective in donor and UN humanitarian reform processes. The project will focus on five main focus countries (Afghanistan, DRC, Zimbabwe and Ethiopia), supplemented by a lower level of engagement in five secondary countries. CARE will be the lead agency on rolling-out this project in Afghanistan. The project focuses on addressing two main themes from the NGO perspective: humanitarian financing and coordination. The project also has three crosscutting themes: accountability (to beneficiaries), partnership (UN-NGO, NGO-NGO) and impact (i.e. seeking ways to ensure that reforms result in improved programme quality and better outcomes for beneficiaries, not just in changes in funding mechanisms and UN agency roles). To date, mapping studies are being completed in the four main (plus Sudan) countries to identify key challenges and recommendations on ways forward. The project now needs to focus on deepening the look at accountability issues as part of this baseline, which will include working with known leaders in this field such as HAP as well as learning from other initiatives.

Plans with regard to: undertaking a baseline analysis, a certification audit, or mid term certification review

At this stage, CARE's intention is to complete the HAP baseline process during the next few months, involving CARE's principal lead members and our International Secretariat, and subject to arranging schedules and securing the funds needed.

4. Christian Aid

Introductory comments: Christian Aid continues to demonstrate a strong commitment to improving its accountability to all stakeholders. A review of our 2007 head office baseline audit was conducted in September 2008 with a stronger focus on preparing for HAP Certification as the decision has now been made for Christian Aid to apply for HAP Certification in the first half of 2009.

Christian Aid (CA) continues to focus on building downward accountability in to all of our systems across both humanitarian and development work, and to develop field level experience with CA staff and partners in taking forward the issues of improving accountability to those we are aiming to assist.
Accountability to our partners and to the communities we aim to assist is a key priority for both CA's Humanitarian Division in 2009 and within Christian Aid's 5 year strategic plan.

Key goal for 2008	Achievements / challenges / lessons learned	2009 objectives
1. Institutional Commitment (Principles 1, 2 & 7)		
Ensure understanding and commitment to adhere to accountability principles within CA humanitarian programmes	• Emergency Officer Accountability recruited within Humanitarian Division • Accountability work identified in work plans of all Humanitarian Division staff for 2009 • Accountability Framework drafted • Sessions on quality and accountability in May 2008 Humanitarian Division conference for establishing shared commitment and way forward for quality and accountability within CA's humanitarian work (including DRR) • HAP Standard included into Programme Management Induction for all CA programme staff • Accountability session incorporated into Global Welcome corporate induction • Introductory sessions/facilitated self assessment processes undertaken in 4 countries • Work relating to HAP including on the workplan of the CA Corporate Accountability Group • Accountability issues incorporate into key CA programme management systems development • Accountability indicators incorporated into CA 'Strengthening the Organisation' corporate strategy • Accountability identified as key focus area in Humanitarian Division 2009 workplan	• Finalise Accountability Framework • Achieve HAP certification in 2009 • By end 2009 all CA international department staff and all humanitarian partners will know about the HAP Standard and its implications for their work. • Development of materials and tools to communicate the accountability initiative within CA and to partners • Accountability introductory sessions included in all regional/divisional conferences in 2009 • Develop Disaster Management capacity building strategy for CA staff and partners including a module on quality and downward accountability

4. Christian Aid		
2. Accountability in humanitarian action (Principles 3,4,6 & 7)		
Increase accountability to beneficiaries in CA humanitarian programmes bringing experience from key field partners	• All ongoing CA Emergency Appeals have identified a budget for downward accountability • Facilitated self assessment conducted with 3 CA partners in Lebanon • Two CA partners (Lebanon and Indonesia) have agreed to become members of HAP • Facilitated self assessment training conducted with 3 partners in Zambia • Plans in place for incorporate accountability in to West Africa DRR programmes. Introductory discussions conducted with CA staff and partners • Facilitated self-assessment conducted by HAP with one partner in Bangladesh • All Humanitarian Division staff received a one-day training from HAP on how to undertake quality and accountability real-time evaluations, guided self-assessments and developing case studies with partners.	• Support two CA partners to become members of HAP and look towards certification (Indonesia and Lebanon) • Set up case studies in Guatemala, Kenya, Ethiopia • Integrate HAP Principles into DRR programmes in Burkina Faso and Mali • Support complaints training in Lebanon • Build accountability into response processes • Accountability built into revised Humanitarian Programme Management policies and procedures • Identify existing tools for programme and partners staff, and develop further tools where necessary • Develop minimum standards in downward accountability for CA funded humanitarian programmes • Collate findings of ongoing case studies in downward accountability • Support CA country programmes and partners in raising awareness of accountability issues, and identifying and implementing mechanisms for improving accountability to communities
3. Monitoring and Evaluation (Principle 5)		
CA to improve compliance with accountability standards in its humanitarian work	• Recommendations from HAP baseline and baseline review fed in to ongoing process and systems development • Decision made for CA to apply for HAP certification in 2009 • Drafted key documents to address major non-compliances identified in baseline review	• Achieve HAP certification in 2009 • Ensure key processes are in place for certification, including complaints mechanism, accountability framework, quality management system, etc. • Develop minimum standards in downward accountability for CA funded humanitarian

4. Christian Aid

		programmes based on findings of case studies • Incorporate minimum standards in downward accountability into humanitarian policies and procedures

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	Complaint system for partners of CA drafted. This still continues to be a challenging area to take forward with partners. Partners are more ready to focus on participation and information sharing.	• Complaints systems for partners of CA finalised and operational • Support 2 partners in piloting complaints systems for their own beneficiaries

Summary / Other comments

Christian Aid's commitment to and engagement with HAP continues to be a very positive process for the organisation. Challenges still exist, but the organisation is really embracing them. The commitment to improve accountability to the communities we aim to assist is strong at all levels within the organisation. One of the key challenges for us now is how to keep up with the increasing numbers of queries from our staff and partners and requests for assistance/tools/trainings/information on the initiative etc.

Plans with regard to: undertaking a baseline analysis, a certification audit, or mid term certification review

Christian Aid requested a certification audit in 2008, scheduled for 2009.

5. COAST Trust

Introductory comments: COAST became a member of HAP in January 2008. In April, it developed its accountability work plan (AWP). To move towards compliance with the HAP Standard, COAST requested HAP for a baseline in July 2008. This took place in November 2008. The result of the baseline indicates that a substantial foundation of accountability practice is already in place for COAST. There are two main issues that need to be addressed:
- The development of an accountability framework
- The development of a complaint handling system

COAST is proceeding with addressing these two requirements to achieve HAP certification.

Key goal for 2008	Achievements / challenges / lessons learned	2009 objectives
1. Institutional Commitment (Principles 1, 2 & 7)		
Undertake an assessment against the HAP Standard	A baseline carried out; based on findings, a workplan spanning until 2010 was developed. The	Assess the implementation of the HAP Standard at field locations.

5. COAST Trust

	Accountability Framework is in the final stage of development. This has been prepared in consultation with all levels of staff and also with selected group of member participants, i.e. beneficiaries.	

2. Accountability in humanitarian action (Principles 3,4,6 & 7)

Set indicators and a detailed plan of implementation according to the HAP Standard	A set of definitions of relevant terminology has been synchronized. COAST is in the process of adopting 8 indicators for organisational accountability. The accountability framework and indicators will also be developed for partner organisations through consultation.	• To draw up and implement an information dissemination plan based on an information disclosure policy. • To develop complaint response procedures and an implementation plan. • In view of these two policies, indicators and strategies will be developed to ensure full integration in other aspects of management, especially in monitoring and terms of references of staff.

3. Monitoring and Evaluation (Principle 5)

Establish monitoring system at all levels	Annual plan of operation of the organisation was developed through a participatory process and was approved by the Board. Participatory monitoring tools are rolled out, especially in education and social justice sectors.	• To develop and initiate implementation of an integrated monitoring system in view of the accountability framework, with specific focus on information disclosure and complaint handling policies. • To strengthen other areas such as the central section on monitoring, research and development.

4. Addressing Complaints (Principle 6)

Open communication both for staff, beneficiaries and other stakeholders.	COAST has an open communication system for receiving feedback and complaints. The challenge is to develop a formal Complaint and Response procedure that will be followed systematically	A complaint handling system will be in place with a roll-out plan

5. COAST Trust

Case Study Example: Good practice in humanitarian accountability and quality management – Summary version

Election observation process was well appreciated, participation and transparent: For the 9th Parliamentary election in December 2008, COAST was entrusted to deploy around 5,000 local election observers, supported by a consortium of donors. Election monitoring by local observers is a sensitive issue in Bangladesh and it has to be done with particular attention to participation and transparency. First, COAST submitted all the names and details of possible local observers to the election commission, local officials and also to member of parliament candidates for their review. COAST published those lists in local newspapers and also on the website for public scrutiny. On the basis of this transparent approach, local observers were well accepted by all concerned. COAST followed this process motivated by the Principles of Accountability in all its work.

Governance statement and indicators for a credible civil society in Bangladesh: COAST and its partners engage both in the delivery of humanitarian assistance as well as in other programmes and activities that are driven by humanitarian values. For its social justice component and the campaign programme i.e., Equity and Justice Working Group Bangladesh (www.equitybd.org), COAST partnered with other fellow NGOs. NGO governance is a serious political question in the country, affecting the credibility and legitimacy of NGOs. COAST developed a eight-point statement with 49 measurable indicators, which have been accepted as partnership and campaign membership criteria for the programme. There will be continuous self-assessment, monitoring and support to partners in this regard. Partners and campaign members have accepted the process and recognised its benefits. COAST believes that it has been able to develop this statement and the process around it due to its HAP membership and lessons learnt from other members on the application of the HAP Principles of Accountability beyond humanitarian emergency responses.

Plans with regard to: undertaking a baseline analysis, a certification audit, or mid term certification review

By mid 2009, COAST will set a timeline for certification and schedule a certification audit.

Summary / Other comments

Provision of humanitarian assistance is one of COAST's integrated programmes; yet COAST believes that the nature of the organisation is humanitarian and that, in all its activities, it has to be accountable to those it works to help. These people have to be considered active participants in COAST's programmes, not as mere recipients. Taking this view, COAST considers that the HAP Principles of Accountability have implications for the whole organisation, its programmes and management.

6. Concern

Introductory comments: Concern is committed to programme quality and part of the process to improve the process is integrating the HAP Standard into our well-established management systems. This report is against the progress made following the baseline analysis findings at headquarters in February 2008. The main focus areas in 2008 were: completing a Humanitarian Accountability Framework; developing a Complaints and Response Mechanism; improving quality assurance by integrating the HAP Standard into PM&E and PCMS guidelines; agreeing a plan for baseline analysis in all Concern fields in 2009. Not all of these activities were achieved in full in 2008; however, they form a basis for an-going and improving Accountability work plan.

1. A humanitarian quality management system (Principles 1, 2, 5 & 7)

Conduct baseline analysis at headquarters and in one country of operation	Baseline analysis conducted by HAP in Dublin and in Kenya. Overall findings concluded that Concern has a good quality management system, but that quality assurance needs to be strengthened.	• Train identified staff to carry out baseline analyses in all Concern countries of operation followed by accountability workplans in light of findings of the baseline. • Introduce and develop an understanding of HAP Principles with partner organisations
Develop a Humanitarian Accountability Framework (HAF) at headquarters	It was decided to introduce, and field test, the draft HAF in countries of operation with any necessary revisions made based on feedback from staff before finalising the HAF	• Complete HAF at HQ level with approval from Senior Management.
In light of baseline analysis findings at HQ, integrate HAP Standard into PM&E guidelines	PM&E guidelines include guidance on humanitarian standards. *Challenge*: ensuring that all systems, particularly PCMS, interlink with one another so that they are understood and are quality assured.	• Embedding the PM&E guidelines at HQ and countries of operation • Finalise the integration of HAP Standard into PCMS

2. Information, Communication, Transparency (Principle 3)

Develop guidelines on the Programme Participant Protection Policy (P4) guidelines on raising awareness of beneficiaries about programme activities, the conduct expected of Concern and partner staff and the beneficiaries' right to complain.	• Draft P4 Guidelines complete • Challenges are quality assurance that the P4 guidelines are understood and being followed by Concern and partner staff	• Workshop on complaint handling in March 2009 for identified countries who have, or are in the process of, developing a CRM and gather information on lessons learned. • Incorporate information needs into the PCMS

3. Participation and Informed Consent (Principles 3 & 4)

As part of baseline analyses in countries of operation, establish Concern's status with regard to systems and implementation at field level of accountability to beneficiaries	Baseline analysis highlighted the need to strengthen quality assurance particularly in respect of participation and provision of information	• Integration of HAP Standard into PCMS • Embedding the PM&E guidelines in all countries of operation

6. Concern

4. Staff Competencies

Develop competency framework, which will help define the behaviours we need to be successful and effective in our day-to-day work.	A series of focus groups and one to one interviews with a range of staff took place across the organisation. In addition, all staff had the opportunity to contribute through an on-line survey.	• Introduce the competency framework with guidelines

5. Complaints and Response Mechanisms (Principle 6)

Incorporate Benchmark 5 of the HAP Standard into the P4 guidelines, which include raising awareness amongst beneficiaries and communities about programme, the conduct expected of all Concern staff and partners and their right to complain.	In light of the baseline analysis in Dublin, draft P4 guidelines including complaint and response procedure completed.	• Conduct workshops on P4 and complaint and response mechanisms (CRMs) for countries that require guidance on how to set up CRMs. Disseminate lessons learned and case studies from workshop held in March 2009. • Review pilot CRM in Bangladesh, Cambodia and Zambia following lessons learned from CRM workshop in March 2009. • Pakistan to pilot CRM. • Review draft P4 guidelines.

6. Continuous Improvement (Principles 5 & 7)

Further embed a culture of learning throughout Concern	The main achievement has been the launch of the Knowledge base, which provides staff with access to organisational repository of information. Managers, desk officers and advisers at HQ are now holding country programme reviews annually.	• Improvements to the emergency review process and key policy documents such as the PCMS. Additionally, country level emergency programme reviews are planned. Meta evaluations 2004-2008 with distillation of key issues

Plans with regard to: undertaking a baseline analysis, a certification audit, or mid term certification review

Conduct 4 workshops in 2009 on baseline analysis in host countries; where relevant, staff from neighbouring countries will also attend to gain hands-on experience on how to undertake a baseline analysis of their respective programmes. This is with a view to have all Concern country programmes undertaking a baseline analysis by the end of 2009.

Progress in / highlights from the field (if not otherwise covered above)

Pakistan has developed a CRM, which is in line with HAP Standard and, in the course of 2009, will pilot the CRM in a programme area where Concern is directly operational. Lessons learned will be documented and tracked and these will then be applied when the CRM extends to other programme areas.

6. Concern

Before extending the CRM to other programme areas, discussions with partner organisations will take place with a view to agreeing with them on the Principle of Addressing Complaints.

Summary / Other comments

The baseline analysis has been a useful means of identifying any gaps in quality management commitments at HQ level and in the field, where the commitments are applied. The exercise was also a platform for explaining the HAP Standard to Concern and partners' staff.

7. Church World Service Pakistan/Afghanistan

Introductory comments: Church World Service Pakistan/Afghanistan (CWS-P/A) became a Full Member of HAP in April 2008. Over the past few years, the regions covered by CWS P/A have faced various disasters and CWS P/A has responded to these while keeping humanitarian quality and accountability a priority. Throughout our operations, we attempt to maintain the norms of quality and accountability. Our stance on accountability is reflected in the following statement: *'we hold ourselves accountable to both those we seek to assist and those from whom we accept resources'.*

During 2007 and 2008, CWS-P/A made a special effort to further promote accountability to ensure good practices in humanitarian response and was successfully able to institutionalise the HAP Standard. In the process, CWS-P/A has shared information with internal senior and second line management with respect to the HAP Standard by providing information packages and training, including with support from the HAP staff in Islamabad, Pakistan. The projects are designed and implemented in keeping with the HAP Standard, the Sphere, ISO, USAID and other standards in order to render quality services to the communities we serve.

Key goal for 2008	Achievements / challenges / lessons learned	2009 objectives
1. Institutional Commitment (Principles 1, 2 & 7)		
- Apply for full membership of HAP. - Conduct HAP Orientation secessions for all senior management and coordinators, at the field level and for implementing partners - Hire a HAP focal person, build his/her capacity to lead the process of incorporating the HAP Standard in order to meet the basic requirement to qualify for certification - Establish Consumer Complaint procedure through a local partner with the objective to promote Accountability in Humanitarian Work.	- Full HAP membership in April 2008 allowing eligibility to attend GA and other consultative meetings and to also be a part of decision-making mechanism. - Conducted a one-day HAP Orientation session for all managers and coordinators; the session was facilitated by the HAP Pakistan team and the training was held at CWS-P/A Islamabad office. An orientation package was then distributed to all relevant staff. - Focal person hired and attended a HAP training workshop in Islamabad focusing on the six benchmarks of the HAP Standard.	- Focus on developing a HAF with the support of key persons before the baseline analysis is conducted. - Currently preparing for and will undertake a baseline analysis by May 2009. - Apply for and achieve HAP certification by August 2009. - CWS will attend the HAP General Assembly and take part in accountability training and HAP meetings at national and international level - From the lessons learned, will replicate ideas wherever possible to promote accountability

7. Church World Service Pakistan/Afghanistan

	• One day orientation session for all the team leaders and deputy team leaders of all the programmes involved in emergency relief and recovery. The CWS-P/A focal person conducted the session. • A Centre was established in June 2007 in Mansehra by the name of MCH (Mansehra Consumer Helpline) which was implemented by our local partner "Bedari" and was funded by CWS-P/A	

2. Accountability in humanitarian action (Principles 3,4,6 & 7)

Continue to promote beneficiary participation in project planning and implementation and decision making through three refugee committees and to promote the same practice in all other programmes	• The three refugee committees were actively involved at all levels. A new livelihood project for the refugees was launched in October 2008 through a consultative process; active involvement of these committees provided positive results. Quarterly meetings were held with stakeholders as complement to other means of communication. • Complaints are lodged by beneficiaries, through the refugee committees and are handled by management in conjunction with the refugee committees. *Lesson Learned*: With active involvement of the community or their representatives a sense of ownership develops which is essential for the growth and sustainability of the project. *Communication: 'Recovery delayed, recovery denied'* – A CWS-P/A publication which looks into a wider level of accountability at a national level on the mechanisms of support provided to the earthquake affected areas of Pakistan. The publication focuses on aid delivery by various service providers, and identifies gaps as well as recommendations in some areas.	• Continue to involve key stakeholders in our refugee programme and expand and improve this approach in other programmes and emergency responses using innovative approaches. • Institutionalise the approach of involving beneficiaries in monitoring and evaluation processes.

7. Church World Service Pakistan/Afghanistan

	In the relief distribution to the earthquake-affected communities, a printed beneficiary card with all the details of the items to be distributed was handed out to beneficiaries.	

3. Monitoring and Evaluation (Principle 5)

M&E team to independently visit the field and provide feedback to management.	Issues such as delays in implementation of the schemes or distribution were reported and addressed.	• To strengthen the M&E department through exposure and trainings for Real Time Evaluation. • Establish a Q&A department to ensure the quality of our service.

4. Addressing Complaints (Principle 6)

• To establish a Consumer Complaint Centre in the earthquake affected area of District Mansehra (2007/2008) • To strengthen internal complaint handling systems.	• The Centre was established in June 2007. Approximately 650 complaints were registered during the first 6 months. Complaints were sent to the relevant departments and NGOs to seek remedies. • A component of lodging a complaint by the staff is part of the Operation Manual and the process for handling the complaint or grievance is detailed. • A number of complaints from the field were received through our M&E teams and the management took appropriate action to address them on a priority basis.	To adopt a policy that would enable us to have an inbuilt complaints handling system in similar new initiatives

Case Study Example: Good practice in humanitarian accountability and quality management – Summary version

CWS-P/A working through their partner, Strengthening Participatory Organisation (SPO)
Distribution sites visited in Spayzandi, Warchoom: Union Council Khawas, District Ziarat

Prior to the earthquake, local disaster response volunteer teams had already been identified and trained by SPO. These local volunteers and SPO emergency response teams reacted quickly to the disaster and undertook swift assessments while beginning their beneficiary selection processes within hours of arrival. The rollout of CWS winterised tents and food items to the affected areas are near completion. Disaster survivors outside of CWS-P/A & SPO distribution sites have reportedly said: '*You can take 10 of the other tents distributed and give us one of your winterized tents.*' *(Field Update Baluchistan EQ 2008 by HAP field staff (Dated: 15 November, 2008)*

7. Church World Service Pakistan/Afghanistan

Plans with regard to: undertaking a baseline analysis, a certification audit, or mid term certification review

CWS Pakistan/Afghanistan will apply for certification before August 2009.

Progress in / highlights from the field (if not otherwise covered above)

CWS-P/A in partnership with two local NGOs, Punjab Lok Sujag and Bedari, opened a Consumer Complaint Centre by the name of MCH (Mansehra Consumer Helpline) with the sole purpose holding the service providers (governmental and non-governmental) accountable to the beneficiaries in an effective and efficient manner. The project was initiated in June 2007 with a total of 650 complaints being filed within the first six months. A detailed report, its objectives and achievements are available in "Accountability in Humanitarian Work". This publication, along with two others is available on our partner's website: www.bedari.org.pk.

Summary / other comments

CWS-P/A is fully committed to the principles of accountability and transparency at all levels of interventions and expects the same from its partners. CWS-P/A has made a commitment to the New Emergency Policy (NEP) and is making efforts to apply the HAP Principles of Accountability from the outset of all new humanitarian emergencies. The recent earthquake in Baluchistan provided us with an opportunity to implement the HAP Principles of Accountability, learn from the challenges and ensure quality assistance to the affected communities.

8. DanChurchAid (DCA)

Introductory comments: DCA was certified by HAP in June 2008. The DCA Humanitarian Framework prioritised the minor non-compliances in the certification as 2008-2010 action points. For most DCA staff, the issue of accountability (and how to realise it) is well known; complaint handling still presents a relatively new approach.

Key goal for 2008	Achievements / challenges / lessons learned	2009 objectives
1. A humanitarian quality management system (Principles 1, 2, 5 & 7)		
DCA's Humanitarian Quality Management System (HQMS) known and respected.	DCA HQMS was rolled out, but has to be revised given *development certification*.	HQMS descriptions for all decentralised regional offices and HMA offices. (DCA Malawi model for use by all.)
2. Information, Communication, Transparency (Principle 3)		
• Non-disclosure policy developed and disseminated.	• HAP presentations and discussions at different ACT fora meetings in Malawi, Ethiopia, South Sudan,	DCA regional offices will work to communicate more transparently via publicly available

8. DanChurchAid (DCA)

• DCA website(s) updated to include Humanitarian Accountability Statements and the DCA Framework. • DCA anti-corruption policy and annual corruption reports made publicly available.	documents, posters and listings on the DCA websites: organisational set up, programmes/projects, funding base, achievements and complaint-handling systems.
Uganda, Congo. DCA highlighted the theme with its (non ACT) partners in Bangladesh, Burma/Myanmar and Zimbabwe. • Posters developed in local languages in Zimbabwe. • DCA India annual report as template for DCA regional office accountability reporting to annual partner platforms. • DCA transparency on own staff salary levels.	

3. Participation and Informed Consent (Principles 3 & 4)

DCA staff members understand accountability benchmarks and work with partners to adhere to them.	Targeted training on accountability and HAP Standard to DCA staff and partners will make DCA staff confident, improving roll out of DCA's obligations under HAP to partners, and thus from partners to beneficiaries.
Trainings and refresher courses (on Sphere and the Good Enough Guide) on needs assessment, beneficiary targeting, and monitoring conducted. *Lessons learned:* on placement of water sources, size of kitchen gardens in Zimbabwe, type of rice distributed in Burma/Myanmar, differentiation of beneficiary group required in India. Protection training for Sudanese refugees from Kakuma was empowering, but they faced problems when they returned to Sudan.	

4. Staff Competencies

Mapping of existing competencies and strengthening of skills where needed.	• HAP theme introduced in Employee Development Reviews for middle level managers in International Department and Humanitarian Response unit. Commitments made in EDR sessions to HAP 2009 activities. • Humanitarian Response team members' Sphere refresher training in 2009. • New HR system whereby new staff "sign up" accountability commitments.
• Test completed for the Humanitarian Response Unit. • Mandatory introduction session for all staff on SPHERE, Code of Conduct and HAP. • Rules for behaviour applicable for staff being developed by the HR Unit.	

8. DanChurchAid (DCA)

5. Complaints and Response Mechanisms (Principle 6)

• Pilot studies in Malawi and Angola • An internet based complaint system for all DCA stakeholders developed	• Baseline study in Malawi completed with intensive involvement of local communities. Study followed by community sensitisation meetings and consultations with all stakeholders. • The draft Angola Complaint system is still not completed. The goal is to develop a generic system for all Humanitarian Mine Action Programmes. • Cambodia will develop a complaint mechanism with Lutheran World Federation (input from CARE International.) • DCA partner in Bangladesh had to revise their complaint system when the system was swamped with irrelevant complaints about marriage proposals, etc. • Lengthy process in DCA HQ, Board and Regional Offices prior to launch of web-based complaint system. System has been approved in late February 2009 and will be launched in March 2009. *Lessons learned:* the consultations process about Complaints Handling Systems takes much longer time than anticipated. All stakeholders have relevant input that needs considering before the launch of the complaint handling system.	• Findings from complaint pilot studies in Malawi and Angola analysed and lessons learned passed on. • Pilot projects in Ethiopia and Cambodia will be formed based on Malawi/Angola findings. • Launch web-based complaint system with a 2009 pilot phase.

6. Continuous Improvement (Principles 5 & 7)

• Targeted training for DCA humanitarian response staff as per findings from HAP audits. • Systematic lessons learned exchange through Humanitarian Response unit meetings, Programme Forum, Partner platform meetings and ACT.	• The HAP "To complain or not to complain" study was discussed to 1) prioritise attention of the issue of sexual abuse and exploitation in humanitarian response; and 2) to understand the impact of a complaints mechanism • DCA Tsunami evaluation on significant changes in local communities undertaken.	• DCA programme/ partner/ACT platforms are the venue for exchange of lessons learned. • Highlight learning from DCA Malawi and DCA Angola complaints • Major findings from Zimbabwe food assistance evaluation will be debated.

8. DanChurchAid (DCA)

Case Study Example: Good practice in humanitarian accountability and quality management – Summary version

DCA Malawi case study 2008 available on HAP's website.

Plans with regard to: undertaking a baseline analysis, a certification audit, or mid term certification review

January 2009 mid-term review.

Progress in / highlights from the field (if not otherwise covered above)

The HAP/Sphere intervention in the immediate aftermath of the Nargis cyclone in Burma/Myanmar was an excellent initiative, demonstrating how these initiatives are a good match. But language and terminology have to be simplified.

Summary / Other comments

Through lobbying from Danish Refugee Council and DanChurchAid, the Danish Humanitarian Strategy now includes a statement, *'Similarly, Denmark will work with partners to explore other measures that enhance accountability and to promote certification under the Humanitarian Accountability Partnership (HAP).'*

9. Danish Refugee Council

Introductory comments: The information below is a condensed version of DRC's Accountability Implementation Plan, which can be accessed on http://www.drc.dk/HAF.4265.0.html and is updated from time to time.

DRC's general accountability efforts during 2008 were anchored in two of DRC International's Strategic Focal Areas (SFA) for 2008–09:
• *Administration: DRC International's Operations Handbook is revised, understood and applied by all staff in accordance with their respective functions.*
• *Human Resource Development: DRC's managerial and programmatic capacity at field level is further strengthened.*

An SFA is a major and specifically resourced internal development effort, decided on the recommendation of the annual meeting of all DRC country and regional directors. The Human Resource Development (HRD) SFA includes a global training programme aimed at ensuring that DRC's revised Programme Handbook (June 2008) is understood and applied by all staff (HQ and field, some 2,000 staff) in accordance with their respective functions. The revision of the Programme Handbook was aimed, inter alia, at mainstreaming the HAP 2007 Standard.

Key goal for 2008	Achievements / challenges / lessons learned	2009 objectives
1. A humanitarian quality management system (Principles 1, 2, 5 & 7)		
a. Country offices revise/draft their HAF and make it available as per information strategy in Programme Handbook.	a. Global HAF (in English, French, and Russian) and 9 contextual (field) HAFs are available on http://www.drc.dk/HAF.4265.0.html and displayed	a. Global HAF is revised following Annual Meeting 2009 and outstanding local HAFs are published.

9. Danish Refugee Council

b. Baseline of DRC's realisation of its HAF and accountability implementation plan.		in hard copy in respective countries. Compliance is monitored under DRC's monitoring and evaluation framework, particularly the annual programme reviews. b. Baseline was done in preparation for mid-term audit October 2008.
2. Information, Communication, Transparency *(Principle 3)*		
Field (information) instruction and guide is imparted in all country programmes.	Guide is available.	Guide is imparted in all country programmes.
3. Participation and Informed Consent *(Principles 3 & 4)*		
Revised field instruction and guide is imparted in all country programmes.	Field instruction is part of the revised Programme Handbook.	
4. Staff Competencies		
a. Key field staff in all country programmes trained in the revised programme handbook. b. DRC's standard format for HQ and international job descriptions is revised to include accountability aspects. c. Existing field staff performance appraisal systems are reviewed.	a. Training programme is in full swing but extended until end-2009 b. Pending. c. Initiated.	a. DRC's revised Programme Handbook is understood and applied by all staff in accordance with their respective functions. b. DRC's standard format for HQ and international job descriptions is revised to mainstream accountability aspects. c. Standard for field staff performance appraisal systems is developed and linked to DRC HRD policy.
5. Complaints and Response Mechanisms (Principle 6)		
Current mechanisms for field staff CRM are reviewed.	System is drafted. CRM Handbook on setting up a CRM is available in hard copy and online at www.drc.dk/Complaints_Mechanism.4637.0.html.	Standard field staff complaint mechanism is piloted.
6. Continuous Improvement (Principles 5 & 7)		
a. Implementation of the 2008-09 SFAs. b. Progress review of the implementation of the 2008-09 SFAs. c. Internal review of the global planning and reporting framework.	a. In full swing. b. Done by Annual Meeting c. Done of Annual Review guide. d. Guide is in progress. Check of compliance with the HAP 2007 Standard is	a. Implementation of the 2008-09 SFAs. d. Revised field instruction and guide for partnerships is imparted in all country programmes.

9. Danish Refugee Council

d. Revised field instruction and guide for partnerships is imparted in all country programmes.	part of the standard agenda for the annual review of each country/regional programme. The annual reviews are condensed in a meta-evaluation considered by the Annual Meeting.

Plans with regard to: undertaking a baseline analysis, a certification audit, or mid term certification review

Baseline analysis late 2009/early 2010 in preparation for re-certification audit in 2010.

Summary / Other comments

DRC has initiated a process to assess and strengthen its compliance with the HAP Standard in its domestic activities in Denmark with a view to including the domestic activities in the next audit in 2010.

10. Lutheran World Federation, Department for World Service (LWF/DWS)

Introductory comments: LWF/DWS has included accountability as a key element in its 2007-2012 Global Strategy. Accountability and transparency are set as core values and specific accountability initiatives, like Sphere Principles and Standards, are incorporated in the World Service work worldwide. In order to advance accountability, LWF/DWS decided to strengthen its commitment to accountability to affected population by a) prioritising its participation in the Sphere Board meetings, b) establishing partnership with Transparency International to conduct a study on "prevention of corruption in the humanitarian work", c) participating in the peer review on "accountability to affected population" with members of the SCHR and UNHCR, and d) strengthening its policies, guidelines and administrative systems vis-à-vis accountability and quality work.

Key goal for 2008	Achievements / challenges / lessons learned	2009 objectives
1. Institutional Commitment (Principles 1, 2 & 7)		
Ensure that all DWS country programmes understand DWS strategic approaches and commit to them	• DWS Standing Committee (Board) endorsed and strongly recommended engagement with HAP • LWF DWS strong commitment to accountability was further strengthened by its application and membership of HAP • DWS Global strategy includes key elements for accountability. Continuous awareness raising took place throughout the year. • First draft of the Accountability framework was developed and included in the DWS Operations Manual	• Conduct the HAP baseline at Headquarters and undertake 1 field based HAP baseline analysis. • Ensure commitment and greater understanding and adherence to accountability principles with LWF DWS programmes • Review and update LWF DWS Accountability Framework.

10. Lutheran World Federation, Department for World Service (LWF/DWS)

	• DWS participated in the SCHR peer review on accountability to affected population (peering with Oxfam and UNHCR) • DWS engaged in partnership with Transparency International for study on best practices to avoid corruption in the humanitarian work. • Meetings to disseminate HAP Principles (Regional Consultation, Programme and Finance Coordinators, Field Directors Meeting)	• Review and clearly articulate the LWF DWS Quality management system specific to humanitarian work. • Continue to actively engage in the SCHR peer review.

2. Accountability in humanitarian action (Principles 3,4,6 & 7)

| To strengthen the systems to ensure that DWS fulfils the highest programmatic and administrative standards, in an accountable and transparent way. | • Several training workshops to DWS staff were conducted. Issues related to accountability were: right-based approach and empowerment, internal controls and quality assurance.
• Programme and Finance staff met together representing 29 country programmes in a global workshop relating to enhanced quality and accountability
• Sharing of HAP Principles of Accountability with staff
• Discussion with partners (associate programmes) | • Broaden awareness of issues of quality and accountability in staff inductions, trainings and regular global meetings and workshops.
• Recommended actions to improve accountability from the SCHR review are acted upon and followed through. |

3. Monitoring and Evaluation (Principle 5)

| Better understanding and standard application of the LWF DWS PME system | • Evaluations and work plans against DWS principles on participation, rights-based and empowerment (2007 annual report) | • Clarify, assess and improve on monitoring and evaluation of humanitarian assistance while working together with Action of Churches Together.
• Update Evaluation Guidelines and integrate the use of the ACT Impact Assessment tool |

4. Addressing Complaints (Principle 6)

| Identify missing procedures to ensure accountability and quality assurance | • Participation in the elaboration of the ACT Complaint mechanism. | • Develop a clear feedback mechanism including a complaints mechanism for Headquarters and field programmes |

10. Lutheran World Federation, Department for World Service (LWF/DWS)

Plans with regard to: undertaking a baseline analysis, a certification audit, or mid term certification review

A baseline analysis was requested from HAP in 2008, scheduled for 2009.

Case Study Example: Good practice in humanitarian accountability and quality management – Summary version

LWF World Service Programme in Nepal has contextualised LWF Code of Conduct into the national "Code of Ethics". Also, Disaster Risk Reduction is structured under the rights-based, empowerment approach, with long-term commitment.

The LWF Kenya programme has developed a simple, one-page flow chart to illustrate the complaint processing / referral and response procedures.

11. Mango (Associate Member)

As an associate member of HAP, we do not have an accountability workplan. However we have promoted HAP's missions in many varied ways throughout 2008. The *Listen First* project was completed in collaboration with Concern and tools to improve downward accountability to beneficiaries were developed according to the HAP 2007 Standard. Mango continues to hold itself accountable to stakeholders by constantly allowing evaluations and making suitable improvements to our services.

Listen First: The research project culminated in 2008 after involving more than 530 people, fieldwork in six countries, and a wealth of academic research. Working with Concern, we have researched and developed tools to manage downward accountability to beneficiaries. The one-page *Listen First* framework sets out performance standards for downward accountability, reflecting four operational benchmarks of the HAP Standard. It guides staff on how to put the principles into practice, and includes a method for gathering feedback from beneficiaries. The principles behind the *Listen First* framework are:

- Providing information publically
- Involving people in making decisions
- Listening (feedback & complaints)
- Staff attitudes & behaviours

In 2008, the team went to Cambodia and Angola. The research procedures developed into three structured processes:

- Workshops for local staff to assess current levels of accountability, as well as to identify necessary improvements in each situation.
- Research in relation to local communities' perceptions of Concern's work, and the perception of accountability. (The local people were engaged and enthusiastic about taking part in these trials.)
- Reports for managers about levels of downward accountability actually achieved.

The research showed that staff and communities found the framework relevant in different countries and cultures. Other findings indicated that staff found it challenging to listen to local people, especially as field staff had so much more power than them, or did not speak the same language; and staff were being pulled in different directions due to commitments to donors and Head Office.

11. Mango (Associate Member)

The most important factors for improving accountability were the attitudes of field staff and managers. Field staff were more accountable when they really believed that local people had the ability and the right to make decisions about improving their lives. Their managers' attitudes played a big role in making space for this, as everyone was already very busy with many different priorities and it was felt that managers did not always prioritise downward accountability.

Concern staff found the approach to be useful and relevant, working across many different languages and cultures. The research output will inform Concern's strategic planning process. In addition there is significant scope for continuing the development of the *Listen First* approach especially in areas of representation, participatory approaches, and understanding relationships with beneficiaries and the links to feedback mechanisms.

Listen First was presented to external audiences in 2008 including BOND's Quality Group (March 2008) and INTRAC's NGO Research Forum (May 2008). For more information see www.listenfirst.org/about

New Management Agenda: The Director continued work on the New Management Agenda, which included a presentation at Christchurch College, Oxford, in November 2008. The aim of this initiative is to alter the current methods of NGO management to be confident that funds are being used to help people effectively. The agenda advocates a transformation from results-based management (which has been shown to be consistently flawed) to a focus on performance.

The whole sector needs new approaches to become more effective. Key ideas include: helping people to help themselves; NGOs constantly checking how much value they have added to the efforts of people and organisations in strengthening their own ability to tackle their own issues; beneficiaries becoming NGOs' primary stakeholders; and maintaining consistently high-quality relationships.

BOND: We have continued our active role within BOND (the UK networking umbrella for NGOs) on building standards within the sector. BOND's board recently approved a major new programme of work on enhancing quality, which provides an exciting opportunity to build a sector-wide programme to move the debate forward and make a decisive contribution to practice.

Accountability Training: Two days on our flagship-training course were dedicated to NGO accountability. Staff from international and local NGOs were trained in current research, and how they could improve accountability in their own organisations. We have also started to integrate key learning on downward accountability into other core courses.

Mango continued to teach on the Masters in Humanitarian Programme Management, run through the Liverpool School of Tropical Medicine. The module focuses on accountability and effectiveness, looking at case studies, standards and the new management agenda.

Mango's Guide: Our free Guide focuses on helping NGOs develop their internal finance systems. Over 5,000 people were registered to use the Guide and over 8,000 of our Health Checks were downloaded in 2008. We continued to promote the *Who Counts?* Campaign on our website and in our Guide.

Comic Relief Consultancy: We provided consultancy services to review the financial systems of grant recipients, including accountability of procedures.

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12. Medair

Introductory comments: Medair continues to hold beneficiary accountability (BA) as a high priority. Building on 2007 initiatives, we have continued to invest effort in 2008 in order to improve our ability to respond to the people we serve. The current workplan, originally written for a 12-month period (April 2007 - March 2008), was extended until December 2008 in order to align with other HAP members' workplan reporting cycles. The present report covers progress during the 2008 calendar year, and a new workplan for the period 2009-2011 is under development.

Key goal 2007-2008	Achievements 2008	2009 objectives
1. Institutional Commitment (Principles 1, 2 & 7)		
Incorporate BA principles into Medair's corporate quality management system	• Continued to promote accountability principles both internally and externally • Regularly included BA in field visits' terms of reference	Undertake ISO field audit (originally planned for 2008) which will have access to all processes in the field, including BA
Pilot and document BA methodologies	No new actions were planned in 2008	Circulate regular updates around Medair programmes to promote BA best practices
Increase understanding of beneficiary accountability	BA session not held at Country Directors Workshop but some countries developed in-house presentations	Share BA case studies between programmes
Remain aware of other relevant initiatives and resources	• Promoted the Good Enough Guide, giving copies out to each new field staff during their briefing. • Contact maintained with ECB, People In Aid etc.	Distribute Good Enough Guide in electronic format rather than hard copies to all new field staff during HQ briefings and continue involvement with ECB, People In Aid
Increase profile of BA in external communications	Continued as in 2007, including a section specifically on BA in one quarterly Medair News (July)	Further articles on BA in the field
2. Accountability in humanitarian action (Principles 3,4,6 & 7)		
Country Programmes develop appropriate and relevant beneficiary feedback systems	**Afghanistan (AFG)** Approaches taken to ensuring BA within AFG projects are elaborated in many proposals, vary depending on context and include: • Actively collecting beneficiary feedback through letterboxes/ direct discussions with beneficiaries to improve projects within project period. • Making project information readily accessible to beneficiaries, with kick-off meetings held in each	

12. Medair

project location; exploring ways to highlight project information.
- Informing communities about how to submit verbal/ written ideas, recommendations, and complaints, with follow up visits by male and female staff; Beneficiary Feedback & Accountability Monitor, and drop-boxes for anonymous complaint forms. Serious complaints/ those requiring additional feedback are investigated by international programmes manager.

These methods encourage beneficiaries to be involved in determining project outcomes according to identified needs/ requirements.

Madagascar (MDG)
- Beneficiary visits to check the satisfaction of water filters (reported online on 13 February 2009)
- Village volunteers (VVs) chosen in each village, as a link between families and staff. Regular meetings with VVs permit regular feedback on satisfaction/ suggestions/ complaints about Medair's work

Sudan Northern States (SDN)
- Accountability is included in Country Strategy but not as a specificobjective, as a standard item in some field trip ToRs, as a standard cross-cutting issue in proposals, with BA updates included in donor reports; logframes include participatory indicators; 2nd briefing for IRS includes sessions on Humanitarian Accountability/participatory approaches; NRS trained in BA, including: encouraging beneficiaries to invent solutions to problems/ importance of always explaining & giving an account of Medair's work/ how to conduct FGDs on BA; interviews conducted by Health & Watsan teams to survey beneficiaries' views on Medair;

Madagascar (MDG)
Introduce a *Rano Tsara* partnership BA system based on *public private partnership approach*; more than simply a complaints mechanism, it is intended to provide a sign-posting service to beneficiaries, directing them to those responsible for each activity and providing opportunity to share ideas, give feedback and help shape future actions with aim to:
- Improve beneficiary understanding regarding who is responsible for what.
- Provide mechanisms for improving communication between partners (local authorities, beneficiaries, enterprises, Medair)
- Provide mechanisms for ensuring those responsible can be held accountable.

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	Health: Medical Coordinator undertakes some FGDs with beneficiaries; regular meetings with Village Health Committee used to adjust activities; adaption of a health assessment form to give more reliable answers and ask randomly selected persons in the market (not just those attending clinics) to participate; all health logframes include indicators on beneficiary satisfaction; workshops held on FGD techniques for NRS; BA now in NRS job descriptions *Watsar*: FGDs conducted to ascertain gaps in water & sanitation supply; used to inform further work required **Sudan Southern States (SDS)** • In 2008 Medair SDS static health programme carried out an internal Building Institutional Sustainability After Conflict (BISAC) assessment. It is now planning a beneficiary BISAC assessment as a means of receiving constructive feedback on its programme activities. Use of FGDs has also been explored. **Uganda (UGA)** BA a specific cross-cutting theme in country strategy; Briefing for new staff on BA & Good Enough Guide *Pader WASH & Psychosocial teams*: • Quarterly Household WASH Survey completed in March, June & October 2008. The final reports of survey were sent to sub-county chiefs, a summary announced on noticeboards, and sent to managers/ Country Director (CD) • 6 monthly beneficiary satisfaction surveys were completed in September 2008, reports went to the community, district, Medair Managers, and the CD. • Beneficiary newsletter with monthly summary of	**Sudan Southern States (SDS)** As focal point for BA, the newly-appointed Quality Assurance Officer will: • Conduct SWOT analysis on BA in SDS • Use SWOT results to pilot & develop context-specific tools that ensure higher levels of BA • Promote greater corporate awareness of Medair's accountability **Uganda (UGA)** *Pader team*: • Medair Health Support Team staff will conduct a beneficiary satisfaction survey re health unit services with 10-20 patients on monthly visits • Give Health Centre staff opportunity to feedback through an anonymous questionnaire in Luo, distributed by HST staff on monthly visits • Give Village Health Teams (VHTs) an opportunity to feedback every 6 weeks, in Luo • Every 6 weeks, Medair VHT interviews villagers on satisfaction with VHT services in the area. Give training on interview techniques

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	health, WASH & psychosocial activities translated into Luo, sent to all parishes and put up on notice boards. *Kaabong team:* • Dedicated Research Officer (RO) employed August to start working on BA • New beneficiary satisfaction questionnaire developed • 3 day Disaster Risk Reduction (DRR) workshops held with community, as part of the ECHO-funded project, that ensured a high level of participation from beneficiaries in determining needs & shaping how Medair responds with specific Cash for Work projects • Training session held with Kaabong staff on BA *Abim Health team:* • External Evaluation health project in October 2008, included household surveys to gather beneficiaries' feedback • Planning for implementation of a ECHO-funded health project included meetings in January 2008 with Health Unit Management Committee, Local Councilors, GISO, Health Centre staff, Village Health Team Peer Supervisors - to inform about changes in project approach and to involve in project planning	• Medair to conduct regular meetings with district staff at sub-county level, to give local authorities the opportunity to hold Medair accountable for activities implemented • Send monthly newsletter to key people in District & sub-county. • Monthly beneficiary newsletter to be compiled by Health Manager, translated into Luo, distributed to district officials and posted on 16 Medair notice boards. • Hold quarterly meetings between Medair Managers & sub-country authorities where Medair gives account of the health programme • Final Quarterly WASH & beneficiary satisfaction survey was completed in February 2009 *Kaabong team:* Upward – feedback mechanisms • Revised baseline household survey in February 2009 • Pilot a beneficiary satisfaction survey in urban areas to assess hygiene programme & in rural areas to evaluate DRR programme Downward – communication plan • Community meetings; initiate and follow up meetings for DRR, PAC, CATF • District officials; CAO, RDC, LC5, sub-country chiefs & elders receive monthly activity report. • Notice boards and posters

Case Study Example: Good practice in humanitarian accountability and quality management – Summary version

Construction of *Pustu* (clinics), Nias Island, Indonesia
During April 2008, Medair Indonesia implemented signboards in 5 villages on Nias Island, and in 5 more villages in May. Each signboard contained information on: Medair in general, Medair Nias and Medair's work in the village (with some pictures). Each signboard also had a drop-box, with an explanation and forms that beneficiaries could fill in with their suggestions. The drop-boxes were used in the first five villages until 16 June, and in the second five until 14 July. The last four signboards were scheduled to be raised on 1 July, with drop-boxes used until 9 September.

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Every week, beneficiaries' suggestion letters were collected from the drop-boxes; by May, 30 suggestions had been received concerning the following topics: Watsan (5), Watsan/ Construction (2), Watsan Health (2), Non-Medair (4), Health (2), Construction (7), Communications, Thank you notes (3). Each suggestion was responded to with a letter, which the Village Development Council gave to the beneficiaries with a copy of the form they put in the drop-box.

Involvement of Village Development Council (VDC): Before implementing the signboards, Medair informed the VDC about them, and asked them to promote the drop-box. Signboards are always implemented with someone from the VDC, so that they can be explained again to them. If after four weeks no or only a few suggestions had been received (< 5 letters), Medair promoted the drop-box once more. In collaboration with the VDC, a plan was made for the new promotion, such as a meeting with beneficiaries in a church.

Archive: All original beneficiaries' letters were put in a binder, organized by village, with a number corresponding with an excel sheet (in English), which gives an overall view of the BAP programme in a timeframe and a short translation of the letters of beneficiaries. Medair's answering letters are in Bahaisa Indonesia and are archived on the BAP manager's computer. Any promises are documented in the excel sheet. Photographs were taken of every signboard site, which were filed on the BAP manager's computer in village folders.

Sample Letter: *'Based on what we had seen in the project site of Pustu construction, all of woods and timbers that provided by contractor for construction are bad quality. Those timbers are not strong enough and they can get rotten within a short time. Therefore we would like Medair to follow and to recheck as soon as possible before they will install those timbers.'*

Plans with regard to: undertaking a baseline analysis, a certification audit, or mid term certification review

N/A

Progress in / highlights from the field (if not otherwise covered above) / challenges

- SDS appointed an IRS as Quality Assurance Officer at the end of 2008 whose responsibilities include BA. AFG is appointing an IRS with similar responsibilities in 2009. All other Medair country programmes have staff tasked with BA except the new programme in Somalia, where Medair is working through a respected local partner.
- A key challenge being faced in some Medair country programmes is the development of manageable ways to respond to feedback from tens of thousands of beneficiaries using limited staff capacity on the ground. This issue will be explored during 2009.

Summary / Other comments

Medair continues to make steady progress with beneficiary accountability. 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 within the operations department and close to programmes. Progress has been made with mainstreaming BA both in the country programmes and at every level of the organisation.

13. MERCY Malaysia

Introductory comments: MERCY Malaysia is a non-profit organisation established in 1999 to provide medical relief and sustainable health related development for vulnerable communities. It officially changed its registered name from Malaysian Medical Relief Society to MERCY Malaysia effective from 4 November 2008, together with a new logo and a new address for its head office in Kuala Lumpur, Malaysia.

The organisation is a member of the International Council of Voluntary Agencies (ICVA) and the Asian Disaster Reduction & Response Network (ADRRN). It is an NGO with Special Consultative Status with the United Nations Economic and Social Council (ECOSOC) and is an implementing partner with UNFPA and UNHCR.

Realising the importance of disaster preparedness and risk management in addressing the climate change challenges, the organisation officially set up a Disaster Risk Reduction (DRR) Department in the early 2008 as part of its main humanitarian activities.

During the year, MERCY Malaysia provided humanitarian assistance in Afghanistan, Bangladesh, Cambodia, China, India, Indonesia, India, Malaysia, Myanmar, Sudan and Yemen.

Key goal for 2008	Achievements / challenges / lessons learned	2009 objectives
1. A humanitarian quality management system (Principles 1, 2, 5 & 7)		
To continue developing the remaining key policies and procedures identified in 2007/2008 HQMS workplan, covering all departments in the Organisations (with exception of DRR department).	• The Constitution and HAF were reviewed during the year to accommodate recent developments in the Organisation, including the inclusion of Principles of Partnerships as an additional commitment in HAF. • Lack of dedicated human resource to be involved in documenting policies and procedures remained as one of the main challenge. • Delay in full implementation also contributed to new key staff having to spend a substantial time to be updated with relevant institutional knowledge already existed within the organisation.	To bring the development of HQMS back on track.
2. Information, Communication, Transparency (Principle 3)		
Internal advocacy to promote understanding within the organisation, through information sharing and trainings, leading to better implementation of Principle 3 in the field.	• Completed a workshop with professional consultants to finalise the revision of stakeholders' engagement matrix, which will be streamlined into operational activities.	• Develop a communication strategy (based on stakeholders' engagement matrix) to deliver on wider and effective information sharing across different stakeholders.

13. MERCY Malaysia		
	• The refreshers' other objective was to ensure common understanding of the meanings stated under this (different staff may have different interpretation on compliance). • Recruited a Webmaster dedicated to improving online information sharing. • Difficulty to track new developments/ improvements on the field, partly due to the nature of short-term projects (i.e. emergency response) and lack of comprehensive reporting.	• To improve compliance on information sharing on the field based on revised standard checklist.
3. Participation and Informed Consent (Principles 3 & 4)		
Increase awareness of staff and volunteers regarding the current accountability requirements and processes (through sharing of existing documented policies and procedure) aimed at encouraging better information sharing with identified stakeholders and increased beneficiaries participation.	• Held refresher sessions throughout the year on the Benchmarks in order to start the "thinking process" for key staff to better share information and communicate transparently in the field. • Mapped out details for information sharing with different stakeholders of the organisation (stakeholders' engagement matrix). • Actively advocating beneficiaries accountability with potential partners (via ADRRN network), leading to several member organisations interest to sign up as HAP member and subsequently request information on baseline analysis. • However, due to lack of documented guidelines, field staff came up with different interpretation for implementation.	To set up systematic monitoring on the efforts made to improve beneficiaries' participation and actively seeking the informed consent of those involved, which will provide valuable source of information to improve the existing processes.
4. Staff Competencies		
Sharing of accountability commitments with employees and volunteers, and revision of handbooks and new training suites	• Engaged with a professional Human Resource consultant to identify gaps in staff competencies and rewards. • Held a meeting with all state chapters in Malaysia informing them of latest developments	Finalise the Employee Handbook, Volunteer Handbook, yearly training strategy, incorporating key accountability commitments of the organisation.

13. MERCY Malaysia

5. Complaints and Response Mechanisms (Principle 6)

Pilot tested a complaint handling mechanism (CHM) at a selected programme in Malaysia, of which main findings from this exercise serves as input to fine tune the CHM framework	• Engaged with the consultant to developed policies and procedures for CHM. However, it was revised to a generic framework for guideline purpose, thus allowing field findings to be easily incorporated into a workable CHM on the field. • Secured grant to develop a CHM into the Organisation IT system, which is now being developed by an IT Consultant • Staff buy-in into the value of CHM remains a challenge. The pressure to deliver surpass genuine appreciation of CHM.	• To finalise the CHM framework and streamline the requirements into project proposal and the subsequent implementation checklist. • To revise HR procedures in order to facilitate effective staff grievances policy. • Major projects will include at least one survey with identified stakeholder(s) for feedback on aid/service provided by the organisation or its partners.

6. Continuous Improvement (Principles 5 & 7)

Set up a functional M&E unit to track compliance, carry out evaluation on the quality of humanitarian projects and coordinate lessons learnt across the organisation – via training, revision of documents, etc.	• The setting up of the M&E during the year was hindered by lack of suitable candidates to fill up the new vacancy. Management dilemma – internal recruitment vs. external recruitment	• Set up a functional M&E department within the first half of 2009, so lessons learnt for continuous improvement can be captured more efficiently. • Active engagement with HAP in Myanmar

Plans with regard to: undertaking a baseline analysis, a certification audit, or mid term certification review

- A workshop aimed at setting up (measureable and achievable) indicators for accountability commitments made, involving all departments in the organisation has been planned in the first half of 2009.
- A mid term audit is due in May 2009.
- High priority will be given to implement the recommendations made by the Certification Auditors.

Summary / Other comments

Involvement of key staff remained the major factor in achieving the set goals. In addition to busy operational schedule, staff turnover (of key personnel) resulted in undocumented good practices. New staff require time to get on board with existing organisation practices and procedures, so they can pick up from where the previous staff left off. Some of the processes risk being lost when the key staff resigned.

14. Muslim Aid

Introductory comments: Muslim Aid joined HAP in early 2008 at a time when it was seeking to improve accountability and good practices in the overall management function of the organisation. As a pilot, we have taken two country programmes (Bangladesh and Indonesia) to look at and test compliance to the HAP Standard. Muslim Aid also joined People In Aid at the same time. Our membership of HAP and People In Aid has reinforced our commitment to establishing good practices. Placing beneficiary accountability at the heart of the organisation's mode of operation is reinforced by the corporate vision

Muslim Aid global operation is of diverse nature. Some country offices have a fairly matured programme while others are new and developing; we are also working through partners in various countries. As we learn and grow, practical tools and good practices of accountability to stakeholders are being understood, acknowledged and put into practice across the organisation in a consistent way. Piloting the programmes in Bangladesh and Indonesia with respect to implementing accountability work plans for the year 2008/2009 is providing evidence of good practice that will be used as part of our cross learning to other programmes. Muslim Aid's increasing experience in the implementation of institutional donor funded projects is also bringing together institutional learning in relation to good accountability practices.

HAP's baseline analysis of Muslim Aid's HQ was completed towards the end of 2008. The Indonesia country team has just conducted a field level baseline analysis and the report is being compiled.

During the past year, Muslim Aid has made progress in understanding and promoting better accountability as well as aligning with the HAP Standard across the two pilot country programmes while streamlining head office based functions in different departments. The Muslim Aid Bangladesh office with the help of the HAP Roving Team progressed in promoting accountability to all stakeholders with particular reference to disaster survivors throughout the emergency phase and recovery interventions of Cyclone Sidr. Cross programme learning is taking place and efforts will be made to expand and diversify our commitment by rolling out initiatives to all programmes. The major challenge is to find time and resources to offer training and skills to all major parts of the organisation as well as to support the partners who are delivering our operations without having regular monitoring and supervisions.

Key goal for 2008	Achievements / challenges / lessons learned	2009 objectives
1. Institutional Commitment (Principles 1, 2 & 7)		
• Ensure inclusion of Accountability Principles into Muslim Aid's programme, design and implementation. • Preparation of baseline analysis in the Head Office. • Start the development and rolling out of the accountability framework in two country programmes (Bangladesh and Indonesia) as pilot. • Increase understanding of beneficiary accountability.	• Baseline analysis at HQ; recommendations are being implemented. Work started to prepare and roll out comprehensive accountability framework and drafting complaints handling procedure. The website was reorganised to demonstrate the commitment of Muslim Aid as per recommendations of baseline report. • Bangladesh Field Office produced a Humanitarian Accountability and Quality Management status report with the support of HAP to capture our work in response to Cyclone Sidr. Staff were trained on complaints handling procedure.	• Finalise accountability framework and ensure HAP Standard is incorporated into Muslim Aid operation in 4 countries: Bangladesh, Indonesia, Pakistan, and Sri Lanka. • Establish organisation-wide complaints handling procedures. • Update AWP incorporating the findings of baseline analysis and findings

14. Muslim Aid

	• All early recovery and rehabilitation programmes were designed and implemented involving disaster survivors in a systematic way in all stages of management the response operation in Bangladesh. The capacity of the team has increased significantly in feedback, complaints handling and establishing rapport with the communities. • At the project design and formulation stage, Muslim Aid team/staff consult beneficiaries and keep them involved even during the project implementation stages. In Indonesia, for the UNDP Civil Society Organisations (CSOs), UNICEF wells drilling project, UNDP Aceh Justice Project (AJP) Legal Awareness Raising Campaign (LARC) project, ADB housing project, Multi Donor Fund (MDF)/ World Bank flood mitigation project, the beneficiaries are duly consulted regarding the project objectives. • Beneficiaries' feedback and lessons learnt are being recorded in periodic progress reports. For institutional donor-funded projects, respective requirements are followed. • In Indonesia, staff have been introduced to the HAP Standard. Two ½ day sessions were held, for developing their understanding on HAP framework, and how to implement it.	

2. Accountability in humanitarian action (Principles 3,4,6 & 7)

• Two Pilot Country programmes develop appropriate and relevant feedback systems. • Incorporate Accountability Principles into emergency programme management training for emergency workers.	• In Bangladesh, the beneficiary accountability and feedback system has been developed and tried through large-scale emergency response and recovery interventions by introducing methodologies of involving disaster survivors and beneficiaries in design and implementation.	• Complaints handling system and feedback mechanism will be formally introduced in four countries. • Document lessons learnt and good practice from Bangladesh and Indonesia.

14. Muslim Aid		
• Incorporate beneficiary accountability into project management process of both development and emergency project management. • Enhance field level understanding and practice of beneficiary accountability issues. • Beneficiary accountability included in strategic planning at country level.	• In Indonesia, some structured forms for the donor-funded projects were developed to ask beneficiaries for their comments and suggestions for improvements. • Staff in Indonesia, Pakistan and Bangladesh received training on accountability in 2008. • A PSC (Project Steering Committee) was set up for the UNDP AJP LARC project, to overlook the process, specifically in relation to accountability towards beneficiaries. For UNDP CSO projects, a Technical Working Group (TWG) was formulated to assess the CSOs, and consider their comments/ feedback or clarifications on their funding proposals. This has been incorporated and introduced in the UNDP AJP LARC project.	• The focus for 2009 will be to institutionalise the beneficiary feedback system throughout the project cycles of all projects that Muslim Aid implements in the four countries.
3. Monitoring and Evaluation (Principle 5)		
• Incorporate accountability in ongoing monitoring, evaluation and learning issues. • Improve compliance with the HAP Standard.	• Ongoing monitoring and the other documentation of project progress emphasise evidence of accountability. • Through M&E, accountability issues are captured in Indonesia for donor-funded projects, but no specific budget allocation is made for this purpose. • The donor funded reporting formats are specifically designed for the projects, but in future, the implementing teams will highlight these areas in lessons learnt or in separate sections.	• TOR for Monitoring & Evaluation of field operations will include HAP Principles. • The project cycle management would particularly look at accountability to various stakeholders and monitoring & evaluation targets to seek the opinion and feedback of beneficiaries.
4. Addressing Complaints (Principle 6)		
• Models developed for implementing complaints handling procedures in the field. • Improved field based complaints handling procedures.	• In the Cyclone Sidr response, comprehensive complaint handling systems were tried. The evidence of detailed records and documentation were analysed.	• A comprehensive complaint handling system will be developed and rolled out in all four pilot countries and reports will be shared with all programmes.

14. Muslim Aid

	• In Indonesia, for the ADB housing project, complaint handling procedures were available; for UNDP AJP LARC project, details on how the beneficiary complaints are handled are also incorporated in the M&E Framework.
	• Each of the four countries will have one focal point to create awareness and learning regarding the complaints handling training.

Plans with regard to: undertaking a baseline analysis, a certification audit, or mid term certification review

Baseline analysis undertaken in 2008

15. OFADEC

Introductory comments: During 2008, OFADEC continued implementing the Accountability Principles in the refugee programmes in Senegal; the focus was on improving the participation of beneficiaries in the design, implementation and evaluation of projects, and offering them the possibility to express complaints and preoccupations as well as ask for reparation.

Key goal for 2008	Achievements / challenges / lessons learned	2009 objectives
1. Institutional Commitment (Principles 1, 2 & 7)		
Demonstrate the commitment to respect and foster humanitarian standards and rights of beneficiaries	• A forum on the rights and duties of refugees held on March 2008 with participation of refugees, UNHCR and OFADEC. • Meeting in the refugee camps to share HAP and information about the "collecting, suggestions, demands and objections mechanism" (SINFOR) • The declaration of intent and tools of accountability (NGO Red Cross Code of conduct, UNHCR code of conduct) • New employees have signed the commitment to respect the content of the two codes of conduct • Many sessions on sexual harassment were held for refugees between 17 November and 13 December *Challenge*: To strengthen the commitment of OFADEC's staff and partners alike to demonstrate their compliance with the HAP Standard	• To strengthen staff knowledge in prevention and investigation of sexual exploitation and abuse • Meeting with refugees in the camps in Matam and Bakel to present SINFOR and HAP documents. • Session on Red Cross Code of Conduct with staff and representatives of refugees

15. OFADEC

2. Accountability in humanitarian action (Principles 3,4,6 & 7)

Beneficiaries will be informed and consulted about decisions that affect them	• Meetings were held every three months with representatives of refugees to focus on programme activities. • SINFOR was established and circulated in the refugee camps. • An analysis unit, which includes a refugee focal person was established to take charge of checking, categorising and making recommendations about complaints in the valley. • A number of complaint boxes were made available in the camps. *Challenge*: The valley is a large area that covers more than 200 refugee camps and an effective rollout/dissemination strategy is needed	• To circulate within the refugee communities in the valley all documents on the complaint system (SINFOR) • To provide training to refugee representatives and staff members on how to treat complaints. • To make available channels for raising complaints in the refugee camps where none currently exist. • To disseminate the SINFOR within the camps

3. Monitoring and Evaluation (Principle 5)

To measure progress in the implementation of Accountability Principles	During 2008, two evaluations were undertaken: an evaluation of Accountability Principles by beneficiaries and staff in June, and a staff evaluation in December	• Evaluation of accountability principles in June 2009 • Evaluation of staff in December 2009

4. Addressing Complaints (Principle 6)

Beneficiaries and personnel of OFADEC can complain freely, express their preoccupations and obtain reparation in safety	• Eleven (11) complaints have been received and handled in the valley according to SINFOR. • In Dakar, one complaint from students about the scholarship scheme has been received and responded to with the satisfaction of those involved. *Challenge*: To strengthen capacities of staff in the investigation of complaints	To improve the application of SINFOR within the refugee camps.

Case Study Example: Good practice in humanitarian accountability and quality management – Summary version

Opening ourselves to scrutiny
In May 2008, students sent a complaint to UNHCR concerned that they had not received their full support, suggesting that OFADEC may be responsible for taking it. They demanded payment for the period October to December 2007, as they believed they were eligible for it.

15. OFADEC

When UNHCR received the complaint, a number of meetings were held with the refugee students, OFADEC and UNHCR to discuss the students' case. During the meetings, OFADEC provided an explanation and informed the committee that the students had received all the payments and, in fact, no payment was missed. It became clear that the confusion was based on a change within the funding cycle. As the scholarships were paid according to the calendar year and the payments were made according to the school year (from October to September) the students were not clear on which months would be funded and which months were not. Once the change was explained to them, most of students understood and agreed that OFADEC had not mishandled their scholarship funds. However, some students continued to disagree with the explanation and continued to argue their point.

At this stage, OFADEC suggested that the students form an investigatory committee to verify all the information presented over the course of the meetings and furthermore, that the committee would be welcome to examine the related records to attest that indeed each student had received their full 12-month support. Five students were selected to form a student committee and over the course of four days, working with OFADEC's accountant, the committee met at the OFADEC offices and checked all the records from 2004 to 2008. The student committee tracked the records of every student in receipt of support for the period, looking through all financial records including every payment made, received and utilised; each cheque, and bank transfer was examined.

At the end of the examination, the students verified and held a debriefing with OFADEC and UNHCR, where they presented their findings and acknowledged that all recipients received the five payments required over the course of each year. During the debriefing, the student committee also made two recommendations as to how OFADEC might better organise the payments. As a result of the committee's report, OFADEC prepared a file of each student with the following documents: cheque numbers, a tally of payments made, payments received, signatures on the corresponding voucher, and payment dates. As UNHCR was considered an independent third party OFADEC provided these documents to them as a form of verification. UNHCR followed up by inviting four students to their office in order to review their files, and all acknowledged that they received their complete payments between 2004 and 2008. During this meeting, the students recognised that no fraud had taken place.

Finally, to help ensure that similar misunderstandings do not occur in the future, OFADEC announced to all their refugee students that they are welcome to review their own cases and report any fault if they found there to be one.

Plans with regard to: undertaking a baseline analysis, a certification audit, or mid term certification review

A mid-term monitoring audit was planned to take place in January 2009.

Progress in / highlights from the field (if not otherwise covered above)

During 2009, the key is to improve the humanitarian accountability framework:
- To strengthen refugees knowledge of the SINFOR and their rights to complain
- To strengthen staff and refugee knowledge of the UNHCR and NGO Red Cross Code of Conduct

16. Oxfam GB

Introductory comments: Some significant progress was made in 2008, with good practice identified and shared across the programme, an encouraging uptake of a matrix for mapping and planning, and Real Time Evaluations beginning to result in action plans with follow-up. Fundamental questions still exist: does Oxfam GB undertake more of the same or different approaches? Commitment appears to be there, but how much is it actually in practice? How to demonstrate the value of accountable ways of working?

Some exciting external commitments have continued, gathering and using increasing knowledge. Staff focused on humanitarian accountability will be integrated into a new team, focusing on overall improvement in the quality and impact of Oxfam GB's (OGB) programme, with increased accountability to people and communities a major aspect. This team will work across all (not just humanitarian) aspects of OGB's programme work.

Key goal for 2008	Achievements / challenges / lessons learned	2009 objectives
1. Institutional Commitment (Principles 1, 2 & 7)		
a. Accountability Report Update Published b. Complete Peer Review with SCHR agencies—work towards implementing recommendations c. Writing, disseminating and putting into practice an Open Information Policy, Complaints Policy (and guidelines), Partnership Policy and Evaluations Policy d. A working definition for the whole organisation exists and is beginning to be shared across divisions, regions and country teams.	a. Done. It is challenging having different parts contributing to different agendas—improvement still needed in joining-up internally. b. Almost complete, report pending. Our peers see institutional commitment at a number of levels and in the field. Initial challenges to OGB will be to develop more concerted leadership and messaging that accountability to communities is valued, and will be recognised and rewarded c. All written and disseminated. Ongoing work to ensure their value is understood and applied in day-to-day work. d. Achieved.	a. A different approach will be adopted next year, more integrated and possibly beginning to use GRI indicators. The accountability report needs to become central to our reporting. b. Recommendations due in April, to be discussed and decisions made which to adopt. Implementation of this. c. Further dissemination in their own right through concerted work by a large 'accountability group' and integration into support work of OGB's programme accountability. d. Further dissemination of the definition as part of mapping and support work of OGB's programme accountability.
2. Accountability in humanitarian action (Principles 3,4,6 & 7)		
a. 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. b. One country per region is working to improve	a. A matrix exists that clearly states what accountability to communities and individuals looks like to Oxfam. This is used as a baseline-mapping tool for action planning by countries. A tool kit to support the matrix, using OGB and others' experience to date exists and is beginning to be used by country programmes—across the	a. A more concerted engagement is needed within regional and country teams. Humanitarian Support Personnel and Humanitarian Advisory and Desk staff will be utilised to achieve this. b. Further work on the remaining region and closer, more concerted support given to

16. Oxfam GB

four dimensions of programme accountability: information sharing; participation; learning and evaluation and feedback mechanisms, i.e. working to the matrix c. All training workshops and field trips carried out to improve the accountability of OGB programmes include relevant partner organisations. d. Countries who 'get' accountability are working in innovative ways that lead to greater practical understanding and results. This knowledge is gathered and shared internally and externally.	programme and not solely in humanitarian responses. Adoption is slower than would have been hoped. b. More or less on track – one region still to nominate a country that is willing and able to take this on. c. This has been the case to date and works well. The multiple 'types' of partnerships we engage in and the impossibility of a 'one size fits all' approach remain taxing but interesting. d. This is only ongoing in one country/region so needs more effort and attention.	those already implementing. Lessons and learning to be shared. c. Partners to continue to be invited to all training and support events. Continued analysis of how OGB and partnership and accountability to beneficiary communities interact. d. More concerted effort to be made on this during 2009.

3. Monitoring and Evaluation (Principle 5)

a. All RTEs include evaluations of programme accountability. Lessons learned from RTEs followed up with those responsible b. Practical guidance on how to include authentic beneficiary voices in monitoring and evaluation activities is produced. c. Further work with development programme staff to include beneficiary voices in monitoring activities in a systematic and effective way.	a. On track. Although 'accountability' as strictly defined by OGB is not a benchmark within the RTE format—beneficiary satisfaction and appropriateness are. Lessons are being summarised and used more widely, programme action plans exist as follow-up to RTEs. b. This is still ongoing—the One World Trust carried out specific research within our Horn/East/Central Africa region. Learning needs to be shared more widely. c. Ongoing—as above.	a. Increase liaison with those closely involved with M&E to increase profile of accountability to be included into RTEs. All countries that undergo an RTE will be obliged to write and adopt an action plan based on findings and recommendations. b. More learning from HECA and more learning from South Asia who are to employ a consultant to explore the idea of Lean Management Systems within an NGO context. c. By the end of 2009 guidelines will exist.

4. Addressing Complaints (Principle 6)

The majority of humanitarian programmes start to implement the complaints policy.	This has not yet taken off. Many programmes have ad hoc complaints procedures—some function very well. They follow, explicitly, the guidance available to ensure that the policy is enacted in a coherent and useful way across our humanitarian response.	50% of humanitarian programmes will be implementing an effective complaints mechanism by the end of 2009.

Case Study Example: Good practice in humanitarian accountability and quality management – Summary version

Extract from OI Case Study of Relief Project in Bao Yen, Vietnam.

16. Oxfam GB

This account of the Oxfam International Relief Project in Bao Yen seeks to highlight Oxfam's work on its four dimensions ("*transparency, participation, learning and evaluation, and feedback mechanisms*") and that increased accountability "*will be achieved and demonstrated through respectful and responsible attitudes, appropriate systems and strong leadership*".

Leadership is key

"*That's just my idea, you can change it.*"
(Humanitarian Project Coordinator's comment to national staff when discussing possible next steps for the project.)

The current Humanitarian Project Coordinator (HPC) in Vietnam has worked to reinforce the accountability of OI's humanitarian responses in the country since his arrival in 2002. Basic ideas on accountable ways of working have been included in internal trainings, and expectations as to the ways in which they should work are explained to staff during induction and at the start of any emergency response. Lessons have been learned by the HPC and OI staff over the years and relevant changes made in subsequent responses as a result.

The HPC is responsible for projects in 5 different areas of Vietnam and spends up to 60% of his time in the field. In meetings with Vietnamese counterparts, from national level government bodies to villagers receiving OI assistance, he demonstrates how to be accountable: providing very detailed and clear information as briefings and in response to questions; actively inviting questions and feedback; asking for opinions and input into shaping the next steps that OI will take; encouraging community members and government staff to take on different responsibilities regarding the implementation of OI's project; etc.

How the HPC is supported in his work by OI leadership was not explored during this visit but maybe internally the issue could be discussed:
- is the time the HPC spends in the field understood and valued, or is there pressure for him to spend more time in Hanoi?
- is OI committed to working accountably even if this means emergency responses take longer to start?

Plans with regard to: undertaking a baseline analysis, a certification audit, or mid term certification review

Oxfam GB has conducted an accountability survey and a self-assessment for the SCHR peer review process, and has been using its Programme Accountability Matrix to assess current levels of accountability both within the agency as a whole and within country programmes in particular. We plan to build on these initiatives over the course of the next year in order to have a basis upon which to plan the next three years of accountability work.

Summary / Other comments

OGB has established the organisational commitment and intent, and the tools to improve our programme/downwards accountability. 2009 will be a year that OGB concentrates on mapping, in detail, the size of the task ahead and planning for a concerted push at all levels of the organisation in 2010.

17. Save the Children UK

Introductory comments: In 2008 Save the Children has worked towards:

(a) strengthening understanding of accountability to beneficiaries in various levels of the agency;
(b) building national level capacity in accountability to beneficiaries in several of 2008 programmes as permitted by the external and internal context;
(c) integrating the concept of accountability to beneficiaries beyond humanitarian projects, to initiate a wider discussions across different departments of SCUK, as well as the Alliance through different agency-specific and interagency reviews, meetings;
(d) standardizing M&E especially for emergencies to enable meta analysis through evaluations and regular monitoring of outputs at a global level through regular monitoring and reporting of progress towards outputs.

This year has been remarkable for us, especially in relation to the Nargis response, where in a span of 10 months we achieved tangible results in building capacities, systems and experiences to ensure accountability to beneficiaries. We have tested and established different feedback mechanisms, and learned from our experiences by changing the programme focus to meet the needs of those affected by Nargis. We have made efforts to institutionalise learning from this experience, and have openly shared it with peer agencies.

In 2008, we participated in different reviews that have looked at practices and experiences in accountability to beneficiaries, such as the SCHR Peer Review with CARE and ICRC in Haiti and Ivory Cost, as well as at the headquarters of peer agencies. As a DEC member agency, we went through a DEC Accountability Assessment. Based on findings from these reviews, we are strengthening accountability to beneficiaries in our preparedness and capacity building work.

We have engaged the organisation, as well as other Save the Children Alliance Members in discussions on programme quality and accountability. We build upon our best practice and we recognise that there is more work to be done. We are entering the new year of 2009, prioritising on capacity building and streamlining accountability to our stakeholders in the way we work.

Key goal for 2008	Achievements / challenges / lessons learned	2009 objectives
1. Institutional Commitment (Principles 1, 2 & 7)		
Understand accountability within the existing structures, systems and procedures: • Produce a first draft of a public Humanitarian Accountability Framework (HAF) with input from Head Office Emergencies Section, policy teams and country offices. • Select a region for further review and capacity building. • build in-house capacity within Emergencies Section Advisers and selected region country programme/s and with partners for improving accountability and operationalise HAF	*Achievements:* • A policy discussion has been initiated, guided by a draft position paper outlining accountability to children. • We have used and tested the DEC accountability Framework in programme contexts together with the HAP standard to establish best practice. Our learning from Myanmar, Zimbabwe and other projects is being documented, and a formal review will analyse the learning component in 2009 April. • We have had multiple discussions on programme quality and accountability and have prioritized it as an area we are committed to improve in our strategy review.	• Extend discussions on humanitarian accountability across different Alliance members, especially through M&E harmonisation processes. • Produce a "good enough" draft of humanitarian accountability commitments in project management cycle; look for one opportunity to test it. • Prepare a plan of action in relation with further operationalisation of the Humanitarian Accountability Commitments.

17. Save the Children UK

• Conduct a mid-term review at least in 3 country programmes in the selected region for compliance with HAF.	• Several of our programmes have included accountability to beneficiaries as an evaluation question, which once ready will be shared with peer agencies through existing networks. *Challenges* • We have not been able to finalise the HAF, due to the fact that thorough analysis on the already existing framework/s is needed; we realised we should focus on aligning the existing frameworks, to identify gaps (if such exist) in relation to accountability to beneficiaries that will be informed by new content. • SC Alliance is going through a harmonisation process, and harmonising M&E systems will start in May 2009. Many discussions related to accountability to beneficiaries are to be held within the M&E working group, which will inform the direction of the HAF for SC. *Lessons learned:* SC Alliance accountability framework (created as a result of ECB I project) has successfully informed work on accountability to beneficiaries in Myanmar during the emergency response. Specific commitments were localised to be relevant to the context of Myanmar especially in relation to participation and information sharing.	• Collect various case studies on existing accountability practices to inform guidelines on accountability to beneficiaries in emergency contexts. • Prepare a final draft (included in the ESOP) guidelines for accountability to beneficiaries (applicable both to emergency and development contexts).

2. Accountability in humanitarian action (Principles 3,4,6 & 7)

Share SC ambition in increasing accountability across teams and initiatives: • Include Accountability Standards into Programme Management and Grant Management Emergency Operating Procedures (EOPs).	*Achievements:* • Content for different capacity building events has been enriched with sessions on accountability to beneficiaries. These are trainings attended not only by SCUK staff, but also by different Alliance members. They cover the HAP Standard, Sphere, Good Enough Guide (GEG), etc.	• Continue discussions across different teams in SCUK around accountability to beneficiaries. • Increase capacities in accountability and M&E through different capacity building opportunities.

17. Save the Children UK

• Preparedness workshops will have sections on accountability • Project evaluations will have an evaluation question that looks at accountability systems, practices and procedures. • The new emergency projects (managed through and by the Emergency Section in Save the Children UK) will set up complaints mechanisms from the very beginning together with an M&E system to monitor their effectiveness and implementation. • Partnership MoUs for Emergency programmes[31] signed during 2008 will include a section on following <u>mutually agreed</u> humanitarian standards within the project.	• We have standardized evaluation ToRs, where we request all emergency programme evaluations:" to measure the extent to which the response has been <u>accountable</u> to the local needs of children and their families". This has already been applied in at least 2 emergency responses: Myanmar and Swaziland. • We have established complaints mechanisms in Myanmar, continuously improved and changed them to meet the changing needs. Experience in Myanmar has been documented and will be used for further capacity building in other countries, including Zimbabwe in the nearest future. *Lessons learned:* Building capacity on accountability to beneficiaries at all levels helps to strengthen the quality of delivery, and is less frightening. When built in the culture of the organisation, with support from senior management teams, staff members find accountability to beneficiaries to be a fulfilling component of programme quality.	• Work towards bringing the focus on children in our work when developing different reviews, feedback reviews. • Work with our emergency programmes to ensure feedback mechanisms are used, and feedback is acted upon.

3. Monitoring and Evaluation (Principle 5)

Increase the extent of monitoring in programmes against accountability standards: • 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.	*Achievements:* • In the Myanmar response, accountability commitments were regularly measured through the existing M&E framework and systems. The M&E system was horizontally matched with the respective organisational chart where each management level took responsibility over a part of programme's M&E. Impact in the Myanmar context was "the way beneficiaries valued our interventions".	• Work towards enabling a global level regular monitoring of sector-specific outputs. Align existing information management mechanisms (like sitreps) with output tracking, that will also include feedback from beneficiaries. • Produce first drafts of guidelines on enabling accountability to children in first phase of emergency response. • Work towards testing the MS-IRA[32] in different contexts and improving the

[31] Targeting emergency programmes managed by and through the Emergency Section
[32] MS-IRA – Multi-Sector Initial Rapid Assessment

17. Save the Children UK

Planned actions	Achievements / Lessons learned	Next steps
• Monitoring for accountability standards will be incorporated into partners' monitoring systems as well wherever possible.	• Output Tracker is the emergencies M&E tool we used in 2008 (DRC, Zimbabwe, Ethiopia, Myanmar, etc.) which has proven to be quite effective. This is a simple tool that helps us track programme progress against previous reporting period, against targets and baseline. • We have created a multi-sector initial rapid assessment (MS-IRA) tool, which requires application of participation mechanisms in the phase of initial rapid assessment. • We have started requesting our emergency programmes to encourage more child-led reviews. We have developed samples of "step-by-step" guidance to enable child-participatory evaluations of humanitarian response. *Lessons learned:* Including accountability in the agency-wide discussions around programme quality helps staff see it in integrity with all the other existing initiatives across the agency. We have benefited greatly having Effective Programmes team taking proactive role, including different parts of agency in work around accountability initiatives that raised the discussion on accountability beyond M&E teams.	accountability components coming from experience. • Produce guidance on child-participatory evaluations and reviews for humanitarian action. • Test a few approaches to integrate child-participatory M&E with general programme framework. • Start discussions on standardized M&E approach in emergencies across the Alliance.

4. Addressing Complaints (Principle 6)

Planned actions	Achievements	Next steps
Have a framework of complaints handing mechanism, incorporated into preparedness trainings and SOPs: • Draft a frame for a complaints handling mechanism to be localised by country programmes and projects as appropriate. • Preparedness and training schemes will include exercises to emphasise complaints handling systems • Internal review in the targeted region, as well	*Achievements:* • We have a framework for handling complaints, as well as existing experience in Myanmar where feedback from beneficiaries is informing strategic decisions and is used to monitor programme on impact level. Myanmar has provided SC with several tested tools for handling complaints and building local level capacity for complaints procedures. • Our preparedness trainings include sessions on complaints/feedback and information sharing, as	• Conduct several case studies in handling complaints and build organisational knowledge on the existing experience. • Develop tools for child-focused complaints procedures. • Promote feedback mechanisms in the 2009 programmes.

17. Save the Children UK

as project evaluations will look at the effectiveness of the complaints handling mechanisms	well as practical capacities on how to structure a feedback-based system, and how to resource it.

Challenges: Maintaining complaints handling mechanisms in fast-changing environments is quite difficult, without prior preparedness work. In Myanmar, we tested a few feedback mechanisms that failed because, by the time the mechanism was established, it became irrelevant.

Lessons learned: From the Myanmar experience we have learned that complaints procedures are difficult to set up in the first and initial phases of an emergency response. They require a stable environment and time to assure quality. We found that early response is a more relevant phase to put in place formal official feedback mechanisms, while informal methods of integrating feedback into daily work are key to ensure relevance of the response at early phases. |

Case Study Example: Good practice in humanitarian accountability and quality management – Summary version

A case study from Bangladesh (to be made available on the HAP website) provides a detailed description of steps and procedures that the Bangladesh programme teams put in place to ensure beneficiary participation in all phases of the programme. The programme developed the capacity of the community to engage, simultaneously putting in place systems that enable programme staff benefit from the feedback of beneficiaries in making the programme more accountable to their needs. The case study is a good example of innovation, and includes a few valuable lessons that were learned from this experience.

18. Sungi Development Foundation, Pakistan

Introductory comments: As a rights-based organisation, Sungi endeavours to make itself accountable to partner communities as well as donors and all those who support its programmes. Sungi acknowledges the fact that accountability is a key element for a humanitarian and development partnership, and the relationship between Sungi and partner community is such that they both share due responsibility and are accountable to each other. This had been integrated in Sungi's approach, which is based on the principles of participation and empowerment. Involvement of men and women in participatory planning and implementation processes is ensured and communities are empowered.

18. Sungi Development Foundation, Pakistan

Sungi became HAP Full Member in January 2008 and attended the 2008 HAP General Assembly. Since then, it developed its Humanitarian Accountability Framework and initiated steps to improve accountability in the organisation. This was based on Sungi's self-assessment, and efforts were made to improve existing systems and procedures. Sungi remained busy in implementing a number of rehabilitation and reconstruction projects, rights based development programmes and humanitarian assistance. Sungi developed staff understanding and capacity in HAP Principles, through in house training and training organized by the HAP office in Pakistan. Sungi remained fully engaged with the HAP Pakistan office, participated in a number of meetings and capacity-building events and received support in developing its HAF, workplan and matters related to certification. Sungi participated in the HAP Peer Support Group meeting in London.

Key goal for 2008	Achievements / challenges / lessons learned	2009 objectives
1. A humanitarian quality management system (Principles 1, 2, 5 & 7)		
• To prepare accountability framework and work plan • To improve Monitoring and Evaluation system in the organisation • To ensure accountability in the field operations • To orient staff and beneficiaries on humanitarian accountability Principles and the HAP Standard • To improve financial management and administrative procedures • To ensure implementation of accountability standards through implementing partners	• Humanitarian Accountability Framework (HAF) was developed involving Sungi key staff and beneficiaries. • Management Information System (MIS) was improved and made functional (detailed information of each beneficiary with name, father name, how many benefits s/he, is receiving from Sungi). The system has been successful in minimizing double counting and helped promote participatory M&E practices. • 22 accountability forums were organised at union council level. Quality Management Committees (HQMCs) were formed involving beneficiaries. • HQMCs were briefed about the relief package, Sphere standards and basic humanitarian. • Financial management has been instrumental for accountability. Procurement procedures were decentralised at district level. • Internal audit methodology was reviewed and audit plan was developed and implemented.	• Achieve HAP certification and make continual improvements in the humanitarian quality management system
2. Information, Communication, Transparency (Principle 3)		
• Develop network of disaster committee and volunteers • Organise disaster management forums	• Sungi trained members of disaster management committees in 33 UCs and developed a network of volunteers in each UC and at district level.	• An information sharing and communication mechanism to be developed for beneficiaries and DMC committee

18. Sungi Development Foundation, Pakistan

• Ensure information sharing with all stakeholders	• Established humanitarian information centre with support of district government in Mansehra. Sungi's annual progress report, newsletter, and relief assistance reports were shared with stakeholders. Information on relief assistance and other activities is regularly updated on the website. Progress and audit reports were shared with partners.	• To organise district level disaster management forums • Improve Sungi website and ensure regular updating and information sharing through this media • To establish disaster information centre in other districts

3. Participation and Informed Consent (Principles 3 & 4)

To ensure involvement of beneficiaries in planning, implementation, monitoring and evaluation of programmes	• Strengthened men and women Village Committees (VCs) having representation from all socio economic and political segments. All rehabilitation, reconstruction, development and advocacy initiatives were carried out through VCs. • 9 participatory Area Development Plans and 132 Village Development Plans were formulated by the earthquake affected men and women for rehabilitation and reconstruction of their villages and UCs.	• Strengthen DMCs • Improve Sungi's Disaster management manual

4. Staff Competencies

To enhance capacity of Sungi staff in humanitarian principles and accountability	• 5 HAP sessions conducted to orient programme coordinators and field teams; 95 field staff made aware of the humanitarian accountability framework and humanitarian quality management system, its relevance and importance. • Staff performance appraisals were conducted along with training need assessment of their competencies. Two staff members received training organized by HAP office in Islamabad.	• Capacity building of project staff on HAP • Staff training on Complaint handling

5. Complaints and Response Mechanisms (Principle 6)

To develop and strengthen complaint mechanism in the organisation and for beneficiaries	• Established complaint-handling procedures and encouraged community to use them; a response is offered within 15 days. • Sungi received the about 300 complaints from	Develop and implement accessible and safe complaints handling procedures for target beneficiaries, other disaster affected communities and staff

18. Sungi Development Foundation, Pakistan

	communities. Banners were displayed on which details of relief packages to be distributed in each IDP community (UC) were given. Address of Sungi's office was given to forward any complaints.	

6. Continuous Improvement (Principles 5 & 7)

To involve stakeholders in monitoring compliance of HAP principles and bench marks	• 235 project committees were established with the purpose of continuous monitoring. • Monthly /quarterly and annual reviews were established, to include HAP compliance review. • Partners Assembly is a mega event of Sungi, in which more than 900 people participated this year to evaluate Sungi's programmes and suggest future recommendations for strategic directions and field operations.	Involve beneficiaries in progress and HAP compliance review process

Case Study Example: Good practice in humanitarian accountability and quality management – Summary version

Under the Sustainable Livelihood Project in Abbottabad, assets were distributed among poor people affected by earthquake to improve their livelihoods. As part of the accountability and complaint mechanism, the accountability committees were informed about the packages different beneficiaries had to receive. One of the Community Facilitator (temporary field worker of Sungi) did not provide complete package to some households. The community sent a quick complaint to Sungi management; Sungi devised an enquiry team, and quickly identified that the person responsible was guilty. The assets were recovered from the perpetrator and closed their contract.

In the same project, the vendor provided quality feed bags initially, but he started adding poor quality feed in the supply, which was directly delivered in the field. The accountability committees found that the feedbags were of very low quality, and they informed Sungi. Sungi made swift response to this complaint. On inspection by technical experts, it was found that the complaint was valid. Sungi cancelled the contract and withheld the security deposit.

Sungi's Micro Finance and Empowerment Programme (MFWE) has designed and instituted a complaint handling mechanism to know the issues that beneficiaries of this programme may face. A complaint and performance evaluation form has been designed. Each beneficiary of this programme is provided with this form. All beneficiaries are informed to fill in this form in case of any complaint and send it directly to the senior management, through a pre-paid self-addressed envelop. This mechanism helped to improve our programme and to ensure accountability. On the beneficiaries end, this mechanism has brought satisfaction and has guaranteed the direct and closer interaction with senior management. During the year, 50 complaints were received through this process.

Plans with regard to: undertaking a baseline analysis, a certification audit, or mid term certification review

Sungi had applied for HAP certification; HAP baseline analysis is scheduled in May 2009 and a certification audit is expected before the end of 2009.

18. Sungi Development Foundation, Pakistan

Summary / Other comments

Challenges

- Influencing government line agencies and other stakeholders to be accountable to the beneficiaries is relatively difficult, however assertive communities could play a critical role. Regular accountability forums could play a major role in this regard.
- A workable complaint mechanism for emergencies in the new working areas is relatively difficult.

Lesson learned

- By promoting and practicing accountability, credibility of the organisation improved among stakeholders, particularly beneficiaries
- By instituting accountability mechanisms, we reduced the misuse of resources
- By conducting regular accountability forums and meetings, we increased the coordination among stakeholders and humanitarian agencies

19. Tearfund UK

Introductory comments: Tearfund continued to pursue Beneficiary Accountability as a corporate priority through 2008. Following on from the baseline analysis carried out in 2007, the head office certification audit was undertaken in March 2008 and field audit in June 2008. Certification was awarded for Tearfund's emergency responses on 18 June 2008.

Key goal for 2008	Achievements / challenges / lessons learned	2009 objectives
1. A humanitarian quality management system (*Principles 1, 2, 5 & 7*)		
Integrate Tearfund's Quality Standards, which represents Tearfund's Humanitarian Accountability Framework (HAF), into policy and practice	• A summary version of the Quality Standards was placed on the Tearfund website and posters were printed for use in the field. • Disaster Response decision making procedures were updated to include Beneficiary Accountability commitments and Project Approval procedures for operational programmes updated to include a review of project design in relation to the Quality Standards.	• Publish Tearfund's learning on outworking our Beneficiary Accountability commitments in a range of emergency programmes. • Produce a field guide for project staff and partners explaining the practical outworking of the Quality Standards and the ways they relate with international codes and standards: Sphere, Red Cross Code, HAP Standard etc.
2. Information, Communication, Transparency (*Principle 3*)		
• Standardise the information to be made publicly available across operational programmes	• Template of standard information was updated and distributed to operational programmes, with guidance on contextualisation and exoneration.	• Further develop standard information that provides appropriate and accessible information for communities, including vulnerable groups.

19. Tearfund UK

	• Lessons learnt included the need to ensure information is available in appropriate languages and with use of diagrams and pictures, and ensuring information reaches the most vulnerable groups.	

3. Participation and Informed Consent (Principles 3 & 4)

• Standardise the approaches to participation and informed consent across Tearfund operational programmes	• Developed guidance for staff on approaches to participation from assessment phase through to project completion. • Lessons learnt included the need to address the participation of particular vulnerable groups.	• Finalise the field guide on the Quality Standards, to include practical guidance on participation. • Finalise DM Project Evaluation ToRs to include review of levels of participation and beneficiary satisfaction.

4. Staff Competencies

• Raise general awareness and update standard briefing and induction materials for staff regarding Tearfund's quality and accountability commitments	• Lessons learnt included the need to raise not only awareness amongst staff of the Quality Standards but the specific relevance to their work and responsibilities. • Briefing schedule and induction materials for new staff were adjusted to explain Tearfund's quality and accountability commitments.	• Ensure staff are fully aware of the Quality Standards and their individual responsibilities in supporting their outworking.

5. Complaints and Response Mechanisms (Principle 6)

• Standardise the system for receiving and responding to feedback in all operational programmes	• Lessons learnt included the need to fully consult with communities concerning their preferred method for making complaints. • Internal programme reporting template was revised to include feedback from beneficiaries alongside review of project progress and logframe reporting. A summary of the feedback is now shared quarterly with the Tearfund leadership team.	• Establish consistent levels of consultation to identify a community's preferred methods of making complaints and ensuring the feedback mechanism reflects their preferences. • Update/finalise the feedback mechanisms for partners to Tearfund, for supporters/public to Tearfund and for feedback and complaints from staff.

6. Continuous Improvement (Principles 5 & 7)

• Raise awareness of Tearfund's quality and accountability commitments amongst partners and standardise the system for capturing and	• Lessons learnt included finding varied levels of consultation with partners with regards to their awareness and responsibilities in relation to the	• Facilitate consultation amongst partners regarding the Quality Standards and fully develop the system and plans to support

19. Tearfund UK

sharing lessons learnt across emergency responses.	Quality Standards, with consultation most effective in new emergency situations. • Learning reviews and evaluation recommendations were collated into key learning documents.	and develop partner capacities, and for monitoring and evaluation.

Case Study Example: Good practice in humanitarian accountability and quality management – Summary version

Between 2005-2008, Tearfund responded operationally to the post-conflict situation in Liberia, with watsan, public health, food security and community development projects in 4 counties, reaching over 100,000 beneficiaries. The Liberia programme was selected for the HAP field audit as part of the certification process.

What went well:

• *Head Office support, and sufficient resources set aside for implementation*

Tearfund's HQMS was developed centrally and then adapted to the Liberia Programme context. Accountability Officers were recruited in each field site (integrated with the M&E role), and designated staff time was set aside to oversee implementation of Accountability across the programme.

• *Integration into existing PCM framework*

Successfully 'implementing' Beneficiary Accountability was reliant on ensuring community participation at all stages of the project (community entry, sensitisation and mobilisation, partnership agreements, day-to-day field staff work alongside community members etc), ensuring communities felt fully involved and listened to throughout the project processes.

• *Staff Induction*

Informing staff about Tearfund's values, including Accountability, was seen as just as important as informing the communities. All staff (and NGO partners) were given training on Accountability and Tearfund's HQMS. Accountability was made part of all staff inductions, and seen as the responsibility of all staff, not only of management, and integral to all activities carried out by each staff member.

• *Public Information & Feedback Mechanisms*

Tearfund/project information was *discussed* with communities first and foremost, and then relevant printed information was posted on community notice-boards. Feedback mechanisms were agreed together with the communities, and once Beneficiary Accountability was understood, these were well used and suggestions/complaints dealt with in a timely way.

Challenges faced/Lessons learned:

• *Communicating the concepts of Beneficiary Accountability*

Given the context of long running conflict in Liberia, communities were unaccustomed to giving opinions freely, particularly negative comments, for fear of retaliation or withdrawal of support. The idea of feedback was new not only to beneficiaries but also to local staff. Instead of trying to help communities and staff to understand the term 'Beneficiary Accountability', the focus was more on what this meant in practice, in relationships. HAP auditors used a patient/doctor sketch (firstly where the doctor decided what the patient needed without listening to their needs, secondly where two-way communication meant that the patient received appropriate medication) which staff and communities found very helpful. This is recommended as a useful training tool for future use in explaining the key concepts of accountability.

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- *Clarity*

Tearfund's Liberia team learned the importance of being clear in advance (though illustrations, more detailed Memorandums of Understanding (MoUs) with a community, etc) about what they would provide, so communities could hold them to account, and also specifying the role/input expected from the community, so that a clear two-way relationship was established.

- *Community literacy*

Local languages were spoken not written, so printed public information had to be in English. In every community there were those who read English and could translate for others, but the printed material was not sufficiently concise/pictorial to reach as many as possible. This is an area for future development: notice board information should be developed in collaboration and trialled with different sectors of the community, ensuring the most vulnerable have access to information.

- *Further benefits of Beneficiary Accountability*

When properly empowered, it was found that the community and its leadership helped to curb fraud, whether by staff or community members e.g. when a community wrongly received snacks instead of meals during a workshop, or materials going missing from deliveries—detailed community MoUs and stock ledgers brought in through beneficiary accountability helped to ensure that staff were better stewards of the resources entrusted to Tearfund for communities, and that community leaders were also held accountable.

Plans with regard to: undertaking a baseline analysis, a certification audit, or mid term certification review

The mid-term monitoring audit is scheduled for December 2009

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20. The Women's Refugee Commission

1. Institutional Commitment (Principles 1, 2 & 7)

The Women's Refugee Commission, formerly the Women's Commission for Refugee Women and Children, continued to make progress on integrating accountability guidance into its work on behalf of women, children and adolescents affected by armed conflict and persecution. Over the past year, the organisation finalised a working draft of an accountability handbook that now includes a section on research methodologies and guidelines for conducting focus group discussions (FGD) and key informant interviews.

In mid-2008, the Women's Refugee Commission decided to undertake a baseline analysis against the HAP Standard to further guide the organisation to improve its accountability and quality management systems. In late 2008, staff worked with HAP to establish the terms of reference and to organise the January 2009 baseline analysis. In preparation for the baseline analysis, the Women's Refugee Commission identified and submitted documents specific to HAP principles, benchmarks and other requirements.

2. Accountability in humanitarian action (Principles 3,4,6 & 7)

To ensure accountability to displaced populations, the Women's Refugee Commission routinely includes the voices of displaced populations in its field research. Staff document findings and advocate recommendations through reports, letters, meetings, presentations and media outlets, to target audiences

20. The Women's Refugee Commission

including United Nations agencies, governments, donors, nongovernmental organisations and others. Over the past year, staff have heard the concerns of some 1,000 displaced persons:

- In Ethiopia and Thailand, through its fuel and firewood initiative, staff met with 100 camp leaders and conducted FGDs with 150 displaced participants and interviews with 13 displaced persons.
- Staff in the detention and asylum programme met with 18 children in the Office of Refugee Resettlement facilities.
- During its reproductive health assessment following the post-election violence in Kenya, the team met with 139 displaced men, women and adolescents.
- In the livelihoods programme, staff met with 435 people in Egypt, Ethiopia, Malaysia and Nepal.
- Staff from the youth programme met with approximately 100 youth on the Thai-Burma border.
- While in Sierra Leone, staff and board members met with 34 young women and men.

To enhance participation, the Women's Refugee Commission develops beneficiary versions of its field visit reports and translates them into the local languages as needed. Over the past year, staff developed a beneficiary report on the Kenya reproductive health assessment, translated it into Kiswahili and disseminated 200 copies to participants. A beneficiary report was also developed, translated into Krio and distributed to 94 beneficiaries in Sierra Leone.

To offer opportunities for displaced persons to become advocates and activists themselves, the Women's Refugee Commission supported three refugees from Liberia, Chechnya and Sri Lanka to present at the annual Voices of Courage Awards luncheon in May 2008, while several other refugees were supported to attend the event. The Women's Refugee Commission sponsored a returnee from Liberia and a displaced woman from northern Uganda to present the Youth Advisory Video at the June 2008 Reproductive Health in Emergencies Conference in Uganda. In addition, the Women's Refugee Commission supported 16 local NGOs in two networks on the Thai-Burma border that provide adolescent reproductive health training and prevention services.

As part of the Women's Refugee Commission's Displaced Youth Initiative, the organisation has established a Youth Advisory Group comprising 15 young women and men from conflict-affected countries—ranging from Afghanistan to Sri Lanka to Uganda to Burma. The group's purpose is to help guide and inform the overall initiative, including identifying needs and gaps in services for displaced young people and participating in project research and advocacy. It was officially launched in January 2008. In the first year, the Women's Refugee Commission has been able to provide various training and advocacy opportunities for the group, including supporting two members to participate in the Global Campaign for Education's Action Week in Washington, DC; supported another member to attend the Inter-Agency Network for Education in Emergencies (INEE) capacity building workshop in Tbilisi, Georgia; and began planning for a group meeting in Turkey in April 2009 to coincide with the INEE's Global Consultation, where advisors will be presenting on various panels.

3. Monitoring and Evaluation (Principle 5)

To improve capacity to monitor and evaluate research recommendations, the Women's Refugee Commission adopted a five-country (Jordan, Liberia, northern Uganda, Sudan, Thai-Burma border) strategy in 2008. Over the past year, the Women's Refugee Commission has followed up on recommendations, specifically monitoring developments on reproductive health coordination and the provision of reproductive health services in northern Uganda, Kenya and Jordan. In addition, the Women's Refugee Commission established a template for ongoing monitoring and evaluation of its livelihoods

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pilot projects while also supporting an impact evaluation focusing on reducing risk to gender-based violence through economic empowerment. The Women's Refugee Commission also reviewed whether its advocacy on the transfer of children to the Office of Refugee Resettlement has been effective.

4. Addressing Complaints (Principle 6)

The organisation has yet to institute a Complaints Handling Procedure, although contact information is available on fact sheets developed for beneficiary populations, translated as needed in local languages.

Case Study Example: Good practice in humanitarian accountability and quality management – Summary version

Example of obtaining input on reproductive health from beneficiary populations
Mary (not her real name) has four children, aged 14, 12, 7 and 4. She lives with her husband and children in a makeshift hut that that her husband built near her former home that was burned during the post-election violence. Mary is nine months pregnant. She does not know where she will deliver her child. She is anxious because she is unsure of what to do if she develops a complication. Her family does not have the money to take her to a health facility or pay for medical care so, if she can have a normal delivery, she will give birth at home. She will most likely deliver by herself, since there is no midwife in the community and the only traditional birth attendant in the area had fled with the violence. Mary was not aware of a clean delivery package that could help her give birth in a semi-clean environment at home. Even while she was living in the camp, she had not come across such a package.

Plans with regard to: undertaking a baseline analysis, a certification audit, or mid term certification review

A baseline analysis was requested from HAP in 2008, planned for January 2009

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Introductory comments: Over the course of 2008, there have been significant changes at field and institutional levels. At the field level, progress in World Vision's Food Programming and Management Group (FPMG) performance on accountability was particularly strong, with an initial focus on pursuing certification evolving into a focus on intensive training and establishment of complaints and response mechanisms as the understanding of accountability grew. This culminated in the senior leadership of FPMG deciding that community complaints mechanisms would be part of the "go or no go" decision for all food projects by 2010. This will cover approximately 35 countries and effectively make complaints handling a normal expectation in World Vision's humanitarian work. FPMG and H-Account have become significant partners with HAP at field level in an arrangement that has improved WV's work, generated momentum for change and provided valuable learning for both parties. From early 2008, H-Account established the capacity to deploy to emergencies with the hiring of a second full time staff member. In response to Cyclone Nargis in Myanmar, H-Account was able to deploy to a large emergency response as part of the first wave. On an institutional level, the Humanitarian and Emergency Affairs branch of World Vision formed the Quality Assurance team to provide a formal place for Accountability where approaches can be combined with Design, Monitoring and Evaluation, Learning and Capacity Building. Most new initiatives to achieve organisational change now include elements of quality such as accountability to beneficiaries. Finally, WVI has established a Global Accountability Team to tackle beneficiary accountability issues across all programming (including development) and pursue wider accountability issues that H-Account needs to consider but has lacked the mandate to do so.

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1. Institutional Commitment (Principles 1, 2 & 7)

Key goal for 2008	Achievements / challenges / lessons learned	2009 objectives
Integrate humanitarian accountability into WV emergency response standards and strategies: a. Increased consistency in support to major emergencies will occur as the number of staff deployable to emergencies grows. b. Global accountability unit hires staff and develops work plan.	In early 2008, World Vision hired a second Associate Director for Humanitarian Accountability, who specialises in the field set up of accountability systems and rapid deployment to sudden onset emergencies. Better accountability practices at field level are also being encouraged through a mix of direct H-Account support, stimulating field to field sharing of innovation and building supportive networks for practitioners. In September, World Vision held its first global humanitarian accountability meeting to bring 20 staff together to share experience and develop a community of practice. The intent is to build strong peer networks, deployable capacity and create internal advocates for accountability. Early signs of success came when one "member" integrated accountability into their health programme in DRC. The staffing of the Global Accountability Unit was postponed due to budget cuts, but a Senior Director was hired to establish the function in World Vision and has begun to map out internal accountability streams.	a. Strengthen emerging Accountability Community of Practice in World Vision b. Global Accountability Team brings greater coherence to internal accountability mechanisms at an organisational level. c. Include accountability complaints and response mechanisms (CRM) in the "go no go" trigger decisions for the start of new food (FPMG) supported projects
Test and document accountability methodologies: a. Lessons Learned events, and joint evaluations with IWG agencies continue. b. Sri Lanka accountability tools complied into a field tool kit that will be available in mid 2009. c. Development of a new country case study of accountability (probably Zimbabwe) d. Transparency International handbook finished and published.	H-Account was able to expand its collaborative work to also include greater engagement with other HAP members and members of the UK based Disasters and Emergencies Committee (DEC). Between the IWG agencies, work also continued with joint feedback to several UN evaluations, the further development of a joint evaluations database and the launch of a joint needs assessment tool in Indonesia. Work with the IWG and DEC agencies greatly strengthened relationships and learning between HAP members and helped to make joint events such as the HAP General Assembly and Peer Support Group even more	a. Work with phase II of the Emergency Capacity Building Project to collaboratively improve beneficiary accountability in at least three contexts. b. Publish and disseminate H-Account toolkit that contains updated versions of WV Sri Lanka tools and approaches that are applicable to multiple contexts. c. Produce at least one major case study of accountability in a field programme including video materials.

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	valuable to World Vision. During 2008, World Vision has greatly valued the opportunity to work closely with HAP staff on technical issues in the field. In November 2008, World Vision's Food Programming and Management Group (FPMG) and HAP held a joint lessons learned event on the application of complaints mechanisms in Honduras, Kenya, Sierra Leone, Sudan and Zimbabwe and developed a detailed lessons learned report. Work in Zimbabwe continued to develop useful learning which is being shared internally with in WV. In 2009 this will be shared more widely. An evaluation of the complaints mechanism from the Sri Lanka was completed. The Sri Lanka Tool kit was drafted but then revised to incorporate learning from the application of the tools in a variety of different contexts. Due to excessive travel of H-Account staff the finalisation of WV Sri Lanka tools into a single toolkit was delayed until early 2009. World Vision was one of seven agencies that facilitated field research for Transparency International during 2008. They are now finalising the guide on preventing corruption in aid programmes.	

2. Accountability in humanitarian action (Principles 3,4,6 & 7)

To clarify and define the relationship between WV humanitarian response and beneficiaries as a professional obligation: a. With more staff in 2009, more consistent attention to beneficiary accountability and report back in our WV internal and external reports	Reporting into the Annual report of the Humanitarian Section of World Vision continued in 2008. Staffing cuts in the Global Accountability Team slowed progress on external reporting but, in 2009, the level of openness in reporting will increase. The Quality Assurance strategy was finalised for the Humanitarian Section, bringing together Accountability,	a. Work on humanitarian accountability becomes a normal expectation within World Vision for all large emergencies. b. The Quality Assurance Strategy is implemented in HEA. c. H-Account to provide field support to at least three emergencies.

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Commitment	2008 Progress	Future plans
b. Develop Quality Assurance strategy and approach that will have beneficiaries as a central theme and combine accountability, DME and learning. c. H-Account to provide field support to at least three emergencies d. Good Enough Guide trainings will start in French, Bahasa, Arabic and Spanish versions.	Design Monitoring and Evaluation, Learning and Capacity Building. In early 2009 this will be externally available. H-Account staff were deployed to Bangladesh, Myanmar and Zimbabwe and provided advisory support to emergencies in DRC and Somalia. Support was also provided in other non-emergency contexts. Training of staff on accountability continued at the funding, regional and field office levels. Global and regional staff conducted over 20 trainings supplemented by additional trainings in the field.	d. Accountability trainings take place regularly at Funding Office, Regional Office and Field levels. e. Develop Quality Assurance strategy in FPMG
Ensure that in all WV Partnership agreements MOU's include HAP accountability principles Ensure that planned development of generic partnership templates and standards for partner responses include key accountability principles.	In 2008, WV internally published a standards manual for emergencies and this included reference to major accountability standards and requirements such as the HAP Principles, Sphere and People In Aid.	

3. Monitoring and Evaluation (Principle 5)

Commitment	2008 Progress	Future plans
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: a. Achieve HAP Certification of World Vision's Food Programming Management Group (FPMG) in 2009 b. Develop standardised products to support accountability across FPMG programmes (e.g. HAF)	Through working closely with HAP staff at the field and senior levels, FPMG uncovered significant governance and branding challenges to achieving certification. These challenges led FPMG to focus on the development and dissemination of complaints mechanisms in 2008 rather than pursuing certification. World Vision will be revisiting this issue in 2009. A draft Humanitarian Accountability Framework was shared with WV's internal Humanitarian Accountability Community of Practice and feedback was received. An updated version has been delayed until early 2009.	a. Continue learning about certification and how it could be applied to World Vision in the future. b. Develop standardised products to support accountability across Humanitarian and FPMG programmes (e.g. HAF, H-Account Tool kit etc) c. Include / Link CRM with (M&E) Post Distribution Monitoring systems to facilitate tracking and follow up
To strive and demonstrate better quality in our annual reporting to HAP	During 2008 all major accountability documents and tools were shared with HAP staff either at the field or global levels.	a. Continue to share with HAP and the wider sector major WVI reports, plans and brochures on humanitarian accountability

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a. Continue to share with HAP all WVI reports, plans and brochures on humanitarian accountability b. Develop a better tracking system to measure and record field progress on accountability	b. Improve tracking and monitoring of quality assurance to better measure field progress on accountability issues

4. Addressing Complaints (Principle 6)

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 Communications plan developed to disseminate whistleblower policy	The development of a field accountability scorecard was postponed in 2008, because it was decided that a combined quality assurance scorecard would be easier to implement and more effective in the longer term. H-Account mapped different complaints mechanisms within the organisation to pave the way for greater coherency, inter-operability and ease of implementation at field level. This mapping included community complaints mechanisms at field level, staff grievance policy, child protection and corporate whistleblower policies. Community complaints software continued to operate in Sri Lanka and was modified and tested in Zimbabwe and Sierra Leone. A generic version of the software should be available in 2009. Complaints mechanisms at field level were established and strengthened in emergency and non-emergency settings in an increasing number of field programmes. Investigations into complaints received took place both through field complaints mechanisms as well as the whistleblower policy. FPMG piloted complaints mechanisms in Kenya, South Sudan, Sierra Leone and Zimbabwe. This experience has been gathered together by a consultant to develop a generic community complaints tool kit to disseminate to all food aid projects by the end of 2010.	Global Accountability Team to finalise mapping of WV's complaints functions and facilitate a process to bring greater coherence to internal accountability infrastructure. a. Finalise generic software application by end of 2009. b. All FPMG food distribution projects are using a common community complaints mechanism by 2010. c. Complaints mechanisms continue to be established in emergency and non-emergency settings. d. Develop and launch a CRM resource guide in FPMG e. Write / Publish a briefing paper to share key processes and lessons from the piloting of CRM in FPMG
To make beneficiaries aware that WV has an open door policy with respect to concerns from their perspective a. Community complaints software made available for dissemination to other country contexts. b. FPMG's help desk methodology strengthened and materials developed to enable take up in other countries.		

Case Study Example: Good practice in humanitarian accountability and quality management – Summary version

FPMG has had a help desk community feedback mechanism for some time, but it only recently began to be truly accountable to beneficiaries and their communities. A help desk is a group of five or community members that set up an information point beside food distributions in the field. They are trained to handle common community queries and to provide information to any community member that requests it. More complicated or contentious queries are handed up to World Vision staff who then follow up either on the spot or with an investigation as appropriate. In order to make this approach work

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effectively, good community information provision is needed to ensure that people know about World Vision, the project and what they are (or are not) entitled to. Key to the success of helpdesks has been the effective training of community help desk members, developing standard templates and procedures and ensuring that any issues are followed up upon effectively. In October 2008, FPMG held a lessons learned event to share the learning emerging from implementing this model in Honduras, Kenya, Sierra Leone, South Sudan and Zimbabwe. Each office was at different stages of implementation, but the learning generated is being utilised to develop a common set of guidelines for use in all food projects. A report detailing the event can be found on the HAP website.

Plans with regard to: undertaking a baseline analysis, a certification audit, or mid term certification review

Further review of certification and its application to WV's complicated governance structures

Summary / Other comments

During 2008, H-Account and FPMG's key lessons were:

- At field level, practitioners are best motivated to improve their levels of accountability by a focus on improving the quality or their work and strengthening their relationships with communities. Accountability needs to be seen as something that adds value to and affirms practice rather than a policing function.

- Accountability tools and approaches cannot be effectively implemented by a technical function alone. Management plays a crucial role in building an organisational culture of accountability and respect for beneficiaries that is an essential part of making accountability "work".

- It is not enough to provide a one off training in something like the Good Enough Guide to Impact Measurement and Accountability. Systems need to be in place to follow up on how offices have applied what they have learnt.

- H-Account needs to adopt a flexible approach to accountability in the field that can provide effective tools and approaches that are of an appropriate level for different field environments. This will involve developing straightforward entry-level approaches as well as more thorough approaches when field offices are ready for them.

Chapter 5

The HAP Secretariat Annual Report

Introduction: 2008 was a year of consolidation for HAP, in particular in completing the institutional arrangements for running the HAP certification scheme and streamlining HAP's membership services.

However, while substantive progress against the targets set out in the 2008 workplan and the 2007-2009 medium-term strategic plan was achieved, the Secretariat was hampered by serious capacity constraints due to long term absences of two senior members of staff and the decision not to fill the new post of Development Services Director due to the weakening funding situation.

The year closed with a growing sense of confidence in the quality, relevance and impact of the Secretariat's services and products and with increasing indications that the introduction of robust programme quality assurance through third party compliance verification was at last being accepted as a necessary element of reform in the humanitarian system. In this respect, HAP entered 2009 extremely well placed to confirm its position as the leading global humanitarian quality assurance scheme.

Highlights
- Publication and launch of *The Guide to the HAP Standard*
- Release of the Beneficiary Based Consultation report '*To complain or not to complain: still the question*'
- Standard Review process started; HAP, the Sphere Project and People In Aid made commitment to inter-operability
- 14 Full Member agencies enrolled in the certification scheme
- 9 baseline analyses against the HAP 2007 Standard completed, including one for UNHCR
- 2 more agencies certified in Humanitarian Accountability and Quality Management
- Over 50 learning, accountability and quality management workshops and briefings delivered in Bangladesh, Ethiopia, Honduras, Ireland, Kenya, Lebanon, Malawi, Myanmar, Pakistan, South Sudan, Sweden, Switzerland, Zimbabwe, UK

- Roving Team deployed to Bangladesh and Myanmar; the first joint deployment with the Sphere Project
- Pakistan Office struggles to achieve official registration
- HAP and Building Safer Organisations services fully integrated
- New membership services statement and cost-recovery policy launched
- Membership grows from 19 to 28 Full Members and from 4 to 6 Associate Members
- DFID and Danida recognise the HAP Standard and the certification scheme

Outline: From January 2008 the Secretariat's activities have been re-organised under four main work streams. These are Policy Services, Development Services, Regulatory Services and Governance, and the annual report is presented under these main headings accordingly. The sub-headings in each section refer to HAP's operational objectives and key activities as set out in the 2008 HAP Secretariat Workplan. (An overall assessment of progress against the Secretariat's 2008 Workplan is presented in Annex 2.) A brief summary of progress achieved against HAP's strategic objectives (as set out in the 2007-2009 Medium Term Strategic Plan) concludes each main section.

I. Policy Services: To scale up HAP's strategic impact through advocacy, research and knowledge management.

Highlights
- Launch of *The Guide to the HAP Standard* hosted by Save the Children UK in London, with nearly 1,500 print copies sold by the end of the year;
- The report *To complain or not to complain: still the question* published;
- The International Organisation of Supreme Audit Institutions (INTOSAI) recognised HAP as "one of the key standard setting bodies in the field of humanitarian aid";
- HAP Standard Review process started; HAP, the Sphere Project and People In Aid commit to inter-operability;
- Over 15 presentations on HAP or its research interests delivered at strategic for a;
- 500 copies of the *2007 Humanitarian Accountability Report* printed and distributed;
- HAP Newsletter re-launched, incorporating the BSO Investigator;
- New HAP website launched.

The Secretariat amalgamated its research and communication functions under the position of a Research and Communications Manager, recruited in May 2008. However, the 8-month absence of the Policy Coordinator held back progress in many of HAP's policy functions.

1. Promote the HAP Research Agenda

In broad outline, HAP's research priorities are concerned with the whole range of costs and benefits associated with humanitarian programme quality assurance. However, because of HAP's operational role as a standard setting and certification body, it has a clear vested interest in showing a positive "business case" for the various quality assurance processes linked to the HAP Standard. In the absence of well-established research programmes on humanitarian accountability, HAP needed to promote the adoption of its research agenda by suitable bodies. In 2008, the Secretariat took up various opportunities to pursue this with institutions such as the Harvard Humanitarian Initiative and Virginia Tech. Unfortunately, staffing constraints prevented the formalisation and wider dissemination of HAP's research advocacy strategy.

Develop strategic academic partnerships: In 2008, HAP continued to build links with a number of key institutions, including Amsterdam Business School, Virginia Tech, Harvard Law and Policy Forum, Oxford Refugees Studies, the LSE Centre for Gender Studies, and other universities in London, although no formal research partnerships were established.

Co-convene "Accountability to beneficiaries" conference: Because progress on establishing strategic research partnerships was delayed due to staffing constraints, planning for the HAP accountability conference was postponed until the agenda would be jointly developed with a suitable academic host. However, arrangements were initiated for a one-day event on *accountability to disaster survivors* to be held in Geneva in October 2009.

Represent HAP at strategic research fora: In 2008, HAP staff presented papers at two academic conferences, one in the UK and one in Davos, Switzerland. In addition, Secretariat staff:
- participated in two ALNAP biannual meetings and presented in one of them;
- facilitated three Dtalk seminars (each 3-day residential events) in Dublin, Ireland;
- participated in the launch of the ALNAP Review in London;
- facilitated the quality and accountability session at the ATHA Training Conference in Härnösand, Sweden;
- participated in the Listening Project meetings held in Geneva;

- participated in the launch of the revision of the Sphere Handbook;
- presented at the Global Connections Accountability Master Class.

Publish HAP research agenda: An annotated bibliography covering the subjects of NGO accountability, humanitarian accountability and beneficiary participation was published in July on the HAP website. By the end of 2008, this resource covered 263 texts. Relevant articles were published in CaritasData and ODI Humanitarian Exchange; regular contributions on HAP activities were made to ReliefWeb and IRIN news sites. The publication of HAP's research agenda was deferred to 2009.

2. Commission research

- The Annual *Survey of Perceptions of Accountability in Humanitarian Action* was completed and the results were published in HAP's *2007 Humanitarian Accountability Report*.
- The report "*To complain or not to complain: Still the Question*" was published in March 2008. (The principal findings were described in the *2007 Humanitarian Accountability Report*).
- A research study on *The Impact of Complaint Handling Systems on Humanitarian Programmes* was commissioned in December 2008, although the results will not be available until 2009. By addressing three research questions, it should provide a clearer picture of the impact of complaint handling systems on humanitarian programmes:
    - o What impact have complaint-handling systems had on potential users, in particular on the lives of disaster-affected populations?
    - o What impact have complaint-handling systems had on the agency's staff and other relevant stakeholders?
    - o What impact has the introduction of complaint-handling systems had on the management (from planning to implementation to monitoring and evaluation) and outcomes of humanitarian programmes?

A second commissioned study into *perceptions of member agencies and non-members in relation to the HAP Certification scheme* was postponed to 2009 as an economy measure.

3. Review the HAP 2007 Standard

To reflect learning from the application of the HAP 2007 Standard and to incorporate emerging practice on quality and accountability in the sector, the Strategic Plan anticipates regular review of the Standard through a process

of consultation and field-testing that will involve beneficiaries and agency staff and other interested stakeholders. At the General Assembly in April, the Secretariat proposed that the Standard review start date be delayed until the end of 2008, in order to allow more agencies to be certified or complete baseline analyses.

Principles guiding the management of the Standard review process were discussed and agreed at the Board meeting in October: the Secretariat will manage the process, overseen by a Steering Committee; both internal and external resources and skills will be used, ensuring objectivity where essential. The agreed aims of the Standard review process are:

- To consider known impact of the 2007 Standard upon the lives of disaster survivors;
- To identify lessons learned from experience with the 2007 Standard and the certification scheme;
- To ascertain the strengths and weaknesses of the 2007 Standard and the certification scheme and to identify areas for change and improvement;
- To highlight positive and negative consequences of compliance with the 2007 Standard;
- To reach consensus on areas for revision, including expansion of the scope of the Standard and the Standard certification system, and to prepare a draft 2010 Standard for consideration by the Board and General Assembly in 2010;
- To develop new and consolidate existing materials for managing, communicating and promoting the Standard and the quality assurance certification system to key audiences.

It was agreed that, in observing the ISO guidelines for the development of international standards, the process would include robust stakeholder involvement, and participation at all levels of beneficiary communities and staff at programme sites. Complementarity with other planned review and consultation processes and inter-operability with other relevant standards, particularly the Sphere Common Standards and the People In Aid Code will also be sought.

At the end of 2008, Terms of Reference outlining the process were being consolidated based on feedback from the Board and member agencies. Consultation started with members and complementary approaches were explored with other relevant initiatives. The Sphere Project, People In Aid and HAP stated their commitment to move towards inter-operability between the Sphere Common Standards, the Code and the Standard, respectively. Communication with other initiatives and organisations such as INTOSAI, BOND, Transparency International, and ECB was initiated.

Review workshop on HAP 2007 Standard development process: A formal review of the HAP 2007 Standard development process was not completed by the end of 2008. With the absence of the Policy Services Coordinator from April, and the appointment of an Acting Coordinator only in November, preparations for the review process started later than anticipated or were deferred to 2009.

Standard review group: Identification of suitable Steering Committee members started in December, to continue and be finalised in early 2009. A Steering Committee will have an overall oversight function of the separate components of the review process and provide regular feedback and input.

Regional workshops: The consultation workshops were deferred to 2009.

4. Prepare communication materials for promoting accountability and quality management

Develop and produce materials for introducing HAP: A Principles of Accountability Poster was updated in March, alongside presentation and slides and facilitation notes on Introduction to HAP. The HAP Standard was prepared for publication and published in a user-friendly format (A5 booklet) to coincide with the launch of *The Guide to the HAP Standard*. Over 800 copies of the A5 Standard were distributed upon request and during HAP workshops and briefings.

Staff engaged in more active communication of relevant messages to key stakeholders, including through agency-specific meetings, donor briefings, presentations at strategic fora, publication of updates through the HAP website and other internet sources, including a HAP *Facebook* site with over 500 members and a *Wikipedia* entry.

Develop detailed training modules on all aspects of the HAP Standard: A wide variety of training materials (on complaint handling processes, accountability self-assessments, introduction to the HAP Standard, developing Humanitarian Accountability Framework, etc) were developed throughout the year in response to anticipated demand and specific member requests. Some of these materials were made available for downloading from the website, while others are yet to be consolidated into new modules and packages to reflect the new HAP membership services statement released at the end of 2008.

Develop materials for getting HAP Standard included in staff inductions in member agencies: Due to short staffing, this activity was deferred to 2009.

Develop Audio Visual materials to promote and explain HAP: A decision was made to postpone production of a DVD on "introduction to humanitarian accountability". A CD and DVD on receiving and investigating allegations of exploitation and abuse by humanitarian workers were produced in July. During the year, it was recognised that the facilitation of self-learning required more than a few multi-media materials available from the website. Following advice from SIDA, HAP committed to assessing demand for and feasibility of a distance-learning scheme on programme quality and accountability, possibly in cooperation with ALNAP and other interested quality and accountability initiatives.

Translate the Standard into other languages: In 2008, the HAP Standard was translated into Urdu and French, with the latter translation to be made public in early 2009. The HAP Standard Benchmarks were translated into Arabic and Bengali and made publicly available via the HAP website and relevant networks. The Principles of Accountability were translated into Bengali and Pashto and are now available on the HAP website.

5. Knowledge management

Make HAP archives accessible: A large library of resources was transferred to the website, and a powerful on-line search engine was installed. HAP's internal documentation was archived on the secure server and the cataloguing was updated to reflect the organisational changes in the Secretariat. Improved use of the HAP intranet calendar and the on-line booking system for training and agency tracking was achieved.

Produce and distribute annual report: Findings from the annual survey of Perceptions of Accountability were included in the *2007 Humanitarian Accountability Report*, alongside comments and *voices* of those disaster survivors who HAP interacted with over the course of the year. Dr Alison Raphael was contracted to deliver the independent overview on accountability to beneficiaries across the sector in 2007.

Nearly 500 print copies of the *Report* were distributed to actual and potential donors, HAP member agencies, non-members and other interested parties. Overall, feedback on the report has been positive.

Coordinate website content: Following market research undertaken in 2006-07, the new HAP website was launched in early 2008. In the 11 months from its launch in February, the new site hosted 23,859 visits made by 14,698 visitors from 171 countries, led by the UK, the USA and Switzerland. While modest growth was recorded in site usage, the length of visits (a more reliable

indicator of quality) did not change significantly, and more market research is required to identify how to better meet users' needs.

While the majority of traffic came through a search engine or directly, 27% came from links in other websites. The leading referral sites were Wikipedia and Facebook followed by ACFID, ALNAP, the One World Trust, ECB and Relief Web, all of which carried prominent links to the HAP website. Apart from ACFID, DanChurchAid and Mango, referrals from member agencies' website were below 100 for the whole year, reflecting the inaccessibility or absence of links to HAP on members' websites, a shortcoming to be addressed in 2009.

In the last quarter of 2008, HAP documentation and materials for external users were made publicly available through the creation of an electronic library on the HAP website. The e-Library became an important feature of the website; providing academics, students, agency staff, consultants and others with resources on humanitarian accountability and offering members an opportunity to share case studies of good practice. The e-Library includes resources from other Quality and Accountability Initiatives, non-member agencies and other relevant organisations from across the sector. The most downloaded page in 2008 was the HAP Standard, with 3,500 hits.

Produce and distribute HAP newsletter: 2008 saw the re-launch of the HAP Newsletter, incorporating the BSO Investigator. Since the launch of the first issue, HAP improved its online contact database to include over 1,800 individual entries.

Distribute The Guide to the HAP Standard: From the publication of *The Guide to the HAP Standard* in April until the end of December, Oxfam Publishing recorded that 60% of sales were to humanitarian agencies from 94 different countries. By the end of the year, Oxfam had nearly sold out the first print run of 1,500 copies.

6. Manage project support
The coordination of internship programmes with one or two institutions was explored, though recruitment of interns in 2008 did not take place due to limited staffing.

Summary against the Strategic Objectives

The 2007-2009 Strategic Plan (Section 10.1) anticipated the publication of the first HAP Standard in 2006 and the establishment of a formal review mechanism culminating in a new standard draft in 2008, with adoption and publication

taking place in 2009. Due to the longer than anticipated development process, the publication of the first HAP Standard was delayed to 2007 and the associated guide was published in 2008. To deliver against the Strategic Plan while taking into consideration these delays, the General Assembly agreed to delegate responsibility for approving the Standard Review process to the HAP Board, so that a revised Standard be prepared and submitted for adoption in April 2010. This process started before the end of 2008.

As the Standard and the Guide were pre-requisites for various other activities, the knock-on effect of their delays continued to be felt across the strategic objectives in 2008.

The 2007-2009 Strategic Plan (Section 10.4) described a shift in HAP's research role from a commissioner and manager of research studies towards one that promotes and participates in research that highlights the importance of accountability within the humanitarian sector. Since the appointment of a Research and Communications Manager in May, HAP gained ground on the strategic objectives, which had been deferred due to staff capacity over the previous 18 months. It is expected that the externally commissioned studies, the reinvigorated plans to formalise links with several academic and research institutions and the plan to publish a research strategy in 2009 will bring HAP on track with meeting key research targets.

Marketing approaches (Section 10.9) in 2008 were expected to focus on attracting new associate members and to promote complaints support (for those agencies that have been certified) within a broader framework of raising awareness about the Standard and the certification scheme. The General Assembly's decision in 2007 not to create the new membership categories ("certified member", "partner member" and "associate member") continued to limit the incentive to join as an "associate member"—one of the main factors causing interested agencies to either withhold their applications or to seek full membership instead. The complaints support function was consolidated, although a more direct campaign for its promotion was delayed with the late appointment of the Research and Communication Manager and the prolonged absence from office of the Regulatory Director.

The focus of advocacy activities (Section 10.8) was to scale up the impact of HAP's activities and products across the sector. By engaging in a more proactive approach to overall communication, including through agency-specific meetings, donor briefings, presentations at strategic fora, publication of updates through the HAP website and other internet sources, HAP probably achieved some increased brand recognition, although verification of this is not easy. The increased number of membership applications, the requests for HAP materials and publications—including the *2007 Humanitarian Accountability Report* and *The Guide to the HAP Standard*, positive coverage in print and

online media, and acknowledgements and recognition by institutions such as DFID, Danida, INTOSAI and UNHCR and peer initiatives such as the Sphere Project and People In Aid are all solid indications of the growing strength of HAP's place in the quality assurance field. The 2008 perceptions of humanitarian accountability survey also found encouraging results, with 61% of respondents perceiving improvements in accountability to intended beneficiaries. Compared with the 2005 baseline of 48%, this already surpassed the strategic goal for 2009 of 60% reporting improved accountability practices.

The release of the new website (Section 10.10) received overall positive feedback from various audiences and made a significant contribution to HAP's research, communication and capacity building functions.

> *II. <u>Development Services:</u> To provide members with strategic and practical support to comply with the HAP Standard and to encourage non-members to join and/or seek HAP certification*

Highlights
- Annual Peer Support Group organised and hosted by members, with attendance from 19 agencies;
- Two NEP protocol meetings: Cyclone Nargis (Myanmar) and Baluchistan earthquake (Pakistan);
- Deployment of Roving Team in Sidr-affected areas in Bangladesh and in the Ayeyarwady Delta in Myanmar;
- First HAP-Sphere joint deployment in a new emergency;
- Continuing work in Pakistan;
- Increase in agency-specific services in response to member requests during emergencies;
- Nine baseline analyses undertaken against the HAP Standard, including for UNCHR;
- Technical support provided to three regional networks and the ECHA ECPS UN and NGO Taskforce on protection from sexual exploitation and abuse.

1. Support humanitarian accountability and quality management leaders

Strengthen HAP Peer Support Group: Throughout the year, HAP staff focused on strengthening communications with member agencies' focal

persons through regular bilateral meetings, email communication and phone discussions. In December, representatives from 19 agencies attended the Annual Peer Support Group Meeting hosted by Muslim Aid in London. An organising committee (Christian Aid, Mango, Tearfund and World Vision) drafted the agenda for the day through consultation with member agencies. The meeting focussed on discussions and presentations on quality and accountability in recent emergencies; tools and approaches used by HAP member agencies to improving accountability; and discussions on the HAP Standard and certification process. Participants shared case studies of change management in strengthening accountability in their organisations.

Deliver workshop for accountability leaders: The workshop aimed at exploring with Accountability Leaders how they could promote change processes throughout their organisation was postponed and then redefined. The key aspects this workshop aimed to address have been integrated into the New Member's Induction, which forms part of the HAP's new services statement.

Develop and update a directory of accountability experts: While the informal pool of accountability experts continued to grow, the development of a formal directory was postponed to 2009 as part of a joint effort with other Quality and Accountability initiatives, and with an expanded scope to include both accountability experts and individuals skilled in conducting investigations into allegations of sexual abuse and exploitation.

2. Facilitate compliance with the HAP Standard

Conduct introductory meeting for new members: Introductory meetings to explain membership requirements and services, including baseline analyses and certification audits exceeded the number proposed in the 2008-2009 Workplan. Introductory meetings were held with eight members and one non-member (HelpAge International).

Provide feedback to members on their accountability workplans: Support for development or revision of the accountability workplan was provided to eight members through briefings or written feedback.

Conduct baseline analysis for members and non-members: A baseline analysis describes the current status of an agency as measured against the HAP Humanitarian Accountability and Quality Management Standard. It acts as an essential management tool that allows an agency to identify strengths, weaknesses and gaps in relation to its accountability and quality management commitments. The process usually takes place in preparation

for a certification audit and includes training, consultation and support to the agency. A report provides the agency with consolidated evidence to strengthen their accountability workplan as well as decide next steps towards certification.

HAP's 2008 workplan anticipated that eight member agencies and two non-members would undertake a baseline analysis against the HAP 2007 Standard. In total, 14 agencies requested 16 baseline analyses in 2008. Of these, 9 took place during the year (See Table 3), 3 were postponed to 2009 at the request of the agencies (ACTED, CARE, WRC), and suitable dates were yet to be agreed for the remaining 4 (ACT International, LWF, Merlin, Sungi).

Table 3: Baseline analyses that took place in 2008

No	Agency	Date	Unit of analysis	Outcome
Members				
1	CAFOD	July	Programme site	Certification audit scheduled
2	Christian Aid	September	Head Office (2nd review)	Certification audit scheduled
3	COAST	November	Head Office	Baseline completed
4	COAST	November	Programme Site	Baseline completed
5	Concern	February	Head Office	Baseline completed
6	Concern	November	Programme site	Baseline completed
7	Muslim Aid	October	Head Office	Preparing for programme site
Non-members				
8	UNHCR	July 08	Head Office	Baseline completed
9	HelpAge International	Dec 08	Head Office	Baseline completed

Provide dedicated support to members: Members requested tailored support particularly on drafting an accountability framework, designing a complaint handling process and strengthening humanitarian quality management systems. In order to reflect a more demand-driven service provision strategy, where members contribute to cost-recovery, terms of reference and agreements were signed by the Secretariat and requesting members.

3. Implement the New Emergencies Protocol

Deployment of NEP staff: In 2008, HAP held two NEP Protocol meetings. The first was coordinated from Geneva, in response to the Nargis Cyclone, while the HAP Pakistan team hosted the second, in response to the Baluchistan earthquake. A consolidated NEP deployment in response to the Sidr Cyclone in Bangladesh started in January, and a joint HAP-Sphere team was deployed to Myanmar in July. The HAP Pakistan team provided extensive support to agencies responding to the Baluchistan earthquake.

Hosted by Concern Worldwide, the Roving Team spent over 15 weeks in Bangladesh providing focussed support to the 12 HAP member agencies and their local partners engaged in responding to the cyclone. Activities concentrated on both short and longer-term objectives, from raising staff awareness and providing on the job coaching, to tailoring approaches that assist agencies to make systemic changes in management of field operations. The workplan was designed and agreed with members' focal persons and in-country emergency teams, with ten members making financial and in-kind contributions towards the deployment. Guided self-assessments were designed as a new service, to build staff capacity and help them in identifying solutions that will bring agencies into compliance with the Standard at programme sites.

Church World Service Pakistan/Afghanistan as part of Action by Churches Together funded the HAP and the Sphere Project interventions in Myanmar in 2008. For the duration of the 12-week deployment the joint team was hosted by Save the Children and worked in collaboration with the NGO Liaison Officer and the Local Resource Centre, which also provided office space in Yangon. HAP and Sphere agreed to continue their joint support in 2009, and funding was secured from DFID. By providing agencies with tailor-made solutions to improve accountability and quality management, the initiative contributed to the inter-operability agenda and to improved field level coordination between HAP and the Sphere Project.

Throughout the year, remote guidance and support was provided at members' requests in Somalia, South Sudan and Kenya. Plans for a Concern Worldwide Head Office staff to convene a members' meeting in Huambo, Angola, did not materialise, though interest was secured from members to further explore opportunities to take on membership-wide lead roles at different emergency locations.

Providing tailored activities in new emergencies—particularly to agencies that invest resources into receiving support to strengthen accountability and quality management—generated interest and will be prioritised in the future to maximise impact and make best use of Secretariat resource.

The Field Representative position became vacant in November 2008 and recruitment for a replacement began in September. An appointment was pending the approval of a Swiss work permit at year's end.

Share lessons learnt on accountability and quality management in emergencies: Regular meetings with interested agencies were facilitated in Bangladesh, Myanmar and Pakistan. During NEP deployments, HAP staff held over 50 focus group discussions with disaster-affected communities and agency staff and more than 45 semi-structured interviews with disaster-affected communities alone. Throughout the year, over 600 beneficiaries and non-beneficiaries have spoken to HAP staff in disaster-affected areas in Bangladesh, Myanmar and Pakistan.

Specific reports highlighting the level of accountability and main learning in each of the three emergencies were shared with in-country staff and with members' focal people. In relation to the Bangladesh deployment, an inter-agency learning workshop and an after-action review event were organised in Dhaka with participation from 14 member agencies, their partners and non-members; a collective debriefing for available agencies took place in London. A Quality and Accountability Learning Group was convened in Yangon every two weeks to share progress, tools and emerging good practice; the Sphere Project and HAP staff met in Geneva to share learning and explore new approaches after the first phase of the deployment in Myanmar.

In total, 12 activity updates, case studies and analytical reports were shared throughout the year via the respective pages on the HAP website and relevant contributions were made to the *2008 Humanitarian Accountability Report*. Seven confidential agency-specific reports were prepared, highlighting the respective agency's status against the HAP Standard in the respective emergency at a specific programme site and making recommendations for improvement.

Develop new or build on existing networks/local information centres for promoting quality and accountability in emergencies: South East Asia, Eastern Africa and the Middle East have been tentatively identified as locations for setting up quality and accountability networks, based on members' demand, prior engagement by HAP/existing networks to build on, and the potential to engage in both NEP and non-NEP activities.

Based on the Roving Team's engagement in Bangladesh, an informal network on quality and accountability was established. Since March, a national Peer Support Group (PSG) had also been explored with a view to support HAP member agencies and their partners by sharing organisational expertise, tools, and learning on quality and accountability. In addition, the Bangladesh PSG aimed to provide a forum for agencies to share and discuss achievements,

challenges and good practice in relation to strengthening accountability and quality management in emergencies. Representatives from 13 agencies participated in the three meetings organised in 2008 and activities are anticipated to continue in 2009 with remote support from HAP on request.

In Myanmar, the joint HAP-Sphere team contributed to strengthening the Quality and Accountability Learning Group while also working closely with the Local Resource Centre and the Capacity Building Initiative with a view of establishing a poll of local resource people on quality and accountability.

Focussed support for accountability in Pakistan: Active since October 2005, the Pakistan Programme continued throughout 2008 with a focus on the following activities:

- Training and other capacity building services for members: Introductory meetings were conducted for Muslim Aid, CWS-P/A and Sungi, explaining HAP mandate and services. These meetings were conducted both at the national head office of the respective agencies and at programme sites. In July, a five-day training workshop was conducted for all members working in Pakistan; non-members also attended. In September, a five-day training was conducted for CARE International. Four one-day sessions were conducted for Concern in Pakistan at various field locations. World Vision Pakistan, ACTED Pakistan and CAFOD working through Caritas were provided with tailored guidance and support to implement the HAP Principles.

- Field support provided in new emergencies in Pakistan: Member agencies worked collectively or sought specific support from the HAP Pakistan office following the July floods and the October earthquake. Tailored support was offered to both HAP members and their implementing partners. Muslim Aid, CWS-P/A, Concern and CARE International in Pakistan have actively participated in monitoring visits by the HAP Pakistan team, particularly during the Baluchistan NEP deployment.

- Baselines for members and non-members: Sungi is preparing for a baseline, and CWS P/A and Care International in Pakistan received an introduction into the baseline analysis process.

- New HAP promotional materials developed and tested: The HAP Standard has been translated into Urdu and has been published in consultation with member agencies. A dissemination plan has been developed and was being implemented at the end of 2008. The HAP Pakistan team represented HAP at events in Thailand and Afghanistan.

- Local humanitarian and development NGOs engaged: As a result of a national awareness raising strategy, three NGOs from Pakistan joined HAP in 2008 and two more have submitted membership applications.

- <u>Beneficiary attitudes surveyed for the HAP Annual Report</u>: Beneficiary views and perceptions have been regularly documented and communicated via the relevant page on the HAP website. Contributions were submitted to feed into the Annual Report.

4. Promote long-term sustainability of the procedures, policies and expertise on complaints management across member agencies and their partners

Finalise the Complaints Management workshop materials: The Complaints Management workshop materials were consolidated in 2008 and will be revised on a continual basis according to participant and organisation feedback and needs. Two Complaints Management workshops were conducted in 2008.

Conduct BSO Learning Programmes: Based on conclusions in the report '*To complain or not to complain: Still the question*' and findings from baseline analyses and certification audits, the structure of the BSO Investigations Programmes was revised as planned with a focus on improving HAP's ability to meet the needs of organisations through:
- Explicitly linking issues of prevention and investigation of sexual abuse and exploitation allegations with overall accountability and quality management efforts and providing concrete steps in how to develop a complaint-handling system;
- Implementing a cost recovery element as per the HAP Strategic Plan to ensure member agencies' commitment to address complaint-handling gaps.

Due to the Complaints Handling Training Coordinator position being vacant for six months, only eight (instead of the expected 12) workshops were conducted in 2008. Of the 138 workshop participants, thirty-three completed the BSO Learning Programme during the year (this includes the Investigations workshop, a simulated investigation case study and the Follow-up workshop). Following a recent survey of former BSO workshop participants, 24 reported that they had conducted investigations for their organisations. In addition, 67% of respondents stated that they used HAP workshop materials in their organisations.

Provide practical tools for developing functioning, safe and accessible complaint mechanisms: The development of practical tools and updating of resources continued in 2008, through the production of the second edition of the Investigations Workshop Training Handbook and the BSO Guidelines on Receiving and Investigating Allegations of Abuse and Exploitation by Humanitarian Workers. In addition, to meet the expressed needs of member agencies and regional networks, the Investigations Workshop was translated into Arabic and French. The first Investigations workshop for French speakers was piloted in Haiti in June.

Conduct 1 BSO Training of Trainers (ToT) workshop: The ToT workshop was also restructured in 2008 and, as a result, it will be replaced with a Training of Facilitators (ToF) learning programme in which participants will receive individual, specialised coaching prior to the workshop, and then co-facilitate an Investigations or Investigations Follow-up Workshop with an experienced HAP trainer. As a result of the restructuring, a ToT workshop was not conducted as planned in 2008. Eleven graduates of the ToT learning programme co-facilitated at least one BSO Investigations Learning Programme Workshop in 2008.

Subtitle the films used in the Learning Programmes: The BSO Learning Programme workshop films were subtitled in French and English.

Continue the development of BSO Regional Network: HAP continued to make progress, although slower than anticipated, with the BSO regional networks. Regional networks events where held in Thailand, Jordan and Lebanon in 2008.

As part of the regional network strategy, HAP has taken an active part in the ECHA/ECPS UN and NGO Taskforce on protection from sexual abuse and exploitation. HAP participates in the managerial compliance and enforcement working groups, specifically emphasising the development of guidelines for compliance and verification, and attended the Task Force's May 2008 Technical meeting in New York.

Provide training and funds to strengthen the existing work of the Middle East regional network: HAP conducted and provided funds towards a Complaints Handling Workshop in Amman, Jordan for the Prevention of Sexual Exploitation and Abuse project managed by CARE Jordan. Subsequently, a BSO Investigations Workshops was held, including two participants from the population of concern.

HAP also conducted a briefing in Lebanon, leading to interest from Naba'a in establishing a network on Prevention of Sexual Exploitation and Abuse in the country, which will link with existing child protection and human rights networks.

Set-up and develop regional networks in South East Asia/Pacific and South Asia: The development of BSO regional networks was merged with HAP's accreditation process. The networks will therefore not only focus on prevention and response to sexual exploitation and abuse, but also include support and training on compliance with and monitoring of the HAP Standard and, in due course, may be able to conduct HAP certification as accredited agencies.

In 2008 and at the request of the Committee for Coordination of Services to Displaced Persons in Thailand, HAP staff members led the facilitation of, and provided administrative support for, a BSO Investigations Workshop and assisted with a Follow-up Workshop in Bangkok.

Develop relevant follow up activities to the Beneficiary Based Consultation: The findings from the Beneficiary Based Consultation helped to refocus the work of the Complaints Handling Unit in 2008. They included:
- Situating prevention and response to exploitation and abuse in the overall accountability framework of organisations;
- Creating an environment of trust and partnership that solicits complaints and feedback;
- Raising awareness among beneficiaries on sexual exploitation and abuse by aid workers;
- Creating an environment that reduces sexual exploitation and abuse.

Develop on-line information exchange as a forum for strengthening collaboration and information sharing on complaints handling: Due to limited response from users of the D-Groups online information exchange, the Complaints Handling Unit decided to review how best to build a stronger community of practice in 2009.

Utilise HAP website to advertise training materials and information on complaints mechanisms: The Complaints Handling Unit was active in utilising the HAP website to provide information on upcoming workshops, upload relevant case studies and resources on complaints handling and inform the public of the support and advice provided by the Unit. In addition, the Unit's training schedule and participant database was launched in 2008, enabling participants to register online for HAP events.

Merge BSO newsletter with the HAP newsletter: An article on report '*To complain or not to complain: Still the question'* was included in the joint HAP-BSO newsletter produced in 2008.

5. Grow HAP's membership in a strategic manner

Approach potential members based on growth and diversification plan: In 2008, the HAP Secretariat took a more proactive approach to attracting new members, based on a membership growth and diversification plan integrated with the fundraising and emerging communication plan. Communication with potential members led to 11 successful applications, bringing the total number of Full Members to 27 and of Associate Members to six by the end of the year. The new Full Members (highlighted in Chapter 1) added not only to the diversity of the membership (first members to join from Afghanistan, Lebanon and Pakistan), but also to its breadth (many of the new members themselves are networks of national, regional and international agencies). People In Aid joining as an Associate Member marked the addition of the first quality and accountability initiative to the membership list.

Hold two accountability promotional events: Accountability promotional events to raise awareness and interest in HAP and its key messages took place throughout the year as part of planned briefings, presentations and workshops, or as stand-alone sessions. In 2008, promotional events took place in Bangladesh, Ireland, Kenya, Lebanon, Myanmar, Pakistan, Sweden, Switzerland, and the UK although these were carried out in conjunction with other activities and no additional expenses were incurred.

Summary against the Strategic Objectives

In 2008, HAP maintained its presence in emergencies with a focus on capacity building as envisaged in the strategic plan (Section 10.2). To reflect the local context and members' increasing requests for tailored support, the approach varied at the different locations, increasing the scope of activities and services offered. Individual agency support based on a commitment to cost sharing continued in 2008 alongside peer-to-peer exchanges. No steps were undertaken towards increasing the number of roving teams; instead, a decision was made to continue providing sustained support in new emergencies (up to three months in each location) and working with members to identify how in-country support can inform agencies' quality management systems and emergency response strategies.

The 2008 targets for capacity building (Section 10.15) and quality management (Section 10.14) were also largely achieved through the provision of flexible and practical services delivered based on demand and using a cost-recovery strategy with subsidised rates for members. Priority was given to agencies enrolled in the certification scheme. The increasing requests for support from members and non-members alike—particularly on developing Accountability Frameworks, undertaking HAP Standard baseline analyses and guided self-assessments, and designing complaint handling processes—could not be fully met by the HAP Secretariat, an indication of the quality and recognition of services provided. To meet the increasing demand, HAP staff worked closer with members' focal people and other key staff with a view of building a stronger network of resource people who both the Secretariat and HAP members can draw on in the future.

The strategic objective to phase out accountability workplans in favour of certification plans (Section 10.6) was not realised due to the decision of the General Assembly in 2007 to retain the original HAP membership categories and obligations. In 2008, the Secretariat provided members with ongoing support to develop new or consolidate existing accountability workplans.

To maintain credibility and legitimacy of HAP's own complaint handling function (Section 10.7), the responsibility for handling complaints against HAP members was moved under the authority of the Regulatory Director (see next section in this chapter) and outside the Complaints Handling Unit, which focussed on the provision of capacity building services. In 2008, HAP continued to provide specialised support and capacity building services to agencies to set up complaint handling systems. The "expert witness" function was used for the first time in 2008, with one member agency requesting support for an investigation to be conducting for an implementing partner. HAP made a consultant available to the partner organisation.

The membership growth targets (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 in the previous section, the proposal to create the new categories was not adopted by the General Assembly in 2007 and it is thus not possible to report against the set targets. However, 2008 saw the highest rate of increase in membership since the partnership was founded; nine new Full Members joined, representing a 50% increase and taking the total number of Full Members to 27. Two more Associate Members also joined, taking the number in this category to six.

> *III. Regulatory Services: To develop and operate HAP regulatory services that are affordable, mission critical, consistent, impartial and professional*

Highlights
- Certification of two more agencies against the HAP Standard
- 19 corrective action requests followed up with certified agencies
- 14 member agencies enrolled in the certification scheme
- Three organisations expressed interest in HAP accreditation
- ToR for the CARB developed and members identified

1. Certification

Certification audits: HAP's workplan anticipated eleven certification audits during 2008. Of these, two were completed—for Tearfund UK and DanChurchAid—bringing the number of certified agencies to five. HAP learned that the average time between baseline analyses and decision for certification is around 10 months. Some of the reasons for the time difference include but are not limited to:
- Strategic commitment from senior management and a decision to proceed takes longer than originally anticipated.
- Agencies take time to consider whether the unit for certification should include both relief and development aspects of their work.
- A consultative approach to the development of the Accountability Framework can be time consuming.
- Accountability focal persons manage several tasks, have limited resources and are often called away to emergency responses.
- Planning for effective baseline analyses at programme sites takes time.

To encourage but also recognise progress towards certification, both member and non-member agencies were given the opportunity to enrol in the HAP Certification scheme. Enrolment in the certification scheme represents a commitment to take a step-by-step approach towards certification. As an incentive, the Secretariat decided to work closely with agencies enrolled in the certification scheme and provide them with support in developing a tailored plan to move towards certification. Some services from the new HAP membership services statement were made available only to these agencies.

Preparation commenced for certification audits of CAFOD and Christian Aid in 2009.

Table 4: Certified agencies as of 31st December 2008

Agency	Head Office Contact Details	Original Approval	Current Certificate From	To	Certificate Registration No.
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 Ampang Point 68000 Ampang Selangor Darul Ehsan **Malaysia**	28 /11/07	28/11/07	27/11/10	AS003/1107-H
DCA DanChurch Aid	Nørregade 13 DK-1165 Copenhagen K **Denmark**	16/06/08	16/06/08	15/06/11	E005/0508-H
Tearfund UK	100 Church Road Teddington Middlesex TW11 8QE **England**	18/06/08	18/06/08	17/06/11	E004/0308-H

Mid-term audits (MTAs): In 2008, 19 Corrective Action Requests were followed up. Due to scheduling arrangements, MTAs were delayed until early 2009.
- DRC: head office MTA was completed and all self-assessment documents from programme sites were received in 2008. However, the field site MTA was postponed until early 2009.
- The OFADEC MTA was postponed to January 2009.
- The MERCY Malaysia MTA was planned for May 2009.

Auditor training: In 2008, HAP conducted a second auditor selection process[33] with the intention to expand the poll of seven trained and registered independent auditors qualified to conduct HAP certification audits. After consideration of the number of certification audits projected for 2009 and potential costs, the Secretariat instead decided to appoint a single consultant selected to conduct baseline analyses and provide organisational development support, thereby liberating the time of the HAP Chief Auditor to focus on certification audits.

Auditor Refresher: Auditor refresher training was scheduled for November 2008 but postponed until 2009 due to lengthy illness of the Regulatory Services Director[34]. Auditors are trained using the requirements listed in the ISO 19011:2002 standard and are required to take part in a minimum of two supervised audits before they are able to carry out audits for HAP. The HAP website lists all auditors registered to carry out HAP audits, and their contact details.

Compliance to ISO: After each audit, independent auditors receive a performance review against the ISO 19011 standard. In 2008, Regulatory Services were guided by ISO 17021; a baseline analysis of HAP against ISO 9001 was deferred.

2. Accreditation

Accreditation Audits: A draft outline of elements required for accreditation was developed in 2008 and HAP held initial discussions with potential networks—ACT International, Naba'a, ADRRN and the HAP Pakistan Office— that have shown interest in the HAP accreditation process. Further work on this was deferred to 2009, to take place alongside the development of the Accreditation Standard.

Networks / organisations operating registered auditors: The workplan anticipated that preliminary assessments of up to three prospective HAP certification franchise holders would be completed and accredited auditors trained by the end of 2008. The long-term absence of the Regulatory Director curtailed progress against these goals, although ACT International,

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33   *46 Applications were received.*
34   *In February 2007, 6 auditors were trained and registered. HAP Auditors are required to complete a minimum of 2 audits per year to stay registered to ensure that they remain up to date and experienced. Initially 2 audits are required to be undertaken with supervision and a performance review carried out to ascertain competency. The limited number of certification audits has meant that the initial 6 auditors have not had sufficient supervised audits to maintain registration. A review of the training and registration process will be undertaken in 2009.*

the Asian Disaster Reduction and Response Network (ADRRN) and HAP Pakistan confirmed their interest in seeking HAP accreditation. HAP was also approached by two leading commercial audit firms interested in sub-contracting certification audits.

3. Certification and Accreditation Board Administration

The establishment of the Certification and Accreditation Review Board (CARB) was formally agreed at the 2008 General Assembly, in principle enabling the HAP Board to delegate responsibility for overseeing HAP's regulatory services to a specialist panel, with an independent chair, and a built-in majority of independent members. The Secretariat drafted detailed terms of reference that were approved by the HAP Board in October 2008, enabling the election procedure to be completed by December.

Research and Development: HAP's 2008, workplan anticipated the research and development of an accreditation standard to be submitted for adoption to the General Assembly in 2008. This process was postponed to 2009 due to the absence of the Regulatory Services Director in the latter half of 2008.

Training of CARB as certification body: As the CARB was not fully established until December 2008, training of elected CARB members in relation to the certification process was postponed until 2009.

Administration of HAP Certification Body: In 2008 the Executive Director and Regulatory Director, supported by the Chief Auditor, managed the certification authorisation process, pending the establishment of the CARB.

Web Content Management: A register of certified agencies was posted on the HAP website, including accountability frameworks and summary audit reports. The register of HAP accredited auditors was also made available on the website.

4. Investigate Complaints

Conduct investigations: The procedures for Complaints Against Member Agencies were advertised through HAP workshops and on the HAP website; however, no complaints concerning HAP members were received in 2008.

Establish and administer a pool of independent investigators: In 2005, a pool of 25 investigators (BSO trained) was established, of which one completed an independent investigation for the implementing partner of a HAP member.

The standard protocols stating the rights and duties of member agencies in HAP led investigations and ***the certification process for investigators*** were deferred until 2009 due to the absence of the Regulatory Services Director.

Summary against the Strategic Objectives

The 2007-2009 Strategic Plan (Section 10.3) set a target of 18 agencies achieving certification by the end of 2008. As expected at the end of 2007, with the delay in the adoption of the Standard and the longer than anticipated certification cycle, this target was missed in 2008. However, two more agencies made significant progress and were certified in 2008. Of the 14 agencies enrolled in the certification scheme at the end of 2008, two submitted applications for certification audits, which were scheduled for 2009. Monitoring of certified agencies took place as planned.

While certification against the ISO or SAI was not pursued in 2008, the ISO Standards were observed as guidelines to the HAP certification process.

The delay in finalising the Standard, combined with the longer than anticipated certification cycle, led to a delay in the development of the accreditation scheme. A decision was made to develop an Accreditation Standard (following the ISO guidelines) in parallel to researching market interest in the accreditation process. Several networks approached HAP directly with a view of exploring accreditation options and the accreditation of one NGO network in 2009 (Section 10.13) is by and large on target.

The process for handling complaints against members (Section 10.7) was made available via the HAP website and communicated to staff of members and their partners at workshops and briefings. The updating of relevant procedures was delayed until 2009 due to the absence of the Regulatory Director for most of 2008.

In support of the certification and accreditation (10.3) as well as the complaint handling targets (10.7), HAP established the Certification and Accreditation Review Board.

Arguably, the major elements of HAP's certification scheme were only in place for the first time in 2008. There is no doubt that HAP underestimated the time required to establish the norms, the infrastructure and the demand, but as 2008 ended there were strong indications that a growing number of agencies, donors and networks were acknowledging that the introduction of programme quality assurance through independent standards compliance verification

could be no longer put off within the humanitarian sector. In this respect, HAP was uniquely placed to consolidate its position as the leading global humanitarian programme quality assurance scheme.

IV. _Governance and Management:_
To strengthen HAP's operational and strategic capacity

Highlights
- Certification and Accreditation Review Board established
- Board and CARB elections successfully completed
- 16 membership applications received and eleven approved
- Board endorsement of inter-operability policy towards the quality and accountability initiatives
- 65% of the 2008 workplan was completed with 61% of the approved expenditure budget
- 60% of the revenue target was achieved, resulting in a CHF 300,000 operating deficit on the year, although this would have shown as a CHF 250,000 surplus without the changes made to HAP accounting rules.
- HAP entered 2009 with reserves of CHF 360,000 and contracted funding for over 60% of its 2009 workplan
- New membership services statement published

1. Support and Strengthen the Governance of HAP

Board: The HAP Board met twice in 2008. At its 13th meeting the Board proposed changes to the draft terms of reference for the Certification and Accreditation Board (CARB), expressed support for the economy measures being taken by the Secretariat, endorsed a new policy on inter-operability with regard to the quality and accountability initiatives and agreed a strategy for the HAP Standard review process. At its 14th meeting, in October 2008, the Board approved the 2009-2010 Budget and Workplan as presented and the revised terms of reference for the CARB, clearing the way for the CARB election held in December. One independent Board member resigned for family reasons, but throughout the year the Board provided a balanced blend of enquiring support for the Secretariat

General Assembly: Hosted in Geneva on 23-24 April, the General Assembly was attended by 40 representatives of member agencies and donors. Members presented their annual reports in small breakout groups, clustered

according to four main themes: Accountability in the Field, Workplans and Baselines, Complaints handling, Humanitarian Accountability Frameworks. The open session on "How will one small standard make a giant leap for humanitarianism?" marked the Geneva launch of *The Guide to the HAP Standard* and attracted over 80 participants.

Members for the new Board amongst HAP members were elected during the General Assembly. Unfortunately, the election of independent Board members could not take place because no nominations for independent candidates had been made. A second election process was conducted in December that was successful in filling the independent Board seats and achieving full complement of CARB members.

Overall, 2008 was a year of consolidation and learning, with encouraging feedback from participants at the 2008 General Assembly.

Review new membership applications: 2008 was a record year for the growth in HAP's membership. In October, the Board approved a revised membership review procedure, in order that the growing burden of reviewing applications could be more widely spread amongst the members of the Board. During 2008, HAP received 16 membership applications, of which 12 were recommended by the Secretariat, and 11 approved by the Board. Another five applications received in 2008 were assessed by the Secretariat and due to be reviewed by the Board in early 2009.

2. Manage the HAP Secretariat

*Recruit, retain and develop the human resources required to deliver the workplan***:** Major organisational changes were required to enable the Secretariat to deliver the 2008-2009 Workplan. The new organigram of the HAP Secretariat, approved in November 2007, included eight new positions (Development Services Director, Regulatory Services Director, Policy Services Coordinator, Complaints-handling Training (BSO) Coordinator, Research and Communications Manager, Chief Auditor, Human Resources and Office Manager, Finance and Donor Relations Manager) while eight existing positions were phased out. A comprehensive change management process was initiated in late 2007 and implementation was completed in the first two months of 2008. The organisational changes were realised though internal recruitment (4 x), external recruitment (3 x) and voluntary departures (3 x). Although the post was advertised in January, it was decided to leave the position of Development Services Director vacant until the funding situation improved.

Manage financial resources required to deliver the workplan: In retrospect, the 2008 budgeting process, which was undertaken just 4 months after the merger of HAP and BSO in 2007, was based upon an overly optimistic revenue assessment. However, by April 2008, the Board was warned of a probable funding shortfall, and in May the Secretariat convened a staff meeting to review expenditure plans and to make further cuts or postponements in the workplan to reflect the funding and cash-flow situation at the time.

Resulting from this, the Secretariat achieved large cost reductions through deferring (and subsequently cancelling) the recruitment of the Development Services Director, and by making savings in travel, communications and administrative costs. While the long-term absence of two senior staff provided an involuntary opportunity to cut more costs, these were only realised through the decision to not recruit temporary replacement staff.

As a result, the Secretariat operated through most of 2008 with just one of its four senior staff positions filled. As the rest of the Secretariat report reveals, the consequence was that HAP completed the lowest proportion of its annual workplan since being established, although it can reasonably claim that completing 65% of the 2008 workplan while spending 61% of its approved expenditure budget and raising 60% of its revenue target was a relatively satisfactory result under the circumstances.

Planning: In light of the tougher fundraising climate in 2008, and in anticipation of more serious consequences arising from the global credit crisis, the Secretariat's workplan and budgeting process, conducted in August/ September 2008, set out to cut at least 30% from the CHF 3.4 million indicative budget approved by the Board in November 2007. Through the introduction of a more ambitious cost recovery policy, the streamlining of services (see below) and the consolidation of several planned consultancies, the Secretariat presented a budget of CHF 2.18 million to the Board, representing a 36% reduction against the approved indicative 2009 budget, and a 39% reduction against projected expenditure in the 2007-2009 Strategic Plan.

From the perspective of risk management, the cost reductions achieved in 2008 and the planned scaling back for 2009 were driven by the prudential approach taken by the Secretariat with strong support from the Board. However, this in turn ran the risk that the resulting deferral of many of HAP's activities would be seen as a loss of confidence in HAP's mission rather than as a reflection of the, hopefully temporary, attenuation of the practical commitment towards strengthening humanitarian accountability that appeared to have taken place amongst some key donors.

As a consequence, the Secretariat also resolved in planning its 2009-2010 programme to adopt a much more pro-active stance in asserting the real impact that it is achieving in improving the quality and accountability of humanitarian action. While 2008 was disappointing in terms of fundraising and delivery of the Secretariat's workplan, in regard to the key strategic indicators of demand for membership, certification and accreditation, the Secretariat entered 2009 feeling confident in the quality, relevance and impact of its services, and more optimistic than ever in the future of the humanitarian quality assurance movement.

Reporting: HAP's reporting commitments were largely fulfilled through the publication of the *2007 Humanitarian Accountability Report* and the posting of almost all internally generated documentation on the HAP website. The commitment to prepare a quarterly newsletter was only partly realised, largely due to the long absence of the Policy Services Coordinator.

Although not included in the 2008 workplan, in October, the Board agreed terms of reference for a mid-term review of the 2007-2009 strategic plan. However, the Secretariat reluctantly decided to combine the proposed strategic review with an overall evaluation of HAP scheduled to take place in 2009, as an economy measure.

3. Review the Procedure for Complaints against Members

Review current HAP complaint mechanism: The research for this task was completed in 2008, but the revision was postponed until 2009 due to the extended sick leave of the Regulatory Services Director.

Revise the procedure "Complaints against Member Agencies": This task was postponed until 2009 after discussions with the ECHA/ECPS Task Force and Save the Children UK regarding the development of a global inspectorate on prevention of sexual exploitation and abuse. It was agreed that the processes should be harmonised to enable complaints to be received from and against both HAP members and non-members.

4. Strengthen Strategic Relations

Engage with Quality and Accountability Initiatives: The Secretariat strengthened its engagement with the leading quality and accountability initiatives, although the tendency of the international aid system towards creating new consortia and joint initiatives instead of reforming, consolidating or abolishing existing ones meant that 2008 was not without its disputes.

For example, the initial decision by Save the Children UK to promote the establishment of a new independent "watchdog" to tackle sexual exploitation and abuse by aid workers seemed to entirely overlook the fact that HAP, in part, and BSO in its entirety, were set up to do precisely this, somewhat ironically in response to SC-UK's 2002 report on sexual exploitation and abuse. Extensive discussion with SC-UK during 2008 led to joint agreement to establish an "inspectorate" project to be trialled within the HAP Standard review process. 2008 saw several other similar examples, some of which led to the creation of new initiatives with mandates overlapping with existing ones, thereby making the task of cooperation and integration ever more challenging.

In response, in April 2008 the HAP Board approved a policy paper promoting the principle of "inter-operability" between the services and products of the quality and accountability initiatives. This was subsequently shared with the participants of the Quality and Accountability meetings and the new emphasis that this placed on practical cooperation and mutual recognition, instead of the more conventional concern with structural integration and joint communications, soon proved to be beneficial, and helped prepare the ground for:
• A joint commitment with People In Aid to conduct trials in shared quality auditing;
• Agreement was reached between the Sphere Project and HAP to align their respective standards' revision processes with a view to seeking greater coherence, consistency and inter-operability;
• Joint HAP/Sphere deployment to Myanmar following Cyclone Nargis;
• Consultation and feedback on the development of the questionnaire for the SCHR Peer Review;
• A draft comparison between the DEC-Accountability Framework and HAP Standard for the DEC members.

In addition:
• HAP staff attended the two Quality and Accountability initiatives meetings that took place in 2008;
• Bilateral meetings were held with the ECB Project, People In Aid and the Sphere Project;
• HAP presented the Standard to the Disasters Emergencies Committee in the UK;
• HAP attended meetings of the BOND (UK development NGOs network) quality working group and presented the HAP Standard at the BOND Accountability Framework workshop.

Promote certification to the Good Humanitarian Donorship: While HAP was not invited to attend any meetings with the Good Humanitarian Donorship Initiative during 2008, the Secretariat continued in its bilateral discussions with donors to emphasise the commonality between the GHD principles and the

HAP mandate and its programme quality assurance scheme. Discussions were also held with a representative of the OECD Development Assistance Committee secretariat and with the IASC cluster coordination body that indicated growing support for advocating more accountability from members of the GHDI, especially around programme quality issues.

Promote the HAP Standard at strategic opportunities: Secretariat staff took on many opportunities to promote the HAP Standard and certification scheme during 2008. These included:

* Presentation of the HAP certification scheme at the DFID partners meeting in London, UK;
* Presentation on "Accountability for Protection" at the UNHCR/NGO retreat and follow-up meetings, subsequently leading to the decision by UNHCR to commission a HAP Standard baseline analysis;
* Presentation of paper on humanitarian quality assurance at the KPMG high-level meeting in Geneva;
* Several presentations to BOND members in London;
* Presentation and various meetings with the Disasters Emergency Committee particularly on humanitarian accountability frameworks;
* Presentation on the HAP research agenda on humanitarian quality management and assurance at the Davos Conference on Disaster Preparedness;
* Presentation on Humanitarian Quality Assurance at the Horwath "not-for-profits" Conference in London;
* Presentation on the HAP certification scheme at the Caritas Internationalis emergency directors meeting held in Rome.

From 2009, this area of work will be reported under Policy Services.

5. Fundraising and Marketing

2008 proved to be a very difficult year for the Secretariat, in contrast to the impressive growth recorded in 2007. However, in spite of the significant fall in donations, which resulted in a fall of the 2008 income (27% below 2007 income and 48% below the 2008 budget), the Secretariat also reduced its costs by 9% compared to 2007 and by 39% against the approved 2008 budget.

Due to a change in HAP's accounting rules, the Secretariat posted a net loss in 2008 of just over CHF 300,000. The new rules meant that 28% of the funding received in 2008 was recorded as income for 2009. Under the former accounting rules, a net gain of about CHF 250,000 would have been recorded. At least in this respect, the 2008 result can be considered to be satisfactory. It

also demonstrated that the Secretariat was able to manage its expenditure to match actual income, rather than to spend in line with the approved budget.

Also on the positive side:
- Self-generated income grew from 5% of total income in 2007 to 18% in 2008;
- HAP closed the year with a reserve of CHF 363,482;
- HAP entered 2009 with over 60% of its budget covered by contracted income.

Meet donor reporting requirements: The Secretariat met the reporting requirements of all donors, most of which have continued to accept the annual Humanitarian Accountability Report as a sufficiently comprehensive tool for meeting their needs.

Submit funding applications in line with the funding strategy*:* HAP's total annual income fell by 27% in comparison to 2007. The official aid departments of Finland and New Zealand turned down grant applications because HAP was not present in their respective countries. Similarly ECHO turned down an application because HAP has no registered presence within the European Union. Canada rejected a funding proposal due to the non-availability of funds at the time of application. The Swiss Development Corporation (SDC) gave no formal reply either to HAP's funding application submitted in March 2008, or to the Secretariat's subsequent requests for clarification about possible appeal procedures. An application for the BSO project was initially rejected by DFID on eligibility grounds, and although HAP immediately appealed, the relevant fund was by then fully allocated. AusAID rejected HAP's grant application due to a perceived lack of impact in Australia, but agreed to reconsider the position in 2008. Draft applications to USAID's Office of Foreign Disaster Assistance and the US State Department's Bureau of Population, Refugees and Migration, were not finally submitted because HAP and InterAction were unable to reach agreement on key elements of the project. The Accentus Foundation of Credit Suisse rejected an application because of the "non-availability of funds for such activities".

On the positive side, both DANIDA and the Ford Foundation made new two-year funding commitments and Norway approved a second one-year grant. Both the Oak Foundation and Swedish SIDA approved two-year earmarked grants for the BSO project and Oxfam GB also made a special donation to BSO. Church World Service provided funding for the joint HAP-Sphere deployment to Myanmar and DFID approved a follow-on grant via the host agency, SCUK[35]. Ten member agencies provided cost recovery funds for HAP's field support programme in Bangladesh.

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35   *Thus the DFID grant for Myanmar does not appear on HAP's books.*

Donor management: Visits were made to the Ford Foundation, SIDA, SDC, IrishAid, DFID and CIDA. Proposals to convene a donors meeting were made to several of HAP's long-standing donors, and while this generated some interest, HAP was unable to identify a donor willing to take the lead.

Identify new donors: The Secretariat commissioned research from a volunteer to search for new potential donors. While this identified several new leads, it did not ultimately generate any new funding in 2008. In fact, the Secretariat's experience in 2008 underlined the validity of HAP's existing funding strategy, which is based upon the simple premise that the major humanitarian donors—most of which are party to the Good Humanitarian Donorship Initiative (GHDI)—have the most to gain from HAP's mission. While some of the GHDI donors have rules that disqualify HAP funding applications, the key to successful fundraising for HAP continues to be in demonstrating HAP's strong comparative advantage in assisting the major humanitarian donors in making substantive progress in the realisation of several critical GHD Principles, most particularly those concerned with programme quality, accountability to disaster survivors and learning. With the limitations on the time that it can realistically devote to fundraising, learning from 2008 confirmed that the most effective strategy for the HAP Secretariat was to continue to focus on the major donors, and demonstrate to them that there is real demand for its services, and that agencies are willing to cover a substantial proportion of the costs of these. In this latter respect, 2008 was a successful year, while in retrospect the time devoted to new potential new donors would have probably been better spent on providing more information to HAP's long-standing financial supporters.

To prepare and disseminate a HAP membership Services Statement: In July 2008, the HAP Secretariat convened an internal workshop to define, prioritise and reconfigure its membership services. This was necessary because much of HAP's field and headquarters support work had evolved in a rather *ad hoc* manner, in response to specific requests, not all of which the Secretariat was necessarily qualified nor mandated to provide. In addition, while the merger with BSO had brought new skills and resources, there remained some duplication of effort especially around complaints-handling capacity building. The services review, steered throughout by HAP's strategic objectives, resulted in the streamlining of services and the creation of a new services statement. This, combined with the introduction of a simple and transparent cost recovery policy, brought new clarity, focus and energy to the Secretariat's service delivery function, the whole package being approved by the HAP Board in the October budget authorisation meeting. While the new cost recovery policy only took effect from 2009, by the end of 2008, it was already apparent that most members were interested, willing and able to make a substantial contribution towards the cost of HAP's services. In

addition, the new policy enabled the Secretariat to focus its limited capacity upon those most committed to change and improvement, while ensuring that the users of HAP's services felt entirely fully justified in demanding value for money from HAP.

Summary against the Strategic Objectives

A key governance strategic objective was achieved in 2008, this being the establishment of an autonomous authority within HAP that had a majority of independent members, able to guarantee the integrity of the certification and accreditation processes.

While the proposed changes to the membership categories have not been pursued again since the General Assembly rejected these in 2007, the influx of new members and the surge of interest and engagement in the HAP certification scheme have certainly reinvigorated the HAP General Assembly and the Board, and in this respect significant progress was achieved in 2008 in cementing the basis for a sustainable and effective global humanitarian programme quality assurance scheme.

For the first time, the process for handling complaints against members was made available in a prominent place on the HAP website and communicated to staff of members and their partners at workshops and briefings.

Annexe I. HAP 2008 Audit Report and Accounts Summary

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Report of the auditors to the Board of

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

Financial statements for the financial year 2008,
with comparative figures, including:

Balance sheet as of December 31, 2008
Statement of financial activities
for the financial year 2008, with comparative figures

Bureau Fiduciaire Lerch SA
Nyon, April 2, 2009

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 2008 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, April 2, 2009

Bureau Fiduciaire Lerch SA
Tony Lerch
Expert réviseur agréé (501116)

Enclosures:
- Financial statements consisting of balance sheet
- Statement of financial activities

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Enclosure 1

Balance sheet as of December 31, 2008   **HAP International**
with comparative figures, *in Swiss Francs*   *Association located in Geneva*

ASSETS	31 Dec. 08	31 Dec. 07
Petty cash	1'075	4'213
Bank accounts and time deposits	931'968	733'057
Liquidities	*933'043*	*737'270*
Other short term assets	32'301	40'998
Prepaid expenses	27'826	13'023
Current assets (including liquidities)	*993'170*	*791'291*
Guarantee deposit	11'609	11'543
Fixed assets	*11'609*	*11'543*
Total assets	**1'004'779**	**802'834**

LIABILITIES	31 Dec. 08	31 Dec. 07
Accounts payable	26'811	52'302
Social charges & withholding tax payable	40'790	32'909
Accrued liabilities	25'303	51'971
Short term debts	*92'904*	*137'182*
Advances from donors [(2)]	548'393	0
Funds capital	*548'393*	*0*
Reserves	0	0
Retained earnings	665'652	395'711
Net result for the period	-302'170	269'941
Association capital	*363'482*	*665'652*
Total liabilities	**1'004'779**	**802'834**

Enclosure 2

Statement of financial activities for the period   **HAP International**
financial year 2008, *in Swiss francs*   *Association located in Geneva*

Net result	2008	2007
Membership fees	109'106	143'543
Donations [2]	1'382'436	2'261'099
Service fees	192'670	0
Costs paid by third parties	12'718	14'509
Other operational revenues	92'846	30'121
Bank interest	6'243	62
Incoming resources	**1'796'019**	**2'449'334**
Salaries & social charges	961'312	834'023
Consultants fees & local staff	529'470	674'535
Recruitment & other personnel costs	18'362	26'676
Representation & travel costs	298'485	332'662
Communication, seminar & workshop costs	99'398	164'617
Local office expenses	2'089	86'279
Programme & staff costs	**1'909'116**	**2'118'792**
Rental and charges	36'470	34'955
Office cleaning & maintenance	6'027	7'090
GA, board and other meeting costs	6'057	36'828
Office & IT equipment & supplies	16'320	30'953
Membership fees, newspapers, books	1'289	3'080
Insurances	662	2'352
Phone, fax & mail	11'724	8'107
Professional fees	26'235	25'019
Other expenses	39'282	0
Administration costs including governance	**144'066**	**148'384**
Bank charges & exchange differences	41'368	37'495
Loss on debtors	884	8'216
Taxes	2'755	1'506
Financial costs and taxes	**45'007**	**47'217**
Total charges	**2'098'189**	**2'314'393**
Net incoming resources/loss	*-302'170*	*134'941*
Provision released	0	135000
Net result for the period	**-302'170**	**269'941**

Enclosure 3

Statement of financial activities for the period   **HAP International**
financial year 2008, *in Swiss francs*   *Association located in Geneva*

Detail of incoming resources 2008 vs 2007	2008	2007
MEMBERSHIP FEES		
ACTED	1'703	0
CAFOD	3'340	7'058
CARE International	20'000	16'300
Christian Aid	6'121	14'505
Concern Worldwide	6'253	14'670
Danish Refugee Council	4'235	8'997
Medair	1'003	2'999
Norwegian Refugee Council	5'122	8'050
Oxfam GB	19'636	16'232
Save the Children UK	9'991	14'670
Tearfund	3'655	8'316
World Vision International	20'000	16'300
DanChurchAid	3'244	8'157
Other *	4'803	7'289
Subtotal	**109'106**	**143'543**
DONORS CONTRIBUTIONS [2]		
Core funding		
AusAID (Australian MFA)	-	243'455
DFID (UK)	273'176	108'719
DANIDA (Danish MFA)	108'563	89'624
Irish Aid	202'500	206'825
Ford Foundation [2]	100'000	117'000
Buitenlandse Zaken (Netherlands MFA)	160'000	160'000
Norwegian MFA [2]	21'349	201'509
SIDA (Swedish International Development Agency)	170'600	177'840
Subtotal	**1'036'188**	**1'304'972**
Earmarked funding		
AusAID (Australian MFA)	-	143'038
Bureau of Population, Refugees & Migration (USA)	17'726	281'047
CAFOD	-	24'709
Concern Worldwide	-	12'220
CWS Pakistan	41'600	11'682
MERCY Malaysia	-	11'980
OFDA (Office of Foreign Disaster Assistance - USAID)	-	167'458
Oak Foundation [2]	51'608	183'939
Oxfam GB (2 grants) [2]	48'213	105'850
Save the Children UK	-	14'204
SIDA (Swedish International Development Agency)	173'901	-
World Vision International	13'200	-
Subtotal	**346'248**	**956'127**
Funding Subtotal	**1'382'436**	**2'261'099**

* Other membership fees: ACFID, ACT, COAR, COAST, CPDI, CWS Pakistan, LWF, MANGO, MAP, MERCY
Malaysia, MERLIN, Muslim Aid, Naba'a, OFADEC, People in Aid, SIDA, SUNGI, WRC

Enclosure 3 (cont.)

Detail of incoming resources 2008 vs 2007 (cont.)	2008	2007
SERVICE FEES		
Training	30'208	-
Monitoring	77'959	-
Consultancy	27'896	-
Auditing	37'496	-
Baseline	19'111	-
Subtotal	**192'670**	**0**
OTHERS		
Costs paid by third parties	12'718	14'509
Other operational revenues	92'846	30'121
Financial revenues	6'243	62
Subtotal	**111'807**	**44'692**
Total incoming resources	**1'796'019**	**2'449'334**

2. Notes to the Financial Statements

A new approach relating to donations was used in 2008, which differs from the former accounting approach.

Previously, all amounts received during a given financial year were recorded as income in that financial. From 2008, income received for activities to be carried out in future financial years is shown as a liability in the closing balance sheet.

In 2007, an amount of CHF 305'000 relating to 2008 funding by AusAID and Norwegian MFA was accounted as donations in the 2007 financial year.

Hence, all funding received during the year 2008, but actually relating to 2009 was considered as an advance and not integrated into 2008 income from donations. The total of these donations amounts to CHF 548393 and is detailed below:

Donations received in 2008 relating to 2009 and not included in 2008 income

Ford Foundation	106'439
Norwegian MFA	234'842
OAK Foundation	154'824
Oxfam	52'288
Accrued liabilities on donations *(in CHF)*	**548'393**

This change in practise results in a net loss of CHF 302'170 in the 2008 accounts.

Secretariat Expenditure and Income Summary Report, by activity
January to December 2008

HAP, YEAR 2008, BY ACTIVITIES	Expenses		Budget
	Actual	Budget	- Actual
Policy Services			
Promote HAP Research Agenda			
Develop strategic academic partnership	0	6,250	6,250
Represent HAP at relevant networks & fora	8,080	6,325	-1,755
Total Promote HAP Research Agenda	8,080	12,575	4,495
Commissioned Studies			
Commissionned Studies	0	61,655	61,655
Total Commissioned Studies	0	61,655	61,655
Review of HAP 2007 Standard			
Review of HAP 2007 Standard	0	75,850	75,850
Total Review of HAP 2007 Standard	0	75,850	75,850
Preparation of communications materials			
Training modules, translation, audio visual materials	3,666	54,500	50,834
Total Preparation of communications materials	3,666	54,500	50,834
Knowledge Management			
Maintain HAP Archives	0	4,100	4,100
Produce and distribute Annual Report	21,060	30,750	9,690
Coordinate website content	7,749	38,000	30,251
Distribute HAP Standard, Guide and materials	9,011	8,115	-896
Total Knowledge Management	37,820	80,965	43,145
Project Support (Policy Services)			
Policy Services Staff	145,465	290,690	145,225
Total Project Support (Policy Services)	145,465	290,690	145,225
Total Policy Services Gross Expenditure	**195,030**	**576,235**	**381,205**
Income/cost recovery	11,968	2,530	-9,438
Total Policy Services Net Expenditure	**183,062**	**573,705**	**390,643**
Development Services			
Leadership Support			
Annual PSG & NEP Workshop/Meeting	1,318	8,680	7,362
Workshop for accountability leaders	0	22,100	22,100
Total Leadership Support	1,318	30,780	29,462
Facilitate Compliance			
Introductory meetings for new members	1,538	6,200	4,662
Baselines	22,405	96,500	74,095
Follow-up to specific service requests	9,573	15,000	5,427
Total Facilitate Compliance	33,515	117,700	84,185
New Emergencies Policy Implementation			
Deployment of NEP Field Team	97,933	122,063	24,131
Share lessons learned in the field after NEP depl.	0	4,200	4,200
Develop field based accountability networks (NEP)	0	5,000	5,000
Pakistan Office (funding as restricted income)	110,732	113,559	2,827
Total New Emergencies Policy Implementation	208,665	244,822	36,158
Complaints handling capacity-building			
Finalise Complaints Management Workshop material	175	18,000	17,825
Conduct 12 Learning Programmes	144,469	265,800	121,331
Provide practical tools	19,008	22,250	3,242
BSO Training of Trainers Workshops	0	18,890	18,890
Subtitle the films used in the learning programmes	0	8,000	8,000
Continue development of BSO Regional Networks	10,438	12,000	1,562
Middle East BSO network support	19,139	21,990	2,851
Set up regional networks in Malaysia & South Asia	0	43,980	43,980
Total Complaints handling capacity-building	193,229	410,910	217,681
Grow Membership			
Accountability promotional events	0	9,700	9,700
Total Grow Membership	0	9,700	9,700
Project Support			
Project support staff	417,208	686,168	268,960
Total Project Support	417,208	686,168	268,960
Total Development Services Gross Expenditure	**853,935**	**1,500,081**	**646,145**
Income/cost recovery	212'714	193'830	-18'884
Total Development Services Net Expenditure	**641'222**	**1'306'251**	**665'029**

HAP, YEAR 2008, BY ACTIVITIES	Expenses		Budget
	Actual	**Budget**	**- Actual**
Regulatory Services			
Certification			
Certification Audits	37,581	108,900	71,319
Mid term Audits	1,014	39,600	38,586
Auditor Training and refresher course	0	57,600	57,600
Review of Certification System, compliance to ISO standards	0	21,100	21,100
Total Certification	38,595	227,200	188,605
Accreditation			
Accreditation (audits and networks)	0	76,740	76,740
Total Accreditation	0	76,740	76,740
CARB administration			
CARB administration	0	34,525	34,525
Total CARB administration	0	34,525	34,525
Investigate Complaints			
Conduct investigations (based on cost recovery)	0	11,730	11,730
Total Investigate Complaints	0	11,730	11,730
Project Support			
Project support costs	222,502	260,820	38,318
Total Project Support	222,502	260,820	38,318
Total Regulatory Services Gross Expenditure	**261,097**	**611,015**	**349,918**
Income/cost recovery	37,496	101,730	64,234
Total Regulatory Services Net Expenditure	**223,601**	**509,285**	**285,684**
Governance and Management			
Governance			
Board Meetings Cost	14,835	37,930	23,095
General Assembly Costs	22,973	23,433	460
Total Governance	37,808	61,363	23,555
Secretariat			
Secretariat staff, head office costs	579,059	690,778	111,719
Total secretariat	579,059	690,778	111,719
Total Governance and Management Gross Expenditure	**616,866**	**752,141**	**135,275**
Income/cost recovery	10,135	0	-10,135
Total Governance and Management Net Expenditure	**606,732**	**752,141**	**145,409**
TOTALS			
Total Net Allocated Expenditure	**1,654,617**	**3,141,382**	**1,486,765**
Total Gross Allocated Expenditure	**1,926,929**	**3,439,472**	**1,512,542**
+ health insurance reimbursements	95,964		
+ unallocated costs (exch.difference, taxes,…)	75,296		
Total Gross Expenditure	**2,098,189**	**3,439,472**	**1,341,282**
Total Income/cost recovery allocated to an activity	**272,312**	**298,090**	25,778
+ health insurance reimbursement	95,964		
Total income/cost recovery allocated to an activity	**368,276**	**298,090**	**-70,186**
Cost paid by third parties	*12,718*		
Service fees	*192,670*	*174,280*	*-18,390*
Earmarked donations	*63,799*		
Other operational revenue	*92,846*		
Bank interests	*6,243*		
+ Unallocated income			
Donations			
Other Earmarked donations	282,449		
Core funding	1,036,188		
Membership	109,106	157,069	47,963
Total other income	**1,427,743**		
Total global income	**1,796,019**	**3,439,472**	
Net loss	**-302,170**		
Total donations for 2008 activities	1,382,436	2,984,313	1,601,877
Donations received in 2008 relating to 2009 activities	548,393		
Total donations received in 2008	**1,930,829**		

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Annexe II. The 2007 Secretariat Workplan: Tabulated Results

- This is the 2008-2009 approved workplan (dated 23/10/07) with activities scheduled to start during 2009 removed
- Status at end of 2008: ✓ = completed; ✓→ = partially completed; → = deferred

Policy Services: *To scale up HAP's strategic impact through advocacy, research and knowledge management.*

Objective	Activity	Time Frame	Status
01. Promote HAP Research Agenda	01. Develop strategic academic partnerships	04/08	✓→
	03. Represent HAP at strategic research fora	Ongoing	✓
	04. Publish HAP research agenda	01/08	✓→
02. Commission Research	01. Study: The effect on programme impact of complaints-handling	12/08	✓
	03. Study: Member & non-member perceptions	06/08	→
03. Review the HAP 2007 Standard	01. Review workshop on HAP 2007 standard development process	01/08	→
	02. Standard review group established	02/08	✓→
	03. 2 Regional Workshops	12/08	→
04. Preparation of communications materials for promoting accountability & quality management	01. Develop and produce materials for *introducing* HAP.	12/08	✓
	02. Develop detailed training modules on all aspects of the HAP Standard	04/08	✓
	03. Develop materials for getting HAP Standard included in staff inductions in member agencies	03/08	→
	04. Develop Audio Visual materials to promote and explain HAP	03/08	→
	05. Translate the Standard into one other language each year	12/08	✓
05. Knowledge management	01. Make HAP archives accessible	1/08	✓
	02. Produce and distribute Annual Report	12/08	✓
	03. Coordinate website content	01/08	✓
	04. Produce and distribute HAP Newsletter	Quarterly	✓
	05. Distribute HAP Guide to the Standard	12/08	✓
06. Project Support	03. Internship Programme Coordination w/ 1-2 Institutions	12/08	→

Development Services: *To provide members with strategic and practical support to comply with the HAP Standard and to encourage non-members to join and/or seek HAP certification*

Objective	Activity	Time Frame	Status
01. To support humanitarian accountability and quality management leaders	01. Strengthen HAP Peer Support Group	12/08	✓
	02. Deliver workshop for training 'Accountability Leaders in "Promoting accountability throughout your organisation"	07/08	✓→
	03. Develop and update a directory of accountability experts	Ongoing	→
02. Facilitate compliance with the HAP Standard	01. Conduct 4 introductory meetings for new members	12/08	✓
	02. Give feedback to member agencies on draft Accountability Workplans	Ongoing	✓
	03. Conduct 8 baseline analyses for members and 2 for non-members	Ongoing	✓
	04. Provide dedicated support to members	Ongoing	✓
03. Implement the New Emergencies Protocol in the field	01. Deployment of NEP staff, 3 x per annum	Ongoing	✓→
	02. Share lessons learnt on accountability and quality management in emergencies across the membership and with the wider community	Ongoing	✓
	03. Develop new, or build on existing, regional networks/ local information centres for promoting quality and accountability in emergencies		✓→
	04. Focussed support for accountability in Pakistan		✓
04. Promote long term sustainability of the procedures, policies and expertise on complaints management across member agencies and their partners.	01. Finalise the Complaints Management workshop materials including case studies of SEA and conduct 4 workshops	12/08	✓
	02. Conduct 12 BSO Learning Programmes per annum, including 4-5 sole agency events for HAP member agencies	Ongoing	✓→
	03. Provide practical tools, such as standard forms, for developing functioning, safe and accessible complaint mechanisms	06/08	✓
	04. Conduct 1 BSO Training of Trainers workshops per annum	12/08	✓→
	05. Subtitle the films used in the Learning Programmes	06/08	✓
	06. Continue the development of BSO Regional Network	Ongoing	✓→
	07. Provide training and funds to strengthen the existing work of the Middle East regional network	Ongoing	✓
	08. Develop regional networks in South East Asia/Pacific and South Asia.	Ongoing	→
	09. Revise Structure of Learning Programme to ensure a minimum number of effective trainers	12/08	✓
	10. Develop relevant follow-up activities to the Beneficiary Based Consultation	Ongoing	✓
	11. Develop on-line information exchange as a forum for strengthening collaboration and information sharing on complaints handling	Ongoing	✓
	12. Utilise HAP website to advertise training materials and information on complaints mechanisms	Ongoing	✓
	13. Merge BSO newsletter with the HAP newsletter	Ongoing	✓
05. Grow HAP's membership in a strategic manner	01. Approach 10 potential members, based on growth & diversification plan	12/08	✓
	02. Hold 2 accountability promotional events per year.	12/08	✓

Regulatory Services: *To develop and operate HAP regulatory services that are affordable, mission critical, consistent, impartial and professional.*

Objective	Activity	Time Frame	Status
01. Certification	01. Certification Audits for 11 agencies	12/08	✓↗
	02. Mid-term audits for at least 4 agencies	12/08	↗
	03 Auditor training	02/08	↗
	04 Auditor refresher	01/08	↗
	06. Compliance to ISO	Quarterly	✓↗
02. Accreditation	01. Accreditation audits of 2-3 networks	12/08	✓↗
	03. 2-3 networks / organisations operating registered auditors	12/08	↗
03. Certification and Accreditation Board (CARB) Administration	01. Research and development of accreditation standard	04/08	✓↗
	02. Training of CARB as certification body	5/08	↗
	04. Administration of HAP Certification Body	Ongoing	✓↗
	05. Web Content Management of accredited organisation info	Ongoing	✓
04. Investigate complaints	01. Conduct investigations in line with the Complaints Against Member Agencies Procedure	12/08	✓
	02. Establish and administer a pool of independent investigators, including BSO-trained investigators.	12/08	✓
	03. Create standard protocols stating the rights and duties of member agencies in HAP-led investigations	06/08	↗
	04. Develop certification process for investigators.	12/08	↗

Governance & Management: *To strengthen HAP's operational and strategic capacity*

Objectives	Activities	Time Frame	Status
01. Support and strengthen the Governance of HAP	01. Two Board meetings per year	10/08	✓
	02. General Assembly	04/08	✓
	03. Review new applications and present recommendations to the Board	Ongoing	✓
02. Manage the HAP Secretariat	01. Recruit, retain and develop the human resources required to deliver the workplan	Ongoing	✓↗
	02. Finance: manage resources required to deliver the workplan	Ongoing	✓↗
	03. Workplan submitted to Board	09/08	✓
	04. Reporting	03/08	✓
03. Review the Complaints Against Member Agencies Procedure	01. Review current HAP complaint mechanism	01/08	✓↗
	02. Based on research, revise the procedure "Complaints against Member Agencies"	12/08	↗

Objectives	Activities	Time Frame	Status
04. Strengthen strategic relations	01. Attend 2 Quality and Accountability networks	12/08	✓
	02. Promote certification to Good Humanitarian Donorship Initiative	Ongoing	✓/→
	03. Promote the HAP Standard at strategic opportunities	Ongoing	✓
05. Fundraising & marketing	01. Ensure all donor reporting requirements are met in a timely and effective manner	Ongoing	✓
	02. Submit funding applications in line with the funding strategy	Ongoing	✓
	03. Donor management	Ongoing	✓
	04. Identify new donors	Ongoing	✓
	05. To prepare and disseminate a HAP Membership Services Statement	01/08	✓

Summary of results:

Activities	**Number**	**Percentage of total**
Completed	43	56%
Partially completed	18	23%
Deferred	16	21%
Total	77	

Summary

Activities completed: 65%
Activities deferred: 35%

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