



# Accountability to Affected Populations

## Tools to assist in implementing the IASC AAP Commitments



**July 2012**

# Tools to assist in implementing the CAAP

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## **Tools to aid in implementing the CAAP**

### **1. The Accountability Analysis and Planning Tool** **6-12**

A synthesis of key industry standards and frameworks, namely the HAP Standard, the Sphere Core Standards, the People In Aid Code, the Global Humanitarian Platform’s Principles of Partnership and CDA’s Do No Harm Framework with the draft IASC operational framework and accountability commitments to form a “meta-framework” for understanding in greater depth what each of the commitments should mean in practice.

### **2. The AAP Self-assessment Tool** **13-20**

The self-assessment tool breaks down each of the indicators within the analysis and planning tool to provide practical assistance for any user group to understand and measure them.

### **3. The Rapid Cluster Accountability Review Tool** **21-23**

This brief tool provides some key and focused areas for assessment from an HCT, cluster, or interagency perspective.

# The IASC Commitments on Accountability to Affected Populations (CAAP)

## Tools to assist in meeting the commitments<sup>1</sup>

### The Commitments on AAP

In December 2011, the IASC Principals endorsed the following 5 commitments:

**Leaders of humanitarian organizations<sup>2</sup> will undertake to:**

**Leadership/Governance:** Demonstrate their commitment to accountability to affected populations by ensuring feedback and accountability mechanisms are integrated into country strategies, programme proposals, monitoring and evaluations, recruitment, staff inductions, trainings and performance management, partnership agreements, and highlighted in reporting.

**Transparency:** Provide accessible and timely information to affected populations on organizational procedures, structures and processes that affect them to ensure that they can make informed decisions and choices, and facilitate a dialogue between an organisation and its affected populations over information provision.

**Feedback and complaints:** Actively seek the views of affected populations to improve policy and practice in programming, ensuring that feedback and complaints mechanisms are streamlined, appropriate and robust enough to deal with (communicate, receive, process, respond to and learn from) complaints about breaches in policy and stakeholder dissatisfaction.

**Participation:** Enable affected populations to play an active role in the decision-making processes that affect them through the establishment of clear guidelines and practices to engage them appropriately and ensure that the most marginalised and affected are represented and have influence.

**Design, monitoring and evaluation:** Design, monitor and evaluate the goals and objectives of programmes with the involvement of affected populations, feeding learning back into the organisation on an ongoing basis and reporting on the results of the process.

<sup>1</sup> Tools developed by FAO in consultation with the IASC Sub Group on Accountability to Affected Populations and with the input of participating Quality and Accountability Initiatives and humanitarian agencies as noted below.

<sup>2</sup> Excepting the Red Cross and Red Crescent movement, who have their own commitments in place

## Summary of Key IASC Decisions on AAP

At their meeting in April 2011, the IASC Principals acknowledged the fundamental importance of accountability to affected populations. They agreed to integrate accountability to affected populations into their individual agencies' statements of purpose as well as their policies. Further, they requested that the Sub Group on Accountability to Affected Populations (part of the IASC Cluster Sub Working group and comprising a diverse representation of UN agencies, NGOs and quality and accountability initiatives), develop a proposal for inter-agency mechanisms that would enable improved participation, information provision, feedback and complaints handling.

The Sub Group compiled a draft operational framework through collaboration with a wide group of stakeholders, in addition to drawing from current industry standards on accountability and quality in humanitarian work, in particular, the Sphere Minimum Standards<sup>3</sup> and the HAP 2010 Standard in Accountability and Quality Management<sup>4</sup>. The framework aims to highlight some of the “bottom line” accountability activities and indicators that should be in place at each stage of the project cycle.

As a complement to the framework, the Principals endorsed the statement of accountability commitments in December 2011, also prepared by the Sub Group. The CAAP aims to establish a shared understanding of the broad tenets of accountability to affected populations and is intended for integration within policy, guiding documentation and practice. Over the course of three meetings in 2011, in February, April and December, the IASC Principals therefore discussed the issue of accountability to affected populations in some depth and made a number of binding decisions, complementary to the CAAP,.

### Members of the IASC are committed to:

- Incorporate the Commitments on Accountability to Affected Populations (CAAP) into all relevant statements, policies and operational guidelines and to promote them with operational partners, within the HCT and amongst cluster members.
- Establish a clear organizational statement of commitments to AAP.
- Develop a plan and put these commitments into practice, including incorporating them in staff inductions and clearly within agreements made with operational partners, ensuring that roles and responsibilities are clearly defined.
- Systematically include participation of affected population in all needs assessment (in conjunction with the rolling out of the NATF consolidated needs assessment approach), as well as monitoring, review and evaluation processes (including IA-RTE).
- Include affected populations in programme/operations planning and review.
- Facilitate the provision of feedback from affected people on the services and protection offered by their agencies, including a complaints mechanism.
- Provide information to affected people about services and support available in local languages and ensure that in any new disaster, information on the emergency situation, availability and nature of humanitarian

<sup>3</sup> <http://www.sphereproject.org/handbook/>

<sup>4</sup> <http://www.hapinternational.org/projects/standard/hap-2010-standard.aspx>

responses is systematically communicated to affected populations using relevant communication mechanisms.

- Designate a senior focal point on protection from sexual exploitation and abuse (PSEA), develop a PSEA work plan and report back on progress.

## Tools to aid in meeting the commitments

### Measuring and monitoring progress against the commitments and the operational framework

The commitments are clear as to the key areas where attention should be focussed. The draft operational framework sets out the basis for a practical plan of action covering each stage of the project cycle for individual agencies and collectively across the IASC membership. The following tools are intended as a bridge between the two: planning aids for agencies and clusters to travel from the general guidance of the commitments to the detail of a tailored and prioritised operational framework at an individual or inter-agency level, as aids to assist in monitoring progress, and in educating stakeholders in what is involved in accountability to affected populations.

These tools were initially developed at FAO and then shared widely for comment and input. In addition to feedback from colleagues in peer UN agencies WFP and UNICEF, the tools reflect detailed input generously offered by the following agencies:

- **ALNAP** (Active Learning Network for Accountability and Performance)
- **infoasaid** (consortium of Internews and BBC Media Action)
- **CDA Collaborative Learning Projects** (incl Do No Harm and The Listening Project)
- **People In Aid**
- **The Sphere Project**
- **HAP** (the Humanitarian Accountability Partnership)

# 1. Accountability Analysis and Planning Tool

## Purpose of the Tool

Understanding where an organisation, a network of organisations, a cluster or other coordination mechanism, is at with respect to current and accepted industry standards and expectations is a first step in identifying strengths and gaps in policy and practice, and in mapping out a way forward that is realistic, achievable, sustainable and that will bring real gains.

The analysis and planning tool represents a selective synthesis of key industry standards and frameworks, namely the HAP Standard, the Sphere Core Standards, the People In Aid Code, the Global Humanitarian Platform's Principles of Partnership<sup>5</sup> and CDA's Do No Harm Framework<sup>6</sup> with the draft IASC operational framework and accountability commitments to form a "meta-framework" for understanding in greater depth what each of the commitments should mean in practice. It highlights some of the basic and globally agreed upon fundamentals of quality and accountability in humanitarian service delivery, forming a contemporary answer to the question, "if accountability to affected populations was being done well, what would that look like?" This tool is not in itself an industry standard, however, it draws upon the core and common themes and issues across the standards that apply directly or indirectly to the concept of accountability to affected populations and borrows heavily from the indicators and requirements therein to guide measurement of performance and current status.

The tool organises analysis under the five key pillars of the IASC commitments, and adds one additional cross-cutting area; that of working with partners and other stakeholders. This section incorporates some considerations highlighted in the source material when considering how to best ensure accountability and quality commitments reach affected communities given humanitarian organisations work as a part of a wider system and often deliver on behalf of, in cooperation with, and through others. The indicators outlined under these six pillars interact to form the basis upon which accountability to the people an organisation seeks to assist can be established, communicated, integrated, implemented and sustained over time.

## How could this tool be used?

- By an external consultant or members of an agency's M&E or auditing departments, for example, to analyse the agency's overall performance against current industry standards.
- As a learning aid, to assist stakeholders to understand what is involved in meeting each of the IASC commitments.
- In conjunction with the self-assessment tool, either commitment by commitment or as a whole, to conduct a formal or informal review of strengths and gaps.

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<sup>5</sup> <http://www.globalhumanitarianplatform.org/pop.html>

<sup>6</sup> [http://www.cdainc.com/cdawww/project\\_profile.php?pid=DNH&pname=Do%20No%20Harm](http://www.cdainc.com/cdawww/project_profile.php?pid=DNH&pname=Do%20No%20Harm)

## CAAP Commitment 1: Leadership/Governance

Demonstrate their commitment to accountability to affected populations by ensuring feedback and accountability mechanisms are integrated into country strategies, programme proposals, monitoring and evaluations, recruitment, staff inductions, trainings and performance management, partnership agreements, and highlighted in reporting.

- 1.1. The organisation sets out the commitments that it will be held accountable for, and how they will be delivered, guiding the management of accountability within the organisation and allowing all stakeholders, including the women, men, girls and boys it aims to assist, to hold the organisation to account for its commitments.
- 1.2. The organisation has a publicly available statement of these commitments (accessible in formats suitable for different stakeholder groups). This statement should:
  - Demonstrate that the organisation is aware of its stakeholders, and identifies the people it seeks to assist as key stakeholders
  - Have clear reference to the accountability commitments of the organisation towards this group
  - Include commitments under each of the five IASC commitments, and commitments with respect to working with partners
  - Show the processes by which the organization intends to implement, monitor and improve against its commitments
- 1.3. The organisation ensures accountability to affected populations is integrated into relevant and key organisational processes and documentation, such as; assessments, country strategies, programme and project proposals, monitoring and evaluations, recruitment, staff inductions, trainings and performance management, partnership agreements, reporting, cluster performance framework.
- 1.4. The organisation has a means / strategy for managing risk when working within insecure environments that both protects staff and enables a continual striving to attain whatever level possible of accountability to affected populations, even when access to them is limited.

**The organisation recognises that both accountability to affected populations and operational effectiveness are dependent on accountability to, and support of, staff, volunteers and consultants. Relevant indicators<sup>7</sup> include the following:**

- 1.5. A clear definition and documentation, including through updated job descriptions, of the knowledge, skills, behaviours and attitudes that staff need to do their jobs effectively and to meet the organisation's commitments.
- 1.6. Teams are recruited with attention to a balance of women and men, cultural diversity and age.
- 1.7. Staff, volunteers and consultants, both national and international, are provided with adequate and timely inductions, briefings, and clear reporting lines that promote positive organisational behaviours and enable staff to understand their responsibilities, work objectives, organisational values, accountability commitments, key policies and local context.

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<sup>7</sup> For a more comprehensive guide to HR indicators, see the People In Aid Code of good practice in the management and support of aid personnel <http://www.peopleinaid.org/pool/files/code/code-en.pdf>. This section draws in part from this code.

- 1.8. The organisation provides appropriate management, supervisory and psychosocial support to staff.
- 1.9. Management policies, procedures and training equip managers to implement policies effectively and to prepare and support staff in carrying out their role effectively, to develop their potential and to encourage and recognise good performance.
- 1.10. A formal mechanism for reviewing staff performance exists, is clearly understood, and is used regularly and effectively.
- 1.11. A process for continual staff development exists that encourages staff and managers to jointly identify learning needs and that ensures accountability and quality commitments are met more effectively.
- 1.12. A code of conduct exists that explicitly addresses protection of people the agency seeks to assist from sexual abuse, corruption, exploitation and other human rights violations, and:
  - The code specifically refers to staff, volunteers and partners not exploiting and abusing people, and the responsibility of staff to report abuses
  - The codes are shared with affected communities so that they know what to hold workers, partner staff and volunteers to account for
  - Safe and effective grievance procedures exist and the agency takes appropriate disciplinary action against workers following confirmed violation of the code of conduct
- 1.13. The organisation, including its Human Resources section, plans in advance for adequate surge capacity during a response, putting in place Standard Operating Procedures, commitment of resources and deployment of staff, including staff with a mandate and skills to institute and improve quality and accountability.

## CAAP Commitment 2: Transparency / Information sharing

Provide accessible and timely information to affected populations on organizational procedures, structures and processes that affect them to ensure that they can make informed decisions and choices, and facilitate a dialogue between an organisation and its affected populations over information provision.

- 2.1. The organisation defines and documents expectations and processes for sharing information with all stakeholders, including the people the organisation seeks to assist.
- 2.2. The organisation and their partners talk to the people they seek to assist about their information needs and preferences for channels and means of communication from the initial assessment phase, and demonstrate a commitment to routinely providing accessible and timely information to the affected population about:
  - The humanitarian agency, its accountability commitments, code of conduct, complaints procedure and relevant contact details
  - Projects, including goals and objectives, expected results, timeframe, summary of finances and evaluation/ progress reports
  - People's rights and entitlements
  - Processes that affect them to ensure that they can make informed decisions and choices,
  - Staff roles and responsibilities



- Criteria for selecting target groups
  - Feedback from participatory processes
  - How the organisation can be held accountable for meeting its stated commitments.
- 2.3. The organisation ensures that its staff members identify themselves to the people they aim to assist and other stakeholders.
- 2.4. Information is presented in languages, formats and media that are appropriate for, accessible to, and can be understood by the people it aims to assist and other stakeholders, making use of a range of relevant methods, from new technologies to simple face to face or written methods, including methods already being used.
- 2.5. The organisation collaborates with and supports other relevant organisations to implement multi-agency and multi-disciplinary communications initiatives that deliver at a response wide level.

### CAAP Commitment 3: Feedback and Complaints

Actively seek the views of affected populations to improve policy and practice in programming, ensuring that feedback and complaints mechanisms are streamlined, appropriate and robust enough to deal with (communicate, receive, process, respond to and learn from) complaints about breaches in policy and stakeholder dissatisfaction.

- 3.1. The organisation defines, documents and implements expectations and the processes through which it will enable women, men, boys and girls that it aims to assist, and other stakeholders, to provide and receive feedback.
- 3.2. The organisation ensures that stakeholders, including the communities they seek to assist, partners and staff, have safe, accessible and confidential entry points through which they can raise complaints, and that the means by which they can lodge their complaints and receive a response are appropriate to the context and based upon their expressed preferences, as outlined during consultation.
- 3.3. The organisation defines, documents and implements procedures for receiving, processing and responding to complaints, and has systems in place to ensure that:
- The complaints and response procedures specify processes for handling sensitive and non-sensitive complaints
  - All parties understand the complaints procedures
  - Complaints are handled in line with procedures
  - Procedures anticipate the handling of complaints ranging from every day programme issues, to allegations of sexual exploitation, abuse and corruption
  - The information the organisation gathers by handling complaints is used to improve practice and learn
  - Staff understand their responsibility to report abuse they become aware of
  - Staff understand how to manage sensitive information

## CAAP Commitment 4: Participation

Enable affected populations to play an active role in the decision-making processes that affect them through the establishment of clear guidelines and practices to engage them appropriately and ensure that the most marginalised and affected are represented and have influence.

- 4.1. The organisation defines, documents and implements expectations and processes through which it will:
  - Identify the people it aims to assist and their representatives, referring to gender, age, diversity, and special needs
  - Enable women, men, boys and girls that it aims to assist, including representation across diverse needs groups, and other stakeholders, to participate in and influence initial assessment, project design, deliverables, criteria for selecting target groups and the selection process, project implementation, and monitoring and evaluation
  - Ensure that systems of community representation are fair and representative, and that the most marginalised, vulnerable and affected have a voice
- 4.2. Communities are informed about assessments in advance and community representatives are invited to participate in conducting them.
- 4.3. The organisation takes active steps to be aware of and take into due consideration local culture, customs, beliefs, capacity and strategies to survive with dignity. In addition, where relevant, an understanding of the “Do No Harm” concepts of dividers, tensions, connectors and local capacities for peace is sought, including through the participation of communities in this analysis, and integrated within planning and design of projects and the humanitarian response.
- 4.4. The organisation understands and takes into account contextual factors that may enhance or inhibit free and open speech on the part of separate interest groups.

## CAAP Commitment 5: Design, monitoring and evaluation

Design, monitor and evaluate the goals and objectives of programmes with the involvement of affected populations, feeding learning back into the organisation on an ongoing basis and reporting on the results of the process.

- 5.1. Programme design strives to enhance the capacity of affected people to prevent, minimise or better cope with the effects of future hazards. This includes the early communication of the organisation's exit strategy.
- 5.2. Programme and project proposal and design documents incorporate AAP into their indicators.
- 5.3. The organisation defines, documents and implements expectations and processes to learn and continuously improve, including from monitoring, evaluations and complaints, which include a requirement to routinely involve affected communities in design, monitoring and evaluation.
- 5.4. The organisation regularly monitors its performance, including in relation to accountability commitments and quality management systems, and communicates findings and progress reports to stakeholders, including the people it seeks to assist.

- 5.5. The organisation has a means by which it can continuously review its interventions against a “Do No Harm” framework, to ensure that its projects, programmes and interventions are not exacerbating conflict or causing harm to the people it seeks to assist.
- 5.6. There are systematic means for reviewing and adapting programme strategies in response to monitoring data, changing needs and an evolving context.
- 5.7. The organisation strives to establish systems and agreements whereby short and longer term (positive and/or negative) effects of the humanitarian response and related projects on the affected and wider populations are monitored and measured.

## 6: Working with partners and other stakeholders

Coordinated response reduces the burden on affected populations during assessments, and facilitates effective and transparent relationships with them. It also enables agencies to address identified needs holistically instead of in isolation. The Global Humanitarian Platform endorsed a statement of commitment regarding the Principles of Partnership (POP) in 2007, focussing in particular on relationships and partnerships between humanitarian organisations. The Sphere Minimum Standards, the HAP Standard and the IASC Operational Framework add to these principles and include considerations for coordinating and collaborating with other key actors in a humanitarian response, such as local authorities, civil society and donors.

- 6.1. The organisation defines, documents and implements expectations and processes by which it implements and monitors its commitment to the five GHP Principles of Partnership.
- 6.2. The organisation plans and works in coordination with UN and non-UN humanitarian organisations as outlined in the POP, as well as with the relevant authorities and civil society organisations engaged in impartial humanitarian action, working together for maximum efficiency, coverage and effectiveness, and to support local capacity.
- 6.3. Whenever possible or relevant, the organisation participates in multisectoral, joint or inter-agency assessments, with an aim to improve the quality of assessments, ensure they consist of two-way dialogue, and to reduce the burden on affected communities who may be inundated with assessments.
- 6.4. In addition to the principles outlined in the POP, the organisation defines and documents the process and criteria for assessing and selecting potential partners with a demonstrated commitment to accountability.
- 6.5. Partnership agreements explicitly refer to accountability and quality commitments, and are developed through a collaborative process whereby agreement is reached on (amongst other things):
  - The commitments of both the organisation and their partners to the people they aim to assist and how these commitments will be met
  - The knowledge, skills, behaviours and attitudes that a partner’s staff need to meet agreed commitments and to ensure these are reflected in a staff code of conduct
  - How and when they will share information
  - How the people they aim to assist will participate in different stages of the project

- How they will raise and handle complaints against each other in a safe and accessible way, and ways in which they will enable the people they aim to assist to raise complaints regarding each of the partners, including when partners will refer the complaint to the organisation
  - How they will jointly monitor and evaluate programmes, the quality of the partnership, and each other's agreed performance
- 6.6. The organisation initiates dialogue with donors to ensure partnership, flexibility and collaboration with regard to accountability.

## 2. Self-Assessment against the CAAP

### Purpose of the Tool

The self-assessment tool has been developed to further break down each of the indicators within the analysis and planning tool and is structured to assist in highlighting priority areas for action and areas for potential “quick wins”. While the analysis tool attempts to more faithfully represent the essence of current standards, the self assessment digs deeper to provide practical assistance in understanding and measuring them.

The tool is designed for use as an adjunct to the analysis and planning tool, and the numbering of the criteria corresponds to the indicators of the analysis tool. For the most part, the word “organisation” is used, however, depending on the context and the entity or level of the response being assessed, it could be replaced with “cluster”, etc.

Ranking scale for the self assessment:

|               |                         |                                   |                   |
|---------------|-------------------------|-----------------------------------|-------------------|
| 1= Not at all | 2= Some, but quite weak | 3= Yes, but room for improvements | 4= Fully in place |
|---------------|-------------------------|-----------------------------------|-------------------|

### How could this tool be used?

- As a group exercise amongst teams. It should be noted that simply asking a team to sit together and rate themselves against the criteria is not sufficiently objective to constitute a highly reliable assessment, although it could still prove a worthwhile exercise for building an understanding of what AAP entails and pinpointing areas for possible early action.
- As an interview aid for stakeholders. The most objective assessment of accountability is one conducted by an external party, and one that involves asking other stakeholders, such as affected communities, partners and local authorities, for example.
- The rating scale does not lead to an empirical result, however trends and patterns in the outcomes could be interpreted to highlight areas of greatest weakness, or assist in the prioritisation of action. Clearly, no agency would be likely to decide to tackle every single area of AAP at once, and therefore identifying realistic starting points and formulating a plan to move through and continuously improve could be assisted by the results of the self assessment, and are likely to be most informative if affected communities were involved in the dialogue.
- Use each section in tandem with the analysis tool indicators, to place the questions in context against industry standards.
- In learning events, the self-assessment can be used as a training tool and the basis for group exercises.

## 1. Leadership/governance

Demonstrate their commitment to accountability to affected populations by ensuring feedback and accountability mechanisms are integrated into country strategies, programme proposals, monitoring and evaluations, recruitment, staff inductions, trainings and performance management, partnership agreements, and highlighted in reporting.

|                                                                                                                                                                                                                                      | 1 | 2 | 3 | 4 |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---|---|---|
| 1.1/1.2.1. The organisation has a clear statement of the organisation's commitments to quality and accountability, including towards those people it seeks to assist                                                                 |   |   |   |   |
| 1.2.2. There is an accountability framework that has an implementation plan outlining activities, responsibilities and timelines that is relevant to the context to which it relates: organisation, consortium, cluster, for example |   |   |   |   |
| 1.2.3. The accountability framework, or statement of the organisation's commitments, is on the website                                                                                                                               |   |   |   |   |
| 1.2.4. The organisation has means by which the people it seeks to assist can become aware of its commitments to accountability                                                                                                       |   |   |   |   |
| 1.2.5. The accountability framework, or statement of commitments, complies with each of the requirements described under 1.2.                                                                                                        |   |   |   |   |
| 1.3.1. The key elements of AAP are integrated throughout the organisation's documentation as described in 1.3.                                                                                                                       |   |   |   |   |
| 1.3.2. The organisation routinely employs stakeholder and context analysis to ensure appropriate targeting, programme planning and implementation                                                                                    |   |   |   |   |
| 1.4.1. The organisation incorporates specialised strategies to implement AAP in insecure areas                                                                                                                                       |   |   |   |   |
| 1.5.1. Job descriptions are updated regularly                                                                                                                                                                                        |   |   |   |   |
| 1.5.2. Job descriptions reflect the responsibilities of each staff member in upholding the organisation's accountability commitments                                                                                                 |   |   |   |   |
| 1.6.1. There is policy and guidance that addresses balance in recruitment                                                                                                                                                            |   |   |   |   |
| 1.6.2. Balance is monitored and acted upon proactively                                                                                                                                                                               |   |   |   |   |
| 1.6.3. The organisation has a gender equity policy and targets                                                                                                                                                                       |   |   |   |   |
| 1.7.1. All paid and unpaid staff have access to a comprehensive induction, orientation and handover process                                                                                                                          |   |   |   |   |
| 1.8.1. Staff have satisfactory access to psychosocial support                                                                                                                                                                        |   |   |   |   |
| 1.8.2. The organisation responds promptly to address the support needs of staff involved in critical incidents                                                                                                                       |   |   |   |   |
| 1.9.1. The organisation ensures that those in management and supervisory positions have the skills needed to supervise staff                                                                                                         |   |   |   |   |
| 1.9.2. The organisation has a transparent process for promoting staff into management positions that includes highlighting the importance of management skills                                                                       |   |   |   |   |
| 1.10.1. The staff appraisal system is used regularly and by all levels of staff                                                                                                                                                      |   |   |   |   |
| 1.10.2. Staff generally feel that the system is effective                                                                                                                                                                            |   |   |   |   |
| 1.10.3. The appraisal system includes an opportunity to identify learning and development needs and goals                                                                                                                            |   |   |   |   |

|                                                                                                                                                                                                                                  |  |  |  |  |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|--|--|
| 1.11.1. The organisation ensures that accountability to affected populations and the organisation's commitments with respect to this are covered in the staff development programme                                              |  |  |  |  |
| 1.11.2. Staff have equitable and appropriate access to development opportunities                                                                                                                                                 |  |  |  |  |
| 1.12.1. The organisation has a code of conduct that specifically addresses sexual exploitation and abuse                                                                                                                         |  |  |  |  |
| 1.12.2. Staff are well informed and educated regarding the organisation's commitment to preventing the sexual exploitation and abuse of the people it seeks to assist by anyone associated with the organisation or its partners |  |  |  |  |
| 1.12.3. People the agency seeks to assist routinely have access to a version of the code of conduct and know how to hold the organisation and its staff accountable for their conduct                                            |  |  |  |  |
| 1.12.4. The organisation has a reliable and utilised process for becoming aware of and for addressing breaches of conduct                                                                                                        |  |  |  |  |
| 1.13.1. The organisation dedicates resources to accountability during responses                                                                                                                                                  |  |  |  |  |
| 1.13.2. The resources needed to improve and ensure accountability during a response are routinely incorporated into project plans and proposals                                                                                  |  |  |  |  |
| 1.13.3. The HR department is ready to undertake rapid recruitment, offer adequate inductions, security briefings and psychological support for all staff involved in a surge response                                            |  |  |  |  |

### Total Score for Commitment 1

| Notes | 1 | 2 | 3 | 4 |
|-------|---|---|---|---|
|       |   |   |   |   |

## 2. Transparency / Information sharing

Provide accessible and timely information to affected populations on organizational procedures, structures and processes that affect them to ensure that they can make informed decisions and choices, and facilitate a dialogue between an organisation and its affected populations over information provision.

|                                                                                                                                                                                                                            | 1 | 2 | 3 | 4 |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---|---|---|
| 2.1.1. There is an organisation policy or equivalent guiding the practice of information provision and communication with affected communities                                                                             |   |   |   |   |
| 2.2.1. Information is routinely provided on an appropriately updated basis to the communities the organisation seeks to assist by both the organisation and its partners                                                   |   |   |   |   |
| 2.2.1. The organisation routinely engages in a two-way dialogue with affected communities, even during crisis responses, including to determine what kind of information they require and in what formats                  |   |   |   |   |
| 2.2.3. Information is routinely provided on: <ul style="list-style-type: none"> <li>The humanitarian agency, its accountability commitments, code of conduct, complaints procedure and relevant contact details</li> </ul> |   |   |   |   |
| <ul style="list-style-type: none"> <li>Projects, including goals and objectives, expected results, timeframe, summary of finances and evaluation/ progress reports</li> </ul>                                              |   |   |   |   |
| <ul style="list-style-type: none"> <li>People's rights and entitlements</li> </ul>                                                                                                                                         |   |   |   |   |
| <ul style="list-style-type: none"> <li>Processes that affect them to ensure that they can make informed decisions</li> </ul>                                                                                               |   |   |   |   |
| <ul style="list-style-type: none"> <li>Staff roles and responsibilities</li> </ul>                                                                                                                                         |   |   |   |   |
| <ul style="list-style-type: none"> <li>Criteria for selecting target groups</li> </ul>                                                                                                                                     |   |   |   |   |
| <ul style="list-style-type: none"> <li>Feedback from participatory processes</li> </ul>                                                                                                                                    |   |   |   |   |
| 2.3.1. Communities always know who they are dealing with, their role, and for which organisation they work                                                                                                                 |   |   |   |   |
| 2.4.1. The organisation makes sure that resources are available to translate relevant information into local languages and for context appropriate information dissemination                                               |   |   |   |   |
| 2.4.2. Country programme staff are up to date on recent communications technologies relevant to communicating with the communities they work with                                                                          |   |   |   |   |
| 2.4.3. Information is available for reference in written formats, for example, on community noticeboards                                                                                                                   |   |   |   |   |
| 2.4.4. The organisation's partners understand the importance of communication and work with the organisation to keep high standards of information and communication                                                       |   |   |   |   |
| 2.5.1. The organisation conveys a commitment to communication and information provision as a form of aid provision to its staff and stakeholders                                                                           |   |   |   |   |
| 2.5.2. The organisation collaborates with other stakeholders, such as peer agencies, clusters, partners and local authorities, to fulfil this commitment                                                                   |   |   |   |   |

### Total Score for Commitment 2

| Notes | 1 | 2 | 3 | 4 |
|-------|---|---|---|---|
|       |   |   |   |   |



### 3. Feedback and Complaints

Actively seek the views of affected populations to improve policy and practice in programming, ensuring that feedback and complaints mechanisms are streamlined, appropriate and robust enough to deal with (communicate, receive, process, respond to and learn from) complaints about breaches in policy and stakeholder dissatisfaction.

|                                                                                                                                                                                                                                                      | 1 | 2 | 3 | 4 |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---|---|---|
| 3.1.1. There is a policy or guidance on the establishment and operation of feedback mechanisms                                                                                                                                                       |   |   |   |   |
| 3.1.2. The means by which a two way dialogue and feedback collection occurs is based upon the local context and the preferences of communities                                                                                                       |   |   |   |   |
| 3.1.3. Feedback is actively sought from communities and there is evidence to back this up                                                                                                                                                            |   |   |   |   |
| 3.1.4. Communities are regularly provided with feedback as to how their input was used                                                                                                                                                               |   |   |   |   |
| 3.2.1. There is a policy or guidance on the establishment and operation of complaints and response mechanisms                                                                                                                                        |   |   |   |   |
| 3.3.1. The guidance defines and outlines the purpose and limitations of the mechanism, the steps involved in processing and responding to complaints, what to do with sensitive complaints, and addresses confidentiality and non-retaliation issues |   |   |   |   |
| 3.3.2. Local communities are/were consulted as to how they would best like to submit complaints                                                                                                                                                      |   |   |   |   |
| 3.3.3. Staff are well informed as to how the complaints and response mechanism works                                                                                                                                                                 |   |   |   |   |
| 3.3.4. Communities are informed that they are welcome to make a complaint and they know what kinds of complaints will be dealt with                                                                                                                  |   |   |   |   |
| 3.3.5. There are clear records of what complaints have been received and how they were responded to                                                                                                                                                  |   |   |   |   |
| 3.3.6. There is a policy or guidance on the prevention of sexual exploitation and abuse                                                                                                                                                              |   |   |   |   |
| 3.3.7. There are clear procedures in place to address allegations of abuse and the expertise to handle and investigate allegations of abuse, including sexual abuse and corruption, exists in the organisation                                       |   |   |   |   |
| 3.3.8. The organisation works with partner agencies and within the clusters to establish joint complaints mechanism that offer a single entry point for communities                                                                                  |   |   |   |   |

#### Total Score for Commitment 3

| Notes | 1 | 2 | 3 | 4 |
|-------|---|---|---|---|
|       |   |   |   |   |

## 4. Participation

Enable affected populations to play an active role in the decision-making processes that affect them through the establishment of clear guidelines and practices to engage them appropriately and ensure that the most marginalised and affected are represented and have influence.

|                                                                                                                                                                                                                                                                                                                             | 1 | 2 | 3 | 4 |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---|---|---|
| 4.1.1. There is an organisation policy or equivalent guiding the practice of community participation                                                                                                                                                                                                                        |   |   |   |   |
| 4.1.2. All interest groups have a voice, including women, children, the aged, minority cultural groups and people living with disabilities                                                                                                                                                                                  |   |   |   |   |
| 4.1.3. Community participation takes place during needs assessment and programme planning                                                                                                                                                                                                                                   |   |   |   |   |
| 4.1.4. Community participation takes place during programme implementation, distribution and service delivery phases                                                                                                                                                                                                        |   |   |   |   |
| 4.1.5. Community participation takes place during monitoring and evaluation                                                                                                                                                                                                                                                 |   |   |   |   |
| 4.1.4. Staff and partners know how community representatives are chosen and are confident it is in a fair and representative process                                                                                                                                                                                        |   |   |   |   |
| 4.1.5. Staff and partners are confident that information flows effectively between representatives and the people they represent                                                                                                                                                                                            |   |   |   |   |
| 4.2.2. There are strategies in place to allow for community members to participate in conducting assessments where appropriate                                                                                                                                                                                              |   |   |   |   |
| 4.3.1. Assessed needs are explicitly linked to the capacity of affected populations and the state to respond                                                                                                                                                                                                                |   |   |   |   |
| 4.3.1. A two way dialogue routinely occurs to obtain information regarding local culture, customs, beliefs, capacity and strategies to survive with dignity first hand as well as through other sources                                                                                                                     |   |   |   |   |
| 4.3.2. The Do No Harm framework or equivalent approach is employed with the participation of stakeholders, to ensure that the organisation's humanitarian interventions will not exacerbate conflict                                                                                                                        |   |   |   |   |
| 4.3.3. This information is integrated within planning and project design                                                                                                                                                                                                                                                    |   |   |   |   |
| 4.4.1. Staff ensure that, whenever possible, community members and interest groups have a chance to speak free of the presence of those who might purposefully or inadvertently prevent them from speaking their mind, such as elders, committee members, men, government authorities, etc depending upon the circumstances |   |   |   |   |

### Total Score for Commitment 4

| Notes | 1 | 2 | 3 | 4 |
|-------|---|---|---|---|
|       |   |   |   |   |

## 5. Design, monitoring and evaluation

Design, monitor and evaluate the goals and objectives of programmes with the involvement of affected populations, feeding learning back into the organisation on an ongoing basis and reporting on the results of the process.

|                                                                                                                                                                                                                       | 1 | 2 | 3 | 4 |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---|---|---|
| 5.1.1. Programme design is based on an analysis of the specific needs and risks faced by different groups of people                                                                                                   |   |   |   |   |
| 5.1.2. Programme design addresses the gap between people's needs and their own, or the state's, capacity to meet them                                                                                                 |   |   |   |   |
| 5.2.1. AAP is evident in project documents                                                                                                                                                                            |   |   |   |   |
| 5.3.1. There is policy or guidance on monitoring and evaluation and integration of learning within the organisation                                                                                                   |   |   |   |   |
| 5.3.2. The organisation communicates its commitment and expectations with regard to continual improvement to all sites and departments                                                                                |   |   |   |   |
| 5.3.3. Policies or standards on evaluation include a strict requirement to seek the views of affected communities and where possible to actively involve them in M&E                                                  |   |   |   |   |
| 5.4.1. Monitoring and evaluation of accountability commitments can be regularly found in the ToRs of evaluations                                                                                                      |   |   |   |   |
| 5.4.2. The findings of monitoring and evaluation are routinely fed back to communities                                                                                                                                |   |   |   |   |
| 5.4.3. The organisation collaborates and shares information and knowledge with other organisations                                                                                                                    |   |   |   |   |
| 5.4.5. The organisation meets a high standard of monitoring partner performance, particularly with respect to quality and accountability                                                                              |   |   |   |   |
| 5.5.1. There is evidence that the organisation has systems in place, and that they are employed, to ensure that its interventions and activities do not exacerbate community conflict or cause harm to aid recipients |   |   |   |   |
| 5.6.1. There is evidence that the organisation consistently learns from the outcomes of monitoring and evaluations and improves its performance as a result                                                           |   |   |   |   |
| 5.6.2. Programme designs are revised to reflect changes in the context, risks and people's needs and capacities                                                                                                       |   |   |   |   |
| 5.7.1. The organisation has a policy in place that guides the periodic analysis of longer term effects, or impact, of its humanitarian interventions on the communities it was seeking to assist                      |   |   |   |   |
| 5.7.2. The organisation has well-defined indicators to capture short and long term effects                                                                                                                            |   |   |   |   |

### Total Score for Commitment 5

| Notes | 1 | 2 | 3 | 4 |
|-------|---|---|---|---|
|       |   |   |   |   |

## 6. Working with partners and other stakeholders

|                                                                                                                                                                                                                                                                                                                                               | 1 | 2 | 3 | 4 |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---|---|---|---|
| 6.1.1. The organisation has a policy for implementing and monitoring its commitment to the five GHP Principles of Partnership, highlighting mutual respect, transparency, consultation, results orientation, skills and capacity to deliver on commitments, prevention of corruption and abuse, complementarity and supporting local capacity |   |   |   |   |
| 6.2.1. The organisation works effectively in coordination and collaboration with others, including both UN and non-UN actors                                                                                                                                                                                                                  |   |   |   |   |
| 6.2.2. Commitments made at coordination meetings are acted and reported upon in a timely manner                                                                                                                                                                                                                                               |   |   |   |   |
| 6.2.3. The organisation's practice is in line with its policy regarding complementarity and supporting local capacity                                                                                                                                                                                                                         |   |   |   |   |
| 6.3.1. The organisation seeks opportunities for conducting joint assessments                                                                                                                                                                                                                                                                  |   |   |   |   |
| 6.3.2. The organisation utilises findings from joint assessments                                                                                                                                                                                                                                                                              |   |   |   |   |
| 6.4.1. The organisation is actively engaged in improving its practices of partnership                                                                                                                                                                                                                                                         |   |   |   |   |
| 6.4.2. The organisation has a clear partner selection process that reflects its commitments to accountability                                                                                                                                                                                                                                 |   |   |   |   |
| 6.4.3. The quality and effectiveness of partnerships are regularly reviewed in collaboration with the partners                                                                                                                                                                                                                                |   |   |   |   |
| 6.5.1. The organisation makes clear to partners its own commitments with regard to accountability, and establishes minimum expectations with them with respect to their own practice                                                                                                                                                          |   |   |   |   |
| 6.5.2. The elements outlined under 6.5. can be found in partnership agreements                                                                                                                                                                                                                                                                |   |   |   |   |
| 6.6.1. At global, regional and country level the organisation takes the opportunity to discuss accountability to affected populations with donors, individually and collectively                                                                                                                                                              |   |   |   |   |

### Total Score for Commitment 6

| Notes | 1 | 2 | 3 | 4 |
|-------|---|---|---|---|
|       |   |   |   |   |

## 3. Rapid Cluster Accountability Review

### Purpose of the Tool

Based on the draft operational framework for AAP, and the more detailed tools described above, this short document provides some key and focused areas for assessment from an HCT, cluster, or interagency perspective.

From this more holistic perspective, there is an opportunity to reflect upon how things are working overall, and where the strengths and weaknesses of the response lie. Reviewing AAP from this vantage point will be more likely to highlight, for example, issues of coordination, the potential for agencies stronger in AAP to lead and assist those yet to incorporate it into their practice, and areas most suited for collaboration and a consistent approach.

The tool is deliberately designed for printing on a single piece of paper, providing a ready pocket reference and question guide at the site of a response.

### How could this tool be used?

- During scoping missions and early assessments, in order to highlight some concrete potential areas for attention and interagency collaboration during the early part of the response.
- As a tool for identifying strong performers who can help amplify the impact of accountability activities.
- As a data gathering, monitoring and evaluation tool for any staff working at an interagency level.
- As a resource for joint assessments and evaluations.
- As a learning tool for HCT and cluster actors to understand the interagency role in promoting AAP.

### **CAAP Commitment 1: Leadership/Governance**

*Demonstrate their commitment to accountability to affected populations by ensuring feedback and accountability mechanisms are integrated into country strategies, programme proposals, monitoring and evaluations, recruitment, staff inductions, trainings and performance management, partnership agreements, and highlighted in reporting.*

- Is there a high level of awareness amongst the responding community as to what accountability means and what respective agencies and the IASC have committed to with respect to AAP?
- Is the HCT raising the profile of AAP and the commitments? Is accountability on the agenda of cluster meetings?
- Is AAP evident in job descriptions? How are new staff brought in for the response being prepared and oriented? Are they being briefed about AAP?
- Do the project / funding proposals for the current response have an AAP element? Do reporting indicators include indicators on AAP?
- Do all responding agencies have a code of conduct in place that all staff, partners and volunteers sign, and which explicitly mentions prohibition of sexual exploitation and abuse of affected communities?
- Do partnership agreements have any mention of AAP?
- Are new partners being selected in part on the basis of a track record in accountability? Is accountability being openly discussed between partners?
- Are donors being involved in discussions on accountability and the role they can play in supporting it?

**CAAP Commitment 2: Transparency**

*Provide accessible and timely information to affected populations on organizational procedures, structures and processes that affect them to ensure that they can make informed decisions and choices, and facilitate a dialogue between an organisation and its affected populations over information provision.*

- Is there any formal guidance as to the minimum level and means of communication with affected communities that is expected?
- Have communities been consulted as to what kinds of information they expect and through what means?
- Do communities have access to regularly updated information regarding their rights, what agencies are working with them, what their aims and plans are, how they can be contacted and how they can submit a complaint?
- Do communities know how to tell the difference between workers from different agencies, and the difference between the mandates and roles of different agencies?
- Does communication with affected communities have a high profile as a core part of aid delivery? Are agencies working together on communications and technology strategies?

**CAAP Commitment 3: Feedback and Complaints**

*Actively seek the views of affected populations to improve policy and practice in programming, ensuring that feedback and complaints mechanisms are streamlined, appropriate and robust enough to deal with (communicate, receive, process, respond to and learn from) complaints about breaches in policy and stakeholder dissatisfaction.*

- Is feedback from and to affected communities built into all stages of the programme cycle?
- Does an active two-way dialogue occur with community representatives?
- Are formal complaints and response mechanisms in place? (About what percentage of operational agencies have them in place?)
- Were they established through community consultation, to ensure they operate in a way that is appropriate for them?
- From an interagency perspective, is there coordination between the existing complaints and response mechanisms, and are entry points established with accessibility by communities in mind? (For example, can women equally access complaints mechanisms? Would communities clearly be able to identify which mechanism to access for what problem?)
- Is there a coordinated and collective approach to work effectively on the prevention of sexual exploitation and abuse, including that all complaints mechanisms have clear structures for handling sensitive complaints correctly and promptly?

**CAAP Commitment 4: Participation**

*Enable affected populations to play an active role in the decision-making processes that affect them through the establishment of clear guidelines and practice s to engage them appropriately and ensure that the most marginalised and affected are represented and have influence.*

- Do the means for participation ensure that all interest groups have a voice and a chance to speak free of the presence of those who might purposefully or inadvertently prevent them from speaking their mind?
- Do agencies know how community representatives are chosen and are confident it is in a fair and representative process?
- Are agencies confident that information flows effectively back to all members of the communities?
- Are community members being included in assessment and project design?

- Are there measures in place to ensure assessments are coordinated where possible and that individual communities are not inundated with assessments?
- Are communities involved in developing criteria for the selection of beneficiaries, and are criteria and beneficiary selection processes public and transparent?

**CAAP Commitment 5: Design, Monitoring and Evaluation**

*Design, monitor and evaluate the goals and objectives of programmes with the involvement of affected populations, feeding learning back into the organisation on an ongoing basis and reporting on the results of the process*

- Is the response identifying and enhancing the capacities of affected communities and their government(s)?
- Is there a clear intention from the beginning of the response to include communities in monitoring and evaluation? Is this evident in project documentation?
- Are communities routinely given feedback as to the outcomes and findings of assessment, monitoring and evaluation missions? Is this feedback coordinated at an interagency level?
- Is accountability on the agenda for monitoring and evaluation?
- Are there clear expectations between partnerships regarding the monitoring of AAP?
- Is the response being approached and monitored against a “Do No Harm” framework, to ensure that interventions are not exacerbating conflict or causing harm.