

CAFOD's HAP accountability work plan implementation report: Jan – Dec 2010

Preamble / Introductory comments

CAFOD was awarded HAP Certification in September 2009 following an audit against the HAP 2007 Standard in Humanitarian Accountability and Quality Management during April and May 2009 in London, UK (Head Office) and at programme sites in Mozambique. CAFOD is currently preparing for a Mid-Term Progress Audit scheduled for April – May 2011.

1. A humanitarian quality management system – HAP principles 1, 2, 5 & 7

<i>Key goal for 2010</i>	<i>Achievements / challenges / lessons learned</i>	<i>2011 objectives</i>
<ul style="list-style-type: none"> ▪ Provide ongoing support to staff and partners to plan for and implement accountability commitments 	<ul style="list-style-type: none"> ▪ 20 strategic partners identified with whom CAFOD programme teams are working towards achieving the CAFOD minimum standards of accountability. ▪ A series of accountability training / workshop modules developed and trialled with partners ▪ An accountability session has been incorporated within the Corporate Induction Programme which highlights the roles and responsibilities of all staff regarding the CAFOD Accountability Framework (CAF) <p><i>Challenges:</i></p> <ul style="list-style-type: none"> ▪ Building the confidence of programme teams to discuss the full set of detailed accountability issues with partners 	<ul style="list-style-type: none"> ▪ Support partners to develop and implement plans for achieving minimum standards of accountability, including: strategic partners; those receiving >£250k over 3 years; and humanitarian projects / programmes that exceed six months in duration and where a partner is expected to receive grants of more than £100k ▪ Establish contextualised quality management systems in CAFOD international offices

2. Information, Communication, Transparency – HAP principle 3

<i>Key goal for 2010</i>	<i>Achievements / challenges / lessons learned</i>	<i>2011 objectives</i>
<ul style="list-style-type: none"> ▪ Continue to develop guidelines and agree with partners on expectations ▪ Integrate beneficiary information needs/requests into needs assessment methodology 	<ul style="list-style-type: none"> ▪ Training / workshop module on transparency and information sharing developed and trialled with partners ▪ Partners section on the CAFOD website includes resources, information and support designed by and for CAFOD partners ▪ Accountability Briefing “Information Sharing” developed for 	<ul style="list-style-type: none"> ▪ Carry out transparency / information sharing pilots with several partners ▪ Continue to develop guidelines on transparency and information sharing ▪ Integrate beneficiary information needs / requests into needs assessment methodology

	<p>partners</p> <ul style="list-style-type: none"> ▪ All key accountability documents are available in four languages and easily accessible for staff and partners <p><i>Challenges:</i></p> <ul style="list-style-type: none"> ▪ Establishing what transparency means in practice for CAFOD and our partners 	<ul style="list-style-type: none"> ▪ Continue steps to improve CAFOD transparency with its partners
--	---	--

3. Participation and Informed Consent – HAP principles 3 & 4

<i>Key goal for 2010</i>	<i>Achievements / challenges / lessons learned</i>	<i>2011 objectives</i>
<ul style="list-style-type: none"> ▪ Use accountability planning tool to support partners to implement minimum standards of participation from their stakeholders in programming ▪ Develop monitoring mechanisms to test/assure participation 	<ul style="list-style-type: none"> ▪ Participatory accountability assessments carried out with nine partners across Africa, Asia and Latin America ▪ Partners involved and participated in CAFOD planning / strategic framework processes ▪ Training / workshop module on participation developed and trialled with partners <p><i>Challenges</i></p> <ul style="list-style-type: none"> ▪ Ensuring that participation goes beyond consultation is difficult and requires significant time (years) to assess impact 	<ul style="list-style-type: none"> ▪ Develop guidance on use of participatory approaches, drawing on case study examples from CAFOD partner projects / programmes ▪ Carry out pilots on use of participatory approaches with several partners ▪ Incorporate guidance on participation into the Programme Cycle Management (PCM) guidelines ▪ Support partners in embedding participation within their programmes

4. Staff Competencies

<i>Key goal for 2010</i>	<i>Achievements / challenges / lessons learned</i>	<i>2011 objectives</i>
<ul style="list-style-type: none"> ▪ Explore ways to incorporate CAFOD accountability framework into corporate/international programme staff induction programme 	<ul style="list-style-type: none"> ▪ Accountability session included within the Corporate Induction programme and commenced delivery in October 2010 (see Commitment 1) ▪ Accountability Training / Learning Needs Analysis carried out with CAFOD programme staff ▪ One-to-one support provided for CAFOD programme staff working with partners on accountability ▪ Intranet site developed providing accountability tools and resources for programme staff 	<ul style="list-style-type: none"> ▪ Develop accountability modules for the new International Development (ID) Induction Programme ▪ Provide continued training and support for CAFOD programme staff working with partners on accountability ▪ Identify accountability competencies for inclusion within the revised CAFOD Competency Framework

	<p><i>Challenges</i></p> <ul style="list-style-type: none"> ▪ Establishing accountability as a priority for programme staff also involved with a number of other CAFOD initiatives 	
--	---	--

5. Complaints and Response Mechanisms – HAP principle 6

<i>Key goal for 2010</i>	<i>Achievements / challenges / lessons learned</i>	<i>2011 objectives</i>
<ul style="list-style-type: none"> ▪ Disseminate CAFOD complaints handling policy for all international programmes and ensure adequate support to partners to implement complaints handling for beneficiaries (especially in emergency contexts) 	<ul style="list-style-type: none"> ▪ CAFOD Complaints Handling Policy and Procedures for International Programmes reviewed and revised ▪ Complaints Management System – International Programmes (CMS-IP) developed and subsequently launched in September 2009, with training delivered for relevant programme staff in UK and international offices ▪ Training / workshop module on complaints handling developed and trialled with partners ▪ Accountability Briefing Complaints Handling developed for partners 	<ul style="list-style-type: none"> ▪ Continue to support partners with establishing complaints handling mechanisms with beneficiary communities ▪ Continue to monitor and report on complaints relating to international projects and programmes ▪ Carry out six month review and update CAFOD Complaints Handling Policy and Procedures for International Programmes as necessary

6. Continuous Improvement – HAP principles 5 & 7

<i>Key goal for 2010</i>	<i>Achievements / challenges / lessons learned</i>	<i>2011 objectives</i>
<ul style="list-style-type: none"> ▪ Continue to share programme learning through partner meetings and reporting; explore ways to share learning more broadly amongst stakeholders and between different partners ▪ Develop roll-out strategy and training package for Evaluation ▪ Explore funding strategies to support accountability in programmes 	<ul style="list-style-type: none"> ▪ International programme evaluation policy guidelines finalised and disseminated, including evaluation of beneficiary accountability ▪ Learning from complaints handling pilots captured and utilised to inform revisions to complaints handling policy and procedures ▪ Accountability challenges, good practices and lessons learned identified through extensive consultations with international programme staff <p><i>Challenges</i></p> <ul style="list-style-type: none"> ▪ Ensuring incorporation of recommendations from project / programme evaluations 	<ul style="list-style-type: none"> ▪ Develop detailed guidance on monitoring and evaluation of accountability ▪ Support partners where accountability is identified as an area for improvement within project / programme evaluations ▪ Capture and disseminate case study examples of good practice and lessons learned

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

Secretariado Nacional de Pastoral Social (SNPS) / Caritas Colombia is a Church partner delivering CAFOD-funded projects supporting communities affected by armed conflict in Colombia. Following an accountability awareness workshop delivered by CAFOD programme staff in April 2010, the project team has established a complaints handling mechanism for use by the beneficiary community. In consultation with the community, the project team has introduced a variety of ways in which community members can express complaints or concerns, including via email, telephone, a complaints box, specific office hours when staff are available to receive complaints, and one day in the month when complaints / suggestions can be discussed in the community. The complaints handling mechanism has been successfully implemented and a manual has been developed which fully explains SNPS's complaints handling policy and procedures.

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

Mid-Term Progress Audit planned for week commencing 18th April in London, UK (Head Office) and 2nd May for the programme site audit.