2013 Annual Progress Report for HAP

ORGANISATION:
Introductory comments (history of accountability work in the organisation, HAP membership, accountability framework etc):
ActionAid International (AAI) became a member of HAP at the end of 2011. This document reports progress against the commitments made in the 2012 report to HAP. Accountability remains a key priority for ActionAid in both our development and humanitarian work. Work is ongoing to upgrade our landmark Accountability, Learning, Planning System (ALPS) into an AAI operating system and build a comprehensive accountability framework around it. Key achievements and progress made are described in this report. However, there have been challenges, and some of the commitments planned for 2013 are still to be achieved. In particular, progress around the accountability framework and revision of key organisational policies has taken longer than expected. This is mostly a result of the numerous organizational transition priorities as the ActionAid Federation continues to pursue the ambitious process of internationalisation. Objectively, a process of prioritization by Senior Leadership Team meant that some policy reviews planned for 2013 were reconsidered and postponed. It should also be recognised that development, revision and roll out of policies and systems is a complex process in a Federation structure, which is governed by our independent members and which works closely with local partners. ActionAid sees this dynamic as a positive part of internationalisation and democratisation of the organisation, and will continue to find ways to meet our HAP commitments in this context. 2013 saw the creation of a new post, a global Humanitarian Accountability Coordinator, to provide technical support and capacity to countries on operationalizing accountability to disaster affected communities. An "Accountability in Emergencies' Project involving 6 ActionAid country programmes and members (Haiti, Denmark, Kenya, Pakistan, Myanmar and Philippines) started in 2013 to build, pilot and document good practice and to strengthen capacity of these ActionAid members to take a leadership role within the Federation on accountability. This project is designed to complement the ongoing work on strengthening our organisational accountability systems, by building capacity to operationalize them at country level. ActionAid believes that while it is very positive that accountability is gaining more recognition and support in the global humanitarian and development communities, there is still a long way to go in grounding this and making sure agencies are 'walking the talk' at community level. We are working hard to address this in our own work and to share our learning and experiences with the wider sector as we do so. ActionAid is also engaging in other external quality and accountability initiatives, including People in Aid, INGO Charter, IATI, CDAC Network, and IASC Task Team on AAP.

1. Establishing and delivering on commitments

Key goal for 2013	Achievements/challenges/lessons learned	2014 objectives
ActionAid's new accountability framework will be informed by AAI's new strategy, the HRBA Manual, organisational reviews, as well as external accountability requirements and benchmarking with other organizations. The framework will be developed by June 2013 when the AAI Assembly will review it and pass it for approval. Furthers steps will be taken to ensure increased accountability in practice and integration in the organization's operating systems.	In 2013, an Accountability Charter was developed, which outlines the organization's definition and understanding of accountability and its principles. The Charter also provides examples of minimum operational standards for each principle. The development of the Charter went through an extensive federation wide consultation and sign off process. ActionAid's General Assembly approved the Accountability Charter in June 2013. Given the history and diversity of ActionAid, we faced challenges in agreeing on the definition of accountability and in defining key stakeholders. These challenges however were overcome and the General Assembly approved the Charter almost unanimously. We recognise that, in some cases, due to local dynamics and context, full implementation of the Charter will take some time. A Security Policy for Communities in Emergencies was approved by the General Assembly in 2013 which outlines roles and responsibilities within AAI, the internal and external accountabilities and to which all other commitments are derived.	Communications strategy and the plan for 2014 for the accountability work will be developed. Accountability Charter will be rolled out throughout AAI. Based on the Accountability Charter and the approved principles, ActionAid will develop specific commitments for enhancing accountability in the federation in 2014-15 by establishing new or improving existing implementation mechanisms for those commitments. Namely, in 2014 and 15 ActionAid will focus on improving organizational transparency, complaints resolution mechanism and work towards further strengthening federation wide compliance. This piece of work will be complemented by AAI's membership development process (led by the Country Coordination and International Governance teams) and by efforts made towards strengthening AAI's members governance capacity in order for the national boards to be fully aware/sensitised around mutual accountability and compliance issues in the Federation.

2. Staff competency

Key goal for 2013	Achievements/challenges/lessons learned	2014 objectives
Defining and operationalizing the AAI Competency Framework – key processes	The AAI competency framework is in the final User Testing stages. The competency	The Competency framework will be fine-tuned for IS and developed through a triangulation

for 2013 will include:
- Consulting a range of stakeholders on the framework
- Undertaking an internal and external review ensuring the framework is user-friendly and easy to understand.
- Piloting the framework, conducting assessments for baseline data for performance management, and monitoring systems.
- Development of tools and documents to support the framework

framework has been specifically developed in collaboration with Centre for Creative Leadership (CCL) for Country Directors. This framework will be the foundation for the AAI Competency Framework for International Secretariat (IS). The Competency framework for AAI has five competencies with an overarching sixth competency which encompasses across staff levels.

The Competencies are as under :

Communication is the overarching competency, encompassing the other competencies.

An Emergency Preparedness and Response Handbook has been developed by the International Humanitarian Action and Resilience Team, in close consultation with counties and was published in 2013. This is part of a process of building staff and partner capacity to be able to effectively prepare and respond to emergencies and to deliver on our

process taking into context the CCL competency framework for CDs, the SHL Universal Competency framework and the CBHA competency framework. The AA IS competency framework will be made available by Q3 / 2014.

The Competency Framework will be incorporated into the AAI Performance management system (on-line module). Specific People Managers guide book to competency assessments will be made available as a part of the roll out. Specific sections on the competency assessments will be made a part of the Own Your Team (OYT) module.

Plans are to include these competencies in the job profiles. The Competency based Interviewing (CBI) tool is already operational since we use the SHL Universal Competency Framework and Occupational Personality Questionnaire (OPQ32) inventory. The CBI will further be fine-tuned to these competencies, once the indicator levels are defined across Grade levels .

	commitments. During 2013 ActionAid also trained over 50 staff from across the Federation in basic emergency response, and specialised skill areas including accountability, policy, psychosocial support and emergency communications. This brings our internal emergency response roster to over 100 trained staff who can be deployed to provide additional support to country programmes responding to emergencies.	
3. Sharing information		
Key goal for 2013	Achievements/challenges/lessons learned	2014 objectives
The updated accountability framework will include aspects of transparency and make further commitment to sharing information with stakeholders, including work on communication with disaster affected communities. In 2013, AAI will also be providing reports in line with the International Aid Transparency Initiative. A section on communicating with disaster affected communities will also be included in ActionAid's new Emergencies Manual which will be launched across the AAI federation.	The new Accountability Charter includes ActionAid's overall position about levels of information disclosure to our stakeholder groups – also specified in the document. In addition, ActionAid is making very good progress towards compliance to IATI requirements. AAUK, one of the largest funding members of AAI are making considerable progress towards compliance with IATI requirements and will be compliant (as agreed with DfID) by 2014. We value external transparency initiatives like IATI. We believe however that these are a small part of what organizations could do proactively to become more transparent. In this context, we are both watching and participating into current debates about cost-effectiveness of IATI compliance efforts made in the sector. These debates include what sort of benefits the publishing of the data in the format required by IATI could bring to the less powerful stakeholders.	ActionAid will have a single document outlining the organization's position about transparency; our Open Information Policy (2003) will be reviewed to be aligned to the Accountability Charter principles and detailed plan for IATI compliance will be developed for the whole federation. ActionAid is aiming at being IATI compliant by 2016. Accountability in emergencies guidance document is being developed, to be published in 2014, which will provide guidance to AA members and partners on operationalizing key elements of accountability. A section on information sharing with communities is included. Based on the Code of Conduct to be developed in 2014, simple documentation will be developed by the International Humanitarian and Resilience Team to share these commitments with communities in

	We are working on improving information sharing with disaster affected communities in all our emergency response work. A section on communicating with disaster affected communities is included in the new Emergency Preparedness and Response Handbook, which was published in 2013. ActionAid has also become a member of the CDAC Network, and is working to improve our capacity in this area, through participating in CDAC training opportunities, networking, access to learning resources etc. Information sharing and communicating with communities activities have been integrated into responses in the Philippines and other responses in 2013. Proposals to extend and continue existing comms with communities work in Haiti and Kenya have also been submitted.	emergencies. We will also conduct a pilot initiative in the Philippines emergency response to share with communities examples of the fundraising and communications materials developed using their stories and images. Community feedback will be sought on whether they are happy with the way their material has been used, whether they understood the implications when they gave consent, and suggestions for improvements. This learning will be fed back to fundraising and communications teams. We will share finance realisation information for emergency grants on the AA website. We also share our evaluation reports.

4. Participation

Key goal for 2013	Achievements/challenges/lessons learned	2014 objectives
The accountability framework will make a deepened commitment to participation as a key principle in AAI. The internationalisation project will continue and include more AAI countries as AAI members. The development of strategies in AAI's Local Rights Programmes (areas where we work with communities on long term development projects) will include the participation of communities and partners.	ActionAid has been a pioneer in practicing participatory approaches in the sector. Our practice of participation of communities and partners continues to be at the heart of our way of working whether it is in our humanitarian and emergencies work or through involving people living in poverty in strategy development and review processes. In addition, participation is now one of the accountability principles in the Accountability Charter confirming in this way ActionAid's commitment in this important document. The Charter specifies that ActionAid	We will further enhance participation and inclusion practices by continuing to improve the application of the Human Rights Based Approach in all local rights programmes and enhance staff's capacity and guidelines. In 2014 The Gambia will host a West Africa training of trainers on Reflection Action. We will be following pilot programmes using Reflection Action in at least 12 countries, pulling together the learning to enrich the international resource materials being produced.

	commits to ensure the decision-making processes, strategic directions and lessons learnt are informed by the views of people living in poverty. "As not all ActionAid's stakeholders are equal in power, we commit to addressing power inequalities in the consultation and decision-making mechanisms". ActionAid Accountability Charter, June, 2013, p.4. This represents a continued challenge when aiming to ensure that those who are vulnerable are enabled to participate equally in ActionAid's processes. In 2013 we made a significant breakthrough in pulling together the diverse participatory methods we use at local level (e.g. Reflect, participatory vulnerability analysis, economic literacy and budget analysis, Societies Tackling AIDS through rights etc) into a common Reflection-Action process that pools learning from each and provides a much stronger core process to underpin our community engagement work. Core resource materials have been drafted, drawing on inputs from diverse practitioners across 20 AA countries, an international and training of trainers workshop was conducted in Uganda in July and a regional one held in Lesotho in November. Another key development was the review of the partnership policy which lays out principles and guidelines for our engagement with partners, critically looking at power relationships and participation. A task force has been set up with	In 2014 we expect to finalise a new partnership policy which will guide how we work with partners both in local rights programmes and in campaigns and other areas of our work. The accountability in emergencies guidance document to be finalised in 2014 will include a section on participation, providing guidance and good practice. In particular, we will focus on areas of emergency response where participation is less commonly done well, such as procurement and M&E. A standard TOR for Real Time Evaluations of emergency responses is being revised, and will include specific requirements around assessing the level of participation in the response, and also around the participation of people in the design and implementation of the RTE itself.

	participation from diverse countries and perspectives to update this policy. People's participation, with a focus on women's leadership, has been demonstrated in emergency response programmes in 2013, including the Syrian Refugee Response, Uttarakhand Floods, Phailin Cyclone in Odisha, Pakistan Earthquake and Philippines Typhoon Haiyan response. A case study is included focussing on this area, and further documentation is ongoing as part of the accountability in emergencies project. In 2014 guidance will be finalised which highlights successful tools and approaches that can support other countries to strengthen participation of people in emergency response.	
5. Handling complaints		
Key goal for 2013	Achievements/challenges/lessons learned	2014 objectives
AAI commits to work on the following: • The HR Audit Tool Kit will incorporate a specific section on Complaints & Response Mechanism indices • Build on the existing complaints register to create a centralised database of complaints for easy access and reference • Revision of specific sections of the Child Protection Policy in 2013 • "Own Your Teams" – a module for	**HR audit tool** Currently the HR Audit Tool Kit used for audits across the AAI federation has a specific section on staff grievances / complaints under the section - "Employee Relations". **Complaints register** We gathered much improved data about complaints registration and response across the federation in 2013 through the enhanced and more effective global annual reporting process. Each member of ActionAid is aware of the complaints mechanism and is applying it as and	We will review existing complaints framework and mechanism (2008) and introduce more robust implementation mechanisms both at country/member level as well as IS level. This will include a stronger focus on complaints from communities. Child Protection Policy to be reviewed by Q2 / 2014, with specific reference to Child Data Protection and access. The Anti-Sexual Harassment policy will be revised as a part of the 2014 policy review to

all People Managers in AAI is planned for 2013, which will include specifics on handling complaints. All ActionAid units to include improvements regarding mechanism and handling of complaints in their annual plans	when required. Despite having federation wide data, we have not made very good progress in improving centralised analysis of complaints at a federation level. We learned that member's definitions and categorization of complaints vary considerably due to contextual differences. We need to be more effective in addressing these differences so that we are able to make better sense of collected information around complaints in each country. Based on lessons learned, we decided to carry out a review of our complaints response framework and more importantly, of its implementation mechanism in a federated organizational structure like ours. Therefore, we made a conscious decision to address issue of incorporating complaints into Unit annual plans in 2014. **Child protection policy** As a part of the 2014 AAI policy review process, the Child Protection Policy will be reviewed and specific clauses related Child data protection will incorporated. **Own your teams** The OYT module for People Managers is now available on HIVE; the module addresses end to end employee life cycle processes. Under Employee Relations specific sections on staff grievance and complaints handling will be included	include a stronger focus on prevention of sexual exploitation and abuse of communities. OYT on-line module is now available on HIVE, the section under employee lifecycle – "Employee Relations" to be populated with managing conflict at work, how to address employee grievance and handle whistle blowing instances and complaints. The OYT on-line module will be fully operational by Q2/ 2014 The accountability in emergencies guidance document will include a section on complaints mechanisms. We will also develop materials for communities based on the Code of Conduct which will explain how to make a complaint. We also plan to share information within the Federation better on the HAP complaints mechanism, so that AA members can make clear to communities that this means of redress is also available to them.
6. Learning and continual improvement		
Key goal for 2013	Achievements/challenges/lessons learned	2014 objectives
	By identifying evaluation and learning as one of	In 2014 we will:

AAI's accountability framework to be finalised in 2013 will include a deepened commitment to learning and will make the connections between accountability, evaluation, learning and performance. The global planning and reporting system will be further refined. M&E capacity in the federation will be enhanced through capacity building and an active network of practitioners.	the principles of accountability, we committed in the new Accountability Charter to be accountable for organizational performance in delivering the mission and the strategy. " We commit to gathering evidence of out impact and to analyse and share how we bring about change. Equally we commit to learn from evaluations and reflection processes, share lessons learnt within ActionAid and with partners, peers and supporters, feed them into future plans, and bring then to the attention of the leadership of the organization and other relevant stakeholders." Accountability Charter, June, 2013. p.4. We are working on improving the methodology for aggregating the federation wide data. The diversity of the organization, several levels of alignment (local rights programmes, country) to the international strategy and contextualization of measurement indicators are few among the factors affecting the shape of the methodology for the federation wide data analysis. In 2013 we introduced an innovative model of networking to enhance organizational M&E capacity. This included the creation of a network of internal M&E professionals working in different locations with various members of the federation, called EAGLES (Evaluation and Accountability Global Leaders) . The idea is to train members of this network in order to have M&E support available as and when required. There was one three day inception workshop and two major trainings conducted already in	- Improve our tools for data collection and analysis - Further develop the EAGLES network - Develop an M&E framework for our work on campaigns; - Explore improvements in evaluations techniques and baselines development - Support countries on M&E and coordinate peer to peer support amongst members of the federation. - Continue to compile data at global level to measure progress against the strategy using a prioritised set of indicators and producing a global annual report.

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<td>different parts of the world (East Africa, South East Asia) to cover respective country/regional members of the network.

We made considerable progress in global planning and reporting in 2013. For the first time federation members used the uniform Global Reporting Template, which enabled ActionAid to better aggregate and analyse the progress made towards achieving each strategic objective and change promise at federation level. In addition, we now have a prioritised set of indicators to measure against the international strategy.

In emergencies, management responses are developed based on all evaluations, so that lessons can be incorporated into future responses. In 2013 lessons from the East Africa Drought evaluation have been incorporated into the Odisha cyclone response, West Africa drought and Philippines typhoon response.</td>
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Progress on implementation and monitoring of Staff Code of Conduct and other Prevention of Sexual Exploitation and Abuse measures

We were unable to complete the Code of Conduct in 2013 as planned. However, the Code of Conduct project for AAI Federation has now been initiated in January 2014. The project will conceptualise AAI's Code of Conduct framework and is seeking wide input from across the ActionAid Federation. The International Humanitarian Action and Resilience Team is participating in the development process to ensure that humanitarian concerns are incorporated. It is expected to have a General Assembly approved CoC by May 2014

The Value Compliance Statement is now embedded in all appointment letters, contracts, and consultancy agreements. The on-line Global Induction module is now being revised and plans are on (contingent on budgets) to make the Global Induction module available in Portuguese, Spanish and French.

The Anti-Sexual harassment policy will be revised as part of the 2014 policy review to include a stronger focus on prevention of sexual

exploitation and abuse of communities. This will be effected post Q3 / 2014 .

The Internal Audit Unit tracks and monitors formal complaints by means of a complaints register for AAI (including both internal and external complaints). These are collated through an audit mechanism, besides grievance / complaints reported by individual countries through monthly HR reports. IA tracker is an on-going process and federation wide complaints are collated with specific references to mitigation and outcomes. This is shared through Internal Audit Complaints Register , the register is shared with the CE's office on a regular basis . The Global HR report (shared with CDs and Global HR) collated twice a year outlines global trends on Employee Relations and Health & Security Incident reporting across the AAI Federation .

Country-level gender sensitisation modules are conducted periodically for both AA staff / partner staff and community based organisations, which also address issues related to sexual harassment at both workplace and home: This is Work in Progress.

Case study/example: Good practice in accountability and quality management

Please see attached.

Plans with regard to HAP services: baseline analysis or certification?

ActionAid is committed to a verification system that can hold agencies to account for their commitments, and can do so with strong people's participation. We have been closely monitoring and engaging with the discussions around the proposed Core Humanitarian Standard, SCHR certification model, and the merger of global humanitarian standards. Given the uncertainties around these processes, we will await the outcomes before taking a decision on whether to progress towards HAP certification. We remain, however, committed to HAP and the valuable contribution it makes to the humanitarian and development sectors. We also continue to stress the importance of people's participation in any future certification/verification model, whether this is part of HAP or a broader initiative.

In 2013 ActionAid has been actively participating in HAP activities, including the 2013 General Assembly and Certification Learning Event in Bangkok. The Head of the International Humanitarian Action and Resilience Team is a member of the HAP Board, and in 2013 ActionAid has taken on additional HAP responsibilities (the global Humanitarian Accountability Coordinator is a member of the Standing Complaints Committee, and ActionAid Denmark's Director of Knowledge Centre is a member of the Certification and Accreditation Review Board).

Progress/highlights from programme sites (if not covered elsewhere in report):

Summary and any other comments: