

**The 2011 HAP  
Secretariat Report**

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## List of abbreviations

<b>ALNAP</b>	Active Learning Network for Accountability and Performance
<b>ATHA</b>	Advanced Training Programme on Humanitarian Action
<b>AWP</b>	Accountability Work Plan
<b>BPRM</b>	Bureau of Population, Refugees and Migration
<b>BSO</b>	Building Safer Organisations
<b>CAFOD</b>	Catholic Agency for Overseas Development
<b>CARB</b>	Certification and Accreditation Review Board
<b>CDAC</b>	Communicating with Disaster Affected Communities
<b>CERF</b>	Central Emergency Response Fund (UN)
<b>CIDA</b>	Canadian International Development Agency
<b>CWS P/A</b>	Church World Service Pakistan/Afghanistan
<b>Danida</b>	Danish International Development Agency
<b>DCA</b>	DanChurchAid
<b>DFID</b>	Department for International Development (UK)
<b>DRC</b>	Danish Refugee Council
<b>ECB</b>	Emergency Capacity Building
<b>ECHO</b>	European Commission Humanitarian Aid Office
<b>HAF</b>	Humanitarian accountability framework
<b>HAP</b>	Humanitarian Accountability Partnership
<b>HHI</b>	Harvard Humanitarian Initiative
<b>IASC</b>	Inter-agency Standing Committee
<b>INGO</b>	International Non-Governmental Organisation
<b>JSI</b>	Joint Standards Initiative
<b>LWF</b>	Lutheran World Federation
<b>MFA</b>	Ministry of Foreign Affairs
<b>MoU</b>	Memorandum of Understanding
<b>MTPA</b>	Mid-Term Progress Audit

<b>NEP</b>	New Emergencies Policy
<b>NGO</b>	Non-Governmental Organisation
<b>NRC</b>	Norwegian Refugee Council
<b>OCHA</b>	Office for the Coordination of Humanitarian Affairs
<b>OECD</b>	Organisation for Economic Co-operation and Development
<b>PSEA</b>	Prevention from sexual exploitation and abuse
<b>SCC</b>	Standing Complaints Committee
<b>SDC</b>	Swiss Agency for Development and Cooperation
<b>SEA</b>	Sexual exploitation and abuse
<b>SIDA</b>	Swedish International Development Agency
<b>ToR</b>	Terms of Reference
<b>UN</b>	United Nations
<b>UNHCR</b>	United Nations High Commission for Refugees
<b>WFP</b>	World Food Programme

## Introduction

The year 2011 was defined by movements of people voicing their desire for participation and accountability across North Africa and the Middle East. Some people in Western countries also spoke out to challenge financial and economic institutions. It was suggested that the advent of social media could enable a new era of people power.

Japan's earthquake and Tsunami in March were reminders that even the most advanced of countries are vulnerable to the impact of natural disasters. The crisis in the Horn of Africa, once again, brought a complex emergency characterised by conflict, drought, famine, loss of livelihoods, and restrictions on humanitarian access.

In the humanitarian sector, accountability challenges were highlighted in a series of important evaluations and conferences that assessed the humanitarian community's performance in responding to Haiti's earthquake and Pakistan's floods—both in 2010. They prompted serious reflection among donors, UN and NGOs, leading to new resolutions and commitments to make improvements with regard to leadership, coordination, risk reduction, accountability, and other aspects of humanitarian action.

At HAP, there was a welcome growth in the partnership, with 20 new members joining—nine of them national NGOs from South Asia, bringing HAP's total membership to 82. Certification was achieved by four members and re-certification by another two, while five other members undertook a HAP-facilitated baseline analysis using the 2010 HAP Standard.

Among humanitarian quality and accountability initiatives, discussions on strengthening collaboration accelerated during 2011, with the directors and boards of People in Aid, the Sphere Project, and HAP meeting regularly to take forward discussions and planning towards the Joint Standards Initiative (JSI). The initiatives conducted a joint deployment to the Horn of Africa, developed a single web portal, and started discussions about a common field handbook and a common evidence-based study. Partnerships and shared learning with other quality and accountability initiatives continued through the year.

HAP also contributed to the formulation of a framework for UN and partner agencies to integrate methods for enhancing accountability to beneficiaries, and continued working with the Inter-Agency Standing Committee at two levels: through engagement in its Sub-working Group on Accountability, and through its Task Force partners on the prevention of sexual exploitation and abuse (PSEA). The HAP-led PSEA conference in May 2011 helped to keep this important issue on the agenda of the different stakeholders.

As a multi-agency initiative, HAP continues to work towards improving and championing accountability to people affected by disasters and other crises. The statutory bodies of HAP include a General Assembly, a Board, and an Executive function (the HAP Secretariat). The HAP Secretariat is responsible to support members and potential members in: providing training and advice; undertaking collaborative research; communicating; advocating; promoting; monitoring and reporting on implementation of accountability and assisting members in finding solutions where concerns or complaints are raised about them.

The Secretariat works according to a Strategic Plan. HAP's 2010-2012 Strategic Plan,<sup>1</sup> is in its second year, and is focused on expanding HAP's membership, increasing outreach to the humanitarian community, and deepening engagement with HAP members, donors, and the quality and accountability initiatives. The aim is to intensify understanding and demand for accountability, and seek creative ways to collaborate and provide mutual support.

This report outlines the progress of the Secretariat in relation to its 2011-2012 Workplan. The report is divided into two main sections:

**The First Section** offers a brief summary of progress achieved against the strategic and organisational objectives set in HAP's 2010-2012 Strategic Plan (Full copy available online at: <http://hapinternational.org/pool/files/hap-strategic-plan-28-may-2010-final.pdf>).

**The Second Section** offers a detailed report on activities, structured according to the six main outputs and corresponding main output indicators outlined in the 2011 Secretariat Workplan (full copy available at: <http://hapinternational.org/pool/files/7-workplan-2011-final.pdf>)

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<sup>1</sup> This is publically available at: <http://hapinternational.org/pool/files/hap-strategic-plan-28-may-2010-final.pdf>

Looking forward, HAP's main programme priorities for 2012 will focus on its core business of promoting accountability and our ongoing commitment to disaster survivors, through:

- a) Certification: Maintaining HAP's momentum towards certification through the development of certification and accreditation models that respond to our members' requests for flexibility, low cost, and speed.
- b) Coherence: Providing leadership and full engagement in discussions on the convergence of quality and accountability activities, in order to maximise the impact for humanitarian actors and the communities we serve.
- c) Field presence: Building a rapid and predictable capacity for field presence in emergency responses, through HAP's deployment team and the application of the HAP Standard at grassroots level.
- d) Complaints: Supporting members in developing complaints mechanisms, ensuring they have contextual, realistic and effective approaches.
- e) Preventing Sexual Exploitation and Abuse: Engaging with donors and relevant stakeholders to assist them with integrating effective measures to ensure safer programming and to prevent sexual exploitation and abuse.
- f) Secretariat: Ensuring a stable cost base for the Secretariat through fundraising and cost recovery, and maintaining an effective and well governed team that fully supports members.

**Robert Schofield**

Interim Executive Director



# I. Summary report against the strategic plan

## Strategic objectives

### 1. Learning how to improve accountability and programme quality management practices

The Secretariat made significant headway towards achieving this objective when it launched the 2010 Standard in Accountability and Quality Management on 31 January 2011. The latest edition broadened the HAP Standard to make it applicable to all types of organisations –(local, national, and international)—that assist or act on behalf of people affected by or who are prone to disasters, conflicts, poverty or other crises. These agencies may be HAP members and non-members, multi-mandated organisations, organisations that deliver direct assistance, and organisations that work with partners. The 2010 Standard introduces stronger financial accountability, and more robust and explicit measures for the prevention of sexual exploitation and abuse (PSEA). In 2011, two certifications and two re-certification, of agencies that met the new 2010 HAP Standard took place.

Special efforts were made in drafting the 2010 HAP Standard to ensure it complements other standards related to accountability and quality, as well as issue-specific standards and guidelines for quality management systems, human rights, and protection from abuse and corruption.

After 31<sup>st</sup> January 2012, the Secretariat will conduct all the new baselines, certifications and recertification processes according to the 2010 HAP Standard. It has produced a guide to the 2010 Standard, to assist organisations and practitioners in applying the standard in their work. HAP Members, both as individual organisations and through networks, translated the standard into seven languages in 2010, and additional translations are underway. All the Secretariat's capacity-building activities use the 2010 Standard.

The Secretariat completed the development of guidelines for third parties to facilitate HAP organisational development services, including guidance on the baseline analysis against the 2010 HAP Standard. We began discussions with large federated and decentralised agencies on various options for HAP certification, and these will continue in 2012. An internal paper on the Accreditation Standard and Accreditation Scheme was drafted; however, further work on this was deferred until 2012. HAP and CWS Pakistan/Afghanistan signed a year-long MoU to pilot accreditation in a regional context.

We had developed a draft research strategy in 2010, as well as some joint research proposals with academic institutions, such as the Harvard Humanitarian Initiative, to take our research agenda forward. Due to funding and capacity difficulties, however, it was difficult to get this strategy off the ground in 2011. We expect to implement the research strategy through a combination of in-house research, collaboration with members, and collaboration with research bodies, in order to design studies that examine the relationship between accountability, programme quality, and programme outcomes.

We also developed new practical tools with HAP members, sharing them widely through the HAP website, the newsletter, and social media such as Twitter and Facebook.

## **2. Facilitating adoption of improved accountability and quality management practices**

In 2011, HAP exceeded its target for the number of new members, with 16 Members and four Associate Members joining the partnership. The majority of new applications were from organisations in South Asia, and a number of membership applications were submitted following recruitment efforts in target countries and contacts made in other countries where HAP staff were conducting activities. Several membership applications were also received spontaneously.

HAP and its partners provided training and tailored support on accountability, complaints handling, investigations, and PSEA to over 260 participants in 2011, thereby contributing to developing a more effective response to serious and sensitive complaints. HAP also engaged donors in discussions concerning PSEA, holding a conference in May that was attended by over 90 participants, with the purpose of ensuring that PSEA remains on the agenda with proactive engagement from different stakeholders. HAP will hold a follow-up conference in 2012.

The Secretariat carried out baseline analyses according to the 2010 HAP Standard for six agencies which intend to seek certification in 2012. Baseline guidelines and self-assessment tools were also developed and Norwegian Church Aid in Khartoum agreed to pilot these.

The Roving Team undertook two deployments in 2011 and one follow-up mission to support members, non-members, partners, networks and other stakeholders in an ongoing humanitarian response. In January, a deployment was undertaken in Pakistan in response to the floods of 2010. A follow-up mission took place in Dadaab refugee operations (Northern Kenya) in May, where a three-month deployment had taken place in 2010, along with a visit to Kakuma refugee operations to gauge progress made through the secondment of LWF staff member to the Roving Team in 2010. In October, responding to the drought and famine crisis in the Horn of Africa, HAP, Sphere and People In Aid undertook a joint deployment to Kenya, under the umbrella of the Joint Standards Initiative.

### **3. Scaling up through advocacy**

HAP strengthened its collaboration with People In Aid and The Sphere Project in 2011. These three quality and accountability entities came together under the banner of the Joint Standards Initiative which has been established to explore greater coherence and convergence. The chairs and directors of the three initiatives met regularly during 2011, and developed a process for exploring the various options for achieving greater coherence to be completed by December 2012.

The report, 'Change Starts with Us: Talk to Us', on beneficiaries perceptions of progress in the prevention of sexual exploitation and abuse was widely disseminated in 2011. The Secretariat held meetings with different stakeholders to discuss the findings and recommendations, as well as how these could be integrated into programming.

In 2011, HAP continued its support to donors to strengthen quality and accountability in the programmes that they fund, with an additional focus on the prevention of sexual exploitation and abuse. This work included the addition of quality and accountability criteria into donors' programme quality guidelines, and developing indicators to be included in their partnership framework agreements. Donor focus on issues of accountability became more pronounced. SDC and DANIDA highlighted certification as an important aspect of increased accountability. The Bureau of Population, Refugees and Migration (BPRM) requested organisations it funds to provide evidence on the measures they have put in place to prevent sexual abuse and exploitation.

New partnerships were formed with InterAction and Keeping Children Safe Coalition to ensure stronger advocacy for accountability with a special focus on the prevention of sexual exploitation and abuse. HAP continued its work with the Inter-Agency Standing Committee (IASC) Taskforce on Sexual Exploitation and Abuse, providing technical input into a proposal for joint complaints handling.

Throughout 2011, the Secretariat continued to work with a range of stakeholders in the humanitarian sector. HAP engaged closely with the IASC's Transformative Agenda which highlighted accountability, working at two levels. Firstly, with the sub-working group on accountability, this resulted in the HAP Standard and Sphere Handbook being reflected in the accountability framework developed by the group. Secondly, it worked with the IASC Task Force on PSEA, providing technical expertise and inputs particularly for a proposal to pilot a joint complaints mechanism in three countries. In addition, HAP signed an MoU with the International Organization for Migration (IOM) to produce a joint publication on communication with affected communities during emergencies.

#### **4. Validating progress through compliance verification**

The Secretariat submitted an annual Compliance Report to the HAP Board, reporting on the status of each member's Accountability Framework (AF) or Accountability Work Plan (AWP) and other obligations, as required by changes to the HAP Statutes made in 2011, and on progress made towards certification.

Certification remained the primary tool for programme quality assurance. Owing to funding and human resource constraints, sufficient work could not take place on monitoring accountability frameworks and AWP's of members and so this was postponed until 2012.

The total number of certified agencies in 2011 reached 13, out of which four organisations were certified and two were re-certified, and four certification audits took place during the year. This is two fewer than anticipated for 2011 and can be attributed to organisations needing to prepare for certification internally. To broaden the pool of auditors, a week-long training took place for auditors in December in Thailand.

We continued to explore the options for accrediting other bodies that could be authorised to certify organisations to the HAP Standard. An agreement was reached with CWS P/A with a time-frame of one year to pilot an accreditation process which aimed at widening the reach of HAP certification in the region. The Secretariat will provide support to ensure that the quality of the audits and an independent review overseen by the HAP Certification

and Accreditation Review Board (CARB) will also take place. HAP has explored options with other quality initiatives in India and with actors from the financial sector to learn from their experience of accreditation processes.

## **5. Responding to complaints**

A review of the procedures for complaints against members which started in 2010 was completed in 2011. The procedures were reviewed by a nine-member review committee to ensure that it reflected the 2010 HAP Standard and lessons learnt in handling complaints by HAP and its members over the past years. A call for nomination to form the new Standing Complaints Committee (SCC) was circulated in 2011 and the committee will be formed in early 2012.

In total 19 complaints were received out of which ten were related to HAP members. Five were subsequently closed and five remained open, pending investigations by the agency concerned. In 2011, one request was received to conduct an investigation. At the end of 2011, HAP had a pool of six trained investigators.



## Organisational objectives

### 1. Strengthening the Partnership

At the end of 2011, HAP had 64 Full members and 18 Associate Members from 22 countries. A full list of members as of end 2011 is included in Annex II.

Throughout the year, the Secretariat actively engaged with members, quality and accountability partners, donors, and other stakeholders to ensure processes were responsive to their needs. HAP staff met regularly with stakeholders and took into consideration their concerns and suggestions to improve engagement.

### 2. Aligning governance, membership and rules to strategy

The Board appointed Dr. Angela Raven-Roberts as the new Executive Director in February 2011. The HAP General Assembly was held in May 2011. The members agreed to four changes in the HAP statutes relating to the requirement for submission of progress reports, staff codes of conduct, and to reporting requirements on the prevention of sexual exploitation and abuse measures. Changes were also made on membership criteria for the board (full details of the changes are given in Output 6.11).

### 3. Securing resources

In 2011, HAP secured 88 percent of its income from core donations. Discrete thematic programmes were funded through grants, which represented 40 percent of the overall income. Some of these programmes took place in locations that were within the geographical focus defined in the strategic plan, such as India, Kenya, Sweden, and the UK, thus meeting the strategic target. Revenue from service delivery and the membership fee represented 22 percent of overall income. This was 3 percent below the strategic target; however, donations received in the last quarter of 2011 enabled HAP to replenish reserves to a healthier level.

#### **4. Developing skills and competencies**

As a result of the funding shortfall, a decision was taken to defer recruitment against three vacant posts, however HAP continued to provide quality services to members and the sector throughout the year. In order to match the available human resources with increasing demands, and to capitalise upon complementary skills and competencies, the Secretariat worked with consultants to deliver specific tasks.

#### **5. Achieving carbon neutrality**

Carbon reduction was pursued, by ensuring that every trip served multiple purposes as outlined in the Strategic Plan.

## II. Report against the 2011 work plan

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### Output 1

#### **Standards, guidelines and tools developed for the sector through research-based evidence, learning, knowledge sharing**

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The targets set under the HAP work plan for 2011 were to address 3 knowledge gaps on accountability, quality management and programme outcomes through research and collaboration between the Secretariat, member agencies and research bodies. Due to funding constraints in the first quarter of 2010, a Research Officer and Policy Coordinator could not be recruited. To ensure the delivery of key activities, a decision was taken by the Secretariat and Board to encourage relevant stakeholders to take a lead on some of the research activities, while other responsibilities were distributed between the HAP staff and the Executive Director.

An MoU was signed with the IOM to produce a Handbook for Communication to Affected Communities In Emergencies, which will be made available by mid-2012.

Joint research project proposals were submitted with Tufts University and Lutheran World Federation (LWF) and ongoing support was provided to researchers working on independent projects that explore issues and good practices in accountability in the context of remotely-managed programmes in Afghanistan and Somalia.

HAP staff published articles in *Humanitarian Exchange Magazine*, a publication that showcases learning and good practice in the sector (for details see Output 4).

**1.1 Research collaboration between the HAP Secretariat, members and research bodies in focus countries:** The Secretariat continued to work according to its draft research strategy, actively engaging with relevant stakeholders and supporting various independent and institutional research projects. HAP served as the focal point to help shape and advise on a research proposal developed with Tufts University and jointly submitted to the Humanitarian Innovation Fund, unfortunately, it was not selected. Contacts were established with academic institutions such as Harvard University; Bradford University Centre for Participatory Studies; the Graduate Institute (Geneva); and the Network on Humanitarian Assistance (NOHA). A Letter of Understanding was drafted for a more systematic collaboration and engagement with InterAction.

**1.2. Commissioned studies:** Owing to the lack of a Policy Coordinator, no commissioned study took place in 2011, and this target was not met; however, progress was made in connecting with academic and research institutions to generate interest in conducting a study on the impact of the HAP Standard and certification.

**1.3. Organise research-practitioner conference on ‘Accountability to beneficiaries’:** In May 2011, HAP held its first annual Conference on the Prevention of Sexual Exploitation and Abuse (PSEA). 90 people from 75 different organisations participated, including 21 national organisations—from countries and territories as diverse as Armenia, Bangladesh, Haiti, Liberia, and Palestine. Ten participants, including beneficiaries from Haiti and Bhutan, received assistance with travel costs and accommodation in Geneva through the Oak Foundation grant.

The conference aimed to re-affirm the role and commitments of senior managers with regard to PSEA, to present an update on good practice, and to establish consensus and collaboration between all the key stakeholders to strengthen action for PSEA. Four working groups addressed PSEA from different angles: donor policy, senior management and organisational commitment, joint advocacy through networks, and practical on-the-ground solutions. The importance of PSEA was re-affirmed by all participants, and a degree of frustration was expressed about slow progress in introducing active measures to address the problem. In response, HAP drafted a Geneva Declaration on Prevention of Sexual Exploitation and Abuse in Humanitarian Action, which 11 organisations have signed so far.

A conference on feedback mechanisms, ‘Enhancing Communication with and the Participation of Disaster Affected Communities’, was held in Geneva, jointly organised by HAP with CDA Collaborative Learning Projects of Boston and the Graduate Institute of Geneva.

Discussions took place with various stakeholders and preparation began to hold a workshop entitled Accountability Engagement and Performance, to examine how accountability to people affected by conflict and disaster can be enhanced. In an effort to engage with the European humanitarian community of NGOs and donors, this workshop was planned in partnership with Belgium's Ministry of Foreign Affairs and the NGO network VOICE (Voluntary Organisations in Cooperation in Emergencies) and will take place in 2012.

**1.4. Prepare Annual Humanitarian Accountability Report and Secretariat Report:** The HAP 2010 Secretariat Report and 2010 Humanitarian Accountability Report were launched at HAP's General Assembly in May 2011. Preparation for the reports for 2011 commenced in January 2012. John Borton, who authored previous chapters on the overview of accountability in the sector, was requested to write the overview chapter for the 2011 Humanitarian Accountability Report.

**1.5. Complete review of the 2007 HAP Standard and Guide:** The 2010 HAP Standard in Accountability and Quality Management was approved on 20 October 2010 by the HAP Board, and authorised by the HAP General Assembly. It was formally launched on 31 January 2011 in Geneva.

Organisations were encouraged to start applying the 2010 Standard immediately. With the launch of the 2010 HAP Standard a 48-month transition period commenced with regards to HAP capacity-building services and certifications. Until the end of January 2012, HAP will offer baseline analyses and certification audits according to either the 2007 or 2010 Standards. After January 2012, all capacity-building services offered and all certifications issued by HAP, including new certifications and re-certifications, will be to the 2010 Standard. After January 2015, existing certifications issued under the HAP 2007 Standard will no longer be valid.

**1.6. Complete development of the HAP Accreditation Standard:** A plan for the Accreditation Standard was internally drafted; however, in the absence of a Policy Coordinator, the process of consultation and finalisation has been deferred. Discussions took place with the Steering Committee on Humanitarian Response (SCHR) about the certification of large federated organisations.

A MoU with a time frame of one year was signed with Church World Service Pakistan/Afghanistan (CWS/P/A) to test potential accreditation and alternative certification mechanisms in a regional context. A five-day auditors' training was held in December 2011, and hosted by CWS P/A in Bangkok, Thailand. A total of 11 participants took part in this training and under the terms of the MoU on capacity building, four participants were invited from

CWS P/A. It is envisaged that these auditors will go through their auditor trainee programme and go on to conduct regional audits.

**1.7. Consolidate auditor registration and quality assurance procedures:**

The Auditor Registration process was revised under the quality assurance procedures and made available publicly on the HAP website. An Auditor's Manual was produced. A regular independent auditor monitoring and appraisals process was put into place. Four new independent auditors were trained and registered by 31 October 2011. A further 11 auditors were trained in December, and will start their audit trainee programme in 2012, which includes mentoring by an experienced auditor and support from the Secretariat.

**1.8. Review list of services and update tools, guidance materials and training/organisational development packages in the light of the 2010 Standard:**

HAP updated its PSEA organisational self-assessment tool and shared it with all HAP members in order to help them assess their progress compared to their PSEA commitments. It was also shared with several donors and will be made publicly available in 2012.

A gap analysis worksheet for complaints and response mechanisms was developed aimed at ensuring the establishment of effective, accessible and safe complaints and response mechanisms. A separate worksheet was developed to cover organisations' work with partners in relation to complaints handling. These materials were shared in multiple training sessions and workshops and will be made available online once finalised. Training materials were updated to reflect changes made in the 2010 HAP Standard.

HAP members developed and shared tools to support various aspects of accountability, and these were posted on the HAP website. They included Save the Children's case studies on setting up a child-friendly complaints system from Dadaab refugee operations, World Vision's Community Complaints and Feedback Field Policy and Procedures Manual, and Oxfam's Complaints Hotline protocols developed from the flood response in Pakistan.

A baseline self-assessment tool developed by the Secretariat and Norwegian Church Aid (NCA) in Khartoum agreed to test it.

**1.9. Develop procedures for quality assuring HAP organisational development and capacity building services when delivered by others:**

A licensing agreement was drafted for third parties delivering training in the HAP Standard, and this will be finalised as organisations begin delivering trainings. A MoU to assure the quality services delivered was established

between HAP and the agencies that participated in the Training of Trainers held in Asia.

**1.10. Organise other learning activities, including in focus countries and after NEP deployments:** In 2010, HAP had facilitated the setting up of accountability working groups in Pakistan, Ethiopia, and in Dadaab, Kenya. Throughout 2011, HAP continued to provide remote support such as the exchange of materials, training announcements and technical inputs into materials and agendas. HAP shared reflections and lessons from its work on PSEA at a two day workshop on PSEA in Nairobi in October.

In January, a deployment in Pakistan was undertaken in which the Pakistan Accountability Learning Working Group was supported and a sub-working group was created in Swat, where a humanitarian response was unfolding. In May 2011, HAP conducted a follow-up mission to a three-month deployment it undertook in Dadaab in 2010. During this follow-up mission, the team undertook various learning, reflection and action planning activities, including providing support to the Dadaab Quality and Accountability Working Group and conducting a workshop on accountability challenges they faced. It conducted similar activities in Kakuma refugee operations.

**1.11. Development of online community of practice (COP)/e-learning programme on accountability and quality management:** Various options were explored to set up an online community of practice. A 'wiki space' online forum was created so that participants in HAP workshops and trainings can network, provide peer support, share resource material, and exchange learning.

Under the umbrella of various Quality and Accountability Initiatives, a communication group was established to increase sharing of resources, cross-referencing, and cohesion of information. HAP played an active role in this, and participated in several meetings and discussions.

**1.12. Deliver ongoing research that supports other in-house activities:** HAP and IOM signed an MoU to produce a publication, the Handbook on Communication in Emergencies with Affected Communities. The handbook will capture the learning and actions undertaken by IOM's Mass Communication Unit in Pakistan, which worked on sharing information between the humanitarian community and on its behalf with the affected community, as well case studies and similar examples from across the globe. It is intended to serve as a resource for the sector, providing guidance for agencies that work in emergencies, which seek to collectively strengthen information sharing to disaster survivors. The final version of the publication will be available in May 2012.

Technical inputs, resources and case studies were provided to a Tearfund researcher based in Afghanistan. The study, titled *Monitoring and Accountability Practices for Remotely-Managed Projects Implemented in Volatile Operating Environments*, represents detailed research on the key issues and corresponding good practices. It has been supported by Humanitarian Innovations Fund, and the final report will be available in April 2012.

Similar contributions were made to the ongoing 'Review of Existing Practices to Ensure Participation of Disaster-Affected Communities in Humanitarian Aid Operations', which is being carried out by the European Commission Humanitarian Office (ECHO). A number of HAP resources—such as the HAP 2010 Standard, case-studies, and reports—have been shared, and will be included in the resource bank created for this evaluation.

In 2010, HAP provided technical assistance for the development of a 'needs scale,' undertaken by the World Health Organisation and King's College in London, and also facilitated its field testing. The Humanitarian Emergency Settings Perceived Needs Scale (HESPER) was finalised and launched in September 2011,<sup>2</sup> and it offers a quick, scientific method of assessing the perceived needs of people affected by large-scale humanitarian emergencies, such as wars, conflicts or major natural disasters.

HAP staff published articles in the *Humanitarian Exchange Magazine*, which captures key learning and good practices and is published by the Humanitarian Practice Network at Overseas Development Institute. HAP contributed an article titled "Collective efforts to improve humanitarian accountability and quality: the HAP deployment to Dadaab"<sup>3</sup> to its issue on partnerships, and an article titled "Local perspectives of the Haiti earthquake response" to its issue on accountability.

### **1.13. Develop and pilot alternative compliance verification approaches:**

A draft paper was developed on alternative approaches to compliance verification and presented to the HAP Board. Further work on this could not be pursued, due to limited staff time and the prioritisation of commitments to conduct certification audits.

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<sup>2</sup> [www.odihpn.org/humanitarian-exchange-magazine/issue-50/collective-efforts-to-improve-humanitarian-accountability-and-quality-the-hap-deployment-to-dadaab](http://www.odihpn.org/humanitarian-exchange-magazine/issue-50/collective-efforts-to-improve-humanitarian-accountability-and-quality-the-hap-deployment-to-dadaab).

<sup>3</sup> [www.odihpn.org/humanitarian-exchange-magazine/issue-52/local-perspectives-haiti-earthquake-response](http://www.odihpn.org/humanitarian-exchange-magazine/issue-52/local-perspectives-haiti-earthquake-response)

## Output 2

**All HAP members and other selected agencies received HAP capacity building and organisational development support to improve accountability to beneficiaries and quality management in their programmes.**

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The HAP 2011 workplan set a milestone that an additional eight members and non-member organisations would request a baseline analysis. At the end of 2011, HAP conducted six full baseline analyses, covering five field sites. Further baseline analyses came to a halt after the departure of HAP's organisational development advisor, and were resumed when a consultant was contracted to facilitate the baselines as an interim solution.

With regards to complaints-handling, a milestone was set that at least 31 agencies would have complaints handling systems, with nine members having investigation procedures and trained investigators. By the end of 2011, 36 agencies had complaints handling systems and seven other agencies were in the process of developing complaints and response procedures. 17 member agencies had one or more investigators trained in HAP/BSO investigations, and nine other non-member agencies (UN, INGOs and National NGOs) had also sent their staff to HAP/BSO investigation training programmes.

Regarding non-member agencies, the workplan envisaged that OCHA would use the HAP Standard and seek HAP's advice to analyse the status of accountability in the Consolidated Appeal Process (CAP) in at least one location. This target was indirectly met through the Secretariat's active engagement with the IASC 'Transformative Agenda'. HAP became a member of the IASC sub-working group on Accountability, which used and referenced the 2010 HAP Standard and Sphere Handbook in the IASC Operational Framework for Accountability to Affected Populations that was developed.

Concerning deployments, the work plan outlined that during 2011, inter-agency groups would be established in four locations, joint-inter-agency complaints and response mechanisms would be planned and piloted in three new emergency locations, and reviews would be conducted after each deployment and the learning shared widely. In addition, HAP's New Emergencies Policy (NEP), a commitment by HAP member agencies to make a special effort to promote accountable practices in the earliest

stages of a new emergency response, and its protocol would be reviewed and updated through a consultation process (this was deferred due to the absence of the Policy Coordinator). In addition, HAP's New Emergencies Policy (NEP), a commitment by HAP member agencies to make special effort to promote accountable practices in the earliest stages of a new emergency response, and its protocol would be reviewed and updated through a consultation process. The HAP Roving Team continued to provide support to accountability working groups in Haiti, Dadaab, Pakistan, and Ethiopia. Joint complaints systems which were set up in Dadaab by CARE and WFP, and in Kakuma by WFP and LWF, received continued support in 2011. Technical inputs and support was provided to the Dadaab Quality and Accountability Working Group in setting up a joint complaints system; however, due to the escalating emergency and the influx of refugees from Somalia, the joint complaint system was put on hold. Consultations took place with staff in Dadaab and Kakuma refugee operations for a proposal on PSEA to be submitted by the IASC Task Force. An inter-agency accountability mapping exercise was conducted in Turkana region, in Lodwar and Kakuma, with 25 agencies represented, 36 staff members participating, and 109 community members consulted.

**2.1. Meet agencies and donors, other stakeholders to promote HAP:** In order to raise awareness and build understanding about HAP and its work, the Secretariat delivered presentations and briefings to members, potential members and other key stakeholders on quality and accountability in focus countries:

- India: Regional representatives of the ECHO, the World Bank, and introductory meetings with new HAP Members
- USA: BPRM and InterAction
- UK: As a steering committee member of: Enhancing Learning & Research for Humanitarian Assistance (ELRHA) and Communicating with Disaster Affected Communities, (CDAC).
- France: Bioforce Institute
- Kenya: OCHA, Inter-Agency Working Group, Kenya Humanitarian Forum, In-Country Network on the Prevention of Sexual Abuse and Exploitation, UNHCR (Kakuma Refugee Operations), LWF
- Switzerland: ICVA, IFRC and The Sphere Project

**2.2. Improvement pathways developed with existing and new members:** Meetings were held with potential new members in the UK, India and

Kenya. Four discussions were held with new members on their pathways to improving accountability and quality management.

In addition, meetings were held in London in July 2011 with International Medical Corps, Plan International, RedR, VSO, People In Aid, and Save the Children. In India, senior staff of Lutheran World Service India Trust, CASA and SEEDS were briefed on the 2010 HAP Standard and plans for its implementation discussed. Concern World Wide and its partners in India were also consulted.

Of the 43 members who submitted annual reports to HAP in 2011, 54 percent had accountability frameworks effective across all or most of their activities. Ten percent had some coverage or a pilot accountability framework, 12 percent had developed a framework but not implemented it yet, and 19 percent were in the course of developing their framework. Another five percent had no accountability framework.

**2.3. Deliver HAP Standard baselines to eight organisations:** During 2011, six organisations underwent baseline analyses for the 2010 HAP Standard, all of them covering their headquarters and five covering field sites. With the departure of the organisational development advisor a consultant was contracted to serve as the baseline facilitator.

In 2011, Swedish members were notably predominant in demanding baseline analyses. From May to October, baselines were completed for IAS, Diakonia, Church of Sweden and PMU—all agencies that expressed their intention to work towards certification. A number of agencies have flagged their intention to undertake a baseline analysis and work started in planning baseline for ICCO and World Vision and will be carried out in 2012. The baseline for ZOA will be carried out by CWS/PA staff in 2012.

**2.4. Conduct Humanitarian Accountability Framework (HAF) workshops and/or accountability workshops:** One accountability workshop was facilitated in India in November 2011, in collaboration with the All India Disaster Management Institute and the Human Rights Commission of India. The focus was on disaster response, accountability, and human rights. 50 participants attended the training, including government officials, local leaders, NGO workers, teachers, and other professionals involved in the Cyclone Isla response in West Bengal.

On 22 November 2011, a half-day workshop was held with senior staff of Save the Children UK, to support them in the development of their accountability framework.

Also in November 2011, a staff member of the International Rescue Committee conducted a two-day training in accountability principles on

behalf of HAP for 30 staff members, Board representatives and actors of FilmAid in Kakuma, Kenya. FilmAid will be making a film on accountability issues in 2012.

HAP delivered sessions accountability at training courses offered by the Swedish International Development Cooperation Agency (SIDA) in conjunction with Harvard University (and Advanced Training Program on Humanitarian Action—(ATHA) in Härnösand, Sweden. A module on the October 2011 core training was facilitated by Norwegian Church Aid in October with support from HAP. A specialised course was facilitated by HAP on humanitarian coordination, in Sweden in October 2011.

**2.5. Build capacity of HAP's new emergency response:** In 2011, HAP's Roving Team was engaged in developing a number of tools, providing capacity building sessions, and writing publications.

During its deployment in Pakistan, peer-learning activities took place in flood-affected areas of Swat and Sindh (see 2.6 for more details).

Building on the interagency mapping exercise developed during the 2010 Dadaab deployment, the Roving Team adapted the methodology to conduct an interagency assessment in Turkana under the deployment of The Sphere Project, People in Aid and HAP. The mapping exercise consisted of staff capacity building on accountability and participatory assessments, community consultations, and peer learning. The exercise was adapted to the context and to accommodate for findings in relation to PSEA in collaboration with the In-country PSEA network. 36 staff members from 25 different agencies participated and 109 community members were consulted during the mapping exercise.

An MoU was finalised between the HAP and IOM Pakistan for the joint production and publication of a Handbook about Communication during Emergencies. The Handbook is currently being edited and will be jointly launched. Publications by the Roving Team included articles Collective efforts to improve humanitarian accountability and quality: The HAP deployment to Dadaab and Voices of Disaster Survivors in the Overseas Development Institute's Humanitarian Exchange Magazine.

During 2011 the Roving Team was involved in numerous capacity building and learning events such Training of Trainers in Sierra Leone; Tearfund's regional partners accountability workshop in Nairobi; a PSEA workshop in Nairobi and WESCOORD (Kenya's WASH cluster).

The Roving Team facilitated teleconferences to generate interest and support for a Humanitarian Innovations Fund (HIF) grant proposal. LWF in

Dadaab took the lead on preparing the proposal, which reached the final round, however, it was unsuccessful in securing the grant.

**2.6. Two core New Emergencies Programme deployments conducted per year with financial contribution from HAP, with additional demand from member agencies being met where possible and where funding raised:** In 2011, the target of two deployments was met. The deployments took place in Pakistan and the Horn of Africa, while a follow-up mission was conducted to Dadaab Refugee Operations.

The deployment in Pakistan<sup>4</sup> built upon an earlier support visit that was undertaken in response to the large scale flood disaster of 2010. Through the deployment, which was hosted by CWS P/A direct support to members, partners, IOM and the education cluster was provided. Special effort was made to engage the frontline staff providing humanitarian assistance in Swat and Sindh. This included various workshops and meetings, and on-site visits in Swat by interested staff of different agencies to review and understand practice of accountability undertaken by their peers. A peer learning event on setting up a complaints handling and response system was held with Oxfam staff and attended by various members and their partners in Sindh. Discussions with frontline staff in both locations took place to set-up sub-working groups on accountability as avenues for peer support and exchange of practice. A learning event hosted by CWS P/A took place during which the 2010 HAP Standard was launched and members of HAP presented their challenges and successes, and lessons learnt around accountability during the humanitarian response to the floods of 2010.

In July, an agreement between HAP, The Sphere Project and People In Aid led to a joint deployment to support agencies responding to the drought crisis in the Horn of Africa. Preparation for the 2011 Horn of Africa joint deployment involved greater coordination effort among the three initiatives', resulting in a considerably slower response time compared to previous HAP Roving Team deployments. In addition, difficulty in securing adequate funds slowed the response time between the initial joint assessment mission that took place in August and the deployment in October.

During the initial joint assessment, a team composed of HAP, Sphere and People In Aid staff members met stakeholders from approximately 26 agencies; these included 17 national and international NGOs, two UN agencies, two donor representatives, three interagency network representatives, and two media development agencies. These consultations

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<sup>4</sup> A detailed report of the deployment can be found at: <http://hapinternational.org/pool/files/pakistan-deployment-report-2011-for-website-v2.pdf>

led to the development of terms of reference and work plan for a joint quality and accountability deployment.

The first phase of the deployment lasted from 27 October 2011 to 16 December 2011, and was hosted by the Food and Agriculture Organisation (FAO). Its outcomes included capacity building sessions, workshops and various participatory impact assessments. Other work involved extensive consultations with representatives from approximately 30 agencies, advocacy for accountability towards affected communities, and supporting local coordination mechanisms. The joint deployment included activities with the In-country PSEA network; Emergency Capacity Building Project (ECB); the Inter-Agency Working Group; OCHA and the IASC team undertaking the regional and Kenya real-time evaluations.

***2.7. After action reviews conducted in the final weeks of each deployment and follow-up support visits conducted post deployment:***

Prior to the Horn of Africa joint deployment, the Roving Team conducted a follow-up visit to Dadaab and Kakuma refugee camps in Kenya. At this time, the regional famine was declared.

From 16-28 May, the Roving Team travelled to the Dadaab refugee complex to review progress since the previous year's deployment to Dadaab, and to provide support for ongoing efforts there. It consulted staff members and visited programme sites from CARE, the Danish Refugee Council (DRC), Filmaid, LWF, the Norwegian Refugee Council (NRC), Oxfam, Save the Children, the United Nations High Commission for Refugees (UNHCR), and the World Food Programme (WFP). In addition, the team facilitated a workshop with the Dadaab Accountability and Quality Working Group (DAQWG) on joint complaints and response mechanisms and the 2010 HAP Standard on Accountability and Quality Management.

Following the Dadaab visit, the Roving Team visited Kakuma between 31 May and 3 June to review efforts undertaken by LWF after the secondment of a staff member from Kakuma to the HAP deployment in Dadaab in 2010. As an output of the secondment an action plan was developed and implemented to strengthen accountability and quality within LWF and support other agencies operational in the Kakuma refugee camps. A report on the follow up mission was produced entitled, Follow-up Mission Report of the HAP 2010 Deployment<sup>5</sup>, which was widely circulated and posted on the website.

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<sup>5</sup> The report can be found at: <http://hapinternational.org/pool/files/hap-deployment-to-dadaab-follow-up-report-2011.pdf>

During 2011, the team provided continuous remote support to agencies working in Dadaab and to the Accountability and Quality Working Group there. In addition, the team wrote a number of technical and advocacy articles that have been posted on the HAP website.

**2.8. Increase engagement with United Nations agencies:** Engagement with UN agencies saw a steady increase, with joint complaints systems being established between HAP Members and WFP in Dadaab and Kakuma and gaining momentum as the IASC Transformative Agenda was outlined. HAP remained involved and engaged with the IASC on matters of accountability towards affected communities through its participation in the sub-working group on accountability, which drafted an accountability framework that reflects the HAP 2010 Standard and Sphere Handbook.

IOM and HAP entered a MoU for a joint publication on communications with affected communities in 2011 and the final product will be completed and shared with the sector in 2012.

The joint deployment was hosted by the Food and Agriculture Organisation (FAO) in Nairobi to allow for greater engagement with UN Agencies. During the deployment, the joint deployment team engaged with OCHA on two occasions: first, the team was part of the OCHA regional and Kenya real time evaluation (RTE) Advisory Group; and second, a participatory impact assessment was conducted in collaboration with the In-country Network on prevention of sexual exploitation, which works under the auspices of OCHA. The inter-agency accountability mapping exercise, which took place in Lodwar and Kakuma, was hosted by UNICEF and UNHCR respectively.

**2.9. Increase engagement with international and national non-member organisations:** The follow-up mission and deployments involved engagement with a variety of stakeholders, including UNHCR, WFP, IOM, the International Rescue Committee, the Dadaab Communication Group, the Quality and Accountability Group (which includes non- HAP Members), People In Aid, Sphere, the Inter-Agency Working Group, the In-Country Network on PSEA, the Kenya Humanitarian Forum, and the IASC Real Time Evaluation of the Horn of Africa.

**2.10. Conduct Complaints & Response Mechanism workshops:** The HAP team delivered two complaints and response mechanisms workshops during the year, and provided support to an additional one which are as follows:

- Nairobi, Kenya: Delivered 5-8 April 2011, with 20 participants;
- Port-au-Prince, Haiti: 28 November to 1 December 2011, with 24 participants. This workshop was delivered in French; and

- Goma, the Democratic Republic of the Congo: A workshop was offered by the consultant for Christian Aid in French, 2-4 March 2011, with support from HAP.

Two single-agency complaints handling workshops were cancelled by the agencies concerned due to unavailability of participants and difficulties in finding the necessary funds.

The Secretariat undertook a survey of training outcomes in June 2011. More than 220 questionnaires were sent to graduates of 25 investigations and complaints-handling training courses offered by HAP between 2008 and 2010. A total of 95 responses were received. Findings on complaints handling were as follows:

- 26 of the 27 complaints-handling course graduates who responded to the survey reported that they are currently implementing/overseeing complaints and response mechanisms;
- More than 80 percent of the respondents have observed positive changes following the introduction of their complaints and response mechanisms, including enhanced trust and more active involvement by the communities as well as more effective programming overall;
- All respondents noted a higher awareness of accountability and PSEA issues among their own organisations' staff; and
- All respondents reported that the training had been helpful in taking forward their work in complaints handling.

**2.11. Conduct Investigation Learning Programme workshops:** Two investigations workshops were held during the year, as follows:

- Port-au-Prince, Haiti: First-stage investigations workshop, 21-25 November 2011, with 18 participants. This workshop was delivered in French; and
- Nairobi, Kenya: Second-stage ('follow up') investigations workshop, 8-10 February 2011, with 14 participants.

**2.12. Support members to conduct quality investigations when complaints are raised:**

Technical support was requested from one organisation in a specific investigation in 2011 while five organisations were provided with advice on investigating complaints.

**2.13. Conduct Training of Trainer (ToT) workshops on Accountability and Complaints and Response Mechanisms and ToT refresher:** Two groups of trainers were trained in accountability and complaints handling – one group in Asia, one in West Africa, as follows:

Asia:

- Training of trainers in accountability, in Bangkok, Thailand, 1-3 March 2011, with 12 participants. Kathmandu, Nepal:
- Training of trainers in complaints & response mechanisms, 24-27 May 2011, with 14 participants;

West Africa:

- Freetown, Sierra Leone: Training of trainers in accountability, 17-19 August 2011, with 14 participants.
- Monrovia, Liberia: Training of trainers in complaints & response mechanisms, 26-30 September 2011, with 14 participants.

The ToT refresher course will be provided in 2012.

One graduate from the Asia region training of trainers courses jointly facilitated sessions on complaints handling and staff codes of conduct at a workshop in India in November 2011. Overall, four of the training of trainers courses graduates in Asia have facilitated one or more training courses in their own organisation or in an open workshop since completing the HAP training of trainers courses.

Support was provided to accountability focal points in Save the Children and HelpAge International to deliver training to staff in the Middle East, Haiti, and Pakistan.

HAP held meetings with RedR and the Bioforce Institute on collaboration to provide HAP training to the sector.

**2.14. Provide bespoke service on demand:** A one-day session on developing an accountability framework was facilitated for senior staff for Save the Children in UK in November. 22 staff members attended the workshop.

**2.15. Conduct complaints and investigation management workshop:** A complaints and investigation management workshop was delivered for ACT Alliance in Geneva, 15-16 March 2011, with 26 participants.

**2.16. Provide advisory service on policy and procedures:** The Membership Services team gave advice on policies and procedures, as follows:

- ZOA Refugee Care: Staff code of conduct, including prevention of sexual exploitation and abuse in November 2011, and accountability framework in December 2011;
- Réseau National de Défense des Droits Humains (RNDDH) of Haiti: Staff code of conduct (morality code), in December 2011;
- ActionAid: Detailed advice and guidance on becoming HAP-certified;
- Habitat for Humanity International: Advice on staff code of conduct;
- Trocaire: Advice on accountability framework; and
- Care- Kenya: Human Resource Manual, Code of Conduct and Complaints Policy

**2.17. Participate in two Complaints & Response Mechanisms global events:** HAP participated in the Inter-Agency Standing Committee Task Force on PSEA's bi-monthly meetings throughout 2011. In collaboration with Save the Children UK, HAP participated in developing a proposal for ECHO to pilot joint complaints mechanisms in Kenya and Haiti. The IASC publication, Global Review of Protection from Sexual Exploitation & Abuse by UN, NGO, IOM & IFRC Personnel (July 2010), was disseminated and discussed at the two PSEA networking events hosted by Save the Children in March 2011 in London, and at the HAP PSEA Conference in May 2011.

HAP staff attended the InterAction Forum in August 2011 and managed a stand promoting accountability and quality management in NGO work. This annual event is aimed at shaping the direction of the NGO sector, and is attended by a large number of relevant stakeholders. InterAction's priority issues include accountability and building NGO capacity to address sexual exploitation and abuse. InterAction invited the Secretariat to attend a two-day complaints-handling training workshop to discuss how InterAction and HAP trainings in this area can be aligned.

**2.18. Regional Network meetings:** Meetings with HAP members were held in July and November 2011 in New Delhi, including a number of smaller national organisations. HAP facilitated sessions on complaints handling and codes of conduct at a workshop organised jointly with the National Human Rights Council of India and the All India Disaster Mitigation Institute in Kolkata with 50 participants attending. One graduate of the Asia training of trainers courses assisted with the facilitation of this workshop.

Technical support was provided to the Ethiopia NGO network, which included Ethiopian government representatives, in December 2010 on complaints handling and staff codes of conduct including those related to PSEA, involving a total of 35 participants. As a result of the meeting, the NGO network developed a new template for a staff code of conduct. A HAP members meeting was also held in Addis Ababa in the same month, attended by representatives of 17 HAP members, and including two local Ethiopian faith-based organisations (YBCEDO & EGCDWO).

HAP organised a meeting of the PSEA network in Nairobi in March 2011.

Two networking events aimed at practitioners and senior staff were organised by HAP, hosted by Save the Children and attended by representatives of British NGOs in London in March 2011. These events focussed on effective measures for the prevention of sexual exploitation and abuse by aid workers.

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## Output 3

### **Programme quality assurance and other HAP services recognised as effective means of improving humanitarian accountability and programme quality.**

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The 2011 work plan envisaged that HAP would assess its contribution to this output through the demand for HAP tools, material, and other publications, and through the volume of external evaluations and publications that report on accountability to affected communities and reference made to quality assurance and accountability in UN and donor policies, guidelines, and other materials.

Printed copies of the 2010 Secretariat Report and Humanitarian Accountability Reports were circulated and made available on the HAP website. It was decided to print a lesser number of copies than the set target of 1,500, and 827 of the 900 printed copies were distributed. The report had 17,578 hits on the HAP website, exceeding the target of 1,500. Similarly, 300 copies of the Secretariat Report were printed and 250 distributed, and its online version was downloaded 1,065 times from the HAP website.

The target for visitors to the HAP website was set at 240,000, which was exceeded with as a total of 4,473,245 visitors accessing the HAP website.

The Secretariat continued its efforts to increase outreach in the donor community and engaged with key donors through various meetings, workshops and briefings at various for with the purpose of creating awareness and increased action on accountability issues.

A target that 30 percent of all evaluations by ALNAP should consider accountability to beneficiaries was set under the 2011 work plan. To measure this target, a total of 65 documents and reports published during 2011 were downloaded from the ALNAP Evaluative Reports Database.<sup>6</sup> Of these 32 reports were identified as 'evaluations' and were included in the sample. The other 33 reports fell into the categories of needs assessments, reports on monitoring missions, chapters in books, research studies and synthesis studies of evaluations and other types of report.<sup>7</sup> Of the 32 reports that were

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<sup>6</sup> We are grateful to John Borton for providing this analysis. He is an independent consultant, researcher and author of the chapter 'Overview of Humanitarian Accountability' which has appeared in the 2009, 2010 and 2011 editions of HAP's Humanitarian Accountability Reports (HAR).

<sup>7</sup> The sample of 32 reports for 2011 HAR compares to a sample of 40 reports assessed for the 2010 HAR.

considered, 19 were of NGO programmes, one of a Red Cross programme; five of UN programmes; three of Inter-Agency programmes (IASC) and four were of donor programmes.

Of the 32 evaluation reports analysed 28 (88 percent) had considered aspects of accountability to beneficiaries. Proportions recorded in previous assessments were 77.5 percent for the 2010 Humanitarian Accountability Report and 74 percent for the 2009 Humanitarian Accountability Report.

The remaining four reports which actually interviewed beneficiaries were:

- an evaluation of MSF's response to the cholera epidemic in Haiti (which relied heavily on epidemiological data and other technical information)
- an evaluation of the Norwegian Refugee Council Mediation Support Unit Standby Team
- an evaluation of UN OCHA's role during the Haiti response
- a five year evaluation of the Central Emergency Response Fund (CERF)

Of the 32 evaluations reports only 13 (41 percent) of them were judged to had 'explicitly considered accountability to intended beneficiaries and local communities'. This represents a reduction from the 60 percent recorded for 2010.

Of the 32 reports only four (13 percent) were judged to have 'systematically assessed accountability to intended beneficiaries and local communities'. This represents an improvement from 2010 when only one report - 2.5 percent of the sample - was judged as having done so.

The four evaluation reports judged to have 'systematically assessed accountability to intended beneficiaries and local communities' were:

- CRS/Caritas evaluation of the USAID funded 'SIDR Affected community Led Action for Livelihood Restoration and Disaster Risk Reduction'
- Save the Children evaluation of the DEC funded response to Post-Typhoon Ketsana Response and Recovery Interventions in Vietnam and the Philippines
- The IASC Evaluation of the Humanitarian Response in South Central Somalia 2005-2010 undertaken by DARA
- The 'Ann Kite Yo Pale/Let Them Speak' Best Practice and Lessons Learned in Communication with Disaster Affected Communities

Overall there is a distinct and noteworthy improvement in the numbers of reports taking a more systematic approach to accountability to affected communities.

**3.1. Communicate information about HAP and its services:** Efforts were made to create a corporate communications package; however, this could not be completed due to lack of funding. The existing HAP website was improved and streamlined for usability and access. Regular news items were circulated via the website on achievements and events held by members and other relevant stakeholders, and short advocacy pieces were prepared and shared on current issues on occasions such as World Refugee Day, World Humanitarian Day and Women's Day.

**3.2. Develop and monitor the implementation of country-based communication and advocacy plans:** Regular communication about deployments and various country-based activities was shared via the website and newsletter. Information about the joint deployment in the Horn of Africa was regularly updated and shared through the HAP website and joint portal.

**3.3. Communicate key documents available in languages relevant to the HAP focus countries and where New Emergencies Programme deployments take place:** The HAP Translation Policy was revised and shared with HAP members and agencies undertaking the translation of the HAP 2010 Standard. Members took a lead in producing quality translations of the 2010 HAP Standard, which are now available on the HAP website in seven languages—English, French, Haitian Creole, Japanese, Portuguese, Spanish, and Urdu. Additional translations are underway in Amharic, Tamil, Singhalese, Swahili, Arabic, and Somali.

**3.4. Represent HAP and advocate key messages at strategic fora, such as the UN and NGO Task Force, the Good Humanitarian Donorship forum and other global platforms:**

The number of briefings on quality and accountability and technical advice solicited from the Secretariat remained very high in 2011. To make direct contributions to various policy and strategic processes and inform practice, the Secretariat undertook the following:

- Joined the IASC Task Team on Accountability to Affected Populations and the Sub-Working on Accountability, and contributed to the IASC accountability framework;
- Participated as a panel discussant in the 2nd World Conference on Humanitarian Studies in June at Tufts University;

- Presented a paper in a panel on Gender and Humanitarian Action, Integrating Gender in Contingency Planning and Preparedness Exercises in Geneva;
- Participated as a panel discussant in a conference, Policy and Practice in Violence-affected Contexts: What Can Latest Conflict Research Teach Us?, held in July 2010 at the University of Sussex's Institute for Development Studies;
- Participated in the panel, Making Humanitarian Action More Effective, held in July by UN ECOSOC;
- Presented at a seminar on the crisis in the Horn of Africa, Meeting on Context Challenges Best Practices, organised by UNICEF/ FAO in Nairobi in October
- Chaired a session at the Berlin Civil Society Impact Measurement Workshop in June in Germany;
- Joined the Steering committee of the CDAC Network, attending meetings in London and participating in regular teleconferences;
- Participated in the CARE and ECB Standing Team workshop to strengthen learning and collaboration between the standing team and the HAP Roving Team in June in Geneva;
- Presented a session on accountability to a workshop of the Planning, Monitoring, Evaluation and Reporting (PMER) group of IFRC;
- Held meetings with WFP representatives in Geneva to highlight the work done with WFP in Dadaab and share the 2010 HAP Standard;
- Participated in the CERF review;
- Liaised with governments officials in Netherlands and Germany to highlight issues of accountability in humanitarian response, and with DFID and the Swiss Development Cooperation (SDC) to provide details of the certification process;
- Represented HAP on the ALNAP State of the Humanitarian System report steering committee;
- Participated in the NGO Consultations for the UNHCR Excom;
- Presented a session on Core Humanitarian Competency: Understanding of Humanitarian Contexts and Application of Humanitarian Principles, at a workshop organised by People In Aid in June in Nairobi; and

- Presented a paper, Communications within an NGO Partnership: Opportunities and Challenges, at the conference on Effective Internal Communications held in April in Barcelona.

The Secretariat continued its bilateral discussions with donors and UN organisations, through meetings and briefings with AusAid (Australia), CIDA (Canada), Danida (Denmark), ECHO (the European Commission), the Oak Foundation, SIDA (Sweden), BPRM (US State Department), the Inter-agency Standing Committee (IASC), the ECHA/ECPS UN Taskforce on Protection from Sexual Exploitation and Abuse, and the Swiss Agency for Development and Cooperation (SDC). In addition, private companies such as Deloitte and Pricewaterhouse approached the Secretariat for briefings about its work and the certification scheme.

Secretariat staff remained engaged in the Quality and Accountability Group meetings, and strove to work with peer organisations and initiatives to strengthen their complementarity and coherence.

### **3.5. Distribute HAP Secretariat Report and Humanitarian Accountability Report:**

The 2010 Humanitarian Accountability Report was disseminated through the HAP website, from which it was with 17,578 hits and through the distribution of 827 printed copies during various meetings, field deployments and trainings. Similarly, 250 copies of the 2010 HAP Secretariat Report were distributed, and its online version was downloaded 1,065 times from the website.

### **3.6. Print and disseminate HAP Standard and related documents:**

In 2011, over 3,200 copies of the 2010 HAP Standard were distributed to HAP members and other stakeholders, and it was downloaded 122,359 times from the HAP website. In addition, The *Guide to the HAP Standard* was published on the HAP website, and downloaded 1,536 times.

### **3.7. Launch the 2010 HAP Standard and guidance:**

The 2010 HAP Standard on Accountability and Quality Management was launched on 31 January 2011. The HAP Board, authorised by the HAP General Assembly, approved this edition on 20 October 2010. It is the result of an extensive review process that involved wide consultation with different stakeholders, including crisis-affected communities, aid workers, and donors. Over 1,900 people in 56 countries contributed to the review process and the preparation of the 2010 edition. Organisations were encouraged to start applying the 2010 edition immediately with a 48-month transition period. Guidance and information documents, such as the Summary of Changes from the 2007 Edition, Feedback from HAP Members on Earlier Drafts, Frequently Asked Questions about the 2010 Standard, and Transition to the HAP 2010 Standard were prepared and made available through the HAP website.

**3.8. Disseminate HAP learning and other HAP presence on the web:**

Case studies and tools from HAP members, the Roving Team, and other networks were published and disseminated widely on the website, under a re-organised Resources section. In addition, new social media channels were created, such as the new Facebook page and Twitter account, while a wiki page was created for HAP members as an avenue for peer learning and exchange. Articles about HAP's work featured in external partners' websites and blogs.

**3.9. Coordinate website content:** A proposed plan was drafted to revise the website's information architecture and design, and to include important functionalities aimed at making HAP services easy to find and more user-friendly. These proposals will be approved and implemented during 2012.

**3.10. Produce and distribute HAP newsletter:** Quarterly HAP newsletters were prepared and distributed throughout the year. A new template was developed with an online format using an email system delivery. The December Newsletter, Issue 19, was received by 2,038 subscribed readers. These newsletters included news from members, case studies and tools available, translations of the Hap 2010 Standard and other news of interest.

**3.11. Maintain a contacts database and an internal documentation system:** The HAP database continued to be developed further; however, it needs further modifications to be undertaken in 2012.

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## Output 4

### **Progress on humanitarian accountability and quality management validated through external compliance verification.**

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The number of HAP members increased in 2011, with 15 new Full Members and five Associate Members joining, and representing a 30 percent increase compared to 2010. It was expected that 90 percent of the members that joined between end 2010 and mid 2011 would have an agreed compliance plan, and towards this end, 85 percent of full members submitted progress reports for the 2010 HAP Accountability Report. The work plan also outlined that an accreditation process would be started with at least one organisation, and this was achieved when an MoU was signed with Church World Services Pakistan/Afghanistan.

There was an increase in requests for baseline analysis from Swedish members, with five of them going through the baseline process to work toward beginning the certification process in 2012.

15 agencies were expected to be certified by the end of 2011. A total of 13 agencies were certified including four from Asia. Four certification audits, three re-certification audits and two mid-term audits took place in 2011. A tracking system was also set up to ensure that corrective actions could be followed up with agencies in timely manner.

The independent pool of auditors trained during 2011 carried out supervised certification audits, and four have already been registered. The auditors trained in the Asia region will be completing on-site audit trainings in 2012.

**4.1. Carry out certification audits:** Four certification audits took place in 2011. Church World Services Pakistan and Sungi were certified against the 2007 Standard, Norwegian Church Aid and Lutheran World Federation audits were carried out against the 2010 Standard, bringing the number of HAP-certified agencies to 13 in 2011.

**4.2. Follow up on corrective action requests (CARs) in order to improve compliance with the HAP Standard:** In 2011, the Secretariat followed up on 65 corrective actions with certified agencies, ensuring that minor non-conformities were rectified within the required timeframes. All corrective actions were followed up and found to be on track. A tracking system was developed to facilitate the process.

**4.3 Carry out mid-term progress audits (MTPAs):** Two certified agencies, CAFOD and Christian Aid, completed Mid-Term Progress Audits (MTPAs) in 2011, and two MTPAs were postponed till 2012 at the request of the organisations, DRC and Concern.

**4.4. Carry out re-certification audits:** Three re-certification audits were conducted, for MERCY Malaysia to the 2007 Standard, and Tearfund UK and Danish Church Aid against the 2010 Standard.

**4.5. Develop and evolve the registered auditor pool:** Four independent auditors attended the HAP auditors training, along with two other potential auditors and a representative from People In Aid, in order to discuss further joint audits. Two of the independent auditors are based in a HAP 'focus country', Kenya. Four independent auditors, trained in January 2011, completed a supervised audit.

The second independent auditors training took place in Bangkok in October 2011, for auditors based in Asia. A total of 11 participants attended the workshop, and will continue their audit trainee programme in 2012.

**4.6. Carry out accreditation audits in focus countries:** A one year MoU was signed with CWS P/A, to pilot potential accreditation mechanisms in a regional context. Partnership with other existing certification bodies was explored with the Credibility Alliance India. A meeting was held with Price Waterhouse to explore the possibility of receiving advice on accreditation models. Ernst and Young's India office indicated its interest in the accreditation process.

**4.7. Track audited/certified agencies:** The Register of Certified Agencies is updated regularly on the HAP website. At the request of the Chair of the Certification and Accreditation Review Board (CARB) the register was restructured to differentiate between the agencies that have been certified against the 2007 and 2010 Standard.

**4.8. Track registered auditors:** Performance reviews of independent auditors were completed after each audit. The Audit Officer successfully completed an International Register of Certified Auditors- training course, the ISO 9001:2008 Quality Management Systems Auditor / Lead Auditor Training Course. The Register of Auditors is updated and made publically available on the HAP website.

**4.9. Track compliance by members with membership requirements as defined by article 23 of the HAP Statutes:** 85 percent of Full Members submitted progress report for the 2010 HAP Accountability Report. Six Full Members did not submit progress reports on their 2010 accountability reports on time. However, four of the six submitted their reports later in the

year. As a result of the change made to the HAP Statutes during the General Assembly in March 2011, members will now report on their accountability frameworks.

**4.10. Provide secretary function to CARB including preparation and submission of audit reports for decision to CARB:** A face-to-face meeting was held in Geneva in March 2011. The Terms of Reference were reviewed and amended to reflect learning from 2010. Changes were made to the composition of the CARB, clarifying its role and reporting requirements to the board. The Regulatory Services Team provided administrative support to the CARB, including submission of audit reports. The meeting planned for December 2011 was postponed to March 2012.

**4.11. Evaluate quality of the certification and accreditation systems:** The quality of the reports was evaluated by the CARB and feedback was provided to the Regulatory Services Team. Feedback was received from certified agencies and a review of the process will take place in 2012.

**Table1. HAP Certified Organisations against the HAP 2007 Standard and 2010 HAP Standard as of 31 December 2011**

	ORGANISATION	DETAILS			
1.	<b>Office Africain pour le Développement et la Coopération (OFADEC)</b> Head Office Details: Villa No. 302, Hann Mariste II Dakar, Senegal	Original Approval	4 April 2007		
		Certificate Registration No.	A001/0307-H		
		From		To	Standard
		Certification	4 April 2007	3 April 2010	2007
		Re-certification	18 December 2010	17 December 2013	2007
2.	<b>Danish Refugee Council (DRC) International Programme</b> Head Office Details: Borgergade 10, PO Box 53, 1002 Copenhagen, Denmark	Original Approval	24 April 2007		
		Certificate Registration No.	E002/0307-H		
		From		To	Standard
		Certification	24 April 2007	23 April 2010	2007
		Re-certification	7 June 2010	6 June 2013	2007
3.	<b>MERCY Malaysia</b> Persatuan Bantuan Perubatan Malaysia Head Office Details No. 45B Jalan Mamansa 9, Ampang Point 68000 Ampang, Selangor Darul Ehsan Malaysia	Original Approval	28 November 2007		
		Certificate Registration No.	AS003/1107-H		
		From		To	Standard
		Certification	28 November 2007	27 November 2010	2007
		Re-certification	22 September 2011	21 September 2014	2007
4.	<b>DanChurchAid (DCA)</b> Head Office Details Nørregade 13, DK-1165 Copenhagen Denmark	Original Approval	16 June 2008		
		Certificate Registration No.	E005/0508-H		
		From		To	Standard
		Certification	16 June 2008	15 June 2011	2007
		Re-certification	March 2012	March 2015	2010
5.	<b>Tearfund UK Disaster Management Unit</b> Head Office Details 100 Church Road, Teddington, TW11 8QE, United Kingdom	Original Approval	18 June 2008		
		Certificate Registration No.	E013/0308-H		
		From		To	Standard
		Certification	18 June 2008	17 June 2008	2007
		Re-certification	22 December 2011	21 December 2014	2010
6.	<b>Catholic Agency for Overseas Development (CAFOD)</b> Head Office Details Romero Close, Stockwell Road, London SW9 9TY, United Kingdom	Original Approval	1 September 2009		
		Certificate Registration No.	E006/0409-H		
		From		To	Standard
		Certification	1 September 2009	31 August 2012	2007

7.	<b>Christian Aid Head Office Details</b> P. O. Box 100, London Se1 7RT <b>United Kingdom</b>	<b>Original Approval</b>	14 December 2009			
		<b>Certificate Registration No.</b>	E007/0609-H			
		<b>From</b>		<b>To</b>	<b>Standard</b>	
		<b>Certification</b>	14 December 2009	13 December 2012	2007	
8.	<b>Concern Worldwide Head Office Details</b> 52-55 Lower Camden Street Dublin 2, <b>Republic of Ireland</b>	<b>Original Approval</b>	17 June 2010			
		<b>Certificate Registration No.</b>	E008/0210-H			
		<b>From</b>		<b>To</b>	<b>Standard</b>	
		<b>Certification</b>	17 June 2010	16 June 2013	2007	
9.	<b>COAST Trust Head Office Details</b> House# 9/4, Road# 2, Shyamoli, Dhaka 1207, <b>Bangladesh</b>	<b>Original Approval</b>	23 December 2010			
		<b>Certificate Registration No.</b>	AS009/1110H			
		<b>From</b>		<b>To</b>	<b>Standard</b>	
		<b>Certification</b>	23 December 2010	22 December 2013	2007	
10.	<b>Church World Service Pakistan / Afghanistan (CWS-P/A) Head Office Details</b> P.O. Box 20048 Karachi <b>Pakistan</b>	<b>Original Approval</b>	11 April 2011			
		<b>Certificate Registration No.</b>	AS010/0311H			
		<b>From</b>		<b>To</b>	<b>Standard</b>	
		<b>Certification</b>	11 April 2011	10 April 2014	2007	
11.	<b>Sungi Development Foundation Head Office Details</b> #1692, Circular Road, Civil Lines Abbottabad, <b>Pakistan</b>	<b>Original Approval</b>	11 April 2011			
		<b>Certificate Registration No.</b>	AS011/0311H			
		<b>From</b>		<b>To</b>	<b>Standard</b>	
		<b>Certification</b>	11 April 2011	10 April 2014	2007	
12.	<b>Norwegian Church Aid (NCA) Head Office Details</b> Postboks 7100, St Olavs pass 0130 Oslo, <b>Norway</b>	<b>Original Approval</b>	28 November 2011			
		<b>Certificate Registration No.</b>	E012/0410-H			
		<b>From</b>		<b>To</b>	<b>Standard</b>	
		<b>Certification</b>	28 November 2011	14 November 2014	2010	
13.	<b>Lutheran World Federation (LWF) Head Office Details</b> 150, route de Ferney, P.O. Box 2100 CH-1211 Geneva 2 <b>Switzerland</b>	<b>Original Approval</b>	13 January 2012			
		<b>Certificate Registration No.</b>	E014/0112-H			
		<b>From</b>		<b>To</b>	<b>Standard</b>	
		<b>Certification</b>	13 January 2012	12 January 2015	2010	

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## Output 5

**An effective system that handles complaints raised by beneficiaries of humanitarian aid and other affected parties about HAP member agencies particularly from, or working in, the UK, Sweden, Kenya, India, that do not meet Principles of Accountability.**

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The work plan for 2011 outlined that by the end of year, HAP would consult members to improve and finalise procedures for the handling of complaints against members and this would be approved by the members at the General Assembly. Procedures would ensure that the complaints handling system was safe, accessible, and operational in order that it could be used by affected communities and members.

Towards this end, a consultation process was undertaken with stakeholders including HAP members, partner organisations and affected communities. A draft complaints policy was submitted to the HAP Board for approval.

In 2011, HAP received and dealt with 14 complaints against HAP members, and one request to assist directly in the investigation of a complaint, while technical support and advice to other organisations was also provided.

The work plan also outlined that there would be six HAP-trained investigators, of which three would be from 'focus countries.' This target was met, with trained investigators in Asia, Africa, Middle East, Europe and the Americas.

**5.1. *Revise the Complaints against Members policy:*** A Review Committee was convened, bringing together experts in from the Asian Development Bank, the ACT Alliance, CARE International, WorldVision, InterAction, and the International Council of Voluntary Agencies. The Committee met four times during the year. A gap analysis was done on the current policy, along with a mapping of the complaints received by HAP over the past two years. Four consultations with NGO staff on the new draft policy were held in different locations: Kenya (April), Nepal (May), Sierra Leone (August), and Liberia (September). The resulting final draft of the new Complaints Policy was posted on the HAP website for public consultation at the end of 2011. The policy was sent to the Board for approval at the end of 2011.

**5.2. Maintain and administer a regionally representative pool of independent investigators:** HAP trained and mentored a pool of investigators through the HAP Investigation Learning Programme. Six of the investigators are independent consultants. The trained investigators are based in Asia, Africa, Middle East and the Americas. There is a plan to formalise and further strengthen the pool in 2012.

**5.3. Conduct investigations for agencies in line with the HAP Investigation Guidelines:** Upon request, HAP provided assistance to support one agency with an investigation in 2011.

**5.4. Handle complaints received against agencies:** During 2011 HAP received and processed 14 complaints against members.

**5.5. Inspectorate Project:** Five HAP member agencies gave information about the number and types of complaints they received during 2011, either on their websites or in their annual reports. These agencies were DanChurchAid, Tearfund, Sungi Development Foundation, CASA India, and SEEDS India.

From the 44 HAP Full Members' annual reports for 2011 received by the deadline, 56 percent reported having complaints and response mechanisms that cover all or most of their activities; 30 percent had some complaints handling capacity or pilot complaints and response mechanisms; 12 percent were in the process of developing their policy on complaints handling, or have just completed the policy development stage. Another two percent did not have a complaints handling provisions in 2011.

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## Output 6

### **A humanitarian partnership supported by effective and representative governance structures and a competent, well resourced and environmentally minded Secretariat.**

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The work plan for 2011 sought to better engage the full diversity of HAP members, partners and donors in the governance activities of HAP. The milestone set was exceeded, with 55 members, six donors and seven partners attended along with representatives of UN organisations and Quality and Accountability initiatives attended the 2011 General Assembly.

The work plan set the target that there would be 100 percent grant funding and cost recovery should reach 25 percent, with a reserve of 500,000 CHF and a reduction of carbon footprint policy would be drafted and adopted.

In 2011, the HAP funding strategy continued to be affected by the austerity measures prevalent in donor countries. The effect of this was that a significant number of donors reduced their overall envelope dedicated to funding the humanitarian sector in general and to quality and accountability initiatives in particular. Moreover, HAP did not receive responses to several applications until the final quarter of 2011. While the funding target was CHF 2 Million, HAP raised approximately CHF 1.8 million. However, thanks to the improvement of the self-generated income proportion, HAP's gross income in 2011 was just under CHF 2.2 million representing an increase of 8.5 percent compared to the 2010 income. Due to the net result improvement, HAP concluded the year with a reserve of approximately CHF 491,000 representing an increase of CHF 199,000 from the previous year.

HAP suffered from an unfavourable exchange rate situation, with the Swiss currency being at a higher level than past years. This situation contributed to a lower income from donor contributions than was expected, since a large portion of funding agreements were in other currencies. Due to delays in feedback from some donors on HAP's funding applications, it was not possible to achieve the target of 100 percent of 2011 grant funding being met by October 2011. However, by November 2011 88 percent of the funding target was met.

Cost recovery from services, membership fees, costs paid by third parties and other activities, reached CHF 450,000. The difference between this amount and the target set at the start of the year (of CHF 617,000) can be attributed to several factors. Firstly due to the lack of financial certainty

and the delay in getting some funding responses sufficiently early in the year, several activities had to be postponed until donors confirmed their commitment. This was particularly the case for some specific research that was conditional on securing funds. Secondly, a lower number of HAP Standard baseline analyses anticipated in the 2011 work plan were anticipated while certification audit requests increased beyond our expectations. Thirdly, several organisations cancelled or put on hold some trainings due to a lack of funds.

As a result of the funding shortfall a decision was taken to defer and delay recruitment of vacant posts (Policy Coordinator, Research Associate and Membership Services Officer). HAP closed the year with eight members of staff while IT support was outsourced.

**6.1. Convene annual General Assembly:** The 9<sup>th</sup> General Assembly was held in Geneva in May. Four statute changes were proposed and voted in. Three board members stood down and three new board members were elected by the membership.

**6.2. Board meetings twice per year:** In May 2011, during the 18<sup>th</sup> meeting of the HAP Board, the decision was taken to increase membership fee of large members from CHF 2000 to CHF 5000. Board members set up three working groups to support the Secretariat on fundraising, governance and relations with other quality and accountability initiatives. At the 19<sup>th</sup> meeting of the Board in October 2011, the Board approved the 2011-12 work plan and the 2011-2012 secretariat budget.

**6.3. Maintain and develop donor relations:** In 2011 DANIDA (Denmark), DFID (UK), IrishAid (Ireland), the Ministry of Foreign Affairs of the Netherlands, BPRM (USA) and the Oak Foundation continued to fund HAP's activities. New funds were received from AusAid (Australia) and SDC (Switzerland). SIDA's three year funding commitment contributed to putting HAP on a healthier financial footing. The Joint Development in the Horn of Africa was funded by British Red Cross, Dan Church Aid and World Vision.

A private sector advisor worked on a pro bono basis to explore ideas of creating a capital growth fund to secure new funding sources for the future.

The Secretariat staff met with representatives of OAK Foundation, BPRM, SIDA, Danida, IrishAid, AusAID, ECHO, CIDA, Belgium MFA and the SDC to brief them on HAP's activities. In addition, ongoing meetings with donors during deployments were undertaken while meetings and presentations with representatives of Netherlands, US, ECHO, AusAID and Good Humanitarian Donorship took place in Geneva.

**6.4. Discrete thematic programmes funded:** Earmarked funding for activities to prevent and respond to sexual abuse and exploitation was secured from the BPRM and the Oak Foundation.

**6.5. Revenue through service delivery cost recovery and membership fee:** In 2011, 88 percent of the grant-funding target was contracted. Of the approved budget for 2011, 22 percent was achieved through cost recovery against HAP services and membership fees as opposed to a projection of 25 percent. Due to the significant increase in the number of members in 2011 and the decision of the Board to increase the contribution from larger member agencies, revenue from membership fees increased by 216 percent for 2011. It was decided not to alter the fees for HAP services for two reasons, firstly an increase in membership fee had already taken place and secondly, the exchange rate situation would make the HAP services for our members based outside of Switzerland far too expensive, and so it was decided not to alter the rates.

**6.6. Budget monitoring:** Quarterly budgets and a regular indication of projected cash flow were provided to the HAP Treasurer and senior management team for oversight and monitoring. The lack of certainty, which was caused by the delay in getting confirmation on certain applications led to a stringent expenditure policy. Hiring was postponed and expenses were minimised while still trying to obtain the best results. Confirmation of additional grants by the end of 2011, lessened the burden.

**6.7. Developing HR policies and systems:** The Secretariat continues to remain engaged in improvements in order to meet the People In Aid Code. An appraisal system for HAP staff based on behavioural competencies was developed. The agreed training on appraisal system was postponed due to staff changes and People In Aid certification was deferred to 2012.

**6.8. Develop and monitor service delivery feedback forms:** HAP developed feedback and evaluation forms for all its services. A survey was carried out on the Complaints and Response Mechanism (CRM) training and Investigation Training Programmes.

Findings from the CRM survey showed that 80 percent or more of respondents had observed positive changes after introducing their complaints and response mechanisms. 74 percent of respondents reported that the HAP training had been very helpful to them in taking forward their work on complaints handling, while the other 26 percent said that it had been quite helpful.

The findings from survey from the Investigations Learning Programme confirmed that 37 percent of respondents had already been involved in complaints investigations before they completed the HAP training.

76 percent of the respondents felt that the HAP training course had enhanced their capacity to do their job, saying that they had developed their skills and understanding, and felt more confident. Overall, 75 percent of respondents stated that the HAP training had been helpful to them in investigating complaints. The guidance in how to structure and organise an investigation was highlighted as particularly useful.

Suggestions for improvements to the HAP training emphasised the need for more training courses, and follow-up trainings, more funding assistance to enable smaller and national organisations to attend the trainings, and a broader focus to the training to include investigations into such things as employee relations and fraud, along with prevention of sexual exploitation and abuse. Respondents also suggested that more opportunity should be given within the courses for participants to share experiences. Some highlighted that more coaching needs to take place with HAP trainees to ensure they have sufficient experience and knowledge to deliver quality training.

**6.9. Contribute to the most appropriate carbon neutrality initiative and implement measures accordingly:** The Secretariat pursued carbon reduction through only using flights for those considered absolutely necessary to meet work plan targets and all travel in 2011 covered dual purposes. Other options for carbon neutrality were also explored.

**6.10. Move HAP to alternative premises:** Options for alternative premises were explored with ICVA and The Sphere Project; however suitable premises could not be identified.

**6.11. Revise HAP membership requirements:** The HAP statute was amended at the General Assembly in May 2011, the four changes are as follows:

1. The membership obligation of producing an accountability work plan soon after joining HAP was dropped in favour of an annual reporting requirement for full members against an Accountability Framework, in line with the requirement 1.1 of the 2010 HAP Standard.
2. Reference in the HAP Statute to the Principles of Accountability was replaced by reference to the HAP Standard. This means that when organisations join HAP as members, they must state that the organisation will strive to apply the HAP Standard in its work.
3. HAP members are now required to have a staff code of conduct that explicitly prohibits sexual exploitation and abuse within six months of membership. Reporting on compliance on the code of conduct is a part of the members' annual reporting obligations.

4. Associate members are now eligible to stand for election to the HAP Board if they are quality and/or accountability initiative and donor whose core activities include humanitarian action.

## Annex I: HAP Board Members in 2011

As of May 2011, the HAP Board was composed of the following members:<sup>8</sup>

1. **Chair:** Matthew Carter, Humanitarian Director, CAFOD, UK
2. **Vice-chair:** Lisa Henry, Humanitarian Response Director, DanChurchAid, Denmark
3. **Treasurer:** Rein Paulsen, Quality, Strategy and Humanitarian Policy Director, World Vision International, Switzerland
4. Anabel Cruz, Communication and Development Institute, Uruguay (Independent)
5. Elisabeth Ferris, Senior Fellow Foreign Policy Studies Program, Brookings Institution, USA, (Independent)
6. Jemilah Mahmood, Visiting Senior Research Fellow, Humanitarian Futures at Kings College London and at KRIS, Malaysia (Independent)
7. Esther Mujawayo-Keiner, Founder member of AVEGA, Germany (Independent)
8. Reza Chowdhury, Director, COAST Trust, Bangladesh
9. Matthew Frost, Chief Executive Officer, Tearfund, UK
10. Manu Gupta, Director, SEEDS, India
11. Jonathan Mitchell, Emergency Director, CARE International, USA
12. Zainab Raza, Deputy Director, CWS Pakistan/Afghanistan, Pakistan

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<sup>8</sup> More information about the Governance of HAP can be found at: <http://hapinternational.org/about/governance.aspx>

## **Annex II: List of HAP members at the end of 2011 <sup>9</sup>**

As of 31 December 2011, HAP membership included **64** full members and **18** associate members, bringing it to a total of 82 members.

### **Full members that are HAP Certified**

1. Catholic Agency For Overseas Development (CAFOD), United Kingdom
2. Christian Aid, United Kingdom and Ireland
3. Church World Service Pakistan/Afghanistan (CWS P/A), Pakistan
4. Coastal Association for Social Transformation Trust (COAST Trust), Bangladesh
5. Concern Worldwide, Ireland
6. DanChurchAid, Denmark
7. Danish Refugee Council, Denmark
8. Lutheran World Federation, Department for World Service (LWF), Switzerland
9. MERCY Malaysia, Malaysia
10. Norwegian Church Aid (NCA), Norway
11. Office Africain pour le Développement et la Coopération (OFADEC), Senegal
12. Sungi Development Foundation, Pakistan
13. Tearfund, United Kingdom

### **Full members that have undertaken a baseline analysis**

14. Act Alliance, Switzerland
15. Act for Peace, Australia
16. CARE International, Switzerland
17. Church of Sweden, Sweden
18. Diakonia, Sweden
19. Focus Humanitarian Assistance, United Kingdom
20. HelpAge International, United Kingdom
21. International Aid Services (IAS), Sweden
22. Merlin, United Kingdom

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<sup>9</sup> Agencies which joined HAP in 2011 are underlined.

23. Muslim Aid, United Kingdom
24. Norwegian Refugee Council (NRC), Norway
25. Oxfam America, United States of America
26. PMU InterLife, Sweden
27. Sustainable Environment & Ecological Development Society (SEEDS), India
28. Women's Refugee Commission, United States of America
29. World Vision International, (as part of the LTRT in Sri Lanka), Switzerland

**Other full members: humanitarian and development agencies**

30. ActionAid, South Africa
31. ACTED, France
32. Amel Association, Lebanon
33. Association Najdeh, Lebanon
34. Australian Lutheran World Service, Australia
35. Children First, Pakistan
36. Church's Auxiliary for Social Action's (CASA), India
37. Christian Children's Fund, Canada
38. Community and Family Services International (CFSI), Philippines
39. Community Development Centre (CODEC), Bangladesh
40. Coordination of Afghan Relief (CoAR), Afghanistan
41. Dwip Unnayan Songstha (DUS), Bangladesh
42. Evangelical Fellowship of India Commission on Relief (EFICOR), India
43. International Medical Corps (IMC), United States of America
44. International Rescue Committee UK (IRC-UK), United Kingdom
45. Islamic Relief Worldwide, United Kingdom
46. KinderUSA, United States of America
47. Khwendo Kor, Pakistan
48. Lutheran World Service India Trust (LWSIT), India
49. Medair, Switzerland
50. Medical Aid for Palestinians (MAP), United Kingdom
51. Naba'a, Lebanon
52. National Human Rights Defense Network (RNDDH), Haiti
53. Oxfam GB, United Kingdom

54. *Pakistan Fisher Folk Forum, Pakistan*
55. Plan International, United Kingdom
56. RedR UK, United Kingdom
57. Rupantar, Bangladesh
58. Rural Development Project, Pakistan
59. Saibaan Development Organisation, Pakistan
60. Save the Children UK, United Kingdom
61. Society for Safe Environment and Welfare of Agrarians in Pakistan (SSEWA-PAK), Pakistan
62. Trócaire, Ireland
63. Yakkum Emergency Unit (YEU), Indonesia
64. ZOA, The Netherlands

#### **Associate members**

1. African Network for the Prevention and Protection against Child Abuse and Neglect, Liberia (ANPPCAN), Liberia
2. Australian Council for International Development (ACFID), Australia
3. Centre for Peace and Development Initiatives (CPDI), Pakistan
4. Christian World Service Aotearoa, New Zealand
5. Department for International Development (DFID), United Kingdom
6. Disasters Emergency Committee (DEC), United Kingdom
7. Habitat for Humanity International, United States of America
8. Keeping Children Safe, United Kingdom
9. Kohsar Welfare & Educational Society (KWES), Pakistan
10. Lutheran World Relief (LWR), United States of America
11. National Society for Earthquake Technology (NSET), Nepal
12. People In Aid, United Kingdom
13. Poorvanchal Gramin Vikas Sansthan, India
14. Royal Danish Ministry of Foreign Affairs (DANIDA), Denmark
15. Society for Training and Rehabilitation (STAR), Bangladesh
16. Swedish International Development Cooperation Agency (SIDA), Sweden
17. Transparency International (TI), Germany
18. Women's Rights Association Multan, Pakistan

## Annex III. HAP 2011 audit report and accounts summary



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Geneva, February 23, 2012

**REPORT OF THE STATUTORY AUDITORS ON THE LIMITED STATUTORY EXAMINATION  
TO THE GENERAL ASSEMBLY OF HUMANITARIAN ACCOUNTABILITY PARTNERSHIP  
INTERNATIONAL ("HAP INTERNATIONAL"), GENEVA**

Dear Sirs,

As statutory auditors, we have audited the accounting records and the financial statements (balance sheet, income statement and additional information) of "HAP INTERNATIONAL", Geneva, for the year ended December 31, 2011.

These financial statements are the responsibility of the HAP management. Our responsibility is to perform a limited statutory examination on these financial statements. We confirm that we meet the licensing and independence requirements as stipulated by Swiss law.

We conducted our examination in accordance with the Swiss Standard on the limited Statutory Examination. This standard requires that we plan and perform a limited statutory examination to identify material misstatements in the financial statements. A limited statutory examination consists primarily of inquiries of company personnel and analytical procedures as well as detailed tests of company documents as considered necessary in the circumstances. However, the testing of operational processes and the internal control system, as well as inquiries and further testing procedures to detect fraud or other legal violations, are not within the scope of this examination.

Based on our limited statutory examination, nothing has come to our attention that causes us to believe that the financial statements submitted to you, disclosing an association capital of CHF 491'364, do not comply with Swiss law and the association's statute.

Yours faithfully,

HORWATH BERNEY AUDIT S.A.

  
Gregor WRZOSOWSKI  
Licensed Audit Expert

  
Cosimo PICCI  
Licensed Audit Expert  
Auditor in charge

Enclosures : financial statements (balance sheet, income statement and additional information)

## Enclosure 1

<b>Balance sheet as of December 31, 2011</b>	<b>HAP International</b>
with comparative figures, in Swiss Francs	<i>Association located in Geneva</i>

<b>ASSETS</b>	<b>31 Dec.11</b>	<b>31 Dec.10</b>
Petty cash	366	2'951
Bank accounts and time deposits	351'789	187'289
<b><i>Liquidities</i></b>	<b>352'155</b>	<b>190'240</b>
Receivables and other short term assets	249'218	320'213
% provision for loss on debtors	-13'000	-7'279
Prepaid expenses	1'827	12'965
<b><i>Current assets (including liquidities)</i></b>	<b>590'200</b>	<b>516'139</b>
Fixed assets	8'481	0
Guarantee deposit	11'734	11'696
<b><i>Fixed assets</i></b>	<b>20'215</b>	<b>11'696</b>
<b>Total assets</b>	<b>610'415</b>	<b>527'835</b>
<b>LIABILITIES</b>	<b>31 Dec.11</b>	<b>31 Dec.10</b>
Accounts payable	26'531	55'941
Social charges & withholding tax payable	59'387	58'410
Accrued liabilities	33'133	68'373
<b><i>Short term debts</i></b>	<b>119'051</b>	<b>182'724</b>
Donations and membership fees received in advance	0	53'118
<b><i>Funds capital</i></b>	<b>0</b>	<b>53'118</b>
Retained earnings	291'993	563'645
Net result for the period	199'370	-271'652
<b><i>Association capital</i></b>	<b>491'364</b>	<b>291'993</b>
<b>Total liabilities</b>	<b>610'415</b>	<b>527'835</b>

## Enclosure 2

### Statement of financial activities for the period financial year 2011, in Swiss francs

	2011	2010
Membership fees	151'500	64'192
Donations	1'735'490	1'644'524
Service fees	260'389	252'390
Costs paid by third parties	5'272	5'712
Other operational revenues	17'173	32'754
Bank interest and net exchange gain	258	404
<b>Incoming resources</b>	<b>2'170'082</b>	<b>1'999'976</b>
Salaries & social charges	1'304'029	1'203'564
Consultants fees & local staff	208'747	505'679
Recruitment & other personnel costs	38'513	65'184
Representation & travel costs	197'141	253'041
Communication, seminar & workshop costs	49'732	73'363
Local office expenses	0	6'287
<b>Programme &amp; staff costs</b>	<b>1'798'162</b>	<b>2'107'118</b>
Rental and charges	43'131	39'811
Office cleaning & maintenance	3'370	6'456
GA, board and other meeting costs	2'072	2'338
Office & IT equipment & supplies	64'343	42'994
Membership fees, newspapers, books	979	2'481
Insurances	662	662
Phone, fax & mail	10'827	13'551
Professional fees	24'957	19'626
Depreciation of fixed assets	2'827	0
Other expenses	70	10'602
<b>Administration costs including governance</b>	<b>153'238</b>	<b>138'521</b>
Bank charges & exchange differences	5'245	16'122
Loss on debtors	12'652	9'315
Taxes	1'415	552
<b>Financial costs and taxes</b>	<b>19'312</b>	<b>25'989</b>
<b>Total charges</b>	<b>1'970'712</b>	<b>2'271'628</b>
<b>Net result for the period</b>	<b>199'370</b>	<b>-271'652</b>

## Enclosure 3

**Statement of financial activities for the period  
financial year 2011, in Swiss francs**

<u>Detail of incoming resources 2011 vs 2010</u>	<u>2011</u>	<u>2010</u>
<b>MEMBERSHIP FEES</b>		
Full membership fees	148'500	61'334
Associate membership fees	3'000	2'858
<b>Subtotal</b>	<b>151'500</b>	<b>64'192</b>
<b>DONORS CONTRIBUTIONS</b>		
<b>Core funding</b>		
AusAID	305'370	0
DFID (UK)	53'118	221'161
DANIDA (Danish MFA)	102'042	122'489
Irish Aid	83'916	91'700
Ford Foundation	0	0
Buitenlandse Zaken (Netherlands MFA)	300'000	250'000
Norwegian MFA	0	163'988
SIDA (Swedish International Development Agency)	336'750	0
SDC (Switzerland)	30'000	0
<b>Subtotal</b>	<b>1'211'196</b>	<b>849'338</b>
<b>Earmarked funding</b>		
ACTED (deployment to Kyrgyzstan)	0	15'200
Bureau of Population, Refugees & Migration (USA)	233'271	186'097
Care Kenya (deployment to Dadaab)	0	910
DCA (deployment to Haiti)	0	244'475
DCA (deployment to Kyrgyzstan)	0	14'949
DRC (deployment to Dadaab)	0	6'650
ECHO	0	34'521
Joint Standards Initiative funding (World Vision International, British Red Cross, Danish Church Aid)	33'000	0
Oak Foundation	258'023	256'334
Save the Children (deployment to Dadaab)	0	5'000
Tearfund (deployment to Haiti)	0	10'640
UNHCR (deployment to Dadaab)	0	4'680
World Vision International (deployment to Haiti)	0	15'750
<b>Subtotal</b>	<b>524'294</b>	<b>795'186</b>
<b>Funding Subtotal</b>	<b>1'735'490</b>	<b>1'644'524</b>
<b>SERVICE FEES</b>		
Training	83'264	140'703
Consultancy	0	25'000
Baseline	66'250	33'574
Certification	110'875	53'113
<b>Subtotal</b>	<b>260'389</b>	<b>252'390</b>
<b>OTHERS</b>		
Costs paid by third parties	5'272	5'712
Other operational revenues	17'173	32'754
Financial revenues	258	404
<b>Subtotal</b>	<b>22'703</b>	<b>38'870</b>
<b>Total incoming resources</b>	<b>2'170'082</b>	<b>1'999'976</b>

## Annex IV. 2011 expenditure and income summary report, by activity

### Secretariat Expenditure and Income Summary Report, by activity Jan - Dec 2011

EXPENDITURE	Expenditures		under/overspend against budget	%
	Actual	Budget		
<b>Policy Services</b>				
Promote HAP Research Agenda				
010101 <i>Manage research collaboration</i>	0	3'590	3'590	
010102 <i>Accountability to Beneficiaries Conference - 2010</i>	0	8'150	8'150	
<b>Total Promote HAP Research Agenda</b>	<b>0</b>	<b>11'740</b>	<b>11'740</b>	<b>100.0%</b>
Commission and undertake research				
010201 <i>Research on accountability, quality mgmt and outcomes</i>	323	4'750	4'427	
010202 <i>Study: Effectiveness of PSEA measures</i>	339	0	-339	
<b>Total Commission and undertake research</b>	<b>661</b>	<b>4'750</b>	<b>4'089</b>	<b>86.1%</b>
Standards development				
010303 <i>Adopt and launch the HAP 2010 Standard</i>	25	3'940	3'915	
010304 <i>Produce and launch Guide to the 2010 Standard</i>	10'193	5'300	-4'893	
010305 <i>Accreditation standard consultation process</i>	8'634	4'350	-4'284	
<b>Total Standards Development</b>	<b>18'852</b>	<b>13'590</b>	<b>-5'262</b>	<b>-38.7%</b>
Implement communication strategy				
010402 <i>Translation of relevant documentation</i>	0	4'000	4'000	
010403 <i>Distribute Standard</i>	6'432	4'450	-1'982	
010404 <i>Coordinate website content</i>	2'343	5'600	3'257	
010405 <i>Print and Distribute Guidelines (compl. &amp; investig.)</i>	91	1'500	1'409	
010406 <i>Corporate Cooms package and other key reports</i>	64	44'100	44'036	
010407 <i>Donor Conference Geneva</i>	25'199	17'500	-7'699	
<b>Total Implement communication strategy</b>	<b>34'128</b>	<b>77'150</b>	<b>43'022</b>	<b>55.8%</b>
Knowledge Management				
010501 <i>Maintain database and documentation system</i>	2'322	7'200	4'878	
010502 <i>Produce and distribute Annual Report</i>	30'407	43'500	13'093	
010503 <i>Develop and produce materials for introducing HAP</i>	623	1'500	877	
<b>Total Knowledge Management</b>	<b>33'352</b>	<b>52'200</b>	<b>18'848</b>	<b>36.1%</b>
Project Support (Policy Services)				
010601 <i>Policy Services Support</i>	131'253	311'922	180'669	
<b>Total Project Support (Policy Services)</b>	<b>131'253</b>	<b>311'922</b>	<b>180'669</b>	<b>57.9%</b>
Other learning activities				
010702 <i>E-learning Programme development</i>	0	4'000	4'000	
<b>Total Other Learning Activities</b>	<b>0</b>	<b>4'000</b>	<b>4'000</b>	
<b>Total Policy Services Gross Expenditure</b>	<b>218'247</b>	<b>475'352</b>	<b>257'105</b>	<b>54.1%</b>
Income/cost recovery	14'553	117'350	102'797	87.6%
<b>Total Policy Services Net Expenditure</b>	<b>203'694</b>	<b>358'002</b>	<b>154'308</b>	<b>43.1%</b>
<b>Development Services</b>				
Strengthen Membership				
020101 <i>Approach potential Members</i>	332	1'280	948	
020102 <i>Regional networks</i>	9'423	15'360	5'937	
<b>Total Strengthen Membership</b>	<b>9'755</b>	<b>16'640</b>	<b>6'885</b>	<b>41.4%</b>
Support Accountability Leaders				
020201 <i>TOT refresher and review meeting</i>	0	3'190	3'190	
020202 <i>TOT CRM and accountability</i>	27'562	29'300	1'738	
<b>Total Support Accountability Leaders</b>	<b>27'562</b>	<b>32'490</b>	<b>4'928</b>	<b>15.2%</b>
Deliver Field Support				
020301 <i>Deployment of NEP Field Team - 2 times per year</i>	19'520	58'920	39'400	
<b>Total Deliver Field Support</b>	<b>19'520</b>	<b>58'920</b>	<b>39'400</b>	<b>66.9%</b>
Deliver Capacity Building Services				
020403 <i>Conduct baseline analyses for members and non-members</i>	33'186	27'800	-5'386	
020405 <i>Provide support to members - HAF</i>	0	1'330	1'330	
020406 <i>Specific capacity building services</i>	272	0	-272	
020407 <i>Provide support to members - Accountability Workshops</i>	7	16'525	16'518	
<b>Total Deliver Capacity Building Services</b>	<b>33'465</b>	<b>45'655</b>	<b>12'190</b>	<b>26.7%</b>
Promote Complaints and Response Mechanisms				
020501 <i>Revise and conduct CRM workshop</i>	9'648	46'320	36'672	
020502 <i>Complaints &amp; investigations management workshop</i>	37	4'170	4'133	
020503 <i>Conduct Investigation learning programme workshops + TOF</i>	15'949	50'460	34'511	
020504 <i>Participate on global platform on CRM</i>	3'658	6'620	2'962	
020505 <i>Bespoke services on demand</i>	357	3'380	3'023	
<b>Total Promote Complaints and Response Mechanisms</b>	<b>29'648</b>	<b>110'950</b>	<b>81'302</b>	<b>73.3%</b>
Project support (Development Services)				
020601 <i>Development Services Support</i>	513'437	619'442	106'005	
020602 <i>Roving Field team</i>	108'760	219'450	110'690	
<b>Total Project Support</b>	<b>622'197</b>	<b>838'892</b>	<b>216'695</b>	<b>25.8%</b>
<b>Total Development Services Gross Expenditure</b>	<b>742'147</b>	<b>1'103'547</b>	<b>171'369</b>	<b>15.5%</b>
Income/cost recovery (including earmarked funding for deployments)	180'908	322'050	141'142	43.8%
<b>Total Development Services Net Expenditure</b>	<b>561'239</b>	<b>781'497</b>	<b>312'511</b>	<b>40.0%</b>

THE 2011 HAP SECRETARIAT REPORT

EXPENDITURE	Expenditures		under/overspend against budget	%
	Actual	Budget		
<b>Regulatory Services</b>				
Certification				
030101 Certification and recertification Audits	42'758	19'860	-22'898	
030102 Mid term Audits	6'189	10'520	4'331	
030103 Auditor Training	59'404	18'600	-40'804	
030104 Auditor Workshop	17'855	9'700	-8'155	
Total Certification	126'206	58'680	-67'526	-115.1%
CARB Administration				
030303 1 day accreditation training course for CARB members	0	8'120	8'120	
030304 CARB meeting	1'556	7'870	6'314	
Total CARB administration	1'556	15'990	14'434	90.3%
Investigate Complaints				
030403 Complaints Policy Revision	844	0	-844	
Total Investigate Complaints	844	0	-844	-84%
AWP Monitoring				
030501 Monitoring Members AWP's	0	2'020	2'020	
Total AWP Monitoring	0	2'020	2'020	100.0%
Project Support (Regulatory Services)				
030601 Regulatory Services Support	303'290	265'844	-37'446	
Total Project Support	303'290	265'844	-37'446	-14.1%
<b>Total Regulatory Services Gross Expenditure</b>	<b>431'896</b>	<b>342'534</b>	<b>-89'362</b>	<b>-26.1%</b>
Income/cost recovery	112'125	107'500	-4'625	-4.3%
<b>Total Regulatory Services Net Expenditure</b>	<b>319'771</b>	<b>235'034</b>	<b>-93'987</b>	<b>-40.0%</b>
<b>Governance and Management</b>				
Governance				
040101 Board Meetings	15'092	32'370	17'278	
040102 Annual General Assembly	4'023	12'580	8'557	
040105 Annual Audit	6'156	6'400	244	
040106 People in Aid certification	0	5'000	5'000	
Total Governance	25'272	56'350	31'078	55.2%
Secretariat Core Costs				
040201 Secretariat core costs	548'943	575'269	26'326	
Total secretariat core costs	548'943	575'269	26'326	4.6%
Fundraising & donor relations				
040301 Fundraising & donor relations	4'208	4'630	422	
Total Fundraising & donor relations	4'208	4'630	422	9.1%
Contingency/reserve				
040401 Contingency/reserve	0	25'000	25'000	
Total Contingency/reserve	0	25'000	25'000	100.0%
<b>Total Governance and Management Gross Expenditure</b>	<b>578'423</b>	<b>661'249</b>	<b>82'826</b>	<b>12.5%</b>
Income/cost recovery	7'658	0	0	
<b>Total Governance and Management Net Expenditure</b>	<b>570'765</b>	<b>661'249</b>	<b>82'826</b>	<b>12.5%</b>
<b>Total Net Allocated Expenditure</b>	<b>1'655'468</b>	<b>2'035'783</b>	<b>455'658</b>	<b>22.4%</b>
<b>Total Gross Allocated Expenditure</b>	<b>1'970'712</b>	<b>2'582'683</b>	<b>421'939</b>	<b>16.3%</b>
<b>INCOME</b>				
<b>Restricted income</b>				
Cost recovery allocated to an activity	315'244			
Earmarked donations (other than for field support deployments)	491'294			
<b>Unrestricted income</b>				
Membership fees	151'500			
Core funding	1'211'196			
Other donations (insurances pmts, other operational revenues)	848			
<b>Total Income</b>	<b>2'170'082</b>			
<b>Net gain</b>	<b>199'370</b>			

