



The 2009 HAP Secretariat Report

HAP Humanitarian
Accountability
Partnership

Front cover:

Women who fled fighting in eastern Chad gather in a camp for internally displaced people near Gos Beida June 6, 2009. Refugees from conflict in Sudan's Darfur and Chad appealed for more international protection so they can return to their homes.

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Table of Contents

List of Abbreviations	4
Introduction	7
I. Policy Services	9
II. Development Services	23
III. Regulatory Services	31
IV. Governance and Management	37
Annexe I HAP 2009 Audit Report and Accounts Summary	43
Annexe II The 2009 Secretariat Workplan: Tabulated Results	51

List of Abbreviations

ALNAP	Active Learning Network for Accountability and Performance
ATHA	Advanced Training Programme on Humanitarian Action
AWP	Accountability Workplan
BPRM	Bureau of Population, Refugees and Migration (USA)
BSO	Building Safer Organisations
CAFOD	Catholic Agency for Overseas Development
CARB	Certification and Accreditation Review Board
CDAC	Communicating with Disaster Affected Communities
CERF	Central Emergency Response Fund (UN)
CIDA	Canadian International Development Agency
CWS	Church World Service
Danida	Danish International Development Agency
DCA	DanChurchAid
DFID	Department for International Development (UK)
DRC	Danish Refugee Council
DRC	The Democratic Republic of the Congo
ECB	Emergency Capacity Building (Project)
ECHA/ECPS	Executive Committees on Humanitarian Affairs and Peace and Security
ECHO	European Commission Humanitarian Aid Office
HAF	Humanitarian accountability framework
HAP	Humanitarian Accountability Partnership

HHI	Harvard Humanitarian Initiative
IANGO	International Advocacy Non-governmental Organisations
IASC	Inter-agency Standing Committee
INGO	International non-governmental organisation
INTOSAI	International Organisation of Supreme Audit Institutions
ISO	International Organisation for Standardisation
JICA	Japan International Cooperation Agency
MFA	Ministry of Foreign Affairs
MTPA	Mid-term progress audit
NEP	New Emergencies Policy
NGO	Non-governmental organisation
OCHA	Office for the Coordination of Humanitarian Affairs
OECD	Organisation for Economic Co-operation and Development
OFDA	Office of U.S. Foreign Disaster Assistance
PSEA	Protection from sexual exploitation and abuse
SCC	Standing Complaints Committee
SEA	Sexual exploitation and abuse
SIDA	Swedish International Development Agency
ToR	Terms of reference
UMCOR	United Methodist Committee on Relief
UN	United Nations
UNHCR	United Nations High Commission for Refugees

Introduction

2009 was a year of growth for HAP, with the highest number of new members joining the partnership in any one year since its establishment, organisational development and capacity-building services delivered successfully in over 20 countries, an increase in the number of agencies requesting baseline analyses against the HAP Standard, and two more agencies achieving certification. The HAP Standard Review generated a broad level of engagement from members and non-members alike, a clear indication of growing levels of interest in HAP and its work. A consolidated communication strategy and a collaborative approach to promoting accountability and quality assurance in the sector have led to increased recognition of the practical contribution that HAP can make to bring about changes in systems and attitudes that are needed to eradicate poor quality aid programmes.

The year closed with a heightened sense of confidence and enthusiasm on the part of the Secretariat, as it builds on learning to date and starts the implementation of the 2010-2012 Strategic Plan. Highlights of the year are presented below and discussed in more detail throughout the Report:

- Membership grows by nearly 50% to 40 Full Members and 10 Associate Members
- 18 agencies enrolled in the HAP certification scheme
- 14 baseline analyses against the HAP 2007 Standard completed, including one for UNHCR in Georgia
- Two more agencies (CAFOD and Christian Aid) certified in Humanitarian Accountability and Quality Management
- The HAP Standard Review process underway: 100 organisations in 42 countries contribute online, including on a joint HAP-Sphere questionnaire; over 200 aid workers and 83 beneficiaries or their representatives contribute to the review during 17 consultation meetings

- Inspectorate Project launched with Save the Children UK on prevention of and response to exploitation and abuse of disaster-affected populations by aid workers
- Over 65 organisational development or learning activities delivered by HAP in Bangladesh, Burkina Faso, Cambodia, the DRC, Ethiopia, Georgia, Ivory Coast, India, Ireland, Kenya, Malaysia, Mozambique, Myanmar, the Netherlands, Norway, Pakistan, Senegal, Sri Lanka, Southern Sudan, Sweden, Switzerland, Uganda, the UK and the USA
- Roving Team deployed to Sri Lanka; member agency seconds staff to the Team
- Certification and Accreditation Review Board established
- New consolidated statement of capacity building and organisational development services released
- Independent evaluation commissioned and completed
- Fundraising targets met
- 2010-2012 Strategic Plan prepared and presented to the Board for approval.

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

I. Policy Services

To scale up HAP's strategic impact through advocacy, research and knowledge management

Highlights

- Study completed on *the impact of complaints handling in humanitarian response*
- Guidance provided to 14 researchers seeking support from HAP
- Letter of Agreement signed with the Harvard Humanitarian Initiatives and Memorandum of Understanding agreed with People In Aid
- The Inspectorate Project started with Save the Children UK in conjunction with the HAP Standard Review
- 100 organisations in 42 countries contribute online to the Standard Review
- Over 200 aid workers and 83 beneficiaries or their representatives contribute during 17 Standard Review consultation meetings
- Over 30 presentations on HAP delivered at strategic fora and to the research community
- Over 7,800 copies of the HAP 2007 Standard distributed or downloaded from the website
- Over 650 copies of the *2008 Humanitarian Accountability Report* distributed
- HAP website averages 11,500 monthly visitors

1. Promote the HAP research agenda

In the absence of well-established research programmes on humanitarian accountability, the HAP Secretariat actively raised awareness about its work and promoted the adoption of relevant research topics with suitable institutions. Interested researchers were provided with advice and their access to HAP member agencies was facilitated in relation to several studies.

Manage strategic research partnerships: HAP continued to strengthen its links with a number of academic and research institutions throughout 2009.

A Letter of Agreement was signed with the Harvard Humanitarian Initiative (HHI) and collaboration started on the development and trial of an analytic tool to capture the impact of the HAP Standard. HAP contributed to a collaborative project between King's College London and the World Health Organisation by facilitating (in Southern Sudan) the testing of a scale for the assessment of perceived needs in the general adult population in humanitarian settings.

In 2009, the HAP Secretariat advised and assisted 14 researchers in the development of proposals and delivery of research on accountability and quality assurance systems at different universities, including Ruhr-University of Bochum (Germany), the London School of Economics (UK), George Washington University (USA), University of Copenhagen (Denmark), University College Dublin (Ireland) and the Graduate Institute, Geneva (Switzerland).

To further inform and contribute to the research agenda of institutions that have the capacity to address questions on accountability, programme management and humanitarian outcomes, HAP Secretariat staff facilitated discussions and delivered presentations including at the following events:

- International Humanitarian Conference, Webster University in Geneva, Switzerland
- Dtalk seminar at the Development Studies Centre in Dublin, Ireland
- Accountability and Quality Assurance lecture at Sheffield University, UK
- Conference on "Profit and Not for Profit: a new partnership for the aid industry" the Scuola Superiore Sant'Anna, Italy
- At the 2009 ALNAP conference in London, a discussion note was prepared and session facilitated on *Voices of affected populations in assessing and improving humanitarian performance and sector-wide accountability*.

Co-convene “Accountability to beneficiaries” conference: Preliminary work for the HAP conference started in 2009 with the design of a one-day research workshop (*Improving Accountability to beneficiaries: what evidence is needed?*) in partnership with the Centre on Conflict, Development and Peacebuilding at the Geneva Graduate Institute.

Publish relevant outputs: The HAP Annotated Bibliography of 324 texts was updated in 2009 and a key literature review on humanitarian accountability, self-regulation and participation of affected population in decision-making processes was drafted before the end of the year.

The annual *Survey of Perceptions of Accountability in Humanitarian Action* was managed by the Secretariat and the results were published in HAP’s *2008 Humanitarian Accountability Report*. The Report received coverage in a number of media and publications of other organisations, including Reuters Alertnet, Reliefweb, IRIN news, *The Third Sector*, One World Trust, Euroapress and HumanityVoice. A HAP article on “What can be done to improve accountability and reporting in overseas aid programmes?” featured in the January 2009 edition of *CaritasData Magazine*.

2. Commission research

An external consultant was commissioned to undertake the study on *the impact of complaints handling in humanitarian response*. Data collected during field visits in Bangladesh (April) and Uganda (June) was complemented through phone-based semi-structured interviews that ended in October. The final report will be published in 2010.

The proposed timeframe for commissioning a survey into perceptions of member and non-member agencies of the impact of the HAP Certification scheme overlapped with HAP’s independent evaluation (for more details, see section IV.1. below). A decision was made to postpone the commissioning of this study until the evaluation report would become public, since the evaluation was also to seek perceptions of the impact of HAP Certification. On this topic, the evaluation concluded that: “The first Certified Members (and those who are enrolled in the Certification process) provide impressive testimony as to the benefits of the process at agency level (impact on policies, practices, staff attitudes, deployment of new systems and procedures).” A decision will be made in 2010 on whether undertaking the initial study would be of interest to the wider membership.

3. Review the HAP 2007 Standard

At the end of 2008, HAP member agencies and the Secretariat embarked upon a process of reviewing the HAP 2007 Standard in Humanitarian Accountability and Quality Management and *The Guide to the HAP Standard* to ensure that they maintain their relevance and continue to drive improvements on accountability and quality management. The review will continue throughout 2010 and will lead to a HAP 2010 Standard and a revised version of *The Guide*.

The purpose of the review is not to make significant changes to the Standard, but to capture learning from its application so far and to reflect emerging good practice on accountability and quality management. The process considers strengths, weaknesses and known impact of the Standard on the lives of beneficiary communities; it clarifies linkages between, and seeks adjustments to, benchmarks, requirements and means of verification. Options for making the Standard more explicitly applicable to multi-mandate agencies and more suitable for agencies working with partners are explored. Increased coherence with relevant standards and codes of conduct such as those of the Sphere Project and People In Aid is sought, alongside options to strengthen elements of financial accountability and prevention of exploitation and abuse by staff. Language modifications will be made, where necessary, to enhance the accessibility of the Standard.

Key components of the process are: robust stakeholder involvement, including participation of disaster affected populations and staff from member agencies and their partners, and joint activities with planned processes of other relevant quality and accountability initiatives, particularly the Sphere Handbook Revision and the Emergency Capacity Building Project Phase II. As in the development of the HAP 2007 Standard, the review process is guided by relevant ISO rules and guidelines for the development of international standards.

A draft 2010 Standard is scheduled to be presented for further discussion at the HAP General Assembly in May 2010, with the release of the HAP 2010 Standard scheduled before the end of 2010 (pending its approval).

Establish review process for the HAP 2007 Standard: A Steering Committee was set up in February, to provide leadership and oversee the review. At a meeting in May, the Committee agreed operating norms and criteria for making recommendations to the Board for changes in the HAP 2007 Standard. At the end of 2009, the Committee included three individuals with first hand experience from the perspective of disaster-affected populations, representatives of three HAP Full Members and one Associate Member, of three peer organisations and/or networks, two bilateral donors and one global

institution, as well as two independent individuals with experience in the aid sector. Technical working groups have been established for two areas that require specific attention during the review process—Partnerships Working Group and a Working Group on Handling Complaints of Exploitation and Abuse—both led by HAP member agencies who made available staff and other resources to contribute to this work.

Manage review process: The HAP Secretariat manages the review process, the Steering Committee provides leadership and oversight, working groups offer technical input, a reference group has broad ownership of the process, and the HAP Board and GA will approve the changes and ultimately the 2010 Standard.

Throughout 2009, staff of national and international NGOs, donors and host governments, UN agencies, quality and accountability initiatives, research institutions and other civil society organisations contributed to the review process. This broad reference group provides the basis for building consensus on adjustments to the HAP 2007 Standard, alongside valuable suggestions for modifications in *The Guide*.

At the start of 2009, three HAP-led consultation workshops were planned in different regions. In response to feedback from member agencies, guidance materials were drafted in March. The guidelines took into account the increasing interest in the review process and proposed an approach where different agencies would host consultations at various locations. From August until the end of the year, 17 consultation meetings, focus group discussions or workshops were either hosted by volunteering HAP member agencies or led by the HAP Secretariat in Bangladesh, the DRC, Ivory Coast, Kenya, Norway, Pakistan, Senegal, Sri Lanka, Southern Sudan and Uganda. The Bangladesh country consortium of the Emergency Capacity Building Project hosted one joint HAP Standard-Sphere Common Standards review workshop. In total, over 200 staff (representing HAP members, their partners, UN agencies and Red Cross Societies) and 83 beneficiaries or their representatives contributed to the review through consultation meetings in 2009.

To complement the breadth of experience and suggestions collected during such meetings, the Secretariat also sought input through online surveys. Individuals from over 100 organisations in 42 countries sent their views, including on a joint HAP-Sphere questionnaire, using online media.

The review process will continue in the first part of 2010, with consultation meetings scheduled in Bangladesh, Georgia, India, Lebanon, Sierra Leone and the UK; the community-based consultations that started in Southern Sudan in 2009 are to be completed in 2010.

Inspectorate Project: Based on findings in the Save the Children UK's report *No One to Turn To* and HAP's report *To Complain or not Complain* (both published in 2008), and consultations with HAP members and other humanitarian agencies, the HAP Secretariat in collaboration with Save the Children UK started work on the Inspectorate Project. The aim of the project is to ensure that disaster-affected populations, and children in particular, who are abused by humanitarian staff will have someone to turn to, that abuse will not be tolerated and that allegations will be investigated and acted upon, accordingly.

In 2009, project activities were dovetailed with the HAP Standard Review, through the establishment of a Working Group on Handling Complaints of Exploitation and Abuse. The objectives of the Working Group are:

- To develop explicit requirements and means of verification against which compliance assessments on prevention and response to exploitation and abuse by aid workers can be conducted; and
- To gain consensus on whether a new standard specific to handling complaints of exploitation and abuse should be developed or whether this aspect should be included in the HAP 2010 Standard¹.

The Working Group facilitated five consultations with disaster-affected populations and aid workers, with more consultations scheduled in 2010. In addition, the HAP Secretariat strengthened its advocacy efforts so that agencies publicly report on the number and type of complaints that they receive, including on allegations of exploitation and abuse by staff.

Accreditation standard development: Research started in 2009 on accreditation models used by other agencies in different sectors. Terms of Reference for developing a standard to accredit bodies wishing to certify agencies against the HAP Standard was drafted in 2009 and posted on the website for comment. Development of the Accreditation Standard was deferred.

Auditor/baseline analyser standard and certification scheme: The Certification and Accreditation Review Board (CARB) developed a protocol for reviewing audit reports. This will be continuously improved to reflect learning. A guiding document was also developed by the Secretariat for HAP Standard baseline analyses.

¹ *Prevention and response to exploitation and abuse are implicit in the HAP 2007 Standard; the review is exploring options for more explicit reference. Depending on the outcome of the consultations, auditor guidelines, good practice guidance and tools will also be reviewed.*

4. Implement a coherent communication strategy that promotes accountability and quality management

Represent HAP at strategic meetings and fora: To complement ongoing briefings for members and potential members, Secretariat staff took on many opportunities to promote HAP, the Standard and quality assurance. Such representation activities included:

- Workshop on Conservation, Human Rights and Accountability, Washington, USA (March)
- Meeting of the Norwegian NGO consortium, Oslo, Norway (April)
- Presentation on Humanitarian Accountability, Geneva Consultants Forum, Switzerland (April)
- ATHA Training Conference in Härnösand, Sweden (April)
- Conference on Accountability, Berlin Civil Society Centre, Germany (May)
- Revision of the ACFID Code of Conduct, Canberra, Australia (May)
- NGOs and Humanitarian Reform Conference, Ditchley Park, UK (September)
- Civil Society Organisations Forum on Aid Effectiveness, IANGO and HAP consultation on cross-sector standards, Geneva (October)
- Annual meeting of the IASC Sub-working Group on Gender, New York, USA (October)
- World Vision Workshop on accountability to primary stakeholders, Cartigny, Switzerland (November)
- Communicating with Disaster Affected Communities (CDAC) planning meeting, London, UK (November)
- ALNAP biannual conference, London, UK (November)
- PSO Workshop, Netherlands (December)

Presentations on HAP's work were delivered to the British Overseas NGOs for Development, the UK Charity Commission, the Disaster Emergency

Committee (UK), the Humanitarian Coalition (Canada), InterAction (USA), and the ZOA Refugee Care (The Netherlands).

The Secretariat continued its bilateral discussions with donors to emphasise the commonality between the Good Humanitarian Donorship Principles and the HAP mandate and its quality assurance system. Policy links with the UN and donors were strengthened through meetings with, or briefings for, the US Department of State (BPRM), the Netherlands Ministry of Foreign Affairs, DFID (presentation on improving accountability), the Inter-agency Standing Committee (IASC), the Central Emergency Response Fund (CERF, OCHA), and the ECHA/ECPS UN and NGO Taskforce on protection from sexual exploitation and abuse. Specific advice on approaches to improving accountability—including the development of guidance material on complaint handling—was provided to the WASH cluster.

Contributions to the two regular meetings of the Quality and Accountability Group enabled HAP to continue bilateral discussions with participating initiatives with a view to improving coherence and complementarity between HAP's work and that of peer organisations. A Memorandum of Understanding was signed with People In Aid, potential joint work was discussed with ALNAP, options for a possible partnership agreement were drafted with the Emergency Capacity Building Project, and the closer working relationship that started with the Sphere Project in 2008 continued throughout 2009.

The past year also saw several new inter-agency initiatives emerge, many of which HAP engaged with from the start to promote collaboration and coherence in this field. Promising contact was also established with the Germany-based Internet project funding initiative <http://www.betterplace.org/>.

Translate relevant documentation into other languages: The HAP Standard and the Principles of Humanitarian Accountability were translated into Amharic, Georgian, Myanmar (Burmese), Sinhala, Tamil, and updated versions were produced in French. Guidance, case studies and tools on accountability workplans, introduction to humanitarian accountability, the HAP Standard, HAP baseline analysis and the certification scheme were translated into French, alongside materials for the Investigation Learning Programme and the Workshop on Complaints and Response Mechanisms.

Throughout 2009, the Secretariat encouraged members to disseminate the tools and case studies that they translate in different languages. HAP materials translated by Christian Aid into Spanish were made available on the HAP website.

Distribute Guide to the HAP Standard: A total of 409 hard copies of *The Guide to the HAP Standard* were distributed throughout 2009 to member

agencies, their partners and other interested agencies, during HAP Complaints Handling and Investigation Learning workshops, baseline analyses and certification audits, Roving Team deployments, and various other meetings and conferences.

Throughout the year, over 3,800 hard copies of the HAP 2007 Standard were distributed during HAP activities or in response to direct requests addressed to the HAP Secretariat, and approximately 4,000 copies were downloaded from the HAP website.

Coordinate website content: As HAP's main communication tool, the website was continually updated and improved throughout the year, averaging 11,500 visitors per month. Excluding the Homepage, the most visited HAP website pages in 2009 were: News, the HAP Standard, Membership, About Us, and the HAP Resources pages. The 2007 Standard remained the most downloaded file from the website followed by *What is an accountability framework?* (an average of 138 copies/month) and the *2008 Humanitarian Accountability Report* (an average of 98 copies/month since publication in May 2009).

Develop consistent communication plan: On-going work to improve HAP's communication included more coherent delivery of key messages and presentations using recognisable formats. A full description and fee guide was established for all HAP Services and disseminated before the end of the year.

HAP established its presence on all members' websites, on Facebook, the Dgroups, YouTube and Wikipedia. In 2009, 33 new websites either linked to HAP's webpage or to a specific HAP publication. HAP's Facebook entry attracted over 850 members.

Produce and disseminate relevant publications: Together with member agencies, the Secretariat developed 18 new case studies on humanitarian accountability and programme management. The Myanmar evaluation report was made available in 2009, alongside regular field deployment reports and updates on capacity building and organisational development services. No articles on commissioned research were published in 2009, but this activity will resume in 2010 after the publication of the report on complaints handling.

Implement promotion campaigns: In September and October, a review of all members' websites took place and, where needed, focal points were asked to either update or include information on HAP (including the HAP logo) on their website. All new HAP members (joining in 2008 and 2009) included information on HAP in corporate communication materials and added a link to HAP's website on their respective websites.

Develop on-line information exchange: On-going development of the HAP/Building Safer Organisations presence on Dgroups continued in 2009. In December, participants were surveyed on the use of the site, materials covered, and future opportunities for improving participation and strengthening its scope. As a result of the survey, the Secretariat will initiate changes to the Dgroup and the HAP website with respect to protection of disaster and crisis-affected communities from sexual exploitation and abuse (PSEA) by aid workers.

Produce and distribute HAP newsletter: The HAP electronic newsletter was published quarterly throughout 2009, with the November edition reaching 2,080 individuals.

5. Knowledge management

Maintain an updated database and internal document system: The shared folders of the HAP Secretariat were maintained and updated throughout the year. Improved use of the HAP intranet calendar, the contacts database and the on-line booking system (for training and tracking members' progress) was achieved in 2009.

Produce and distribute the Annual Report: Findings from the annual survey of Perceptions of Accountability were included in the *2008 Humanitarian Accountability Report*, alongside comments and voices of those disaster survivors who HAP interacted with over the course of the year. John Borton prepared the independent overview on accountability across the sector in both 2008 and 2009.

The 2008 Annual Report was launched during the 2009 General Assembly. A total of 676 hard copies of the report were distributed from May to end December 2009, most in response to demand from HAP members, other NGOs, UN agencies and donors. Feedback on the 2008 Report was positive, and the report received wide coverage in many subsequent publications.

Develop and produce materials for introducing HAP and the Standard: The Principles of Accountability Poster was regularly updated, alongside presentation slides and facilitation notes on introducing HAP.

Two information notes on HAP and its activities were developed in 2009 and piloted with different audiences. These will be consolidated in 2010 as part of a suite of materials to introduce the partnership, the tools that it produces, and capacity building and organisational development services offered by the Secretariat.

Consolidate training modules on all aspects of the HAP Standard:

Materials and guidance for training workshops and other capacity building activities (on complaint handling processes, guided self-assessments, baseline analysis) were consolidated throughout the year in response to specific needs. Some of these materials can be downloaded from the HAP website, while others will continue to be used by HAP staff in the delivery of support in line with the updated statement of services.

In 2009, HAP sought suggestions on options for developing a distance-learning scheme on programme quality and accountability; some of this work may proceed in cooperation with other interested quality and accountability initiatives.

Develop templates and guidelines to collect and record relevant information:

Templates and guidance notes for the systematic collection of data (to be used in future research and planning) from humanitarian staff and community members were developed in 2009; the format is conducive to collect data on both attitudes and perceptions of those interviewed. Guidelines for semi-structured interviews and focus group discussions were also developed, for use by the HAP Roving Team during deployments, consultants undertaking commissioned studies, and other external researchers engaged in data collection on accountability and quality management.

Develop materials for including HAF into staff inductions of member agencies:

Mapping of members' approaches to staff inductions, awareness raising and roll out of their respective accountability frameworks started in 2009. This activity will be taken forward in 2010, possibly through collaboration with another organisation.

Summary against the Strategic Objectives

The 2007-2009 Strategic Plan (Section 10.1) anticipated the publication of the first HAP Standard in 2006 and the establishment of a formal review mechanism culminating in a new draft standard in 2008, with adoption and publication taking place in 2009. As reported in 2008, this process was delayed: the General Assembly delegated responsibility for approving the Standard Review process to the HAP Board, so that a draft 2010 Standard be prepared and presented to the General Assembly in 2010. The review process started before the end of 2008 and was well on course in 2009.

As the Standard and *The Guide* were pre-requisites for various other activities, the knock-on effect of their delays continued to be felt across the strategic objectives in 2009, particularly in terms of accreditation.

In 2009, HAP gained ground on its research objectives (Section 10.4), by commissioning another external study and establishing formal and informal links with several academic and research institutions as envisaged in the 2007-2009 Strategic Plan. Dialogue with the research community re-emphasised the need for HAP to position itself as an advocate, facilitator and disseminator of research on accountability, programme management and humanitarian outcomes. An independent evaluation was also commissioned in 2009, as per the strategic targets, although none of HAP's associate donor members were able to take on the management of the evaluation.

The focus of advocacy activities (Section 10.8) was to scale up the impact of HAP's activities and products across the sector. Approaches in 2009 focused on promoting HAP-led events and capacity building activities, alongside the dissemination of key messages from the *2009 Humanitarian Accountability Report*, as per the 2007-2009 strategic targets. The Humanitarian Accountability Awards Ceremony did not take place as envisaged in the Strategic Plan, although certified agencies were recognised at the General Assembly and in all other relevant HAP materials and presentations.

By continuing proactive engagement with key stakeholders—briefings for members and potential members, meetings with bilateral donors, presentations at strategic fora, publication of progress updates and learning through the newsletter, case studies, and other website material—HAP's brand recognition increased in 2009, although verification of this is not easy to measure. The high number of membership applications and growing demand for HAP services and materials, positive coverage in print and on-line media, and acknowledgments by institutions such as the Swedish International Development Agency (SIDA), the Netherlands Ministry of Foreign Affairs, Transparency International, International Organisation of Supreme Audit Institutions (INTOSAI), UN agencies and peer initiatives provide solid indicators of HAP's increased recognition as a key quality assurance body.

Marketing approaches (Section 10.9) in 2009 were expected to focus on attracting new associate members, promoting the complaint-handling function (for those agencies that have been certified), and assessing the feasibility of rebranding at point of handover to accredited bodies within a broader framework of raising awareness about the Standard and the certification scheme. The General Assembly's decision in 2007 not to create the new membership categories ("certified member", "partner member" and "associate member") continued to limit the incentive to join as an "associate member"—one of the main factors causing interested agencies to either withhold their applications or to seek full membership instead. With the delay in the development of the first Standard, and slower-than anticipated uptake of certification, accreditation was also delayed. The complaint-handling function of the Secretariat was promoted in 2009 through public presentations and during all HAP-facilitated

services. Once the accreditation process is underway, options for re-branding will be reviewed.

Tools and other resources have become available on the website. Overall, the website increased its advocacy function as per the Strategic Plan (Section 10.10), although targets related to separation of Associate and Certified Members areas were not met due to reasons highlighted above.

II. Development Services

To provide members with strategic and practical support to comply with the HAP Standard and to encourage non-members to join and/or seek HAP certification

Highlights

- Deployment of Roving Team to Sri Lanka, with World Vision staff seconded to the team
- 14 baseline analyses against the HAP Standard, including one for UNHCR in Georgia
- Eight guided self-assessments delivered to members and their partners, including in the context of emergency deployment
- Five complaint-handling workshops attended by 108 participants from 21 country programmes
- Technical advice provided to the ECHA/ECPS UN and NGO Taskforce on protection from sexual exploitation and abuse
- The Pakistan programme was brought to a close

1. Strengthen, grow and diversify HAP's membership

Approach potential members based on growth and diversification plan: The efforts and activities of HAP staff resulted in new full membership applications during 2009 from agencies in Sweden, Norway, India, Lebanon, Indonesia, the United States, the Philippines and Pakistan, consolidating and expanding the presence of HAP in some regions, and introducing HAP to others.

Develop strategic partnerships with NGO networks: Discussions were held with the ACT Alliance (formerly ACT International) and Naba'a with a view of formalising engagement beyond their current HAP membership. The ACT Alliance undertook a baseline analysis against the HAP Standard and started preparation for certification before exploring HAP accreditation options, with continued contact and support provided through HAP development services.

Strengthen the Middle East regional network: The Middle East Network was slower to activate than initially envisaged, due to limited rate of response from agencies. There was a new HAP membership application from Lebanon, which is expected to make the network more sustainable. Support and advice was offered to a network in Egypt to carry out awareness and investigation training in Arabic in early 2010.

2. Support humanitarian accountability and quality management leaders

Strengthen the HAP Peer Support Group: The growth of HAP membership has necessitated a review of methods used to provide support to accountability focal points. Teleconferences and collective email communications were used in 2009 to best effect where possible. Individual contact and support continued to be available to focal points and discussions were held regarding a regional member-led support meeting.

Regional Accountability Leaders workshops: After a review of HAP's budget, these workshops were deferred.

3. To deliver field support

Deployment of NEP Roving Team: The new Roving Representative commenced in the role and the first three-month deployment of the new team to Sri Lanka was underway in July 2009. HAP received ECHO funding for the NEP deployments, covering approximately 50% of the costs and the team recuperated more than 80% of further costs through contributions from five members and one non-member agency. Two member agencies made in-kind contributions: Muslim Aid hosted the team and provided support for visa, logistics and accommodation; World Vision seconded an Accountability Officer (a Sri Lankan national) as a valuable addition to the Roving Team.

The deployment supported participating agencies to strengthen accountability and quality in the response to the conflict in Northern Sri Lanka, which resulted in the internal displacement and internment of over 250,000 people. During the

deployment, the Roving Team worked in Colombo and the Vavuniya District, and visited Menik Farm, the largest post-conflict camp in Sri Lanka. The team worked with 17 HAP member agencies and/or their implementing partners (reaching over 140 agency staff), and nine other agencies. Meetings took place with key humanitarian actors and monthly updates on the deployment were sent to members' focal points at respective headquarters.

The following objectives of the deployment were met through the delivery of activities contextualised to local operational constraints:

- To deliver appropriate immediate and direct support to interested agencies. This was done through inter-agency workshops and guided self-assessments undertaken by six agencies. Other specific support was provided on demand to three HAP members in Colombo and Vavuniya.
- To facilitate collective learning for HAP members, their partners and other interested agencies. The HAP 2007 Standard was translated into Sinhalese and Tamil languages by Lutheran World Relief Sri Lanka. This resource was printed by the Roving Team and disseminated widely, as were case studies and tools used in other contexts, with a view to enhance learning. Three new case studies related to the application of the HAP 2007 Standard were also developed and more are anticipated. A number of aid staff participated in the HAP 2007 Standard Review through consultations facilitated by the Roving Team. To ensure wider awareness and understanding of accountability issues, an inter-agency workshop for non-member agencies was held, alongside bi-lateral meetings with Red R, UNHCR and representatives of the donor community.
- To analyse and share outputs and lessons learnt during the deployment. An externally facilitated after-action review took place in October. Staff from participating agencies highlighted their immediate and long-term action plans and the progress made on improving accountability as a result of the HAP deployment.

Follow-up to NEP deployments: Debrief meetings were held with the focal points of each participating agency to highlight salient activities and to garner management support for the recommendations made in the confidential guided-self assessment reports. A collective debriefing session with focal points of HAP member agencies was held in November by teleconference. Remote guidance and support to participating agencies continued after the deployment. The post-deployment and after-action review reports were finalised and disseminated widely. The Sri Lanka deployment page on the HAP website was updated with all case studies, tools and reports. Follow-up activities to understand progress made by agencies since the deployment are planned for the first quarter of 2010.

Focused support for accountability in Pakistan: The Pakistan programme was brought to a close in the first half of 2009 and CWS Pakistan / Afghanistan employed the two remaining staff of the programme to continue relevant work and provide support throughout the region, taking up part of the role vacated by HAP. During the baseline analysis conducted with CWS in October 2009, HAP further built the capacity of their staff to undertake accountability self-assessments.

4. Delivery of capacity building services

Induction meetings for new members: Induction meetings were held as per demand, but the approach of this service shifted to the provision of a “planned pathway” meeting via telephone with new members, where options and obligations are explored and explained in more detail. This new approach has proven more successful in assisting members to remain focussed upon meeting their obligations with regard to the accountability workplan, and has assisted members to direct their attention to planning for services that would directly aid them to achieve their goals with respect to accountability and quality management.

Accountability workplans: Support was offered to all new members, with approximately half of those taking up the offer for ongoing support and feedback via email and telephone.

Baseline analyses: HAP conducted 14 baseline analyses during 2009, with a number of additional requests to be addressed in 2010. The number of baseline analyses conducted was less than predicted in part due to capacity issues. The strategy regarding the creation of an outsource capacity was reviewed and refined, and HAP continues to explore the potential for members to engage local and skilled consultants to conduct baseline analyses, with the support of HAP staff and comprehensive guidelines that are in development.

Guided self-assessments: Eight guided self-assessments were conducted during 2009, most, but not all, conducted within the context of the Roving Team deployment.

Humanitarian Accountability Frameworks (HAF): Members who requested support in the development of their HAFs were provided with extensive guidance, including follow up after a baseline, the provision of a one-day workshop for staff, and / or phone and email consultations.

Develop products and provide dedicated advisory support to members: Guidance for agencies in preparing effectively for a baseline analysis

was developed and tested during 2009. The guidance document aims to significantly reduce the amount of time spent in setting up the baseline analysis. Members requesting support in any aspect of their accountability work were assisted with advice, examples, and linkages to peers.

5. Promote complaints and response mechanisms

Revise and conduct complaint and response mechanisms (CRM) workshops: The workshop content and methods were revised to include all aspects of setting up a complaints and response mechanism including a community consultation component. The revised material was piloted in February 2009. Five workshops were held in Cambodia, Ethiopia, Myanmar, and two in Kenya attended by 108 participants from HAP members, 24 partners of HAP members, other NGOs and UN agencies from 21 country programmes. The workshops in Ethiopia, Cambodia and Myanmar included consultations with disaster-affected communities to explore barriers to complaining and appropriate ways of handling complaints. Over 240 community members took part in these consultations, including women and children. In Myanmar, consultations were held with children to explore barriers to complaining from their perspective, and their expectations of a complaints mechanism. Participants at these workshops developed action plans to pilot complaints mechanisms in locations identified by their respective agencies. Five members of staff were trained to facilitate such workshop for their organisations. All workshops were carried out on a cost recovery basis.

A workshop for the PSEA Network was held in Nairobi, attended by 26 PSEA focal points from UN agencies and INGOs. Tailored training was delivered to members of the ACT Alliance and the Local Resource Centre in Myanmar. A briefing on handling complaints was provided to representatives of different clusters in the Nargis response.

Design and conduct Complaints and Investigation Management workshop: This pilot workshop was cancelled due to the lack of sufficient demand. In consultation with senior managers, HAP will offer bespoke services upon request from HAP members and their partners to support them in developing and implementing an effective complaint handling system, including investigation policies. With the new approach, agencies that are committed to having an organisation-wide complaint handling system (that meets the requirements in the HAP Standard) will receive more timely support from the Secretariat.

Conduct Investigation Learning Programme Workshops: Four Investigations Workshops were held as per schedule, two in England, one

in Kenya, and one in Ivory Coast (in French). Sixty participants took part from various NGOs and UN agencies. Participants were nominated by their organisations based on their role—special responsibility in preventing and responding to sexual exploitation and abuse and in child protection. Participants gained basic skills on carrying out investigations and are now well equipped to act as a resource for their organisation in this area of work.

Four participants graduated from the training of facilitators programme. They received individual coaching and jointly facilitated an Investigation Workshop alongside HAP facilitators. Some graduates carried out training in their own organisations.

Participating on the global platform on CRM: HAP has taken an active part in the ECHA/ECPS UN and NGO Taskforce on protection from sexual exploitation and abuse. HAP is also represented in the steering committee for the review of protection from sexual exploitation and abuse (PSEA) review taking place between December 2009 and June 2010. HAP provided input into the ToR for the PSEA review and developed an organisational assessment tool for PSEA to assist with the review process. A representative of the PSEA Taskforce is part of the HAP Standard Review Working Group on Handling Complaints of Exploitation and Abuse. A HAP representative attended the annual meeting of the IASC Sub-working Group on Gender to raise awareness about HAP's work and discuss future collaboration and involvement in the Standard Review.

Complaints advisory service: Three member agencies requested support from HAP in handling complaints in 2009. Direct assistance was provided in one investigation. Advice on policy and procedures on handling complaints and staff code of conduct was provided to six agencies upon request.

Continued development of tools on complaints and response mechanisms: Feedback on improving the HAP/BSO Investigations Guidelines was collated from workshop participants and users. A decision was made to postpone the publication of a revised version until the release of the revised *Guide to the HAP Standard*.

The self-assessment tool on prevention of and response to sexual exploitation and abuse was reviewed and will be finalised in early 2010. This tool will help organisations assess how well they are preventing and responding to sexual exploitation and abuse by their staff.

During 2009, a checklist for staff codes of conduct was developed. This is a practical tool that supports agencies that are developing or reviewing their staff code of conduct.

To respond to demand from, and in collaboration with, member agencies, new tools will be developed in 2010.

Summary against the Strategic Objectives

HAP continued to refine, review and develop its methodology employed during NEP deployments (10.2). Given an earlier decision not to expand the number of field teams, just the one team continued to be deployed, with an emphasis upon three-month, uninterrupted deployments, providing capacity building support, guided self-assessments and advice to members, their partners and other interested agencies. While some new members have been enlisted through NEP deployments, membership building was less emphasised as a primary focus and outcome of deployments (as it was envisaged in the Strategic Plan).

HAP's original targets for membership (10.5) have proven to be overly optimistic. It would have been beyond the current capacity of HAP to manage and respond to demands for organisational development support effectively, had the membership increased by the target in the Strategic Plan. HAP's membership does, however, continue to grow at an increasing rate, with 17 new members joining HAP in 2009.

In 2009, HAP worked to assist members to meet their obligations with regard to delivering and reporting on their Accountability Workplans (10.6). Guidelines were updated and increased one to one assistance was offered to new members.

The HAP Complaints Handling Unit was set up at the Secretariat in 2007 as part of the merger with the Building Safer Organisations project (10.7). In line with the targets set in the Strategic Plan, HAP has defined its role in handling complaints through the capacity building function of the CHU and the management of complaints received against HAP members by the Regulatory Services team. In 2009, HAP provided support and advice in the establishment or improvement of community-based complaint-handling systems and continued to offer assistance to member agencies when conducting investigations.

A dedicated Organisation Development Advisor post was created in 2009, with an increased focus upon the provision of baseline analyses against the HAP Standard (10.14 and 10.15). This service remains in steady demand as an effective means to assist organisations to prepare for, or consider preparing for, certification. Increasingly, new member agencies are joining with a clear intention to move towards certification. Along with existing and

new members, UNHCR furthered their engagement with HAP by undergoing a country programme baseline analysis in Georgia. Based on learning to date, the Secretariat developed a consolidated guidance document for agencies preparing for a baseline and began preparing guidelines for baseline facilitators.

III. Regulatory Services

To develop and operate HAP regulatory services that are affordable, mission critical, consistent, impartial and professional

Highlights

- Certification of two more agencies against the HAP Standard
- 56 corrective action requests followed up with certified agencies
- 18 agencies enrolled in the certification scheme
- Certification and Accreditation Review Board (CARB) elected
- CARB approved two certification recommendations
- Three mid-term progress audits completed
- 20 of the 28 full members reported on their accountability workplans in the 2008 Humanitarian Accountability Report

1. Certification

Certification audits: HAP's workplan anticipated at least eight certification audits during 2009. Of these, two were completed—for CAFOD and Christian Aid (UK and Ireland)—bringing the number of certified agencies to seven. On average, agencies are taking 10 to 12 months to progress from completion of a baseline to certification. Some of the reasons for the delay include, but are not limited to:

- Multi-mandate agencies take time to reach agreement on what type of programmes will be covered by certification (relief, advocacy, development work);
- Development and sign off on the Accountability Framework requires agency-wide buy-in;
- Establishing complaint-handling systems with participation from affected communities, partners and staff requires agency-wide awareness, leadership and support;
- Accountability focal persons manage several tasks and have limited resources to prepare their agency for certification.

To address these challenges, the HAP Secretariat provides organisational development services to agencies enrolled in certification.

In 2009, preparation commenced for certification audits of Concern Worldwide and COAST Trust in 2010 and discussions were held with nine other agencies preparing for certification in 2010.

Mid-term progress audits (MTPAs): In 2009, the Secretariat followed up 56 Corrective Action Requests with certified agencies, as follows:

- The DRC programme site MTPA was completed in May 2009.
- The OFADEC MTPA was completed in January 2009.
- The MERCY Malaysia head office MTPA took place in September 2009. The field component was postponed to 2010 due to problems obtaining a visa to access the selected programme site.
- The Tearfund UK MTPA started in December 2009 and will be completed in January 2010.
- The DCA MTPA was scheduled for December 2009 but postponed until March 2010 to accommodate their annual partner platform meetings.

Auditor training: Considering the projected certification audits for 2009 and potential costs, the Secretariat did not hire or train any new auditors. This activity was postponed to early 2010 in anticipation of increased demand for certification audits. Based on anticipated audits, priority will be given to hiring new independent auditors resident in Asia and Europe.

Auditors are trained using the requirements listed in the ISO 19011:2002 Standard and are required to take part in a minimum of two supervised audits before they are able to carry out audits for HAP.

Table: Certified agencies as of 31st December 2009

Agency	Head Office Contact Details	Original Approval	Current Certificate From To		Certificate Registration No.
OFADEC Office Africain pour le Développement et la Coopération	Villa No. 302 Hann Mariste II Dakar Senegal	4/04/2007	4/4/2007	3/04/2010	A001/0307-H
DRC Danish Refugee Council	Borgergade 10 PO Box 53 1002 Copenhagen Denmark	24/04/2007	24/4/2007	23/04/2010	E002/0307-H
MERCY Malaysia Persatuan Bantuan Perubatan Malaysia	No. 45B Jalan Mamansa 9 Ampang Point 68000 Ampang Selangor Darul Ehsan Malaysia	28/11/2007	28/11/2007	27/11/2010	AS003/1107-H
DanChurchAid	Nørregade 13 DK-1165 Copenhagen Denmark	16/06/2008	16/06/2008	15/06/2011	E005/0508-H
Tearfund UK Emergency Responses	100 Church Road Teddington Middlesex TW11 8QE United Kingdom	18/06/2008	18/06/2008	17/11/2011	E004/0308-H
CAFOD Catholic Agency for Overseas Development	Romero Close Stockwell Road, London SW9 9TY United Kingdom	1/09/2009	1/09/2009	31/08/2012	E006/0409-H
Christian Aid	P. O. Box 100 London SE1 7RT United Kingdom	14/12/2009	14/12/2009	14/12/2012	E007/0609-H

2. Accreditation

Accreditation audits: Accreditation audits could not take place in the absence of the Accreditation Standard. HAP commenced discussions with existing certification bodies in India and the UK regarding accreditation possibilities.

Networks / organisations operating registered auditors: The workplan anticipated the adoption of the Accreditation Standard and the accreditation of one certification body in 2009. These activities have been deferred to 2010 while further research is undertaken into the viability of such an approach.

3. Certification and Accreditation Board Administration

The 2008 General Assembly formally agreed to establish the Certification and Accreditation Review Board (CARB). The five members of the CARB were elected at the 2009 General Assembly.

Certification validation: After each audit, the independent auditors receive a performance review against the ISO 19011 Standard. Throughout 2009, the Regulatory Service was guided by the ISO 17021.

Training of CARB as certification body: Training of elected CARB members on HAP and the certification process took place in September 2009.

Administration of the CARB: In 2009, the Regulatory Director provided secretariat services to the CARB.

A register of certified agencies is maintained on the HAP website, including accountability frameworks and summary audit reports.

4. Investigate complaints

Conduct investigations: The procedures for Complaints against Member Agencies were advertised during HAP workshops and on the HAP website. Two complaints concerning HAP members were received in 2009. Complaints against two non-member agencies were also received. In all four cases, the agencies immediately conducted investigations and reported back to the Secretariat.

Establish and administer a pool of independent investigators: In late 2009, one HAP member agency requested the services of an independent investigator. The investigation will be completed in 2010.

Create standard protocols stating the rights and duties of member agencies in HAP-led investigations: This activity was deferred to 2010.

5. Accountability workplan monitoring

The Secretariat analysed member agencies against their membership obligations and commenced discussions with defaulting members. Revision of the Accountability Workplan (AWP) guidelines commenced. Finalisation and roll out was deferred to 2010.

Twenty out of the 28 Full Members reported on their AWP in 2009, in time for the preparation of the 2008 Humanitarian Accountability Report. The remaining members reported during the General Assembly in May 2009.

Summary against the Strategic Objectives

The 2007-2009 Strategic Plan set a target of 36 agencies certified by the end of 2009 (10.3), with all members as of 2005 achieving certification. As expected at the end of 2007, this target was missed. However, by December 2009, seven agencies had completed certification. Members of the Certification and Accreditation Review Board were elected and took decisions to certify two new agencies on the basis of the auditors' reports and recommendations. An additional two agencies submitted applications for certification audits, which will take place in the first quarter of 2010. The Secretariat monitored certified agencies as planned, ensuring compliance with the Corrective Action Requests.

While the lower than anticipated number of agencies achieving certification is obviously a disappointment, it has become clear that HAP members' commitment to assessing compliance verification from headquarters to programme implementation—and involving staff at all levels, implementing partners, and disaster-affected populations—has produced a rigorous and robust system of programme quality assurance that is unique within the sector. The HAP Secretariat and members have been intent on preserving the integrity of the HAP Standard and certification scheme; to do so required at times real transformation in the quality management systems of certified agencies, a process that cannot be rushed through. Members that do not choose certification as the main means to meet the compliance verification membership obligation will be presented with robust alternatives in 2010.

The ISO Standards were observed as guidelines to the HAP certification process (10.14), although HAP will no longer pursue accreditation of the HAP

Standard by ISO so that guardianship of the Standard remains within the partnership.

The development of the accreditation scheme was delayed (10.3) while the preparation of an accreditation standard started alongside more detailed research into market interest in the accreditation process, including direct discussions with existing certification bodies. The Strategic Plan target of one international network being accredited by HAP was missed (10.13), and it is now understood that the pace of accreditation is likely to mirror that of uptake of certification, for similar reasons.

While HAP overestimated the immediate demand for certification and accreditation, several indicators suggest that requests for certification audits will increase in 2010. These include: the majority of current members requesting certification audits, new members opting immediately for enrolment in certification, and donors acknowledging the value of quality assurance through independent compliance verification. After challenging years convincing the sector of its value, HAP is now poised to capitalise on the achievements to date and be recognised as a leader in quality assurance and accountability in the humanitarian sector.

The process for handling complaints against members (10.7) was disseminated via the HAP website and communicated to staff of members and their partners at workshops and briefings. Two complaints against members and complaints against non-member agencies were received in 2009.

IV. Governance and Management

To strengthen HAP's operational and strategic capacity

Highlights

- Thirteen new full members and four new associate members joined HAP
- 79% of activities in the 2009 workplan were completed with 74% of the approved expenditure budget
- 81% of the revenue target was achieved (94% of the revised revenue target)
- An increase of 28% of overall income achieved in 2009 compared to 2008
- HAP entered 2010 with additional reserves of CHF 563,645, and with contracted funding for 45% of its 2010 workplan
- Consolidated capacity building and organisational development services statement published

1. Support and strengthen the governance of board HAP

As a registered Swiss Association, HAP's governance is vested in its General Assembly, which elects a twelve-person Board. Four board members must be independent (persons not formally linked with member agencies), with two of them having had direct experience of the humanitarian system as members of a crisis affected community. On-line voting by General Assembly members in November 2008 led to the election of two new such Board members who joined the Board meetings in 2009; Agyedho Othwoh Bwogo, now based in Copenhagen, and Dr Atar Adaha from Sudan, strengthened the representation of crisis-affected communities on the HAP Board.

Two Board meetings per year: The HAP Board met twice in 2009. In May, the Board provided guidance for the independent evaluation and direction for the HAP strategic planning process. In October, the Board approved the 2010-2012 Secretariat budget and extended the period of consultation concerning the 2010-2012 Strategic Plan. The Board also considered the conclusions and

recommendations contained in the independent evaluation in light of a review undertaken by a group of available Board members who met in a special meeting convened by the Chair in Copenhagen in September. The Board expressed strong support for the work of the Secretariat while noting that the strategic and regulatory functions of the Board should be strengthened. A comprehensive review of compliance with membership rules and obligations was requested, and a commitment to follow-up action recorded.

Certification and Accreditation Review Board: In an important organisational development, the Board's newly elected sub committee for Certification and Accreditation (the CARB) met for the first time, ensuring that henceforth certification decisions are taken by a body that has a majority of independent members elected by the General Assembly. HAP was privileged to have Nicholas Morris (Independent), Hugh Cholmondeley (Independent) and Pauline Wilson (Independent) join Joelle Melin (representative of a Full Member) and Farukh Marvin Parvez (representative of a Full Member) as members of the CARB, ensuring the consistency and integrity of the HAP certification scheme.

Standing Complaints Committee: In September, the Board also conducted elections to fill several vacancies on the Standing Complaints Committee (SCC). The SCC now comprises of Agyedho Othwonh Bwogo (Independent), Thorkild Hoyer (DanChurchAid), and Laura Cometta (Concern Worldwide). Shaista Bukhari (Multan Women's Rights Association) and Yasser Mohamad Dawoud (Independent) were elected as alternates.

General Assembly. The 7th Annual General Assembly was held in Geneva in May. This brought together representatives of 20 Full Member agencies (out of 31), three Associate Members and 19 invited guests, representing HAP donors, other quality and accountability initiatives, UN agencies, Transparency International, the OECD and INTOSAI. As well as reviewing members' accountability workplan implementation reports and discussing the annual independent review of accountability within the sector², the General Assembly participants contributed to sessions designed to provide information and guidance for the independent evaluator and the strategic planning consultant, respectively. The General Assembly also endorsed the proposal to publish HAP's annual review of the sector and the HAP Secretariat report separately.

Evaluation of progress achieved against HAP's mission and 2007-2009 strategic targets: The independent evaluation was completed in September after a process that began shortly before the General Assembly in May. The report highlighted significant progress achieved by HAP since its creation in

² Prepared by John Borton

2003, and several areas where the Secretariat and member agencies need to work closer together, including to better understand the slower than predicted rate of demand for HAP certification. While the report provoked some criticism concerning the research methodology followed by the evaluation and its findings, special attention was paid to all issues in the development of the draft 2010-2012 Strategic Plan. Further investigation of concerns raised in the report and a concerted effort to address them are on the agenda for 2010.

Planning: The strategic planning process was launched in May and consultations with key stakeholders continued throughout the exercise. In October, the Board endorsed the five strategic objectives proposed in the draft and agreed a process for finalising the plan in early 2010.

Audit Accounts: HAP's 2008 accounts were audited in February 2009 and approved by the General Assembly in May. Following the submission of tenders, the Board selected a new auditor for the 2009 audit.

Review new membership applications: The Board approved thirteen new Full Members and four new Associate Members, representing a 48% increase in Full Members and a 66% increase in Associate Members during the year³. This significant growth, comprising mainly of agencies making a specific commitment to seek early certification gave a strong indication that demand for certification was increasing in the manner that the strategic plan anticipated, but some two years later than originally envisaged.

2. Fundraising and marketing

In early 2009, the world financial context resulted in donor governments taking longer to make decisions on grant applications. This was unfortunate timing for HAP, as several important core-funding agreements (including existing two-year and three-year agreements) ended in December 2008. As a result, despite submitting early applications, HAP had received very few answers by March 2009. Moreover, the new streamlined membership fee structure introduced in 2009 resulted in a 46% decrease in income from this source.

In order to prevent cash-flow problems, HAP undertook early cost-saving steps in all activities. For example, several events were organised at the same location or multiple trips planned one after the other in order to reduce travel costs; the Secretariat also moved events to cheaper locations, while maintaining the quality of service delivery. In addition, collaboration with

³ See details at <http://www.hapinternational.org/members/our-members.aspx>

partners and members on a broader range of activities kept expenditure to a minimum. This resulted in reduced expenses compared with the initial approved 2009 budget.

Despite this uncertain start, and after several positive answers to funding requests during the second half of the year, 2009 was a positive year for HAP's total annual income, with an increase of 28% of overall income in 2009 compared with 2008. The Secretariat delivered impressive results with a minimal actual increased expenditure of just 0.4% over spending in 2008. While income received from cost recovery charges increased by 31,257 CHF, this represented an overall percentage of 10% of total income in 2009, similar to that reached in 2008.

Donor relations: During 2009, Secretariat staff had meetings with AusAID (twice), CIDA (in Geneva), DFID (twice), ECHO, Netherlands MFA, Norwegian MFA, SIDA (twice), the Bureau for Population, Refugees and Migration (BPRM) of the US Department of State, the Ford Foundation and the Oak Foundation. During the NEP deployment to Sri Lanka, the HAP team met with ECHO, JICA, CIDA and UMCOR. During the deployment to Myanmar, HAP staff met with ECHO and DFID. Geneva-based representatives of Danida and SIDA joined representatives of various missions (Belgium, Canada and France) in attending the HAP General Assembly. Other donor contacts were maintained or further developed. With the support of SC-UK, new but inconclusive links were developed with The Diana Memorial Fund and Comic Relief in the UK. While interest in participating in a "HAP donors meeting" was expressed by several of HAP's donors, none were willing to take the lead in convening such an event. Representatives from SIDA, BPRM and Oak Foundation are actively participating in the HAP Standard Review process.

Submit funding applications: HAP's income from donors increased by 41% in 2009 compared to 2008 figures. In line with the 2009 workplan, new funding applications were submitted to Australia, UK, Canada, ECHO, Netherlands, Norway, Switzerland and the USA (OFDA & BPRM). ECHO, Norway MFA, the Netherlands MFA, BPRM and DFID approved grants in 2009. DFID's contribution to 2009 activities arrived in early 2010. Existing two-year grants towards core activities by the Ford Foundation and the Norwegian MFA continued in 2009. Formal rejections were received from AusAid, CIDA and the Swiss Agency for Development Cooperation, although the overall 2009 funding targets were achieved. The rejections from AusAid and CIDA appeared to be more contingent than strategic. Both donors noted that they are supportive of HAP's work and mandate and, while unable to translate this into financial support in 2009, invited HAP to reapply in 2010.

In 2009, earmarked donations increased to 34% of overall donations compared with 25% in 2008. The Oak Foundation provided earmarked funding for the

second year in a two-year grant. BPRM and SIDA also provided earmarked funding. ECHO made earmarked contribution towards HAP's NEP deployment to Sri Lanka. HAP members (ACTED, Christian Aid, DCA, CARE and Save the Children) also provided funding towards the NEP deployment, as did Habitat for Humanity in Sri Lanka (a non-member).

Revise the HAP membership services and products statement: The annual review of the HAP membership services and products statement was undertaken within the strategic planning and budgeting processes that ran from May to October. The major change was the decision to reduce HAP's 13 advertised services to nine, reflecting user feedback, actual patterns of demand and the need to rationalise some overlap between developing an accountability workplan and developing a humanitarian accountability framework.

In 2009, a new cost recovery policy was introduced ensuring that members and non-members were charged consistently and transparently for services provided by the Secretariat. The progressive fee structure takes into account the limited financial resources of smaller agencies by proposing a lower cost recovery rate for them. After a full year of implementing the policy, it is apparent that members and non-members are willing to make substantial contributions towards the costs associated with the provision of HAP's services. Their choices as to what services to request enabled the Secretariat to further streamline the services package based on a financial measurement of demand. Given the continued high demand for HAP services, the cost recovery policy assisted the Secretariat in focusing its limited capacity on agencies committed to organisational change, as well as enabling users to demand value for money.

Donor reporting: All reporting requirements were met in a timely manner.

3. Contingency reserve

As a result of the successful fundraising activities and the careful spending in 2009, HAP ended the year with a reserve of CHF 563,645 (an increase by CHF 200,163). HAP entered 2010 with over 45% of its budget covered by contracted income.

Manage cash flow and contingency reserve fund: In light of prevailing concerns about the consequences of the international financial crisis, the Secretariat reviewed its revenue and expenditure plans in March, and decided to work to a more prudent annual budget of CHF 2.4 million, representing a 16% reduction in the budget approved by the Board in October 2008. The

Board approved the new budget in May. Through taking early action in this way, the Secretariat was able to achieve a healthy recovery in the reserves, reversing the impact of its first operating deficit recorded in 2008.

4. Manage the HAP Secretariat

Manage financial resources: In light of slower than anticipated grant approvals, the Secretariat adopted a reduced 2009 expenditure parameter in May, as indicated above. This figure was also used as the budgeting parameter for 2010, necessitating a reduction in the activities projected in the indicative 2010 workplan and budget approved by the Board in October 2008.

Recruit, retain and develop the human resources required to deliver the workplan: Since April 2009, the HAP Secretariat has (for the first time since 2004) a staff established in line with the authorised budget. There were no staff departures or new additions in 2009.


Summary against the Strategic Objectives

In 2009, members of the Certification and Accreditation Review Board (CARB) were elected and met for the first time. The CARB ensures that certification decisions are taken by a body that has a majority of independent members elected by the General Assembly.

In August, the independent evaluation of progress achieved against HAP's mission and the 2007-2009 strategic targets was presented to the Board providing insight for the preparation of the 2010-2012 Strategic Plan.

Finally, despite a financially challenging start to 2009, HAP delivered an estimated 79% of activities scheduled in the workplan, and ended the year with a reserve of 563,645 CHF.

Annexe I. HAP 2009 Audit Report and Accounts Summary⁴



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Geneva, March 29, 2010

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, 2009. We did not audit the previous year figures.


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 563'645, do not comply with Swiss law and the association's statute.

Yours faithfully,

HORWATH BERNEY AUDIT S.A.
Société fiduciaire



Costimo PICCI
Licensed Audit Expert



Olivier AYARI
Licensed Audit Expert
Auditor in charge

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

⁴ The Swiss law in relation to legal financial audits changed in 2009. The definition of "limited audit" is based on paragraph C:430 Auditors, article 727a of the Swiss Code of Obligations. The type of audit undertaken for HAP is now called «révision restreinte»; this is the equivalent of the type of audit that the HAP Secretariat undertook in the past, as per its legal obligations.

Enclosure 1

Balance sheet as of December 31, 2009
with comparative figures, in Swiss Francs

HAP International
Association located in Geneva

ASSETS	31 Dec.09	31 Dec. 08
Petty cash	1'758	1'075
Bank accounts and time deposits	353'682	931'968
Liquidities	355'440	933'043
Receivables and other short term assets	300'823	32'301
Prepaid expenses	9'044	27'826
Current assets (including liquidities)	665'307	993'170
Guarantee deposit	11'647	11'609
Fixed assets	11'647	11'609
Total assets	676'954	1'004'779
LIABILITIES	31 Dec.09	31 Dec. 08
Accounts payable	41'830	26'811
Social charges & withholding tax payable	51'062	40'790
Accrued liabilities	16'009	25'303
Short term debts	108'701	92'904
Advances from membership fees	4'608	548'393
Funds capital	4'608	548'393
Retained earnings	363'482	665'652
Net result for the period	200'163	-302'170
Association capital	563'645	363'482
Total liabilities	676'954	1'004'779

Enclosure 2

**Statement of financial activities for the period
financial year 2009, in Swiss francs**

	2009	2008
Membership fees	50'523	109'106
Donations ⁽¹⁾	1'952'724	1'382'436
Service fees	223'927	192'670
Costs paid by third parties	36'123	12'718
Other operational revenues	31'963	92'846
Bank interest and net exchange gain	9'703	6'243
Incoming resources	2'306'963	1'796'019
Salaries & social charges	1'176'209	961'312
Consultants fees & local staff	497'634	529'470
Recruitment & other personnel costs	26'355	18'362
Representation & travel costs	251'649	298'485
Communication, seminar & workshop costs	50'178	99'398
Local office expenses	1'945	2'089
Programme & staff costs	2'003'970	1'909'116
Rental and charges	39'555	36'470
Office cleaning & maintenance	6'402	6'027
GA, board and other meeting costs	2'283	6'057
Office & IT equipment & supplies	15'034	16'320
Membership fees, newspapers, books	1'734	1'289
Insurances	662	662
Phone, fax & mail	9'639	11'724
Professional fees	22'297	26'235
Other expenses	-	39'282
Administration costs including governance	97'606	144'066
Bank charges & exchange differences	3'646	41'368
Loss on debtors	100	884
Taxes	1'478	2'755
Financial costs and taxes	5'224	45'007
Total charges	2'106'800	2'098'189
Net result for the period	200'163	-302'170

Enclosure 3

Statement of financial activities for the period financial year 2009, in Swiss francs

<u>Detail of incoming resources 2009 vs 2008</u>	<u>2009</u>	<u>2008</u>
MEMBERSHIP FEES		
ACTED	2'000	1'703
CAFOD	2'000	3'340
CARE International	2'000	20'000
Christian Aid	2'000	6'121
CoAR	2'000	-
Concern Worldwide	2'000	6'253
CWS Pakistan/Afghanistan	2'000	-
Danish Refugee Council	2'000	4'235
Danish Church Aid	2'000	-
FOCUS	2'000	-
Lutheran World Federation	2'000	-
Medair	2'000	1'003
Merlin	2'000	-
Muslin Aid	2'000	-
Norwegian Refugee Council	2'000	5'122
NCA	2'000	-
Oxfam GB	2'000	19'636
PMU InterLife	2'000	-
Save the Children UK	2'000	9'991
Taarfund	2'000	3'655
World Vision International	2'000	20'000
DanChurchAid	2'000	3'244
Other *	6'523	4'803
Subtotal	50'523	109'106
DONORS CONTRIBUTIONS		
Core funding		
DFID (UK)	18'948	273'176
DANIDA (Danish MFA)	100'892	108'563
Irish Aid	188'750	202'500
Ford Foundation	100'000	100'000
Buitenlandse Zaken (Netherlands MFA)	250'000	160'000
Norwegian MFA ⁽¹⁾	251'256	21'349
SIDA (Swedish International Development Agency)	169'397	170'600
Subtotal	1'079'743	1'036'188
Earmarked funding		
Bureau of Population, Refugees & Migration (USA)	100'932	17'726
CWS Pakistan	-	41'600
Oak Foundation	232'449	51'608
Oxfam GB	52'288	48'213
SIDA (Swedish International Development Agency)	139'891	173'901
ECHO	112'579	-
World Vision International	-	13'200
Subtotal	638'139	346'248

Enclosure 3 (cont.)

Earmarked funding

Bureau of Population, Refugees & Migration (USA)	100'932	17'726
CWS Pakistan	-	41'600
Oak Foundation	232'449	51'608
Oxfam GB	52'288	48'213
SIDA (Swedish International Development Agency)	139'891	173'901
ECHO	112'579	-

Detail of Incoming resources 2009 vs 2008 (cont.)

	2009	2008
SERVICE FEES		
Training	122'571	30'208
Monitoring	-	77'959
Consultancy	5'356	27'896
Auditing	-	37'496
Baseline	60'000	19'111
Certification	36'000	-
Subtotal	223'927	192'670
OTHERS		
Costs paid by third parties	38'123	12'718
Other operational revenues	31'963	92'846
Financial revenues	9'703	6'243
Subtotal	79'789	111'807
Total incoming resources	2'306'963	1'796'019

1. Additional information

The high amount of Norway donation in 2009 is due to the way the 2008 donation was booked. This donation was received in late November 2008 and was, at the time, believed to relate to the period December 2008 until November 2009. Therefore, 1/12 of the amount was booked into the 2008 income and the bigger part – 11/12 – was booked in 2009 as a donation advance. After the meeting with the Norwegian MFA in Spring 2009, it was clearly stated by the donor that this donation was for the entire year 2008 and that the whole amount should have been recorded in 2008. Identically, the 2009 donation was to be fully allocated into the 2009 financial year. As the result, and exceptionally, the 2009 income reflects 11/12 of the 2008 donation plus the 2009 donation, almost the equivalent of a donation for two years.

Secretariat Expenditure and Income Summary Report, by activity January to December 2009

HAP, YEAR 2009, BY ACTIVITIES	Expenses		Budget - Actual
	Actual	Budget	
Policy Services			
Promote HAP Research Agenda			
<i>Manage research collaboration</i>	4,557	3,495	-1,062
Total Promote HAP Research Agenda	4,557	3,495	-1,062
Commissioned Studies			
<i>Research on accountability, quality right and outcomes</i>	22,025	22,430	405
<i>Study: Member and Non-Member Perception Study</i>	138	9,950	9,812
Total Commissioned Studies	22,163	32,380	10,217
Standard Development			
<i>Establish Standard review process</i>	6,041	9,100	3,059
<i>Manage standard review process</i>	30,901	30,810	-91
<i>Adopt and launch the HAP 2010 Standard</i>	4,628	0	-4,628
<i>Accreditation standard consultation process</i>	2,191	1,090	-1,101
Total Standard Development	43,761	41,000	-2,761
Implement communication strategy			
<i>Represent HAP at strategic conferences and meetings</i>	12,407	6,650	-5,757
<i>Translation of relevant documentation</i>	1,177	3,000	1,823
<i>Distribute Standard</i>	2,244	1,200	-1,044
<i>Coordinate website content</i>	1,319	6,000	4,681
Total Implement communication strategy	17,147	16,850	-297
Knowledge Management			
<i>Maintain database and documentation system</i>	870	3,600	2,730
<i>Produce and distribute Annual Report</i>	38,876	28,850	-9,026
<i>Develop and produce materials for introducing HAP</i>	0	2,100	2,100
<i>Consolidate Training Modules</i>	77	0	-77
Total Knowledge Management	39,823	35,550	-4,273
Project Support (Policy Services)			
<i>Policy Services Support</i>	178,310	273,610	95,300
Total Project Support (Policy Services)	178,310	273,610	95,300
Total Policy Services Gross Expenditure	305,761	402,885	97,124
<i>Income/cost recovery</i>	7,783	2,660	-5,123
Total Policy Services Net Expenditure	297,978	400,225	102,247
Development Services			
Strengthen Membership			
<i>Approach potential Members</i>	10,132	2,120	-8,012
<i>Regional networks</i>	56	4,540	4,484
<i>Middle East BSO network support</i>	0	22,850	22,850
Total Strengthen Membership	10,188	29,310	19,122
Support Accountability Leaders			
<i>Strengthen HAP PSG group</i>	675	13,220	12,545
<i>Accountability Leaders Workshop</i>	0	3,430	3,430
Total Support Accountability Leaders	675	16,650	15,975
Deliver Field Support			
<i>Deployment of NEP Field Team - 2 times per year</i>	20,132	181,242	161,110
<i>Pakistan Office</i>	32,753	96,050	63,297
Total Deliver Field Support	52,885	277,292	224,407
Deliver Capacity Building Services			
<i>New members induction meeting</i>	2,119	3,120	1,005
<i>Support on developing AWP</i>	712	3,120	2,408
<i>Conduct baseline analyses for members and non-members</i>	34,098	53,800	19,702
<i>Guided Self-Assessments</i>	894	5,580	4,686
<i>Provide support to members - HAF</i>	368	2,190	1,802
<i>Specific capacity building services</i>	2,067	0	-2,067
Total Deliver Capacity Building Services	40,274	67,810	27,536
Promote Complaints and Response Mechanisms			
<i>Revise and conduct CRM workshop</i>	15,123	40,150	25,027
<i>Complaints & Investigations management workshop</i>	0	10,450	10,450
<i>Conduct investigation learning programme workshops</i>	36,558	76,480	39,922
<i>Participate on global platform on CRM</i>	24	2,300	2,276
Total Promote Complaints and Response Mechanisms	51,710	129,380	77,670
Project Support			
<i>Development Services Support</i>	524,179	487,862	-36,317
<i>Roving Field team</i>	149,219	87,206	-62,011
Total Project Support	673,398	575,070	-98,328

Total Development Services Gross Expenditure	829,130	1,095,512	266,382
Income/cost recovery	231,948	490,037	258,089
Total Development Services Net Expenditure	597,182	605,475	8,293
Regulatory Services			
Certification			
<i>Certification and recertification Audits</i>	23,127	33,720	10,593
<i>Mid term Audits</i>	7,517	6,312	-1,196
<i>Auditor Training</i>	0	7,600	7,600
Total Certification	30,638	47,633	16,997
Accreditation			
<i>Accreditation audits</i>	1,632	7,300	5,668
<i>2 organisations operating registered auditors</i>	0	4,880	4,880
Total Accreditation	1,632	12,180	10,548
CARB administration			
<i>Certification validation research</i>	60	3,675	3,606
<i>1 day training certification course for CARB members</i>	0	9,360	9,360
<i>CARB meeting</i>	5,005	9,250	4,245
Total CARB administration	5,078	22,285	17,207
Investigate Complaints			
<i>Conduct investigations (based on cost recovery)</i>	0	23,310	23,310
Total Investigate Complaints	0	23,310	23,310
AWP Monitoring			
<i>Monitoring Members AWP's</i>	0	4,050	4,050
Total AWP Monitoring	0	4,050	4,050
Project Support			
<i>Regulatory Services Support</i>	264,312	397,820	133,508
Total Project Support	264,312	397,820	133,508
Total Regulatory Services Gross Expenditure	301,660	507,280	205,620
Income/cost recovery	46,985	173,310	126,325
Total Regulatory Services Net Expenditure	254,675	333,970	79,295
Governance and Management			
Governance			
<i>Board Meetings</i>	19,948	30,420	10,471
<i>Annual General Assembly</i>	16,372	25,000	8,628
<i>Evaluation</i>	29,397	40,500	11,103
<i>2010-2012 Strategic Plan</i>	19,048	25,860	6,812
<i>Annual Audit</i>	4,000	6,000	2,000
Total Governance	88,768	127,780	39,014
Secretariat			
<i>Secretariat staff</i>	578,333	610,498	32,164
Total secretariat	578,333	610,498	32,164
Fundraising & donor relations			
<i>Fundraising & donor relations</i>	3,150	8,900	5,750
Total Fundraising & donor relations	3,150	8,900	5,750
Contingency/reserve			
<i>Contingency/reserve</i>	0	100,000	100,000
Total Contingency/reserve	0	100,000	100,000
Total Governance and Management Gross Expenditure	670,249	847,178	176,928
Income/cost recovery	17,000	0	-17,000
Total Governance and Management Net Expenditure	653,249	847,178	193,929
TOTALS			
Total Net Allocated Expenditure	1,803,084	2,186,848	383,764
Total Gross Allocated Expenditure	2,108,800	2,852,855	746,055
Total income/cost recovery allocated to an activity	303,716	666,007	362,291
Unallocated income	2,003,247	2,186,848	
<i>Membership fees</i>	50,523	39,500	
<i>Contributions - donations</i>	1,314,585	2,147,348	
<i>Earmarked donations</i>	638,139		
Total global income	2,306,963		
Net gain	200,163		

Annexe II. The 2009 Secretariat Workplan: Tabulated Results

- This is the 2009-2010 approved workplan (dated 22/10/08) with activities scheduled to start during 2010 removed
- Status at end of 2009: ✓ = completed; ✓ → = partially completed; → = deferred; X = approach changed to address learning or feedback

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

Objective	Activity	Time Frame	Status
01. Promote HAP Research Agenda	01. Manage strategic research partnerships	12/09	✓ →
	03. Publish outputs as per HAP research agenda	Ongoing	✓ →
	01. Study: The effect on programme impact of complaints-handling	04/09	✓ →
02. Commission Research	02. Study: Member & non-member perceptions	06/08	X
	01. Establish review process	05/09	✓
03. Review the HAP 2007 Standard	02. Manage review process	Ongoing	✓
	05. Accreditation Standard development	11/09	✓ →
	06. Audit/baseline analyser	03/09	✓
	01. Represent HAP at strategic meetings	12/09	✓
	02. Translate documentation into other languages	ongoing	✓
	03. Distribute The Guide	12/09	✓
04. Implement communication strategy	04. Coordinate website content	01/09	✓
	05. Communication activities	ongoing	✓ →
	06. Produce and disseminate relevant publications	02/09	✓ →
	07. Promotion campaigns	12/09	✓
	08. Online information exchange	ongoing	✓
	09. Produce and distribute e-newsletter	quarterly	✓
	01. Maintain database and documentation system	Ongoing	✓
	02. Produce and distribute Annual Report	12/09	✓
	03. Materials for introducing HAP	04/09	✓ →
	04. Training modules on aspects of the HAP Standard	03/09	✓
05. Knowledge management	05. Templates and guidelines to collect information	01/09	✓
	06. Develop materials for getting HAP Standard included in staff inductions in member agencies	02/09	→

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

Objective	Activity	Time Frame	Status
01. Strengthen, grow and diversify HAP's membership in a strategic manner	01. Approach potential members based on growth plan	Ongoing	✓
	02. Develop strategic partnerships with NGO networks	06/09	✓→
	03. Strengthen Middle East regional network	Ongoing	✓→
02. Support humanitarian accountability and quality management leaders	01. Strengthen HAP Peer Support Group	06/09	X
	02. Regional Accountability Leaders Workshop	06/09	→
03. Deliver field support	01. Deployment of NEP staff, 3 x per annum	Ongoing	✓→
	02. Follow up to NEP deployments	Ongoing	✓
	03. Focused support in Pakistan	Ongoing	X
04. Deliver capacity building services	01. Eight new member induction meetings	12/09	X
	02. Support in developing accountability workplans for new members	12/09	✓
	03. 10 head office and 15 field baseline analyses	Ongoing	✓→
	04. Six guided self-assessments	Ongoing	✓
	05. Support to 3 agencies in developing accountability frameworks	Ongoing	✓
	06. Develop products and provide dedicated advisory support	Ongoing	✓
05. Complaint-handling support to members and non-members	01. Revise and conduct CRM workshops	Ongoing	✓
	02. Design and conduct investigations management workshops	Ongoing	X
	03. Conduct investigations learning programme workshops	Ongoing	✓
	04. Participate in global platform	Ongoing	✓
	05. Complaints advisory services (6 cases)	Ongoing	✓→
	06. Development of tools on CRMs	14/09	✓

Regulatory Services: To operate HAP's compliance verification procedures and services in an impartial and professional manner.

Objective	Activity	Time Frame	Status
01. Certification	01. Certification Audits for 8-10 agencies	12/09	✓→
	02. Mid-term audits for 3 agencies	12/09	✓
	03 Auditor training	02/09	→
02. Accreditation	01. Accreditation audits	12/09	→
	03. 2-3 networks / organisations operating registered auditors	12/09	→
03. Certification and Accreditation Board (CARB) Administration	01. Certification validation	Ongoing	✓
	02. Training of CARB as certification body	07/09	✓
	04. Administration of HAP Certification Body	Ongoing	✓
	01. Conduct 4 investigations in line with the Complaints Against Member Agencies Procedure	12/09	✓→
04. Investigate complaints	02. Establish and administer a pool of independent investigators, including BSO-trained investigators.	12/09	✓→
	03. Create standard protocols stating the rights and duties of member agencies in HAP-led investigations	06/09	→
	01. Monitoring of members' AWP commitments	12/09	✓→
05. AWP monitoring	02. Establish AWP templates and guidelines for members	04/09	✓→
	03. Manage AWP database	Ongoing	✓

Governance & Management: To strengthen HAP's operational and strategic capacity

Objectives	Activities	Time Frame	Status
01. Support and strengthen the Governance of HAP	01. Two Board meetings per year	10/09	✓
	02. General Assembly	05/09	✓
	03. Evaluation	06/09	✓
	04. Planning	10/09	✓
	05. Audit accounts	10/09	✓
	06. Review new applications and present recommendations to Board	Ongoing	✓
02. Fundraising & marketing	01. Donor relations	Ongoing	✓
	02. Funding applications in line with funding strategy	Ongoing	✓
	03. Review HAP membership services	Ongoing	✓
	04. Ensure all donor reporting requirements are met in a timely and effective manner	07/09	✓
03. Contingency reserve	01. Manage cash flow	Ongoing	✓
	01. Finance: manage resources required to deliver workplan	Ongoing	✓
04. Manage the HAP Secretariat	02. Recruit, retain and develop DR required to deliver workplan	Ongoing	✓

Summary of results:

Activities	Number	Percentage of total
Completed	42	60 %
Partially completed	17	25 %
Deferred	6	8 %
Approach changed	5	7 %
<hr/>		
Total	70	100 %
Summary		
Activities completed:	79 %	
Activities deferred:	21 %	



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