

CAFOD Accountability Framework (CAF)

Date 1st Version: February 2009

This Framework (CAF) summarises relevant internal and external standards, codes, guidelines, values and principles committed to by CAFOD which ensure accountability to our stakeholders and enable us to deliver quality international programmes. It states our commitments, incorporates recommendations and status of compliance against the HAP Standard from the results of CAFOD's baseline analysis audits (Head Office 07, Kenya 08), and sets-out an implementation policy and plan for improvement.

- Our accountability and quality commitments comply with the HAP Principles of Accountability and Humanitarian Action (see Annex 1) which holds the model of 'downward' accountability at its centre. Like HAP, we are committed to taking account of the views, needs and capacities of our partners and beneficiary communities so that the quality and effectiveness of our international programmes is strengthened.
- We strive to hold ourselves to account to all our stakeholders including our supporters, donors, partners, and beneficiaries of our programmes, in the delivery of our accountability and quality commitments. To this end a summarised statement of our commitments and standards will be publically available to all our stakeholders via our website (available End Feb 2009).
- Partnership is central to CAFOD's approach to all our humanitarian and development work, working in partnership with organisations to bring about sustainable change. We aim to be **accountable** for our actions and **transparent** about what we do – with our partners, towards beneficiaries and encourage high levels of participation from all those directly involved in a programme to be as informed as possible. As well as giving financial assistance, we cooperate with partners - providing technical assistance, capacity building and accompaniment; and carrying out joint and complementary actions - we commit ourselves to periodic joint reflection to encourage continual improvement. As such, we do not enforce our quality and accountability commitments on our partners, we share and promote them to our partners and facilitate support to partners who share our commitment to best practice.
- CAFOD aims to work according to internationally agreed standards as set out in the **Red Cross Code of Conduct**, **People in Aid**, the **Sphere Humanitarian Charter and Minimum Standards in Disaster Response**, the **HAP Humanitarian Accountability and Quality Management Standard 2007** and **Caritas Internationalis (CI)** guiding principles and core partnership values.
- Our accountability and quality commitments are intended to guide our international programmes, whether development or humanitarian in their nature. Their purpose is to enable CAFOD to increase the quality, effectiveness and impact of our international work. It is anticipated that this document will function primarily as an internal management tool and to inform the design, implementation and monitoring & evaluation of programmes / projects, for staff development and training, for organisational capacity development, and for periodic self-appraisal.
- The CAF includes 8 core accountability and quality commitments that CAFOD strives to uphold, the current mechanisms in place which contribute to achieving these, and targets and indicators for their continual improvement. The 8 commitments are:-

1 - Vision, Mission and Values

2 - Partners and Beneficiaries

3 - International Development and Humanitarian Programme Quality

4 - Stewardship, Governance and Finance

5 - Safeguarding and Protection

6 - Supporters, Communities and Donors

7 - Staff

8 - We Learn from our experiences and share this with our stakeholders

- This framework has been developed through the Accountability Working Group (Annex 2: Members) and in consultation with other CAFOD staff from across the organisation and complements the DEC Accountability Framework assessment processes. The CAF is a dynamic document that will be reviewed and updated regularly (every 6 months: **2nd Version Sept 2009**) alongside CAFOD's planning processes and a progress report of how we are against our targets will be written alongside the review.

Commitment 1 – Vision, Mission and Values

Commitment	Implementation mechanisms	Improvement Targets and Indicators	Activities	Ownership	Timeframe	Ref
We are committed to upholding our VMV through our staff, our relationships with partners and beneficiaries and through all our international programme work. Our core values are: compassion; solidarity; partnership; environmental justice; stewardship; hope; and dignity. We are committed to standing alongside poor and marginalised communities in solidarity and to increasing awareness and understanding of underlying causes of poverty	Internal references:					
	VMV Core Document	Refine our VMV to reflect our work more closely based around 4 key areas:- Development, Humanitarian, Advocacy and Act/Give/Pray CAFOD staff and partners recognise and uphold CAFOD's VMV	Consultation with staff, key volunteers and partners on revised VMV Revised VMV signed off by Board	Board of Trustees	May 09 June 09	QN 1 & 2 BM 2, 3 & 6
	CAFOD Strategic Framework 2005-2010	New Strategic Framework reflects our work more closely and provides clarity, direction, structure and coherence for our work post 2010. CAFOD staff, key volunteers and partners take an active role in the development of the Strategic Review for post 2010	Team consultation to discuss background consultation paper. Starter papers on key strategic issues finalised Cross-organisational consultation workshops and consultation with key volunteers and partners Strategic Directions Paper to be discussed by Board Final statement of ten-year goals and three-year rolling corporate plan – Final approval by Board Development of teams and sections own three-year plans Implementation of new strategic framework and three-year rolling plan	Board of Trustees	Jan-Mar 09 End of Feb 09 Apr-May 09 June 09 Dec 09 Oct 09-Feb 10 April 2010	QN 1 & 2 BM 2, 3 & 6
	Corporate Induction Programme introduces all new staff to the core themes and principles that guide our work	Staff work with a strong sense of identity and understanding of how CAFOD works	Explore ways to ensure that all staff receive the core corporate induction programme at time of employment	Head of Learning and Development	–Ongoing (PiA plan)	BM1,4
	External references:					
	Catholic Social Teaching (CST)	Continue to gain understanding and contribute to Catholic social thought, assuring that our work reflects the values of the body of CST	All staff attend CST section of Induction Programme Spirituality Team and ODP to help organisation explore how CST is reflected in our work	Head of Learning and Development	Ongoing	QN1
	The Caritas Partnership: Guiding Principles maintain that all relationships from a member of the Caritas Confederation should conform to the highest principles of Christian ethics and strive to embody the basic values of partnership. Through mutual understanding of Christian values, we expect our partners to uphold principles of solidarity and partnership	Post 2010 strategic planning process is guided by our core values and partnership principles	Partnerships are grounded in our core values and partnership principles and processes systematically follow good partnership practice	Board of Trustees	Ongoing	QN1
	Partners:					
	CAFOD Approach to Partnership: Overview and Values	CAFOD's VMV is evidenced and provides the grounding for the basis of our relationships with our partners and beneficiaries for all our international programme work Increase southern involvement in our planning and decision-making processes	As appropriate to different country and regional contexts, continue to provide decentralised programme management and partner support Enable partner involvement in preparing country strategy papers	Director ID	Ongoing Jan 2010	QN1

Commitment 2 - Partners and Beneficiaries

Commitment	Implementation mechanisms	Improvement Targets and Indicators	Activities	Ownership	Timeframe	Ref	
We are committed to working in partnership in our work in international development, humanitarian response, advocacy and education. We are committed to quality, transparency, participation, openness and equity in our relationship with partners. We aim to promote good partnership and accountability to the beneficiary communities we aim to serve	Internal references: CAFOD Standards & Indicators for Partnerships – 12 core partnership standards including; openness, accountability, mutuality, equity, patience & long-term commitment, risk taking & vulnerability, participation, funding & support, trained staff, quality, flexibility, firmness	Our international programmes, systems and ways of working are grounded in and express our core values of solidarity and partnership and demonstrate partnership principles and standards	Undertake internal review of our core partnership principles/approaches/standards to give coherent explanation of what partnership means and work through these principles so to be clearly reflected in our contractual arrangements with partners Incorporate recommendations from review into standards/indicators documentation	Dir. ID PPSS	June 09 Sept 09	B1 & 6	
	PCM Handbook Guidance on 'Partner assessment and relationship management' within PCM and how CAFOD is improving quality within its work.	Continue to develop and evaluate the effectiveness and quality of the PCM system	Incorporate international standards and accountability references in all PCM partner documents where applicable Both CAFOD and partners agree on approach to ensuring their joint accountability to beneficiaries Maintaining open, two-way dialogue with partners throughout any programme cycle	PCM Manager PM, PO PM,PO	Sept 09 Ongoing Ongoing	B1 & B6 BM3 BM3	
	PCM Partner Guidelines Project Proposals, Progress Reports, Financial Reports, Reviews and Evaluations, Assessing your own organisation, Humanitarian Responses – lists core humanitarian standards	Strengthen ability of staff to engage with partners on identified areas of work and to offer agreed support	Develop guidelines for partners on how to identify beneficiary representatives and ensure they are inclusive of the beneficiaries they represent Training sessions on supporting partners to develop good monitoring systems & frameworks which fit into PCM and develop strategy for rolling out training Develop and package the materials/tools and integrate into the PCM handbook Translate guidance for partners where appropriate	M&E Advisor	2010 June 09 2009/10 Ongoing	BM3	
	Feedback and Complaints management system for partners and beneficiary communities will be included in CAFOD Feedback and Complaints Policy and Procedure for Overseas Programmes	Continue to develop policy document and procedure, in-line with other internal feedback and grievance systems to enable our partners and beneficiary communities to systematically feedback or complain to CAFOD (and partners)	Consult with ID staff and partners to gather good practice and generate ideas Pilot CRM for kidsMedia Project – UK and Overseas Pilot complaints procedure in 1 to 2 (Kenya – tbc) country programmes to feed into policy / toolkit Raise awareness of rationale for complaints handling procedures with staff and partners	HD	April 09 Sept 09 Nov 09 End 09	BM5 & 6	
	Partners:						
	Agreements are made between CAFOD and implementing partners for every grant, either by way of the Grant Agreement Document (GAD) or Memorandum of Understanding (MOU)	Agreements with partners set out expectations for working together to achieve a common goal, and the "rules" on how we will engage and make decisions together about the programme	Recommendations from internal 'think-piece' on partnership agreements and HAP baselines are considered in any revision of agreement processes	PCM team / PM, PO	Ongoing	BM1 & 6	
	PCM partner guidelines	PCM is effectively used as a tool for engaging with partners on programme development and management and high levels of participation are encouraged from all those directly involved in a programme to be as informed as possible	Review partner guidelines to incorporate internal review processes and HAP baseline recommendations	PCM team / PM, PO	End 09		
	CAFOD's presence in any country is underpinned by an MoU with the Bishop's Conference of that country which defines the CAFOD presence in terms of:- Recognising the authority of the local Catholic Church to define its relationships with other arms of the Universal Church and to have an overview of their activities; to recognise CAFOD's presence as one expression of the solidarity of the Universal Church; To regulate and clarify the rights and responsibilities of each party and where possible give CAFOD's presence legal status	MoUs are understood and maintained in-country with partners		Director ID	Ongoing		

Commitment 3 - International Development and Humanitarian Programme Quality

Commitment	Implementation mechanisms	Improvement Targets and Indicators	Activities	Ownership	Timeframe	Ref
Through long-term partnership with local organisations and communities in Africa, Asia, the Middle East, Latin America and the Caribbean, we support their work to build a better world for people living in extreme poverty. We maximise our impact on poverty by focussing on areas of work where we and our partners have particular expertise – creating sustainable livelihoods, combating HIV and AIDS, environmental justice and peace-building. In emergency	Internal references: Sustainable Livelihoods Livelihoods Framework	CAFOD has a clear approach, based on recognised livelihoods tools (e.g. DFID), to designing and monitoring international livelihoods programmes with partners	Develop guidelines for a livelihoods approach and set out strategy for implementation	Livelihoods Working Group	Dec 09	
	HIV HIV and AIDS Resources HIV Corporate Policy, HIV Programming and Strategy Framework, HIV Mainstreaming Toolkit, HIV Workplace policy, ART Position Paper, Valuing Volunteers, Children affected by HIV – CAFOD guidelines, 'Quality of Life' Care and Mitigation tool	International programmes are adapted to take into consideration HIV and AIDS tools and guidelines Advocacy capacity is strengthened	Take forward 6 examples of where HIV mainstreaming toolkit has been used to feed into future programmes Tracking exercise with programme staff and partners to show where HIV Programming & Strategy Framework, ART Position Paper, Valuing Volunteers, and Children affected by HIV CAFOD guidelines have been used Implement the Quality of Life Care and Mitigation Tool in at least 5 countries; review and disseminate findings Develop Comprehensive Prevention assessment tool 3 programmes are involved in initiatives that bring about change regarding HIV concerns	HIV Corporate Strategist	Mid 2010 Mid 2010 Early 2010 Early 2010 Early 2010	
	Conflict And Peace-Building	A conflict framework exists which includes recommendations on focus, approach, southern-based advocacy, dignity and safety, management and resourcing Broader and measurable understanding of what as an organisation we mean by Conflict and Peace Building A new Cooperate and Humanitarian strategy which holds conflict, peace building and human security at its heart which builds on CAFOD's strengths of partnership, is measurable and had greater impact at a beneficiary level The Development of a human security approach to our humanitarian work will enable to be more accountable and provide a range of services and support that links better with our VMV and international standards	Review CAFOD 2010 strategy and the priority areas including Conflict and Peace Building, to help determine how we address Conflict and Peace Building in our new strategy 2101+ Develop a much tighter understanding of what we mean by Conflict and Peace Building - reworked Conflict Strategy Framework Develop new cooperate Humanitarian Strategy and Framework which holds 'human security' at its centre. This will make practical our definition of Conflict and Peace-Building Project document for review and strategy development finalised. Workshops and learning session in place and timeline. Project group established	Head of HD, Head of Policy, Cooperate Head of HD	September 2009 Jan 2010 September 2009 Nov 09	
	Climate Change Climate Change Strategic Framework	Climate Change is more effectively linked into our DRR strategies and programme work and is clearly supported across CAFOD	Works on two specific climate change projects alongside UCL are underway Capacity building workshops across CAFOD's head and regional offices A climate change website is up and running	Climate Change/DRR Working Group & CC Advisor	Mar 09 – ongoing Ongoing 09/10 End 09	

Commitment	Implementation mechanisms	Improvement Targets and Indicators	Activities	Ownership	Timeframe	Ref	
situations we provide immediate relief as well as supporting long-term recovery programmes that help rebuild people's lives. Our international work is underpinned and guided by international codes and standards	<p>DRR DRR Framework Disaster Risk Reduction, as both a concept and methodological approach, will contribute to CAFOD's development and humanitarian relief programmes and activities; it will also allow us to respond to the threat of climate change - helping vulnerable people respond to the increasing frequency and severity of hazards and disasters</p>	The importance of integrating DRR into our international work is clearly understood across CAFOD. The impact of potential hazards upon projects and programmes is considered and strategies developed to prepare for or mitigate these.	<p>Finalisation of CAFOD DRR Model</p> <p>Monitor and evaluate four DRR pilot projects/programmes, feedback results to CAFOD and partners</p> <p>Scale up and identify way forward for CAFOD in DRR at the end of the DRR Pilot Programme</p> <p>Integrate climate change adaptation and DRR work ensuring work is underpinned by strong scientific research</p> <p>Publication of CAFOD case studies and best practice in DRR</p>	Climate Change/DRR Working Group & DRR Advisor	<p>Dec 09</p> <p>Ongoing – until mid 2011</p> <p>Mid 2011</p> <p>Ongoing</p> <p>Ongoing</p>		
	<p>Economic Justice Advocacy Framework and Economic Advocacy Framework Includes a definition of advocacy, outlines roles and responsibilities, and provides a set of recommendations that strengthen CAFOD's advocacy work</p>	<p>At least 8 partners, will have moved up at least one level on the Engagement Framework showing increases in the voice of communities with regard to policy makers or key corporate actors</p> <p>At least 4 examples of concrete actions by companies or government in response to citizen voices following partner work</p>	<p>Develop Engagement Framework in a participatory process with partners</p> <p>Collect Stories of Change through PCM system Collect partner reports or public statements of government or companies</p>	Programme Staff & PPU	<p>By 2011</p> <p>By 2011</p>		
	<p>Gender Gender Policy CAFOD aims to recognise the gifts and attributes that women and men have to offer and to look for ways of promoting and acting on our understanding of gender awareness in human development</p>	All staff have a better understanding of gender as an issue both personally and professionally, have an understanding of CAFOD's position on Gender and what work CAFOD does in relation to gender and where appropriate resources are kept	<p>Develop guidance notes, training modules & re-visit resources on gender COW</p> <p>Develop consultant database for specific pieces of gender work i.e. evaluations</p> <p>Partner workshops and share best practice</p> <p>Review gender policy</p>	Gender Advisor	<p>Ongoing</p> <p>Ongoing</p> <p>Oct 09</p> <p>Dec 09</p>		
	<p>Regional and Country Strategy Papers Strategy Papers reflect programming approach with partners within each country</p>	Improved integration between programme planning and reporting	<p>Explore ways of moving to a 3yr planning and reporting mechanism beyond CAFOD 2010</p> <p>Look at how country strategies can incorporate accountability elements where appropriate</p>	<p>ILT</p> <p>Head PPSS</p>	<p>April 2010</p> <p>End 09</p>	BM1 2, 3, 4, 6	
	<p>Programme Cycle Management (PCM) process provides a defined and documented framework for developing, implementing and managing programmes. The PCM Handbook covers four key stages of programme management Analysis, Design, Action, Impact</p>	PCM sufficiently supports staff with guidance and tools for developing and managing international programmes with stronger partner relationships and improved accountability	Integrate PCM Review and HAP Baseline Audit recommendations into PCM documentation	PCM Manger	End 09	BM1	
	<p>CAFOD Humanitarian Mandate – 11 core principles of humanitarian response to which CAFOD works (article 9 refers to RCCC, Sphere and HAP)</p>	Our humanitarian response and policy development will demonstrate our committed to ensuring that our humanitarian responses evidence good practice and meet quality standards	<p>Develop training plan for staff and key partners in humanitarian quality and accountability standards (linked to future Safeguarding / Protection)</p> <p>Training delivered as per plan</p>	Head HD	<p>Aug 09</p> <p>April 2010</p>		
	<p>Corporate Emergency Procedures (p17 refers to adherence to international standards)</p>	CAFOD's corporate monitoring of and responding to new humanitarian crises follows clear standard management procedures	Synchronise procedure with recent restructuring of humanitarian function across international division and incorporate into corporate response mechanisms	Head HD	Oct 09		
	External references:						
	<p>CAFOD is a signatory and played an active role in the formation of the Code Of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief</p>	Red Code of Conduct is evidenced in the way in which programmes are implemented and in how CAFOD staff behave and conduct themselves	<p>Incorporate into staff Code of Behaviour</p> <p>Incorporate into PCM / standards training as per above</p>	Int. HR Manager Head HD	<p>April 09</p> <p>Ongoing</p>	QN1	
	<p>CAFOD played active role in developing SPHERE Minimum Standards and Charter in Humanitarian Aid. CI is a member of the Steering Committee for the SPHERE project</p>	CAFOD humanitarian programmes are guided by SPHERE minimum standards	<p>SPHERE re-fresher trainings and support for staff are integrated into strategies – to be discussed</p> <p>Programme staff continue to promote Sphere standards with partners and encourage its utility</p>	Head HD	<p>End 09</p> <p>Ongoing</p>		

Commitment	Implementation mechanisms	Improvement Targets and Indicators	Activities	Ownership	Timeframe	Ref
	<p>HAP International (Humanitarian Accountability Partnership) CAFOD is a full member and represented on the board, are committed to taking account of the views, needs and capacities of our partners and beneficiary communities</p> <p>The Good Enough Guide (GEG) is used as a tool, especially overseas with partners, to illustrate good practice in improved accountability and impact assessment</p>	Principles of Accountability are widely recognised throughout CAFOD and inform the way in which we work with all our partners and beneficiary communities so that the quality and effectiveness of our international programmes is improved	<p>CAFOD Accountability Framework (CAF) goes 'live' and disseminated to staff and partners</p> <p>HAP Certification is achieved</p> <p>Develop training materials and training plan for staff and key partners on CAF, HAP, GEG</p> <p>Improve accountability of humanitarian work through use of PCM by reviewing documents</p> <p>Contextualised CAF's are developed in each country office in consultation with partners and communities</p>	Director ID / HAP Focal Person	<p>March 09</p> <p>June 09</p> <p>Throughout 09/10</p> <p>End 09</p> <p>Throughout 09/10</p>	All Refs
	CAFOD is a member of the executive committee of the UK AIDS Consortium - a network of UK NGOs working on HIV/AIDS in relation to developing countries	Membership is maintained to allow CAFOD to share and learn from programme work on HIV and AIDS from other UK based NGOs and to input into policy and advocacy work with UK and international targets	<p>Attend / participate in quarterly meetings (4 x year) and Working groups (4 x WG, monthly)</p> <p>Participate in written and oral consultations held on an ad-hoc basis with policy makers</p>	HIV Corporate Strategist		
	CAFOD is an active member of the International Council of Voluntary Agencies (ICVA)	Active membership aims to further improve learning and impact within the humanitarian sector and to be more openly accountable to beneficiaries and the people we serve	<p>Attend annual meetings</p> <p>Participate in fora and exchange with governments, UN and Red Cross movements (IFRC & ICRC)</p> <p>Challenge humanitarian systems in becoming more openly accountable, delivering a higher standard of assistance and promoting DRR</p> <p>Support representation of community based organisations and partnership to ensure their active participation in the delivery of humanitarian assistance is achieved at all times</p>	Head of HD	Ongoing	
	CI Emergency Guidelines and CI Emergency Toolkit	Guidelines and Toolkits are widely used by CI members when working with partners to contribute to coherence and common good practice	Open discussion with CI regards expanding some parts of tool kit to include accountability elements	HAP Focal Point / HD		QN1
Partners:						
	Guidance for quality standards and good practice in our development and humanitarian response programmes are given throughout PCM of which our partners are implicit and are stated within the CAF work-plan herein	A coherent strategy is developed with targeted partners to improve accountability and quality standards and approaches, and good practice is evidenced in partners' programmes and projects	<p>Ongoing roll out of PCM systems and procedures with partners</p> <p>Develop strategic plan to support targeted key partners with regards to improving their capacity to apply the principles of accountability and to apply international standards (i.e. training, toolkits, linking)</p>	Programme Learning Manager RM / PMs	<p>Jan 2010</p> <p>Jan 2010</p>	

Commitment 4 - Stewardship, Governance and Finance

Commitment	Implementation mechanisms	Improvement Targets and Indicators	Activities	Ownership	Timeframe	Ref
We are committed to being good stewards of all the resources entrusted to us, openly accountable for our work and professional in managing all of our resources	Internal references:					
	CAFOD Governance Framework (CAFOD People 1:1)	Improved system of governance to provide comprehensive oversight and guidance for CAFOD Maintain organisational awareness of CAFOD's governance structure International Programme Committee has strengthened role and constitution	Complete final phase of governance review & amendments to update CAFOD's original Trust Deed Induction Revise International Programme Committee constitution	Board and Trustees Board & Trustees Dir. of ID & Directorate	March 2009 Ongoing June 2009	QN
	Finance Committee Constitution	Increased advisory role to Trustees, Board and other key stakeholders on financial status vis-à-vis financial crisis	Financial management subgroup meet weekly to monitor income figures	Board and Trustees	Ongoing	
	Audited Financial Statements and Trustees Report - Annual Reviews	Increased demonstration of impact and effectiveness of our work as per requirements of Private Action, Public Benefits Charities Bill	Produce more evidenced based audited financial statements Produce statement of public benefit to justify CAFOD qualifying as charitable organisation	Board & Finance Committee of the Board	Ongoing June 09	QN2,3 B1 & B6
	Internal Audit Programme	Further develop risk management across CAFOD and promote organisational awareness	Develop new three-year internal audit plan	Board & Finance Committee of the Board	Sept 09	
	Financial Guidelines	Better financial management of international programmes, both CAFOD and back-donor funded	Develop Financial Guidelines for Management of Programmes Develop job specific financial induction modules Continue to provide more targeted and job specific Finance Training sessions for staff	Financial Standards Working Group	June 09 June 09 Ongoing	QN3 B1, B6
	Financial Framework 2005-2010	Improve level of understanding of our longer term financial situation and how we are changing over time	Briefing on Financial Framework produced – review and update	Dir. of Finance	During 2009	
	Annual Budgeting	Empower staff of different management levels to control their own spending within clear pre-defined boundaries	Complete roll out and implementation of new budget guidelines and tools	Dir. of Finance	March 09	
	Supply Chain Manual handbook which supports staff and partners to purchase all goods, services and works based on the principles of stewardship of resources and competitiveness, optimizing all available resources and ensuring that all goods, services and works are acquired in transparent way	Better clarity across the organisation and guidance available on the management of the supply chain, procurement, logistics for all programme funding whether conducted by CAFOD or by our partners	Development of Supply Chain Manual to be piloted in Zimbabwe and DRC. Manual will be published and translated Staff training (HQ and field) and set up SCM Helpdesk as part of the current programme learning helpdesk	SCM Working Group	June 2009 Jan 2010	QN3 B1, B6
	CAFOD Institutional Funding Guidelines	More transparent roles, responsibilities and decision making processes around accessing and managing institutional funds	Review IF Guidelines and roll out to regional offices.	Financial Standards Working Group	March 2009	QN3
	CAFOD's Carbon Footprint reduction Audit recommendations	Promote carbon stewardship at corporate level	Put in place recommendations from audit undertaken in Oct 07 by Best Foot Forward which looked at CAFOD's own carbon footprint	CLT	Ongoing	
	External references:					
	Caritas Internationalis , a confederation of 162 Catholic relief, development and social service organisations working to build a better world in over 200 countries	Increase programme impact and effectiveness through working in more joined up ways with CI partners	On going bilateral conversations with Trocaire and SCIAF on establishing a more joined up way of working for our programmes in Africa	Director	Ongoing	
	CAFOD's Director is a member of the board of CIDSE , a network of Catholic development agencies from 12 European countries, plus Canada, New Zealand and USA			Director		
	Charity Commission SORP (The Statement of Recommended Practice) accountancy regulator for charities in England and Wales	Continue to comply with Charity Commission requirements	Report and publish annually	Dir. of Finance	annually	QN2 QN3 B1
Partners:						
Partners are expected to demonstrate appropriate standards of financial management, good governance and stewardship of resources based on their contexts	CAFOD monitors and encourages partnerships to uphold standards through our programme management principles, policies, systems and good practice	Complete Partner Organisational and Financial Profiles for all partners Necessary support is agreed and facilitated	Country PM	Tbc	QN4 B5	

Commitment 5 – Safeguarding and Protection

Commitment	Implementation mechanisms	Improvement Targets and Indicators	Activities	Ownership	Timeframe	Ref
<p>We are committed to recognising the personal dignity and rights of all people we work with and especially vulnerable groups. We have a particular concern to ensure children and young people are safeguarded and recognise we have a special duty of care and respect towards them. Our commitment to safeguarding also extends to vulnerable adults, which is an area of work that we intend to develop further in the near future</p>	Internal references:					
	Safeguarding Children Strategy Paper	Have a policy and practice which reflects our commitment to act well in accordance with our VMV	Develop a clear project plan that is monitored effectively to ensure implementation of strategic objectives and activities Finalise paper and disseminate	Dir ODP	March 09 May 09	QN4 BM4
	CAFOD Child Protection policy	We will strive that all staff and volunteers are fully aware of, and adhere to, our policy and commitments in relation to child protection	Strengthen existing procedures to protect children and young people including CAFOD's recruitment practice, staff induction and training, and management responsibilities for implementation of the policy Include safeguarding children considerations at key points in programme design and delivery via revised Programme Cycle Management documentation	Dir ODP	Ongoing to Mar 2010 April 09	QN4 BM4
	Complaints and Investigations Procedure and Guidance - Reporting of and Responding to Sexual Abuse and Exploitation	Policy and guidelines are in place, all staff and partners are fully aware of, and adhere to this policy and commitments to safeguarding vulnerable adults	Develop draft policy, disseminate for consultation Pilot policy in 2 country programmes Disseminate to staff and volunteers and set training plan	Dir ODP	April 09 June /July 09 Oct 09	QN4 BM4
	Code of Behaviour	Adopt a code of behaviour for all staff, volunteers and consultants	Develop Code and disseminate Incorporate into Staff induction programme and Volunteer training	Int. HR Manager	April 2009 End 09	BM1 4
	External references:					
	CAFOD adheres to the CI Child Protection Policy	CAFOD aiming to work with CI Secretariat and other prominent Caritas member agencies to promote safeguarding across the Caritas network	Engage with CI on approaches and implementation to safeguarding policies	Dir ODP	April 09	BM1 5
	UN Inter-Agency Standing Committee Task Force on protection from sexual exploitation and abuse in humanitarian crisis	CAFOD are reviewing our position in relation to this with a view to becoming a signatory	Review and reinforce commitment through existing codes of behaviour and policy	Head of HSD Dir ODP	End 09	BM1 5
	Partners:					
	CAFOD recognises that our partners must make their own judgements about the development of their own safeguarding and protection policies in direct relation to their context. CAFOD will seek to further encourage and strive to assist partners in the development of their policies and in strengthening their response and protection concerns	Ensure there is a gradual process of engagement with partners on child and vulnerable adults safeguarding issues to ensure mutual learning and development of good practice	Accompany and support partners in the development of appropriate policies and procedures Ensure that child protection awareness and strategies are developed and implemented in overseas programmes We will be proactive and sensitive in dialogue with partners about child protection policy and practice Development of guidance for staff and tools for partners aimed at supporting safeguarding developments	Dir ODP	Capacity building of partners and staff training throughout 09/10 Sept 09 Oct 09	

Commitment 6 - Supporters, Communities and Donors

Commitment	Implementation mechanisms	Improvement Targets and Indicators	Activities	Ownership	Timeframe	Ref
We are committed to developing two-way communications with our supporters, and hearing their feedback – both positive and negative. We engage our supporters as partners in building mutually respectful development links with communities in the global south	Internal references:					
	Supporters FMS (Feedback Management System) Enables CAFOD supporters to directly feedback or complain to us	We will set indicators, based on experience of using FMS. We will track volumes of overall feedback activity, and the level of both positive and negative feedback we receive. The indicators will be supported by targets and indicators of response by CAFOD Strong relationships are developed between our partners in the south and our UK supporters	Pilot of FMS completed FMS policy and guidelines finalised – in the light of the Pilot of FMS	Head Supporter Services	June 09 Sept 09	BM5
	Communication Framework	Better, appropriate and more streamlined connections with supporter in the UK and partners and beneficiaries overseas represent mutual respect and equality	Conduct Baseline on Communications, analyse report and set improvement plan Improve internal communications links between CSD and ID Develop Linking model to better improve relationships between supporters and communities overseas	Director CSD & Director ID	April 09 2010	BM2
	Emergency Communications COW	During CAFOD Emergency Appeal, the E-cow stays up-to-date with all latest press releases, advertising details, situation reports, appeal totals and other relevant info	Maintain up-to-date and relevant information is presented Conduct CONGO appeal review to reflect on what worked well and maintain high standard	Head Fundraising and Marketing	Ongoing April 09	BM2
	Media Strategy	Raise media profile to have stronger voice in the media to increase visibility to both supporters and the general public	Develop and roll out strategy Roll out of training to increase understanding of strategy and identify spokespeople	Head Media	Ongoing	BM2
	Branding Handbook including Visual Image Policy	The handbook ensures that we are clear about our purpose and mandate and will enable us to communicate more effectively and coherently with our supporters Ensure that we use images to tell stories in a compelling way and that they respect the rights and dignity of people	Develop plan for operational year 09/10 Go Live with handbook and disseminate to all staff	Head CCS and Visual Communications Manager	April 09 Aug 09	QN1 BM2
	External references:					
	When we work with all Donors we ensure adherence to specific donor guidelines and we will uphold standards to transparency and accountability	Partnership Programme Arrangement (PPA) – strategic funding agreement with DFID from 2005-11. Provides CAFOD with core funding linked to agreed outcomes in 4 areas of work: Faith and development; Building the capacity of southern partners to work for economic justice; HIV & AIDS; and Development Awareness	Ensure that PPA is upheld and funding appropriately managed within agreed proposal and budgets	Head PPSS	End 2011	
		CAFOD Membership of Disasters Emergency Committee (DEC) – CAFOD is required to meet DEC Membership Criteria DEC Accountability Framework CAFOD are required to evidence ways of working and assurance that the DEC can hold us to account and assess continual improvement against stated commitments	2008-09 Member Agency Assessment – review framework, ensure integration across ID systems and promote complementarity with CAF Membership of DEC Board of Trustees (CAFOD Director) and participation on DEC Board sub-groups (Accountability, Finance, Risk Management, Audit)	Head HD Programme Learning Manager Director	April 09 – reviewed 6 monthly Sept 09	BM1
		Framework Partnership Agreement (FPA) – partnership with ECHO	Undergo ECHO annual partner assessment Participation at annual ECHO FPA Partners Meeting	HSD	Feb 09 Dec 09	
	Partners:					
Partnership requires regular visits and feed back between each other through frequent and effective communication	Clear understanding between CAFOD and partners on expectations around mutual transfer of information is agreed and upheld by both parties	Ensure regular and effective communication through PCM processes	RM, PM, POs	Ongoing		

Commitment 7 - Staff

Commitment	Implementation mechanisms	Improvement Targets and Indicators	Activities	Ownership	Timeframe	Ref
We are committed to fair recruitment, upholding professional standards and providing management support to all staff. We are committed to recognising good practice and to supporting professional development and learning. We strive to do all that it reasonably can to ensure that all staff and volunteers are secure and protected as they go about their work	Internal references:					
	CAFOD People resource including all CAFOD HR policies and procedures	The impact of our work will be enhanced through better management and support of staff	All new managers are systematically inducted in CAFOD People All staff invited to workshops to explain key policies	Head HR	Ongoing	BM4 & 5
	Grievance Policy contains a statutory three-step grievance procedure that applies to almost all grievances. Grievance is defined as "a complaint by a member of staff about an action which their employer has taken or is contemplating taking in relation to them". This definition also covers the actions of a third party (ie, a colleague)	All staff are aware of this policy and of how to use it	Raise awareness of policy throughout CAFOD We now have two trained grievance investigators in place Develop system of tracking, investigation, responses and analysis for staff grievances	Director ODP	Ongoing	BM5
	Whistle Blowing Policy . The purpose of this policy is to provide an effective procedure for people to raise their concerns when they believe that abuse, serious malpractice or professional misconduct has taken place or is about to take place	All staff are aware of this policy and of how to use it	Raise awareness of policy throughout CAFOD	Director ODP	Ongoing	
	Security Policy and Manual	All staff are aware of this policy and manual, have access to it and have received appropriate training	Produce and keep updated security plans for all country programmes	Country PM	Annually	BM4
			Provide appropriate level of security training for all CAFOD staff travelling overseas for work	Head HD	Ongoing	
	Information Confidentiality Policy	Ensure information is as widely available as possible throughout CAFOD and partners, while appropriately respecting dignity, legal responsibility and managing the risks associated with sensitive and confidential information	Discuss how contracts with partners might include information sharing responsibilities - tbc	Learning and Development Manager	End 09	BM2
	External references					
	CAFOD is currently in the process of seeking recognition under the People In Aid Code of Good Practice	Achieve People in Aid Accreditation and maintain standard	Action Plan developed and disseminated to all staff and regular updates on progress given to staff Submission to People In Aid	Director ODP	Ongoing April 09	BM4
	Partners:					
CAFOD's partners have their own HR policies and procedures for staff which are relevant for the particular country context they are operating in	Our staff will maintain an open dialogue with our partners regarding their HR policies and procedures and provide support as requested and where appropriate	Use Partner Organisational and Financial Profiles to discuss and understand partner HR policy	PM, PO	Ongoing		
CAFOD's partners are responsible for managing their own security, however upon request CAFOD will facilitate appropriate support if necessary	Maintain close liaison between CAFOD staff and partners on security, recognising that actions of CAFOD staff may have an impact on the security of partners, and <i>vice versa</i>	Develop systems to ensure that security matters are being communicated effectively and efficiently between CAFOD staff and partners	Head HD	Ongoing	BM1 BM6	

Commitment 8 – We Learn from our experiences and share this with our stakeholders

Commitment	Implementation mechanisms	Improvement Targets and Indicators	Activities	Ownership	Timeframe	Ref
<p>We are committed to developing and integrating a strong learning dimension into all our ways of working, to bringing our learning and planning into a more dynamic relationship with each other and to using a variety of methodologies, to improve the quality of our work and its impact</p>	<p>Internal references</p> <p>CAFOD's corporate commitment to learning at organisational, programme and partner level is stated in CAFOD 2010. Our strategic change document: CAFOD as a Learning Organisation describes our current stage and indicates next steps</p>	<p>Strengthen the application and assurance of learning activities, and our communication of this with staff and our partners</p>	<p>MTR process 10/07 and 01/08 – progress towards achieving learning associated outcomes in CAFOD 2010</p> <p>Annual planning and review process, during which learning and application of learning is a key feature</p> <p>Monitor the effective implementation of significant change methodologies and quality appraisal, monitoring and review and stories of change in priority programme sectors</p>	<p>Director</p> <p>Director</p> <p>Programme Learning Manager</p>	<p>End 2010</p> <p>Annually</p> <p>Ongoing</p>	
	<p>Internal Review Processes</p> <p>CAFOD internal reviews underway or completed:</p> <ul style="list-style-type: none"> - Gender Review (report) - Tsunami Partnership Review (report) - Capacity Building Review (report) - PCM Review (report) - Decentralisation Review (management action plan) - Supply Chain Management Review (manual) - Baseline survey on Accompaniment (report) 	<p>Key recommendations made are effectively taken forward at appropriate levels (corporate, programmes, partners, staff, systems), appropriate changes are implemented and the progresses of such are continually reviewed</p>	<p>Incorporate 'review' guidelines and processes into Evaluation policy (see below)</p>	<p>ILT</p>	<p>End 09</p>	<p>BM3 4 & 6</p>
	<p>PCM Handbook</p> <p>'Impact' stage of PCM in development – includes process map for measuring programme impact and documenting lessons learned</p> <p>MSGA (Monitoring Summary and Grant Appraisal) and Programme Progress Report - provides a summary of the progress of the project against its anticipated outcomes</p> <p>Project Cycle Review and End of Programme Report – records what the project has achieved and main learning points</p>	<p>PCM process provides tools and guidelines for staff and partners to facilitate ongoing project and programme learning</p>	<p>Review of accountability and quality commitments should be integrated into all M&E formats and internal audit processes</p> <p>Training on 'Impact' stage of PCM rolled out</p> <p>Regular monitoring takes place through reports from partners and field visits by programme staff</p>	<p>PCM Manager</p> <p>M&E Advisor</p> <p>Programme Learning Manager</p>	<p>Dec 09</p> <p>Ongoing</p>	
	<p>Programme Evaluation Policy, Guidelines and Training Package/Materials</p>	<p>PL team lead on the capture, evaluation and application of programme learning ensuring that learning from international programmes informs management decisions around planning, strategy development and allocation of resources</p>	<p>Develop policy and guideline, together with training package and materials, on programme evaluations (including ref to OECD-DAC criteria, DEC Evaluations Policy and HAP principles)</p> <p>Roll out of policy and guidelines with training</p>	<p>M&E Advisor</p>	<p>July 2009</p> <p>Sept 09</p>	<p>BM 6</p>
	<p>External references</p> <p>CAFOD is a member of ALNAP (Active Learning Network for Accountability and Performance)</p>	<p>Remain actively involved to promote learning and understanding of key policy issues and best practice</p>	<p>Share programme evaluations with ALNAP network</p> <p>Share key learning documentation and reports with staff and partners</p>	<p>Head HD</p>	<p>Ongoing</p>	
	<p>Partners</p> <p>The MSGA and PPR encourage times of reflection asking programme staff to identify "significant changes that may have affected the partner / project during the previous period</p>	<p>key learning reports, outcomes and recommendations are shared with partners from monitoring visits and evaluations are shared with partners</p>	<p>Develop appropriate mechanisms for sharing with partners</p>	<p>Programme Learning Manager</p>	<p>Ongoing</p>	

HAP Principles for Humanitarian Action

Primary principles

Humanity: upholding the right of all persons to receive and give assistance.

Impartiality: providing humanitarian assistance in proportion to need and with respect to urgency, without discrimination based upon gender, age, race, impairment, ethnicity and nationality or by political, religious, cultural or organisational affiliation.

Secondary principles

Informed Consent: ensuring that the intended beneficiaries, or their representatives, understand and agree with the proposed humanitarian action and its implications.

Duty of care: ensuring that humanitarian assistance meets or exceeds recognised minimum standards pertaining to the wellbeing of the intended beneficiaries.

Witness: reporting on policies or practices that affect the wellbeing of disaster survivors.

Tertiary principles

Transparency: ensuring that all relevant information is communicated to intended beneficiaries or their representatives, and other specified parties.

Independence: acting under the authority of the governing body of the agency and in pursuit of the agency's mandate.

Neutrality: refraining from giving material or political support to parties to an armed conflict.

Complementarity: operating as a responsible member of the humanitarian assistance community.

Accountability Working Group Members: - Cathy Fitzgibbon; Claire Goudsmit; Colette Fearon; Mark Higgins; Nik Bredholt; James Marchant; Jennifer Hadley; Jo Jeans; Joanna Elkington; Clare Dixon; Lorraine Walsh; Steve Tassie

HAP Principles of Accountability

1) Commitment to humanitarian standards and rights - Members state their commitment to respect and foster humanitarian standards and the rights of beneficiaries

2) Setting standards and building capacity - Members set a framework of accountability to their stakeholders (footnote). Members set and periodically review their standards and performance indicators, and revise them if necessary. Members provide appropriate training in the use and implementation of standards.

3) Communication - Members inform, and consult with, stakeholders, particularly beneficiaries and staff, about the standards adopted, programmes to be undertaken and mechanisms available for addressing concerns.

4) Participation in programmes - Members involve beneficiaries in the planning, implementation, monitoring and evaluation of programmes and report to them on progress, subject only to serious operational constraints.

5) Monitoring and reporting on compliance - Members involve beneficiaries and staff when they monitor and revise standards. Members regularly monitor and evaluate compliance with standards, using robust processes. Members report at least annually to stakeholders, including beneficiaries, on compliance with standards. Reporting may take a variety of forms.

6) Addressing complaints - Members enable beneficiaries and staff to report complaints and seek redress safely.

7) Implementing partners - Members are committed to the implementation of these principles if and when working through implementation partners.

Footnote: Framework of accountability includes standards, quality standards, principles, policies, guidelines, training and other capacity-building work, etc. The framework must include measurable performance indicators. Standards may be internal to the organisation or they may be collective, e.g. Sphere or People in Aid.