

TERMS OF REFERENCE for HAP Team Deployment in Response to the IDP Crisis in Sri Lanka

I. BACKGROUND

The New Emergencies Policy (NEP) sets out a commitment by the HAP membership to make a special collective effort to apply the HAP Principles of Accountability from the outset of all new humanitarian emergencies. The terms of reference have been developed based on feedback gathered from agencies working in Sri Lanka following the NEP teleconference held 29th May 2009. It proposes the deployment of the HAP Team for three months from July 2009 onwards to work with HAP member agencies, their partners, and other interested agencies responding to the current IDP crisis in Sri Lanka to enhance understanding and improve practice of humanitarian accountability and quality management.

Seventeen HAP members are currently responding to the IDP crisis, directly and through implementing partners: ACFID, ACT, ACTED, CAFOD, CARE, Christian Aid, DanChurchAid, Danish Refugee Council, MERCY Malaysia, Muslim Aid, Norwegian Church Aid, Norwegian Refugee Council, Oxfam GB, PMU Interlife, Save the Children UK, Tearfund, and World Vision.

II. PROPOSED AIM, KEY OBJECTIVES AND ACTIVITIES

Overall aim: to improve understanding about, and strengthen performance of, the humanitarian accountability and quality management practices of participating HAP Members and their partners responding to the IDP crisis in Sri Lanka.

Before undertaking the proposed activities below, the HAP Team will have an in-country planning meeting, which will take place to review the key objectives and activities of the deployment as laid out in this ToR in order to ensure they are context specific and relevant to needs of the participating agencies.

The three key objectives proposed are:

Objective 1: To identify and deliver appropriate immediate and direct support activities with participating agencies to implement context-specific accountability mechanisms and strengthen quality management systems related to programme delivery.

To achieve this the HAP Team will work alongside designated staff from participating agencies to conduct a Guided Self-Assessment of planned and actual practice related to the current IDP crisis against the HAP 2007 Standard in Humanitarian Accountability and Quality Management, in order to identify good practice and gaps. Where agreed, relevant practical support will be provided to address the identified gaps, with a focus on immediate activities.

Expected aims and outcomes for participating agencies:

1. *Immediate action for strengthening accountability and quality management systems is identified and support is provided in achieving these.* By the end:

- a. Strengths and gaps of existing or planned accountability practice are identified.
- b. *Access permitting:* Beneficiary input is sought to identify preferred means to strengthen accountability mechanisms.
- c. Immediate actions for improved processes, and means for integrating these into existing activities are identified.
- d. As needed support has been provided to strengthen accountability throughout programme planning, delivery, and monitoring and evaluation practice, and where needed develop systems that are more likely to ensure and take forward good practices. This may include a focus on developing; a contextualised accountability framework (draft)¹ for an agency's accountability

¹ This accountability framework is a set of definitions, procedures, and standards that specify how an agency will ensure accountability to its stakeholders. It includes a statement of commitments, a status review, and an implementation plan. Commitments may include external and internal standards, codes, principles and guidelines, values, mandates and charter.

commitments; systems related to information and transparency; participation and informed consent; and complaints handling; processes for continuous improvement against accountability commitments, partnerships; and management practice related to staff competencies needed to meet accountability commitments.

- e. Longer-term actions for improved processes are developed into an action-plan, and ways to continually review and improve on existing systems are identified.

2. *Agency and staff capacity is strengthened.* By the end:

- a. Staff involved have a shared vision of and commitment to the importance of accountability and quality management in programming.
- b. Staff involved better understand how to use the guidance provided by the HAP Standard to strengthen accountability mechanisms and continually improve practice.
- c. For agencies receiving direct support: One or more designated agency staff have worked closely with the facilitator and have the skills, and confidence to take forward the work in the longer-term.

Activities to achieve this:

Activities for participating agencies are likely to include a combination of joint-agency trainings, and individual-agency reviews of practice at Colombo level and, dependent on access restrictions, at field-office and camp level. Specifically activities will include:

- Briefing to introduce the HAP 2007 Standard (senior Management and designated staff- 0.5 day)
- Workshop to prepare for the Guided Self-Assessment (*inter-agency for participating agency's senior managers and designated staff, 1 day; agencies undertaking self-assessment without HAP team's direct guidance, 2 days*)
- On the job coaching to the designated staff in conducting a self-assessment including:
 - How to review the agency's existing and planned accountability processes through a combination of key document reviews, staff discussions, and self-assessment activities (*designated and relevant staff, agency- specific, 1 day*).
 - *Access permitting*: Seeking and incorporating beneficiary input to further improve the effectiveness and relevance of the agency's accountability and quality management system. Depending on the agency this may focus on understanding existing agency practice from the perspective of the end users, or identifying preferred and needed mechanisms to be piloted in conjunction with affected-communities (*designated and relevant staff, agency- specific, 1 day– excluding travel time*).
 - Identifying immediate action based on findings, and ways in which strengthened practice can be integrated into existing ways of working; developing an immediate and medium-term action plan to strengthen accountability and quality management; supporting with initial steps to achieve immediate action (*designated and relevant staff, agency- specific, 1 day*).
- Workshop to collectively examine the Guided Self-Assessment findings and use the opportunity to share good practice and immediate action taken, and identify common gaps. Based on this workshop common areas for further support and joint action will be decided (*inter-agency for participating agency's senior managers and designated staff – 1 day*).
- Further tailored support will be provided based on the Guided Self-Assessment findings to address the integration of stronger accountability practices into programme planning, delivery and monitoring and evaluation (*time needed dependent on focus negotiated with agency*).
- Where needed specialised HAP services will be sourced. These may include; specialised complaint and response mechanism workshops, management of complaints and investigations workshops and agency baselines.

As part of Objective 1, the HAP team will work directly with five interested agencies (identified on the basis of first come, and commitment to undertake and continually improve the set of activities outlined above). The capacity of four other interested agencies to conduct accountability self-assessments will be built, enabling them to independently undertake the process in their organisations. The exact time-frame for Guided Self-Assessment will be agreed with each agency including options for 'spacing out' contact days.

The five agencies participating in direct support under Objective 1 will:

- a. Jointly agree and sign a bilateral MoU between the agency and HAP.
- b. Strengthen the communication between the agency and in-country staff and sharing of good practise, actions undertaken and lessons learnt during the HAP deployment takes place to ensure that a process of continual learning and knowledge management is established.

- c. Make available the designated staff and support them throughout the proposed activities, including during the field visits (*access permitting*).
- d. Facilitate access to required management processes, staff and documentation, and if possible project sites as part of the assessments.
- e. Have senior management commitment to act upon the findings from the self-assessment in a timely manner, along with making necessary resources available to support with longer-term action.

The four agencies receiving indirect support under Objective 1 – through core staff training, guidance and advice – to assess their accountability mechanisms will:

- a. Make the designated staff (see below) available and support them throughout this work.
- b. Provide necessary resources to undertake at least one self-assessment
- c. Develop a plan to address gaps identified in the self-assessment and report against it.

The designated staff will be assigned by the Country Director of the participating agency, observing that:

- They are committed to improving programme quality and accountability to disaster-survivors
- They have requisite authority and leadership to undertake necessary actions and can carry through recommendations in driving their agency's efforts to improve quality and accountability of humanitarian action. This will include reporting directly to senior management/focal points on their work and progress and updating HAP team regularly.
- They are able increase learning by effective sharing across the organisation, in a manner which leads to continual improvement and organisational change.
- They are more than likely to remain employed by the agency in the following 6-12 months.
- They are familiar with the agency's work and the prevailing humanitarian context

Objective 2: To facilitate collective learning on issues of humanitarian accountability and quality between HAP members, their partners and other interested agencies within Sri Lanka in order to: identify challenges and opportunities to strengthening accountability within the current IDP crisis; promote the sharing of existing good practice between agencies; highlight learning relevant to the current response.

Inter-agency activities to achieve this will include facilitation towards:

- Establishing an 'Accountability and Quality Working Group' as part of an existing network or new forum through which staff from interested agencies can:
 - Discuss challenges and opportunities for strengthening accountability
 - Share learning to date, and examples of good practice
 - Develop tools and approaches that can be tried and tested
 - Build a greater understanding of how to strengthen humanitarian accountability and quality management in Sri Lanka.
- Dissemination of user-friendly written practical core lessons and examples from agencies, guidelines, tools, and practitioner notes on good practice.
- Translation of the HAP Standard into Sinhalese and Tamil.
- Raising awareness among donors on their role in strengthening accountability and quality
- Identify means of sustaining the 'Accountability and Quality Working Group' beyond the HAP deployment.
- Explore options for joint learning activities between HAP members and their partners at Colombo, sub-office and field level, and for piloting joint information dissemination, and complaints handling systems.

Objective 3: To analyse, and share outputs and lessons learnt during the deployment, so that HAP and member agencies can continually improve impact and practice

Activities to achieve this will include:

- An After-Action-Review to assess the impact of the accountability activities undertaken by the HAP team and the participating agencies in Sri Lanka as a result of the three-month deployment. Findings will be summarised in a report on overall lessons learned on deployment of HAP's team under the New Emergencies Policy to strengthen deployment selection and impact.
- Identify means with participating agencies by which progress against developed action plans will be reported on within the agency and to HAP after the HAP Team has left Sri Lanka.
- Agencies will identify and implement means as to how learning from Sri Lanka will feed into wider agency learning and impact current and future humanitarian responses.
- In addition the following will be shared widely:

- Summary updates on efforts, specific measures implemented and options explored as how best to overcome the challenges faced in strengthening humanitarian accountability and quality in the existing context.
- Concise report written jointly by the HAP Team and the agency on activities undertaken by HAP team and participating agencies in Sri Lanka, including good practice examples and case studies where appropriate.

Implicit in each of the three objectives is an emphasis on exploring options for:

- Identifying capacity at country-level to continue to lead work on NGO quality and accountability to beneficiaries. This will include: working with World Vision staff seconded to the HAP Team; working with designated staff from agencies participating in the self-assessment activities (under Objective 1); working with national forums/networks as part of the '*Accountability and Quality Working Group*' (under Objective 2) and share information with interested agencies regarding HAP Membership, certification and accreditation.
- Working collaboratively with national and international agencies responding to the IDP crisis and other organisations that may be working on complementary approaches, to improve practice, share learning and resources as appropriate. This includes working with the CWS-P/A accountability team while in Sri Lanka as part of the LWR project.
- Collaborating with other Quality and Accountability (Q&A) initiatives in the spirit of inter-operability, when and where possible.

III. CAPACITY AND ROLE OF THE HAP TEAM

The HAP Sri Lanka Team consists of two HAP staff members with experience of working in emergencies, with knowledge and skills in the practice and assessment of accountability to beneficiaries. In Sri Lanka the HAP Team will be joined by an experienced World Vision staff member seconded to the team, who has been working on accountability and quality issues during the Tsunami response in Sri Lanka.

The HAP Team has responsibility for delivering these activities, and to report to HAP members, participating agencies, and the HAP Secretariat.

III. TIMEFRAME AND LOCATIONS FOR THE DEPLOYMENT

The deployment of the HAP roving team is proposed from early July 2009 for a period of three months. A detailed itinerary will be developed with agencies once the HAP team is in country. In brief the following timeframe is proposed (numbers refer to activities in the logframe – see below):

Activity	Week											
	1	2	3	4	5	6	7	8	9	10	11	12
Meet with HAP members: <ul style="list-style-type: none"> • Individual meetings with country directors and other senior managers to: <ul style="list-style-type: none"> ○ Introduce the HAP team and discuss ToR ○ Finalise MoU and expectations ○ Start planning for activities • Inter-agency meeting with country directors and other senior staff to start discussions on accountability. 												
1.2 – Briefing with senior managers and Workshop with designated staff												
1.3 – Guided Self-Assessment with participating agencies												
1.4 – Self-assessments learning workshop												
1.5 – Further tailored support following on from the Guided Self-Assessments												
2.1 – Interest and modus operandi of ALWG established												
2.2 – ‘Accountability Learning Working Group (ALWG)’ on-going activities												
2.3 – Scope of collective learning expanded												
3.1 - After Action Review												

Until such time as restrictions on access to affected areas and beneficiaries are eased, activities will be conducted in Colombo (and/or other accessible areas). Visits to other field offices in Jaffna, Mannar, Vavuniya and Trincolalee, and the camps will be at the invitation of HAP members and other participating agencies, *and will be dependent on access restrictions at the time.*

V. LOGFRAME

GOAL		Enhance the accountability and quality of humanitarian actions of participating HAP Members and their partners responding to the IDP emergency in Sri Lanka		
NARRATIVE	Verifiable Indicators	Means of Verification	Assumptions/Risks	
<p>PURPOSE To promote good practice of humanitarian accountability and quality management amongst humanitarian agencies operating in Sri Lanka.</p>	<ol style="list-style-type: none"> 1. Good practices in humanitarian accountability and quality management of humanitarian action identified. 2. All participating agencies integrate Principles of Accountability to beneficiaries into immediate and longer-term activities and programming. 3. Agencies lead on integrating learning from Sri Lanka context into wider accountability and quality systems 	<ul style="list-style-type: none"> ▪ Interviews with staff of participating agencies and other relevant stakeholders. ▪ Documentation on Good practises and case-studies ▪ Experience and learning from Sri Lanka are integrated into practice through established processes of continual improvement. 	<ul style="list-style-type: none"> ▪ Availability of resources from HAP members to lead on quality and accountability processes ▪ Participating NGOs' motivation and receptiveness to humanitarian accountability and quality; their ability to translate knowledge into practice; and capacity to promote good practice to other humanitarian agencies ▪ Low staff turn-over 	
<p>OUTPUT 1: In order to strengthen quality management systems related to programme delivery, participating agencies assess their level of accountability.</p>	<ol style="list-style-type: none"> 1. Enhancement of staff awareness about humanitarian accountability and quality related issues. 2. At least 5 agencies undertake the self-assessment process and use findings as the basis for immediate action to strengthen accountability and quality. 	<ul style="list-style-type: none"> ▪ Interviews with field staff and senior managers ▪ Internal reports and minutes from self-assessment sessions. ▪ Action plans ▪ Humanitarian Plans 	<ul style="list-style-type: none"> ▪ Participating agencies are open to self-assessments ▪ In-country and senior management provide support and encouragement to field staff to take processes forward ▪ Actions plans will be implemented, and monitored by the agency. 	
<p>OUTPUT 2: Humanitarian agencies in Sri Lanka engage in collective learning on humanitarian accountability and quality within the given context.</p>	<ol style="list-style-type: none"> 1. Collective learning helps agencies identify ways to overcome challenges and try new practice in order to strengthen accountability. 2. At least two Members work with HAP and/or another Member to undertake collaborative learning activities. 	<ul style="list-style-type: none"> ▪ Records of meetings ▪ Interviews with NGO staff and relevant stakeholders ▪ Summary Report of collective learning activities 	<ul style="list-style-type: none"> ▪ Senior managers support staff to trial new practice. ▪ Participating NGOs are willing to encourage collaborative approaches and lesson sharing. 	
<p>OUTPUT 3 To analyse, document and share outputs and lessons learnt from the deployment, so that HAP and member agencies can continually improve impact and practice.</p>	<ol style="list-style-type: none"> 1. HAP and member agencies actively participate in an After Action Review to measure impact of the accountability activities undertaken by the HAP team and the participating agencies and also provide feedback on the deployment methodology. 2. Key learning documented and shared with humanitarian community within Sri Lanka and worldwide 	<ul style="list-style-type: none"> ▪ After Action Review methodology and framework. ▪ Records of discussions with key actors ▪ Reports, case studies and learning documented and shared. 	<ul style="list-style-type: none"> ▪ Senior member agency staff interested in participating. ▪ Three months is sufficient to start to bring about measurable change. ▪ Agencies use learning from Sri Lanka to feed into agency wide learning. 	

ACTIVITIES	Verifiable Indicators	Means of Verification	Assumptions/Risks
<p>OUTPUT 1 activities (To strengthen quality management systems related to programme delivery, participating agencies assess their level of accountability and quality)</p> <p>1.1 Identification of NGOs, designated staff, and funding secured.</p>	<p>1.1.1 Five NGOs interested in direct support to review accountability mechanism, and designated staff identified from each agency, identified.</p> <p>1.1.2 Four other NGOs, and designated staff, who will receive training on self-assessment identified.</p> <p>1.1.3 Timetable of self-assessment activities agreed.</p> <p>1.1.4 Bi-lateral MoUs signed between HAP and participating agency (signed by country director and agency accountability focal point)</p>	<ul style="list-style-type: none"> ▪ Confirmation of names of NGOs and designated staff from Country Directors. ▪ Gantt chart ▪ Signed MoUs 	<ul style="list-style-type: none"> ▪ NGOs and their Country Directors are willing and able to make resource commitment within proposed timelines.
<p>1.2 Joint-agency trainings with senior managers and designated staff in preparation for the guided self-assessment.</p>	<p>1.2.1 At least nine designated staff and nine senior managers briefed and trained.</p> <p>1.2.2 Methodology for self-assessment agreed.</p> <p>1.2.3 Agencies have identified opportunities for how they will use self-assessment findings.</p>	<ul style="list-style-type: none"> ▪ Training material – workshop agenda and participant evaluation results. ▪ Self-assessment framework and tools. 	<ul style="list-style-type: none"> ▪ Availability of staff and level of commitment to be involved in this initiative.
<p>1.3 Designated staff with HAP team support undertake self-assessment of existing and planned accountability mechanisms, and draft action plan to address gaps</p>	<p>1.3.1 Five agencies undertake self-assessment process guided by HAP staff through a combination of staff discussions, assessment tools, review of documentation, at Colombo level.</p> <p>1.3.2 Access <i>permitting</i>: five agencies seek beneficiary input to strengthen accountability mechanisms with HAP support – to review existing practice or identify preferred mechanisms.</p> <p>1.3.3 Immediate and medium-term action plans.</p>	<ul style="list-style-type: none"> ▪ Records from staff discussions, assessment tools, and documentation reviewed. ▪ Record of beneficiary consultations. ▪ Agency action plans. 	<ul style="list-style-type: none"> ▪ Access restrictions improve ▪ Staff willing and able to action upon findings.
<p>1.4 Joint workshop to analyse findings of self-assessments with senior managers and designated staff</p>	<p>1.4.1 Nine agencies participate, sharing their key findings and learnings.</p> <p>1.4.2 Areas for joint action are explored</p>	<ul style="list-style-type: none"> ▪ Workshop agenda and summary 	<ul style="list-style-type: none"> ▪ Agencies set aside resources to act collectively. ▪ No new emergency puts strain on staff availability.
<p>1.5 Tailored support in addressing gaps (based on needs, maybe agency specific or joint)</p>	<p>1.5.1 HAP Team provides continued and direct support to agencies.</p> <p>1.5.2 As a result each participating agency will have an average of 2 concrete actions underway, that will include a combination of the following:</p> <ul style="list-style-type: none"> ▪ Strengthened information dissemination mechanism. ▪ Designed piloted complaints handling mechanism, or strengthened existing mechanisms 	<ul style="list-style-type: none"> ▪ Records of meetings and support provided. ▪ Agency reports of improved practice, and outcomes from this. 	<ul style="list-style-type: none"> ▪ Availability of staff and level of commitment to be involved in the initiative ▪ Senior Staff and management agree and commit to act upon recommendations

ACTIVITIES	Verifiable Indicators	Means of Verification	Assumptions/Risks
	<ul style="list-style-type: none"> ▪ Strengthened the mechanisms they use to engage affected-communities in decision-making and seek informed consent. ▪ Developed a contextualised accountability framework for the IDP emergency response. 		

ACTIVITIES	Verifiable Indicators	Means of Verification	Assumptions/Risks
OUTPUT 2 activities (Humanitarian agencies in Sri Lanka engage in collective learning on humanitarian accountability and quality within the given context)			
2.1	<p>Interest and modus operandi for a 'Accountability & Quality Working Group' established.</p> <p>2.1.1 Concept as outlined in ToR supported by HAP member agencies working in Sri Lanka.</p> <p>2.1.2 Existing forums/networks, which could host a 'Accountability & Quality Working Group', explored.</p> <p>2.1.3 Preferred methods for continued sharing of good practice and learning identified.</p> <p>2.1.4 Agenda of topics for discussion developed with agency staff input</p>	<ul style="list-style-type: none"> • Email and phone conversation notes on ToR. • Emails/communications notes on existing forums/networks. • Results to learning and topics survey. • Agenda of topics. 	<ul style="list-style-type: none"> ▪ Existing forums/networks exist and are interested in learning on accountability. ▪ Interest in an 'Accountability Learning Working Group' as outlined in ToR reflects interest at country level.
2.2	<p>'Accountability & Quality Working Group' regularly:</p> <ul style="list-style-type: none"> ▪ Discusses options for overcoming potential challenges. ▪ Shares learning and examples of practice tried ▪ Develops tools and approaches that can be tried and tested 	<ul style="list-style-type: none"> ▪ Meeting notes, and/or copies of email exchange. ▪ Participation lists ▪ Guidelines, tools, lessons learnt disseminated. ▪ Material publicly available on HAP website. ▪ Agency reports of action undertaken. 	<ul style="list-style-type: none"> ▪ Agencies want to participate in collective learning ▪ Participating agencies are willing to allocate staff time to attend, and support staff in taking forward learning within agency.
2.3	<p>The scope of collective learning is expanded so that:</p> <ul style="list-style-type: none"> ▪ Peer learning on accountability continues after the HAP team have left the country. ▪ Participating agencies undertake specific joint learning activities. 	<ul style="list-style-type: none"> ▪ Record of meetings ▪ List of possible options ▪ Records of interest and participation from relevant bodies. ▪ Agency reports of joint activities. 	<ul style="list-style-type: none"> ▪ Context remains feasible ▪ There is an interest within Sri Lankan NGOs to pursue agenda of accountability and quality. ▪ Agencies set aside resources to act collectively.

ACTIVITIES	Verifiable Indicators	Means of Verification	Assumptions/Risks
<p>OUTPUT 3 activities (To analyse, document and share outputs and lessons learnt from the deployment, so that HAP and member agencies can continually improve impact and practice).</p>			
<p>3.1 After Action Review (AAR) conducted to review the appropriateness and impact of HAP roving team activities.</p>	<p>3.1.1 After Action Review methodology jointly developed by members and HAP. 3.1.2 After Action Review activities undertaken in Sri Lanka at end of three-month deployment with HAP member lead (including AAR workshop). 3.1.3 Learning on NEP methodology from Sri Lanka reviewed at the annual Peer Support Group (PSG) meeting with focal points (including integration of learning to strengthen practice at an agency level).</p>	<ul style="list-style-type: none"> • After Action Review work plan. • AAR workshop and PSG meeting materials. • Agency specific case studies. 	<ul style="list-style-type: none"> • HAP members are willing and able to take the lead on the AAR. •
<p>3.2 Key learning from deployment documented and disseminated</p>	<p>3.2.1 Monthly reports from HAP team in Sri Lanka summarising activities undertaken, specific measures implemented and challenges faced and overcome. 3.2.2 6 good practice case studies disseminated. 3.2.3 Report on the process and immediate findings of deployment of HAP's roving team to Sri Lanka (incorporating AAR findings) – by Nov 2009.</p>	<ul style="list-style-type: none"> • Copies of the reports (available on HAP website) • Copies of case studies. 	<ul style="list-style-type: none"> • Agencies interested in documenting case studies.
<p>3.3 Focal points are actively involved and take the lead on further activities, applying learning to their wider organisations.</p>	<p>3.2.4 Reported progress from agency (as of Jan 2010) against a) action-plans from participating agencies, and b) how learning from Sri Lanka has been fed into wider agency learning, feeds into understanding on the longer-term impacts of a three-month deployment. 3.2.5 Brief summary of longer-term progress produced based on progress reported by agencies - by end of Feb 2010. 3.2.6 A HAP Member invokes the NEP Protocol for future deployments.</p>	<ul style="list-style-type: none"> • Agency progress reports from country and focal persons. • Minutes of the NEP teleconference for a proposed deployment. 	<ul style="list-style-type: none"> • Agencies adopt and continue to report on action plans, and are willing to share this with HAP. • Staff turnover and continuity of focal point's role • Agencies assume ownership and leadership