



# The 2010 HAP Secretariat Report

**HAP** Humanitarian  
Accountability  
Partnership

**Front cover:**

Children living in a tent on the road out of Port-au-Prince, Haiti, following the devastating earthquake of January 12, 2010.

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# **The 2010 HAP Secretariat Report**

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## List of abbreviations

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

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

## Introduction

The year 2010 was defined by the impact of two of the worst crises in recent years. The Haiti earthquake and the Pakistan floods challenged the aid community in a number of ways and highlighted the need to further improve the humanitarian response system. For HAP, it was a year of accelerated interest in accountability processes and growth, with 14 new members joining the partnership, two more members achieving certification and five undertaking a HAP-facilitated baseline analysis against the HAP Standard. The Board approved the *2010 Standard in Accountability and Quality Management* in October, after a successful consultation and review process involving a large number of field staff, crisis-affected people, and other relevant stakeholders. Partnerships and shared learning with other quality and accountability initiatives continued during the year, leading to complementary approaches to improve organisational practice in the field.

This report presents an account of initiatives and activities carried out by the HAP Secretariat during 2010. The momentum reached in 2010 will be carried forward into 2011 with a continued focus on:

- Advocacy with crisis-affected communities, member agencies and other key stakeholders to intensify demand for accountability;
- Strategic engagement with UN organisations and with the donor community;
- Increased outreach with the broader humanitarian community to share and develop options for meaningful and practical improvements in accountability and quality assurance;
- Stronger involvement with HAP members, quality and accountability partners, donors and other supporters to deliver services and governance processes relevant and responsive to their needs;
- More effective communication with the research community to undertake studies on the linkages between improved accountability

through systematic programme quality management and outcomes for beneficiaries and donors alike;

- Targeted capacity building support on improved accountability and quality management practices in countries with evident demand and potential for growth; and
- Expansion of HAP's verification, certification, and organisational development services to meet growing demand.

The 2010 HAP Secretariat Report comprises of two main sections:

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

**The second section** is structured by the six main outputs in the *2010 Secretariat Work Plan* (full copy available online at: <http://www.hapinternational.org/pool/files/2010-2011-workplan-board-version.pdf>). It introduces some highlights from the year based on the main output indicators in the work plan, before reporting progress against each of the activities in the work plan for 2010.

# I. Summary report against the strategic plan

## Strategic objectives

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

The highlight of 2010 towards this objective has been completing the review of the *HAP 2007 Standard in Humanitarian Accountability and Quality Management*, based on learning from its application and consultation with a broad range of stakeholders, including field staff and disaster-affected communities. Over 1,900 individuals in 56 countries contributed to this process, exceeding the proposed target. As a result of the review, the *2010 HAP Standard in Accountability and Quality Management* was prepared and approved by the Board in October. The latest edition of the HAP Standard is explicitly applicable to multi-mandate organisations and organisations working with partners, includes stronger elements of financial accountability and is more robust in preventing sexual exploitation and abuse. The 2010 edition is also more coherent with the assessment tools of other relevant quality assurance schemes.

During the year, the Secretariat translated and encouraged the translation of its standards, guides, compliance verification guidelines and learning from good practice into languages and formats relevant in the main countries of operation. A resource section was made available on the HAP website in French and Creole. At the end of 2010, the HAP Standard (2007 edition) could be downloaded from the HAP website in 11 languages.

The development of guidelines for third parties to facilitate HAP organisational development services, including HAP Standard baseline analyses, was postponed. The terms of reference for the HAP Accreditation Standard were made available for feedback in the public domain, although work on the development of this standard was also deferred to 2011. Next year, HAP will investigate and test new certification options specifically designed for

utilisation by large federated or decentralised agencies, in collaboration with these agencies.

A draft research strategy was developed in 2010. This will be consolidated based on consultation with member agencies and other key stakeholders as soon as the new Research Associate is appointed in 2011. It is envisaged that the research strategy will be implemented through a combination of in-house research and collaboration with members and research bodies in the design of studies that examine the relationship between accountability, programme quality and programme outcomes. Reporting on the costs and benefits of each completed certification process was also deferred to 2011, although a concept note for undertaking the relevant research was drafted in 2010.

After-action reviews of all deployments under the New Emergencies Policy took place in 2010, and 12 new practical tools developed by the Secretariat or HAP members were disseminated via the HAP website.

The decision to develop an online distance-learning programme on accountability and programme quality management was postponed until earmarked funding can be secured.

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

In 2010, HAP exceeded its targeted number of eight new members, with ten full members and four associate members joining the partnership. A number of membership applications were submitted as a result of recruitment efforts in target countries, along with contact in other countries where HAP staff were conducting other activities. Several membership applications were also received spontaneously, presumably in response to HAP's growing reputation and word of mouth within the humanitarian sector.

HAP and its partners provided BSO training and tailored support to over 100 agencies in 2010, contributing to a more effective response to serious and sensitive complaints.

HAP also exceeded its target of two New Emergency Policy (NEP) deployments in 2010. While joint deployments with other initiatives were explored in more than one circumstance, Haiti was the deployment where the highest degree of collaboration across quality and accountability initiatives occurred. Expressions of positive intent for future deployments were established during the year, and quality and accountability partners were included in the planning for all NEP deployments.

Collaboration also increased between HAP and member and non-member agencies in new ways in 2010. World Vision International seconded a senior staff member to the Haiti team for four months, and loaned that same staff member again to conduct the review of the NEP deployment in Dadaab. LWF seconded a staff member to the Dadaab deployment for the entire time, and RNDDH seconded a staff member to the Haiti team for two months. Models for secondment and skills sharing will continue to be explored and expanded on in future deployments. In 2011, HAP intends to review and update the New Emergency Protocol, a document now more than 5 years old.

Through HAP Standard baseline analyses and emergency deployments, HAP has developed its methodology and built its expertise to provide organisation development services. HAP has been strengthening its pool of qualified consultants to draw upon when demand is greater, and has shared the guidelines for conducting a baseline analysis with a number of agencies. These guidelines will be adapted in 2011 to match the latest edition of the HAP Standard and a self-assessment kit will be finalised and launched in early 2011.

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

Collaboration with other quality and accountability initiatives continued in 2010. HAP contributed to the regular meetings of the Quality and Accountability Group in order to continue to improve coherence of HAP's work with that of other relevant initiatives. The Chair of HAP's Board and the HAP Acting Executive Director met with the Chair of the Sphere Project Board and the Sphere Project Manager to consider areas for closer collaboration that resulted in a joint deployment to Haiti. As part of the Standard Review, progress was made in improving coherence between the HAP Standard and certification and relevant standards and quality assurance processes such as those of ACFID, the DEC and People In Aid. HAP provided capacity building support to quality and accountability partners, including on complaints response mechanisms to members of the Emergency Capacity Building Project in Bangladesh.

In 2010, HAP engaged closely with supporting donors to strengthen quality and accountability in the programmes they fund. One of the avenues that will be further explored include the addition of quality and accountability criteria in donors' programme quality guidelines, and recognition of shared criteria in accreditation schemes and HAP certification by 2012.

In recent years HAP has been engaging with UN organisations such as UNHCR, WFP, UNICEF, IOM and OCHA in a variety of settings to promote quality assurance and the HAP Standard. In 2010, this included through

all NEP deployments, through joint projects and hosting arrangements, development of tools, providing expert input to the development of various UN processes, participating on taskforces, advocating for accountability through the global and regional cluster system, and collaborating on research and evaluations.

In order to promote more systematic and robust evaluation norms for reporting on quality and accountability, the HAP Secretariat contributed to a forum and initiatives such as the CERF Five Year Evaluation, the OCHA-led Joint Humanitarian Impact Evaluation feasibility study, the IASC Working Groups and Principals' meetings, and the Good Humanitarian Donorship.

A follow-up beneficiary based consultation report on the effectiveness of measures taken to prevent sexual exploitation and abuse by aid workers was commissioned and launched in December 2010.

The annual assessment of progress towards HAP's vision was included in *The 2009 Humanitarian Accountability Report* launched in May 2010, and in *The 2010 Report* (to be launched at the HAP General Assembly in May 2011).

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

The HAP Secretariat submitted an annual compliance report to the Board, covering the status of each member's Accountability Work Plan (AWP) and progress towards certification.

While certification remains the key tool for programme quality assurance, an AWP monitoring audit is being developed and will be introduced to enable the Secretariat to confirm compliance with HAP's basic membership requirements.

In 2010, HAP certified two organisations and re-certified two others. While this is fewer than anticipated for 2010, it is envisaged that the strategic plan target will be met, with 30 organisations to be certified by 2012.

HAP continued to explore options to accredit other bodies to certify organisations against the HAP Standard, reaching an agreement with CWS P/A to outsource to them certification audits of organisations registered in the region. Quality audits will be ensured through support from the HAP Secretariat and independent review by the HAP CARB.

## **5. Responding to complaints**

A review of the procedure for complaints against members started and is scheduled for completion in 2011. While the procedure was initially designed to handle complaints raised against HAP member agencies, HAP also accepts complaints against non-members and refers them further as appropriate

At the end of 2010, HAP had a pool of six trained investigators. Planning for further quality control and certification of investigators is in progress and will be implemented in 2012 and 2013 based on demand.

In 2010, HAP supported four investigators to conduct quality investigations, exceeding the target set in the strategic plan.



# Organisational objectives

## 1. Strengthening the partnership

At the end of 2010, HAP had 49 full members and 15 associate members<sup>1</sup> from 22 countries. A full list of members at the end of 2010 is included in Annex I.

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

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

In March 2010, Nicholas Stockton left HAP after six years as its Executive Director. The Board appointed Dr. Angela Raven-Roberts as the next Executive Director, to join HAP in February 2011. Katharina Samara-Wickrama, HAP's Regulatory Services Director was the Acting Executive Director in the interim. Due to the transition in leadership and the delayed appointment of the new Executive Director, the revision of membership requirements and review of governance processes were delayed to 2011.

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<sup>1</sup> ACFID was a full member at the start of 2010 but transitioned to associate membership before the end of the year, at its request.

### **3. Securing resources**

In 2010 HAP has secured 43% of its income through core donations. Discrete thematic programmes were funded through grants, which represented 40% of overall income. Some of these programmes took place in locations that were within the geographical focus defined in the strategic plan such as India, Kenya, Sweden and UK, thus meeting the strategic target.

Revenue from service delivery and membership fee increased by 15% between 2009 and 2010 and represented 15% of overall revenue. This is below the strategic target, but demand on services increased in the last quarter of 2010 and will show real impact in 2011. The shortfall in donations and self-generated income resulted in HAP having to use part of its reserve, which it will aim to reconstitute in 2011.

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

As a result of the funding shortfall and the delayed appointment of HAP's new Executive Director, a decision was taken to defer recruitment against four vacant posts. With the continued dedication and professionalism of the Secretariat staff, HAP was able to provide quality services to members and the sector throughout the year. In order to match the available human resources with increasing demands, and to capitalise upon complementary skills and competencies, the Secretariat worked with staff from three member organisations who were seconded to HAP field deployments and contracted consultants to deliver specific tasks.

HAP engaged with People In Aid and plans to meet the requirements for certification against the People In Aid Code in order to ensure a continuation of the positive work environment and to improve even further on its work practices.

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

The Secretariat did not have the resources in 2010 to complete the analysis of its carbon footprint and to identify an appropriate programme to offset carbon emission on travel related to its activities. However, carbon reduction was actively pursued, by ensuring that every trip served multiple purposes as outlined in the strategic plan.

## II. Report against the 2010 work plan

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### Output 1

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

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The number of contributors to HAP's research, learning and knowledge sharing activities doubled in 2010 from the target set in the work plan. Over 2,500 managers, field practitioners and community representatives in 60 countries participated in HAP learning activities and informed the HAP Standard, work on the Inspectorate Project, guidelines, tools and other reports prepared during the year.

The Board approved the *2010 HAP Standard in Accountability and Quality Management* in October. Based on independent research commissioned by HAP, a report on the effectiveness of measures taken to prevent sexual exploitation and abuse by aid workers was released in December 2010. Two after action reviews took place following deployments in new emergencies, with learning captured and disseminated via reports on the HAP website.

Progress made by HAP certified organisations was tracked by HAP in 2010 as part of the certification progress, with evidence demonstrating that all certified organisations and those preparing for a baseline analysis are improving their implementation of the HAP Standard. However, due to the delay in appointing a Research Associate until 2011 and the absence of a Policy Services Coordinator in the latter part of the year, several research activities could not be delivered as planned. For example, a concept note for capturing costs

and benefits of achieving HAP certification was prepared, yet no systematic research took place in relation to HAP certifications in 2010.

**1.1. Research programme established, including collaboration between the HAP Secretariat, members and other research bodies:** The establishment of the research programme was deferred until a new Research Associate would be appointed in 2011. On the basis of a draft research strategy, the HAP Secretariat actively raised awareness about its work and promoted the adoption of relevant research topics with suitable institutions. Dialogue progressed with the Humanitarian and Conflict Response Institute at Manchester University (UK), King's College London (UK) and the Graduate Institute in Geneva (Switzerland) for their researchers to undertake studies on accountability, quality management, and outcomes. In 2011, further engagement is envisaged with other quality and accountability initiatives such as ALNAP; People In Aid and the ELRHA to advocate for, and facilitate, academic institutions undertaking studies on topics relevant to the broader quality and accountability community.

In 2010, the HAP Secretariat advised or assisted ten researchers in the development of proposals and delivery of research on accountability and quality assurance systems at different universities, including at the School of Law at New York University (USA), Disaster Studies at Wageningen University (The Netherlands), the Department of African Studies at the University of Cologne (Germany), University of Minnesota (USA), Liverpool University (UK), Leicester University (UK) and De Montfort University in Leicester (UK). Access to HAP member agencies was facilitated in relation to several studies. For example, based on the MoU with the Harvard Humanitarian Initiatives (HHI), a visit of an HHI researcher was facilitated in Haiti.

In 2010, six new case studies were made available on the HAP website. Guidelines for the Secretariat and interested organisations to collect more systematic data and prepare case studies on improvements in accountability were drafted and will be finalised in 2011.

**1.2. Commission study on the effectiveness of measures taken to prevent sexual exploitation and abuse by aid workers:** A three-person independent team carried out the study in Kenya, Thailand and Haiti between July and September. The choice of the focus countries was made in part to provide some comparison over time, since Kenya and Thailand were featured in a previous related study. The 2010 earthquake in Haiti provided an example of how PSEA measures are being implemented in the context of a large-scale, rapid onset disaster. The report was finalised and launched in December 2010.

**1.3. Organise research-practitioner conference on “Accountability to beneficiaries”:** This was postponed for another year, with the understanding that no progress will be made until HAP’s research strategy is fully operational and a Research Associate in post. The focus on 2010 was on identifying research fora where HAP can share learning from its work and seek input into the draft research strategy. In 2011, for example, three HAP Secretariat staff will contribute to the World Conference on Humanitarian Studies to be hosted by Tufts University (USA).

**1.4. Prepare Annual Humanitarian Accountability Report:** The HAP 2009 Secretariat Report and The 2009 Humanitarian Accountability Report were launched at the General Assembly in May 2010.

The preparation of the 2010 Humanitarian Accountability Report was underway at the end of 2010. John Borton started work on the overview chapter, with the expectation that a couple of external reviewers would provide comments on the first and final drafts of this chapter.

**1.5. Complete the review of the 2007 edition of the HAP Standard:** On 20 October 2010, the HAP Board, delegated by the HAP General Assembly, approved *The 2010 HAP Standard in Accountability and Quality Management*. Consultation meetings ended in March according to the timeframe agreed with key stakeholders. On 20 October 2010, the final draft of the 2010 Standard was presented to the Board by Monica Blagescu (HAP’s former Policy Services Coordinator) and David Bainbridge (from Tearfund, member of the Standard Review Steering Committee). The final draft incorporated formal feedback received from HAP members and reflected feedback from other individuals and organisations during two rounds of public consultation on earlier drafts. Over 1,900 individuals in 56 countries contributed to the preparation of the 2010 edition.

As part of the review, HAP:

- Explored options to further align the HAP and the People In Aid quality assurance processes and make the respective audits less resource demanding on agencies;
- Continued engagement with the Disasters Emergency Committee (DEC) in the UK to improve coherence between the HAP certification and the DEC verification process;
- Engaged with International Organisation of Supreme Audit Institutions (INTOSAI) to actively promote the HAP Standard and the certification

process as part of INTOSAI's efforts with donors and national audit institutions to encourage a single audit system;

- Proposed that the AusAID accreditation process and HAP certification have a number of points in common, and one simple means of creating harmony between them could be that successful evidence against one be recognised as meeting the parallel requirement of the other;
- Contributed to the ACFID code review; and
- Provided extensive feedback on several draft versions of the Sphere Project Handbook.

*The Guide to the HAP Standard* and other related documentation will be updated to reflect the 2010 edition of the Standard in line with the transition policy between the two editions.

**1.6. Complete development of the HAP Accreditation Standard:** Development of the HAP Accreditation Standard was deferred. Terms of reference for the development of the Accreditation Standard were made available in the public domain for feedback.

**1.7. Consolidate auditor registration and quality assurance procedures:** This activity was deferred due to staffing constraints. The procedures are planned for finalisation in March 2011 after a training workshop for independent auditors will take place.

**1.8. Produce training, organisational development packages: baseline guidance, self-assessment guidance, HAF guidance, investigation guidance, CRM tools etc:** The following materials were prepared in 2010:

- New *HAP NGO Checklist for Developing or Revising Codes of Conduct*;
- Materials and guidance for complaints and investigation management workshops;
- Draft of accountability self-assessment guidelines;
- Draft materials for a workshop on training of trainers in accountability;
- More concise protocols and documents for certification audits;

- Eight tools on camp assessment, complaint handling and information sharing developed based on the practical experience of the roving team during emergency deployments.

*The HAP/BSO Guidelines on Investigation* incorporated specific advice on child-focused investigations developed by Save the Children UK.

**1.9. Develop procedures for quality assuring HAP organisational development and capacity building services when delivered by an external body:** This activity was deferred until 2012 when HAP expects to have commenced the outsourcing process.

**1.10. Organise other learning activities:** Learning workshop were organised in Sri Lanka to capture lessons from the NEP deployment in the country. After action reviews were facilitated after deployments in Haiti and Kenya, with reports produced and disseminated on the HAP website. Accountability workshops that included a learning element were facilitated in Bangladesh and India.

**1.11. Development of e-learning programme on accountability and quality management feasibility study:** Terms of reference were drafted in collaboration with other quality and accountability initiatives. Specific activities were postponed until all parties would secure funding or identify another alternative option for pursuing this initiative.

**1.12. Deliver ongoing research that supports other in-house activities:** The annotated bibliography on topics relevant to HAP's work was updated with 2010 sources. Drawing on the annotated bibliography, HAP completed a literature review on quality and accountability, which will inform its future research work and will be disseminated publicly.

In preparation for *The 2010 Humanitarian Accountability Report*, data on disaster-affected communities' experiences and perceptions of the accountability and quality of the earthquake response in Haiti were collected in October. The annual survey of perceptions of humanitarian accountability was administered at the end of 2010, rendering responses from 781 individuals.

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## Output 2

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

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The work plan envisaged that, by the end of 2010, 10 new agencies would complete a baseline analysis or a self-assessment against the HAP Standard and produce a Humanitarian Accountability Framework. Seven separate baseline analyses were conducted in 2010 (either headquarter only, programme site only, or headquarter and programme site analyses conducted during the same trip), responding to demand from five member agencies. Several additional HAP Standard baseline analyses were previewed for 2010, but were deferred due to either agency circumstances or staffing issues in the Secretariat; these have been booked for the first half of 2011.

The milestone set up in the work plan for the end of 2010 was that 19 agencies have complaint handling systems and that six members have an investigation procedure and trained investigators in place. During the year, 4 HAP members as well as 1 non-HAP member organised complaints handling trainings for their partners in the Democratic Republic of Congo, Lebanon, Kenya and Norway. Staff from 8 non-members and from 7 members did take part in open complaints handling trainings organised in India and Bangladesh. 7 members and 8 non-members have staff that completed the full investigation learning programme.

The work plan made provisions for eight agencies engaged in NEP deployment to complete a self-assessment and action plan by the end of 2010. This indicator was initially framed when the predominant methodology of the NEP deployments was to conduct guided self-assessments with participating agencies. This methodology has been reviewed and altered since 2009, and now incorporates a more adaptive, consultation approach. That is to say, the Roving Team aims to conduct needs assessments prior to and during the first weeks of a deployment to determine the best strategy for each individual context. The demand for engagement with the Roving team has been higher in 2010, and includes the wider contexts in which humanitarian agencies work, therefore the team works with HAP members and non-members, including local and international NGOs and UN agencies and government bodies where

appropriate. Guided self-assessments are a time consuming activity that limits the scope and reach of the deployment, reducing potential impact and efficacy.

The after action reviews conducted after most deployments indicate impact, and are used to improve this in the future. New indicators are needed and will be developed to reflect impact more accurately.

**2.1. Meet agencies and donors, other stakeholders to promote HAP:**

As part of an integrated awareness raising and capacity building campaign, the team delivered presentations and briefed members, potential members and other key stakeholders on quality and accountability, HAP and the HAP Standard, as follows:

- In the UK: Save the Children and Merlin, the Disaster Emergencies Committee and joint HAP-DEC members;
- In Sweden: Save the Children Sweden and SIDA;
- In India: SEEDS India, National Disaster Management Authority, NGO Coordinating Committee, Sphere India, Credibility Alliance India, RedR India; Eficor and CASA;
- In Kenya: Film Aid, UNHCR, IOM and WFP through deployment;
- In Lebanon: Naba'a, Amel Association and Association Najdeh;
- In USA: UNICEF, OCHA, SAVE US, Save International, IRC, IMC, and InterAction;
- In Switzerland: ICRC, MSF Switzerland, OCHA, UNHCR, and IFRC;
- In Australia and New Zealand: Act for Peace, the Australian Humanitarian Reference Group, ACFID group briefing in Christchurch hosted by Christian World Service Aotearoa;
- In Norway: 15 NGOs at the Norwegian NGO network (NDN);
- In Haiti: numerous meetings with non-member agencies, including UNICEF, OCHA, various cluster meetings, the Salvation Army, civil society groups, Christian Reformed World Relief Committee (Canada), the ACT Forum, CRS, ARC, open trainings and presentations offered throughout the humanitarian sector;
- In Ethiopia: HAP members meeting; and

- In Germany: accountability meeting with senior consultants working in Humanitarian Emergencies.

**2.2. Improvement pathways developed with existing and new members:**

All new full members were offered a teleconference to discuss HAP processes and to plan for services and activities aiming to achieve membership obligations and improve organisational humanitarian accountability, following the announcement of their membership approval. Three quarters of new full members accepted this offer in 2010, and received guidance and support in planning improvement processes. Extensive telephone and email support was provided to more than 15 agencies investigating membership.

**2.3. Facilitate HAP Standard baseline analysis:** Five organisations underwent baseline analyses against the HAP Standard during 2010. Five of the analyses covered the organisations' headquarters, and four covered programme sites, including in India, the Sudan, the United States, Norway, and Ethiopia. With turnover in staffing in the position of Organisation Development Advisor, the position was redeveloped to a full time post, and an internal candidate was appointed, commencing in the role in May. The position being vacant over a few months, in addition to the training and orientation period required for the new incumbent, meant that a slightly smaller number of baseline analyses were able to be undertaken in 2010. Guidance and tools for agencies to conduct their own assessment against the HAP Standard have been largely developed during 2010, with finalisation pending the release of the 2010 edition of the HAP Standard.

**2.4. Conduct Humanitarian Accountability Framework (HAF) workshops and provide other support in development of implementation and improvement plans with regard to accountability and quality management:**

Individual assistance with development of Accountability Work Plans (AWPs) and Accountability Frameworks were provided to more than nine agencies during the year in response to their requests, and four HAF workshops were conducted, in Sweden, Ethiopia, the Democratic Republic of Congo and India. Assistance and advice on the development of HAFs was also provided to five agencies as a follow up to baselines and to numerous agencies during the course of Roving Team deployments. A one day planning meeting was held in the UK in collaboration with Merlin to develop a proposal for the simplification and rationalisation of AWP / HAF interface. Finalisation of this required approval of the 2010 edition of the HAP Standard to bring processes in line with each other, and now that this has happened, the project will be completed early in the New Year. Support was provided to six agencies to develop complaints-handling policies and Code of Conduct.

**2.5. Pre planning of each NEP deployment:** Extensive pre-planning occurred prior to the six-month deployment of a new roving team to Haiti. This involved a preliminary three-week mission, undertaken by a HAP staff member together with a Sphere Project resource person, and a number of interagency teleconferences, bringing together HAP members, non-members, quality and accountability initiatives and other stakeholders. A new team consisting of French speakers was recruited and trained, which included a senior staff person seconded from World Vision and a consultant.

HAP's Field Representative attended an ECB Project meeting in Nairobi in March followed by a visit to Dadaab refugee camp to meet with member agencies and UNHCR regarding a possible deployment there. An interagency teleconference was held regarding Dadaab, followed by extensive consultation with participating agencies to develop a ToR and MoUs. Funding was sought and gained from a combination of member and UN agencies. Hosting was agreed upon in collaboration between UNHCR and CARE Kenya, with a team member seconded from LWF for the duration of the deployment.

Support was provided to three member agencies who had independently contacted HAP regarding their activities in Kyrgyzstan. An interagency meeting was held in Osh, which led to planning for a two-month deployment there. ACTED hosted the consultant recruited and oriented by HAP, and the deployment was funded by the three member agencies along with two UN agencies.

An interagency teleconference was co-hosted by HAP and CARE International, as both a HAP member and ECB Project participant, regarding the flood crisis in Pakistan. An initial two-week visit was undertaken, hosted by CWS-P/A, to support CWS-P/A and other member agencies in their leadership in quality and accountability and to plan for a future engagement model. The ToR was developed, agreed upon and disseminated for the support visit.

**2.6. Deployment of NEP roving team twice per year:** During 2010, HAP deployed staff to Haiti for varying lengths of time covering a seven-month period in New Emergency roles. One staff member was seconded from a national agency to work with the team for two months. Another was deployed to conduct an internal evaluation of the HAP presence and a third person to conduct research with earthquake-affected communities. An independent researcher was also deployed to conduct a portion of the PSEA study<sup>2</sup>. The deployment was conducted in close collaboration with the Sphere Project, who sent Sphere Project consultants as part of the team. In addition the ACT

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<sup>2</sup> This study was conducted as a separate project from the NEP deployment, although the researcher was assisted by the team with regard to logistics when needed.

Alliance and in particular DCA, spearheaded fundraising for the deployment, and RedR and Bioforce, hosted the team.

A three-month deployment was conducted in Dadaab, Kenya, between July and October, and a two-month deployment was undertaken to Kyrgyzstan between September and November. The first of a planned series of surge deployments was undertaken in Pakistan in September, with the second visit planned for January 2011. PSEA and complaints handling support were provided to the Haiti, Dadaab and Kyrgyzstan deployments remotely, and ongoing management support was provided in person and remotely to all deployments.

Each roving team produced a work plan and then a monthly report against that plan which is shared with key stakeholders. Outcomes of each deployment included responding to a high demand for training and workshops. Training topics in high demand range from introduction to accountability to practical application of benchmarks (reaching more than 300 workshop participants during the Haiti deployment, for example). Other work involved development of tools, broad consultation with members and non member agencies; advocacy for accountability in the humanitarian response as a whole in a range of fora including cluster meetings and on working committees such as the Haiti PSEA committee. In addition NEP teams undertook rapid accountability assessments and reports for individual agencies, organised community consultations and independent assessments of accountability as well as writing articles and stories posted on the website.

The targets for deployments to new and escalating emergencies were significantly exceeded in 2010 due to a high number of emergencies and increasing demand from humanitarian agencies to see a HAP presence in major emergencies. These requests indicate a growing recognition of the value of this approach.

**2.7. After action review of NEP deployment and agreement on three-month follow up post deployment:** A follow up visit to the Sri Lanka deployment of 2009 was conducted during 2010, (approximately six months after the end of the deployment) to assess its impact and the sustainability of interventions. A report on this mission, entitled "What happened next?" was circulated widely and posted on HAP's website. A follow up mission has been planned and budgeted for the Dadaab deployment, to be undertaken in early 2011.

An internal evaluation of the HAP component of the Haiti quality and accountability response was designed to incorporate and adapt after action review methodologies to the particular context and nature of the deployment. A HAP staff member conducted this in September. A similar method was adapted to the Dadaab context. The evaluation was conducted by a World Vision staff member on loan from the FMPG programme in Nairobi, furthering the collaboration between World Vision and HAP through the NEP programme. The reports of both evaluations are publicly available. In October 2010, the HAP staff and the consultants deployed to Haiti and Kyrgyzstan participated in a two-day review of NEP methods, outcomes and evaluation findings to review lessons learnt and identify issues for future deployments.

**2.8. Conduct CRM Workshops:** There was a high demand for training and advisory services on complaints handling as a result of HAP Standard baseline analyses, organisations preparing for certification, and requests from new members.

Eight CRM workshops took place in the DRC, Lebanon (two), India, Kenya, Norway, Thailand and Bangladesh. The workshops took place in English, French and Arabic. In total, 130 participants from 62 national and international organisations attended the workshops. The participants represented HAP members, their partners, and non-member agencies including from UN organisations. Over 400 community members were involved in the consultations carried out by the participants. The organisations taking part in the workshops committed to improving their pre-existing complaints and response mechanism or piloting a complaints and response mechanism in at a chosen location.

Collaboration with CCSDPT in Thailand, the ECB Project in Bangladesh and Naba'a in Lebanon will ensure that capacity is developed and maintained to take forward the work of the networks in complaints handling and investigation.

**2.9. Conduct investigation workshops:** Three investigations workshops and one follow-up investigation workshop were held in Kenya, the DRC, Lebanon and Burundi. In total 62 participants from 41 national and international organisations attended. Six participants graduated from the training of facilitators programme. They were provided one-to-one coaching and jointly facilitated an investigation workshop with a HAP facilitator. Graduates will carry out training in their own organisations.

The child protection network in Lebanon has carried out activities to set up a joint complaints mechanism and provided investigation training to key staff. Investigations have also been carried out on reported complaints and staff disciplinary action has been taken.

**2.10. Support members to conduct quality investigations:** HAP provided advisory services to members on managing investigations. HAP staff assisted in investigations as requested by HAP members. The HAP Secretariat and the Standing Complaints Committee processed six complaints against members.

**2.11. Provide bespoke services on demand:** HAP was requested to provide tailored services to members and their partners and non-members in a range of countries, including the UK, India, France, Ethiopia, Bangladesh, Sweden and Germany. In total, 120 participants from 60 national and international organisations took part in the facilitated discussions and workshops on accountability and the HAP Standard. Staff codes of conduct and issues related to prevention of sexual exploitation and abuse were discussed on each of the training sessions. This subject has been integrated in all HAP training and workshops.

Due to the high demand for the training on accountability and the HAP Standard, HAP is developing a process for collaboration with training providers. To this end, the team will start a Training for Trainers programme to build capacity of local and national organisations in Asia, Africa and the Middle East to deliver accountability training in response to demand at national and regional level from HAP members, their partners and non-members.

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## Output 3

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

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The 2010 Work Plan proposed that HAP would assess its contribution to this output through the demand for HAP tools, materials and other publications; the volume of external evaluations and other publications that report on accountability to beneficiaries; and references to quality assurance and accountability in donor and UN policies, guidelines and other materials.

The demand for HAP tools, materials and publications increased in 2010 when compared to previous years. Two targets for dissemination of materials set in the work plan were exceeded: more than 1,000 copies of *The 2009 Humanitarian Accountability Report* and over 550 copies of *The 2009 HAP Secretariat Report* were distributed in hard copies or downloaded from the HAP website (up from the target of 1,200 copies); and, on average, the HAP website was visited by more than 16,700 visitors per month (up from the target of 4,000 visitors per month). While the number of newsletter subscribers did not reach 4,000, it increased steadily and reached 2,072 with the last issue.

Throughout the year, HAP actively advocated that relevant evaluations seek the views of people affected by crisis and examine accountability to communities, making some contribution to progress in the sector in this area. At the end of 2009, 45% of 22 ALNAP database evaluations considered aspects of accountability to beneficiaries, with none systematically assessing it. In 2010, the sector saw a significant increase in the proportion of evaluations considering accountability to intended beneficiaries and local communities, with several evaluation reports making strong calls for strengthened systems of accountability to disaster affected populations. Of the 40 reports on the ALNAP database that were independently analysed in 2010:

- Thirty one (77.5%) interviewed beneficiaries of humanitarian assistance as part of the evaluation process. Though comparisons with previous year should be treated with caution (due to the limited number of evaluations in the sample and differences in the composition of the sample) this result appears to represent a slight improvement over the results presented in HAR 2009 (74%) and HAR 2008 (68%); and

- Twenty four reports (60%) were judged to have explicitly considered accountability to intended beneficiaries and local communities. This result compares with just 13% in HAR 2009 and 45% in HAR 2008. Sixteen reports (40%) did not explicitly consider accountability to intended beneficiaries and local communities. (See Chapter 1 in *The 2010 Humanitarian Accountability Report*)

In 2010, HAP actively engaged in policy consultation processes and provided expert advice to several relevant initiatives. While the direct of HAP's efforts and the outcomes of such processes cannot be determined, the following are illustrative of the advocacy and advisory work to which HAP contributed:

- Disaster-affected communities were consulted in the JHIE feasibility study;
- Accountability to affected communities was one of the objectives of the RTE in Haiti, with the HAP Standard being referenced;
- Accountability to affected communities was the topic of an IASC Working Group meeting in New York, with a Principals' meeting to take forward this agenda; and
- PSEA was placed high on the agenda at the NGO Forum of UNHCR Excom in June 2010.

**3.1. Produce and disseminate materials for communicating information about HAP and its services:** Existing communications materials that present HAP and its services have been reviewed and updated. All new HAP members included information on HAP in corporate communication materials and added link to HAP's webpage.

**3.2. Develop and monitor the implementation of country-based communication and advocacy plans:** Communication support was provided to colleagues travelling to Haiti, Kenya, Kyrgyzstan and Pakistan.

**3.3. Communicate key documents in languages relevant to the main countries of operations:** The Secretariat, or HAP members with support from the Secretariat, delivered the following activities in 2010:

- Main documents were translated into French and/or Creole for the HAP team in Haiti, with a resource section in these two languages available on the HAP website;
- A member-led translation into Russian of *The HAP 2007 Standard* and *The Guide to the HAP Standard* started;

- Accountability materials and case studies were developed in German by the HAP Secretariat; and
- Materials and guidance for training workshops (investigation, follow up and complaints handling) were finalised in French by the HAP Secretariat.

At the end of 2010, the HAP Principles of Accountability could be downloaded from the HAP website in ten languages and the HAP 2007 Standard in 11 languages.

**3.4. Represent HAP and advocate key messages at strategic fora, including the UN and NGO Task Force:** The number of briefings on quality and accountability and the advice solicited of HAP staff in 2010 reached its highest peak yet. To make a direct contribution to policy processes and inform practice, the HAP Secretariat:

- Provided feedback on the ToR for the Inter-Agency Real Time Evaluation of the Haiti Earthquake (final version referenced the HAP Standard);
- Facilitated members' contribution to the OCHA-led consultations on the future of joint humanitarian impact evaluations in Bangladesh and Southern Sudan;
- Responded positively to an invitation to be part of the CERF Five-Year Evaluation Steering Group;
- Provided input as part of an expert consultation committee assisting OCHA to develop the humanitarian dashboard;
- Worked jointly with the NGOs and Humanitarian Reform Project in preparation for a presentation at the Spring meeting of the IASC in New York (USA);
- Presented an overview of beneficiary accountability in Haiti at the Good Humanitarian Donorship meeting in New York (USA);
- Accepted an invitation to contribute to the Steering Committee for the IASC Global review of protection from sexual exploitation and abuse and provided support to the consultant working on the review;
- Delivered a session on accountability during the Advanced Training Programme in Humanitarian Action in Sweden;
- Presented at the NIDOS workshop on effectiveness in Glasgow (Scotland);

- Co-facilitated CWS P/A round table meeting in Islamabad (Pakistan);
- Presented at the Transparency International / Government of Pakistan one day conference in Islamabad (Pakistan) on the transparent use of flood relief funds;
- Presented as keynote speaker at the ACFID Annual Conference in Australia; and
- Contributed to a panel at Deauville Women's Economic Forum Global Meeting (Switzerland).

To complement the direct contributions above and other ongoing briefings for members and potential members, Secretariat staff took on many opportunities to promote HAP, the Standard and quality assurance by attending other relevant events such as:

- Meetings of the ECHA/ECPS UN and NGO Taskforce on protection from sexual exploitation and abuse;
- The DEC AGM and the ALNAP meeting on joint evaluation of the Haiti response in London (UK);
- The Conduct and Discipline Unit at UN Peacekeepers' annual conference in New York (USA);
- The roundtable on Sexual Violence in DRC, organised by HD Centre in Geneva (Switzerland);
- World Vision International workshop on beneficiary complaints and grievance mechanisms;
- The MSF conference in Amsterdam (Exploring the future of medical humanitarian action: Where are our borders?);
- The UNHCR EXCOM event hosted by the Danish government on Dadaab;
- The ELRHA international working forum on humanitarian professionalisation; and
- The ELRHA stakeholder's symposium (Building Partnerships for Humanitarian Impact: symposium on successful collaboration between higher education and humanitarian communities).

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, AusAID (Australia), CIDA (Canada), Danida (Denmark), ECHO (the European Commission), the Oak Foundation, SIDA (Sweden) US Department of State (BPRM), 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. A group briefing was also held with donors in Haiti.

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 one-day training on the Humanitarian Programme Management Course took place in partnership with Bioforce. The HAP team also worked in collaboration with the ECB Project and the NGO and Humanitarian Reform Project to develop capacity of staff on quality and accountability in general.

**3.5. Distribute the annual reports:** *The 2009 Humanitarian Accountability Report* was disseminated on the HAP website and links added to external sites. Over 730 hard copies of *The 2009 Humanitarian Accountability Report* were distributed throughout 2010 and 290 visitors downloaded the online version of the report. There were also over 400 hard copies of *The 2009 HAP Secretariat Report* distributed and the online copy of the Secretariat report was downloaded more than 150 times.

**3.6. Print and disseminate HAP Standard and guidance documentation for its implementation:** In 2010, over 1,600 hard copies of the French version of The HAP 2007 Standard in Humanitarian Accountability and Quality Management were distributed, mainly in Haiti after the January earthquake. More than 960 hard copies of the HAP Standard were distributed in English.

On the HAP website, the English version of the HAP Standard was downloaded by 2,870 visitors; the French version was downloaded by 443 visitors.

**3.7. Launch the 2010 edition of the HAP Standard and guidance:** In line with the review process work plan, this activity was scheduled for 2011.

**3.8. Disseminate other HAP reports and publications:** The HAP 2007 Standard was the most downloaded file from the HAP website (2'870 visitors), followed by "The Accountability Framework" (1'744 visitors). The tools and case studies page on the HAP website received 3'408 visitors.

On 7 December 2010, HAP published a report on the effectiveness of measures to prevent sexual exploitation and abuse. From publication date until 31 December 2010, 85 hard copies of the report were distributed to NGOs, UN organisations, government departments, as well as private sector representatives. Over 400 visitors downloaded the online version of the report and 191 visitors read the press release online.

**3.9. Coordinate website content:** The HAP website was constantly updated with latest information on new emergency policy deployments, new case studies and tools, new members joining the partnership and general news about HAP's work and activities. On average, during 2010, the HAP website was visited by more than 16,700 visitors per month. The most visited page was "HAP News", which attracted more visitors than the homepage. The other popular pages were "About us", "Vacancies" and "HAP Standards".

**3.10. Produce and distribute HAP newsletter:** The HAP Newsletter was published quarterly throughout 2010 in an electronic format. The November edition was sent to 2,072 recipients, using a new web-based e-mail system. In 2011, a new template for the HAP Newsletter will be developed and implemented.

**3.11. Maintain an updated database and internal documentation system:** In November 2010, HAP Outlook contacts were merged with the contacts database, in order to create a single repository for all HAP contacts. The contacts database has also been further developed, so as to allow the creation of new e-mailing lists that can easily be exported into the new web-based e-mail system for distribution.

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## Output 4

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

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Given the increase in HAP membership and the volume of requests for HAP Standard baseline analyses and certification audits, accountability commitments were assessed through the baseline and certification processes. By the end of 2010, 49% of HAP members had completed a baseline analysis or certification audit against the HAP Standard and 18% of members were certified as compliant with the HAP Standard. Overall, 63% of members were compliant with membership requirements.

Certification audits were limited in 2010 due to two vacancies in HAP's Regulatory Services and the Regulatory Services Director assuming the role of HAP's Acting Executive Director from February 2011. One of the vacant positions was filled mid-way through the year.

The development of an accreditation scheme was delayed. While there is interest from members and consortia to be accredited by HAP to take on certification, the challenges of maintaining the credibility of the certification mark, the independence of the system and ensuring sufficient capacity building services to support organisations through the process to certification may not have been sufficiently considered thus far. For this reason, the Secretariat will conduct detailed consultations with potential accredited agencies and experts in 2011 in order to ensure a solid accreditation process.

The 2010-2012 Strategic Plan set a target of 30 agencies to be certified by the end of 2012. While in 2010 two additional agencies achieved certification (bringing the total number of certified agencies to nine) against the HAP Standard, a further six made submitted applications to undergo certification audits in early 2011. Members of the Certification and Review Board (CARB) met and refined the CARB internal operating procedures. The Secretariat monitored certified agencies and followed up on all Corrective Action Requests.

The number of certifications in 2010 was lower than anticipated; however, the agencies that applied for certification reported that the process of strengthening systems and practice in order to meet the HAP Standard enhanced the quality of their interventions and beneficiaries and staff appreciated the improvements.

**4.1. Carry out certification audits:** HAP's 2010 work plan anticipated at least five certification audits in 2010. Of these, two were completed—for Concern Worldwide, Ireland (in Dublin and in Bangladesh) and COAST Trust, Bangladesh—bringing the number of HAP certified agencies to nine. The remaining audits were postponed until 2011 due to staffing limitations, as the Regulatory Services Director was the acting HAP Executive Director for most of 2010.

**4.2. Follow up on corrective action requests (CARs) in order to improve compliance with the HAP Standard:** In 2010, the Secretariat followed up on 43 corrective actions with certified agencies ensuring that minor non conformities with the HAP Standard were being improved or rectified within the required time frames.

**4.3 Carry out mid-term progress audits (MTPA):** Two certified members completed mid-term progress audits in 2010 (DanChurchAid and Tearfund). The mid-term progress audit for a third certified member (MERCY Malaysia) was delayed at its request.

**4.4. Carry out re-certification audits:** OFADEC and Danish Refugee Council were recertified by HAP in 2010. The planned Mercy Malaysia recertification audit was postponed until March 2011 given the late completion of their Mid Term Progress Audit. In 2010, preparations began for certification audits of CWS Pakistan/Afghanistan, SUNGI Pakistan, Norwegian Church Aid and recertification of Tearfund.

**4.5. Develop and evolve the registered auditors pool:** The independent auditor training was postponed until February 2011 due to staff limitations described earlier. Potential independent auditors were selected through a thorough recruitment process in 2010. Candidates were selected from Kenya, Pakistan, Burundi, the United Kingdom, Nigeria and Ireland in order to meet the demand expressed for 2011. The auditor guidance and manual were drafted in preparation for the training. One HAP auditor completed the International Registrar of Certified Auditors certified training in ISO 9000:2008 auditing.

In 2010, the expanded elements of the HAP Standard on preventing and responding to sexual exploitation and abuse were tested during audits against the 2007 edition.

**4.6. Carry out accreditation audits in focus countries:** Discussions on HAP accreditation process continued with one organisation in the UK, and two organisations in India. These discussions will continue in 2011 and a staff member from one of these organisations will participate in HAP independent auditor training.

**4.7. Track certified agencies:** The HAP website maintains a register of certified organisations with summary certification audit reports and accountability frameworks of all certified members (see Table 1).

**4.8. Track registered auditors:** Registered HAP auditors are followed throughout each audit and a performance review is conducted at the end of each audit. Feedback is provided to auditors based on evaluations by agencies involved. New independent auditors were identified to participate in the training planned for early 2011 on the basis of identified competencies.

**4.9. Track compliance by members with membership requirements as defined by article 23 of the HAP Statutes:** A register of compliance with membership requirements was maintained in 2010 and updated regularly. Members who did not meet their obligations were contacted with offers of support.

**4.10. Provide secretary function to CARB including preparation and submission of audit reports for decision to CARB:** The CARB met in Geneva in November 2010. Throughout the year the CARB regularly conducted virtual discussions to take decisions on certification audit reports. The Regulatory Services team provided the secretariat function to the CARB, including submission of audit reports for decision to CARB. Regulatory Services provided procedural advice, support and information as requested throughout CARB deliberations. CARB analysis of audit reports and their findings have led to further clarification of the HAP certification policy, fine-tuned the role of the CARB and further specified the CARB's authority. The mandate of the CARB expired in December 2010. Elections for the CARB will take place in early 2011.

**4.11. Evaluate quality of the certification and accreditation systems:** An internal evaluation of the certification system that was planned in 2010 did not take place due to staffing restrictions. This has been deferred to 2012 in order to allow sufficient time to update the audit system in line with the 2010 edition of the HAP Standard.

**Table 1. HAP Certified Organisations as of 31 December 2010**

| Agency   | Head Office Contact Details  | Original Approval | Current Certificate From To |            | Certificate Registration No. |
|--|--|-------------------|-----------------------------|------------|------------------------------|
| <b>OFADEC</b><br>Office Africain pour le Développement et la Coopération | Villa No. 302<br>Hann Mariste II<br>Dakar<br><b>Senegal</b>  | 4/04/2007         | 18/12/2010                  | 17/12/2013 | A001/0307-H                  |
| <b>DRC</b><br>Danish Refugee Council                                     | Borgergade 10<br>PO Box 53<br>1002 Copenhagen<br><b>Denmark</b>                                    | 24/04/2007        | 7/06/2010                   | 6/06/2013  | E002/0307-H                  |
| <b>MERCY Malaysia</b><br>Persatuan Bantuan Perubatan Malaysia            | No. 45B Jalan Mamansa 9<br>Ampang Point<br>68000 Ampang<br>Selangor Darul Ehsan<br><b>Malaysia</b> | 28/11/2007        | 28/11/2007                  | 27/11/2010 | AS003/1107-H                 |
| <b>DanChurchAid</b>  | Nørregade 13<br>DK-1165 Copenhagen<br><b>Denmark</b>   | 16/06/2008        | 16/06/2008                  | 15/06/2011 | E005/0508-H                  |
| <b>Tearfund UK Emergency Responses</b>                                   | 100 Church Road<br>Teddington<br>Middlesex<br>TW11 8QE<br><b>United Kingdom</b>                    | 18/06/2008        | 18/06/2008                  | 17/06/2011 | E004/0308-H                  |
| <b>CAFOD</b><br>Catholic Agency for Overseas Development                 | Romero Close<br>Stockwell Road,<br>London SW9 9TY<br><b>United Kingdom</b>                         | 1/09/2009         | 1/09/2009                   | 31/08/2012 | E006/0409-H                  |
| <b>Christian Aid</b>   | P. O. Box 100<br>London SE1 7RT<br><b>United Kingdom</b>   | 14/12/2009        | 14/12/2009                  | 13/12/2012 | E007/0609-H                  |
| <b>Concern Worldwide</b>   | 52-55 Lower Camden Street<br>Dublin 2<br><b>Republic of Ireland</b>                                | 17/06/2010        | 17/06/2010                  | 16/06/2013 | E008/0210-H                  |
| <b>COAST Trust</b>   | House# 9/4, Road# 2,<br>Shyamoli, Dhaka 1207<br><b>Bangladesh</b>                                  | 23/12/2010        | 23/12/2010                  | 22/12/2013 | AS009/1110-H                 |

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## Output 5

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

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The work plan envisaged that, by end 2010, the revised procedure for handling complaints against members would be approved and disseminated. A Steering Committee was set up in 2010 and the revision of the procedure will be completed and submitted to the General Assembly for approval in May 2011. Using the existing procedure, HAP addressed the four complaints against members received in 2010. Complaints against non-HAP members can also be raised using this procedure, though no such complaints were received in 2010.

The continued success of the Complaints Handling and Investigations Learning programmes ensured that the number of HAP trained investigators increased: there are now six registered investigators, as per the work plan target. In 2010, two HAP registered investigators investigated a series of complaints at the request of a member organisation and technical investigative advice was provided to a further two members, illustrating the growing confidence in the HAP investigation training approach.

**5.1. Revise the Complaints against Members Policy:** The Terms of Reference for the revision of the Complaints against Members Policy were developed. A call for participants in the review committee went out in late 2010. Consultations with key stakeholders will begin in 2011. Protocols for complaints handling have been established. These will be reviewed as part of the over all revision process.

**5.2. Create standard protocols:** In 2010, Protocols, ToR and MoUs for investigators and participating organisations were drafted and tested.

**5.3. Establish and administer a pool of independent investigators from focus countries:** HAP administers a pool of independent investigators. Six HAP trained investigators are registered, of which two are from HAP focus countries. Two investigators from the pool investigated a series of complaints at the request of a member organisation. Six new investigators graduated

from the learning programme during this period. An investigation workshop in Nairobi in November increased the knowledge of how to conduct investigations in the Dadaab and Kakuma camps.

**5.4. Conduct investigations against members:** Four complaints against members were received during 2010. These were dealt with by the organisation directly and two complaints were directed to the HAP Standing Complaints Committee (SCC). The SCC dismissed a complaint against HAP investigators that was forwarded to them.

**5.5 Roll out the Inspectorate project:** The Inspectorate Project concluded as of 31 July 2010, with any remaining activities being integrated into the HAP Complaints Handling Unit's work.

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## Output 6

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

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The milestone of 25 members, five donors and three partners attending the 2010 General Assembly was exceeded. Representatives of associate members, UN organisations and INTOSAI also participated in the open session of the meeting. It is expected that attendance to the General Assembly will continue to increase, to reflect a stronger partnership.

In 2010, the HAP funding strategy was affected by the austerity measures prevalent in donor countries. A significant number of donors reduced their overall envelope dedicated to funding the humanitarian sector in general and to quality and accountability initiatives in particular. As a result, the funding target of CHF 2.4 million was not reached since HAP did not receive responses to several applications until the final quarter of 2010. HAP's gross income in 2010 was just under CHF 2 million representing a decrease 3% compared to the 2009 income (after deduction of the out of period revenue, actually relating to 2008).<sup>3</sup> However, HAP received positive feedback late in the year on several grant applications that resulted in income for the 2011 financial year.

HAP suffered from an unfavourable exchange rate situation, with the Swiss currency ending the year at a significantly higher level than at the beginning of 2010 compared to other major currencies. This situation contributed to a lower income from donor contributions than was expected, since a large portion of funding agreements was in other major currencies.

Due to delays in feedback from some donors on HAP's funding applications, it was not possible to achieve the target of 100% of 2010 grant funding being contracted by July 2010. Furthermore, applications for some earmarked grants relating to activities taking place during the last quarter of 2010 could only be made during the summer. Thus, by July 2010, 77% of the funding target was met. Additional funding of CHF 306,000 for 2010 was confirmed in the second half of the year. HAP concluded the year with a reserve of approximately CHF 292,000 representing a decrease of CHF 272,000 from the previous year.

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<sup>3</sup> The audit report is included in Annex II. For a summary of income and expenditure in 2010, see Annexes II and III.

Cost recovery from services, from membership fees and from costs paid by third parties reached CHF 323,000. The difference between this amount and the target set at the start of the year (of CHF 600,000) can be attributed to demand for HAP Standard baseline analyses and certification audits increasing only in the last quarter of 2010. Several HAP services were postponed at the request of the organisations that were responding to emergencies in Haiti, Pakistan and elsewhere.

As a result of the funding shortfall and the delayed selection of the new HAP Executive Director, a decision was taken to defer recruitment against three vacant posts (Chief Auditor, Research Associate, Membership Services Officer). HAP closed the year with ten members of staff, the equivalent of 9 full time employees. On average the Secretariat worked in 2010 with 9.25 FTE staff based in Geneva, 2.1 FTE home-based staff, and 0.68 FTE support by Interns. The IT support was outsourced after the retirement of the IT Manager (0.3 FTE) halfway the year.

The work plan envisaged that, by mid 2010, the Secretariat would have adopted a policy to offset its carbon emission. The research into achieving neutrality was postponed in 2010. Sensitivity to environmental responsibilities led the Secretariat to only undertake travel necessary to meet work plan targets.

**6.1. Convene annual General Assembly:** The 8<sup>th</sup> General Assembly was held in Geneva in May. In total, 25 full members, six donors and four representatives of partner initiatives attended. Another 15 invitees representing associate members, the UN and INTOSAI participated in the open session.

**6.2. Board meetings twice per year:** In May 2010, the 17<sup>th</sup> meeting of the Board approved the HAP Strategic Plan for 2010–2012 and commenced the recruitment of the new Executive Director. At the 18<sup>th</sup> meeting of the Board in October 2010, the Board approved *The 2010 HAP Standard in Accountability and Quality Management* and the 2011-2012 Secretariat budget.

**6.3. Maintain and develop donor relations:** In 2010, Danida (Denmark), DFID (UK), ECHO, IrishAid (Ireland), the Ministry of Foreign Affairs of the Netherlands, the Ministry of Foreign Affairs of Norway, BPRM (US) and the Oak Foundation continued to fund HAP's activities. AusAID committed to financial support but for activities starting in 2011. Upon request, HAP submitted a funding proposal to the Office of the Assistant Secretary for Population, Refugees and Migration (PRM), a decision on the proposal has been postponed to 2011. Unsuccessful applications included one to ECHO for support to NEP, one for research and organisational development activities in 2010, and one from DFID (UKaid) for a three-year grant. An application to SIDA for 2010 was deferred to 2011. DanChurchAid, with support from

Danida, funded a significant portion of HAP's seven-month deployment to Haiti. World Vision International and Tearfund also supported this deployment. DRC, Save the Children UK, UNHCR and CARE International supported an NEP deployment to Dadaab, Kenya (a focus country in 2010). ACTED, ACT Alliance, Danish Refugee Council, UNHCR and WFP funded a short NEP deployment to Kyrgyzstan. CWS-P/A and CARE International contributed in kind donations to an NEP deployment to Pakistan that commenced in 2010.

Secretariat staff met with representatives of OAK Foundation, BPRM, SIDA, Danida, IrishAid, AusAID, ECHO, CIDA and the Swiss DC to brief them on HAP's activities. In addition, ongoing meetings with donors during NEP deployments, included meetings and presentations with local representatives of DFID, ECHO, IrishAid, AusAID and to the GHD meeting in New York in July.

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

**6.5. Revenue through service delivery cost recovery and membership fee:** In 2010, 94% of the grant-funding target was contracted. Of the approved budget for 2010, 15% was achieved through cost recovery against HAP services and membership fees as opposed to a projection of 25%.

**6.6. Budget monitoring:** Quarterly budgets and a regular indication of projected cash flow were provided to the HAP Treasurer and senior management team. 117% of projected membership fees for 2010 were paid due to an unexpected increase in the number of new members. However, 15% of income was earned through cost recovery, which is lower than anticipated. Alternately, total charges were lower than budgeted (93%) which partially compensated the shortfall in funding and cost recovery. Late decisions and delays in some of the funding agreements contributed to a lower revenue than expected which resulted into a loss for the year 2010.

**6.7. Developing HR policies and systems:** Financial procedures were refined and implemented.

The Secretariat is engaged in improvements to meet the People In Aid Code. An appraisal system for HAP Staff based on behavioural competencies was developed and ready to be introduced in 2010. Implementation was deferred till the arrival of the new Executive Director. HAP expects to be certified against the PIA Code in 2011.

**6.8. Develop and monitor service delivery feedback forms:** HAP developed feedback forms for all its services. However, establishment of ratings norms and baseline was deferred until 2011.

**6.9. Contribute to the most appropriate carbon neutrality initiative and implement measures accordingly:** The Secretariat postponed the research into carbon neutrality while actively pursuing carbon reduction. For example, flights were limited to those considered absolutely necessary to meet work plan targets and all travel in 2010 covered at least dual purposes.

## Annexe I. List of HAP members at the end of 2010<sup>4</sup>

### Full members

#### Full members that are HAP Certified

1. Catholic Agency For Overseas Development (CAFOD), United Kingdom
2. Christian Aid, United Kingdom and Ireland
3. Coastal Association for Social Transformation Trust (COAST Trust), Bangladesh
4. DanChurchAid, Denmark
5. Danish Refugee Council, Denmark
6. MERCY Malaysia, Malaysia
7. Office Africain pour le Développement et la Coopération (OFADEC), Senegal
8. Tearfund, United Kingdom
9. Concern Worldwide, Ireland

#### Full members with a HAP-facilitated baseline analysis against the HAP Standard

1. Act Alliance, Switzerland
2. Act for Peace, Australia
3. CARE International, Switzerland
4. Church of Sweden, Sweden
5. Church World Service - Pakistan/Afghanistan (CWS - P/A), Pakistan
6. Diakonia, Sweden
7. Focus Humanitarian Assistance, United Kingdom
8. HelpAge International, United Kingdom
9. Lutheran World Federation, Department for World Service (LWF), Switzerland
10. Merlin, United Kingdom
11. Muslim Aid, United Kingdom
12. Norwegian Church Aid (NCA), Norway
13. Norwegian Refugee Council (NRC), Norway

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<sup>4</sup> Members that joined HAP in 2010 are listed in italics.

14. Oxfam America, United States of America
15. PMU InterLife, Sweden
16. Sustainable Environment & Ecological Development Society (SEEDS), India
17. Sungi Development Foundation, Pakistan
18. Women's Refugee Commission, United States of America
19. World Vision International, (as part of the LTRT in Sri Lanka), Switzerland

**Other full members**

1. Agence d'Aide à la Coopération Technique et au Développement (ACTED), France
2. Amel Association, Lebanon
3. Association Najdeh , Lebanon
4. Children First, Pakistan
5. Church's Auxiliary for Social Action's (CASA), India
6. Community and Family Services International (CFSI), Philippines
7. Community Development Centre (CODEC), Bangladesh
8. Coordination of Afghan Relief (CoAR), Afghanistan
9. International Aid Services (IAS), Sweden
10. International Rescue Committee UK (IRC-UK), United Kingdom
11. KinderUSA, United States of America
12. Khwendo Kor, Pakistan
13. Medair, Switzerland
14. Medical Aid for Palestinians (MAP), United Kingdom
15. Naba'a, Lebanon
16. Oxfam GB, United Kingdom
17. RedR UK, United Kingdom
18. Saibaan Development Organisation, Pakistan
19. Save the Children UK, United Kingdom
20. Society for Safe Environment and Welfare of Agrarians in Pakistan (SSEWA-PAK), Pakistan
21. Yakkum Emergency Unit (YEU), Indonesia

## Associate members

1. Australian Council for International Development (ACFID), Australia
2. African Network for the Prevention and Protection against Child Abuse and Neglect, Liberia (ANPPCAN), Liberia
3. Centre for Peace and Development Initiatives (CPDI), Pakistan
4. Christian World Service Aotearoa, New Zealand
5. Danish International Development Agency (Danida), Denmark
6. Department for International Development (DFID / UKaid), United Kingdom
7. Disasters Emergency Committee (DEC), United Kingdom
8. Lutheran World Relief (LWR), United States of America
9. Mango, United Kingdom
10. National Human Rights Defense Network (RNDDH), Haiti
11. People In Aid, United Kingdom
12. Swedish International Development Cooperation Agency (SIDA), Sweden
13. Transparency International (TI), Germany
14. Women's Rights Association Multan, Pakistan
15. Kohsar Welfare & Educational Society (KWES), Pakistan



## Annexe II. HAP 2010 audit report and accounts summary



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Geneva, March 31, 2011

**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, 2010.


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 291'993, do not comply with Swiss law and the association's statute.

Yours faithfully,

HORWATH BERNEY AUDIT S.A.  
Société fiduciaire

  
Cosimo PICCI  
Licensed Audit Expert

  
Olivier AZADI  
Licensed Audit Expert  
Audit in charge

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

## Enclosure 1

|  |                               |
|--|-------------------------------|
| <b>Balance sheet as of December 31, 2010</b> | <b>HAP International</b>      |
| with comparative figures, in Swiss Francs    | Association located in Geneva |

| <b>ASSETS</b>                                     | <b>31 Dec.10</b> | <b>31 Dec.09</b> |
|---|------------------|------------------|
| Petty cash  | 2'951            | 1'758            |
| Bank accounts and time deposits                   | 187'289          | 353'682          |
| <b>Liquidities</b>                                | <b>190'240</b>   | <b>355'440</b>   |
| Receivables and other short term assets           | 320'213          | 300'823          |
| ./. provision for loss on debtors                 | -7'279           | -984             |
| Prepaid expenses                                  | 12'965           | 9'044            |
| <b>Current assets (including liquidities)</b>     | <b>516'139</b>   | <b>664'323</b>   |
| Guarantee deposit                                 | 11'696           | 11'647           |
| <b>Fixed assets</b>                               | <b>11'696</b>    | <b>11'647</b>    |
| <b>Total assets</b>                               | <b>527'835</b>   | <b>675'970</b>   |
|   |                  |                  |
| <b>LIABILITIES</b>                                | <b>31 Dec.10</b> | <b>31 Dec.09</b> |
| Accounts payable                                  | 55'941           | 41'630           |
| Social charges & withholding tax payable          | 58'410           | 51'062           |
| Accrued liabilities                               | 68'373           | 15'025           |
| <b>Short term debts</b>                           | <b>182'724</b>   | <b>107'717</b>   |
| Donations and membership fees received in advance | 53'118           | 4'608            |
| <b>Funds capital</b>                              | <b>53'118</b>    | <b>4'608</b>     |
| Retained earnings                                 | 563'645          | 363'482          |
| Net result for the period                         | -271'652         | 200'163          |
| <b>Association capital</b>                        | <b>291'993</b>   | <b>563'645</b>   |
| <b>Total liabilities</b>                          | <b>527'835</b>   | <b>675'970</b>   |

## Enclosure 2

**Statement of financial activities for the period  
financial year 2010, in Swiss francs**

|  | 2010             | 2009             |
|--|------------------|------------------|
| Membership fees                                  | 64'192           | 50'523           |
| Donations  | 1'644'524        | 1'952'724        |
| Service fees                                     | 252'390          | 223'927          |
| Costs paid by third parties                      | 5'712            | 38'123           |
| Other operational revenues                       | 32'754           | 31'963           |
| Bank interest and net exchange gain              | 404              | 9'703            |
| <b>Incoming resources</b>                        | <b>1'999'976</b> | <b>2'306'963</b> |
| Salaries & social charges                        | 1'203'564        | 1'176'209        |
| Consultants fees & local staff                   | 505'679          | 497'634          |
| Recruitment & other personnel costs              | 65'184           | 26'355           |
| Representation & travel costs                    | 253'041          | 251'649          |
| Communication, seminar & workshop costs          | 73'363           | 50'178           |
| Local office expenses                            | 6'287            | 1'945            |
| <b>Programme &amp; staff costs</b>               | <b>2'107'118</b> | <b>2'003'970</b> |
| Rental and charges                               | 39'811           | 39'555           |
| Office cleaning & maintenance                    | 6'456            | 6'402            |
| GA, board and other meeting costs                | 2'338            | 2'283            |
| Office & IT equipment & supplies                 | 42'994           | 15'034           |
| Membership fees, newspapers, books               | 2'481            | 1'734            |
| Insurances                                       | 662              | 662              |
| Phone, fax & mail                                | 13'551           | 9'639            |
| Professional fees                                | 19'626           | 22'297           |
| Other expenses                                   | 10'602           | 0                |
| <b>Administration costs including governance</b> | <b>138'521</b>   | <b>97'606</b>    |
| Bank charges & exchange differences              | 16'122           | 3'646            |
| Loss on debtors                                  | 9'315            | 100              |
| Taxes  | 552              | 1'478            |
| <b>Financial costs and taxes</b>                 | <b>25'989</b>    | <b>5'224</b>     |
| <b>Total charges</b>                             | <b>2'271'628</b> | <b>2'106'800</b> |
| <b>Net result for the period</b>                 | <b>-271'652</b>  | <b>200'163</b>   |

### Enclosure 3

#### Statement of financial activities for the period financial year 2010, in Swiss francs

| <u>Detail of incoming resources 2010 vs 2009</u> | <u>2010</u>      | <u>2009</u>      |
|--|------------------|------------------|
| <b>MEMBERSHIP FEES</b>                           |                  |                  |
| Full membership fees <sup>(1)</sup>              | 61'334           | 50'000           |
| Associate membership fees <sup>(2)</sup>         | 2'858            | 523              |
| <b>Subtotal</b>                                  | <b>64'192</b>    | <b>50'523</b>    |
| <b>DONORS CONTRIBUTIONS</b>                      |                  |                  |
| <b>Core funding</b>                              |                  |                  |
| DFID (UK)  | 221'161          | 18'948           |
| DANIDA (Danish MFA)                              | 122'489          | 100'892          |
| Irish Aid  | 91'700           | 188'750          |
| Ford Foundation                                  | 0                | 100'000          |
| Buitenlandse Zaken (Netherlands MFA)             | 250'000          | 250'000          |
| Norwegian MFA                                    | 163'988          | 251'256          |
| SIDA (Swedish International Development Agency)  | 0                | 169'897          |
| <b>Subtotal</b>                                  | <b>849'338</b>   | <b>1'079'743</b> |
| <b>Earmarked funding</b>                         |                  |                  |
| ACT (deployment to Kyrgyzstan)                   | 15'200           | 0                |
| Bureau of Population, Refugees & Migration (USA) | 186'097          | 100'932          |
| Care Kenya (deployment to Dadaab)                | 910              | 0                |
| DCA (deployment to Haiti)                        | 244'475          | 0                |
| DCA (deployment to Kyrgyzstan)                   | 14'949           | 0                |
| DRC (deployment to Dadaab)                       | 6'650            | 0                |
| ECHO   | 34'521           | 112'579          |
| Oak Foundation                                   | 256'334          | 232'449          |
| Oxfam GB   | 0                | 52'288           |
| Save the Children (deployment to Dadaab)         | 5'000            | 0                |
| SIDA (Swedish International Development Agency)  | 0                | 139'891          |
| Tearfund (deployment to Haiti)                   | 10'640           | 0                |
| UNHCR (deployment to Dadaab)                     | 4'660            | 0                |
| World Vision International (deployment to Haiti) | 15'750           | 0                |
| <b>Subtotal</b>                                  | <b>795'186</b>   | <b>638'139</b>   |
| <b>Out of period revenue <sup>(3)</sup></b>      |                  |                  |
| Norwegian MFA <sup>(3)</sup>                     | 0                | 234'842          |
| <b>Subtotal</b>                                  | <b>0</b>         | <b>234'842</b>   |
| <b>Funding Subtotal</b>                          | <b>1'644'524</b> | <b>1'952'724</b> |

(1) Act for Peace, ACT Alliance, ACTED, AMEL Association, Association Najdeh, CAFOD, CARE International, CASA, Children First, CFSI, Christian Aid, CoAR, COAST, CODEC, Concern Worldwide, CWS P/A, DRC, DCA, Diakonia, FOCUS, IAS, IRC UK, Khwendokor, KinderUSA, LWF, Medical Aid for Palestinians, Medair, Mercy Malaysia, Merlin, Muslim Aid, Naba'a, NRC, NCA, OFADEC, Oxfam America, Oxfam GB, PMU InterLife, Save the Children UK, Saiban Development Organisation, SSEWA-PAK, SEEDS, Sungi Development Foundation, World Vision International, WRC, Yakkum Emergency Unit.

(2) ACFID, ANPPCAN, Christian World Service New Zealand, CPDI, Disasters Emergency Committee, KWES, Lutheran World Relief, Mango, People in Aid, RNDDH, Transparency International, Women's Rights Association.

(3) The 2009 figure includes a Norwegian MFA donation received end of 2008, which was believed at the time to cover the period December 2008 until November 2009. Therefore, 1/12 of the amount was booked into the 2008 income while the remaining 11/12 were booked in 2009 as a donation advance. However, it was later stated by the donor that this grant was for the entire year 2008 and that the whole amount should have been recorded in 2008. Identically, their 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 (appearing under "out of period revenue") plus the 2009 donation, almost the equivalent of a donation for two years.

Enclosure 3 (cont.)

| <u>Detail of incoming resources 2010 vs 2009 (cont.)</u> | <u>2010</u>      | <u>2009</u>      |
|--|------------------|------------------|
| <b>SERVICE FEES</b>                                      |                  |                  |
| Training   | 140'703          | 122'571          |
| Consultancy  | 25'000           | 5'356            |
| Baseline   | 33'574           | 60'000           |
| Certification  | 53'113           | 36'000           |
| <b>Subtotal</b>  | <b>252'390</b>   | <b>223'927</b>   |
| <b>OTHERS</b>  |                  |                  |
| Costs paid by third parties                              | 5'712            | 38'123           |
| Other operational revenues                               | 32'754           | 31'963           |
| Financial revenues                                       | 404              | 9'703            |
| <b>Subtotal</b>  | <b>38'870</b>    | <b>79'789</b>    |
| <b>Total incoming resources</b>                          | <b>1'999'976</b> | <b>2'306'963</b> |

### Annexe III.

## 2010 expenditure and income summary report, by activity

### January to December 2010

| HAP, YEAR 2010, BY ACTIVITIES                                      | Expenses         |                | Budget          |
|--|------------------|----------------|-----------------|
|  | Actual           | Budget         | -Actual         |
| <b>Policy Services</b>   |                  |                |                 |
| Promote HAP Research Agenda  |                  |                |                 |
| 010101 Manage research collaboration                               | 773              | 1'540          | 767             |
| 010102 Accountability to Beneficiaries Conference - 2010           | 999              | 8'650          | 7'651           |
| Total Promote HAP Research Agenda                                  | 1'772            | 10'190         | 8'418           |
| Commission and undertake research                                  |                  |                |                 |
| 010201 Research on accountability, quality mgmt and outcomes       | 5'043            | 111'830        | 106'787         |
| 010202 Study: Effectiveness of PSEA measures                       | 49'655           | 24'230         | -25'425         |
| 010204 Program impact of complaints handling                       | 1'800            | 0              | -1'800          |
| Total Commission and undertake research                            | 56'498           | 136'060        | 79'562          |
| Standards development  |                  |                |                 |
| 010301 Establish Standard review process                           | 11'703           | 10'700         | -1'003          |
| 010302 Manage standard review process                              | 15'247           | 14'660         | -587            |
| 010303 Adopt and launch the HAP 2010 Standard                      | 1'541            | 7'180          | 5'639           |
| 010304 Produce and launch Guide to the 2010 Standard               | 0                | 3'000          | 3'000           |
| 010305 Accreditation standard consultation process                 | 1'341            | 0              | -1'341          |
| Total Standards Development  | 29'832           | 35'540         | 5'708           |
| Implement communication strategy                                   |                  |                |                 |
| 010401 Represent HAP at strategic conferences and meetings         | 7'214            | 5'320          | -1'894          |
| 010402 Translation of relevant documentation                       | 288              | 8'000          | 7'712           |
| 010403 Distribute Standard   | 3'281            | 7'900          | 4'619           |
| 010404 Coordinate website content                                  | 2'036            | 2'200          | 164             |
| 010405 Print and Distribute Guidelines (compl. & investig.)        | 0                | 6'300          | 6'300           |
| Total Implement communication strategy                             | 12'819           | 29'720         | 16'901          |
| Knowledge Management   |                  |                |                 |
| 010501 Maintain database and documentation system                  | 789              | 2'600          | 1'811           |
| 010502 Produce and distribute Annual Report                        | 44'758           | 48'505         | 3'747           |
| 010503 Develop and produce materials for introducing HAP           | 0                | 3'500          | 3'500           |
| 010504 Consolidate Training Modules                                | 0                | 3'000          | 3'000           |
| Total Knowledge Management   | 45'547           | 57'605         | 12'058          |
| Project Support (Policy Services)                                  |                  |                |                 |
| 010601 Policy Services Support                                     | 144'688          | 153'370        | 8'682           |
| Total Project Support (Policy Services)                            | 144'688          | 153'370        | 8'682           |
| Other learning activities  |                  |                |                 |
| 010701 Focus country learning events                               | 0                | 1'600          | 1'600           |
| 010702 E-learning Programme development                            | 0                | 40'000         | 40'000          |
| Total Other Learning Activities                                    | 0                | 41'600         | 41'600          |
| <b>Total Policy Services Gross Expenditure</b>                     | <b>291'157</b>   | <b>464'085</b> | <b>172'928</b>  |
| Income/cost recovery   | 5'508            | 112'860        | 107'352         |
| <b>Total Policy Services Net Expenditure</b>                       | <b>285'649</b>   | <b>351'225</b> | <b>65'576</b>   |
| <b>Development Services</b>  |                  |                |                 |
| Strengthen Membership  |                  |                |                 |
| 020101 Approach potential Members                                  | 1'841            | 3'210          | 1'369           |
| 020103 Middle East BSO network support                             | 0                | 2'640          | 2'640           |
| Total Strengthen Membership  | 1'841            | 5'850          | 4'009           |
| Deliver Field Support  |                  |                |                 |
| 020301 Deployment of NEP Field Team - 2 times per year             | 421'456          | 206'318        | -215'138        |
| Total Deliver Field Support  | 421'456          | 206'318        | -215'138        |
| Deliver Capacity Building Services                                 |                  |                |                 |
| 020403 Conduct baseline analyses for members and non-members       | 19'059           | 20'400         | 1'341           |
| 020405 Provide support to members - HAF                            | 0                | 1'100          | 1'100           |
| 020406 Specific capacity building services                         | 5'080            | 0              | -5'080          |
| 020407 Provide support to members - Accountability Workshops       | 2'283            | 3'900          | 1'617           |
| Total Deliver Capacity Building Services                           | 26'421           | 25'400         | -1'021          |
| Promote Complaints and Response Mechanisms                         |                  |                |                 |
| 020501 Revise and conduct CRM workshop                             | 14'642           | 16'400         | 1'758           |
| 020502 Complaints & investigations management workshop             | 1'325            | 0              | -1'325          |
| 020503 Conduct Investigation learning programme workshops + TOF    | 29'182           | 27'540         | -1'642          |
| 020504 Participate on global platform on CRM                       | 0                | 1'970          | 1'970           |
| Total Promote Complaints and Response Mechanisms                   | 45'149           | 45'910         | 762             |
| Project support (Development Services)                             |                  |                |                 |
| 020601 Development Services Support                                | 542'142          | 525'197        | -16'945         |
| 020602 Rowing Field team   | 3'245            | 1'550          | -1'695          |
| Total Project Support  | 545'387          | 526'747        | -18'640         |
| <b>Total Development Services Gross Expenditure</b>                | <b>1'040'254</b> | <b>810'225</b> | <b>-230'029</b> |
| Income/cost recovery (including earmarked funding for deployments) | 492'715          | 323'843        | -168'872        |
| <b>Total Development Services Net Expenditure</b>                  | <b>547'539</b>   | <b>486'382</b> | <b>-61'157</b>  |

| HAP, YEAR 2010, BY ACTIVITIES                                  | Expenses         |                  | Budget<br>-Actual |
|--|------------------|------------------|-------------------|
|  | Actual           | Budget           |                   |
| <b>Regulatory Services</b>                                     |                  |                  |                   |
| Certification  |                  |                  |                   |
| 030101 Certification and recertification Audits                | 9'895            | 35'100           | 25'205            |
| 030102 Mid term Audits   | 9'328            | 5'660            | -3'668            |
| 030103 Auditor Training  | 6'000            | 9'700            | 3'700             |
| Total Certification  | 25'223           | 50'460           | 25'237            |
| Accreditation  |                  |                  |                   |
| 030201 Accreditation audits                                    | 261              | 5'200            | 4'939             |
| Total Accreditation  | 261              | 5'200            | 4'939             |
| CARB Administration  |                  |                  |                   |
| 030301 Certification validation research                       | 273              | 0                | -273              |
| 030303 1 day accreditation training course for CARB members    | 0                | 1'910            | 1'910             |
| 030304 CARB meeting  | 1'412            | 4'720            | 3'308             |
| Total CARB administration                                      | 1'685            | 6'630            | 4'945             |
| Investigate Complaints   |                  |                  |                   |
| 030401 Conduct investigations (based on full cost recovery)    | 8'125            | 12'420           | 4'295             |
| 030402 Implement Inspectorate project                          | 0                | 15'450           | 15'450            |
| Total Investigate Complaints                                   | 8'125            | 27'870           | 19'745            |
| AWP Monitoring   |                  |                  |                   |
| 030501 Monitoring Members AWP's                                | 34               | 5'040            | 5'006             |
| Total AWP Monitoring   | 34               | 5'040            | 5'006             |
| Project Support (Regulatory Services)                          |                  |                  |                   |
| 030601 Regulatory Services Support                             | 210'811          | 352'345          | 141'534           |
| Total Project Support  | 210'811          | 352'345          | 141'534           |
| <b>Total Regulatory Services Gross Expenditure</b>             | <b>246'140</b>   | <b>447'545</b>   | <b>201'405</b>    |
| Income/cost recovery   | 82'617           | 195'540          | 112'923           |
| <b>Total Regulatory Services Net Expenditure</b>               | <b>163'523</b>   | <b>252'005</b>   | <b>88'482</b>     |
| <b>Governance and Management</b>                               |                  |                  |                   |
| Governance   |                  |                  |                   |
| 040101 Board Meetings  | 19'881           | 29'380           | 9'499             |
| 040102 Annual General Assembly                                 | 17'571           | 14'700           | -2'871            |
| 040105 Annual Audit  | 6'984            | 6'000            | -984              |
| Total Governance   | 44'436           | 50'080           | 5'644             |
| Secretariat Core Costs   |                  |                  |                   |
| 040201 Secretariat core costs                                  | 642'146          | 630'501          | -11'645           |
| Total secretariat core costs                                   | 642'146          | 630'501          | -11'645           |
| Fundraising & donor relations                                  |                  |                  |                   |
| 040301 Fundraising & donor relations                           | 7'494            | 5'050            | -2'444            |
| Total Fundraising & donor relations                            | 7'494            | 5'050            | -2'444            |
| Contingency/reserve  |                  |                  |                   |
| 040401 Contingency/reserve                                     | 0                | 25'000           | 25'000            |
| Total Contingency/reserve                                      | 0                | 25'000           | 25'000            |
| <b>Total Governance and Management Gross Expenditure</b>       | <b>694'076</b>   | <b>710'631</b>   | <b>16'555</b>     |
| Income/cost recovery   | 28'653           | 0                | -28'653           |
| <b>Total Governance and Management Net Expenditure</b>         | <b>665'423</b>   | <b>710'631</b>   | <b>45'208</b>     |
| <b>TOTALS</b>  |                  |                  |                   |
| <b>Total Net Allocated Expenditure</b>                         | <b>1'662'134</b> | <b>1'800'243</b> | <b>138'109</b>    |
| <b>Total Gross Allocated Expenditure</b>                       | <b>2'271'628</b> | <b>2'432'486</b> | <b>160'858</b>    |
| <b>Total income/cost recovery allocated to an activity</b>     | <b>609'494</b>   | <b>632'243</b>   | <b>22'749</b>     |
| <b>Unallocated income</b>                                      | <b>1'390'482</b> | <b>1'800'243</b> |                   |
| Membership fees  | 64'192           | 55000            |                   |
| Contributions - donations                                      | 849'338          | 1745243          |                   |
| Earmarked donations (other than for field support deployments) | 476'952          |                  |                   |
| <b>Total global income</b>                                     | <b>1'999'976</b> |                  |                   |
| <b>Net loss</b>  | <b>-271'652</b>  |                  |                   |





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