

Capacity Building and Organisational Development 2010 Services and Price Guide

HAP International was founded to promote humanitarian accountability through collective self-regulation. To fulfil this purpose, HAP offers a limited range of specialised capacity building and organisational development services, designed to assist not-for-profit agencies, committed to improving the quality and accountability of their programmes, to move towards compliance with the HAP Principles of Accountability, and to achieve certification against the HAP Standard in Humanitarian Accountability and Quality Management.

Eligibility for HAP Services

While HAP was established primarily to provide support to its members, it is also mandated to promote humanitarian accountability more broadly. Therefore, the HAP Secretariat offers a similar range of services to non-members when sufficient capacity is available and when the requesting agency has demonstrated a commitment to the HAP Principles of Accountability, normally through enrolment in the HAP Certification scheme.

Pricing policy

Indicative fees for HAP Services presented below are informed by four principles:

- Financial participation: To achieve greatest impact, HAP prefers to work with agencies that make a real commitment to improving the quality and accountability of their programmes. Therefore HAP expects to recover a proportion of the costs of its services from agencies that use them. However, with continuing donor support for HAP's capacity building programme, HAP is able to offer its services at less than their full cost.
- HAP members come first: Priority is always given to members of HAP when scheduling services. Charges for non-members are usually double the rates paid by members.
- Smaller agencies pay less: HAP charges a *small agency rate* for agencies with an average annual total expenditure of less than five million Swiss francs. The *small agency rate* is normally set at half the *standard rate*.
- No geographical bias: HAP charges a flat rate for its services, irrespective of the location of the agency. *All costs for HAP staff* are included in the rates quoted, unless mentioned otherwise in the price guide.

Services Available

The next pages offer more information on the following services currently offered by HAP:

1. Accountability and Quality Management Workshop
2. Designing an Accountability Framework
3. HAP Standard Baseline Analysis
4. Complaints and Response Systems Workshop
5. Investigations Learning Programme
6. HAP Standard Certification Audit
7. HAP Standard Certification Mid-Term Progress Audit

This list was updated in December 2009 and it is reviewed regularly to take into account experience, level of demand and feedback from agencies that have received HAP services. Availability, format and prices for these services may vary.

1. Accountability and Quality Management Workshop

This is a flexible workshop package, which can be tailored to fit the specific needs of individual agencies, using a variety of modules ranging from a half day to three days.

Purpose: Agencies request this workshop from HAP with a view to:

- Introduce staff to the agency's commitment to humanitarian accountability and HAP membership
- Assist senior staff to make decisions regarding HAP membership or certification
- Prepare staff for an upcoming baseline analysis against the HAP Standard
- Train staff in practical application of the benchmarks in their specific context
- Bring agency and implementing partner staff together to develop joint approaches to improving accountability

Format: The workshop will be designed to meet specific aims using a range of interactive and dynamic modules that encourage discussion and debate, facilitate small and large group activities and draw on a range of media, including simulations and films.

Topics: Depending on the needs of the requesting agency, some of the following topics will be covered during the workshop:

- Different factors calling for improved accountability
- Definition of accountability, concepts and principles of accountability and quality management
- Differences and similarities between HAP and other quality and accountability initiatives
- The HAP 2007 Standard in Humanitarian Accountability and Quality Management
- Approaches to implement the HAP Standard
- The HAP Certification and its benefits

Price Guide¹: Accountability and Quality Management Workshop		
Swiss francs	Members	Non-members
Standard rate	1,000	2,000
Small agency rate	500	1,000

¹ This price guide includes all costs for HAP staff for a one-day workshop.

2. Designing an Accountability Framework

An accountability framework brings together in one document a set of definitions, procedures, and standards that specify how an agency will ensure accountability to its stakeholders. It includes a statement of commitments regarding the minimum standards that an agency will meet, an analysis of the agency's current status against these commitments, and an implementation policy, strategy or plan for improvement. The Framework is a foundational quality management tool and enables agencies to identify and monitor progress against accountability objectives. The Accountability Framework ensures that the agency is in compliance with Qualifying Norm 4 and Benchmark 1 of the HAP 2007 Standard and it is a requirement before an application for HAP certification is considered.

Purpose: Designed for agencies that have enrolled in the HAP Certification scheme, this practical workshop assists staff with delegated responsibility for drafting their agency's Accountability Framework to engage key colleagues and to formulate a first draft.

Intended audience: Senior management and accountability focal persons at the head office of HAP members and non-members that have enrolled in the HAP Certification scheme.

Format: A one-day workshop, including a brief background presentation to assist in contextualising the Framework, followed by facilitation to collectively write a relevant and functional Framework that accurately reflects the agency's quality commitments.

Participants will be guided in preparatory work prior to the workshop, in order to ensure that relevant information is available. Written or verbal feedback can also be provided subsequent to the workshop as the framework is finalised.

Timing: The agency may choose this workshop before or after undergoing a baseline analysis against the HAP 2007 Standard.

Before: A Framework in place prior to a baseline enables the agency to receive feedback on the progress of its implementation, and to make adjustments.

After: The agency may choose to use the baseline analysis report to assist them in the formulation of their Framework and to capitalise on the momentum created during the baseline process.

Price Guide: Designing an Accountability Framework		
Swiss francs	Members	Non-members
Standard rate	1,000	2,000
Small agency rate	500	1,000

3. HAP Standard Baseline Analysis

Purpose

A baseline analysis against the HAP Standard is a service developed by HAP to assist agencies to prepare for certification. It seeks to establish where an agency currently stands in relation to the HAP Standard and its level of compliance with each of the requirements. It helps the agency to affirm existing good practice, identify gaps and decide areas for improvement. While it draws heavily on information provided by staff, beneficiaries and other stakeholders, a baseline analysis undertaken by an external facilitator provides objectivity and impartiality in the findings.

Format and methods

A baseline analysis, either provided by HAP or negotiated with an independent consultant, is a recommended step in the HAP certification process. While the basic structure of the process parallels that used by auditors during a certification audit, a HAP baseline analysis is an organisational development exercise. For example, the baseline process engages a wide range of staff, raises awareness of the HAP Standard, explores links between accountability and quality management, involves agency managers to identify strategies for change, and assists staff to identify their own role in improving the accountability of the organisation.

Each agency is different. In formulating the terms of reference for the baseline, HAP will discuss what is the optimal process given the size, complexity, geographic presence and activities of the agency. In some cases, HAP undertakes a more detailed scoping exercise to clarify what process fits best the agency.

With each agency, HAP also discusses the most suitable approach to the baseline given the type of agency, its scope and structure. For example, for a large international federation where the international body plays a coordinating role and members retain a high level of autonomy, HAP and the agency together decide whether to treat the federation as one agency or whether to undertake a baseline analysis of each member. The majority of agencies are involved in development and humanitarian aid programmes and a decision needs to be made as to whether the baseline will include the whole agency or only its humanitarian arm. Increasingly, HAP members are choosing to apply the HAP Standard across humanitarian, development and advocacy work.

Components of the baseline

The baseline analysis includes two components - a head office baseline and programme site baseline. Where an agency conducts all or the vast majority of its operations in one country, the head office and programme site analyses may be undertaken consecutively during one visit.

- The head office analysis aims to gather information on the agency as a whole – its governance and management systems, agency-wide policies, systems, decision-making processes and experience of practice in different programmes and countries. It provides an overview of the existing quality management systems and the agency intent and plans with respect to accountability and quality management.
- The programme site analysis aims to verify how the agency's policies, systems and procedures actually work on the ground: what is known and adhered to; how projects are managed and delivered and how the agency's work is experienced by people receiving humanitarian assistance, affected communities and other stakeholders. It involves on-site work in the country office and one or more project visits where the facilitator speaks with local partners, beneficiaries and other people of concern.

At head office and at the programme site, the HAP facilitator reviews documents, interviews people and observes practice. Detailed guidance is provided to agencies undertaking a baseline. The process normally commences with the head office baseline, with the programme site baseline undertaken as soon as it is practicable afterwards.

Outputs

The findings and recommendations from the baseline are contained in a report prepared by the facilitator. Separate reports are written for the head office baseline and the programme site baseline. This gives the agency a basis for planning and decision making to improve accountability and quality management; for example, through developing policy, improving monitoring systems, strengthening staff competencies or working to establish clear expectations with partners. The report also identifies the specific improvements against the HAP Standard that would be needed to undertake a successful certification audit.

Price Guide: Complete HAP Standard Baseline Analysis		
Swiss francs	Members	Non-members
Standard rate	13,000	26,000
Small agency rate	6,500	13,000

Price Guide: Head Office only baseline		
Swiss francs	Members	Non-members
Standard rate	7,500	15,000
Small agency rate	3,750	7,500

Price Guide: Programme site only baseline		
Swiss francs	Members	Non-members
Standard rate	7,500	15,000
Small agency rate	3,750	7,500

4. Complaints and Response Systems Workshop

Accountability involves a two-way dialogue: it is about right to have a say and the duty to respond. The right to complain and receive a response is an important part of being accountable, especially in the humanitarian context, where power imbalances are commonplace. Complaints and Response Systems (CRS) present humanitarian agencies with opportunities to improve services and strengthen relationships with disaster survivors. Through them, stakeholders can raise concern about an agency's decisions and actions, and be assured that the agency reviews and acts upon these accordingly. An effective complaints and response system will not only build trust between the agency and its stakeholder, but also alert agencies to problems, allow mistakes to be rectified, protect staff from false allegations, identify gross breaches of accountability and, above all, it will offer a means for disaster survivors to raise concerns and voice their views in a respectful and dignified way.

Purpose

This workshop is designed to help participants identify the users of a complaints system and the barriers users face when reporting complaints. Designed as a set of interactive sessions delivered over a three or four-day period, this workshop enables participants to identify practical issues in the design and operation of an effective complaints system and how to handle complex complaints, such as allegations of sexual exploitation and abuse. It will help participants in drafting a plan for setting up a complaint-handling system in their own operational context with the engagement of beneficiaries and other stakeholders.

Intended audience

The workshop is oriented towards organisations that are committed to setting up a CRS as part of their accountability framework or are preparing for HAP certification. It is aimed at mid-level and senior staff with designated responsibility for designing and implementing CRS in their programme area. Participants demonstrate a commitment to protect disaster survivors from sexual exploitation and abuse, have basic knowledge of humanitarian accountability issues and practical experience of working in humanitarian response.

Topics

Some of the topics to be covered during the workshop include:

- Why complaints handling constitutes an essential part of an accountability framework
- Factors that represent barriers to complaining and ways in which these can be addressed
- What constitutes an effective complaints and response system which is safe, confidential, transparent and accessible
- How to define valid complaints and the scope and parameters of complaint handling systems
- What and how to communicate with potential complainants
- Methods for engaging with communities and other stakeholders in developing appropriate complaint-handling systems
- Steps in setting up a complaint-handling system

Format and methods

Pre-workshop reading: Participants are advised to read basic information on accountability and the HAP Standard.

<http://www.hapinternational.org/resources/default.aspx>

<http://www.hapinternational.org/pool/files/hap-2007-standard.pdf>

Pre-workshop assignment

Prior to the workshop, participants identify and agree with their agency's senior management a pilot site for implementing a CRS. Participants will be provided with one mandatory assignment to be completed two weeks prior to the workshop. Participants may also be asked to prepare a presentation of their agency's current practice of handling complaints.

Facilitated workshop

The workshop includes interactive exercises, facilitated discussions, group work, exchanges of experiences, case-study analysis, which are tailored to:

- Outline key steps and processes involved in the establishment and operation of a CRS and activities associated with each step;
- Identify some of the practical issues that influence the design and operation of complaint-handling system;
- Define the complaints-handling system including options for using complaints and appeal boards
- Begin the process of applying learning to the specific organisational context through the drafting of plans to set up complaint and response systems.

Field visit (for specified workshops only): One-day visit to a pilot project field site to engage communities in discussion about barriers to complaining, access and appropriate ways to submit and handle complaints.

Follow-up: HAP will follow up with senior management or the accountability focal points about the work plan initiated at the workshop; it will provide feedback on the draft procedures and plans and identify with the agency any further support required.

Application form

Applicants complete and application form available on the HAP website www.hapinternational.org/book. This provides essential information for facilitators about the participants' knowledge of the issue.

Price Guide: Sole Agency Workshop²		
Swiss francs	Members	Non-members
Standard rate	10,000	20,000
Small agency rate	5,000	10,000

Price Guide: Multi-agency Workshop		
Swiss francs <i>Per participant</i>	Members	Non-members
Standard rate	1,000	2,000
Small agency rate	500	1,000

² This includes all costs for HAP staff, venue, workshop materials, lunch and breaks. It does not include participants' travel, accommodation and other costs.

5. BSO Investigations Learning Programme

Given the power imbalances between disaster-affected populations and humanitarian agencies, the potential for abuse and exploitation by aid workers is magnified in the midst of an emergency response. Recurring reports of misconduct by humanitarian staff, including sexual exploitation and abuse of disaster-affected populations, and the lack of appropriate investigation and follow-up have led to the development of the BSO Investigations Learning Programme (LP).

The LP has five components: self study pre-workshop assignments; Investigations Workshop; detailed investigations case study; Investigations Follow-up Workshop; and on-going support for agencies and participants in the Investigations Learning Programme, including support during investigations. All information provided by participants during the Learning Programme remains strictly confidential.

The Investigations Workshop and the Follow-Up Workshop are presented below in more detail.

5.1 Investigations Workshop

Purpose: This workshop builds the knowledge and skills of staff designated to conduct investigations into allegations of staff misconduct, particularly sexual abuse and exploitation by aid workers.

Intended audience: The Workshop is oriented towards mid-level and senior staff with expertise in protection and / or prevention strategies designated to conduct investigations. Participants must work directly with host populations and demonstrate a commitment to protect disaster survivors from sexual exploitation and abuse. This workshop is offered to sole-agency staff upon request or as an open workshop to staff from several agencies.

Topics

Some of the topics to be covered during the workshop include:

- The contexts within which abuse and exploitation can occur;
- The principles underpinning the investigation of complaints;
- The BSO Guidelines;
- What constitutes abusive and exploitative behaviour and the impact of this on victims,
- Planning and conducting investigations;
- Interviewing witnesses and complainants;
- Interviewing the subject of complaint;
- Reporting findings and making recommendations from investigations.

Format and methods

The four pre-workshop assignments and the five-day workshop have been developed in consultation with participants at earlier workshops, experts responding to exploitation and experienced investigators. Sessions will be conducted through interactive exercises, facilitated discussions, group work, exchanges of experiences and case study analysis. The programme aims to incorporate participants' field experience and is tailored to build practical skills.

Pre-workshop reading: the pre-workshop materials are comprised of three documents, which are integral to the Investigation Learning Programme. These are:

- Secretary General's Bulletin 2003/13, which can be downloaded from here: <http://hapinternational.org/pool/files/sgs-bulletin.pdf>;
- Draft Guidelines on Secretary General's Bulletin, which can be downloaded from here: <http://hapinternational.org/pool/files/pwm-2-updated-sqb-draft-guidelines.pdf>
- BSO Guidelines, available at: <http://hapinternational.org/pool/files/bso-guidelines.pdf>.

These documents outline the policies and procedures relevant to receiving and investigating allegations of sexual exploitation and abuse and provide information to complete the pre-workshop assignments.

Pre-workshop assignments: the Investigations Workshop has four mandatory pre-workshop assignments to be completed one week prior to the commencement of the workshop. The assignments ensure that all participants share a basic knowledge of complaints handling and investigations into staff misconduct.

Investigations Workshop modules: the workshop is delivered through five modules:

- Module 1: What is abuse (1 day)
- Module 2: Complaints procedures (1/2 day)
- Module 3: Factors influencing protection and abuse (1/2 day)
- Module 4: Investigation procedures (1/2 day)
- Module 5: Interviewing and conducting investigations (1 ½ day)
- Module 6: Investigation closure (1 day)

Training days run from approximately 08:30 to 18:30. There will be a mid morning and a mid afternoon break for refreshments and evening group work the third day of the workshop.

Follow-up workshop: After completing the Investigations Workshop, eligible participants will be invited to attend the three-day Investigations Follow-up Workshop. Selection for the Follow-up Workshop is based on applicants' job responsibilities and their knowledge, experience and skills as demonstrated during the Investigations Workshop. HAP will provide ongoing support to agencies and professional development to participants including requests for support with investigations (all information provided will remain strictly confidential).

Application form

To apply for an Investigations Workshop, applicants must complete the application form available here: www.hapinternational.org/book. This form provides essential information for facilitators about the participants' knowledge on the topic. Applicants must meet eligibility criteria to be accepted at the workshop.

Price Guide: 5-day Residential Investigations Workshop, sole agency³		
Swiss francs	Members	Non-members
Standard rate	15,000	30,000
Small agency rate	7,500	15,000

Price Guide: 5-day Residential Investigations Workshop, multi-agency		
Swiss francs <i>Per participant</i>	Members	Non-members
Standard rate	1,000	2,000
Small agency rate	500	1,000

³ See footnote 2.

5.2 Investigations Follow-up Workshop

As the fourth component of the Investigations Learning Programme, the Follow-up Workshop will strengthen and hone participants' skills in planning and conducting timely, confidential, transparent and safe investigations into allegations of sexual abuse and exploitation of disaster-affected populations by aid workers.

Purpose: This workshop aims to refresh participants' investigation skills learned during the Investigations Workshop and develop new skills to assist them in receiving complaints and conducting investigations.

Eligibility: The Follow-Up Workshop is oriented towards mid-level and senior staff with expertise in protection and / or prevention strategies designated to conduct investigations. Participation in this workshop is by invitation and open only to those who completed the Investigations Workshop. Selection for the Follow-up workshop is based on applicants' job responsibilities and knowledge, experience and skills as demonstrated during the Investigations workshop.

Topics

Some of the topics to be covered during the workshop include:

- How to identify possible breaches of codes of conduct and the SG's Bulletin⁴ arising from an allegation and the elements needed to prove or disprove that allegation;
- Interviewing techniques for witnesses, complainants and the subject of complaint;
- How to analyse evidence from testimonies;
- How to assess the evidence gathered during an investigation to reach appropriate findings;
- Practical skills in reporting findings and making recommendations from investigations.

Format and methods

The methods employed for the three pre-workshop case study assignments and the three-day workshop have been developed in consultation with participants at earlier workshops, experts responding to exploitation and experienced investigators. Sessions will be conducted through interactive exercises, facilitated discussions, group work, exchanges of experiences and case study analysis. The programme aims to incorporate participants' field experience and is tailored to build practical skills.

Pre-workshop reading

In order to complete the pre-workshop case study assignments, participants are required to read three documents:

- Secretary General's Bulletin 2003/13, which can be downloaded from here: <http://hapinternational.org/pool/files/sgs-bulletin.pdf>;
- Draft Guidelines on Secretary General's Bulletin, which can be downloaded from here: <http://hapinternational.org/pool/files/pwm-2-updated-sgb-draft-guidelines.pdf>.
- BSO Guidelines, available at: <http://hapinternational.org/pool/files/bso-guidelines.pdf>.

These documents outline the policies and procedures relevant to receiving and investigating allegations of sexual exploitation and abuse and provide information to complete the pre-workshop assignments.

Pre-workshop assignments

The three mandatory pre-workshop assignments, which simulate a real investigation, will be sent to participants approximately one month prior to the workshop.

⁴ United Nations Secretariat. 9 October 2003. *Secretary General's Bulletin on Special Measures for Protection from Sexual Abuse and Sexual Exploitation, 2003/13 (ST/SGB/2003/13)*. United Nations.

Workshop modules. The workshop is delivered through three modules:

- Module 1: In-depth investigation planning (1/2 day)
- Module 2: Conducting interviews (1½ days)
- Module 3: Investigation report writing (1 day)

Training days run from approximately 09:00 in the morning until 18:00. There will be a mid morning and mid afternoon break for refreshments and evening group work the first day of the workshop.

Application form

HAP will send eligible participants an email invitation. To register for the workshop, invitees must complete the application form that will be made available at www.hapinternational.org/book. Completion of this form informs facilitators of activities related to prevention of and response to sexual exploitation and abuse that participants have undertaken since the Investigations Workshop

Price Guide: 3-day Residential Investigations Follow-up Workshop, sole agency⁵		
Swiss francs	Members	Non-members
Standard rate	12,000	24,000
Small agency rate	6,000	12,000

Price Guide: 3-day Residential Investigations Follow-up Workshop, multi-agency		
Swiss francs <i>Per participant</i>	Members	Non-members
Standard rate	1,000	2,000
Small agency rate	500	1,000

⁵ See footnote 2.

6. HAP Standard Certification Audit

The HAP Certification Audit is a detailed independent assessment of how well an agency is implementing the HAP Standard in its day-to-day operations. By the end of the audit, the agency will be assured that staff are following an externally verified accountability plan.

If successful, the agency will be awarded a Certificate in Humanitarian Accountability and Quality Management, valid for three years. A mandatory mid-term progress audit is required 18 months after the certification is awarded.

Format and methods

A HAP Certification Audit comprises of three parts:

- Review of documentation. Relevant policies, guidelines and other internal documents that support the agency in the implementation of the HAP Standard are reviewed. The agency is required to submit documents to the auditor ten days prior to the commencement of the audit visits. This enables the auditor(s) to have a clear understanding of the operating practices of the agency well in advance of the audit.
- Audit visit to the agency Head Office. This usually takes three to four days.
- Audit visit to one or two programme field sites (depending on the size of the agency) selected randomly by the auditor(s). Field visits take five to seven days each.

During Head Office and programme site visits, the auditor(s) interview staff of the agency being audited, staff of its implementing partners and programme beneficiaries.

The auditors analyse and report on the documentation, Head Office and field interviews, and their own observations in an audit report that is shared with the agency for comment or correction of factual errors. Following this, the audit report is forwarded to the HAP Certification and Accreditation Review Board for a decision as to whether the agency should be awarded certification.

In some cases, an agency may be awarded certification subject to corrective action requests (CAR). A CAR is noted by the auditor and indicates a weakness in how an agency is meeting their quality and accountability obligations.

The provision of evidence in support of the Certification audit is the responsibility of the Board and the Senior Management of the agency. It is the responsibility of the HAP auditors to express an opinion both on the evidence provided and on the interviews carried out during the audit.

The audit report

A detailed audit report including CARs, observations and recommendations is made available to the agency. Senior managers use this as the main tool that drives their agency's accountability and management improvement plan.

A summary of the audit report is made available on the HAP website after its contents are agreed with the agency. The summary report is intended to inform all relevant stakeholders that the agency is certified against the HAP Standard and that a specified improvement plan will be followed.

How to apply: Once an agency is confident that they are compliant with the HAP Standard and therefore ready for a certification audit, they contact the Director of HAP Regulatory Services to arrange dates for the audit.

Price Guide: Certification Audit (Head Office and one programme site)		
Swiss francs	Members	Non-members
Standard rate	15,000	30,000
Small agency rate	7,500	15,000

Price Guide: Additional programme sites		
Swiss francs	Members	Non-members
Standard rate	5,000	10,000
Small agency rate	2,500	5,000

Note that the price guide above does not include the fee for conducting the mid-term progress audit.

7. HAP Standard Mid-Term Progress Audit (MTPA)

HAP certified agencies undergo a mid-term progress audit 18 months after certification is awarded. The MTPA is an opportunity for the agency to confirm that the corrective actions (CARs) agreed at the certification audit have been implemented and to demonstrate further progress made to improve quality of programmes and accountability to beneficiaries.

The MTPA is also an opportunity for the agency to increase learning and advocacy with its staff for the approaches to quality assurance and accountability that the agency espouses.

Format and methods

Prior to reaching 18 months since certification, the HAP auditor(s) will contact the agency to agree dates and locations for the MTPA. The MTPA is an audit, thus it is subject to the same rules and procedures and a similar process is followed as during the certification audits:

- Review of any new relevant policies and procedures introduced by the agency since the certification audit
- Short audit of the agency's Head Office (usually one or two days)
- Full audit at field sites randomly select by the auditor(s). The field site visits take between five and seven working days.

The auditor will complete a report of these three elements and forward the report to the agency for review and comment. The MTPA report is not forwarded to the HAP Certification and Accreditation Review Board unless it raises serious concerns that the agency is renegeing on its commitments.

MTPA Report: A detailed MTPA report including comments on compliance with current CARs, any newly identified CARs, observations and recommendations is prepared at the end of the MTPA and made available to the agency.

Price Guide: Mid-Term Progress Audit (Head Office and one programme site)		
Swiss francs	Members	Non-members
Standard rate	10,000	20,000
Small agency rate	5,000	10,000

Price Guide: Mid-Term Progress Audit at additional programme sites		
Swiss francs	Members	Non-members
Standard rate	5,000	10,000
Small agency rate	2,500	5,000