

Review of the HAP 2007 Standard in Humanitarian Accountability and Quality Management

Terms of Reference

This paper outlines the process for the review of the HAP 2007 Standard in Humanitarian Accountability and Quality Management.

I. Aims of the review

1. To consider known impact of the HAP 2007 Standard upon the lives of disaster survivors
2. To identify lessons learned from experience with the HAP 2007 Standard and the certification scheme
3. To ascertain the strengths and weaknesses of the current Standard and the certification scheme and to identify areas for improvement
4. To highlight positive and negative consequences of compliance with the Standard
5. To reach consensus on areas for revision, including options for expansion of the scope of the Standard and the Standard certification system, and to prepare a draft 2010 Standard for consideration by the Board and General Assembly in 2010
6. To develop new and consolidate existing materials for managing, communicating and promoting the Standard and the quality assurance certification system to key audiences

II. Key areas for consideration

1. *Impact of the HAP 2007 Standard and the certification scheme on the lives of disaster survivors*
 - Ensure that the HAP commissioned studies on complaints handling and the HAP evaluation seek to include an assessment of the impact of the HAP 2007 Standard and certification upon the lives and perceptions of disaster survivors
 - Review and collate findings of all known studies that shed light on the impact that the application of the Standard has had upon the lives and perceptions of disaster survivors
2. *Experience with the HAP 2007 Standard and the certification scheme*
 - Lessons learned from the first two years
 - Whether compliance with the Standard satisfies the criteria of mission criticality, affordability and practicality, and how this could be improved
 - How the Standard and the certification scheme have been applied to agencies working through partners and how this could be improved
 - The demonstrated impact of compliance with the Standard
 - Factors affecting member agencies' decisions to choose certification or not
3. *Content of the HAP 2007 Standard*
 - Qualifying Norms for Certification
 - The Humanitarian Covenant
 - The six benchmarks, requirements and means of verification
4. *New directions for the Standard and the certification scheme*
 - Options for making the Standard and the certification scheme more explicitly applicable to beyond the humanitarian emergency domain

- Options on the scope of certification, particularly for larger agencies and agencies working through partners
- Demonstrated inter-operability with other relevant standards, particularly the Sphere “Common Standards” and the People in Aid Code.
- Investigate the need for additional benchmarks, such as those not included in the HAP 2007 Standard (Coordination and collaboration, Impact analysis, Appropriate reporting, Advocacy / Rights based approaches, Ethical fund raising practices, Supply chain management that considers local capacity and resources)

III. Components of the review process:

1. *Critical factors*

- Continued compliance with ISO guidelines for the development of international standards;
- Robust stakeholder involvement, including participation at all levels of disaster survivors and staff from member agencies;
- Use of both internal and external resources and skills, ensuring objectivity where essential;
- Complementarity with planned review and consultation processes of other relevant quality and accountability initiatives, particularly the Sphere standards review and the ECB process.

2. *Approach*

2.1. A standard review steering committee (SRSC) will be appointed by, and work under the guidance of the Policy Coordinator in the HAP Secretariat as follows:

- The SRSC will be balanced in terms of agencies’ sector, size and location, and their representatives’ gender and language of origin, to satisfy the following conditions and not exceed a total number of 15 members, excluding HAP Secretariat staff: At least two disaster survivors; One representative each from no more than 4 current HAP members; The UN and/or donor community; individuals with experience outside the humanitarian sector; national partners of large international agencies; national and international civil servants.
- HAP member agencies and members of the Board can propose candidates. The Board will advise the Secretariat on the overall composition of the Committee.
- A main function of the SRSC will be to retain an oversight function of the process and provide feedback at different stages, depending on their area of expertise.
- The SRSC can decide if working groups will be convened to focus on specific elements of the review process.

2.2. A broader Reference Group will inform the work of the SRSC:

- The reference group will consist of representatives from all key stakeholder groups, such as certified and non-certified member agencies, disaster survivors, board members, donors, HAP Secretariat, interested non-members for e.g. UN, development NGOs, academics, other quality and accountability initiatives etc.
- The individuals who participated in the Beneficiary Based Consultation (drawn from refugee communities living in Kenya, Namibia and Thailand) and the representatives of beneficiary groups who participated in the Investigations Learning programmes of the Complaints Handling Unit (BSO) will also be invited to join the Reference Group.
- Members of the Reference Group may join working groups, if and as suggested by the SRSC and the HAP Secretariat.
- The HAP Secretariat will manage communication and input .

3. Other considerations

- Member agencies should consider how they could best facilitate participation by beneficiaries of their programmes.
- HAP's first standard development process showed that significant participation by member agencies is difficult to achieve without sufficient resources being devoted to the project. HAP proposes the exploration of a secondment system, where time of some key members of staff is allocated to the review process.
- The design of the review will ensure the provision of significant benefit for participating member agencies, where the work conducted in relation to the review may also constitute progress towards certification or re-certification.

IV. Management and oversight

Principles guiding the management of the Standard review process were discussed and agreed at the Board meeting in October 2008: the Secretariat will manage the review process with oversight by the Steering Committee. The Board and the General Assembly will be presented with regular updates and a final draft of the Standard for adoption.

Two external studies will be commissioned to feed into the review process: one of the effect of complaint-handling processes (that comply with the HAP Standard) on programmes, staff and the lives and perceptions of disaster survivors; one on perceptions of the impact of the HAP Standard and the Certification scheme.

In parallel to the Standard Review process, the HAP Secretariat will commission an external evaluation of HAP; relevant findings and recommendations from the external evaluation will feed into the Standard review process.

V. Expected Outputs

The following key outputs will be delivered. For more information see the following section.

- Inception documents, presenting the key elements of the process and the methods that will be followed
- Regular progress updates (quarterly), and a progress report prepared for the October 2009 Board meeting
- The HAP Standard draft for adoption by the Board in 2010
- A revised Guide to the HAP Standard to reflect the latest version of the Standard
- A final report summarising the process and key lessons learnt

VI. Proposed Milestones

By end February 2009:

- Steering Committee formed and Reference Group members identified
- Consultation on the Review process with member agencies
- Review of HAP 2007 Standard development process underway
- Decision made on process for the revision of the investigations guidelines
- Inter-operability options explored with other relevant initiatives

By end May 2009:

- Reference Group formed / confirmed
- User feedback gained, lessons learned from the 2007 Standard formulated
- Detailed Terms of Reference developed for separate components of the review process
- Steering Committee has one meeting and agree the workplan/proposed working groups
- Study completed on the effect of complaint handling on programmes and communities
- Study underway on perceptions on the impact of the HAP Certification scheme

By end July 2009:

- In-country partners identified
- Methodology for beneficiary consultations agreed and modular approaches explored
- External evaluation of HAP completed and first draft of the 2010-2012 strategic plan available
- Relevant TORs developed and, where needed, external consultants identified for each of the regional consultations

By end 2009:

- Regional consultations completed
- Draft standard evolves throughout the consultations and with Reference Group input
- Validation research underway, using draft new standard; three field trials completed
- Progress report presented to the Board at the October meeting and made public

Early 2010:

- Last regional consultation completed
- Proposed new standard presented to members for review
- Review findings presented and distributed
- Changes in standard linked to impact on certification process
- Steering Committee has second meeting

At Spring 2010 HAP Board meeting:

- Board and General Assembly presented with HAP 2010 Standard for adoption

By end September 2010:

- Guide to the HAP 2010 Standard published and launch event organised
- Other critical materials related to the management of and advocacy for the HAP Standard and the certification scheme available

For more details and if you are interested in the Standard review process, contact
Monica Blagescu mblagescu@hapinternational.org
<http://www.hapinternational.org>