

# Masterclass



# Accountability

"mission at the heart of the church,  
the church at the heart of mission"

## Relief and Development Masterclass

14 October 2008, London



# Overview

1. Accountability Deficit – what is it?
2. Mission Critical Elements for Accountability
3. Enabling Feedback – Complaints Handling
4. Continual Improvement
5. An Accountability Framework

What ever you do, work at it  
with all your heart, as working  
for the Lord, not for men.

Colossians 3:23

Quality: Striving for excellence

# Thinking Accountability

- What does “good” social, development or humanitarian action look like?
- How can we recognise it?

**Are good intentions Good Enough.....**

# .....perhaps not good enough

- Power asymmetry
  - Inappropriate choice
  - Moral hazard
  - Motivation
- Efficiency (shrinkage)
  - Legitimate management
  - Coordination
  - Fraud & corruption
- Effectiveness?
  - 4 million deaths in the DRC (1999-2003)
  - 100,000 deaths in Darfur (2004)
  - 72 coordination meetings a week in Aceh (2005)

# Power Asymmetry – Giver : Receiver

- Given no choice in who helps them
- Treated as though they are all the same
- Subjected to "veterinarian" style interventions
- “Warehoused” for long periods of time in detrimental circumstances
- Not reported to by agencies

## Results:

- Cases of sexual exploitation and abuse
- Waste and inefficiency
- Political instrumentalisation
- Inappropriate decisions, for example agencies taking on jobs that they are not qualified to do
- Priorities driven by for e.g. competition for market share and the power of donors rather than by measured assessment of need

**No means for Redress**

# Definition of Accountability

- Accountability is the means by which individuals and organisations report to a recognised authority, or authorities, and are held responsible for their actions. - *Edwards & Hulme, 1995*,
- 'Accountability' means explaining what you have done and taking responsibility for the results of your actions. This includes explaining how you have used funds. – *Management Accounting for NGOs (Mango) 2004*
- Making sure the men, women and children affected really do have a say in planning, implementing and judging our response to their emergency. - *Emergency Capacity Building Project 2006*
- The processes through which an organisation makes a commitment to respond to and balance the needs of stakeholders in its decision-making processes and activities. – *Global Accountability Project 2006*
- **Accountability is the means by which power is used responsibly.** – *HAP International website - 2006*

# The Depth of Accountability

Beyond.....

- Process
- Duty to report

**The Right to Be  
Heard**

**The Duty to  
Respond**

Involves taking into account the:

- Needs
- Concerns
- Capacities
- Disposition of the affected people
- Explaining the meaning of, the reasons for, actions and decisions

# Stakeholders

- Anyone (individual or group) who has interests in or affected by your organisations activities
  - Who are they?
- What is the exchange relationship between your organisation and the stakeholders:
- Their expectations
  - Your expectations

## Prioritise

# Possible Stakeholders

~~Disaster Survivors~~  
Beneficiaries

Host / Affected  
Communities

Partners

Staff

Donors

- Disaggregate Beneficiaries Further
  - Gender
  - Age
  - Ethnicity
  - Disability
  - Vulnerability

# Stakeholder Exchange Map

<b>Stakeholder</b>	<b>Provides to us</b>	<b>We provide to them</b>

# Worksheet: Scope

<b>No.</b>	<b>Question</b>	<b>By Whom</b>	<b>For What</b>
1.	What are we required to do?		
2	What are we forbidden to do?		
3	What are we allowed to do?		

# Values Audit Worksheet

<b>Type of Value</b>	<b>Question</b>
<b>Key Result Value</b>	What does your organisation exist to do?
<b>Means Value</b>	What do you believe about how you should do it?
<b>Existential Value</b>	What kind of people should you be?

# Mission Critical Elements

1. Professional – efficient, effective, organised, structured, systematic
2. Timely Information – transparent
3. Informed consent / participation – engage
4. Competent staff – skills, knowledge, behaviour and attitudes
5. Feedback / complaints – and a response
6. Learnt lessons – continual improvement

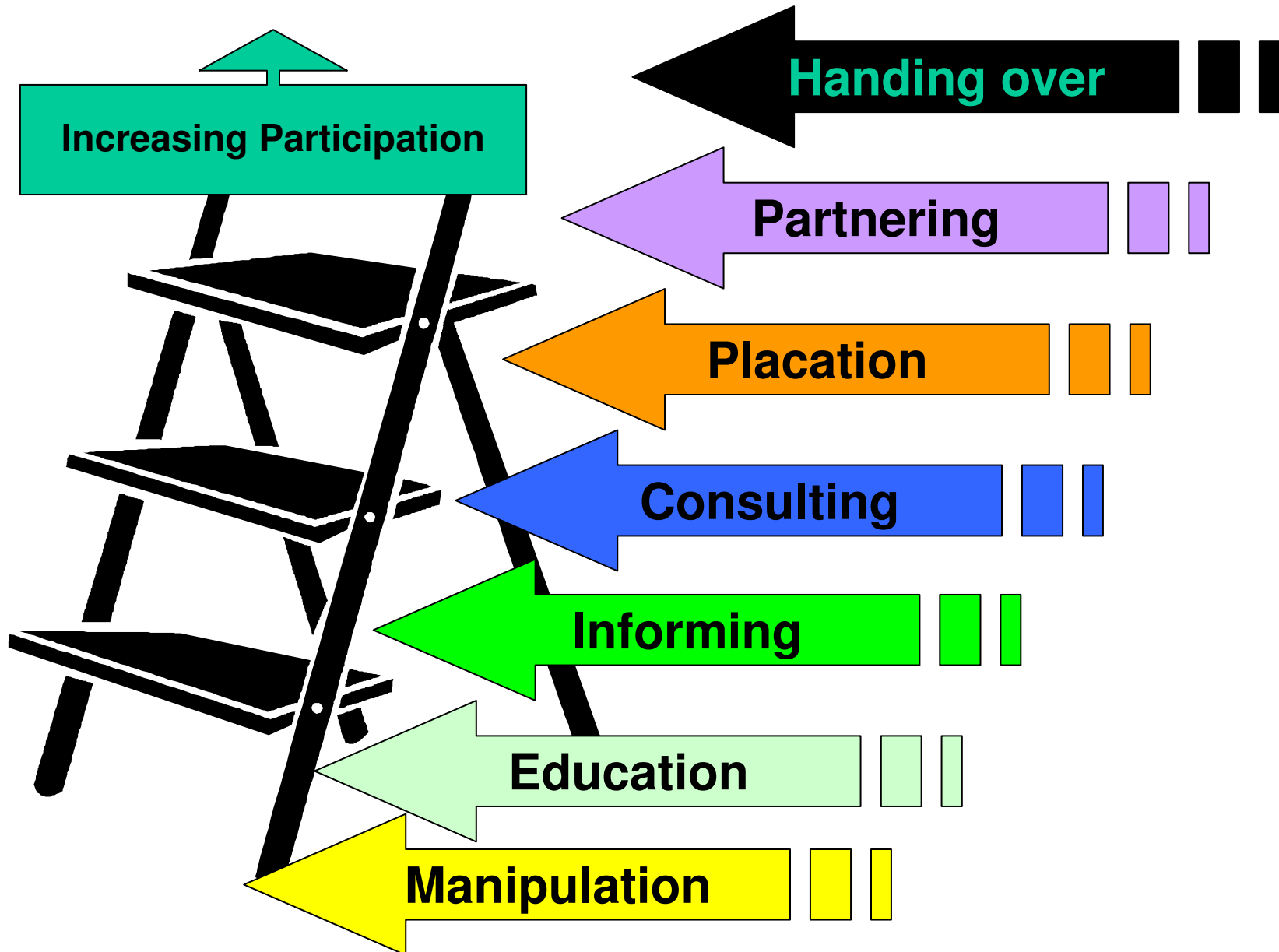
# Others

1. Impact
2. Appropriate reporting
3. Ethical fundraising
4. Coordination / complementarity
5. Local capacity utilisation

# Information – what?

1. Who you are – background
  - Contextualisation
  - Accessibility
2. Commitments
  - Language
3. Plans
  - Media
4. Progress
  - Format
5. Feedback / complaints process
  - Risk Assessment

# Participation



# Types of Participation

No	Type	Community
1	<b>Passive</b>	Community informed of what is going to happen or what has occurred.
2	<b>Interview</b>	Community responds to questions but has no influence on design / delivery
3	<b>Consultation</b>	Community asked their perspective but given no decision power
4	<b>Supply</b>	Community give input in labour, time, some supplies – incentive driven or cost recovery
5	<b>Interactive</b>	Community participates in all aspects with input shown to impact decisions

## Recruitment – can we find the perfect staff?

- State competencies
- Clarify what they need to follow
- Performance manage
- Train – staff development



# Myths of Beneficiary Complaints.

- Most people are happy with whatever help they can get
- Most people will abuse a complaints system
- Its too expensive and time consuming
- CM is only for very serious issues
- We don't need a separate procedure
- Some complaints are too small



# Why not make a complaint?

Task:

Think of a situation when you received a poor service from an important service provider, but did NOT complain.

(e.g. Bank, police, electricity company, hotel restaurant.)

# I won't complain because...

- The self: shame, ignorance, hopelessness, pointless, shy, fear & & &
- The other: violence, discrimination, power, perception, & & &
- The context: history, policy, power, &&&

# Why should beneficiaries complain?

- Early warning about problems arising...
- Non judicial dispute resolution...
- Opportunity for listening and learning (important customer feedback)...
- Save money and time...
- Redress power balance; dignifying...
- Improve security...
- Taking account. Taking responsibility. The ultimate step in transparency and humility

# Continual Improvement

<b>No</b>	<b>Origin</b>	<b>Action Required</b>	<b>By Who</b>	<b>When</b>	<b>Done</b>
	Evaluation Audit Proposition Complaint				

# Accountability Framework

## What is It?

- A management tool
- A communication tool

Systematic Structure  
Clarification Plan  
Oversight  
Measurability

90% of management is  
good communication  
= the oil

# Definition Accountability Framework

Specifies how the organisation will ensure accountability to its stakeholders, and includes:

- Statement of commitments
  - What are you promising e.g. mandate, values, standards, codes, principles and guidelines,
- Current status
  - As measured against the level of implementation of the commitments made
- Work plan / roll out plan
  - Including indicators for improvement with time frame

# Definitions

- Policy: Frame decisions – mandatory / guideline
- Standard: Acts as a basis for comparison or reference point against which something can be evaluated.
- Principle: A basic generalisation that is accepted as true and can be used as a basis for reasoning or conduct (behaviour)
- Code: A systematic collection of regulations and rules of procedures or principles or conduct (moral)

# Criteria

1. Relevant
2. Measurable
3. Realistic
4. Add value
5. Coherent

- Overlaps
- Prioritisation



# Priorities

<b>Expectation</b>	<b>Status</b>	<b>Quality Goal</b>
Information Provision	Web site, 6mnthly Notice Board – ad hoc Focus Groups - usually	<b>Ideal level of attainment</b>
<b>Minimum Info</b> <ul style="list-style-type: none"> <li>•Organisational Background</li> <li>•Accountability Commitments</li> <li>•Plans</li> <li>•Progress Updates</li> <li>•Complaints Process</li> </ul>	<b>Process to be used to meet commitment</b>	Progress Indicators

# Framework

<b>Commitment</b>	<b>Implementation Mechanism</b>	<b>Quality Goal</b>
Transparency through information provision	Information Strategy / Policy Guidelines HAP Standard <small>Benchmark 2</small>	<b>100% Provision of 5 core information commitments to specified stakeholders by 12/08</b>
<b>Minimum Info</b> <ul style="list-style-type: none"> <li>•Organisational Background</li> <li>•Accountability Commitments</li> <li>•Plans</li> <li>•Progress Updates</li> <li>•Complaints Process</li> </ul>	<b>Status Report</b>  <b>Partners</b>	Progress Indicators

# Quality Management System

1. **Qualify Norms:** Impartial, Not for Profit, Financial Integrity, Transparent Accountability
2. **Definitions / Scope:** Taking into account varying terminology and meanings
3. **Mission Statement / Accountability Statement:** Commitments in framework
4. **Management System:** How do we demonstrate that we fulfil this and meet the requirements of our stakeholders
5. **Responsibilities:** Delegation of authority (structure, organogram)
6. **Resource Management:** HR, Finance, Assets
7. **Outputs / Impacts:** Product, Process, Service
8. **Measurement, Analysis, Lessons Learnt, Improvement Applied:** Quality Assurance

# Baseline Analysis

- **Documentation:** Established procedure:
  - Mandatory / Obligatory (law / policy)
  - Guideline
  - Reference
- **Interview:** To what level have staff / partners grasped what they should be doing (their responsibilities, skills, knowledge, awareness)
- **Observation:** Is there evidence of good practice:
  - Documentation Evidence: Reports
  - Staff / Partners: actions and process used
  - Practice: outputs

# Quality Assurance

1. Commitments
2. Baseline
3. Who will do it
4. How – process
5. Quality Goal (SMART)
6. Progress Indicators
7. Monitoring & evaluation
8. **Identification and application** of lessons learnt
9. Accountable implications if **NOT** achieved



# Accountability Framework Summary

<b>Commitment</b>	<b>Obligation</b>	<b>How Management System</b>	<b>Partners</b>	<b>Status</b>	<b>Quality Objective</b>	<b>Progress Indicator</b>
SPHERE	Guideline	Needs assessment Proposal	Reference	Aware	All Emerg. Response partners use SPHERE	50 % trained by 2008
Participation	Mandatory	PCM Manual	Required	unknown	Partners demonstrate participation at all stages of cycle	Bi-annual M&E Reports  Interview with beneficiaries

# HAP Standard

## **Benchmark 1**

Establish a quality management system (QMS)

### ***Requirement 1.1***

Document all relevant standards, codes, guidelines, principles committed to

### ***Requirement 1.2***

Show how QMS enables above commitments

# HAP Standard

Cont.

## Benchmark 2

### Information / Transparency

- a) Organisational Background
- b) Accountability Framework
- c) Plans
- d) Progress Reports
- e) Complaints Mechanism

### *Requirement 2.1*

a-e for each stakeholder

### *Requirement 2.2*

Selection criteria / deliverables

### *Requirement 2.3*

Contact details

### *Requirement 2.4*

Roles and Responsibilities

# HAP Standard

Cont.

## Benchmark 3

Participation / Informed  
Consent

### *Requirement 3.1*

Process to disaggregate:  
Gender, age, disability +

### *Requirement 3.2*

Participation in design,  
implementation,  
monitoring & evaluation

# HAP Standard

Cont.

## Benchmark 4

Competent Staff

*Requirement 4.1*

Job Descriptions

*Requirement 4.2*

Responsibilities

*Requirement 4.3*

Performance Review

*Requirement 4.4*

Training

# HAP Standard

Cont.

## Benchmark 5

### Complaints Handling

#### *Requirement 5.1*

Consultation / Contextualisation

#### *Requirement 5.2*

Document & Establish

#### *Requirement 5.3*

Awareness raising

#### *Requirement 5.4*

Tracking

#### *Requirement 5.5*

Staff

# HAP Standard

Cont.

## Benchmark 6

Continual Improvement

### *Requirement 6.1*

M&E / lessons learnt

### **Requirement 6.2**

**Partners M&E**

# Partners: Requirement 6.2

- Monitor & Evaluate the agreed means to improve the quality of the partnership with respect to:
  - Principles of Humanitarian Action
  - Principles of Accountability