

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

Stakeholder	Provides to us	We provide to them

Worksheet: Scope

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

Values Audit Worksheet

Type of Value	Question
Key Result Value	What does your organisation exist to do?
Means Value	What do you believe about how you should do it?
Existential Value	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

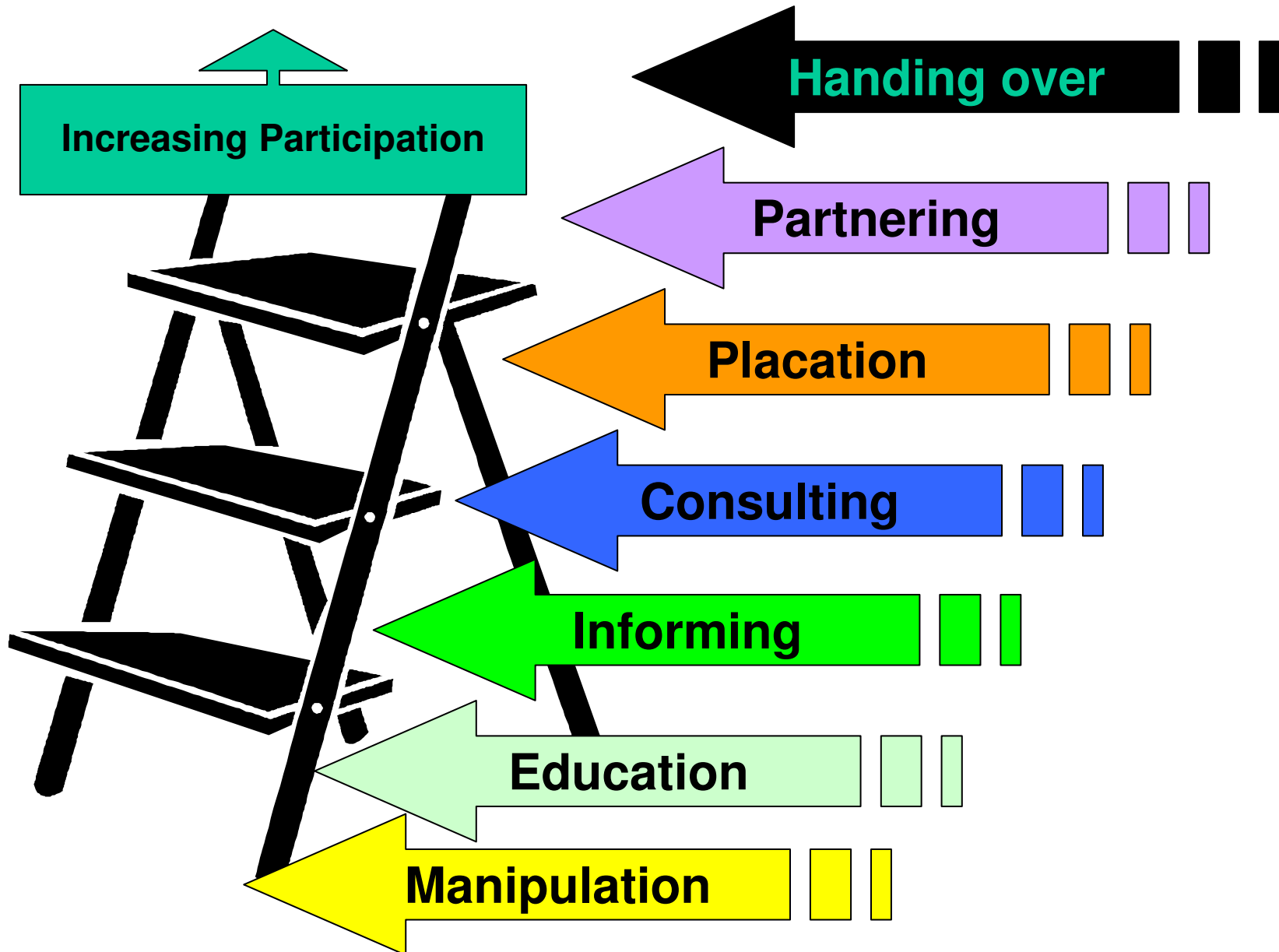
Others

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	Passive	Community informed of what is going to happen or what has occurred.
2	Interview	Community responds to questions but has no influence on design / delivery
3	Consultation	Community asked their perspective but given no decision power
4	Supply	Community give input in labour, time, some supplies – incentive driven or cost recovery
5	Interactive	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

No	Origin	Action Required	By Who	When	Done
	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

Expectation	Status	Quality Goal
Information Provision	Web site, 6mnthly Notice Board – ad hoc Focus Groups - usually	Ideal level of attainment
Minimum Info •Organisational Background •Accountability Commitments •Plans •Progress Updates •Complaints Process	Process to be used to meet commitment	Progress Indicators

Framework

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

Commitment	Obligation	How Management System	Partners	Status	Quality Objective	Progress Indicator
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