Annex 1

IASC Revised Commitments on Accountability to Affected Populations (AAP)

Guidance Note for Principals and Senior Managers

PURPOSE OF NOTE

This note aims to complement the four AAP commitments with some recommendations for Principals and Senior Managers for both the organisational and collective levels. The recommendations are adapted from the 'Grand Bargain Participation Revolution Recommendations (GBPRR) to Promote Effective Participation of People Affected by Crisis in Humanitarian Decisions' 1 and the Core Humanitarian Standard (CHS)². This note was endorsed by the IASC AAP/PSEA Task Team on 15 March 2018.

COMMITMENT 1: LEADERSHIP

Demonstrate their commitment to Accountability to Affected Populations (AAP) and Protection from Sexual Exploitation and Abuse (PSEA) by enforcing, institutionalising and integrating AAP approaches in the Humanitarian Program Cycle and strategic planning processes, at country level and by establishing appropriate management systems to solicit, hear and act upon the voices and priorities of affected people in a coordinated manner, including for SEA, before, during and after an emergency.

Organisational Level

Organisations should:

- Allocate funds to enable effective participation and promote a culture among staff of acceptance of failure and negative feedback from affected people. (GBPRR 1.3)
- Update TORs for relevant staff and managers to require collecting feedback from affected women and men, and girls and boys in appropriate age groups in ways that are sensitive to gender & age; respond to this feedback; and report back on this feedback including how it has been addressed. Staff recruitment and performance management systems to incorporate a requirement to measure responsiveness to feedback. (GBPRR 1.4)
- Enhance the capacities of staff. Work with local and national partners, including national governments, so that there is a coordinated plan and capacity which is sensitive to gender, age, disability and ethnicity. These efforts will support effective participation, including two-way communication. (GBPRR 1.8)

Collective Level

Senior Managers should:

- In TORs for Humanitarian Coordinators, Humanitarian Country teams and Cluster Coordinators include responsibility for integration of the IASC AAP commitments, the Core Humanitarian Standards; Gender Equality Programming; Minimum Operating Standards on PSEA; and the Best Practice Guide to establish Inter-Agency Community-Based Complaint Mechanisms (CBCM) and its accompanying Standard Operating Procedures into all aspects of programme design and implementation, including needs assessments, needs analysis and response plans. (GBPRR 2.18)
- Allocate funding for coordinated participation mechanisms in the Humanitarian Response Plans. (GBPRR 2.19)

¹ In July 2017, the Grand Bargain Participation Revolution workstream developed recommendations with the goal of promoting a culture of transparency, accountability and learning in relation to participation. For purposes of this document, recommendations for organisations and the collective level have been drawn on. For more information please refer to: https://interagencystandingcommittee.org/participation-revolution-include-people-receiving-aid-making-decisions-which-affect-their-lives

² In 2014, the CHS Alliance developed the Core Humanitarian Standard on Quality and Accountability. For purposes of this document, commitments 4 and 5 have been drawn on. For more information please refer to: https://corehumanitarianstandard.org/files/Files/CHS-Guidance-Notes-and-Indicators.pdf

COMMITMENT 2: PARTICIPATION3 AND PARTNERSHIP

Adopt agency mechanisms that feed into and support collective/coordinated people-centred approaches that enable women, girls, boys, men, including the most marginalised and at-risk people among affected communities, to participate in and play an active role in decisions that will impact their lives, well-being, dignity and protection. Adopt and sustain equitable partnerships with local actors to build upon their long-term relationships and trust with communities.

Organisational Level

Organisations should:

- Work with relevant local and national partners and actors, including through targeted outreach to women's civil society organizations, advocacy groups for disability groups, LGBTI persons, and/or specific age groups, in support of effective design, implementation and monitoring of the response as well as designing ways they may meaningfully participate in influencing or creating this response. (GBPRR 1.9)
- Draft robust, contextual vulnerability and capacity analyses. Engage all parts of a community, including those who are vulnerable or at risk, including those who often tend to be disproportionally disadvantaged, such as women, girls and older persons, to equally contribute and share their views. (GBPRR 1.10)

Collective Level

Senior Managers should:

• Recognise and use existing local and national mechanisms for coordinated approaches to participation; recognise when these do not adequately capture the needs, voices and leadership of women and girls and marginalised groups; and if so, identify alternative methods of reaching these. (GBPRR 2.24)

COMMITMENT 3: INFORMATION, FEEDBACK AND ACTION

Adopt agency mechanisms that feed into and support collective and participatory approaches that inform and listen to communities, address feedback and lead to corrective action. Establish and support the implementation of appropriate mechanisms for reporting and handling of SEA-related complaints. Plan, design and manage protection and assistance programmes that are responsive to the diversity and expressed views of affected communities.

Organisational Level

Organisations should:

- Provide information to women, girls, boys and men in affected communities about the organisation, the principles it adheres to, how it expects its staff to behave, the programmes it is implementing and what they intend to deliver so that communities and people affected by crisis are fully aware of the expected behaviour of humanitarian staff, including organisational commitments made on the prevention of sexual exploitation and abuse. (CHS 4.1 and 5.6).
- Communicate in languages, formats and media that are easily understood, respectful and culturally appropriate for different members of the community, especially vulnerable and marginalised groups (CHS 4.2).
- Consult with women, girls, boys and men in affected communities on the design, implementation and monitoring of complaints-handling processes (CHS 5.1).
- Collect feedback in appropriate ways (e.g. groups are segregated by sex and age, confidential where necessary). Use feedback from in-country coordinated effective participation mechanisms, including two-way communication mechanisms and consolidated assessment data across organisations, as a benchmark in analysing and improving performance at programme/operation and organisational levels. Make sure the analysis of the feedback is disaggregated by at least age and sex at minimum so that there can be comparisons of the issues according to roles and norms. (GBPRR 1.7)
- Welcome and accept complaints, and communicate how the mechanism can be accessed and the scope of issues it can address. Ensure nominated staff are able to receive feedback and complaints sensitively from both female and male survivors of exploitation or abuse and are able to make referrals to appropriate supports. (CHS 5.2 and 5.3).

³ The following definition for 'participation' is taken from the Grand Bargain Participation Revolution workstream. "Effective participation of people affected by humanitarian crises puts the needs and interests of those people at the core of humanitarian decision-making processes. This requires an ongoing dialogue about the design, implementation and evaluation of humanitarian responses with people, local actors and communities who are vulnerable or at risk, including those who often tend to be disproportionately disadvantages, such as women, girls and older persons."

- Manage complaints in a timely, fair and appropriate manner that prioritises the safety of the complainant and those affected at all stages and refer complaints that do not fall within the scope of the organisation to a relevant party in a manner consistent with good practice. (CHS 5.7)
- At a programme/operational level, require the inclusion in standard reporting of information about how programming has been adapted to take the views and perspectives of affected people into account. (GBPRR 1.5)

Collective Level

Senior Managers should:

- Make sure complaints mechanisms have adequate systems in place to receive and address all complaints (including sensitive issues such as SEA where women, girls, boys or men may be targets), as well as appropriate and safe referral. (GBPRR2.22). The establishment of Inter-Agency Community-Based Complaints Mechanisms (CBCM) is strongly encouraged.⁴
- Share data and feedback collected across aid organisations, and where possible standardise and aggregate, to track performance from the bottom up and identify gaps in the overall response. (GBPRR 2.20)
- Act on feedback collected across aid organisations and, where applicable, independently, and inform programme and course correction accordingly. (GBPRR 2.23)

COMMITMENT 4: RESULTS

Measure AAP and PSEA related results at the agency and collective level, including through standards such as the Core Humanitarian Standard and the Minimum Operating Standards on PSEA; the Best Practice Guide to establish Inter-Agency Community-Based Complaint Mechanisms (CBCM) and its accompanying Standard Operating Procedures.

Organisational Level

Organisations should:

Assess the implementation of the Core Humanitarian Standard (CHS) and other collective standards including the IASC AAP commitments, Gender Equality Programming,
Minimum Operating Standards on PSEA; and the Best Practice Guide to establish Inter-Agency Community-Based Complaint Mechanisms (CBCM) and its accompanying
Standard Operating Procedures through self-assessments, peer review, third-party verification or certification. (GBPRR 1.6)

Collective Level

Senior Managers should:

• Include provision for participatory monitoring in in-country pooled funds and similar mechanisms so that affected people can comment on the relevance and effectiveness of assistance provided, as well as report fraud and submit complaints. (GBPRR 2.21)

⁴ For more information on how to establish an Inter-Agency CBCM please refer to: https://interagencystandingcommittee.org/accountability-affected-populations-including-protection-sexual-exploitation-and-abuse/documents-50

IASC AAP/PSEA Task Team/CDAC

AAP Tools, Guidance and Case Studies - shortlist

This shortlist was developed and endorsed by CDAC and the IASC AAP/PSEA Task Team in February 2018. It provides a list of tools, guidance and case studies, in support of the 4 revised AAP Commitments for use at organizational and collective levels.

	LEADERSHIP	
	Resources that can be adapted for both organisational and collective levels	
Tools and Guidance	3.3.7	
	UNCHR, Participatory Assessment in Operations : A tool that describes how to effectively participate with affected persons from the outset of a response for design programmes that is inclusive of men, women, young and old and people from diverse backgrounds. http://www.unhcr.org/publications/legal/450e963f2/unhcr-tool-participatory-assessment-operations.html	
IASC, The essential linkages between Accountability to Affected Populations (AAP) and Prevention of Sexual Exploitation and Abuse (PSEA): guidance note that explains the linkages between AAP and PSEA (needs updating). https://interagencystandingcommittee.org/accountability-affected-pointeluding-protection-sexual-exploitation-and-abuse/documents-23		pulations (AAP) and Prevention of Sexual Exploitation and Abuse (PSEA): A 2 page supdating). https://interagencystandingcommittee.org/accountability-affected-populations-
Global Protection Cluster, Protection Mainstreaming Toolkit: A toolkit to help mainstream protection and other cross cutting issues, such as AAP. http://www.globalprotectioncluster.org/ _assets/files/aors/protection_mainstreaming/gpc-pm_toolkit-2017.en.pdf		
	Organisational Resources	Collective Resources
	IASC / Emergency Directors Group, Protection and Accountability to Affected Populations in the Humanitarian Programme Cycle: A guidance note that sets out AAP and protection actions throughout the humanitarian program cycle (will be shortly updated) https://interagencystandingcommittee.org/system/files/edg-aap-protection-guidance-note-2016.pdf	IASC Accountability to Affected Populations (AAP): A brief overview: a two-page note showing how to operationalise AAP and the IASC commitments (needs updating). https://interagencystandingcommittee.org/accountability-affected-populations-including-protection-sexual-exploitation-and-abuse/documents-24 OCHA, On Message – Community Engagement: a two-page note describing OCHA's
	Peer to Peer, Understanding AAP video: an animation that explains AAP and its importance for humanitarian programme. http://www.deliveraidbetter.org/videos/understanding-accountability-	approach to community engagement and how this helps achieve AAP https://www.unocha.org/sites/unocha/files/OchaOnMessage CommunityEngagement Nov2015 O.pdf
	affected-people/	Peer to Peer Guidance for HCs and HCTs on AAP: A short note describing some practical steps for HCs and HCTs on how to operationalise AAP at the collective level. http://s3-us-west-2.amazonaws.com/deliveraidbetter-wp/wp-content/uploads/2017/08/29081657/P2P-Support-Collective-AAP-note.pdf
	Welthungerhilfe poster: A poster showing how the Welthungerhilfe integrates the nine CHS commitments in its and their partners' work; can be adapted to other organisations.	IASC, Suggested Actions for cluster coordination groups to strengthen Accountability to Affected Populations and Protection in the Humanitarian Programme Cycle: A brief note



CHS Alliance, PSEA Implementation Quick Reference Handbook:

A handbook that provides a quick reference guide to implementing PSEA measures for organisations or projects.

https://www.chsalliance.org/what-we-do/psea/psea-handbook

ensure that protection is central to humanitarian response.

https://interagencystandingcommittee.org/system/files/suggested actions to strenghten aap a nd_protection_for_intercluster_final_02092016.pdf

IASC, Suggested Actions for inter-cluster coordination groups to strengthen Accountability to Affected Populations and Protection in the Humanitarian Programme Cycle: A brief note that provides suggested actions for inter-cluster coordination groups to fulfil AAP commitments and to ensure that protection is central to humanitarian response. https://interagencystandingcommittee.org/system/files/suggested actions to strenghten aap a nd protection for intercluster final 02092016.pdf

CDAC, Platforms Policy Paper and Brief on collective platforms: A brief paper describing the role of collective platforms, services and tools to support communication and community engagement in humanitarian action. http://www.cdacnetwork.org/tools-and-resources/i/20170531072915-3fs0r

IASC Gender and Age Marker: A tool to help build programmes that show how people's gender and age is affected by emergencies; including accountability & participation as a key building block:



IASC Handbook for RCs and HCs on Emergency Preparedness and Response: Page 98-101 chapter on how to lead and coordinate efforts against sexual exploitation and abuse http://eird.org/publicaciones/Handbook.pdf

PARTNERSHIPS AND PARTICIPATION

Resources that can be adapted for both organisational and collective levels

Core Humanitarian Standard (CHS) Commitments 3,4,5: Standards that reduce the negative effects of humanitarian action (3) ensure communities are aware of their rights, have access to information and participate in decisions (4) and ensure there is access to safe and responsive mechanisms to handle complaints. https://corehumanitarianstandard.org/the-standard and associated training modules: https://www.chsalliance.org/news/latest-news/training-manual

IASC Gender and Age Marker; gender equality measure G: A gender equality measure that measures how decisions are influenced by affected persons.



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	Organisational Resources	Collective Resources
Tools and Guidance	ALNAP and Groupe URD's, Participation Handbook: A handbook for field workers that describes ways to optimise the participation of crisis-affected people in humanitarian action. https://www.alnap.org/system/files/content/resource/files/main/alnap-groupe-urd-participation-handbook-2009.pdf	UNCHR, Participatory Assessment in Operations: A tool that describes how to effectively participate with affected persons from the outset of a response for design of programmes that is inclusive of men, women, young and old and people from diverse backgrounds. http://www.unhcr.org/publications/legal/450e963f2/unhcr-tool-participatory-assessment-operations.html
	ECB, Good Enough Guide: A pocket guide aimed at humanitarian practitioners for putting impact measurement and accountability into practice throughout the life of a project. https://policy-practice.oxfam.org.uk/publications/impact-measurement-and-accountability-in-emergencies-the-good-enough-guide-115510 f	CDAC Network, How to Guide: A handbook that focuses on communication and community engagement and will help practitioners, leaders and inter-agency collective efforts to integrate this into their work (2018). www.cdacnetwork.org/tools-and-resources/how-to-guide
	COMPAS, Quality and Accountability tool: A quality and accountability management method for aid projects specifically designed to help apply the core humanitarian standard in the field. http://www.urd.org/The-Quality-and-Accountability	
	RCRC Movement, Community Engagement and Accountability Toolkit and Guidance: A toolkit / guidance that can help organisations assess, design, implement, monitor and evaluate community engagement and accountability activities. http://media.ifrc.org/ifrc/what-we-do/community-engagement/	
	CAFOD partner guide: A guide for CAFOD staff to accompany partner organisations to set up complaints handling mechanisms within international programme activities (being updated). https://www.chsalliance.org/files/files/Complaints%20Handling%20Guide%20for%20Partners CAFOD.pdf	

INFORMATION, FEEDBACK AND ACTION		
	Resources that can be adapted for both organisational and collective levels	
	CDAC Network, Assessing Communication and Information Needs in an Emergency: A one-page guide on how to assess communication and information needs rapid assessments. http://www.cdacnetwork.org/i/20140722094741-52pna	

CDAC Network, Communication and Community Engagement Technical Training Guide: A training toolkit on communication and community engagement with guidance notes and course materials for facilitators (2018). http://www.cdacnetwork.org/learning-centre/training-guide

ALNAP / CDA, Closing the loop: Effective feedback in humanitarian context: A guidance note intended for people designing and/or implementing feedback mechanisms. https://www.alnap.org/system/files/content/resource/files/main/closing-the-loop-alnap-cda-guidance.pdf

CHS Alliance, PSEA Implementation Quick Reference Handbook: A handbook that provides a quick reference guide to implementing PSEA measures for organisations or projects. https://www.chsalliance.org/what-we-do/psea/psea-handbook

CHS alliance, Guidelines for Investigation: A guide for humanitarian organisations on receiving and investigating allegations of abuse, exploitation, fraud or corruption by their own staff (in English, Arabic, French and Spanish) https://www.chsalliance.org/news/latest-news/resource-revised-guidelines-for-investigations-now-available-in-english-french-and-spanish

IASC Gender and Age Marker; gender equality measures H and I: Two gender equality measure that measure how people get to complain and be heard (H) and how people get the information they need (I).



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Tools and Guidance

Organisational Resources

Core Humanitarian Standard (CHS) Commitments 4,5: Standards that ensure communities are aware of their rights, have access to information and participate in decisions (4) and ensure there is access to safe and responsive mechanisms to handle complaints (5). https://corehumanitarianstandard.org/the-standard

RCRC Movement, Community Engagement and Accountability Toolkit and Guidance: A toolkit / guidance that can help organisations assess, design, implement, monitor and evaluate community engagement and accountability activities. http://media.ifrc.org/ifrc/what-we-do/community-engagement/

Shongjog /ACF, Toolkit for mainstreaming Communicating with Communities (CwC): A toolkit that aims to guide policy actors and practitioners to adapt CwC through the programme cycle and for policy and practise.

https://drive.google.com/file/d/0B2vgUHW4FNz2TGc0OV82QIJETkE/view

Niche areas:

UNHCR, effective and respectful communication in forced displacement: http://www.refworld.org/docid/573d5cef4.html

BRAC/Shongiog, Volunteer CWC training – facilitator guide

Collective Resources

IASC, Global Standard Operating Procedures for PSEA (page 35) from Best Practice Guide, Inter-Agency Community-Based Complaint Mechanisms: Living document including operational guidance on how to set-up and run an inter-agency community-based complaints mechanisms with a special focus on SEA complaints.

https://interagencystandingcommittee.org/accountability-affected-populations-including-protection-sexual-exploitation-and-abuse/documents-50

CDAC, Message Library: An online searchable database of messages that acts as a reference for those wanting to disseminate critical information to affected populations in an emergency (needs updating). http://www.cdacnetwork.org/tools-and-resources/message-library/

IASC, Suggested Actions for cluster coordination groups to strengthen Accountability to Affected Populations and Protection in the Humanitarian Programme Cycle: A brief note that provides suggested actions for cluster coordination groups to fulfil AAP commitments and to ensure that protection is central to humanitarian response.

https://interagencystandingcommittee.org/system/files/suggested actions to strenghten aap an d protection for intercluster final 02092016.pdf

IASC, Suggested Actions for inter-cluster coordination groups to strengthen Accountability to Affected Populations and Protection in the Humanitarian Programme Cycle: A brief note that provides suggested actions for inter-cluster coordination groups to fulfil AAP commitments and to ensure that protection is central to humanitarian response. https://interagencystandingcommittee.org/system/files/suggested_actions_to_strenghten_aap_andprotection_for_intercluster_final_02092016.pdf

	BDRCS/Shongjog, Working with radio guidelines	CDAC, Media landscape guides (general): Country-specific guides on the media and communication landscapes for use by practitioners when designing information and complaints
	CDAC Network, Rumour has it: A practice guide to working with rumours http://www.cdacnetwork.org/tools-and-resources/i/20170613105104-5v7pb	mechanisms. http://www.cdacnetwork.org/search/?q=&x=0&y=0&type=CdacResource&rtype=media-landscape-guide
	Red Cross Movement, How to Use Social Media to Better Engage People Affected by Crises http://media.ifrc.org/ifrc/document/use-social-media-better-engage-people-affected-crises/	ECB, Good Enough Guide: A pocket guide aimed at humanitarian practitioners for putting impact measurement and accountability into practice throughout the life of a project. https://policy-practice.oxfam.org.uk/publications/impact-measurement-and-accountability-in-emergencies-the-good-enough-guide-115510
	HelpAge International, Older Citizens Monitoring: http://www.helpage.org/what-we-do/older-citizen-monitoring/	
Case Studies	RCRC Movement, case study booklet: A brochure with examples of community engagement and accountability initiatives being implemented by the Movement in both emergency and longer-term context. shttp://media.ifrc.org/ifrc/wp-content/uploads/sites/5/2017/10/CEA-Movement-Good-Practices-Booklet-LR-compressed-0611.pdf	
	Shongjog, Message Library: example of the Bangladesh message library. http://www.shongjog.org.bd/tools/message-library/	
	Internews, South Sudan Communication with communities gaps and needs analysis. https://www.internews.org/resource/south-sudan-communication-communities-gaps-and-needs-analysis	
	Peer 2 Peer, Iraq case study: Case study on the collective call-centre in Iraq. http://s3-us-west-2.amazonaws.com/deliveraidbetter-wp/wp-content/uploads/2017/08/10122923/P2P-Support-Iraq-Collective-accountability-to-affected-people-Information-Call-Centre.pdf	
	UNHCR, Community Centres - UNHCR Community-Based Protection in Action: http://www.refworld.org/docid/573d5bc64.html	
	IOM, Feedback and the Art of Active Listening – case studies from the field.	
	UNHCR, Macedonia Feedback Mechanisms, http://www.unhcr.org/innovation/wp-content/uploads/2017/02/UNHCR_fyr_Macedonia_Feedback_CaseStudy-1.pdf Johanniter International Assistance, Putting People First, an example of use of methodology from DRC, http://www.johanniter.de/die-johanniter/johanniter-unfalhilfe/start/news/putting-people-first-community-engagement-in-humanitarian-practice/	

	RESULTS		
I	Resources that can be adapted for both organisational and collective levels		
	CHS Guidance notes and indicators (available in 9 languages): A note that provides clarification on the Key Actions and Organisational Responsibilities laid out in the CHS and examines some of the practical challenges that may arise when applying the CHS. It explains why each of the Nine Commitments of the CHS is important and provides indicators and guiding questions to promote measurement of progress towards meeting the standard and drive continuous learning and improvement. https://corehumanitarianstandard.org/resources/chs-guidance-notes-and-indicators		
	CHS Self-Assessment tool (available in English, French, Spanish): A self-assessment tool that provides guidance and advice on how to measure performance against the standard, as well as templates allowing readers to collect information, document evidence, and present results. https://www.chsalliance.org/self-assessment		

	Organisational Resources	Collective Resources
Tools and Guidance	Keeping Children Safe, self-assessment tool: A tool to measure organisation's ability to keep children safe. https://www.keepingchildrensafe.org.uk/how-we-keep-childrensafe/accountability/self-audit CHS alliance, Listen, Learn, Act training course: An innovative and practical methodology for monitoring quality and accountability to affected people. It enables an organisation to measure their performance against its quality and accountability commitments, such as Sphere and the Core Humanitarian Standard. https://actlearn.org/enrol/index.php?id=210 COMPAS, Quality and Accountability tool: A quality and accountability management method for aid projects specifically designed to help apply the core humanitarian standard in the field. http://www.urd.org/The-Quality-and-Accountability	IOM, Community Response Map: An online feedback platform that facilitates online tracking, compilation and visual mapping of communications received by target communities. http://communityresponsemap.org/ IASC, Suggested Actions for cluster coordination groups to strengthen Accountability to Affected Populations and Protection in the Humanitarian Programme Cycle: A brief note that provides suggested actions for cluster coordination groups to fulfil AAP commitments and to ensure that protection is central to humanitarian response. https://interagencystandingcommittee.org/system/files/suggested actions to strengthen aap a nd protection for intercluster final 02092016.pdf IASC, Suggested Actions for inter-cluster coordination groups to strengthen Accountability to Affected Populations and Protection in the Humanitarian Programme Cycle: A brief note that provides suggested actions for inter-cluster coordination groups to fulfil AAP commitments and to ensure that protection is central to humanitarian response. https://interagencystandingcommittee.org/system/files/suggested_actions_to_strengthen_aap_a_nd_protection_for_intercluster_final_02092016.pdf
Case Studies	Shongjog/InsightShare, Participatory Monitoring & Evaluation Particlearning that amplifies the voices of participants and helps organisations http://insightshare.org/resources/participatory-video-and-the-most-signific	