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: PARTICIPATION 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 disproportionately 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).

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1 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 disadvantaged, 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)

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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
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.

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<thead>
<tr>
<th>LEADERSHIP</th>
<th>Resources that can be adapted for both organisational and collective levels</th>
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<tr>
<td><strong>Tools and Guidance</strong></td>
<td>Core Humanitarian Standard (CHS): A standard (available in 22 languages) that sets out 9 commitments that can be used at the organizational and collective levels to improve the quality, effectiveness and accountability of a response.  <a href="https://corehumanitarianstandard.org/the-standard">https://corehumanitarianstandard.org/the-standard</a></td>
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<td>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.  <a href="http://www.unhcr.org/publications/legal/450e963f2/unhcr-participatory-assessment-operations.html">http://www.unhcr.org/publications/legal/450e963f2/unhcr-participatory-assessment-operations.html</a></td>
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<td><strong>Organisational Resources</strong></td>
<td>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)  <a href="https://interagencystandingcommittee.org/system/files/edg_aap_protection_guidance_note_2016.pdf">https://interagencystandingcommittee.org/system/files/edg_aap_protection_guidance_note_2016.pdf</a></td>
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<td>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.</td>
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| | 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
**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.  

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

**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:


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**PARTNERSHIPS AND PARTICIPATION**

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- **CHS Alliance, PSEA Implementation Quick Reference Handbook:** A handbook that provides a quick reference guide to implementing PSEA measures for organisations or projects.  

- **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.  

- **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](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  
### UNHCR, A community based approach in UNHCR operations:
A manual that can support staff in implementing a community based approach in their operations to ensure that people of concern are placed at the centre of all decisions affecting their lives.  

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| 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.  
| 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.  
| 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.  
| 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.  
| CAFOD partner guide: A guide for CAFOD staff to accompany partner organisations to set up complaints handling mechanisms within international programme activities (being updated).  

**Case Studies**

“Act Collectively” (2017): Videos created by global Food Security Cluster and Welthungerhilfe for local actors to get involved in coordination:  
[https://www.youtube.com/results?search_query=act+collectively](https://www.youtube.com/results?search_query=act+collectively) (3 videos in total, case studies in Bangladesh, Mali and Iraq) * This video is copyrighted by Welthungerhilfe/gFSC and must only be used in a humanitarian context

### 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 in rapid assessments.  
[http://www.cdacnetwork.org/i/20140722094741-52pna](http://www.cdacnetwork.org/i/20140722094741-52pna)
### Organisational Resources

| Tools and Guidance          | 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](https://corehumanitarianstandard.org/the-standard) |
| 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/0B2vgUHW4FNz2TGc0OV82QJETkE/view](https://drive.google.com/file/d/0B2vgUHW4FNz2TGc0OV82QJETkE/view) |
| Niche areas: UNHCR, effective and respectful communication in forced displacement: [http://www.refworld.org/docid/573d5ce4f.html](http://www.refworld.org/docid/573d5ce4f.html) |
| BRAC/Shongjog. Volunteer CWC training – facilitator guide |

### Collective Resources

| 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_and_protection_for_intercluster_final_02092016.pdf](https://interagencystandingcommittee.org/system/files/suggested_actions_to_strengthen_aap_and_protection_for_intercluster_final_02092016.pdf) |
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### Case Studies


**Internews, South Sudan Communication with communities gaps and needs analysis.** [https://www.internews.org/resource/south-sudan-communication-communities-gaps-and-needs-analysis](https://www.internews.org/resource/south-sudan-communication-communities-gaps-and-needs-analysis)


**UNHCR, Community Centres - UNHCR Community-Based Protection in Action:** [http://www.refworld.org/docid/573d5bc64.html](http://www.refworld.org/docid/573d5bc64.html)

**IOM, Feedback and the Art of Active Listening – case studies from the field.**


### RESULTS

**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](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](https://www.chsalliance.org/self-assessment)
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<td><strong>Keeping Children Safe, self-assessment tool:</strong> A tool to measure organisation’s ability to keep children safe. <a href="https://www.keepingchildrensafe.org.uk/how-we-keep-children-safe/accountability/self-audit">https://www.keepingchildrensafe.org.uk/how-we-keep-children-safe/accountability/self-audit</a></td>
<td><strong>IOM, Community Response Map:</strong> An online feedback platform that facilitates online tracking, compilation and visual mapping of communications received by target communities. <a href="http://communityresponsemap.org/">http://communityresponsemap.org/</a></td>
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<td><strong>CHS alliance, Listen, Learn, Act training course:</strong> 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. <a href="https://actlearn.org/enrol/index.php?id=210">https://actlearn.org/enrol/index.php?id=210</a></td>
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