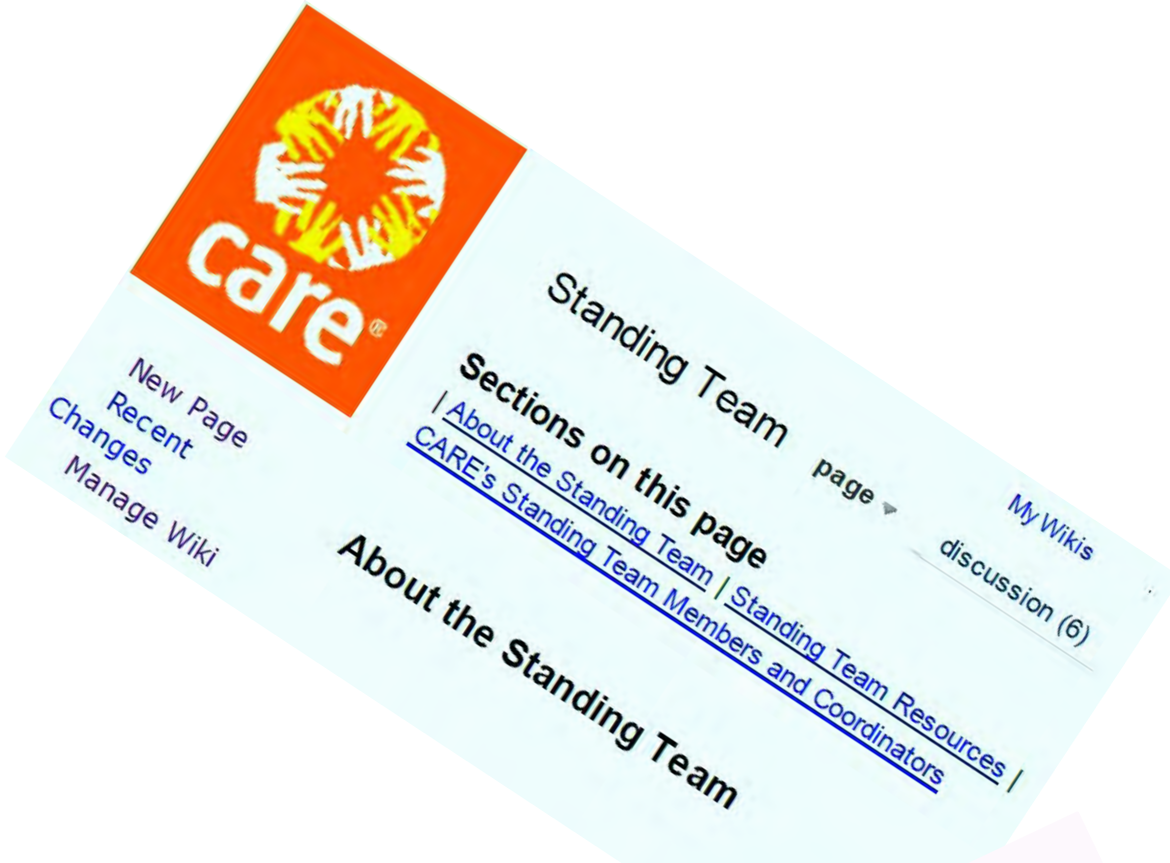
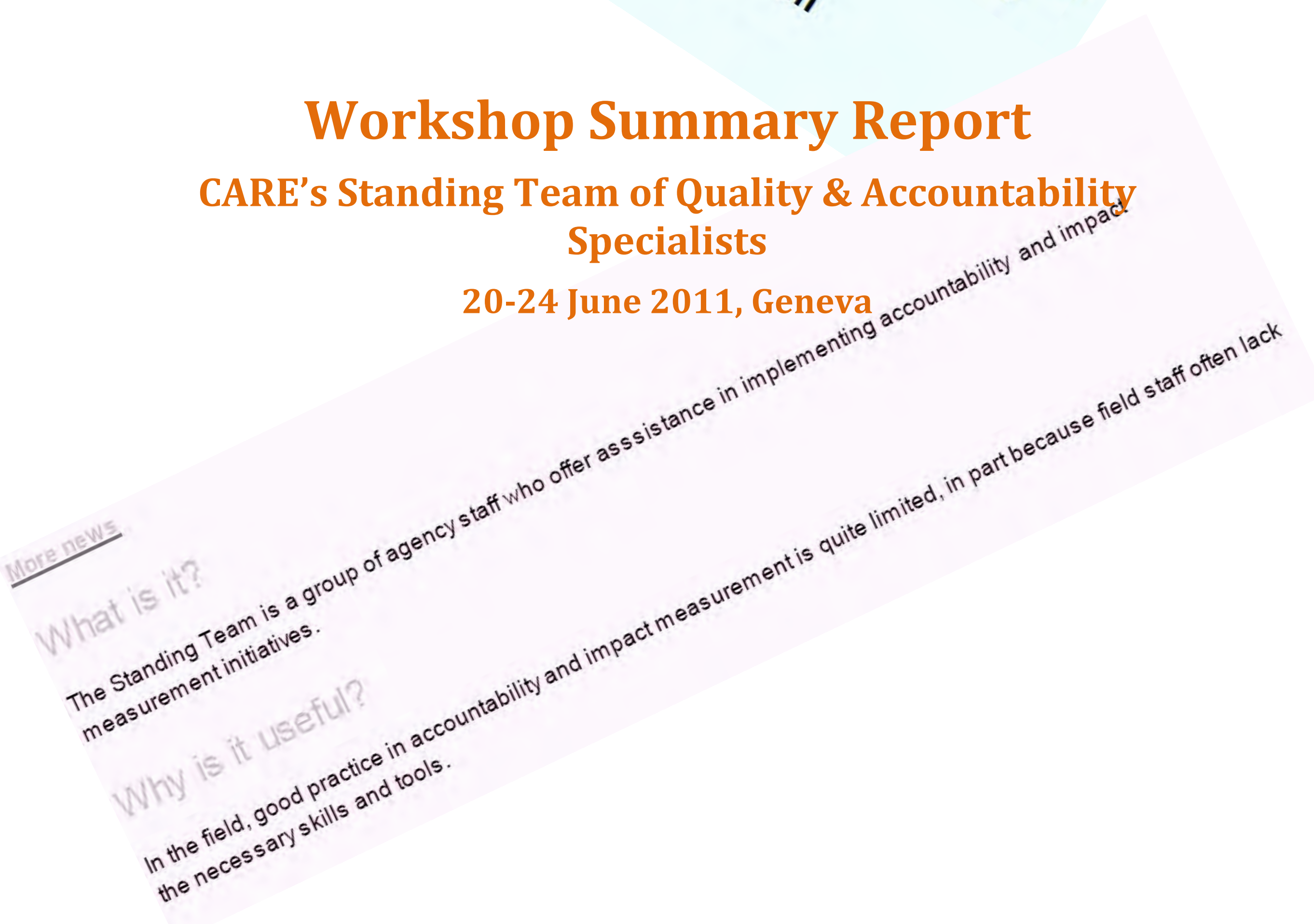


Workshop Summary Report

CARE's Standing Team of Quality & Accountability Specialists

20-24 June 2011, Geneva



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List of Acronyms

AAR – After Action Review

ACAPS – Assessment Capacities Project

ACD – Assistant Country Director - Program

AF – Accountability Framework

AFTF – Accountability Framework Task Force

AIM – Accountability & Impact Measurement

ALNAP – Active Learning Network for Accountability and Performance

AOP – Annual Operating Plan

CCG – Crisis Coordination Group

CD – Country Director

CEG – CARE Emergency Group

CET – CARE Emergency Toolkit

CI – CARE International

CIS – Community Information system

CRM – Complaints and response mechanism

CRS – Catholic Relief Services

DAC – Development Assistance Committee

DEC – Disasters Emergency Committee

DFID – UK Department for International Development

ECB – Emergency Capacity Building

ECHO – European Commission Humanitarian Aid and Civil Protection

EHA – Evaluation of Humanitarian Action

EPP – Emergency Preparedness Planning

ERAC – Emergency Response Advisory Committee (e.g. HERAC for the Haiti earthquake, PERAC for the Pakistan flood response)

ERWG – Emergency Response Working Group

FGD – Focus Group Discussion

GEG – Good Enough Guide

HAF – Humanitarian Accountability Framework

HAP – Humanitarian Accountability Partnership

HR – Human Resources

IASC – Inter-Agency Standing Committee

IFRC – International Federation of the Red Cross

IM – Information Management

JD – Job Description

JNA – Joint Needs Assessment

LAC – Latin America & Caribbean

LM – Lead Member

MEAL – Monitoring, Evaluation and Learning

M&E – Monitoring & Evaluation

NGO – Non-governmental Organization

OCHA – Office for the Coordination of Humanitarian Affairs

PERAC – Pakistan Emergency Response Advisory Committee

POC – Program & Operations Committee

PS – Program Support (HR, administration, finance, etc.)

PSD – Preliminary Scenario Definition

Q&A – Quality & Accountability

RAR – Rapid Accountability Review

REC – Regional Emergency Coordinator

RTE – Real Time Evaluation

SIDA – Swedish International Development Cooperation Agency

SMT – Senior Management Team

ST – Standing Team

TA – Technical Assistance

TL – Team Leader

ToR – Terms of Reference

UN – United Nations

WARMU – West Africa Regional Management Unit

Introduction & Background

In June 2011, the CARE Emergency Group (CEG) hosted a week-long Facilitation Workshop for CARE's Standing Team of Quality and Accountability Advisors (ST) and Regional Emergency Coordinators (RECs). The workshop was designed to improve the capacity of CARE's Standing Team members and enhance the facilitation skills of participants. The workshop was attended by 13 participants. For a full participants list see Annex 2.

The workshop agenda is attached as Annex 1 to this report. Following an introductory day and a facilitation self-assessment session, participants teamed up in pairs took turns in presenting the technical sessions and at the end of their session "invited" participants to provide them with verbal feedback on areas of where the facilitation was good quality and where it could be improved. Each day started with a summary of the previous day. The workshop resulted in an agreed set of action points and was evaluated very positively by the participants.

This was the third workshop for the CARE Standing Team, which has been carried out annually since 2009. The 2011 workshop differed from preceding years in two ways:

1. Relatively less time spent on facilitation theory and reflection and more on practice and content
2. Participants from other agencies involved in the ECB project were invited to gauge which components of CARE's approach could be applied to the interagency ECB Standing Team workshops planned for late 2011.

Workshop Objectives

1. Sharing "how to" knowledge for the various ST technical service areas based on our experiences in piloting HAF & in ECB activities during the past year
2. Practice/improve facilitation skills
3. Clarify and agree on role of and deployment protocols for the Standing Team
4. Agree on ST role in testing and rolling out CARE's proposed Accountability Framework
5. Review/revise Standing Team Action Plan
6. Team building

Participant Expectations

Participants were asked to describe their expectations from the workshop, which were:

- What are 2-3 things that would significantly improve our emergency response?
- How do we put the HAF into practice?
- What are implications for quality and accountability of moving to Pamodzi?
- Gaining experience in facilitation skills
- How can collaboration between CARE, ECB and HAP be improved?
- Learn from other's experiences
- How can we be realistic about putting accountability into practice?
- What are the difference between RTEs and "Evaluations"?

- Learn about participatory design
- Practice saying what you mean by “accountability” (definition is : the responsible use of power)

Overview of the sessions

Introductory Sessions

Following introductions and review of objectives, CARE International’s Humanitarian Director gave a presentation by on the current status of CARE’s Emergency Strategy which was followed by a discussion of the role Standing Team members played in its implementation. This was followed by a session led by one of CARE’s Standing Team members, Angela Rouse, on the recently-approved ECHO project that would – among other things – help in re-launching the interagency Standing Team.

CARE International’s Deputy Secretary General then updated participants on the status of the development of CARE’s Accountability Framework, Pamodzi management system, Program Shift etc.

At the beginning of the second day there was a review of facilitator skills, including presentation techniques, self-assessment, how to get constructive feedback, peer review and continuous learning. Participants were also oriented on the Q&A Wiki space (which had been set up as one of the action points from the 2010 Standing Team workshop).

Different technical sessions were held during the following 3 days, all facilitated by pairs of Standing Team in rotation. A short overview of these sessions are provided below. For additional details on each session, please refer to the relevant Annex.

Technical Session 1: Putting HAF in practice, setting up sustainable accountability systems in CARE country offices

This session, facilitated by Alio Namata and Angela Rouse, focused on providing guidance for setting up an effective accountability system in country offices. After analyzing different stages of this process, participants formed two groups and gave examples of steps for setting up an accountability system. The session ended by agreeing on relevant follow up actions.

Technical Session 2: Setting up community information systems and complaints/feedback mechanisms

This session was led by Clare Sayce and Daniel Seller and reviewed key components (policy, tools, experience) of setting up complaints/feedback mechanism and methods and tools of information sharing. The session also produced complaints and response mechanism (CRM) outline and agreed on key action points.

Technical Session 3: M&E, Rapid Accountability Review (RAR), After Action Review (AAR)

Co facilitators Ingvild Solvang and Caroline Saint-Mleux aimed to increase participant understanding of how to effectively facilitate an After Action Review (AAR) and/or a Rapid Accountability Review (RAR). The session explored the methodology of AAR and RAR and the lessons learned in M&E before going on to reviewing Standing Team roles and finishing with action points.

Technical Session 4: Participating in and leading Evaluations

Loretta Ishida and Audree Monpetit led the participants on a discussion to define Evaluations of Humanitarian Action, including its criteria and purpose. They explained the process of conducting an evaluation.

Technical Session 5: Training and application of the Good Enough Guide, Sphere, and HAP resources

Katy Love and Brian Atkinson facilitated this session on understanding the Good Enough Guide by using brainstorming and role-play. The purpose of the session was for participants to get a hands-on experience using 1 GEG tool (explaining who we are) and gathering ideas for facilitating GEG trainings and where to find additional resources (e.g. GEG, Sphere 2011 edition, 2011 HAP Standard).

Simulation Exercise (photo: D. Sellers)

Technical Session 6: Technical Session 6: Needs Assessment, Training and Participating in coordinated assessments (ACAPS by Lars-Peter Nissen)

The final technical session on coordinated assessments was facilitated by Susannah Friedman and Yves-Laurent Regis. The purpose of the session was to reach a shared understanding of the role of the Standing Team in needs assessments, identify gaps and potential existing tools and better understand when Joint Needs Assessment is more appropriate. The session benefited from the presence of a resource person in the form of Lars-Peter Nissen, Project Director for the Assessment Capacities Project (ACAPS).

Standing Team Processes and Purposes

This session was facilitated by Amadou Sayo and Katy Love. The purpose of the session was for participants to familiarize themselves with available resources and general deployment processes and protocols. Participants were quizzed, shared experiences, commonalities and specific challenges related to deployments and interagency deployments.

Follow-up Action Plan

Accountability Systems

- Review and update Liberia ToR, template and process guidance *(Alio & Amadou)*
- Develop guidance on how to put the HAF into practice by creating a page on the Wiki where Standing Team members can contribute tips and tools *(Jock)*
- Sharing successful examples of country offices using HAF/HAP beyond emergencies *(Jock with the AFTF)*
- Develop guidance on using HAF (and AF) with partners *(Jock)*
- HAP *(Maria)* to share benchmark tools in draft form at the end of July
- HAF to be linked to EPP *(Jock and Katy to suggest language to CARE USA when revising the EPP guidance and RECs to ensure implementation)*
- Develop Case study format *(Katy Love)*
- Suggest good "models" of guidelines, case studies, TORs, reports etc. *(all Standing Team members)* for:
    - the Quality and Accountability Wiki,
    - the ECB Connect Standing Team website and
    - the CARE Emergency Toolkit Q&A chapter and the CET M&E chapter
- Useful case studies were identified as follows:
    - Haiti Accountability System *(Yves-Laurent)*
    - Pakistan Accountability System (*Ingvild, with CARE Pakistan staff)*
    - Liberia *(Alio)*
    - Indonesia *(Clare Sayce)*
- Information Disclosure & Feedback/Complaints policy -> lobby with respective members to develop CARE International policies consistent with the CI Secretariat's Information Disclosure policy and Feedback/Complaints policy *(all Standing Team members)*

Development of a CARE Accountability Framework based on the HAF

- Amadou + Angelato to join AFTF *(Action: Jock)*
- Include governance representation *(Action: Clare Sayce)*
- WARMU country offices *(Action: Amadou)*
- Involve partners *(to be considered during development of AF testing guidelines – follow up Jock)*

- Orient the CI Program Director on the HAF once s/he has been recruited *(Jock and Barbara)*

Processes & Protocols – Guiding Principles

- Share mission and process reports on web space
- Add value: ownership without burden
- Ensure validation of the report
- Include additional costs in ToR (training, etc)
- Plan Standing Team deployments ahead if possible
- Promote use of report/recommendations by, eg. integration into ongoing planning processes, CCG calls, etc
- Incorporate costs for workshops, etc.
- Covering costs of Standing Team deployments (since no ready source of funds to cover costs of apprentices) BJ/SA to share with CI members and ERWG
- Share humanitarian proposal checklists with SA. One standard for CARE?
- Update cost for accountability (use Haiti and Liberia case studies)
- Identify Standing Team members to join ECB interagency Standing Team

Advocacy

Promote awareness of HAF & ST internally through:

- Internal CARE trainings
- During Crisis Coordination Group calls
- Newsletters
- During Emergency Preparedness Planning

CARE
ECB

- Cluster
- Assessment?
- Talking points?

UN, etc

- Review/revise CET (JB)
- Partners into HAF/AF
- RTEs (pre-ERAC (PERAC?), chronic emergency)
- Induction for CDs and CI bodies like the POC?
  Ensuring embedded into EPPS
  - RECs/LM emergency focal points
  - Sally to coordinate

Evaluations

- Revise CARE protocols for chronic emergencies (e.g. do RTE's instead of annual AAR *(Barbara Jackson – Typology Review)*
- Promoting utilization of evaluations *(All Standing Team)*
- Hosting Joint Evaluations *(All Standing Team)*
- Participating in Joint Evaluations *(All Standing Team)*
- Evaluation standards for ECB Joint Evaluations? *(add to AIM Advisers call agenda)*
- Use key elements as an evaluative framework? *(add to AIM Advisers call agenda)*

Rapid Accountability Review

- Revising RAR Guidances *(Ingvild Solvang)*
- Posting on CET/ECBconnect *(Jock/intern)*
- Write up lessons learned (*standard protocol for Standing Team conducting RARs)*
- Define role of Standing Team members in M&E *(Jock/Katy)*

Common Needs Assessments

- Update CET chapter on assessments to reflect JNA and common assessment work being led by ACAPs *(Sally and ACAPS)*

6. Annexes

Annex 1 – Standing Team Workshop Agenda
Annex 2 – Standing Team Participants list
Annex 3 – Standing Team Processes and Protocols
Annex 4 – Technical Session 1: Putting HAF in practice, setting up sustainable accountability systems in CARE country offices
Annex 5 – Technical Session 2: Setting up community information systems and complaints/feedback mechanisms
Annex 6 – Technical Session 3: M&E, Rapid Accountability Review (RAR), After Action Review (AAR)
Annex 7 – Technical Session 4: Participating in and leading Evaluations
Annex 8 – Technical Session 5: Training and application of the Good Enough Guide, Sphere, and HAP resources
Annex 9 – Technical Session 6: Technical Session 6: Needs Assessment, Training and Participating in coordinated assessments (ACAPS by Lars-Peter Nissen)
Annex 10 – Standing Team Capacity Self-Assessments

Annex 1 – CARE Standing Team Workshop Agenda, Geneva 20-24 June, 2011 *(ver. June 13, 2011)*

Objectives| *1: Sharing "how to" knowledge for the various ST technical service areas based on our experiences in piloting HAF & in ECB activities during the past year* | *2: Practice/improve facilitation skills* | *3: Clarify and agree on role of and deployment protocols for the Standing Team* | *4: Agree on ST role in testing and rolling out CARE's proposed Accountability Framework*| *5: Review/revise Standing Team Action Plan*| *6: Team building*

	Monday		Tuesday		Wednesday		Thursday		Friday	
Early Morning	Arrival/registration		Facilitation skills: Self-assessment, constructive feedback, peer review, and continuous learning Q & A Wiki Orientation	**JB** **JB** NB	**Technical session 2**: Setting up Community information systems and complaints/feedback mechanisms	**CS** DS	**ST Processes & Protocols**: Funds & Cost Recovery Deployment logistics Interagency Activities Performance mgmnt Backfilling during deployments	**AS** KL	**Technical session 6**: Needs Assessments Training and participating in coordinated assessments (Resource person: ACAPS Director, Lars-Peter Nissen)	**SF** YR
10-10:30	Break		Break		Break		Break		Break	
Late Morning	10:30 - Welcome Intro/expectations Review of global emergency landscape	**JB** RG	Facilitator teams preparation for technical sessions	All	Complaints & Feedback systems (cont.)	**CS** DS	**ST Processes & Protocols (continued)**:	**AS** KL	**Technical session 6**: Needs Assessments (cont.)	**SF** YR
12:00–1:00	Lunch		Lunch		Lunch		Lunch		Lunch	
Early afternoon	CARE, Accountability & Emergencies: CI Emerg. Strategy ECB/ECHO Project Account Framework, Pamodzi, Prog Shift, etc.	**BJ** **AR** **MV**	**Technical session 1** Putting HAF in practice Setting up sustainable accountability systems in CARE COs	**AN** AR	**Technical session 3**: M&E basics, After Action Reviews (AARs), Rapid Accountability Reviews (RARs)	**IS** CSM	**Technical session 4** Participating in and leading evaluations	**LI** AM	Standing Team Action Planning	**JB**
3:00-3:30	Break		Break		Break		Break		Break	
Late afternoon	Highlights and story-telling about past year's experiences of ST deployments	**KL**	**Technical session 1** Putting HAF in practice (cont).	**AN AR**	M&E basics, AARs, RARs (cont.)	**IS** CSM	**Technical session 5**: Training and application of Good Enough Guide, Sphere standards, etc.	**KL** BA	Standing Team Action Planning (cont.) Evaluation of the week	**JB** All
Evening			Team Dinner							

AM – Audree Monpetit, AN – Alio Namata, AR – Angela Rouse, AS – Amadou Sayo, BJ – Barbara Jackson, BA – Brian Atkinson (Mercy Corps), CS - Clare Sayce, CSM – Caroline Saint-Mleux, Daniel Seller, IS – Ingvild Solvang, JB – Jock Baker, KL – Katy Love, LI Loretta Ishida (CRS), MC - Mireia Cano Vieras, MV – Marcy Vigoda, NB – Nina Ban, SA – Sally Austin, YR – Yves-Laurent Regis

Highlighted **initials in bold** indicate the lead facilitator for a particular session.

Annex 2 – 2011 Standing Team Workshop Participants list

Participants List

- **Atkinson, Brian;** Mercy Corps
- **Baker, Jock;** Program Quality and Accountability Coordinator, CEG
- **Daniel Seller;** Consultant
- **Friedman, Susannah;** Regional Emergency Coordinator (Asia/Pacific)
- **Ingvild Solvang;** Consultant
- **Loretta Ishida;** CRS
- **Love, Katy;** Project Officer, ECB Project, CARE USA
- **Montpetit, Audree;** Senior Humanitarian Program Quality Adviser, CARE Ethiopia
- **Namata, Alio;** CARE Niger
- **Regis, Yves-Laurent;** Technical Adviser, Monitoring, Evaluation & Advocacy, CARE Haiti
- **Rouse, Angela;** ECB Manager, CEG
- **Saint-Mleux, Caroline;** CARE Canada
- **Sayce, Clare;** Emergency Programme Officer, CI-UK
- **Sayo, Amadou;** Regional Emergency Coordinator (South and West Africa)

Standing Team members having a seat in Geneva (photo: J. Baker)

Annex 3 – Standing Team Processes and Protocols

Overview:

- Introduction: objectives, outputs & expectations
- Review typical process deployments
- Break into small groups to review challenges
- Interagency deployments

Objectives:

- Participants will familiarize with resources available and general deployment processes
- Participants will share experiences, commonalities and specific challenges related to deployments and interagency deployments

Expectations:

- Cost recovery
- Protocols in the country office
- Decision making
- Behind the scenes process – manager negotiation
- Inter-agency activities and collaborations
- Close of mission – how to end the deployment process
- How to use learning in other CARE work

Outputs:

- Participants are aware of deployment and decision making processes
- Best practices and challenges shared to improve future deployments

Quiz:

1. What are the most common deployments for ST members?
   After-action reviews (AARs)
2. What is the maximum number of times to deploy a ST member a year?
   Twice per year
3. How long would a deployment be?
   3-4 weeks
4. Un-true statements:
   You will always have a clear ToR before you deploy.
   Your salary will be reimbursed through cost recovery.
5. Who do you report to during your deployment?
   The person who requested your deployment at the country office
   OR
   The manager of the activity
6. Who will pay for your salary while you're on deployment?
   The country office
7. How are you evaluated at the end of your deployment?
   A roster performance review is conducted
8. Some things I would probably not be expected to do for a deployment:
   Run an EPP session.
9. Are you entitled to you regular benefits, compensation, and healthcare during deployment, or a special package beyond that?

Yes, you are entitled to a “special” package if working in war zones, or nuclear zones, etc.

10. Who is responsible for arranging your travel, accommodation and security while you are on deployments?
    The standing team member (yourself) is responsible for making sure it is happening – have to be informed of the code of conduct and security briefing
11. What is your commitment to sharing your experience with your other Standing Team members?
    Writing a process report – commitment to providing your experience to help others to learn so processes can develop

<u>Challenges and best practices in a deployment:</u>

Focusing on three aspects: AAR/RAR, Accountability system, and Evaluation

- Overall process and logistics (planning, duration, reporting line, reports, performance)
- Resource negotiation (cost recovery)
- Decision-making
- Back-filling
- Resources available to support you

<u>Accountability system:</u>

<u>Challenges:</u>

- Balancing expectations and requirements
- How to make things happen after the deployment (timing, duration) – plans will continue, follow-up
- Identifying the right people in the country office (<u>group</u> of people)

<u>Recommendations:</u>

- Ensure people report sharing with wide group (standing team, etc)
- Wiki space/country/emergency
- Flexibility and independence of standing team members (avoid being a burden on the country office)
- Ensure the validation of the report
- Create additional estimate cost in ToR (training, workshop)
- Inform early in the process who is likely to be involved
- Decision making – use of the report and recommendation, planning process

<u>Evaluation:</u>

<u>Recommendations:</u>

- Arrange weekly meetings with the country office director
- Importance of evaluation coordinator/manager role – someone at country office who is “deeply engaged”
- Opportunity to advocate and capacity-build – more focus on quality

<u>Experience from other organizations</u>

<u>CRS</u>

- Invite members (recruitment)
- Sell it as capacity building opportunity

Mercy corps

- Use CARE experience
- Support available

HAP

- Cross learning
- Explore joint activities – resources sharing
- Orientation would be useful for all standing teams (on HAP)
- TA -> CRM

Annex 4 – Technical Session 1: Putting HAF in practice, setting up sustainable accountability systems in CARE country offices

Expectations for session:

- How to put the HAF in practice
- We don't want a presentation on the HAF
- We need guidance to implement an accountability system during deployment
- Define tools and responsibilities
- Go through each benchmark and demonstrate how to put it into practice
- Differentiate between HAF and AF
- What systems exist in the company about accountability
- What is an accountability system, how does it relate to the HAF
- How are CI members accountable to the HAF

Objective: Provide guidance for setting up an effective accountability system in country offices.

How to set up an accountability system:

Before the deployment

- Request
- Term of reference
- Identify a focal point in the country office (CO)

Preliminary assessment in country office

- Introduce the accountability system in a country (CARE principles, value and commitment, Bust story, etc)
- Analyzing what accountability system exists in the country office
  - RAR (Rapid Accountability Review) tool

Put in operational plan with suggested timing and clear responsibility

- Conduct training for staff (CARE and partners)
- Conduct consultations with communities: field visit tool, community profiling tool, sharing information sheet tool, complaints
- Set up community management structure to manage the process
- Defining the complaints management structure at country office level

Managing the whole process

- Identify who will ensure the handover to take forward the process after the end of the deployment
- Be clear on the role of the local partners in the process
- Identify the support needed for the next steps
- Measure progress (RAR, monitoring accountability in the field, etc)

Groups giving examples of steps for setting up an accountability system:

Group 1

Step 1 – Pre-deployment:

- Advocacy -> request
- Establish country office expectations -> ToR (flexible)

- Engaging more that focal point – steering committee (beyond emergencies)
    - global/regional
    - CD/ACD
    - M + E
    - HR
    - TL (field)
    - PS
- *Budget*

<u>Step 2</u> – Assessment

- Preparedness of standing team member – other's experience of country office/ similar process
- Using recent OR doing RAR
- Getting buy-in before you start process – NOT AN OUSIDER!
- Identify entry points and priorities – challenges and easy wins
  - what else is going on in the country office?

Group 2

<u>Step 2</u> – Participation + Buy-In

<u>Step 3</u> – Operational

Add:

1. Link to existing structures, processes and initiatives
2. Clear timeline, products, outcomes, resp.
3. Translate each gap identified in RAR -> ACTION
   - Info exchange stakeholders -> "do-able bits"

Tools: Templates – leadership, messaging, comms strategy

<u>Step 4</u> – Managing the Process

Add:

1. Strategy for HAF -> AF
   - emergency -> trans.
2. Incorporation tasks
   - plan JD's, country plans, HR manuals, Performance appraisal
3. Long-term follow-up RAR -> act on findings

<u>Tools:</u>

Key docs -> JD's, etc.
AAR Guidelines
- reflect <u>accountability</u>
+ Annual reviews - AOP

<u>Key actions from technical session:</u>

1. Review and update Liberia TOR
2. Minimum requirement for an accountability system – Amadou to share West Africa experience

3. Advocacy to promote HAF &Standing Team (video?)
   - Clarify Role and Responsibility in the HAF
   - Put an example on the wiki space an example that captures accountability
4. Sharing successful examples of country offices using HAF/HAP beyond emergencies
5. HAF (AF) and partners

Annex 5 – Technical Session 2: Setting up community information systems and complaints/feedback mechanisms

A complaint: a piece of negative feedback, a grievance – a specific thing that requires a response

Feedback: positive or negative, suggestions, productive suggestions

Expectations for session

- Get to know complaint systems in complex emergencies (eg. Haiti)
- How to set up an accessible complaint system
- How to staff a complaint mechanism – keeping it simple
- What are the benefits and setbacks of these kind of systems – pros and cons
- Challenges of ensuring the leadership commitment to deal with these mechanisms
- What is CARE's role in monitoring mechanisms – partnerships
- How does sexual abuse and exploitation fit into complaint/feedback mechanisms

Objectives

- Review the foundations – policy, tools, experience
- To produce a CIS map – what, who, how, when
- To produce a CRM process outline
- To devise a CRM package of tools
- To agree on Q&A ST roles and next steps

HAF/CARE commitments:

Most important benchmarks:

Benchmark 4: CARE involves the disaster-affected community throughout its response

Benchmark 5: CARE puts formal mechanisms in place to gather and act on feedback and complaints

Benchmark 6: CARE publicly communicates its mandate, projects and what stake holders can expect.

Different kinds of flowcharts for complaint mechanisms

- Complaints directed at the CARE International Secretariat (directly to the office)
    - Acknowledge external complaint, register the complaint, a decision is made and the changes are monitored by members within CI or the country office

Methods and tools for information sharing:

Three key categories of information to make publicly available:

1. Information about CARE
2. Information about CARE's projects
3. Information about CARE's accountability commitments and systems (what CARE is committed to and held account to, held to contract, etc)

4. *Potential fourth category* - Financial information (sharing with beneficiaries)

<u>Why is information sharing important?</u>

- Enables disaster-affected people to contact CARE for assistance
- Helps people to make informed decisions about participating in programs
- Participate more effectively in decision-making
- Provides feedback opportunities (which translates into better project monitoring)
- Make complaints when programs don't not have the positive impacts on the community expected
- Holds us to account and builds trust

<u>Pros and cons of providing financial information:</u>

- Providing raw financial information is not useful – need of explanation
- Risky to have an attitude that "we shouldn't share"
- Increasing need for transparency, sharing financial information is encouraged
- Avoid situations where it looks like CARE is hiding something
- Sharing information maintains trust with beneficiaries
- *Financial information (1) empowers beneficiaries to question how funds have been spent, (2) may reduce inefficiencies and (3) the chance of fraud.*

<u>Issues surrounding the provision of information:</u>

- Managing expectations
- Risk management
- Information disclosure policy
- Financial info:
  - What's useful?
  - Running cost
- Key stakeholders

<u>CRS Process:</u>

<u>Prepare:</u> Sketch out in EPP

- Define purpose of CM
- Define valid complaint that agency will analyze
- Identify stakeholders who should have access to the use of CM
- Draft design draft systems

<u>On Set/Response:</u>

- Assessment (light)
- Strategy/proposal
  - Define priority
  - Budget
  - Staff
- Staff orientation about accountability
  - Oversee accountability work
  - Community assessment/input
    - Propose/scope
    - How to submit
    - What to submit
- Finalize mechanism and advertise
- Define flow for recruiting and responding

- Monitor and adapt

Actions from technical session:

- HAP to share CRM tools (drafts) end July
- HAF to be linked to EPP (JB, KL, SA)
- Handouts of CIS/CRM session (CS, DS)
- Populate the Q&A wiki (Everybody)
- Complaint policy -> lobby with members
- Haiti case study (YLR)
- Indonesia Accountability case study (CS)

Annex 6 – Technical Session 3: M&E, Rapid Accountability Review (RAR), After Action Review (AAR)

How does the Standing Team contribute to institutional learning?

Objective: Increase understanding for HOW TO facilitate

Outputs:
- RAR: Complete/supplement tool kit and Wiki with methodologies
- AAR: Sharing of best/worst practices
- M&E: Initial reflection on an M&E Standing Team assignment

Expectations for session:
- Understanding approaches to AAR/RAR
- How to implement the HAF
- Standardize tool for RAR
- Reflection on AAR in chronic emergencies
- Minimum requirements for M&E
- Identify the role of the Standing Team for M&E
- What are the linkages between processes
- What are the M&E Accountability indicators

Rapid Accountability Review (RAR)
- Rating against the HAF
- Assessing the country office capacity against benchmarks
  - self assessments
- Raise awareness about the HAF

A RAR is a rapid performance assessment of emergency response against CARE's HAF
- generates lessons learned
- a multi-stakeholder consultation
- generates recommendations to improve ongoing program and future programs

RAR is an opportunity to build capacity around the HAF and accountability

RAR Methodology (group work):
What methodology would you use to ensure concrete results (findings, recommendations and draft scorecard ratings) while carrying on a RAR? If possible identify the potential opportunities and challenges related to your methodology.

To think about:
- Building capacity
- The continuum between self assessment and externally driven review
- What is "rapid" when talking about a RAR?

Pre-deployment: ToR/Counterpart/Team

Timeline – 10 days-3 weeks (context dependent) -> is 3 weeks rapid?

Methodology:
1. Self-assessment (independent or facilitated)

2. Contextualize existing tool (vis-à-vis who is answering)
3. Define methods (FGD, interviews, etc.)
4. Collect data/evidence – ensure ability **to triangulate (diverse sources)** + assign **preliminary scores** by stakeholder
5. Participatory analysis (gaps, strengths)
   - finalized agreed scores
6. Action planning based on analysis (including ensuring responsibility for follow up/buy-in)
7. Write and share final report

Issues:
- RAR vs. RTE
- Self-score vs. external
- Methodology for **rapid** vs. **full** assessment review`
- Partnerships
- Communication and process with communities
- Sensitivity of scoring for country offices
- HAP self-assessment tool
- Requirement of more case studies and processes
- Discussion tool

After Action Review (AAR)

An AAR is an internal review made to evaluate the process involved during the 'action'

Lessons learned – what worked? What should be improved?
- 3-4 months after onset
- Type 2: Mandatory
- Type 1: Recommended

Lessons learned during experiences with AARs
- Manage conflict
- Create a safe environment
- Establish follow-up steps ("after-after")
- Bring AAR recommendations into EPP for future learning
- Create team building opportunities (link AAR and EPP)
- Avoid divide of field staff and country office staff
- Avoid seeing the AAR as a tick mark in a checklist
- Capture inputs before AAR #
- Include visiting participants
- Sometimes partners are forgotten in the process
- Clearer grouping of participants
- Partners in a partner group(?)
- Proper presentation
- Enough time pre-event – come 3-4 hours before
- Don't underestimate prep time
- Agree on themes and groups
- Explain and facilitate gallery work
- Have group facilitators

M&E Lessons and Practices

- Good Enough system
- How to make accountability systematic and visible
- Integrate M&E into design phase
- Push to measure <u>impact</u> not just <u>output</u>
- Learning from other agencies (MEAL)
- Building the RAR process into the M&E

Standing Team roles

- Consistency between HAF and M&E systems
- Provide link between tradition and accountability
- Accountability visible in M&E practices
  - use the emergency strategy as tools to start merging
- Training and capacity building to country offices
- Support country offices to ensure strategy documents are informed by good assessments
- Make M&E more explicit in the RAR process
- (Only monitoring output is not being accountable)

Action points from Session 3

- Standing team members with RAR experience to ensure methodology, report and personal reflection/process report (indicating do's and don'ts) are shared on the Wiki & CET

Annex 7 – Technical Session 4: Participating in and leading Evaluations

Overview:
- Evaluation 101
- How to choose which evaluations to do when
- Pop quiz
- Resources

Evaluation 101:

Definition:

Evaluation of humanitarian action (EHA) is a systematic and impartial examination of humanitarian action intended to draw lessons to improve policy and practice and enhance accountability.
- Commissioned by or in cooperation with the organization whose performance is being evaluated
- Undertaken either by a team of non-employees or by a mixed team of non-employees and employees from the commissioning organization
- Assesses policy and/or practice against recognized criteria
- Articulates findings, draws conclusion and makes recommendation

Criteria:
- The Development Assistance Committee (DAC) evaluation criteria are currently at the heart of the evaluation of humanitarian action
- The first 5 criteria were first drafted in 1991 and evolved over the years. Seven criteria are now used.

Purpose:
- Two main purposes: accountability evaluation vs. learning evaluation
    - Accountability: an evaluation required by a funder
    - Learning: field-led, lessons learned
- One purpose tends to dominate, even if they are supposed to carry equal weight. Solution: separate the evaluations - DEC, SIDA are like that and DFID may be heading in that direction

Process:

Daily/weekly debriefing meetings
- To communicate day or week's activities
- To review what went well and what did not
- To decide what next actions for the following day/week are
- (Note: Use monitoring data related to indicators, and include staff observations)

Real time evaluation
- Review the emergency response and recommend immediate changes/actions
- Inform direction of next phase
- Identify good practices to use more widely
- Contribute to agency learning

Mid-term evaluation

- Review the first phase of an emergency response and recommend changes/actions to improve the second phase
- Assess how activities and outputs are leading to the achievement of intermediate result

Learning events

- To understand what happened, why it happened, and how it could be done better

Final evaluation

- Impact, outcomes
- Measures the impact of the project at the strategic objective level
- Contribute to learning within agency

Joint Evaluation:

- Can focus on a particular country
- Performance of a particular agency or group of agencies
- Joint vs. single evaluation
    - Joint evaluations seem to be used more for learning-lessons purposes
    - Joint evaluations can fulfill accountability purposes
- Complements single-agency evaluations:
    - Placing the response in wider context
    - Exploring how agencies work together
    - Addressing wider policy issues
- Pros: seeing the big picture, building coordination and collaboration, increased credibility, improving peer accountability and transparency, helps develop capacities in evaluation
- Cons: more complex, less depth, more expensive – more time

Annex 8 – Technical Session 5: Training and application of the Good Enough Guide, Sphere, and HAP resources

Objectives:

- Gain understanding of the 5 key messages and how the GEG is structured
- Get hands-on experience using 1 GEG tool, ideas for facilitating GEG trainings
- Brainstorm, share challenges and strategies for promoting accountability
- Know where to find additional resources, GEG, Sphere 2011, HAP

Outputs:

- Participants have seen the structure, key messages and tools in the book
- Participants have experience using one GEG tool as a standing team member
- Participants are aware of challenges and potential strategies
- Participants know where to go for additional resources, Sphere changes

Expectations:

- How to promote IM
- Coherence between training and accountability

Key messages

1. Involving people in every stage
   ex: Involve beneficiaries in design process
2. Profile people
   ex: excombatants + community
3. Identify the changes that people want to see – needs assessment
   ex: Java taxi ride GEG – targeting, appropriate
4. Track change <-> feedback
   ex: Beneficiary satisfaction targeting
5. Use feedback
   ex: Niger – lessons learned, multi stakeholder

Situation in early stages of emergencies (role play) – GEG tool:

- Preparation is hard
- Feeling of “us against them” (NGO vs. UN)
- Coordination = a time vacuum
  rewards??
- Presenting as one group with local and international NGO’s
- What’s useful information?
- Need to be clear of purpose of meeting – clear message, appropriate atmosphere
- NGO’s can push back

Annex 9 – Technical Session 6: Needs Assessment, Training and Participating in coordinated assessments (ACAPS by Lars-Peter Nissen)

Overview:
- Joint Needs Assessment (JNA), ACAPS, Resources
- Case Study
- Role of the Standing Team and Entry Points

Objectives:
- Reach a shared understanding of the role of the Standing Team in needs assessments
- Identify gaps in existing tools, if any
- Understand when JNA is most appropriate

Expectations:
- Understand more about ACAPS its practical use
- Difference between JNA and CA
  - What are the different types of coordinated assessments

ACAPS (The Assessment Capacities Project)

Favorite tools in ACAPS:
- Observation
- Sphere
- IFRC
- HAP
- IASC

The Problem

Pressure on humanitarian actors to respond
+ Lack of timely credible information
+ Pressure on donors to allocate funds
= **Poorly informed decision making**

ACAPS:

A service to the humanitarian community that aims to support and strengthen the humanitarian sector's and in-country capacity to carry out common or coordinated, multi-sector needs assessments by providing:
- Technical support, tools and methodologies
- Specific assessment trainings
- Deployable assessments experts
- Operational learning

Preliminary Scenario Definition (PSD) – Process

1. Information to collect
- Pre-disaster info
- Disaster Specific
- Lessons Learnt
- Primary Data
  (Main focus is on primary data – other information is very useful and effective to use additionally to primary data)

2. Data collection

3. Analysis

4. Dissemination

Standing Team roles in assessment

- Different hats – job, Standing Team
- Early warning systems (link/build continuum of info)
- EPP – contribute to scenarios
- Source between emergencies (CET, ACAPS, link to other agencies)
  - link/synergize info
- Provide expertise on participatory methods (through training)
- Communication of information from assessment back to communities (entitlement information)
- Support strategic assessment/analysis on intentions
- Tech support to select methodology
- Assessments consider capacities and needs
- Standing Team advocacy in improved use of assessment info
- Building in recovery to earlier assessments
  - Ensure feedback to recovery teams

Group 1: Develop bullet points for the Standing Team ToR for this scenario

Group 2: Identify the tools already available for assessment and the gaps

Group 3: Analyze the pros and cons for engaging in JNA and make a recommendation to the SMT

	Pros	**Cons**	**RECs/Actions**
Single needs assessment (harmonized)	- Speedier - Agency – specific - Quick decision making - Common agreement	- Assessment fatigue if based on sectors - Lack of quality control - Timing + sharing of results uncoordinated - Division of roles (ie data collection by one and analysis by another)	- Balance needs of agency and others - Coordinate – methodology, process - Quality control - Timing/deadlines
Joint needs assessment (JNA)	- Agreement on product - Collaboration at all levels - Building capacities of agencies - Joint learning - Advocacy is stronger & easier - Coherence + coordinated future planning - Cost effective	- Timing/length of questions/duration - LAC top – driven without taking into account on-ground reality - Management & logistics - How big is joint credibility? - Doesn't fulfill agency-specific needs - Political!	- Participation of national staff - Inclusion of key stake-holders to ensure wider use (govt, beneficiaries, sector specialists) - Inputs should be equal & even - Refreshers + training (Standing Team, Partners, Emergency teams) - Negotiated leadership

		- Cost effective only in theory!	+ acceptance of (ie, OCHA, govt) - Improve processes + linkages with OCHA

Key Actions

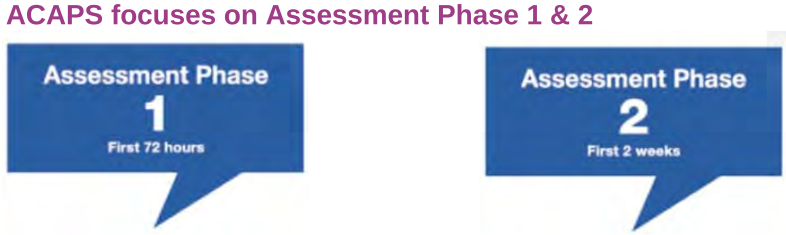
- Next Standing Team meeting:
    - o Internal capacity building
    - o Training facilitation
    - o Conducting assessment
- Promoting use of existing accountability tools with training agencies (eg: ACAPS)
- 1st phase deployable staff to capture lessons learned
- Determine Standing Team role in 2nd phase assessment to introduce accountability earlier
- CET:
    - o Only list most recommended tools
    - o Develop tips/guidance on data analysis and secondary data
    - o Review CET assessment chapter with help from ACAPS

Standing Team should provide tech assistance re: JNA or not

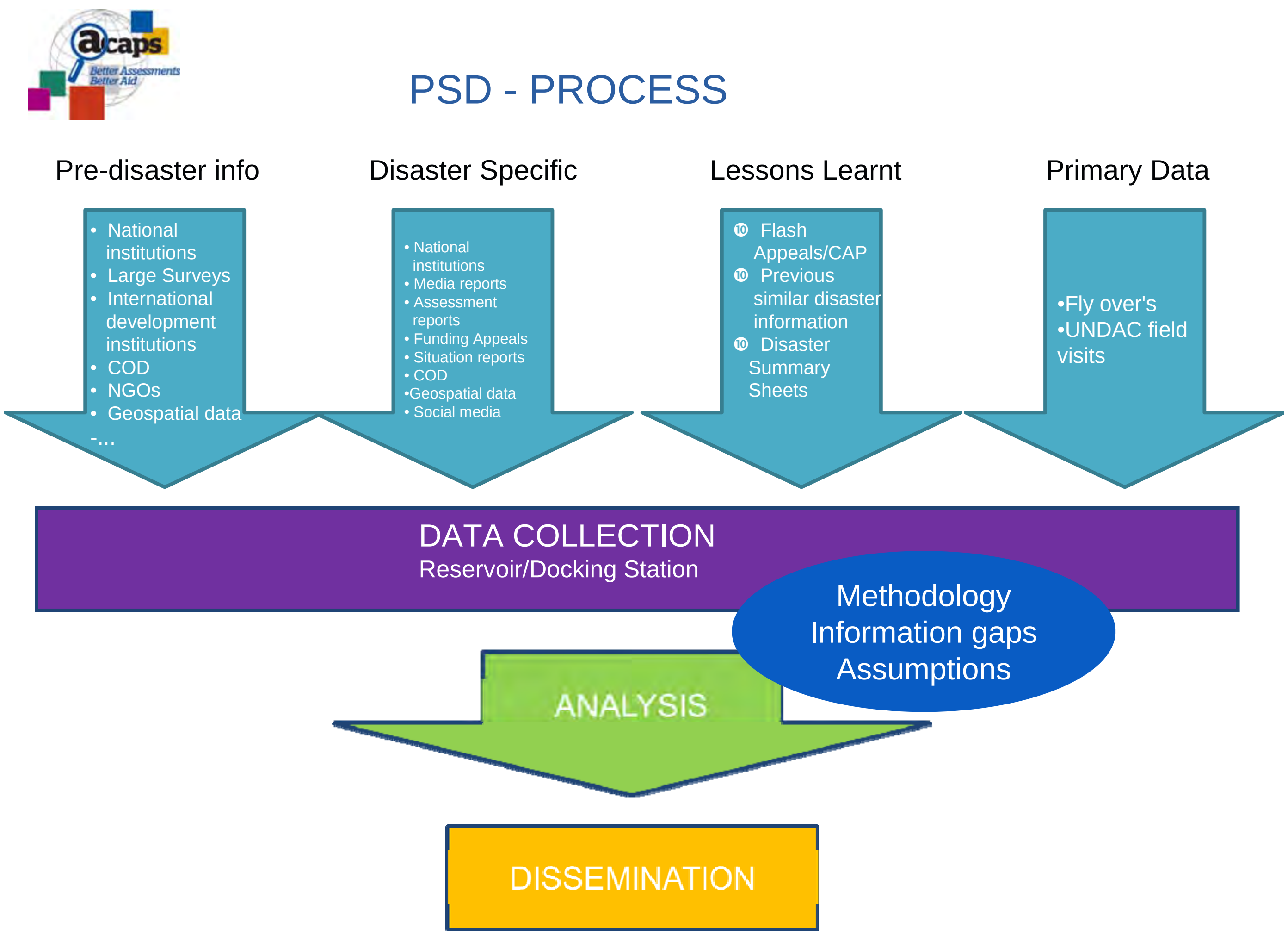
Pilot case study -> feed results back into country office

Assessment Framework

ACAPS focuses on Assessment Phase 1 & 2



Preliminary Scenario Definition (PSD)



Annex 10 – Standing Team Capacity Self-Assessments

Each participant evaluated him/her-self during this exercise. They placed their name in the table according to their assessment of their competency for a specific task. **Bold red** indicates a specific interest in Standing Team member in expanding his/her knowledge of the topic.

	Setting-up accountability systems	TA for M&E in Emergency	RAR	AAR	Evaluation teams	Evaluation management	Quality & Accountability training	Assessment training	Assessment (doing)
Lead	**Alio** **Amadou** Clare Ingvild	**Yves- L** Loretta	Daniel Amadou Alio Ingvild	**Katy** Caroline Amadou Ingvild Daniel Angela	**Loretta** **Yves-L** **Ingvild**	Caroline Clare Amadou Ingvild Loretta	**Alio** **Katy** Ingvild Amadou Clare Angela Brian Loretta	**Amadou** Caroline Loretta Susannah Brian Angela	Susannah Angela Caroline
Member/Co-facilitator	**Angela** **Daniel** **Loretta** **Caroline** Susannah Katy Brian Audrée	**Ingvild** Angela Daniel Brian Amadou Caroline Susannah Clare	**Angela** **Brian** Caroline Loretta Clare Yves-L Audrée	**Brian** **Clare** **Susannah** Yves-L Loretta Alio Audrée	**Clare** **Audrée** **Caroline** **Daniel** Katy Angela Susannah Amadou Brian	**Susannah** Angela Daniel Alio Brian YL Audrée	Caroline Daniel YL Susannah	YL Daniel Alio Audrée	**Audrée** Katy YL Brian Loretta Amadou Daniel Ingvild
More capacity building needed		Alio Katy			Alio		Audrée	Clare Ingvild Katy	Alio Clare

Additional Comments:

Ingvild

M&E in Emergency TA: More experience needed but willing to jump in and deploy

RAR: Understanding "rapid"

AAR: More experience understanding "rapid" and "real time"

Assessment training: Learn modules useful to CARE

Alio
Setting up accountability systems: CRM Peru best practices
M&E in Emergency TA: Finding from Standing Team workshop, more guidance on tool use
RAR: Sharing other experiences of report, input from Standing Team workshop

Clare
Setting up accountability systems: Provide support to country offices in informal way
Quality and accountability training: In the process of putting together a CI-UK 'Q&A' learning series

Susannah
Evaluation management: Deployment with expert (on-the-job) especially RTE
Setting up accountability systems: On-the-job experience
Assessment training: Additional clarity on assessment tools in CARE
Assessment (doing): Additional experience assessing natural disasters

Angela
Setting up accountability systems: Deployment, access to best practice documents, sharing of experience/debriefing by deployed ST members
RAR: Becoming more familiar with HAF + RAR tool + reports; coaching; participating in debriefs
AAR: Some coaching from more experienced personnel, reading other reports, deployment
Evaluation terms: ALNAP training, deployment, reading more evaluations
Quality and accountability training: Familiarization with trainers materials, get to know more case studies

Daniel
Setting up accountability systems: Need to see in practice
Evaluation teams: RTE (would like to shadow experienced person)

Katy
Setting up accountability systems: Deployment, coaching, access to practical, debrief
M&E in emergency TA: Lessons on process, train, tools
RAR: Templates, coaching
AAR: Review lessons learned, review process

Evaluation teams: Either training or another evaluation
Assessment training: Need to do an assessment fast, committed to this through CHEOPS

Loretta
Setting up accountability systems: All phases of setting up CRM in real, field context
Evaluation teams: More experience in RTE, would like to co-lead or extensive coaching
M&E in emergency TA: More field experience
RAR: Learn approach
AAR: Coaching, conflict management
Quality and accountability training: More incorporation of HAP and SPHERE
Assessment training: Add simulations/role plays

Caroline
Setting up accountability systems: Deployment, see good example of accountability system, coaching
AAR: Some support for facilitation to ensure movement in the right direction
Assessment training: Additional work on the theory and best practices

Brian
AAR: Learn methods and tools in practice
M&E in emergency TA: Tools
Assessment training: Learn role plays and practical exercises
Assessment: Improve team leadership skills – coordination, delegation

Audrée
Assessment (doing): High interest in joint assessment
Setting up accountability systems: Drawing from CARE Ethiopia's experience
RAR: High interest but never done it
Quality and accountability training: Need to be trained on tools

Yves-Laurent
Evaluation teams
RAR: Harmonize rating
Assessment training: Review modules
Assessment (doing): Review tools, improve negotiation skills