

TOOL:

ACCOUNTABILITY TO AFFECTED PEOPLE (AAP) SELF-ASSESSMENT* (OPERATIONAL LEVEL)

AAP is implemented in different ways, and to different levels in operations. A quick AAP self- assessment will identify the areas of strength and areas needing improvement. This will inform the operations' strategy on the areas of the AAP framework to prioritise.

Ranking scale for the self-assessment:

1	Not at all
2	Some, but quite weak
3	Yes, but room for improvements
4	Fully in place

The rating scale does not lead to an empirical result, however trends and patterns in the outcomes highlight areas of prioritisation. The self-assessment can include the involvement of persons of concern and partners.

* Adapted from [Tools to assist in implementing the IASC AAP Commitments July 2012](#)

Communication and Transparency

Provide accessible and timely information to persons of concern on organisational procedures, structures and processes that affect them to ensure that they can make informed decisions and choices, and facilitate a dialogue between the operation and persons of concern.

		1	2	3	4
1	There are SOPs guiding the practice of communication, and transparency with persons of concern.				
2	Information is routinely provided on an appropriately updated basis to persons of concern by both the organisation and its partners				
3	The operation routinely engages in a two-way dialogue persons of concern, even during crisis responses, including to determine what kind of information they require and in what formats				
4	Information is routinely provided on: UNHCR, its accountability commitments code of conduct, feedback, and complaints procedure and relevant contact details				
5	Protection assistance programmes, including goals and objectives, expected results, timeframe, summary of finances and evaluation/ progress reports and targeting criteria.				
6	Rights and entitlements of person of concern Feedback from participatory processes and the decisions made				
7	Persons of concern always know who they are dealing with, their role The operation makes sure that resources are available to translate relevant information into local languages and for context appropriate information dissemination				
8	Staff are up to date on innovative communications technologies relevant to communicating with the communities they work with				
9	Information is available for reference in different formats, for example, on community noticeboards				
10	Partners understand the importance of communication and work with UNHCR to keep standards of information and communication				
11	The operation conveys a commitment to communication and information provision as a form of aid provision to its staff and stakeholders				
12	The operation collaborates with other stakeholders, such as peer agencies, clusters, partners and local authorities, to fulfil this commitment				
	Total Score (out of 52)				
Notes and priority areas					

Feedback and Response

Actively seek the views of persons of concern to improve programming, ensuring that feedback and complaints mechanisms are streamlined, appropriate and robust enough to communicate, receive, record, process, respond to and learn from feedback and complaints about breaches in policy and stakeholder satisfaction.

		1	2	3	4
1	There are SOPs or guidance on the establishment and operation of feedback, complaints and response mechanisms and the types of feedback that will be dealt with				
2	The means by which a two way dialogue and feedback collection occurs is based upon the local context and the preferences of communities				
3	Feedback is actively sought from communities and there is evidence to back this up				
4	Communities are regularly provided with feedback as to how their input was used				
5	The guidance defines and outlines the purpose and limitations of the mechanism, the steps involved in processing and responding to feedback and complaints, what to do with sensitive complaints, and addresses confidentiality and non-retaliation issues				
6	Persons of concern are/were consulted as to how they would best like to submit complaints				
7	Staff are well informed as to how the feedback, complaints and response mechanism works				
8	Persons of concern are informed that they are welcome to provide feedback or make a complaint and they know what kinds of complaints will be dealt with				
9	There are clear records of what feedback and complaints have been received and how they were responded to				
10	There is guidance on the prevention of sexual exploitation and abuse				
11	There are clear procedures in place to address allegations of abuse and the expertise to handle and investigate allegations of abuse, including sexual abuse and corruption				
12	The operation works with partner agencies and within the clusters to establish joint complaints mechanisms where applicable, to offer a single entry point for communities				
	Total Score (out of 52)				
Notes and priority areas					

Participation and Inclusion

Enable persons of concern to play an active role in the decision-making processes that affect them through the establishment of clear practices to engage them appropriately and ensure that the most marginalised and affected are represented and have influence.

		1	2	3	4
1	All interest groups have a voice, including men, women, children, older persons, minority cultural groups and people living with disabilities				
2	Community participation takes place during needs assessment and programme planning				
3	Community participation takes place during programme implementation, distribution and service delivery phases				
4	Community participation takes place during monitoring and evaluation				
5	Staff and partners know how community representatives are chosen and are confident it is in a fair and representative process				
6	Staff and partners are confident that information flows effectively between representatives and the people they represent				
7	Assessed needs are explicitly identified by, and linked to the capacity of persons of concern				
8	A two way dialogue routinely occurs to obtain information regarding the context and experiences of different population groups (local culture, customs, beliefs, existing capacities and coping strategies)				
9	The Do No Harm framework or equivalent approach is employed with the participation of stakeholders, to ensure that the operation's humanitarian interventions will not exacerbate conflict				
10	The information from participatory processes is integrated within planning and project design				
11	Staff ensure that, whenever possible, persons of concern have a chance to speak free from the fear of retaliation or the presence of those who might purposefully or inadvertently prevent them from speaking their mind.				
	Total Score (out of 52)				
Notes and priority areas					

Learning and Adaptation

Design, monitor and evaluate the goals and objectives of programmes with the involvement of persons of concern, feeding learning back into the organisation on an ongoing basis and reporting on the results of the process.

		1	2	3	4
1	Programme design is based on an analysis of the specific needs and risks faced by different groups of people				
2	Programme design addresses the gap between people's needs and their own, capacity to meet them				
3	AAP is evident in programme documents				
4	There is a practice of integrating learning within the operation's reporting				
5	The operation communicates its commitment and expectations with regard to continual improvement of protection and assistance programmes				
6	Monitoring and evaluation includes a requirement to seek the views of persons of concern and where possible to actively involve them in M&E				
7	Monitoring and evaluation of accountability commitments can be regularly found in the ToRs of evaluations				
8	The findings of monitoring and evaluation are routinely fed back to communities				
9	The operation monitors partner performance, particularly with respect to quality and accountability to persons of concern				
10	There is evidence that the operation has systems in place, and that they are employed, to ensure that its interventions and activities do not exacerbate community conflict or cause harm to aid recipients				
11	There is evidence that the operation consistently learns from the outcomes of monitoring and evaluations and improves its performance as a result				
12	Programme designs are revised to reflect changes in the context, risks and people's needs, their feedback, and capacities				
	Total Score (out of 52)				
Notes and priority areas					

Working with Partners and other Stakeholders

		1	2	3	4
1	The operation works effectively in coordination and collaboration with others, including both UN and non-UN actors				
2	Commitments made at coordination meetings are acted and reported upon in a timely manner				
3	The operation's practice is in line with complementarity and supporting local capacity				
4	The operation seeks opportunities for conducting joint assessments				
5	The operation utilises findings from joint assessments				
6	The operation has a clear partner selection process that reflects its commitments to accountability				
7	The operation makes clear to partners its own commitments with regard to accountability, and establishes minimum expectations with them with respect to their own practice				
8	Partnership agreements explicitly refer to accountability and quality commitments, and are developed through a collaborative process whereby agreement is reached on (amongst other things):				
	• How and when they will share information with persons of concern				
	• How persons of concern will participate in different stages of the project				
	• How they will raise and handle feedback, and complaints (including referrals) in a safe and accessible way				
	Total Score (out of 52)				
Notes and priority areas					