



UNICEF Eastern and Southern Africa Regional Office

Summary Guidelines to Integrating
**Accountability to
Affected People (AAP)**
into Country Office Planning Cycles

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Acronyms

AAAQ	Availability, Accessibility, Acceptability, Quality
AAP	Accountability to Affected People
C4D	communication for development
CAAPs	Commitments on Accountability to Affected People/Populations
CCCs	Core Commitments for Children in humanitarian action
CDAC	Communicating with Disaster Affected Communities
CHS	Core Humanitarian Standard
CPD	Country Programme Document
EPP	Emergency Preparedness Platform
ESARO	Eastern and Southern Africa Regional Office
FGD	focus group discussion
GBV	gender-based violence
HAC	Humanitarian Action for Children
HACT	Harmonized Approach to Cash Transfers
HRP	Humanitarian Response Plan
ICT	information and communication technology
IASC	Inter-Agency Standing Committee
KII	key informant interview
OECD	Organisation for Economic Co-operation and Development
PCA	Programme Cooperation Agreement
PSEA	protection from sexual exploitation and abuse by our own staff
PSN	Programme Strategy Note
SBCC	social and behaviour change communication
SEA	sexual abuse and exploitation
SitAn	Situation Analysis
ToC	theory of change
WASH	water, sanitation and hygiene

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Introduction

UNICEF has made Accountability to Affected People (AAP) a priority in its Strategic Plan 2018–2021. In May 2018, UNICEF adopted an institutional strategy and action plan for scaling up AAP. Its scope covers the whole organization at country, regional and global levels. It is based on two fundamental premises: first, progress will be achieved only through a systematic and coherent organization-wide approach that is embedded in existing organizational processes and systems; second, AAP must not be a stand-alone concept but rather be an integral part of good quality programming in development and humanitarian situations alike¹.

However, despite broad support for AAP across the organization, external reviews, evaluations and consultations show that AAP is not yet well understood or well-integrated into Country Office planning processes and programming. Accordingly, UNICEF Eastern and Southern Africa Regional Office (ESARO) has prepared these summary AAP guidelines and associated checklists (please see Annex), to support Country Offices to integrate key AAP principles into the country programme planning cycle.

This document complements the UNICEF AAP Framework 2014 and the forthcoming AAP Handbook for UNICEF and Partners. Please see Section 5 for a full list of resources. Country Offices can contact aap@unicef.org for feedback on this document and their AAP initiatives as well as further information and support.

1 UNICEF, Executive Board, First regular session 2019, 5–7 February 2019, Item 6 of the provisional agenda*, Update on UNICEF humanitarian action with a focus on linking humanitarian and development programming www.unicef.org/spanish/about/execboard/files/2019-EB3-Humanitarian_action-EN-2018.12.21.pdf

Core Concepts of AAP

1.1 Definition of AAP

Accountability to those it serves has always been a part of UNICEF's work in championing the rights of children as expressed in many policy commitments. UNICEF's approach to accountability builds on the **Inter-Agency Standing Committee (IASC) definition of AAP as:**

"An active commitment to use power responsibly by taking account of, giving account to, and being held to account by the people humanitarian organizations seek to assist"².

UNICEF is also guided by the IASC's five Commitments on Accountability to Affected People/Populations (CAAPs) and the Core Humanitarian Standard (CHS) which sets out nine accountability commitments which places:

"Communities and people affected by crisis at the centre of humanitarian action and promotes respect for their fundamental human rights. It is underpinned by the right to life with dignity, and the right to protection and security as set forth in international law"³.

In this paper, the term AAP is used to broadly encompass the responsibility of UNICEF to put the interests of children and people it aims to support at the centre of decision-making, whether in development or humanitarian contexts. At its core, AAP is about UNICEF's responsibility to ensure programmes generate meaningful and relevant **results and outcomes** for girls, boys, women and men, in accordance with their specific needs, priorities and preferences. It involves working in ways to protect, facilitate and enable them to **exercise their rights**, including the right to safe, fair, equitable access to quality services and accurate, reliable and relevant information, the right to share their views and opinions about the quality and effectiveness of programmes, and participate in decisions that affect them. This requires building **relationships of trust** between UNICEF, its partners and vulnerable people and communities, based on mutual respect, transparency and two-way communication and engagement.

While also commonly referred to as Accountability to Affected Populations, this guidance refers to Accountability to Affected *People* as it promotes recognition of **individuals with diverse needs and capacities**, as opposed to the term populations, which is a more abstract concept implying homogeneous units. This distinction has indeed been part of the AAP debate for many years, with an emerging preference for the term people.

2 IASC AAP overview https://interagencystandingcommittee.org/system/files/iasc_aap_psea_2_pager_for_hc.pdf

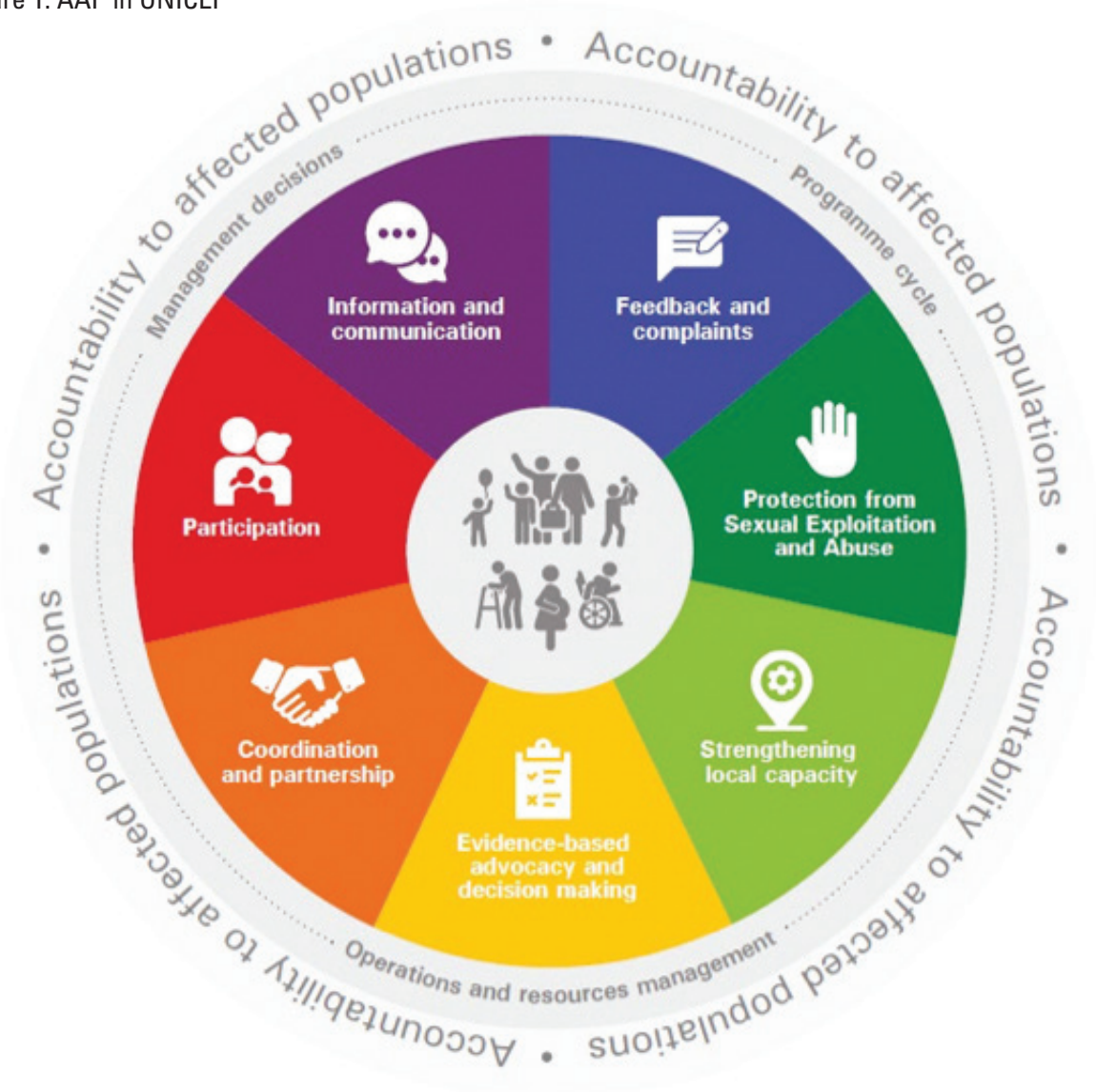
3 CHS <https://corehumanitarianstandard.org/files/files/CHS%20in%20English%20-%20book%20for%20printing.pdf>

Throughout the text, we use “vulnerable people” to refer to girls, boys, women and men with different needs, priorities, vulnerabilities and capacities who are facing situations of poverty, deprivation, and risks or who are adversely affected by conflict, disasters or other emergencies. This includes women and children – especially girls, the poorest, minority groups, those with disabilities, the internally displaced, and those living in marginalized communities and fragile environments (such as refugee camps and urban and informal settlements).

1.2 AAP Pillars

AAP in UNICEF is built around seven pillars of accountability principles and good practices that put vulnerable people at the centre of both development and emergency programmes (Figure 1). These pillars should be reflected in all aspects of UNICEF’s work: the country programme planning cycle; management decision-making; and operations and resources management; in addition to areas such as partnership agreements, and monitoring and evaluation.

Figure 1: AAP in UNICEF



Source: UNICEF AAP Handbook (forthcoming)

Detail on the seven AAP pillars is as follows:

Pillar 1: Participation

Safe, appropriate, equitable and **inclusive opportunities** for girls, boys, women and men of all ages especially the most vulnerable and marginalized groups, to participate in decisions that affect them, including how to define and prioritize interventions and determine the most appropriate means of delivery of services in development contexts and assistance in times of emergency. This includes the responsibility to design relevant and appropriate participation and community engagement strategies and programmes in consultation with vulnerable people, and in line with their preferences.

Pillar 2: Information and communication

Safe, appropriate, equitable and inclusive **access to life-saving information** as well as information on people's rights and entitlements and how to exercise them. This includes the responsibility to support transparent, equitable, two-way communication based on the priority information needs and communication preferences of all groups of vulnerable people in the population.

Pillar 3: Feedback and complaints

Safe, appropriate, equitable and inclusive access for vulnerable people to provide **feedback, inputs and complaints** about their experiences and perspectives on the quality and effectiveness of programmes and their relationship with people and organizations providing services for them, including on sensitive issues. This includes the responsibility to ensure mechanisms are in place to systematically collect and analyse feedback to inform decision-making processes, adapt programmes and activities if required, and report back to people and communities on any corrective actions taken in response to their feedback and complaints.

Pillar 4: Protection from Sexual Exploitation and Abuse

Assess, identify, prevent and respond to **protection risks faced by vulnerable people**. Ensure they have safe, confidential, appropriate, equitable and inclusive access to mechanisms to register, refer, investigate and respond to protection issues, and access quality support for sexual abuse and exploitation (SEA) survivors. This includes the responsibility to take appropriate actions to report and respond to cases of SEA in line with the three outcomes of the IASC Plan for Accelerating Protection from Sexual Exploitation and Abuse (PSEA) in Humanitarian Response at Country-Level, internationally agreed PSEA Minimum Operating Standards and other good practices.

Pillar 5: Strengthening local capacity

Work with and through **local actors, formal and informal community structures and networks**, as well as national coordination mechanisms, to define programme objectives and outcomes and capacity building and resilience strategies. Allocate and channel funding and resources to communities and local actors, and engage and empower them to participate in the design, implementation, monitoring and management of programmes. This includes the responsibility to invest in emergency preparedness, capacity building and resilience efforts before, during and after situations of crisis and emergencies, or in development interventions.

Pillar 6: Evidence-based advocacy and decision-making

Advocate to duty bearers, service providers and other relevant stakeholders on behalf of vulnerable people and communities to address their priority needs and concerns in ways that respect their rights and dignity, including the right to participate in decisions that affect them. Ensure that decision-making processes at the strategic, operational and programme level are based on **evidence that considers the views and perspectives of vulnerable people themselves**. This includes the responsibility to document lessons learned and share this with relevant actors, including communities, to improve the quality, effectiveness and accountability of current and future programmes.

Pillar 7: Coordination and partnership

Build and strengthen **partnerships and coordination with communities, local, national and international actors and networks** to minimize gaps and duplication and maximize the quality, coverage, reach and effectiveness of humanitarian and development programmes. This includes the responsibility to promote individual and collective measures to coordinate and improve accountability to vulnerable people and groups and ensure that their needs, interests, concerns and rights are at the centre of decision-making at all levels.

Box 1: AAP and the CCCs

AAP and the Core Commitments to Children

The revised and updated **Core Commitments to Children in Humanitarian Action** (CCCs) (forthcoming) integrate AAP principles and set out benchmarks for Country Offices (and clusters) within emergency response. While aimed mainly at humanitarian action, the benchmarks are equally relevant and applicable to UNICEF's rights-based approach in development programmes and provide a useful framework to assess, monitor and evaluate how well AAP practices are integrated into programming.

Commitment

Ensure that affected children and families participate in the decisions that affect their lives, are properly informed and consulted, and have their views acted upon.

Benchmarks

Affected and at-risk people, including children:

- *Are informed about their rights and entitlements, the expected standards of conduct by UNICEF personnel, the services available to them, and how to access these services using their preferred language and methods of communication;*
- *Have their feedback on the quality of UNICEF programmes systematically collected to inform future programme design and course corrections;*
- *Have access to safe and confidential complaints mechanisms;*
- *Participate in the development of humanitarian response plans and in decisions that affect them.*

Articulating AAP in the Country Planning Cycle (Development Contexts)

AAP should not be viewed as a stand-alone activity, but rather **an integrated approach aimed at improving programme quality, effectiveness and accountability** while preserving, protecting and enhancing the rights and dignity of vulnerable people and communities. AAP's people-centred approach provides a useful way to bridge humanitarian-development linkages, as well as peacebuilding and conflict-sensitive programming, by putting the needs and interests of the most vulnerable at the centre of decision-making and working towards outcomes in line with UNICEF's strategic goals and priorities.

Regardless of the current level of AAP capacity in Country Offices, there are many simple measures that can help ensure AAP is more systematically integrated into programmes. The following sections provides examples of some practical steps for Country Offices to strengthen AAP in the planning cycle, with a focus on the Situation Analysis (SitAn) and Programme Strategy Notes (PSNs).

Country Office teams should draw on the expertise of AAP, communication for development (C4D), PSEA, child protection and gender-based violence (GBV) specialists to ensure cross-cutting themes are adequately integrated into the planning process.

2.1 Integrating AAP into the Situation Analysis

Understanding the context using an AAP lens – whether in a development or emergency setting – is critical to ensuring programmes are relevant, appropriate, effective and accountable for the people UNICEF aims to support. In many cases, the country SitAn tends to prioritize “hard” quantitative data and statistics, while references to more qualitative data based on the expressed needs, priorities and preferences of vulnerable children, families and communities are often minimal. Gathering this information in consultation with vulnerable people, including age-specific strategies for consulting with children, is **essential to fully understanding the context from a people-centred approach**.

The new SitAn Guidance 2019 advises that “In the process of developing the analysis, UNICEF should consult and engage with the government and a broad range of stakeholders, including the most vulnerable and marginalized groups and/or organizations that speak on their behalf.”⁴

4 UNICEF, Core Guidance: New Generation Situation Analysis, 2019 www.unicef.org/croatia/sites/unicef.org.croatia/files/2020-02/Annex%201_SitAn%20Core%20Guidance.pdf

a. Minimum AAP elements

At a minimum, the SitAn and related data collection and assessments exercises should reference existing secondary sources and, whenever possible, directly consult with vulnerable people and groups to collect their **main concerns, priorities and perspectives** on:

1. The situation, including their views of the underlying causes relating to their vulnerability.
2. Their perceptions on risks, including protection risks such as in relation to GBV and SEA, and risks around harmful practices.
3. Their priority concerns and needs, including information needs, and expectations around quality and accountability of services.
4. Their trusted and preferred information sources and communication channels and preferences for participation and engagement in programme delivery.
5. The barriers and bottlenecks they face around exercising their rights to access information and services, participate in decisions that affect them, demand for quality and responsive services or assistance, and hold duty bearers and service providers to account.
6. The perceptions of different vulnerable groups on the availability of mechanisms and platforms to provide feedback; how easy they can be accessed; and how well the feedback is responded to, and proposed actions to address this.
7. The existence of mechanisms to include communities and their representatives into planning, monitoring and evaluation of interventions.

These elements can be incorporated throughout the SitAn and/or in a separate section of the SitAn.

b. Consultation and validation with vulnerable people

The SitAn and assessments processes should always include direct consultations with communities and individuals, such as women's groups, traditional influencers, youth, and persons with disabilities, with **a focus on the most vulnerable groups**. As primary participants in most programmes, it is important that their views are collected to inform the analysis. This can be done through community meetings and focus group discussions (FGDs), key informant interviews (KIIs) with representatives of vulnerable groups, qualitative surveys or other methods, to complement quantitative data collection methods, with attention to gender, age, disability and other diversity factors. In some contexts, direct consultation may not be possible or feasible (for example, due to access and security issues). In these cases, it may be possible to use remote data collection tools such as SMS-based surveys to collect the views and opinions of these groups or use secondary data from previous assessments or evaluations.

At a minimum, data collection efforts should include several open-ended questions to collect community views – including the views of marginalized or vulnerable members within those communities – on their situation, priority concerns, needs and preferences around safe, trusted and accessible participation and community engagement mechanisms, existing capacities and coping strategies, channels for communication and information-sharing, feedback and complaints, etc. If this is not possible, secondary sources such as previous assessments, evaluations, surveys or other research may be available to provide a preliminary assessment of people's priorities and preferences.

Findings from SitAn exercises should be transparently shared and validated with communities. This can help teams identify any gaps in the information and analysis, and help communities manage expectations by understanding the scale and scope of needs and the limitations facing service providers in addressing those needs.

c. Barriers, bottlenecks and enablers for AAP

The SitAn and related needs assessment processes should attempt to identify existing social norms and power/political dynamics, institutional arrangements and other factors that act as **bottlenecks and barriers for marginalized and vulnerable groups** to exercise their rights to access and use quality services and engage and participate in decisions that affect them. Understanding how these issues impact on people's opportunities for participation, communications or feedback will also help ensure programmes and services are designed in ways that are safe, accessible, equitable and inclusive for all groups in the population. This analysis can also help identify the most vulnerable groups in the population, and ensure the principles of impartiality and non-discrimination are applied in the selection criteria for participation in programming.

This analysis can be done in collaboration with and conjunction with the gender and equity analysis, PSEA risk assessments and other consultation processes led as part of GBV risk mitigation interventions. The Availability, Accessibility, Acceptability, Quality (AAAQ) Framework for assessing services and the UNICEF Tip Sheet: Consulting with Women and Girls can be used to identify issues such as availability, accessibility, and acceptability of services to all groups of vulnerable people, particularly women and girls, and persons with disabilities, etc.

The SitAn is also an opportunity to identify enabling factors that can contribute to **minimizing risks and vulnerabilities**, such as existing human capital, local capacities and resources (beyond those at the formal institutional level), which can be leveraged to support programme implementation and service delivery. County Offices should conduct a mapping of local resources and capacities, such as community-based organizations and other formal and informal structures and networks (e.g. youth groups, local water committees or school clubs, social media platforms, etc.) that could be used, adapted or scaled up to support programming across different sectors.

2.2 Integrating AAP into Programme Strategy Notes

Describing how the AAP Pillars will be articulated in the PSNs enables Country Offices to more clearly **demonstrate how quality, effectiveness and accountability will be reinforced** throughout the programme from a people-centred approach. The PSN should outline the different AAP strategic orientations that will be used to support programme effectiveness across each AAP Pillar.

a. Minimum AAP elements

At a minimum, the PSN should include a description of:

1. How vulnerable people and communities have been consulted and engaged in the SitAn and programme design process.
2. Data reflecting their views and perspectives on priorities and needs.

3. Strategies and approaches to promote participation, community engagement and two-way communication and information sharing throughout the programme cycle.
4. Proposed mechanisms to collect, analyse, act on feedback and report back to people and communities.
5. Measures to identify, prevent and address risks, including protection risks and GBV and SEA.
6. Measures to prioritize and support strengthening local capacities by using local knowledge and resources and increasing capacities of local actors in delivery of programmes.
7. Existing or planned coordination mechanisms between different stakeholders and sectors (such as government or inter-agency coordination mechanisms) to ensure programmes and services are delivered efficiently and respond to vulnerable people's diverse needs and priorities effectively and holistically.
8. Propose monitoring and reporting mechanisms to regularly assess how well AAP measures are integrated into programmes, and vulnerable people's views on the quality, timeliness, relevance and effectiveness of programmes, and their relationship with service providers.

b. Theory of change

The theory of change (ToC) section of a PSN is a good means to **highlight how applying AAP principles can contribute to the end goal of a programme**. AAP elements are often implicit in many UNICEF ToCs, for example, outputs around greater capacity and accountability in public health systems or increased participation of children and youth in advocacy. Making these elements more explicit can help Country Offices and partners to visualize how AAP contributes to achieving better outcomes and impact for children and other vulnerable and disadvantaged people.

The following sample AAP Theory of Change is aligned to UNICEF's AAP Pillars and can be adapted and used to orient sector PSNs. **Not all elements need to be included in a ToC**. However, the more explicitly that AAP Pillars are referenced, the more likely programmes will be able to meet and address UNICEF's AAP commitments holistically.

The ToC should be evidence-based and aligned to the AAP gaps in the country context, priorities and relevance to the programmes or operations. It should also include sex, age, disability and diversity-related data and analysis to ensure the specific needs, priorities and preferences of vulnerable and marginalized groups are identified and reflected in the overall ToC.

Box 2: Sample AAP ToC

Sample AAP Theory of Change

If vulnerable people are able to:

- receive the information they need to make informed decisions (for example, in health, WASH, nutrition or education or CP)
- access safe, appropriate means to provide feedback or complaints about the quality and effectiveness of programmes;
- exercise their right to participate in the decisions that affect their lives; **and**

If UNICEF and its partners:

- design programmes based on people's needs, priorities and expectations, with attention to addressing equity and social and economic factors that influence vulnerability, capacities and resilience
- provide safe, equitable, accessible and inclusive mechanisms and opportunities for vulnerable people to provide feedback, complaints and other inputs on the design, implementation and quality and effectiveness of programmes;
- regularly collect, analyse and integrate vulnerable people's views and perspectives on their needs, priorities preferences and use this information to adapt and adjust programmes;
- integrate measures to identify, mitigate and respond to risks, particularly protection risks and sexual exploitation and abuse;
- systematically incorporate measures for vulnerable people to participate in management and decision-making processes;
- hold themselves accountable for the quality and effectiveness of programmes and their relationships with vulnerable people

Then humanitarian and development actions are more likely to successfully:

- address people's immediate and longer-term priority needs;
- reduce their vulnerability;
- strengthen their capacities and resilience, and;
- protect and enhance their rights.

c. Results framework

It may be possible to introduce AAP-related results into sectoral PSN results frameworks at the outcomes and output level. For example, social policy, systems strengthening or empowerment outcomes in different sectors could describe measures related to improved capacity to **supply** and deliver responsive, quality services through strengthened accountability mechanisms. Programme outputs could also describe measures to increase vulnerable people's **demands** for their rights to quality services and accountability or capacities to participate in and make informed decisions around health, protection, nutrition, water, sanitation and hygiene (WASH) or education issues that affect them (Table 1).

If a PSN clearly **highlights AAP as one core strategic approach**, it must then ensure that its result framework includes at least one indicator to monitor and measure this dimension. Without proper visibility, there is a high risk for AAP to remain at principle level with no clear way to demonstrate its programmatic added value.

In addition to mainstreaming AAP in sectoral PSNs, country teams are recommended to include one AAP output under Programme Effectiveness, to **ensure that a cross-cutting system to deliver AAP** is built/reinforced to support sectors to deliver their results. This can be done in conjunction with other cross-sectoral interventions with a strong focus on community delivery, such as C4D, Gender, Emergency Preparedness and/or Resilience programmes, or PSEA.

Table 1: Sample AAP indicators

AAP Rationale	Example Output	Example Indicator
Increase vulnerable people’s demands for their rights to quality services	Vulnerable and at-risk youth and adolescents are empowered to demand improved educational opportunities to address their needs	% of surveyed youth and adolescents that feel their views and opinions are considered by decision-makers
	Improved quality of WASH services through increased community participation in management of resources	% of surveyed community members that feel WASH services are more responsive to their needs.
Monitoring and measuring AAP as a core strategic approach; demonstrate its programmatic added value	Government health services are more accessible and responsive at addressing the needs of persons with disabilities through improved quality assurance and accountability mechanisms	% of people with disabilities surveyed who feel government frontline workers are more responsive to addressing feedback around access and quality of care
AAP output under Programme Effectiveness to support a cross-cutting system to deliver AAP	Quality and effectiveness of UNICEF programmes are ensured through systematic integration of AAP measures	% of programmes meeting AAP benchmarks for participation, community engagement, communications and feedback mechanisms
		% of programmes systematically consulting with communities to address their priority needs and concerns

Country Offices and sectors will need to consider the most appropriate indicators to assess both AAP **processes** (such as number of issues identified through feedback mechanisms resolved), and AAP **outputs**, (such as vulnerable people’s degree of satisfaction around participation and influence over decision-making, or perceptions that services and assistance addresses their priority needs).

The draft AAP Monitoring Guidelines provide additional indicator examples which can be adapted to country contexts. Further information can be found in section 4.2 and the Annex (Sample AAP Indicators and Monitoring Questions).

Box 3: CCCs and CHS in orienting results and indicators

Using the CCCs and the Core Humanitarian Standard to orient results and indicators

UNICEF's CCC's and the recent UNICEF benchmarking assessment against the CHS **include several AAP elements that could be incorporated into programme results frameworks:**

Affected and at-risk people, including children:

- Are informed about their rights and entitlements, the expected standards of conduct by UNICEF personnel and partners, the services available to them, and how to access these services using their preferred language and methods of communication;
- Receive reliable, relevant and appropriate information and can make informed decisions on issues that affect their lives;
- Are able to participate and provide inputs in safe, equitable and accessible ways on the design and implementation of programmes;
- Have access to safe, accessible and inclusive mechanisms to provide their feedback on the quality and effectiveness of UNICEF programmes, and safe and confidential complaints mechanisms;
- Are satisfied with the quality and effectiveness of programmes and activities and with their relationship with UNICEF and its partners.

d. Strategic priorities and intervention strategies

PSNs include a description of the strategic priorities and intervention strategies that will be used to achieve programme outputs and outcomes, such as using risk-informed approaches, systems strengthening, or social and behaviour change communication (SBCC). Each of these strategies can be **supported and enhanced by referencing the different AAP Pillars** and how they will be used (Box 4).

For example, direct participation of women and girls, persons with disabilities, adolescent and youth, and other vulnerable groups in any risk mapping exercises can improve the analysis and offers an opportunity for communities themselves to identify mitigation measures appropriate to their situation and context. Similarly, partnering with local water management committees or mothers' clubs, and women-led organizations to support WASH or nutrition programme outcomes are examples of how AAP principles of participation and strengthening local capacities can be supported and applied in programmes.

Box 4: AAP and community engagement

Community engagement and accountability

Community engagement is one of the core strategies used by C4D and other programming areas, and has many common elements with AAP, particularly around participation, allowing communities to express their own priorities and needs and enhancing their ability to exercise their rights and hold service providers and duty bearers accountable.

Seen in this light, community engagement becomes a **critical entry point** to support greater accountability through building more equitable relations and interactions between service providers and end users of those services – whether in humanitarian or development settings.

Country Offices are encouraged to **ensure that community engagement and accountability principles are mainstreamed** in all sectoral PSNs and clearly visible as part of the identified strategies. Text should describe the priorities and specific measures to support AAP Pillars throughout the programme - including strategies for community engagement and how UNICEF and partners will build relationships and work with and through vulnerable communities to achieve better outcomes for them.

Implementation of community engagement and accountability at the field level should build on a shared **cross-sectoral rationale to avoid duplication** and uncoordinated interventions. This should be embedded through a system strengthening approach in a cross-sectoral section in the PSN, and supported by expertise at community level, such as C4D.

e. Resource requirements

The resource requirements section should consider the costs associated with AAP-related activities and if necessary, include a **specific budget line** for these. These may include allocating resources for community engagement and participation, feedback and complaints mechanisms, protection activities, field monitoring and quality assurance, etc. While some programmes may have specific AAP outputs and activities, most AAP-related activities can be considered as supporting effective programme and risk management across all sectors and programmes in the Country Programme Document (CPD) – or the Humanitarian Response Plan (HRP) in emergency contexts – so it is important to ensure that these costs are budgeted.

Country Offices should also consider the human resource needs to support AAP in programmes and the roles and responsibilities for AAP in the senior management team, sections, project teams and partners in line with UNICEF's AAP Framework and Strategic Plan.

Tools and Resources

- UNICEF ESARO AAP SitAn Checklist
- UNICEF ESARO AAP Barriers and Bottleneck Analysis Checklist
- UNICEF ESARO example AAP ToC (Box 2 above)

2.3 Integrating AAP into the Country Programme Document

Highlighting key AAP elements from the SitAn and PSN in the CPD helps **signal UNICEF's commitments to accountability** and what can be expected from UNICEF and its partners in terms improving the quality and effectiveness of programmes and services. At the same time, it can **reinforce ongoing efforts to strengthen institutional capacities, systems and processes to support accountability** of duty bearers and service providers towards vulnerable children, families and communities through social policies and responsive, quality services.

The CPD should **include references to the AAP analysis and approaches identified in PSNs**, including:

- How vulnerable communities have been consulted and engaged in the CPD process and/or other supporting data to elicit their views and perspectives on programme priorities.
- Strategies and approaches to promote participation, community engagement and two-way communication and information sharing throughout the Country Programme cycle.
- Proposed mechanisms to collect, analyse, act on feedback, and report back to communities on actions taken as a result of their feedback.
- Measures to identify, prevent and address risks, including protection risks and GBV and SEA.
- Measures to support strengthening institutional systems, local capacities and resilience, prioritizing localization of aid, and supporting use of local knowledge and resources, and increasing capacities and demand for quality services.
- Existing or planned coordination mechanisms to ensure programmes and services use resources efficiently to respond to vulnerable people's diverse needs and priorities effectively and holistically.

Tools and Resources

- See examples of suggested AAP additions to text of CPDs in Eastern and Southern Africa in the CPD Checklist in Annex.

Integrating AAP in Emergency Preparedness and Response

3.1 Emergency Preparedness Planning and Risk-Informed Programming

UNICEF's Guidance on Risk-Informed Programming stresses the need for **more people-centric, vulnerability-focused risk analysis**, where the voices of children, youth and women drive the process of defining and prioritizing risks, hazards and vulnerabilities and inform programme design. This is equally relevant when using the Emergency Preparedness Platform (EPP) tool for planning effective short-term preparedness activities and monitoring their preparedness levels, as well as other capacity building measures aimed at supporting existing national or district-level preparedness and risk reduction platforms. It is also important for strengthening civil society and local community capacities for prevention, risk reduction, preparedness for response to crises.

UNICEF's AAP Pillars can be very useful to **guide and orient risk reduction and preparedness efforts**, and the EPP process to ensure Country Offices have a fuller understanding of the specific risks and vulnerabilities of different groups in the population. Furthermore, the process can help to map how to strengthen and mobilize existing mechanisms for participation and community engagement, communication and information sharing, and local capacities, to reduce risks and vulnerabilities and support more effective and accountable emergency responses.

Consulting with vulnerable people and groups to understand their **perceptions of risk and existing coping mechanisms** can be contrasted against more empirical data on risks to identify potential gaps. This can then be used to orient information campaigns or SBCC as part of preparedness work as well as in emergency responses.

Country Office teams should draw on the expertise of AAP, C4D, PSEA, child protection and GBV specialists to ensure cross-cutting themes are adequately integrated into the EPP and related processes.

a. Minimum AAP elements

The EPP and related preparedness planning processes should include a **description of AAP elements** using the **four steps of the EPP process**:

1. **Risk Analysis:** How have vulnerable people been consulted and engaged in defining risks, hazards and vulnerabilities? Is there a gap between their perceptions of risk and the risks identified through the analysis process? Are the vulnerable people in question aware of the roles and responsibilities and available mechanisms for information sharing, coordination,

- preparedness and response related to existing risks? What are vulnerable communities and local actors' existing capacities, resilience and coping strategies to address potential risks?
2. **Scenario Definition:** Does the scenario outline existing formal and informal mechanisms for participation, community engagement, two-way communication and information sharing, that can be used to support a more effective and accountable response to the priority hazards?
 3. **UNICEF's Response:** How will UNICEF support and strengthen local and national partner's preparedness and response capacities? How will UNICEF promote a coherent and coordinated approach to AAP throughout the response? What contingency plans are in place to adapt and adjust to changes in the context or situation?
 4. **Preparedness Actions:** What specific measures will be taken to support and strengthen AAP capacities of communities and partners as part of preparedness actions?

b. Other preparedness considerations

Country Offices can adapt and use the AAP checklists (Annex) for the SitAn and Barriers and Bottleneck Analysis or refer to the forthcoming AAP Handbook to orient the EPP process, risk management and contingency planning. In particular, Country Offices should consider how to ensure that any **existing or potential barriers and bottlenecks** that limit vulnerable groups from safe, equitable, inclusive access to quality services can be mitigated and addressed in the event of a crisis, and mitigation measures that can be taken to strengthen preparedness and response.

Preparedness planning should also consider **selection and pre-approval** of potential implementing partners for emergency responses, using the AAP Partner Selection checklist (Annex). Organizing AAP capacity building activities such as training for Country Office teams and partners is another preparedness activity that will help ensure AAP will be more systematically integrated into responses.

Country Offices should also **map existing coordination mechanisms and platforms** around communication, community engagement and participation, including PSEA and social protection mechanisms, and whenever possible establish pre-agreed protocols on issues such as common messaging, engagement strategies, etc. This could also include setting up national platforms for common services around collecting, analysing and managing feedback and complaints that can be used to support development programmes.

Tools and Resources

- UNICEF, Guidance on Risk-Informed Programming 2018 www.unicef.org/media/57621/file
- UNICEF ESARO AAP SitAn Checklist
- UNICEF ESARO AAP Barriers and Bottleneck Analysis Checklist
- UNICEF ESARO AAP Partner Selection Checklist

3.2 Humanitarian Response Plans and Humanitarian Action for Children

In an emergency context, Country Offices (and clusters if activated) also need to demonstrate how AAP principles are integrated in humanitarian responses. In such cases, the SitAn, PSN and CPD process will provide an invaluable foundation for integrating AAP into emergency responses, such as information on vulnerable people's priorities, preferences and communication channels, etc. Referencing the AAP Pillars can help **demonstrate how AAP is systematically integrated** into HRPs, Humanitarian Action for Children (HAC) and related processes and outputs (Humanitarian Needs Overview, Humanitarian Programme Cycle, etc.).

Country Office teams should draw on the expertise of AAP, C4D, PSEA, child protection and GBV specialists to ensure cross-cutting themes are adequately integrated into the HRP and HAC process.

a. Minimum AAP elements

The HRP and HAC should include a description of planned AAP measures, activities and performance indicators, including:

1. How vulnerable people have been **consulted and engaged** in the needs assessment, intervention priorities, selection criteria and design of activities and/or other data reflecting their views and perspectives.
2. Strategies and approaches to promote **participation, community engagement and two-way communication and information sharing** throughout the response.
3. Proposed mechanisms to **collect, analyse, act on feedback** and report back to communities.
4. Measures **to identify, prevent and address risks**, including protection risks and GBV and SEA.
5. Measures to support **strengthening local capacities and resilience**, prioritizing **localization of aid** by supporting use of local knowledge and resources and increasing capacities in responses.
6. **Coordination mechanisms** to ensure programmes and services respond holistically to vulnerable people's diverse needs, priorities and feedback on quality of assistance.
7. **Monitoring and reporting mechanisms**, including AAP indicators, to regularly assess how well AAP measures are integrated into the response, and vulnerable people's views on the quality, timeliness, relevance and effectiveness of responses, and their relationship with service providers.

These elements should be highlighted throughout the HRP and summarized in a separate section in order to highlight the importance of AAP for UNICEF and other actors. Budgets and resources for AAP measures should be included in any appeals or funding requests, including resources to support mechanisms for participation, community engagement, and feedback and monitoring of programme quality, effectiveness and accountability in the response.

b. Integrating AAP into humanitarian needs assessments

There are a number of tools and approaches to integrate AAP into needs assessment processes. Incorporating **open-ended questions into needs assessments** and complementing this with other measures to consult with vulnerable and affected people will help improve the needs analysis and design more effective responses. Country Offices can use and adapt these tools to **regularly update the needs assessments** based on inputs and feedback from communities, and for field monitoring, programme and partner visits and reporting – for example, as part of the Harmonized Approach to Cash Transfers (HACT) quality assurance activities.

At a minimum, assessments should include several open-ended questions to collect vulnerable and affected people's views on their situation, priority concerns, needs and preferences around participation and community engagement, communication and information-sharing, feedback and complaints, etc. In many emergency situations, access to and engagement with vulnerable and affected people may be difficult. Country Offices should draw on **existing secondary data, evaluations, and needs assessments from previous crises and experiences from development programmes** to provide an initial assessment of AAP-related issues. Teams can also collect data on people's perspectives and priority needs, through social media tools like Rapid Pro and U-report.

When the situation allows, the needs assessment and HRP priorities should be **updated, cross-checked and validated** with feedback and inputs from vulnerable and affected people themselves. This can be done through community meetings and FGDs, KIIs with representatives of vulnerable groups, qualitative surveys or other methods, with attention to gender, age, disability and other diversity factors that may increase the vulnerability of different groups in the population.

c. Integrating AAP into humanitarian coordination mechanisms

Coordinating approaches to AAP in emergency responses is a key responsibility of UNICEF Country Offices. As a member of the Humanitarian Coordination Team and as cluster lead agency for Nutrition, WASH, Education and the Child Protection Area of Responsibility, **UNICEF has many opportunities to ensure AAP is an operational priority** for all response actors. Promoting the AAP Pillars in work with partners, clusters and with other agencies, and making **AAP a standing agenda** item for coordination meetings will help ensure affected people's priorities and needs drive the response. This will also help reduce gaps and duplication, and improve the quality, coverage and scope of responses.

Box 5: Collective services approach

Using a collective services approach to support Community Engagement and Accountability

The use of collective or joint services platforms for communication, community engagement and feedback is becoming more common in many crisis contexts.

A common service can improve the efficiency and effectiveness of responses by streamlining how feedback and other inputs from vulnerable and affected people are collected, and coordinate data aggregation, joint analysis and collective actions based to adjust programmes and responses based on that feedback. Country Offices may want to consider **engaging with implementing partners and at the inter-agency level** to explore the feasibility of a collective common services approaches.

d. Integrating AAP into humanitarian evaluations

Humanitarian responses should also integrate measures to assess AAP as part of evaluations. Integrating **AAP into the evaluation terms of reference and as part of the selection criteria** for evaluation teams can help UNICEF to learn and improve its responses. This is particularly the case for real-time evaluations which can help identify AAP issues that can be addressed during the response. Well-designed monitoring processes that systematically collect information on different AAP elements will provide a good evidence base to support the evaluation. Country Offices can use and adapt the evaluation questions checklist for development programmes for humanitarian responses (see Annex) or consider other alternatives such as using the AAP Pillars or the CHS's nine AAP commitments as an evaluation framework.

Tools and Resources

- UNICEF ESARO AAP HRP Checklist
- UNICEF ESARO AAP Emergency Preparedness and HRP Checklist
- UNICEF ESARO AAP Programme Evaluation Questions
- Communicating with Disaster Affected Communities (CDAC) Network, Collective Communication and Community Engagement in humanitarian action, How to Guide for leaders and responders, 2019 www.cdacnetwork.org/tools-and-resources/i/20190205105256-aoi9j
- IASC and REACH, Menu of Accountability to Affected Populations Related Questions for Multi-Sector Needs Assessments, 2018 https://interagencystandingcommittee.org/system/files/reach_iasc_aap_psea_task_team_menu_of_aap_questions_for_needs_assessments_june_2018.pdf

Integrating AAP into Programme Implementation (Development and Emergency)

During the implementation phase, the Country Office will **translate its proposed approach to AAP, expressed in the PSN and CPD, into action**. Country Offices should review and update and adapt their AAP strategies at the start of programme implementation to ensure the assumptions behind them are still valid. These strategies should be regularly monitored and adjusted as necessary as implementation proceeds.

Building on the different checklists for the planning cycle, Country Offices should **identify potential actions to address AAP barriers and bottlenecks** and leverage local capacities to design programmes that are able to address vulnerable people's and communities' needs and priorities these through timely, relevant, appropriate and effective actions. Table 2 provides some examples.

Table 2: Addressing AAP barriers and bottlenecks

Barrier	Consequence	Possible Actions
Cultural norms and gender roles mean men make most decisions on health issues at the family and community level.	Women and girls cannot exercise their right to participate in decisions that affect them.	Programmes incorporate gender responsiveness measures such as establishing women's committees to set project priorities and advise service providers, supporting women's decision-making autonomy within the household, and the engagement of men in maternal and child health.
Communication from service providers is one-way and only in the official language.	Minority, ethnic groups and persons with disabilities cannot exercise their rights to access information on issues that affect them.	Programmes consult with different vulnerable groups on their information needs and work with them to design, test and validate content and formats in their preferred languages, with associated feedback mechanisms.

Barrier	Consequence	Possible Actions
There is little experience in using feedback for more responsive service delivery and vulnerable people are not comfortable expressing feedback or complaints to duty bearers or service providers.	Vulnerable people are not able to exercise their rights to provide feedback or complaints on issues that affect them and to demand more responsive services from service providers.	Programmes establish multiple passive and proactive feedback channels to ensure safe and equitable access and provide technical assistance to service providers to pilot community scorecards as an integral part of programme monitoring and management practices.
Sensitive issues such as SEA are rarely reported due to fear of reprisal, stigma and discrimination.	Vulnerable and at-risk groups cannot exercise their rights to redress, protection and safe access to services.	Programmes regularly hold community meetings to explain the rights of vulnerable people, expected behaviours of service providers and establish safe and confidential reporting and investigation protocols linked to national protection mechanisms.
Different programmes have consistently created parallel structures for service delivery which are unsustainable.	Local capacities, knowledge and coping mechanisms are undermined by parallel programmes.	Programmes adopt a coordinated approach to working through local capacities, such as through existing women's groups or local water committees, and jointly develop a long-term capacity strengthening strategy with communities.

Country Office teams should draw on the expertise of AAP, C4D, PSEA, child protection and GBV specialists to ensure cross-cutting themes are adequately integrated into programme implementation and monitoring processes.

4.1 Programme Cooperation Agreements and other partnership arrangements

Country Offices will need to consider **how implementing partners will be supported and monitored to integrate AAP measures** in programme delivery. The process of selecting potential implementing partners and developing Programme Cooperation Agreements (PCAs) or other partnership arrangements is particularly important, as partners should work in ways that are consistent with UNICEF's rights-based approach and its AAP commitments for effective and accountable programmes. Partner selection criteria should consider partner commitment, capacity and experience applying AAP principles, alongside regular UNICEF assessment criteria, such as capacity to deliver services and assistance, and the strength of partners' financial and risk management systems.

Box 6: AAP and PCA template

Integrating AAP elements into the PCA template

The current PCA template does not specifically include a description of how partners will integrate AAP measures into programmes or activities.

Country Offices are encouraged to rename section 2.6 of the PCA template from "Other Considerations" to "Accountability to Affected People" or "Community Engagement and Accountability" and use this space to describe how the AAP Pillars will be addressed by the partner.

Partnership agreements should also outline the proposed **monitoring and reporting mechanisms** to assess how well AAP Pillars are integrated into programmes, and to track vulnerable people's views on the quality, timeliness, relevance and effectiveness of programmes, and their relationship with service providers. This might include, for example, the requirement to regularly monitor vulnerable people's satisfaction with the quality and effectiveness of services and assistance, using feedback mechanisms and other monitoring methods (including third-party monitoring). Partners should document and report on AAP issues and challenges, lessons learned and any proposed changes to activities based on changes in the context, and feedback and other data from vulnerable people.

a. Supporting localization

Local and national organizations such as civil society organizations, community-based organizations, faith-based groups, women-led organizations etc. should be **prioritized for PCAs whenever possible**, in line with UNICEF's Grand Bargain commitment to localization of technical assistance. In most cases, these organizations will have a good understanding of the context and situation, including who the most vulnerable groups are within the population. They may also have high levels of trust, and existing communication channels and mechanisms for community engagement and participation.

However, in some cases, local organizations' management systems and processes may be weaker and could require **additional support from UNICEF in order to deliver services effectively and accountably**. In the spirit of creating equitable partnerships and sustainable local capacities, the Country Office should consider incorporating means to build and strengthen local organizations' management capacities as part of any PCA. This may include measures to ensure that PCAs and Small-Scale Funding Agreements include clear mutual obligations around AAP (with responsibilities for partners and for UNICEF) in order to more equitably share the risks between the Country Office and partners.

Other measures, such as taking a more active role in joint monitoring, adapting AAP training and guidelines for partners, providing coaching and mentoring or other technical assistance to them, can both improve effectiveness of service delivery as well as build sustainable capacity.

Box 7: Communities as partners

Communities as partners

From an AAP perspective, Country Offices should also consider vulnerable people and communities not only as primary participants, but **as key partners for all programmes**. Even though the relationship with communities may not be formalized through a PCA, in many cases, people and communities will take on an active role in carrying out activities or managing some aspects of the programme resources.

In all cases, UNICEF has a responsibility to provide clear, understandable and transparent information to people and communities on what they can expect from UNICEF and other implementing partners, including the behaviours and conduct of staff, PSEA, safeguarding and confidentiality of personal data, and mechanisms to provide feedback, complaints or other inputs on programme design management and implementation, and to gain informed consent to participate in activities.

4.2 Monitoring and Reporting

Mainstreaming AAP into monitoring and reporting processes allows Country Offices to track programme quality and accountability and take corrective actions when required. Programme and work plans should describe **how AAP will be monitored, with corresponding indicators** to assess quality, effectiveness and accountability throughout the project lifecycle. In most cases, information from existing programme activities and monitoring exercises, such as field monitoring visits, PCAs, or the UNICEF SMS-based citizen engagement platform U-Report, can be adapted to provide evidence on the AAP Pillars and their contributing to programme outcomes.

a. AAP output and process indicators

Table 1 above provides some examples of possible outcome and output indicators aligned to the AAP Pillars. Country Offices and programme sections will need to define the most appropriate indicators for their programmes with an AAP perspective, and include more detailed indicators and monitoring plans as part of annual rolling workplans, etc.

Indicators from other cross-cutting programming areas, such as gender equity or community engagement can also be adapted and used to support AAP monitoring.

In general, all programmes should aim to establish and monitor output level indicators to **assess from the perspective of vulnerable people themselves** their perceptions and satisfaction with:

- The quality and effectiveness of services provided – such as access and inclusiveness, relevance, appropriateness, etc.
- The quality of the relationship with service providers – such as trust, transparency, communication, the ability to provide feedback.
- The outcome of programmes in terms of increased resilience, empowerment or reduced risks and vulnerabilities.

Programme teams will also need to **define process indicators** to determine how well UNICEF and partners are applying the AAP Pillars in programme implementation. Indicator examples could include monitoring of programmes and implementing partners:

- Provide accessible, understandable key information on programme objectives and activities to vulnerable people, their rights and entitlements and how to participate in and provide feedback on decisions that affect them.
- Establish safe, inclusive and accessible processes to support vulnerable people’s participation in programme management and decision-making processes (in line with quality criteria around accessibility, degree of participation, and programme phases).
- Establish functioning feedback, complaints and SEA reporting mechanisms (in line with quality criteria around safety and confidentiality, accessibility, appropriateness, etc.).
- Collect and respond to feedback and complaints within established timeframes.
- Track and analyse data on access and usage of participation, feedback and complaints mechanisms.
- Track and analyse data on how accountability measures have oriented decision-making.

b. Monitoring approaches and means of verification

The above AAP indicators can be **easily included into existing monitoring tools, processes and means of verification**, with attention to gender, age, diversity and inclusion. These could include:

- Feedback and complaints mechanisms (using both passive and pro-active channels);
- KIIs;
- Community consultation meetings;
- FDGs;
- Perception, satisfaction or knowledge, attitude and practices surveys;
- U-Report and other ICT-based survey data collection methods;
- Field monitoring (for example, as part of HACT quality assurance field visits, etc.);
- Third-party monitoring and verification.

Monitoring approaches should be **coordinated between sections and programmes and with implementing partners** to ensure coherency and consistency in the way communities are engaged and participate in monitoring activities, using common monitoring questions and indicators, and data collection and analysis tools. This will also facilitate joint analysis and ensure vulnerable people’s needs, priorities and concerns are being addressed effectively and holistically.

The draft AAP Monitoring Guidelines provide additional suggestions on indicators and means of verification to monitor AAP elements.

c. Data analysis and decision-making processes

As part of UNICEF’s commitment to evidence-based decision-making, feedback and monitoring data on AAP issues needs to be **systematically shared and integrated into management and decision-making** processes. This could be done through:

- Aggregating monitoring data from implementing partners and conducting a joint analysis to coordinate responses to any issues identified.
- Sharing findings with cross-sector teams and flagging issues that could affect the work of other programmes/sectors.
- Including AAP as a standing agenda item for County Management Team meetings and in relevant inter-agency coordination mechanisms.
- Participating and sharing information in multi-agency coordination platforms (including common services for feedback) to identify and address wider trends and patterns.

In most situations, it will be difficult to generate statistically representative and reliable data on AAP issues. However, **the qualitative data generated** through feedback mechanisms and other monitoring exercises can be invaluable to identify potential trends and patterns that may affect programme outputs and outcomes and support finding early solutions to issues.

AAP-related qualitative monitoring data needs to be cross-checked and triangulated against other monitoring data. For example, perceptions around satisfaction with the quality of a services could be cross-checked against other monitoring data such as access to and use of services in order to pinpoint specific issues, investigate further and make the necessary adjustments to activities.

When presenting data analysis, be clear about the **limitations around data collection**, including any issues around how the degree to which the most vulnerable groups are represented, and what could be done to improve data collection or address gaps in the data. Sex, age, disability and other diversity factors should be disaggregated in the analysis.

Whenever possible, communities themselves should be **engaged in cross-checking and validating monitoring data analysis**, and in finding solutions to issues identified. In all cases, Country Offices should work to “close the feedback loop” by informing people and communities how monitoring information and feedback has been used as part of management and decision-making process, and the corrective actions that have been taken – or not taken – as a result of this.

d. AAP in reporting

Documenting AAP issues in all levels of reporting helps Country Offices and partners to assess how well they are meeting AAP commitments. It is also an opportunity to **highlight good practices and lessons learned** – including mistakes – that can be used to promote continuous improvement within UNICEF and externally with partners and other stakeholders.

AAP can be integrated into all levels of reporting, from field monitoring reports, to section/sector reports, and donor reports. In particular, Country Offices should consider including a stand-alone section highlighting progress, gaps and challenges implementing AAP across all programmes in mid-year and end-of-year reviews and other reports. Similarly, Situation Reports for humanitarian responses should report trends and patterns around AAP issues in a response, including feedback from vulnerable people. The AAP Pillars can be a useful way to frame how to report on the enablers and obstacles to AAP, as well as any successes or areas for improvement.

e. AAP in programme evaluation

Most UNICEF evaluations use Organisation for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC) evaluation criteria around project and programme relevance, effectiveness, efficiency, coverage, impact and sustainability. The AAP Pillars and related AAP frameworks such as the CHS are **completely compatible with OECD/DAC criteria**, and offer a more precise means to assess how well programmes have generated meaningful results and protected and enhanced the rights of vulnerable people. Considering the recent UNICEF benchmarking exercise against the CHS, this may be an interesting option for Country Offices and sections (Box 3).

Regardless of what framework is used, AAP elements should be specifically referenced in evaluation terms of reference, with research questions aligned to the AAP Pillars. The selection process should include an assessment of the evaluation team's capacity and experience around AAP approaches, such as participatory evaluation methodologies.

Engaging vulnerable people in **defining evaluation criteria** and collecting and analysing their views and perceptions on the relevance, effectiveness and impact of humanitarian and development programmes should be a central component of any evaluation. Evaluation findings should be shared back with them and disseminated widely internally and with other stakeholders to strengthen the evidence base and lessons learned about how AAP contributes to enhancing results and rights for vulnerable people. This will allow UNICEF to test and validate the underlying ToC and assumptions behind the AAP Pillars, and refine and adjust its approach.

Tools and Resources

- UNICEF ESARO AAP Partner Selection Checklist
- UNICEF ESARO AAP PCA Checklist
- UNICEF ESARO Sample AAP Indicators and Monitoring Questions
- UNICEF draft AAP Monitoring Guidelines

Tools, Resources and Further Reading

Inter-Agency Standing Committee

IASC five Commitments on Accountability to Affected People/Populations (CAAPs) <https://interagencystandingcommittee.org/iasc-task-force-on-accountability-to-affected-people-closed>

IASC Revised AAP Commitments, 2017 (including Guidance Note and Resource List) <https://interagencystandingcommittee.org/accountability-affected-populations-including-protection-sexual-exploitation-and-abuse/documents-61>

IASC Grand Bargain commitments <https://interagencystandingcommittee.org/grand-bargain>

IASC and REACH, Menu of Accountability to Affected Populations Related Questions for Multi-Sector Needs Assessments, 2018 https://interagencystandingcommittee.org/system/files/reach_iasc_aap_psea_task_team_menu_of_aap_questions_for_needs_assessments_june_2018.pdf

Core Humanitarian Standard

Core Humanitarian Standard (CHS) Core Humanitarian Standard <https://corehumanitarianstandard.org/the-standard>

CHS Updated Guidance Notes and Indicators 2018 https://corehumanitarianstandard.org/files/files/Core_Humanitarian_Standard-Guidance_Notes_and_Indicators-2018.pdf

CHC Alliance support www.chsalliance.org/get-support/pseah/

UNICEF

UNICEF AAP Framework 2014

UNICEF AAP Handbook for UNICEF and Partners (forthcoming)

UNICEF's Core Commitments for Children (CCCs) in humanitarian action www.unicef.org/publications/index_21835.html

Revised CCCs which integrate AAP (forthcoming)

UNICEF AAP and PSEA resources page www.unicefinemergencies.com/downloads/eresource/accountability_to_affected_populations.html

UNICEF institutional strategy and action plan for scaling up AAP, May 2018

UNICEF AAP Monitoring Guidelines (draft, forthcoming)

UNICEF, Availability, Accessibility, Acceptability, Quality (AAAO) Framework for assessing services <https://gbvguidelines.org/en/documents/availability-accessibility-acceptability-and-quality-framework-a-tool-to-identify-potential-barriers-in-accessing-services-in-humanitarian-settings/> and the

UNICEF Guidelines for Integrating GBV Interventions in Humanitarian Action, Tip Sheet: Consulting with Women and Girls <https://gbvguidelines.org/en/documents/tip-sheet-consulting-with-women-and-girls/>

UNICEF, Guidance on Risk-Informed Programming 2018 www.unicef.org/media/57621/file

Protection from Sexual Exploitation and Abuse

IASC Plan for Accelerating PSEA in Humanitarian Response at Country-Level https://interagencystandingcommittee.org/system/files/iasc_plan_for_accelerating_psea_in_humanitarian_response.pdf

IASC PSEA-Global Standard Operating Procedures June 2016 <https://interagencystandingcommittee.org/principals/documents-public/psea-global-standard-operating-procedures-june-2016>

United Nations PSEA www.un.org/preventing-sexual-exploitation-and-abuse/

Other

Communicating with Disaster Affected Communities (CDAC) Network, Collective Communication and Community Engagement in humanitarian action, How to Guide for leaders and responders, 2019 www.cdacnetwork.org/tools-and-resources/i/20190205105256-aoi9j

AAP Checklists and Guidelines for Country Planning Cycle processes

1. SitAn AAP Checklist

The following guiding questions are aligned to UNICEF's AAP Pillars and can be used to ensure AAP elements are reflected in SitAn.

Not all questions need to be answered. However, the more detailed the answers, the more likely programmes will be able to define appropriate measures to meet and address UNICEF's AAP commitments.

The response to these questions should be evidence-based and aligned to the country context, priorities and relevance to the programmes or operations. It should also include sex, age, disability and diversity-related data and analysis to ensure the specific needs, priorities and preferences of vulnerable and marginalized groups are identified and reflected in the overall analysis.

AAP SitAn Checklist		
Guiding Questions	Current Status	Proposed Actions
Consultations with Vulnerable People and Communities		
How have communities been consulted and engaged in the SitAn processes, including validation of the results?		
Has the SitAn been shared and validated with communities?		
Are their views, perspectives and experiences accurately represented in the SitAn?		
Participation:		
What are the existing formal and informal mechanisms/platforms for people to participate in decisions that affect them?		
Are there any barriers or enablers to participation for certain groups in the population, such as children, women, people with disabilities or others?		
What are different groups' preferred channels to engage with aid providers and participate in decisions that affect them?		

SitAn AAP Checklist

Guiding Questions	Current Status	Proposed Actions
Communication and Information		
What are communities' trusted and preferred formal and informal channels to access information and communicate with service providers and duty bearers?		
Are there any barriers or enablers to access and use these channels for certain groups in the population, such as children, women, people with disabilities or others?		
What are communities' priority information needs and communication preferences?		
Feedback and complaints mechanisms		
What are the existing formal and informal channels for people to provide feedback or complaints to service providers and duty bearers?		
Are there any barriers or enablers to access and use these channels for certain groups in the population, such as children, women, people with disabilities or others?		
What are vulnerable people' preferences for providing feedback or complaints (including around sensitive issues like PSEA)?		
Protection from Sexual Exploitation and Abuse		
What are the existing formal and informal mechanisms for child protection, protection from sexual exploitation and abuse, gender-based violence and other harmful behaviours?		
Are there any barriers or enablers to access and use these channels for certain groups in the population, such as children, women, people with disabilities or others?		
What are vulnerable people's views and perspectives on the main risks and issues affecting them?		
Strengthening local capacity		
What existing knowledge, capacities and resources, including coping strategies, of vulnerable people and local actors could be leveraged to support programmes?		
Are there any barriers or enablers to capacity building efforts at the community level?		
What are vulnerable people's views and perspectives on local capacities, gaps and solutions to the problems they are facing?		

SitAn AAP Checklist

Guiding Questions	Current Status	Proposed Actions
Evidence-based advocacy and decision-making		
What formal and informal initiatives are in place to advocate for greater accountability of service providers, duty bearers and other decision-maker towards vulnerable people?		
Are there any barriers or enablers to advocacy and decision-making based on vulnerable people' needs and priorities?		
What are vulnerable people's views and perspectives on issues that require advocacy towards decision-makers?		
Coordination and partnerships		
What formal and informal mechanisms for coordination and partnerships are in place to advocate for greater accountability of institutional actors, duty bearers and other decision-maker towards vulnerable people?		
Are there any barriers or enablers to coordination for different stakeholder groups?		
What are vulnerable people views and perspectives on effective coordination and partnerships at the local level?		
Monitoring and Reporting		
What monitoring and reporting mechanisms will be used to regularly assess how well AAP measures are integrated into programmes?		

2. Barriers and Bottleneck Analysis AAP Checklist

The following guiding questions are aligned to UNICEF’s AAP Pillars and can be used to ensure that the SitAn and other planning processes map and identify barriers and bottlenecks to AAP in programmes.

Not all questions need to be answered. However, the more detailed the answers, the more likely programmes will be able to define appropriate measures to meet and address UNICEF’s AAP commitments.

The response to these questions should be evidence-based and aligned to the country context, priorities and relevance to the programmes or operations. It should also include sex, age, disability and diversity-related data and analysis to ensure the specific needs, priorities and preferences of vulnerable and marginalized groups are identified and reflected in the overall analysis.

AAP Checklist for Bottleneck Analysis		
Guiding Questions	Current Status	Proposed Actions
1. What are the specific vulnerabilities faced by different groups of the population (e.g. children, women, people with disabilities, displaced and stateless people, refugees)?		
2. What are the barriers and bottlenecks for these different groups to:		
a. Demand responsive, quality services and assistance that address their specific needs, priorities and preferences around delivery?		
b. Access and use services and assistance? (e.g. location, economic, bureaucratic processes, stigma and discrimination, etc.)?		
c. Access timely, relevant, culturally appropriate information around their rights and entitlements and access and availability of services or assistance?		
d. Participate in and make informed decisions around issues that affect them, including the design, implementation, monitoring and management of services and assistance?		
e. Communicate with service providers and duty bearers and provide feedback and input on the quality, effectiveness and accountability of services and assistance?		
f. Protection, including protection from sexual exploitation and abuse, violence against children, gender-based violence and other risks?		

Barriers and Bottleneck Analysis AAP Checklist

Guiding Questions	Current Status	Proposed Actions
3. What are the current opportunities and enablers to empower these different groups to exercise their rights and hold service providers and duty holders to account? Consider how these could be expanded or scaled-up to support quality and accountability in programmes and responses.		
a. Existing mechanisms to support participation and community engagement in programmes and service delivery;		
b. Trusted and preferred information sources and communication channels;		
c. Mechanisms to collect, analyse and act on feedback from users of services or communities.		
d. Social protection mechanisms, including any policy and legal frameworks and other measures to support protection from sexual exploitation and abuse, gender-based violence or violence against children.		
e. Initiatives to support empowerment of vulnerable groups, local capacity strengthening, and resilience.		
f. Platforms or initiatives to support evidence-based advocacy for children and other vulnerable groups, including SBCC;		
g. Coordination mechanisms around sector programmes or AAP issues		
4. What other existing knowledge, resources and capacities can be strengthened and leveraged to support addressing vulnerabilities and increasing resilience?		

3. PSN AAP Checklist

The following guiding questions are aligned to UNICEF’s AAP Pillars and can be used to ensure AAP elements are reflected in PSNs.

Not all questions need to be answered. However, the more detailed the answers, the more likely programmes will be able to define appropriate measures to meet and address UNICEF’s AAP commitments.

The response to these questions should be evidence-based and aligned to the country context, priorities and relevance to the programmes or operations. It should also include sex, age, disability and diversity-related data and analysis to ensure the specific needs, priorities and preferences of vulnerable and marginalized groups are identified and reflected in the overall analysis.

Please also incorporate AAP elements into the PSN Theory of Change (Section 2.2).

AAP Checklist for PSNs		
Guiding Questions	Current Status	Proposed Actions
Consultations with Vulnerable People and Communities		
How have communities consulted and engaged in the SitAn processes?		
Has the PSN been shared and validated with communities?		
Are the views, perspectives and experiences of different vulnerable groups accurately represented in the PSN?		
Barriers and Bottlenecks		
What are the main barriers and bottlenecks facing the most vulnerable groups in relation to access, availability and demand for quality, responsive programmes and services?		
What are the main barriers and bottlenecks facing the most vulnerable groups in relation to exercising their rights? <i>Consider their rights to participate in decisions that affect them, access information, safe and equitable access to services and protection, communicate and provide feedback, and hold duty bearers and service providers to account, etc.</i>		
What are the enablers and potential opportunities to enhance quality, effectiveness, equity and accountability in programmes and services for vulnerable people?		
Participation		
How have/will vulnerable people participate in the design, planning, implementation, management and decision-making processes in programmes and services?		

PSN AAP Checklist

Guiding Questions	Current Status	Proposed Actions
What are the proposed strategies and measures to ensure safe, equitable and inclusive participation and engagement of different vulnerable groups of people and communities throughout all phases of programme implementation?		
Communication and Information		
What are the existing trusted and preferred formal and informal channels for people to access information and communicate with institutional actors and duty bearers?		
What are the proposed strategies and measures to ensure communication and information sharing is relevant, appropriate, accessible and understandable for all vulnerable groups in the population?		
Feedback and complaints mechanisms		
What are the existing formal and informal channels for people to provide feedback or complaints to institutional actors and duty bearers?		
What are the proposed strategies and measures to ensure vulnerable people have safe, accessible, and inclusive opportunities to provide feedback, opinions and complaints on the quality and effectiveness of assistance and accountability of aid providers?		
How will feedback and inputs from vulnerable people be integrated into monitoring and management decision-making processes? How will follow-up actions be reported back to people and communities?		
Protection from Sexual Exploitation and Abuse		
What are the existing formal and informal mechanisms for child protection, protection from sexual exploitation and abuse, gender-based violence and other harmful behaviours/actions?		
<p>What are the proposed strategies and measures to identify, prevent and respond to protection risks, sexual exploitation and abuse, gender-based violence and other harmful, unethical or illegal practices?</p> <p><i>Describe how these are aligned to international commitments and recognized good practices around PSEA.</i></p>		

PSN AAP Checklist

Guiding Questions	Current Status	Proposed Actions
Strengthening local capacity		
What are the existing knowledge, capacities, resources and coping mechanisms of vulnerable people and local actors? How will these be leveraged and integrated into programmes and services?		
What are the proposed strategies and measures to strengthen local capacities, including strategies to build resilience and empower vulnerable people?		
Evidence-based advocacy and decision-making		
What are the proposed strategies and measures to evidence-based advocacy and decision-making based on the priorities and concerns of vulnerable people?		
What formal and informal initiatives are in place to advocate for greater accountability of institutional actors, duty bearers and other decision-maker towards vulnerable people?		
Coordination and partnerships		
What formal and informal mechanisms for coordination and partnerships are in place to address the needs and priorities of vulnerable groups?		
<p>What are the proposed strategies and mechanisms to support effective coordination and partnership, including engagement and participation of local actors, to reduce gaps and duplication, enhance quality and accountability and maximize outcomes for vulnerable people?</p> <p><i>Describe internal coordination mechanisms to ensure consistency and coherency in approaches to AAP between programmes/sectors/sections and with implementing partners.</i></p>		
Monitoring and Reporting		
How will the effectiveness of AAP measures be monitored and reported?		

4. CPD AAP Checklist

The following guiding questions are aligned to UNICEF’s AAP Pillars and can be used to ensure AAP elements are reflected in CPDs.

Not all questions need to be answered. However, the more detailed the answers, the more likely Country Offices will be able to demonstrate how the country programme contributes to meeting UNICEF’s AAP commitments.

It can also support resource mobilization efforts to ensure AAP measures are supported by donors and partners. It should also include sex, age, disability and diversity-related data and analysis to ensure the specific needs, priorities and preferences of vulnerable and marginalized groups are identified and reflected in the CPD.

Articulating AAP in the Country Programme	
How have vulnerable people been consulted and engaged in CPD process? What are their own views and perspectives on priority concerns, needs and priorities?	
What strategies and approaches to promote participation, community engagement and two-way communication and information sharing throughout the Country Programme cycle	
What mechanisms will be used to collect, analyse, act on feedback and report back to communities on actions taken as a result of their feedback?	
What measures will be taken to identify, prevent and address risks , including protection risks and gender-based violence and sexual exploitation and abuse?	
What strategies and approaches will be used to strengthening institutional systems, local communities’ capacities and resilience , and support greater accountability towards vulnerable people?	
What coordination mechanisms will be used to ensure programmes and services respond to vulnerable people’ diverse needs, priorities in a consistent and coherent way and enhance accountability to them?	

CPD AAP Checklist

Examples:

The following examples illustrate how incorporating a few additional lines of text can help strengthen references to AAP in the different sections of the CPD. These examples are from actual CPDs from Country Offices in Eastern and Southern Africa, with suggested added AAP elements highlighted in blue.

Programme Priorities section

“Since 2009, much progress has been made in strengthening the basic education system. Improvement in key education indicators, however, conceals wide inequalities in enrolment and learning outcomes related to gender roles, household socioeconomic status and geographic factors. *However, a survey of families reached through UNICEF supported education programmes showed that the main barriers to access to education are the costs and fees, distance to schools, and persistent cultural attitudes towards girls attending schools. However, schools that included measures for children and parents to participate in school management committees showed significant increases in enrolment and retention of girls.*”

Programme and Risk Management section

“UNICEF will implement a risk-management strategy to mitigate high risks to programme results, such as insecure access to populations in need, and limited capacity and accountability of partners. *This includes ensuring all programmes and partners have effective feedback mechanisms with targeted populations as part of programme monitoring, and processes in place to use this monitoring data to inform management and decision-making processes. At the inter-agency level, UNICEF will continue to support inter-governmental and inter-agency platforms for information sharing to ensure wider risks and issues identified through feedback and other monitoring data are addressed.*”

Monitoring and Evaluation section

“CPD results and indicators are aligned to national and regional monitoring and evaluation frameworks and will be monitored through mid-year and annual reviews with government and other partners. *Monitoring will include measures to ensure feedback and inputs from vulnerable and at-risk groups on their satisfaction with programme quality, effectiveness and accountability* are systematically collected and analysed, with attention to equity and gender, building these issues into data-collection systems to facilitate and influence programme design and implementation.

5. Sample AAP Indicators and Monitoring Questions

The following sample indicators and monitoring questions can be used to ensure AAP Pillars are considered and integrated into programme monitoring.

Not all indicators will be relevant or appropriate to the country context. However, teams are encouraged to reflect on how all the AAP Pillars can be monitored throughout the programme, including monitoring programme AAP outputs and processes.

County Office teams are also encouraged to draw on the draft Guidance for Monitoring AAP, and related monitoring guidance for cross-cutting themes such as:

- Child Protection/Children's Participation,
- Gender Equity, Girl's and Women's Empowerment
- PSEA Results Monitoring Framework
- C4D and SBCC
- Community Engagement
- Resilience
- COVID-19

Sample AAP Indicators and Monitoring Questions

Sample AAP Indicators and means of verification	
<p>The following sample indicators focus on vulnerable people’s perceptions and experiences around accessing and using services and assistance and their relationship with service providers. These are aligned to UNICEF’s AAP Pillars and the Core Humanitarian Standard (CHS). These can be adapted and applied in both humanitarian and development contexts.</p>	
Indicators	Possible Means of Verification
<ul style="list-style-type: none"> • % of vulnerable people who consider that programmes take account of their specific needs 	<ul style="list-style-type: none"> • Partner reporting • Field monitoring (including HACT) • FGDs (with specific AAP questions) • Key informant interviews • Perception and satisfaction surveys • Household surveys (such as SMART or MCIS, with specific AAP questions) • Data from feedback and complaints mechanisms (such as hotlines) • Post-distribution or service centre monitoring surveys • Rapid-Pro and U-report data • Community scorecards or other participatory monitoring approaches
<ul style="list-style-type: none"> • % of vulnerable people who consider that access to services and assistance is fair and equitable 	
<ul style="list-style-type: none"> • % of vulnerable people who consider they are able to influence programme decision-making 	
<ul style="list-style-type: none"> • % of vulnerable people who consider they have adequate access to information on issues that concern them 	
<ul style="list-style-type: none"> • % of vulnerable people who consider that their feedback or complaints will be/have been listened to and acted on 	
<ul style="list-style-type: none"> • % of vulnerable people who consider they have been treated with respect and dignity by aid providers 	
<ul style="list-style-type: none"> • % vulnerable people satisfied with the quality of services and assistance received 	
<ul style="list-style-type: none"> • % vulnerable people who consider themselves safer as a result of programmes 	
<ul style="list-style-type: none"> • % vulnerable people who consider they are more resilient as a result of programmes 	
<ul style="list-style-type: none"> • % vulnerable people who consider services and assistance is well-coordinated 	
<ul style="list-style-type: none"> • % vulnerable people who consider advocacy efforts take into account their priority issues 	

Sample AAP Indicators and Monitoring Questions

Sample AAP Monitoring Questions	
1.	What are your main issues or concerns right now for your family/community?
2.	Do you know how and where to access services and assistance?
3.	Do you know your rights and entitlements regarding services and assistance?
4.	Do you know how to provide feedback or a complaint about the quality of services or the behaviour of staff?
5.	Are you satisfied with the timeliness, relevance, appropriateness and quality of the services or assistance available to you?
6.	Are you satisfied that you receive the information you need in a timely, appropriate and understandable manner, using your preferred language and communication channels?
7.	Are you satisfied with your opportunities to participate in and influence decisions around the services and assistance available to you?
8.	Are you satisfied with your opportunities to express your opinions on the quality and effectiveness of services and assistance, and raise any issues or concerns to service providers?
9.	Are you satisfied that services and assistance are provided fairly and accessible to the most vulnerable people in the community?
10.	Are you satisfied that service providers listen to your concerns and treat you with dignity and respect?
11.	Are you satisfied that the services and assistance available to you help you to be more resilient and self-reliant?
12.	Are you satisfied that service providers are taking actions to prevent risks and protect you from harm?
13.	Are you satisfied that service providers are coordinating their work and using resources effectively?
14.	What are your suggestions to make services and assistance more effective at your needs and those of the community?

6. Partner Selection AAP Checklist

The following guiding questions are aligned to UNICEF’s AAP Pillars and can be used to ensure AAP elements are reflected in partner selection.

Not all questions need to be answered. However, the more detailed the answers, the more likely Country Offices will be able to demonstrate how partner selection contributes to meeting UNICEF’s AAP commitments.

AAP checklist for partner selection criteria	
The following guiding questions could be used as part of the criteria for selecting implementing partners or other partnerships.	
Accountability Commitments	
Does the partner adhere to the Core Humanitarian Standard or other technical quality and accountability standards (Sphere, INEE, etc.)?	
Has the partner undergone any verification or certification audits against these standards?	
Does the partner participate in any accountability working groups or for a?	
Participation	
Does the partner have relevant policies and practical experience in community engagement and participatory approaches? How can this be applied in this context or programme?	
Communication and Information	
Does the partner have relevant policies and practical using two-way communication and information-sharing approaches? How can this be applied in this context or programme?	
Feedback and complaints mechanisms	
Does the partner relevant policies and practical experience in establishing and using feedback and complaints mechanisms to inform decision-making?	
Protection from Sexual Exploitation and Abuse	
Does the partner have relevant policies and practical experience in establishing and using mechanisms for protection from sexual exploitation and abuse and other protection risks, as per the PSEA IP Assessment process?	
Strengthening local capacity	
Does the partner have relevant policies and practical experience in supporting building sustainable capacity and resilience of vulnerable people, communities and local actors?	
Evidence-based advocacy and decision-making	
Does the partner have e relevant policies and practical experience supporting evidence-based advocacy and decision-making based on the views, perspectives and priorities of vulnerable people?	
Coordination and partnership	
Does the partner have relevant policies and practical experience working with local and national partners and coordination mechanisms, or other coordination mechanisms, such as clusters?	

7. PCA AAP Checklist

The following guiding questions are aligned to UNICEF’s AAP Pillars and can be used to ensure AAP elements are reflected in PCAs.

Not all questions need to be answered. However, the more detailed the answers, the more likely Country Offices will be able to demonstrate how PCAs contributes to meeting UNICEF’s AAP commitments.

AAP Checklist for PCAs	
When completing a PCA, partners should use section 2.6 of the PCA template to describe how the AAP Pillars will be integrated into their working approaches. Country Offices are encouraged to rename section 2.6 from “Other Considerations” to “Accountability to Affected People” or “Community Engagement and Accountability”	
Participation	
Describe proposed measures to promote safe, appropriate, equitable and inclusive opportunities for vulnerable people and communities to participate in the design, implementation, monitoring and management of project activities?	
Communication and information	
Describe proposed measures to measures to promote safe, appropriate, equitable and inclusive access to information, including people’s rights and entitlements and how to exercise them, and appropriate two-way communications using their preferred language, channels and trusted information sources?	
Feedback and complaints mechanisms	
Describe proposed measures to integrate safe, appropriate, equitable and inclusive access to feedback and complaints mechanisms, including how feedback and other inputs will be used to inform decision-making processes, and how the partner will “close the feedback loop” by reporting back to communities.	
Protection from Sexual Exploitation and Abuse	
Describe proposed measures to assess, identify, prevent and respond to protection risks and sexual exploitation and abuse, and ensure safe, appropriate, equitable and inclusive mechanisms are in place to support survivors, prevent SEA and ensure accountability	
Strengthening local capacity	
Describe proposed measures to support localization and strengthen local communities’ capacities and resilience, including any measures to strengthen their capacity to demand quality services and hold duty bearer and service providers accountable.	

PCA AAP Checklist

Evidence-based advocacy and decision-making	
Describe proposed measures to advocate with and on behalf of vulnerable people and inform decision-making processes based on the views and perspectives of vulnerable people themselves.	
Coordination and partnership	
Describe proposed measures to ensure effective coordination with other actors at the community, district or national level, such as participation in coordination mechanisms, information-sharing or joint planning, monitoring or other activities.	
Monitoring and Reporting	
Describe the proposed mechanisms to regularly monitor and report on how well AAP measures are integrated into programmes?	

8. Programme Evaluation AAP Questions

The following guiding questions can be used to ensure AAP Pillars are considered and integrated into programme evaluations.

Not all questions need to be answered. However, the more detailed the description of AAP Pillars in the evaluation terms of reference and research question, the more likely programmes will be able to demonstrate how they have contributed to generating meaningful results and enhance the rights of vulnerable people, based on their own experiences and perceptions. Evaluations should also include sex, age, disability and diversity-related data and analysis to evaluate if the specific needs, priorities and preferences of vulnerable and marginalized groups have been identified and addressed through programmes.

Incorporating AAP into evaluations is also a means to show how programmes are meeting UNICEF's AAP commitments to vulnerable people and increase knowledge and evidence on how AAP supports more effective and accountable programming.

AAP Questions for Programme Evaluations	
The following questions could be included as part of the evaluation terms of references to ensure AAP elements are assessed and evaluated.	
OECD/DAC Criteria	AAP Sample Questions
Relevance:	<ul style="list-style-type: none"> • How were vulnerable people engaged and participate in defining programme priorities and objectives? • Were programmes adapted or adjusted based on feedback and inputs from vulnerable people? • Did community engagement and participation contribute to more relevant interventions? How? • What are vulnerable people' own perceptions on the relevance of interventions?
Effectiveness:	<ul style="list-style-type: none"> • Were vulnerable people able to participate in and influence decision-making processes? • Did vulnerable people participate directly in the design, implementation, monitoring and managing of programmes? • Did community engagement and participation contribute to more effective interventions? How? • What are vulnerable people' own perceptions on the effectiveness of interventions?

Programme Evaluation AAP Questions

OECD/DAC Criteria	AAP Sample Questions
Efficiency:	<ul style="list-style-type: none"> • Were vulnerable people and local actors' own knowledge, capacities and resources identified, used and strengthened to support programme interventions? • Were information and resources shared and coordinated with other actors to avoid duplication and gaps? • What are vulnerable people's own perceptions on the efficiency of interventions?
Coverage:	<ul style="list-style-type: none"> • Were vulnerable people engaged in defining programme selection criteria for access to services and assistance? Were gender, age, disability and women, children and other diversity factors systematically considered and addressed? • Were services and assistance accessible and inclusive to the most vulnerable groups in the population? • What advocacy was done to address gaps or concerns from vulnerable people on the quality and coverage of services and assistance? • What are vulnerable people's own perceptions on the quality and coverage of interventions?
Impact:	<ul style="list-style-type: none"> • Did programmes incorporate measures to strengthen vulnerable people and local actors' knowledge, capacities, resilience and preparedness and reduce their vulnerability and risks? • Did programmes incorporate measures to empower vulnerable people and increase their ability to hold duty bearers to account? • What are vulnerable people' own perceptions on the impact of interventions?
Sustainability:	<ul style="list-style-type: none"> • Did programmes include measures to strengthen partners and institutions capacities and systems to promote accountability towards vulnerable people? • Has learning been shared and disseminated with all stakeholders, including vulnerable people, to promote and continuously improve AAP approaches? • What are vulnerable people' own perceptions on the impact of interventions?

9. Emergency Preparedness and HRP AAP Checklist

The following guiding questions are aligned to UNICEF’s AAP Pillars and can be used to ensure AAP elements are reflected in **Emergency Preparedness Plans and Humanitarian Response Plans**.

Not all questions need to be answered. However, the more detailed the answers, the more likely emergency preparedness plans and responses will be able to define appropriate measures to meet and address UNICEF’s AAP commitments.

The response to these questions should be evidence-based and aligned to the country context, priorities and relevance to the programmes or operations. It should also include sex, age, disability and diversity-related data and analysis to ensure the specific needs, priorities and preferences of vulnerable and marginalized groups are identified and reflected in the overall analysis and plans.

AAP Checklist for EPP and HRPs	
Consultations with Vulnerable People and Communities	
How have communities consulted and engaged in the EPP and/or HRP processes?	
Are their views, perspectives and experiences accurately represented in EPP and/or HRP?	
Barriers and Bottlenecks	
<ul style="list-style-type: none"> • What are the main barriers and bottlenecks facing the most vulnerable and affected groups in relation to access, availability and demand for quality, responsive programmes and services? • Will the crisis or emergency increase these barriers and bottleneck? • How can this be mitigated or addressed? 	
<ul style="list-style-type: none"> • What are the main barriers and bottlenecks facing the most vulnerable groups in relation to exercising their rights? • Will the crisis or emergency increase these barriers and bottleneck? • How can this be mitigated or addressed? <p><i>Consider their rights to participate in decisions that affect them, access information, safe and equitable access to services and protection, communicate and provide feedback, and hold duty bearers and service providers to account, etc.</i></p>	
<ul style="list-style-type: none"> • What are the enablers and potential opportunities to enhance quality, effectiveness, equity and accountability in programmes and services for vulnerable people? • How will the crisis or emergency impact on these capacities? • How can this be mitigated or addressed? 	

Emergency Preparedness and HRP AAP Checklist

Participation	
<ul style="list-style-type: none"> • How have/will vulnerable people participate in defining risks, vulnerabilities and preparedness or response priorities in the EPP or HRP process? • How have/will vulnerable people participate in the design, planning, implementation, management and decision-making processes in programmes and services? • What are the proposed strategies and measures to ensure safe, equitable and inclusive participation and engagement of people and communities throughout all phases of the response? 	
Communication and Information	
<ul style="list-style-type: none"> • What are the existing trusted and preferred formal and informal channels for people to access information and communicate with institutional actors and duty bearers? • What are the proposed strategies and measures to ensure communication and information sharing is relevant, appropriate, accessible and understandable for all vulnerable groups in the population? 	
Feedback and complaints mechanisms	
<ul style="list-style-type: none"> • What are the existing formal and informal channels for people to provide feedback or complaints to institutional actors and duty bearers? • What are the proposed strategies and measures to ensure vulnerable people have safe, accessible, and inclusive opportunities to provide feedback, opinions and complaints on the quality and effectiveness of assistance and accountability of aid providers? • How will feedback and inputs from vulnerable people be integrated into monitoring and management decision-making processes? How will follow-up actions be reported back to people and communities? 	
Protection from Sexual Exploitation and Abuse	
<ul style="list-style-type: none"> • What are the existing formal and informal mechanisms for child protection, protection from sexual exploitation and abuse, gender-based violence and other harmful behaviours/actions? • What are the proposed strategies and measures to identify, prevent and respond to protection risks, including sexual exploitation and abuse, gender-based violence and other harmful, unethical or illegal practices? <p><i>Describe how these are aligned to international commitments and recognized good practices around PSEA.</i></p>	

Emergency Preparedness and HRP AAP Checklist

Strengthening local capacity	
<ul style="list-style-type: none"> • What are the existing knowledge, capacities, resources and coping mechanisms of vulnerable people and local actors? • How will these be leveraged and integrated into preparedness and response plans? • What are the proposed strategies and measures to strengthen local capacities, including strategies to build resilience and empower vulnerable people? 	
Evidence-based advocacy and decision-making	
<ul style="list-style-type: none"> • What formal and informal initiatives are in place to advocate for greater accountability of institutional actors, duty bearers and other decision-maker towards vulnerable people? • What are the proposed strategies and measures to evidence-based advocacy and decision-making based on the priorities and concerns of vulnerable people? 	
Coordination and partnerships	
<ul style="list-style-type: none"> • What formal and informal mechanisms for coordination and partnerships are in place to address the needs and priorities of vulnerable people? • What are the proposed strategies and mechanisms to support effective coordination and partnership, including engagement and participation of local actors, to reduce gaps and duplication, enhance quality and accountability and maximize outcomes for vulnerable people? <p><i>Describe internal coordination mechanisms to ensure consistency and coherency in approaches to AAP between programmes/sectors/sections and with implementing partners.</i></p>	
Monitoring and Reporting	
<ul style="list-style-type: none"> • How will the effectiveness of AAP measures be monitored and reported? • How will lessons learned be documented and shared to adapt and improve AAP approaches? 	

10. Humanitarian Needs Assessment AAP Checklist

The following guiding questions are aligned to UNICEF’s AAP Pillars and can be used to ensure AAP elements are reflected in humanitarian needs assessments. This will help ensure that the views and perspectives of vulnerable and affected people are reflected in the Humanitarian Needs Overview, HRPs and related sector or cluster plans.

Not all questions need to be answered. However, the more detailed the answers, the more likely needs assessments will be able to identify and validate the experiences, concerns and priority needs as expressed by vulnerable and affected people and communities themselves, and cross-check this against other needs assessment data to ensure a more comprehensive and holistic response.

Country teams are encouraged to review the IASC/REACH Menu of Accountability to Affected Populations Related Questions for Multi-Sector Needs Assessments, 2018 and advocate with partners and humanitarian coordination mechanisms for a coherent and consistent approach to how vulnerable and affected people are engaged and participate in needs assessments and response planning. Needs assessments should also include sex, age, disability and diversity-related data and analysis to ensure the specific needs, priorities and preferences of vulnerable and marginalized groups are identified and reflected in the overall analysis.

AAP Checklist for Needs Assessments	
1. What are the specific vulnerabilities faced by different groups of the vulnerable population (e.g. children, women, people with disabilities, displaced and stateless people, refugees)?	
2. What are the priority concerns and needs of vulnerable people? Are these priorities different for different groups, such as children, youth, women, people with disabilities, etc.?	
3. What are the protection and risks facing different groups within the vulnerable population, such as girls and women?	
4. What are vulnerable people’ preferred and trusted communication channels and information sources?	
5. What are vulnerable people’s preferences for participation in programmes and engagement with service providers?	
6. Are there any barriers for vulnerable people around access and availability to services and assistance?	
a. Access and use services and assistance? (e.g. location, economic, bureaucratic processes, stigma and discrimination, etc.)?	
b. Access timely, relevant, culturally appropriate information around their rights and entitlements and access and availability of services or assistance?	
c. Participate in and make informed decisions around issues that affect them, including the design, implementation, monitoring and management of services and assistance?	

Humanitarian Needs Assessment AAP Checklist

d. Communicate with service providers and duty bearers and provide feedback and input on the quality, effectiveness and accountability of services and assistance?	
e. Protection, including protection from sexual exploitation and abuse, violence against children, gender-based violence and other risks?	
7. What are existing local capacities, knowledge and resources and coping strategies that vulnerable people can use to address their vulnerabilities and risks?	
a. Existing mechanisms to support participation and community engagement in programmes and service delivery;	
b. Trusted and preferred information sources and communication channels;	
c. Mechanisms to collect, analyse and act on feedback from users of services or communities.	
d. Social protection mechanisms, including any policy and legal frameworks or other measures to support protection from sexual exploitation and abuse, gender-based violence or violence against children.	
e. Initiatives to support empowerment of vulnerable groups, local capacity strengthening, and resilience.	
f. Platforms or initiatives to support evidence-based advocacy for children and other vulnerable groups, including SBCC.	
g. Coordination mechanisms around sector programmes or AAP issues.	
8. What other existing knowledge, resources and capacities can be strengthened and leveraged to support addressing vulnerabilities and increasing resilience?	



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