

ACCOUNTABILITY AND TRANSPARENCY PLAN OF ACTION

Implementation report: Q3 2014

Improvement	Action point / deliverable	Action point / progress summary	Completion rate, %	Due date
1. Cross-Cutting improvements applicable to all Areas of Activity				
1.1 Cross-cutting/Accountability principle 1: Setting expectations				
1.1.1 Greater consistent internal understanding of IFRC policies procedures <i>Area for improvement: Ensure greater consistency in the internal understanding and application of IFRC policies and procedures.</i>	Action point 1: Standardized induction programme for new IFRC personnel	Work has been started: new elements on the Learning Platform welcome page launched in October.	20%	Q4 2014
	Action point 2: Implementation of comprehensive management refresher course	The timeframe for this Action point is expected to be reviewed (initial deadline - Q4 2014)	0%	Q4 2014
	Action point 3: Introduction of compliance obligations in IFRC Job Descriptions and Performance Evaluations	Not started yet	0%	Q4 2014
1.1.2 Adoption of a disclosure policy <i>Area for improvement: Address a policy gap on information disclosure and a lack of clarity among stakeholders over what is disclosed and why. The need to increase information sharing with stakeholders while protecting the interests of the organization.</i>	Action point: Adopted Transparency/Disclosure Policy	A first draft of the policy has been developed, which as per best practises, sets out clearer expectations with stakeholders in terms of the IFRC approach to information disclosure, a listing of what information is available publicly and a listing of the grounds for which there may be disclosure restrictions. This draft is currently be consulted internally, will be shared with the Audit and Risk Committee this November and circulated as necessary to interested stakeholders for feedback. The implementation of the draft and corresponding internal SOPs are being developed.	60%	Q3 2014
1.1.3 Documented decision making <i>Area for improvement: Heightened consistency in regards to documenting decisions which necessitate the sign off of the Secretary General.</i>	Action point: Implemented Secretary General decision paper procedure	A new procedure on Decision Papers was finalized and put in practice as of 30 June 2014. This procedure defines when a specific decision paper is required for signature of the Secretary General, and proscribes the content and preparation of the document. The aim is to assist the Secretary General to make informed decisions based on proper analysis and risk evaluations, and to document them for the record and for accountability and institutional knowledge purposes.	100%	Q3 2014
1.1.4 Strengthened Fraud and Corruption Prevention and Control Policy <i>Area for improvement: Continued strengthening of IFRC fraud and corruption prevention through an expanded applicable definition of "fraud and corruption" and continued training and awareness-raising.</i>	Action point 1: Amended IFRC Fraud and Corruption Prevention and Control Policy	Two training modules on Fraud and Corruption prevention and control are being developed for the e-learning platform. These should be available to all Federation Staff and National Societies by the end of Q3 2015. In the meantime Two lectures on Fraud and Corruption prevention have been developed and posted on the IFRC e-learning platform.	25%	Q4 2015
	Action point 2: Roll out of the agreed dissemination plan around the policy, including a complimentary key messages document			
	Action point 3: Review of the level of staff and management understanding and compliance with the IFRC Fraud and Corruption Prevention and Control Policy	The level of staff and management understanding and compliance with the IFRC Fraud and Corruption and control policy is being reviewed, tested and reported upon during internal audit missions. However, the coverage will be drastically increased following the development and rollout of the F&C prevention interactive training module which will be made mandatory for all IFRC staff	25%	Q4 2015

	Action point 4. Full integration of the Fraud and Corruption Prevention and Control Policy in external party agreements is ensured	New templates have been developed and are being rolled out in a new IFRC contract template library.	75%	
1.2 Cross-cutting/Accountability principle 2: Information disclosure				
1.2.1 External communications on IFRC systems and working modalities <i>Area for improvement: Communicating effectively about the IFRC; its nature, functions, activities and working modalities to address varying degrees of stakeholder understanding.</i>	Action point 1: Update of the brochure entitled The Way We Finance	Completed	100%	Q4 2015
	Action point 2: Brochure explaining IFRC legal nature and structure	A draft brochure has been developed and is being internal consulted.	60%	Q4 2015
	Action point 3: Brochure explaining IFRC approach to monitoring, evaluation and reporting	Not started yet	0%	Q4 2015
	Action point 4: Brochure explaining the accountability framework and systems for each area of activity	Not started yet	0%	Q4 2015
	Action point 5: A page on www.ifrc.org that includes accountability documents and information by activity area	Completed	100%	Q4 2015
1.2.2 Presentation of financial results <i>Area for improvement: Clarified consolidated financial statement presentation</i>	Action point: Updated format of Financial statements' presentation	Revised format submitted to Finance Commission for endorsement. Revised format 2013 comparative figures under review. Sign off by external auditors of revised format and comparative figures anticipated by end November 2014. Updated format anticipated for use for 2014 financial statements	33%	Q2 2015
1.3 Cross-cutting/Accountability principle 3: Feedback mechanisms				
1.3.1 Enhanced protection of whistle-blowers <i>Area for improvement: Continue to ensure a perceived safe environment for reporting of breaches of the IFRC Code of Conduct</i>	Action point: Adopted complementary whistle-blower protection policy	Not started yet. Continuing to use the comprehensive provisions found in Staff Code of Conduct and Staff Regulations. Due to conflicting priorities and the existence of strong protections already in place a revised timescale has been set for Q1 2015.	0%	Q4 2014
1.3.2 Expansion of confidential call line <i>Area for improvement: Expansion and increased awareness of the IFRC's SafeCall system to confidentially report breaches of the IFRC's Code of Conduct</i>	Action point 1. SafeCall system is expanded to cover vendors: the call number is included in IFRC template agreements and offer documents	IFRC contract template will be amended to include the relevant information. The action will be taken in Q4 2014.	0%	Q4 2014
	Action point 2. SafeCall system dissemination package is provided to each IFRC office	Information on the SafeCall system is circulated to all Geneva-based staff HR Zone Managers.	50%	Q4 2014
1.3.3 Review of the IFRC Internal Audit Charter and the independence of IFRC investigations	Action point 1. IFRC procedures regarding the independence of the internal audit are reviewed; IFRC Internal Audit Charter is reviewed	1. The internal audit charter is currently being revised taking into consideration the Sida (PwC) report as well as the PwC external quality review recommendations. A revised draft will be discussed with the Audit and Risk Committee in November 2014 for comments. 2. The governance Constitutional Review Working Group is reviewing the IFRC Constitution including how to strengthen the IFRC system in regards to handling matters of integrity, as well as compliance and accountability. Early findings to be presented to the Governing Board this November.	75%	Q4 2014

<p><i>Area for improvement</i> . Need for the regular review of the independence of the IFRC investigative services and their adequate resourcing.</p>	<p>Action point 2. A full-time compliance officer post to focalizing the reporting, recording, conduct and coordination of investigations regarding financial fraud and corruption is established</p>	<p>The senior management team of the IFRC has agreed to establish dedicated resources for the establishment of fraud investigation function. In October an external review by PwC Geneva was commissioned to design a formal IFRC operating procedures for reporting and investigating allegations of fraud and corruption. The review will recommend the specific tasks for this function and how to best ensure its independence. In addition to the coordination of centralized investigations, this function will provide training and raise awareness in the Secretariat and National Societies in the area of Fraud and Corruption Prevention and control.</p>	<p>30%</p>	<p>Q4 2014</p>
<p>1.4 Cross-cutting/Accountability principle 4: Learning and improvement</p>				
<p>1.4.1 Implementation of lessons learned <i>Area of improvement</i> : Continue to grow the IFRC culture of implementation of lessons learned</p>	<p>Action point: Standard operating procedure on evaluations</p>	<p>Initial discussions will take place at the Global PMER meeting in mid-November. It is hoped that a draft Evaluation Standard Operating Procedures can be created by end 2014/first quarter 2015.</p>	<p>0%</p>	<p>Q4 2014</p>
<p>1.4.2 Risk management culture <i>Area of improvement</i> : Continue to develop the IFRC risk management culture</p>	<p>Action point 1. Dedicated risk management personnel is assigned as necessary</p>	<p>1. Risk management Framework has been revised. The draft framework will be shared with the GSMT and ARC for comments after which it will be finalised and published on FedNet. 2. Audit team conducted number of Risk Management Workshops during their audit visits to regional and country Representations. 3. The issue of dedicated risk management personnel will be discussed with the Global Senior Management Team as part of the 2015/16 Plan and Budget process.</p>	<p>25%</p>	<p>Q4 2014</p>
	<p>Action point 2. Revised the Risk Management Framework</p>			
	<p>Action point 3. Risk monitoring is ensured at a governance level</p>	<p>The Audit and Risk Committee (a sub-committee of the Finance Commission) plays a major part in monitoring risks at governance level. The Chair of the Committee presents, during each Governing Board (GB) meetings, those critical risks facing the Federation for GB and management action. Further improvements will be made following the constitutional revision and the separation of the Audit and Risk Committee and the Finance Commission.</p>	<p>75%</p>	<p>Q4 2014</p>
<p>1.4.3 Oversight over implementation of audit recommendations <i>Area of improvement</i> : Continue the systematic evaluation and implementation of audit recommendations (internal and external)</p>	<p>Action point: Dashboard of audit recommendations and their status is kept as a standing item of senior management items</p>	<p>The Head of Internal Risk Management and audit has been asked to participate in Senior Management Meetings</p>	<p>0%</p>	<p>Q3 2014</p>
<p>2. Programmes and coordination</p>				
<p>2.1 Programmes and coordination/Accountability principle 1: Setting expectations</p>				
<p>2.1.1 Clarification of donor requirements <i>Area of improvement</i> : The need for continued clarification and harmonization of donor requirements consistent with the demands of operational efficiency and local implementation capacities</p>	<p>Action point. Prioritize the continued development and negotiation of donor terms and conditions consistent with IFRC systems and procedures with the top ten donors for which conditions remain to be standardized</p>	<p>Clarified terms and conditions of funding have been agreed with two of the IFRCs top donors. A third is being commenced.</p>	<p>0%</p>	<p>Q4 2015</p>

2.1.2 IFRC grant management procedures <i>Area of improvement: Consistent with IFRC's mandate, clarify and enhance IFRCs grant management procedures including grant award and assessment procedures, sub-grant management, monitoring, reporting and evaluation procedures.</i>	Action point 1. Standard IFRC grant award, assessment and management procedures are developed	1. A multi-disciplinary working group has been created to review the IFRC's management and reporting practices when working with project partners, including National Societies. A discussion paper has been shared with IFRC senior management and internal consultations on the content are ongoing. Following the internal discussions, consultation on any proposed changes will also be broadened to include project partners and donors. This is anticipated for Q1 2015. 2. The IFRC developed a first draft "Partner Selection Procedures", setting out the IFRC policies and practice towards the selection of partners, including when and what basis will partners be tendered for in an open bid process, and when is such selection "single source" so to speak. This document was prepared in order to ensure institution compliance with the EU finance regulations on the selection of partners. It will feed into the current overall new system on grant management in general.	25%	Q4 2015
	Action point 2. Enhanced IFRC financial and operating modalities are developed			
	Action point 3. Model recipient funding agreements are developed			
2.1.3 IFRC Status Agreements <i>Area for Improvement: Continue to ensure a facilitated external legal environment for the IFRC to undertake humanitarian and development activities in support of National Societies.</i>	Action point: Legal Status Agreements	Efforts continue to secure agreements in the few countries where an explicit status fails to be articulated in writing. In the three prioritized countries, clear progress can be reported in one.		on-going
2.2 Programmes and coordination/Accountability principle 2: Information disclosure				
2.2.1 Clarified understanding of IFRC grant management systems <i>Area for improvement : A comprehensive understanding by donor and recipients of IFRC grant management systems and how they relate to the other areas of IFRC activities.</i>	Action point 1: A funding recipient handbook covering IFRC grant management	These activities are linked to the outcomes of 2.1.2. and as such will take place in 2015 as indicated in the timeline.	0%	Q4 2015
	Action point 2. All relevant grant management materials are centralized in one publicly available location on www.IFRC.org; appropriate training is organized as needed	These activities are linked to the outcomes of 2.1.2. and as such will take place in 2015 as indicated in the timeline.	0%	Q4 2015
2.3 Programmes and coordination/Accountability principle 3: Feedback mechanisms				
2.3.1 Beneficiary feedback mechanisms <i>Area for improvement : Continued development and roll out of IFRC beneficiary feedback mechanisms</i>	Action point: Adopted beneficiary accountability policy; operationalized Manual for Red Cross and Red Crescent programme managers on Community Engagement	Not started yet	0%	Q4 2015
2.3.2 Escalation and sanctions mechanisms in case of grant award breaches <i>Area for improvement: The lack of an agreed standardized internal escalation process and applicable internal sanctions in case of failure of recipients of funding to adhere to IFRC terms and conditions including its ethical standards.</i>	Action point: Consistent and in compliment to IFRC membership sanctions, development of an agreed regime of consequences and implementation options in case of material breaches of contractual terms and conditions, including its ethical standards, which would necessitate seeking alternative means of implementation.	These activities are linked to the outcomes of 2.1.2. and as such will take place in 2015 as indicated in the timeline.		Q4 2015

<p>2.3.3 Coordination of audit requirements <i>Area for improvement</i> : Finding ways to better manage the multiplicity of various donor audit demands</p>	<p>Action point: An internal audit network</p>	<p>1. IFRC is currently in the process of mapping out those National Societies who have internal audit or similar function. 2. A full time officer has been assigned the responsibility for coordinating all donors audit requirements and external audit assignments 3. Excel database has been developed to capture all donors' audit requirements and requests. All audit are carried out on timely basis.</p>	<p>75%</p>	<p>Q1 2015</p>
<p>2.4 Programmes and coordination/Accountability principle 4: Learning and improvement</p>				
<p>2.4.1 Better synergies and complementarity between capacity building and grant management. <i>Area for improvement</i> : Developing further the synergies and complementarities between long term institutional development efforts and grant management.</p>	<p>Action point: Ensuring the systemic consideration of the overall Organizational Capacity Assessment and Certification (OCAC) results within the discussions on IFRC grant management systems and conditions, including complementarity on the various National Societies assessments, respecting the confidentiality of the individual OCAC processes.</p>	<p>On-going</p>		<p>Q4 2015</p>
<p>2.4.2 Central database for fraud and corruption incident reporting <i>Area for Improvement</i> : The need to ensure a secretariat wide system of documenting allegations of fraud and corruption concerning IFRC resources or funding and the lack of internal comprehensive standard operating procedures setting out internal roles, responsibilities and accountabilities, means of recording action taken, file status and disclosure protocols with concerned stakeholders.</p>	<p>Action point: A fraud and corruption incident reporting mechanism is established</p>	<p>First discussion regarding the development of SOPs for Fraud and Corruption incident reporting and centralised database has been completed. As of October 2014, PwC Geneva was commissioned to design a formal IFRC operating procedures for reporting and investigating allegations of fraud and corruption, including a centralised database for recording incidents of fraud and corruption allegations and how they are managed.</p>	<p>25%</p>	<p>Q4 2014</p>
<p>2.4.3 Database of non-eligible vendors <i>Area of improvement</i> : Need to systematically document vendors who fail to comply with IFRC vendor pre-requisites and ethical standards</p>	<p>Action point: Database of companies disqualified from tendering with its accompanying procedures</p>	<p>Presently this is ensured through the finance system (APPLE) which provides the opportunity to blacklist suppliers, who are then blocked for access through Logistics HLS system. In the future, vendor performance will be monitored and required actions taken directly through DMDS which will come to replace the currently used HLS.</p>		<p>Q4 2014</p>
<p>3. Supplementary services</p>				
<p>3.1 Supplementary services/Accountability principle 1: Setting expectations</p>				

<p>3.1.1 Roll out of disaster management delivery system <i>Area of improvement:</i> The continued development of a centralized procurement and logistics hub supported by appropriate information technology systems.</p>	<p>Action point: New integrated disaster management delivery system is implemented</p>	<p>DMMS is implemented in separate “Lots” and completion rates of Lot 1 and Lot 4 are as follows by end August 2014: Lot 1: (Procurement management 65%, transport management 20%, order management 70%, warehouse management 65%; Lot 4 (distribution planning 78%, beneficiary registration 58%, distribution tracking 50%) Contract with the IT developer for continuation of Lot 1 implementation work was signed in June 2014. It will carry forward to end 2014 development of supply chain management components – all of which are critical enablers to ensure reinforced accountability.</p>	<p>58%</p>	<p>(dependent on continued financing) Incremental implementation over 2014 and 2015</p>
<p>3.1.2 Contracted services, sub-recipient management <i>Area of improvement:</i> Establish standard practices for working with contract sub-recipients</p>	<p>Action point: Developed standard procedures / working practices for contracted services</p>	<p>Not started yet.</p>	<p>0%</p>	<p>Q4 2015</p>
<p>3.2 Supplementary services/Accountability principle 3: Feedback mechanisms</p>				
<p>3.2.1 Client satisfaction surveys <i>Area for improvement :</i> No systematic surveys of client satisfaction with IFRC service</p>	<p>Action point: Systemic country-level and logistics and fleet services client satisfaction surveys</p>	<p>The progress on the creation of satisfaction survey is on track and will be delivered within the set timeframe. Links to online and offline surveys will be embedded within the Fednet Catalogue of services, available in all 4 IFRC languages. National Societies will have an opportunity not only to give yearly systematic feedbacks, but also each time a service is delivered to them. Also, GLS has already established a systematic customer satisfaction on-line survey which has been up and running since May 2014, collecting customer feedback on logistics service delivery including procurement, fleet and warehousing. The generated feedback is analysed by logistics managers to drive improvements in service delivery. This on-line survey can be extended to include country level logistics services.</p>	<p>35%</p>	<p>Q4 2014</p>
<p>4. Secretariat membership services</p>				
<p>4.1 Membership services/Accountability principle 1: Setting expectations</p>				
<p>4.1.1 Membership regulatory and policy framework <i>Area of improvement :</i> Clarification of the regulatory and policy framework binding on member National Societies</p>	<p>Action point: Obsolete/outdated policies relating to National Society accountability and transparency are reviewed</p>	<p>Not started yet</p>	<p>0%</p>	<p>Q4 2015</p>
<p>4.1.2 Fraud and corruption prevention within the membership <i>Area of improvement :</i> Strengthening fraud and corruption prevention awareness and control mechanisms throughout the IFRC network</p>	<p>Action point: Federation-wide corruption prevention policy is implemented</p>	<p>Not started yet</p>	<p>0%</p>	<p>Q4 2015</p>
<p>4.2 Membership services/Accountability principle 2: Information disclosure</p>				

4.2.1 Dissemination and understanding of Principles and Rules obligations <i>Area for improvement: Ensure the dissemination and understanding of the obligations on National Societies set out in the Principles and Rules for Humanitarian Assistance in particular as relates to accountability, uses of funds and resources, audit and investigation obligations</i>	Action point 1: E-learning modules on the Principles and Rules of Humanitarian Assistance are available on the Learning Platform	E-learning course on Principles and Rules for Red Cross and Red Crescent Humanitarian Assistance (English) has been developed and user testing has been completed. After small adjustments the course is being made available on the Learning Platform for staff and volunteers in November 2014. Making the course available also for external audiences is considered	95%	Q4 2014
	Action point 2: Principles and Rules training modules are main steamed within applicable disaster management training	The e-learning course is planned to be included in standard DM training courses (ERU, FACT, RDRT trainings) as a standards learning module. The P&R e-learning will also be mandatory course for all IFRC DM staff in the future. Further dissemination of the course will be done to National Societies to ensure that NS DM staff will complete the course.	50%	Q4 2014
4.3 Membership services/Accountability principle 3: Feedback mechanisms				
4.3.1 Beneficiary accountability framework for the membership <i>Area for improvement: Work towards ensuring a harmonized and systematic Federation wide beneficiary complaint mechanism</i>	Action point 1. A task force of National Society technical experts is created	Not started yet	0%	Q4 2015
	Action point 2. A harmonized fraud and corruption prevention control policy is created	Not started yet		Q4 2015
4.3.2 Strengthening of membership compliance system <i>Area for improvement: Work towards clarifying National Societies' obligation to comply with agreed rules (mainly article 8 of the Constitution) and better understanding the mechanisms for compliance. Work towards the ability of the relevant IFRC risk oversight bodies to alert the Compliance and Mediation Committee to cases of National Societies' non-compliance with their obligations when this is putting the IFRC's reputation at risk.</i>	Action point 1: A standardized mechanism which allows National Societies to annually declare to the secretariat their understanding and willingness to comply with their constitutional undertakings	Being discussed within the framework of the Constitutional Review Process 2014/2015		Q4 2015
	Action point 2: Developed/strengthened current procedures on how cases of non-compliance by National Societies with their obligations can be brought to the attention of the Compliance and Mediation Committee	Being discussed within the framework of the Constitutional Review Process 2014/2015		Q4 2015
	Action point 3: Within the context of the Constitutional Review, re-consider the mechanisms and rules by which cases are brought to the Compliance and Mediation Committee, including potentially a right of initiative of this group	Being discussed within the framework of the Constitutional Review Process 2014/2015		Q4 2015
4.4 Membership services/Accountability principle 4: Learning and improvement				
4.4.1 Monitoring of member National Societies' key performance indicators <i>Area for improvement: Ensuring key performance indicators as relevant to the health and accountability of the membership are measured and analysed systematically over time and used in relevant decision making.</i>	Action point 1. Federation-Wide Data and Reporting System is further rolled out	On-going		Q4 2015
	Action point 2. A dashboard to measure the general organizational strength of member National Societies is created	Being discussed within the framework of the Constitutional Review Process 2014/2015		Q4 2015