

ACCOUNTABILITY AND TRANSPARENCY PLAN OF ACTION

Implementation report: Q1 2015

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 is well advanced: new elements on the Learning Platform welcome page were launched in October. Further work is under consideration to ensure better On boarding and introduction of new staff, beyond what the Learning Platform will offer.	80%	Q4 2014
	Action point 2: Implementation of comprehensive management refresher course	The timeframe for this Action point was adjusted (initial deadline - Q4 2014). Work is about to start on a refresher course, to be linked with a strong Leadership and Management Development Programme, to be launched in the course of the year.	0%	Q4 2015
	Action point 3. Introduction of compliance obligations in IFRC Job Descriptions and Performance Evaluations	Not started yet. This project will be launched and completed in the coming months.	0%	Q3 2015
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	Disclosure policy being finalized for completion Q2.	95%	Q2 2015

<p>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></p>	<p>Action point: Implemented Secretary General decision paper procedure</p>	<p>Completed</p>	<p>100%</p>	<p>Q3 2014</p>
<p>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></p>	<p>Action point 1: Amended IFRC Fraud and Corruption Prevention and Control Policy</p>	<p>Two training modules on Fraud and Corruption prevention and control are being developed in partnership with Transparency International (Norway) for the e-learning platform. The modules are currently in the testing stage. The final versions will be made available to all Federation Staff and National Societies during Q2 2015. In the meantime Two lectures on Fraud and Corruption prevention have been developed and posted on the IFRC e-learning platform.</p>	<p>80%</p>	<p>Q2 2015</p>
	<p>Action point 2: Roll out of the agreed dissemination plan around the policy, including a complimentary key messages document</p>			
	<p>Action point 3: Review of the level of staff and management understanding and compliance with the IFRC Fraud and Corruption Prevention and Control Policy</p>	<p>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 significantly increased following the development and rollout of the F&C prevention interactive training module which will be made mandatory for all IFRC staff. In addition, the Investigation function that is currently being created will have a major role in providing training and support to management in issues related to fraud and corruption prevention.</p>	<p>70%</p>	<p>Q4 2015</p>

	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 is being developed and internal consultations are ongoing.	40%	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	Updated format has been used for IFRC 2014 consolidated financial statements. No issues have been raised by external auditors. Sign off of the financial statements by the Finance Commission was completed on 8 April 2015	99%	Q2 2015
1.3 Cross-cutting/Accountability principle 3: Feedback mechanisms				

<p>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></p>	<p>Action point: Adopted complementary whistle-blower protection policy</p>	<p>A Whistleblower Policy has been drafted and will be adopted in Q2 2015.</p>	<p>90%</p>	<p>Q2 2015</p>
<p>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></p>	<p>Action point 1. SafeCall system is expanded to cover vendors: the call number is included in IFRC template agreements and offer documents</p>	<p>Timeframe has been moved to Q2 2015 to ensure strengthened investigation processes are in place first. The following wording is being incorporated into the contractual documents and it is planned to post similar information on the IFRC procurement portal. "SafeCall is to report any possible breaches such as corruption, fraud, dishonesty, harassment, sexual violence and abuse, unethical behavior and abuse of child labor</p>	<p>0%</p>	<p>Q2 2015</p>
	<p>Action point 2. SafeCall system dissemination package is provided to each IFRC office</p>	<p>Information on the SafeCall system is circulated to all Geneva-based staff and to HR Zone Managers.</p>	<p>100%</p>	<p>Q4 2014</p>

1.3.3 Review of the IFRC Internal Audit Charter and the independence of IFRC investigations <i>Area for improvement. Need for the regular review of the independence of the IFRC investigative services and their adequate resourcing.</i>	Action point 1. IFRC procedures regarding the independence of the internal audit are reviewed; IFRC Internal Audit Charter is reviewed	The internal audit charter finalization is pending the conclusion of the Governance constitutional review process.	80%	Q4 2015
	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	The Secretary General has approved the creation of an investigation function and the recruitment of one senior investigation officer within the Audit and Risk Management department. The recruitment process has started and we expect to have the person in post by the end of July 2015.	90%	Q3 2015
1.4 Cross-cutting/Accountability principle 4: Learning and improvement				
1.4.1 Implementation of lessons learned <i>Area of improvement: Continue to grow the IFRC culture of implementation of lessons learned</i>	Action point: Standard operating procedure on evaluations	Second draft is ready and a second consultation has started. We plan to start using the SoPs as a beta version aiming for a formal approval towards the end of the year.	50%	Q4 2015
1.4.2 Risk management culture <i>Area of improvement: Continue to develop the IFRC risk management</i>	Action point 1. Dedicated risk management personnel is assigned as necessary	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	50%	Q2 2015

culture	Action point 2. Revise the Risk Management Framework	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 has been discussed with the Global Senior Management Team as part of the 2016/17 Plan and Budget process.		
	Action point 3. Risk monitoring is ensured at governance level	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) meeting, those critical risks facing the Federation for GB and management action. The Chair also now regularly discloses fraud and corruption cases. Further improvements will be made following the constitutional revision and the separation of the Audit and Risk Committee and the Finance Commission.	75%	Q4 2015
1.4.3 Oversight over implementation of audit recommendations <i>Area of improvement: Continue the systematic evaluation and implementation of audit recommendations (internal and external)</i>	Action point: Dashboard of audit recommendations and their status is kept as a standing item of senior management items	The Head of Risk Management and audit has been appointed by the SG to participate as a member in Senior Management Meetings as of January 2015. The Head of Risk Management and Audit attended the Global Senior Management Team (GSMT) in March 2015 where he presented an update on the implementation of critical audit recommendations for GSMT follow up and action. An update will be presented to SMT and GSMT during all future meetings	100%	Q3 2014
2. Programmes and coordination				
2.1 Programmes and coordination/Accountability principle 1: Setting expectations				

<p>2.1.1 Clarification of donor requirements <i>Area of improvement: The need for continued clarification and harmonization of donor requirements consistent with the demands of operational efficiency and local implementation capacities</i></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 three of the IFRCs top donors. Discussions are ongoing with two more top donors.</p>	<p>40%</p>	<p>Q4 2015</p>
<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></p>	<p>Action point 1. Standard IFRC grant award, assessment and management procedures are developed</p>		<p>40%</p>	<p>Q4 2015</p>
	<p>Action point 2. Enhanced IFRC financial and operating modalities are developed</p>	<p>Consultations and briefings on new proposed financial and operating modalities have been carried out in Geneva and all zones. Updated documents have been circulated to GSMT. The project is moving into the next phase of consultation with key donors and project partners.</p>		
	<p>Action point 3. Model recipient funding agreements are developed</p>	<p>New mechanisms have been developed around short form procurement rules applicable to contractual partners, to ensure more oversight and control over procurement carried out by implementing partners.</p>		
<p>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></p>	<p>Action point: Legal Status Agreements</p>	<p>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.</p>		<p>on-going</p>
<p>2.2 Programmes and coordination/Accountability principle 2:</p>				

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.	40%	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.	40%	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	Initial discussions with PSD have started. A position focusing on accountability to affected populations /community engagement has been opened during Q1 2015 with the purpose of promoting quality and accountability in all IFRC programmes through increased and improved participatory approaches in programme design, implementation, monitoring and evaluation.	10%	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.	20%	Q4 2015

<p>2.3.3 Coordination of audit requirements <i>Area for improvement: Finding ways to better manage the multiplicity of various donor audit demands</i></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. An Excel database has been developed to capture all donors' audit requirements and requests. All audits are carried out on timely basis.</p>	<p>75%</p>	<p>Q2 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: Developing further the synergies and complementarities between long term institutional development efforts and grant management.</i></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>On-going</p>	<p>Q4 2015</p>

<p>2.4.2 Central database for fraud and corruption incident reporting <i>Area for Improvement: 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.</i></p>	<p>Action point: A fraud and corruption incident reporting mechanism is established</p>	<p>As part of PwC study report, a first draft “Allegation Management Procedure” has been written. The procedure includes the management processes around the reporting, examination, investigation, recording and closure of allegations. This procedure will serve as the underlining business process around the central management of all fraud and corruption allegations. This draft procedure will now be circulated for internal consultation, in order to ensure a full harmonization with on-going business process and the field structure and accountabilities. Final sign off is expected by Q3 2015 and then full implementation with the establishment of the dedicated investigative capacities is expected in Q2 and Q3 of 2015</p>	<p>70%</p>	<p>Q3 2015</p>
<p>2.4.3 Database of non-eligible vendors <i>Area of improvement: Need to systematically document vendors who fail to comply with IFRC vendor pre-requisites and ethical standards</i></p>	<p>Action point: Database of companies disqualified from tendering with its accompanying procedures</p>	<p>In the future, vendor information will be directly managed through DMDS which is currently under development and will come to replace HLS, bringing the task to full completion. To enhance the performance monitoring process, the supplier performance evaluation template has been re-disseminated to GLS zone teams with a clear message to complete it for each and every order upon its delivery and which forms part of the filing documentary trail.</p>	<p>25%</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: The continued development of a</i></p>	<p>Action point: New integrated disaster management delivery system is implemented</p>	<p>DMDS is implemented in separate “Lots” and in order to ensure optimum efficiency, an incremental implementation approach is being followed. The ‘Agile’ methodology allows the core functionality to</p>	<p>70%</p>	<p>(dependent on continued financing) Incremental</p>

<p><i>centralized procurement and logistics hub supported by appropriate information technology systems.</i></p>		<p>be up and running first. The system can then be completed sequentially, being enhanced by further functionality. The completion rates of Lot 1 (core module) is as follows by end of March 2015:</p> <p>Lot 1: Procurement management 85%, transport management 85%, order management 85%, warehouse management 85%;</p> <p>By the end of 2014 the first beta version 0.1 was delivered. A second beta version 0.2 will be released by beginning of April 2015, including additional functionality and modifications reported through the tests done by GLS team. The pilot phase is planned for summer 2015 to be followed by a roll-out to all GLS offices, replacing the currently used Humanitarian Logistics Software (HLS). During the system implementation, only 30 % of the necessary human resources have been made available due to lack of funding and competing priorities. Therefore, the implementation timeline will need to be revised accordingly.</p>		<p>implementation over 2014 and 2015</p>
<p>3.1.2 Contracted services, sub-recipient management <i>Area of improvement: Establish standard practices for working with contract sub-recipients</i></p>	<p>Action point: Developed standard procedures / working practices for contracted services</p>	<p>Being addressed on a contract by contract basis</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: No systematic surveys of client satisfaction with IFRC service</i></p>	<p>Action point: Systemic country-level and logistics and fleet services client satisfaction surveys</p>	<p>The satisfaction survey has been created, and will be launched in Q1 2015. Links to online and offline surveys will be embedded within the Fednet Catalogue of services, available in all 4 IFRC</p>	<p>100%</p>	<p>Q2 2015</p>

		<p>languages. National Societies will have an opportunity not only to give yearly systematic feedbacks, but also each time a service is delivered to them.</p> <p>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>Global Logistics Service (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>		
4. Secretariat membership services				
4.1 Membership services/Accountability principle 1: Setting expectations				
4.1.1 Membership regulatory and policy framework <i>Area of improvement: Clarification of the regulatory and policy framework binding on member National Societies</i>	Action point: Obsolete/outdated policies relating to National Society accountability and transparency are reviewed	Not started yet	0%	Q4 2015

<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>				
<p>4.2.1 Dissemination and understanding of Principles and Rules obligations <i>Area for improvement:</i> 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</p>	<p>Action point 1: E-learning modules on the Principles and Rules of Humanitarian Assistance are available on the Learning Platform</p>	<p>E-learning course on Principles and Rules for Red Cross and Red Crescent Humanitarian Assistance (English) has been finalised and was launched on the IFRC Learning Platform in February 2015. By early April, 118 people have registered for the course. Further promotion of the course to National Societies will be done during the Q2 2015. Other language versions of the e-learning course will be developed if funding is available.</p>	<p>100%</p>	<p>Q4 2014</p>
	<p>Action point 2: Principles and Rules training modules are main steamed within applicable disaster management training</p>	<p>The e-learning course is 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. In addition, a workshop focusing on institutionalising the P&R is held in April 2015 in Kuala Lumpur. The workshop will be attended by approx. 20 National Societies and it aims to increase the understanding of and the compliance with the P&R. Furthermore, the workshop will test practical implications of the P&R through a simulation exercise. The timeline for the completion of this action has now been extended until the Q4 of 2015.</p>	<p>50%</p>	<p>Q4 2015</p>
<p>4.3 Membership services/Accountability principle 3: Feedback</p>				

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 See also under 2.3.1	0%	Q4 2015
	Action point 2. A harmonized fraud and corruption prevention control policy is created	Not started yet	0%	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. Discussions have been initiated between Constitutional Review Group and the Chair of the Compliance and Mediation Committee. Several options are being considered. CMC continues to promote its proactive approach to be better recognised by National Societies as a tool to resolve breaches of integrity and disseminate its working procedures. A first set of concrete recommendations will be submitted to the April Governing board for further discussion and potential submission to membership	30%	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	CMC Rules of Procedures have been revised in July 2014 and endorsed by the Governing Board. The objective of this revision was to make the procedures a bit more light. The Rules of Procedures will be revisited once the Constitutional review have been finalised to take into account other changes.	25%	Q4 2015
4.4 Membership services/Accountability principle 4: Learning and improvement				
4.4.1 Monitoring of member National Societies' key performance indicators	Action point 1. Federation-Wide Data and Reporting System is further rolled out	On-going		Q4 2015
<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 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. Discussion have been initiated to be presented to CMC in July. This is also linked with the concept of National Societies in "good standing" which is also being developed	25%	Q4 2015