

**Good Humanitarian Donorship  
and the European Union:  
a study of good practice  
and recent initiatives**

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**15 September 2004**

### **Acknowledgements**

The author would like to thank all the representatives from EU Member States, ECHO, the UN and the ICRC who gave their time for interviews and shared documentation to inform the study. Adele Harmer of ODI's Humanitarian Policy Group managed the study on behalf of DCI and provided material on new Member States and non-EU donors. Together with Lin Cotterrell and other ODI colleagues she provided valuable insights and comments on the draft report. Thanks also to Johan Schaar (SIDA), Pablo Muelas Garcia (AECI), Peter Billing and Michel Arrion (ECHO) and colleagues at DCI for their comments.

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## Acronyms

ALNAP	Active Learning Network for Accountability and Performance in Humanitarian Action
CAP	Inter-Agency Consolidated Appeals Process
CHAP	Common Humanitarian Action Plan
DPP	Disaster Preparedness and Prevention
ECHO	European Commission Humanitarian Aid Office
ECOSOC	UN Economic and Social Council
EU	European Union
FAFA	Financial and Administrative Framework Agreement
FPA	Framework Partnership Agreement
GHD	Good Humanitarian Donorship
HCG	Humanitarian Contact Group
IASC	Inter-Agency Standing Committee
ICVA	International Council of Voluntary Agencies
ISP	Institutional Strategy Papers
IHL	International Humanitarian Law
LRRD	linking relief, recovery and development
MAPS	Multi-Annual Programme Scheme
MFA	Ministry of Foreign Affairs
NAFM	Needs Assessment Framework & Matrix
OCHA	UN Office for the Coordination of Humanitarian Affairs
OCHA FTS	OCHA Financial Tracking System
ODA	official development assistance
OECD-DAC	Organisation for Economic Cooperation and Development/Development Assistance Committee
PPA	Partnership Programme Agreement

## **Executive summary**

- **EU donors are important players in humanitarian action, and many are active participants in the Good Humanitarian Donorship initiative**

European Union (EU) donors including the European Commission Humanitarian Aid Office (ECHO) provide almost half of global official humanitarian assistance. Many EU donors are active participants in the Good Humanitarian Donorship (GHD) initiative. This initiative, launched in Stockholm in June 2003, aims to improve the practice of humanitarian donors in order to make humanitarian action a more principled and effective endeavour. EU donors are showing leadership in particular areas of GHD implementation, such as agreeing a common definition of official humanitarian assistance for reporting purposes, working towards harmonising reporting and management demands and piloting GHD in Burundi and the Democratic Republic of Congo (DRC).

- **There is evidence of good practice in GHD in the EU**

The GHD initiative is an ambitious one, but the study found examples in the EU of good practice in GHD at all stages of the policy and project cycle. Progress has been made against both the Implementation Plan agreed at Stockholm and in domestic initiatives taken by EU donors, which go beyond the Implementation Plan.

The study found examples of EU donors:

- realising the importance of formalising humanitarian aid approaches through policy statements, and in some cases through legislation;
- developing structures to ensure coordination of humanitarian aid responses across government;
- advocating for humanitarian action and communicating their policies among stakeholders – parliament, other areas of government, the public, NGOs and beneficiaries – both to build support and as a means of providing accountability;

- developing strategic partnerships with international organisations, allowing for a sustained level of dialogue and support;
- supporting system-wide approaches to improve the quality and accountability of humanitarian response; and
- demonstrating good practice in performance monitoring and evaluation of both themselves and implementing agencies.

- **There are significant opportunities for further progress**

Very few donor governments have developed frameworks for implementing GHD, and this could be a first step in providing a guide for good practice. Specific areas identified by the study which deserve particular attention include:

- a clearer articulation of how policy and practice are guided by humanitarian principles, as well as continued engagement with the challenge of defining humanitarian action;
- ensuring the distinctiveness of humanitarian action from military or political objectives by clarifying relations between the relevant parts of government;
- supporting the principle of impartiality by funding the development of needs assessment methodologies, funding independent needs assessments for specific crises and developing clear criteria for allocating resources according to need;
- examining existing tools and developing new approaches to ensure beneficiary involvement;
- developing tools to analyse the impact of interventions, rather than looking solely at outputs; and
- working to harmonise policy approaches and coordinate effectively with other donors.

## Introduction

European Union (EU) donors including the European Commission Humanitarian Aid Office (ECHO)<sup>1</sup> provide almost half of global official humanitarian assistance.<sup>2</sup> Many EU donors are participants in the Good Humanitarian Donorship (GHD) initiative, which was launched in Stockholm in June 2003 (see Annex A). This initiative aims to promote principled approaches to humanitarian aid and improve donor practice in order to make humanitarian action more effective. The agenda endorsed in Stockholm focuses on the objectives, definitions and principles of humanitarian action, and good practice in financing, management and accountability. The EU statement to the humanitarian segment of the UN Economic and Social Council (ECOSOC) in July 2004 reflected the commitment that EU donors have made to GHD.<sup>3</sup> By working together and learning from each other, the collective impact of GHD among EU donors could be significant.<sup>4</sup>

### *Background and aims of the study*

This study originated in a proposal by the Irish Presidency of the EU at the Informal Humanitarian Aid Committee (HAC) meeting it hosted in Dublin in March 2004. In part, the study is intended to serve as a resource for EU Member States in learning about progress towards implementing the commitments made by donors at the GHD meeting in Stockholm. For those centrally involved in the GHD initiative this may cover familiar ground, but the study aims particularly to assist those newly engaging with the agenda. It also intends to provide a critical analysis of progress since the Stockholm meeting, to inform debates about next steps. This reflects both the progress made against the GHD Implementation Plan agreed at Stockholm, and domestic initiatives taken by EU donors, reflecting a broader vision of GHD.<sup>5</sup> While some of

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<sup>1</sup> References to EU donors in this report include all 25 EU Member States and ECHO.

<sup>2</sup> The report *Global Humanitarian Assistance 2003* states that, in 2001, the EU's 15 Member States and the Commission together provided 47% of global humanitarian aid flows (Development Initiatives, 2003, available at [www.globalhumanitarianassistance.org](http://www.globalhumanitarianassistance.org)).

<sup>3</sup> Online at [europa-eu-un.org/articles/hu/article\\_3666\\_hu.htm](http://europa-eu-un.org/articles/hu/article_3666_hu.htm).

<sup>4</sup> Macrae, J and A. Harmer (2004), *Good Humanitarian Donorship and the European Union: Issues and Options*, Background paper prepared the Informal Humanitarian Aid Committee, Dublin, 25–26 March 2004. London: ODI.

<http://www.odi.org.uk/hpg/papers/HAC%20Background%20paper.pdf>

<sup>5</sup> The Implementation Plan prioritised i) piloting GHD in Burundi and the Democratic Republic of Congo; ii) working with the OECD Development Assistance Committee (OECD-DAC) on the inclusion of humanitarian action in the DAC's peer review process; iii) work to harmonise

these initiatives are in direct response to Stockholm, many were already under way prior to June 2003. In line with its Terms of Reference (see Annex B), the study will not be evaluative or make specific recommendations for action, but highlight approaches that reflect good practice.

#### *What is good practice?*

In outlining case studies, this study has taken the GHD document as its starting point in defining good practice, complemented by other published resources and discussions with EU donors. It is clear from the study that there are no prevailing standards by which good practice can be objectively measured, and that no single ideal template of good practice for humanitarian donors exists. In some complex areas, such as civil–military relations or the relationship between relief and development interventions, the only consensus is over the need to understand the issues better. This study therefore also aims to provide a focus for discussions among all stakeholders regarding what constitutes good practice.

#### *Methodology and scope*

This study is based on a review of key policy statements and other documents and some 50 interviews with officials of EU Member States, including new Members and ECHO, between 1 July and 5 August 2004 (see Annex C). In the interests of conciseness, this report does not attempt to provide a comprehensive account of all aspects of each EU donor’s humanitarian programme. Case studies are illustrative, and there is an emphasis on easily accessible documentation. The study also highlights areas of GHD where further progress could be made in engaging with the issues or developing practical tools. Finally, an important consideration throughout the study has been the different capacities of donors to implement GHD.

#### *Structure*

The report follows a typical policy and project cycle (see Box 1) from strategy and architecture (Section 1), through planning, preparedness and response (Section 2) to monitoring and evaluation (Section 3). Each section looks at what good practice might

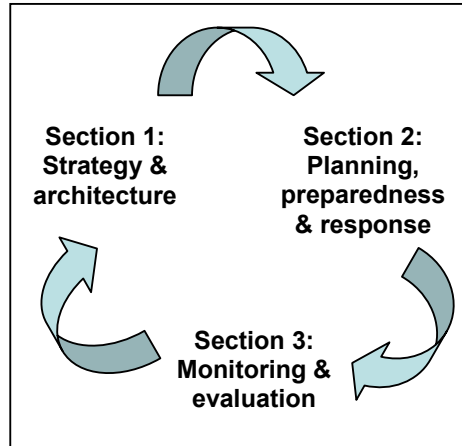
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reporting and management requirements; iv) work with the UN and OECD-DAC on agreeing a common definition of official humanitarian assistance; and v) work to promote GHD among all official donors.



entail for that theme, and then discusses examples from EU donors, referring to the GHD principles and Implementation Plan as appropriate.

**Box 1: Report structure**



## Section 1: Strategy and architecture

This section looks at how EU donors reflect the principles and practice of GHD in their overall policy and strategy; the ways in which their internal administrative structures may support GHD; and the processes by which they are held accountable by stakeholders.

### Legislation and policy statements

GHD Article 2 states that ‘humanitarian action should be guided by the principles of humanity, impartiality, neutrality and independence’. Evaluations of donor programmes have recommended the publication of policy statements on humanitarian action, including clarity over these principles.<sup>6</sup> Providing a clear statement of the objectives of humanitarian action and defining its distinctive purpose can help to build trust with recipient organisations, states and populations, and provide a framework for consultation and accountability.<sup>7</sup>

This study found that EU donors are increasingly formalising their approaches to humanitarian action within domestic legislation and statements of policy. In many cases these are, however, works in progress; efforts need to be made to reflect GHD consistently and to elaborate how its principles should influence practice.

The study found that donors are grappling with the complex issues of defining humanitarian assistance (see Box 2). This includes protection needs as well as material assistance.

**Box 2: Agreeing a comprehensive common definition of official humanitarian assistance**

The GHD Implementation Plan (point 4) aims to agree a definition of official humanitarian assistance, for statistical and reporting purposes (GHD Article 23).

The Netherlands chairs the Definitions and Statistics sub-group. EU donors active in the sub-group include Belgium, Denmark, Finland, Germany, Ireland, Italy, Sweden and the UK, as well as the European Commission.

Work to date has involved collating the definitions and reporting habits of donors, and liaising with OCHA's Financial Tracking System (FTS) and the OECD/DAC secretariat. Sweden has seconded an official to the OECD/DAC to support its humanitarian work programme, including definitions and peer reviews. The OECD/DAC secretariat has drafted a paper outlining a suggestion for a revised reporting definition of humanitarian action, and this will be reviewed in September 2004.

<sup>6</sup> See, for example, Finland in 1996; [global.finland.fi/julkaisut/evaluoinnit/eval\\_96/r96\\_2.html](http://global.finland.fi/julkaisut/evaluoinnit/eval_96/r96_2.html).

<sup>7</sup> This is supported by research on the changing role of official donors in humanitarian action, which recommends that donors ‘codify [their] commitment to humanitarian principles into a legal framework to govern official humanitarian aid’. See Macrae, J. et al. (2002), *Uncertain Power: The Changing Role of Official Donors in Humanitarian Action*, HPG Report 12. London: ODI; [www.odi.org.uk/hpg/papers/hpgreport12.pdf](http://www.odi.org.uk/hpg/papers/hpgreport12.pdf).

Providing adequate protection requires government action beyond humanitarian aid departments or parts of government with specific humanitarian responsibility, and there are clearly challenges in governments pursuing political avenues whilst at the same time maintaining the independence and impartiality of humanitarian action. There is a need for much more considered debate among government officials before notions of good practice could be developed.

### *Legislation*

Domestic legislation can help maintain the independence of humanitarian action from other policy objectives (GHD Article 2), and provide a robust framework for consistent response across government. Some EU donors – Italy<sup>8</sup> and Spain<sup>9</sup> for example – include articles relating to humanitarian or emergency action as a subset of broader development cooperation legislation. Others, such as Belgium, France and Germany, have specific legislation relating to humanitarian action.<sup>10</sup> There are also examples of domestic legislation outside the EU, for example in Switzerland.<sup>11</sup>

### *Policy statements*

For some EU donors, policy statements offer greater flexibility than legislation, but may provide less formal accountability. Policy statements which spell out the definition of humanitarian action, as well as a commitment to the values of humanitarian principles, assist in guiding decision-makers and safeguarding the nature of the response amid other competing political priorities.

Policy frameworks take different forms, ranging from strategic statements of principles to more practically focused guidelines on funding criteria and modalities: good practice might ideally incorporate both, as well as a clearly articulated definition of the purpose of humanitarian action. Austria, Ireland, Spain and Sweden are drafting

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<sup>8</sup> Articles 2 and 11 of the Framework Law on Development Cooperation no. 49/1987, online at [www.esteri.it/eng/4\\_28\\_66\\_71\\_53\\_40.asp](http://www.esteri.it/eng/4_28_66_71_53_40.asp)

<sup>9</sup> The 1998 International Development Cooperation Act, Act no. 23/1998, online at [www.aeci.es](http://www.aeci.es).

<sup>10</sup> In Belgium, a royal decree governs the scope of emergency aid within the Foreign Ministry: see [www.dgcd.be/en/actors/hum\\_aid.html](http://www.dgcd.be/en/actors/hum_aid.html).

<sup>11</sup> Switzerland's 1976 law on international cooperation and humanitarian assistance ([www.admin.ch/ch/f/rs/974\\_0/index.html](http://www.admin.ch/ch/f/rs/974_0/index.html)); the 2001 Continuation bill on Humanitarian Aid ([www.admin.ch/ch/f/ff/2002/2087.pdf](http://www.admin.ch/ch/f/ff/2002/2087.pdf)); 'Solidarity Alive' – Swiss Humanitarian Aid strategy 2005 ([www.sdc.admin.ch/ressources/deza\\_product\\_e\\_13.pdf](http://www.sdc.admin.ch/ressources/deza_product_e_13.pdf)).

new or revised frameworks to formalise existing practice, or specifically to reflect a commitment to GHD.<sup>12</sup> Other donors, including Denmark,<sup>13</sup> Finland, Germany<sup>14</sup> and the UK,<sup>15</sup> have formalised policy frameworks. Some, however, date back a number of years, and therefore do not reflect the commitments made to the GHD initiative. In the Netherlands, as with ECHO, this is addressed by publishing annually the strategy for humanitarian aid as a narrative section of the national budget, along with specific country and sectoral strategies. The German approach emphasises 12 principles, agreed in 1993, which correspond to many of the GHD articles (see Box 3).

**Box 3: Germany's 'Twelve Basic Rules of Humanitarian Aid Abroad' (1993)**

The relief agencies and federal ministries represented on the Humanitarian Aid Coordination Committee agreed on 'Twelve Basic Rules of Humanitarian Aid Abroad' for their cooperation.

1. Catastrophes, wars and crises cause people suffering which they cannot overcome by their own efforts. To alleviate such suffering is the objective of humanitarian aid.
2. All people are entitled to humanitarian aid and humanitarian protection; moreover they must be granted the right to provide humanitarian aid and humanitarian protection.
3. Aid and protection shall be provided irrespective of race, religion, nationality, political convictions or other distinguishing features. Humanitarian aid must not be made conditional on political or religious attitudes and must not promote these. The only criterion in setting priorities for aid shall be the suffering of the people.
4. The relief organizations and the state agencies participating in the discussion group shall act on their own initiative according to their own guidelines and strategies for implementation.
5. They shall respect the dignity of man in providing aid.
6. They shall respect the laws and customs of the country concerned. If the efforts to provide the best possible aid collide with regulations in force in the recipient country, a solution to this conflict shall be sought bearing in mind the objective of humanitarian aid.
7. They shall assist each other and cooperate in humanitarian aid measures as far as possible.
8. Those providing aid shall be accountable to both the recipients of the aid and those whose donations and supplies they accept.
9. Humanitarian aid is first and foremost aid for survival. It shall include self-help measures and shall help to reduce susceptibility to catastrophe. Where necessary, it shall take development needs into consideration.
10. From the very beginning the organizations and state agencies active in humanitarian aid shall involve local partners in their planning and measures.
11. The recipients shall also be involved in organizing and implementing the measures.
12. Aid supplies must be used according to needs and should correspond to local standards; only the current emergency determines the selection and delivery of aid. In procuring aid supplies, priority must be given to purchasing them in the region hit by the catastrophe.

Source: German Foreign Ministry,

[www.auswaertiges-amt.de/www/en/aussenpolitik/humanitaere\\_hilfe/grundregeln\\_html](http://www.auswaertiges-amt.de/www/en/aussenpolitik/humanitaere_hilfe/grundregeln_html)

ECHO's approach is an example of how legislation and policy statements combine to provide a clear basis for humanitarian action. Council Regulation (EC) N° 1257/96 of

<sup>12</sup> Sweden's draft policy discusses its foundations in international humanitarian law, GHD principles and the relationship between assistance and protection; the need for conflict sensitivity and use of military and civil defence (MCDA) guidelines; awareness of interfaces with development actors in transition and preparedness activities; principles of funding; needs assessment; the centrality of the CAP system; donor coordination; and advocacy activities. Further details are available from Johan Schaar, Head of Division for Humanitarian Assistance & Conflict Management, SIDA, [johan.schaar@sida.se](mailto:johan.schaar@sida.se).

<sup>13</sup> 'Strategic Priorities in Danish Humanitarian Assistance', Danida, 2002, online at [www.um.dk/NR/rdonlyres/C5067C6D-EFEE-480D-9D0B-A31053CB6D32/0/strategy.pdf](http://www.um.dk/NR/rdonlyres/C5067C6D-EFEE-480D-9D0B-A31053CB6D32/0/strategy.pdf).

<sup>14</sup> Online at [www.auswaertiges-amt.de/www/en/aussenpolitik/humanitaere\\_hilfe/grundregeln\\_html](http://www.auswaertiges-amt.de/www/en/aussenpolitik/humanitaere_hilfe/grundregeln_html).

<sup>15</sup> Conflict Reduction and Humanitarian Assistance, DFID, 1999, [www.dfid.gov.uk](http://www.dfid.gov.uk), or [62.189.42.51/DFIDstage/AboutDFID/files/conflict\\_main.htm](http://62.189.42.51/DFIDstage/AboutDFID/files/conflict_main.htm).

20 June 1996 concerning humanitarian aid defines the scope of ECHO's humanitarian action as a shared competence between the Commission and Member States, and includes a commitment to international humanitarian law and humanitarian principles.<sup>16</sup> Adoption of the Constitution for Europe would enshrine humanitarian principles at treaty level in EU law for the first time (Article III-223). ECHO also produces an annual strategy paper which outlines geographical and thematic priorities.<sup>17</sup>

A number of new Member States have developed humanitarian policies within their broader development cooperation programmes. The Czech Foreign Ministry's concept of foreign aid calls for all Czech organisations and associations involved in humanitarian aid to respect humanitarian principles, above all the principle of impartiality.<sup>18</sup> Estonia has developed principles for humanitarian response within its broader development cooperation programmes.<sup>19</sup> Other new Member States, such as Slovakia, are guided by Council Regulation 1257/9620 of June 1996 concerning humanitarian aid, and using this regulation as a model would seem a practical solution for new EU Members with competing policy development priorities.

EU donors may also be interested in Australia's forthcoming humanitarian policy, which draws significantly on GHD for its definition of humanitarian action and policy goals.<sup>20</sup> The policy adopts the GHD principles and good practice as a benchmark against which to improve the coherence, impact and accountability of Australian humanitarian action.

This study identifies a number of areas that merit further attention. In particular, policy statements need to articulate clearly:

- a definition of humanitarian action;

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<sup>16</sup> Online at [europa.eu.int/comm/echo/presentation/mandate\\_en.htm](http://europa.eu.int/comm/echo/presentation/mandate_en.htm).

<sup>17</sup> Online at [europa.eu.int/comm/echo/information/strategy/index\\_en.htm](http://europa.eu.int/comm/echo/information/strategy/index_en.htm).

<sup>18</sup> See, for example, [www.czechembassy.org/wwwo/mzv](http://www.czechembassy.org/wwwo/mzv) and 'The Concept of the Czech Republic Foreign Aid Program for the 2002–2007 Period': [www.czechembassy.org/servis/soubor.asp?id=1560](http://www.czechembassy.org/servis/soubor.asp?id=1560).

<sup>19</sup> See the Principles of Estonian Development Co-operation at [www.mfa.ee/eng/kat\\_178/3815.html](http://www.mfa.ee/eng/kat_178/3815.html).

<sup>20</sup> See [www.ausaid.gov.au](http://www.ausaid.gov.au).

- the policy goals of humanitarian action;
- corresponding guidelines for operationalising policy for desk officers and those responsible for day-to-day decision-making; and
- a process for systematically updating policy statements.

### **Institutional architecture**

Policy is implemented through many different institutional architectures (see Box 4, page 15). This study explored how aspects of these might support GHD, and assist in making policy operational. The study found that almost all EU donors have a humanitarian unit or department which oversees or coordinates humanitarian action in collaboration with other parts of government.

The study identified the following key themes:

- *Autonomy from but links to other parts of government*

Preserving the distinctive nature of humanitarian action can be difficult when governmental structures place it in close proximity to other policy objectives. For example, most humanitarian action is managed within foreign ministries, which without appropriate safeguards could undermine its independence from foreign policy objectives. An alternative is for humanitarian action to be the responsibility of a separate development ministry (for example the UK's Department for International Development (DFID)), or a semi-autonomous operational development agency of the foreign ministry (such as Sweden's SIDA or Spain's AECI). However, there may be a tension in maintaining the distinctiveness of humanitarian action from both foreign and development cooperation policy; this study found different approaches to balancing this tension. For example in Germany humanitarian action is the responsibility of a unit within the foreign ministry, while a separate ministry is responsible for development cooperation. On the other hand, representation in the OECD-DAC traditionally rests with development ministries/departments; as OECD-DAC's responsibilities in the humanitarian field are likely to increase, this may pose a greater challenge for those governments where responsibility for the humanitarian agenda is separate from development cooperation. Different donors' definitions of humanitarian action clearly influence their structures, but it is important that they

analyse the implications of different approaches for the distinctiveness of humanitarian action.

<b>Box 4: Different architectures of EU donors</b>		
<b>Donor</b>	<b>Responsibility for humanitarian action</b>	<b>Official humanitarian assistance, 2001 (US\$m)</b>
Austria	<ul style="list-style-type: none"> <li>Department of Humanitarian Assistance and Emergency/Disaster Response, Division for Development Cooperation, MFA</li> </ul>	37
Belgium	<ul style="list-style-type: none"> <li>Department of Relief and Rehabilitation, Directorate General of Development Cooperation, MFA</li> <li>Separate multilateral department</li> </ul>	49
Cyprus	<ul style="list-style-type: none"> <li>Ministry of Foreign Affairs</li> </ul>	
Czech Republic	<ul style="list-style-type: none"> <li>Department for Development Cooperation &amp; Humanitarian Aid, MFA</li> </ul>	
Denmark	<ul style="list-style-type: none"> <li>Office for Humanitarian Affairs and NGOs, MFA</li> <li>Separate Multilateral department</li> </ul>	202
ECHO	<ul style="list-style-type: none"> <li>European Commission Humanitarian Aid Office, governed by Council Regulation (EC) N° 1257/96 of 20 June 1996</li> </ul>	529
Estonia	<ul style="list-style-type: none"> <li>Development Co-operation Division, External Economic Policy Department, Ministry of Foreign Affairs</li> </ul>	
Finland	<ul style="list-style-type: none"> <li>Unit for Humanitarian Assistance, MFA</li> </ul>	63
France	<ul style="list-style-type: none"> <li>Humanitarian Aid Delegation within MFA has coordinating responsibility; different departments/ministries hold budgets</li> </ul>	339
Germany	<ul style="list-style-type: none"> <li>Emergency taskforce in MFA has coordinating responsibility</li> <li>Separate Multilateral department in MFA</li> <li>Ministry for Economic Cooperation and Development has budget for development-orientated emergency and refugee aid, food aid, LRRD</li> </ul>	390
Greece	<ul style="list-style-type: none"> <li>Humanitarian department, MFA</li> </ul>	14
Hungary	<ul style="list-style-type: none"> <li>Department for International Development Cooperation, MFA has coordinating responsibility</li> <li>Several ministries have budget lines for humanitarian assistance</li> </ul>	
Ireland	<ul style="list-style-type: none"> <li>Emergency and Recovery Unit, Development Cooperation Ireland, MFA</li> </ul>	45
Italy	<ul style="list-style-type: none"> <li>Humanitarian Aid Unit, Department for Development Cooperation, MFA</li> </ul>	159
Latvia	<ul style="list-style-type: none"> <li>Ministry of Foreign Affairs</li> </ul>	
Lithuania	<ul style="list-style-type: none"> <li>Department of Multilateral Relations, MFA</li> </ul>	
Luxembourg	<ul style="list-style-type: none"> <li>All humanitarian aid centralised within development cooperation/MFA</li> </ul>	16
Malta	<ul style="list-style-type: none"> <li>Unit for International Development, MFA</li> </ul>	
Netherlands	<ul style="list-style-type: none"> <li>Humanitarian Aid Division, Department for Peace building and Human Rights, MFA (includes multilaterals)</li> </ul>	374
Poland	<ul style="list-style-type: none"> <li>Team for Coordination of Humanitarian Aid under Chief of National Civil Defence</li> </ul>	
Portugal	<ul style="list-style-type: none"> <li>Civil Society Support and Emergency Aid Department, Portuguese Institute for Development Assistance, MFA</li> </ul>	10
Slovakia	<ul style="list-style-type: none"> <li>Ministry of Foreign Affairs</li> </ul>	3
Slovenia	<ul style="list-style-type: none"> <li>Office for Development Cooperation and Humanitarian Assistance, MFA coordinates humanitarian interventions</li> <li>Several ministries have budgets</li> </ul>	
Spain	<ul style="list-style-type: none"> <li>Humanitarian aid, Spanish International Cooperation Agency (AECI), MFA</li> </ul>	78
Sweden	<ul style="list-style-type: none"> <li>Section for Humanitarian Affairs, MFA, coordinates with</li> <li>Division for Humanitarian Assistance and Conflict Management, Swedish International Development Cooperation Agency (SIDA), operational agency of MFA</li> </ul>	381
UK	<ul style="list-style-type: none"> <li>Conflict and Humanitarian Affairs Department, Department for International Development (Ministry separate from MFA)</li> <li>Responsibility for some humanitarian multilaterals</li> <li>Humanitarian spending partly decentralised to country desks</li> </ul>	411

*Sources: Interviews/websites, Global Humanitarian Assistance 2003 (does not include data for all new EU Members)*

This highlights the issue that, while keeping humanitarian action as a distinct objective, links need to be maintained between different parts of government to ensure a coordinated approach.<sup>21</sup> One of the most complex cases concerns links to defence and military counterparts. Some donors assert that there should be minimal dialogue with military actors in order to preserve independence and neutrality, while others engage in close cooperation. GHD Article 19 affirms the primacy of civilian organisations, and Article 20 supports the implementation of UN guidelines on the use of military and civil defence assets.<sup>22</sup> Examples of engagement include Denmark<sup>23</sup> and the Netherlands,<sup>24</sup> which have specific protocols between foreign affairs and defence ministries covering the principles, objectives and practical procedures of civil–military cooperation. ECHO launched the UN’s guidelines jointly with the UN Office for the Coordination of Humanitarian Affairs (OCHA), and intends to support the development of a field manual covering their implementation. Sweden refers to the guidelines in a forthcoming policy statement, due to be published in 2004. However, the majority of EU donors do not have clear lines for dialogue with their defence and military counterparts: this is an important area for action.

- *Operational and field capacity*

Depending on their size and priorities, some EU donors operate primarily at headquarters level, while others maintain a capacity either in the field (through embassies/representatives, such as ECHO field offices and experts), or which can be deployed rapidly to the field. France is establishing trained ‘humanitarian correspondents’ in all its embassies, to provide field-based humanitarian expertise to support decision-making in Paris.<sup>25</sup> Many Member States have a capacity to deploy humanitarian experts, civil protection/defence specialists and supplies at short

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<sup>21</sup> ‘Joined-up’ approaches often focus on shared funding, as outlined in Section 2.

<sup>22</sup> Online at [www.reliefweb.int/mcdls/mcdu/Guidelines/guidelines.html](http://www.reliefweb.int/mcdls/mcdu/Guidelines/guidelines.html); also see ‘IASC reference paper on civil–military relationship in complex emergencies’ at [www.reliefweb.int/library/documents/2004/ocha-civmil-28jun.pdf](http://www.reliefweb.int/library/documents/2004/ocha-civmil-28jun.pdf).

<sup>23</sup> Draft available from Jan Top Christensen (JANCHR@um.dk), Head of Humanitarian Department, Danida; or Eva Grambye (EVAGRA@um.dk).

<sup>24</sup> Available from Joost Andriessen, Head of Humanitarian Aid Division, Dutch Ministry of Foreign Affairs (joost.andriessen@minbuza.nl).

<sup>25</sup> Online at [www.diplomatie.gouv.fr/HUMANITAIRE/1040.html](http://www.diplomatie.gouv.fr/HUMANITAIRE/1040.html).



notice.<sup>26</sup> Deployments need to be on the basis of specific requests relating to a need for certain expertise, to avoid exacerbating coordination difficulties.

- *Decentralised and dispersed administrations*

In decentralised administrations, such as in Denmark, Spain and the UK, much humanitarian spending is undertaken by geographic regions and country offices. Humanitarian departments are attempting to standardise approaches, but this remains a challenge. Multilateral desks are often separate from development and humanitarian desks: in the UK, DFID's Conflict and Humanitarian Affairs Department attempts to keep humanitarian policy consistent by managing relations with multilateral organisations such as UNHCR. Country-specific policy approaches, however, can be *ad hoc*. Where a number of ministries hold humanitarian aid budgets, as in France, an effective model may be a humanitarian aid unit, with responsibility for coordinating different parts of government and ensuring that consistent standards are applied. Over half of EU donors have specific humanitarian budget lines within national and ministry budgets, while several others have plans to develop them or bring them under the responsibility of a central unit.

### **Accountability, communications and advocacy**

Accountability, communications and advocacy are closely linked. Humanitarian departments need to advocate for humanitarian action and communicate their policies among stakeholders – parliament, other areas of government, the public, NGOs and beneficiaries – both to build support and as a means of providing accountability.

#### *Parliament and the public*

Parliamentary questions and committees are often the primary formal means of scrutinising a government's activities, as well as reviews by national audit offices (in the UK<sup>27</sup> and Denmark, for instance). In Germany there is a specific parliamentary committee for human rights and humanitarian aid.<sup>28</sup> In other states, foreign policy or development committees include humanitarian aid within their remit (for example, the

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<sup>26</sup> Including the Czech Republic, Denmark, France, Poland, Spain, Sweden and the UK; the EU's Civil Protection Mechanism may provide coordination.

<sup>27</sup> The UK National Audit Office report on UK humanitarian aid which mentioned GHD is online at [www.nao.org.uk/publications/nao\\_reports/02-03/02031227.pdf](http://www.nao.org.uk/publications/nao_reports/02-03/02031227.pdf).

<sup>28</sup> Online at [www.bundestag.de/htdocs\\_e/orga/03organs/04commit/02commper/comm18.html](http://www.bundestag.de/htdocs_e/orga/03organs/04commit/02commper/comm18.html).

UK's International Development Committee<sup>29</sup> and Ireland's Joint Committee on Foreign Affairs). In the UK, accountability is also provided by DFID's commitment to targets within the Treasury-led Public Service Agreements, which for 2005–2008 include specific commitments based on GHD.<sup>30</sup>

Informal processes building public awareness complement these parliamentary processes. A number of new Member States are undertaking public education campaigns to increase awareness of their obligations to assist populations outside their borders. In the Czech Republic, Poland and Slovakia, public opinion polls and development education, including humanitarian education programmes, are planned or being advanced. The European Parliament plays a role in both scrutiny of ECHO decisions and enhancing awareness of humanitarian issues at the EU level.

#### *Non-governmental organisations*

Consistent with GHD Article 10 on the role of NGOs, many EU donors meet national humanitarian NGOs in a variety of formal and informal fora. The German Humanitarian Aid Coordinating Committee, comprising 19 representatives of German NGOs and federal ministries, meets formally every two months as a platform for dialogue and coordination, with special meetings on major crises.<sup>31</sup>

In Denmark, the Humanitarian Contact Group (HCG) is an informal body for planning and coordinating Danish humanitarian assistance, with representatives of NGOs and the government. A sub-group of the HCG has initiated common training programmes in international humanitarian law,<sup>32</sup> security and the Sphere standards<sup>33</sup> for representatives of Danish ministries, the military, police, civil defence and NGOs.

There are other examples of regular consultations in France,<sup>34</sup> the Netherlands, Sweden and Ireland,<sup>35</sup> and consultation is also central to ECHO's Framework

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<sup>29</sup> Online at [www.parliament.uk/parliamentary\\_committees/international\\_development.cfm](http://www.parliament.uk/parliamentary_committees/international_development.cfm).

<sup>30</sup> Commitments include increasing the percentage of unearmarked funding to 45% by 2008/9. See [www2.dfid.gov.uk/pubs/files//psa/index.asp](http://www2.dfid.gov.uk/pubs/files//psa/index.asp).

<sup>31</sup> Online at [www.auswaertiges-amt.de/www/en/aussenpolitik/humanitaere\\_hilfe/koordinierungsausschuss\\_html](http://www.auswaertiges-amt.de/www/en/aussenpolitik/humanitaere_hilfe/koordinierungsausschuss_html).

<sup>32</sup> GHD Article 4.

<sup>33</sup> GHD Article 15.

<sup>34</sup> France has established an 'Emergency humanitarian aid steering council', including private sector representatives. See [www.diplomatie.gouv.fr/actu/impression.gb.asp?ART+41248](http://www.diplomatie.gouv.fr/actu/impression.gb.asp?ART+41248).

Partnership Agreement approach.<sup>36</sup> There has, however, been limited dialogue with NGOs on operationalising GHD, although attempts to do so have been made in Denmark, Sweden and Ireland.

### *Beneficiaries*

Greater participation of affected populations in disaster preparedness, planning and response has been the aim of the humanitarian sector for many years, and this is reflected in policies and codes including Sphere, the Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief and GHD. However, the system is still failing to adequately consult with and involve affected populations in humanitarian action.<sup>37</sup> Whilst many Member States highlight the importance of involving beneficiaries in the planning and implementation of humanitarian action in line with GHD Article 7, this has not been widely formalised in policy, monitored or evaluated.<sup>38</sup>

There are structural obstacles to greater participation, and greater efforts need to be made to identify and address these obstacles. Member States need to be part of this process in terms of analysis, the examination of existing modalities, the development of new approaches and the ways in which they fund beneficiary involvement.

### *Other donors*

The GHD Implementation Plan calls for advocacy on GHD towards all official donors. ECHO has been playing an important role in promoting GHD among Member States and supporting coordinated approaches, in particular by making GHD a permanent fixture on the agenda of the Humanitarian Aid Committee, and by fostering an official mentoring scheme for new Members' humanitarian departments. France has provided training support to Hungary, and the Scandinavian EU Members are mentoring the Baltic States. Other mentoring partnerships should be pursued, and

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<sup>35</sup> Ireland has set up three cluster groups of Irish humanitarian NGOs, which will meet regularly with the government to discuss specific crises as well as broader policy, such as civil–military issues.

<sup>36</sup> ECHO FPA online at [europa.eu.int/comm/echo/partners/fpa\\_ngos\\_en.htm](http://europa.eu.int/comm/echo/partners/fpa_ngos_en.htm).

<sup>37</sup> ALNAP (2003) *Participation by Crisis-Affected Populations in Humanitarian Action: A Handbook for Practitioners*. London: ALNAP, [www.alnap.org/pubs/pdfs/GS\\_Handbook.pdf](http://www.alnap.org/pubs/pdfs/GS_Handbook.pdf).

<sup>38</sup> See Hofmann, C.-A. et al. (2004), *Measuring the Impact of Humanitarian Assistance: A Review of Current Practice*, which recommends the use of participatory as well as more quantitative methods of impact assessment ([www.odi.org.uk/hpg/papers/hpgreport17.pdf](http://www.odi.org.uk/hpg/papers/hpgreport17.pdf)).

there is an opportunity to explore other ways in which donors can learn from each other in policy development, whether through informal bilateral contacts or more formal fora such as the HAC and the OECD-DAC.

Communications on progress with GHD have been relatively limited: there is a GHD portal on Reliefweb<sup>39</sup> and SIDA has established a website which includes a section on GHD,<sup>40</sup> but further focus on a communications strategy would be merited. Member States may also be interested in the guidelines produced by Switzerland on approaches to humanitarian advocacy, including a code of conduct.<sup>41</sup>

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<sup>39</sup> See [www.reliefweb.int/ghd](http://www.reliefweb.int/ghd).

<sup>40</sup> See [www.sida.se/Sida/jsp/polopoly.jsp?d=2742&a=21882](http://www.sida.se/Sida/jsp/polopoly.jsp?d=2742&a=21882).

<sup>41</sup> Online at [www.sdc.admin.ch/ressources/deza\\_product\\_en\\_853.pdf](http://www.sdc.admin.ch/ressources/deza_product_en_853.pdf).

## **Section 2: Planning, preparedness and response**

Good practice in GHD is clearly as much about implementing policies as formulating them. This section reviews the ways in which EU donors are putting GHD into practice. This follows the stages in a typical project cycle, from preparedness through needs assessment to policy relations with implementing partners and funding arrangements.

### **Pre-crisis**

Disaster preparedness and risk reduction are a stated aim of many Member States, consistent with GHD Article 8, which focuses on strengthening local capacity to prevent and respond to humanitarian crises.<sup>42</sup> Activities in the area, however, remain under-funded. The UK is undertaking a study into the links between disaster risk reduction and poverty, in order to assess its contribution towards achieving the Millennium Development Goals. Some donors mainstream risk reduction throughout their development programmes, or support ECHO through its DIPECHO (Disaster Preparedness ECHO) programme as an alternative to developing their own specialist capacity.<sup>43</sup>

Approximately half of EU donors have formalised strategic partnerships with international organisations. This is discussed below; in the pre-crisis phase, this involves providing funding in advance of emergencies. Strategic partnerships provide predictability for agencies in assessing whether funds will be received, with the intention that agencies can improve planning and preparedness as well as increasing the independence and impartiality of the response.<sup>44</sup>

### **Needs assessment and decision-making**

A central principle of humanitarian action, embodied in GHD articles 2 and 6, is impartiality – responding in proportion to need and on the basis of needs assessments.

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<sup>42</sup> Useful reference resources are Twigg, J. (2004) *Disaster Risk Reduction: Mitigation and Preparedness in Development and Emergency Planning*. London: ODI, and the World Disasters Report at [www.ifrc.org/publicat/wdr2003/](http://www.ifrc.org/publicat/wdr2003/).

<sup>43</sup> Online at [europa.eu.int/comm/echo/field/dipecho/index\\_en.htm](http://europa.eu.int/comm/echo/field/dipecho/index_en.htm). A new strategy was agreed in 2003 for DIPECHO.

<sup>44</sup> GHD articles 5, 6, 12. Ireland provides start-up funding in advance to partner NGOs to assist in a more rapid response in the event of sudden-onset emergencies.

Many EU donors identified this as an area where more tools were needed; problems of competing objectives and scarce baseline data, for example, should be addressed.

Donors need to make resource allocation and policy decisions both between and within crises. One of the most systematised examples of global assessment is ECHO's 'Global humanitarian Needs Assessment' (GNA), which informs decisions on global funding allocation based on scoring crises against a standard set of indicators, complemented by ECHO field assessments.<sup>45</sup>

At least eight EU donors have a policy of targeting 'forgotten' emergencies (emergencies which are out of the media spotlight, such as northern Uganda). ECHO uses a tool similar to GNA in order to target funds and advocacy operations to raise public awareness and attract further donor attention.<sup>46</sup> It would be beneficial to assess the extent to which these policies are having an impact on levels of funding and engagement, since many emergencies still appear to be 'forgotten'.

EU donors also tend to use the annual UN-led Inter-Agency Consolidated Appeal Process (CAP) and Common Humanitarian Action Plan (CHAP) as part of identifying needs and informing strategies for response. Luxembourg, the Netherlands and Sweden, for example, undertake their annual planning in response to the launch of the CAP, and aim to fund primarily through the CAP. Sweden now has a practice of contributing to most Consolidated Appeals, while the Netherlands allocates 90% of its humanitarian funding against the CAP each January.<sup>47</sup> Many donors prefer to fund projects which are in the CAP; some, such as the Netherlands, require partners to demonstrate participation in CHAP activities in their proposals. At the same time, however, large parts of most Appeals remain unfunded and donors direct a substantial proportion of their funding to NGOs outside of the CAP, reflecting the weaknesses they and their partners perceive in the CAP/CHAP. Some donors are supporting reform of the CAP/CHAP through the Montreux process.

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<sup>45</sup> Online at [europa.eu.int/comm/echo/information/strategy/index\\_en.htm](http://europa.eu.int/comm/echo/information/strategy/index_en.htm); see Darcy, J. et al. (2003) *According to Need? Needs Assessment and Decision-Making in the Humanitarian Sector*, HPG Report 15. London: ODI, [www.odi.org.uk/hpg/papers/hpgreport15.pdf](http://www.odi.org.uk/hpg/papers/hpgreport15.pdf).

<sup>46</sup> Online at [europa.eu.int/comm/echo/information/strategy/index\\_en.htm](http://europa.eu.int/comm/echo/information/strategy/index_en.htm).

<sup>47</sup> The remaining 10% is held back to respond to rapid-onset emergencies, or as a contingency to avoid the need to redirect funds from ongoing crises to new ones (GHD Article 12).

An important development supported by many donors is the piloting of the IASC Needs Assessment Framework & Matrix (NAFM).<sup>48</sup> This aims to provide a comprehensive, sector-by-sector analysis of needs, risks and vulnerabilities. It is being piloted in Burundi and the Democratic Republic of Congo (DRC), the pilot countries for implementation of GHD (Implementation Plan item 1: see Box 5). A further stage towards prioritising needs assessment would be to fund it as a separate activity from project proposals. This recommendation has not yet been implemented among EU donors.<sup>49</sup>

### Partnerships and funding mechanisms

Long-term strategic relationships with implementing organisations can build trust and dialogue and improve the quality of humanitarian response. These partnerships are the vehicle through which much of GHD is being pursued, contributing to predictability of funding and support for standards, for example.<sup>50</sup> At the same time, donors need to be mindful of the burden a variety of bilateral partnerships places on agencies (see Box 7, page 29).

#### NGOs

The ECHO Framework Partnership Agreement (FPA) is the most detailed strategic relationship with NGOs. It covers the rights and responsibilities of implementing NGO partners, including their commitment to upholding humanitarian principles. The recently revised FPA involves an initial vetting process to establish financial and administrative viability, and consistency of objectives with ECHO.<sup>51</sup> It also stipulates that proposals and reports are submitted based on the definition of clear objectives and

#### Box 5: Piloting GHD in Burundi and DRC

The GHD Implementation Plan entails piloting GHD in at least one country subject to a CAP.

Belgium is co-chairing (with the US) the pilot in the DRC, while the UK is chairing the pilot in Burundi, in both cases working closely with OCHA. OCHA is piloting the NAFM in these countries.

The UK commissioned a baseline evaluation for the Burundi pilot and the US/Belgian co-chairs have developed impact indicators for the DRC pilot. ECHO has also been closely engaged in the DRC pilot.

The UK, the US and Canada briefed the IASC Working Group in Geneva on the pilots on 17 June 2004.

All EU donors agreed that the pilots need continued engagement and refinement to ensure that they achieve their objectives, which some Members noted were very unclear.

<sup>48</sup> Online at [www.reliefweb.int/cap/Policy/CAP\\_PolicyDoc.html](http://www.reliefweb.int/cap/Policy/CAP_PolicyDoc.html).

<sup>49</sup> From Darcy et al., *According to Need?*.

<sup>50</sup> GHD Articles 12, 15, 16.

<sup>51</sup> Online at [europa.eu.int/comm/echo/partners/appel\\_en.htm](http://europa.eu.int/comm/echo/partners/appel_en.htm).

indicators to better measure and assess performance, and requires a commitment to annual consultation. Ireland's Multi-Annual Programme Scheme (MAPS)<sup>52</sup> and the UK's Partnership Programme Agreement (PPA)<sup>53</sup> are examples of strategic relationships in which core, multi-year funding is provided to selected NGOs.<sup>54</sup> Some EU donors such as SIDA also require NGO partners to sign up to the Red Cross/NGO Code of Conduct: this should be an important point of reference in increasing awareness of humanitarian principles, but it is not clear to what extent donors evaluate their partners against it.

Good practice in GHD should emphasise clear and transparent dialogue. A practical expression of this is the publication of guidelines for NGOs on funding priorities and proposal requirements, as illustrated by examples from ECHO,<sup>55</sup> Ireland,<sup>56</sup> the Netherlands and the UK.<sup>57</sup>

### *Multilaterals*

EU donors have developed a number of partnership arrangements for multilateral agencies. At least ten EU donors undertake annual consultations with the UN humanitarian agencies and the Red Cross family to discuss progress, priorities and concerns. In the UK, these partnerships are described in Institutional Strategy Papers (ISPs), which agree a shared agenda of institutional change against a multi-year core funding commitment.<sup>58</sup> Core funding for multilaterals is also provided by Belgium, Denmark, Finland, Ireland, the Netherlands and Sweden. There is some coordination of strategic approaches among Nordic countries, but there is scope for further harmonisation. Italy and Luxembourg provide indications of available funding for the coming year, which certain multilaterals can apply for as crises and funding needs emerge. ECHO undertakes a Strategic Programming Dialogue with UN partners,

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<sup>52</sup> DCI Multi-Annual Programme Scheme, [www.dci.gov.ie/article.asp?article=201](http://www.dci.gov.ie/article.asp?article=201).

<sup>53</sup> DFID Partnership Programme Agreements are online at [www.dfid.gov.uk/AboutDFID/Files/civilsociety/Csd-ppa.htm](http://www.dfid.gov.uk/AboutDFID/Files/civilsociety/Csd-ppa.htm).

<sup>54</sup> GHD Articles 12, 13 and 18.

<sup>55</sup> Proposals to ECHO should conform to the relevant geographical strategy (Global Plan) and be submitted by FPA NGOs on the 'Single form' used for both proposal and reporting, available at [europa.eu.int/comm/echo/other\\_files/partnership/proposal\\_en.doc](http://europa.eu.int/comm/echo/other_files/partnership/proposal_en.doc).

<sup>56</sup> Online at [www.dci.gov.ie/Uploads/APPLIC03.DOC](http://www.dci.gov.ie/Uploads/APPLIC03.DOC).

<sup>57</sup> Online at [www.dfid.gov.uk/faqs/files/guidelines\\_on\\_humanitarian\\_assistance\\_v5.0a.doc](http://www.dfid.gov.uk/faqs/files/guidelines_on_humanitarian_assistance_v5.0a.doc).

<sup>58</sup> DFID-ICRC ISP online at [www.dfid.gov.uk/Pubs/files/isp\\_icrc\\_02\\_06.pdf](http://www.dfid.gov.uk/Pubs/files/isp_icrc_02_06.pdf); DFID-UNHCR ISP at [www.dfid.gov.uk/Pubs/files/dfid\\_unhcr\\_isp.pdf](http://www.dfid.gov.uk/Pubs/files/dfid_unhcr_isp.pdf).



underpinned by the Financial and Administrative Framework Agreement (FAFA).<sup>59</sup> ECHO's new 'thematic funding' aims to provide support for core initiatives that enable its multilateral partners to improve performance.<sup>60</sup>

Flexibility of funding is reflected in the GHD document in Article 12. This study identified eight EU donors which are reducing earmarking to enable multilateral organisations to prioritise according to need, although more specificity is required regarding the level and type of earmarking. DFID has a target agreed with the UK Treasury for reducing the proportion of earmarked funding. Luxembourg has reduced earmarking to the regional level, while Finland and Denmark have a policy of minimal earmarking. Sweden earmarks funding only after discussion and negotiation with its partner agencies. The UK is also planning a study on the advantages and disadvantages of different funding modalities, including the impact of earmarking.

#### *Contingency funds*

This study found that few EU donors have formalised mechanisms for funding additional emergencies out of specific contingency reserve funds, relying instead on transferring budgets from underspent areas. This potentially undermines GHD Article 11, which states that donors should strive to ensure that new crises do not adversely affect funding for ongoing crises. This should be an area of further focus.

#### **Quality initiatives: enhancing implementation**

GHD articles 15, 16 and 21 reflect a commitment to support system-wide approaches to improving the quality and accountability of humanitarian response. A number of EU donors, notably Ireland and the Netherlands, provide both funding and support to steering bodies or standards and accountability organisations, such as the Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP), Humanitarian Accountability Partnership International, Sphere, Project Quality Compass, People in Aid and the International Council of Voluntary Agencies (ICVA).

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<sup>59</sup> See [europa.eu.int/comm/echo/partners/un\\_en.htm](http://europa.eu.int/comm/echo/partners/un_en.htm).

<sup>60</sup> In 2003, ECHO assisted UNHCR in improving its processes of refugee registration. Thematic funding is outlined further in ECHO's 2004 strategy, online at [europa.eu.int/comm/echo/pdf\\_files/strategy/2004/strategy2004\\_en.pdf](http://europa.eu.int/comm/echo/pdf_files/strategy/2004/strategy2004_en.pdf).

### **New funding models**

An increasing number of EU donors have begun to earmark funds for activities in the ‘grey zone’ between emergency relief operations and longer-term development programmes.<sup>61</sup> These instruments have a mixture of objectives, including human security, rehabilitation assistance, coherence of governmental responses and aid effectiveness. Examples include ECHO’s Global Plans and the European Commission’s Humanitarian Plus funding; the Netherlands’ Stability Fund; the UK’s Global Conflict Prevention Pools; and Ireland’s Emergency Preparedness and Post-Emergency Recovery Fund. Instruments outside the EU include Norway’s Transitional ‘Gap’ fund.

These new approaches challenge the consensus at Stockholm that humanitarian assistance is a distinctive form of aid, and needs to be treated as such. The blending of objectives within the instrumentation complicates the perception that humanitarian assistance is delivered in a neutral, independent and impartial manner.

There is clearly a need for more flexible and sustained forms of funding in protracted crises, and a desire on the part of donors to invest in nascent peace processes even whilst conflict continues and humanitarian needs remain. Difficult dilemmas are raised by the need to maintain a commitment to the delivery of humanitarian assistance according to key principles, and at the same time allowing other forms of engagement and investment.

Monitoring activities and spending trends under these new instruments is also complicated, first because they often involve different ministries and agencies, and secondly because not all of this spending is counted as official development assistance (ODA).<sup>62</sup> One of the important challenges that needs to be addressed is developing a facility to record ‘transitional’ expenditure. This study did not identify any Member State which had systematically addressed this, and it is an area where more strategic

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<sup>61</sup> GHD Article 9.

<sup>62</sup> For expenditure to qualify as ODA, it has to meet several conditions: it must have economic development or welfare as its primary purpose; it must come from a government and it must go to a defined list of developing countries; and it must be a grant or a concessional loan with a grant element of at least 25%. Expenditure outside ODA is not subject to the same rules, and comparisons between countries are therefore more difficult. (Development Initiatives, 2003: 60).

dialogue is needed between states, along with consensus around the relationship of these instruments to more traditional forms of humanitarian assistance.

Approaches to transition are often tailored to specific countries, rather than institutionalised, but there are examples of centralised structures. Ireland co-locates humanitarian aid with recovery aid in its Emergency & Recovery Unit to enable transition issues to be addressed. This approach requires careful management to ensure that the GHD commitment to humanitarian assistance as a distinctive form of aid is upheld. In Germany, linking relief, recovery and development (LRRD) is the responsibility of the Ministry for Economic Cooperation and Development; the humanitarian aid unit in the MFA focuses strictly on humanitarian spending.

### Section 3: Monitoring and evaluation

This study found that good practice in GHD places a clear emphasis on linking implementation back to strategy and accountability by monitoring performance, evaluating impact and learning lessons in a transparent manner. Greater investment in system- and sector-wide evaluations is needed. A crucial focus needs to be analysing the impact of humanitarian response.<sup>63</sup>

#### Donors

Donors have invested considerable resources in systems to measure the performance of implementing partners, but there are relatively few examples of formal systems for the ongoing measurement of donor performance, as called for in GHD Article 22. These could usefully incorporate aspects of GHD in benchmarking performance. The UK's Public Service Agreement targets (see above, on accountability) illustrate one way in which specific targets related to GHD may be set. ECHO's management systems are one

#### Box 6: OECD-DAC peer reviews

The GHD Implementation Plan (point 2) calls for donors to invite the OECD-DAC to consider ways to strengthen the coverage of humanitarian action in peer reviews.

The OECD-DAC decided in March 2004 to seek to standardise and increase coverage of humanitarian assistance in peer reviews, and DAC members endorsed an assessment framework. This is being used for this year's peer reviews of Norway and Australia. Peer reviews are scheduled in 2005 for Belgium, Sweden and the UK within the EU, as well as New Zealand and Switzerland.

The Swedish secondee to the OECD-DAC has played an important part in this process.

of the most advanced, allowing it to measure progress in its strategic priorities through a cascade of reporting from implementing partners.<sup>64</sup> Donors also need to develop frameworks to measure their own progress towards achieving the goals of GHD.

There are several evaluations of donor programmes, past and forthcoming, which illustrate how lessons can be learned.<sup>65</sup> Based on a commitment of adequate

<sup>63</sup> The HPG research report *Measuring the Impact of Humanitarian Aid* (Hofmann et al., 2004) highlights the importance of and challenges in improving the way that impact is measured. Online at [www.odi.org.uk/hpg/papers/hpgreport17.pdf](http://www.odi.org.uk/hpg/papers/hpgreport17.pdf).

<sup>64</sup> ECHO's strategic priorities are: intervention in areas of greatest need, a focus on forgotten crises and addressing four priorities: disaster preparedness, linking relief, rehabilitation and development (LRRD), child-related activities and water.

<sup>65</sup> Finland, ECHO (forthcoming), Danida 1999 – [www.evaluation.dk](http://www.evaluation.dk), DFID National Audit Office report 2003 – [www.nao.gov.uk](http://www.nao.gov.uk).

resources, evaluations of donor performance in humanitarian action will increasingly occur through the OECD-DAC Peer Reviews (see Box 6, previous page), although donors should review their programmes more often than provided for in the DAC peer review cycle.

An example of good practice in multi-donor evaluation can be found in the coordinated approach of the ‘Nordic Plus’ group (the Nordic states plus the Netherlands, the UK and ECHO). Although this focuses on donor response to internal displacement, it often evaluates the response more broadly. This approach is innovative, both in explicitly evaluating humanitarian responses from a sector-wide perspective, and in coordinating the evaluation among several states so as to avoid duplication and reduce the burden on implementing partners.<sup>66</sup> Further harmonisation of evaluation approaches along these lines would be welcome.

**Box 7: Harmonising donor approaches**

The Stockholm Implementation Plan (point 3) calls for donors to explore harmonising reporting requirements and management demands on implementing organisations.

Denmark is chairing the sub-group on harmonisation, based in Geneva. The initial focus has been on OCHA, ICRC and UNHCR. The sub-group has collated reporting requirements and is now seeking to pinpoint common points and diverging policies. The aim is for more donors to accept the annual report of these three institutions as their only source of reporting from 2005. The sub-group has also begun to map management demands.

Many donors are working to reduce the burden of reporting where possible, within administrative constraints. For example, Sweden has, for the three selected agencies, reduced reporting requirements to their annual reports.

**Implementing partners**

A small number of EU donors are developing formal systems to monitor the performance of implementing partners, but many are constrained by a lack of tools or capacity. Some donors are wary of over-bureaucratising the relationship, and clearly within GHD there is a need to consider the demands this may place on partner organisations in terms of reporting and management (see Box 7). It is critical that donors have the capacity to interpret reports, so that they become tools for learning rather than simply bureaucratic requirements.

<sup>66</sup> The ‘Nordic Plus’ evaluation of Afghanistan is being commissioned. See [www.um.dk/en/menu/DevelopmentPolicy/BusinessCooperation/ContractSecretariat/ContractNotices/tenderafgan.htm](http://www.um.dk/en/menu/DevelopmentPolicy/BusinessCooperation/ContractSecretariat/ContractNotices/tenderafgan.htm). A previous evaluation of Angola is available at [danida.netboghandel.dk/PUBL.asp?page=publ&objno=250000356](http://danida.netboghandel.dk/PUBL.asp?page=publ&objno=250000356). A synthesis study of 14 different IDP evaluations will be available later in 2004.

ECHO has invested significant resources in improving NGO reporting systems in line with the Commission's requirements for Activity Based Management.<sup>67</sup> New reporting guidelines should facilitate the monitoring of aid strategy, funding decisions and the assessment of partners, using a results-based approach focusing on the definition of clear objectives and indicators.<sup>68</sup>

Evaluations are a key point in the project cycle, and many EU donors have invested resources to improve learning and accountability. Good practice involves an operationally independent evaluation department, which undertakes periodic evaluations of partners, sectors and themes. Evaluation guidelines such as those of Denmark,<sup>69</sup> the Netherlands, Sweden and the UK tend to be generic for all programmes. Further work could usefully develop specific humanitarian evaluation guidelines, and the involvement of specifically humanitarian expertise could add value. ECHO's approach to evaluations provides a useful resource,<sup>70</sup> as do ALNAP training modules.<sup>71</sup>

Wider impact and learning can be derived where evaluations are published rather than remaining internal. Ireland has recently evaluated the performance of its partners in Afghanistan and Malawi through a transparent and consultative approach with partners (to be published shortly on [www.dci.gov.ie](http://www.dci.gov.ie)). Independent external evaluations are valuable in bringing to bear specifically humanitarian expertise, as well as for accountability purposes.

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<sup>67</sup> Online at [europa.eu.int/comm/echo/partners/fpa\\_ngos\\_en.htm](http://europa.eu.int/comm/echo/partners/fpa_ngos_en.htm).

<sup>68</sup> EU donors may also be interested in the US-based inter-agency SMART initiative, which identifies a common set of indicators to assist in needs assessment and performance monitoring. See [www.smartindicators.org/about.htm](http://www.smartindicators.org/about.htm).

<sup>69</sup> Online at [www.um.dk/en/menu/DevelopmentPolicy/Evaluations](http://www.um.dk/en/menu/DevelopmentPolicy/Evaluations).

<sup>70</sup> Online at [europa.eu.int/comm/echo/evaluation/index\\_en.htm](http://europa.eu.int/comm/echo/evaluation/index_en.htm).

<sup>71</sup> Online at [www.alnap.org/training.html](http://www.alnap.org/training.html).

## **Conclusion**

The GHD agenda is an ambitious one. This study found that progress is being made within the EU, and examples of good practice in GHD are in evidence at all stages of the policy and project cycle.

These examples provide a tangible and positive illustration of how much EU donors can achieve, individually and collectively, in improving the effectiveness and quality of humanitarian donorship. In addition to providing a practical tool for Member States to identify their own good practice, these findings might both inform and inspire efforts to advance those aspects of GHD on which progress could be accelerated. Areas that could benefit include a framework to operationalise the principles and good practice committed to in the GHD initiative; the definition of humanitarian action; further investment in decision-making criteria and needs assessment processes; beneficiary involvement; civil–military relations; and impact analysis. Investment in coordination, the harmonisation of approaches and information-sharing between donors would also be welcome.

The GHD definitions sub-group has made good progress with the definitions agenda with the OECD-DAC and OCHA FTS. A recurring issue is how to maintain the distinctiveness of humanitarian action from other policy objectives, and from other forms of aid. Continued, broad-based engagement within the OECD-DAC to advance these efforts is needed by all Member States.

On decision-making and prioritisation of response, the study found that EU donors are concerned to improve needs assessment, but this requires increased funding of assessment methodologies, as well as funding independent needs assessments for specific crises and identifying criteria for decision-making. Member States should also examine existing tools and encourage further examination of new approaches to ensure beneficiary involvement.

In the area of civil–military relations, EU donors need to build on progress by engaging in a domestic policy dialogue and formalising lines of communication with defence/military counterparts.

Finally, evaluations generally focus on financial accountability and lesson learning. An area of crucial additional focus would be to develop tools to analyse the impact of interventions. Progress in harmonising donor approaches here provides a useful example of how donors could coordinate effectively across the whole range of their activities.

EU donors, including ECHO, represent the world's largest humanitarian donor grouping and provide the world's major source of humanitarian aid financing. They are uniquely placed to make progress in GHD, and have a responsibility to do so, in partnership with the international donor and assistance community, drawing on a wealth of diverse and creative approaches to address today's complex humanitarian crises.



## Annex A: GHD documents

### Principles and Good Practice of Humanitarian Donorship

Endorsed in Stockholm, 17 June 2003

#### Objectives and definition of humanitarian action

1. The objectives of humanitarian action are to save lives, alleviate suffering and maintain human dignity during and in the aftermath of man-made crises and natural disasters, as well as to prevent and strengthen preparedness for the occurrence of such situations.
2. Humanitarian action should be guided by the humanitarian principles of *humanity*, meaning the centrality of saving human lives and alleviating suffering wherever it is found; *impartiality*, meaning the implementation of actions solely on the basis of need, without discrimination between or within affected populations; *neutrality*, meaning that humanitarian action must not favour any side in an armed conflict or other dispute where such action is carried out; and *independence*, meaning the autonomy of humanitarian objectives from the political, economic, military or other objectives that any actor may hold with regard to areas where humanitarian action is being implemented.
3. Humanitarian action includes the protection of civilians and those no longer taking part in hostilities, and the provision of food, water and sanitation, shelter, health services and other items of assistance, undertaken for the benefit of affected people and to facilitate the return to normal lives and livelihoods.
4. General principles
5. Respect and promote the implementation of international humanitarian law, refugee law and human rights.

6. While reaffirming the primary responsibility of states for the victims of humanitarian emergencies within their own borders, strive to ensure flexible and timely funding, on the basis of the collective obligation of striving to meet humanitarian needs.
7. Allocate humanitarian funding in proportion to needs and on the basis of needs assessments.
8. Request implementing humanitarian organisations to ensure, to the greatest possible extent, adequate involvement of beneficiaries in the design, implementation, monitoring and evaluation of humanitarian response.
9. Strengthen the capacity of affected countries and local communities to prevent, prepare for, mitigate and respond to humanitarian crises, with the goal of ensuring that governments and local communities are better able to meet their responsibilities and co-ordinate effectively with humanitarian partners.
10. Provide humanitarian assistance in ways that are supportive of recovery and long-term development, striving to ensure support, where appropriate, to the maintenance and return of sustainable livelihoods and transitions from humanitarian relief to recovery and development activities.
11. Support and promote the central and unique role of the United Nations in providing leadership and co-ordination of international humanitarian action, the special role of the International Committee of the Red Cross, and the vital role of the United Nations, the International Red Cross and Red Crescent Movement and non-governmental organisations in implementing humanitarian action.

12. Good practices in donor financing, management and accountability

*(a) Funding*

13. Strive to ensure that funding of humanitarian action in new crises does not adversely affect the meeting of needs in ongoing crises.
14. Recognising the necessity of dynamic and flexible response to changing needs in humanitarian crises, strive to ensure predictability and flexibility in funding to United Nations agencies, funds and programmes and to other key humanitarian organisations.
15. While stressing the importance of transparent and strategic priority-setting and financial planning by implementing organisations, explore the possibility of reducing, or enhancing the flexibility of, earmarking, and of introducing longer-term funding arrangements.
16. Contribute responsibly, and on the basis of burden-sharing, to United Nations Consolidated Inter-Agency Appeals and to International Red Cross and Red Crescent Movement appeals, and actively support the formulation of Common Humanitarian Action Plans (CHAP) as the primary instrument for strategic planning, prioritisation and co-ordination in complex emergencies.
17. *(b) Promoting standards and enhancing implementation*
18. Request that implementing humanitarian organisations fully adhere to good practice and are committed to promoting accountability, efficiency and effectiveness in implementing humanitarian action.
19. Promote the use of Inter-Agency Standing Committee guidelines and principles on humanitarian activities, the Guiding Principles on Internal Displacement and the 1994 Code of Conduct for the International Red Cross

and Red Crescent Movement and Non-Governmental Organisations (NGOs) in Disaster Relief.

20. Maintain readiness to offer support to the implementation of humanitarian action, including the facilitation of safe humanitarian access.
21. Support mechanisms for contingency planning by humanitarian organisations, including, as appropriate, allocation of funding, to strengthen capacities for response.
22. Affirm the primary position of civilian organisations in implementing humanitarian action, particularly in areas affected by armed conflict. In situations where military capacity and assets are used to support the implementation of humanitarian action, ensure that such use is in conformity with international humanitarian law and humanitarian principles, and recognises the leading role of humanitarian organisations.
23. Support the implementation of the 1994 Guidelines on the Use of Military and Civil Defence Assets in Disaster Relief and the 2003 Guidelines on the Use of Military and Civil Defence Assets to Support United Nations Humanitarian Activities in Complex Emergencies.
24. *(c) Learning and accountability*
25. Support learning and accountability initiatives for the effective and efficient implementation of humanitarian action.
26. Encourage regular evaluations of international responses to humanitarian crises, including assessments of donor performance.
27. Ensure a high degree of accuracy, timeliness, and transparency in donor reporting on official humanitarian assistance spending, and encourage the development of standardised formats for such reporting.

## **Implementation Plan for Good Humanitarian Donorship**

Elaborated in Stockholm, 17 June 2003

With the aim of enhancing humanitarian response through strengthened co-ordination, effectiveness and accountability, donors endorsed the Principles and Good Practice of Humanitarian Donorship and elaborated the Implementation Plan detailed below.

Donors further agreed that the follow-up measures in the Implementation Plan would be taken in partnership with humanitarian organisations and in full consideration of the outcomes of the Humanitarian Financing Work Programme, of the Montreux Process on improving the United Nations Consolidated Inter-Agency Appeals Process, and of other relevant processes.

1. Interested donors will identify, in consultation with humanitarian organisations, at least one crisis subject to a Consolidated Inter-Agency Appeal, to which the Principles and Good Practice of Humanitarian Donorship will be applied in a concerted and co-ordinated manner no later than 2005. Preparatory work for this purpose will begin immediately.
2. Emphasising the importance of peer reviews of humanitarian action, donors will invite the OECD Development Assistance Committee (DAC) to consider ways to significantly strengthen the coverage of humanitarian action in existing and/or complementary peer reviews. Necessary resources to strengthen the capacity of the DAC secretariat could be provided on a voluntary basis.
3. Drawing on agreed donor progress within the field of development co-operation, including relevant elements of the Rome Declaration on Harmonization of 25 February 2003, donors undertake to jointly explore the possibility of harmonising reporting requirements and management demands placed upon implementing humanitarian organisations. Donors decided to pursue this aim beginning with a pilot case.

4. Donors will aim, in consultation with the United Nations and the OECD-DAC, to agree on a comprehensive common definition of official humanitarian assistance for reporting and statistical purposes, including clarity of definitions between multilateral and bilateral humanitarian assistance.
5. Participating donors will seek to promote the wider use among all official donors of the Principles and Good Practice of Humanitarian Donorship, and to invite all interested donors to participate in the follow-up of this Plan.

With the objective of effectively pursuing and further developing the aims outlined in this Plan, and of ensuring appropriate co-ordination with other ongoing processes, donors agreed to establish an informal Implementation Group for Good Humanitarian Donorship.

The Implementation Group will consist of interested donors and other humanitarian partners as appropriate. The Implementation Group will, unless otherwise decided, exist for one year and will be based at Geneva.

The Implementation Group may suggest the convening of a meeting in one year to review the realisation of this Plan and other relevant developments.

## **Annex B: Terms of reference for this study**

### **Good Humanitarian Donorship and the European Union A study on good practice and recent initiatives**

#### **Terms of Reference for consultancy and commissioned paper**

##### **1. Background and rationale**

In 2003, the Good Humanitarian Donorship (GHD) initiative was launched at an international meeting in Stockholm, Sweden. The initiative established the distinctiveness of the humanitarian agenda, as a subset of aid policy in donor governments. Donor governments agreed on a set of shared, commonly agreed objectives for, and a definition of, humanitarian action, as well as a set of general principles and good practice for humanitarian donorship (Annex 1). The meeting concluded with an Implementation Plan which set out five initial activities (Annex 2). An Implementation Group, consisting of donor government representatives in Geneva, was established to provide guidance and oversight on the implementation of the core activities. A follow-up meeting to review progress on the GHD initiative will be held in Ottawa, Canada in October 2004.

In addition to the work of the Implementation Group, bilateral donor governments and international organisations have been progressing their own activities in order to implement the GHD principles into policy and practice. Within the European Union (EU), both Member States (MS) and the European Commission (EC) have been working to progress the GHD initiative. In March 2004, the Government of Ireland, as current holder of the EU Presidency, and the European Commission Humanitarian Aid Office (ECHO) co-hosted an informal Humanitarian Aid Committee (HAC) meeting with the participation of senior representatives from humanitarian and civil protection/defence authorities and other stakeholders. The meeting provided an opportunity for the European humanitarian community to identify ways to take forward, both individually and collectively, the GHD agenda. The meeting concluded with a proposal by the Government of Ireland to commission a baseline study of GHD

good practice among MS for presentation at the follow-up meeting in Ottawa in October 2004.

## **2. The study**

The purpose of the study is to provide an overview of good practice and recent initiatives that have been carried out by MS in light of the Stockholm agreement. Designed to be a practical tool, the findings of the study will enable MS and the Commission to learn about experiences and key developments in the EU and it could form the basis of a framework for shared dialogue on future EU GHD collaboration. This is particularly important for the new Accession countries and for those MS not involved in the Stockholm process.

The study will seek to illustrate examples of good practice amongst MS, rather than detail the initiatives of every member state. It will aim to reflect the work of the Implementation Group and the Implementation Plan that donor governments present in Stockholm committed to, and are working towards. The study will look at how MS have sought to advance the various components of the Implementation Plan, as well as advancing their own bilateral or collaborative initiatives.

A key objective of the study is to assist MS in identifying their own good practice, whether in the Implementation plan or through their own initiatives. It will not be evaluative, or make specific recommendations for action, but highlight approaches that reflect good practice.

The study will take into account the different capacities and emphasis of different MS in implementing GHD. It will focus on achievements in the context of how these could be replicated by other MS, and it will identify examples where humanitarian departments have linked into the wider government machinery and civil society in the context of GHD.

It is anticipated that the consultant would develop the specific structure of the research framework, the interviews, and the final outputs based on their knowledge and



expertise, in close consultation with the Humanitarian Policy Group (HPG). Broadly, the study will explore the following key themes.

### *GHD general principles*

In Stockholm, donor governments agreed on an objective for, and a definition of, humanitarian action, as well as a set of general principles. The study will seek to identify how the objective and principles of good humanitarian donorship have been applied in MS humanitarian departments and within other ministries/departments. This will include:

- The extent to which domestic legislation or policy statements reflect the objectives of official humanitarian assistance and the principles that inform official humanitarian donorship.
- The extent to which policy statements been developed / rewritten to reflect the definition of humanitarian action and the aspirations set out in the GHD initiative. Including, the extent to which policies reflect a commitment to respect legal commitments under International Humanitarian Law (IHL) and other relevant bodies of law; the core humanitarian principles of humanity and impartiality; a respect for humanitarian organisations to maintain a position of neutrality in relation to a given conflict, and to maintain the independence of humanitarian action from other policy agendas

### *GHD good practice*

The GHD initiative set out a series of goals and standards of good practice for official humanitarian donors to operationalise. Within the EU, different MS are likely to place different emphasis on different components of the agenda. They are also likely to have varying capacity to implement their commitments in terms of both policy and practice. Acknowledging this, the study will seek to highlight areas of good practice ranging from financing and contractual relations, promotion of standards, enhanced implementation capacity, as well as issues of learning and accountability. Examples include:

- Improved mechanisms to allocate resources in a way that respects the principle of responding in proportion to need; for example, support for the improvement of needs assessment methodologies and processes with implementing agencies;
- Options for more flexible, predictable and timely funding arrangements to support independent and impartial humanitarian responses;
- Procedures to ensure that funding of humanitarian action in new crises does not adversely affect the meeting of needs in ongoing crises;
- Harmonisation of reporting requirements and management demands for implementing partners;
- Mechanisms to contribute to, on the basis of burden-sharing, humanitarian appeals;
- Support for the formulation of the Common Humanitarian Action Plan (CHAP) as the primary instrument for strategic planning, prioritization and co-ordination;
- Good practice in strengthening the capacity of affected countries and local communities to prevent, prepare for, mitigate and respond to crises;
- Mechanisms to ensure adequate involvement of beneficiaries in the design, implementation, monitoring and evaluation of humanitarian response;
- Advances in distinguishing between humanitarian relief responses versus those of recovery, transition and development activities.

### *Implementation Plan*

The study will also reflect the extent to which MS have been involved in the work of the Implementation subgroups, including:

- the two Consolidated Inter-Agency Appeal pilot countries: Burundi and DRC.
- Strengthening the capacity of the OECD-DAC peer review process to incorporate humanitarian action in peer reviews.
- the harmonisation work: examining reporting requirements and management demands placed upon implementing organisations.

- The definitional work Official Humanitarian Assistance (OHA) for reporting and statistical purposes in the OECD-DAC.
- The extent to which MS have promoted the GHD initiative among official donors not involved in the Stockholm process, as well as non-governmental actors and other stakeholders

### *Communications*

The study will detail, where relevant, examples of how humanitarian departments have undertaken consultation processes and awareness raising of GHD. This should not be restricted to activities within government departments, but also with the domestic NGO community, the private sector, parliamentarians, the media and in the field, including recipient governments, local and international agencies.

### **3. Methodology**

The initial priority will be to establish a practical framework of reference on how to assess good practice. This will draw on relevant material where there is consensus around good policy and practice, including the work of the Montreux group, the Inter-Agency Standing Committee, the Humanitarian Assistance Committee and other relevant bodies, where appropriate. The framework will be refined and evolve as the interviews are conducted and MS views on good practice are determined.

Face-to-face or telephone interviews will be conducted with heads of humanitarian departments and relevant staff of all Member States, including the Accession countries. Key staff of other relevant government ministries, including ministries of defence and foreign affairs will also be consulted, as necessary. Interviews will also be conducted with key staff in ECHO in Brussels and core member of the Implementation Group in Geneva.

Key documentation, including humanitarian policy statements, good practice in donor behaviour, key management tools and evaluations will be collated and synthesised in a reference document and annexed to the report.

The opportunity to further publish the work in the Humanitarian Practice Network's *Humanitarian Exchange* magazine in March 2005 will be provided.

#### **4. Outputs**

Outputs from this consultancy will include:

- A report of 3,000-3,500 words that outlines the key findings of the study;
- A set of annexed documents, including -:
  - the study methodology and framework,
  - the consultation process, including list of interviewees and transcribed interviews;
  - a list of key resources and copies of all relevant documentation.

#### **5. Timeframe and process**

In taking forward this study, Development Cooperation Ireland (DCI) was mindful of the ongoing project by HPG. The HPG study is a global one, involving official donor governments and all stakeholders in the process. The study will examine overall progress and identify the key issues and challenges of shifting from political commitments to establishing GHD policy and operational frameworks.

In order to ensure that the two pieces of work are complementary and make the best possible use of the time and resources of potential interviewees, DCI have commissioned HPG to manage and provide oversight to this study.

It is anticipated that the study will take not more than 40 days (including HPG oversight of the contractor). This includes preparation of research framework and methodology, conducting face-to-face and telephone interviews, collecting and analyzing key documentation, drafting and finalising the study paper.

A draft document should be presented to Development Cooperation Ireland not later than 3 September 2004 with submission of the final paper not later than 17 September

to allow for work on presentation and dissemination in time for the Ottawa Conference to be held in late October, 2004.

## **6. Key resources**

The consultant should be familiar with the findings of the four Humanitarian Working Group studies and other key documentation, including:

Larry Minear and Ian Smillie, (2003) *The Quality of Money: Donor Behaviour in Humanitarian Financing*, Tufts University, Boston, MA.

Joanna Macrae et al., (2002) *Uncertain Power: The Changing Role of Official Donors in Humanitarian Action*, HPG Report 12, Overseas Development Institute, London.  
Development Initiatives (2003), *Global Humanitarian Assistance 2003*, Development Initiatives, London.

James Darcy (2003) *According to need? Needs Assessment and decision-making in the humanitarian sector*. HPG Report 15, Overseas Development Institute, London.

Randolph Kent, Mark Dalton, Karin von Hippel, and Ralf Maurer (2003) *Changes in Humanitarian Financing: Implications for the United Nations*, Kings College, London.

Some of these documents can be found on the Good Humanitarian Donorship website on Relief Web: <http://www.reliefweb.int/ghd>.

## **Annex C: List of interviewees**

### **Austria**

Franz Hoerlberger, Director, Department for Migration and Humanitarian Affairs

### **Belgium**

Antoon Delie, Conseiller, Permanent Representation of Belgium to the UN, Geneva  
Paul Decuypere

### **Czech Republic**

Ambassador Dr Jiri Jiránek, Head of Unit, Dept for Dev Coop and Humanitarian Aid,  
Ministry of Foreign Affairs  
Miroslav Belica, Deputy Director, Dept for Dev Coop and Humanitarian Aid,  
Ministry of Foreign Affairs  
Ludek Prudil, Ministry of Interior, International Rescue dept

### **Denmark**

Jan Top Christensen, Head of Humanitarian Assistance and NGO Cooperation,  
Danida  
Eva Grambye, Head of Section, Danida  
Lars Elle, Deputy Head of Evaluation Secretariat, Danida  
Lars Harder, Head of Section, Ministry of Defence

### **Estonia**

Marje Sotnik, Director, Development Co-operation Division, External Economic  
Policy Department, Ministry of Foreign Affairs

### **European Commission**

Michel Arrion, Head of ECHO 4  
Susan Hay, Deputy Head of Unit, ECHO 4  
Peter Billing, Head of Strategic Planning Sector, ECHO  
Anthony-Val Flynn  
Sylvia Ermini  
Peter Cavendish, Head of Evaluation Sector

Richard Hands

Andre Mollard, Permanent Delegation of the EC to International Organisations,  
Geneva

### **Finland**

Lars Backstrom, Head of Humanitarian Aid Unit

Leo Olasvirta, Counsellor, Humanitarian Aid Unit

### **France**

Caroline Grandjean, Sous-directrice de la Politique and de la Veille humanitaire,  
Delegation a l'Action Humanitaire

Fabien Talon, Correspondent Continent europeen ECHO

### **Germany**

Martina Litterst-Gabela, Task Force Humanitarian Aid

### **Greece**

Paraskevi Kyriakopolou, Director of Emergency Humanitarian Aid (contacted)

### **Ireland**

Brendan Rogers, Director, Emergency and Recovery Unit, Development Cooperation  
Ireland

Bronagh Carr, Development Specialist, Emergency and Recovery Unit, Development  
Cooperation Ireland

Ciaran Murphy, Principal Officer, Department of Defence

Jerry Crowley, Office of Director of Operations, Irish Defence Forces

### **Italy**

Giovanni de Vita, Capo Ufficio 6, Aiuti Umanitari e di Emergenza

### **Luxembourg**

Daniel Feypel, Chef du service aid humanitaire

**Netherlands**

Joost Andriessen, Head of Humanitarian Aid Division

Manon Olsthoorn

**Poland**

Pawel Baginski, Ministry of Foreign Affairs

**Portugal**

Carmo Fernandes, Civil Society Assistance and Emergency Aid Dept, IPAD

**Slovenia**

Ambassador Marjan Setinc, Head of Dev Co-op and Humanitarian Assistance,  
Ministry of Foreign Affairs

Gasper Jez, International Finance Dept, Ministry of Finance

**Spain**

Pablo Muelas Garcia, Head of Area, Emergency and food aid

**Sweden**

Johan Schaar, Head of Division for Humanitarian Assistance and Conflict  
Management, SIDA

Per Orneus, Head of Humanitarian Section, Ministry of Foreign Affairs

**UK**

Michael Mosselmans, Head of Conflict and Humanitarian Affairs Dept, Department  
for International Development

Peter Troy, Head of Humanitarian Programmes, CHAD/DFID

Gaynor Whitley, Programme Officer, ISPs

Fenella Frost, Programme Officer, DPP

Steve Ray, Civil-military adviser, CHAD Operations Team

Simon Mansfield, Humanitarian Advisor, Africa Division

**OCHA**

Magda Ninaber, Donor relations



Robert Smith, Manager, Financial Tracking Service

Wendy Cue, Humanitarian Affairs Officer, CAP Section

Claude Hilfiker, Monitoring and Evaluation Officer

**UNHCR**

Anne Willem Bijleveld, Director of Communications & Information

**ICRC**

Jean-Daniel Tauxe

## **Annex D: Bibliography of resources**

### *Background resources:*

Development Initiatives (2003), *Global Humanitarian Assistance 2003*, at  
[www.globalhumanitarianassistance.org](http://www.globalhumanitarianassistance.org)

EU Statement to ECOSOC 2004 at [europa-eu-un.org/articles/hu/article\\_3666\\_hu.htm](http://europa-eu-un.org/articles/hu/article_3666_hu.htm)

Macrae, J. and A. Harmer (2002), *Uncertain Power: The Changing Role of Official Donors in Humanitarian Action*, ODI HPG Research Report 12 at  
[www.odi.org.uk/hpg/papers/hpgreport12.pdf](http://www.odi.org.uk/hpg/papers/hpgreport12.pdf)

Macrae, J. and A. Harmer (2004), *Good humanitarian donorship and the European Union: Issues and options*, Background paper prepared for the Informal Humanitarian Aid Committee, Dublin 25-26<sup>th</sup> March 2004, Humanitarian Policy Group, Overseas Development Institute, London

Reliefweb: GHD portal at [www.reliefweb.int/ghd](http://www.reliefweb.int/ghd)

Sweden: Briefing on GHD, including Stockholm papers and reports at  
[www.sida.se/Sida/jsp/polopoly.jsp?d=2742&a=21882](http://www.sida.se/Sida/jsp/polopoly.jsp?d=2742&a=21882)

### *Legislation & policy frameworks:*

Belgium: Royal Decree at [www.dgcd.be/en/actors/hum\\_aid.html](http://www.dgcd.be/en/actors/hum_aid.html).

Czech Republic: [www.czechembassy.org/www/mzv](http://www.czechembassy.org/www/mzv) and 'The concept of the Czech Republic Foreign Aid Program for the 2002-2007 period':  
[www.czechembassy.org/servis/soubor.asp?id=1560](http://www.czechembassy.org/servis/soubor.asp?id=1560)

Denmark: Strategic Priorities in Danish Humanitarian Assistance at  
[www.um.dk/NR/rdonlyres/C5067C6D-EFEE-480D-9D0B-A31053CB6D32/0/strategy.pdf](http://www.um.dk/NR/rdonlyres/C5067C6D-EFEE-480D-9D0B-A31053CB6D32/0/strategy.pdf)

ECHO: Mandate of ECHO at [europa.eu.int/comm/echo/presentation/mandate\\_en.htm](http://europa.eu.int/comm/echo/presentation/mandate_en.htm)

Estonia: Principles of Estonian Development Co-operation at  
[www.mfa.ee/eng/kat\\_178/3815.html](http://www.mfa.ee/eng/kat_178/3815.html)

Germany: 12 Basic Rules of Humanitarian Aid at [www.auswaertiges-  
amt.de/www/en/aussenpolitik/humanitaere\\_hilfe/grundregeln\\_html](http://www.auswaertiges-amt.de/www/en/aussenpolitik/humanitaere_hilfe/grundregeln_html)

Italy: Framework Law on Development Cooperation no. 49/1987, at  
[www.esteri.it/eng/4\\_28\\_66\\_71\\_53\\_40.asp](http://www.esteri.it/eng/4_28_66_71_53_40.asp)

Spain: 1998 International Development Cooperation Act, Act no 23/1998, at  
[www.aeci.es](http://www.aeci.es)

Switzerland: 1976 Law in international cooperation and humanitarian assistance, at  
[www.admin.ch/ch/f/rs/974\\_0/index.html](http://www.admin.ch/ch/f/rs/974_0/index.html); 2001 Continuation bill on Humanitarian  
Aid, at [www.admin.ch/ch/f/ff/2002/2087.pdf](http://www.admin.ch/ch/f/ff/2002/2087.pdf); ‘Solidarity Alive’ - Swiss  
Humanitarian Aid strategy 2005, at  
[www.sdc.admin.ch/ressources/deza\\_product\\_e\\_13.pdf](http://www.sdc.admin.ch/ressources/deza_product_e_13.pdf)

UK: Conflict Reduction and Humanitarian Assistance policy statement,  
[www.dfid.gov.uk](http://www.dfid.gov.uk) or [62.189.42.51/DFIDstage/AboutDFID/files/conflict\\_main.htm](http://62.189.42.51/DFIDstage/AboutDFID/files/conflict_main.htm)

*Civil-military cooperation:*

MCDU guidelines at [www.reliefweb.int/mcdls/mcdu/Guidelines/guidelines.html](http://www.reliefweb.int/mcdls/mcdu/Guidelines/guidelines.html)

IASC reference paper on civil-military relationship in complex emergencies’ at  
[www.reliefweb.int/library/documents/2004/ocha-civmil-28jun.pdf](http://www.reliefweb.int/library/documents/2004/ocha-civmil-28jun.pdf)

*Operational capacity:*

France: Humanitarian correspondents at  
[www.diplomatie.gouv.fr/HUMANITAIRE/1040.html](http://www.diplomatie.gouv.fr/HUMANITAIRE/1040.html)

*Accountability & advocacy:*

ECHO: Framework partnership agreement at  
[europa.eu.int/comm/echo/partners/fpa\\_ngos\\_en.htm](http://europa.eu.int/comm/echo/partners/fpa_ngos_en.htm)

France: Emergency Humanitarian Aid Steering Council at  
[www.diplomatie.gouv.fr/actu/impression.gb.asp?ART+41248](http://www.diplomatie.gouv.fr/actu/impression.gb.asp?ART+41248)

Germany: Committee on Human Rights and Humanitarian Aid at  
[www.bundestag.de/htdocs\\_e/orga/03organs/04commit/02commper/comm18.html](http://www.bundestag.de/htdocs_e/orga/03organs/04commit/02commper/comm18.html);  
Coordination Committee at [www.auswaertiges-  
amt.de/www/en/aussenpolitik/humanitaere\\_hilfe/koordinierungsausschuss\\_html](http://www.auswaertiges-amt.de/www/en/aussenpolitik/humanitaere_hilfe/koordinierungsausschuss_html)

Switzerland: Advocacy guidelines at  
[www.sdc.admin.ch/ressources/deza\\_product\\_en\\_853.pdf](http://www.sdc.admin.ch/ressources/deza_product_en_853.pdf)

UK: National Audit Office report on UK humanitarian aid at  
[www.nao.org.uk/publications/nao\\_reports/02-03/02031227.pdf](http://www.nao.org.uk/publications/nao_reports/02-03/02031227.pdf);  
International Development Select Committee at  
[www.parliament.uk/parliamentary\\_committees/international\\_development.cfm](http://www.parliament.uk/parliamentary_committees/international_development.cfm);  
Public Service Agreements at [www2.dfid.gov.uk/pubs/files//psa/index.asp](http://www2.dfid.gov.uk/pubs/files//psa/index.asp)

*Beneficiary involvement:*

ALNAP *Global Study Practitioner's Handbook on Involvement of Beneficiary Populations* at [www.alnap.org/pubs/pdfs/GS\\_Handbook.pdf](http://www.alnap.org/pubs/pdfs/GS_Handbook.pdf)

Hofmann, C.-A. et al. (2004), *Measuring the impact of humanitarian aid*, ODI HPG Research Report 17 at [www.odi.org.uk/hpg/papers/hpgreport17.pdf](http://www.odi.org.uk/hpg/papers/hpgreport17.pdf)

*Disaster Risk Reduction:*

DIPECHO at [europa.eu.int/comm/echo/field/dipecho/index\\_en.htm](http://europa.eu.int/comm/echo/field/dipecho/index_en.htm).

Twigg, J. (2004), *Disaster risk reduction: mitigation and preparedness in development and emergency programming*, ODI HPN Good Practice Review 9, at [www.odihpn.org](http://www.odihpn.org)

World Disasters Report at [www.ifrc.org/publicat/wdr2003/](http://www.ifrc.org/publicat/wdr2003/)

*Needs assessment:*

Darcy J. et al. (2003), *According to Need? Needs assessment and decision making in the humanitarian sector*, ODI HPG Research Report 15 at [www.odi.org.uk/hpg/papers/hpgreport15.pdf](http://www.odi.org.uk/hpg/papers/hpgreport15.pdf)

ECHO Global Needs Assessment and Forgotten Crises methodologies at  
[europa.eu.int/comm/echo/information/strategy/index\\_en.htm](http://europa.eu.int/comm/echo/information/strategy/index_en.htm)

Inter-agency Needs Assessment Framework and Matrix (NAFM) at  
[www.reliefweb.int/cap/Policy/CAP\\_PolicyDoc.html](http://www.reliefweb.int/cap/Policy/CAP_PolicyDoc.html)

*NGO partnerships:*

ECHO: Framework Partnership Agreement at  
[europa.eu.int/comm/echo/partners/appel\\_en.htm](http://europa.eu.int/comm/echo/partners/appel_en.htm)

IFRC: The Code of Conduct for The International Red Cross and Red Crescent  
Movement and NGOs in Disaster Relief at [www.ifrc.org/publicat/conduct/](http://www.ifrc.org/publicat/conduct/)

Ireland: Multi-Annual Programme Scheme at [www.dci.gov.ie/article.asp?article=201](http://www.dci.gov.ie/article.asp?article=201);  
Application guidelines for funding at [www.dci.gov.ie/Uploads/APPLIC03.DOC](http://www.dci.gov.ie/Uploads/APPLIC03.DOC)

UK: DFID Partnership Programme Agreements at  
[www.dfid.gov.uk/AboutDFID/Files/civilsociety/Csd-ppa.htm](http://www.dfid.gov.uk/AboutDFID/Files/civilsociety/Csd-ppa.htm);  
Guidelines on Humanitarian Assistance at  
[www.dfid.gov.uk/faqs/files/guidelines\\_on\\_humanitarian\\_assistance\\_v5.0a.doc](http://www.dfid.gov.uk/faqs/files/guidelines_on_humanitarian_assistance_v5.0a.doc)

*Multilateral partnerships:*

ECHO: Thematic funding at  
[europa.eu.int/comm/echo/pdf\\_files/strategy/2004/strategy2004\\_en.pdf](http://europa.eu.int/comm/echo/pdf_files/strategy/2004/strategy2004_en.pdf)

UK: Institutional Strategy Papers with ICRC and UNHCR at  
[www.dfid.gov.uk/Pubs/files/isp\\_icrc\\_02\\_06.pdf](http://www.dfid.gov.uk/Pubs/files/isp_icrc_02_06.pdf) and  
[www.dfid.gov.uk/Pubs/files/dfid\\_unhcr\\_isp.pdf](http://www.dfid.gov.uk/Pubs/files/dfid_unhcr_isp.pdf)

*Quality and accountability initiatives:*

The Active Learning Network for Accountability and Performance in Humanitarian  
Action at [www.alnap.org](http://www.alnap.org)

The Humanitarian Accountability Partnership International at  
[www.hapinternational.org](http://www.hapinternational.org)

International Council of Voluntary Agencies (ICVA) at [www.icva.ch](http://www.icva.ch)

Project Qualite at [www.projetqualite.org](http://www.projetqualite.org)

People in Aid at [www.peopleinaid.org](http://www.peopleinaid.org)

Sphere at [www.sphereproject.org](http://www.sphereproject.org)

*Aid instruments for transition and coherence:*

Ireland: Emergency Preparedness and Post-Emergency Recovery Fund at  
[www.dci.gov.ie/Uploads/APPLIC03.DOC](http://www.dci.gov.ie/Uploads/APPLIC03.DOC)

Netherlands: Stability Fund at [www.minbuza.nl](http://www.minbuza.nl), navigate to Development  
Cooperation>Dutch Aid Policy>Stability Fund

Norway: 'Gap' funding discussed at  
[odin.dep.no/odinarkiv/norsk/dep/ud/1999/taler/032005-090269/dok-bn.html](http://odin.dep.no/odinarkiv/norsk/dep/ud/1999/taler/032005-090269/dok-bn.html)

UK: Global Conflict Prevention Pool at  
[www.dfid.gov.uk/Pubs/files/global\\_conflict\\_prevention\\_pool.pdf](http://www.dfid.gov.uk/Pubs/files/global_conflict_prevention_pool.pdf)

*Performance and impact measurement:*

ECHO: Framework Partnership Agreement at  
[europa.eu.int/comm/echo/partners/fpa\\_ngos\\_en.htm](http://europa.eu.int/comm/echo/partners/fpa_ngos_en.htm)

Hofmann, C-A et al, Measuring the impact of humanitarian aid, ODI HPG Research  
Report 17 at [www.odi.org.uk/hpg/papers/hpgreport17.pdf](http://www.odi.org.uk/hpg/papers/hpgreport17.pdf)

Smart Indicators: [www.smartindicators.org/about.htm](http://www.smartindicators.org/about.htm)

UK: Multilateral Effectiveness Framework at  
[topics.developmentgateway.org/aideffectiveness/rc/filedownload.do~itemId=39824](http://topics.developmentgateway.org/aideffectiveness/rc/filedownload.do~itemId=39824)

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*Evaluations:*

Evaluations of donors:

Danida 1999 at [www.evaluation.dk](http://www.evaluation.dk)

Finland's humanitarian assistance (1996) at  
[global.finland.fi/julkaisut/evaluoinnit/eval\\_96/r96\\_2.html](http://global.finland.fi/julkaisut/evaluoinnit/eval_96/r96_2.html)

UK DFID National Audit Office report 2003 at [www.nao.gov.uk](http://www.nao.gov.uk)

Evaluations of implementing partners:

ALNAP: Training modules on Evaluation of Humanitarian Action at  
[www.alnap.org/training.html](http://www.alnap.org/training.html)

Denmark: Evaluation approach at  
[www.um.dk/en/menu/DevelopmentPolicy/Evaluations/](http://www.um.dk/en/menu/DevelopmentPolicy/Evaluations/)

ECHO approach online at [europa.eu.int/comm/echo/evaluation/index\\_en.htm](http://europa.eu.int/comm/echo/evaluation/index_en.htm)

'Nordic plus' evaluations:

Tender for Afghanistan evaluation at

<http://www.um.dk/en/menu/DevelopmentPolicy/BusinessCooperation/ContractSecretariat/ContractNotices/tenderafgan.htm>;

Evaluation of Angola at

[danida.netboghandel.dk/PUBL.asp?page=publ&objno=250000356](http://danida.netboghandel.dk/PUBL.asp?page=publ&objno=250000356)