

# Global Humanitarian Assistance Update 2004-05



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Development Initiatives is always pleased to help with requests for data and welcomes new information and any corrections to errors of fact or interpretation.

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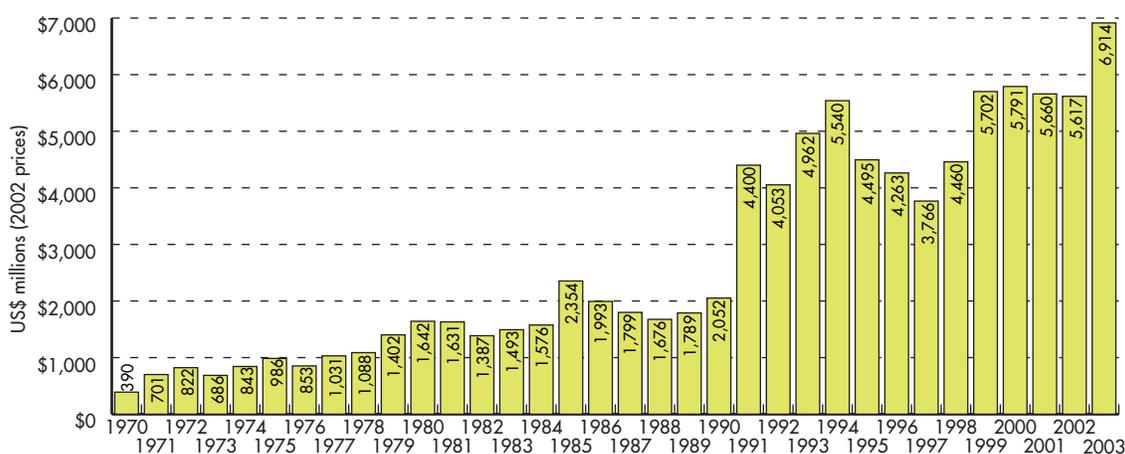
# Global Humanitarian Assistance Update 2004–05

## 1 Humanitarian assistance reaches new high

Total humanitarian assistance – aid for emergencies and relief – reached an all-time high in 2003 at \$7.8 billion – a rise of more than \$2 billion compared with the previous year.

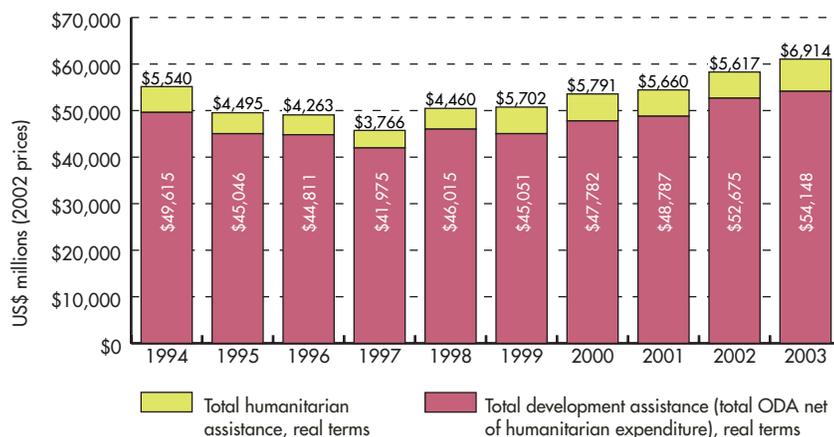
In real terms (taking exchange rates and inflation into account), humanitarian assistance from the OECD Development Assistance Committee (DAC) members rose by 23% in 2003. For the previous four years, aid for humanitarian assistance had been steady at around \$5.7 billion a year (Figure 1).

Figure 1 Total humanitarian assistance from DAC donors, 1970–2003 in real terms



Source: OECD DAC statistics

Figure 2 Total development assistance and total humanitarian assistance, 1994–2003, real terms (2002 prices)



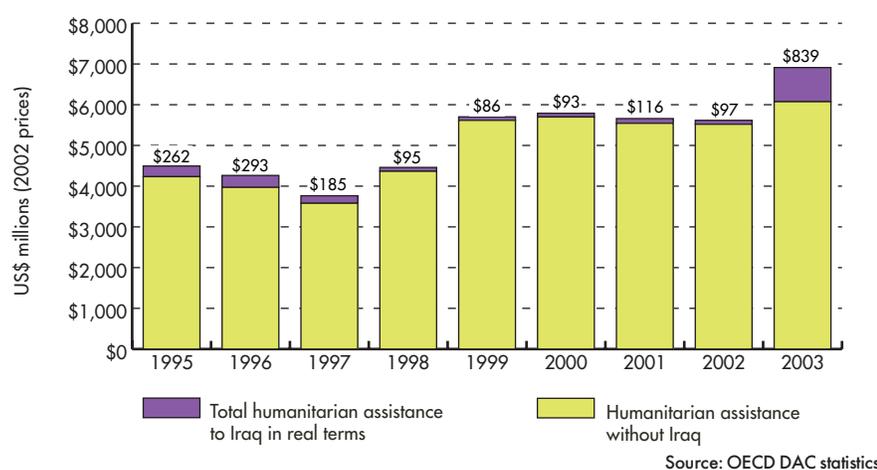
Source: OECD DAC statistics

Humanitarian assistance has been growing faster than Official Development Assistance (ODA) as a whole. Humanitarian assistance was over 11% of total ODA in 2003 – an increased share of an increased cake (Figure 2).

## 2 The Iraq and Afghanistan effects

Even without the \$839 million allocated to Iraq – the single largest recipient of relief in 2003 – humanitarian assistance for 2003 would still have been the highest ever recorded at \$6.075 billion (Figure 3).

**Figure 3 Total humanitarian assistance showing the share to Iraq, 1995–2003**



Since the Millennium Declaration in 2000 and the Monterrey Financing for Development Summit in 2002, there has been a significant effort by donors to increase their ODA in order to meet the Millennium Development Goals. Many donors now have more ambitious targets than ever before.

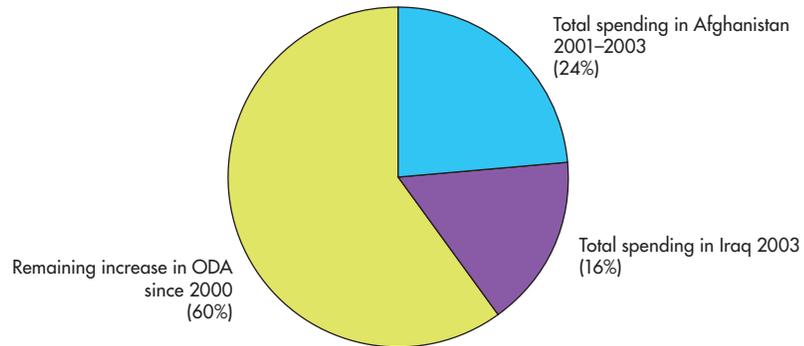
The increased aid spending from all DAC donors combined in the three years of 2001, 2002 and 2003 amounted to \$6.4 billion (in 2002 dollars) over the level of aid in 2000. Spending in Afghanistan and Iraq accounts for 40% of that amount (Figure 4).

Although humanitarian aid is almost always heavily concentrated on one or two recipient countries, the focus on Afghanistan and Iraq has been exceptional. Iraq and Afghanistan have each been the subject of Consolidated Appeals (CAPs) in only one out of the three years shown in Figure 5. But in those single years, each has received more funding than any other country for the three years combined.

For many donors, spending in Iraq was the dominant feature of humanitarian assistance flows in 2003 (Figure 6).

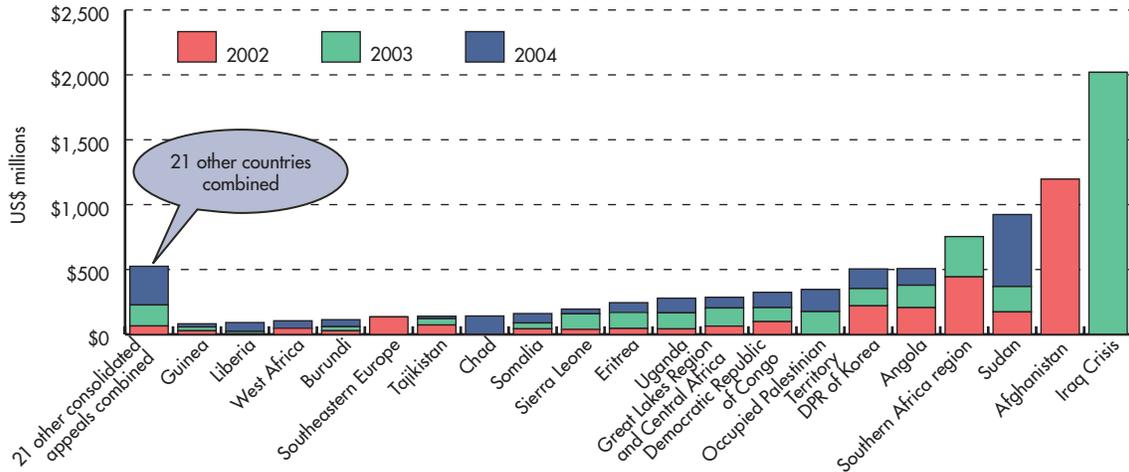
Iraq has received not only humanitarian assistance, but also \$1.2 billion in development assistance – more than 90% of this being from the USA.

**Figure 4 Shares of increases in total ODA which have been spent in Afghanistan and Iraq, 2001–2003**



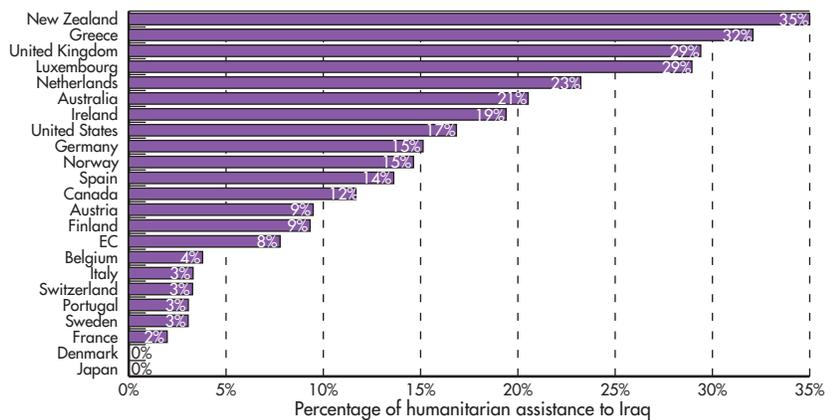
Source: OECD DAC statistics

**Figure 5 Total contributions to the CAPs, 2002–2004**



Source: OCHA Financial Tracking System (FTS)

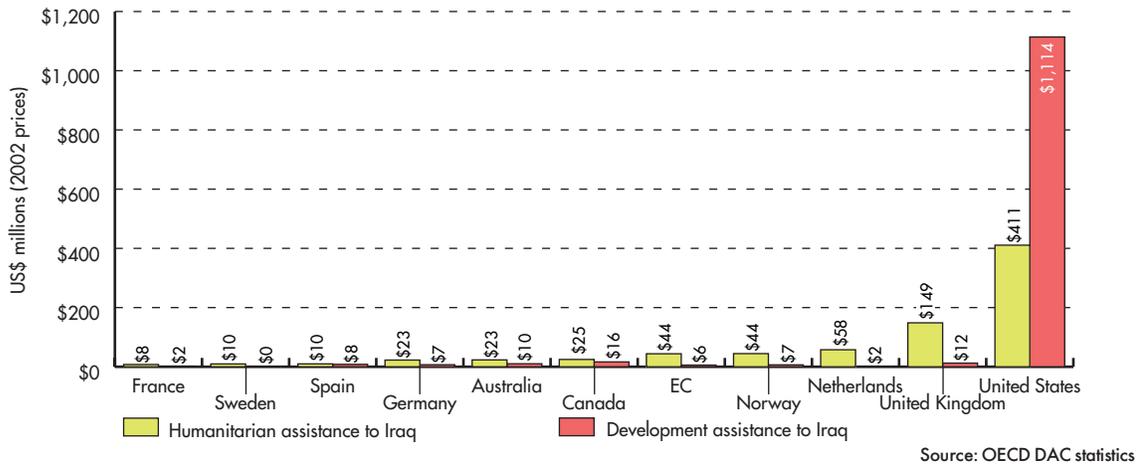
**Figure 6 Bilateral humanitarian assistance by donor showing share of spending in Iraq**



Source: OECD DAC statistics

It is important to note that these figures do not include military action in either country (Figure 7).

**Figure 7 Bilateral humanitarian and development assistance to Iraq 2003 – top ten donors plus the EC**

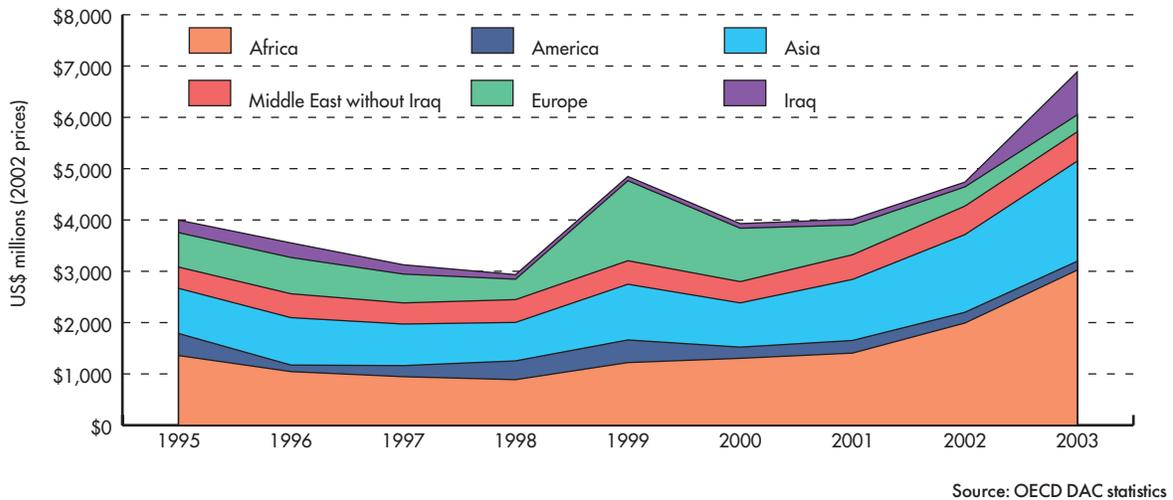


### 3 Record humanitarian assistance to Africa

Humanitarian assistance to Africa has been growing in real terms since 1997 – rising from \$946 million in 1997 to just over \$3 billion in 2003. The increase has been most marked in the last two years (Figure 8). Humanitarian assistance to Africa doubled between 2001 and 2003, increasing by over \$1 billion between 2002 and 2003. Ethiopia and Sudan have had the biggest increases, but assistance to the Democratic Republic of Congo (DRC), Angola, Somalia and Eritrea has also gone up substantially since 2001.

Most of the growth in humanitarian assistance to Africa is from bilateral and EC spending. Multilateral allocations from UN agencies

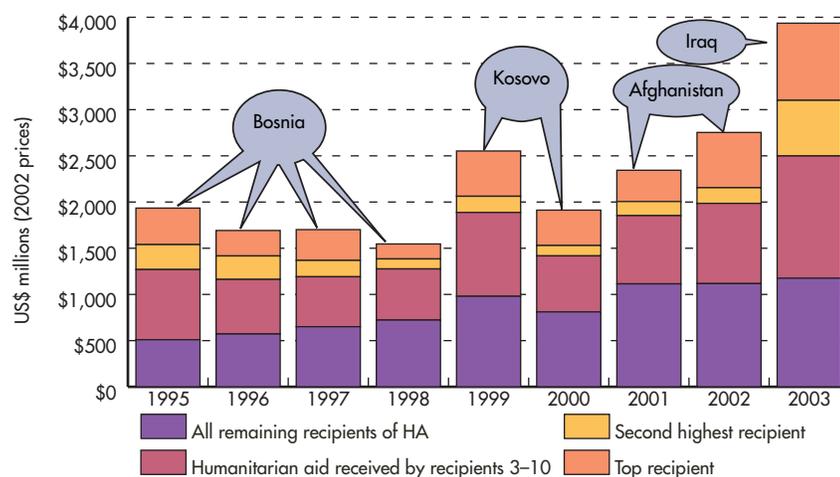
**Figure 8 Total humanitarian assistance by region, 1995–2003**



have been stable at around \$450 million over the past three years.

Although Iraq was the largest recipient of bilateral humanitarian assistance in 2003, there was also a record level of aid for Ethiopia, which as the second largest recipient received \$602 million – more than any other single recipient up to now – and Afghanistan, which was the third largest recipient with \$336 million (Figure 9).

**Figure 9 Concentration of bilateral humanitarian assistance: total volumes to the top recipients, 1995–2003**



Source: OECD DAC statistics

Eight of the top ten recipients of humanitarian assistance in 2003 were African countries – an unprecedented proportion (Table 1).

**Table 1 Top ten recipients of humanitarian assistance from DAC donors, 2003**

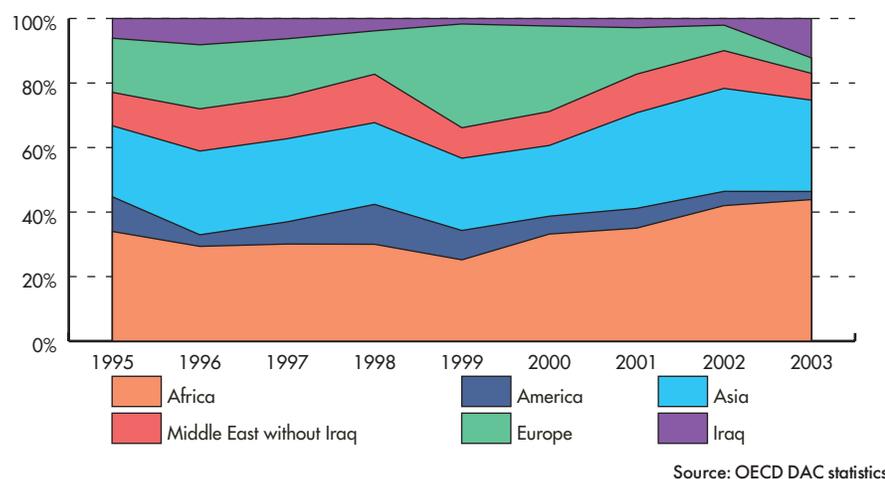
Country	Humanitarian assistance in 2003, \$ m
Iraq	834.92
Ethiopia	602.06
Afghanistan	336.53
Sudan	253.63
Angola	203.68
Congo Dem. Rep. (Zaire)	158.55
Eritrea	111.77
Burundi	91.07
Uganda	84.05
Somalia	83.67

Source: OECD DAC statistics

## 4 Regional shares of humanitarian assistance

It is not just in volume terms that humanitarian assistance to Africa has been rising. Its share of total humanitarian assistance increased to over 40% in 2002 and 2003 compared with an average of 30% for the previous five years (Figure 10).

**Figure 10 Percentages of total humanitarian assistance by region, 1995–2003**



Asia has received around 30% of humanitarian assistance for the past three years, reflecting an overall spending increase in the region from \$1.2 billion in 2001 to just under \$2 billion in 2003. Afghanistan accounted for 80% of the increase in 2002. Other major Asian recipients are North Korea (DPRK), Indonesia and India.

Humanitarian assistance to Europe declined to only 5% of the total (\$330 million) in 2003 compared with around 30% in the late 1990s.

Humanitarian assistance to the Middle East (excluding Iraq) has increased by nearly \$100 million since 2001. But its share of the total has declined from 12% in 2001 and 2002 to 8% in 2003.

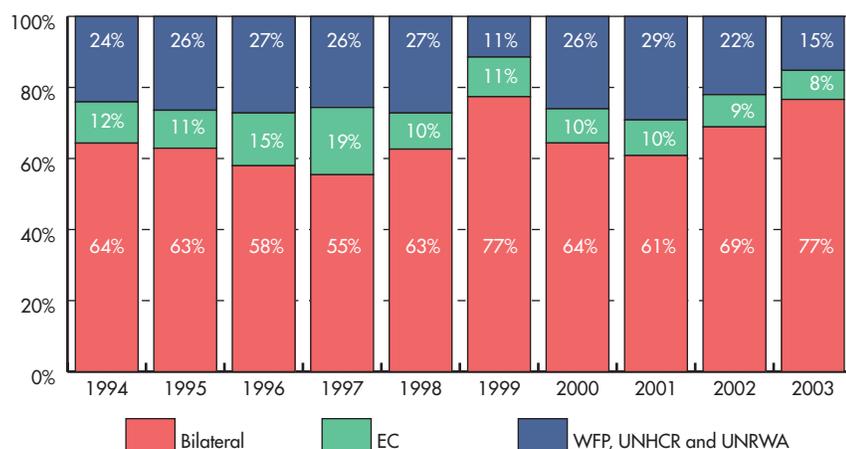
## 5 Humanitarian assistance donors

### 5.1 Bilateral humanitarian assistance at highest ever level

The DAC defines bilateral aid as public money that is spent directly by the donor country itself through its own agencies, companies or NGOs or in earmarked contributions to UN agencies and international organisations. Any money which is allocated to UN and multilateral organisations, including the EC, without any earmarking is categorised as multilateral aid (Figure 11).

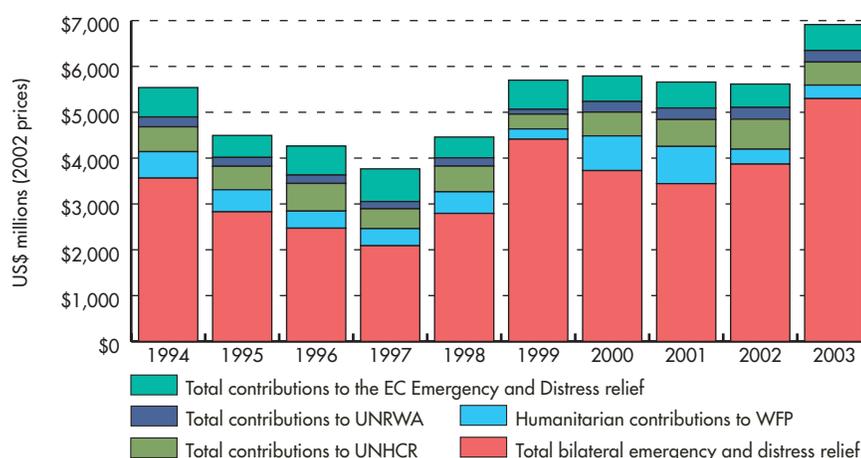
The share of humanitarian assistance spent bilaterally in 2003 equalled its previous highest ever percentage of 77%. However, at over \$5 billion in 2003, the volume of bilateral humanitarian assistance is far greater than it has ever been before (Figure 12).

**Figure 11** Shares of total humanitarian assistance by bilateral donor, UN agency and the EC, 1994–2003



Source: OECD DAC statistics

**Figure 12** Total humanitarian assistance spent bilaterally and as multilateral ODA through UN agencies and the EC, 1994–2003



Source: OECD DAC statistics

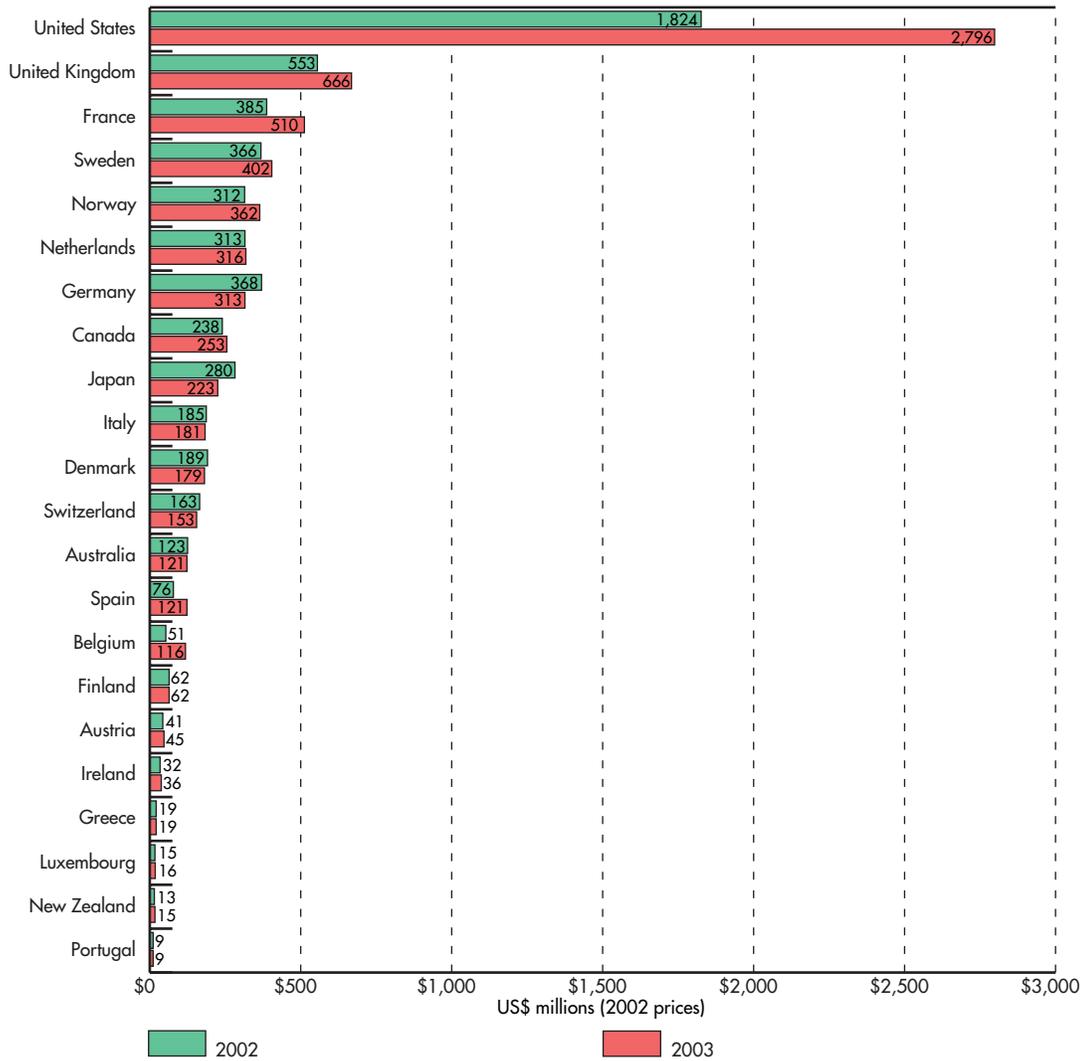
## 5.2 Who are the main donors?

The United States is overwhelmingly the single largest donor of humanitarian assistance. At \$2.796 billion in 2003, it exceeded total contributions from the next six largest donors combined – the UK, France, Sweden, Norway, the Netherlands and Germany (Figure 13).

Collectively the EU Member States plus the European Commission contributed \$2.991 billion in 2003. Although this was a record level of assistance, the differential with the United States was also the smallest for a decade: the EU spent just \$200 million more than the United States (Figure 14).

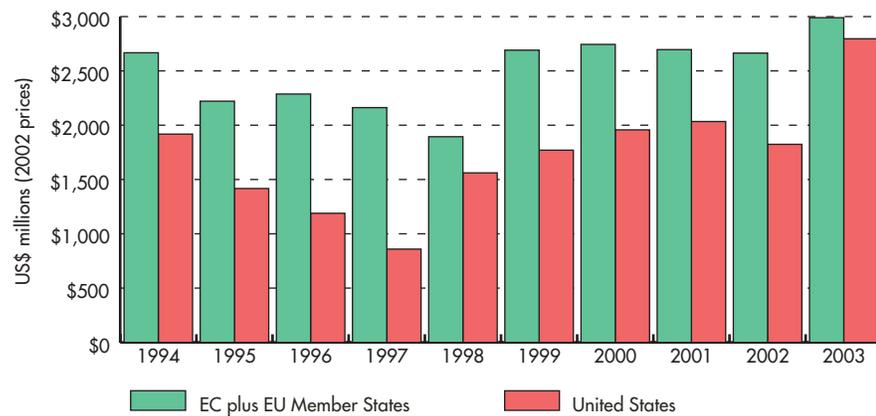
While the overall volume figures show which countries are providing most of the resources, they do not show spending relative to the size or wealth of the donor. Humanitarian assistance per person in each donor country gives a very different picture.

**Figure 13 Total humanitarian assistance by donor in real terms, 2002 and 2003**



Source: OECD DAC statistics

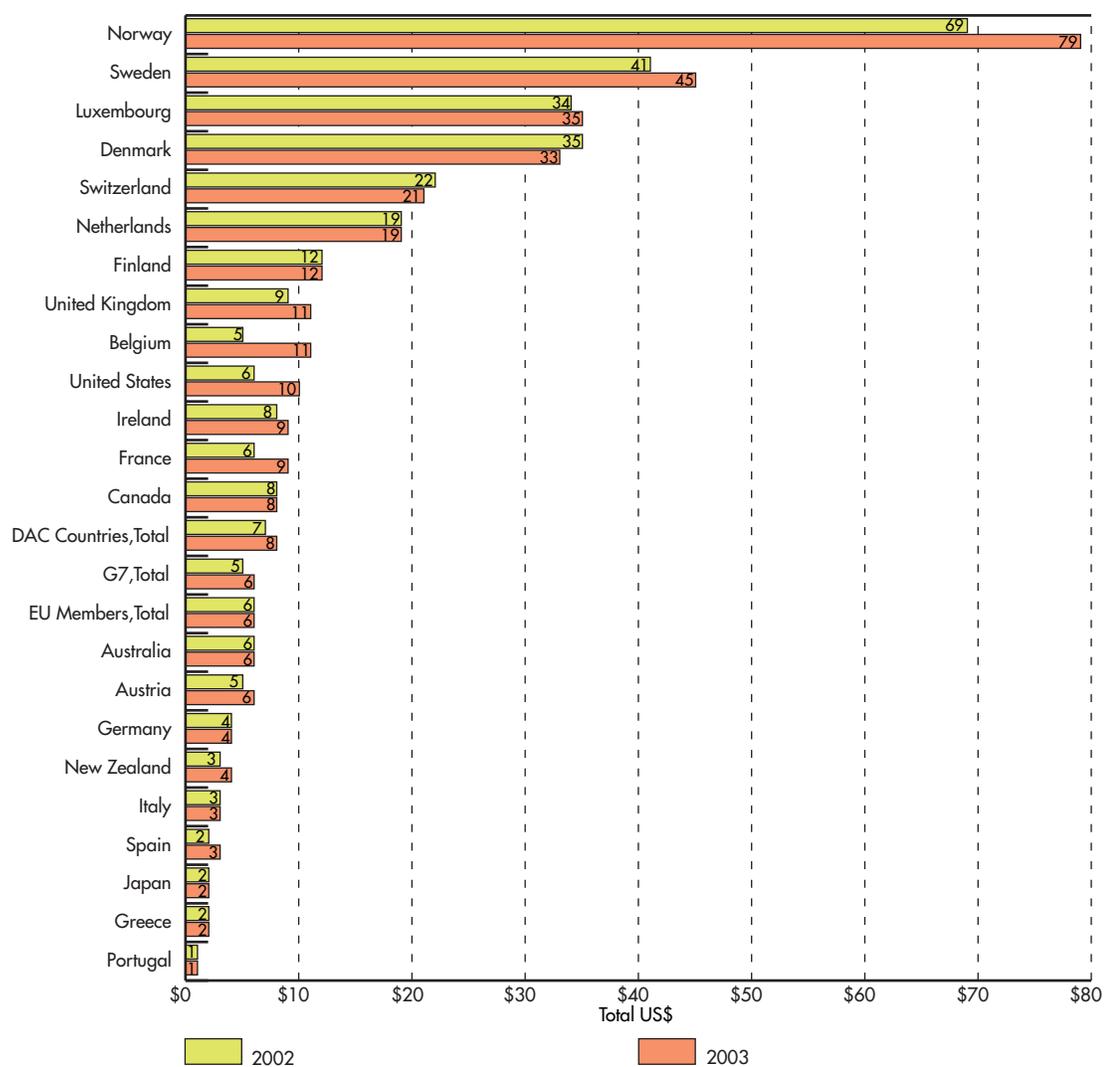
**Figure 14 EU Member States plus the EC and US spending on humanitarian assistance, 1994–2003**



Source: OECD DAC statistics

The biggest donors by volume give ten dollars or less per head of population. But the most generous country was Norway, which spent nearly \$80 for every person in the country in 2003 – up from \$69 in 2002 (Figure 15). The other generous countries are Sweden (\$45 per capita), Luxembourg (\$35), Denmark (\$33), Switzerland (\$21) and the Netherlands (\$19).

**Figure 15 Total humanitarian assistance per capita, 2002 and 2003, cash terms**



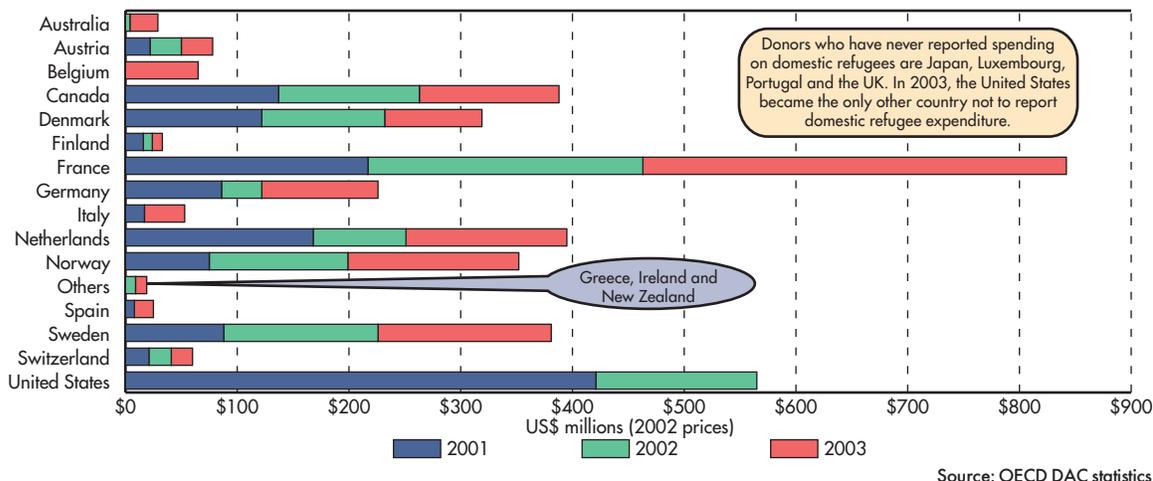
Source: OECD DAC statistics

### 5.2.1 Humanitarian assistance spent in the donor country

Many donors include money which is spent supporting ‘domestic refugees’ in their humanitarian ODA – that is, funding for refugees in the donor country during their first year of residence. The amounts of money spent on this are substantial, amounting to \$1.26 billion in 2003. Of this, about a third was from French ODA. Other countries allocating substantial sums to support domestic refugees over the past

three years include Sweden, Norway, the Netherlands, the USA, Germany, Denmark and Canada (Figure 16).

**Figure 16 Humanitarian assistance spent on domestic refugees by donor, 2001–2003**

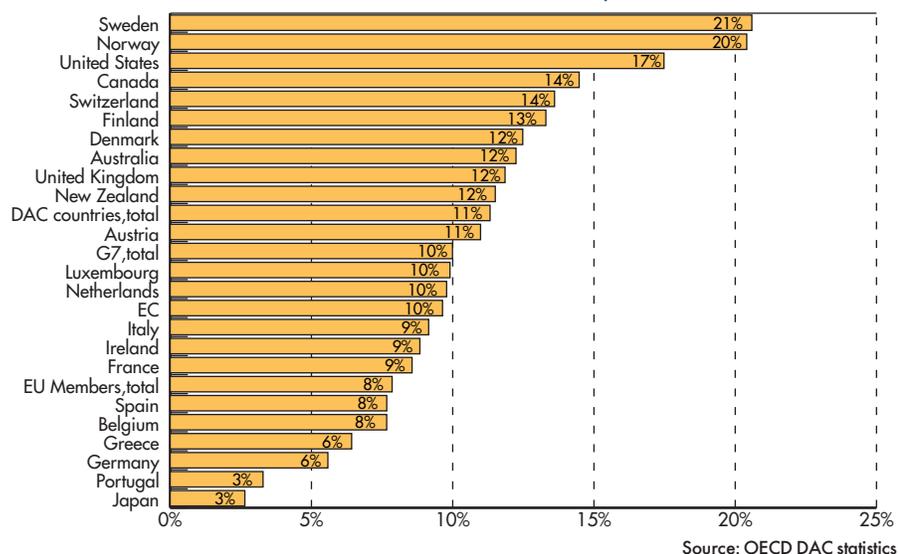


### 5.3 Shares of aid to humanitarian assistance

Sweden and Norway, both at the top of the league for humanitarian assistance per capita, also allocate the largest shares of ODA to humanitarian work – about a fifth. The USA is not far behind with 17%, but the UK, which is the second largest donor by volume, allocated 12% – just above the average for DAC members – to humanitarian work.

Japan and Germany are among the countries allocating the smallest shares of their ODA to humanitarian assistance: 3% and 6% respectively – but both were among the top ten donors of humanitarian assistance by volume in 2003 (Figure 17).

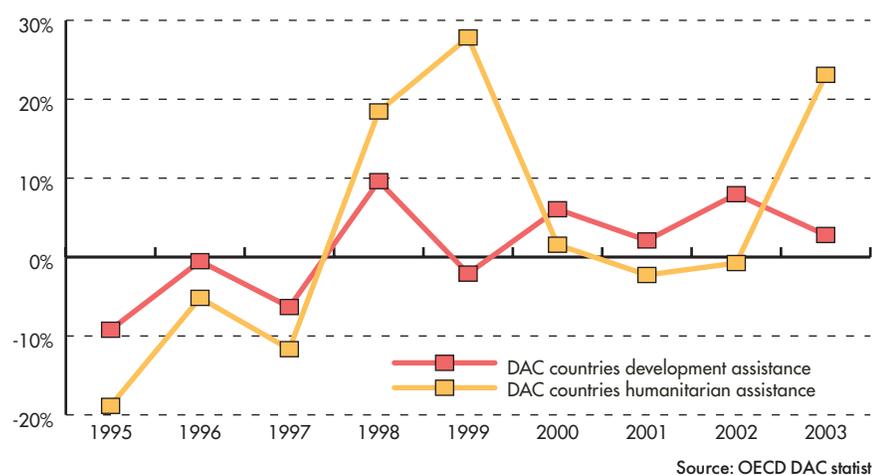
**Figure 17 Total humanitarian assistance as a share of ODA, 2003**



## 5.4 Growth rates in humanitarian and development assistance

Humanitarian assistance varies a lot from year to year, depending on the responses to a few, large emergencies such as Hurricane Mitch, the Balkans, Afghanistan and Iraq. But overall, it has shown a stronger rate of growth than development assistance over the past eight years. Between 2002 and 2003 it grew by more than 20%, while the rate of growth achieved for development assistance fell back to less than 3% (Figure 18).

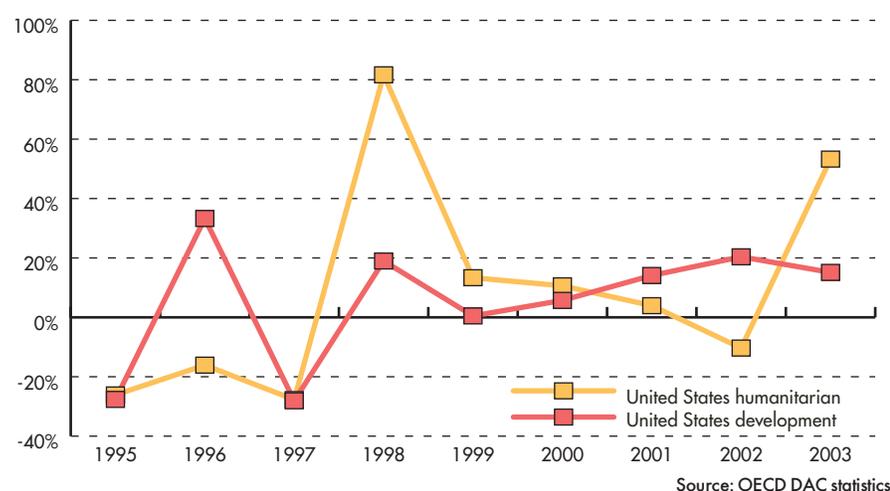
**Figure 18 Growth rates in humanitarian and development assistance – DAC donors, 1995–2003**



This pattern is more extreme for humanitarian assistance in the United States, with a growth rate of over 53% in 2003. However, in the peak years for humanitarian assistance spending – 1998 and 2003 – the rate of growth for development assistance also increased. In 2003 for example, US development assistance grew by 15% (Figure 19).

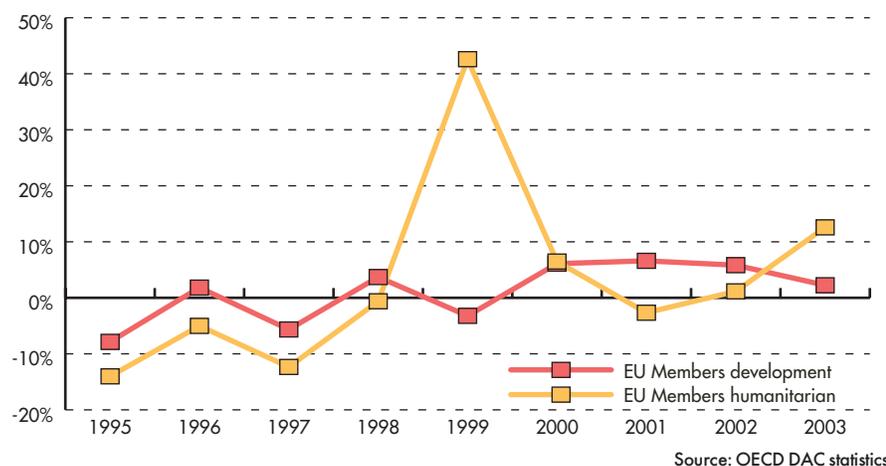
In the European Union, humanitarian assistance grew by 13% in

**Figure 19 Growth rates in humanitarian and development assistance – USA, 1995–2003**



2003 compared with growth in development assistance of 2%. The pattern in peak years is the opposite of the USA: when the rate of growth for humanitarian assistance has shown the sharpest increase, the growth rate for development assistance has slowed (Figure 20).

**Figure 20 Growth rates in humanitarian and development assistance – EU, 1995–2003**



## 5.5 Donors that are not members of the DAC

In addition to the 22 donor countries that are members of the OECD Development Assistance Committee, there are 61 other countries that have given humanitarian assistance reported by OCHA over the period 2002–2004. A further nine non-DAC donors are reported by OCHA to have responded to the Tsunami in 2005.

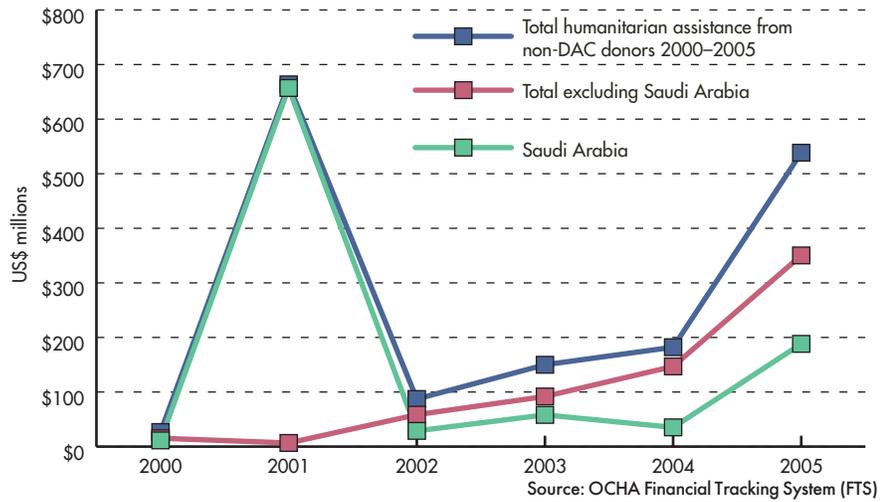
The volume of assistance varies greatly year to year – often dominated by a few very large contributions. The largest of these was \$657 million from Saudi Arabia to the Occupied Palestinian Territory in 2001. If Saudi Arabia is excluded, then the pattern of growth is more regular and shows a clear upward trend (Figure 21). Humanitarian assistance from non-DAC donors increased by half between 2003 and 2004 and doubled between 2004 and 2005 to reach \$350 million.

Five non-DAC donors gave more than \$10 million in 2004: United Arab Emirates, Saudi Arabia, Russia, Kuwait and Turkey.

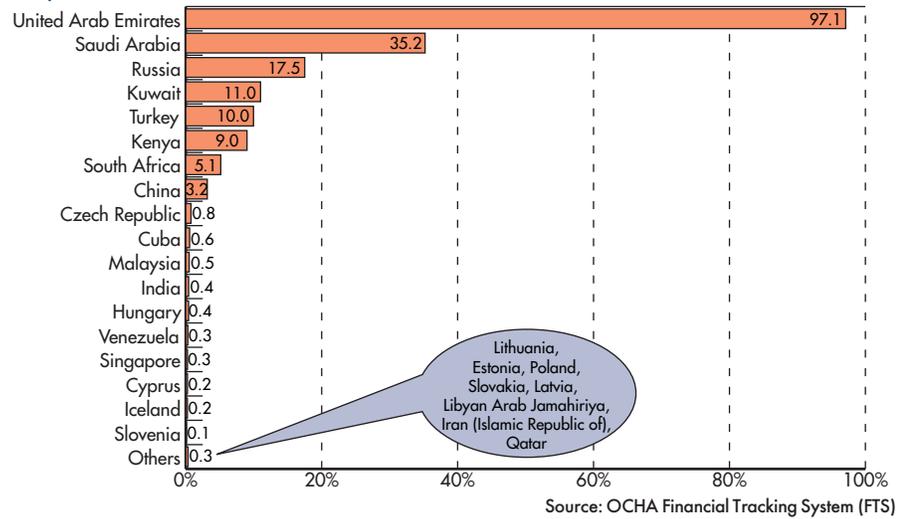
In the first half of 2005, nine non-DAC donors gave more than \$10 million: United Arab Emirates, Saudi Arabia, Russia, Kuwait, China, the Czech Republic, India, Singapore and Qatar (Figure 22).

Four countries have dominated the list of recipients of humanitarian assistance from non-DAC donors. These are the Occupied Palestinian Territory (OPT), Iraq, the Democratic People’s Republic of Korea (DPRK) and Afghanistan (Figure 23). Every year since 2001, these four countries combined have received more than 75% of humanitarian assistance from non-DAC donors reported on the Financial Tracking System (FTS) of the Office for the Co-ordination of Humanitarian Affairs (OCHA).

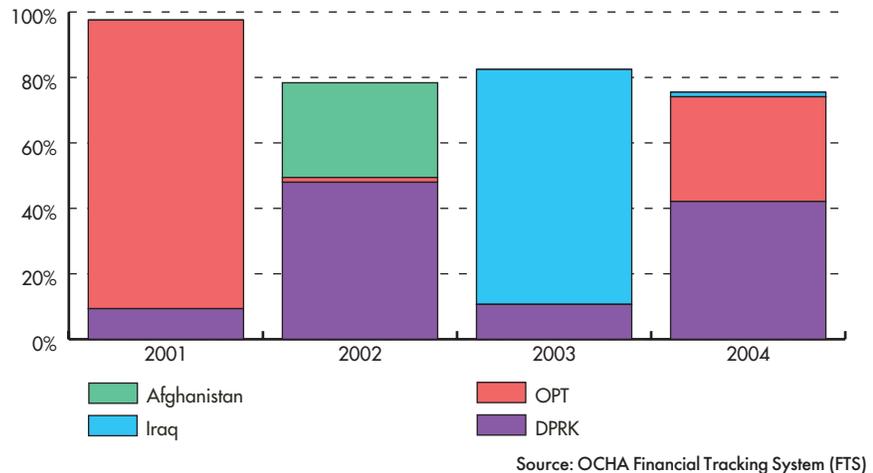
**Figure 21 Trends in humanitarian assistance from non-DAC donors, 2000-2005**



**Figure 22 Total humanitarian assistance from non-DAC donors as reported to the FTS, 2004**



**Figure 23 Major recipients of humanitarian assistance from non-DAC donors, 2001-2004**



## 6 Trends in responses to Consolidated Appeals

OCHA's mission is to mobilise and co-ordinate effective and principled humanitarian action in partnership with national and international actors in order to:

- alleviate human suffering in disasters and emergencies;
- advocate for the rights of people in need;
- promote preparedness and prevention;
- facilitate sustainable solutions.

To mobilise and co-ordinate international assistance for complex emergencies and natural disasters, OCHA runs the Consolidated Appeals Process. It issues appeals for situations that are the subject of complex humanitarian emergencies (CAPs) and sudden onset and natural disasters (Flash Appeals).

UN agencies, international organisations such as the Red Cross agencies and the International Organisation for Migration, together with some NGOs, combine to provide a co-ordinated response under the Consolidated or Flash Appeal, which puts together the different resources required to meet needs.

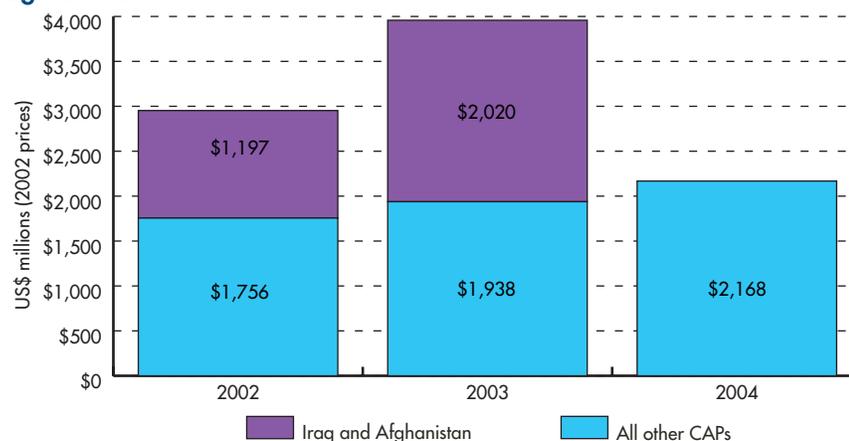
Responses to Consolidated and Flash Appeals reveal how much effort the humanitarian financing community is putting into funding both the priority situations and the most urgent needs within those situations.

Although a large number of countries are the subject of chronic humanitarian need and so have consolidated appeals in many years, others, such as Afghanistan and Iraq, are only the the subject of an appeal for a year or two. The result of this is that the total contribution to CAPs varies substantially from year to year and is not, on its own, a good measure of response to humanitarian needs. For instance, between 2003 and 2004 the overall combined contributions to the CAP *fell* by 45% from just under \$4 billion to \$2.2 billion. However, Iraq was the subject of a CAP in 2003, but not in 2004. When contributions to Iraq are excluded, the overall funding for Consolidated Appeals *rose* from \$1.9 billion to \$2.2 billion between 2003 and 2004 (Figure 24).

The extent to which CAP funds have been concentrated on one or two major emergencies has become more marked and only some of the needs identified in the CAPs as a whole have been met. In 2004, less than two-thirds of requirements were met (64%). In 2003, 65% of requirements for appeals excluding Iraq had been met by the year end. Over 90% of Iraq's requirements were met, compared with, for instance, 26% for Mozambique.

Timing is also an issue. Less than a quarter of requirements for all CAPs other than the Tsunami had been met by May 2005; by the same time, 21% of requirements had been met in 2004; and in 2003, excluding Iraq, just 17% of requirements had been met by May of that year. Table 2 gives a listing of countries that have been the subject of a CAP or Flash Appeal in the period 1999–2004.

**Figure 24 Total contributions to the CAPs, 2002–2004, showing Iraq and Afghanistan**



Source: OCHA Financial Tracking System (FTS)

**Table 2 Countries that have been the subject of a CAP or Flash Appeal since 1999**

Affected country/region	How many years out of the period?	2004	2003	2002	2001	2000	1999
Afghanistan	2/6			✓			✓
Angola	6/6	✓	✓	✓	✓	✓	✓
Bangladesh	1/6	✓					
Bolivia	1/6	✓					
Burundi	5/6	✓	✓	✓	✓	✓	
Central African Republic	5/6	✓	✓	✓	✓	✓	
Chad	1/6	✓					
Chechnya and neighbouring republics (RF)	2/6	✓	✓				
Côte d'Ivoire	2/6	✓	✓				
Democratic Republic of Congo	5/6	✓	✓	✓	✓	✓	
DPR of Korea	6/6	✓	✓	✓	✓	✓	✓
Eritrea	4/6	✓	✓	✓	✓		
Ethiopia	1/6				✓		
Great Lakes and Central Africa Region	6/6	✓	✓	✓	✓	✓	✓
Grenada	2/6	✓	✓				
Guinea	2/6	✓		✓			
Haiti Flash Appeal	1/6	✓					
Indonesia	5/6	✓	✓	✓	✓	✓	
Iran	1/6	✓					
Iraq	1/6		✓				
Kenya	1/6	✓					
Lesotho	2/6		✓	✓			
Liberia	4/6	✓	✓	✓			✓
Madagascar	1/6	✓					
Malawi	2/6		✓	✓			
Mozambique	1/6		✓				
Northern Caucasus (Russian Federation)	2/6			✓	✓		
Occupied Palestinian Territory	2/6	✓	✓				
Philippines	1/6	✓					
Republic of Congo	5/6		✓	✓	✓	✓	✓
Sierra Leone	6/6	✓	✓	✓	✓	✓	✓
Somalia	6/6	✓	✓	✓	✓	✓	✓
South Eastern Europe	4/6			✓	✓	✓	✓
Sudan	5/6	✓	✓	✓	✓	✓	
Swaziland	2/6		✓	✓			
Tajikistan	6/6	✓	✓	✓	✓	✓	✓
Tanzania	3/6	✓			✓	✓	
Uganda	5/6	✓	✓	✓	✓	✓	
West Africa	2/6	✓			✓		
Zambia	2/6		✓	✓			
Zimbabwe	3/6	✓	✓	✓			

Source: Relief Web OCHA CAPs data

## 6.1 Which donors support the CAPs?

Nine donors – Canada, the European Community Humanitarian Office (ECHO) and the European Commission, Germany, Japan, the Netherlands, Norway, Sweden, the UK and the USA – plus private donors – accounted for 80% of CAP and Flash Appeal funding in 2004 and 2005 (Figures 25 and 26).

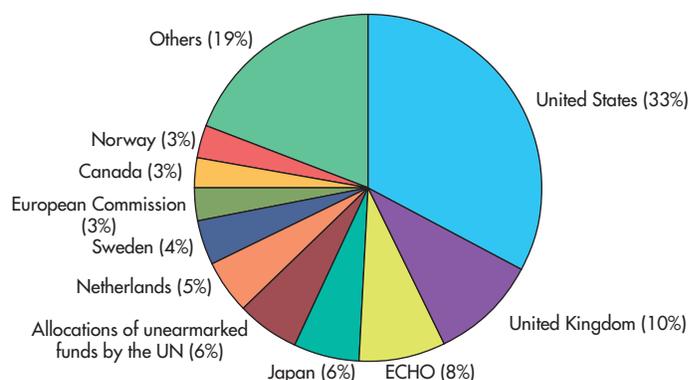
The largest shares of CAP and Flash Appeal funding were provided by the United States in both 2004 and 2005. It contributed a third and a quarter of total funds in each year respectively.

The second largest donor to the CAPs in 2004 was the United Kingdom, with 10% of total funding. In 2005, Japan was the second largest donor, providing 16% of funding.

Private contributions increased to 12% of total contributions in 2005, largely as a result of the response to the Tsunami.

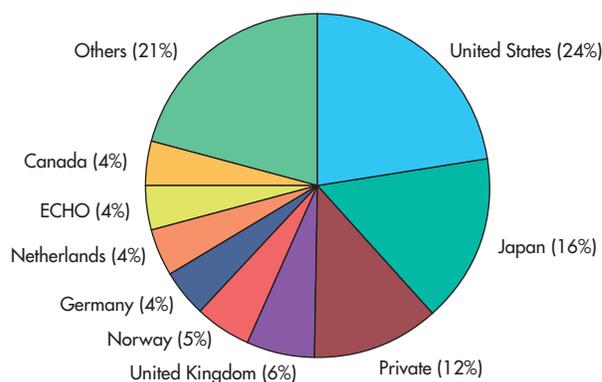
Contributions to the CAPs from non-DAC donors have been increasing and reached \$133 million in 2004. Kenya, Angola and the

**Figure 25 Percentage of contributions to the CAPs per donor, 2004**



Source: OCHA Financial Tracking System (FTS)

**Figure 26 Percentage of contributions to the CAPs per donor, 2005 (first five months)**



Source: OCHA Financial Tracking System (FTS)

Republic of Korea made substantial CAP contributions in 2004, and China and Saudi Arabia in 2005 (Figure 27).

It is not just volume of support that is significant – it is also how donors spread their funding across emergencies.

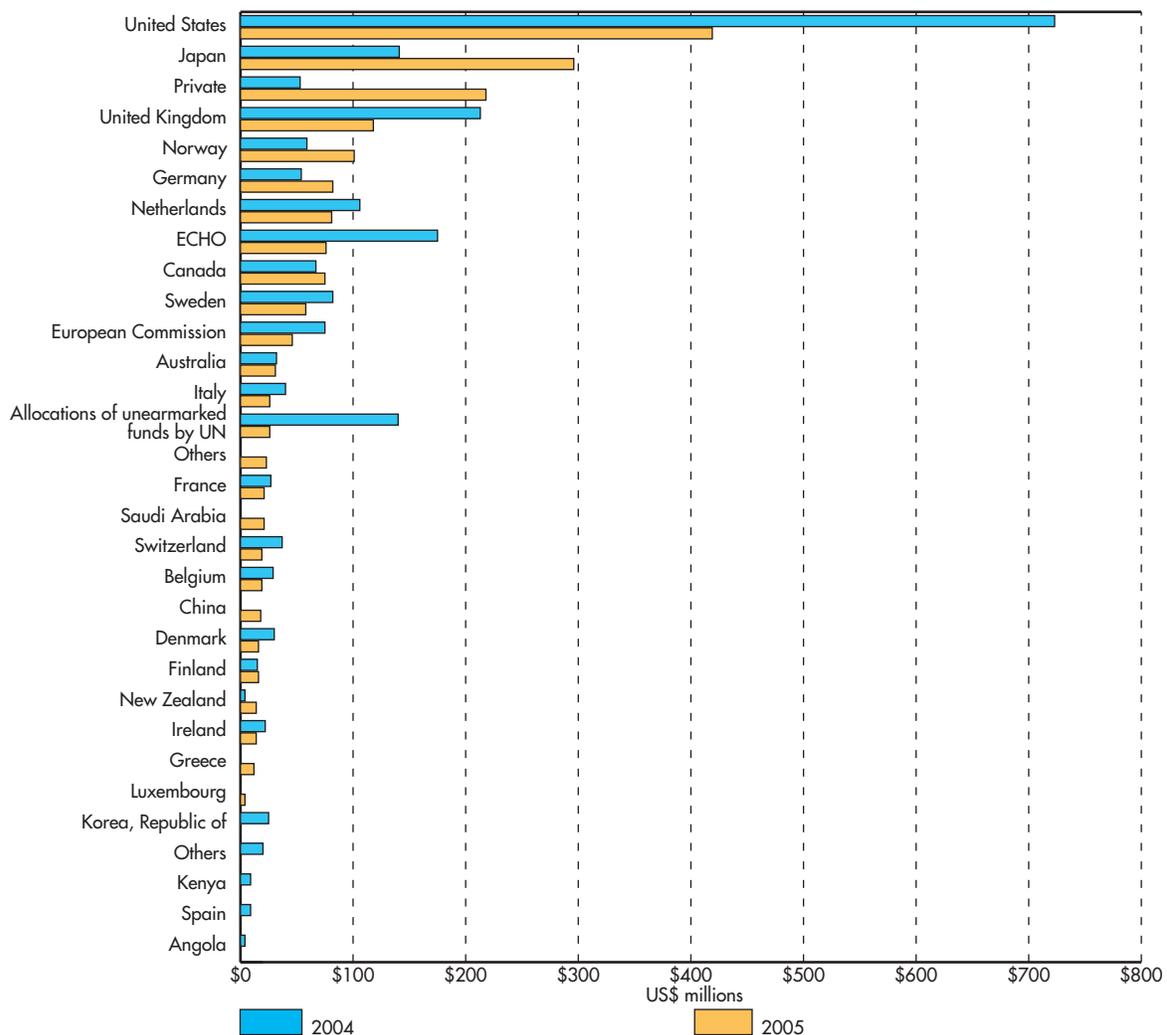
Some donors have a policy of supporting all CAP appeals – Sweden provided funds to all 15 CAPs in 2005 and 20 out of 22 in 2004.

Three other donors provided funds to 12 or more CAP appeals in 2005: Japan, the Netherlands and Norway.

Six other donors provided funds to 18 or more of the 22 CAP appeals in 2004: Canada (20), EC/ECHO (19), Germany (20), Japan (19), the Netherlands (18), and Norway (19).

The CAPs with the smallest number of substantial funders were the Central African Republic, Chechnya, Côte d'Ivoire, Great Lakes Region, Guinea, Indonesia and Republic of Congo.

**Figure 27 Contributions to Consolidated Appeals by donor, 2004 and 2005 (first five months)**



Source: OCHA Financial Tracking System (FTS)

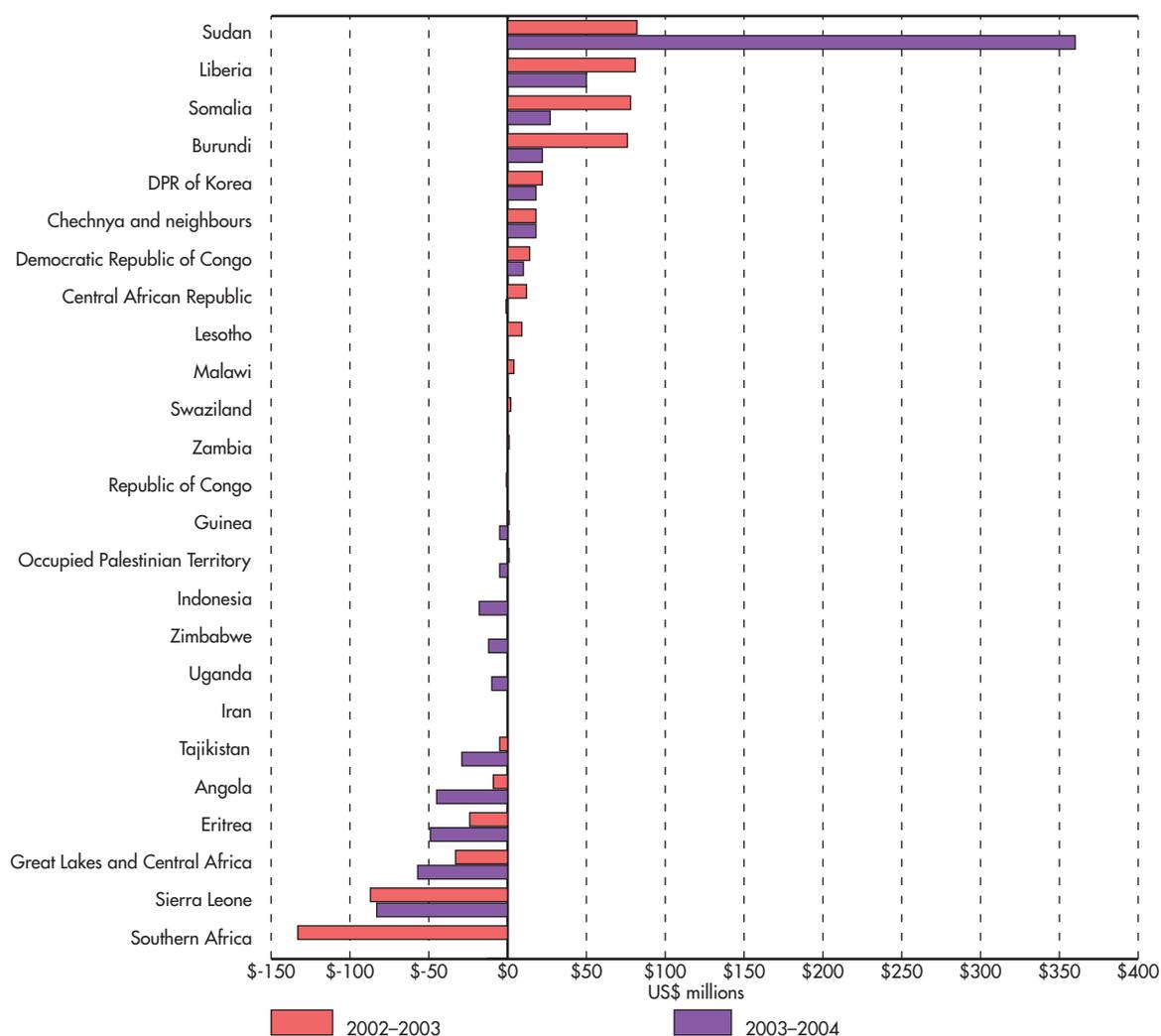
## 6.2 Which CAP countries have had increases or decreases in funding?

Fourteen countries received increased funding between 2002 and 2003, and seven between 2003 and 2004 (see Figure 28). The largest increase in 2004 was \$360 million in funding for Sudan, but aid for Liberia, Somalia, Burundi, Korea, Chechnya and the Democratic Republic of Congo (DRC) also increased for the second year in a row.

Several of these countries have had a long history of funding which falls far short of requirements. Even in countries that saw increases in 2003 and 2004, there was still a shortfall against needs. However, in some countries the percentage of needs covered has risen:

- DRC: 73% of needs covered in 2004 (previous average 47%)
- Sudan: 77% of needs covered in 2004 (previous average 70%)
- Somalia: 64% of needs covered in 2004 (previous average 51%)

**Figure 28** Increases and decreases in contributions to the CAP by recipient country, 2002–2003 and 2003–2004



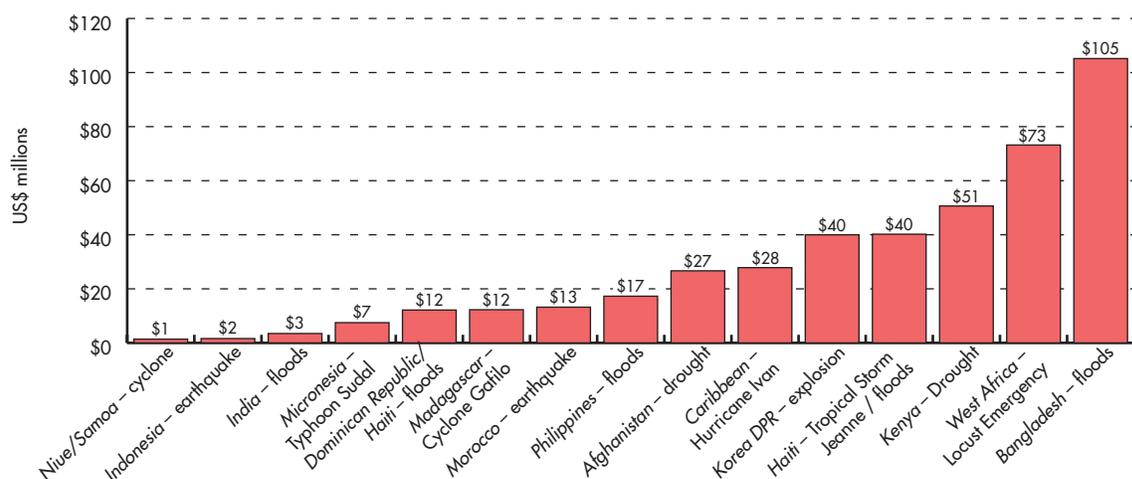
Source: OCHA Financial Tracking System (FTS)

Contributions decreased for ten countries in 2004. In Sierra Leone and Eritrea contributions fell for the second year running resulting in only 60% of needs being covered in each. In Tajikistan a fall in contributions between 2003 and 2004 has meant that less than half of needs have been met, in Indonesia less than a third, and in Zimbabwe just 11%.

However, in the Great Lakes Region and Angola, although volumes of assistance fell, 98% and 94% of needs were met respectively, and in Uganda 80% were met – a significant increase on the average figure for Uganda of 59% of needs covered.

OCHA also records responses to natural disasters. The two biggest of recent years have been Hurricane Mitch and the Indian Ocean Tsunami. In 2004, 19 natural disasters received more than \$1 million in assistance, according to data from the Financial Tracking System (Figure 29). Only two received more than \$100 million – the Bam earthquake in Iran and the floods in Bangladesh which, according to the Centre for Research on the Epidemiology of Disasters (CRED), affected 36 million people.

**Figure 29** Natural disasters receiving over \$1 million of humanitarian assistance in 2004



Source: OCHA Financial Tracking System (FTS)

## 7 Responses to the Indian Ocean Tsunami

Headline pledges to the Indian Ocean Tsunami recorded by OCHA had amounted to \$6.7 billion by May 2005. These include contributions from governments, voluntary organisations, public appeals and private donors. Many pledges are for spending that is spread over several years.

Of this \$6.7 billion, almost \$3.8 billion is estimated by OCHA to be humanitarian spending and \$2.75 billion is either a binding commitment or a paid-up contribution.

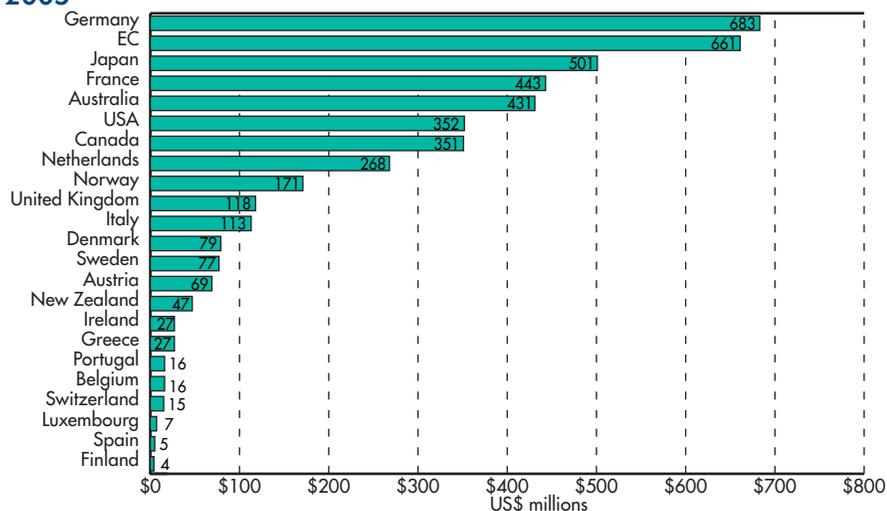
The combined pledges are equivalent to around 8% of total ODA.

The \$3.8 billion estimated as humanitarian assistance is equivalent to roughly half the funds for all emergencies, everywhere in 2003.

The 22 DAC donors plus the EC have pledged a total of \$4.5 billion. This compares with the total of \$7.5 billion that they spent on global humanitarian assistance in 2003.

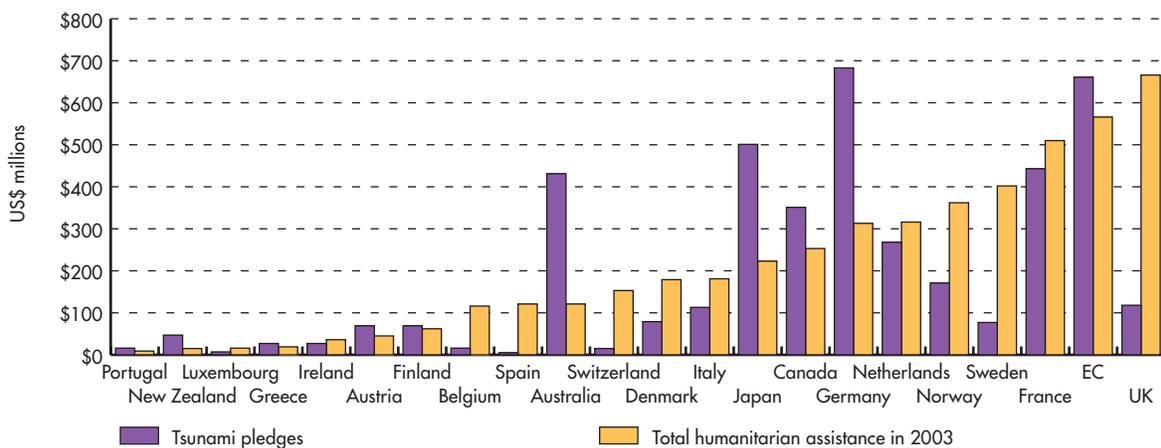
The largest pledges have come from Germany (\$683m), the EC (\$661m), Japan (\$501m), France (\$443m) and Australia (\$431m), followed by the USA, Canada and the Netherlands (Figures 30 and 31).

**Figure 30 Total pledges to the Indian Ocean Tsunami from DAC donors, March 2005**



Source: OCHA Financial Tracking System (FTS)

**Figure 31 Total pledges to the Tsunami compared with total humanitarian assistance in 2003, excluding the USA**



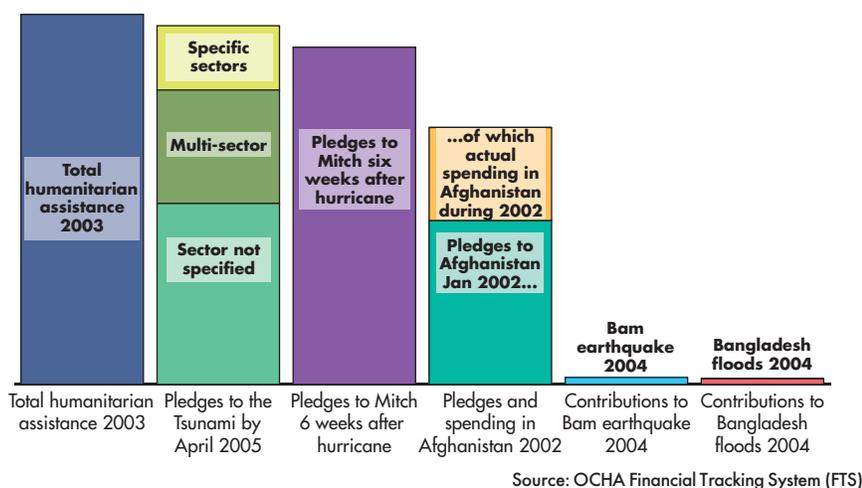
Source: OCHA Financial Tracking System (FTS); OECD DAC statistics

### 7.1 Features of the response to the Indian Ocean Tsunami

The response to the Tsunami was distinctive in several ways. In most Consolidated Appeals some funding goes to the priorities listed in the Appeal, but a significant share goes ‘outside’ the appeal. In the case of

the Tsunami the contributions received ‘outside’ the Appeal were six times the total requested in the appeal (Figure 32).

**Figure 32 Volume and sectoral breakdown of funding for the Tsunami compared with other humanitarian assistance**

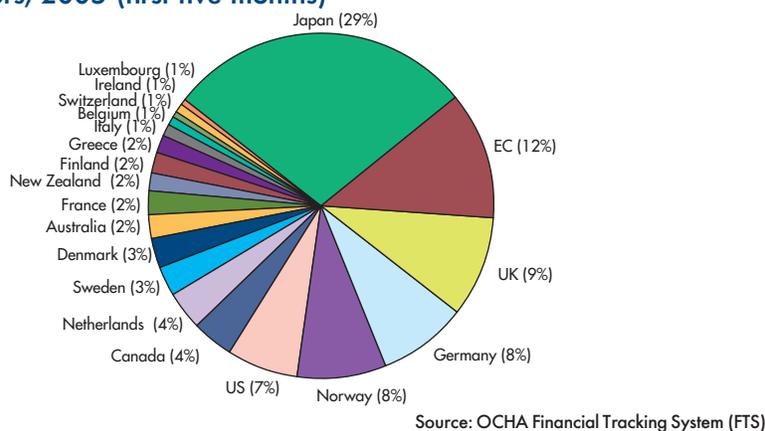


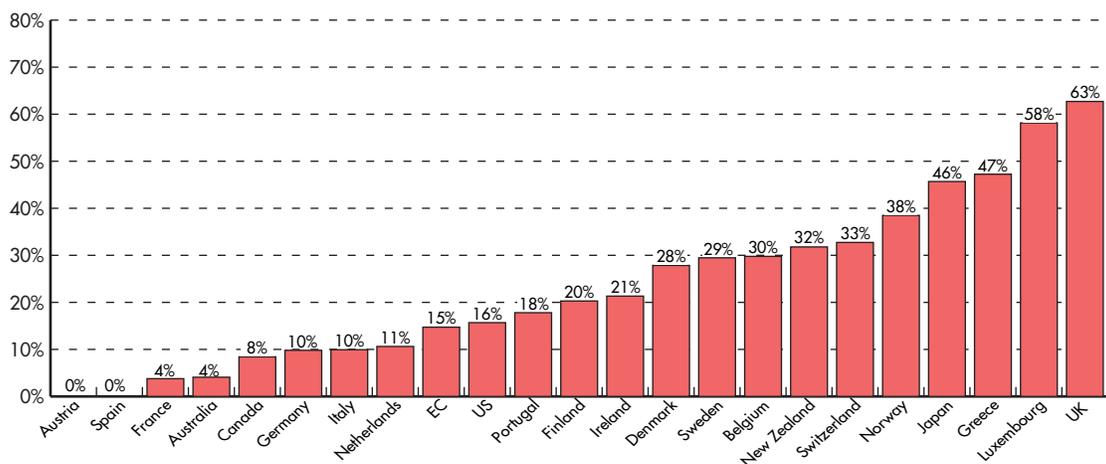
This is partly because of the number of multi-year pledges made for Tsunami-affected countries – many of which were for recovery and rehabilitation, often in the form of loans. For example, \$430 million from Australia is spread over five years; \$350 million from Canada over five years; \$443 million from France described as ‘multi-year’; and \$682 million from Germany over three to five years.

Donors also differ in the share that they choose to put through the Appeal. The UK, for instance, has put two-thirds of its contributions through the Appeal, whereas Australia, France, Spain and Austria have chosen to allocate less than 5% of their funds to the Appeal.

Japan contributed 11% of the total amount pledged, but accounts for 29% of the CAP. Australia and France contributed a similar share of pledges (10%), but account for only 2% of the CAP (Figures 33 and 34).

**Figure 33 Commitments to the Indian Ocean Tsunami Consolidated Appeal from DAC donors, 2005 (first five months)**



**Figure 34 Share of total pledges to the Tsunami committed to the CAP, 2005 (first five months)**

Source: OCHA Financial Tracking System (FTS)

Other marked features of the response to the Tsunami were the extent to which money was unearmarked and the very large number of donors. OCHA records pledges from 59 countries and ten multilaterals in addition to numerous NGOs and private organisations.

Unlike most Consolidated Appeals, where money is earmarked to specific agencies and projects, most of the pledges in response to the Tsunami were for spending to be specified in the future or spread across several sectors. Only a minority of assistance was allocated at the outset to a specific sector.

## 7.2 The Indian Ocean Tsunami in the context of other humanitarian responses

Although the pledges to the Tsunami were large and made very quickly, they were not of a totally different order of magnitude to previous emergency responses.

The \$6.7 billion pledged may be almost as much as global humanitarian aid, but it is very similar to the amount pledged in response to Hurricane Mitch within six weeks of the disaster. It is also less than the \$9 billion pledged in May 1999 to cover a five-year period for countries affected by Mitch – albeit much of that in the form of concessional financing, debt relief and the redirection of existing projects.

Pledges for Afghanistan made in January 2002 in Tokyo amounted to \$4.8 billion and around half of that amount was actually spent by the end of 2002. In March 2004, at the Berlin conference, donors pledged \$8.2 billion for the period up to 2007 (Figure 32).

### 7.2.1 How much do pledges represent additional aid?

Looking at two major emergencies of the past ten years – Afghanistan and the countries affected by Hurricane Mitch – it is possible to trace

some improvements in the accountability for humanitarian assistance and the extent to which pledges have been converted into real disbursements.

Of \$4.8 billion pledged to Afghanistan at the Tokyo conference in January 2002, \$4.3 billion of commitments were reported by the DAC for the three years 2001 to 2003. By the end of 2003, \$3.2 billion in disbursements had been reported to the DAC – that is 71% of the total pledged.

Much of this aid was also additional. Before 2001, aid to Afghanistan averaged around \$165 million a year. For the three years 2001–2003, aid averaged just over \$1 billion. The pledges made in Tokyo appear to have resulted in an increase of \$2.7 billion in actual aid disbursements to Afghanistan for the period 2001–2003.

The figures reported in the Afghan government's Donor Assistance Database (DAD) are not identical to those reported through the DAC. In March 2004 the Afghan government reported that total commitments both inside and outside the national budget were \$2.2 billion, of which they had received \$1.3 million.

In contrast to Afghanistan, the pledges made to countries affected by Hurricane Mitch did not result in a major increase in aid flows. In the four years before Hurricane Mitch, Honduras, Guatemala, Nicaragua and El Salvador received an annual average of \$1.4 billion ODA. In 1998 itself – the year of the hurricane – these countries received \$1.3 billion, and for the total six-year period from 1998–2003 total aid to the four affected countries was \$9.8 billion.

DAC figures therefore suggest that the 'additional' funds (over the average aid received in the period before the hurricane) for the whole six-year period following the disaster amounted to \$937 million – compared with headline figures of \$6.3 billion and \$9 billion pledged in 1998 and 1999.

See [www.oecd.org/dac/stats/idsonline](http://www.oecd.org/dac/stats/idsonline), [www.reliefweb.int/fts](http://www.reliefweb.int/fts)

## 8 Improving the monitoring of humanitarian assistance

Over the past few years, donors have taken a number of steps to improve the transparency and clarity of their reporting on humanitarian assistance. Meeting at the DAC in January 2005, member countries reported that they “attached great importance to the transparency of reporting on the pledges, commitments and disbursement of the massive amounts of funds earmarked by governments, private individuals and the private sector for humanitarian and reconstruction work in the Tsunami-affected countries.” The DAC is working with OCHA not only to track expenditure but also to improve the systems, and it is expected that the DAC will report with information on how official funds are being used towards the end of 2005.

At country level, Afghanistan has set up its own Donor Assistance Database for monitoring aid flows. This provides information geared much more to government spending plans. Combining country level and international monitoring should help to track the humanitarian dollar more accurately from the point when a donor makes a commitment to the point where expenditure is made on the ground. The DAD can be found at <http://aacadad.synisys.com>

Donors are also working together to produce common definitions of humanitarian assistance for statistical and reporting purposes so that DAC data captures humanitarian activities better (see Box 1). Improved links between statistical sections of the DAC and the OCHA Financial Tracking System are developing through the Good Humanitarian Donorship (GHD) working group.

### 8.1 What counts as humanitarian ODA?

What counts as Official Development Assistance (ODA) is defined by the Development Assistance Committee of the OECD. To count as ODA, funds must go to a defined list of developing countries or multilateral agencies and be provided by the official sector in the form of grants or concessional loans with a grant element of at least 25% calculated at a discount rate of 10%. Funds must have economic development or welfare as their main objective.

Currently, there is no official DAC definition for humanitarian assistance, only a category called Emergency and Distress Relief. The Good Humanitarian Donorship initiative has been working on a common definition of humanitarian action for statistical and reporting purposes. It is a complex area: while the purpose of development assistance is to eradicate poverty, the objective of humanitarian assistance is, first and foremost, to save lives. However, responses to emergencies may go well beyond that and include actions and resources that could be generally regarded as development assistance *and* other activities related to peace and conflict which would not count as ODA at all.

DAC rules do not allow military expenditure to be counted as ODA.

## Box 1 Where to get data on humanitarian aid flows . . . and what the data tells you

Just a few questions dominate media coverage of aid flows for natural disasters and emergencies. Do the pledges get delivered? How quickly does the money come through? Is it really additional?

Getting a reliable answer to these questions is not easy and demonstrates the need for the GHD initiative to work. In this section we attempt to outline some the data that is available and exactly what it tells you.

**Pledges:** Donors make *pledges* in response to disasters, usually in the form of statements. These are a mixed bag of intentions, funds which have already been committed, statements of resources that will be available subject to conditions or circumstances, and grants. These are not reported through any international mechanism or validated system, although some are captured by voluntary reporting to the Financial Tracking System reports (see below: Commitments to CAP countries *outside* the appeals)

**Commitments to the Consolidated Appeals:** Donors also make *commitments* to the UN Consolidated Appeals for funds to be spent through UN agencies and international organisations. These commitments are reported as a 'contribution' once they have been confirmed by the receiving organisation. These are reported by the UN OCHA Financial Tracking System and updated daily on [www.reliefweb.int](http://www.reliefweb.int).

**Commitments to CAP countries *outside* the appeals:** OCHA uses its Financial Tracking System to monitor and report on commitments made, outside CAPs, to countries which are the subject of Consolidated or Flash Appeals or which are affected by natural disasters. These contributions are not validated and so cannot be classed as guaranteed disbursements, but they do include a larger number of donors, including many non-DAC donors, and significant amounts of funding.

**Commitments reported to the DAC:** These ODA *commitments are binding* (although subject to conditions). They can be spread over several years. *Commitment reporting is voluntary*, so coverage is not complete, but most DAC donors do report. There is a lot of detail on the commitment data reported by the DAC, and this is available on [www.oecd.org/dataoecd/50/17/5037721.htm](http://www.oecd.org/dataoecd/50/17/5037721.htm)

**Disbursements reported to the DAC:** These are reported by all DAC donors. *Reporting is mandatory* and based on common definitions and procedures, so the data is comparable over time and between donors and recipient countries. Data for each year is published around December of the following year, so the most recent data available now is for 2003. It can be found on <http://www.oecd.org/dataoecd/50/17/5037721.htm>

**Food aid:** Food aid deliveries and trends are monitored and reported through the World Food Programme's (WFP) Global Food Information System (INTERFAIS). INTERFAIS data is reported in tonnages and covers the quantity of food aid procured, shipped and delivered for free distribution. Data is supplied by donor governments, international organisations, NGOs, shipping agents, recipient countries and WFP country offices.

[www.wfp.org/interfais](http://www.wfp.org/interfais) Food aid and other gifts in kind are also reported on the FTS in monetary terms, and Relief Food Aid is a subsector of Emergency and Distress Relief in the DAC data.

If the military are used to deliver humanitarian relief, then the only part of that expenditure which can count as aid is the additional cost involved – not regular salaries and expenses or capital costs. If military personnel are used to control civil disobedience, even in emergency situations, this is not reportable as ODA.

Post-conflict peace-building operations are reported by the DAC as a ‘memo item’, and under very specific conditions can count as ODA. The amount that can be counted as ODA is restricted to the additional costs of bilateral participation in specific activities which are part of a UN peace operation. These specific activities are:

- human rights;
- election monitoring;
- rehabilitation assistance to demobilised soldiers;
- rehabilitation of basic national infrastructure;
- monitoring or retraining of civil administrators and police forces;
- training in customs and border control procedures;
- advice or training in fiscal or macroeconomic stabilisation policy;
- repatriation and demobilisation of armed factions, and disposal of their weapons; and
- explosive mine removal.

In these sectors, ODA can be used to fund expenditure over and above what the personnel and equipment would have cost to maintain had they not been assigned to take part in a peace operation, and net of any compensation received from the UN. Contributions to the UN peacekeeping budget are not reportable as ODA because the UN is unable to specify which parts of the budget go to the ODA-eligible activities listed above.

## 8.2 DAC clarifies ODA-eligible security spending

Over the past 18 months, the DAC has been working on aspects of security expenditure which could be counted as ODA. Support for security reform and conflict prevention activities characteristically comes from several government departments – development co-operation, but also defence and foreign affairs. While many donors are in favour of these ‘whole of government’ approaches to security and governance issues, there has also been concern that the definition of ODA might be diluted or unduly extended and that limited aid budgets should not be diverted from the goal of poverty eradication.

Six new items have been agreed as ODA-eligible and two have been rejected. Even combined, the six new items are only likely to receive very modest amounts of ODA.

Expenditure will be counted as ODA if it is technical co-operation or civilian support for the following:

1. Management of security expenditure through improved civilian oversight and democratic control of budgeting, management, accountability and auditing of security expenditure.
2. Enhancing civil society's role in the security system to help ensure that it is managed in accordance with democratic norms and principles of accountability, transparency and good governance.
3. Supporting legislation for preventing the recruitment of child soldiers.
4. Security system reform to improve democratic governance and civilian control.
5. Civilian activities for peace-building, conflict prevention and conflict resolution.
6. Controlling, preventing and reducing the proliferation of small arms and light weapons.

Items which were not accepted as ODA-eligible included the training of the military in non-military matters such as human rights, intelligence gathering (especially on terrorist threats) and extending the coverage of peace-keeping activities. While these two activities promote peace and security, there was no consensus that they represented an appropriate use of ODA. The situation will be reviewed in 2007.

## 9 Good Humanitarian Donorship

*“Ultimately, our aim is to ensure that the needs and rights of those affected by crises are fully met.”<sup>1</sup>*

In June 2003, 15 donors met at the invitation of the Swedish government to address Good Humanitarian Donorship (GHD). They had three tasks: to agree the basic principles which should govern GHD; to identify good donor practice; and to agree on a process for implementation and follow-up.

A year later, 22 donors met at the invitation of the Government of Canada, to reinforce the principles and agree future directions. It is clear from this meeting that the GHD process has started to be mainstreamed in some donor capitals. The integration of good humanitarian donorship in the work of the DAC has begun, and efforts to achieve greater coherence and co-ordination are underway in Burundi and DRC. GHD has also given impetus to domestic discussion of humanitarian policy and the framework for improving the quality of donorship.

### 9.1 What are the GHD aims and objectives?

The GHD principles are founded on the “common international goal of meeting the entirety of global humanitarian needs”,<sup>2</sup> and set out a common platform for donor efforts to enhance coherence, effectiveness, accountability, funding, co-ordination, follow-up and evaluation.

GHD defines the objectives of humanitarian action as saving lives, alleviating suffering and maintaining human dignity, as well as preventing and strengthening preparedness for man-made and natural disasters.

The principles under which GHD donors should work are humanity (meaning the centrality of saving lives and alleviating suffering wherever it is found), impartiality, neutrality and independence. And all humanitarian action should be governed by:

- respect for international humanitarian law and human rights;
- flexible and timely funding, on the basis of the collective obligation of striving to meet humanitarian needs;
- funding in proportion to need;
- involvement of beneficiaries;
- strengthening local capacity;
- supporting recovery and long-term development; and
- supporting the United Nations in providing leadership and co-ordination and the Red Cross and Red Crescent organisations and NGOs in implementing humanitarian action.

1. Bruce Montador, CIDA in his Roadmap for the way forward on GHD, October 2004.

2. Stockholm Meeting Conclusions

## 9.2 What is the workplan?

At the Stockholm meeting, three specific areas of good practice were highlighted for attention – Funding; Promoting Standards and Enhancing Implementation; and Learning and Accountability. Among other things, the GHD agenda requires donors to:

- ensure that funding new crises does not adversely affect meeting needs in ongoing crises;
- provide predictable and flexible funding, reduced earmarking and longer-term funding arrangements;
- contribute responsibly, on the basis of burden-sharing, to UN Consolidated and Red Cross/Crescent Appeals and in support for the Common Humanitarian Action Plans (CHAPs).

GHD donors are expected to promote Inter Agency Standing Committee (IASC) guidelines – including those on the use of military and civil defence assets – and the 1994 Code of Conduct. They are expected to support humanitarian access and mechanisms for contingency planning and to affirm the primary position of civilian organisations in implementing humanitarian action.

Learning and Accountability initiatives should be supported by GHD donors and evaluations should be encouraged – including assessments of donor performance. GHD donors should ensure accuracy, timeliness, and transparency in donor reporting on official humanitarian assistance spending.

The GHD Implementation Plan identified five specific priorities for follow-up:

1. The Principles and Good Practice of Humanitarian Donorship were to be applied to at least one crisis subject to a Consolidated Inter-Agency Appeal.
2. The OECD DAC was to be invited to strengthen the coverage of humanitarian action in peer reviews.
3. Donors were to jointly explore possibilities for harmonising reporting requirements and management demands on humanitarian organisations.
4. In consultation with the UN and the DAC, GHD donors were to agree on a common definition of official humanitarian assistance for reporting and statistical purposes.
5. The wider use of the GHD Principles and Good Practice was to be encouraged along with participation in the follow-up.

## 9.3 What has happened since GHD started?

Burundi and DRC became the first pilot countries for the application of GHD principles and good practice.

In DRC, the focus is on measuring and improving donor behaviour. First stages included setting common strategies and establishing a

peer review mechanism to help prioritise projects for inclusion in the Consolidated Appeal. Nine donors, eight NGOs, ten UN agencies and three Red Cross organisations participated. A common needs assessment matrix has been tested and more work is being done to enable more common, systematic needs assessments. The DRC pilot programme is also highlighting the need for transparency in funding decisions, monitoring, work with NGOs and local ownership. Donor behaviour will be evaluated in autumn 2005 to assess to what extent donors have applied the GHD principles in the field.

The Burundi pilot, led by the UK, intended to develop and test a more creative and detailed assessment and analysis of humanitarian needs, but progress on this had to be postponed and the priority shifted to establishing indicators for donor behaviour. A CHAP workshop was held in September 2004 and a Donor Humanitarian Strategy Forum took place in October 2004 to agree priorities, to review the application of the GHD principles, and to maximise harmonisation of the CHAP and donor priorities. The pilot will be evaluated in June 2005.

In March 2004, the DAC agreed that it would take an active role in pursuing the GHD agenda and that, incrementally, humanitarian action would be covered in the peer review process. As a result, humanitarian action was included in the peer reviews of Australia and Norway in 2004 and will be included in reviews of Switzerland, Sweden (2005) and ECHO (2006).

The Subgroup on harmonisation has mapped out existing donor requirements and management demands, and recommended changes. This work will be taken forward through the workplans of donor support groups and governing bodies for each UN agency or international organisation.

Sweden – with Canadian support – has seconded a staff member to the DAC to work on the definition and statistical reporting of humanitarian assistance, and GHD participants are working actively with the DAC Working Party on Statistics and the OCHA Financial Tracking System on ways to improve the reporting of humanitarian assistance.

As indicated below, 21 donors plus the EC attended the Ottawa Meeting on GHD, compared with 15 plus the EC in Stockholm. Donors have agreed to identify focal points for GHD to create a network which could foster communication and progress. In addition, all donors are being asked to follow the lead of some GHD participants and develop frameworks to mainstream GHD principles in their humanitarian assistance and to measure progress. A number of donors are developing national implementations plans and these will be available on the ReliefWeb GHD page.

A further GHD review will take place in the margins of the Humanitarian Segment of ECOSOC in New York in July 2005.

#### 9.4 Who is involved?

Following the Stockholm meeting, Canada took on the chair of the GHD process (until July 2005).

The 22 donors who participated in the Second International Meeting on GHD in Ottawa in October 2004 were: Australia, Austria, Belgium, Canada, Denmark, the EC, Finland, France, Germany, Greece, Ireland, Japan, Luxembourg, the Netherlands, New Zealand, Norway, Portugal, Spain, Sweden, Switzerland, the UK, the USA.

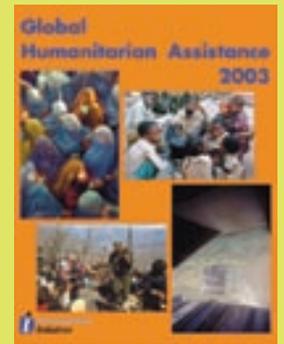
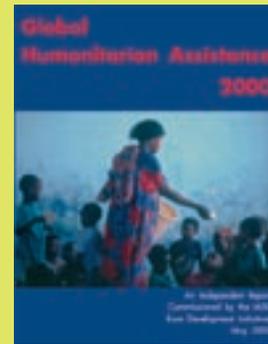
The Implementation Group is based in Geneva and chaired by Canada. There is one subgroup for each of the first four components of the Implementation Plan:

1. The Subgroup on Consolidated Appeals country pilots is led by the USA and Belgium for DRC and by the UK for Burundi.
2. The Subgroup on definitions and statistics is facilitated by the Netherlands.
3. The Subgroup on harmonisation is facilitated by Denmark.
4. The Subgroup on strengthening peer reviews is facilitated by Canada.

#### 9.5 Where to find out more?

Reports of the GHD meetings in Stockholm and Ottawa, background papers and progress reports are all available on [www.reliefweb.int/ghd/](http://www.reliefweb.int/ghd/)

# Global Humanitarian Assistance Update 2004-05



How much does the world spend on meeting the humanitarian needs of people affected by conflict, crisis and disaster?

Global Humanitarian Assistance reports and updates are designed to provide clear, reliable and objective data on aid flows for humanitarian purposes.

This Update uses the most recent information from the Development Assistance Committee of the OECD and the Financial Tracking System of the UN Office for the Co-ordination of Humanitarian Affairs (OCHA) to report on:

- How much humanitarian assistance is provided each year
- Growth rates in humanitarian and development assistance
- The shares of humanitarian aid that go to different countries and regions
- The main donors, how much they give and to which countries and organisations
- Trends in support for UN Consolidated Appeals

**Global Humanitarian Assistance Update 2004-05** also includes:

- analysis of the response to the Indian Ocean Tsunami in the context of total aid and in comparison with other disasters
- reporting on the latest DAC decisions regarding elements of security spending which can be counted as ODA
- a summary of the aims and activities of The Good Humanitarian Donorship initiative

The Global Humanitarian Assistance website is at [www.globalhumanitarianassistance.org](http://www.globalhumanitarianassistance.org) and includes the full GHA reports for 2000 and 2003 as well as other analysis of humanitarian issues and aid flows. The Reports can be downloaded in full and all the data is also accessible in Excel direct from the website.

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