



METHODOLOGY AND DEFINITIONS

Methodology

What is humanitarian assistance?

Humanitarian assistance is intended to save lives, alleviate suffering and maintain human dignity during and after man-made crises and disasters caused by natural hazards, as well as to prevent and strengthen preparedness for when such situations occur.¹ Humanitarian assistance should be governed by the key humanitarian principles of: humanity, impartiality, neutrality and independence. These are the fundamental principles of the International Red Cross and Red Crescent Movement (RCRC), which are reaffirmed in UN General Assembly resolutions and enshrined in numerous humanitarian standards and guidelines. In this report, when used in the context of financing data, humanitarian assistance refers to the financial resources for humanitarian action.

There is no universal obligation or system for reporting expenditure on international or domestic humanitarian assistance. The main reporting platforms for international humanitarian assistance are the Organisation for Economic Co-operation and Development's (OECD's) Development

Assistance Committee (DAC) and UN Office for the Coordination of Humanitarian Affairs (OCHA)'s Financial Tracking Service (FTS). The 29 OECD DAC members are obligated to report their humanitarian assistance to the DAC systems as part of their official development assistance (ODA), in accordance with definitions set out by the DAC.² Some other governments and most major multilateral organisations also voluntarily report to the DAC. The FTS is open to all humanitarian donors and implementing agencies to voluntarily report contributions of internationally provided humanitarian assistance, according to an agreed set of criteria for inclusion.³

The analysis in the GHA report draws on data reported to the OECD DAC, as well as that reported to the FTS. Between these sources there is variation in the criteria for what can be included as humanitarian assistance, as well as volumes reported, so we aim to consistently explain and source the data that we use.

Cash

Our estimate of the amount of humanitarian assistance delivered in the form of cash and voucher-based programming is based on data from the FTS, Cash Atlas and World Food Programme (WFP). The Cash Atlas is an online global mapping tool that tracks funding to humanitarian cash programmes. There is no specific identifier for cash in FTS data, so we carry out a keyword search for relevant terms on project titles, descriptions and clusters. Our estimate includes partial cash projects (those that combine cash transfer interventions in broader activities), and as such may include projects with non-cash elements.

Reporting to the Cash Atlas on project timelines is by project duration and includes projects spanning a number of years. To estimate the value of cash transfers in 2015, we multiply the overall total by the number of project months in 2015 divided by the total number of projects months. Adding WFP data to Cash Atlas data may cause some double counting, but measures have been taken to limit this to the least extend possible.

Channels of delivery

We use 'channels of delivery' to describe the organisations receiving funding for the delivery of humanitarian assistance – multilateral agencies, non-governmental organisations (NGOs), the public sector and the RCRC – whether they deliver the assistance themselves or pass it on to partner organisations. Our channels of delivery data comes predominantly from the OECD DAC Creditor Reporting System (CRS) and the FTS.

Constant prices

Our trends analysis on financial flows is in US\$ constant prices (base year 2014) unless otherwise stated. We use data from the OECD DAC and the International Monetary Fund (IMF)'s World Economic Outlook October 2015 release to convert financial data from current to constant prices.

Country and region naming conventions

Country naming conventions used throughout this report are based on those used by the OECD DAC or the UN. Region naming conventions are based on those used by the OECD with the exception of the Middle East and North of Sahara regions, which have been combined. In some cases, UN region naming conventions have also been used. The conventions used do not reflect a political position of Development Initiatives.

Crisis categories

For our analysis of crises by categories of conflict situations, disasters caused by natural hazards, and refugee-hosting settings, we used 2015 data from the FTS organised by emergency title. To identify countries affected by conflict and by disasters caused by natural hazards, we used indicators in INFORM's Index for Risk Management; and to identify refugee-hosting countries, we used data from the UN High Commissioner for Refugees (UNHCR) and the UN Relief and Works Agency Palestine Refugees in the Near East (UNRWA).

The thresholds applied to these indicators mean that 12 countries were excluded from the analysis because they fell below these thresholds used to categorise countries according to crisis type. The combined humanitarian funding to these 12 countries in 2015 was US\$171.3 million, representing around 1% of the total country-allocable funding reported to the FTS.

Earmarked funding

Our multilateral unearmarked funding calculation is the sum of 'core' humanitarian assistance given by DAC governments to UNHCR, UNRWA, WFP, UNICEF, International Organisation for Migration (IOM), Food and Agriculture Organization (FAO) and UNOCHA (data taken from the OECD DAC). Earmarked funding is calculated by totalling all other data (non-core) channelled via multilaterals reported to the OECD DAC for DAC donors and all funding reported to the FTS for other government donors.

Earmarked and unearmarked funding for NGOs is calculated using OECD DAC data only. To calculate unearmarked funding we use OECD DAC's type-of-aid definition for 'Core support to NGOs, other private bodies, PPPs and research institutes'. Earmarked funding comprises all other DAC-reported funding channelled to NGOs.

Environmental vulnerability

Our list of environmentally vulnerable countries includes all countries classed as 'very high' and 'high' risk in the natural hazard category of the INFORM Index's mid-2016 release. The extent of a country's ability to withstand hazards is also factored into the definition by removing countries scoring 'low' and 'very low' on INFORM's 'lack of coping capacity' dimension.

Exchange rates

We use exchange rates from the OECD DAC for OECD DAC members and data from the IMF World Economic Outlook (October 2015 release) for countries outside of the OECD DAC.

Fragility

Classification of fragile states for Figure 1.1 is based on the list of fragile states and economies used in the OECD's report *States of Fragility 2015*, since it draws a clear distinction between fragile and non-fragile states. Analysis for Figure 2.7 is derived from fragility groupings in the Fund for Peace Fragile States Index, where all countries are ranked on a continuum and grouped by a composite fragility score developed from social, economic and political indicators.

International humanitarian assistance

Our estimate of total international humanitarian assistance is the sum of that from private donors (see *Private funding* later in this chapter) and from government donors. Our calculation of international humanitarian assistance from government donors is the sum of:

- 'Official' humanitarian assistance (OECD DAC donors)
- International humanitarian assistance from donors outside of the OECD DAC.

Our 'official' humanitarian assistance calculation comprises:

- The bilateral humanitarian expenditure of the 29 OECD DAC members, as reported to the OECD DAC database under Table 1.
- The multilateral humanitarian assistance of the 29 OECD DAC members. This in turn comprises:
- The unearmarked ODA contributions of DAC members to seven key multilateral agencies engaged in humanitarian response: UNHCR, UN OCHA, FAO, IOM, UNRWA, UNICEF and WFP, as reported to the OECD DAC under Table 2a and the CRS. We do not include all ODA to FAO, IOM, UNICEF and WFP but apply a percentage to take into account these agencies that also have a 'development' mandate. These shares are calculated using data on humanitarian expenditure as a proportion of the total received directly from each multilateral agency.
 - The ODA contributions of DAC members to some other multilateral organisations (beyond those already listed) that although not primarily humanitarian-oriented, do report a level of humanitarian aid to OECD DAC Table 2a. We do not include all reported ODA to these multilaterals but just the humanitarian share of this.
 - Contributions to the UN Central Emergency Response Fund (CERF) that are not reported under DAC members' bilateral humanitarian assistance. We take this data directly from the UN CERF website.

When we report on the official humanitarian assistance of individual OECD DAC countries who are members of the EU, we include an imputed calculation of their humanitarian assistance channelled through the EU institutions, based on their ODA contributions to the EU institutions. We do not include this in our total international humanitarian assistance and response calculations to avoid double-counting.

To calculate funding from government donors outside the OECD DAC we use data from the FTS. Some governments that voluntarily report to the DAC report higher contributions to the DAC than to the FTS; for these the amounts reported to the DAC were used. In 2015, this was the case for the United Arab Emirates, Russia and Turkey.

However, Turkey is captured and shaded differently in Figures 4.2 and 4.3 because the humanitarian assistance that it voluntarily reports to the DAC largely comprises

expenditure on hosting Syrian refugees within Turkey so is not strictly comparable with the international humanitarian assistance totals from other donors in this figure. We do not include Turkey's expenditure on Syrian refugees within Turkey in our total international humanitarian assistance and response calculations as these only include amounts directed internationally by donors.

Multilateral development banks

Our analysis of funding from the multilateral development banks includes amounts reported within the OECD DAC humanitarian aid sector, as well as preliminary analysis of relevant DAC-reported funding outside of the humanitarian aid sector. Humanitarian-related expenditure was captured through (1) inclusion of activities reported under the DAC flood prevention/control purpose code; and (2) a curated word-search on CRS fields for terms relevant to disaster risk reduction, emergency response and recovery. Classification based on word-searching relies on the quality of donor reporting to the CRS and involves a degree of subjectivity. Data shown does not capture climate change adaptation, resilience and coastal development unless a disaster risk reduction element was specified within the activity or it was included under the DAC humanitarian aid sector.

NGO classifications

Analysis of funding to NGOs is based on our own categorisation of five types of NGO, which was established following consultation with stakeholders.

Categories are:

- International NGOs – those based in an OECD DAC member country and carrying out operations in one or more developing countries
- Southern international NGOs – those not based in OECD DAC member countries and carrying out operations in one or more developing countries
- Affiliated national NGOs – nationally-operating NGOs that are affiliated to an international NGO
- National NGOs – those operating in the developing country where they are headquartered, working in multiple subnational regions, and not affiliated to an international NGO
- Local NGOs – those operating in a specific, geographically defined, subnational area, without affiliation to either a national or international NGO; this grouping can also include community-based organisations.

Poverty

We refer to the \$1.90 a day line in this report and use data from World Bank's PovcalNet. This measure is expressed in 'international dollars', based on 2011 purchasing power parity (PPP) exchange rates. We use the updated extreme poverty line with estimates modelled to 2012 in this year's report. This allows poverty line comparability between countries, provides the most comparable up-to-date analysis possible, and is designed to be more accurate than other available estimates as it uses more up-to-date comparisons of international prices.

Private funding

We approach humanitarian delivery agencies (including NGOs, multilateral agencies and the RCRC) directly and request financial information on their income and expenditure to create a standardised dataset. Where direct data collection is not possible, we use publicly available annual reports and audited accounts to extract key data.

Our dataset includes the following:

- 287 NGOs that form part of 10 representative and well-known NGO alliances and umbrella organisations such as Oxfam International, and a further 12 large international NGOs operating independently
- Multilateral contributions from six key UN agencies engaged in humanitarian response and coordination: UNICEF, UNHCR, UNRWA, WFP, UN Development Programme and the World Health Organization, as well as 162 IOM member states
- The International Federation of Red Cross and Red Crescent Societies (IFRC) and the International Committee of the Red Cross (ICRC).

Our private funding calculation comprises an estimate of total private humanitarian income for all NGOs, and the private humanitarian income reported by the six UN agencies, IOM, the IFRC and ICRC. To estimate the total private humanitarian income of NGOs globally, we calculate the annual proportion that the 287 NGOs in our dataset represent of all NGOs reporting to the UN OCHA FTS. The total private humanitarian income reported to us by the NGOs in our dataset is then scaled up according to this proportion.

Data is collected annually, and new data for previous years may be added retrospectively. Global estimates for previous years may therefore be different to those presented in past reports, as our data becomes more comprehensive and these estimates become more precise. Due to limited availability of data, detailed analysis covers the period 2010 to 2014.

Our 2015 private funding calculation is an estimate based on data provided by Médecins Sans Frontières (MSF), pending full data from our full dataset. We calculate the average share that MSF's contribution represents in our private funding figure for the five previous years (2010–2014). Using this proportion we scale up the private funding figure provided by MSF to get our estimated total for 2015. The rationale for this methodology is that the share of MSF's private funding remains relatively consistent year on year (ranging between 19% and 21% of the total amount over the last five years).

Rounding

There may be minor discrepancies in some of the totals in our graphs and charts, and between those in the text; this is because of rounding.

UN-coordinated appeals

We use this generic term to describe all humanitarian response plans and appeals coordinated by UN OCHA or UNHCR, including strategic response plans, flash appeals and regional refugee response plans. We use data from UN OCHA's FTS for our financial analysis of UN-coordinated appeals.

Data sources

Africa Risk Capacity African Risk Capacity documents	www.africanriskcapacity.org/documents/general
The Cash Learning Partnership Cash Atlas	www.cash-atlas.org/
Centre for Research on the Epidemiology of Disasters Guha-Sapir D, Below R, Hoyois Ph. EM-DAT: International Disaster Database – www.emdat.be . Université Catholique de Louvain, Brussels, Belgium	www.emdat.be/database
International Aid Transparency Initiative	www.aidtransparency.net/
European Union Humanitarian Aid and Civil Protection Forgotten Crisis Assessment, ECHO, Brussels	http://ec.europa.eu/echo/sites/echo-site/files/forgotten_crisis_assessment.pdf
Fund for Peace Fragile States Index, Fund for Peace, Washington DC	http://fsi.fundforpeace.org/
Inter-Agency Standing Committee and European Commission INFORM Index for Risk Management	www.inform-index.org
International Committee of the Red Cross Annual Report, ICRC, Geneva	www.icrc.org/en/annual-report
International Federation of Red Cross and Red Crescent Societies IFRCs appeal reports, IFRC, Geneva	www.ifrc.org/fr/publications/donor-response/
International Monetary Fund World Economic Outlook Database, IMF Article IV reports, Washington DC	www.imf.org/external/pubs/ft/weo/2015/01/weodata/index.aspx www.imf.org/external/np/sec/aiv/index.asp
National Bureau of Statistics, Kenya 2009 Kenya Population and Housing Census Kenya Integrated Household Budget Survey 2005–2006	www.knbs.or.ke/
Office of the UN High Commissioner for Refugees Statistical Online Population Database, UNHCR, Geneva Historic Trends, UNHCR, Geneva	http://data.unhcr.org
Organisation for Economic Co-operation and Development OECD.StatExtracts, OECD, Paris Development Finance Statistics, OECD, Paris	http://stats.oecd.org www.oecd.org/dac/financing-sustainable-development/developmentfinancestatistics.htm
Stockholm International Peace Research Institute SIPRI Multilateral Peace Operations Database, SIPRI, Solna	www.sipri.org/databases/pko
UN Conference on Trade and Development UNCTADstat, UNCTAD, Geneva	http://unctadstat.unctad.org
UN Department of Peacekeeping Operations United Nations Peacekeeping Operations, UN Department for Peacekeeping Operations, New York	www.un.org/en/peacekeeping
UN Office for the Coordination of Humanitarian Affairs Central Emergency Response Fund, UN OCHA, New York Financial Tracking Service, UN OCHA, Geneva	www.unocha.org/cerf https://fts.unocha.org
UN Relief and Works Agency for Palestine Refugees in the Near East UNRWA in figures reports	www.unrwa.org/resources/about-unrwa
World Bank World Development Indicators, World Bank, Washington DC PovcalNet, World Bank International Debt Statistics, World Bank Migration and remittances data, World Bank	http://data.worldbank.org/data-catalog/world-development-indicators http://iresearch.worldbank.org/PovcalNet http://data.worldbank.org/data-catalog/international-debt-statistics www.worldbank.org/en/topic/migrationremittancesdiasporaissues/brief/migration-remittances-data

Definitions

Term	Definition
Advance market commitment	A binding contract, typically offered by a government or other financial entity, used to guarantee a viable market if a product such as a vaccine or other medicine is successfully developed.
Blended finance*	Combination of public-sector funding (and sometimes philanthropic funding) with private-sector capital to finance a given project.
Bond	A form of debt security whereby the issuer of the bond owes a debt to the holder of the bond and must pay the holder interest on the debt and/or repay the face value of the bond at a set date (the maturity date). Bonds may be negotiable – ie able to be bought and sold between bond holders.
Cash transfers	Refers to all programmes where cash (or vouchers for goods or services) is directly provided to beneficiaries. The term is used to refer to the provision of cash or vouchers given to people, household or community recipients. ¹ Other commonly used related terms include cash programming, cash and voucher programming, and cash-based transfers.
Channels of delivery	The agencies and organisations receiving funding for the delivery of humanitarian assistance – multilateral agencies, NGOs, the public sector, the military, pooled funds (for definition overleaf) and the International Red Cross and Red Crescent Movement – whether they deliver the assistance themselves or pass it on to partner organisations.
Climate adaptation financing	Funding for interventions that aim to build the capacity to adapt and respond to climate change, while reducing the vulnerabilities to shocks and stresses induced or exacerbated by it and their associated impacts.
Concessional (financing and loans)	Lending terms that are more favourable for the borrower than those that can be obtained through the market. Benefits can include longer repayment periods, grace periods (before repayments have to begin), or interest rates offered below market terms. Concessions are typically provided directly by a government agency or, for a commercial loan, as a government grant to a lending bank.
Contingency credit	A separate fund or a budget provision set aside to meet unforeseen and unavoidable requirements that may arise. Certain types of contingency (such as crisis response and reconstruction, or meeting loan guarantee obligations) may be specified as a potential use for such funds. ²
Debt relief*	A reduction in the repayment terms of a loan. This may include forgiveness (the loan is written off), rescheduling the repayments, or refinancing by extending the loan period. ³
Debt swaps	A debt cancellation by a donor on condition that the partner country invests part of the cancelled amount in development projects (and/or environment projects). Debt swaps can also involve a third party, usually an NGO or intergovernmental agency. ⁴
Earmarked funding*	Conditions placed on funding by donors stipulating how or on what recipients may spend funds. Conditions can range from overall thematic and geographic priorities to requirements to spend money on specific goods and services delivered to a particular recipient group. They range from tightly earmarked to fully unearmarked. ⁵
Equity investments	In general terms this is the acquisition of shares in an enterprise in order to obtain dividend income or capital gains in the future. To be counted as ODA, an equity investment must be made by an official-sector agency in an enterprise in a country on the OECD Development Assistance Committee (DAC)'s list of ODA-eligible states, and the investment is not made to acquire a lasting interest in the enterprise.
Foreign direct investment (FDI)	Investment that reflects an objective to establish a lasting interest by a resident enterprise in one economy (direct investor), in an enterprise that is resident in an economy other than that of the direct investor (direct investment enterprise). ⁶
Grant	Transfers made in cash, goods or services for which no repayment is required. ⁷

*See full glossary at: www.globalhumanitarianassistance.org/data-guides/glossary

Term	Definition
Guarantee	The agreement made by a donor government to cover (for example) loan repayments if the partner country defaults, thus reducing the risk associated with the loan, and in turn allowing the loan to come with better terms, such as a reduced interest rate. ⁸
Impact bonds	Finance tool designed to improve social, environmental or development outcomes of publically funded projects/services, by making funding and payments to investors conditional on achieving agreed results. ⁹
Islamic social financing	A range of financial mechanisms employed by the Muslim community that are designed to promote social protection of poor people, reduce vulnerability and increase economic equality. Includes Zakat (contribution of 2.5% of annual assets), and sukuk (investment bonds compliant with Islamic law).
Loan*	Transfers either in cash or in kind for which the recipient incurs a legal debt.
Long-term debt (commercial)	A debt owed to a commercial bank or agency that has a maturity of more than one year. Maturity can be defined either on an original or remaining basis. ¹⁰
Long-term debt (official)	A debt owed to a bilateral government agency or a multilateral development agency that has a maturity of over one year. As well as debt arising from ODA and other official flows, it includes former private sector debt that has been rescheduled by the official sector. ¹¹
Multilateral development banks	Multilateral development banks (MDBs) are supranational institutions established by a group of countries with the common task of fostering economic and social progress in developing countries by financing projects (in the form of loans or grants), supporting investment, generating capital and providing technical expertise. ¹²
Net portfolio equity	A form of international investment that does not confer significant control or influence. 'Portfolio' refers to a group of assets. Investments of 10% or more of the value or control of an asset or company are considered FDI, while investments below this threshold are portfolio equity. Investors receive returns through interest payments or dividends and can use equity to spread financial risks across different markets. They can also sell their equity on to other investors.
Non-grant (government) revenue	The total amount of government revenue collected in a given year, excluding international grants for project or budget support. The exclusion of grants better reflects a government's available domestic public resources and avoids double counting of international assistance. Non-grant revenue includes both tax (eg income and VAT) and non-tax (eg rent/fees) components.
Other official flows (OOFs)	Transactions by the official sector with countries on the list of eligible recipients that do not meet the conditions for eligibility as ODA or official aid, either because they are not primarily aimed at development, or because they have a grant element of less than 25%. ¹³
Pooled funds*	Mechanisms used to receive contributions from multiple financial partners and allocate such resources to multiple implementing entities. Humanitarian pooled funds can be global (eg CERF or the START Fund) or country-based. For recovery and development purposes, the main pooled mechanisms currently used by the UN system are UN multi-donor trust funds, national multi-donor trust funds and stand-alone joint programmes. ¹⁴
Purchasing power parity (PPP) exchange rates	An attempt to go beyond using market exchange rates, adjusting for the relative buying power across different countries so enabling international comparisons of the welfare of inhabitants.
Remittances*	Monies earned or acquired by non-nationals that are transferred back to their country of origin. ¹⁵

*See full glossary at: www.globalhumanitarianassistance.org/data-guides/glossary

Term	Definition
Risk financing	The retention of risks combined with the adoption of an explicit financing strategy to ensure that adequate funds are available to meet financial needs should a disaster occur. Such financing can be established internally through the accumulation of funds set aside for future use or obtained externally through pre-arranged credit facilities. The banking sector, capital markets and international lending institutions are sources of risk financing. ¹⁶
Risk transfer	The shifting of risks to others who, in exchange for a premium, provide compensation when a disaster occurs, ensuring that any financing gap that might emerge is partially or fully bridged. Risk transfer may be obtained through insurance policies or capital market instruments such as catastrophe bonds. ¹⁷
Short-term debt	Debt that has maturity of one year or less. Maturity can be defined either on an original or remaining basis. ¹⁸
Social protection	Public actions – carried out by the state or privately – that both enable people to deal more effectively with risk, vulnerability to crises and changes in circumstances, and help tackle extreme and chronic poverty. Social protection includes various types of approaches, policies, programmes and actions that address risks, deprivation, poverty (eg income security payments, or basic health coverage), or vulnerability to shocks. ¹⁹
Solidarity levy	Solidarity levies are a tax imposed on people for a specific purpose, in addition to other regular taxes. The purpose should be one intended to ‘unify’ or ‘solidify’ payees, such as a national rebuilding project. Global taxes have been proposed under this banner, for example directed towards health.

*See full glossary at: www.globalhumanitarianassistance.org/data-guides/glossary

Abbreviations

CAR	Central African Republic	LMIC	Lower middle income country
CBPF	Country-based pooled fund	MDB	Multilateral development banks
CERF	Central Emergency Response Fund (UN)	MIC	Middle income country
CHF	Common humanitarian fund	MSF	Médecins Sans Frontières
CRS	Creditor Reporting System	NDMA	National disaster management authority
DAC	Development Assistance Committee (OECD)	NGO	Non-governmental organisation
DPP	Disaster prevention and preparedness	OCHA	Office for the Coordination of Humanitarian Affairs (UN)
DPR	Korea Democratic People's Republic of Korea	ODA	Official development assistance
DRC	Democratic Republic of the Congo	OECD	Organisation for Economic Co-operation and Development
DRR	Disaster risk reduction	OOFs	Other official flows
EC	European Commission	PPP	Purchasing power parity
ECHO	Department of Humanitarian Aid and Civil Protection (EC)	RCRC	Red Cross Red Crescent
EU	European Union	UAE	United Arab Emirates
FAO	Food and Agriculture Organization	UMIC	Upper middle income country
FCA	Forgotten Crisis Assessment (ECHO)	UN	United Nations
FDI	Foreign direct investment	UNHCR	UN High Commissioner for Refugees
FTS	Financial Tracking Service (UN OCHA)	UNICEF	United Nations Children's Fund
GDP	Gross domestic product	UNRWA	UN Relief and Works Agency for Palestine Refugees in the Near East
GHA	Global Humanitarian Assistance (programme by Development Initiatives)	UK	United Kingdom
GNI	Gross national income	US	United States
IASC	Inter-Agency Standing Committee	WB	World Bank
IATI	International Aid Transparency Initiative	WDI	World Development Indicators
ICRC	International Committee of the Red Cross	WEO	World Economic Outlook (IMF)
IDP	Internally displaced person	WFP	World Food Programme (UN)
IFRC	International Federation of Red Cross and Red Crescent Societies	WHO	World Health Organization (UN)
IMF	International Monetary Fund	WHS	World Humanitarian Summit
INFORM	Index for Risk Management		
INGO	International non-governmental organisation		
IOM	International Organization for Migration		
KSh	Kenyan shilling		
LIC	Low income country		

Notes

Chapter 1

- 1 <https://s3.amazonaws.com/unhcrsharedmedia/2016/2016-06-20-global-trends/2016-06-14-Global-Trends-2015.pdf>.
- 2 To compare poverty data across countries, prices must be converted into a common price basis known as purchasing power parity (PPP) prices. PPPs are constructed by comparing the cost of a common basket of goods in different countries. To reflect an internationally comparable poverty line, we use the \$1.90 poverty line derived from 2011 prices, which buys approximately the same as the previous \$1.25 poverty line derived from 2005 prices. The World Bank updated the extreme poverty line from \$1.25 in 2005 PPP to \$1.90 in 2011 PPP in 2015.
- 3 Differences to the findings of this analysis compared with a similar analysis in the GHA Report 2015 are due to: the use of a different source to define the list of fragile states; a change in INFORM's methodology of defining environmentally vulnerable countries; and changes in vulnerability ranking for countries between years.
- 4 United Nations (2013) A new global partnership: Eradicate poverty and transform economies through sustainable development. The Report of the High-Level Panel of Eminent Persons on the Post-2015 Development Agenda: www.post2015hlp.org/wp-content/uploads/2013/05/UN-Report.pdf
- 5 UN (2016) One Humanity: Shared Responsibility, Report of the UN Secretary-General for the World Humanitarian Summit.
- 6 OECD (2015) States of Fragility 2015: Meeting Post-2015 Ambitions: www.oecd.org/dac/states-of-fragility-2015-9789264227699-en.htm
- 7 Office of the United Nations Special Coordinator for the Middle East Peace Process (UNSCO, 2012) Gaza in 2012: A liveable place? A report by the United Nations Country Team in the occupied Palestinian territory: www.unrwa.org/userfiles/file/publications/gaza/Gaza%20in%202020.pdf
- 8 UN (2015) Sahel: a call for humanitarian aid. Responding to the needs of people affected by crises in the Sahel in 2016: <http://reliefweb.int/report/mali/sahel-call-humanitarian-aid-responding-needs-people-affected-crises-sahel-2016-enar>
- 9 Chair's Summary from the World Humanitarian Summit, Standing up for humanity: Committing to action, advance unedited version, 24 May 2016: <https://consultations.worldhumanitarianissummit.org/file/530820/view/581078>
- 10 This data was collected by the Southern Sudan Centre for Census, Statistics and Evaluation, now the South Sudan National Bureau of Statistics – the official statistical agency of the Government of South Sudan.
- 11 Development Initiatives (2015) Investments to End Poverty 2015: <http://devinit.org/#!/post/investments-to-end-poverty-2015>
- 12 OCHA Eastern Africa: www.unocha.org/eastern-africa/about-us/about-ocha-eastern-africa/kenya
- 13 Poverty incidences are based on the national poverty line. Indicators of risk are drawn from the INFORM Index for Risk Management risk score; this combines indicators on hazard and exposure (both human and natural), vulnerability and lack of coping capacity.
- 14 INFORM Index for Risk Management 2016 results: www.inform-index.org/Portals/0/InfoRM/2016/INFORM%20Results%20Report%202016%20WEB.pdf
- 15 See ODI (2015) The data revolution: finding the missing millions: <https://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/9604.pdf> and Carr-Hill (2013) Missing Millions: Measuring development progress: www.lidc.org.uk/sites/default/files/Missing%20millions.pdf
- 16 Central Administration of Statistics and World Bank (December 2015) Measuring Poverty in Lebanon using 2011 HBS: www.cas.gov.lb/images/Excel/Poverty/Measuring%20poverty%20in%20Lebanon%20using%202011%20HBS_technical%20report.pdf
- 17 World Bank and UNHCR (2015). The Welfare of Syrian Refugees: Evidence from Jordan and Syria: www.worldbank.org/en/news/feature/2015/12/16/welfare-syrian-refugees-evidence-from-jordan-lebanon
- 18 Although it can give a broad basis for comparing the refugee and host populations, the poverty line for the study and the national poverty lines cannot be strictly compared as they are anchored in different sets of measures.
- 19 These include data on conflict collated by the Uppsala Conflict Data Program at the Department of Peace and Conflict Research, Uppsala University; the Conflict Barometer, published by the Heidelberg Institute for International Conflict Research; and the Global Conflict Risk Index (GCRI) developed by the Joint Research Centre of the European Commission.
- 20 Institute for Economics and Peace, Global Peace Index, 2015.
- 21 See note 1
- 22 Groupings of countries by level of income incorporate a broad range of incomes, poverty levels, access to resources and vulnerabilities. In addition, the thresholds that separate countries' income into 'low', 'middle' (lower and upper) and 'high' do not reflect subnational disparities between countries.
- 23 It should be noted though that broad categories such as MICs and LICs cover very different contexts with varying capacities to withstand shocks.
- 24 Centre for Research on the Epidemiology of Disasters (CRED) crunch (2016) Disaster Data: A Balanced Perspective <http://reliefweb.int/sites/reliefweb.int/files/resources/CredCrunch41.pdf>
- 25 See World Health Organization article: www.who.int/hac/crises/el-nino/22january2015/en/

Chapter 2

- 1 See High Level Panel on Humanitarian Financing to the Secretary General (2015) Too Important to fail – addressing the humanitarian financing gap; and Future Humanitarian Financing Initiative (2015) Looking Beyond the Crisis.
- 2 Yemen Humanitarian Response Plan 2014, OCHA, February 2014: https://docs.unocha.org/sites/dms/CAP/HRP_2014_Yemen.pdf
- 3 UN (2016) One Humanity: Shared Responsibility. Report of the UN Secretary-General for the World Humanitarian Summit.
- 4 ACAPS global emergency overview country profile for DRC: www.acaps.org/country/drc
- 5 Initiative pour la Transparence des Industries Extractives (2015) Republique Democratique du Congo: <https://drive.google.com/file/d/0B1C1Aj5TqAgvRWo0R1A5VUV5c1k/view?pref=2&pli=1>
- 6 Based on multilateral peace operations data in the Stockholm International Peace Research Institute Yearbook 2014.
- 7 UN Refugees Agency. Refugee protection: A guide to international refugee law; drawing on the Universal Declaration of Human Rights, Article 14(1).
- 8 Numbers of refugees and asylum seekers are taken from end of year 2015 data from UNHCR and end of year 2014 data from UNRWA.
- 9 Non-grant revenue excludes externally funded grants, such a budget support and project assistance.
- 10 <http://docplayer.net/1023751-Impact-of-hosting-syrian-refugees-october-2013-introduction.html>
- 11 <http://static1.squarespace.com/static/522c2552e4b0d3c39ccd1e00/t/56b9abe107eaa0afdcb35f02/1455008783181/JRP%2B2016-2018%2BFull%2B160209.pdf>
- 12 UN (May 2016). In safety and dignity: addressing large movements of refugees and migrants – Report of the Secretary-General.
- 13 OCHA (2016) Chair's Summary from the WHS. Standing up for humanity: Committing to action (advance unedited version).
- 14 The DAC list of ODA recipients, effective for reporting flows for 2014, 2015 and 2016 includes Turkey: www.oecd.org/dac/stats/documentupload/DAC%20List%20of%20ODA%20Recipients%202014%20final.pdf
- 15 This differs to the category of in-donor refugee costs as per OECD DAC guidelines on reporting, as noted later in the section.
- 16 Refugee-hosting costs from DAC members more than doubled (up 110%) during this period. The figure of US\$7.7 billion includes Turkey's expenditure related to the hosting of Syrian refugees within its own territory.
- 17 <http://devinit.org/#!/post/donors-gave-a-record-amount-of-aid-for-hosting-refugees-in-2015-while-also-increasing-spending-elsewhere>
- 18 www.oecd.org/dac/stats/34086975.pdf
- 19 Belgium, France, Portugal and the United Kingdom.
- 20 Canada, Germany and the United States.
- 21 Austria, Czech Republic, Denmark, Iceland, Italy, Finland, Greece, Japan, the Netherlands, Norway, Poland, Slovak Republic, Spain, Sweden and Switzerland.
- 22 OECD DAC (April 2016) ODA reporting of in-donor country refugee costs: Members' methodologies for calculating costs: www.oecd.org/dac/stats/RefugeeCostsMethodologicalNote.pdf
- 23 Refugee Studies Centre (2014) Refugee Economies: rethinking popular assumptions: www.rsc.ox.ac.uk/files/publications/other/refugee-economies-2014.pdf; Tent Foundation and Open Political Economy Network (2016) Refugees work: a humanitarian investment that yields economic dividends
- 24 www.preventionweb.net/files/43291_sendaiframeworkfordrren.pdf
- 25 Colombia is classified as an upper middle-income country by the World Bank: <http://data.worldbank.org/income-level/UMC>
- 26 According to INFORM, Colombia scores 4.3 for 'lack of coping capacity' out of a possible 10.
- 27 Development Initiatives (2015) Global Humanitarian Assistance Report 2015: www.globalhumanitarianassistance.org/report/gha-report-2015
- 28 ACAPS global emergency overview country profile for Colombia: www.acaps.org/country/colombia
- 29 The Internal Displacement Monitoring Centre estimates that 21,000 people in Colombia were newly displaced by disasters in 2014: <http://internal-displacement.org/americas/colombia/>
- 30 www.mmechanisms.org/cop20_japanpavilion/files/12101300_presentation_5.pdf
- 31 <http://latincorrespondent.com/2016/02/el-nino-wreaks-havoc-in-colombia/>
- 32 www.lse.ac.uk/GranthamInstitute/legislation/countries/colombia/
- 33 www.ifrc.org/docs/idrl/1057ES.pdf
- 34 <https://colaboracion.dnp.gov.co/CDT/PND/PND%202014-2018%20Tomo%202%20internet.pdf>
- 35 Partially reflecting greater reporting efforts and growing use of the Rio Markers in donors' reporting to the OECD DAC. The adaptation marker was introduced in 2010.
- 36 Results UK (2015) Weathering a risky climate: <http://www.results.org.uk/publications/weathering-risky-climate-role-insurance-reducing-vulnerability-extreme-weather>

- 37 www.ccrif.org/
- 38 www.artemis.bm/blog/2015/12/02/arc-opens-parametric-insurance-products-to-organisations-ngos/
- 39 www.un.org/sustainabledevelopment/blog/2015/11/un-secretary-generals-initiative-aims-to-strengthen-climate-resilience-of-the-worlds-most-vulnerable-countries-and-people/
- 40 See note 3.
- 41 In 2014 the decrease of over 100% in humanitarian assistance to the 'alert' sub-category was caused by Syria shifting from 'alert' to 'high alert', while Sierra Leone and Burkina Faso shifted to 'alert' to 'high warning'.
- 42 <http://data.parliament.uk/writtenevidence/committeeevidence.svc/evidencedocument/international-development-committee/dfids-allocation-of-resources/written/28276.pdf>
- 43 OECD DAC (2016) Unpublished presentation on new framework for assessing fragility, presented at World Bank Forum for Fragility, Violence and Conflict, Washington DC.
- 44 OECD (2016) Good development support in fragile, at-risk and crisis affected contexts, OECD Development Policy Papers, No.4
- 45 See Hearn S (2016) Independent Review of New Deal for Engagement in Fragile States: www.pbsdialogue.org/media/filer_public/d8/ab/d8ab0723-574b-41bf-abd2-53ae75b80031/ir.pdf and DI (2015) Progress in Delivering Busan Partnership for Effective Development Cooperation in States of Fragility. <http://devinit.org/#!/post/progress-in-delivering-the-busan-partnership-for-effective-development-co-operation-in-states-of-fragility>
- 46 www.project-tamkeen.org
- 47 WHO (2015) One year into Ebola epidemic: a deadly, tenacious and unforgiving virus. www.who.int/csr/disease/ebola/one-year-report/ebola-report-1-year.pdf?ua=1
- 48 To compare poverty data across countries, prices must be converted into a common price basis known as purchasing power parity (PPP) prices. PPPs are constructed by comparing the cost of a common basket of goods in different countries.
- 49 It may also be the case that the real figures are somewhat lower than these as some disease-specific expenditure may have been coded to health strengthening purpose codes. For example, of the US\$16.5 million spent on health policy and administrative management in 2005, US\$4.0 million was spent on an 'HIV/AIDS Response Project'.
- 50 UN (2016) One Humanity: Shared Responsibility, Report of the Secretary-General for the World Humanitarian Summit.
- 51 Elements of regional appeals are deducted from the total for UN-coordinated regional appeals to avoid double counting. The Burundi Regional Refugee Response Plan (RRRP) does not include the Democratic Republic of the Congo component; the Central African Republic RRRP only includes the Republic of Congo component. The Nigeria RRRP does not include any country-specific component and therefore does not appear in Figures 3.2 and 3.3.
- 52 Figure 3.3 shows that the Central African Republic Regional Refugee Response Plan is the worst-funded appeal, with just 4% of requirements met. However, all country components other than for the Republic of Congo have been removed from the analysis to avoid double counting and this low proportion of funding does not apply for the regional appeal overall.
- 53 High-Level Panel on Humanitarian Financing Report to the Secretary-General (2015) Too important to fail – addressing the humanitarian financing gap: www.un.org/news/WEB-1521765-E-OCHA-Report-on-Humanitarian-Financing.pdf. For more information on different approaches to costing in UN-coordinated appeals, see the GHA Report 2015: www.globalhumanitarianassistance.org/report/gha-report-2015
- 54 Protection covers protection, human rights and rule of law.
- 55 Definition from FTS glossary: <https://ftsbeta.unocha.org/glossary>. Note that 'multi-sector' is different from 'sector not specified'.
- 56 Data for this analysis is taken from reported contributions/commitments to the UN OCHA FTS. Comparisons should not be made with our overall international humanitarian assistance totals, which are drawn from multiple sources.
- 57 However, other reporting systems beyond FTS, in particular the OECD DAC, do not track funding to UN appeals making it difficult to say with any certainty how much funding is appeal related or otherwise.
- 58 International Federation of Red Cross and Red Crescent Societies website: <http://www.ifrc.org/en/who-we-are/the-movement/> (accessed 8 June 2016)
- 59 ICRC Key Data: Appeals 2016 breakdown and 2015–2016 comparative data: https://www.icrc.org/en/download/file/15700/2016_appeals_keydata_rex2015_609_final.pdf
- 60 IFRC Emergency Appeals 2014: Donor response in cash, kind and services: http://www.ifrc.org/Docs/Appeals/statistic/cover14_emer.pdf
- 61 For this figure we use IFRC data from donor responses to emergency appeals in 2015, which differs from the data source for Fig 6.6. http://www.ifrc.org/Docs/Appeals/statistic/cover15_emer.pdf
- 62 IFRC Emergency Appeals 2015: Donor response in cash, kind and services: http://www.ifrc.org/Docs/Appeals/statistic/cover15_emer.pdf

Chapter 3

- 1 Staff security refers to the safety and security of staff and operations sector in UN-coordinated appeals.
- 2 Multi-sector is defined by the UN OCHA FTS as projects and activities with no one dominant sector and often in connection with UNHCR assistance to refugee populations.
- 3 This analysis is based on data from UN OCHA FTS only and does not directly correspond with our calculation of overall international humanitarian assistance, as shown in Figure 3.1.

Chapter 4

- 1 Not including the Government of Turkey and the EU institutions.
- 2 Development Initiatives (2015) Global Humanitarian Assistance Report 2015: www.globalhumanitarianassistance.org/report/gha-report-2015; Development Initiatives (2015) Humanitarian assistance from non-state donors: latest trends: www.globalhumanitarianassistance.org/report/humanitarian-assistance-non-state-donors-2015
- 3 OECD regions have been used for this analysis, with the exception of Middle East and North of Sahara, which are combined.
- 4 'Europe' here refers to countries in the geographic regional grouping, as used by the OECD, not the grouping of EU member states.
- 5 The 29 OECD DAC members are Australia, Austria, Belgium, Canada, the Czech Republic, Denmark, the European Union, Finland, France, Germany, Greece, Iceland, Ireland, Italy, Japan, Korea, Luxembourg, the Netherlands, New Zealand, Norway, Poland, Portugal, Slovak Republic, Slovenia, Spain, Sweden, Switzerland, UK and the US.
- 6 The EU institutions are not included in this calculation because they are not a bilateral government donor. However, the contributions of EU member states includes an imputed amount of the EU institutions' expenditure (see *Methodology*). Funding from Turkey is not included because its contributions largely consist of support to refugees residing in Turkey and this assistance is not by definition international.
- 7 Development Initiatives (2015) Global Humanitarian Assistance Report 2015: www.globalhumanitarianassistance.org/report/gha-report-2015
- 8 The European Commission Humanitarian Aid and Civil Protection Office (ECHO) administers most of the EU institutions' humanitarian assistance, with some funds also originating from the EC's Development and Cooperation division, EuropeAid.
- 9 See *Methodology and definitions* for more details of our methodology for calculating international humanitarian assistance from governments.
- 10 Figure in constant 2014 prices.
- 11 Turkey's humanitarian contribution is not included in the total calculation of international humanitarian response (see Figure 3.1).
- 12 Not including the Government of Turkey and the EU institutions.
- 13 UN (2015) Too Important to fail – addressing the humanitarian financing gap, High-Level Panel on Humanitarian Financing Report to the Secretary General.
- 14 We provide an estimate for 2015 private funding. For details of the methodology used, see *Methodology*.
- 15 See note 2.
- 16 Development Initiatives (2016) Better information for a better response: <http://devinit.org/#!/post/betterinformaton>
- 17 Development Initiatives (2015) An act of faith: Humanitarian financing and Zakat: www.globalhumanitarianassistance.org/report/humanitarian-financing-and-zakat
- 18 It is not possible to breakdown our 2015 estimate by private donor type.
- 19 See note 13.
- 20 Mercy Corps (2014) Cheaper, faster, better? A case study of new technologies in cash transfers from the Democratic Republic of the Congo., www.mercycorps.org/research-resources/cheaper-faster-better-cash-assistance-emergencies
- 21 See note 13.
- 22 Islamic social finance, Special Session Prospectus, World Humanitarian Summit Secretariat, April 2016.
- 23 African Development Bank, Asian Development Bank, Inter-American Development Bank, International Development Association, International Bank for Reconstruction and Development, Arab Fund, Arab Bank for Economic Development in Africa, Nordic Development Fund, OPEC Fund for International Development.
- 24 See: <http://documents.worldbank.org/curated/en/2015/11/25463496/update-idas-crisis-response-window>
- 25 See: www.worldbank.org/en/topic/pandemics/brief/pandemic-emergency-facility-frequently-asked-questions
- 26 <http://idbdocs.iadb.org/wsdocs/getdocument.aspx?docnum=36994819>
- 27 ADB (2012) Piloting a Disaster Response Facility, policy paper: www.adb.org/sites/default/files/institutional-document/33642/files/piloting-disaster-response-facility-oct-2012.pdf
- 28 World Bank Group (2016) Shock waves, Managing the impacts of climate change on poverty: <https://openknowledge.worldbank.org/bitstream/handle/10986/22787/9781464806735.pdf>
- 29 www.adb.org
- 30 www.worldbank.org/en/topic/climatechange/overview#1
- 31 African Development Bank, Asian Development Bank, Inter-American Development Bank, International Bank for Reconstruction and Development, International Development Association, IMF (Concessional Trust Funds), Islamic Development Bank, OPEC Fund for International Development, Nordic Development Fund, Arab Fund, Arab Bank for Economic Development In Africa, European Bank for Reconstruction and Development.

- 32 OECD Development Co-operation Directorate (2015) Financing in Crisis? Making humanitarian finance fit for the future.
- 33 See note 13.
- 34 Statement by World Bank Group President Jim Yong Kim as co-chair of High-Level Roundtable on Humanitarian Financing at the World Humanitarian Summit, 23 May 2016: www.worldbank.org/en/news/speech/2016/05/23/statement-high-level-roundtable-on-humanitarian-financing-world-humanitarian-summit
- 35 www.worldbank.org/en/news/press-release/2016/04/15/international-community-endorses-new-initiative-to-support-refugees-host-communities-and-recovery-in-mena; <http://menafinancing.org/overview/concessional-financing-facility>
- 36 The MDB statement was made on behalf of the African Development Bank, the Asian Development Bank, the European Bank for Reconstruction and Development, the European Investment Bank, the Inter-American Development Bank, the Islamic Development Bank and the World Bank Group.
- 37 Joint Statement by the Multilateral Development Banks at the World Humanitarian Summit Responding to the Forced Displacement Crisis, 23 May 2016: www.worldbank.org/en/news/press-release/2016/05/23/joint-statement-by-the-multilateral-development-banks-at-the-world-humanitarian-summit
- 8 The term 'mega-crises' was used by the UN Secretary-General at the launch of the High-Level Panel report on Humanitarian Financing. 17 January 2016: www.un.org/apps/news/story.asp?NewsID=53022#.Vz3BQ_l97IV
- 9 Designated Level 3 emergencies at the time of writing were: Iraq, South Sudan, Syria and Yemen: www.unocha.org/where-we-work/emergencies
- 10 Development Initiatives (2016) Written evidence to the UK International Development Committee inquiry into the global humanitarian system: <http://data.parliament.uk/writtenevidence/committeeevidence.svc/evidencedocument/international-development-committee/the-world-humanitarian-summit-priorities-for-reform/written/28441.html>
- 11 <http://ghdinitiative.org/ghd/gns/home-page.html>
- 12 Development Initiatives (2015) Coordinated decision-making: meeting needs. Mapping donor preferences in humanitarian response: www.globalhumanitarianassistance.org/wp-content/uploads/2015/06/GHA-Inception-Report-Mapping-donor-funding-preferences.pdf
- 13 CAFOD, World Vision, FAO on behalf of the IASC Task Team on Humanitarian Financing (2015) Future Humanitarian Financing: Looking beyond the crisis: https://futurehumanitarianfinancing.files.wordpress.com/2015/05/fhf_main_report-2.pdf
- 14 ODI (2016) When disasters and conflict collide: Facts and figures: www.odi.org/publications/10410-when-disasters-and-conflicts-collide-facts-and-figures
- 15 Evidence on Demand, UK (2015) Topic Guide: Anticipating and responding to shocks: livelihoods and humanitarian response.
- 16 ALNAP (2014) Responding to changing needs: Challenges and opportunities for humanitarian action: www.alnap.org/resource/19246
- 17 For the purposes of our methodology, refugee-hosting settings include refugees and asylum seekers with a threshold of over 20,000 people.
- 18 See note 18 and CAFOD, FAO, World Vision (2015) Future Humanitarian Financing: Looking beyond the crisis: <https://futurehumanitarianfinancing.wordpress.com>
- 19 More than 80% of refugee crises last for 10 years or more; two in five last 20 years or more: ODI Humanitarian Policy Group (2015) Protracted displacement: uncertain paths to self-reliance in exile: www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/9855.pdf
- 20 The international poverty line being used here is the \$1.90 poverty line, derived from 2011 prices, which buys approximately the same as the previous \$1.25 poverty line derived from 2005 prices. In 2015, the World Bank updated the extreme poverty line from \$1.25 in 2005 PPP to \$1.90 in 2011 PPP. PPP refers to purchasing power parity, which is a common price basis used to compare data across countries. PPPs are constructed comparing the cost of a common basket of goods in different countries.

Chapter 5

- 1 This US\$2 billion includes international humanitarian assistance spent within Syria and not the expenditure from Turkey on hosting Syrian refugees within Turkey.
- 2 Includes spending on some disaster risk reduction activities, early warning systems, emergency contingency stocks and contingency planning, including preparations for forced displacement.
- 3 This includes spending at regional and geographically unspecified levels.
- 4 http://ec.europa.eu/echo/what/humanitarian-aid/needs-assessments_en
- 5 UNHCR (2015) Displacement dashboard: Mindanao, Philippines, Forced Displacement Annual Report, 2015: <http://reliefweb.int/report/philippines/philippines-displacement-dashboard-mindanao-forced-displacement-annual-report>
- 6 UN CERF Secretariat (2015) The world helping the world: UN Central Emergency Response Fund: <http://reliefweb.int/report/world/world-helping-world-enar>
- 7 For more details on the START Network and Fund see: www.start-network.org/how/start-fund/#.Vz28Lf97IV

- 21 GDP per capita based on purchasing power parity (PPP).
- 22 Development Initiatives (2015) The World Humanitarian Summit: Making financing work for crisis-affected people: www.globalhumanitarianassistance.org/wp-content/uploads/2015/07/The-World-Humanitarian-Summit-making-financing-work-for-crisis-affected-people.pdf
- 23 In 2015, there were 36 UN-coordinated appeals in total. However, for the purposes of this analysis, five have been excluded since they were flash appeals that are generally short term in nature.
- 24 OCHA (2015) An end in sight: Multi-year planning to meet and reduce humanitarian needs in protracted crises, Fit for the Future Series: www.unocha.org/node/190271
- 25 See note 24.
- 26 Department for International Development, UKAid (2013) Value for Money of Multi-year Approaches to Humanitarian Funding. www.gov.uk/government/uploads/system/uploads/attachment_data/file/226161/VfM_of_Multi-year_Humanitarian_Funding_Report.pdf
- 27 Department for International Development (2015) Multi-year Humanitarian Business Cases: Lessons Review 01 May 2014 to 26 February 2015. Responding to crises, Session 2015-16, UK National Audit Office, 2016.
- 28 See note 24.
- 29 In 2014, WFP had ongoing multi-year agreements with Australia, Canada, Ireland, Germany, Nepal, New Zealand, Norway, the Netherlands, the Russian Federation, and the United Kingdom; and signed new agreements with Finland and the Republic of Korea.
- 30 This calculation is based on a fundraising total of US\$5.6 billion for WFP in 2014 as reported in the following funding update: WFP, WFP Funding in 2014, September 2015: <http://documents.wfp.org/stellent/groups/public/documents/research/wfp277763.pdf>

Chapter 6

- 1 High-Level Panel on Humanitarian Financing Report to the Secretary General (2015) Too Important to fail – addressing the humanitarian financing gap: www.un.org/news/WEB-1521765-E-OCHA-Report-on-Humanitarian-Financing.pdf
- 2 Development Initiatives (2015) Global Humanitarian Assistance Report 2015: www.globalhumanitarianassistance.org/report/gha-report-2015
- 3 Development Initiatives (2016) Better information for a better response: The basics of humanitarian transparency: <http://devinit.org/#!/post/betterinformation>
- 4 See note 3.
- 5 The Grand Bargain was initiated following recommendations from the High Level Panel on Humanitarian Financing (see note 1) on improving the delivery of humanitarian assistance. It includes a series of commitments made by a number of government donors, UN agencies, the EC, the RCRC Movement, the World Bank Group, and NGO consortia to institute reforms to better and more efficiently serve people in humanitarian need. The Grand Bargain commitments – The Grand Bargain document: A shared commitment to serve people in need – was signed at the World Humanitarian Summit on 23 May 2016.
- 6 The Grand Bargain: A shared commitment to serve people in need. Istanbul. Signed at the World Humanitarian Summit, May 2016.
- 6a This analysis is based on contributions reported by governments to the DAC and FTS and may vary from income reported by agencies in their annual reports - see for example OCHA's annual report <http://www.unocha.org/about-us/publications/flagship-publications/%2A/77>
- 7 Chair's Summary from the World Humanitarian Summit, Standing up for humanity: Committing to action, advance unedited version, 24 May 2016: <https://www.worldhumanitariansummit.org/key-documents#chairsummary-linking>
- 8 Development Initiatives (2014) Global Humanitarian Assistance Report 2014: www.globalhumanitarianassistance.org/report/gha-report-2014
- 9 START Fund: www.start-network.org/how/start-fund/#.VzVUFoR97IV
- 10 The 10 INGOs that received the most in 2015 were: Save the Children, Norwegian Refugee Council, International Rescue Committee, Danish Refugee Council, Oxfam GB, Catholic Relief Services, Mercy Corps, Concern Worldwide, CARE International and International Medical Corps.
- 11 Country based pooled funds, October 2015, UN OCHA: <https://docs.unocha.org/sites/dms/Documents/OCHA%20CBPF%20Allocation%20Contribution%20October%202015.pdf>. Our analysis of funding to NGOs is calculated from FTS data and uses different NGO categorisations. For some CBPFs, for example the Turkey Humanitarian Pooled Fund, no detail is provided on the type of NGOs receiving funds. However, summary reports suggest that a significant proportion of our undefined NGO total for CBPFs has been channelled through national NGOs.
- 12 Analysis of data from 2014 resident and humanitarian coordinators reports on the use of CERF funds: Sub grants under 2014 CERF projects, UN CERF, 2016: https://docs.unocha.org/sites/dms/CERF/20160318_2014%20Sub-grants_Final.pdf
- 13 Local implementing partners, which include national and local NGOs, governments and national Red Cross and Red Crescent societies, received this sub-granted funding.
- 14 UN (2016) One Humanity: Shared Responsibility. Report of the Secretary-General for the World Humanitarian Summit.
- 15 Adeso press release 22 May 2016, <http://adesoafrika.org/newsroom/newsroom/near-press-release/>
- 16 <https://charter4change.org/>

- 17 See note 5.
- 18 Development Initiatives, (2015) The World Humanitarian Summit: Making financing work for crisis-affected people: <http://www.globalhumanitarianassistance.org/report/world-humanitarian-summit-making-financing-work>
- 19 See note 1.
- 20 www.ifrc.org/en/who-we-are/the-movement/national-societies/
- 21 For this figure we use the IFRC Nepal earthquake emergency appeal operation update which differs from the data source for Fig 3.6. <http://adore.ifrc.org/Download.aspx?FileId=122573>
- 22 Following completion of this analysis, new data was published in a donor response document that showed appeal requirements of CHF84.9 million (US\$88.2 million) and funding received at CHF55.9 million (US\$58.1 million): <http://adore.ifrc.org/Download.aspx?FileId=122573>
- 23 UN resolution 46/182
- 24 See note 13.
- 25 See note 2.
- 26 Significantly more is reported to the OECD DAC CRS as directed to the 'public sector'; however, this includes a much wider group of recipients – both the public sectors of recipient and donor countries as well as third party public sector authorities.

Chapter 7

- 1 The Grand Bargain – A Shared Commitment to Better Serve People in Need. Signed at the World Humanitarian Summit, May 2016: <https://consultations.worldhumanitarianassummit.org/bitcache/70ccab5bd711f742dcf8d001fa89d58c062539d5?vid=581058&disposition=inline&op=view>
- 2 ODI and Center for Global Development (2015) Doing cash differently: How cash transfers can transform humanitarian aid. Report of the High Level Panel on Humanitarian Cash Transfers: www.odi.org/publications/9876-cash-transfers-humanitarian-vouchers-aid-emergencies
- 3 OCHA (December) Syrian Arab Republic Humanitarian Response Plan January to December 2016: www.humanitarianresponse.info/en/system/files/documents/files/2016_hrp_syrian_arab_republic.pdf
- 4 UNHCR. Regional Refugee & Resilience Plan 2016–2017 in response to the Syria crisis.
- 5 See note 2, and CAFOD, World Vision, FAO on behalf of the IASC Task Team on Humanitarian Financing (2015) Future Humanitarian Financing: Looking beyond the crisis: https://futurehumanitarianfinancing.files.wordpress.com/2015/05/fhf_main_report-2.pdf
- 6 See note 2.
- 7 Cash Atlas is part of CaLP: the Cash Learning Partnership. It provides a global overview of cash transfer programming for advocacy and learning purposes: www.cash-atlas.org
- 8 Estimates at the lower end of this range are drawn from data in the UN OCHA FTS on full and partial contributions to cash-based programmes and data provided directly from WFP. Mid-point estimates use data from the Cash Atlas (starting date) of projects and data from WFP. Upper-end estimates are based on data from the Cash Atlas (first cash date) of projects and data from WFP.
- 9 UN (2016) One Humanity: Shared Responsibility. Report of the Secretary-General for the World Humanitarian Summit.
- 10 See note 2.
- 11 See note 1.
- 12 See note 2.
- 13 See note 1.
- 14 www.wfp.org/world-humanitarian-summit/empowerment-through-cash-transfers
- 15 See note 14.
- 16 See note 14.
- 17 Number 13 of the 23 Principles and Good Practice of Humanitarian Donorship: <http://ghdinitiative.org/ghd/gns/home-page.html>
- 18 UN (2015) Too important to fail – addressing the humanitarian financing gap, High-Level Panel on Humanitarian Financing Report to the Secretary General.
- 19 See note 1.
- 20 See note 1.
- 21 Examples of NGO partnership arrangements with donors include the UK government's programme partnership agreements with NGOs (Independent Commission for Aid Impact (2013) the Department for International Development's support for Civil Society Organisations through Programme Partnership Arrangements: <http://icai.independent.gov.uk/wp-content/uploads/ICAI-REPORT-DFIDs-Support-for-CSOs-through-PPAs.pdf>); Sweden's framework agreements with its national civil society partners (Sida (2016) Evaluation of Sida's Humanitarian Assistance. Sida Decentralised Evaluation: www.sida.se/contentassets/6d87558c454a4954a35591bd1ff65ea2/f1959102-482d-438b-8bcb-763ac6ef9083.pdf); and the Danish government's humanitarian partnership agreements with Danish NGO and Red Cross partners (Ministry of Foreign Affairs of Denmark (2015) Evaluation of the Strategy for Danish Humanitarian Action 2010-2015: www.netpublikationer.dk/um/15_evaluation_2015_01/Pdf/evaluation_2015_01.pdf).
- 22 Development Initiatives (May 2016) Better information for a better response: The basics of humanitarian transparency: www.globalhumanitarianassistance.org/report/better-information-for-a-better-response-the-basics-of-humanitarian-transparency
- 23 See note 22.
- 24 Inter-Agency Standing Committee (2015) Multi-sector Initial Rapid Assessment Guidance, Revision July 2015:

- https://interagencystandingcommittee.org/system/files/mira_2015_final.pdf
- 25 Meeting information needs? A review of ten years of multi-sector coordinated needs assessment reports, ACAPS, January 2016: www.acaps.org/resources
- 26 See note 1.
- 27 OCHA (2012) Humanitarianism in the network age. Including World Humanitarian Data and Trends 2012, OCHA Policy and Studies Series: <https://docs.unocha.org/sites/dms/Documents/WEB%20Humanitarianism%20in%20the%20Network%20Age%20vF%20single.pdf>
- 28 OCHA (2016) Building data responsibility into humanitarian action, OCHA Policy and Study Series/018: https://docs.unocha.org/sites/dms/Documents/TB18_Data%20Responsibility_Online.pdf
- 29 See note 22.
- 30 World Humanitarian Summit: Briefing for the Grand Bargain Sherpa group on transparency, Development Initiatives, March 2016.
- 31 See note 22.
- 32 See note 1.
- 33 Development Initiatives (2015) Global Humanitarian Assistance Report 2015: www.globalhumanitarianassistance.org/report/gha-report-2015.
- 34 See note 1.
- 35 See note 2.
- ## Chapter 8
- 1 This definition is set out in the Good Humanitarian Donorship Principles and Good Practice Guidelines: www.ghdinitiative.org/ghd/gns/principles-good-practice-of-ghd/principles-good-practice-ghd.html
- 2 OECD DAC definitions and reporting guidelines can be found here: www.oecd.org/dac/stats/methodology.htm
- 3 UN OCHA criteria for inclusion of reported humanitarian contributions in FTS and for donor/appealing agency reporting to FTS: https://fts.unocha.org/exception-docs/AboutFTS/FTS_criteria_for_posting_contributions.pdf
- 1 The Cash Learning Partnership
- 2 OECD glossary of statistical terms
- 3 OECD (2015), Financing in crisis? Making humanitarian finance fit for the future: www.oecd.org/dac/OECD-WP-Humanitarian-Financing-Crisis%20.pdf
- 4 See note 3.
- 5 The Grand Bargain – A shared commitment to better serve people in need, Istanbul 23 May 2016. Annex 1
- 6 Adapted from a definition taken from the OECD glossary of statistical terms
- 7 See note 3.
- 8 See note 3.
- 9 Adapted from a definition provided by the Center for Global Finance, and Social Finance, Investing in Social Outcomes: Development Impact Bonds The Report of the Development Impact Bond Working Group, 2013: www.socialfinance.org.uk/wp-content/uploads/2014/03/cgd-sf-dibreport_online.pdf
- 10 Adapted from definition(s) taken from the OECD glossary of statistical terms
- 11 See note 10.
- 12 Adapted from a definition provided by the European Investment Bank website: www.eib.org/about/partners/development_banks/
- 13 See note 2.
- 14 Definition adapted from Multi-Partner Trust Fund Office Gateway: <http://mptf.undp.org/overview/funds>
- 15 International Organization for Migration: www.iom.int/key-migration-terms#Remittances
- 16 OECD, Disaster Risk Assessment and Risk Financing A G20 / OECD Methodological Framework, 2013: www.preventionweb.net/files/globalplatform/5198f8ec10490Disaster_Risk_Assessment_and_Risk_Financing.pdf
- 17 See note 16.
- 18 See note 2.
- 19 Development Initiatives, Getting poverty to zero: financing for social protection in least developed countries, 2015: <http://devinit.org/#!/post/getting-poverty-to-zero-financing-for-social-protection-in-least-developed-countries>

Definitions

What we do

Development Initiatives (DI) is an independent international development organisation that focuses on the role of data in driving poverty eradication and sustainable development.

Our mission is to ensure that decisions about the allocation of finance and resources result in an end to poverty, increase the resilience of the world's most vulnerable people, and leave no one behind. We want efforts to be underpinned by good quality, transparent data and evidence on poverty and resources that lead to increased accountability and sustainable long-term outcomes.

We work in Brazil, Kenya, Nepal, Uganda, the UK and the US.

Our work focuses on three key areas:

Poverty: Improving knowledge and understanding of people in poverty, and tracking the progress of the poorest people to help ensure no one is left behind

- **Resources:** Informing national, regional and international actors on how to assess the effectiveness of investments and best target resources that can address poverty, vulnerability and crisis
- **Data use:** Breaking down barriers to data use by improving data availability and accessibility, and helping people to use data effectively to drive sustainable outcomes

Publications

We have been publishing the annual Global Humanitarian Assistance Report since 2000. We also produce a number of other reports, briefings and blogs on poverty, crises and relevant financing. Recent reports include:

- Better information for a better response: The basics of humanitarian transparency
- Investments in peace and security: an overview
- Humanitarian assistance to education for the Syrian emergency
- Trends in humanitarian financing: Middle East and North Africa region
- Humanitarian assistance to East and Central Africa
- The World Humanitarian Summit: Making financing work for crisis-affected people

We also produce profiles of donor and recipient countries and regular briefings on specific humanitarian crises, which provide a snapshot of available funding and analysis of donor trends. These are often produced as part of our partnership with the START Network to inform its funding allocation decisions.

Data and methodologies

We provide guidance on data sources and methodologies, and offer a range of simple visual tools that help to explain financing in crisis contexts. All of the new datasets from the GHA Report 2016 are available on our website. In addition to the *Methodology and definitions* section within the report, our website includes an expanded glossary of key terms featured in our work and a detailed description of our methodologies and data sources.

Development Data Hub

Our Development Data Hub is the most comprehensive online resource for mapping, exploring and unbundling resource flows that address poverty and vulnerability. It includes data from the OECD DAC, World Bank, IMF, UNCTAD, WHO, UN OCHA FTS and more.

Explore the Data Hub at data.devinit.org

Helpdesk

We offer a helpdesk service to respond to a range of queries relating to data and methodologies on funding for crisis situations. The helpdesk is free and open to questions from anyone working on crisis-related issues, including donors, government organisations, multilateral organisations, NGOs, academics and other research organisations.

E-mail your helpdesk queries to gha@devinit.org