

Global Humanitarian Assistance 2003

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Global Humanitarian Assistance 2003 is an independent report by Development Initiatives for the Humanitarian Financing Work Programme (HFWP). The report is part of a wider initiative by the HFWP to maximise the extent to which humanitarian assistance meets the basic needs of those affected by crisis. This report has been funded by the UK Department for International Development.

Global Humanitarian Assistance 2003 was prepared by Judith Randel and Tony German of Development Initiatives with specific research and analysis from Tasneem Mowjee, Bruce Crawshaw, Maya Cordeiro, François Grünewald and Claire Pirotte.

We hope that the report presents an accurate and clear record of aid for humanitarian assistance. The authors take full responsibility for the content of the report, which does not necessarily represent the views of the Humanitarian Financing Work Programme or DFID.

Global Humanitarian Assistance 2003 is part of Development Initiatives' ongoing monitoring and analysis of voluntary and official flows for development co-operation and humanitarian assistance. The full report, plus more detailed statistics and analysis is available at www.globalhumanitarianassistance.org or via www.aidinfo.org

The following websites are major sources of data on humanitarian assistance:

OECD DAC On-line databases: www.oecd.org/dac/stats/
Reliefweb Financial Tracking System:
www.reliefweb.int/fts/

Information about the Humanitarian Financing Work Programme can be found at:

www.reliefweb.int/cap/hfs.html

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Designed and typeset by Discript Ltd, London WC2N 4BN
Printed in England by Russell Press Ltd, Nottingham

Editorial Team Acknowledgements

The team is very grateful for the substantive inputs and advice that have helped in preparing the report. We would like to thank in particular the Core Group of the Humanitarian Financing Work Programme, especially Eeuwke Faber (Netherlands Ministry of Foreign Affairs) and Malcolm Smart (UK Department for International Development).

The DI team would like to thank the following people for their invaluable help in accessing and understanding the data: Simon Scott, Brian Hammond and Julia Benn at the Development Co-operation Directorate of the DAC in Paris; Lyle Bastin, Wendy Cue, Soren Wilkening and Luciano Natale at OCHA; Geldolph Everts at UNHCR; Werner Kiene, WFP Representative to the Bretton Woods Institutions, George Simon and Angela D'Ascenzi at WFP's INTERFAIS; Susan Hay and Lisbeth Ekelof at ECHO; Elizabeth Robin at DFID; Bill McCormick at USAID.

Departments for humanitarian assistance in many donors agencies found time to provide information for the preparation of Global Humanitarian Assistance 2003 and to comment on an early draft at the Montreux Donor Retreat on the Consolidated Appeal Process in February 2003. Among the many individuals, we would particularly like to thank Peter Callan (Australian Mission to the UN); Pieter Kraan (Netherlands Ministry of Foreign Affairs); Kristin Barstad (Norad); Johan Schaar and Richard Cewers (Sida); Alexandre Ghelew (Swiss Development and Co-operation); Malcolm Smart and Elizabeth Robin (DFID); Dennis King (Humanitarian Information Unit, U.S. Department of State) Jeffrey Drummond (USAID), Anita Menghetti, Jean Hacken and Joe Ponte (OFDA, USAID), Nancy Lees-Thompson, Yumi Ando, Jonathan Thompson and Anita Exum (PRM, US Department of State);

Among the many staff the we were in touch with in UN agencies and International Organisations, we would particularly like to acknowledge the help received from: Anthea Webb, Tahir Nour, Tiziana Cassotta and Gian Piero Lucerini (WFP); Paul Conneally (ICRC); Fernando Soares, Peter Rees and Luc Voeltzel (IFRC); Oliver Stucke (WHO); Sylvie Breme (IOM); Nina Brandstrup (FAO); Magda Ninaber Van Eyben, Kristin Hedstrom and Mark Bowden (OCHA); Dan Rohrmann (Unicef); Rene Aquarone (UNRWA); Katrin Kinzelbach (UNDP); Jozef Maerien (UNFPA); Ian Bannon (World Bank); Alfred Krammer and Mumtaz Hussain (IMF); Mukesh Kapila in his role as Special Advisor to the Secretary General on Resource Mobilisation in Afghanistan.

We are very grateful to the many busy NGO staff who took the time and effort to find and provide the necessary data, in particular, Matthew Breme at Catholic Relief Services, Jim Canning and Keith Buck at World Vision International, Lars Clement at DanChurchAid, Erica Depiero at International Rescue Committee, Kevin Fitzcharles at CARE USA, Anna Jefferys and Andrew Keith at Save the Children Fund UK, Ann Raybould at Oxfam GB and Karol Zelenka at CARITAS.

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1

Global humanitarian assistance: a summary of trends

1 How much is spent on humanitarian assistance – is it growing or declining?

Over the three years 1999–2001, donors from the OECD’s official Development Assistance Committee (DAC) allocated about \$5.5b a year to humanitarian aid. This means that humanitarian aid was around 10% of Official Development Assistance (ODA).

However you measure it, humanitarian aid has been growing over the long term both in overall volume and as a share of aid.

- From 1970–1990 humanitarian aid was less than 3% of total ODA. Since 1999 it has been 10% of total ODA.
- In 1960 humanitarian aid from each person in DAC donor countries was just 60 cents. In the new millennium it has been over \$6.
- Before 1991, humanitarian aid only twice rose much above \$2b a year. Since 1991 it has never fallen below \$3.6b a year. Even allowing for inflation, humanitarian aid since 1990 has been double the level of earlier years.
- While aid as a whole has been declining as a share of donor countries’ national wealth or GNI (Gross National Income), humanitarian aid has been growing. In 1970 DAC member countries gave 0.4 of a cent for every \$100 in national income. In 2001 it was 2.3 cents.

2 How much is spent on humanitarian assistance in addition to aid from DAC donors?

The DAC data show the growing importance of humanitarian aid, but they do not tell the whole story.

More detailed analysis of available evidence suggests that humanitarian assistance is being significantly underestimated, and that in practice, real spending on humanitarian interventions is twice as high as the official aid figures suggest.

If all humanitarian spending, including funding from non-OECD donors, money raised by NGOs from the public and the costs of post-conflict peace activities (which cannot be counted as ODA) are added up, the resources for humanitarian work amounted to about \$10b in 2001.

This includes:

- **DAC reported humanitarian aid net of expenditure on domestic refugees: \$4.2b**
- **DAC reported spending on post-conflict peace activities: \$4b** (The DAC has reported spending by 13 donors on post-conflict peace

activities over the past three years. Sectors include human rights, rehabilitation, infrastructure, demobilisation and mine removal)

- **Humanitarian assistance from non-DAC donors: \$250m – \$500m** (In 2001 bilateral spending from non-DAC countries was worth \$463m. In addition, UN and International Organisations reported contributions from non-DAC donors worth nearly \$50m in 2001)
- **Voluntary contributions from the public via NGOs: \$700m – \$1.5b** (As well funding from governments, NGOs raise money from the public. Voluntary contributions from the public to a sample of 18 NGOs active in humanitarian work are estimated at \$700m in 2001)
- **Underestimate of official humanitarian aid spent through NGOs, UN and International Organisations: \$400m** (Reports from UN agencies and International Organisations estimate their income for humanitarian work at around \$4b in 2001. In addition, reports from 12 donors show over \$1b of humanitarian aid grants to NGOs. It is clear that at least \$400m of this is not captured in estimates of humanitarian aid based on DAC statistics)

In addition there is evidence that DAC data underestimate spending on relief food aid and that much aid to countries in crisis is reported as development assistance, not emergency and distress relief.

2.1 Measuring humanitarian assistance

The measurement of humanitarian assistance is complicated because there is no single comprehensive source of data and because different agencies involved often use different definitions and categories when accounting for spending.

Overall aid flows are monitored by the DAC. The DAC does not itself produce an analysis of humanitarian aid, so a working definition based on DAC statistics has been developed for the Global Humanitarian Assistance reports. This definition of humanitarian aid adds together total bilateral emergency and distress relief, total ODA from the European Commission for emergency and distress relief, total ODA to UNRWA and UNHCR and ODA to WFP in proportion to WFP's spending on humanitarian work.

The other international vehicle for tracking humanitarian flows is the Financial Tracking System (FTS) of the Office for the Co-ordination of Humanitarian Affairs (OCHA). This records contributions from over 60 countries and reports in 'real time'. But FTS data is not comprehensive, as reporting is voluntary and not all humanitarian situations are covered. In countries that are the subject of a Consolidated Appeal however, the FTS captures as much or more humanitarian assistance as the DAC.

To get an overall picture of humanitarian assistance, it is necessary to reconcile information from the DAC, the FTS and donors, agencies and NGOs themselves – all of whom use different definitions and systems.

2.2 How much humanitarian aid is spent on refugees in donor countries?

DAC rules allow donors to include spending on refugees in the donor country for their first year of residence as part of their ODA. This is reported as part of the bilateral emergency and distress relief.

- Just less than a quarter (\$1338m) of humanitarian aid from DAC donors was spent on domestic refugees in 2001.
- \$8.6b of humanitarian aid has been spent on domestic refugees between 1992 and 2001.
- Only six donors (UK, Japan, Ireland, Luxembourg, Portugal and New Zealand) did not count expenditure on domestic refugees as part of their ODA in 2001

3 Which countries provide humanitarian assistance?

A few donors provide the bulk of DAC humanitarian aid.

Ten countries provide 90% of humanitarian aid. Within this group the United States is overwhelmingly the largest bilateral donor. The USA provided as much as the next four – UK, Germany, Sweden and Netherlands – combined in 2001.

The EU member states plus the EC provided \$2553m of humanitarian aid (of which \$529m was from the EC) in 2001, compared with \$1973m from the USA.

3.1 How much humanitarian aid is contributed per person in donor countries?

When humanitarian aid is measured per person in donor countries, the burden sharing looks quite different. Then the most generous donor countries are Norway, Sweden, Denmark and Luxembourg – providing between \$50 and \$37 per head.

In the two largest bilateral donors by overall volume – the USA and the UK – the amount per capita was just \$7 in 2001 – the same as the average for the EU Member States combined.

3.1.1 What priority do donors give humanitarian assistance?

There are big differences in the priority donors they give to humanitarian assistance. In Sweden humanitarian aid accounts for 21% of ODA, but in Japan just 2%.

3.1.2 Which are the main non-DAC donors and NGOs?

The largest non-DAC donors reporting to the FTS in 2001 were Saudi Arabia (\$411m) and South Korea (\$73m). Other major donors include India, Iran, Russia, Turkey, Kuwait and Lithuania.

Some NGOs raise more humanitarian assistance from the public than the total humanitarian aid of several DAC donors. Médecins sans Frontières International raised over \$200m for humanitarian assistance

in 2001, making it a larger donor than 12 OECD countries. Oxfam GB raised \$90m for humanitarian assistance in 2001, more than ten OECD countries.

4 Where is humanitarian assistance spent?

Between 1995 and 2001, Africa and Asia have received roughly equal amounts of humanitarian aid – over \$7b each and just over a quarter of total spending for the six years.

The Middle East received between 11% and 21% of total humanitarian aid depending on the year.

Europe has shown the sharpest fluctuations – ranging from 10% in 1998 (\$400m) to 27% in 1999 (\$1.6b).

4.1 Geographical priorities of bilateral and multilateral donors

There are variations in geographical priorities between bilateral donors and multilateral agencies.

- UN and International Organisations combined allocated 42% of their total humanitarian expenditure to Africa in 2001, compared with 32% of bilateral humanitarian aid.

There is a clear tendency for allocation of humanitarian assistance to be influenced by factors such as geographical proximity, historical ties, economic, political and security interests.

- In 1999 62% of the European Community Humanitarian office budget went to Former Yugoslavia and CIS/Eastern Europe.
- Both Japanese and Australian aid is focused on Asia. Montserrat has been in the UK's top ten humanitarian recipients for five of the last six years. The USA has more Latin American recipients of humanitarian aid than other donors.

4.2 Which countries receive humanitarian assistance?

Between 1995 and 2001, just under half of the total humanitarian aid allocable by country was spent in the top ten recipient countries: Bosnia-Herzegovina, Palestinian Administrative Areas, Kosovo, Iraq, Rwanda, Afghanistan, Sudan, Angola, Ethiopia and Jordan.

Bilateral humanitarian aid is concentrated on a small number of countries but small amounts are given to a very large number of countries.

- In most years the top ten recipients absorb between half and three quarters of bilateral humanitarian spending, with the largest recipient receiving up to a fifth of the total.
- In every year from 1995 to 2000 a country from South Eastern Europe was the largest recipient of bilateral humanitarian aid. In 2001 Afghanistan took that position.

- The rest of humanitarian aid is spread across more than 100 countries. About 40 of these receive less than \$1m each.

4.3 Is funding proportional to need?

Two key questions on the distribution of humanitarian assistance are:

- Whether the response to need is adequate
- Whether the response is equitable between different emergencies

Current systems for gathering data on humanitarian assistance do not make it easy to answer these questions. It is difficult to match up figures on numbers of people affected by crises with the money that is being spent. The FTS is the only international system which attempts to reconcile need with funding.

Analyses of both DAC data and the FTS Consolidated Appeal data show up large differences in how much money is allocated to different emergency situations, regardless of the method used to assess equity of response.

It is obvious that the cost of meeting humanitarian needs varies from place to place depending on transport and logistics costs and the type of need that people face. But these factors alone do not explain why some countries get more attention than others. It is clear that for reasons of political priority, communication or public interest, some emergencies are largely overlooked.

If both DAC and FTS data are analysed to see how much humanitarian assistance is made available per person, it is clear that there are big variations both in how much is requested and how much is provided.

- FTS data for the past 3 years shows requests ranging from \$38 to \$304 per person. Contributions ranged from \$20 to \$177 per person.
- The highest per capita recipients are in South Eastern Europe and in Rwanda – receiving between \$150 and \$180 per head.
- The countries with the lowest spending per capita include Republic of Congo, DPR Korea and Sierra Leone with less than \$25 per beneficiary.

Where emergencies have had widespread effects, DAC data on humanitarian aid to countries in crisis can be used to give some indication of equity of response.

- Taking the year in which spending was highest for each country, bilateral humanitarian aid for Bosnia was \$116 per person compared to just \$2 in Ethiopia.

5 What sort of humanitarian need is being funded?

5.1 How much humanitarian assistance is provided in-kind in the form of food?

Relief food aid in 2001 was 5.6m tons, about half of total food aid.

The USA is by far the largest donor, providing more than half of total relief needs in 1999, 2000 and 2001. The European Commission is the second largest donor, providing 12% of the total in 2000 and 2001. In 2001 Japan provided almost as much relief food aid as the EC.

In all but one year over the last decade, Sub-Saharan Africa has been the largest recipient region, accounting for more than half of total relief food aid in 1996 and in 2000. Asia is currently the second largest recipient region.

Relief food aid is characterised by a few massive operations – such as in Ethiopia in most years and North Korea from 1997 onwards.

Assessing the importance of food aid as a share of humanitarian assistance is not straightforward because of the complexities of valuing food aid.

5.2 How much funding goes to natural disasters and complex emergencies?

FTS data for 2000 to 2002 show an average of 18% of their reported humanitarian assistance being allocated to natural disasters.

Cross referencing DAC data on humanitarian aid against the Natural Disasters Database of the Centre for Research on the Epidemiology of Disasters (CRED), suggests that about a third of bilateral humanitarian aid went to natural disasters – much of it on a small scale. About a fifth went to countries where more than a million people were affected by a natural disaster in 2001.

28% of bilateral humanitarian aid went to countries affected by a complex emergency and a further 35% went to countries that were affected by both natural disaster and complex emergency.

6 Who spends humanitarian assistance?

6.1 How much humanitarian aid is controlled and spent by bilateral donors, UN agencies and International Organisations?

DAC figures suggest that in 2001 60% of humanitarian aid was spent bilaterally and 40% multilaterally.

The multilateral share comprises totally unearmarked funding through the UN (30% of humanitarian aid in 2001) and the EC (10% of humanitarian aid in 2001).

The share reported as UN multilateral humanitarian aid is the highest since 1992.

However, data from UN agencies themselves suggests that unearmarked funds reported in current DAC data are as much as six times higher than the true figure. While checks on aid aggregates ensure that total aid is not overcounted, these data give an inflated impression of the proportion of aid that multilateral agencies can allocate at their own discretion.

This matters because the capacity of International Organisations to deliver humanitarian assistance in unpopular or politically difficult places is affected by the availability of unearmarked funds.

ECHO has emerged as a substantial channel for humanitarian aid. Between 1991 and 1997 ECHO channelled around 30% of its resources through the UN and 40% through NGOs. Since 1998 about 20% of the annual spending has gone through UN agencies and over 60% through European NGOs.

6.2 How much humanitarian assistance is raised and spent by UN agencies and International Organisations?

Most UN agencies undertake some humanitarian activities.

In 2001, UN agencies reported that – according to their own definitions and accounts – they spent \$3.2b on humanitarian activities and the Red Cross family plus IOM spent a further \$700m.

Over two thirds of UN humanitarian assistance is spent by three agencies: WFP (37%), UNHCR (21%) and UNRWA (11%). The amounts from other agencies however are more than many bilateral donors: UNICEF spends over \$200m; IOM 87M; OCHA over \$80m; FAO (including the Iraq special programme) \$292m.

UN assessed contributions comprise less than 1% of the humanitarian assistance funding through UN agencies and International Organisations.

Six donors plus the EC dominate the funding scene: USA, Japan, Netherlands, UK, Sweden and Norway.

6.3 Trends in humanitarian assistance through NGOs

To date there have been no reliable estimates of total NGO funding for relief or development. But it is clear that NGOs are a major channel for humanitarian assistance.

For this study a sample of 18 NGOs with substantial humanitarian programmes was drawn from the USA and European countries. The annual income of these NGOs was \$2.8b in 2001. About half of that is estimated to be for humanitarian purposes.

6.4 How much official humanitarian aid is spent through NGOs?

Reports from 12 bilateral donors and ECHO show that over US\$1b of humanitarian aid was spent through NGOs in 2001 in the form of direct grants and contracts for humanitarian assistance.

In addition, UN agencies fund NGOs to deliver their humanitarian assistance: in 2000 UNHCR spent \$311m of its \$706m income through NGOs.

It is likely therefore that the true figure of official humanitarian assistance channelled through NGOs is well in excess of \$1.5b a year.

6.5 How much voluntary income do NGOs raise for humanitarian assistance?

Data on funds raised from the public for humanitarian assistance is difficult to access so estimates have to be made from individual NGO reports.

Using detailed data from 12 NGOs and applying that to the whole sample of 18 NGOs reviewed for this study, it is estimated that the voluntary income raised from the public for humanitarian work by these NGOs alone was \$697m in 2001.

Looking at the confirmed voluntary income of these NGOs and taking into account their share of overall NGO flows reported by the DAC, a conservative estimate would mean total voluntary humanitarian assistance raised by NGOs of at least \$1b and perhaps \$1.5b.

6.6 How much humanitarian assistance do NGOs manage?

Taking the official and voluntary estimates together, it is likely that NGOs manage between \$2.5b and \$3b of global humanitarian assistance.

7 Defining humanitarian assistance flows

7.1 Changing need, changing response, static definitions

Since the 1960s, Official Development Assistance (ODA) has provided an internationally accepted definition for aid from OECD donors to developing countries. ODA provides a common yardstick against which donors can measure their performance against the UN 0.7% aid target. Detailed DAC guidelines help to ensure some consistency in what donors can count as ODA.

But there is no similar definition of what constitutes 'humanitarian assistance' – the growing area of action which aims to respond to, and prevent, emergencies.

Since 1990, the range of actions being carried out by many donors under the rubric of humanitarian assistance has broadened substantially. In the post cold war, post September 11 world, humanitarian assistance is increasingly seen as an integral aspect of foreign policy.

As complex emergencies have become a very visible part of humanitarian assistance, so donor approaches emphasise root causes, prevention, mitigation, reconstruction and transition. Distinctions between humanitarian and development action have become blurred. Development planning often builds humanitarian and security concerns into

mainstream development co-operation activities.

By contrast, definitions of humanitarian aid tend to be narrow and procedural.

This contrast between approaches and definitions; the diversity of donor responses, (reflecting their own policy priorities, institutional procedures and accountabilities) result in an absence of comparable data. This makes international comparison of donor policy and performance difficult and complicates the task of ensuring an equitable, coherent and transparent international response to humanitarian need.

7.2 International tracking of humanitarian assistance

There are three main international sources of information about humanitarian assistance flows:

- The Development Assistance Committee (DAC) of the OECD
- The Financial Tracking System (FTS) of OCHA
- INTERFAIS, the WFP Global Food Aid Information System.

Each of these systems has its strengths, but none currently provide the sort of comprehensive information that is needed to produce a clear statistical picture of humanitarian assistance flows.

Box 1.1 International Monitoring Systems

Since 1960 the DAC has had official responsibility for monitoring aid flows to all developing countries. Mandatory reporting by OECD donors means that DAC data is consistent and based on agreed definitions. But the DAC definition of 'emergency and distress relief' is relatively narrow and DAC figures are only available a year or more after the event. The inclusion of spending on domestic refugees and the definition of multilateral assistance as completely unearmarked mean that DAC figures on humanitarian aid are not directly comparable with those produced by UN agencies and International Organisations.

Established after the 1992 UN General Assembly Resolution to set up the Consolidated Appeals Process, the FTS tracks requests and contributions to complex humanitarian emergencies and natural disasters. It therefore relates assessed need to available funds. The FTS uses a broader definition and covers all donors, both governmental and private. Information is updated daily. However, the FTS is limited by its dependence on voluntary reporting and lack of comprehensive coverage of all humanitarian situations.

Since 1988, WFP's INTERFAIS system has been monitoring all global food aid deliveries and is the only inter-agency source of data on food aid. Data are obtained from donor governments, international, inter-governmental and non-governmental organisations, shipping agents, recipient countries and WFP country offices. Currently all INTERFAIS reports are in quantitative terms, which makes comparison between food and non-food aid difficult. INTERFAIS data is collected continuously, with reports being published in May for the previous calendar year.

8 Bilateral donor approaches and definitions

8.1 Broader policy approaches to humanitarian assistance

Recent observations from Dutch Minister Agnes van Ardenne underline the merging of foreign, development, humanitarian and security policies.

The distinction between foreign policy and development co-operation is vanishing. It was never very useful to begin with. Aid, politics and diplomacy form a seamless whole, and we should not try to pick them apart.

The actions of many bilateral donor agencies illustrate the challenge of responding in a more integrated way to new humanitarian need, within the constraints faced by every donor agency. These include: national legislation, accountability to domestic stakeholders, government priorities, departmental division of responsibility as well as each agency's overall policy and procedures.

8.2 Definitions, legislation and procedures

Only a small number of donor countries provide a definition of humanitarian assistance in legislation.

- The 1976 Swiss Federal Law on international development co-operation and humanitarian aid defines the humanitarian mandate quite broadly. The Swiss approach sees prevention, emergency relief, reconstruction and advocacy as mutually reinforcing, complementary and coherent. The promotion of International Humanitarian Law is a key objective of Swiss humanitarian policy.
- The EU's Regulations also contain quite a permissive definition, which says that EC humanitarian aid should be impartial and unconditional while the focus is 'on providing goods and services (food medicines, water conveyance, psychological support, minesweeping, clothes, shelter rehabilitation)', the aid can also be 'preventive (planting trees to avoid flooding). The sole aim is to relieve or prevent suffering'.

Evidence from countries such as Japan and the United States suggests that where there is a legal framework, this can sometimes make managing the relief to development transition more difficult.

8.3 Bilateral institutional approaches to humanitarian assistance

In recent years, several donors have produced new policy statements and changed their institutional architectures in recognition of the fact that more complex and political humanitarian crises demand much more than an emergency response.

A particular focus of attention has been the need to cope with perceived gaps between the development and humanitarian mandates

as well as to ensure an approach to humanitarian assistance which integrates concerns such as human rights, good governance and conflict management.

- Norway has established a ‘gap allocation’ budget line, specifically designed to prevent gaps between humanitarian relief and support for recovery, rebuilding, and the long-term development of political, economic and social institutions. NORAD administers the GAP funds – but does not count these as humanitarian assistance.
- The UK has established two conflict prevention funds managed jointly by the departments of International Development, Defence and the Foreign Office. The aim is to maximise Britain’s overall contribution to conflict prevention and resolution. Not all of these funds are counted as ODA or humanitarian assistance.

8.4 Reconciling clear definitions with a complex response

GTZ, the implementing agency for German Technical Co-operation notes the need for development-oriented emergency aid (DEA).

‘The aim of DEA is to help eliminate the danger to the people affected, to reduce their vulnerability at the household, regional and national levels, and to alleviate the effects of disasters or crises, either by taking preventive measures or by bringing the emergency situation itself under control.’

The need to see humanitarian response in its long-term context is also illustrated by Norwegian Aid Minister Hilde Frajford Johnson who has argued that *‘Education is part and parcel of the transformation from crisis to reconstruction and sustainable progress.’*

In line with this approach, Norway provided educational support to Afghanistan from its emergency, transition and development allocations.

However, donors have found it hard to adapt the narrow definitions of humanitarian financial flows to reflect this new agenda. ‘Humanitarian’ aid spending is characterised as short term and quick disbursing – often waiving procurement and other procedural requirements – and more flexible in terms of the types of country that an agency can work in.

9 Multilateral agency definitions of humanitarian assistance

Unlike many bilateral donors, few of multilateral agencies reviewed for this study use the term ‘humanitarian’ to describe what they do. Most use terms such as ‘emergency situations’ or ‘crises’.

Because ‘humanitarian’ is not widely used as a key word, it tends to be used quite loosely.

In discussions, most agencies interpret the term ‘humanitarian’ to refer to emergency assistance provided as part of relief efforts and, in

some cases, only assistance provided directly to victims of crises.

- Agencies providing both emergency and development assistance clearly distinguished emergency assistance as being ‘humanitarian’. IFRC, for example, only report resources provided under special emergency appeals as being ‘humanitarian’. Resources for activities such as strengthening the ability of national Red Cross societies to manage future emergency situations are not considered to be ‘humanitarian’.

Since each agency defines the term ‘humanitarian’ slightly differently, there is a lack of consistency and comparability in the reporting of expenditure.

- For instance UNHCR reports all of its assistance as ‘humanitarian’ whereas the World Bank, as a matter of policy, ‘does not provide humanitarian relief’. Thus in joint UNHCR/World Bank interventions for refugees, UNHCR’s assistance will be classified as ‘humanitarian’ while the Bank’s assistance will be classified as ‘rehabilitation and development’.

A key discrepancy between agencies is in the operational definition of the term ‘expenditure’. Data reported as ‘expenditure’ ranges from allocations by headquarters to specific activities or countries, to transfers of funds to country offices.

For most agencies, the sheer number of transactions undertaken at country level as part of the expenditure process are just too numerous to allow detailed records to be maintained at headquarters level – hence the wide-spread use of transfers of resources from headquarters to the country as a proxy for ‘expenditure’

10 NGO definitions of humanitarian assistance

NGO definitions focus on the ‘emergency’ situations in which aid is needed rather than incorporating a broader concept of humanitarian assistance. NGOs appear to use the terms ‘emergency’ and ‘humanitarian’ interchangeably.

All five NGO groups reviewed incorporated in their definitions the concept of a serious threat to human life and the inability of the affected community to cope with its own resources.

However, in their approaches, NGOs, like bilateral donors, have a more holistic view which includes addressing root causes, peace building, justice and the integration of a humanitarian response with sustainable development. Issues like gender equity and capacity building are central to some NGO approaches to humanitarian response.

11 Lessons and issues

The changing nature of humanitarian need and response makes precise definition difficult. But at a practical level, there are some

distinguishing characteristics of humanitarian assistance that most people can recognise as core features:

Humanitarian assistance:

- Is triggered by an identifiable event
- Involves a quick response
- Means funding that is expected to last for weeks, maybe months, but not years.
- Responds to needs which are beyond the capacity of local populations
- Involves and can justify the use of expedited procedures
- Can be outside strategic programming considerations
- Does not normally entail the conditionality attached to long term funding.

When aid is defined as humanitarian it enables donors:

- to work in countries which would be barred from receiving development co-operation money because of poor policy or human rights abuses
- to assist countries beyond their usual partner or priority countries
- to make much speedier disbursements
- to waive some rules on procurement and tendering
- to access different sources of finance, including general government contingency funds.

The flexibility of humanitarian assistance noted above offers an incentive to define activity as humanitarian.

Defining work as humanitarian may also enable donors to assist countries that are not priorities for long-term development aid. This is especially significant as donors concentrate their aid on a smaller number of 'good policy' partner countries, where they believe they get the best returns on their aid investment.

It is clear that both bilateral donors and multilateral agencies have taken major steps to bring their policies and procedures into line with changing need. But key dilemmas remain: how to ensure that the responses of a wide range of agencies are quick and flexible whilst increasing transparency, comparability and accountability to stakeholders – both those who provide the resources and those needing humanitarian assistance.

2

Trends in humanitarian assistance

1 Trends in funding humanitarian assistance

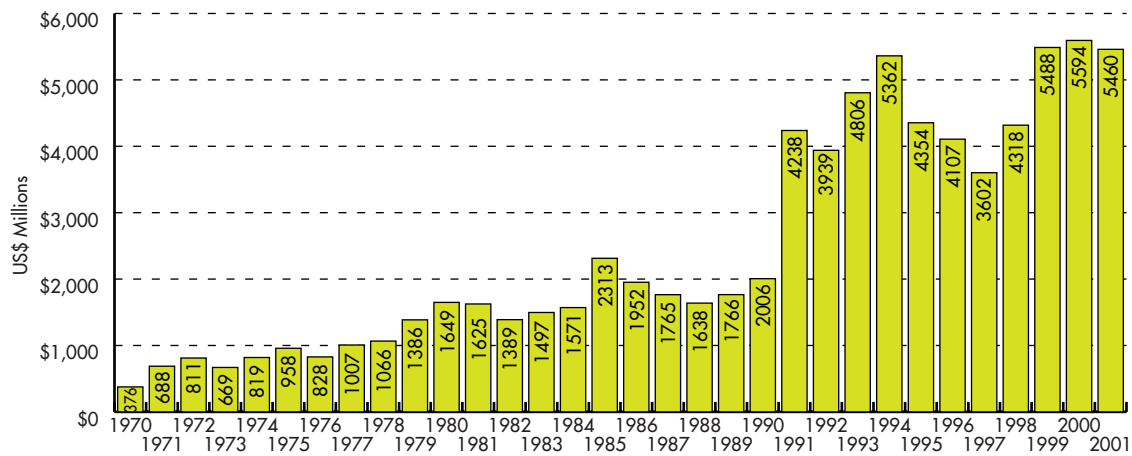
1.1 How much is spent on humanitarian assistance – is it growing or declining?

Humanitarian aid for the past three years from DAC donors has been about \$5.5b a year.

Over the long term, humanitarian aid has been growing – however you measure it.

Before 1991, humanitarian aid only twice rose much above \$2b a year. Since 1991 it has never fallen below \$3.6b a year. Even allowing for inflation, annual levels of humanitarian aid since 1990 have been double the levels of earlier years.

Figure 2.1 Total humanitarian aid from DAC donors, constant (2000) prices



Click on graph to see data as HTML; click here to download Excel spreadsheet file

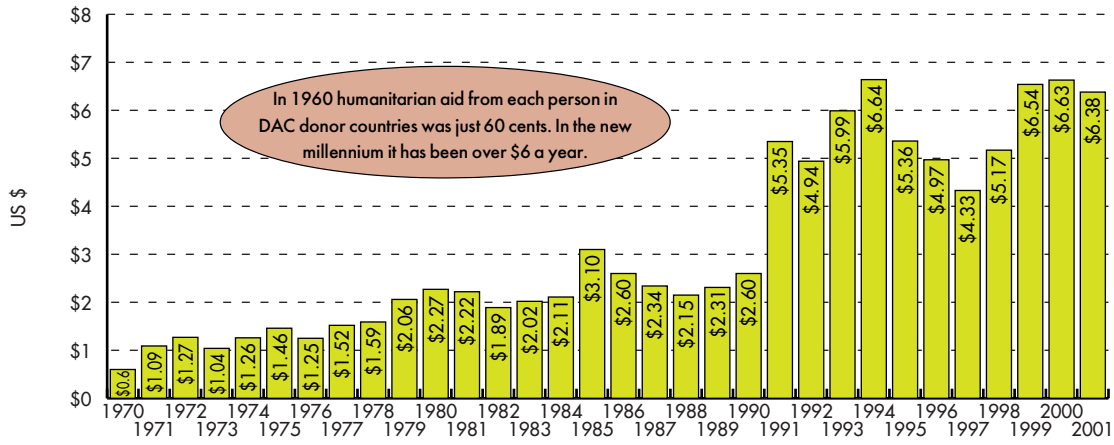
Source: OECD DAC Statistics Online Tables 1 and 2a

While ODA (Official Development Assistance) as a whole has been declining as a share of donor countries' national wealth or Gross National Income (GNI), humanitarian ODA has been growing. In 1970 DAC member countries gave 0.4 of a cent in humanitarian aid for every \$100 in national income. In 2001 it was 2.3 cents.¹

1.2 How does humanitarian spending relate to aid as a whole?

Humanitarian aid has increased its share of total aid through the nineties. From 1970–1990 humanitarian aid was less than 3% of total ODA. It now represents 10% of ODA and has done for the past three years (see Figure 2.4).

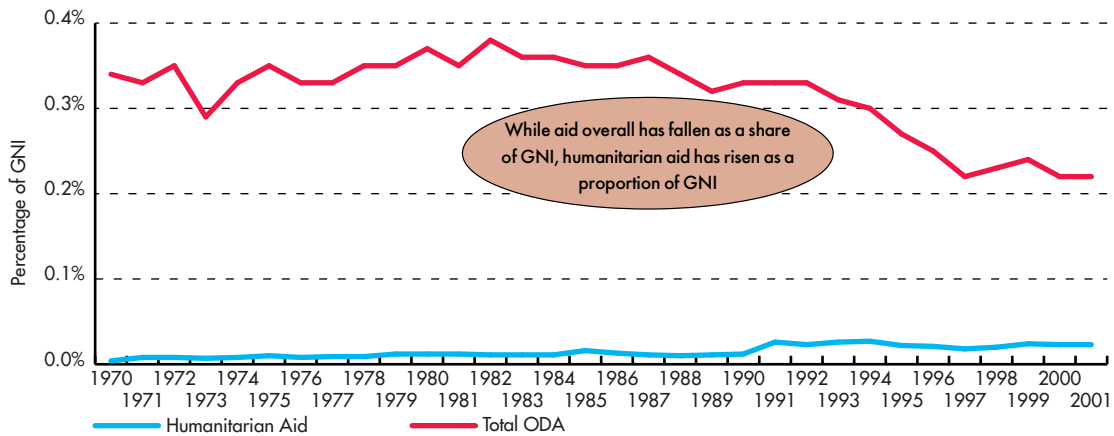
Figure 2.2 Total humanitarian aid per capita from DAC countries, constant (2000) prices



Source: OECD DAC Statistics Online Tables 1 and 2a

Click on graph to see data as HTML; click here to download Excel spreadsheet file

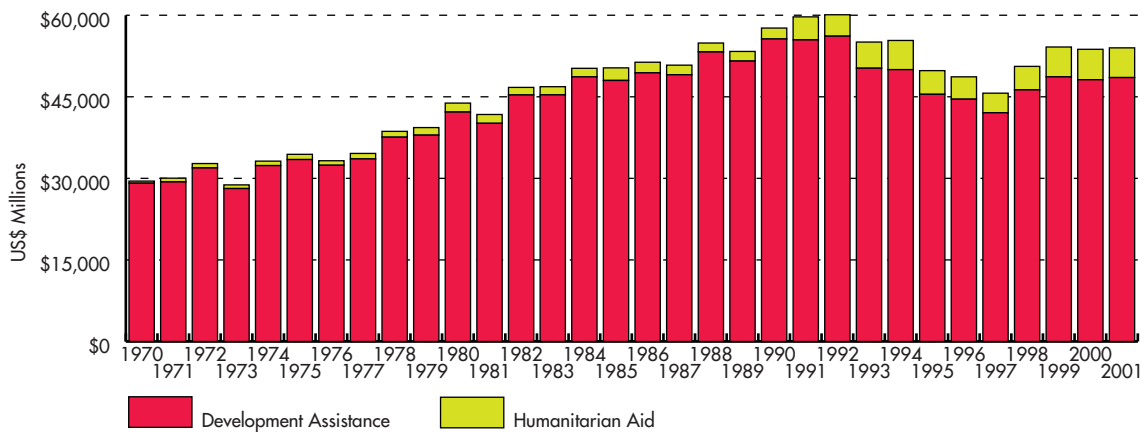
Figure 2.3 Humanitarian aid as a share of total ODA, constant (2000) prices



Source: OECD DAC Statistics Online Table 1 and 2a and Development Co-operation Directorate (DCD) data

Click on graph to see data as HTML; click here to download Excel spreadsheet file

Figure 2.4 Humanitarian aid as a share of total ODA, constant (2000) prices



Source: OECD DAC Statistics Online Tables 1 and 2a

Click on graph to see data as HTML; click here to download Excel spreadsheet file

1.3 How much is spent on humanitarian assistance in addition to aid from DAC donors?

Box 2.1 Measuring humanitarian assistance

Long term trends in ODA are monitored using the OECD Development Assistance Committee (DAC) Statistics. The DAC has the international responsibility to compile statistics on aid flows.

The DAC itself does not produce a figure for total humanitarian aid. So the figures used in this report are derived from DAC data using the following formula:

Total bilateral ODA for 'emergency and distress relief' from all DAC donors
PLUS
ODA from the European Commission² for emergency and distress relief
PLUS
Total multilateral contributions to UNHCR and UNRWA
PLUS

Multilateral contributions to WFP in proportion to the share of WFP's operational expenditure allocated to relief. (See section 4.1.1 for discussion of the issues arising from the bilateral/multilateral classification).

DAC figures are only part of the picture

However the DAC figures show only part of the picture for two reasons. First, the DAC captures data based on a relatively narrow definition of humanitarian assistance. Secondly, there are sources of international finance for humanitarian activity, which are not included in the DAC figures. These include:

- Humanitarian assistance from non-DAC donors
- Humanitarian assistance from the public in the form of voluntary contributions to NGOs
- Humanitarian Assistance from donor governments which is not included in the Official Development Assistance (ODA) figures, this includes all peacekeeping activities and some humanitarian expenditure by departments of defence and foreign affairs
- Humanitarian assistance from the public in the form of private remittances

Using FTS and other sources

The Financial Tracking System (FTS) of the Office for the Co-ordination of Humanitarian Affairs (OCHA) now provides a major additional source of information on humanitarian aid flows, particularly to countries that are the subject of a Consolidated Appeal. Using this data plus reports from donor governments who are not members of the DAC, data from UN, international and voluntary organisations, it is possible to put together estimates of humanitarian assistance flows that go beyond DAC data. Even these are underestimates as comprehensive data is not available and there is no information on the volume of private remittances for humanitarian assistance.

1.3.1 How much humanitarian assistance comes from non-DAC Donors?

Twenty-two OECD Countries³ make up the DAC. But humanitarian assistance is given by a much larger group of countries. There is no overall source of information showing flows from non-DAC members, but the Financial Tracking System (FTS) of the Office for the

Table 2.1 Estimate of total combined external resources for humanitarian assistance 2001

Sources of humanitarian assistance	2001 Estimate (\$ millions)	Comments
DAC reported humanitarian aid net of expenditure on domestic refugees	\$4,200m	Total humanitarian aid of \$5.5 billion less expenditure on domestic refugees of \$1.3b in 2001
Potential DAC underestimate of spending through UN agencies and NGOs	\$400m	The amount by which total spending reported by UN and International Organisations and spending through NGOs reported by 12 donors exceeds DAC-reported humanitarian aid (net of expenditure on domestic refugees).
Post-conflict peace activities	\$4,000m	Total spending reported to the DAC on post-conflict peace building within a United Nations peace operation. This includes spending on human rights; election monitoring; rehabilitation assistance to demobilised soldiers; rehabilitation of basic national infrastructure; 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. Only a small part of this spending (\$344m in 2001) counts as ODA.
Humanitarian assistance from non-DAC donors	\$250m–\$500m	The lower estimate is based on an average of the non-DAC donor contributions recorded by UN agencies and the FTS for the past three years. However reports from selected non-DAC donors themselves suggest that actual contributions are considerably higher than this.
Voluntary humanitarian assistance from the public	\$700m–\$1.5 billion	Voluntary humanitarian assistance raised from the public by 18 NGOs is estimated at \$697m in 2001. This excludes some very significant humanitarian agencies.
Underestimates arising from the narrow definition of emergency and distress relief	Unknown	Expenditure in crisis-affected countries may not be counted as humanitarian or as ODA. For instance, Norway does not count expenditure under its GAP funding window for financing transitional activities as humanitarian; some expenditure under the UK Conflict Resolution pooled funding is not included in ODA.

Co-ordination of Humanitarian Assistance (OCHA) records contributions from over 60 countries.

In 2001 the FTS recorded \$463m of total bilateral humanitarian assistance from non-DAC countries.

In addition, UN and international agencies report contributions they

have received from non-DAC donors. Between them these agencies reported nearly \$50m a year from non-DAC donors in 2001.

Table 2.2 Humanitarian assistance from non-DAC donors

	2000	2001	2002
Multilateral Contributions to UN agencies as recorded by agencies themselves	31.5	46.7	47.6
Bilateral Contributions recorded on FTS ⁴	32.95	462.51	91.02
TOTAL	64.45	509.21	138.62

Source: UN agency financial reports; FTS on-line data

It is likely that the available figures underestimate non-DAC humanitarian assistance.

FTS data primarily covers contributions for countries that are the subject of a Consolidated Appeal or in response to a natural disaster and which have been reported to the FTS either by the donor or by the recipient agency. Reports from donor countries suggest that these capture only part of the total:

- On the FTS, India's bilateral humanitarian assistance totals just \$0.2m for the two years 2000 and 2002. But Indian government figures for non food aid in 2002 alone include \$5m to Tajikistan for drought relief, \$1m for Mauritius, 'extended' but unquantified support to Nepal for peace and security, plus a series of other grants for disaster relief. India also provided \$42m for Afghanistan in 2002.
- South Korea has reported humanitarian assistance to DPR Korea as a total of \$447m from 1995–2001 – mostly in food aid. South Korea also contributed \$12m to Afghanistan in emergency assistance out of its total reconstruction contributions to Afghanistan of \$45m over the period 2002–2004.
- Total confirmed commitments from non-DAC donors of humanitarian and reconstruction assistance to Afghanistan alone were \$177m in 2002. Iran alone has committed \$40 out of a five year pledge of \$560m. Saudi Arabia has committed \$27m and Lithuania \$13m.

1.3.2 Voluntary contributions to NGOs for humanitarian assistance

Voluntary contributions from the public to NGOs for humanitarian assistance are difficult to assess for several reasons:

- Different countries have different regulations for the way NGOs account for their income
- NGOs themselves differ in the definitions, levels of detail and transparency of their accounts

- Many NGOs are federated into international alliances but keep detailed analysis only at country-level.
- Most NGOs separate their income sources into voluntary and official. But few separate expenditure according to the source of income, so it is not possible to say for sure how much voluntary income was spent on humanitarian assistance.

Data collected from a sample of eighteen NGOs involved in humanitarian assistance shows that about \$697m in voluntary humanitarian assistance was raised from the public by these agencies alone in 2001.

1.3.3 Private remittances for humanitarian assistance

Little is known about the volume of private remittances for humanitarian assistance, although field reports suggest that they are a significant and speedy source of finance.

1.4 How much of DAC donors' humanitarian assistance is captured in DAC statistics?

The DAC's remit includes monitoring Official Development Assistance (ODA) to developing countries and aid to transition countries recorded as Official Aid (OA).

Within the category of ODA, the DAC monitors

- Official bilateral spending on emergency and distress relief. Under this heading, donors break down the figures to show: aid to refugees in developing countries; aid to refugees in the donor country and relief food aid.
- Multilateral aid (funding being given to International Organisations that is totally unearmarked). Because this multilateral ODA is completely unearmarked (it is being spent at the discretion of the multilateral agency), it is not possible to show how much is being allocated to humanitarian assistance.

The DAC definition of ODA excludes spending that some donors regard as humanitarian, but which falls outside DAC definitions, such as peacekeeping.⁵

The DAC does record spending on post-conflict peace operations, including non-ODA, as a 'memo' item. Thirteen donors have reported expenditure under this heading over the past three years. In 2001 over \$4b was reported, of which \$344m was ODA. The main contributors were the USA with \$3.2b, \$242m from France, \$185m from Norway and \$118m from Italy. In 1999 the total was just over \$6b (more than total humanitarian assistance) of which \$5.4b came from the USA and \$270m from Norway.

There are three ways in which humanitarian assistance reported by the DAC differs from other reports:

- Most donors do not include their spending on domestic refugees in their domestic reporting on humanitarian assistance or ODA. But when reporting to the DAC, many do include domestic refugee spending. This can add over \$1b a year to DAC figures which does not appear in other reports. (See box below for conditions under which domestic refugee spending can count as ODA.)
- Relief food aid as reported by the DAC appears to be significantly less than relief food aid reported by WFP's Interfais or by the FTS. It is not clear whether or not donors' relief food aid has been included in their reported spending on emergency and distress relief.
- Humanitarian aid channelled through NGOs, UN and International Organisations appears to be underreported in the DAC figures on emergency and distress relief.

1.4.1 Spending on Domestic Refugees

Box 2.1 Rules for including expenditure on refugees in donor countries as Official Development Assistance

Expenditures by the official sector for the sustenance of refugees in developed countries may be recorded as ODA if they meet the following criteria: 'Payments for refugees' transport to the country and temporary sustenance (food, shelter and training) during the first twelve months of their stay. Expenditures for resettling refugees in an aid recipient country may be included, and allocated geographically, if made in the country of resettlement. Amounts spent to promote the integration of refugees into the economy of the donor country, or resettle them elsewhere than in an aid recipient country, are excluded'.

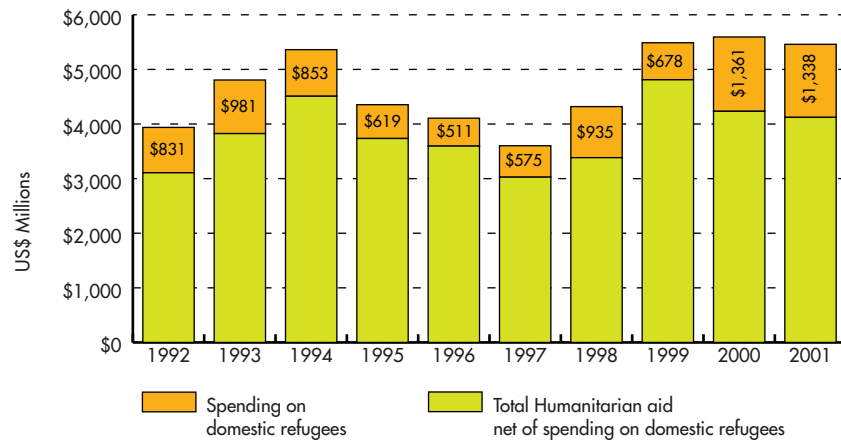
'A refugee is a person who is outside his home country because of a well-founded fear of persecution on account of his race, religion, nationality, social group or political opinion.'

The costs of meeting the needs of refugees who are living in donor countries for the first year of their residence can be treated as ODA under DAC rules.

Donors have been able to treat this expenditure as part of their aid since 1982 but have only been reporting it as a separate item since 1992. The amounts of money are very significant:

- \$8.6b of humanitarian aid has been spent on domestic refugees in the last ten years.
- Just less than a quarter of all humanitarian assistance (\$1,338m) was spent on domestic refugees in 2001.
- Annual expenditure per refugee ranges from around US\$5,000 to US\$14,000 a year – compared to the range for expenditure per beneficiary of humanitarian assistance in developing countries of \$2 to \$500 per head

Figure 2.5 Total humanitarian aid from DAC donors, showing expenditure on domestic refugees, constant (2000) prices



Source: OECD DAC Statistics Online Tables 1 and 2a

Click on graph to see data as HTML; click here to download Excel spreadsheet file

Not all donors choose to include their domestic refugee costs in their aid figures, but the number has been increasing.

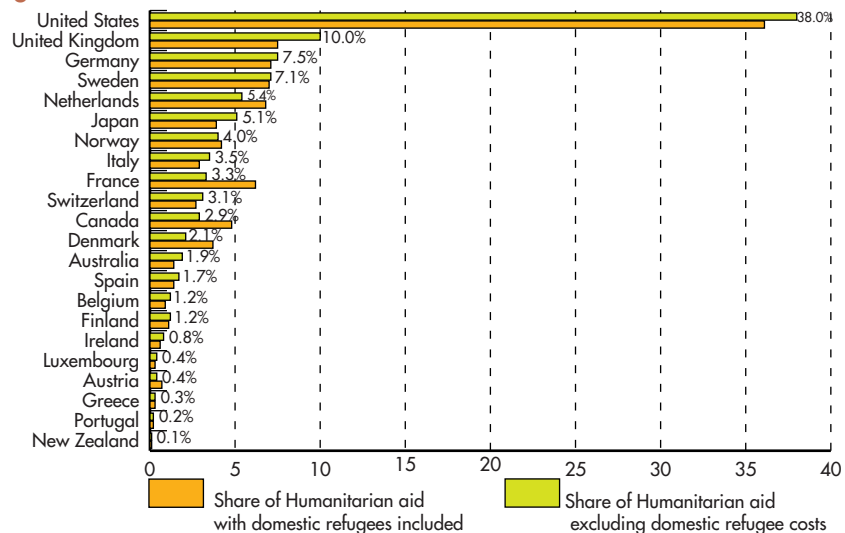
Many donors are unhappy with the rule that makes this allowable aid expenditure, but will comply with it, partly because they feel it disadvantages their position in the league tables of aid donors if they do not.

For some donors, annual domestic refugee expenditure is as much as or more than their other humanitarian aid. These donors include Austria, Canada, Denmark, and France.

Excluding the costs of domestic refugees results in some changes to the main donors of humanitarian aid.

The UK increases its share to 10% and maintains second position.

Figure 2.6 Donor shares of total humanitarian aid with and without domestic refugees 2001



Source: OECD DAC Statistics Online Tables 1 and 2a

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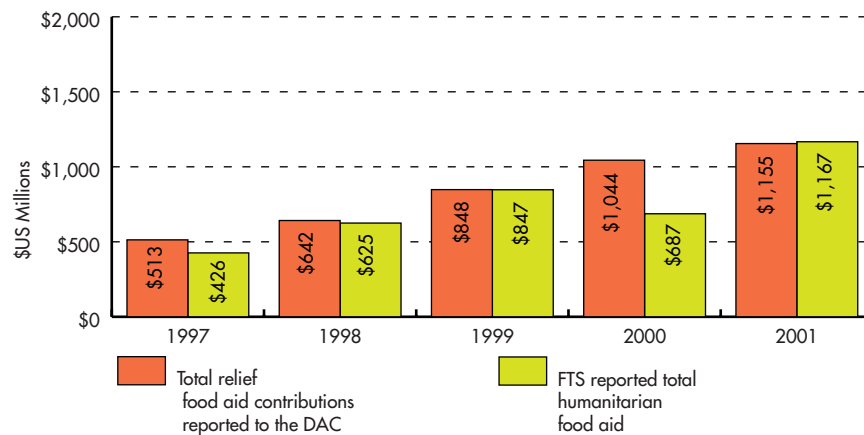
Japan goes up from 9th to 6th position. France drops from 6th to 9th position; Denmark from 10th to 12th; Canada from 7th to 11th.

1.4.2 Spending on Relief Food Aid

The DAC has recorded bilateral relief food aid as a separate category since 1995. The amounts reported have grown from \$189m in 1997 to peak at \$615m in 1999. In 2001, bilateral relief food aid was \$352m.

In addition to this bilateral food aid, donors also contribute to WFP. DAC data show multilateral (unearmarked) humanitarian contributions from DAC donors to WFP totalled \$803m in 2001. In theory, these two categories, totaling \$1,155m, should capture most humanitarian food aid.

Figure 2.7 Estimated Relief Food Aid – FTS and DAC data compared



Click on graph to see data as HTML; click here to download Excel spreadsheet file

Source: OECD DAC Statistics Online Table 1 and FTS data supplied by OCHA

However there is evidence that DAC reported data underestimates the total relief food aid provided. Comparison of data from FTS and DAC on the total amounts of relief food aid provided shows the figures to be broadly in agreement. But FTS only covers a proportion of total humanitarian resources – primarily those situations covered by the Consolidated Appeals Process, accounting for between 60% and 70% of total humanitarian resources. As the DAC figures correlate with the FTS figures it suggests that DAC data must be underestimating the levels of relief food aid provided by DAC donors.

Comparing the tonnages reported by Interfais for each donor with DAC data on relief food aid by donor also highlights differences of scale.

- Germany is the second largest funder of relief food aid according to DAC data, but only the fifth largest according to the Interfais tonnage data.
- Japan's relief food aid reported through the DAC is only 4.5% of the total whereas its tonnage reported through Interfais is 16% of the total.

- Norway and Denmark each supply around 3% of DAC reported relief food aid, but only 0.7% combined of the reported Interfais tonnage.

Table 2.3 Donors of Relief Food Aid – Interfais and DAC data compared 2001

Country	Tonnage reported by Interfais	Value reported by DAC (Multilateral contributions to WFP plus bilateral relief food aid) \$ million	Share of total tonnage (Interfais)	Share of total value (DAC)
Norway	11,861	35.07	0.30%	3%
Denmark	18,193	32.68	0.40%	2.8%
Canada	39,211	30.1	1.0%	2.6%
Italy	42,731	8.46	1.0%	0.7%
United Kingdom	83,180	23.19	2.0%	2.0%
France	83,629	10.68	2.0%	0.9%
Germany	92,875	97.3	2.3%	8.4%
Sweden	100,300	26.02	2.5%	2.3%
Netherlands	133,562	53.28	3.3%	4.6%
Japan	637,786	51.72	15.6%	4.5%
United States	2,736,643	727.32	66.9%	63.0%

1.4.3 Spending through UN agencies and NGOs

Total UN agency and International Organisation reported income for humanitarian assistance, based on their own definitions, was \$3.9b in 2001.⁶ Of this \$3.2b was spent by UN agencies and \$700m by the International Organisation for Migration (IOM), the International Committee of the Red Cross (ICRC) and the International Federation of Red Cross and Red Crescent Societies (IFRC).

Bilateral humanitarian aid channelled through NGOs, based on reports from twelve DAC donors, totalled over \$1b in 2001.

Virtually all of this spending should be included in the humanitarian aid reported through the DAC. \$1.6b is captured in DAC data as ‘multilateral contributions’ to UNRWA, UNHCR and WFP. All of the remaining UN and NGO spending should be included in the DAC-reported bilateral emergency and distress relief. In fact, the humanitarian income received by UN, International agencies and NGOs was \$400m more than the total bilateral emergency and distress relief reported through the DAC in 2001 (net of domestic refugees).

Since bilateral humanitarian aid is also spent on donors’ own humanitarian activities, this suggests that the DAC reported emergency and distress relief underestimates expenditure on humanitarian assistance by at least \$400m.

1.5 How is humanitarian assistance captured by the FTS?

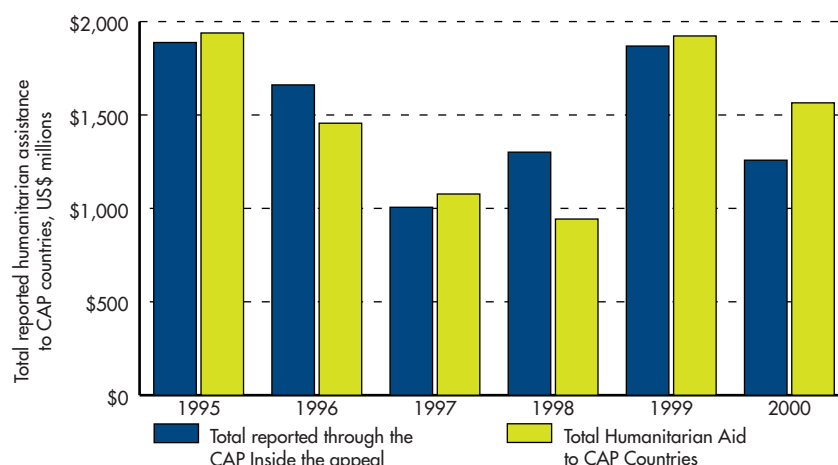
The Financial Tracking System (FTS) primarily monitors contributions to situations that are the subject of a Consolidated Appeal (CAP). (FTS also tracks response to natural disaster appeals and other humanitarian assistance as reported by donors.) It monitors contributions ‘inside’ the appeal – that is, in response to requests for funding which are part of the Consolidated Appeal Process; and contributions ‘outside’ the appeal – that is contributions for the CAP country or situation, but not related to a Consolidated Appeal project.

The objective of the Consolidated Appeal Process is to set a common strategy and to implement a co-ordinated response to complex emergencies. The ability to fulfill this objective depends on the extent to which the programmes in the CAP are funded.

One way to measure how much is being captured by the FTS is to compare FTS figures with humanitarian aid reported by the DAC, through its mandatory reporting mechanisms.

Comparing total funding through the CAP with total humanitarian aid reported by the DAC is not comparing like with like: funding through the CAP covers only the countries that are the subject of a Consolidated Appeal (about 12–18 countries a year); DAC reports on humanitarian assistance to over 145 countries.

Figure 2.8 Humanitarian assistance: comparing DAC and FTS reported funding to Consolidated Appeal countries



Source: OECD DAC Statistics Online Tables 1 and 2a, and FTS data supplied by OCHA

Click on graph to see data as HTML; click here to download Excel spreadsheet file

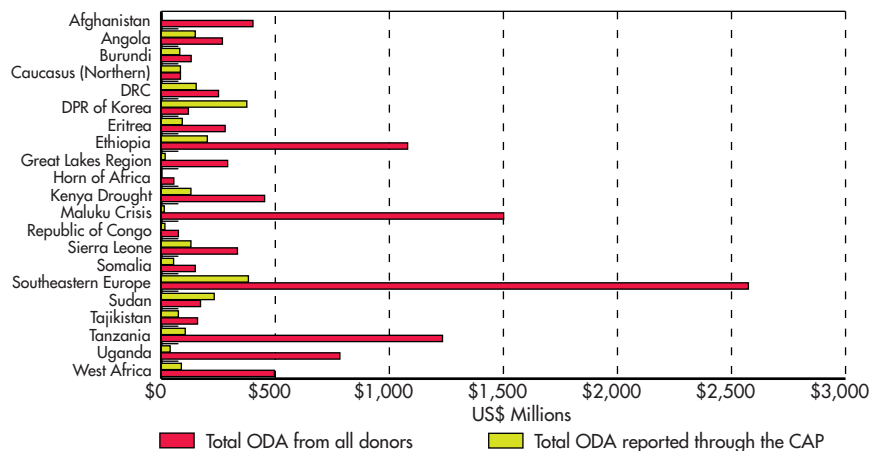
Looking at trends over the past six years, the FTS-reported contributions to the CAPs (inside the appeal) were almost the same as the total humanitarian ODA reported to the DAC in four years and MORE than the total humanitarian ODA reported to DAC in another two years (1999 and 2000). Furthermore, in addition to the funds reported above, the FTS also monitors contributions for the country but outside the specific requirements of the appeal.

There are several reasons why the CAP may show more humanitarian assistance than the DAC.

- First of all, the CAP operates on the basis of situations, not just countries. Although the comparisons here have been made on the basis of the named countries included in each CAP appeal, there may be expenditure which affects a CAP country and is therefore included in the CAP data, but which is not included in DAC country data
- Second, the FTS, unlike the DAC, includes contributions from non-DAC donors and NGOs.
- Third, the narrow DAC definition of Emergency and Distress relief may exclude expenditure – such as reconstruction or rehabilitation – that is included in the CAP appeal.

Although the FTS captures most or more of the humanitarian aid reported by the DAC, total contributions reported through the CAP are often only a tiny share of total aid spending in that country.

Figure 2.9 Total ODA to CAP countries as reported by FTS and DAC in 2001



Click on graph to see data as HTML; click here to download Excel spreadsheet file

Source: OCHA FTS online data Complex Emergencies and OECD DAC Statistics Online Table2a

2 Which countries provide humanitarian assistance?

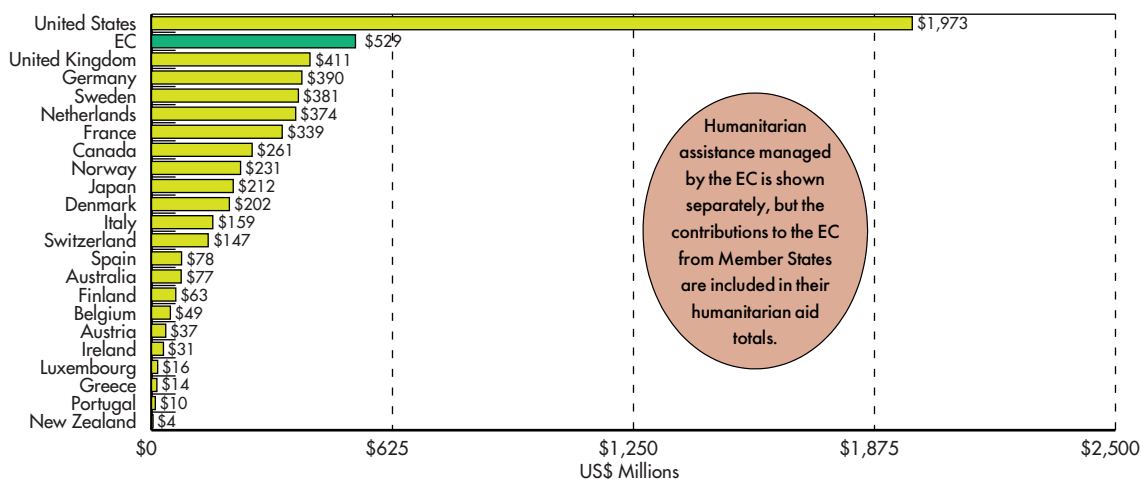
2.1 Humanitarian aid from DAC donors

2.1.1 A few donors provide the bulk of humanitarian assistance

Ten DAC countries provide 90% of humanitarian aid in most years. The United States is overwhelmingly the largest bilateral donor. The USA provided as much as the next four – UK, Germany, Sweden and Netherlands – combined in 2001.

The EU member states plus the EC provided \$2,553m of humanitarian assistance in 2001, compared with \$1,973m from the USA and \$3,745m from the G7 as a whole.

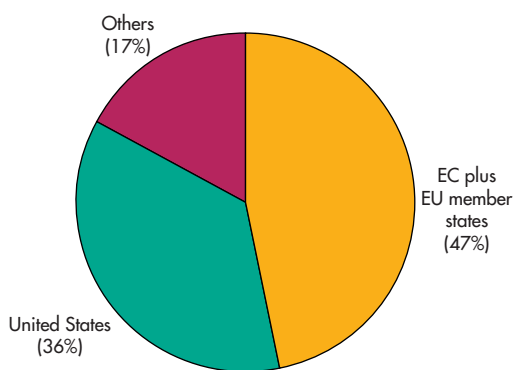
Figure 2.10 Humanitarian aid from DAC donors in 2001 \$millions



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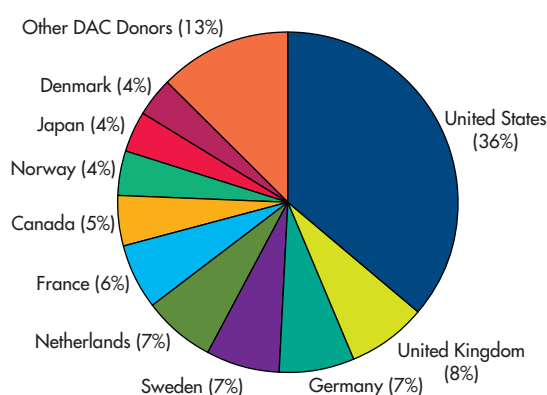
Source: OECD DAC Statistics Online Tables 1 and 2a

Figure 2.11 Humanitarian aid from the USA, European Union and other donors in 2001



Source: OECD DAC Statistics Online Tables 1 and 2a

Figure 2.12 Total humanitarian aid from DAC Donors in 2001



Source: OECD DAC Statistics Online Tables 1 and 2a

Click on graph to see data as HTML; click here to download Excel spreadsheet file

2.1.2 How much is contributed per person in donor countries?

The picture is very different when looked at from a burden-sharing perspective (see Figure 2.13).

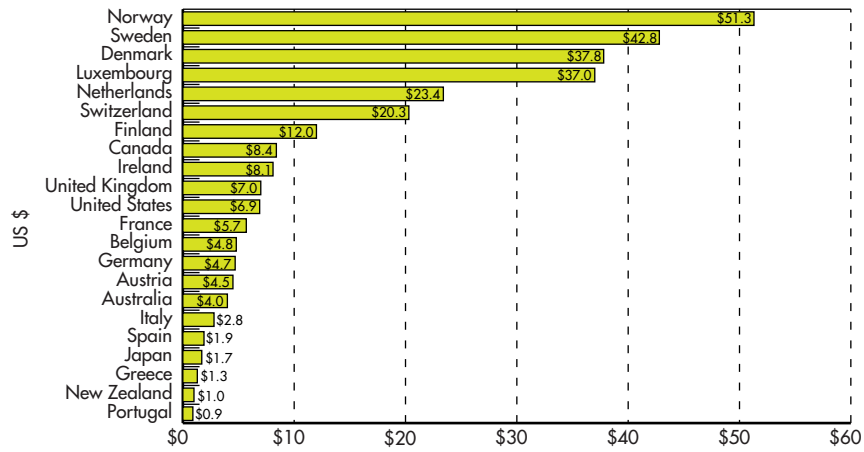
Measured by head of population the most generous donor countries in 2001 were Norway, Sweden, Denmark and Luxembourg – providing between \$50 and \$37 per head.

In the two largest bilateral donors by overall volume – the United States and the UK – the amount per capita was just \$7 in 2001 – the same as the average for the European Union Member States combined.

2.1.3 What priority do donors give to humanitarian assistance?

On average DAC countries as a whole have spent 10% of their ODA on humanitarian aid since 1999. But there are big differences between donors in the share of humanitarian assistance in their overall aid programmes.

Figure 2.13 Humanitarian aid from DAC donors, \$ per head, 2001

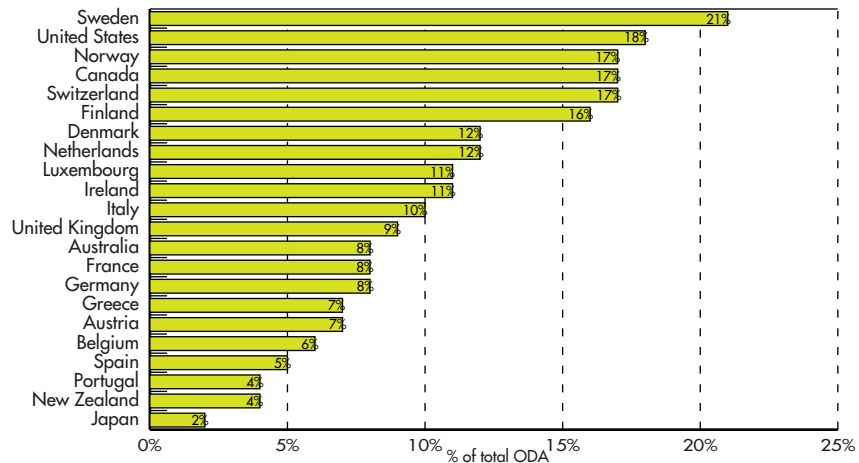


Click on graph to see data as HTML; click here to download Excel spreadsheet file

Source: OECD DAC Statistics Online Tables 1 and 2a

In 2001 six donors spent more than 15% of their ODA as humanitarian aid (Sweden 21%; USA 18%; Switzerland, Canada and Norway 17%; Finland 16%). By contrast, Japan, the sixth largest humanitarian donor, gave the smallest proportion of its ODA as humanitarian aid: just 2% in 2001.

Figure 2.14 Humanitarian aid as a share of ODA 2001



Click on graph to see data as HTML; click here to download Excel spreadsheet file

Source: OECD DAC Statistics Online Tables 1 and 2a

2.1.4 Which donors include expenditure on domestic refugees in their humanitarian aid?

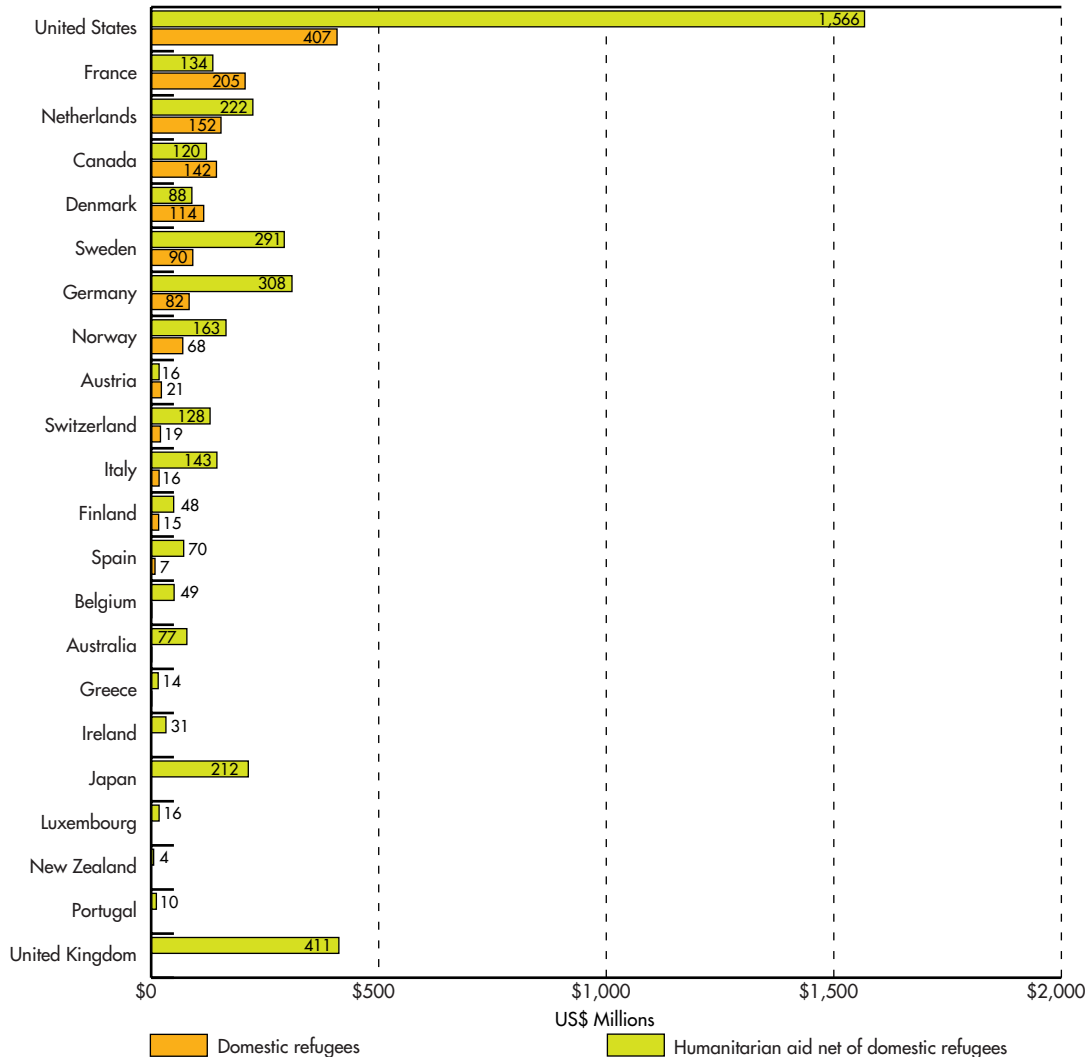
A major difference between donors is the extent to which they include expenditure on domestic refugees in their humanitarian assistance.

In 2001 only six donors (UK, Japan, Ireland, Luxembourg, Portugal and New Zealand) did not count expenditure on domestic refugees as part of their ODA.

Five donors included more than \$100m worth of expenditure on

domestic refugees in their humanitarian assistance: USA, (\$407m); France (\$205m) Netherlands (\$152m); Canada (\$142m); Denmark (\$114m). Sweden, Germany and Norway allocated between \$70m and \$90m each.

Figure 2.15 Humanitarian aid showing expenditure on Domestic Refugees by donor 2001



Click on graph to see data as HTML; click here to download Excel spreadsheet file

Source: OECD DAC Statistics Online Tables 1 and 2a

2.2 Humanitarian assistance from Non DAC donors and NGOs

The largest non-DAC donors who reported their humanitarian assistance to the FTS in 2001 were Saudi Arabia – \$411m (total to all appeals and natural disasters) and South Korea (\$73m). On the basis of these numbers, Saudi Arabia would be the second largest donor, after the USA. South Korea would be the fourteenth largest donor, after Australia.

Some NGOs raise more humanitarian assistance from the public than the total humanitarian aid of several donors. Médecins sans

Frontières International raised over \$200m for humanitarian assistance in 2001, making it a larger donor than 12 OECD countries. Oxfam GB raised \$90m for humanitarian assistance in 2001, more than ten OECD countries.

3 Where is humanitarian assistance spent?

Box 2.3 Data Issues

Humanitarian crises do not respect political or geographical boundaries. People affected by crises are on the move, often crossing international borders.

Under these conditions, donors and agencies often refer to 'humanitarian situations' which may affect several countries.

In their humanitarian planning, management and domestic reporting, donors may take a regional approach – for instance for the Balkans – and Consolidated Appeals are often based on 'situations' rather than 'countries'. But when expenditure is reported to the DAC it cannot be classified by 'situation' because OECD DAC data are based on countries and/or geographical regions. As a result, individual country spending may be under-reported in DAC data.

Even comparisons at a regional level are problematic simply because the UN, international agencies, NGOs and bilateral donors classify countries into different regions.

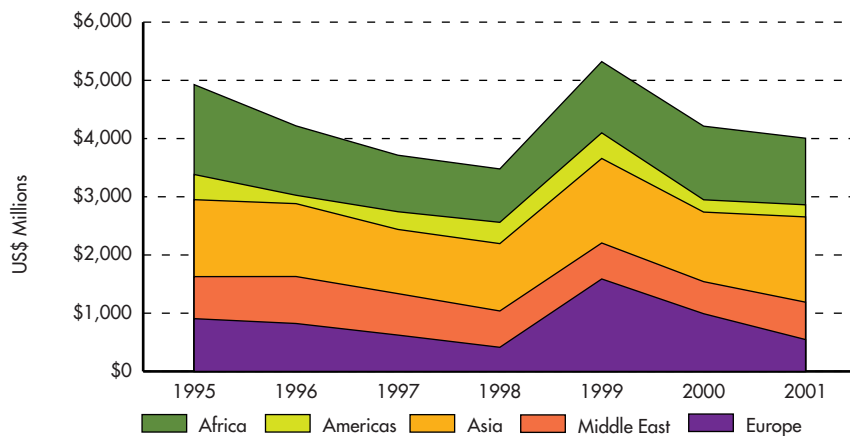
Given these limitations on the data, what can we say about where humanitarian assistance is spent?

3.1 Which regions receive humanitarian assistance?

Between 1995 and 2001 Africa and Asia have received roughly equal amounts of humanitarian aid – over \$7b each and just over a quarter of total spending allocable by region for the six years.

The Middle East has received a total of \$4b between 1995 and 2001 – ranging from 11% of total humanitarian aid in 1999 and 2000 to 21% in 1997.

Figure 2.16 Regional distribution of humanitarian aid 1995–2001



Click on graph to see data as HTML; click here to download Excel spreadsheet file

Source: OECD DAC Statistics online Table 2a

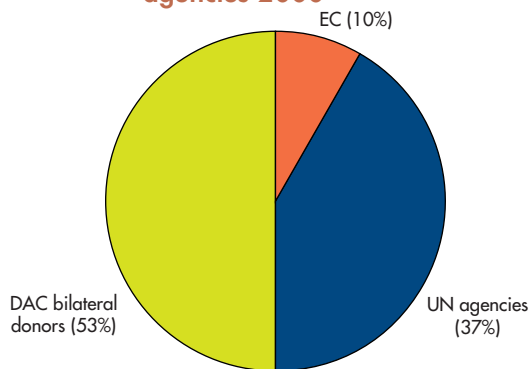
It is Europe which has shown the sharpest fluctuations, ranging from 10% of total humanitarian aid in 1998 (\$400m) to 27% in 1999 (\$1.6b).

3.1.1 Comparing regional allocations by International Organisations and bilateral donors

The totals allocated to different geographical regions mask quite big variations in the geographical priorities of bilateral donors and multi-lateral agencies.

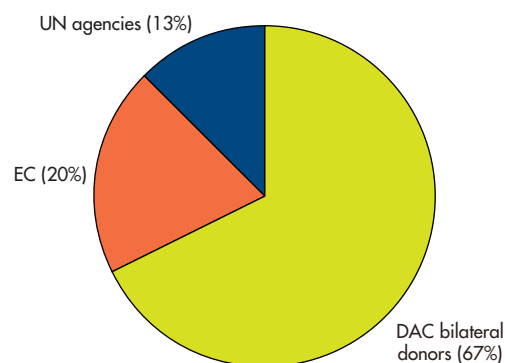
In the year 2000 for example, two thirds of humanitarian assistance to Europe came from bilateral donors, one fifth from the EC and just 13% from UN agencies. In the same year, Sub-Saharan Africa received just over half of total humanitarian assistance from bilaterals, well over a third from the UN and just 10% from the EC.

Figure 2.17 Share of humanitarian aid to Sub-Saharan Africa from bilateral donors, the EC and UN agencies 2000



Source: OECD DAC Statistics Online Table2a

Figure 2.18 Share of humanitarian aid to Europe from bilateral donors, the EC and UN agencies 2000



Source: OECD DAC Statistics Online Table2a

Click on graph to see data as HTML; click here to download Excel spreadsheet file

EC allocations to Europe are particularly striking. In 1999 62% of the European Community Humanitarian Office (ECHO) budget went to Former Yugoslavia (55%) and CIS/Eastern Europe. Since then, the share to Europe has been falling to reach 16% of total budget in 2002 (see Figure 2.19).

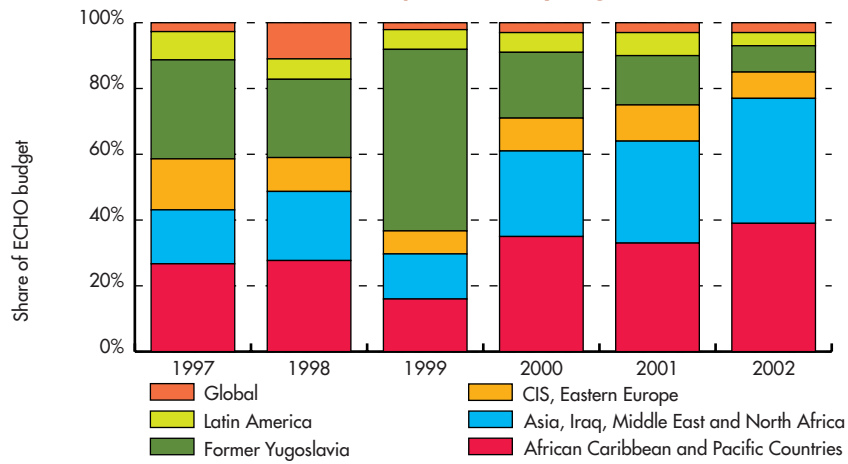
International Organisations (UN, IOM and Red Cross agencies combined) allocated 42% of their total humanitarian expenditure to Africa in 2001 (compared with 32% of bilateral humanitarian aid allocable by region); 25% in Asia Pacific (compared with 36% for bilateral humanitarian aid) and 20% in Europe (compared with 16% for bilateral humanitarian aid in 2001) (see Figure 2.20).

3.2 Which countries receive humanitarian assistance?

Between 1995 and 2001 total humanitarian aid of just under \$10b was allocated to the top ten recipient countries. Country-specific allocations to all remaining countries amounted to around \$12b.

Looking at the allocation of humanitarian assistance to major

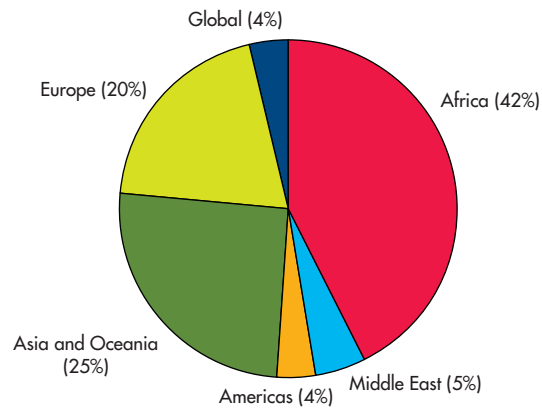
Figure 2.19 ECHO humanitarian assistance expenditure by region



Click on graph to see data as HTML; click here to download Excel spreadsheet file

Source: ECHO Budget

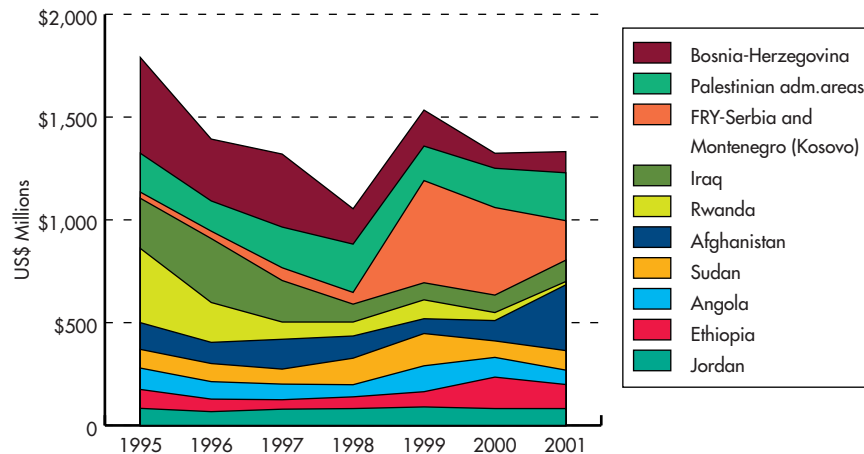
Figure 2.20 Regional allocation of total UN, Red Cross Agency and IOM humanitarian assistance 2001



Click on graph to see data as HTML; click here to download Excel spreadsheet file

Source: UN agency own data. For detailed source list see Figure 2.41.

Figure 2.21 Top ten recipients of humanitarian aid 1995–2000



Click on graph to see data as HTML; click here to download Excel spreadsheet file

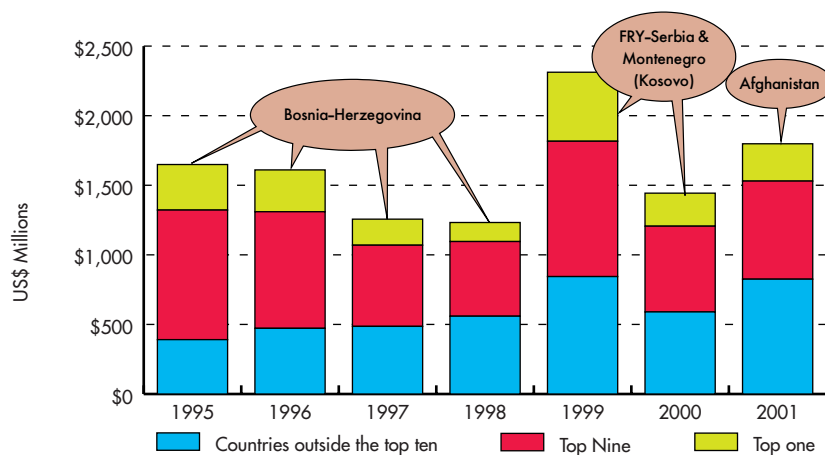
Source: OECD DAC Statistics Online Table2a

crises between 1995 and 2000, some patterns are clear:

- the steady fall in allocations to Bosnia-Herzegovina from almost \$500m in 1995 to \$73m in 2000
- Substantial declines in assistance to Iraq and Rwanda between 1995 and 1998
- the very sharp rise in spending in FRY-Serbia and Montenegro (Kosovo) from 1998
- also clear is the steady allocation of humanitarian assistance to on-going crises in countries such as Jordan,⁷ Angola and Sudan

Bilateral humanitarian aid is even more concentrated. Between 1995 and 2001 the top ten recipients absorbed between half and three quarters of bilateral humanitarian aid in most years with the largest recipient absorbing between 11% and 21% of the total.

Figure 2.22 Concentration of bilateral humanitarian aid 1995–2001



Click on graph to see data as HTML; click here to download Excel spreadsheet file

Source: OECD DAC Statistics Online Table2a

For the past seven years, a group of countries have dominated the top ten recipients (figures in brackets show their total humanitarian aid for the period 1995–2001):

- Bosnia-Herzegovina (\$1,644m)
- Iraq (\$1,117m)
- FRY-Serbia & Montenegro/Kosovo (\$1,299m)
- Afghanistan (\$970m)
- Rwanda (\$853m)
- Sudan (\$713m)
- Angola (\$616m)

Other countries that have been among the top ten recipients of bilateral humanitarian aid between 1995 and 2001 are (again, total receipts from 1995–2001 are shown in brackets):

- Ethiopia (\$600m)

- Haiti (\$297m)
- Indonesia (\$281m)
- Israel (\$457m)⁸
- Mozambique (\$272m)
- DPR Korea (\$273m)
- Albania (\$228m)
- Somalia (\$278m)
- Honduras (\$173m)
- Democratic Republic of the Congo (Zaire) (\$265m)
- Timor (\$151m)
- Turkey (\$216m)
- Sierra Leone (\$147m)
- India (\$141m)
- Nicaragua (\$181m)
- Iran (\$209m)

Of these, only Ethiopia has appeared in the top ten in more than two years.

The rest of humanitarian aid (between half and three quarters of the total, depending on the year) is spread across more than 100 countries. About 40 of these receive less than \$1m each in any given year.

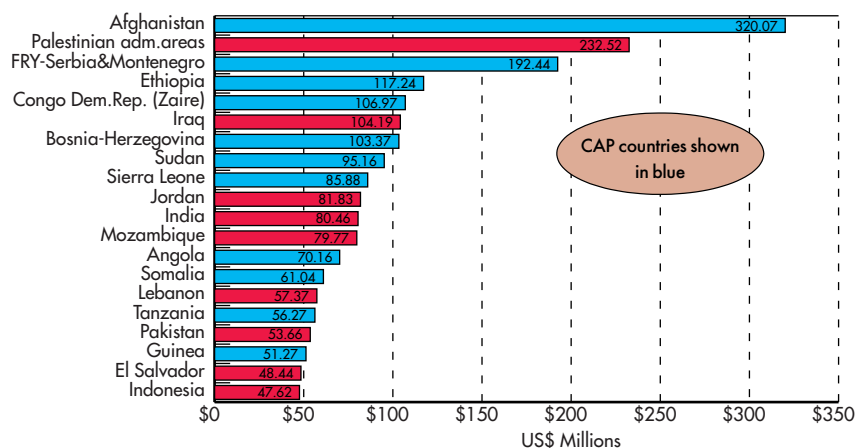
3.2.1 Giving to countries you can identify with

It is clear that bilateral donors prioritise assistance to countries within their region or with which they have special links.

- Europe has been the recipient of a third of total EC humanitarian aid between 1995 and 2000. In 1999 59% of EC humanitarian aid went to Europe.
- Turkey and former Yugoslavia have figured prominently within the top ten recipients of German humanitarian aid.
- Most Japanese aid is focused on Asia. Five of the top 10 recipients of Japanese humanitarian aid in 2000 and 2001 were in Asia. Nepal and Peru do not receive much humanitarian aid, but they are both in Japan's top ten, reflecting geographical and political links.
- Australia's humanitarian aid is strongly tied to Asia as a matter of policy. All ten top recipients were in Asia in 2001 and 8 out of ten in 1999 and 2000.
- Aid to Montserrat has been in the top ten humanitarian aid recipients for the UK for 5 years during the period 1995–2001. UK links are also reflected by the place of Kenya and Bangladesh in the UK's top ten in 1999 and 2001.
- Latin America receives proportionally more humanitarian aid from the USA than from other donors: Dominica was in the top ten of US humanitarian aid recipients in 2001, Honduras and Nicaragua in 1999 – the year after Hurricane Mitch when four of the top five recipients were in Latin America.

3.3 How do countries with a Consolidated Appeals Process (CAP) compare with the major recipients of humanitarian aid reported by the DAC?

Figure 2.23 Top twenty recipients of humanitarian aid from DAC donors in 2001



Click on graph to see data as HTML; click here to download Excel spreadsheet file

Source: OECD DAC Statistics Online Table2a and OCHA FTS online data Complex Emergencies

Among the top twenty recipients of humanitarian aid in 2001, 11 were the subject of a Consolidated Appeal.

Of the nine recipients of humanitarian assistance that were not a subject of a consolidated appeal, two (India and Mozambique, both receiving \$80m humanitarian aid) were affected by natural disasters. Humanitarian assistance to the Palestinian Administrative Areas, Jordan and Lebanon falls within the remit of UNRWA and has therefore not been included in the CAP process up until 2003, when an appeal for the Occupied Palestinian Territory was included.

Other countries that appear on the list of top twenty DAC humanitarian aid recipients that are not covered by CAPs are Iraq, Pakistan, El Salvador and Indonesia. These four countries received a total of \$254m in 2001.

3.4 Funding related to need

Two key questions on the distribution of humanitarian assistance are:

- Whether the response to need is adequate
- Whether the response is equitable between different emergencies

In order to answer these questions it is vital to have a measure of need. Ideally this should include:

- an assessment of the number of people affected
- a figure for the unit cost of meeting each person's need

The international humanitarian information systems available provide only limited quantitative data on these issues:

- The Centre for Research on the Epidemiology of Disasters has a database that shows the number of people killed, made homeless and otherwise ‘affected’ by disasters, but it does not include data on spending.
- DAC data on spending does not relate to any assessment of need.
- The FTS is the only international system to combine spending and estimates of need. The CAP documents the number of ‘beneficiaries’ – that is the number of people who would benefit from programmes in the CAP. There may be additional affected persons in need of assistance. The FTS reports the number of ‘beneficiaries’. To avoid double counting, in the past, beneficiary numbers were taken from the sector with the largest estimated beneficiaries – usually food aid. Country teams are now asked to calculate total beneficiaries by estimating numbers of vulnerable populations (such as number of IDPs).

The Annual Report of the Office of Foreign Disaster Assistance (OFDA) in USAID also provides data on affected people in situations where OFDA has provided assistance

3.4.1 Getting a sense of equity of response

It is clear that a relatively consistent benchmark of the number of affected people is necessary to make a reliable assessment of the extent to which humanitarian response to emergencies is equitable.

But using rule-of-thumb measures, there is an a priori case that allocations between emergencies are very unequal.

Outlined below are three methods for assessing the equity of humanitarian response between emergencies.

1. The shortfalls against requested funding for Consolidated Appeals
2. The funding per affected person in different emergency situations
3. The funding per head of population in emergencies with widespread effects across a nation

All three show substantial variations in the levels of response to different emergencies, with the same countries or regions in the top or bottom ends of the funding range.

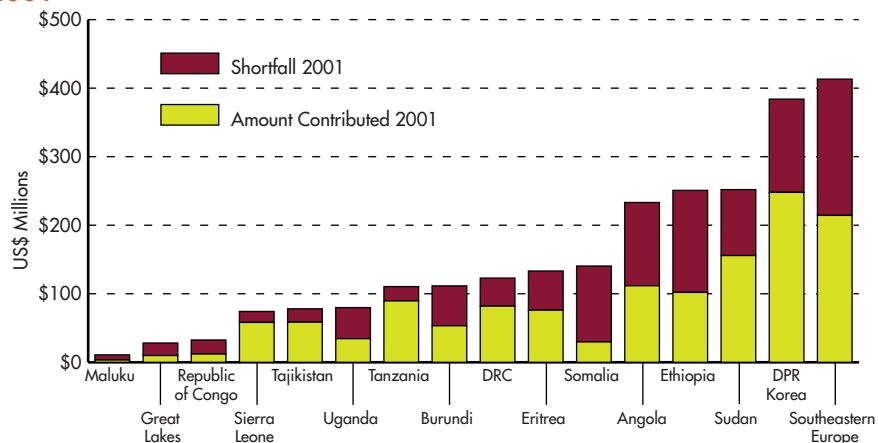
There are several explanations for these differences. The cost of meeting humanitarian needs varies between countries and regions – transport and logistics costs may be much higher in some places than in others. The type of need that people face varies from crisis to crisis. In some situations it may simply be very difficult to respond to the need.

But these explanations cannot hide the fact that for reasons of political priority, communication or public attention, some emergencies are ‘forgotten’ or unprioritised.

Method 1: Shortfalls on funding for Consolidated Appeals

A Consolidated Appeal is usually launched in a situation where there is widespread or serious disruption and damage and where a large scale, multi-faceted humanitarian response is needed.

Figure 2.24 Contributions to selected CAPs and shortfalls against requested funds 2001



Source: OCHA FTS online data

Click on graph to see data as HTML; click here to download Excel spreadsheet file

The volume of funds requested for appeals varies significantly from less than \$20m to more than \$400m. The contributions and shortfalls also vary sharply between appeals. The smallest shortfall as a share of total requests in 2001 was 19% (Tanzania – amounting to \$20m) and the largest was Somalia with 79% (\$111m). In 2000, eight appeals (for Republic of Congo, Sierra Leone, Burundi, DRC, Angola, Sudan, DPR Korea and South eastern Europe) suffered a shortfall of more than 50% – ranging from US\$10m for Uganda to over \$300m for south-eastern Europe.

Some situations and countries clearly receive better responses than others. Over five Consolidated Appeals (1997–1999, 2001 and 2002) South Eastern Europe received 69% of its requested funding. Under two appeals it received more than 80% of the requested amount; in the other three it received between 53% and 68%.

Other countries that are regularly the subject of Consolidated Appeals do not fare so well. Ethiopia, Eritrea and Republic of Congo all received on average only 32% of what was requested over the five years. In the case of Eritrea, in 2001 the country received more than half the total requested, but for two appeals less than 10% of requested funding was received.

This is not just an Africa/Europe divide. The Great Lakes appeals have received over 80% of their requested funding in three out of five years but only 41% and 35% in the other two.

There are two limitations on the use of the shortfall on appeals as a reliable measure of equitable response. First, reporting is not mandatory

so there may be gaps in the figures. Second, it assumes that requests have been estimated on a consistent and comparable basis between different emergencies. There are in fact very significant differences in the amounts requested per affected person, as well as in the amounts contributed.

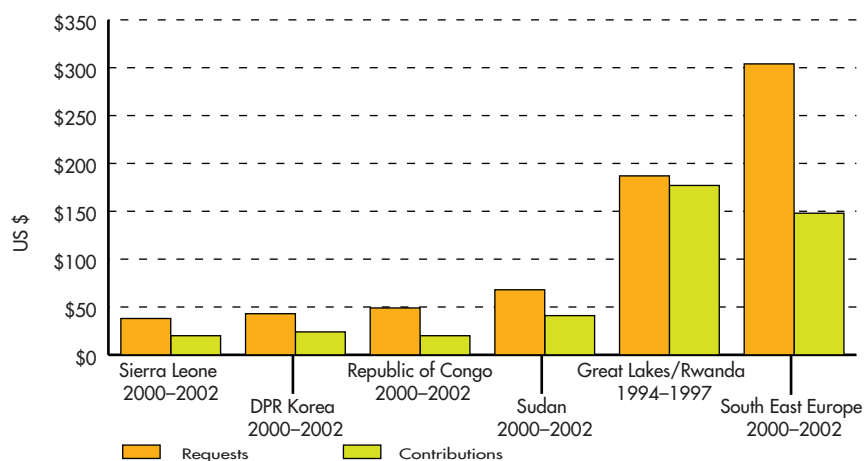
Method 2: FTS data on requests and contributions per beneficiary

As noted above, FTS data on affected people has limitations. However, the problems can be mitigated by averaging the beneficiary numbers over three years and excluding countries with large differences in beneficiary numbers between years. Using this method, the estimates of expenditure per person should be more reliable.

The differences between countries are very sharp. Over the past three years, the average requests have ranged from \$38 per head to \$304 per head. Contributions per beneficiary range from \$20 to \$177.

As on the analysis by shortfall, south-eastern Europe and Rwanda are at the top end of the range for both requests and contributions. For Republic of Congo, Sierra Leone and DPR Korea less than \$50 per beneficiary was requested and less than \$25 per beneficiary was contributed.

Figure 2.25 Amounts requested and contributed per beneficiary 2001, selected CAPs



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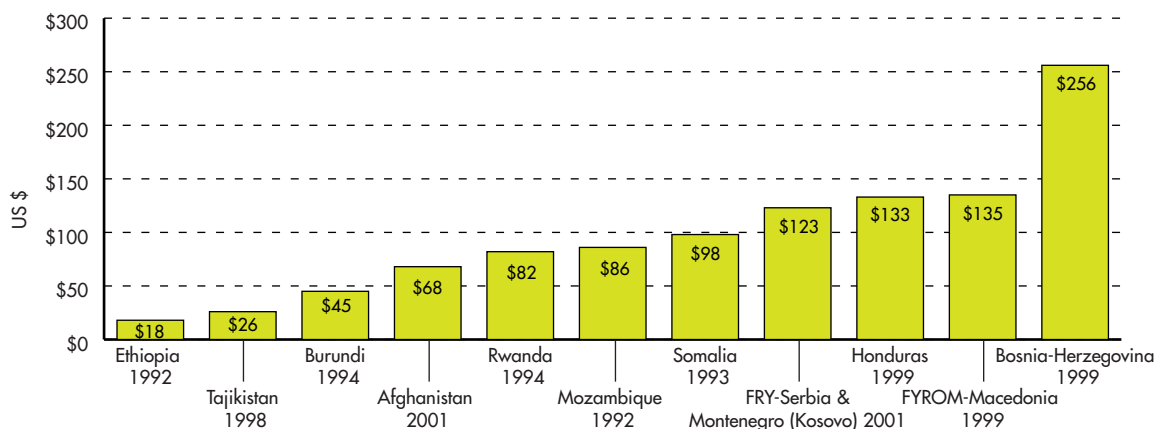
Source: OCHA FTS online data Complex Emergencies

Method 3: DAC data per head of total population

The countries shown in Figures 2.26 and 2.27 have suffered from 'widespread' emergency effects – disrupting and damaging large swathes of the population. In the peak years of a crisis aid spending as a whole is likely to be strongly geared to a broad humanitarian and reconstruction agenda, so another way of assessing response is to simply take total aid and divide it by total population.

The highest per capita aid recipients are again in south-eastern

Figure 2.26 Total ODA per head of population in selected crisis affected countries, year of highest spending



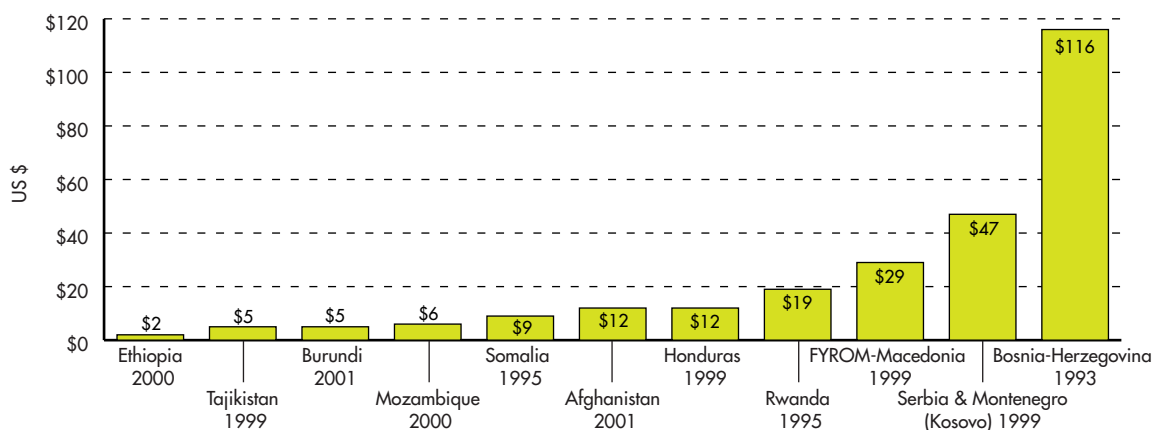
Source: OECD DAC Statistics Online Table2a and OECD DAC Reference Section Indicators

Click on graph to see data as HTML; click here to download Excel spreadsheet file

Europe. Bosnia-Herzegovina tops the list with spending of \$256 per person. Ethiopia is again at the bottom of the list with total aid of \$18 per person.

It is a similar pattern for bilateral humanitarian assistance – Bosnia tops the list with \$116 per person and Ethiopia is at the bottom with just \$2 per person in bilateral humanitarian assistance. It is worth noting that these figures are for the year of highest spending.

Figure 2.27 Bilateral humanitarian aid per head of population in crisis affected countries, year of highest spending



Source: OECD DAC Statistics Online Table2a and OECD DAC Reference Section Indicators

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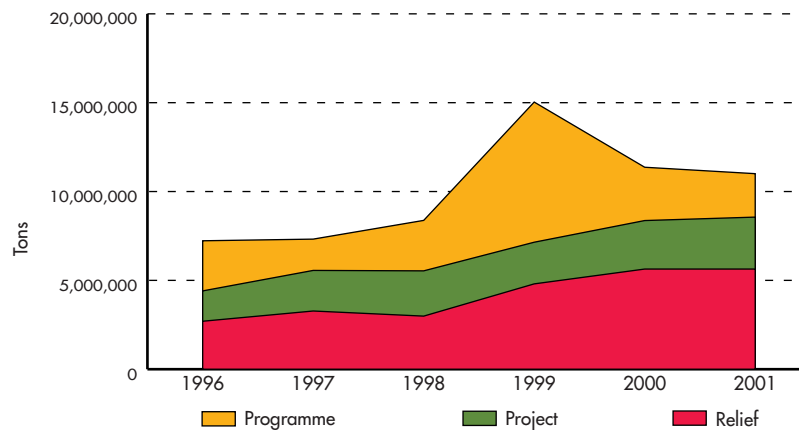
3.5 What sort of humanitarian need is being funded

3.5.1 How much humanitarian assistance is provided in-kind in the form of food?

Food aid can be seen in three parts:

- Programme food aid is provided bilaterally for balance of payments or budgetary support objectives through sale in developing countries, with funds being used either for general budgetary support or to finance specific development projects
- Project food aid is provided on a grant basis direct to targeted beneficiary groups to support specific poverty-alleviation and disaster-prevention activities
- Relief food aid

Figure 2.28 Total Food Aid Deliveries 1996–2001

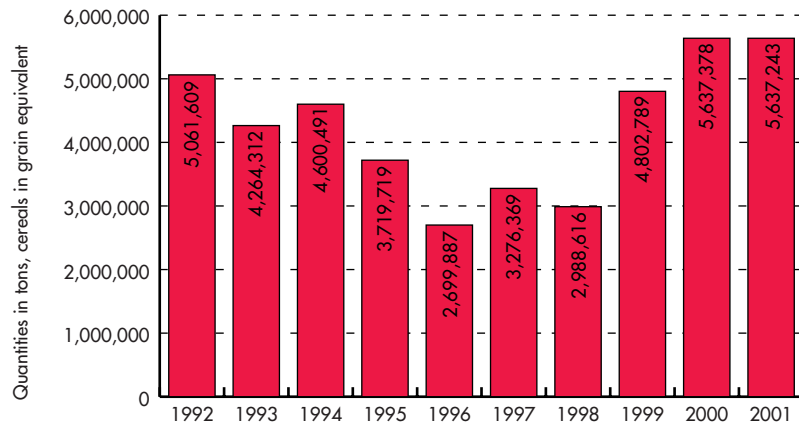


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Source: WFP INTERFAIS, December 2002

Since 1996 relief food aid has represented around half of total food aid, the tonnage of relief food having doubled from 2–3m tons in 1996/98 to 5.6m tons in 2001. Just under half of the contributions to Consolidated Appeals was food in 2001.

Figure 2.29 Total humanitarian food aid deliveries, 1992–2001



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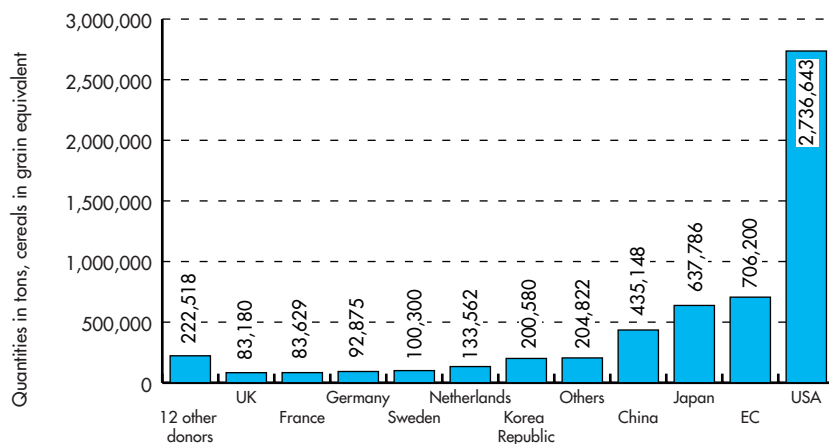
Source: WFP INTERFAIS, December 2002

3.5.2 Who are the main donors of emergency food aid?

The USA is by far the largest donor. It provided more than half of relief food aid in 1999, 2000 and 2001.

The European Commission (not including food aid provided as part of national actions) is the second largest donor, but the proportion of relief food aid provided by the EC has declined from roughly one fifth in the mid-1990s to only 12% in 2000 and 2001.

Figure 2.30 Humanitarian food aid deliveries by donor 2001



Source: WFP INTERFAIS, December 2002

Click on graph to see data as HTML; click here to download Excel spreadsheet file

Japan has become an increasingly significant donor; in 2001 providing almost as much relief food aid as the EC.

South Korea and China have emerged as significant donors, because of large donations of relief food aid to DPR Korea.

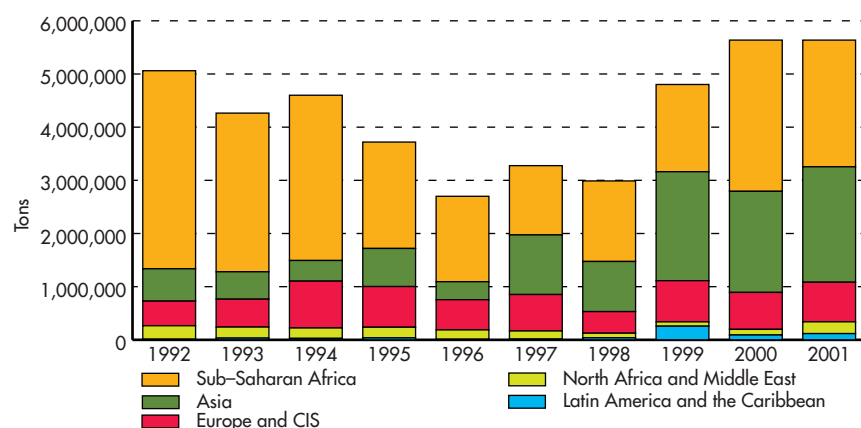
Netherlands, Germany, UK and Sweden have all been fairly consistent significant donors. However relief food aid from Germany has steadily declined, from almost 200,000 tons in 1996 to less than 100,000 tons in 2000 and 2001. Other large, although irregular, European donors of relief food aid have been France, Italy and Switzerland.

The period 1996–2001 has seen a decline in the role of both Australia and Canada – significant food exporters. Both countries provided between 60,000 to 100,000 tons of relief food aid in the years 1996–2000. In 2001 this fell to less than 40,000 tons from each country.

3.5.3 Who are the main recipients of relief food aid?

Relief food aid is characterised by a few massively large operations – such as in Ethiopia in most years, DPR Korea in 1997 onwards, Rwanda (including deliveries to the region affected by the Rwanda crisis) in 1996, Indonesia in 1998, Liberia in 1996 – and a very large number of relatively small operations.

In all but one year over the last decade, Sub-Saharan Africa has been the largest recipient region. It accounted for more than half of

Figure 2.31 Humanitarian food aid deliveries in tons by region 1992–2001

Source: WFP INTERFAIS, December 2002

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total relief food aid in 1996 and in 2000.

Asia is currently the second largest recipient region. It exceeded Sub-Saharan Africa in 1999 because of a combination of the on-going food crisis in DPR Korea and major floods in Bangladesh and China. During the first half of the 1990s, food aid to Europe frequently exceeded amounts to Asia.

Throughout the 1990s the amounts of food aid to Latin America and the Caribbean, and the Middle East and North Africa have been small.

The volume to Latin America and the Caribbean peaked in 1999 at around a quarter of a million tons after Hurricane Mitch.

The small amount of relief food aid provided to the North Africa and Middle East region has tended to fluctuate in accordance with the relations between Israel and the Palestinian territories.

Some countries, such as DPR Korea and Ethiopia, have been regular recipients of relief food aid for long periods. Others have received large amounts for relatively short periods: Indonesia, including East Timor, in 1998–2000, Bangladesh and China in 1999, Mozambique in 1996 and 2000.

3.5.4 In which sectors is humanitarian assistance spent?

The OCHA financial tracking system has been analysing contributions and requirements for CAPs by sector for the years 2000–2002. The data so far show the dominance of food in humanitarian assistance. In 2000 and 2002 food made up 52% of total contributions. In 2001 food was two-thirds of the total. The next highest discrete sectors were Health followed by Co-ordination and Support. Multi-sectoral allocations made up around a fifth of total contributions and requests – illustrating the difficulty of breaking down spending into specific sectors.

Food is also the only sector where more than half of the requirements has been met for the years 2000–2002. Forty percent of multi-

Box 2.4 The valuation of food aid

The primary source of information on global food aid flows is the WFP International Food Aid Information System – INTERFAIS. INTERFAIS collects data on the tonnages of food aid delivered to recipient countries. There is no easy method to translate the tonnage figures into dollar amounts, to enable a comparison of food aid flows with flows of other types of humanitarian assistance.

The value of food aid is made up of a number of different components, including:

- The value of the food commodities themselves
- The cost of sea freight (including insurance)
- The value of overland transport, including offloading, storage and transport inland to beneficiaries.

Very often these different costs cannot be separated out:

- Food aid provided on a Cost-Insurance-Freight (CIF) basis includes the cost of the food, insurance and freight (the cost of transporting the food to the delivery port).
- Food aid provided on a free-on-board (FOB) basis includes only the cost of the commodities; transport and insurance costs are additional.

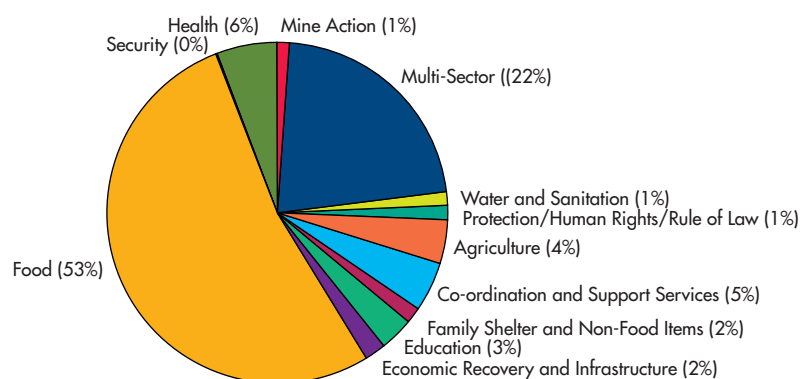
Donors report to the OECD on their provision of food aid in value terms. WFP also reports its operational expenditures in each recipient country in dollars. But the process of valuing food aid is fraught with difficulty, with agencies using different methods to determine the value of their food aid.

Even for something as basic as the cost of the food commodities themselves, there are different approaches. Food aid commodities can be valued at:

- the costs that the donor paid for them (but aid agencies are usually charged higher prices by national cereal boards or other sellers)
- the prevailing world market price for the same commodities
- the value of the commodities in the local markets of recipient countries (but many food aid commodities would not normally be available for sale in markets outside of the main urban centres of recipient countries).

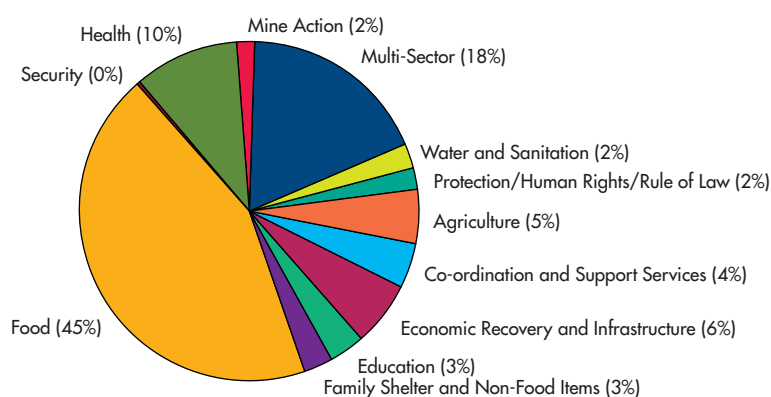
WFP's own audited accounts value commodity contributions in-kind in three different ways: 'at world market prices, at the Food Aid Convention (FAC) price or at the donor's invoice price, as applicable.'⁹

Because of the large number of discrete operations involved, large food aid donors, such as the United States, are currently unable to report accurately on the actual costs of each food aid operation (although Food for Peace of USAID is in the process of developing systems that should allow this in the future.) Thus in reporting on the value of US food aid activities, Food for Peace bases its reports on the overall value of the allocation made to Food for Peace for food aid operations, using a worldwide schematic formula to account for estimated transport costs. The formula consists of two general values, one for bulk commodities and one for non-bulk commodities, irrespective of the actual destinations or actual transport costs. Food for Peace claims that regular monitoring of the actual costs of selected operations has shown these values to be within 1% of actual costs. However the use of a single worldwide transport formula means Food for Peace is unable to accurately report on disbursements or deliveries by recipient country.

Figure 2.32 Sectoral allocation of contributions to the CAP 2002

Click on graph to see data as HTML; click here to download Excel spreadsheet file

Source: OECD DAC Statistics Online Tables 1

Figure 2.33 Sectoral allocation of CAP funding requests in 2002

Click on graph to see data as HTML; click here to download Excel spreadsheet file

Source: OECD DAC Statistics Online Tables 1

sectoral needs have been met. By contrast, less than a fifth of needs in economic recovery and infrastructure have been met; and less than a third of needs in the security sector.

This is partly a reporting issue. WFP is a regular and comprehensive reporter to the FTS, so all food contributions are likely to be included in the FTS, whereas not all non-food contributions are as comprehensively reported. This also helps to explain the changing share of food between requirements and contributions.

3.5.5 How much funding goes to natural disasters and how much to complex emergencies?

The FTS monitors contributions to countries that are the subject of a Consolidated Appeal and contributions to natural disasters. Its data shows that \$420m was contributed to natural disasters in 2000, \$332m in 2001 and \$238m in 2002. This amounts to 27%, 18% and 9% of

the total funding recorded through the FTS in those years.

Does this capture all of the natural disaster funding? The DAC does not distinguish between natural disasters and complex emergencies in its data. However it is possible to separate recipient countries into three groups:

1. Countries that are the subject of a CAP appeal and thus affected by a complex emergency
2. Countries that are affected by a natural disaster – as defined by inclusion in the database maintained by the Centre for Research on the Epidemiology of Disasters (CRED)
3. Countries that are both affected by a natural disaster and a complex emergency
 - 28% of DAC bilateral humanitarian aid went to countries that were affected by a complex emergency in 2001 (i.e. the subject of a CAP appeal)
 - A third (33%) of DAC bilateral humanitarian aid in 2001 went to countries affected by natural disasters (ie, listed on the CRED Natural Disasters Database, and not the subject of a CAP appeal).
 - 35% went to countries affected by both natural disaster and complex emergency (ie. on the CRED natural disasters database and subject to a CAP appeal)

The CRED disasters database lists over 90 developing countries. Countries where more than a million people were affected by a natural disaster in 2001 received 19% of DAC bilateral humanitarian aid.

4 Who spends humanitarian assistance?

4.1 How much humanitarian assistance is controlled and spent by bilateral donors, UN agencies, International Organisations and the EC?

DAC donors classify humanitarian aid into two channels:

Bilateral humanitarian aid is controlled by donor countries and spent at their own discretion. This may include staff, supplies, equipment, funding to recipient governments and funding to NGOs. It also includes assistance channelled as earmarked funding through international and UN organisations.

Over the past ten years, bilateral humanitarian aid has represented just under two thirds, (63%) of total humanitarian aid.

Multilateral humanitarian aid is funding given to UN agencies, International Organisations or the EC to spend entirely at their own discretion within their mandate. It cannot be earmarked in any way.

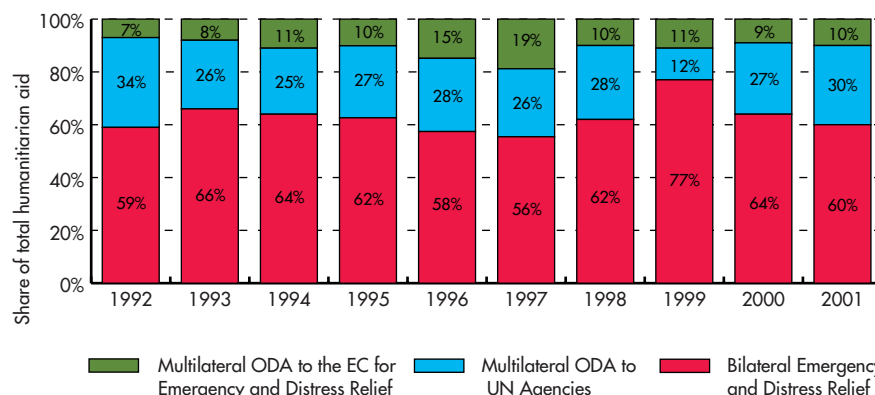
Multilateral (unearmarked) humanitarian aid to the three UN

agencies UNHCR, WFP and UNRWA has averaged a quarter of the total (26%).

Multilateral (unearmarked) humanitarian aid to the EC has averaged 11%.

4.1.1 The relationship between multilateral and bilateral spending

Figure 2.34 Bilateral, UN and EC multilateral shares of humanitarian aid 1992–2001

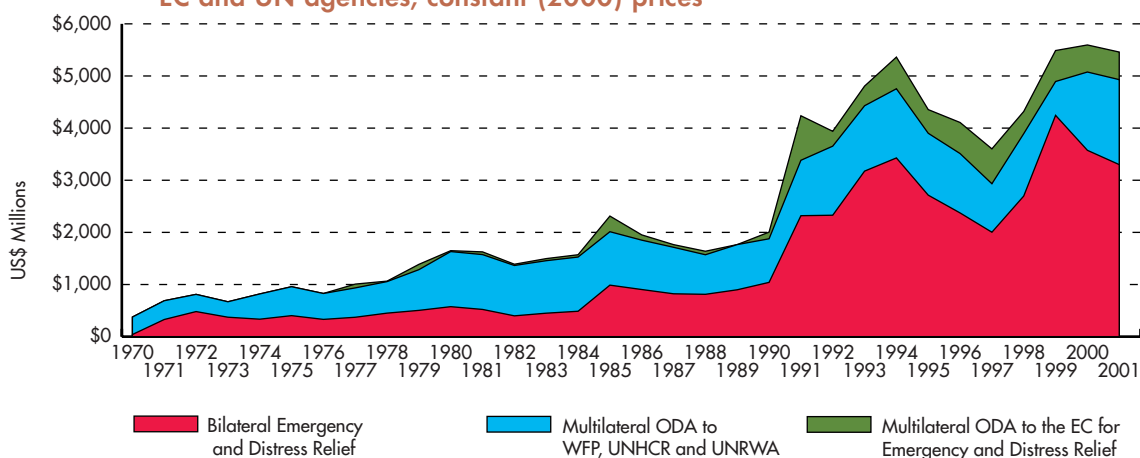


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Source: OECD DAC Statistics Online Tables 1 and 2a

In the late 1980s the DAC reported that between 40% and 50% of humanitarian aid was in the form of multilateral (i.e. unearmarked)

Figure 2.35 Volume of humanitarian aid spent bilaterally and as multilateral allocations to the EC and UN agencies, constant (2000) prices



Click on graph to see data as HTML; click here to download Excel spreadsheet file

Source: OECD DAC Statistics Online Tables 1 and 2a

funding to UN agencies. From 1993 to 1998 multilateral funding to UN agencies was between 25% and 28% of the total.

In 1999, massive allocations from both the EC¹⁰ and bilateral donors to south-east Europe (27% of humanitarian assistance) reduced the share of unearmarked (multilateral) humanitarian aid through UN

agencies to an all time low of 12%.

Since 1999, multilateral (unearmarked) humanitarian assistance to UN agencies has increased. UN agencies controlled 27% of humanitarian aid in 2000 and 30% in 2001 – the highest share for ten years. These figures have to be taken with a pinch of salt: it appears that DAC data overstate the share of UN agency resources that is unearmarked (see section 4.1.3 for more on this).

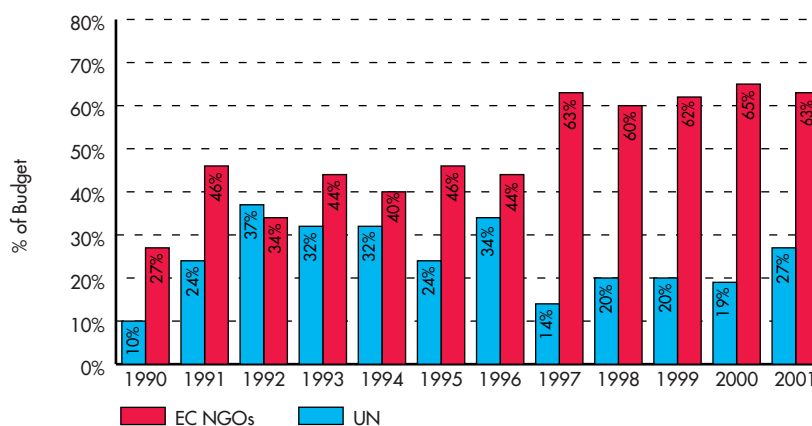
4.1.2 Changes in the way humanitarian assistance is mobilised have changed the multilateral/bilateral balance

The Consolidated Appeal Process and the increasing emphasis on special appeals to raise humanitarian assistance resources have, by definition, resulted in an increase in resources earmarked to specific countries or needs. This in turn has resulted in an increase in the share of bilateral (ie earmarked) humanitarian aid reported to the DAC.

ECHO has emerged as a substantial new channel for humanitarian assistance since 1990. Between 1991 and 1997 ECHO channelled around 30% of its resources through the UN and well over 40% through NGOs. Over the 4 years 1998 to 2001, the proportions have changed, with just over a fifth going through the UN and approaching two thirds through NGOs.

4.1.3 Reporting mechanisms appear to exaggerate the share of

Figure 2.36 Shares of ECHO budget channelled through EC NGOs and UN agencies



Click on graph to see data as HTML; click here to download Excel spreadsheet file

Source: ECHO Budget

multilateral (unearmarked) humanitarian aid to the UN

DAC figures use the agreed definition of ‘multilateral ODA’, which means that only ODA which is completely unearmarked can be classified as multilateral. Other spending which goes through multilateral agencies but which is earmarked for a specific activity, country or even a region, is reported as bilateral ODA.

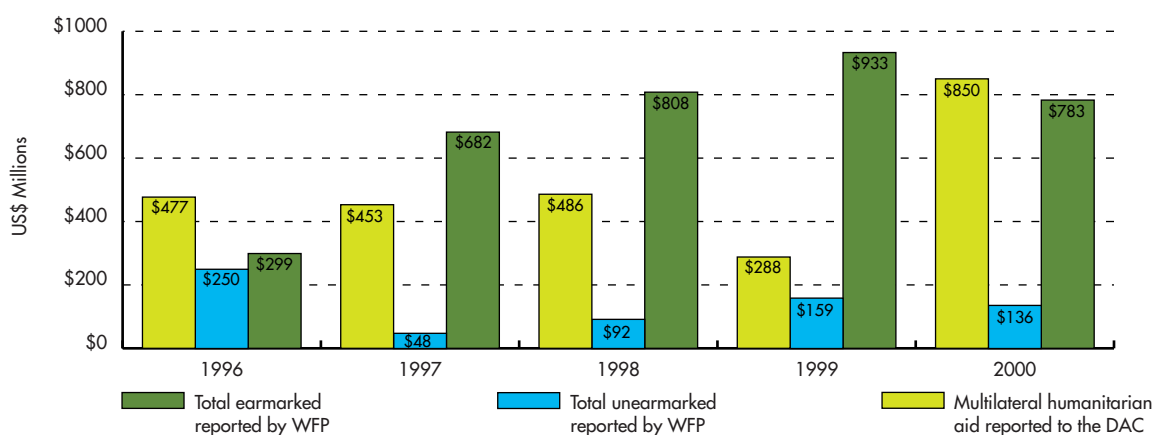
Most people struggle with this definition. In domestic reports donors refer to ‘multilateral’ as being all funding to multilateral agencies – not only the unearmarked funds.

It seems clear that donors are reporting a much larger share of their aid to UN agencies as unearmarked (and thus in the multilateral category) than is in fact the case.¹¹ Reports from WFP and UNHCR show significantly less unearmarked funding than the figures from the DAC would suggest.

- In 2000 for instance, the DAC reported \$800m of multilateral (un-earmarked) ODA to WFP. WFP reported only \$136m of unearmarked income
- Similarly for UNCHR, the DAC reported \$573m of multilateral ODA, but UNHCR reported only \$182m as unearmarked for 2001.

Why does this matter? A critical issue is the scope of the multilateral

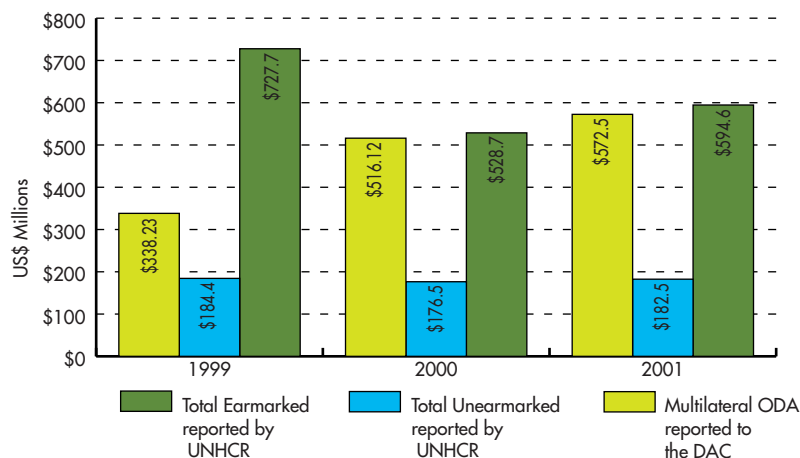
Figure 2.37 Earmarked and unearmarked funds to WFP in \$m current prices



Click on graph to see data as HTML; click here to download Excel spreadsheet file

Source: Expenditure data from WFP, 2001; OECD DAC Statistics Online Table 2a

Figure 2.38 Earmarked and unearmarked funds to UNHCR in \$m current prices



Click on graph to see data as HTML; click here to download Excel spreadsheet file

Source: UNHCR Global Report, 1999, 2000 and 2001; OECD DAC Statistics Online Table 2a

system to go to the unpopular or politically difficult places – to iron out the peaks and troughs created by donor priorities and funding patterns. The capacity of the International Organisations to do this is affected by the availability of unearmarked funds.

Current DAC data make it appear that unearmarked funds are as much as six times higher than the true figure. While checks on aid aggregates ensure that total aid is not overcounted, these data give an inflated impression of the proportion of aid that multilateral agencies can allocate at their own discretion.

4.2 Trends in spending through the UN and International Organisations

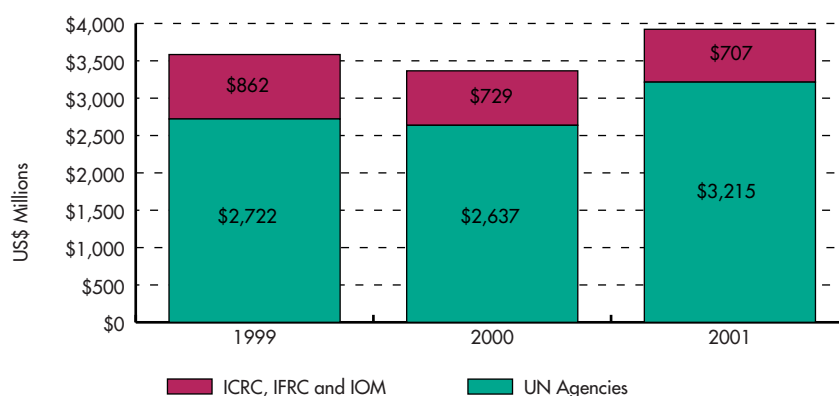
4.2.1 How much humanitarian assistance do UN and International Organisations spend?

Most UN agencies undertake some humanitarian activities. As well as UNHCR, WFP, OCHA and UNRWA – whose mandate is wholly or predominantly humanitarian – UNICEF, WHO, FAO, UNDP and UNFPA include humanitarian response in their work. In addition there are the International Organisations – the two Red Cross organisations, the International Committee of the Red Cross (ICRC) and the International Federation of Red Cross and Red Crescent Societies (IFRC) – and the International Organisation for Migration (IOM).¹²

In 2001, the UN and International Organisations reported that they spent just under \$4b on humanitarian assistance. Of this, \$3.2b was spent by UN agencies and \$707m by the ICRC, IFRC and IOM.

Over two thirds of UN humanitarian assistance is spent by three agencies: WFP (37%), UNHCR (21%) and UNRWA (11%). The amounts from other agencies however are more than many bilateral donors: UNICEF spends over \$200 m; OCHA over \$80m; FAO (including the Iraq special programme funded from oil-for-food) \$292m.

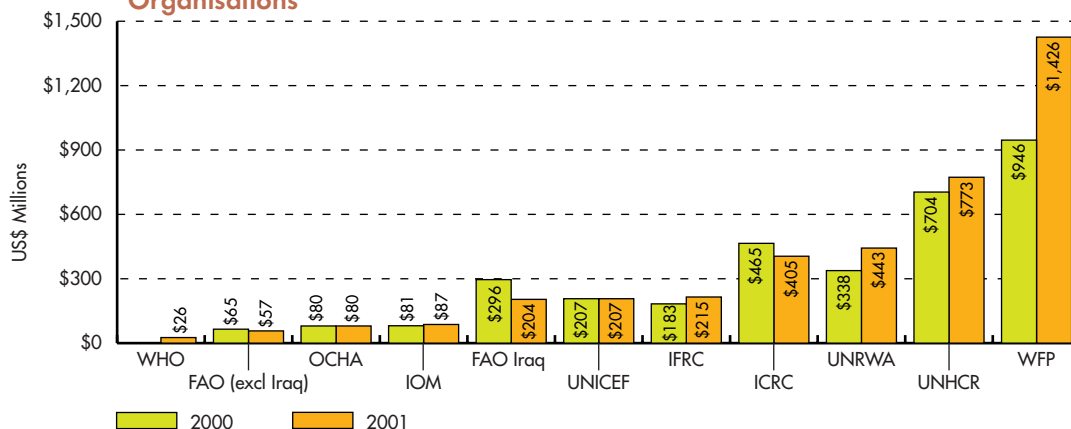
Figure 2.39 Humanitarian assistance from UN agencies, ICRC, IFRC and IOM



Click on graph to see data as HTML; click here to download Excel spreadsheet file

Source: See sources for Figure 2.41

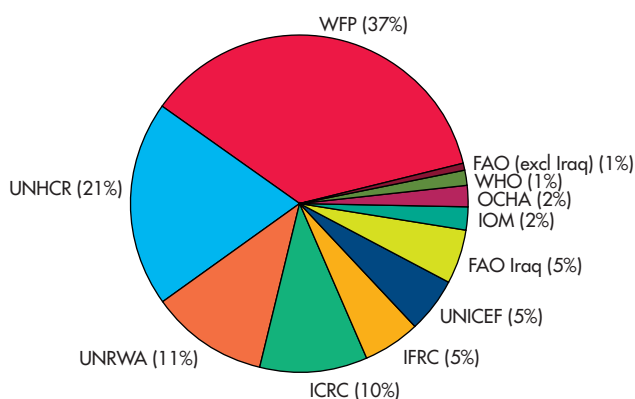
Figure 2.40 Total reported humanitarian assistance from UN agencies and International Organisations



Click on graph to see data as HTML; click here to download Excel spreadsheet file

Source: See sources for Figure 2.41

Figure 2.41 Humanitarian assistance from UN and Red Cross agencies 2001



Sources: IOM Financial Reports, years ended 1996–2001; IOM Emergency and Post Conflict Response, 1990–2001, MC/INF/249 (10 May 2002); FAO 2003, direct; ICRC Annual Reports 1996–2001; IFRC 2003, direct; OCHA Financial Report for Bienniums 1998–99 and 2000–01; UNHCR Global Report 1999, 2000 and 2001; UNICEF Financial Report and Audited Financial Statements for the Bienniums ended 31 December 1997, 1999 and 2001. Schedule 1 and Statement VI-3: Statement of Approved Programmes, Expenditures and Unspent Balances for Emergency Relief and rehabilitation.; UNRWA Report of the Commissioner General of the NRWA for Palestine Refugees in the Near East, 1997–8, 1998–99, 1999–2000, 2000–01, 2001–02. Pledges to UNRWA’s Emergency Appeals 2003; WFP Annual Report 2000 and 2001; WFP Expenditure data; WHO 2003, direct

Click on graph to see data as HTML; click here to download Excel spreadsheet file

4.2.2 Where is UN and International Organisation funding spent?

Africa is the single most important region for UN and International Organisations: 43% of total humanitarian expenditure (from these agencies) was allocated to Africa in 2001. The dominance of Africa is particularly evident for the larger agencies: WFP, UNHCR, ICRC and UNICEF.

4.2.3 Who are the main funders of UN and International Organisations?

UN Assessed Contributions comprise less than 1% of the humanitarian assistance funding through UN agencies and International Organisations.

Voluntary contributions are heavily concentrated with the top five donors accounting for between half (IFRC) to over 80% (WFP) of humanitarian expenditure. Six countries plus the EC dominate the

Table 2.4 Regional allocations of selected UN and International Organisation humanitarian expenditure 2001

Volumes of UN and International Organisation spending in US\$ millions						
	Africa	Middle East	Americas	Asia and Oceania	Europe	Global
ICRC	167	32	26	82	100	
IFRC	50	13	17	52	59	24
IOM	29		25	36	76	1
UNHCR	249	16	22	87	155	99
UNICEF	139	58	12	96	106	
WFP	768	42	19	476	152	
WHO	4		1	10	6	
TOTALS	1405	160	122	838	654	123
Share of UN and International Organisation spending by region						
ICRC	41%	8%	6%	20%	25%	0%
IFRC	23%	6%	8%	24%	27%	11%
IOM	17%	0%	15%	21%	46%	0%
UNHCR	40%	3%	4%	14%	25%	16%
UNICEF	34%	14%	3%	23%	26%	0%
WFP	53%	3%	1%	33%	10%	0%
WHO	19%	0%	3%	50%	29%	0%
TOTALS	43%	5%	4%	25%	20%	4%

Data source is the original data from the agencies themselves

funding scene: USA, Japan, Netherlands, UK, Sweden and Norway.

- The USA figures in the top five for all agencies except FAO.
- Japan is the second largest donor to WFP and UNHCR and in the top five for IFRC
- The EC is the second largest donor to UNRWA, third largest to UNHCR and WFP and in the top five for ICRC
- UK is the largest donor to IFRC and OCHA and the second largest to ICRC.
- Voluntary organisations and national societies are the largest source of income for UNICEF – providing almost double the amount of the USA. They are the second largest source for IOM and in the top five for ICRC.
- The Netherlands is one of the top five donors to eight agencies: FAO, ICRC, IFRC, OCHA, UNHCR, UNICEF, UNRWA and WFP.
- Sweden is one of the top five donors to six agencies: FAO, IFRC, OCHA, UNHCR, UNICEF and UNRWA

Table 2.5 Sources of humanitarian funding for UN agencies and International Organisations \$million

2001	IOM	FAO	ICRC	IFRC	OCHA (biennium)	UNHCR	UNICEF (biennium)	UNRWA	WFP	All agencies combined
UN Assessed Contribution	7		0		18					25
Top 5 donors	138	226	264	103	99	502	285	253	755	2625
Remaining donors	72	35	124	113	42	276	112	101	164	1038
Total Income	217	261	389	216	160	777	397	355	919	3688
Share of top 5 donors	64%	87%	68%	48%	62%	65%	72%	71%	82%	71%
Share of UN Assessed Contribution	3%	0%	0%	0%	12%	0%	0%	0%	0%	1%
Top five donors to each agency										
Canada	9									9
Italy	9	5								14
Australia	16								19	35
Norway		4		19	13	38				73
Sweden		5		21	18	42	27	19		130
NGOS/national societies	40		20				123			183
United Kingdom			62	31	27		40	28		187
Netherlands		8	32		19	58	36	22	29	204
Iraq Special Programme		204								204
Japan				14		91			99	204
EC			26			66		52	76	221
USA	64		124	19	23	245	60	89	532	1156

Source: UN Agencies and International organisations own data

- Norway is one of the top five donors to four agencies: FAO, IFRC, UNHCR and OCHA.

4.3 Trends in spending through NGOs

Some of the world's largest NGOs:

- have incomes larger than total ODA from some DAC donors
- are active in more countries than many bilateral donors
- are at least as influential as many OECD development ministries in their abilities to command public and political attention.

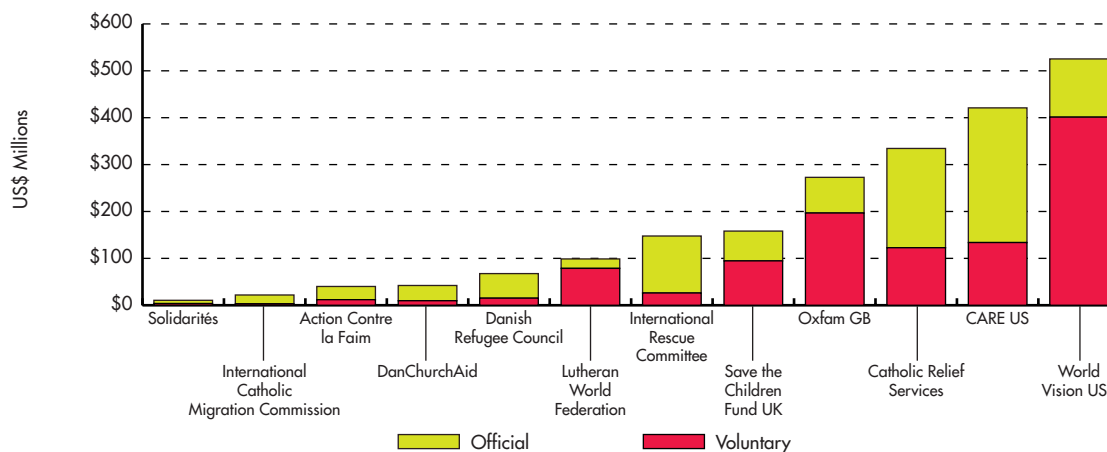
It has long been clear that NGOs play a critical role in humanitarian assistance – both in delivery and in raising public awareness and support. What has not been clear, is the extent to which NGOs are delivering official humanitarian assistance, or the volume of additional funds that they raise. The sheer number and diversity of NGOs, and the absence of any equivalent of the DAC to promote consistent monitoring, makes producing aggregate figures problematic.

For this study, a sample of 18 NGOs with substantial humanitarian programmes was drawn from the United States and European countries.¹³ These NGOs are amongst the largest in the world. Together their annual income amounts to around \$2.8b, more than one third of the \$7.6b in gross outflows from NGOs recorded by the DAC in 2001.¹⁴

Half of the income of the sample NGOs – \$1.4b – is estimated to be for humanitarian purposes.

There are big variations in the proportion of income that NGOs derive from official sources and voluntary fundraising. Some NGOs receive the overwhelming share of their income from official agencies. Action Contre la Faim France received 70% of its income from official

Figure 2.42 Voluntary and official income to selected NGOs in 2001 \$thousands



Click on graph to see data as HTML; click here to download Excel spreadsheet file

Source: See sources for Figure 43

sources and over 85% of the funding for the International Catholic Migration Commission is from governments and UN agencies. At the other end of the spectrum are NGOs that raise more than three-quarters of their income from the public. World Vision USA for instance received only 23% of its income from government in 2001, Oxfam GB 28% and the Lutheran World Federation just 20%.

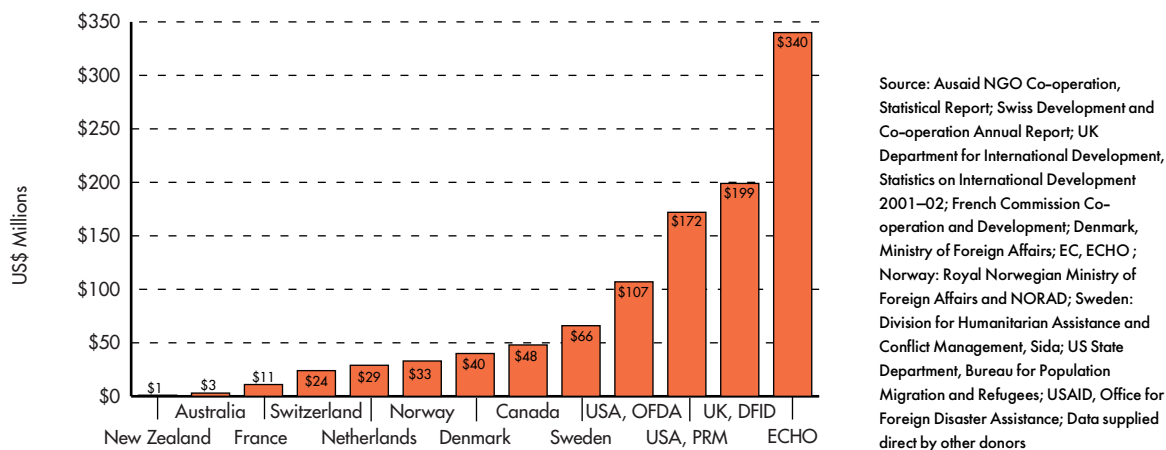
Overall, approximately half of the total income of the sample NGOs comes from official sources (governments and multilateral agencies) and half from their own voluntary fundraising.

4.3.1 How much official humanitarian assistance is spent through NGOs?

Data from twelve official donors shows bilateral humanitarian assistance spending in the form of direct grants and contracts to NGOs worth over \$1b in 2001.

In addition, UN agencies fund NGOs to deliver their humanitarian

Figure 2.43 Official humanitarian assistance spent through NGOs in 2001



Click on graph to see data as HTML; click here to download Excel spreadsheet file

assistance. In 2000 for instance, UNHCR spent \$311m of its \$706m income through NGOs.¹⁵

Since the twelve bilaterals above exclude some major donors such as Japan, Germany and the Netherlands, it is clear that well over \$1.5b in official humanitarian assistance is channelled through NGOs.

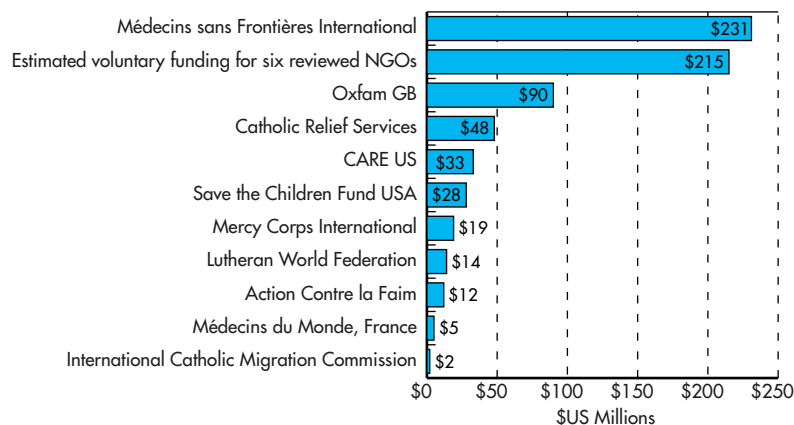
4.3.2 How much voluntary income do NGOs raise for humanitarian assistance?

In the absence of consistent data from NGOs themselves on income and expenditure for emergencies, it is necessary to collate information from a range of different sources in order to estimate the importance of voluntary contributions to humanitarian assistance. (See section 4.3.3 for more discussion on this.)

Total voluntary income for humanitarian assistance raised by twelve

of the major NGOs surveyed was \$492m in 2001. These twelve NGOs all report both their voluntary income and the share of their operational expenditure on humanitarian work. Estimated total voluntary funding for humanitarian assistance from all 18 NGOs in the sample is \$697m, based on the average share of humanitarian expenditure in total expenditure.

Figure 2.44 Estimated voluntary contributions to NGOs for Humanitarian Assistance in 2001



Click on graph to see data as HTML; click here to download Excel spreadsheet file

Sources: Annual reports and accounts for the NGOs named above plus Solidarités, Save the Children Fund UK, Danchurch Aid, Danish Refugee Council, International Rescue Committee, World Vision International.

Looking at the confirmed voluntary humanitarian income of these NGOs and taking into account their share of overall NGO flows reported by the DAC, a conservative estimate would mean total voluntary humanitarian assistance raised by NGOs annually of at least \$1b – and perhaps \$1.5b.

Box 2.5 The role of NGOs in humanitarian assistance

Humanitarian response is institutionally important to many NGOs. Several of today's best known NGOs grew out of war: Plan International out of the Spanish Civil War, Oxfam and Care from the Second World War, World Vision from the Korean War and MSF from the conflict in Biafra.¹⁶

Opinion polls show conclusively that support for aid is strongest around short-term humanitarian issues. Public response to humanitarian crisis has a major effect on NGO overall income. Over 1998/99 for instance, Oxfam's Annual Report notes, 'the tragic irony that dreadful wars and natural disasters have lead to Oxfam announcing a record fundraising year' with major emergencies in South Sudan, Bangladesh, Central America and Kosovo.

Where NGO funds are boosted by humanitarian crisis, there tends to be a 'ratchet' effect. Although crisis contributions may subside after a major disaster, NGO incomes tend to settle back to a level significantly higher than they were before the crisis. Public interest in a crisis can also be translated into sustained commitment to poverty and justice. Thus, the evidence suggests that humanitarian appeals underpin wider support for development co-operation.¹⁷

4.3.3 Measuring the humanitarian assistance raised and managed by NGOs

As noted above, the very large number of NGOs involved in humanitarian assistance and the absence of any body collating data as the DAC does for OECD donors, make it difficult to present a detailed picture of NGO activity on both development and relief. There are even problems in tracking the money NGOs receive from official sources.

Counting official funding for NGOs

NGOs often receive money from several different sections of government ministries and agencies. NGO funding from official donors also comes in different forms. NGOs may receive project grants (either 100% grants or co-financed with their own funds), programme support for their overall work, or they may be under contract to deliver services. Data on official flows often fails to capture contracted expenditure through NGOs, as well as in-kind contributions and funding from non-aid ministries.

When donors report to the DAC, they are not able, under DAC directives, to count a disbursement as both an NGO grant and also as emergency and distress relief. As a result, some donors may include their humanitarian grants to NGOs as ‘emergency and distress relief’; others may include them in ‘contributions to NGOs’.

Funding from the public

Very few countries produce any statistics on how much cash is raised from the public by the international development NGO sector.

Although it is possible to approach individual NGOs to obtain data on income from voluntary and official sources, very few NGOs record how the income from each of these source is allocated between relief and development. A minority of NGOs, such as Action Contre La Faim, only undertake humanitarian work, so all their voluntary income will be for humanitarian assistance. But for NGOs such as Oxfam with a mission that covers both humanitarian and development work, it is often impossible to say for certain how much voluntary income has been raised and spent on the humanitarian part of their agenda.

To overcome these problems and produce a reasonably reliable estimate of voluntary funding for humanitarian assistance, the following methodology has been adopted:

Using data for 2001, the following figures have been added:

Total voluntary income for humanitarian-only NGOs (ACF, MSF,
Médécins du Monde France)
Plus

A share of voluntary income in proportion to the share of each NGO's total expenditure on humanitarian assistance for those NGOs for which data was available: (CARE-USA, CRS, ICMC, Mercy Corps International, Lutheran World Federation, Oxfam-GB, Save the Children Fund USA and World Vision International)

Plus

Voluntary income in proportion to the average share of expenditure on humanitarian assistance for the NGOs for which data was available: (IRC, SCF-UK, World Vision USA, ADRA, Danish Refugee Council, DanChurch Aid and Solidarités)

Applying the above formula to the NGOs surveyed, it is estimated that their voluntary income spent on humanitarian assistance amounts to \$697m.

Looking at the confirmed voluntary income of these NGOs and taking into account their share of overall NGO flows reported by the DAC, a conservative estimate would mean total voluntary humanitarian assistance raised by NGOs of at least \$1b and perhaps \$1.5b.

How much humanitarian assistance do NGOs manage?

Taking official and voluntary estimates together, it is likely that NGOs managed between \$2.5b and \$3b of global humanitarian assistance in 2001.

Notes

1. That is 0.023% of GNI measured in constant prices.
2. Humanitarian aid from the European Commission includes spending under ECHO and some other budget lines. See Chapter 4 for details.
3. DAC Members are: Australia, Austria, Belgium, Canada, Denmark, EC, Finland, France, Germany, Greece, Ireland, Italy, Japan, Luxembourg, Netherlands, New Zealand, Norway, Portugal, Spain, Sweden, Switzerland, UK, USA.
4. The FTS depends on voluntary reporting by donors and agencies. Variations from year to year can reflect the extent to reporting.
5. See Box 'Merging Foreign, Development, Humanitarian and Security Policies in The Netherlands' in Chapter 3.
6. See section 4.2, Trends in spending through UN agencies, for more detail on this.
7. The overwhelming majority of humanitarian assistance to Jordan is from UNRWA.
8. Israel was eligible to receive ODA until 1997.
9. WFP, Audited Biennial Accounts, 2000–2001.
10. The EC is both a recipient of multilateral humanitarian assistance and a donor.
11. There are also inconsistencies in DAC statistics between the inflows and outflows on UNHCR and WFP.
12. The World Bank and IMF define all their activity as development. Recovery, rehabilitation, post-conflict activities are not therefore classified by them as humanitarian.
13. These NGOs are Action Contre la Faim, France; Adventist Development

and Relief Agency International; CARE US; Catholic Relief Services; DanChurchAid; Danish Refugee Council; International Catholic Migration Commission; International Rescue Committee; Lutheran World Federation; Médecins du Monde, France; Mercy Corps International; MSF International; Oxfam GB; Save the Children Fund UK; Save the Children Fund USA; Solidarités; World Vision International; World Vision USA.

14. DAC figures on NGO flows are probably the best available – but it is thought that they significantly underestimate overall NGO activity. See Development Initiatives, ‘Global Development Assistance: The role of NGOs and other Charity Flows’, Background paper commissioned from DI by DFID for the Globalisation White Paper, June 2000.
15. Judith Randel & Tony German, Trends in the financing of humanitarian assistance, ODI HPG Report 11, April 2002.
16. Ian Smillie, ‘At Sea in a Sieve’, Introduction to Smillie, I, Helmich, H, German, T, and Randel, J., ‘Stakeholders: Government/ NGO Partnerships for International Development’. Earthscan, London 1999.
17. Development Initiatives, ‘Global Development Assistance: The role of NGOs and other Charity Flows’, Background paper commissioned from DI by DFID for the Globalisation White Paper, June 2000.

3

Defining humanitarian assistance flows

1 International definitions

The Geneva Conventions of 1949, four treaties signed by almost every nation around the world, set out the principles for saving lives and alleviating suffering during armed conflict. The Geneva Conventions call for humanitarian assistance to be carried out by impartial humanitarian organisations

In the mid 1980s humanitarian assistance was defined as ‘the provision of basic requirements which meet people’s needs for adequate water, sanitation, nutrition, food, shelter and health care’.¹

During discussion of the Oslo Guidelines in 1994, humanitarian assistance was defined as ‘assistance that is willingly given, without requiring reciprocal financial or political gain, for the purpose of alleviating human suffering amongst those least able to withstand the stress and suffering caused by disaster. It encompasses both the provision of basic life supporting services and rehabilitation activities’.²

More recently, the Humanitarianism and War project has defined humanitarian assistance as encompassing ‘both the delivery of relief and other life-saving and life-supporting assistance and the protection of basic human rights’.³

But unlike the internationally accepted definition of ODA, which provides a common yardstick against which donors can measure their performance against the UN 0.7% target, there is no single encapsulation of humanitarian assistance which provides a common denominator.

This absence of a generally accepted definition of what constitutes ‘humanitarian assistance’ makes international comparison of donor policy and performance more difficult. But definitions also bring their own complications.

Only a small number of donor countries provide a definition of humanitarian assistance in legislation.⁴ Where there is a legal framework, the evidence suggests that this does little to make the management of humanitarian assistance easier – and may make managing transition more difficult. (See section on definitions, legislation, and procedures below).

2 Bilateral donor definitions

There is a marked distinction between donors’ definitions of humanitarian assistance for financial reporting purposes and their overall approaches to humanitarian situations, which inevitably reflect the domestic pressures and constraints faced by every donor agency. How humanitarian assistance is managed in practice reflects a range of

Box 3.1 International monitoring systems on humanitarian assistance

There are three main international sources of information about humanitarian assistance flows: the Development Assistance Committee (DAC) of the OECD, the Financial Tracking System (FTS) of OCHA and INTERFAIS, the WFP Global Food Aid Information System INTERFAIS.

The DAC has official responsibility for monitoring aid flows to developing and transitional countries. Reporting is mandatory under the OECD Convention of 1960 for DAC members, so DAC statistics provide consistent data based on agreed definitions for all DAC members plus a few other donors. Data has been collected since 1960. All recipient countries are covered.

The DAC uses a relatively narrow definition of humanitarian assistance as 'emergency and distress relief'. There are features of the DAC system that do not fit easily with other, particularly UN, definitions of humanitarian assistance, such as the inclusion of spending on domestic refugees and the DAC definition of multilateral assistance which only includes completely unearmarked funding to multilateral agencies. The DAC also reports roughly 12 months after the end of the calendar year covered.

The FTS monitors requests and contributions to Consolidated Appeals and natural disasters from all donors. It can therefore relate an assessment of need to the funds available.

It has broader scope in terms of definition and can include contributions from all donors, both governmental and private. Reporting is not mandatory so it is dependent on the information contributed voluntarily by donors and validated by agencies.

FTS records only humanitarian assistance to countries which have been the subject of a Consolidated Appeal or when donors report contributions to natural disasters. It does not therefore capture as much humanitarian assistance as the DAC. However, information is updated daily and available online as updates are made.

WFP's INTERFAIS monitors all global food aid deliveries and is the only inter-agency source of data on food aid. Data are obtained from a range of food aid actors, including donor governments, International Organisations, inter-governmental and non-governmental organisations, recipient countries and WFP country offices. Currently all INTERFAIS reports are in quantitative terms, which makes comparison between food and non-food aid difficult. All data entered into INTERFAIS are cross-checked by staff in WFP headquarters, but inevitably the quality of the data depends on the conscientiousness of each actor, working independently (and with little real incentive) to provide the initial inputs.

considerations, including national legislation, government policy, departmental division of responsibility, precedent and 'usual practice'.

2.1 Broader policy approach to humanitarian assistance

The humanitarian community has broadened its approach to humanitarian situations – integrating humanitarian, development and security concerns.

Donor policies now tend to describe humanitarian assistance as an integral aspect of foreign policy in the post cold war, post September 11 world. The Netherlands provides a good illustration of this more integrated approach to foreign and development (including humanitarian)

Table 3.1

	UN OCHA Financial Tracking System (FTS)	OECD Development Assistance Committee (DAC) Statistics	WFP International Food Aid System (INTERFAIS)
When was the data first collected?	1992 after UN General Assembly Resolution 46/182 established the Consolidated Appeals Process.	1965 when Emergency and Distress Relief was introduced as a sector in DAC analysis of bilateral ODA. <ul style="list-style-type: none"> In 1982 ODA to refugees was introduced as an item on the DAC questionnaire and aid to refugees in the donor country was allowed as ODA In 1992 ODA to refugees in the donor country was separately accounted for. In 1995 Relief food was disaggregated from total food aid and introduced as a subsector 	Data first collected in 1984/5 for 42 African countries affected by food emergency. In the late 1980s, at the request of WFP main donors, WFP Governing Body expanded the system to achieve worldwide coverage. This became operational in 1990. Data are available from 1988.
What is included in the Humanitarian Assistance reported?	<p>Spending is included if it is allocated to a situation classified as a natural disaster or a complex emergency for which a UN Consolidated Inter Agency Appeal has been issued. Situations classified as complex emergencies are defined by:</p> <ul style="list-style-type: none"> The need for an international response beyond the mandate or capacity of any single agency Extensive violence and loss of life Massive displacement of people Widespread damage to societies and economies The need for large scale, multifaceted humanitarian assistance Political and military constraints Security risks for humanitarian workers <p>Situations classified as Natural Disasters are defined by</p> <ul style="list-style-type: none"> A serious disruption of the functioning of society Widespread human, material or environmental losses The need for a response which exceeds the ability of the affected society to cope from its own resources 	<p>ODA counted under this category is for:</p> <ul style="list-style-type: none"> an urgent situation created by an abnormal event where needs cannot be met by domestic government resources resulting in human suffering and/or loss of crops or livestock. <p>These can be i) sudden natural or man-made disasters, including wars or severe civil unrest; or ii) food scarcity conditions arising from crop failure owing to drought, pests and diseases. Disaster preparedness is included.</p> <p>Aid for refugees in developing countries includes assistance to Internally Displaced People.</p> <p>Aid for refugees in the donor country includes transport to the country and sustenance (food, shelter and training) during the first twelve months of their stay. Costs of integration of refugees into the economy of any developed country are excluded.</p>	<p>Emergency food aid is defined as food aid for the victims of natural and man-made disasters. It is usually freely distributed to targeted beneficiary groups and provided on a grant basis.</p> <p>It is channelled multilaterally, through NGOs or, occasionally, bilaterally. Freely distributed food aid includes food aid to refugees and displaced persons.</p>

Table 3.1 (continued)

	UN OCHA Financial Tracking System (FTS)	OECD Development Assistance Committee (DAC) Statistics	WFP International Food Aid System (INTERFAIS)
Who supplies the data & in what format?	<p>Data is supplied on a voluntary basis by donors using a standard form called the 'the 14 Point Format'.</p> <p>Donors can choose what they report to the FTS. Multilateral agencies voluntarily report on assistance received.</p> <p>Data can be recorded 'inside' or 'outside' the appeal; in other words allocated to an agency and project/sector specified as part of the consolidated appeal or allocated to the country/situation but to agencies or projects/sectors which are not included in the CAP.</p> <p>Contributions from any source can be recorded: governmental, non-governmental, development banks and private.</p> <p>All DAC donors report contributions to the FTS and have done so since 1994.</p> <p>In 2002, 20 country donors were reporting in addition to DAC members. Of these, six are developing countries.</p>	<p>Reporting is mandatory for DAC members under Article 3 of the OECD Convention of 1960.</p> <p>Data is supplied by all DAC members⁵ to the format of the DAC Reporting Directives.</p> <p>In 2000 and 2001, all DAC members plus Turkey, Korea and the Slovak Republic reported total spending on emergency and distress relief. Most donors started reporting in 1971-72. France did not start reporting until 1992 and Denmark until 1990.</p> <p>Most donors have reported their relief food aid since 1995 or 1996. Sweden, Switzerland and the USA only started reporting in 1998 and France in 2000.</p> <p>Twelve donors reported aid to refugees in 1983. By 1993, 19 donors were reporting.</p> <p>Aid to refugees in the donor country was reported by five donors in 1992 (Austria, Denmark, Finland, Germany and the Netherlands). In 2000 and 2001, 16 donors reported. Those not reporting are Ireland, Japan, Luxembourg, New Zealand, Portugal and the UK.</p>	<p>Data is supplied by donor governments, International Organisations, NGOs, shipping agents, recipient countries and WFP country offices.</p> <p>WFP has a number of information exchange agreements with these actors. In addition, the INTERFAIS headquarters team proactively collects information, which is then reconciled by a small team in WFP's Rome headquarters.</p> <p>Information is only available</p> <ul style="list-style-type: none"> • on a tonnage basis • by shipment or delivery periods • in actual quantities or grain equivalents
What is the status of the data reported?	<p>For contributions INSIDE the appeal, data reported is disbursement data. Reports from the donors announcing committed funds are not included in the FTS system until they have been confirmed by the recipient agency.</p> <p>For contributions OUTSIDE the appeal, data is based on donors' reported commitments, which are not confirmed as received by agencies or NGOs.</p> <p>Contributions to Natural Disasters should be counted as commitments as they are not systematically confirmed as received by the agency or NGO.</p>	<p>Data reported is disbursement data. A disbursement is when resources are transferred to the recipient, either by payments for goods, transfers to a recipient account or where funds are available to be encashed unconditionally usually by multilateral agencies.</p>	<p>The data reported is the quantity of food aid actually procured/shipped/delivered for free distribution. Reports can classify data by shipping period (including June-July period or recipient countries' marketing years) or, more usually, by calendar year. Data can thus refer to quantities that have left the donor countries as well as to quantities that have actually been delivered in the recipient country. These quantities may have been decided upon, ordered, shipped or purchased during the previous reporting period.</p>

Table 3.1 (continued)

	UN OCHA Financial Tracking System (FTS)	OECD Development Assistance Committee (DAC) Statistics	WFP International Food Aid System (INTERFAIS)
What time periods does the data cover?	Data covers the period of the annual consolidated appeal. In practice, this is usually twelve months	All reporting is based on the calendar year.	The database is updated on a continuing basis. Reports can be generated on any period from 1988 to the present. However an annual report covering the deliveries during the preceding calendar year, is prepared each May
How often is data updated	The FTS is updated as new information is received and the financial tables are automatically updated daily. However most agencies report on a monthly basis. The accounts for the previous year are usually closed in March.	DAC data is compiled annually and new tables published in around December for the previous year (in other words, data for 2001 would be available in December 2002).	The database is updated on a continuing basis. Thus the data are continually changing, as new data are entered into the database. New entries often cover earlier years. Thus each run of the database gives different results.
How are cash and gifts in kind distinguished and accounted for?	Food and non-food are separately accounted for. Gifts in kind are noted.	Relief Food Aid is a subset of Emergency and Distress relief. For goods in kind, disbursement can be when goods are purchased, received or when ownership is transferred.	Food aid is currently entered on a quantitative basis only.
How are allocations to NGOs accounted for?	NGO projects can be included INSIDE the appeal, but in practice few are. Donor allocations to NGOs will be reported OUTSIDE the appeal if they have been included in the 14-point format.	Disbursements to NGOs for humanitarian assistance may be included in the bilateral emergency and distress relief. However, a disbursement can be either counted as an allocation to humanitarian assistance OR as support to national or international NGOs. It cannot be both.	Food aid supplied from the NGOs' own resources is included with the NGO shown as a donor in its own right. NGOs are also show as a channel, when they are used to distribute food aid provided by donors. In order to avoid double counting, food aid distributed by NGOs but channelled multilaterally is reported as multilateral.
How are allocations to UN agencies accounted for?	All donor contributions to UN agencies are by definition earmarked to a specific appeal. ⁶ UN agencies 'own contributions' may include unearmarked funding. The term 'multilateral' as used in the FTS simply means funding (earmarked or unearmarked) through multilateral agencies.	Only multilateral contributions to UN agencies are recorded on DAC statistics – that is contributions that are completely unearmarked. Earmarked contributions to UN agencies are included in bilateral ODA but are not disaggregated. The DAC system does not classify multilateral ODA by type of assistance. For agencies with a 'humanitarian only' mandate, DAC systems show their multilateral funding. For agencies with a dual mandate it is not possible to disaggregate the humanitarian element.	UN agencies are included as donors in their own right for food aid provided from the agency's own resources. Food aid channelled through UN agencies is recorded under the original donor, with the UN agency shown as the channel.

Sources: DAC Reporting Directives 23 May 2000; UN OCHA 'About Financing Tracking for Complex Emergencies' 2002. www.reliefweb.int, WFP Food Aid Monitor (www.wfp.org/interfaeis)

policy, which in the Dutch case, includes presenting a joint budget. (See box below ‘Merging foreign, development, humanitarian and security policies in the Netherlands’)

As complex emergencies have become a very visible part of humanitarian assistance, so donor approaches emphasise root causes, prevention, mitigation, reconstruction and transition. Distinctions between humanitarian and development action have become blurred. Development planning often builds humanitarian and security concerns into mainstream development co-operation activities. USAID Missions for example are now required to prepare a ‘Conflict Vulnerability Assessment’ into their planning. Humanitarian assistance is expected to take account of development priorities such as gender and participation.

- As far back as the mid nineties Sweden was investing in learning about ‘developmental relief’ and adapting its approaches accordingly. Aspects of Swedish policy underline the integration of relief and development. For example, Sida’s July 2000 ‘Guidelines for humanitarian assistance through NGOs’ state that because of time constraints, humanitarian assistance cannot be planned in detail well in advance. However ‘Although many of the projects are of a short-term nature, humanitarian assistance always has long-term effects . . . It is therefore the responsibility of donor organisations to ensure that their programmes of humanitarian assistance take long-term effects into consideration as far as possible. Humanitarian assistance shall promote development!’
- Denmark introduced the concept of ‘development-oriented emergency relief’ in 2000. This acknowledged the shift from humanitarian assistance involving short-term emergency operations focused on basic needs, to a more comprehensive approach. Development-oriented emergency relief covers humanitarian assistance intended to result in more than the mere survival of victims. ‘The help aims at strengthening the ability of the affected region to withstand fresh crises and at preventing crises from flaring up again. Development-oriented relief assistance is thus a departure from the normal distinction between emergency relief and development assistance. Moreover, it is generally recognised that the international community has a right to be able to provide relief to victims from the very earliest stage of an armed conflict right up to the stage where longer-term development assistance becomes possible.’⁷

The more complex and political nature of humanitarian assistance is illustrated by the explicit recognition in Swiss humanitarian policy of the need for advocacy. The Swiss approach sees prevention, emergency relief, reconstruction and advocacy as mutually reinforcing, complementary and coherent. The advocacy element goes beyond providing ‘passive protection’ through relief, to providing protection through testimony and bringing victims’ cause to the attention of relevant

authorities and presenting recommendations on behalf of victims. Linked to this advocacy is the active promotion of International Humanitarian Law, which is a key objective of Swiss humanitarian policy.

Box 3.2 Merging foreign, development, humanitarian and security policies in the Netherlands

Recent observations from Dutch Minister Agnes van Ardenne underline the merging of foreign, development, humanitarian and security policies.

The distinction between foreign policy and development co-operation is vanishing. It was never very useful to begin with. Aid, politics and diplomacy form a seamless whole, and we should not try to pick them apart.

Humanitarian aid is most efficient when accompanied by peacebuilding and rehabilitation activities. The Netherlands and a number of other donors have launched what we call 'humanitarian aid plus' as a first step in this direction. That involves not just assisting refugees, but also making sure that they can return home when the time comes. Giving them seeds and equipment in preference to food aid. In refugee camps, it means thinking about AIDS awareness, education and employment. Within the framework of emergency aid programmes, it enhances a society's inherent strengths.

Development is impossible without peace and stability. An investment in stability is an investment in progress. That is why the Netherlands now think we might consider paying part of the cost of peace operations from aid money. We have started a debate on this subject in the DAC in Paris. Of course, we will have to draw clear lines, so that we are not funding our defence ministries through the back door with aid money. But I do think that security policy should become an integral part of policy on poverty. I think we should have the courage to conduct a debate on the subject in all openness.

2.2 Bilateral institutional approaches to humanitarian assistance

The changing institutional arrangements that donors are making reflect to a considerable extent, the changing definitions of humanitarian activity – and especially donor efforts to cope with perceived gaps between development and humanitarian mandates.

In the United States, following the 1998 Foreign Affairs Reform and Restructuring Act which brought USAID under the overall direction of the Secretary of State, an Interagency Review of US Government Civilian Humanitarian and Transition Programs was established. Its brief was to make recommendations that would increase the effectiveness of humanitarian and transitional assistance. The review noted:

'As our global humanitarian interests have become more complex and vital to our foreign policy, the need has grown to have a unified and coherent humanitarian leadership . . . At present neither BHR's (USAID's Bureau for Humanitarian Response⁸) natural disaster competencies and primarily bilateral response nor PRM's (Bureau for Population, Refugees and Migration in the State Department) multilateral emphasis and refugee response provide a basis for a comprehensive approach.'

Although State and USAID retain their separate humanitarian remits,

within USAID it is possible to trace the organisational developments that reflect the need to respond to evolving humanitarian need.

Within the Department for Democracy, Conflict and Humanitarian Assistance (DCHA), the Office of Foreign Disaster Assistance (OFDA) is the central department concerned with managing humanitarian crises using annually approved International Disaster Assistance funds, plus 'borrowing authority' funds allocated from unspent USAID development assistance resources. Alongside OFDA, the Office of Transition Initiatives addresses the gap between relief and development. In 2002 the Office of Conflict Management and Mitigation (CMM) was established. This uses development assistance (as opposed to International Disaster Assistance) resources to address need in an area where humanitarian and development mandates tend to overlap. Even the renaming of BHR itself illustrates the interconnectedness of humanitarian and related issues.

Just as the US has reviewed how its structures reflect changed humanitarian need, so the restructuring of French aid has resulted in the establishment during 2002 of a new body, the Delegation à l'Action Humanitaire (DAH), within the Ministry of Foreign Affairs. The DAH is expected to improve French capacity to manage humanitarian crises. It is also expected to enhance co-ordination, by working closely with political directorates and other government departments.

To improve high-level co-ordination on humanitarian issues, France has also established a new Inter-ministerial Committee for the anticipation, management and monitoring of crises. Steered by the Ministry of Foreign Affairs, this group is housed by the General Secretary for National Defence (SGDN) and involves the Ministries of Defence, Health, Interior and AFD – the French Development Agency. Underlining the need for an overall approach which sees crisis response in its long term context, this co-ordination body aims to develop early warning, to match different capacities to particular need, to ensure military and civil co-ordination and to work for the re-establishment of political and economic mechanisms, involving French technical assistance wherever possible.

In 2000, Switzerland reviewed its humanitarian aid. Among the conclusions was the recognition that 'all aspects of Switzerland's foreign policy include humanitarian aspects, notably development co-operation, human rights, security, migration, environment and economic foreign policy. The Swiss humanitarian foreign policy does not stand alone and is therefore active in conjunction with others in order to reinforce human security at the global level.'⁹

In 1999 Dutch humanitarian assistance structures were changed to reflect the complexity of meeting urgent need whilst taking into account the longer term perspective. A section of the budget was ring-fenced for acute emergencies (hotspots) and the first phases of rehabilitation. At the same time, human rights, good governance, conflict

management and humanitarian assistance were all merged into one directorate (DMV), which reports jointly to the Director General for Political Affairs (DGPZ) and Director General for International Co-operation (DGIS).

Since 1999, 'hotspot' policy frameworks are drawn up for those countries and regions that have been receiving emergency aid funds for a lengthy period.¹⁰ These policy frameworks have 5 sections which explain the background, need, strategy (of the Netherlands and other actors), channels and finally long-term prospects/exit strategy.

The hotspot policy frameworks, which draw on information from the CAP, embassies, NGOs and other donors, are instruments for allocation.

In the budget year covering 2002, Norway established a 'gap allocation' budget line. This supports efforts to promote development and peace building. It is specifically designed to prevent gaps between humanitarian relief and support for recovery, rebuilding, and the long-term development of political, economic and social institutions. NORAD administers the GAP funds. This does not count as humanitarian assistance. The GAP budget for 2002 was around US\$13m.

The UK has established two conflict prevention funds to maximise Britain's overall contribution to conflict prevention and resolution. A key aim is to ensure that all parts of government are working around a common strategy. A wide range of activity is covered. In Sierra Leone for instance, the UK is supporting the Lomé peace agreements, working with the government and the World Bank to support disarmament and demobilisation, supporting wider reform of the security sector, including reforms to the military and the police force.

Two Cabinet Committees manage UK conflict funds drawing on expertise from three ministries: the Foreign Office, Ministry of Defence and the Department for International Development. The Global Pooled Fund committee is chaired by the Foreign Office and the Africa Pooled Fund Committee by the Secretary of State for International Development. Budgeted expenditure is about \$80m for programmed expenditure plus a further \$147m for peace activities in Africa. Budgeted expenditure for the Global Fund was \$96m in 2001/02, \$160m in 2002/3 and \$125m in 2003/4. Not all of these funds are treated as Official Development Assistance or necessarily as humanitarian.

2.2.1 Definitions, legislation and procedures

The Swiss Federal Law of 19 March 1976 concerning international development co-operation and humanitarian aid defines the humanitarian mandate as follows:

'The aim of humanitarian aid is to help preserve the lives of human beings who are in danger and to alleviate suffering through preven-

tive and emergency aid measures: such aid is intended for victims of natural disasters and armed conflict.’

The EU, has a clear definition of humanitarian policy laid out in Article 179 of the EC Treaty-enabled Council Regulation 1257/96.¹¹ Humanitarian aid is to help victims of natural disasters, man-made disasters or structural crises, with a focus on providing goods and services (food, medicines, water, conveyance, psychological support, minesweeping, clothes, shelter, rehabilitation). The aid can be preventive (planting trees to avoid flooding). The sole aim is to relieve or prevent suffering. Humanitarian aid should be focused on vulnerable victims without discrimination, impartially on the basis of need and without conditions.

The 1999 US Interagency Review illustrated how different government actors involved in humanitarian crises may be working on the basis of different legislative mandates. The Department of Defense involvement in humanitarian assistance is mandated under Armed Forces Legislation, Title 10 United States Code, Chapter 20. Section 401 of this legislation says that assistance provided in conjunction with military operations, must promote the security interests of both the USA and country of operation and must benefit the operational readiness skills of participating military. USAID’s humanitarian mandate comes under Chapter 9 and Sections 491 to 494 of the 1961 Foreign Assistance Act. USAID’s work on emergency food aid is governed by Title II of the 1954 Agricultural Trade and Development Act. The State Department’s Bureau of Population, Refugees and Migration operates under the 1962 Migration and Refugee Assistance Act.

In its detailed guidance notes, USAID defines the declaration of a disaster by a US ambassador or State Department as the trigger for disaster relief intended to address ‘immediate life threatening’ concerns. The Foreign Assistance Act Section 491 incorporates a ‘notwithstanding clause’ that provides for expedited procedures to address acute need.

The legal basis for Japan’s humanitarian involvement is provided in three laws: the 1987 Law Concerning the Dispatch of Japan Disaster Relief Teams (JDR Law), the 1992 Law Concerning Co-operation with United Nations Peacekeeping Operations (PKO Law), and the 1974 Japan International Co-operation Agency Law (JICA Law). Aid given prior to emergencies and during post-conflict reconstruction is governed by the ODA Policy and Legal Framework, comprising Japan’s ODA Charter, its rolling 5 year policy statements and laws governing individual institutions involved in aid management.

The legal framework above has important consequences for the way Japan responds to humanitarian need. The JDR law governs disaster response to natural calamity. Peacebuilding in response to conflict situations is governed by the PKO Law. Whilst both aspects of

humanitarian involvement are principally managed by JICA, they have quite separate policy and procedural approaches as can be seen in the table below.

Table 3.2

	International humanitarian relief activities (PKO)	JDR
Decision-maker	Cabinet decision	Minister for Foreign Affairs
Request	Resolution by the UN General Assembly, the Security Council, or the Economic and Social Council, or request from an International Organisation such as UNHCR (must also satisfy 5 principles of participation)	Request from the disaster-stricken country or an International organisation
Budget	Contingency fund	Grant from the Ministry of Foreign Affairs
Implementing organisation	PKO Secretariat in the Cabinet office	JDR Secretariat in JICA
Registration system	Start of registration system (HUREX)	Approximately 1500 representatives from the National Police Agency, the Fire Defense Agency, and the Maritime Safety Agency are registered (to perform their primary duties). About 500 persons are registered for the medical teams (voluntary registration).
Types of emergencies	Conflict-related emergencies	Natural disasters, manmade disasters not caused by conflict
Nature of activities	Medical care (communicable diseases control), support for search/rescue/ repatriation of disaster victims, provision of daily essentials, construction of facilities to accommodate disaster victims, rebuilding of damaged institutions and facilities, restoration of natural environment, etc. (Article 3)	Relief, medical, emergency response, and disaster recovery activities
Timing of dispatch	Within about 1–2 months from the outbreak of the crisis	Within 48 hours of authorisation for the dispatch
Length of dispatch	No particular stipulations	About two weeks
Arms carried by participating JSDF	Weapons designated in the implementation plan can be carried (for use in protecting the lives and physical security of oneself and personnel in the same location)	JDR teams (unarmed) will not be dispatched if the use of weapons is deemed necessary. A supplementary resolution by both Houses of the Diet obliges JDR to give due consideration to security of its personnel, and dispatch to dangerous areas is thus not permitted.

2.2.2 Clear definitions are difficult to reconcile with the need for increasingly complex humanitarian response

When donor approaches to humanitarian assistance were simpler, because emergency aid was more often responding to natural calamity rather than complex political emergency, it was easier to see humanitarian assistance as an exception to the development co-operation norms for long term aid. But as donors stress the need for an integrated approach and emphasise the links between relief and development, it is difficult to see where humanitarian spending should end and development spending should start.

Describing its work in emergencies, GTZ, the implementing agency for German Technical Co-operation, notes the need for development-oriented emergency aid (DEA).

‘DEA employs specific measures, initiatives and activities to alleviate or prevent emergency situations occasioned by crises, conflicts and disasters. It intervenes before, during or after crises or disasters.

The aim of DEA is to help eliminate the danger to the people affected, to reduce their vulnerability at the household, regional and national levels, and to alleviate the effects of disasters or crises, either by taking preventive measures or by bringing the emergency situation itself under control’.

At the September 2002 meeting of the Inter-Agency Network for Education in Emergencies, the Norwegian Aid Minister Hilde Frajford Johnson argued that:

‘When planning for humanitarian operations we cannot afford to neglect education . . . Education must always be part of the equation. Education is part and parcel of the transformation from crisis to reconstruction and sustainable progress.’¹²

In line with this approach, Norway provided educational support to Afghanistan from its emergency, transition and development allocations.

3 Multilateral agency definitions of humanitarian assistance

Of the international agencies reviewed for this study,¹³ very few used the term ‘humanitarian’ to describe what they do. Indeed, very few agencies even use ‘humanitarian’ as a key word in their mandates. Most use other terms, such as ‘emergency situations’ or ‘crises’.

Because ‘humanitarian’ is not widely used as a key word, it tends to be used quite loosely. Agencies may characterise different types of situation (such as Complex Political Emergencies) as humanitarian, but this does not amount to an overall definition.

In discussions, most agencies interpreted the term ‘humanitarian’ to refer to emergency assistance provided as part of relief efforts. In many

cases, 'humanitarian assistance' was specifically interpreted to mean only assistance provided directly to victims of crises. Thus agencies providing both emergency and development assistance clearly distinguished emergency assistance as being 'humanitarian'. IFRC, for example, only report resources provided under special emergency appeals as being 'humanitarian'. Resources for activities such as strengthening the ability of national Red Cross societies to manage future emergency situations were specifically not considered to be 'humanitarian'.

Some interviewees took an even harder line, arguing that the term 'humanitarian' should only be applied to the immediate crisis event. From this perspective, resources provided as part of rehabilitation or transition (e.g. most of WFP's Protracted Relief and Recovery Operations, or demobilisation programmes) should not be included as 'humanitarian'.

Since each agency defines the term 'humanitarian' slightly differently, there is a lack of consistency and comparability in the reporting of expenditure:

- Agencies that receive both assessed and voluntary contributions (such as FAO, WHO and IOM) tend to only include as 'humanitarian' those resources obtained through separate, voluntary appeals. In part this is due to the difficulty in separating out the portion of the assessed contributions that could legitimately be called 'humanitarian'.
- Agencies that undertake both humanitarian and non-humanitarian work tend to exclude headquarters activities from their 'humanitarian' expenditures – so humanitarian expenditures are largely confined to field activities.
- Agencies undertaking joint activities may not necessarily agree that these activities should be included under the 'humanitarian' umbrella. For example, UNHCR reports all of its assistance as being 'humanitarian'. The World Bank, on the other hand, argues that none of its assistance is 'humanitarian' – indeed the Bank's Operational Policy (2.30, para. 3(a)) states: '... In view of its mandate, the Bank does not engage in peacemaking or peacekeeping which are functions of the United Nations ... Moreover, it does not provide humanitarian relief, which is a function assumed by other donors.' Thus in joint UNHCR/World Bank interventions for refugees, UNHCR argues that all the assistance it provides is part of the humanitarian effort, while the World Bank argues that its assistance is solely for rehabilitation and development.
- Agencies include different activities under the 'humanitarian' heading. Thus UNHCR includes loan-based programmes to help refugees become re-established under the humanitarian heading. Other agencies argue that humanitarian resources, by definition, had to be provided totally free of charge to beneficiaries.

Agencies record, account for and report resources in different ways:

- Most agencies operate on an annual recording and reporting basis (and all use the calendar year of January – December), but a few operate on a biennium basis.
- Most agencies maintain computerised financial records, but some expenditure data are still largely paper-based.
- Most agencies maintain central records, but again, not all do (UNDP’s system, for example, is so decentralised that it is difficult to obtain overall data covering agency expenditures on humanitarian flows).

Perhaps one of the greatest discrepancies was in the operational definition of the term ‘expenditure’. Depending on the agency, data reported under ‘expenditure’ ranged from allocations by headquarters to specific activities or countries (in the case of UNHCR), to transfers of funds to country offices (WFP). No agency seemed to maintain absolute records of ‘actual expenditure’ – i.e. funds actually spent on goods or services (such as transfers of funds to suppliers’ bank accounts). For most agencies, the sheer number of transactions undertaken at country level as part of the expenditure process were just too numerous to allow detailed records to be maintained at headquarters level – hence the wide-spread use of transfers of resources from headquarters to the country as a proxy for ‘expenditure’.

4 NGO definitions of humanitarian assistance

The table below outlines the definitions of humanitarian assistance used by some of the world’s largest NGOs. Whilst the wording differs slightly, they all incorporate the concepts of emergency, of a serious

Table 3.3 Selected NGO definitions of emergencies requiring humanitarian assistance

Catholic Relief Services	International Rescue Committee	Oxfam GB	Save the Children UK	SPHERE Project
An emergency is ‘an extraordinary situation, present or imminent, in which there are serious and immediate threats to human life, dignity and livelihoods’. Humanitarian action is that which is taken ‘to provide emergency assistance and protection to disaster-affected populations’.	Uses the UNHCR definition of an emergency: ‘any situation in which the life or well-being of refugees will be threatened unless immediate and appropriate action is taken, and which demands an extraordinary response and exceptional measures.’	An emergency is ‘any situation where there is an exceptional and widespread threat to life, health and basic subsistence, which is beyond the coping capacity of individuals and the community’.	An emergency is ‘a crisis situation that overwhelms the capacity of a society to cope using its resources alone’.	An emergency is ‘a situation where people’s normal means of support for life with dignity have failed as a result of natural or human-made catastrophe’.

threat to human life and the inability of the affected community to cope with this threat using only its own resources. The latter notion of a community unable to cope by itself with a catastrophe of some kind is drawn from the UN's definition of a disaster. Thus, in reality, these definitions focus on the 'emergency' situations in which aid is needed rather than incorporating a broader concept of humanitarian assistance and the NGOs appear to use the terms 'emergency' and 'humanitarian' interchangeably.

4.1 NGO approaches to humanitarian work

The sections below outline the different ways in which some of the large NGOs respond to humanitarian crises and the different activities that they include in humanitarian assistance.

4.1.1 Catholic Relief Services

Includes disaster prevention, mitigation and preparedness activities in emergency response. Believes that it has 'a responsibility to not only relieve suffering by providing humanitarian assistance but also to dedicate itself to work for lasting peace'. It defines peace-building as 'a holistic approach that addresses the root causes of a conflict and includes the processes, interventions, strategies, and methods to promote a just peace'. Ways of supporting peace-building in emergencies include using participatory processes to identify needs, integrating sustainable development approaches and objectives into relief efforts and supporting indigenous conflict resolution mechanisms when appropriate. CRS uses a Justice Lens to analyse the root causes of conflict. This is based on international law as well as its principles for humanitarian aid. These are:

Common good When political authorities fail to protect the common good – understood as the safeguarding and protection of civil, political, economic and social human rights – it falls to others to act on behalf of the rights of a deprived population, when that population is unable to protect itself;

Human Dignity CRS' response in conflict situations is to alleviate human suffering, promote human development, and foster a culture of peace, respect and dignity;

Impartiality Non-partisanship Independence.

4.1.2 International Rescue Committee

Bases humanitarian interventions on entry and exit criteria. Uses the following questions to decide whether to initiate a programme:

Whom does IRC help?

It serves refugees, victims of oppression or violent conflict (including

IDPs), returning populations, those seeking to integrate into another community and host communities affected by the presence of refugee or IDP populations.

When does IRC help?

It assists people during every phase of an emergency and through the development of self-reliance. It helps repatriating refugees and returning IDPs prior to, during and after their reintegration into society and/or resettlement in countries of asylum.

Where does IRC help?

There is no geographic limitation. When considering a new country programme, IRC requires unhindered humanitarian access to populations in need, the ability to directly identify, assess and specifically target individuals for assistance, and the ability to directly control, implement and monitor interventions. New programmes must contribute to a coherent and consistent strategy in the region.

How does IRC help?

IRC is independent, impartial and non-sectarian. It aims to ensure that assistance is appropriately targeted and implemented in a way that reduces disparities in services to men and women and adults and children. Programmes are intended to help people achieve self-sufficiency and IRC actively seeks the participation of beneficiaries, who are seen as rights-holders.

Can IRC help?

An effective entry into a country requires a minimum level of financial commitment (between \$100,000 and \$300,000), financial sustainability and an appropriate level of response. IRC also assesses its internal capacity to respond and any impact on existing programmes.

IRC will consider programme closure or exit from a country when:

1. Services are not accepted by the beneficiaries or host government or designated authority;
2. Beneficiaries become self-supporting;
3. Services duplicate, substitute or compete with the indigenous capacities of the community being served;
4. A government authority or competent indigenous capacity can resume its obligation to provide services
5. Other entities can provide the services;
6. A programme is prolonging conflict, exacerbating tensions or promoting further suffering;
7. Security risks are inappropriately high;
8. It does not have free access to populations in need and complete control over the design, targeting and implementation of services.

4.1.3 Oxfam GB

The primary objective in responding to an emergency is saving and protecting lives. Building capacity and addressing gender inequalities are vital additional goals, providing it is feasible to address these without weakening the ability to save lives. Oxfam works to reduce the consequences of conflict and calamity by:

1. developing appropriate preparedness capacity for a rapid and appropriate scale of response;
2. responding rapidly and effectively to humanitarian need;
3. working with others to promote co-operation with both local and international agencies, and across professional sectors;
4. developing skills and coping capacities within affected communities.

Oxfam's response in an emergency will normally centre on its distinctive competencies in public health, food and nutrition.

4.1.4 Save the Children UK

The policy is to systematically assess significant crisis events in order to determine their level of severity and potential consequences. If there is a major imbalance between the needs of the population affected by a crisis event and the local capacity to serve those needs, the situation is an emergency requiring external assistance. SCF-UK's principle of impartiality commits it to respond to emergencies *wherever* they occur, proportional to need and without discrimination. Therefore, its policy is to respond equally to all types and sizes of emergency. But it is not possible to respond to every emergency so its decision to intervene is based on the level of imbalance between needs and the local response capacity.

It responds to emergencies within a development context, which includes rehabilitation activities. This typically requires a medium to long-term plan to support the emergency-affected community's recovery process. Contexts vary but, for larger emergencies, its minimum time-frame is twelve months, with a possible 2–3 year commitment.

4.1.5 World Vision US

World Vision US categorises emergencies into three levels, depending on the extent of the emergency and the level of response expected:

Category 1: When 5,000 or more people are affected by an emergency and the monetary response required is expected to be less than \$30,000. The response is undertaken by the national office.

Category 2: When 500,000 or more people are affected and a response of \$30m over 6 months is expected. The response is managed out of the sub-regional director's office in co-ordination with a regional emergency office, if there is one.

Category 3: Includes complex emergencies. This is classified as a large-scale deterioration in the social, economic and political situation and/or one which results in 1 million or more people being forced to become refugees or IDPs. The response is undertaken by the regional relief office together with the regional Vice-President and the World Vision partnership.

5 Lessons and issues

The changing nature of humanitarian need and response makes precise definition difficult. But at a practical level, there are some distinguishing characteristics of humanitarian assistance that most people can recognise and which are common to most definitions:

Humanitarian assistance:

- Is triggered by an identifiable event
- Involves a quick response
- Means funding that is expected to last for weeks, maybe months, but not years.¹⁴
- Responds to needs which are beyond the capacity of local populations
- Involves and can justify the use of expedited procedures
- Can be outside strategic programming considerations
- Does not normally entail the conditionality attached to long term funding

When aid is defined as humanitarian it enables donors:

- to work in countries which would be barred from receiving development co-operation money because of poor policy or human rights abuses
- to assist countries beyond their usual partner or priority countries
- to make much speedier disbursements
- to waive some rules on procurement and tendering
- to access different sources of finance, including general government contingency funds.

The flexibility of humanitarian assistance noted above offers an incentive to define activity as humanitarian (see Box 3.3 on Choosing whether aid is humanitarian or developmental).

Classifying work as ‘humanitarian’ allows agencies to follow the most promising sources of funding. For instance, if chronic hunger can be classified as a ‘a silent emergency’, humanitarian funding may become available for a long-term crisis.

Even though humanitarian assistance offers some flexibility, a number of donors have found that this does not extend to the financing of transitional activities. Where a recipient country is a donor priority for development co-operation funding, financing of transitional activities

can shift from the humanitarian to the development budget lines. But for countries that are not likely to become development priorities, finding transitional finance can be very difficult. This is especially the case as donors concentrate their aid on a smaller number of 'good policy' partner countries, where they believe they get the best returns on their aid investment.

Box 3.3 Choosing whether aid is humanitarian or developmental

Whether aid spending is defined as humanitarian or developmental may have as much to do with the nature of the recipient country, as with the sectors or types of intervention.

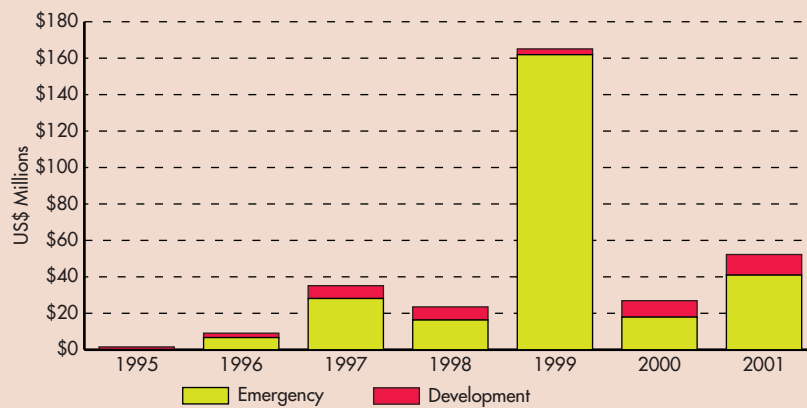
There are marked differences between recipient countries in the proportions of total aid defined as humanitarian.

North Korea, for instance, receives pretty much only humanitarian assistance.

Similarly, in 1995, three quarters of aid to Somalia was classified as humanitarian.

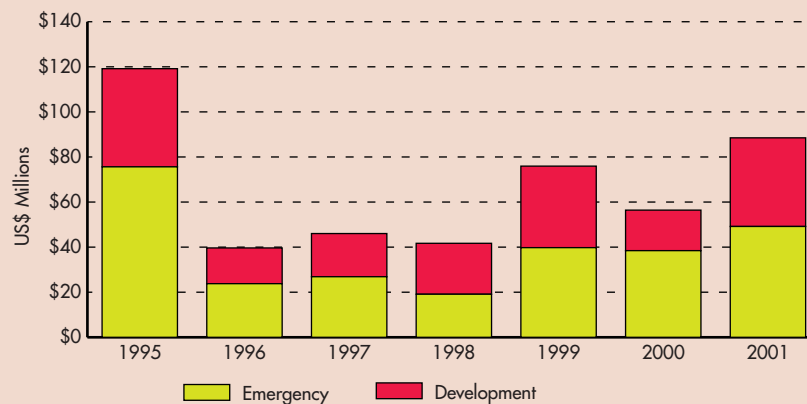
This may also be due to the type of intervention. Both of these are countries where a development engagement would be difficult on policy grounds.

Figure 3.1 DPR Korea – Emergency and Development Assistance Compared



Click on graph to see data as HTML; click here to download Excel spreadsheet file

Figure 3.2 Somalia – Emergency and Development Assistance Compared



Click on graph to see data as HTML; click here to download Excel spreadsheet file

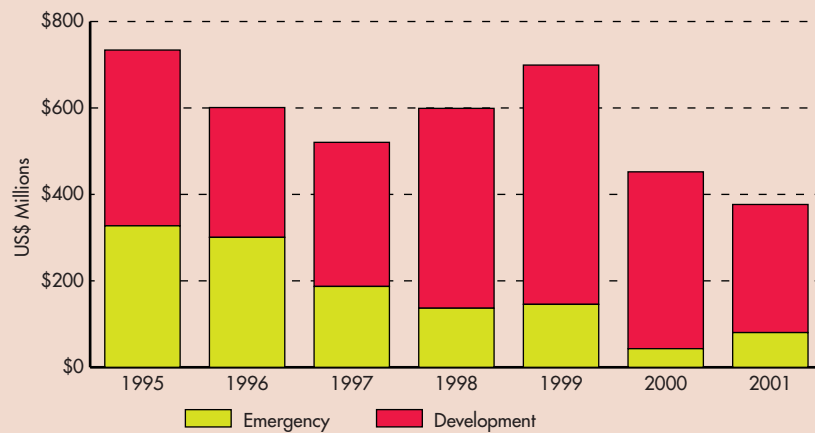
The increased emphasis on conflict in humanitarian assistance raises an important definitional issue, especially in the aftermath of the conflicts and humanitarian crises in Afghanistan and Iraq. The issue facing the donor community is whether the definition of humanitarian assistance should be broadened to encompass security, peace-keeping costs and some military spending.

Box 3.3 (continued)

But in other countries with less isolated regimes, the overall flows of assistance at times of crisis are a combination of 'humanitarian' and 'developmental' expenditure.

For instance in Bosnia less than a third of aid was for humanitarian assistance.

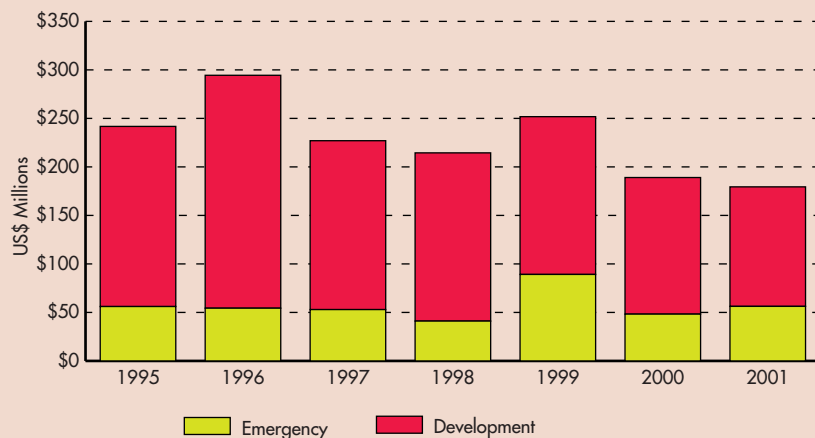
Figure 3.3 Bosnia-Herzegovina – Emergency and Development Assistance Compared



Click on graph to see data as HTML; click here to download Excel spreadsheet file

In Angola only a quarter of aid over the past six years has been for humanitarian assistance.

Figure 3.4 Angola – Emergency and Development Assistance Compared



Click on graph to see data as HTML; click here to download Excel spreadsheet file

Notes

1. Peter Macalister-Smith, *International Humanitarian Assistance: Disaster Relief Actions in International Law and Organisation*, (1985).
2. http://www.reliefweb.int/ocha_ol/programs/response/mcdunet/oguidad.html.
3. Larry Minear, *The Humanitarian Enterprise*, Kumarian 2002.
4. See *Legislating for Humanitarian Aid*, Stevenson & Macrae, ODI London, 2002.
5. DAC Members: Australia Austria Belgium Canada Denmark Finland France Germany Greece Ireland Italy Japan Luxembourg Netherlands New Zealand Norway Portugal Spain Sweden Switzerland United Kingdom United States EC
6. Most contributions towards CAP projects are earmarked (different levels, to the crisis or project). However, agencies may use unearmarked funds for CAP projects. In the FTS system, this is usually reflected as 'Allocated by the agency'. The CAP does not force more earmarking, but the FTS makes it difficult to give credit to donors who give unearmarked funds.
7. Humanitarian/Conflict Prevention Policy in 'Partnership 2000' Ministry of Foreign Affairs Danida, October 2000.
8. Note that BHR has subsequently been renamed the Bureau for Democracy, Conflict and Humanitarian Assistance or DCHA.
9. Bill to Parliament Concerning the Continued Provision of International Humanitarian Aid of the Swiss Confederation, 14 November 2001
10. This is done under budget article 09.04.
11. 20 June 1996.
12. http://odin.dep.no/ud/norsk/aktuelt/taler/statsraad_b/032171-090051/index-dok000-b-n-a.html.
13. WFP, UNHCR, OCHA, UNRWA, IOM, UNICEF, ICRC, IFRC, FAO, WHO, UNDP
14. Current definitions tend to include aid to refugees and IDPs as part of humanitarian assistance by definition. Much aid to refugees and IDPs is extremely long term.

4

Which International Organisations deliver humanitarian assistance and what do they do?¹

1 The Commission of the European Union (EC)

1.1 What is the EC's mandate on humanitarian assistance?

Council Regulation (EC) No. 1257/96 of 20 June 1996 concerning humanitarian aid (published in the Official Journal of the European Communities volume 39) provides the mandate for EC humanitarian assistance.

This defines EC humanitarian assistance, lists seven objectives for aid operations and outlines procedures for the financing and implementation of humanitarian aid operations.

1.2 Definitions of humanitarian assistance

Chapter I, Article 1 of the Council Regulation of 1996 defines humanitarian assistance. It states:

The Community's humanitarian aid shall comprise assistance, relief and protection operations on a non-discriminatory basis to help people in third countries, particularly the most vulnerable among them, and as a priority those in developing countries, victims of natural disasters, man-made crises, such as wars and outbreaks of fighting, or exceptional situations or circumstances comparable to natural or man-made disasters. It shall do so for the time needed to meet the humanitarian requirements resulting from these different situations.

Such aid shall also comprise operations to prepare for risks or prevent disasters or comparable exceptional circumstances.

The introductory paragraphs of the Council Regulation outline the scope of the EC's humanitarian aid. For example, humanitarian assistance is understood to encompass 'not only relief operations to save and preserve life in emergencies or their immediate aftermath, but also action aimed at facilitating or obtaining freedom of access to victims and the free flow of such assistance'. Also, as humanitarian assistance 'may be a prerequisite for development or reconstruction work', it 'may include an element of short-term rehabilitation aimed at facilitating the arrival of relief, preventing any worsening in the impact of the crisis and starting to help those affected regain a minimum level of self-sufficiency'. These paragraphs also elaborate the principles of EC

humanitarian assistance – that aid will be 'accorded to victims without discrimination ... and must not be guided by, or subject to, political consideration'.

The Regulation mentions both natural and man-made disasters but the EC does not use any classifications of crises. The Regulation does not explicitly state the implications of separating humanitarian assistance from other types of Community aid by having separate budget lines for this but, in practice, ECHO's funding procedures are faster and less onerous than the rest of the Commission's. Also, though there is no mention of humanitarian assistance being provided where development assistance is restricted, the provision of humanitarian aid to Cuba every year from 1992 to the present (peaking at €15m in 1995 and a not insignificant €8m in 2001) is an example of humanitarian aid acting as a substitute for development aid because it is 'apolitical'.

1.3 Funding mechanisms

Most of the Commission's humanitarian assistance is funded by ECHO. ECHO obtains its funding from three main budget lines:

- Lomé IV – €20.75m (\$19m) in 2001
- B7–210 (Disaster Aid Developing Countries) – €515m (\$462m) in 2001.
- B7–219 (Operational Support, Disaster Preparedness) – €8m (\$7.2m) in 2001.

The Rapid Reaction Mechanism (administered directly by DG RELEX) also provides funding in the early stages of crises.

Other programmes within the Commission which may provide funding for crises, and which are administered by EuropeAid, are:

1. Aid to Uprooted People
2. Food Security

1.4 How much does ECHO spend on humanitarian assistance?

ECHO's total budget in 2001 was €544m, up from €492m in 2000 but still well below its 1999 peak of €813m.

1.5 What are the main sources of EC humanitarian income?

ECHO: ECHO provides the bulk of the EC's humanitarian assistance. Its funding is generally for 6 months although in long-term crises it may develop 12-month funding strategies called Global Plans. ECHO also has a fast-track procedure for sudden-onset disasters, which enables it to give funding decisions within 24 hours. However, it has only used this two or three times, all in cases of natural disaster. Funding under this procedure is for a maximum of 3 months.

Reconstruction and Recovery: Reconstruction and activities laying the basis for long-term development are funded by DG External Relations through its administrative arm, EuropeAid. Whilst EuropeAid takes a medium-term perspective on its funding (looking at a three to five year strategy), it can also provide funding for quick-impact projects (as it has done in Afghanistan). This can lead to overlap with ECHO's activities.

Aid to Uprooted People: This programme is administered by EuropeAid. It was created about 15 years ago by the European Parliament to deal with situations of displacement. Its remit is wide so that it includes IDPs, returnees, refugees and the demobilisation of former soldiers. It supports activities that are not strictly humanitarian but similar in nature. As in the case of Afghanistan, it has sometimes been a substitute for development aid in the absence of official relations with a regime. For historical reasons, there have been two budget lines under this programme – one for Asia (regarded as eastwards of Iran but excluding former Soviet Union countries) and one for Latin America. The programme provides grants to two types of partners – the UN (mainly UNHCR) and NGOs (both European and local).

Food Security: Although ECHO funds emergency food aid, the food security programme, administered by EuropeAid, can also provide assistance in emergency situations. A substantial portion of the funding

under this programme is provided through WFP. In addition to food aid, the programme covers activities such as agricultural inputs, the establishment of seed production and distribution systems and, in the case of Afghanistan, rural recovery.

Rapid Reaction Mechanism (RRM): The RRM was established three or four years ago and has a relatively small annual budget (EUR 10–20m). Consequently it is managed directly by DG Relex rather than EuropeAid. Its funding is for 6-month projects which are usually more 'political' in nature than those funded by ECHO (for example, support for the media in Afghanistan). RRM funding is usually phased out within a year as it is intended to be short-term.

1.6 Where does ECHO spend humanitarian assistance?

Former Yugoslavia has figured very prominently in ECHO expenditure for the past decade – 63% of the total in 1993, 55% in 1999. It has never fallen below a fifth of total expenditure.

The 78 African, Caribbean and Pacific (ACP) countries received between 16% and 43% of spending in different years during the decade.

In 2001, Afghanistan (including activities in Pakistan and Iran), was the largest recipient, with €55m, followed by Russia with €40m and Democratic Republic of Congo with €35m. In 2000, Former Yugoslavia received €96m, Macedonia €34m and Albania €32m. In 1999 Former Yugoslavia received E449m.

1.7 Who are ECHO's Implementing Partners?

Over 63% of ECHO's budget has been channeled through European NGOs for the past three years. This has amounted to €457m in 1999, €357 in 2000 and €346m in 2001.

UN agencies received around 20% of the budget for 1998, 1999 and 2000. In 2001 this increased to 27%. This has amounted to €146m in 1999, €105m in 2000 and €147m in 2001.

2 Food and Agricultural Organization (FAO)

2.1 What is FAO's mandate on humanitarian assistance?

FAO was founded in 1945 with a mandate to raise levels of nutrition, improve agricultural productivity and better the lives of the population in rural areas, home to 70% of the world's poor and hungry people.

FAO's Emergency Operations and Rehabilitation Division (TCE), part of the Technical Co-operation Department, responds to needs for emergency assistance in the agricultural, livestock and fisheries sectors in developing countries affected by exceptional natural or human-induced calamities. The emergency situations in which TCE's relief and rehabilitation assistance is required include all types of natural disasters, such as drought, floods, cyclones or hurricanes, crop pest infestations, epidemic animal diseases, as well as damage caused by war, civil strife or political upheaval. TCE's emergency assistance covers a wide number of activities related to the urgent rehabilitation of agricultural, livestock and fisheries production in disaster-stricken areas. TCE also assists developing countries in the establishment of agricultural preparedness and post-emergency measures, formulating and implementing short-term rehabilitation programmes and promoting medium-term interventions that will speed the return to agricultural development.

Emergency relief and rehabilitation projects implemented by TCE are financed by voluntary contributions from governments, from United Nations agencies and from FAO's Technical Co-operation Programme (TCP).

2.2 How much does FAO spend on humanitarian assistance?

FAO's emergency assistance includes emergency relief and early rehabilitation programmes around the globe and the Oil-for-Food programme in Iraq (the Organization's largest emergency and rehabilitation programme). The overall value of FAO's emergency delivery has risen from \$23m in 1996 to \$183m in 2001. Expenditure on the Iraq Oil-for-Food programme reached a peak of \$130m in 2000.

UN Security Council Resolution 986 (1995) allowed the formulation of the Oil-for-Food Programme, which became effective in 1997. Within the framework of this programme, FAO was entrusted with the responsibility for monitoring and reporting on the equitable distribution of the agricultural inputs procured by the Government of Iraq in the central and southern parts of the country. In the case of potentially 'dual-purpose' items (such as veterinary vaccines, agricultural helicopter spare parts), FAO was also responsible for monitoring the receipt, storage and end-use of these items. In the three northern Governorates, FAO fully implemented the agricultural programme.

The remaining 30% of FAO's expenditure on emergency activities encompasses response to natural disasters as well as interventions addressing drawn-out complex emergencies world-wide (Iraq excluded). Expenditure has been increasing steadily, from \$23m in 1996 to \$57m in 2001.

2.3 What are FAO's main sources of income for humanitarian assistance?

The Oil-for-Food Programme for Iraq provided 70% of total FAO emergency spending in 2001. Outside Iraq, the main donors are the Netherlands, Belgium and Sweden and, since 1997, the EC and Norway. The United States (from 1998–2000), the UK and the World Bank were less consistent, but significant, donors. All contributions are earmarked.

FAO's own Technical Co-operation Programme funded almost 23% of the non-Iraq emergency activities in 2001.

2.4 Where does FAO spend humanitarian assistance?

Iraq accounted for almost three-quarters of total emergency and rehabilitation expenditure between 1996 and 2001. Other regular recipients include Burundi, Rwanda, Tanzania, Sierra Leone, Somalia, Tajikistan, DPR Korea, Democratic Republic of Congo and Madagascar and, after 1999, Kosovo and other parts of former Yugoslavia.

3 International Committee of the Red Cross (ICRC)

3.1 What is ICRC's mandate on humanitarian assistance?

Established in 1863, ICRC's mission is to provide protection and assistance to victims of armed conflicts. ICRC also directs and co-ordinates the international relief activities conducted by the Red Cross and Red Crescent Movement in situations of conflict. The guiding principle of ICRC is that even in war there are limits on how warfare is conducted and limits on how combatants behave. ICRC endeavours to prevent suffering by promoting and strengthening humanitarian law and universal humanitarian principles. In emergency situations, ICRC also provides direct support. The work of ICRC is based on the Geneva Conventions their Additional Protocols, the Statutes of the International Red Cross and Red Crescent Movement, and the resolutions of the International Conferences of the Red Cross and Red Crescent.

3.2 How much does ICRC spend on humanitarian assistance?

ICRC emergency expenditure has fluctuated quite substantially between 1996 and 2001 – from a high of \$476m in 1999 to a low of \$307m in 1998. Total humanitarian expenditure in 2001 was \$405m.

All funding is voluntary. ICRC programmes are implemented according to needs, and ICRC relies on donors to come forward with the necessary funds in response to its objectives and programmes for a given year. To minimise the financial risk it thus incurs, ICRC seeks to be realistic as to the objectives and budgets it sets, while also attempting to gain a certain degree of predictability with respect to funding from donors.

ICRC launches two budget appeals at the end of each year to raise funds for the forthcoming year: the Headquarters Appeal and the Emergency Appeal (previously called the Field Budget). The Headquarters Appeal budget includes 'field support' services (accounting for approximately two thirds of the budget), as well as broad-brush activities such as the promotion of international humanitarian law. Humanitarian expenditure in this report has been taken to include all expenditure from funds contributed to the Emergency Appeals.

In the period 1996–2001 emergency expenditure accounted on average for more than four fifths of total ICRC expenditure, although there have been some fluctuations. In 2000 it accounted for almost 90% of all expenditure compared with 74% in 1998.

3.3 What are ICRC's main sources of income?

The top five donors to ICRC accounted for more than two thirds of total contributions in 2001. The USA has consistently been the largest donor, accounting for more than 25% of total emergency contributions in 1996, 1999, 2000 and 2001.

In 1996 and 1997 the EC was the second largest donor, but EC contributions have declined since then. By comparison, UK contributions have increased dramatically from 1998, and UK has been the second largest donor from that year.

Sweden and the Netherlands have both been strong supporters of ICRC but while Sweden's contributions have steadily declined from 1996 to \$20m in 2001 (in part because of currency fluctuations), the Netherlands' have increased from \$19m in 1996 to \$32m in 2001.

National Societies accounted for 10% of total emergency expenditure in 1996–1998, before jumping to 17% in 1999 and 2000, and then falling back to the 10% level in 2001. In 1999 and 2000 National Societies were the second largest source of contributions.

In 2000 and 2001 about a quarter of ICRC's resources were provided totally free of earmarking. Loose earmarking (for a region, country or programme) accounted for 60% of contributions. Tight earmarking accounted for more than 15% of contributions.

3.4 Where does ICRC spend humanitarian assistance?

In each year, a few large operations account for a significant part of total emergency expenditure. Afghanistan received 10% of the total in 1998 and 2001, Democratic Republic of the Congo 10% in 1997, Rwanda 10% in 1997, 1998 and 1999. However the biggest contributions have been to the Balkans which received \$105m (22% of the total) in 1999 and \$84m (18%) in 2000.

Sub-Saharan Africa has consistently received about 40% of all ICRC emergency expenditure. Since 1998 Europe has been the second largest recipient region. Asia now accounts for about 16% of spending – around half of it to Afghanistan. Colombia has consistently been the largest Latin American recipient and Israel, Palestine and Iraq dominate spending in the Middle East.

4 International Federation of the Red Cross and Red Crescent Societies (IFRC)

4.1 What is IFRC's mandate on humanitarian assistance?

Founded in 1919, IFRC comprises 178 member Red Cross and Red Crescent societies, a Secretariat in Geneva and more than 60 delegations around the world. The Federation's mission is to improve the lives of vulnerable people by mobilising the power of humanity.

The Federation carries out relief operations to assist victims of disasters, and combines this with development work to strengthen the capacities of its member National Societies.

The network of National Societies covers almost every country in the world. Co-operation between National Societies gives the Federation greater potential to develop capacities and assist those most in need.

The role of the Secretariat in Geneva is to co-ordinate and mobilise relief assistance for international emergencies, promote co-operation between National Societies and represent these National Societies in the international field.

The role of the field delegations is to assist and advise National Societies with relief operations and development programmes, and to encourage regional co-operation.

The International Federation's programmes are grouped into four main core areas:

- promoting humanitarian principles and values
- disaster response
- disaster preparedness
- health and care in the community.

The emergency phase of a relief operation aims to provide life-saving assistance: shelter, water, food and basic health care are the immediate needs, along with a sense of humanity and a sign that someone cares. Subsequent needs include reconstruction and rehabilitation. These needs can continue for several years, particularly in the case of refugees and victims of socio-economic collapse.

4.2 How much does IFRC spend on humanitarian assistance?

IFRC total humanitarian expenditure (assistance channelled through the international Federation Secretariat)

in 2001 was \$215m. National Societies may send additional resources to disaster situations directly.

IFRC resources for humanitarian purposes have fluctuated quite substantially during the period 1996–2001. They peaked in 1999 at \$338m and were at their lowest in 1996, at \$158m.

4.3 What are IFRC's main sources of income for humanitarian assistance?

Up to 1999, 10 donors provided more than 80% of all IFRC's humanitarian resources. Since then, IFRC has broadened its resource base, although these same ten donors still provided two thirds of IFRC's total humanitarian resources in 2001.

In 1996 and 1997 the EC was the largest donor, providing between one fifth and one quarter of total IFRC humanitarian resources. However the level of EC contributions has declined from a high of more than \$50m in 1999 to less than \$10m in 2001.

In 1998, 2000 and 2001 the UK was the largest single donor. Japan was a significant donor in 1999, when it gave almost ten times its average for the previous years. The US contribution has fluctuated, rising between 1996 and 1998 when it peaked at \$38.5m. But since then the level of the US contribution has tended to fall back to the levels prevailing in 1996/1997.

The Nordic countries have been consistent contributors to IFRC appeals.

4.4 Where does IFRC spend humanitarian assistance?

Europe has been the single largest recipient of humanitarian assistance from IFRC for the past six years. Only in 2001 did Europe receive less than one third of the total.

IFRC humanitarian expenditures in the Asia/Pacific region doubled from \$16.4m in 1996 to \$39m in 1997 and 1998, and almost doubled again in 1999 to \$72m. Since then the level of expenditure in Asia/Pacific has declined but was still \$52m in 2001. Assistance to DPR Korea accounts for a major part of this increase.

Africa has received around \$50m each year, apart from 1999, when it fell to \$35.5m.

5 International Organisation for Migration (IOM)

5.1 What is IOM's mandate on humanitarian assistance?

Established in 1951 as an intergovernmental organisation to resettle European displaced persons, refugees and migrants, IOM has now grown to encompass a variety of migration management programmes and activities throughout the world. IOM is committed to the principle that humane and orderly migration benefits migrants and society.

Resettlement, repatriation and transportation assistance for migrants, refugees and displaced persons constitutes the core of IOM's activities.

IOM emergency programmes address the special needs of specific population groups, such as internally displaced people, former combatants and refugees. IOM assistance includes:

- Assistance in evacuation from danger
- Temporary care and maintenance of displaced persons
- Assistance in resettlement or returning home
- Short-term integration/reintegration assistance
- Transitional initiatives to support communal infrastructure to stabilise communities actually or potentially affected by displacement.

5.2 How much does IOM spend on humanitarian assistance?

IOM's budget consists of two parts: assessed contributions from Member States, which fund the administrative requirements, and voluntary contributions, which fund operational programmes. IOM has an annual budget of some \$380m, about 6% of which is from assessed contributions.

Overall operations expenditure steadily increased between 1996 and 1999, when it reached \$272m. In 2000 and 2001 operations expenditure fell slightly, to \$266m in 2000 and to \$252m in 2001.

Within the operations expenditure, special contributions have been made to Emergency and Post-Conflict programmes. From 1996 to 2001 expenditure in these programmes more than doubled, from \$37m in 1996

to a high of \$87m in 2001. In 2001, more than one third of all IOM operations expenditure was for emergency and post-conflict work.

5.3 What are IOM's main sources of income for humanitarian assistance?

Two donors have dominated voluntary contributions to IOM's operational programmes – Germany and the US. Together they accounted for more than half of total voluntary contributions in 1998, however by 2001 their share had fallen to one third, mainly due to a significant fall in the level of contributions from Germany.

Voluntary agencies (as well as reimbursements from migrants and sponsors) accounted for almost one fifth of voluntary contributions in 2001.

Canada has been a consistent donor of voluntary contributions. Australia Switzerland and the UK have been significant donors, but not on a consistent basis whereas the Nordic countries, while not large donors, are nonetheless regular contributors.

Nearly all voluntary contributions to IOM operational programmes are, almost by definition, earmarked. Non-earmarked contributions accounted for 2% or less of total voluntary contributions between 1998 and 2001.

5.4 Where does IOM spend humanitarian assistance?

Direct operations expenditure between 1996 and 2001 has been highest in Europe (which also included North America up to 1998). Between 1998 and 2000, Europe accounted for nearly two thirds of total direct operations expenditure and its share has never fallen below 40%.

Direct operations expenditure in the other regions has remained relatively stable – in Africa and the Middle East accounting for between \$24m and \$29m in most years; in the Americas accounting for between \$18m and \$26m (apart from 1999, when it surged to \$39m). In Asia and Oceania, expenditure averaged \$20m to \$25m between 1997 and 2000, but in 2001 it rose to \$35.5m.

6 Office for the Co-ordination of Humanitarian Affairs (OCHA)

6.1 What is OCHA's mandate on humanitarian assistance?

OCHA was established in 1998 to succeed the Department for Humanitarian Affairs (DHA) which had been set up under the UN Secretary General's programme for reform. As part of the United Nations Secretariat, OCHA has the mandate to co-ordinate UN assistance in humanitarian crises that go beyond the capacity and mandate of any single humanitarian agency. OCHA works with many actors (including governments, NGOs, UN agencies, International Organisations and individuals) that seek to respond simultaneously to complex crises, to ensure that there is a coherent framework within which each actor can contribute effectively and promptly to the overall effort.

There are three major ways in which OCHA fulfils its mission to mobilise and co-ordinate humanitarian action in partnership with national and international actors:

1. OCHA works to ensure effective co-ordination of international humanitarian assistance at the field level in crises resulting from both natural disasters and 'complex emergencies'. OCHA acts primarily through the Inter-Agency Standing Committee (IASC), which is chaired by the Emergency Relief Co-ordinator (ERC). The IASC brings together many humanitarian partners, including the Red Cross Movement and NGOs. The IASC ensures inter-agency decision-making in response to complex emergencies, including needs assessments, Consolidated Appeals, field co-ordination arrangements, the development of humanitarian policies and advocacy on humanitarian issues.

The Consolidated Inter-Agency Appeal Process (CAP), which OCHA manages on behalf of the humanitarian community, provides a framework for joint programming, prioritisation and resource mobilisation in response to complex emergencies. Its purpose is to provide a common framework, to set clear goals and define priorities for the humanitarian

programme in a given situation.

2. OCHA works to develop and promote policies, standards and procedures that encourage principled and effective humanitarian action in response to complex emergencies or natural disasters.
3. OCHA acts as an advocate on humanitarian issues, mobilising support for humanitarian initiatives, promoting respect for humanitarian principles, liaising with governments, regional organisations, humanitarian partners and civil society to ensure coherence and complementarity in action. OCHA provides information and analysis to help raise awareness and enhance understanding of humanitarian issues, mainly through its web sites Relief Web and IRIN, providing information on complex emergencies and natural disasters.

6.2 What are OCHA's main sources of income?

In the two years 1998–99, OCHA received \$55.7m in voluntary contributions towards its annual requirements for headquarters and field co-ordination activities in response to complex emergencies and natural disasters. An additional \$17.6m was appropriated through the United Nations regular budget. Donors channelled \$56.7m through OCHA to other partners, most importantly for activities in response to natural disasters.

In the two years 2000–2001, OCHA received \$68.6m towards its annual requirements and \$18.4m from the UN regular budget. OCHA channelled \$72.9m to other partners and total resources available amounted to \$160m of which \$141m (89%) was received as voluntary contributions.

The UK was the largest single donor in both two-year periods. Both the Netherlands and the US significantly increased their contributions from the 1998–99 biennium to the 2000–01 biennium. Sweden, Norway and Italy were also among the top donors over the period 1998 to 2001.

7 United Nations Development Programme (UNDP)

7.1 What is UNDP's mandate on humanitarian assistance?

The UN General Assembly assigned responsibilities to UNDP for 'operational activities for natural disaster mitigation, prevention and preparedness' in paragraph 16 of its 1998 resolution 52/12B.

In 2001 UNDP's Executive Board defined the organisation's specific focus and role in crisis prevention and recovery, highlighting the need for a holistic and integrated approach to conflict prevention, peacekeeping and peace-building activities – one that goes well beyond traditional peace-keeping.

The role of UNDP in crisis and post conflict situations is strictly limited to addressing the development dimensions of these situations. This development focus draws upon and supports the broader mission of UNDP to enable sustainable social and economic development. The development role of UNDP in crisis prevention and recovery is reflected in the integration of immediate and strategic development responses. The development dimensions of peace-building and prevention address the root causes of conflict and put in place the enabling institutional, economic and social conditions to address them in the longer-term.

7.2 How much does UNDP spend on humanitarian assistance and what are its sources of income?

In 1996, UNDP created TRAC 1.1.3 as a separate funding window for crisis prevention and recovery, setting aside 5% (later increased to 6.6%) of UNDP's total core resources. Overall, UNDP's contribution from this special funding window has gradually increased from \$33m in 1997 to \$44m in 2000.

The Emergency Response Division (ERD) was

created in 1996 to manage TRAC 1.1.3. resources and to provide technical advice and backstopping to country offices in crisis and post-conflict situations. ERD was upgraded to the Bureau for Crisis Prevention and Recovery (BCPR) in November 2001 to reflect the increasing need for well co-ordinated and comprehensive assistance on crisis prevention and recovery.

To support these roles and better respond to urgent country needs, in 2000 UNDP established the Thematic Trust Fund for Crisis Prevention and Recovery. The Thematic Trust Fund features several elements that are key to addressing crisis situations:

- rapid disbursement and flexible programming instruments;
- availability of the whole range of executing modalities of UNDP, including Direct Execution;
- use of management fee charges against the Thematic Trust Fund for strengthening field level implementation capacity.

Since its inception, the Thematic Trust Fund has mobilised over \$180m. Donors may contribute resources for the overall theme, specific service lines, countries, or any combination thereof. While donors are increasingly willing to make unearmarked contributions to the fund and its service lines, the majority of contributions remain linked to specific country situations.

In addition to TRAC 1.1.3 and the Thematic Trust Fund, UNDP country offices may also use country core or project budgets for crisis-related activities, but these decentralised expenditures are not currently tracked centrally by UNDP's financial monitoring system. A new system, due to become operational in 2004, should enable better central tracking of this expenditure.

8 United Nations High Commissioner for Refugees

8.1 What is UNHCR's mandate on humanitarian assistance?

UNHCR was established in 1950 by the United Nations General Assembly. UNHCR's efforts are mandated by the organisation's statute, and guided by the 1951 United Nations Convention relating to the Status of Refugees and its 1967 protocol. International refugee law provides an essential framework of principles for UNHCR's humanitarian activities.

The agency is mandated by the United Nations to lead and co-ordinate international action for the world-wide protection of refugees and the resolution of refugee problems. By assisting refugees to return to their own country or to settle in another country, UNHCR also seeks lasting solutions to their plight.

Refugees are legally defined as people who are outside their countries because of a well-founded fear of persecution based on their race, religion, nationality, political opinion or membership of a particular social group, and who cannot, or do not want to, return home. UNHCR has two basic and closely related aims: to protect refugees and to seek ways to help them restart their lives in a normal environment.

UNHCR is also authorised to work with other groups including people who are stateless or whose nationality is disputed and, in certain circumstances, internally displaced persons.

8.2 How much does UNHCR spend on humanitarian assistance?

Total UNHCR expenditure has fluctuated during the period 1996–2001. It reached a high of \$945m in 1997, before declining to \$626m in 2001, the lowest level since 1991.

All UNHCR resources are considered to be for humanitarian purposes.

8.3 What are UNHCR's main sources of income?

UNHCR is almost entirely funded by direct, voluntary contributions from governments, NGOs and individuals. There is also a very limited subsidy from the regular budget of the United Nations, which is used exclusively

for administrative costs – in 2001 this amounted to \$20.7m or 3% of total 2001 contributions.

Ten donors account for more than 85% of total UNHCR resources. The USA has consistently been the largest donor, providing approximately one third of total income. Japan has consistently been the second largest donor. Other significant donors are the EC, the Nordic countries, the Netherlands, UK, Germany and Italy.

In 2001, less than 20% of resources provided to UNHCR were unrestricted – that is available to be allocated by UNHCR wherever funds were most needed. Some 45% of resources were lightly earmarked (they were allocated by the donor for use within specified geographic regions) and 37% were tightly earmarked (to be used only for specified countries or types of activities). Nearly all headquarters and administrative expenditure is met from the unrestricted contributions.

In 2001, the Netherlands was the largest donor of unrestricted resources, accounting for more than one quarter of all unrestricted funds. Norway and Denmark are also significant donors of unrestricted funds, accounting between them for approximately another quarter of total unrestricted resources.

8.4 Where does UNHCR spend humanitarian assistance?²

One of the striking things about UNHCR's geographical distribution is the fact that it is relatively evenly disbursed across countries. While in 2000 and 2001 Former Yugoslavia was by far the largest recipient, it still received only 13% and 8% of total expenditure respectively. Six other countries received between 3% and 5% each, leaving 68% to be spread among all other recipients.

Africa received around 40% of UNHCR assistance in 2001. Guinea, Ethiopia, Kenya and Uganda are all regular and major recipient countries. Twelve percent of total expenditure went to the Great Lakes in 2001 and 15% to South East Europe – down from 22% in 2000.

9 United Nations Children's Fund (UNICEF)

9.1 What is UNICEF's mandate on humanitarian assistance?

UNICEF was founded in 1946 to ease the suffering of children in Europe following World War II. It strives to create a world fit for children and meet the Millennium Goals, aiming at reducing childhood death and illness and at protecting children in the midst of war and natural disaster.

UNICEF's mandate calls on the organisation to work with all humanitarian actors in providing protection and special assistance to children in situations of armed conflict. In its Mission Statement, adopted by its Executive Board in 1996, *UNICEF is committed to ensuring special protection for the most disadvantaged children – victims of war, disasters, extreme poverty, all forms of violence and exploitation.* UNICEF focuses its assistance on health, nutrition, immunisation, education, water and sanitation. Recognising the role of women in the care, protection and upbringing of children, UNICEF targets its emergency assistance programmes to children and women.

UNICEF's humanitarian work is guided by the 1989 Convention on the Rights of the Child.

The 1979 Convention on the Elimination of all forms of Discrimination against Women (CEDAW) guides UNICEF's actions to enhance the protection of children and women, given their particular vulnerabilities where there is civil strife.

9.2 How much does UNICEF spend on humanitarian assistance?

Total humanitarian expenditure for the two years 2000–2001 was \$411m. Contributions for Emergency Relief and Rehabilitation more than doubled between the 1996–97 biennium and the 2000–01 biennium.

Since 1990 contributions to humanitarian resources have steadily increased. In the 1996–97 biennium, contributions for humanitarian activities accounted for 15% of total UNICEF resources. In the 2000–01 biennium, this had increased to more than 20%.

In responding to emergency needs, UNICEF can utilise resources for emergencies through six mechanisms. These include diversion of regular resources country programme funds of up to \$100,000; reprogramming

of regular resources within the country programme of amounts over \$100,000; reprogramming of existing regular or emergency resources and the US\$25m Emergency Programme Fund (EPF); reimbursable UN Central Emergency Revolving Fund (CERF); and resources received against emergency appeals.

9.3 What are UNICEF's main sources of income for humanitarian assistance?

In the two-year period 2000–2001, non-governmental sources accounted for almost 29% of total humanitarian resources, increasing from \$38m in 1996–97 to \$124m in 2000–01. Many of these resources are raised through the UNICEF National Committees – private not-for-profit organisations, primarily in industrialised countries, that support UNICEF programmes.

The US has been the largest governmental donor, followed closely by the Netherlands. UK contributions have quadrupled between the 1996–97 and 2000–01 bienniums, from \$9.5m to \$40m. Over the same period the Italian, Norwegian and Irish contributions have all trebled and Japan's contributions doubled to reach \$16m in 2000–01.

9.4 Where does UNICEF spend humanitarian assistance?

Sudan has been the single largest recipient of UNICEF humanitarian expenditure for each biennium. Other operations have expanded or declined according to the advent of specific crises – for example Rwanda, Bosnia and Herzegovina, Kosovo, East Timor or the Indian earthquake in 2000–01.

Expenditure for emergency relief and rehabilitation for Sub-Saharan Africa declined from 44% to 31% between 1996–2001. Expenditure for humanitarian assistance to Eastern Europe more than doubled from 1996–97 to 2000–01, when it was second to Sub-Saharan Africa.

The number of countries receiving humanitarian assistance in East Asia and the Americas increased over the period 1996 to 2001, although the overall amounts remain relatively small. Only China and DPR Korea received UNICEF humanitarian assistance in 1996–97 compared with seven East Asian countries in 2000–01.

10 United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA)

10.1 What is UNRWA's mandate on humanitarian assistance?

UNRWA became operational in 1950 to carry out direct relief and works programmes for Palestinian refugees. Originally envisaged as a temporary organisation, in light of the fact that the refugees continue to require the assistance of the international community, the UN General Assembly has repeatedly renewed UNRWA's mandate, most recently extending it until 20 June 2005. UNRWA has been the main provider of basic services – education, health, relief and social services – to four generations of Palestine refugees in the Middle East.

UNRWA aims to promote the human development of the Palestine refugees while also ensuring a minimum standard of nutrition, health and shelter for the most vulnerable. UNRWA assistance from its regular budget is provided through three main programmes:

- Education, which normally accounts for more than half of UNRWA expenditure;
- Health, usually accounting for about 20% of UNRWA expenditure;
- Relief and Social Services, usually accounting for approximately 10% of UNRWA's expenditure from the regular budget.

The Relief and Social Services programme, which provides socio-economic support for the most vulnerable of the Palestine refugees and helps to facilitate self-reliance, consists of two divisions: Relief, and Social Services. Only assistance provided as part of the Relief Division has been considered as comprising humanitarian activities. The assistance consists of food, a small cash subsidy and shelter repair. Over recent biennia, about 9% of UNRWA's total cash and in-kind regular budget has been for this relief work.

Between October 2000 and December 2001 UNRWA launched four Emergency Appeals (a Flash Appeal and three regular appeals) to fund special emergency activities in the West Bank and Gaza Strip to alleviate hardship caused by the intifadah. Two further emergency appeals have been launched covering the period 2002 to mid-2003. Emergency assistance has focused on alleviating the adverse impact of the economic downturn and the cycle of violence on the refugees. Resources have been devoted to employment generation, food aid, relief and social assistance, shelter repair and reconstruction, health assistance and emergency educational programmes

for children whose schooling has been interrupted by the conflict.

10.2 How much does UNRWA spend on humanitarian assistance?

UNRWA's total expenditure from the regular budget in 2001 was \$279m, of which \$29m was for Relief and Social Services.

Contributions to UNRWA's four emergency appeals between 2000 and 2001 totalled \$130m. These additional resources were equivalent to approximately one fifth of the total UNRWA regular budget for that biennium.

10.3 What are UNRWA's main sources of income for humanitarian assistance?

The US is the largest single contributor to UNRWA's regular budget, accounting for approximately 30% of total contributions each year. The EC has been consistently the second largest donor, accounting for roughly 15% of total UNRWA contributions.

In terms of UNRWA's regular budget, the UK contribution has increased significantly, from \$12m in 1996 to \$24m in 2001 – in both 2000 and 2001 the UK was the third largest donor.

Contributions from other traditionally strong donors such as Japan, Sweden and Denmark have declined over the period 1996–2001.

Contributions to the Emergency Appeals have followed a slightly different pattern and varied between appeals. The US for instance was a relatively small contributor to the Flash Appeal and the first appeal, but provided almost two thirds of the resources to the second appeal, and almost one quarter of the resources of the third appeal. The EC was a significant contributor only to the first and third appeals, when it provided roughly one quarter of total resources in each case. The Netherlands provided more than 39% of resources for the first appeal but ignored the others.

10.4 Where does UNRWA spend humanitarian assistance?

UNRWA's activities are in five countries: Jordan, Lebanon, Gaza Strip, West Bank, Syria. Of these Gaza Strip receives almost one third of total resources; West Bank, Lebanon and Jordan each receive between 15% and 20% and Syria around 8%.

11 World Food Programme (WFP)

11.1 What is WFP's mandate on humanitarian assistance?

Established in 1963, WFP is the food aid arm of the United Nations system, providing targeted food interventions for people who do not have enough food, or the resources to otherwise obtain food, that they and their households require for active, healthy lives

WFP humanitarian food assistance is provided through two main funding windows:

- Emergency Operations, which are typically supported up to a maximum of 12 months
- Protracted Relief and Recovery Operations (PRROs), which replace Emergency Operations after 12 months, and are intended to help to bridge the transition from emergency relief to development. Each PRRO may last for up to three years, although most are approved for between 18 and 24 months. However if humanitarian assistance continues to be required PRROs may be renewed, effectively indefinitely (or for as long as humanitarian assistance continues to be required), but for a maximum of three years each time.

WFP also obtains cash resources from donors in support of Special Operations. These are specific cash interventions intended to overcome major logistical bottlenecks hampering the implementation of large-scale humanitarian efforts. Typical Special Operations have been interventions to improve port capacities and turnaround times, improve rail transport networks, upgrade roads and bridges and provide air transport services where surface transport is not possible or too insecure.

11.2 How much does WFP spend on humanitarian assistance?

Although total WFP humanitarian expenditure has fluctuated during the period 1996–2001, there has been an overall trend for humanitarian expenditure to increase since the mid-1990s. In 1996 WFP humanitarian expenditure was nearly \$800m; by 2001 it had almost doubled to \$1.5b.

Humanitarian expenditure has also steadily increased as a proportion of total WFP expenditure from roughly one fifth at the beginning of the 1990s to four fifths of total WFP expenditure in 2001.

11.3 What are WFP's main sources of income?

Seven donors accounted for more than 90% of WFP's total humanitarian resources in 2001.

The USA has consistently been WFP's largest donor of humanitarian resources, and, apart from 1997 and 1998, has provided more than half of all WFP's humanitarian resources.

The second largest donor has been the EC, however its share has fallen, from a high of 18% in 1997 to 7.5% in 2001.

Japan is the third largest donor, usually followed by Netherlands and Germany.

Most humanitarian resources provided to WFP are earmarked, either for specific countries or for specific operations. Since 1997 (when new financing structures became fully operational) only 10%–15% of WFP humanitarian resources have been provided as truly multilateral (unearmarked) resources.

Sweden is the largest donor of unearmarked funding, providing between 70% and 100% of its resources as unearmarked since 1998. Other important donors of unearmarked funds are Netherlands and Norway.

11.4 Where does WFP spend humanitarian assistance?

A few very large humanitarian operations dominate spending. In 2001, five out of 79 humanitarian operations – DPR Korea, Ethiopia, Afghanistan, Kenya and Sudan – accounted for almost half of the total WFP humanitarian expenditures. These five countries have been consistently amongst the largest recipients of WFP humanitarian assistance since 1996.

Sub-Saharan Africa receives more than half of all humanitarian assistance in most years.

Asia has been the second largest recipient region each year, apart from 1996, when it was replaced by Eastern Europe and the CIS. Relatively little funding goes to Latin America and the Caribbean or the Middle East and North Africa. Even in 1999 the amount of humanitarian assistance provided to victims of Hurricane Mitch was still far exceeded by the amounts provided to DPR Korea, former Yugoslavia and Sudan in that same year.

12 World Health Organisation (WHO)

12.1 What is WHO's mandate on humanitarian assistance?

The World Health Organisation, the United Nations specialised agency for health, was established in 1948.

The WHO constitution states that WHO will 'act as the directing and co-ordinating authority on international health work' and 'furnish appropriate technical assistance and, in emergencies, necessary aid upon the request or acceptance of governments'. The Constitution also gives WHO a mandate 'to provide, or assist in providing, upon the request of the United Nations, health services and facilities to special groups . . .'

Since 1995 the ultimate objective of WHO in emergency and humanitarian action has been to help countries co-ordinate, implement and monitor health policies, infrastructure development and health relief operations in order to meet health challenges of wide-scale emergencies. This covers epidemics, natural and man-made disasters, including complex emergencies caused by civil unrest and armed conflict. WHO also has a precise but, in most cases, limited role in providing medical supplies and in managing large relief programmes on its own. In providing relief and humanitarian action in disaster situations, the primary concern of WHO is to ensure that health relief activities will further the rehabilitation of health care systems, emphasising the primary health care approach.

A core concept in WHO's humanitarian interventions is that of 'development continuum': the need to ensure an unbroken chain of congruent activities throughout emergency preparedness, emergency relief, rehabilitation and long term health development.

12.2 How much does WHO spend on humanitarian assistance?

Resources contributed to specific WHO emergency appeals have increased over recent years, from \$10m in 1997 to a high of \$29m in 2000 and \$26m in 2001.

WHO humanitarian activities have increased considerably since the 1994–95 biennium. This was made possible by a significant increase of extra-budgetary funding. Emergency preparedness programmes as well as the response to natural, technological and health emergencies are handled by country and regional offices with support and broad strategic directions from headquarters. As a result, much of WHO's humanitarian response is covered from resources contributed to core programmes, and cannot be separately identified.

12.3 What are WHO's main sources of income for humanitarian assistance?

In 2000 and 2001 the US, UK, the Nordic countries and Italy have been the largest donors to WHO emergency appeals, between them accounting for more than half of all resources.

12.4 Where does WHO spend humanitarian assistance?

In 2000, the largest share of WHO humanitarian resources was spent in parts of the former Yugoslavia and the Russian Federation. In 2001, the Eastern Mediterranean region (which includes Somalia, Sudan and Afghanistan) was the largest recipient with Afghanistan the largest individual country.

Notes

1. A full list of sources for each of these summaries can be found at www.globalhumanitarianassistance.org
2. Data on UNHCR expenditures have been extracted from reported disbursements defined as a budgetary allocation to specific countries or activities (but which may not have been actually spent). Prior to 1999, disbursements were reported through a number of different budgetary categories, but in 1999 these were combined into a single category entitled Programme Budget Disbursements. Thus data prior to 1999 have been similarly collated into a single programme category.

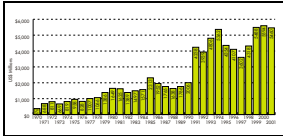
Abbreviations

ACP	African, Caribbean and Pacific States
CAP	UN Interagency Consolidated Appeal Process
CAP Country	Country that has been the subject of a UN Inter Agency Consolidated Appeal
CIS	Commonwealth of Independent States
CRED	Centre for Research on the Epidemiology of Disasters
CRS	Catholic Relief Services
CRS	DAC Creditor Reporting System
DAC	Development Assistance Committee of the Organisation for Economic Co-operation & Development (OECD)
DAH	Delegation a l'Action Humanitaire
DCHA	USAID department for Democracy, Conflict and Humanitarian Assistance
EC	Commission of the European Communities
ECHO	European Community Humanitarian Office
EU	European Union of Member States
FAO	Food and Agricultural Organisation of the UN
FRY	Former Republic of Yugoslavia
FTS	Financial Tracking System for humanitarian assistance operated by OCHA
GNI	Gross National Income
Humanitarian Assistance	All financial flows for humanitarian purposes
Humanitarian aid	ODA from DAC donors classed as humanitarian: total bilateral emergency and distress relief, total ODA for emergency and distress relief from the EC, total multilateral ODA to UNRWA and UNHCR, Multilateral ODA to WFP in proportion to WFP's humanitarian expenditure.
IASC	Inter-Agency Standing Committee
ICRC	International Committee of the Red Cross
IDPs	Internally Displaced Persons
IFRC	International Federation of Red Cross and Red Crescent Societies
Interfais	WFP international food aid information system
IOM	International Organisation for Migration
Multilateral ODA	Unearmarked ODA given to international organisations for disbursement entirely at the international organisation's own discretion
NGO	Non-Governmental Organisations
OCHA	UN Office for the Co-ordination of Humanitarian Affairs
ODA	Official Development Assistance
Humanitarian ODA	See Humanitarian aid
OECD	Organisation for Economic Co-operation and Development
OFDA	USAID Office of Foreign Disaster Assistance
PRM	US State Department, Bureau for Population, Refugees and Migration
SCF	Save the Children Fund
UNDP	United Nations Development Programme
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UNRWA	UN Relief and Works Agency for Palestine Refugees in the Near East
WFP	World Food Programme
WHO	World Health Organisation

A

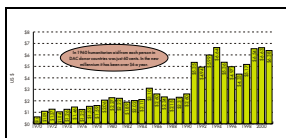
Appendix A: Data tables

Figure 2.1 Total humanitarian aid from DAC donors, constant (2000) prices (US\$ millions)



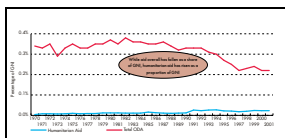
1970	0
1971	688
1972	811
1973	669
1974	819
1975	958
1976	828
1977	1,007
1978	1,066
1979	1,386
1980	1,649
1981	1,625
1982	1,389
1983	1,497
1984	1,571
1985	2,313
1986	1,952
1987	1,765
1988	1,638
1989	1,766
1990	2,006
1991	4,238
1992	3,939
1993	4,806
1994	5,362
1995	4,354
1996	4,107
1997	3,602
1998	4,318
1999	5,488
2000	5,594
2001	5,460

Figure 2.2 Total humanitarian aid per capita from DAC countries, constant (2000) prices (US \$)



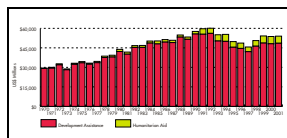
1970	0.60
1971	1.09
1972	1.27
1973	1.04
1974	1.26
1975	1.46
1976	1.25
1977	1.52
1978	1.59
1979	2.06
1980	2.27
1981	2.22
1982	1.89
1983	2.02
1984	2.11
1985	3.10
1986	2.60
1987	2.34
1988	2.15
1989	2.31
1990	2.60
1991	5.35
1992	4.94
1993	5.99
1994	6.64
1995	5.36
1996	4.97
1997	4.33
1998	5.17
1999	6.54
2000	6.63
2001	6.38

Figure 2.3 Humanitarian aid as a share of total ODA, constant (2000) prices (percentage of GNI)



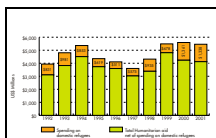
	Humanitarian Aid	Total ODA
1970	0.0040	0.3400
1971	0.0080	0.3300
1972	0.0080	0.3500
1973	0.0070	0.2900
1974	0.0080	0.3300
1975	0.0100	0.3500
1976	0.0080	0.3300
1977	0.0090	0.3300
1978	0.0090	0.3500
1979	0.0120	0.3500
1980	0.0120	0.3700
1981	0.0120	0.3500
1982	0.0110	0.3800
1983	0.0110	0.3600
1984	0.0110	0.3600
1985	0.0160	0.3500
1986	0.0130	0.3500
1987	0.0110	0.3600
1988	0.0100	0.3400
1989	0.0110	0.3200
1990	0.0120	0.3300
1991	0.0260	0.3300
1992	0.0230	0.3300
1993	0.0260	0.3100
1994	0.0270	0.3000
1995	0.0220	0.2700
1996	0.0210	0.2500
1997	0.0180	0.2200
1998	0.0200	0.2300
1999	0.0240	0.2400
2000	0.0230	0.2200
2001	0.0230	0.2200

Figure 2.4 Humanitarian aid as a share of total ODA, constant (2000) prices (US\$ millions)



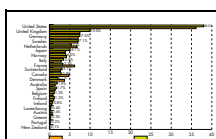
	Development Assistance	Humanitarian Aid
1970	29,121	376
1971	29,348	688
1972	31,917	811
1973	28,131	669
1974	32,350	819
1975	33,462	958
1976	32,413	828
1977	33,579	1,007
1978	37,577	1,066
1979	37,953	1,386
1980	42,195	1,649
1981	40,122	1,625
1982	45,338	1,389
1983	45,358	1,497
1984	48,667	1,571
1985	48,008	2,313
1986	49,405	1,952
1987	49,054	1,765
1988	53,251	1,638
1989	51,576	1,766
1990	55,637	2,006
1991	55,461	4,238
1992	56,149	3,939
1993	50,260	4,806
1994	49,998	5,362
1995	45,459	4,354
1996	44,565	4,107
1997	42,063	3,602
1998	46,275	4,318
1999	48,670	5,488
2000	48,140	5,594
2001	48,540	5,460

Figure 2.5 Total humanitarian aid from DAC donors, showing expenditure on domestic refugees, constant (2000) prices (US\$ millions)



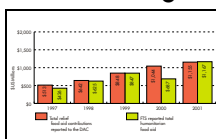
	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001
Total humanitarian aid net spending on domestic refugees	3,107	3,825	4,509	3,735	3,596	3,027	3,384	4,810	4,233	4,122
Spending on domestic refugees	831	981	853	619	511	575	935	678	1,361	1,338

Figure 2.6 Donor shares of total humanitarian aid with and without domestic refugees 2001



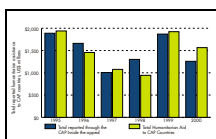
	Share of humanitarian aid excluding domestic refugee costs	Share of humanitarian aid with domestic refugees included
United States	38	36.1
United Kingdom	10	7.5
Germany	7.5	7.1
Sweden	7.1	7
Netherlands	5.4	6.8
Japan	5.1	3.9
Norway	4	4.2
Italy	3.5	2.9
France	3.3	6.2
Switzerland	3.1	2.7
Canada	2.9	4.8
Denmark	2.1	3.7
Australia	1.9	1.4
Spain	1.7	1.4
Belgium	1.2	0.9
Finland	1.2	1.1
Ireland	0.8	0.6
Luxembourg	0.4	0.3
Austria	0.4	0.7
Greece	0.3	0.3
Portugal	0.2	0.2
New Zealand	0.1	0.1

Figure 2.7 Estimated Relief Food Aid – FTS and DAC data compared (US \$millions)



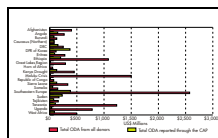
	1997	1998	1999	2000	2001
Total relief food aid contributions reported to the DAC	513	642	848	1,044	1,155
FTS reported total humanitarian food aid	426	625	847	687	1,167

Figure 2.8 Humanitarian assistance: comparing DAC and FTS reported funding to Consolidated Appeal countries (US \$millions)



	1995	1996	1997	1998	1999	2000
Total reported through the CAP Inside the appeal	1,888	1,661	1,006	1,301	1,869	1,258
Total humanitarian aid to CAP countries	1,939	1,456	1,077	943	1,923	1,565

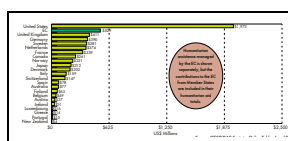
Figure 2.9 Total ODA to CAP countries as reported by FTS and DAC in 2001 (US\$ millions)



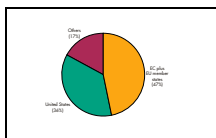
	Total ODA reported through the CAP	Total ODA from all donors
Afghanistan ¹	3	402
Angola	149	268
Burundi	81	131
Caucasus (Northern)	84	84
DRC	153	251
DPR of Korea	375	119
Eritrea	92	280
Ethiopia	202	1080
Great Lakes Region	17	291
Horn of Africa	1	55
Kenya Drought	130	453
Maluku Crisis	13	1501
Republic of Congo	16	75
Sierra Leone	130	334
Somalia	54	149
Southeastern Europe	382	2574
Sudan	232	172
Tajikistan	75	159
Tanzania	105	1233
Uganda	39	783
West Africa	88	496

1. Although the Afghanistan CAP was launched in 2001, all contributions are recorded on the FTS as 2002, when contributions/pledges amounted to \$1.1b.

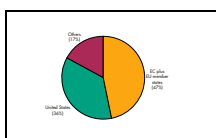
Figure 2.10 Humanitarian aid from DAC donors in 2001 (US\$ millions)



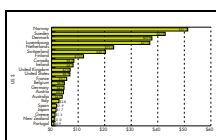
United States	1,973
EC	529
United Kingdom	411
Germany	390
Sweden	381
Netherlands	374
France	339
Canada	261
Norway	231
Japan	212
Denmark	202
Italy	159
Switzerland	147
Spain	78
Australia	77
Finland	63
Belgium	49
Austria	37
Ireland	31
Luxembourg	16
Greece	14
Portugal	10
New Zealand	4

Figure 2.11 Humanitarian aid from the USA, European Union and other donors in 2001

EC plus EU member states	47%	2,553
United States	36%	1,973
Others	17%	933

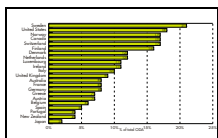
Figure 2.12 Total humanitarian aid from DAC Donors in 2001

United States	36%	1,973
United Kingdom	8%	411
Germany	7%	390
Sweden	7%	381
Netherlands	7%	374
France	6%	339
Canada	5%	261
Norway	4%	231
Japan	4%	212
Denmark	4%	202
Other DAC Donors	13%	685

Figure 2.13 Humanitarian aid from DAC donors, \$ per head, 2001 (US \$)

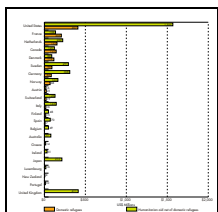
Norway	51.30
Sweden	42.80
Denmark	37.80
Luxembourg	37.00
Netherlands	23.40
Switzerland	20.30
Finland	12.00
Canada	8.40
Ireland	8.10
United Kingdom	7.00
United States	6.90
France	5.70
Belgium	4.80
Germany	4.70
Austria	4.50
Australia	4.00
Italy	2.80
Spain	1.90
Japan	1.70
Greece	1.30
New Zealand	1.00
Portugal	0.90

Figure 2.14 Humanitarian aid as a percentage share of ODA 2001

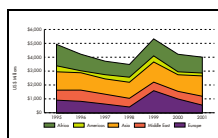


Sweden	21%
United States	18%
Norway	17%
Canada	17%
Switzerland	17%
Finland	16%
Denmark	12%
Netherlands	12%
Luxembourg	11%
Ireland	11%
Italy	10%
United Kingdom	9%
Australia	8%
France	8%
Germany	8%
Greece	7%
Austria	7%
Belgium	6%
Spain	5%
Portugal	4%
New Zealand	4%
Japan	2%

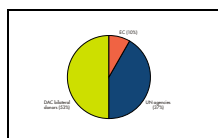
Figure 2.15 Humanitarian aid showing expenditure on domestic refugees by donor 2001 (US\$ millions)



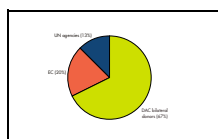
	Humanitarian aid net of domestic refugees	Domestic refugees
United States	1,566	407
France	134	205
Netherlands	222	152
Canada	120	142
Denmark	88	114
Sweden	291	90
Germany	308	82
Norway	163	68
Austria	16	21
Switzerland	128	19
Italy	143	16
Finland	48	15
Spain	70	7
Belgium	49	0
Australia	77	0
Greece	14	0
Ireland	31	0
Japan	212	0
Luxembourg	16	0
New Zealand	4	0
Portugal	10	0
United Kingdom	411	0

Figure 2.16 Regional distribution of humanitarian aid 1995–2001 (US\$ millions)

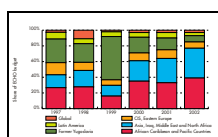
	1995	1996	1997	1998	1999	2000	2001
Europe	906	823	624	414	1,588	991	547
Middle East	722	807	712	624	618	551	642
Asia	1,322	1,252	1,103	1,157	1,452	1,195	1,465
Americas	433	144	304	366	440	211	208
Africa	1,544	1,192	971	917	1,224	1,265	1,144

Figure 2.17 Share of humanitarian aid to Sub-Saharan Africa from bilateral donors, the EC and UN agencies 2000

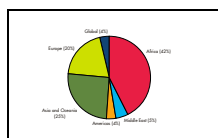
EC	10%	106.17
DAC bilateral donors	53%	535.01
UN agencies	37%	641.18

Figure 2.18 Share of humanitarian aid to Europe from bilateral donors, the EC and UN agencies 2000

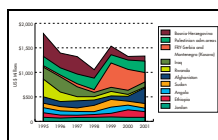
DAC bilateral donors	67%	671.09
EC	20%	196.34
UN agencies	13%	124.11

Figure 2.19 ECHO humanitarian assistance expenditure by region

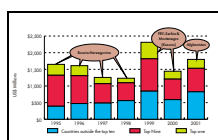
	1997	1998	1999	2000	2001	2002
African Caribbean and Pacific Countries	26.7	27.7	16	35	33	39
Asia, Iraq, Middle East and North Africa	16.4	21	13.7	26	31	38
CIS, Eastern Europe	15.5	10.3	7	10	11	8
Former Yugoslavia	30.1	23.8	55.2	20	15	8
Latin America	8.6	6.2	6	6	7	4
Global	2.7	11	2.1	3	3	3

Figure 2.20 Regional allocation of total UN, Red Cross Agency and IOM humanitarian assistance 2001

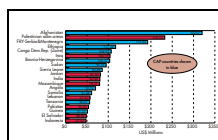
Africa	42%	1,405
Middle East	5%	160
Americas	4%	122
Asia and Oceania	25%	838
Europe	20%	654
Global	4%	123

Figure 2.21 Top ten recipients of humanitarian aid 1995–2000 (US\$ millions)

	1995	1996	1997	1998	1999	2000	2001
Jordan	83	67	79	82	90	82	82
Ethiopia	92	61	46	57	74	153	117
Angola	104	85	76	59	126	96	70
Sudan	91	88	73	129	157	80	95
Afghanistan	130	103	145	108	72	99	320
Rwanda	361	194	84	68	92	39	16
Iraq	244	311	202	87	83	85	104
FRY-Serbia & Montenegro (Kosovo)	30	36	62	57	497	426	192
Palestinian adm. areas	189	147	198	235	168	191	233
Bosnia-Herzegovina	466	301	355	172	175	73	103

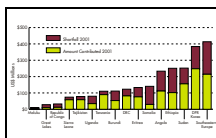
Figure 2.22 Concentration of bilateral humanitarian aid 1995–2001 (US\$ millions)

	1995	1996	1997	1998	1999	2000	2001
Countries outside the top ten	390	472	486	559	843	589	825
Top Nine	931	837	583	536	972	616	704
Top one	327	300	187	136	495	237	268

Figure 2.23 Top twenty recipients of humanitarian aid from DAC donors in 2001 (US\$ millions)

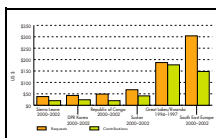
Afghanistan	320
Palestinian adm. areas	232
FRY-Serbia & Montenegro	192
Ethiopia	117
Congo Dem. Rep. (Zaire)	106
Iraq	104
Bosnia-Herzegovina	103
Sudan	95
Sierra Leone	85
Jordan	81
India	80
Mozambique	79
Angola	70
Somalia	61
Lebanon	57
Tanzania	56
Pakistan	53
Guinea	51
El Salvador	48
Indonesia	47

Figure 2.24 Contributions to selected CAPs and shortfalls against requested funds 2001 (US\$ millions)



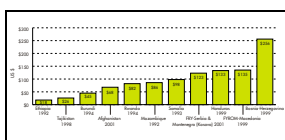
	Amount Contributed 2001	Shortfall 2001
Maluku	3	7
Great Lakes	9	18
Republic of Congo	12	20
Sierra Leone	58	16
Tajikistan	58	19
Uganda	34	45
Tanzania	89	20
Burundi	53	58
DRC	81	40
Eritrea	76	57
Somalia	29	110
Angola	111	121
Ethiopia	102	148
Sudan	155	96
DPR Korea	247	136
Southeastern Europe	214	198

Figure 2.25 Amounts requested and contributed per beneficiary 2001, selected CAPs (US \$)



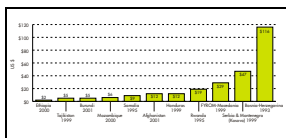
	Requests	Contributions
Sierra Leone 2000–2002	38	20
DPR Korea 2000–2002	43	24
Republic of Congo 2000–2002	49	20
Sudan 2000–2002	68	41
Great Lakes/Rwanda 1994–1997	187	177
South East Europe 2000–2002	304	148

Figure 2.26 Total ODA per head of population in selected crisis affected countries, year of highest spending (US \$)



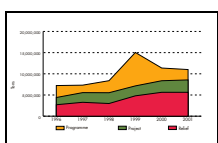
Ethiopia 1992	18
Tajikistan 1998	26
Burundi 1994	45
Afghanistan 2001	68
Rwanda 1994	82
Mozambique 1992	86
Somalia 1993	98
FRY-Serbia & Montenegro (Kosovo) 2001	123
Honduras 1999	133
FYROM-Macedonia 1999	135
Bosnia-Herzegovina 1999	256

Figure 2.27 Bilateral humanitarian aid per head of population in crisis affected countries, year of highest spending (US \$)



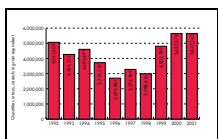
Ethiopia 2000	2
Tajikistan 1999	5
Burundi 2001	5
Mozambique 2000	6
Somalia 1995	9
Afghanistan 2001	12
Honduras 1999	12
Rwanda 1995	19
FYROM-Macedonia 1999	29
Serbia & Montenegro (Kosovo) 1999	47
Bosnia-Herzegovina 1993	116

Figure 2.28 Total Food Aid Deliveries 1996–2001 (Tons)



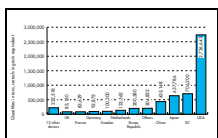
	1996	1997	1998	1999	2000	2001
Relief	2,699,890	3,276,370	2,988,620	4,802,790	5,637,380	5,637,240
Project	1,707,550	2,283,690	2,547,090	2,344,640	2,729,480	2,923,540
Programme	2,820,910	1,761,850	2,839,820	7,887,470	2,999,900	2,444,670

Figure 2.29 Total humanitarian food aid deliveries, 1992–2001 (Quantities in tons, cereals in grain equivalent)

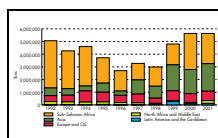


1992	1993	1994	1995	1996	1997	1998	1999	2000	2001
5,061,610	4,264,310	4,600,490	3,719,720	2,699,890	3,276,370	2,988,620	4,802,790	5,637,380	5,637,240

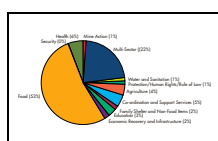
Figure 2.30 Humanitarian food aid deliveries by donor 2001 (Quantities in tons, cereals in grain equivalent)



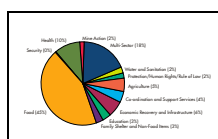
12 Other donors	222,518
U.K.	83,180
France	83,629
Germany	92,875
Sweden	100,300
Netherlands	133,562
Korea Republic	200,580
Others	204,822
China	435,148
Japan	637,786
EC	706,200
USA	2,736,640

Figure 2.31 Humanitarian food aid deliveries in tons by region 1992–2001 (Tons)

	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001
Latin America and the Caribbean	12,539	33,068	27,544	37,272	11,780	14,919	38,143	257,074	91,331	117,738
North Africa and Middle East	252,406	207,209	195,643	199,826	174,972	152,145	86,705	80,854	106,177	221,113
Europe and CIS	463,383	524,624	881,150	765,370	568,797	685,752	406,609	775,108	694,430	744,670
Asia	608,310	515,095	388,060	716,466	338,098	1,120,470	942,489	2,048,740	1,901,450	2,170,880
Sub-Saharan Africa	3,724,970	2,984,320	3,108,090	2,000,780	1,606,240	1,303,080	1,514,670	1,641,020	2,843,990	2,382,840

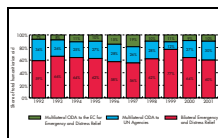
Figure 2.32 Sectoral allocation of contributions to the CAP 2002

Agriculture	4%	102,498,000
Co-ordination and support services	5%	116,661,000
Economic recovery and infrastructure	2%	37,558,300
Education	3%	79,603,800
Family shelter and non-food items	2%	49,669,600
Food	53%	1,308,660,000
Security	0%	3,458,960
Health	6%	141,162,000
Mine action	1%	29,333,500
Multi-sector	22%	541,732,000
Protection/human rights/rule of law	1%	31,747,700
Water and sanitation	1%	33,966,800

Figure 2.33 Sectoral allocation of CAP funding requests in 2002

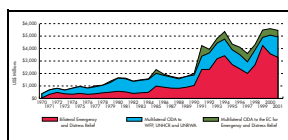
Agriculture	5%	232,775,000
Co-ordination and support services	4%	194,494,000
Economic recovery and infrastructure	6%	278,605,000
Education	3%	154,549,000
Family shelter and non-food items	3%	125,102,000
Food	45%	1,983,790,000
Security	0%	14,310,100
Health	10%	452,866,000
Mine action	2%	77,423,200
Multi-sector	18%	816,550,000
Protection/human rights/rule of law	2%	106,628,000
Water and sanitation	2%	93,329,700

Figure 2.34 Bilateral, UN and EC multilateral shares of humanitarian aid 1992–2001 (Share of total humanitarian aid)



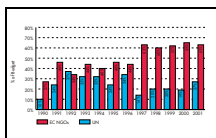
	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001
Bilateral emergency and distress relief	59	66	64	62	57	55	62	77	64	60
Multilateral ODA to UN agencies	34	26	25	27	27	25	28	12	27	30
Multilateral ODA to the EC for emergency and distress relief	7	8	11	10	14	18	10	11	9	10

Figure 2.35 Volume of humanitarian aid spent bilaterally and as multilateral (unearmarked) allocations to the EC and UN agencies, constant (2000) prices (US\$ millions)



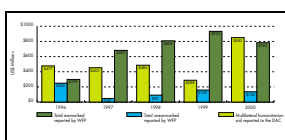
	Bilateral emergency and distress relief	Multilateral ODA to WFP, UNHCR and UNRWA	Multilateral ODA to the EC for emergency and distress relief
1970	41	335	0
1971	329	360	0
1972	481	330	0
1973	373	296	0
1974	335	484	0
1975	403	555	0
1976	331	497	0
1977	372	563	73
1978	451	605	9
1979	504	781	102
1980	575	1,057	17
1981	522	1,052	52
1982	399	966	24
1983	450	1,007	40
1984	487	1,040	44
1985	988	1,025	300
1986	904	947	101
1987	822	892	51
1988	812	759	67
1989	899	867	0
1990	1,041	836	128
1991	2,320	1,063	854
1992	2,329	1,325	285
1993	3,175	1,254	377
1994	3,428	1,327	607
1995	2,714	1,187	454
1996	2,373	1,139	596
1997	2,003	930	669
1998	2,697	1,197	425
1999	4,245	649	594
2000	3,574	1,502	519
2001	3,300	1,630	529

Figure 2.36 Shares of ECHO budget channelled through EC NGOs and UN agencies (% of budget)



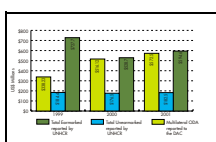
	UN	EC NGOs
1990	10%	27%
1991	24%	46%
1992	37%	34%
1993	32%	44%
1994	32%	40%
1995	24%	46%
1996	34%	44%
1997	14%	63%
1998	20%	60%
1999	20%	62%
2000	19%	65%
2001	27%	63%

Figure 2.37 Earmarked and unearmarked funds to WFP in \$m current prices (US\$ millions)



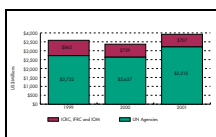
	Multilateral humanitarian aid reported to the DAC	Total unearmarked reported by WFP	Total earmarked reported by WFP
1996	477	250	299
1997	453	48	682
1998	486	92	808
1999	288	159	933
2000	850	136	783

Figure 2.38 Earmarked and unearmarked funds to UNHCR in \$m current prices (US\$ millions)



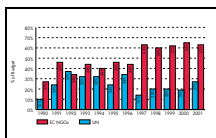
	Multilateral ODA reported to the DAC	Total unearmarked reported by UNHCR	Total earmarked reported by UNHCR
1999	338.23	184.4	727.7
2000	516.12	176.5	528.7
2001	572.5	182.5	594.6

Figure 2.39 Humanitarian assistance from UN agencies, ICRC, IFRC and IOM (US\$ millions)



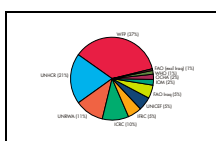
	UN Agencies	ICRC, IFRC and IOM
1999	2,722	862
2000	2,637	729
2001	3,215	707

Figure 2.40 Total reported humanitarian assistance from UN agencies and International Organisations (US\$ millions)



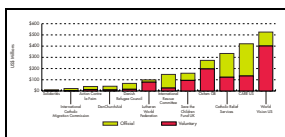
	2000	2001
WHO	0	26
FAO (excl Iraq)	65	57
OCHA	80	80
IOM	81	87
FAO Iraq	296	204
UNICEF	207	207
IFRC	183	215
ICRC	465	405
UNRWA	338	443
UNHCR	704	773
WFP	946	1426

Figure 2.41 Humanitarian assistance from UN and Red Cross agencies 2001



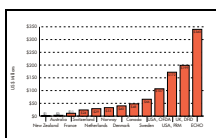
WHO	1%	26
FAO (excl Iraq)	1%	57
OCHA	2%	80
IOM	2%	87
FAO Iraq	5%	204
UNICEF	5%	207
IFRC	5%	215
ICRC	10%	405
UNRWA	11%	443
UNHCR	21%	773
WFP	37%	1,426

Figure 2.42 Voluntary and official income to selected NGOs in 2001 (US\$ thousands)



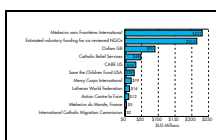
	Voluntary	Official
Solidarités	3,644	6,921
International Catholic Migration Commission	3,204	18,692
Action Contre la Faim	11,897	28,179
DanChurchAid	9,685	32,488
Danish Refugee Cou.	15,163	52,375
Lutheran World Federation	78,700	20,100
International Rescue Committee	26,195	121,499
Save the Children Fund UK	94,654	63,537
Oxfam GB	196,778	76,012
Catholic Relief Services	122,739	211,684
CARE US	133,777	287,182
World Vision US	401,261	124,089

Figure 2.43 Official humanitarian assistance spent through NGOs in 2001 (US\$ millions)

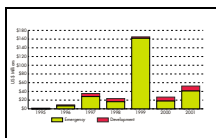


New Zealand	1
Australia	3
France	11
Switzerland	24
Netherlands	29
Norway	33
Denmark	40
Canada	48
Sweden	66
USA, OFDA	107
USA, PRM	172
UK, DFID	199
ECHO	340

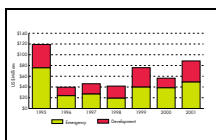
Figure 2.44 Estimated voluntary contributions to NGOs for Humanitarian Assistance in 2001 (\$US millions)



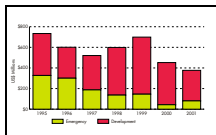
Médecins sans Frontières International	231
Estimated voluntary humanitarian funding for six NGOs	215
Oxfam GB	90
Catholic Relief Services	48
CARE US	33
Save the Children Fund USA	28
Mercy Corps International	19
Lutheran World Federation	14
Action Contre la Faim	12
Médecins du Monde, France	5
International Catholic Migration Commission	2

Figure 3.1 DPR Korea – emergency and development assistance compared (US\$ millions)

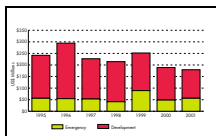
	1995	1996	1997	1998	1999	2000	2001
Emergency	0	6	28	16	161	17	40
Development	1	2	7	7	3	9	11

Figure 3.2 Somalia – emergency and development assistance compared (US\$ millions)

	1995	1996	1997	1998	1999	2000	2001
Emergency	75	23	26	19	39	38	49
Development	43	15	19	22	36	17	39

Figure 3.3 Bosnia Herzegovina – emergency and development assistance compared (US\$ millions)

	1995	1996	1997	1998	1999	2000	2001
Emergency	327	300	187	136	145	43	80
Development	406	300	333	462	553	409	296

Figure 3.4 Angola – emergency and development assistance compared (US\$ millions)

	1995	1996	1997	1998	1999	2000	2001
Emergency	56	54	52	41	89	48	56
Development	185	240	174	173	162	140	123

Further data is available to download as Excel spreadsheets at the web links below:

Table GHA2003	Chapter3: Donors to OCHA, 1998–2001 (US\$ millions) http://www.globalhumanitarianassistance.org/GHA2003/Ch5/ghtableochafin.xls
Table 4.2.1	Donors to FAO Humanitarian Assistance Programme, 1996–2001 (US\$ millions)
Table 4.2.2	FAO humanitarian expenditure, 1996–2001 (US\$ millions) http://www.globalhumanitarianassistance.org/GHA2003/Ch5/ghtablefaofin.xls
Table 4.3.1	Contributions to ICRC emergency appeals, 1996–2001 (cash/kind/services in US\$ millions)
Table 4.3.2	ICRC expenditures, 1997–2001 (US\$ millions)
Table 4.3.3	ICRC total expenditure 1996–2001 (US\$ millions) http://www.globalhumanitarianassistance.org/GHA2003/Ch5/ghtableicrcfin.xls
Table 4.4.1	Donors to IFRC (cash, kind and services) (US\$ millions)
Table 4.4.2	IFRC expenditure by region (cash, kind and services) (US\$ millions)
Table 4.4.3	IFRC appeals 1996–2001 (US\$ millions sought and response in cash, kind, services) http://www.globalhumanitarianassistance.org/GHA2003/Ch5/ghtableifrfin.xls
Table 4.5.1	Voluntary contributions to IOM operational programmes, 1998–2001 (US\$ millions)
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Table 4.7.1	UNDP core funding (TRAC 1.1.3) of crisis prevention and recovery, 1997–2000 (US\$ millions) http://www.globalhumanitarianassistance.org/GHA2003/Ch5/ghtableundpfin.xls
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Table 4.9.1 Donors to UNICEF humanitarian resources 1996–21 (US\$ millions)

Table 4.9.2 UNICEF humanitarian expenditures, 1996–2001 (US\$ millions)

<http://www.globalhumanitarianassistance.org/GHA2003/Ch5/ghtableuniceffin.xls>

Table 4.10.1 Contributions to UNRWA regular budget, 1996–2001 (US\$ millions)

Table 4.10.2 UNRWA budgeted expenditure for relief and social services, 1997–2001 (US\$ millions)

Table 4.10.3 Total UNWRA expenditures 1996–2001 (US\$ millions)

Table 4.10.4 Responses to UNRWA appeals 2000 and 2001

Table 4.10.5 UNRWA actual expenditures under regular and non-regular budget by field 1996–2001

<http://www.globalhumanitarianassistance.org/GHA2003/Ch5/ghtableunrwafin.xls>

Table 4.11.1 Donors to WFP, 1996–2001 (US\$ millions)

Table 4.11.2 WFP humanitarian operational expenditures by country and region 1996–2001 (US\$ thousands)

Table 4.11.3 Total WFP expenditure 1997–2001 (US\$ millions)

<http://www.globalhumanitarianassistance.org/GHA2003/Ch5/gtablewfpfin.xls>

Table 4.12.1 Donors to WHO humanitarian resources, 2000–2001 (US\$ millions)

Table 4.12.2 WHO humanitarian expenditure 2000–2001 (US\$ millions)

<http://www.globalhumanitarianassistance.org/GHA2003/Ch5/gtablewhofin.xls>