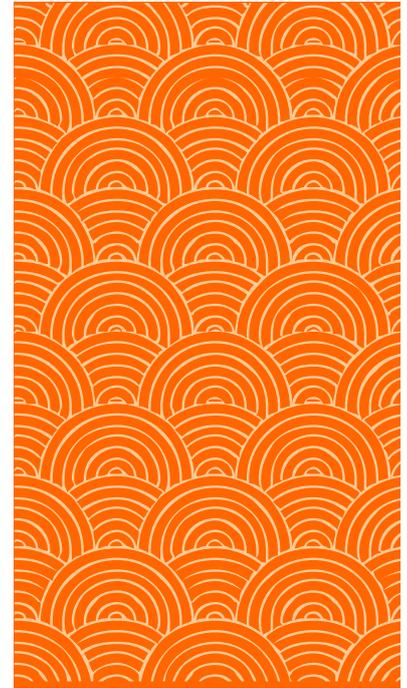


**10 YEARS ON**

**HOW ARE DONORS  
IMPLEMENTING THE GOOD  
HUMANITARIAN DONORSHIP  
PRINCIPLES?**



# GHD INDICATORS

## HOW ARE DONORS IMPLEMENTING THE GOOD HUMANITARIAN DONORSHIP PRINCIPLES?

### FOREWORD

Ten years ago, a group of 17 donors, including the European Commission, agreed on a set of 23 principles and best practices for what it implies to be a good humanitarian donor. Since then, 24 more donor governments have signed on. A core concept for the GHD principles is accountability; i.e. to allow ourselves to be scrutinized, to listen to the critique from beneficiaries and other stakeholders and to learn from our own mistakes, and our successes, and the good practices of others.

It is in this spirit of GHD-accountability that we naturally ask ourselves how we are doing in terms of implementing the principles and good practices that we have signed on to.

At the High-level meeting of the Good Humanitarian Donorship initiative held in New York in July 2012, member states agreed to undertake a self-assessment of donor performance against the Good Humanitarian Donorship principles, using selected analytical data. All elements of this review process were defined in the adopted document *Review of Good Humanitarian Donorship Indicators: Phase Two*.

The result of the self-assessment is presented in this report which provides a useful overview of how we as donors are working to implement the 23 principles and good practices. It also highlights a number of good practices for implementation which will hopefully be of mutual inspiration to all of us.

Denmark and the Czech Republic would like to express our thanks to all colleagues who actively participated in the review of the GHD indicators since 2010, in particularly Mr. Jean-Michel Swalens from Belgium, chair of the standing work stream on indicators, and Ms Rachel Scott, Senior Humanitarian Advisor at the OECD/DAC, for their analytical work on this report.

*Denmark and the Czech Republic  
GHD co-chairs 2013*

## What is Good Humanitarian Donorship?

In 2003 the Government of Sweden convened a meeting to discuss good humanitarian donorship, during which the 23 [Principles and Good Practice of Humanitarian Donorship](#) were agreed. The meeting was attended by representatives from 17 donors (including the European Commission), the OECD, the International Red Cross and Red Crescent Movement, NGOs, and academics.

The 23 Principles and Good Practice defined by the group provide both a framework to guide official humanitarian aid and a mechanism for encouraging greater donor accountability. These were drawn up to enhance the coherence and effectiveness of donor action, as well as their accountability to beneficiaries, implementing organisations and domestic constituencies, with regard to the funding, co-ordination, follow-up and evaluation of such actions.

At the end of 2012, [41 donors](#) had signed the Good Humanitarian Donorship principles.

## Why this review?

This review is intended to be a simple yet robust mechanism for assessing the GHD donors' collective success in implementing the 23 Principles and Good Practice of Good Humanitarian Donorship. The review covers the period up until 31 December 2012.

The goal of the process is two-fold: firstly to allow GHD donors to reflect internally on their humanitarian strategies and practices in the light of the GHD principles; and secondly to provide the GHD community with valuable information about the interdependence between members' individual and collective decisions and responses related to their humanitarian portfolios.

## Approach

The analytical criteria for this review have been designed to support self-assessment through a questionnaire sent to all members. The criteria focus mainly on qualitative aspects (policies, processes and instruments) rather than quantitative elements (compliance with prescriptive allocation models or funding flows).

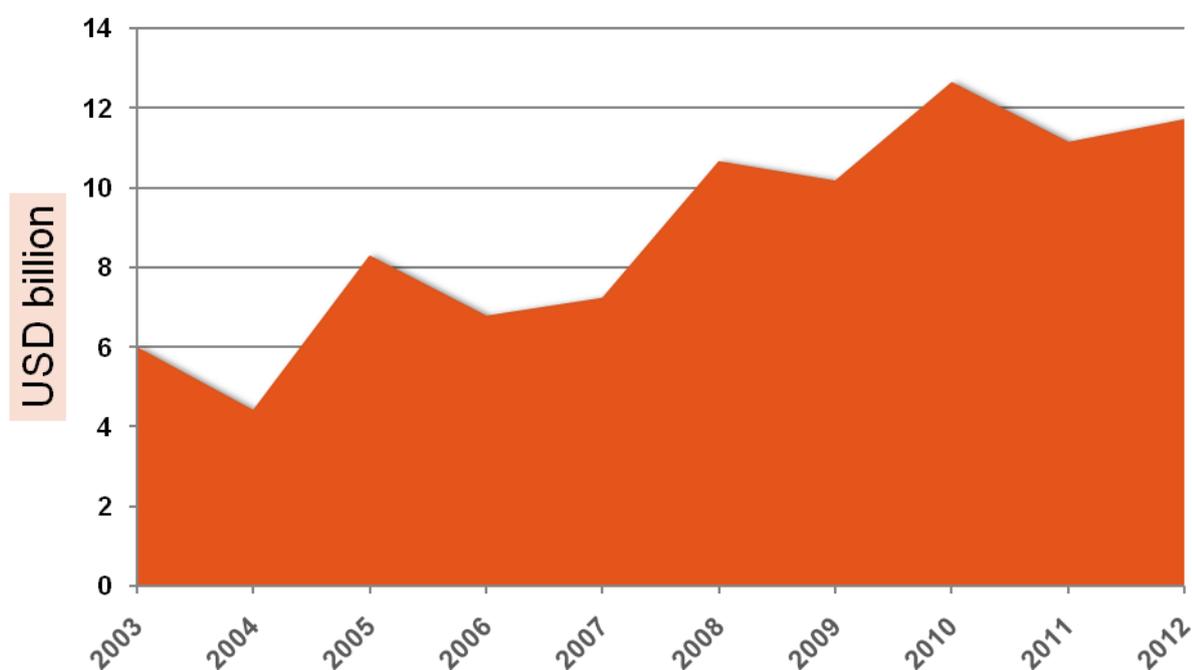
The principles and relevant questions have been grouped under eight sections, which loosely follow the [OECD/DAC Peer Review](#) framework. The GHD approach, however, will not be a replica of the OECD/DAC Peer Review process, but will be aimed at promoting self-reflection and improvement through engagement and collaboration within the GHD Group.

The analysis was based on the responses provided by individual GHD members. Responses have been grouped to show how individual GHD donors are implementing the principles – highlighting the frequency with which different methods, systems and guidance are used.

For each area of the GHD principles, one or more good practices have been highlighted. These good practices demonstrate interesting and/or innovative and effective approaches to areas of humanitarian donorship by different GHD donors.

## WHO ARE THE GHD DONORS?

Humanitarian assistance from GHD donors  
2003-2012



### 27GHD donors contributed to this self-assessment

Australia	Belgium	Canada	Croatia
Czech Republic	Denmark	Estonia	European Commission
Finland	France	Germany	Hungary
Ireland	Italy	Japan	Liechtenstein
Luxembourg	Netherlands	New Zealand	Poland
Republic of Korea	Slovak Republic	Spain	Sweden
Switzerland	United Kingdom	United States of America	

### These 27 donors represent:

**94.6%** of all funding under the good humanitarian donorship principles in 2012

**92%** of total recorded humanitarian funding from state donors in 2012

Source: OCHA Financial Tracking System

# HOW ARE DONORS IMPLEMENTING THE GHD PRINCIPLES?

## 1. HOW ARE THE GHD PRINCIPLES INTEGRATED INTO YOUR GOVERNMENT / INSTITUTION STRATEGY AND POLICY FRAMEWORK(GHD 1,2,3)?

The GHD principles are:

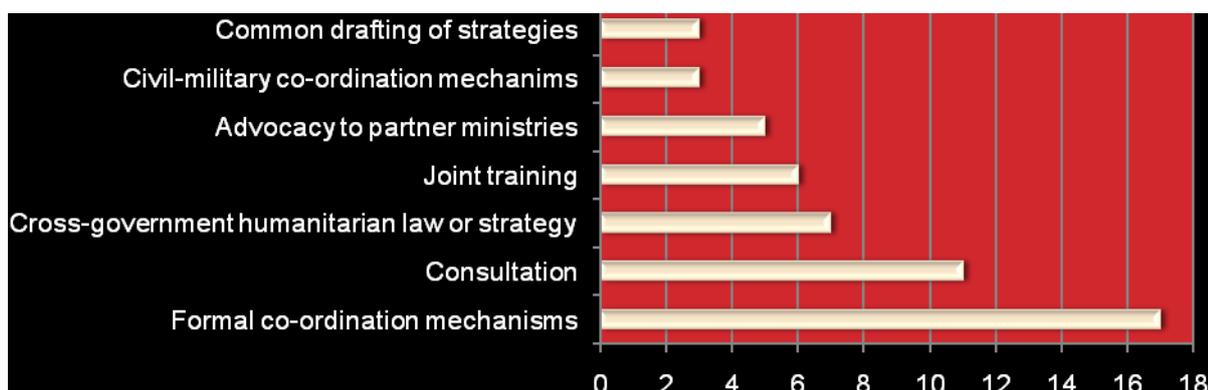


These results show the continued importance of the GHD principles for donors. Most respondents have positioned the GHD principles as a key part of their humanitarian strategies, with four donors going further and enshrining the principles in law. However, these results can be tempered by other findings from this self-assessment (see question 2), which show that donor humanitarian strategies are not always applicable across government.

### Good practice from Italy:

On the 8th of June 2012 Italy approved a specific document named 'Linee Guida per l'Aiuto Umanitario', which endorses the principles contained in the Good Humanitarian Donorship Initiative and defines appropriate future actions to update its internal humanitarian action to the GHD principles. The guidelines are provided with a specific grid of qualitative indicators - called "Marker" - to verify and measure the actual application of the GHD principles to bilateral humanitarian initiatives. Besides, in July 2012, Italy adopted new standardized formats for bilateral humanitarian initiatives, which pay particular attention to aid effectiveness and GHD principles, enabling the DGCS to monitor their application. In addition, as EU Member State, Italian humanitarian action is based also on the EU Consensus on Humanitarian Aid and the related action plan adopted in 2008.

## 2. HOW DO YOU CO-OPERATE WITH OTHER RELEVANT MINISTRIES/DEPARTMENTS TO ENSURE THAT GHD PRINCIPLES ARE RESPECTED IN OTHER POLICIES AND PROGRAMMES (DEVELOPMENT, SECURITY, ECONOMIC, ETC)(GHD 2,4,19,20)?



Ensuring that humanitarian donorship principles are respected across government remains a challenge for many donors. Power dynamics play a significant role in this – humanitarians are unlikely to be the power brokers in a whole-of-government discussion that brings together colleagues from diplomacy, development, and defense, and perhaps also those who defend national economic interests. To promote greater respect and understanding of humanitarian principles across government, humanitarian donor staff use a variety of tools – the most common being participation in formal co-ordination structures.

The GHD group could review this difficult area, and share member experiences of the different tools for cross-government co-operation, including the advantages and disadvantages of formal structures as opposed to other forms of outreach and inter-ministerial consultation.

### **Good practice from Canada:**

*Canada's humanitarian assistance programming decisions are informed by formal consultation mechanisms across relevant government departments. This ensures coherence and coordination between Canadian foreign policy relating to humanitarian affairs and Canada's humanitarian response.*

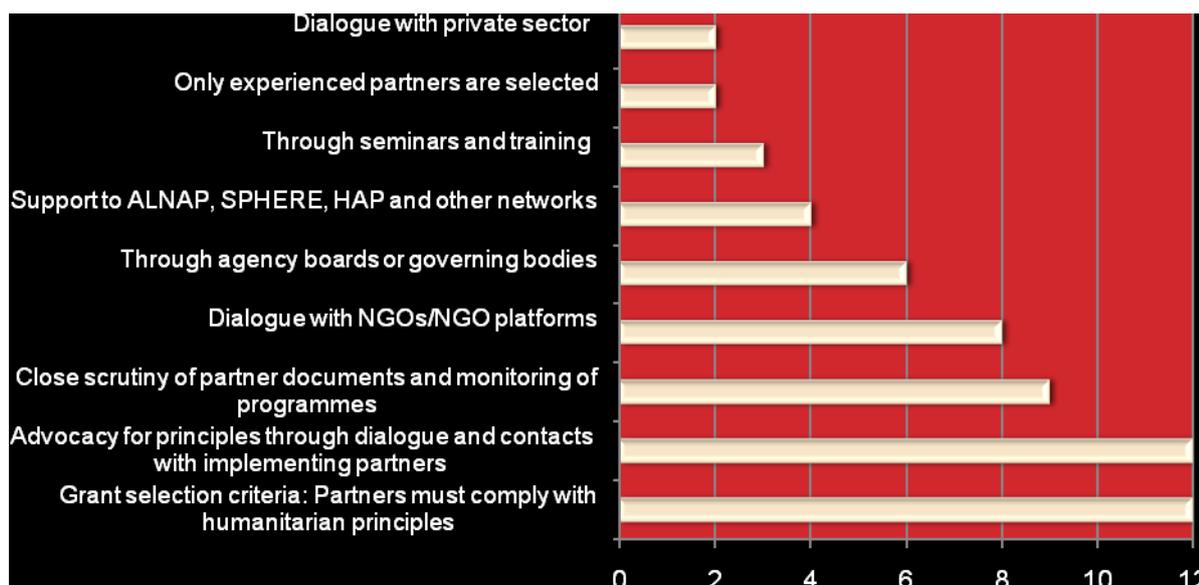
*In response to catastrophic events, a whole-of-government approach is taken, whereby an interdepartmental task force on natural disasters abroad is struck, clear roles and responsibilities of federal departments that may be engaged in a response are laid out (according to the Government of Canada's Standard Operating Procedures in Response to Natural Disasters Abroad), and a framework and timeline for the practical whole-of-government actions to take before, during and after an emergency are established. This approach ensures that responses to natural disasters abroad are timely, effective, needs-based and appropriate.*

*In countries where humanitarian assistance is provided alongside an existing development programme, Canada views coordination as key to ensuring respect for GHD principles, complementary programming, and more effective support for recovery and long-term development. Canada is also committed to protecting and promoting respect for the impartiality, neutrality and independence of its humanitarian partners.*

*While Canada's policy is that the civilian sector is best suited for the vast majority of humanitarian tasks, it is recognized there are some areas where the military possesses unique capacities that can be called upon, particularly in the context of natural disasters. Canada has developed its own Guidelines on Humanitarian Action and Civil-Military Coordination that are consistent with the Oslo Guidelines on the use of Military and Civil Defence Assets in Disaster Relief, which ensure humanitarian action is carried out with a view to respecting the humanitarian operating environment, and support and align with a whole-of-government*

approach to humanitarian crises. Where Canadian Forces' assets are used, the guidelines emphasize that these resources are under civilian command and in support of a civilian-led response. Government of Canada officers with relevant foreign policy and humanitarian assistance expertise are embedded within these units to serve as humanitarian liaisons and provide assistance regarding adherence to humanitarian principles and approaches.

### 3. WHICH PROCESSES HAVE YOU IDENTIFIED FOR ENGAGING WITH HUMANITARIAN PARTNER ORGANISATIONS IN ORDER TO ENSURE THEIR UNDERSTANDING AND IMPLEMENTATION OF KEY HUMANITARIAN PRINCIPLES AND CODES OF CONDUCT IN THEIR PROGRAMMING (GHD 2,4,15,16)?



These results demonstrate that humanitarian donors are promoting standards and enhancing implementation primarily through the selection and monitoring of partners – and that they are doing this individually. However, all humanitarian donors have a vested interest in ensuring that the wider humanitarian system is principled and effective – indeed some GHD donors have outlined this as a specific goal in their humanitarian strategies.

Is this an area where GHD donors could work more closely together? The GHD group could play a key role in formulating joint positions on how the humanitarian community is implementing principled action. These joint positions could then be used to guide joint advocacy, including to NGO and UN agency governance structures – perhaps starting with a closer joint monitoring of progress on the [IASC Transformative Agenda](#).

#### Good practice from New Zealand:

The New Zealand Government has developed a range of processes for engaging with humanitarian partners to strengthen awareness, understanding and implementation of key humanitarian principles and codes of conduct.

To ensure humanitarian principles, guidelines and codes of conduct are known and respected by humanitarian partners and across Government, New Zealand regularly consults with partner organisations during the development of relevant humanitarian policy and strategy documents. The New Zealand Aid Programme's Policy and Strategies for Humanitarian Assistance and Disaster Risk Reduction and the New

Zealand Government's Guiding Principles for the Provision of Humanitarian Assistance in the Pacific are two key documents guiding the provision of New Zealand's humanitarian assistance in the Pacific region and beyond. New Zealand's commitment to the GHD Principles is explicitly stated and referenced in these documents, which were developed in consultation with a range of humanitarian partners, including NGOs, the Red Cross and other New Zealand Government agencies.

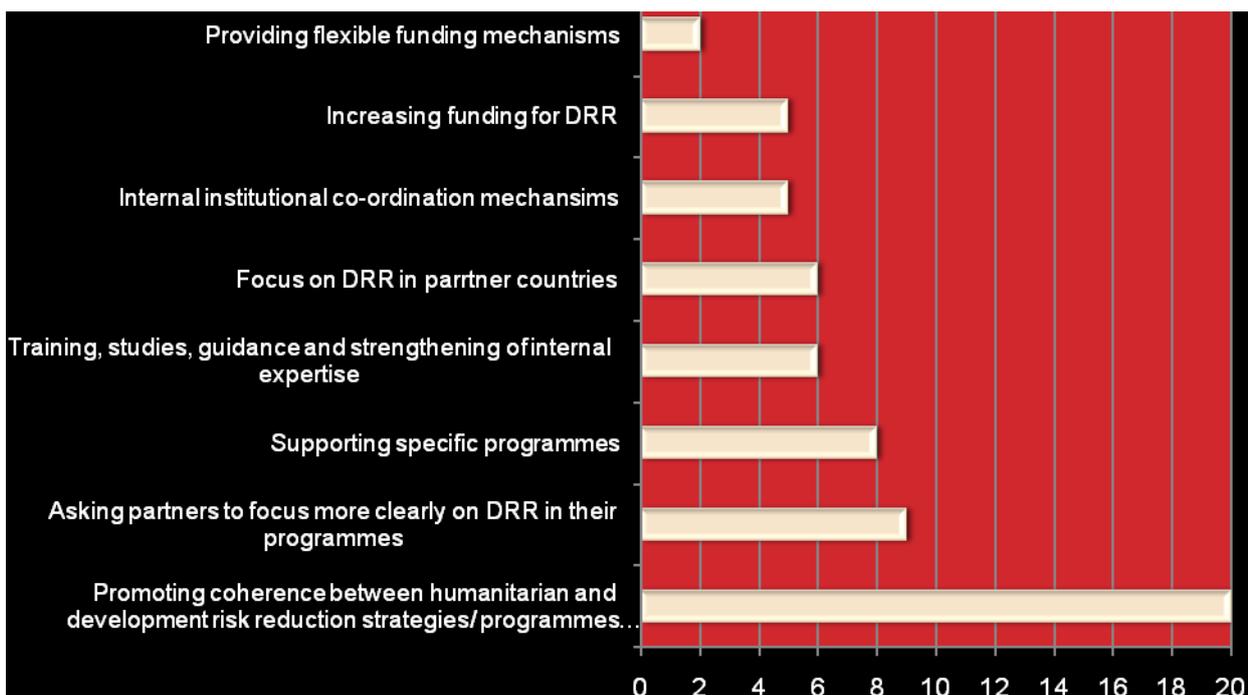
As part of our awareness raising and advocacy on key humanitarian principles and codes of conduct, The New Zealand Aid Programme has conducted training sessions on SPHERE and International Humanitarian Law for New Zealand NGOs and implementing partners. The Aid Programme also conducts pre-deployment briefings and seminars for the New Zealand Defence Force on humanitarian principles and action, frequently in conjunction with New Zealand NGOs.

The GHD Principles have been embedded into New Zealand's humanitarian operational guidelines such as the New Zealand Disaster Response Partnership for New Zealand NGOs and New Zealand applies the GHD Principles when assessing and appraising humanitarian proposals and appeals from NGOs, multilateral and bilateral partners.

To assess prospective aid and development investments, New Zealand applies the DAC evaluation criteria (relevance, effectiveness, sustainability and impact). As part of assessing 'relevance' in humanitarian programming, New Zealand considers relevance to our policies and guidelines, including our commitment to the GHD Principles. New Zealand also assesses partners' adherence to relevant principles through formal completion assessments with follow up with partners as required.

New Zealand also actively engages with the Board and support groups of key humanitarian multilateral partners on humanitarian principles and codes.

**4. HOW ARE DISASTER RISK REDUCTION, CAPACITY DEVELOPMENT AND CRISIS MITIGATION INTEGRATED INTO ALL RELEVANT STRATEGIES, INCLUDING DEVELOPMENT COOPERATION AND HUMANITARIAN ASSISTANCE PROGRAMMES, TO ENSURE COHERENCE BETWEEN HUMANITARIAN AND DEVELOPMENT AID(GHD 8)?**



Risk reduction is another difficult area for most GHD donors, and also for the wider humanitarian and development communities. These results show that fourteen donors (of the total 27) support specific risk reduction programmes or have a specific focus on DRR in their development partner countries. However, nine promote risk reduction by asking their partners to increase focus on DRR in their programming. Only five, however, have actually increased their funding for DRR. The GHD group has, to its credit, recognized that the members' commitment to *strengthen the capacity of affected countries and local communities to prevent, prepare for, mitigate and respond to humanitarian crises*(GHD 8) needs support. A dedicated workstream is currently looking at how donors can better fund preparedness, and is due to report in 2013.

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### **Good practice from Australia**

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*In June 2009, AusAID launched Investing in a Safer Future: a Disaster Risk Reduction policy for the Australian aid program.*

*The policy recognises the increasing threat natural disasters pose to achieving development goals and the cost effectiveness of disaster risk reduction, and commits AusAID to the integration of disaster risk reduction principles into its development and humanitarian programs.*

*Disaster risk reduction expenditure across the aid program has steadily increased since the policy's release, from \$42m in 2008-09 to more than \$111m in 2011-12.*

*Many programs operating in disaster-prone regions and countries have adopted improved disaster and climate risk management as a strategic objective. Training and integration plans have been delivered for 10 country and regional development programs.*

*Countries with integration plans, such as Indonesia, the Philippines and Bangladesh, typically have increased commitment and strong results in DRR.*

*For example, after cyclone Ketsana the Government of the Philippines and AusAID developed a package of risk assessments and land use planning guidelines to help prepare and protect Metro Manila communities from natural hazards and climate change.*

*In 2012-13 AusAID is investing \$1.5m in research to develop additional programming tools to help mainstream DRR, climate change and environment.*

*Australia is a prominent donor to the two leading international disaster risk reduction organisations, the UN office for Disaster Risk Reduction (UNISDR) and the World-Bank-managed Global Facility for Disaster Reduction and Recovery. Australia is co-chair of the Friends of DRR group at the UN in New York.*

*Australia's 2011 Humanitarian Action Policy (released in December 2011) also outlines Australia's expectation that early recovery be integrated as part of humanitarian response, to support and strengthen existing resilience and establish foundations for longer-term development.*

*Risk reduction principles have been applied in Australia's disaster relief and recovery programs, including the Padang earthquake (September 2009), Manila floods (September 2009), Haiti earthquake (January 2010) and Pakistan Floods (August/September 2010).*

*Australia provided more than \$15 million over 3 years to rebuild critical infrastructure – such as schools and health facilities – in West Sumatra, Indonesia, following earthquake damage in September 2009. The new buildings are designed to withstand future earthquakes, and will provide 6,500 children access to school and 260,000 people access to health facilities.*

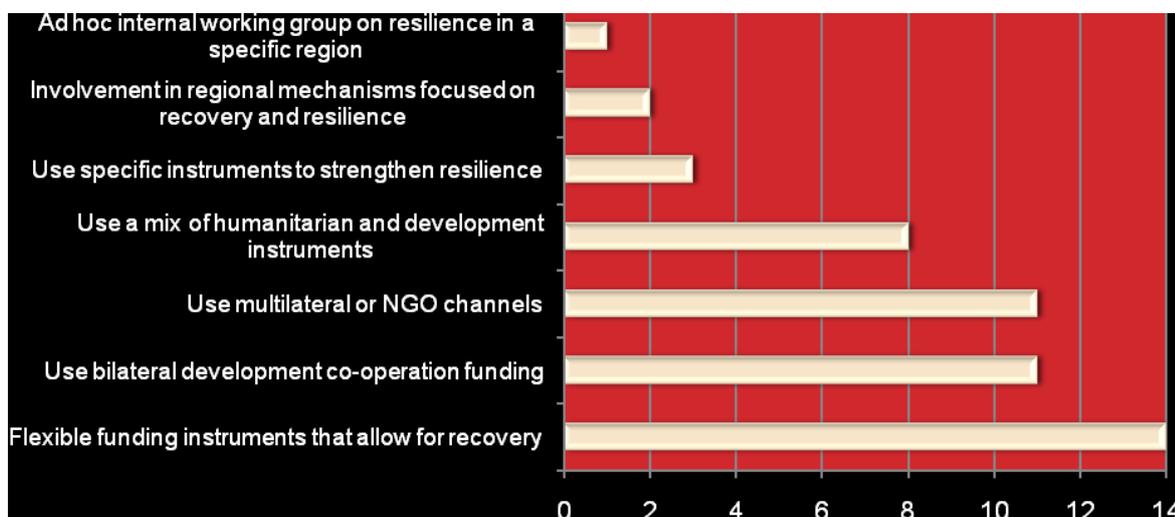
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### **Good practice from the United Kingdom:**

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The UK has been a leader in global debates about the importance and need for increased attention to Resilience and Preparedness interventions. DFID's CHASE contains a number of dedicated Resilience and Preparedness experts who work with DFID's development programmes in countries judged to be at high risk of natural or man-made disaster to programme risk-reduction work through traditional development programming. DFID is at the forefront of thinking and innovation on resilience and preparedness and in places such as the Horn of Africa is looking at how social safety-nets, cash, insurance and other types of risk based interventions can work alongside early warning and trigger systems (such as the Integrated Phase Classification Systems and FSNAU) to provide early action in the critical early phases of a crisis.

**5. WHAT FUNDING INSTRUMENTS AND MECHANISMS DO YOU USE TO SUPPORT THE EFFECTIVE TRANSITION OUT OF EMERGENCY INTO RECOVERY, AND TO BUILD CO-ORDINATION AND RESPONSE CAPACITY AS WELL AS TO STRENGTHEN RESILIENCE OF AFFECTED STATES AND/OR COMMUNITIES(GHD 9)?**



The GHD principles have encouraged donors to improve in many areas – especially by highlighting the need for more flexible and predictable funding. Flexible funding has had a number of benefits, including allowing partners to use humanitarian funds for recovery. Indeed, many donors are now concerned about the continued *stretching* of humanitarian funding to cover activities that would perhaps be better funded by development tools. Therefore, it is encouraging to see that eleven respondents to this self-assessment use development funding to support recovery, and another eight use a mix of humanitarian and development tools.

**Good practice from Luxembourg**

Transition has been one of the 3 pillars of the Luxembourg Humanitarian Aid strategy (prevention, emergency aid, transition) since 2005. The on-going review of the strategy introduces resilience as an overarching concept that strives to reduce the vulnerability of populations and thus the impact of external shocks, while allowing affected populations to recover more swiftly and to become more resilient and better prepared to potential future shocks.

Luxembourg does not have a separate funding mechanism to support transition out of an emergency into recovery and development, and to fund resilience-building and preparedness. However, Luxembourg

disburses at least 20% of its yearly humanitarian aid budget for recovery (reconstruction, rehabilitation of livelihoods, resilience) and 5-10% for disaster risk reduction and disaster preparedness.

Luxembourg makes annual contributions to the Global Facility for Disaster Reduction and Recovery, an instrument of the World Bank. Since 2009, Luxembourg has funded numerous Post-Disaster Needs Assessments with the objective to pave the way for sustainable reconstruction and rehabilitation of livelihoods, while building the disaster management capacity of local and national governments and regional institutions. Luxembourg also signed a multi-annual Strategic Partnership Agreement (2012-2015) with UN-ISDR.

The Luxembourg public-private-partnership “emergency.lu” has been set up to support the coordination and communication between humanitarian organizations in disaster situations, with the aim to improve the quality and efficiency of the global humanitarian preparedness and response capacity.

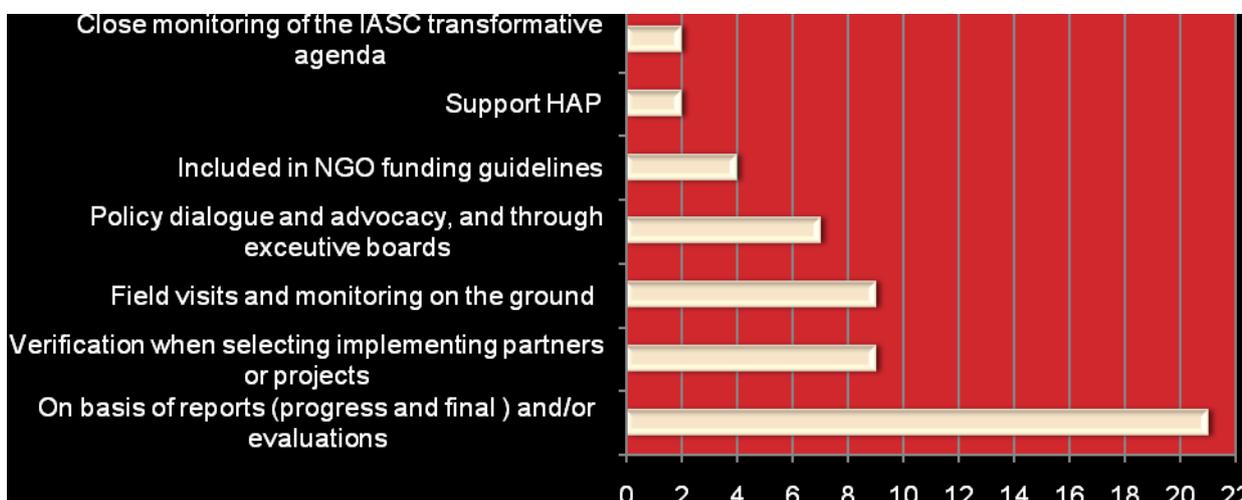
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### Good practice from Hungary:

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Basically, development and humanitarian funds are all available if necessary. Supplementary budget may also be requested, if funds fall short of needs. Technical cooperation is also provided to strengthen the response capacity of affected countries (e.g. flood prevention).

## 6. HOW DO YOU VERIFY THAT HUMANITARIAN ORGANISATIONS FUNDED BY YOU ACTIVELY ENGAGE ALL RELEVANT STAKEHOLDERS AND BENEFICIARIES IN ALL STAGES OF THE HUMANITARIAN RESPONSE CYCLE(GHD 7,10)?



GHD donors rely heavily on partners to involve beneficiaries in the programme cycle – but only check this by reviewing partner reports, often after the programme has been completed.

A number of donors responding to this self-assessment reported that increasing beneficiary participation was a priority for them, and that they wanted to improve their performance in this area. Given these results, increasing beneficiary participation in the programme cycle could be an area for GHD members to work on together.

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### Good practice from Sweden:

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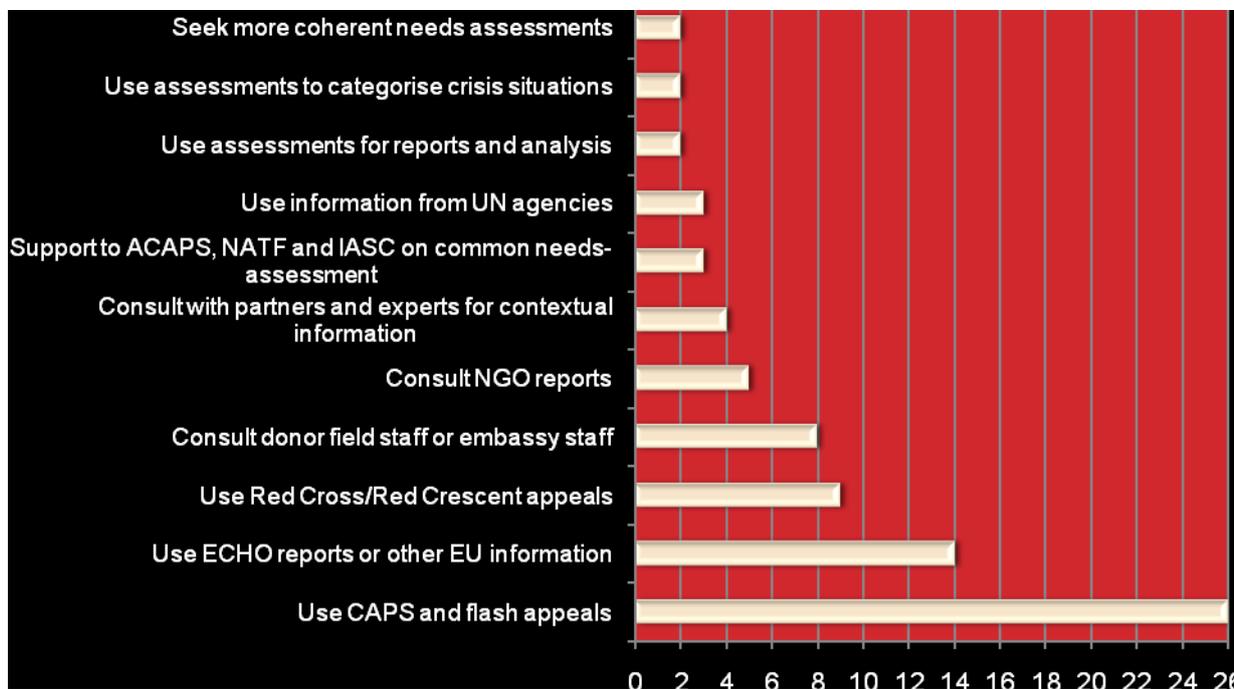
Strengthening participation of beneficiaries is one of the goals in the Government’s humanitarian strategy for Sida. In reporting guidelines, Sida requires partners to assess and report on how they plan to involve stakeholders. Within the evaluation of Sida’s strategic partnership process, Sida evaluates how humanitarian partners involve affected population in the design, implementation and evaluation of the support that they are expected to receive. Sida is also funding Humanitarian Accountability Partnership (HAP) to strengthen accountability and in particular to promote participation of affected populations. We also closely follow the IASC processes not least with regards to the Transformative Agenda and engage in policy discussions on how to best ensure better accountability to affected populations.

### Good practice from Switzerland:

Swiss Agency for Development and Co-operation (SDC) processes to disburse funds includes filling forms that provide details information on stakeholders and their possible involvement as well as on risks associated with such involvement. It also about quality programming and all our staff and offices at the HQ and field level do have the responsibility to follow-up quality through field visits, monitoring and reporting. We do feedback information we receive from the field to our partner’s HQ during regular policy dialogue.

## 7. TO WHAT EXTENT AND HOW DO YOU USE COMMON/MULTI-ACTOR NEEDS ASSESSMENTS UNDERTAKEN BY HUMANITARIAN ORGANISATIONS WHEN DECIDING ON YOUR SUPPORT TO THE INTERNATIONAL HUMANITARIAN RESPONSE(GHD 6,14)?

Common/multi-actor needs assessments used by donors include:



Eleven European GHD donors use reports and other information from ECHO to guide their responses – highlighting the important role that ECHO is playing in supporting the responses of EU member states. In addition, nearly all donors responding to this self-assessment rely on the [Consolidated Appeals](#), [Flash Appeals](#) and/or [Red Cross/Red Crescent appeals](#) as their key source of information on humanitarian need. Given the strong reliance on these appeals, it would be

interesting to review how many of the GHD donors are actually involved in, and satisfied with, the appeal process. This may be an area for the GHD group to review more closely, together, in the future.

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### ***Good Practice from Ireland:***

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*On an annual basis we develop a categorisation of countries and for this we use international data, tools and rankings (such as the European Union's [Global Needs Assessment](#) and [Forgotten Crisis Assessment](#), the [Global Hunger Index](#), the [Human Development Index](#), levels of [CAP funding](#), etc).*

*On an ongoing basis we use the CAP appeals and regular situation reports to inform our funding allocations.*

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### ***Good practice from Poland***

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*CAPs and flash appeals are the basis of our analysis while taking decision on humanitarian funding both for UN agencies and NGOs*

*Use of Red Cross/Red Crescent appeals (ICRC Emergency Appeals most frequently)*

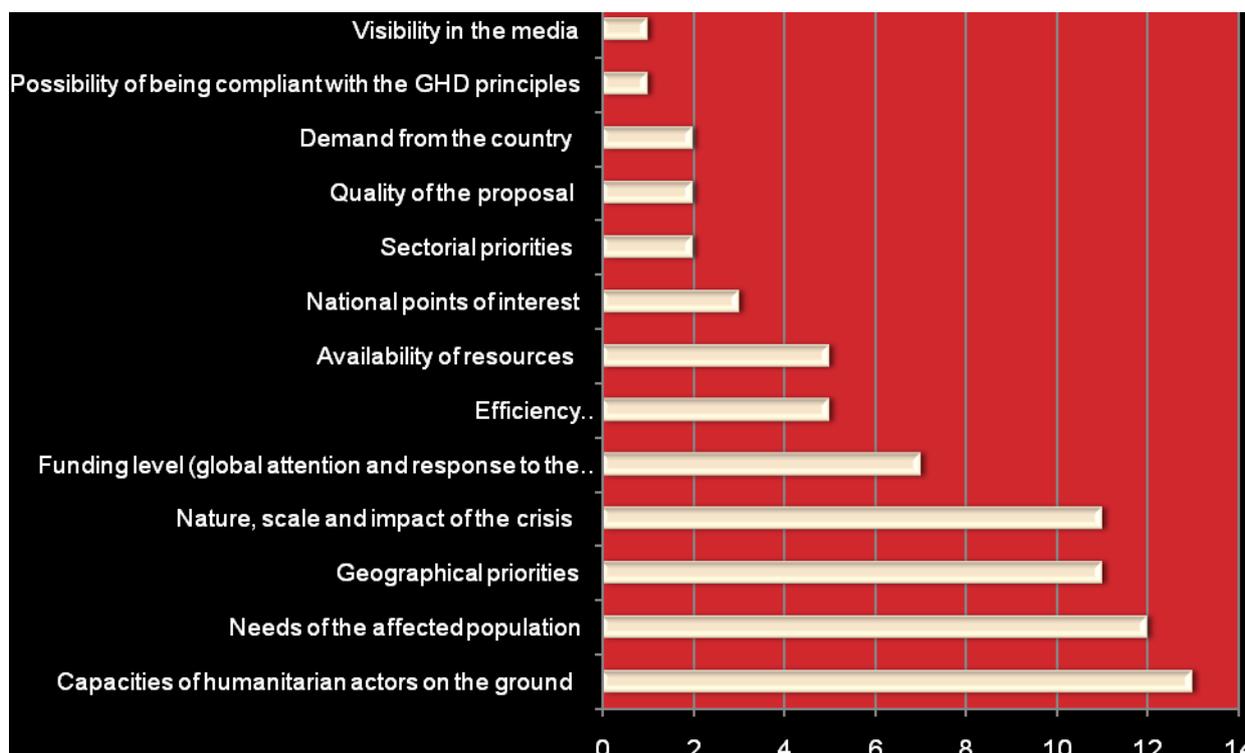
*Use of ECHO Sitreps and factsheets*

*Crisis response information sharing in COHAFA WP*

*Consultations with embassy staff, field experts from implementing agencies and/or other donors;*

*Cross-checking information from different sources.*

**8. PLEASE DETAIL THE CRITERIA AND TOOLS YOU USE TO DECIDE WHO, WHERE AND WHAT TO FUND (GHD 6,14)?**



All donors make decisions about *who*, *what* and *where* to allocate their funding. No one donor can cover all humanitarian needs; donors must instead determine how their limited humanitarian budgets can best add value to the overall humanitarian response. However, funding allocation decisions are currently being made in isolation – there is no forum to discuss donor funding intentions and there are no discussions between donors about division of labour. Co-ordinating donor funding intentions, perhaps in response to the annual [CAP](#) launch, and for major new crises, may also be a role for the GHD group in future.

***Good practice from Liechtenstein:***

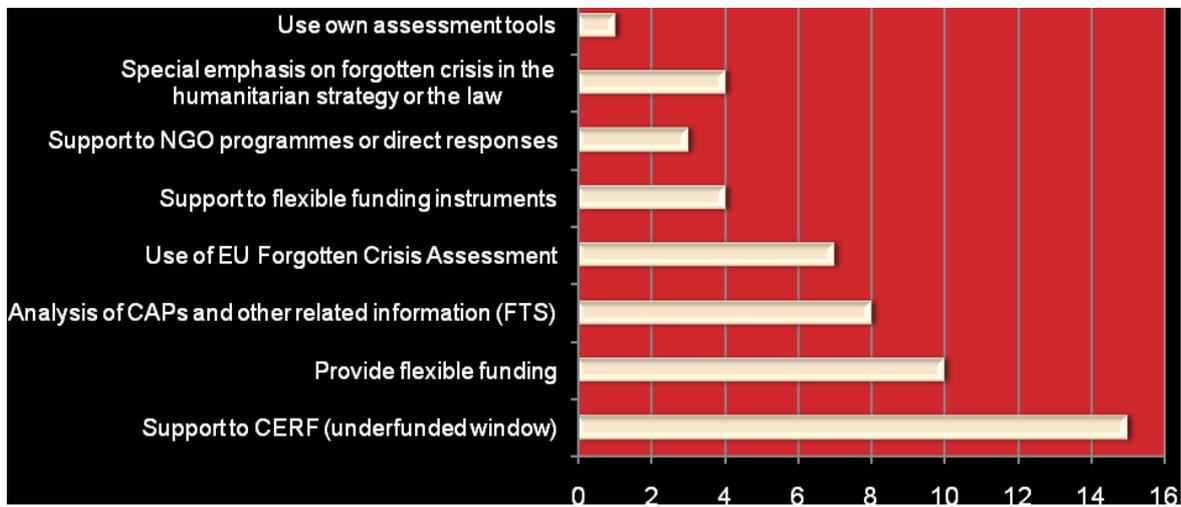
*Before deciding on a financial contribution we need to know the extent of the damages, if the country concerned has asked for international assistance and if other Liechtenstein organizations are involved in the immediate relief activities. The latter is important because the Government has the possibility to financially support initiatives of Liechtenstein aid organizations or private associations.*

*In general, there are no thematic or geographical priorities but a particular focus on forgotten crises, which means a particular focus on regions and situations that have lost international attention as well as support for seriously underfunded programmes and projects. We try to finance smaller operations where our comparatively small contribution has a real impact.*

*About one third of the resources are reserved for the ICRC and one third for UN agencies.*

To ensure that partner organizations have the necessary means to provide immediate assistance we pay regular and considerable contributions to the UN's [Central Emergency Response Fund](#) and also to the respective fund of the WFP ([Immediate Response Account](#)).

## 9. HOW DO YOU ADDRESS FORGOTTEN CRISES IN YOUR POLICIES AND PROGRAMMES(GHD 6,14)?



For twelve donors, the [CERF underfunded window](#) plays a key role in ensuring that forgotten crises receive at least a minimum amount of humanitarian funding– exactly the role that this tool was designed to play. Twelve donors provide flexible funding, and support flexible funding tools, allowing partners to allocate funding to forgotten crises. The [EU Forgotten Crisis Assessment](#) tool also plays a key role in focusing the attention of European donors. Given the reliance on the CERF underfunded window, GHD donors could engage jointly with this tool in future.

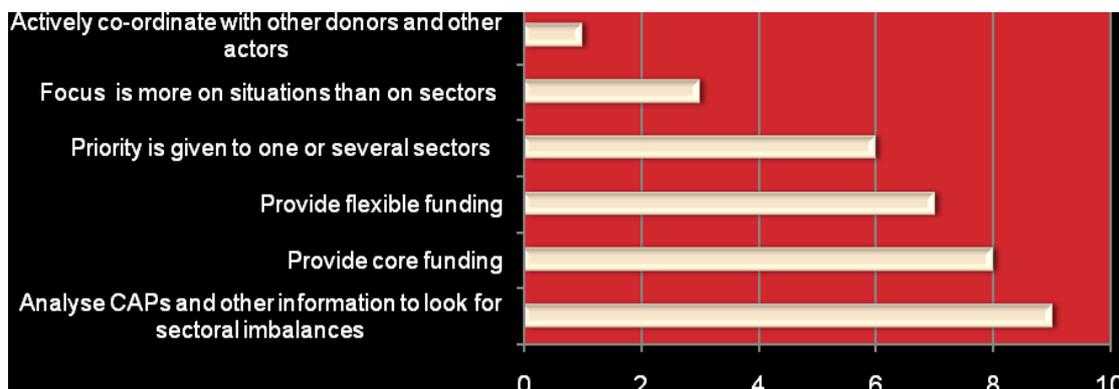
### Good practice from the Czech Republic:

We address forgotten crises according to our own focus (Burma + Burmese refugees in other countries) and also according to ECHO's [Forgotten Crisis Assessment](#) – planned in the Annual Operational Strategy, and consulted with relevant implementing partners.

### Good practice from Croatia:

Forgotten crises are defined within the humanitarian budget lines within the Croatian Budget, in a manner that they are divided into immediate crises (3:4) and forgotten crises (1:4). In the case that funds for immediate humanitarian crises are not used, they are then channeled to forgotten crises.

**10. TO WHAT EXTENT DO YOU CONSIDER FUNDING IMBALANCES ACROSS SECTORS IN YOUR FUNDING DECISIONS(GHD 6,14)?**



Unsurprisingly, sectoral imbalances are not a major concern for most GHD donors – although some donors do choose to focus on specific sectors, in areas where they can more clearly add value.

**Good practice from Estonia:**

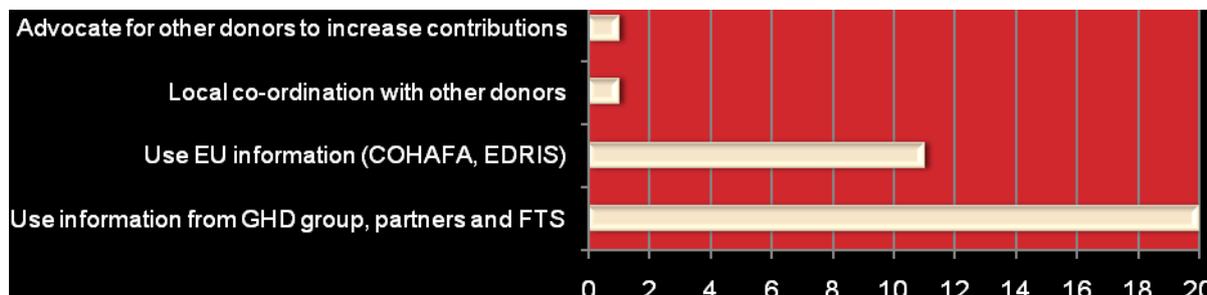
*Funding is more focused to education sector and targeted to help women and children.*

*Year-by-year we have tried to reduce imbalance in funding of natural disasters and protracted crises.*

**Good practice from the Netherlands:**

*The Netherlands allocates a large part of its funding as unearmarked and thus allows implementing partners to allocate the funding where they consider it is most appropriate and where they face a funding gap.*

**11. HOW DO YOU INTEGRATE INFORMATION ON FUNDING FROM OTHER GHD MEMBERS AND BURDEN-SHARING CONSIDERATIONS INTO YOUR FUNDING ALLOCATION DECISIONS BETWEEN FUNDING CHANNELS AND CRISES(GHD 6,14)?**



Responses to this question are linked to responses to question 8, regarding donor criteria on *who*, *what* and *where* to fund. The analysis shows that, when looking at burden-sharing, most donors rely on tools that record funding decisions that have already been made, rather than proactively co-

ordinating joint funding intentions *before* the funds are committed. Tellingly, one donor reported that their best source of information is the donor relations staff of major partners, as they have the best overall view of donor funding allocations. The GHD group may wish to consider supporting clearer burden sharing amongst members through the financing workstream or another relevant mechanism.

### Good practice from France:

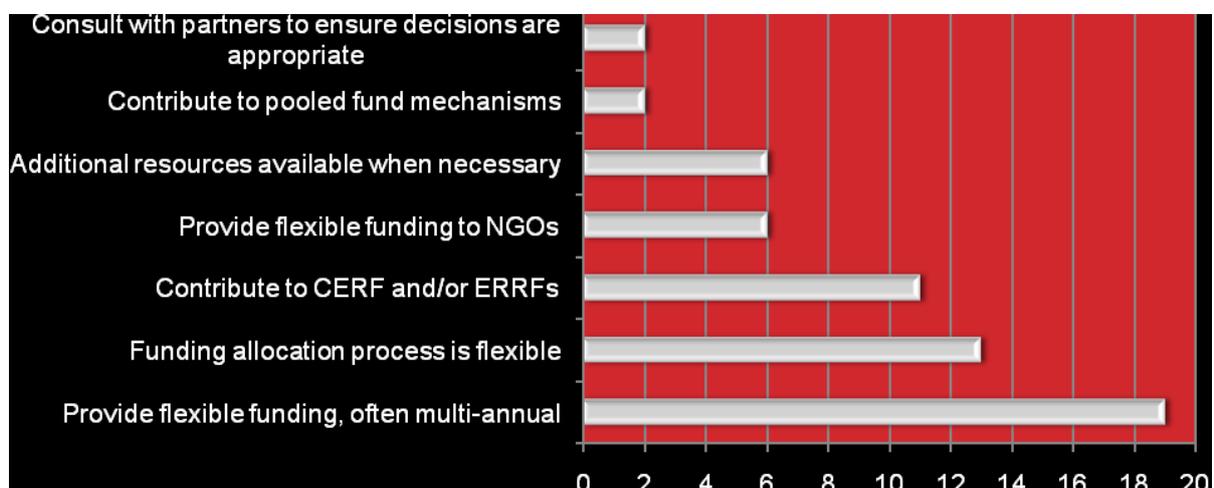
France shares information about its humanitarian policy with other GHD members in meetings with COHAFA – the European Union’s Committee on Humanitarian Assistance and Food Aid – as well as through the [EDRIS](#) online portal, which records humanitarian contributions by EU member states.

In addition, France participates in informal humanitarian co-ordination meetings organized by DG ECHO and OCHA. France also participates in other humanitarian fora, recently including the forum for Syria and other more technical meetings on the humanitarian situation in Syria. France, with OCHA, chairs the Group of Friends who monitor the humanitarian situation in the Sahel. The objective in these initiatives is to draw up a map of humanitarian needs in the region, to identify potential blind spots in the provision of assistance, and to strengthen the coordination of humanitarian aid policy between Member States of the European Union and outside the European Union to cope with crises and coordinate within the UN humanitarian system.

### Good practice from Finland:

Burden sharing is reviewed through COHAFA co-operation and by consulting the donor coordination / fund raising staff of the agencies funded by Finland. They know often best what kind of indications there are from other GHD donors in terms of funding commitments.

## 12. HOW DO YOU ENSURE THAT YOUR FUNDING MECHANISMS AND CHANNELS ARE EFFECTIVE IN PROVIDING ORGANISATIONS WITH FLEXIBLE, PREDICTABLE AND TIMELY RESOURCES(GHD 5,11,12,13)?



As mentioned earlier, there is an observable trend towards more flexibility in the funding practices of GHD donors. Another good practice is growth of multi-annual funding commitments made by GHD donors – allowing for a better respond to crises that will not disappear in the short term. Multi-annual funding has benefits for partners and for the donor, including the reduction in the administrative burden for all parties, and a shift in the relationship from a focus on short-term inputs and outputs, to a more strategic, longer-term vision of results.

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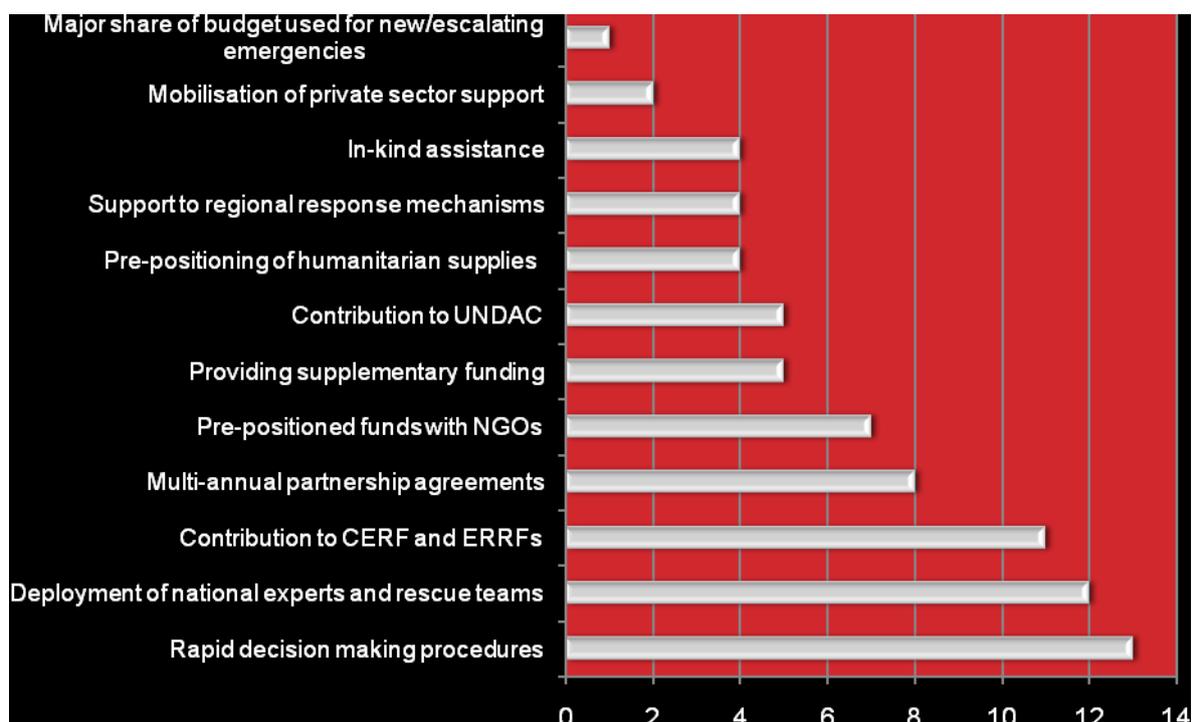
### ***Good practice from Spain:***

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*AECID has signed agreements with the main UN humanitarian agencies creating bilateral funds for humanitarian assistance which are provisioned in the first term of the year and may be used at any moment through UN agency request or AECID's humanitarian office's initiative. In emergency situations, approval of the request is given in 72 hours.*

*Humanitarian NGOs enjoy flexible resources too through 4 year funding agreements and a very fast system of activation of this mechanism upon request.*

### 13. WHAT KIND OF MECHANISMS DO YOU USE TO PROVIDE A FAST AND APPROPRIATE RESPONSE TO NEW AND ESCALATING EMERGENCIES(GHD 17,18)?



GHD donors rely on a number of different tools to support a rapid and appropriate response to new and escalating emergencies. Thirteen of those responding to this self-assessment have special rapid decision making procedures for funding, and eleven rely on contributions to the CERF and other rapid response funds. However, many donors feel that they also have a direct role in rapid response, and have developed a number of tools – for example national experts and rescue teams, and in-kind stockpiles – to support this important work.

#### **Good practice from Japan:**

*The Government of Japan has three tools for emergency response for overseas disasters.*

1. *Dispatch of Japan Disaster Relief Team*
2. *Provision of Emergency Relief Goods*
3. *Emergency Grant Aid*

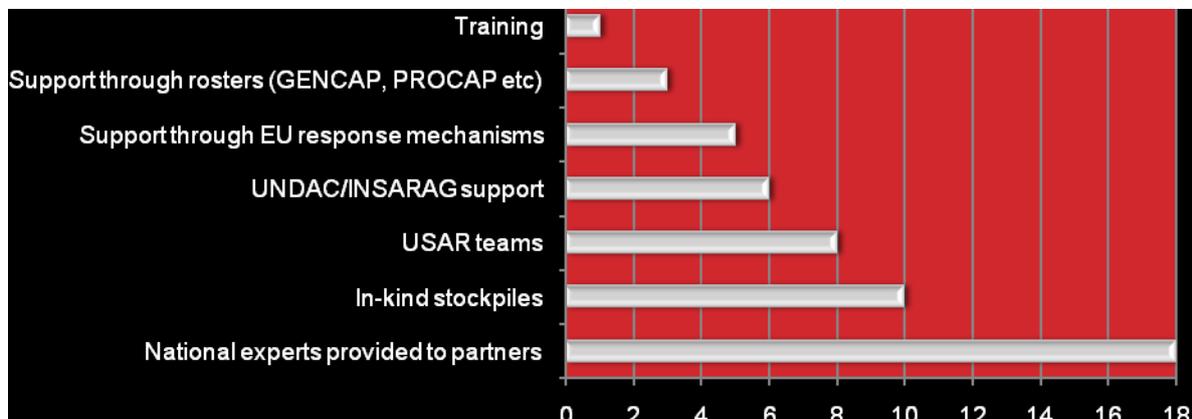
*One or more of these tools are chosen according to the magnitude of the disaster and requests from the affected country.*

*There is also a framework called “Japan Platform.” Under the framework, Japanese NGOs, business community, and the Government of Japan work together for the prompter and more effective emergency assistance to people affected by major disasters and humanitarian crisis by making the most of the respective sectors’ expertise and resources.*

*JICA applies the Fast Track System to certain projects in order to promptly and flexibly plan and implement projects to address urgent needs such as peace-building assistance and response to large-scale natural*

disasters. The system enables JICA to simplify and shorten the processes regarding project formulation, decision-making, implementation preparation, procurement, etc.

#### 14. WHAT SURGE CAPACITY DO YOU HAVE IN PLACE FOR CONTRIBUTING TO INTERNATIONAL EMERGENCY RESPONSE (GHD 17,18)?

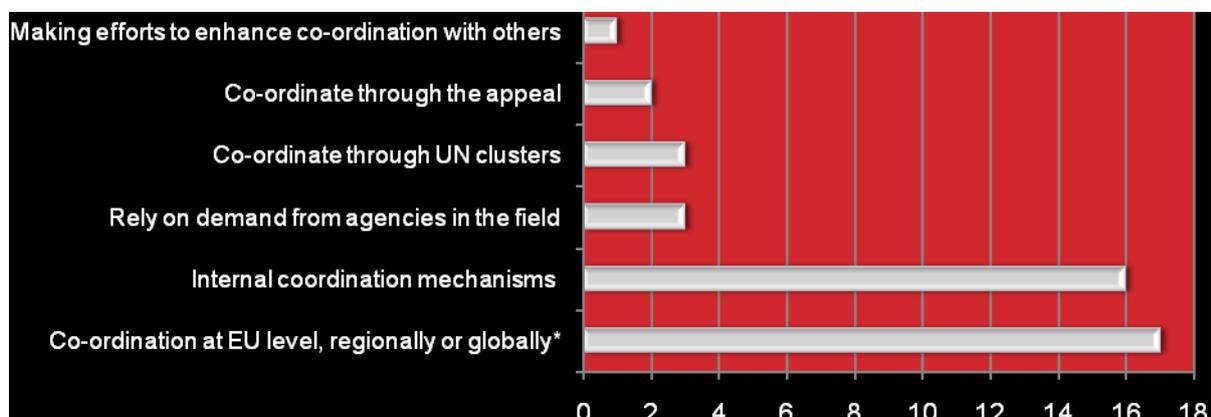


Eighteen donors supply national experts to operational partners to support a more effective and timely rapid response, and three others support surge capacity rosters – making the deployment of human resources to partners the main surge capacity mechanism for GHD donors. Ten donors have in-kind stockpiles.

#### Good practice from the Slovak Republic:

The capacities (in-kind emergency stockpiles) managed by SIZCO (Ministry of Interior): reserves of various material of humanitarian aid, mainly for emergency accommodation, flood relief, recovery, etc, as well as rapidly deployable search and rescue teams, and chemical control laboratories.

#### 15. HOW DO YOU COORDINATE THE DEPLOYMENT OF YOUR RAPID RESPONSE MECHANISMS WITH RELEVANT STAKEHOLDERS (GHD 17,18)?



\* using tools including: [GDACS](#), [virtual OSOCC](#), [Reliefweb](#), [EDRIS](#), European Union [MIC](#), and NATO's [EADRCC](#).

Co-ordination of donor rapid response mechanisms is undertaken through a number of inter-donor, wider humanitarian community, and internal mechanisms.

**Good practice from Germany:**

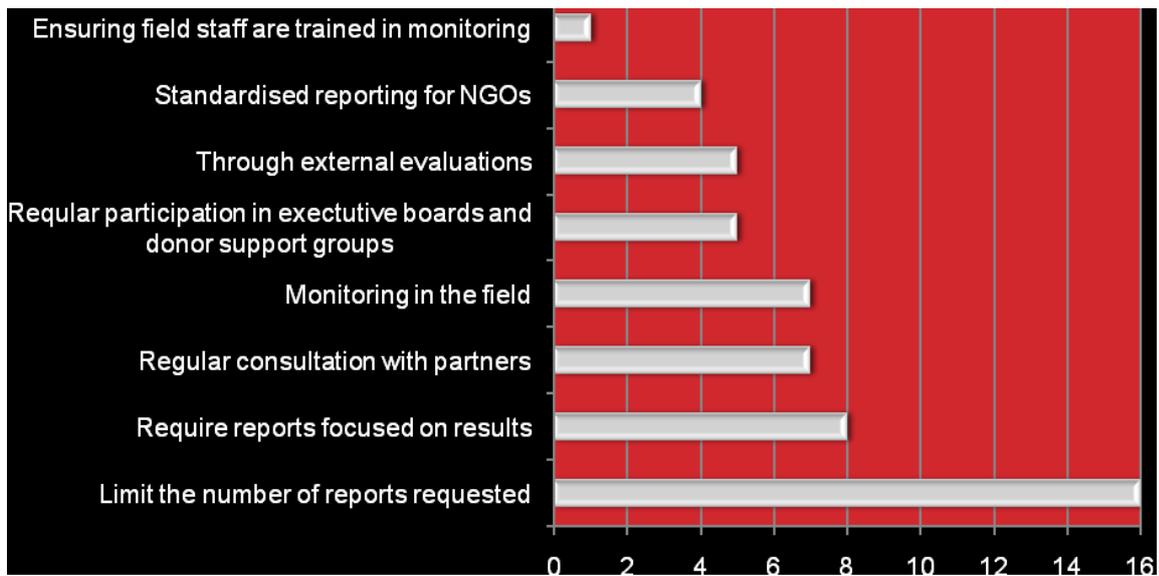
*Germany's Federal Foreign Office is in constant dialogue with all relevant humanitarian partners also via its network of diplomatic missions.*

*Extraordinary meetings of the Coordination Committee are a valuable means of coordination.*

*In the event of a sudden onset scenario, the Federal Foreign Office is in a position to release funds within hours. With its Crisis Response Centre, contact with humanitarian partners is possible on a 24/7 basis thus guaranteeing a fast response.*

*The Federal Foreign Office is also supporting both INSARAG and UNDAC. In addition, the Foreign Office is partner in the OCHAStandBy Partnership Programme. The missions of the German rapid response teams are coordinated by UN mechanisms.*

**16. HOW DO YOU ENSURE THAT MULTILATERAL AND NGO PARTNERS ARE ACCOUNTABLE FOR THEIR RESULTS AND THAT THE RELATED ADMINISTRATIVE BURDEN DOES NOT INTERFERE WITH EFFECTIVE AND EFFICIENT HUMANITARIAN ASSISTANCE(GHD 16,22,23)?**



Humanitarian donors must ensure that their taxpayers' funds have been used to produce effective results. This is especially the case in the current financial climate, where donors are increasingly subject to *value for money* criteria, and must respond to calls for greater accountability and transparency. Parliaments are also scrutinizing annual budget allocations – including to humanitarian assistance – more closely, meaning that donor staff must demonstrate results if they are to guarantee future funding flows.

Given these constraints, it seems odd that only one third of the donors who responded to this survey require reports focused on results, whereas sixteen donors have bowed to the pressure of humanitarian partners and have actively limited the number of reports required. GHD donors have

committed to standardized formats for reporting on humanitarian grants (GHD 23), and this could be an interesting area for the GHD group to take up in the future. Standardizing reporting would provide a win-win opportunity; partners would be able to focus on providing quality information to all donors at once, potentially reducing their administrative burden, and donors would receive the information they need to demonstrate effective results.

**Good practice from the United States of America:**

*The United States Government continues to improve its monitoring and evaluation (M&E) tools.*

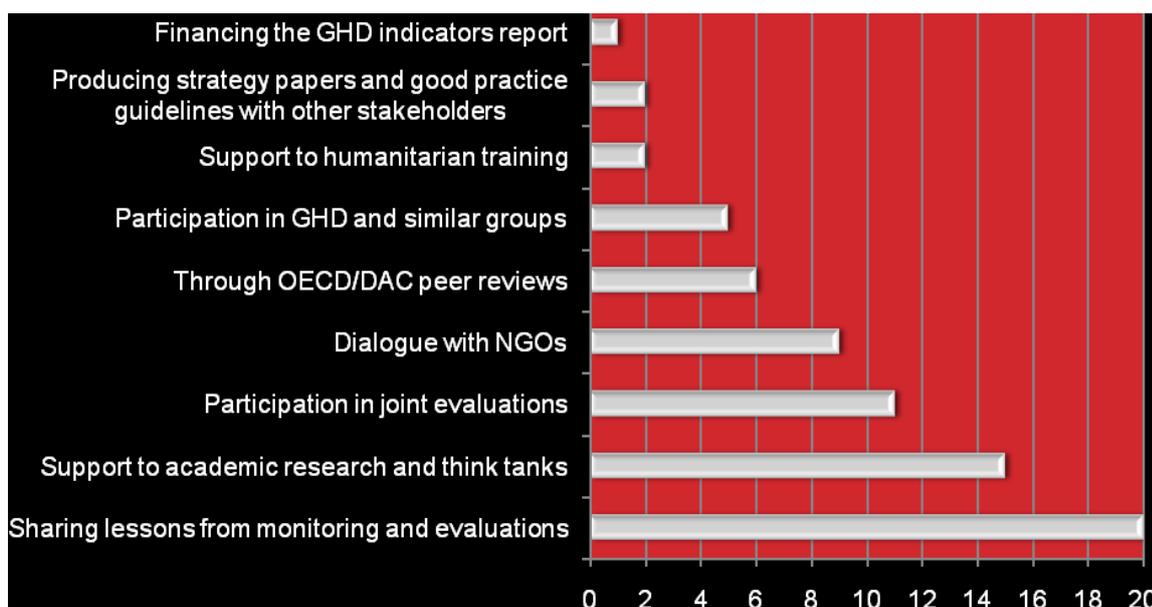
*The Bureau for Population, Refugees and Migration (PRM) and the Office for Foreign Disaster Assistance (OFDA) have dedicated monitoring and evaluation teams that have undertaken a limited number of program evaluations to date. We recognize, however, that significant work in this area is still required and we remain committed to achieving analytical rigor and integrity in our impact monitoring and evaluation.*

*We require NGO partners to submit quarterly reports on programs and rely on our field staff to conduct monitoring of both international organization and NGO programs. PRM field staff receive one week of M&E training prior to deployment, followed by a week of training focused on monitoring multilateral agency programs.*

*Administrative costs of monitoring activities remain very low and do not interfere with effective and efficient humanitarian assistance. PRM’s administrative costs, for example, are less than two percent of its overall budget.*

*Our staff remain in close contact with IO and NGO staff to identify and address problems quickly. We encourage our partners to communicate openly all issues with project implementation. OFDA’s Disaster Response Specialists will also work with the agreement officers of NGO grants and the Agency procurement officer to solve problems if necessary.*

**17. HOW DO YOU SUPPORT RESEARCH; POLICY DEVELOPMENT; EVALUATIONS AND ANALYSIS OF YOUR OWN ACTIVITIES AND THAT OF OTHER STAKEHOLDERS; AND SHARING OF GOOD PRACTICE AND LESSONS LEARNT (GHD 21,22)?**



Twenty donors report that they share lessons from monitoring and more formal evaluations. Currently, there is only one formal platform for sharing humanitarian evaluation results between donors, the European Union member state platform. In addition, there are relatively few evaluations of humanitarian programmes to share. The multi-donor evaluation group [MOPAN](#) (to which sixteen GHD donors belong) will soon develop a standard for evaluating the humanitarian results achieved by multilateral organizations, and the GHD group may wish to make a combined submission to this process. The wider GHD group may also want to review how members could support more systematic sharing of lessons from monitoring and evaluations, and how the group could provide joint inputs to ensure that humanitarian evaluations are rigorous and useful, and also review donor performance.

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### ***Good practice from the European Commission:***

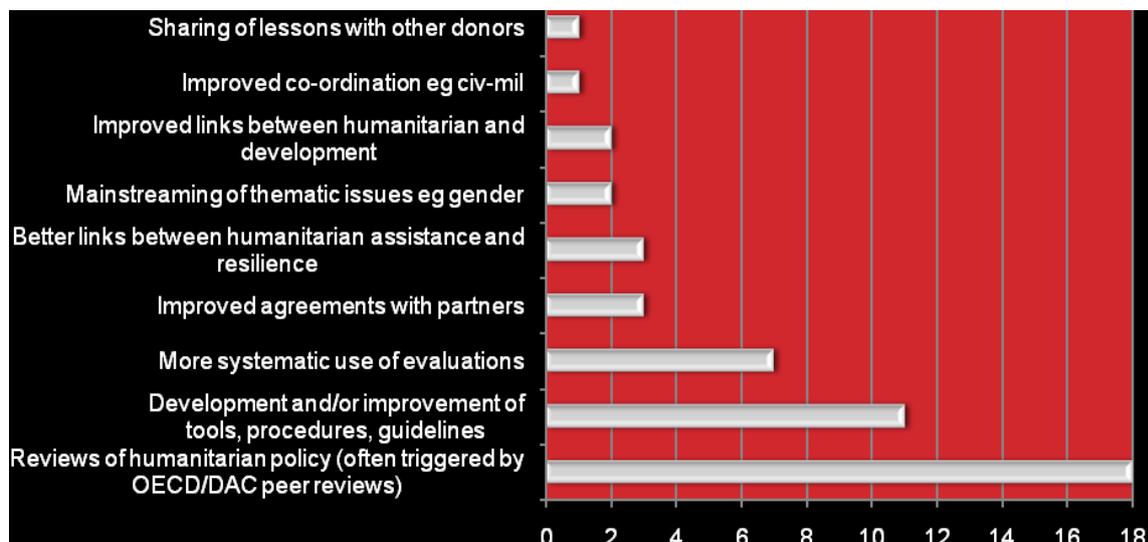
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*DG ECHO's sectorial policy documents provide for a coherent approach for the Commission's funding, advocacy and coordination with other actors, thus increasing the effectiveness and efficiency of the Commission-funded humanitarian assistance. This is in line with the Consensus commitment to develop policies to improve the impact of aid. Such policies cover specific sectors, such as humanitarian food assistance and WASH (water, sanitation and hygiene), gender, nutrition and many others. The policies set out the main challenges in the respective sectors, together with the comparative advantages of the Commission in helping to address them. They include entry and exit strategies linked to the Commission's funding and best practices for humanitarian responses; key messages for advocacy within and beyond the humanitarian sphere; and the Commission's position on improving coordination to maximise the impact of funds available – for example through the cluster coordination or linkage with post-humanitarian assistance.*

*DG ECHO's sectorial policies are put in place in consultation with stakeholders and taking into account best practice and existing guidelines (e.g. from the IASC). Once finalised sectorial policy guidance is available publicly and is used to promote a quality approach across DG ECHO's operational response. Mechanisms to monitor and ensure their consistent application in practice are still being put in place.*

*A range of good practice guides and reviews have also been commissioned and published by DG ECHO's evaluation sector, with the intention of mapping and promoting established good practice for partner organizations. Reviews have covered topics such as Cash and Vouchers, Food Assistance, WatSan, and Gender. Reviews often form the initial step in developing the aforementioned sectorial policy guidance.*

**18. WHAT DOCUMENTED CHANGE IN POLICY, PRACTICE OR DECISION-MAKING HAVE YOU UNDERTAKEN AS THE RESULT OF LESSONS LEARNT FROM EVALUATIONS, PEER REVIEWS AND OTHER FORMS OF LEARNING (GHD 21,22)?**



GHD donors have provided a wide range of examples of learning from review processes. Learning has prompted change in a variety of areas, ranging from a full review of humanitarian policy, to strengthening performance in technical areas such as gender or civil-military co-ordination. Eighteen donors have recently reviewed or updated their humanitarian policies. Links to these updated policies could be made available through the GHD website.

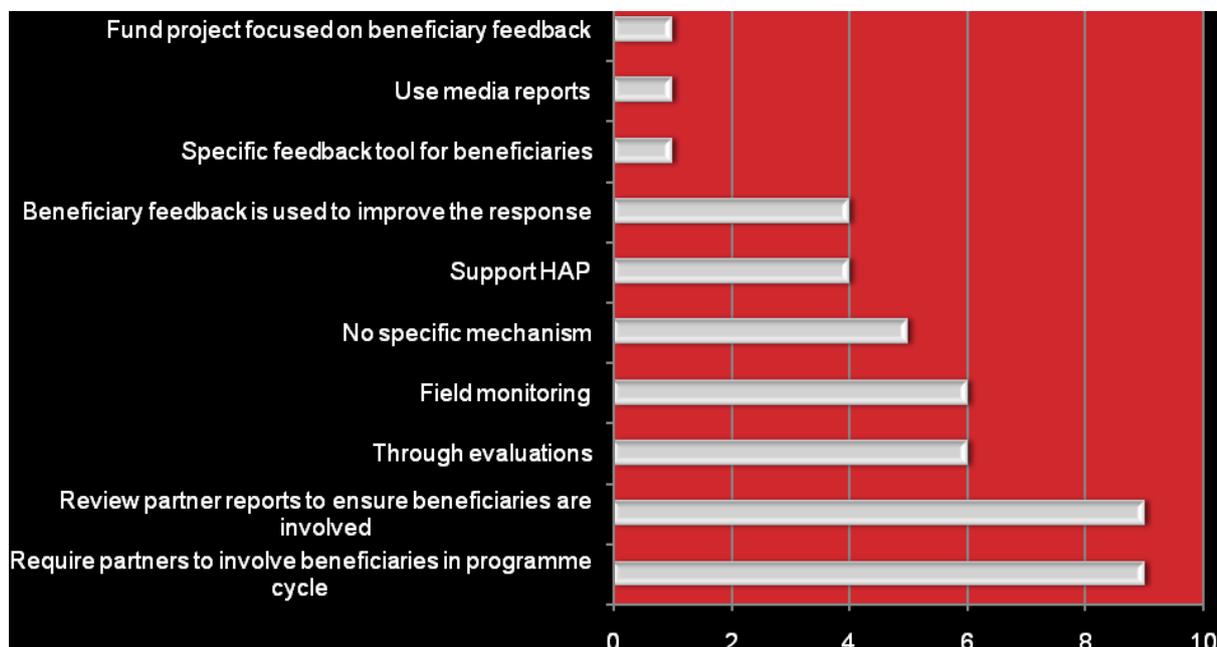
**Good practice from Korea:**

*After an evaluation of the Haiti humanitarian response, Korea enacted the Overseas Emergency Relief Act and developed a plan to advance our emergency response mechanisms. The Act underpins the Korean government's ability to provide Korea's overseas emergency aid. The Act details operation of a joint public-private overseas emergency relief consultative council, cross government coordination, and the formation and dispatch of emergency relief team.*

**Good practice from Belgium:**

*Belgium has completely reviewed its strategy regarding the humanitarian policy. A new policy note is about to be issued. Moreover, a new regulation (royal decree) for humanitarian aid will be promulgated this year (2013). This new regulation will be more flexible than the current one and will also incorporate the main evolutions and lessons learned. The main partners of the Belgian Humanitarian Aid (International Organizations and NGO's) are being consulted on this new regulation before promulgation in order to fit as best as possible their modalities of work and constraints.*

## 19. HOW DO YOU INTEGRATE FEEDBACK FROM BENEFICIARIES IN YOUR HUMANITARIAN ASSISTANCE (GHD 21,22)?



As noted earlier (question 6) GHD donors are reliant on partners to ensure that beneficiaries are involved in the programme cycle. Nine donors require partners to involve beneficiaries in the programme cycle, and eight other donors review partner reports to ensure that beneficiary views have been solicited. Donors have expressed their desire to work on beneficiary feedback in the near future – the GHD group could play a key role in taking this important issue forward.

### ***Good practice from Denmark:***

*The Danish Ministry of Foreign Affairs (MFA) is in the progress of developing new mechanisms for “complaints” and feedback on new programmes before finalisation/approval. The mechanism is currently being developed and will provide full openness to feedback, most likely through the MFA website.*

## CONCLUSION

So, 10 years on, how are donors implementing the Principles and Good Practice of Humanitarian Donorship?

The results of this initial self-assessment confirm that the 23 GHD Principles remain at the core of humanitarian donorship, providing a useful and relevant guide for humanitarian donors as they adapt to an evolving and challenging humanitarian landscape. The results also confirm that there is no one best model of donorship – donors are taking different approaches to implementing the Principles, based on their particular strengths, systems, funding volumes and mandates – concentrating on adding value as best they can.

The good practices that have been highlighted in the report – innovative and effective approaches to specific areas of humanitarian donorship – will be useful inspiration for donors seeking to further improve their funding, advocacy and policy work.

There are also a number of areas for possible future collaboration. These areas relate particularly to aspects of humanitarian donorship where individual efforts are not enough, and instead donors must work together to achieve results. GHD members have already identified preparedness (*GHD 1, 8, 17 and 18*) as a priority area for collective action – and work is underway to improve donor performance in this area. There is also an active group looking at standardizing report formats and improving accountability (*GHD 23*) – this is particularly important given the current pressure on donors to demonstrate results to taxpayers and parliamentarians.

This self-assessment has also raised other areas where donors could work more closely together to ensure continued respect of all the GHD principles. A number of GHD members want to improve the involvement of beneficiaries in the design, implementation, monitoring and evaluation of the humanitarian response (*GHD 7*), for example, and this is work that the group could usefully do together. Engagement with operational partners to promote standards and enhance implementation (*GHD 2, 4, 15, 16*) could be more effective if the GHD group developed joint advocacy positions on key issues. Burden sharing (*GHD 11 and 14*) and predictability (*GHD 12*) could be improved by proactive co-ordination of funding intentions within the group. Sharing the results of monitoring and evaluation exercises (*GHD 21 and 22*), and conducting more joint assessments of operational partners, could also be useful learning tools. The GHD Initiative is currently reviewing options to “refresh” its objectives and ways of working, following recent discussions on a report commissioned by the co-chairs: *Review of the GHD Initiative: Challenges and perspectives of remaining relevant in a changing humanitarian landscape*. The issues noted above could be taken on board during the “refresh”. Alternatively, GHD donors may choose to address these issues through their participation in other relevant humanitarian flora.

So, what have we learnt overall?

Ten years on, the GHD donors have come of age. Donors are living up to the commitments they made under the GHD principles ; respecting the general principles of donorship, developing good practices in financing, management and accountability, promoting standards and enhancing implementation, and improving learning and accountability – including by holding themselves individually and collectively accountable. In doing so, GHD donors have confirmed their role as effective and important players in the global humanitarian system.