

FROM EMERGENCY RELIEF TO REHABILITATION

AN EVALUATION OF DUTCH HUMANITARIAN ASSISTANCE IN 2000-2004

Terms of Reference

2 March 2005

1. Introduction

The Policy and Operations Evaluation Department (IOB) of the Netherlands Ministry of Foreign Affairs (MFA) is responsible for evaluations of Dutch foreign policy. IOB's current evaluation programme includes an evaluation of Policy Article 3 of the Dutch foreign policy: Humanitarian assistance¹. In the past Dutch humanitarian assistance to Somalia (1994) was evaluated and the Department took part in the joint evaluation of humanitarian support to the victims of the Rwandan genocide (1996). Since then, IOB has not evaluated this policy area.

Humanitarian assistance is characterised by a range of new developments. The growing number of intrastate conflicts since the end of the Cold War resulted in an increase in human suffering. The 'war on terror' following the September 11 attacks and the subsequent wars in Afghanistan and Iraq have created new challenges for the humanitarian principles of neutrality and impartiality. The changing world climate seems to have affected the magnitude and impact of natural disasters as demonstrated by hurricane Mitch in Central America and the recent floods in Southeast Asia².

These developments have led to a constant need for humanitarian assistance and have resulted in a significant increase in expenditure on humanitarian aid, both in absolute terms and as a proportion of total official development assistance (ODA). Humanitarian assistance accounted for 3,5% (US\$ 2.1bn) of ODA at the beginning of the decade rising to 10,2% (US\$ 5.8bn) in 2000³. With a growing budget for humanitarian assistance, the Netherlands has been a consistently large donor throughout the nineties⁴. The Explanatory Memorandum of the 2004 budget of the Ministry of Foreign Affairs however announces a reduction of the budget⁵.

2. Dutch humanitarian assistance

2.1. Humanitarian assistance policy

Dutch humanitarian assistance policy has been evolving over time. In 1981, the Cabinet approved the White Paper '*Aid in emergency situations*', which was followed by a policy document entitled '*Boundaries of humanitarian assistance*' (1983). The principles of this policy document were subsequently incorporated in '*A World of Difference*' (1990) and in the White Paper '*Humanitarian aid*

¹ During the period covered by this evaluation, humanitarian assistance was funded from a separate budget line (Policy Article 3). In 2005, however, the budget of the Ministry of Foreign Affairs was rearranged. Since then, humanitarian assistance is included in Policy Article 2.

² It should be noted that the disastrous tsunami disaster in Asia occurring on 26 December 2004 is not related to climatic changes, but results from tectonic events in that region.

³ *International humanitarian action: A review of policy trends*, ODI Briefing Paper, April 2002.

⁴ *Financing international humanitarian action: A review of key trends*, HPG Briefing no. 4, November 2002.

⁵ Due to adjustments in the overall ODA-budget, the budget for emergency assistance in developing and non-developing countries will be cut, as well as the budget for humanitarian mine action. These budget cuts will affect the leading position of the Netherlands in international humanitarian assistance and are arguably morally unjust as they will hurt the most vulnerable people (*Annual Plan 2004*, Department of Human Rights and Peace Building, Netherlands Ministry of Foreign Affairs, 2004).

between conflict and development' (1993). The recently published '*General policy framework for humanitarian assistance*' (2002) describes the overall objective of Dutch humanitarian assistance as follows: "To contribute to the relief of life-threatening human needs amongst the most vulnerable people, mostly women and children, as a result of (chronic) crisis situations and/or natural disasters."

In principle, the Netherlands provides humanitarian assistance throughout the world with a focus on ten chronic crisis areas in the developing world⁶. The basic principles underlying Dutch humanitarian assistance are the humanitarian imperative (assistance is provided wherever the needs are most urgent), impartiality and independence.

Dutch humanitarian assistance strategy aims for more effective humanitarian assistance by strengthening a common co-ordinated approach to humanitarian assistance involving donors, United Nations (UN) agencies, the Red Cross and Red Crescent Movement and non-governmental organisations (NGOs). It is argued that close (international) co-ordination contributes to a better connection between different types and phases of assistance over time (provision of immediate relief, support for rehabilitation and reconstruction). Dutch policy aims for a strong central co-ordinating role of the UN in humanitarian crisis situations. In countries and regions characterised by chronic crises, the *Consolidated Appeal Process* (CAP), led by the UN Office for Co-ordination of Humanitarian Assistance (OCHA), guides Dutch humanitarian action. In case of an acute crisis situation, this applies to the *Emergency Appeals* respectively of the UN, the International Committee of the Red Cross (ICRC), and the International Federation of Red Cross and Red Crescent Societies (IFRC).

2.2. Recent trends and issues in humanitarian assistance

Dutch humanitarian assistance policy and practice have recently been confronted with the following trends and issues in international humanitarian assistance.

Security and humanitarian access

Since the end of the Cold War, conflict within countries have dominated the international agenda. Foreign policy needed to address a new set of issues amongst which increased terrorism and large-scale cross border population movements are the most important ones. In redefining the agenda of international relations, a moral element was introduced, or at least reaffirmed. This resulted in the - somewhat blurred - distinction between 'moral-based' and 'interest-based' foreign policy.

Dutch humanitarian assistance in conflict situations should preferably be part of an integrated strategy aimed at the provision of humanitarian assistance, conflict containment and mitigation and promotion of peace, which may encompass political, economical and -if necessary- military resources.

In recent years, three types of violation of international humanitarian law were used as grounds to justify the use of military force: harm to civilians, problems in the delivery of humanitarian aid, and violence against humanitarian workers. Chapter VII of the UN Charter, which provides for the use of international force without the consent of the concerned government, is invoked to secure humanitarian access. The blurring of military action with humanitarian intervention has had negative side-effects too. The use of the 'humanitarian label' in relation to military interventions has associated humanitarian action and humanitarian aid workers with a wide-ranging political agenda, which is seen to jeopardise the humanitarian principles of neutrality and independence. Where parties to a conflict perceive that humanitarian aid is disproportionately benefiting their opponents, humanitarian access to civilians may be blocked. This could also contribute to security threats to those involved in humanitarian action on the ground, as has been the case in Afghanistan, Somalia as well as in Iraq⁷. It is also the question how this problematic is effected by the increase in CIMIC activities, wherein

⁶ In 2004, the following ten countries/regions were eligible for funding: Afghanistan, Angola, Iraq, the Moluccas (Indonesia), Northern Caucasus, Uganda, Sudan, Somalia, the Great Lakes Region (Burundi, DR Congo), the West Africa Region (Ivory Coast, Liberia, Sierra Leone).

⁷ *International humanitarian action: A review of policy trends*, ODI Briefing Paper, April 2002.

peacekeepers engage in civilian activities, such as reconstruction, to enhance the success of the peace keeping mission.

The gap-issue: Linking relief, rehabilitation and development

The last decade witnessed intensive discussions about the so-called relief-development continuum⁸. The gap-issue deals with the transition from emergency to development assistance. Ideally, emergency assistance programmes in developing countries should be ended and (sustainable) development assistance programmes recommence once a crisis situation has ended. However, because of the rise of intrastate conflicts, the distinction between a conflict situation and post-conflict situation has become blurred. This complicates decisions to phase out emergency assistance (exit strategies), to commence rehabilitation and to revert to the provision of development assistance. The humanitarian sector has increasingly been confronted with protracted conflicts that have created a permanent crisis situation in a large number of countries, often in situations of failed states. Possibilities to resume development assistance are not present in these circumstances. Furthermore, in many instances humanitarian emergency assistance is provided to countries where it may not be politically expedient to provide development assistance (Iraq, North-Korea, Sudan, Afghanistan, etc.). In such cases the issue of transition 'from relief to development' becomes a political one.

The Netherlands emphasises the connection between different types and phases of assistance. This applies to the international level, the inter ministerial level in the Netherlands and the level of departments in the Ministry of Foreign Affairs.

At the operational level the Netherlands strives to only finance activities that, where possible, have paid attention to the (future) transition from relief to development assistance. This does however not imply that the Netherlands will automatically finance any follow-up phase of humanitarian activities in the countries concerned.

Co-ordination and coherence of humanitarian assistance

Issues of co-ordination and coherence of humanitarian assistance arise both at the operational level and at the strategic level. At the operational level, humanitarian actors are increasingly finding themselves working alongside other developmental, military and political actors. The question is how to resolve potential conflicts between the mandates and principles of these different actors. Co-operation between civilian and military actors (CIMIC) in particular may have far-reaching consequences in terms of security of aid workers and securing humanitarian access.

At the strategic level, coherence and co-ordination imply harmonising humanitarian, developmental and political action. The challenges confronting harmonisation at the strategic level are more complex than those at the operational level. Although there is broad agreement at the international level that humanitarian action in complex emergencies calls for an integrated, coherent and co-ordinated approach involving all actors, co-operation in practice proves to be cumbersome. Two factors are of importance. In the first place those involved are not willing to give up part of their mandates and freedom of action. Moreover, a major question is to what extent concerted and co-ordinated action in politically complex situations may be at odds with the humanitarian principles of neutrality, independence and impartiality.

The Netherlands emphasises the importance of co-ordination of humanitarian action. Effective co-ordination may save lives and prevent squandering of scarce resources. As mentioned, the Netherlands promotes a strong central co-ordinating role for the UN in humanitarian crisis situations. The Netherlands considers the Consolidated Agency Appeals (CAPs) and the Emergency Appeals to

⁸ The "relief-development continuum" is supposed to consist of three subsequent stages: emergency assistance (relief), rehabilitation assistance and development assistance. It has been argued that in situations of complex (i.e. man-made) emergencies such a continuum does not exist.

largely determine the direction of its support for humanitarian action⁹. Moreover, the Netherlands envisages pool funding, whereby donors pledge unearmarked funding of requirements indicated in the Consolidated Agency Appeals. It is also supportive of OCHA's role to co-ordinate the allocation of funds by sector and implementing agency. Reaching broad agreement about pool funding will be cumbersome. Resistance to this approach is to be expected from implementing (UN) organisations, not wishing to be co-ordinated by OCHA. Also, donors may be reluctant to engage in pool funding, since this instrument will negatively influence 'visibility' and diminish possibilities to fund operations carried out by their national NGOs.

Quality, Accountability and Good Humanitarian Donorship

During the 1990s, humanitarian issues became mainstreamed into international relations, and more explicitly linked to efforts to enhance international peace and security. The rising volume of official humanitarian aid resulted in growing concerns about its effectiveness and underlined the need for implementing partners to improve their performance and accountability¹⁰. The Netherlands encourages and supports a number of NGO initiatives to enhance quality and accountability. Amongst other things, an informal international working conference entitled 'Enhancing the quality of humanitarian assistance' was organised in October 2001¹¹. To address the equally important issue of donor accountability, the Netherlands contributed to a conference in Stockholm, June 2003. At that conference, donors endorsed a set of shared, commonly agreed objectives for humanitarian action, as well as a set of general principles and good practice for humanitarian donorship, the so-called Principles and Good Practices of Humanitarian Donorship Initiative - GHDI (see Annex 3). Together with other donors and humanitarian agencies the Netherlands is actively involved in the follow-up to this conference, providing guidance and oversight of the implementation of agreed follow-up activities¹².

2.3. The budget for humanitarian assistance

In the period 2000-2004, the Netherlands spent an estimated €1.134.647.000 on humanitarian assistance. The humanitarian assistance budget of the Netherlands is comprised of six sub-categories of which the latter three represent voluntary contributions to humanitarian agencies (see table 1). The share of the total aid budget spent on humanitarian assistance has been relatively stable in past years. During the period 2000-2004 the Netherlands contributed an average of € 227 million per year to emergency relief and other forms of humanitarian assistance, constituting some 6% of Dutch Official Development Assistance (ODA) (for details see Annex 1).

⁹ The Netherlands has been one of the driving forces behind the Montreux donor retreats which aimed to enhance the CAP-process.

¹⁰ *The changing role of official donors in humanitarian action: A review of trends and issues*, HPG Briefing no.5, December 2002.

¹¹ Improvement of quality in humanitarian assistance gained momentum through various initiatives, like the Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief; the Inter-Agency Standing Committee guidelines and principles on humanitarian activities and the Sphere standards.

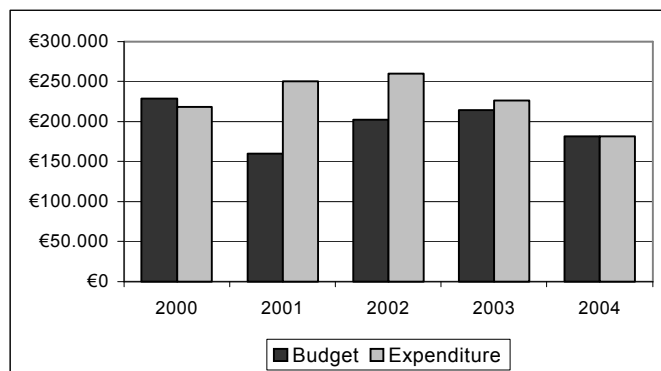
¹² The donors elaborated an Implementation Plan containing follow-up measures to the Principles and Good Practice of Humanitarian Donorship. Another follow-up initiative is to integrate humanitarian aid in the OECD/DAC Peer Reviews starting with two pilots in 2004.

Table 1. Humanitarian Assistance Budget, Art. 3 (x € 1.000), 2000-2004¹³

Year		2000	2001	2002	2003	2004	Total
Budget		228.650	159.449	202.558	213.962	180.968	985.587
Total expenditure		218.097	250.218	259.402	225.962	180.968	1.134.647
<i>Expenditure per budget article</i>							
3.1	Emergency aid in OECD/DAC countries	115.598	144.176	151.731	126.445	84.176	622.126
3.2	Emergency aid in non-OECD/DAC countries	6.320	4.338	4.435	4.538	4.313	23.944
3.3	De-mining and small arms fund	16.273	16.056	15.638	14.882	12.382 ¹⁴	75.231
3.4	UN Refugee Progr. (UNHCR/UNRWA)	54.776	58.249	60.198	52.698	52.698	278.619
3.5	World Food Programme (WFP)	24.958	27.227	27.227	27.227	27.227	133.866
3.6	International Comm. of the Red Cross (ICRC)	172	172	173	172	172	861

Expenditure on humanitarian assistance frequently exceeded the budget¹⁵ (see figure 1), which illustrates the complex and dynamic nature of humanitarian crises and the occurrence of sudden onset natural disasters resulting in (obvious) difficulties to predict the need for humanitarian assistance and plan the budget.

Figure 1. Humanitarian Assistance Budget and Expenditure (x € 1.000), 2000-2004



NB - Data on the expenditure level for 2004 has to be updated.

¹³ Financial information provided in the Explanatory Memoranda to the budget, 2000-2004.

¹⁴ After the Explanatory Memorandum 2004 was published, it has been decided that Article V-03.03 De-mining and small arms fund would be transferred to Policy Article 2 Stability Fund.

¹⁵ In 2000, expenditure on humanitarian assistance did not exceed the budget. The reason for this is that in this year the budget for peace building activities was transferred from the humanitarian assistance budget to the newly created peace building, good governance and human rights budget. This transfer of funds also explains the lower budget for humanitarian assistance in 2001.

2.4. Implementation of humanitarian assistance

At the planning stage of its humanitarian assistance, the Ministry of Foreign Affairs aims to respond in an optimal way to chronic and sudden onset crisis situations. The greater part of Dutch humanitarian assistance is focused on chronic crises in specific geographical areas in the developing world, mainly Sub-Saharan Africa. As of 1999, the Ministry of Foreign Affairs publishes annual policy frameworks that underscore the humanitarian assistance to be provided to these crisis areas. The selection of and allocations to these crisis areas are reassessed annually taking into consideration:

- the nature and stage of the conflict;
- the UN-strategy and the quality of the Consolidated Agency Appeal;
- the volume of Dutch contributions in relation to that of other donors;
- the length of Dutch support in relation to the beneficiaries' prospects and ability to cope with the situation;
- the possibilities for parallel mobilisation of political, military and other efforts as part of an integrated strategy.

In the period 2000-2004¹⁶, almost 40% of the total expenditure of Dutch humanitarian assistance was allocated towards these specific crisis areas. In this period, the Netherlands provided humanitarian assistance to a total of 81 recipient countries¹⁷. Table 2 presents the most important receivers.

Table 2. Top 15 recipient countries of Dutch humanitarian assistance, 2000-2004

Country	# Activities	% Total # activities	Expenditure	% Total expenditure
Afghanistan	78	6,47%	€102.656.602	7,91%
Sudan	144	11,94%	€98.638.454	7,60%
Yugoslavia	42	3,48%	€52.482.411	4,04%
Angola	82	6,80%	€46.815.138	3,61%
Ethiopia	36	2,99%	€40.863.310	3,15%
Eritrea	26	2,16%	€34.069.147	2,63%
Iraq	33	2,74%	€33.735.888	2,60%
DR Congo	55	4,56%	€30.422.990	2,34%
Indonesia	50	4,15%	€24.241.768	1,87%
Burundi	37	3,07%	€23.418.207	1,80%
Somalia	61	5,06%	€22.476.160	1,73%
Russian Federation	64	5,31%	€20.559.004	1,58%
Bosnia & Herzegovina	16	1,33%	€18.942.644	1,46%
Mozambique	25	2,07%	€13.748.894	1,06%
Sierra Leone	32	2,65%	€11.651.618	0,90%
Total	781	64,78%	€574.722.235	44,28%

Out of these 15 countries, only 4 (Yugoslavia, Ethiopia, Eritrea and Mozambique) have not been designated special area of attention for Dutch humanitarian assistance. The Netherlands does provide humanitarian support to these four countries, albeit in a limited way. For instance, food aid may be provided in an ad hoc manner whenever crops have failed which for instance was the case in Ethiopia in 2002.

In addition to support to alleviate the effects of chronic crises, the Netherlands also provides humanitarian assistance to large-scale acute emergencies which may be caused by natural disasters,

¹⁶ The following tables and figures are based on information derived from the Ministry's management information system (MIDAS / Piramide).

¹⁷ Excluding 5 allocation categories used by the Ministry involving expenditures that can not be designated to separate countries: Contributions, World-wide, Regional Africa, Regional Europe and Central Asia, and Regional Latin America. Almost half of Dutch' humanitarian assistance in the period 2000-2004 involves the first two categories (32% = Contributions and 14% = World-wide).

epidemics or escalating conflicts. For the Netherlands, OCHA, the Emergency Relief Co-ordinator of the UN, and the ICRC and IFRC are leading agencies in such situations¹⁸.

Decision-making is informed by and based on the following factors:

- whether or not the afflicted country has submitted a request for international assistance;
- the relative severity and magnitude of the emergency situation;
- the capacity of the national government and national and local organisations to cope with the emergency situation;
- contributions of other donors.

In acute crisis situations, the Netherlands supports emergency assistance activities, as well as first steps towards rehabilitation of refugees and internally displaced people (IDPs). It should be noted that structural development programmes and projects cannot be funded from the budget for humanitarian assistance.

In addition to financial support in response to acute crisis situations, the Netherlands also provides specialised personnel to the UN Disaster Assessment and Co-ordination (UNDAC) teams, which assess the humanitarian situation and co-ordinate assistance.

Channels

Dutch official humanitarian assistance is administered by the Ministry of Foreign Affairs and channelled through a variety of implementing agencies. In the period 2000-2004, 69% of humanitarian assistance was channelled through 25 multilateral organisations¹⁹, while 31% was channelled through 116 international and national NGOs (including 12% through ICRC, and 11% through 27 Dutch NGOs). Less than 1% was channelled through other channels²⁰ (table 3).

Table 3. Channels used for Dutch humanitarian assistance, 2000-2004

Type of channel	# of organisations	% Total # activities	% Total expenditure
Multilateral	25	39,31%	69,08%
(I)NGO	116	56,05%	30,56%
Other	21	4,64%	0,36%
Total	162	100%	100%

In view of the international humanitarian aid principles, impartiality in particular, and to prevent substitution of funding, the Netherlands does not channel its humanitarian assistance through national governments. Exceptions to this rule are only made in the case of natural disasters.

Sectors

Humanitarian assistance provided by the Netherlands covers a large number of sectors (see Table 4)²¹. In the period 2000-2004, almost 50% of the expenditure can be categorised as "multi-sector". This category covers a mix of activities and includes voluntary contributions to humanitarian agencies, framework agreements, as well as contributions to the CAP and Emergency Appeals. Almost 21% of the total expenditure *inter alia* includes voluntary contributions to the World Food Programme and is

¹⁸ A recent example is the allocation of € 40 million from the humanitarian budget, as well as pledges to be funded from other budget categories in response to the immediate and longer-term effects of the tsunami disaster occurring in Asia on 26 December 2004.

¹⁹ Besides the UN organisations, this category also includes ad hoc support to *inter alia* NATO, the OSCE, the Pan American Health Organisation and the International Humanitarian Fact Finding Commission (IHFFC).

²⁰ Research institutions, independent consultants, (local) governments in beneficiary countries, the MFA / Embassies, as well as other Dutch ministries (Ministry of Defence, Ministry of Transport, Public Works and Water Management, and Ministry of the Interior and Kingdom Relations).

²¹ The information is based on the description of the objective(s) of the different programmes, projects and unearmarked contributions in the Ministry's management information systems MIDAS and Piramide. The information has been interpreted for the purpose of this evaluation.

categorised as food aid. Other sectors that received substantial funding by the Netherlands are mine action, health care and co-ordination. Although covering essential activities, each of the other sectors is considerably less important in relative financial terms.

Table 4. Dutch humanitarian assistance by sector, 2000-2004

Sector	# Activities	% Total # activities	Expenditure	% Total expenditure
Multi-sector	338	28,03%	€635.872.431	49,00%
Food aid	127	10,53%	€298.927.634	23,04%
Mine action	70	5,80%	€73.075.686	5,63%
(Reproductive) Health care	199	16,50%	€65.597.814	5,06%
Co-ordination and support systems	96	7,96%	€59.875.475	4,61%
Agriculture	67	5,56%	€34.354.477	2,65%
Other	78	6,47%	€30.877.904	2,38%
Water and sanitation	49	4,06%	€18.559.114	1,43%
Shelter	23	1,91%	€16.050.715	1,24%
Capacity building	9	0,75%	€12.027.257	0,93%
Psychosocial care / Trauma processing	24	1,99%	€8.551.167	0,66%
Reintegration and rehabilitation	16	1,33%	€8.357.354	0,64%
Education	28	2,32%	€8.096.716	0,62%
Protection	14	1,16%	€8.086.297	0,62%
Repatriation	13	1,08%	€6.996.357	0,54%
Demilitarisation / Disarmament	15	1,24%	€5.259.288	0,41%
Income generation / Employment	11	0,91%	€4.279.413	0,33%
Civil society	7	0,58%	€2.952.748	0,23%
Disaster preparedness	9	0,75%	€2.075.621	0,16%
Rule of law	2	0,17%	€1.313.448	0,10%
Missing persons / Family reunion	1	0,08%	€263.914	0,02%
Human rights	10	0,83%	-€3.789.524	-0,29%

2.5. Management of humanitarian assistance

Overall management structure

The Department of Human Rights and Peace Building (DMV) and, in particular, its Humanitarian Aid Division (DMV/HH) bears responsibility for policy development and implementation of humanitarian assistance. DMV is the budget holder for the largest part of the Dutch humanitarian assistance, followed by the United Nations and International Financial Institutions Department (DVF). It should be noted that DVF's budget covers voluntary contributions to the UN Refugee programmes (UNHCR and UNRWA) and to the World Food Programme (WFP). In addition to these annual unearmarked contributions, the Netherlands also finances specific programmes and projects of these organisations mainly through contributing to the different Consolidated Agency Appeals (CAPs). These contributions are financed from DMV's budget. The category 'other budget holders' responsible for a very limited amount of expenditure and number of activities include the Security Policy Department (DVB) and four Dutch embassies.

Table 5. Budget holders for humanitarian assistance, 2000-2004

Budget holder	% Total # activities	% Total expenditure
Dept. of Human Rights and Peace Building (DMV)	96,68%	67,41%
UN and International Financial Institutions Dept. (DVF)	1,74%	32,17%
Other	1,58%	0,42%
Total	100%	100%

The humanitarian assistance budget is centralised. Prior to 2002, Dutch embassies could directly finance humanitarian activities in the case of natural disasters whenever appropriate, using budgets delegated to them. However, they had to consult DMV prior to deciding the type and magnitude of the contributions in order to relate these activities to the overall humanitarian efforts of the Netherlands. The delegated budgets were centralised in 2002 in order to enable optimal co-ordination within the Ministry.

Dutch embassies in countries confronted with crisis situations, in particular protracted emergencies, have consultative tasks as well as the task to oversee the implementation of Dutch humanitarian support. Typical activities involve: (1) participation in co-ordination mechanisms at country level, (2) monitoring of the emergency and humanitarian developments, (3) consultation with relevant humanitarian aid agencies, (4) monitoring of humanitarian activities supported by the Netherlands which may involve field visits, (5) monitoring of implementing organisations receiving support through framework agreements, (6) provision of advise to the Humanitarian Aid Division regarding proposed interventions.

Framework agreements

In line with international efforts to foster accountable and effective management of humanitarian assistance (*inter alia* reflected in the principles of good humanitarian donorship), the Ministry of Foreign Affairs has recently entered into framework agreements with major UN-agencies (UNHCR, WFP, UNICEF, OCHA) and ICRC. In these agreements, the annual contributions to these organisations are determined and the use of the funds provided by the Netherlands is specified. The agreements consolidate former earmarked funding, formalise the policy dialogue between the Netherlands and the respective implementing organisations, and improve the predictability and timeliness of contributions of the Netherlands to these organisations. Currently, the Humanitarian Aid Division has started a similar process of streamlining humanitarian assistance provided through NGOs.

The framework agreements and streamlining of humanitarian assistance through NGOs also enable the Humanitarian Aid Division to rationalise its staff's considerable workload.

3. Purpose of the evaluation and evaluation questions

3.1. Purpose

The purpose of the evaluation is to carry out an independent assessment of the results of Dutch Humanitarian Assistance in the period 2000 - 2004. The evaluation will focus on the implementation and results of humanitarian activities supported by the Netherlands as well as review Dutch humanitarian policy and administrative procedures for the implementation of humanitarian assistance.

By providing an account of the humanitarian support, the evaluation will also provide lessons for policy and programme improvement. It will focus on results whilst also taking into account processes involved in the planning and delivery of humanitarian assistance both in a global sense and in the selected regions/countries. The evaluation will examine relevance of the humanitarian support, its effectiveness in terms of outputs, outcomes and impact as well as its efficiency, notably in terms of co-ordination, connectedness and coherence.

Intended users of the results of this evaluation are policy makers, aid administrators, operational managers at the ministry's headquarters and in embassies, implementing agencies, the general public and the Dutch parliament.

3.2. Evaluation questions

The following evaluation criteria and main questions will be covered by the evaluation.

Relevance

Was the humanitarian assistance provided in line with the humanitarian policy and procedures of the Netherlands, as well as the needs, priorities and rights of the affected populations?

The evaluation will *inter alia* take into account the following issues:

- At the level of policy development:
 - Attention paid at the general, regional and national level to needs, priorities and rights of affected populations;
 - Interaction and consistency with International Humanitarian Law and humanitarian policy at the international level, including responsiveness to new developments.
- At the level of policy implementation:
 - Consistency with Dutch humanitarian policy, including basic principles such as impartiality and independence;
 - Provision and distribution of assistance based on assessment of needs, priorities and material and non-material rights of affected populations. An example of non-material rights is the right for protection against sexual exploitation and abuse;
 - Type of activities supported and modalities of implementation (channels, implementing partners, agreements);
 - Level of access secured to needy groups.

Effectiveness

To what extent did the humanitarian assistance provided achieve its purpose?

Issues to be addressed:

- Realisation of the immediate material and non-material needs of the affected populations (coverage and timeliness of support provided);
- Provision and distribution of assistance taking into account gender and generation, including specific material and non-material needs of women, children and the elderly;
- Adherence to the Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief; Inter-Agency Standing Committee (IASC) guidelines and principles on humanitarian activities and Sphere standards;
- Influence of and response to security and humanitarian access.

What have been the wider effects of the humanitarian interventions?

Wider effects, also called impact, can be immediate and long-range, intended and unintended, as well as positive and negative. In this evaluation, it is tried to establish the immediate wider effects of the support provided. The following issues will be addressed:

- Effects of humanitarian assistance in terms of reducing the immediate material and non-material vulnerability of the affected population and fostering preparedness and people's coping mechanisms;
- Effects of humanitarian assistance on the emergency situation or conflict, including relations between recipients of aid and other vulnerable groups.

Efficiency

Were the financial resources and other inputs efficiently used to achieve results?

Issues to be addressed:

- Aid management (programme and project cycle, staffing, tasks and responsibilities of ministry departments and embassies, inter-ministerial co-operation including civil-military co-operation);
- Criteria used in the selection of implementing partners (comparative advantage or other);
- Organisation and costs of aid delivery at field level (diversion, security, creating humanitarian access);
- Use of monitoring of progress and achievements for programming, learning and accountability.

Special issues for consideration:

Connectedness

The concept connectedness connotes the need to assure that short-term humanitarian activities are carried out in a context which takes longer-term and interconnected problems into account. Although it is generally accepted that there is always a link between humanitarian action, reconstruction and development, and that humanitarian action should establish a framework for recovery, there is currently no consensus concerning the extent to which humanitarian action should support longer-term needs²². In contrast to development activities, many humanitarian interventions are not designed to be sustainable. However, they need assessing as to whether, in responding to acute and immediate needs, they take the longer-term into account. For instance, excessive food aid undermines coping mechanisms and restricts initiatives to normalise local food production, and is therefore not relevant, not effective and not efficient. The following question will have to be answered:

To what extent have the humanitarian activities taken into account the specific context in the recipient countries with their longer-term and interconnected problems?

Issues to be addressed:

- Policy developments and intradepartmental collaboration to address the gap between relief and development;
- Conflict analysis informing the choice and the design of interventions;
- Institutional capacity building as part of assistance provided;
- Decision making to link humanitarian assistance, support for rehabilitation and development aid where appropriate (timeframes of assistance and the use of exit strategies).

Coherence

Besides the above mentioned evaluation questions, the evaluation will pay attention to coherence. Assessment of coherence should focus on the extent to which policies of different actors were complementary or contradictory. In the context of this evaluation coherence will be analysed solely in the humanitarian sphere. The following question will have to be answered:

Are humanitarian policy and programming at field level coherent with those of other actors?

Issues to be addressed:

- Coherence with policies and interventions other than humanitarian support;
- Possible effects of diverging interests;
- Relation between basic principles of humanitarian assistance and coherence.

²² See Guidance for evaluating humanitarian assistance in complex emergencies, OECD/DAC Working Party on Aid Evaluation, 1999 and Evaluating Humanitarian Action: an ALNAP Guidance Booklet, 2003.

Co-ordination

Given the multiplicity of actors involved in an emergency response, it is important that co-ordination is explicitly considered. Consequently, the following question will have to be answered:

How effective has co-ordination at policy, strategic and implementation levels been?

The following issues will be addressed:

- Involvement of the Netherlands in co-ordination mechanisms and processes;
- Encouragement of operational partners to engage with co-ordination mechanisms and processes;
- Trade-off between co-ordination and humanitarian principles (humanity, neutrality, impartiality, independence).

4. Scope of the evaluation

The evaluation will entail a comprehensive analysis of the humanitarian assistance policy of the Netherlands and the ways in which the administrative and managerial procedures have been established and are being implemented. As part of this analysis the evaluation will review the initiatives of the Netherlands in the dialogue with other donors and implementing agencies on policy and administrative issues. As well, an empirical analysis will take place of a sample of completed and ongoing humanitarian assistance activities in recipient countries where a wide range of implementing agencies have been funded wholly or in part by the Netherlands. It should be noted that activities undertaken or supported by the Netherlands other than humanitarian, such as support to peace keeping forces or diplomatic interventions, will not be evaluated. In the context of the case studies to be covered by the evaluation (see below), such initiatives will be described and taken into account as contextual factors in the analysis of the humanitarian support provided. In addition, attention will be paid to effects of humanitarian assistance on the emergency situation or conflict.

The empirical analysis of the evaluation will only take into consideration activities funded from the emergency aid articles of the humanitarian assistance budget vote (article 3.1 and 3.2 - see table 1). The de-mining and small arms fund (article 3.3), will not specifically be part of this evaluation in view of IOB's separate evaluation of this policy area²³. Moreover, unearmarked voluntary annual contributions to specialised UN agencies and the ICRC (articles 3.4, 3.5 and 3.6) will not be included. However, attention will be paid to the intraministerial co-ordination of such allocations.

The following cases have been selected for in-depth study by taking into account: a) the level of expenditure; b) their policy relevance; c) the range of assistance offered; and d) the type of emergency.

Sudan

Apart from a brief period of peace from 1972 to 1983, Sudan has experienced civil war and other types of emergencies since the country's independence in 1956. The ongoing conflict has been the principal source of suffering of Sudanese people. In addition to the estimated two million deaths directly attributed to the fighting, a significant but incalculable number of people have been affected as a result of associated disruption of their livelihoods and lack of basic services. Sudan has the largest displaced population in the world with some 3-4 million internally displaced people (IDPs) and an additional 400.000 Sudanese refugees. Human rights violations of various sorts are widespread. The effects of the protracted man-made crisis are compounded by periodic droughts and flooding, further contributing to loss of life and destruction of livelihoods²⁴.

²³ Furthermore, in 2004 the de-mining and small arms fund was transferred from the humanitarian assistance budget to Policy Article 2 Stability Fund. Therefore, it is no longer part of the subject of this evaluation.

²⁴ *UN Inter-Agency Consolidated Appeal for the Sudan Assistance Programme for 2004 (ASAP)*, November 2003.

At the same time when the peace negotiations between the Government and the parties in Southern Sudan proved to be promising, the current humanitarian crisis in the province of Darfur put Sudan again at the top of the international agenda. The Netherlands has reacted to this crisis by providing additional funding.

During the past decades, the Netherlands has continuously provided considerable amounts humanitarian assistance to Sudan. In the period 2000-2004, almost €99 million was spent, making Sudan one of the most important beneficiaries of Dutch humanitarian assistance during that period. The Netherlands is one of the country's most important humanitarian donors.

The humanitarian support provided comprises emergency relief as well as rehabilitation assistance and involves a multitude of sectors (for details see Annex 2). The budget limitations for humanitarian assistance in 2003 resulted in a concentration on emergency relief relative to support for rehabilitation. The year 2004 has witnessed increased allocation of funds to cover the need for emergency relief in Darfur. In the period 2000-2004, approximately 65% of the assistance was channelled through multilateral organisations, while 35% was channelled through (I)NGOs.

The evaluation of Dutch humanitarian assistance to Sudan will consist of a sample of completed and ongoing humanitarian assistance operations both in Southern Sudan as well as in Darfur. It is aimed to get a specific insight in the issue of the politicisation of humanitarian assistance as well as possibilities to co-ordinate humanitarian action in a high-profile humanitarian crisis (and its consequences for security and humanitarian access).

The Great Lakes region (Burundi/Democratic Republic of Congo)

In the period 2000-2004, Dutch humanitarian assistance for the Great Lakes region has specifically focused on Burundi and the (eastern part of) the Democratic Republic of Congo (DRC).

The protracted conflict in Burundi (the civil war started in 1993) has had a destructive impact on the livelihoods of the Burundi people. The social-economic infrastructure has deteriorated and the lack of basic services and food shortages has negatively impacted on the population's health situation. Even though the peace process in Burundi has recently developed in a positive way²⁵, hostilities still continue. The current situation does not only contribute to increased numbers of internally displaced persons (IDPs), but also prohibits the return of refugees (mainly from Tanzania) and hampers economic recovery.

Dutch humanitarian assistance to the Democratic Republic of Congo focuses specifically on the eastern part of the country. The inhabitants of this region have been severely affected by years of civil war and banditry. Limited access to basic social services like health and education, a disruption of the local agricultural production, and the general level of insecurity have resulted in food shortages and high levels of child malnutrition, as well as massive morbidity and mortality. This situation is compounded by high HIV-infection rates²⁶. The humanitarian crisis has also resulted in a high number of IDPs and refugees.

Both Burundi and the (eastern) Democratic Republic of Congo have been a focal point of the Dutch humanitarian assistance to the Great Lakes region since 1999. In the period 2000-2004, the Netherlands allocated €54 million from the humanitarian assistance budget to support humanitarian activities in these countries²⁷. Over the years, the support comprised of both emergency and rehabilitation assistance, the type of assistance depending on local needs and circumstances related to

²⁵ In October 2003, the Burundi Government and the most important rebel movement CNDD/FDD signed the so-called Protocol of Pretoria, enabling the CNDD/FDD's participation in government and the absorption of the rebels in the government army.

²⁶ *CAP Humanitarian Appeal 2004 for Democratic Republic of Congo*, UN OCHA, November 2003.

²⁷ In the period 2000-2004, the Netherlands allocated €23.418.207 and €30.422.990 to support humanitarian activities in Burundi respectively in the DRC.

the dynamics of the conflict. The aid provided covered a multitude of sectors (for details see Annex 2). For the coming years, the Netherlands envisages to limit its support to relief activities in favour of reconstruction. The type and magnitude of future allocations will largely depend on the outcome of the peace process in Burundi as well as the containment of conflicts in the DRC. In the period 2000-2004, approximately 56% of the assistance to the DRC was channelled through multilateral organisations, while 44% was provided through (I)NGOs. Some 73% of the assistance to Burundi was channelled through multilateral organisations, with the remainder (27%) through (I)NGOs.

The evaluation of the Dutch humanitarian assistance to the Great Lakes region will shed light in the Ministry's regional humanitarian approach, as well as in the ways in which the process of phasing out relief assistance in favour of structural assistance is handled

Separately evaluated cases: Somalia and Afghanistan

Besides the above mentioned cases, separate evaluations of Dutch humanitarian assistance to Somalia and Afghanistan are conducted.

IOB is currently evaluating Dutch humanitarian assistance to Somalia. This evaluation, which specifically focuses on IDPs, is one of a series of different studies conducted by various donors and covers also assistance provided by Denmark, Sweden and ECHO²⁸.

The Evaluation Department of the Danish Ministry of Foreign Affairs (Danida) has commissioned an evaluation of humanitarian and reconstruction assistance to Afghanistan, involving activities financed by Denmark, Ireland, the Netherlands, Sweden and the United Kingdom. The Afghanistan evaluation will be implemented in the first half of 2005.

The results of the Somali as well as the Afghanistan evaluation will be separately published. The findings of these evaluations will also be taken into account in the current evaluation of overall Dutch humanitarian assistance and each case will be reported as a separate chapter in the final report.

Somalia

During the past fifteen years, civil war, continuing inter-clan hostilities and widespread local banditry have led to a protracted humanitarian crisis and a breakdown of the Somali state. The country lacks a functioning government, resulting in the breakdown of social, political and economic order. In turn, the unstable conditions, combined with periodic drought and flooding resulted in a situation of widespread and chronic humanitarian suffering. Specifically the central and southern parts of the country experience high rates of malnutrition, morbidity, mortality and very low rates of primary school enrolments. Lack of access to clean drinking water has been one of the main problems for people living in cities as well as in the countryside.

Throughout the past fifteen years, Somalia has received humanitarian assistance from the Netherlands. In the period 2000-2004, €22 million was allocated support humanitarian activities, placing Somalia in the top ten of recipient countries.

Depending on the dynamics of the conflict situation, activities supported over the years were directed to relief and/or to rehabilitation. The support has been focused on the most vulnerable people, including IDPs, women and children. In addition, assistance has been provided to Somali refugees living in camps in neighbouring countries, mainly Kenya. In the period 2000-2004, approximately 65% of the Dutch humanitarian assistance to Somalia was channelled through multilateral organisations, while 35% of the assistance was provided through (I)NGOs.

The (separate) evaluation implemented in Somalia will provide specific insight in issues related to the provision of humanitarian assistance to a stateless society, as well as in the difficulties of identifying

²⁸ In order to facilitate the evaluations the *Framework for a Common Approach to Evaluating Assistance to IDPs. Protecting Lives and Reducing Human Suffering* was produced (Danida, October 2003).

IDPs in a protracted conflict. The evaluation, which is currently being carried out by a consortium of ETC/UK, ETC/East Africa, Groupe URD and Wageningen University, is expected to be finalised by early 2005.

Afghanistan

In the aftermath of the September 11 attacks, Afghanistan became a central issue on the international agenda. Since then, the Taliban regime has been ousted, and the country is struggling to recover from 23 years of conflict, displacement, near complete destruction of infrastructure and periodic droughts. There have been concerted efforts on the part of the current (transitional) government, UN and NGO partners to respond to the humanitarian crisis. It is tried to alleviate immediate needs among the population and efforts are underway to reconstruct the country (physical, government and social infrastructure). Major challenges are among others a sustainable reintegration of returning refugees and IDPs, support the drought-affected and food insecure population groups, speed up economic recovery including the creation of job opportunities, and last but not least the establishment of a democratic government. Security continues to be a key concern. Attacks have taken place against members of the transitional administration and the international community, including the UN. Across the country, skirmishes between rival factions still take place and hamper the delivery of aid²⁹.

The Netherlands is historically one of the most important providers of humanitarian assistance to Afghanistan: even before September 11 the annual contribution averaged some €9 million. In the period 2000-2004, the Netherlands allocated over €102 million to support humanitarian action in the country. Afghanistan has been designated a one of the chronic crisis areas in the developing world that should receive special attention from the Netherlands.

The country has been the largest recipient of Dutch humanitarian assistance during the past five years. The assistance is particularly aimed to increase the Afghan people's abilities to cope with the current situation and to restore their livelihoods. Consequently, the Netherlands envisages to gradually reduce its support to immediate relief activities in favour of rehabilitation. In the period 2000-2004, approximately 80% of the Dutch humanitarian assistance was provided through multilateral organisations, while 20% of the assistance was channelled through (I)NGOs.

Afghanistan will be covered by a Danish-led joint evaluation. The evaluation, which includes Danish, Irish, British, Swedish and Dutch humanitarian assistance to Afghanistan, will provide specific insights in the gap-issue, as well as in the issues of security and access related to humanitarian and reconstruction efforts being implemented through civil-military co-operation (CIMIC). The evaluation will be conducted by a team led by the Norwegian Christian Michelsen Institute and finalised in the third quarter of 2005.

Coverage of the case studies

The selection of the different case studies has been made on the basis of a review of the activity portfolio contained in the Ministry's management information system, an analysis of policy documents and discussions with the Humanitarian Aid Division.

Together the four case studies cover 33% of Dutch expenditure on humanitarian assistance funded from the emergency aid articles of the humanitarian assistance budget vote articles 3.1 and 3.2 in the period 2000-2004³⁰.

5. Approach and methodology

The evaluation will provide an analysis of humanitarian assistance of the Netherlands (policy assessment, review of administrative procedures, and assessment of results). Methods to be applied will include a review of existing documents, including policy documents, project documentation,

²⁹ *Transitional Assistance Programme for Afghanistan 2003*, December 2002.

³⁰ Derived from the Ministry's management information system (MIDAS/Piramide).

evaluation reports; interviews with key informants in the Ministry of Foreign Affairs, Dutch embassies, headquarters and field offices of international humanitarian agencies and other international, national and local implementing partners, and consultations with beneficiaries at programme and project sites in the selected case study countries. Approaches may involve focus group discussions, unstructured interviews, and participatory assessments involving both men and women.

The evaluation will be carried out following a multi-phased approach.

Phase I - Analysis of Dutch humanitarian assistance policy and management of this assistance

This part of the evaluation will be conducted by a team of evaluators of the Policy and Operations Evaluation Department of the Netherlands Ministry of Foreign Affairs (IOB), consisting of Ted Kliet (IOB), Mariska van Beijnum (IOB-research assistant) and Thea Hilhorst (humanitarian assistance expert, Disaster Studies, University of Wageningen). This core team will conduct a study of documentation and statistical data supplemented by interviews. The first phase of the evaluation will also provide insights for the design of detailed terms of reference for the subsequent case studies respectively covering Sudan and Burundi/Democratic Republic of Congo.

Phase II - Case studies

The second phase of the evaluation involves the conduct of the case studies Sudan and Burundi/Democratic Republic of Congo. These studies will be (separately) contracted to independent evaluation teams through international competitive bidding. The IOB core team will provide oversight and guidance of the implementation of the case studies.

The activities to be covered by field analysis in the case study countries will be selected to represent a cross-section of the various types of humanitarian interventions financed and implemented through UN-agencies and non-governmental organisations. This selection will provide a sufficiently illustrative sample of humanitarian activities in each of these countries.

The case studies will be implemented using a combination of evaluative strategies and methods. Quantitative and qualitative data will have to be collected through desk research and field studies. The desk research will include a review and synthesis of findings from evaluations pertaining to these cases conducted by other donors and humanitarian aid agencies. The findings of these evaluations and other research material will be taken into account and verified in the field. Field work will involve a variety of methods, including stakeholder consultation and participation, and involvement of beneficiaries.

Phase III - Integration of findings, analysis and production of evaluation report

The final phase of the evaluation involves the integration and analysis of the results of the first phase of the evaluation and the four respective case studies in order to prepare the final report. This work will be carried out by the core team of IOB evaluators.

6. Reference group

The evaluation will be guided by a reference group consisting of the Head of the Humanitarian Aid Division of the Ministry of Foreign Affairs, Mr. A. van Dijk (Oxfam-Novib) representing the Dutch NGOs involved in the delivery of humanitarian assistance and Mr. J. Herman, Director of Humanitarian Assistance Studies, Department of International Relations and International Organisations of the University of Groningen. The reference group will be chaired by the Director of the Policy and Operations Evaluation Department and will meet at milestone moments during the evaluation to review its draft products.

Mr. N. van Niekerk and Ms. Y. Kleistra both from the Policy and Operations Evaluation Department will be involved as internal readers of the report.

7. Projected timetable

Adoption of ToR	February 2005
Preparation of ToRs for case studies	December 2004 / January 2005
First phase of the evaluation	January - March 2005
Circulation of invitations to bid for case studies	January / February 2005
Submission of proposals for case studies	March 2005
Contract award for case studies	April 2005
Implementation of case studies	April / June 2005
Submission of draft reports for case studies	August / September 2005
Synthesis	September / October 2005
Submission of draft final evaluation report	November 2005
Publication of final report	December 2005

8. Budget

Activity	Estimated costs (Euro)
External Humanitarian Aid Expert (Dr. Hilhorst) [estimated costs covering 154 person days, international and local travel, and DSA]	144,000
Research assistant (M. van Beijnum)	PM (covered under earlier allocation for preparation of Somalia study and this evaluation)
Case study Sudan (South Sudan and Darfur) [estimated costs covering 6 person months, international and local travel and DSA]	100,000
Case study Eastern DRC/Burundi [estimated costs covering 6 person months, international and local travel and DSA]	100,000
Reference Group [costs external expert, 10 person days, travel]	5,500
Report production	20,000
Follow-up activities	2,500
<i>Sub total</i>	<i>372,000</i>
Contingencies (5%)	18,600
Total	390,600

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Annex 1: Dutch Humanitarian Assistance (HA) budget 2000-2004 (x €1.000)
(based on Explanatory Memoranda to the budget for International Co-operation 2000-2004)

Year	2004	2003	2002	2001	2000	
Budget	€180.968	€213.962	€202.558	€159.449	€228.650	
Expenditure (total) ³¹	€180.968	€225.962	€259.402	€250.218	€218.097	
V-03.01 Emergency Ass. OECD/DAC	€84.176	€126.445	€151.731	€144.176	€115.598	ODA
V-03.02 Emergency Ass. non-OECD/DAC	€4.313	€4.538	€4.435	€4.338	€6.320	non-ODA
V-03.03 De-mining and small arms fund	€12.382 ³²	€14.882	€15.638	€16.056	€16.273	ODA
V-03.04 UN-Refugee Programmes	€52.698	€52.698	€60.198	€58.249	€54.776	ODA
V-03.05 World Food Programme	€27.227	€27.227	€27.227	€27.227	€24.958	ODA
V-03.06 International Committee Red Cross	€172	€172	€173	€172	€172	non-ODA
Total budget MFA (expenditure policy articles)	€8.731.731	€9.240.337	€9.802.264	€6.066.134	€5.755.987	
Budget HA as % of total budget MFA	2,07%	2,32%	2,07%	2,63%	3,97%	
HA ODA-expenditure	€176.483	€221.252	€254.794	€245.708	€211.605	
Total ODA-expenditure (HGIS) ³³	€3.810.821	€3.769.621	€3.823.576	€3.767.449	€3.512.859	
HA as % of total ODA-expenditure (HGIS)	4,63%	5,87%	6,66%	6,52%	6,02%	
Average HA as % of total ODA-expenditure (HGIS)	5,94%					
Total expenditure HA 2000-2004	€1.134.647					
Average expenditure HA per annum 2000-2004	€226.929					

³¹ To be updated for actual expenditure levels in 2004.

³² Following publication of the Explanatory Memorandum 2004, it was decided to transfer Article V-03.03 De-mining and small arms fund to Policy Article 2 Stability Fund.

³³ The Homogeneous Budget for International Co-operation (HGIS) provides an overview of allocations and expenditures involved with Dutch' international co-operation. The Minister for Foreign Affairs is the co-ordinating minister for HGIS.

Annex 2: Dutch humanitarian assistance by sector, Sudan, Burundi and the Democratic Republic of Congo (2000 - 2004)

Sudan

Sector	Expenditure	% Total expenditure
Multi-sector	€35.646.042,26	36,14%
Food aid	€20.483.634,78	20,77%
(Reproductive) Health care	€13.268.507,10	13,45%
Agriculture	€7.271.702,32	7,37%
Co-ordination and support systems	€6.294.088,89	6,38%
Other	€5.678.936,22	5,76%
Water and sanitation	€3.090.140,05	3,13%
Education	€2.393.323,35	2,43%
Reintegration and rehabilitation	€1.090.220,49	1,11%
Capacity building	€1.035.629,88	1,05%
Repatriation	€999.900,00	1,01%
Psychosocial care / Trauma processing	€699.816,39	0,71%
Disaster preparedness	€465.545,91	0,47%
Protection	€220.966,52	0,22%

Burundi

Sector	Expenditure	% Total expenditure
Multi-sector	€9.463.553,68	40,41%
Food aid	€3.607.783,40	15,41%
Agriculture	€2.713.014,31	11,59%
Psychosocial care / Trauma processing	€2.311.886,99	9,87%
(Reproductive) Health care	€2.265.615,68	9,67%
Co-ordination and support systems	€1.425.247,89	6,09%
Income generation / Employment	€700.000,00	2,99%
Education	€600.171,40	2,56%
Repatriation	€309.515,32	1,32%
Protection	€21.418,43	0,09%

Democratic Republic of Congo

Sector	Expenditure	% Total expenditure
Multi-sector	€10.594.923,81	34,83%
(Reproductive) Health care	€7.835.855,52	25,76%
Food aid	€6.639.435,99	21,82%
Co-ordination and support systems	€3.474.674,93	11,42%
Agriculture	€1.375.217,10	4,52%
Protection	€278.784,50	0,92%
Shelter	€224.098,53	0,74%

Annex 3: Principles and Good Practice of Humanitarian Donorship

Principles and Good Practice of Humanitarian Donorship,
endorsed in Stockholm, 17 June 2003

Objectives and definition of humanitarian action

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

General principles

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

of the Red Cross, and the vital role of the United Nations, the International Red Cross and Red Crescent Movement and non-governmental organisations in implementing humanitarian action.

Good practices in donor financing, management and accountability

(a) Funding

11. Strive to ensure that funding of humanitarian action in new crises does not adversely affect the meeting of needs in ongoing crises.
12. Recognising the necessity of dynamic and flexible response to changing needs in humanitarian crises, strive to ensure predictability and flexibility in funding to United Nations agencies, funds and programmes and to other key humanitarian organisations.
13. While stressing the importance of transparent and strategic priority-setting and financial planning by implementing organisations, explore the possibility of reducing, or enhancing the flexibility of, earmarking, and of introducing longer-term funding arrangements.
14. Contribute responsibly, and on the basis of burden-sharing, to United Nations Consolidated Inter-Agency Appeals and to International Red Cross and Red Crescent Movement appeals, and actively support the formulation of Common Humanitarian Action Plans (CHAP) as the primary instrument for strategic planning, prioritisation and co-ordination in complex emergencies.

(b) Promoting standards and enhancing implementation

15. Request that implementing humanitarian organisations fully adhere to good practice and are committed to promoting accountability, efficiency and effectiveness in implementing humanitarian action.
16. Promote the use of Inter-Agency Standing Committee guidelines and principles on humanitarian activities, the Guiding Principles on Internal Displacement and the 1994 Code of Conduct for the International Red Cross and Red Crescent Movement and Non-Governmental Organisations (NGOs) in Disaster Relief.
17. Maintain readiness to offer support to the implementation of humanitarian action, including the facilitation of safe humanitarian access.
18. Support mechanisms for contingency planning by humanitarian organisations, including, as appropriate, allocation of funding, to strengthen capacities for response.
19. Affirm the primary position of civilian organisations in implementing humanitarian action, particularly in areas affected by armed conflict. In situations where military capacity and assets are used to support the implementation of humanitarian action, ensure that such use is in conformity with international humanitarian law and humanitarian principles, and recognises the leading role of humanitarian organisations.
20. Support the implementation of the 1994 Guidelines on the Use of Military and Civil Defence Assets in Disaster Relief and the 2003 Guidelines on the Use of Military and Civil Defence Assets to Support United Nations Humanitarian Activities in Complex Emergencies.

(c) Learning and accountability

21. Support learning and accountability initiatives for the effective and efficient implementation of humanitarian action.

22. Encourage regular evaluations of international responses to humanitarian crises, including assessments of donor performance.
23. Ensure a high degree of accuracy, timeliness, and transparency in donor reporting on official humanitarian assistance spending, and encourage the development of standardised formats for such reporting.