

# The HRI research process and methodology

## Introduction

This chapter explains the key elements in the Humanitarian Response Index (HRI) research process to generate the annual assessment of donor governments' respect of the *Good Humanitarian Donorship (GHD) Principles*. It begins with an overview of the HRI's conceptual foundation. An outline of the HRI data collection process is then followed by a description of how quantitative and qualitative indicators are developed. Finally, information is presented on more sophisticated multidimensional techniques used in 2010 to identify donor groups based on the extent of their application of the *GHD Principles*.

## Purpose and foundation of the HRI

The HRI is a collaborative research process that examines donors' role in supporting more effective responses to humanitarian crises. Donor governments are still the main funders of humanitarian assistance. Therefore, understanding how they contribute to meeting humanitarian objectives is key to achieving reforms and comprehensively improving the humanitarian system. The *raison d'être* of the HRI is to provide the humanitarian sector with an empirical evidence base to assess donor's commitment and application of the *GHD Principles*.

When DARA developed the HRI in 2006, an index and a ranking system was chosen as the most appropriate means of tracking government donors' progress in applying recognised good practice in funding and supporting humanitarian action. The HRI is analogous to such other annual ranking assessments as

UNDP's Human Development Index,<sup>1</sup> the Center for Global Development's Commitment to Development Index<sup>2</sup> or the Programme for International Student Assessment (PISA)<sup>3</sup> of the Organisation for Economic Cooperation and Development (OECD). Each of these other indices has become an acknowledged portal for informed and balanced debate. The HRI is taking its place alongside them – evaluating whether state-provided humanitarian assistance contributes to meeting the current needs of the millions of people affected by crisis, conflict and disaster and promoting preparedness for future disasters.

<sup>1</sup> See: <http://hdr.undp.org/en/statistics/>

<sup>2</sup> See: [http://www.cgdev.org/section/initiatives/\\_active/cdi/](http://www.cgdev.org/section/initiatives/_active/cdi/)

<sup>3</sup> See [http://www.pisa.oecd.org/pages/0,2987,en\\_32252351\\_32235731\\_1\\_1\\_1\\_1\\_1,00.html](http://www.pisa.oecd.org/pages/0,2987,en_32252351_32235731_1_1_1_1_1,00.html)

An important difference between the HRI and other composite indices is the use of qualitative indicators, which measure how field humanitarian staff assesses the quality of the support provided by government donors and quantitative indicators. Perceptions are gathered through personal interviews during field missions using a standardised questionnaire on donor practice. In a second stage, a statistical analysis is conducted to convert the survey responses into qualitative indicators providing comparable donor scores. Thus, qualitative indicators containing humanitarian workers' views at a micro-level (crisis-level), serve to complement the quantitative indicators, which summarise public data describing at a macro-level. A new approach has also been adopted this year: the HRI aims to be not only an index, but a scorecard of humanitarian donorship practices. There is added emphasis on the entire set of indicators measuring

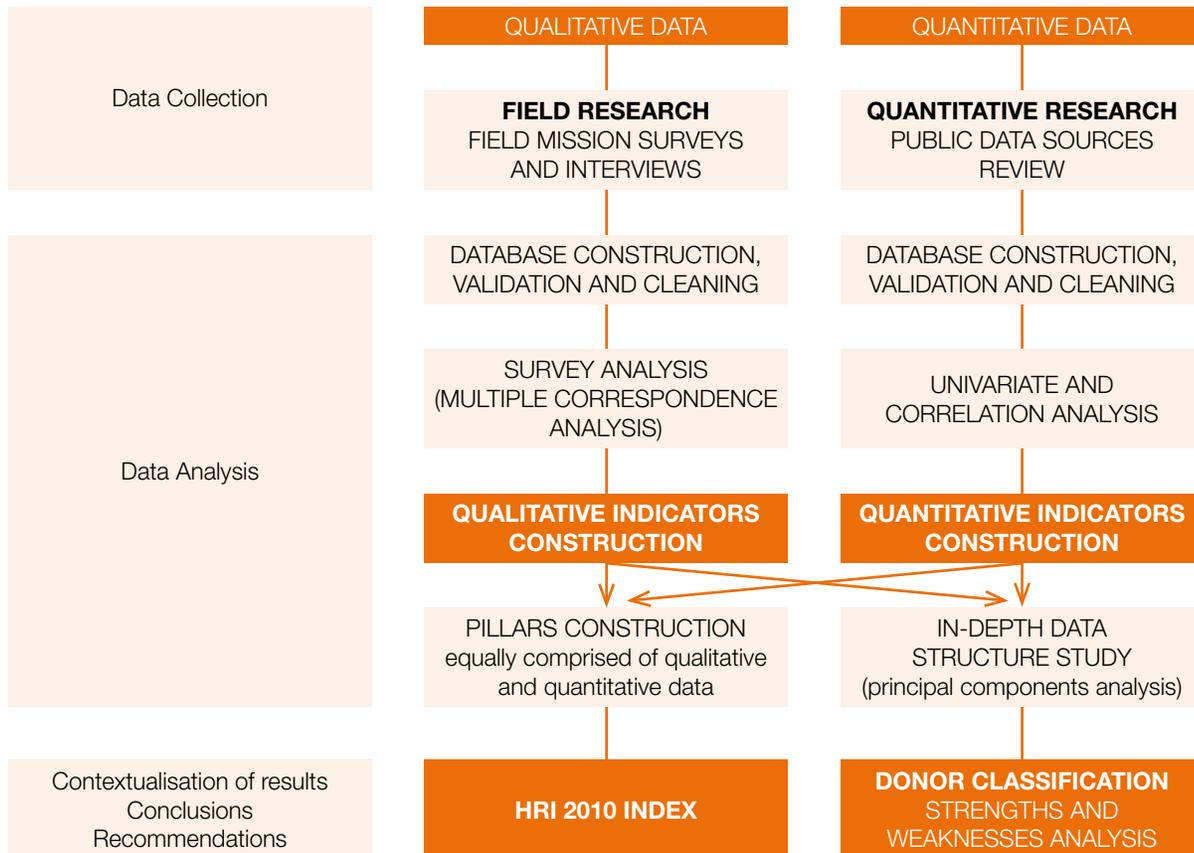
different aspects of donors' actions, providing more interpretative analysis of what the implications are for individual government donors and the wider humanitarian system. The application of various multidimensional techniques to understand the underlying structure of the data and the simultaneous interrelations among donors' behaviour and the *GHD Principles*, has allowed the construction of a complete and coherent indicator system. This system seeks to be of use in determining similarities and differences in donors' actions, strengths and areas of improvement, thus providing an evidence-based tool for donors to refine their humanitarian strategies.

As with any performance measurement framework, the design and selection of indicators is never an exact science, rather a process of building consensus on what constitutes the best possible measure of practice using the data available and time and resources required to gather it. An HRI consultation process in 2006-2007 defined the set of indicators that best captured the *GHD Principles*. In 2009, another expert consultation process was initiated to identify other concepts of good donor practice that have now been incorporated into HRI 2010. Throughout the entire research process, the HRI's Peer Review Committee has provided expert advice and validated the findings.

**The HRI research process**

This section presents the HRI research process, from its design and extensive data collection, to the conversion of the data into contextualised and useful knowledge. The HRI research process is graphically represented in Figure 1.

**Figure 1. HRI Research process**



## Quantitative data collection

The quantitative indicators that make up the HRI scores come from a variety of sources. Much of the data on humanitarian financing and donor funding comes from databases of the Financial Tracking System (FTS) of the UN Office for the Coordination of Humanitarian Affairs (OCHA), the Organisation for Economic Cooperation and Development's Development Assistance Committee (OECD/DAC) and the World Bank. Data on donor coverage of UN Consolidated Appeals (CAPs), Flash Appeals, and appeals issued by the International Federation of Red Cross and Red Crescent Societies (IFRC) and the International Committee of the Red Cross (ICRC) are also used to assess indicators such as the timeliness of funding, the distribution of funding in accordance to needs and support of coordination. Other quantitative indicators examine how consistent donor governments' policies are with key elements of the *GHD Principles*, such support for recovery and livelihoods. The HRI also determines if donor governments are complying with international humanitarian law (IHL) and other legal conventions and instruments aimed at ensuring humanitarian action is based on principles of neutrality, impartiality and independence. Sources include the World Bank, the UN, OECD/DAC, the Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP)<sup>4</sup> and the Red Cross/Red Crescent Movement.

More information on the mathematical formulation and conceptual definition of these indicators, the different variables included, the selected optimal values as well as the sources for each of them can be found in the Technical annex at the end of this chapter.

## Qualitative data collection

### *Crisis selection*

Each year, the HRI conducts field research in a representative sample of different crisis contexts to assess how *GHD Principles* are being applied in practice. Crises are selected on the basis of the type of crisis (natural disasters, conflicts, and complex emergencies), geographic and regional distribution, scale and nature of the international response and whether there is adequate presence of GHD donors to ensure a sufficient sample size. The selection process also attempts, when possible, to include crises where the nature of the crisis or its response is unique, thereby allowing an opportunity to learn how the humanitarian system can best adapt to different situations.

For 2010, the crises selected were: Afghanistan, the Central African Republic (CAR), Colombia, the Democratic Republic of the Congo (DRC), Haiti, Indonesia, the occupied Palestinian territories (oPt), Pakistan, the Philippines, Somalia, Sri Lanka, Sudan, Yemen and Zimbabwe. Several of these crises have been in previous versions of the HRI, an opportunity to assess how the international community's response has evolved over time. Once the crises are selected, DARA contacts all humanitarian responders – including UN agencies, the Red Cross/Red Crescent Movement, international non-governmental organisations (INGOs) and local organisations – that have received donor government funding. DARA requests their participation in the data collection, and, whenever possible, to provide logistical or operational support. DARA also attempts to contact donor agencies headquarter and field offices to inform them of the mission and to invite them to participate in the interview process.

Field team members are selected based on their knowledge of the crisis country, language, and experience, and often include external experts who can provide additional insight and analysis of the situation and context. A pre-mission briefing is conducted with teams to review documentation about the crisis and to hone research protocols.

### *Field interviews*

Once in the field, the teams begin the process of interviewing humanitarian organisations and conducting surveys of how humanitarian organisations see donor behaviour. In most cases, HRI teams are able to meet with 80 percent or more of the organisations funded by OECD/DAC donors as well as government officials, local authorities, civil society organisations and donor representatives. Whenever possible, teams also visit affected areas to speak to field staff and beneficiaries. This gives teams an unprecedented overview of the overall crisis response. This year, field missions took place between November 2009 and August 2010. While in the field, interviews were conducted with nearly 500 representatives of humanitarian organisations and donor agencies.<sup>5</sup>

### *HRI questionnaire on donor practice*

One of the key research tools used in the HRI is a standardised questionnaire which allows field teams to systematically gather the perspectives of humanitarian organisations on how donors are applying *GHD Principles*. Subsequently, in-depth survey analysis enables conversion of respondents' opinions into comparable scores, referred to as qualitative scores. (The HRI questionnaire is available in the Technical annex).

Surveys are targeted to senior field representatives of humanitarian organisations who have a direct knowledge and experience dealing with the donor governments that fund their programmes in the crisis. Survey respondents are asked to answer a series of 32 questions and statements on how well they feel each of their donors support their work and if they believe donors are applying key concepts of good practice from the GHD, using a 0 to 10 scale. Each question is linked to core concepts contained in the GHD. Additionally, the survey includes several open-ended questions allowing the interviewer and respondents to clarify and expand on any answers. Survey responses are confidential to ensure more candid answers and in order to protect the often delicate relationship between funders and appealing organisations.

<sup>4</sup> See: <http://www.alnap.org/>

<sup>5</sup> Not including the field mission to Haiti

### **Representativeness and validity of responses**

DARA conducted an analysis of the representativeness of the responses gathered for each OECD/DAC donor by reviewing the total number of partners receiving funding from each of these governments against the numbers of surveys gathered in the field missions. This was used to establish the minimum threshold necessary to conduct a statistical analysis of the responses. The survey sample size was sufficiently representative to be considered valid for most donors, though the limited number of responses for New Zealand and Luxembourg means that both donors' scores should be treated with caution. However, it was difficult to obtain a sufficient number of survey responses on the humanitarian aid provided by Portugal, Greece and Austria. DARA thus decided it would not be appropriate to include these donors in the ranking.

### **Construction of HRI indicators**

#### **Generating quantitative indicators**

In addition to the desk research and the quantitative data collection process, a methodological review was carried out to produce a more comprehensive indicator system balanced by pillars. This has led to some improvements in the indicator formulas, as well as a more balanced aggregation method.

Formulation of some indicators has been simplified to facilitate interpretability:

- Complex concepts like variance or the adjustment coefficient of a regression ( $R^2$ ) have been avoided in the indicator construction, and left for later analysis of the indicator behaviour and cross-country comparison;
- The 0 to 10 scale has been used in all scores (qualitative or quantitative indicator scores, pillar scores and final HRI scores);
- Normalisation also has been conducted in a simpler manner when possible;

- Comparability over time is a priority for the HRI 2011. It has been integrated in the indicator construction and especially in the normalisation process in which optimal values (10) have not necessarily been given to maximal scores in a sample, as this can prevent comparisons over time. They have most frequently been determined by asking: "what threshold would assure donor excellence in humanitarian action?"
- In order to facilitate interpretability, the minimal score (0) has not been fixed to the minimal sample value. This implies a certain loss of donors' scores' variation, but it can be overcome by using the Principal Component Analysis technique for the comparisons among different donors' humanitarian action.

#### **Qualitative indicators construction**

Once the HRI questionnaire responses were collected, reviewed and validated, a number of careful analyses were undertaken to arrive at comparable scores for donors on all the assessed aspects.

- 1 For each mission, a preliminary summary descriptive analysis with basic information on trends in the responses is prepared to share with the field team. This is used during a field debriefing with all the organisations that participated in the process. This is an opportunity to get on-the-spot validation from humanitarian actors, and begin to interpret and contextualise the reasons behind the trends detected. This information is also used to help prepare the crisis report.
- 2 Once all field missions are completed and the entire survey data base has been constructed and revised, a sound analysis is conducted of the responses obtained. Patterns of answers are searched for, as well as factors that determine them. To avoid any kind of systematic biases in the responses, it is essential to search for hidden social or cultural factors having an influence on interviewees' answers, such as gender, country of origin of respondent, years of

experience, type of organisation s/he is working for and position held. This search becomes especially relevant in the case of international surveys of people from different cultures and backgrounds as a way to understand all the information collected through the survey. Analyses include:

- Univariate analysis of 32 survey questions;
- Correlation analysis to find patterns of answers to the 32 questions included in the survey. A qualitative – geometrical approach – Multiple Correspondence Analysis (MCA) – is used. It serves to identify the interrelation among survey questions, determining the most frequent patterns of response and factors influencing them;
- Intra-class/inter-class variance analysis complements the previous steps and helps in the selection of questions included in the qualitative components<sup>6</sup> of this year's completed HRI and also those that can be put aside for the HRI 2011 survey in order to have a streamlined questionnaire.

After the analysis is completed and the cultural factors most determinant of survey scores are identified, the needed adjustments are applied. Thus, the region of origin of the respondent, together with the characteristic of being a citizen of the crisis-affected country were taken into account when calculating HRI qualitative indicators. Average survey scores were weighted by origin of respondent, assuring that the percentages of respondents from different regions, and from the crisis-affected country, are controlled for in each donor's sample and qualitative scores are therefore comparable.

<sup>6</sup> Most questions were included in the analysis. Those for which the interviewees were not informed enough to answer were excluded. Additionally, some question scores were regrouped into a single indicator, so the number of qualitative indicators by pillar would be balanced. (See Table 1 in Technical Annex).

## Box. 1 Multiple Correspondence Analysis (MCA) results

### Correlation among survey answers

The application of a MCA<sup>1</sup> in a survey analysis serves to find the patterns of response that most frequently appear in the sample, as well as supplementary factors (including social or cultural) that may condition those patterns.

The first identified pattern is that interviewees tend to show either a general satisfaction with donor's actions, no matter the aspect being asked, or a general dissatisfaction.

<sup>1</sup> Due to the small number of responses collected (fewer than 20), Portugal, Greece, Austria, Luxembourg and New Zealand were not included in this particular phase of the analysis, as the application of the MCA technique requires a certain balance in the number of responses to avoid the bias that outliers could bring.

Moreover, respondents tend to share their views on Pillars 1 and 2, showing a generally positive perception of how most OECD/DAC donors respond to current needs but a less positive perception of how donors are contributing to efforts to prevent and minimise risks and address future humanitarian needs. Questions where responses show a larger variation in respondents' opinions are in Pillars 3, 4 and 5. Therefore, the most significant donor differences in performance seem to be found in issues around coordination, protecting civilians and humanitarian staff, and learning and accountability.

The set of questions that are most frequently given either simultaneously high or low scores are detailed in Table 1.

In the questions listed in Table 1. Particularly good scores were given to the EC, Sweden, and to a lesser extent, to the US, the UK, Australia and Norway. Italy, Spain, France and Ireland are scored below average.

The MCA and analysis of results also sheds light on the relationships among survey questions and the social or cultural characteristics of respondents. The analysis indicates a correlation between generally higher scores for OECD/DAC donors and whether the respondent is resident of the crisis-affected country, is from Africa or South – East Asia or is a woman. Factors that appear to influence the patterns of response (listed in order of relevance) are:

- Origin of respondent: Respondents from less developed regions tend to give higher scores in all HRI survey questions. This becomes especially relevant if they are from the country in crisis.

**Table 1. Positively correlated survey questions**

Question number	HRI SURVEY QUESTION SHORTNAME	PILLAR	HRI SURVEY QUESTION
16	Donor capacity for informed decision-making	3	The donor's capacity and expertise for informed decision-making in this crisis were... (completely inadequate 0 - completely adequate 10)
30	Implementing evaluation recommendations	5	To what extent did the donor work with you to implement recommendations from evaluations into your programming? (not at all 0 - completely 10)
27	Transparency of funding	5	The funding and decision-making information provided by the donor for this crisis was... (completely inadequate 0 - completely adequate 10)
23	Promotion of international humanitarian law	4	For the donor, advocating for the human rights of affected populations and the implementation of international humanitarian law in this crisis was... (not a priority 0 - a high priority 10)
24	Monitoring of good practice	5	To what extent did the donor request and monitor that your organisation fully apply good practices and quality standards in your programming? (not at all 0 - completely 10)
26	Accountability towards beneficiaries	5	To what extent did the donor support initiatives to improve accountability towards affected populations in this crisis? (not at all 0 - completely 10)
15	Advocacy towards local authorities	4	The donor's advocacy for governments and local authorities to fulfil their responsibilities in responding to humanitarian needs was... (completely negligent 0 - completely effective 10)
28	Requirements for evaluations	5	For the donor, regular evaluations on the efficiency and effectiveness of your programmes were... (not part of its requirements 0 - an important part of its requirements 10)
25	Facilitating humanitarian access	4	The donor's contribution to guaranteeing safe humanitarian access and protection of humanitarian workers in this crisis was... (completely negligible 0 - completely effective 10)
13	Level of support to organisation	3	The support your organisation received from the donor throughout your involvement in this crisis has been... (completely unsatisfactory 0 - completely satisfactory 10)
22	Support for protection of civilians	4	Regarding the protection of affected populations, the support provided by the donor in this crisis was... (completely negligible 0 - completely effective 10)
17	Respecting roles and responsibilities of actors	3	To what extent did the donor respect the roles and responsibilities of the different components of the humanitarian system (UN, Red Cross/Red Crescent and NGOs)? (not at all 0 - completely 10)

The only exception is respondents from Latin America, who, if not from the crisis-affected state, expressed general dissatisfaction with donors respect for *GHD Principles*. This is an interesting result that should be further investigated. Respondents from Sub-Saharan Africa, South – East Asia, the Middle East and North Africa give significantly higher scores to all HRI survey questions. Interviewees from members of OECD/DAC countries belonging to the EU tend to be more critical of donors’ adherence to *GHD Principles* than those from other OECD/DAC countries.

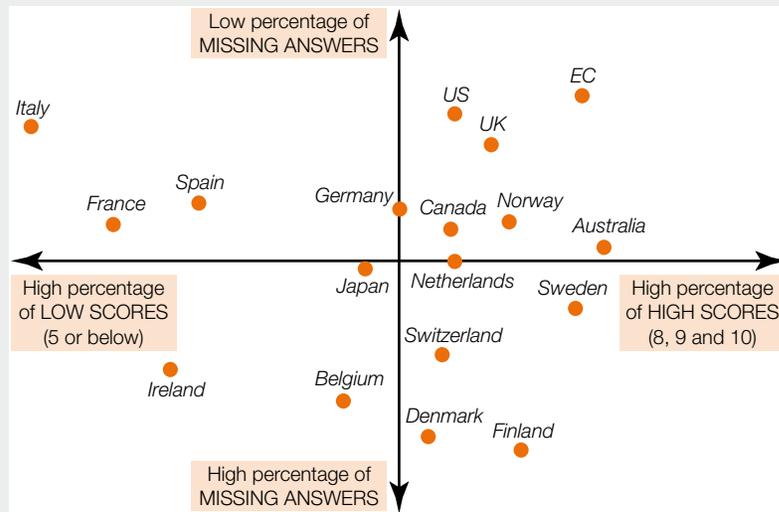
- Type of organisation: Respondents from local NGOs and the Red Cross/Red Crescent Movement give better scores (possibly because they are often nationals of the crisis-affected country). UN staff tend to be more critical of OECD/DAC donors’ actions.
- Crisis country in which respondents work: Generally speaking, crises in Africa or East Asia are given better scores in all survey questions. Crises in the Middle East or South Asia receive lower scores (See Graph 2).
- Sex: Women tend to give higher scores than men.
- Years of experience: The less experienced the respondent, the higher the score given to all HRI survey questions.
- Donor: Particularly highly-rated was the EC and Sweden and to a lesser extent the US, Australia, the UK and Norway. Particularly low scores were given to Italy, Spain, France and Ireland.
- GHD Awareness: In a less relevant manner, awareness of the existence of the *GHD Principles* appears to be determinant too. Respondents who were less familiar with the GHD tended to give better scores to donors.

- In Graphs 1 and 2, provided by the MCA, donors and crises are positioned according to the pattern of responses they most frequently received. Those receiving good scores, generally speaking, are situated on the right, and those receiving poor scores are found on the left. Those we describe as “typical” donors and crises, those receiving average scores in most questions, are placed in the centre of the graphs.

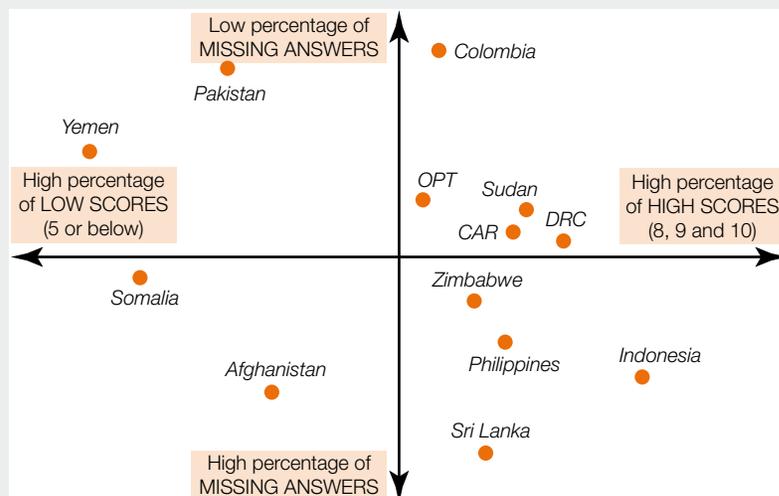
Donors (or crises) placed close to one another represent similar patterns of responses: they are regarded as similar by humanitarians in terms of respect for GHD. If they are distant, humanitarians have very different perceptions of their humanitarian practices.

We can see from Graph 2 that the crises in Sudan, CAR and DRC are most similar in terms of the perceptions expressed by humanitarian staff. Yemen, Somalia, Pakistan and Afghanistan are the crises where significantly higher degrees of dissatisfaction were expressed by humanitarian partners.

**Graph 1. Donor positions depending on HRI survey scores**



**Graph 2. Crisis positions depending on HRI survey scores**



## In-depth data structure study

### Multivariate all HRI indicators analysis (principal component analysis)

Once the qualitative and quantitative indicators are constructed and organised by pillars, multivariate techniques are applied to analyse the interrelations existing among them and to verify their validity as an indicator system. Several principal components analyses (PCA) – including different indicator sets (in terms of number or pillar distribution) – have been carried out. The best option – in terms of statistical significance, balance and theoretical coherence, and graphical representativity and interpretability – was selected and used subsequently.

PCA provides us with interpretable graphical representations (see Graph 3) allowing for insight in the structure of data – a requisite preliminary step in the composite indicator construction. PCA is a multivariate technique that allows a set of individual indicators to be summarised while preserving the maximum possible proportion of the total variation in the original data set.<sup>7</sup> The method assigns a greater importance to the individual indicators that have the largest variation across countries, a desirable property for graphical representation

facilitating cross-country comparisons, as individual indicators that are similar across countries are of little interest and cannot explain differences in performance.

### Weighting discussion

In other indices, a PCA is often used for determining composite indicator weightings based on the factor loadings. The Peer Review Committee and DARA's quantitative team have considered the use of PCA weightings in the construction of the HRI. After rigorous discussions, it was agreed that HRI pillar weights, as determined by humanitarian experts and used in previous HRI editions, would be maintained, and the PCA results would be used as a complementary analysis technique, allowing the validation of the indicator system, the comprehension of the data structure and a further donor classification in terms of the HRI individual indicators on humanitarian action. Furthermore, DARA decided to balance indicator weights in each pillar (all pillars would have the same number of quantitative and qualitative indicators, while 50 percent of each pillar weight would be given to each quantitative/qualitative component). The reasons for keeping "traditional" HRI weights are:

- They grant greater importance to pillars humanitarian experts considered a higher priority in humanitarian action.
- HRI weights are simpler to comprehend for all involved in humanitarian work. This is important for an index that aims to be a generally useful assessment tool, not only comprehensible for those with a solid statistical background.
- PCA's statistical relevance is not assured when the number of indicators is larger than the number of observations (in this case, donor countries).
- PCA weights are highly dependent on sample data. Their use and interpretability is restricted when cross-year comparability is required, as well as when new donors come into the scene.

For a better understanding of the aggregation method, see the following table with HRI final weights by pillar, component and indicator.

<sup>7</sup> OECD 2008: Handbook on Constructing Composite Indicators. Methodology and User Guide. Available from: <http://www.OECD.org/dataoecd/37/42/42495745.pdf>

**Table 2. HRI 2010 pillar and indicator weights**

PILLAR	NUMBER OF INDICATORS		PILLAR WEIGHT	WEIGHT PER COMPONENT		WEIGHT PER INDICATOR	
	QUALITATIVE INDICATORS	QUANTITATIVE INDICATORS		QUALITATIVE COMPONENT	QUANTITATIVE COMPONENT	QUALITATIVE INDICATORS	QUANTITATIVE INDICATORS
1	4	3	30%	15%	15%	3.8%	5.0%
2	4	3	20%	10%	10%	2.5%	3.3%
3	4	3	20%	10%	10%	2.5%	3.3%
4	4	3	15%	8%	8%	1.9%	2.5%
5	4	3	15%	8%	8%	1.9%	2.5%

### PCA results

As intended, PCA provides an image of donors' respect of *GHD Principles*, mapping their commitment to the *GHD Principles* regrouped into the different HRI pillars (See Graph 3).

Pillars 4 and 3, as well as the qualitative component of Pillar 1, are those that best indicate donors' commitment to GHD. They are the HRI's main drivers, the shifting pillars of HRI final scores for donors in which the most statistically relevant differences in donors' performances can be found. In other words, protection and international law, coordination, impartiality, independence from political, economic or military interests and timeliness of aid delivery are the main factors that affect a donors' overall score. Donors showing a good performance in one tend to perform well in all other HRI pillars.

As concluded from the PCA, Table 3 shows the correlation among Pillars 3, 4 and the qualitative component of Pillar 1. (In a less pronounced manner, Pillar 5 appears to be correlated to these pillars as well). This means that donors showing a commitment to international law, protection and humanitarian coordination tend to be perceived by humanitarian workers as better donors, more impartial and independent from geopolitical interests. This interpretation should be treated with caution as respondents may be unaware of the reasons behind donors' funding decisions. It could be that donors seen as human rights and international law defenders on the international stage are perceived as more independent, impartial and needs response-oriented by humanitarians.

### Identifying strengths and areas for improvement

#### Donor classification

Complementing the PCA, an additional exploratory technique was used to identify groups of donors with similar patterns of humanitarian action according to the HRI indicator system. A hierarchical clustering technique was applied:<sup>8</sup> a systematic, all-indicator-based determination of groups of donor governments, verifying that donors classified under the same group are as similar as possible and donors in different groups are as different as possible in terms of HRI indicators.

The determination of three donor groups allows for a more realistic identification of each donor's strengths and areas for improvement by taking into account how other similar donors are doing. The application of this descriptive technique gives a more detailed view of the humanitarian world, leading to a clearer picture of each donor's performance.

The classification identified the existence of three different groups of donors. A geographical component emerged from the analysis – with mostly Mediterranean countries in Group 3, Scandinavian states in Group 1 and some of largest donors in Group 2 (the EC, the UK and the US.)

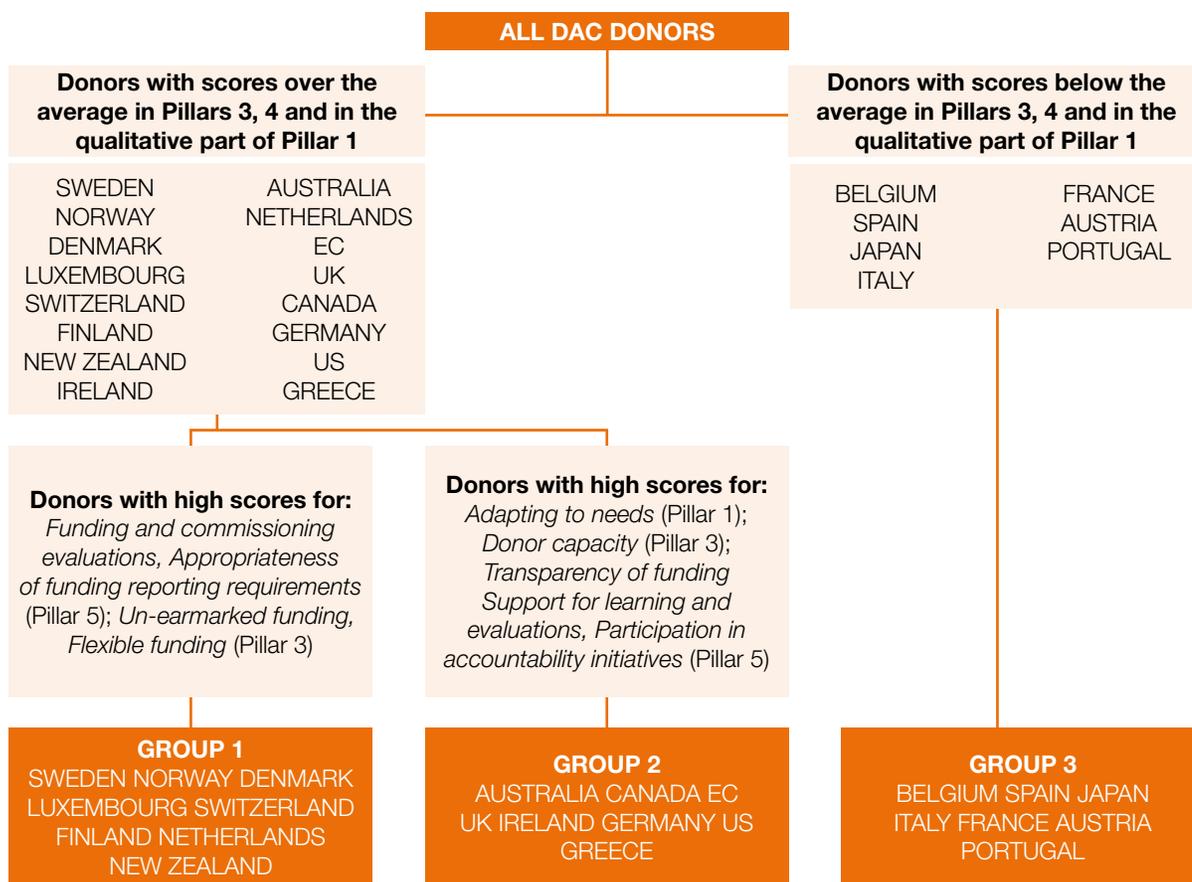
Donors in Group 1 outperform their peers at all HRI pillars, except for Pillar 1 (Responding to needs), at which they would be better if the timeliness of their assistance was assured, especially in complex emergencies, but also in sudden onset disasters. Donors in Group 2 are slightly better than others at responding to needs, while presenting a mid-range performance in all other pillars. The weakest aspects of this group are in Pillar 2 (Prevention and risk reduction). Group 3 donors perform generally below average in all pillars, except for Pillar 2, at which they receive mid-range scores.

**Table 3. Pillar correlations**

	Pillar 1 Qualitative Component	Pillar 1 Quantitative Component	Pillar 2	Pillar 3	Pillar 4	Pillar 5
Pillar 1 Qualitative Component	1					
Pillar 1 Quantitative Component	-0.04	1				
Pillar 2	-0.03	-0.48	1			
Pillar 3	<b>0.68</b>	-0.12	-0.14	1		
Pillar 4	<b>0.78</b>	-0.38	0.12	<b>0.84</b>	1	
Pillar 5	<b>0.57</b>	0.29	-0.03	<b>0.63</b>	<b>0.57</b>	1

<sup>8</sup> This technique was applied on donors' coordinates in the space determined by the PCA main factors.

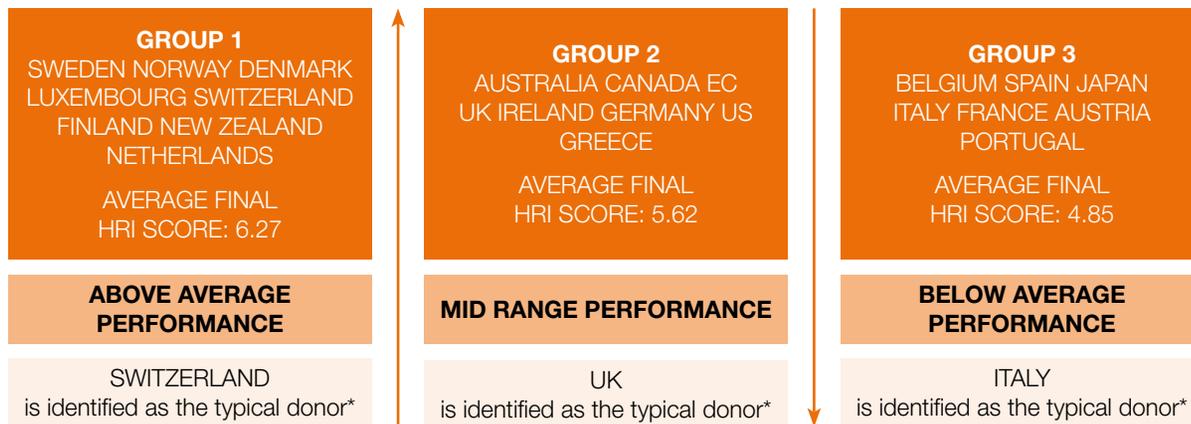
**Figure 2. Donor classification based on HRI pillar and indicator scores**



Donors in Groups 1 and 2 show a better performance at Pillar 3 (Working with humanitarian partners), Pillar 4 (Protection and international law) and impartiality, independence and flexibility and non-conditionality of aid, that make up the qualitative component of Pillar 1, while Group 3's performance is not as satisfactory as the above-mentioned (See Figure 2).

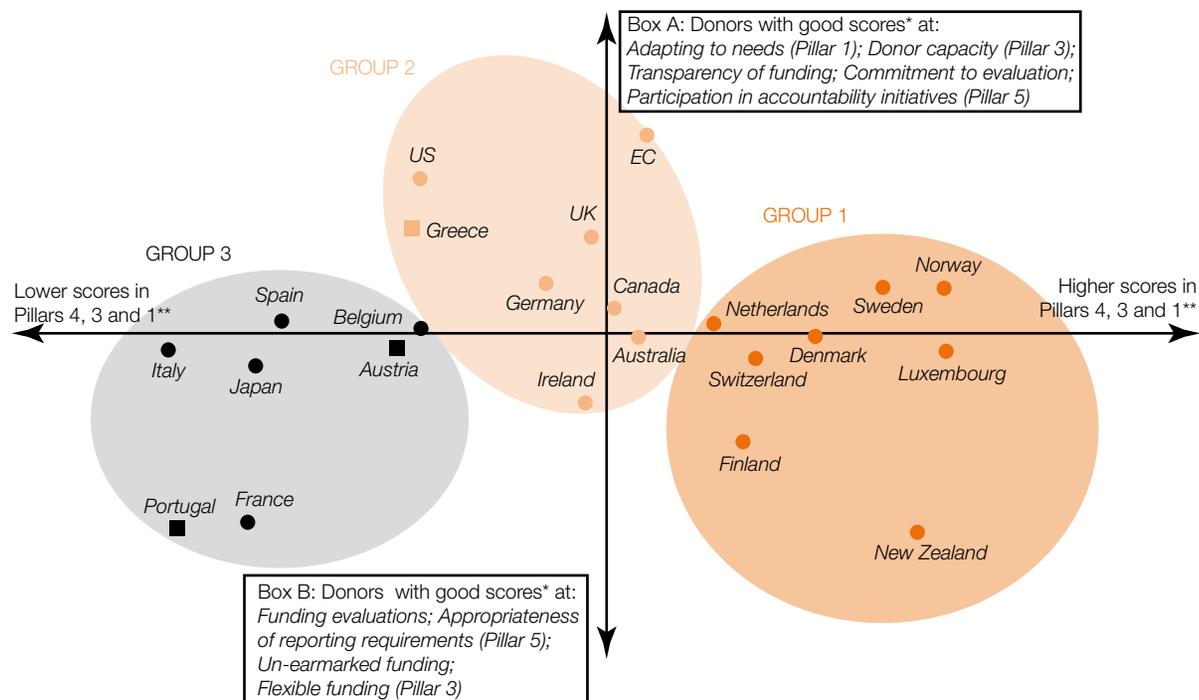
The difference between donor Groups 1 and 2 are better scores for indicators *Funding and commissioning evaluations, Appropriate reporting requirements (Pillar 5); Un-earmarked funding, Flexible funding (Pillar 3)* in the case of Group 1; and for indicators *Adapting to needs (Pillar 1); Donor capacity for informed decision-making (Pillar 3); Transparency of funding, Support for learning and evaluations, Participation in accountability initiatives (Pillar 5)* in the case of Group 2 (See Figure 2).

**Figure 3. Donor groups based on HRI performance**



\* “Typical donor” in the sense that, for all indicators considered, its score is the closest to the group’s average.

**Graph 3. PCA graph: Donor mapping**



Graph Interpretation:

- 1 Horizontal axis, from left to right, sorts donors from poor to good performances in pillars 4, 3 and 1, generally speaking. Vertical axis separates donors based on specific indicators at which they are especially good (see Boxes A and B).
- 2 Donors that appear close to one another in the graph are donors with similar scores in the HRI indicators. Donors appearing far from each other are donors with very different HRI scores.

\* Low and high scores are in relation to OECD/DAC average value.

\*\* Qualitative aspects of Pillar 1 only.

■ Representations of Austria, Greece and Portugal are based on their quantitative scores only.

**Table 4. Strengths and areas for improvement by group and pillar**

	GROUP 1	GROUP 2*	GROUP 3
STRENGTHS (BY PILLAR)	Protection and international law	Responding to needs	
	Working with humanitarian partners	Learning and accountability	
	Learning and accountability <i>(except for Luxembourg and Finland)</i>		
AREAS FOR IMPROVEMENT (BY PILLAR)		Prevention, risk reduction and recovery	Protection and international law
			Working with humanitarian partners
			Learning and accountability

\*Strengths and areas for improvement for Group 2 donors are not so statistically apparent for donors in Groups 1 and 3.

**Table 5. Strengths and areas for improvement by group and indicator**

**GROUP 1**

Pillar	Qualitative/ Quantitative	STRENGTHS (by indicator)	Pillar	Qualitative/ Quantitative	AREAS FOR IMPROVEMENT (by indicator)
1	QL	Independence of aid	1	QT	Timely funding to complex emergencies <i>(except for Denmark)</i>
1	QL	Timely funding to partner organisations	1	QT	Funding based on level of vulnerability and to forgotten crises <i>(except for Luxembourg and Netherlands)</i>
1	QL	Impartiality of aid	2	QT	Funding for reconstruction and prevention <i>(except for New Zealand)</i>
2	QL	Support for prevention and preparedness			
3	QL	Support for partners and funding organisational capacity			
3	QL	Flexible funding			
3	QT	Funding UN and Red Cross Red Crescent appeals <i>(except for New Zealand)</i>			
3	QT	Un-earmarked funding <i>(except for Luxembourg and Sweden)</i>			
4	QL	Support for protection of civilians			
4	QL	Promotion of international humanitarian law			
4	QT	Refugee law			
4	QT	Human rights law <i>(except for Switzerland and Finland)</i>			
4	QT	International humanitarian law <i>(except for New Zealand and Netherlands)</i>			
5	QL	Appropriate reporting requirements			
5	QL	Transparency of funding <i>(except for Finland)</i>			

## GROUP 2

Pillar	Qualitative/Quantitative	STRENGTHS (by indicator)	Pillar	Qualitative/Quantitative	AREAS FOR IMPROVEMENT (by indicator)
1	QL	Adapting to needs	1	QL	Independence of aid
1	QT	Funding for reconstruction and prevention (except for Australia)	1	QL	Impartiality of aid
2	QL	Beneficiary participation in monitoring and evaluation	2	QT	Reducing climate-related vulnerability
2	QL	Support for prevention and preparedness	3	QL	Flexible funding
3	QL	Donor capacity for informed decision-making	3	QT	Un-earmarked funding (except for Ireland)
5	QL	Transparency of funding	5	QL	Appropriate reporting requirements
5	QL	Funding and commissioning evaluations (except for Germany)			
5	QT	Participation in accountability initiatives			

## GROUP 3

Pillar	Qualitative/Quantitative	STRENGTHS (by indicator)	Pillar	Qualitative/Quantitative	AREAS FOR IMPROVEMENT (by indicator)
1	QT	Timely funding to complex emergencies (except for Austria, Belgium, Italy and Spain)	1	QL	Independence of aid (except for Austria and Greece)
2	QT	Funding for reconstruction and prevention (except for Austria, France, Greece and Portugal)	1	QL	Timely funding to partner organisations
2	QT	Reducing climate-related vulnerability	1	QL	Impartiality of aid (except for Austria and Greece)
			1	QL	Adapting to needs (except for Austria)
			2	QL	Support for prevention and preparedness
			3	QL	Support for partners and funding organisational capacity
			3	QL	Flexible funding (except for Austria and Greece)
			3	QT	Funding UN and Red Cross/Red Crescent appeals (except for Belgium)
			4	QL	Support for protection of civilians
			4	QL	Promotion of international humanitarian law
			4	QT	Refugee law
			4	QT	Human rights law (except for Spain)
			4	QT	International humanitarian law
			5	QL	Appropriate reporting requirements (except for Austria and Greece)
			5	QL	Funding and commissioning evaluations
			5	QT	Participation in accountability initiatives

\* QL qualitative indicators  
 QT quantitative indicators

### References

Lebart, L.; Morineau, A.; Piron, M. (2000, 3rd edition) Statistique Exploratoire Multidimensionnelle. Dunod, Paris.

OECD (2008). Handbook on Constructing Composite Indicators. Methodology and User Guide.

# Technical annex

## Quantitative indicators

### **Pillar 1: Responding to needs**

*Funding based on level of vulnerability and to forgotten crises:* Donor funding should fundamentally be guided by considerations of need. Thus, donors are scored higher if their humanitarian interventions are reasonably immune from being driven by the media, if they support forgotten crises and allocate aid based on the level of vulnerability in the crisis. In 2009 this indicator considered over 150 emergencies. It classifies donor funding by the extent of media coverage each emergency received, whether it was classified as “forgotten” in ECHO’s Forgotten Crisis Assessment and whether it is characterised by markers of especial vulnerability such as high rates of malnutrition, mortality, HIV-AIDS, tuberculosis and malaria and gender disparities.

### *Timely funding to complex emergencies:*

This indicator calculates the funds within an appeal committed or disbursed to complex emergencies in the first quarter after the launch of the appeal as a percentage of the total funds contributed to the appeal during 2009.

### *Timely funding to sudden onset disasters:*

Using data on natural disasters from FTS and funding to IFRC flash appeals, DARA judges as timely those funds committed or disbursed within the first six weeks after official declaration of a disaster or, in case is IFRC data, launch of an appeal. These are calculated as a percentage of total funding inside or outside an appeal up to six months after the declaration of a disaster.

### **Pillar 2: Prevention, risk reduction and recovery**

*Funding for reconstruction and prevention:* Integrating relief and development is essential to ensure sustainability of the outcomes of humanitarian action. Returns to investment in humanitarian assistance will be higher where long-term development issues have been addressed in a comprehensive manner during the emergency phase. However, donors often lack mechanisms for funding recovery and reconstruction work. This indicator looks at funding of reconstruction relief and rehabilitation, on the one hand, and disaster prevention and preparedness, on the other, as a percentage of bilateral humanitarian assistance.

*Funding of risk mitigation mechanisms:* This indicator uses the amount of funding GHD donors contribute to leading risk mitigation mechanisms as a proportion of total ODA:

- UNDP's Thematic Trust Fund for Crisis Prevention and Recovery<sup>1</sup>
- The World Bank's Global Facility for Disaster Reduction and Recovery<sup>2</sup>
- The EC's Disaster Preparedness Facility DIPECHO
- The Global Environment Facility Trust Fund<sup>3</sup>
- The UN Trust Fund for Disaster Reduction<sup>4</sup>

DARA also considers whether or not donors provide funding to the Global Partnership for the Prevention of Armed Conflict (GPPC)<sup>5</sup> and to the IFRC's International Disaster Response Laws, Rules and Principles Programme (IDRL).<sup>6</sup>

*Reducing climate-related vulnerability:* Good donorship by a government entails consistency with its domestic policies. As CO<sub>2</sub> emissions have an impact on climate related vulnerability across the entire globe, this indicator measures per capita emissions using latest available data.

### **Pillar 3: Working with humanitarian partners**

*Funding to NGOs:* Donor support and recognition of the key role of NGOs in delivering humanitarian aid, is measured in this indicator by weighing up the amount of donor funding to NGOs in relation to total humanitarian assistance in 2008 and 2009. DARA also considers the proportion of NGO assistance which each donor provides to NGOs which are not headquartered in their country.

*Un-earmarked funding:* Principle 13 calls on donors to "enhance the flexibility of earmarking, and of introducing longer term funding arrangements". This indicator gives credit to donors who provide a greater share of their humanitarian assistance in un-earmarked form by considering un-earmarked funds to a set of agencies – OCHA, the Office of the UN High Commissioner for Refugees (UNHCR), IFRC, ICRC, the World Food Programme (WFP), the

Office of the UN High Commissioner for Human Rights (OHCHR) and the UN Children's Fund (UNICEF) – as a percentage of total humanitarian assistance to these agencies in 2009.

*Funding UN and Red Cross Red Crescent appeals:* This indicator combines different aspects of donor support to humanitarian partners. It calculates an average of donor funding to:

- UN appeals, using a "fair share" concept, which considers the donor's contribution to total appeal needs (budget requirements) as a proportion of the each donor's GDP compared to the total GDP of the OECD/DAC – in other words, donors contribution to overall needs should be equitably distributed in proportion to the size of each donor's economy.
- IFRC and ICRC appeals, both annual and emergency, as a share of total needs with a fair share criterion.
- Funding to major flexible funding mechanisms: the Central Emergency Response Fund (CERF)<sup>7</sup>; the IFRC's Disaster Relief Emergency Fund (DREF)<sup>8</sup>; the Common Humanitarian Funds (CHF) and Emergency Response Funds (ERFs). Funding levels are averaged and divided by total humanitarian assistance. Scores are allocated based on a country's size, i.e. its share of total OECD/DAC GDP.
- Funding to UN coordination mechanisms and common services as a share of total requirements, using a fair share criterion.

### **Pillar 4: Protection and international law**

*International humanitarian law:*

Principle 4 calls for donors to "respect and promote the implementation of international humanitarian law, refugee law and human rights". This indicator captures three dimensions of implementation. It registers the total number of these 25 key international instruments actually signed and/or ratified by individual donor countries:

- Convention for the Amelioration of the Condition of the Wounded and Sick in Armed Forces in the Field. Geneva, 12 August 1949;

- Protocol Additional to the Geneva Conventions of 12 August 1949, and relating to the Protection of Victims of International Armed Conflicts. Geneva, 8 June 1977;
- Declaration provided for under article 90 AP I. Acceptance of the Competence of the International Fact-Finding Commission according to article 90 of AP I;
- Protocol Additional to the Geneva Conventions of 12 August 1949, and relating to the Protection of Victims of Non-International Armed Conflicts. Geneva, 8 June 1977;
- Protocol Additional to the Geneva Conventions of 12 August 1949, and relating to the Adoption of an Additional Distinctive Emblem (Protocol III), 8 December 2005;
- Convention on the Rights of the Child, New York, 20 November 1989;
- Optional Protocol to the Convention on the Rights of the Child on the involvement of children in armed conflict, New York, 25 May 2000;
- Rome Statute of the International Criminal Court, 17 July 1998;
- Convention for the Protection of Cultural Property in the Event of Armed Conflict, The Hague, 14 May 1954;
- First Protocol to the Hague Convention of 1954 for the Protection of Cultural Property in the Event of Armed Conflict, The Hague, 14 May 1954;
- Second Protocol to the Hague Convention of 1954 for the Protection of Cultural Property in the Event of Armed Conflict, The Hague, 26 March 1999;
- Convention on the prohibition of military or any other hostile use of environmental modification techniques, New York, 10 December 1976;
- Protocol for the Prohibition of the Use of Asphyxiating, Poisonous or Other Gases, and Warfare, Geneva, 17 June 1925;

<sup>1</sup> See: [http://www.undp.org/cpr/whats\\_new/framework.shtml](http://www.undp.org/cpr/whats_new/framework.shtml)

<sup>2</sup> See: <http://gfdrr.org/>

<sup>3</sup> See <http://www.undp.org/gef/>

<sup>4</sup> See: <http://www.unisdr.org/english/about/donors/trustfund/>

<sup>5</sup> See: <http://www.gppac.net>

<sup>6</sup> See: <http://www.ifrc.org/what/disasters/idrl/research/publications.asp>

<sup>7</sup> See: <http://cerf.un.org/>

<sup>8</sup> See: <http://www.ifrc.org/what/disasters/responding/drs/tools/dref.asp>

- Convention on the Prohibition of the Development, Production and Stockpiling of Bacteriological (Biological) and Toxin Weapons and on their Destruction Opened for Signature at London, Moscow and Washington, 10 April 1972;
- Convention on Prohibitions or Restrictions on the Use of Certain Conventional Weapons which may be deemed to be Excessively Injurious or to have Indiscriminate Effects. Geneva, 10 October 1980;
- Protocol on non-detectable fragments (I);
- Protocol on prohibitions or restrictions on the use of mines, booby-traps and other devices (II);
- Protocol on prohibitions or restrictions on the use of incendiary weapons (III);
- Protocol on Blinding Laser Weapons (Protocol IV to the 1980 Convention), 13 October 1995;
- Protocol on Prohibitions or Restrictions on the Use of Mines, Booby-Traps and Other Devices as amended on 3 May 1996 (Protocol II to the 1980 Convention);
- Amendment to the Convention on Prohibitions or Restrictions on the Use of Certain Conventional Weapons which may be deemed to be Excessively Injurious or to have Indiscriminate Effects (with Protocols I, II and III), Geneva 21 December 2001;
- Protocol on Explosive Remnants of War to the Convention on Prohibitions or Restrictions on the Use of Certain Conventional Weapons which may be deemed to be Excessively Injurious or to have Indiscriminate Effects (with Protocols I, II and III). Geneva, 28 November 2003;
- Convention on the Prohibition of the Development, Production, Stockpiling and Use of Chemical Weapons and on their Destruction, Paris, 13 January 1993;
- Convention on the Prohibition of the Use, Stockpiling, Production and Transfer of Anti-Personnel Mines and on their Destruction, Oslo, 18 September 1997;

- Convention on Cluster Munitions, 30 May 2008.

Implementation requires that states adopt domestic laws and regulations as well as spread knowledge of the relevant Conventions and Protocols as widely as possible. The indicator gives additional credit to countries that have created national commissions aimed at ensuring effective application of IHL, as advocated by the ICRC. The indicator includes total donor funding in relation to GDP for the work of the ICRC.

*Human rights law:* This indicator also captures three dimensions of implementation. First, it gives credit to donors in proportion to the number of principal legal instruments on human rights and accompanying protocols they have signed or ratified: This includes the :

- Convention on the Prevention and Punishment of the Crime of Genocide;
- International Convention on the Elimination of All Forms of Racial Discrimination;
- International Covenant on Economic, Social and Cultural Rights;
- International Covenant on Civil and Political Rights and its protocols;
- Convention on the Non-Applicability of Statutory Limitations to War Crimes and Crimes Against Humanity;
- Convention on the Elimination of All Forms of Discrimination against Women and its protocols;
- Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment and its protocols;
- Convention on the Rights of the Child and its protocols;
- International Convention on the Protection of the Rights of All Migrant Workers and Members of their Families;
- Convention on the Rights of Persons with Disabilities and its protocols;
- International Convention for the Protection of All Persons from Enforced Disappearance.

It additionally gives credit to donors that have national human rights institutions given accreditation grades determined by the OHCHR; “A” means compliance with the Paris Principles; “A(R)” is accreditation with reservations; “B” indicates not fully compliant and C indicates non-compliance. A third dimension included is core funding (in relation to GDP) for the work of OHCHR.

*Refugee law:* This indicator is based on whether the state in question is a party to the principal legal instruments of international refugee law:

- the 1951 Refugee Convention and its 1967 protocol;
- the two Protocols on Transnational Organized Crime;
- the 1954 Convention Relating to the Status of Stateless Persons;
- the 1961 Convention on the Reduction of Statelessness.

The indicator gives credit to the relatively small number of countries that accept refugees under UNHCR’s resettlement programme and also reflects the degree of funding (in relation to GDP) provided to UNHCR.

### **Pillar 5: Learning and accountability**

*Participation in accountability initiatives:*

Principle 21 commits donors to “support learning and accountability initiatives for the effective and efficient implementation of humanitarian action”. There are a number of initiatives which do so. Those taken into account in this indicator are:

- The Sphere Project<sup>9</sup>
- The Humanitarian Accountability Project<sup>10</sup>
- Quality COMPASS<sup>11</sup>
- People in Aid Code<sup>12</sup>
- ALNAP<sup>13</sup>
- Good Humanitarian Donorship<sup>14</sup>
- International Aid Transparency Initiative – IATI<sup>15</sup>

<sup>9</sup> See: <http://www.sphereproject.org/>

<sup>10</sup> See: <http://www.hapinternational.org/>

<sup>11</sup> See: <http://www.compasqualite.org/en/index/index.php>

<sup>12</sup> See: <http://www.peopleinaid.org/code/>

<sup>13</sup> See: <http://www.alnap.org/members/full.aspx>

<sup>14</sup> See: <http://www.goodhumanitariandonorship.org/gns/home.aspx>

<sup>15</sup> See: <http://www.aidtransparency.net/get-involved>

This indicator seeks to reflect donor support for and commitment to these initiatives by capturing various dimensions of their participation. The indicator assigns different weights to each initiative, based on experts' consultations reflecting their relative importance in terms of impact on humanitarian action.

**Funding for accountability initiatives:**

This indicator seeks to measure donor support for accountability initiatives by computing the proportion of funding assigned to ALNAP, HAP, Quality Compass, Sphere, as well as to those projects that support learning and accountability and are listed in OCHA's FTS. Scores are calculated in relation to total humanitarian assistance funding for the years 2008 and 2009

**Funding and commissioning evaluations:**

Principle 22 encourages donors to make "regular evaluations of international responses to humanitarian crises, including assessments of donor performance". Evaluations assess humanitarian interventions according to defined criteria such as relevance, efficiency and impact, and are useful to assess lessons learned to enhance the effectiveness of future donor interventions. Donors can evaluate their own performance, commission evaluations of activities carried out by organisations funded by them, or engage with other agencies and donors in joint exercises. This indicator counts the number of publicly available individual evaluations carried out, or funded, by donors in the last four years (2004–2009). It also includes a measure of joint evaluations, given their broader scope. The indicator also takes into consideration the existence of evaluation guidelines, viewed as another means of promoting the practice of evaluations.

**Checking indicator: Generosity of humanitarian assistance:**

This indicator was introduced in HRI 2008 and is calculations as total humanitarian aid in relation to GNI. For this year's index it was taken out of the final calculus but kept in the analysis because it shows interesting results.

**Box 1: Mathematical formulation of the HRI 2010 quantitative indicators**

**Pillar 1: Responding to needs**

**H1.1. Funding based on level of vulnerability and to forgotten crises**

Indicator H1.1 = 0.5\* Part A + 0.5\* Part B

$$\text{Part A} = \frac{\sum_{j=1}^i (\text{FC}_j * X_j)}{\sum_{j=1}^i X_j}$$

Where,

$X_j$  = Funding to crisis j  
 $\text{FC}_j$  = Forgotten crisis subindicator for crisis j;  
 $\text{FC}_j = 1$  if either  $\text{FI}_j=0$  and  $\text{MI}_j<4$ , or  $\text{MI}_j<2$   
 $= 0$  otherwise

$\text{MI}$ = Number of media reports of the crisis<sub>j</sub> during the year (published by AlertNet), re-scaled as follows:

More than 5000 media reports	6
From 1000 to 4999 media reports	5
From 500 to 999 media reports	4
From 100 to 499 media reports	3
From 10 to 99 media reports	2
From 1 to 9 media reports	1
0 media reports	0

$\text{FI}$  = Forgotten Crisis Index, which is obtained as follows,

$\text{FI} = 0$  if  $a+b>0$   
 $= 1$  otherwise

Where,

$a$ = Forgotten Crisis Assessment, ECHO 2008/09  
 $b$ = Crisis Index, ECHO 2008/09

Optimal value: The highest score in part A is reached when 53% of funding, is committed to forgotten emergencies.

53% is twice the percentage of funding that overall DAC donors commit to crises classified as forgotten.

$$\text{Part B} = \frac{\sum_{j=1}^i (X_j * C_j)}{\sum_{j=1}^i X_j}$$

Where,

$X$  = Funding to crisis j  
 $C_j = 1$  if  $\text{CI}+\text{VI}>4$   
 $= 0$  otherwise

$\text{CI}$ = Crisis Index, ECHO 2008/2009  
 $\text{VI}$ = Vulnerability Index, ECHO 2008–2009

Optimal value: The highest score in part B is reached when 75% of funding is committed to crises classified as vulnerable.

Source: FTS, ECHO and AlertNet

## H1.2. Timely funding to complex emergencies

$$\text{Indicator H1.2} = \frac{\text{F1Q}}{\text{FY}} \star 100$$

Optimal value: 75%, which is twice the percentage of overall funding from OECD-DAC donors committed during the first quarter of the year in 2009.

Source: FTS

Where,

F1Q = Funding committed during the first quarter of the year

FY = Total funding during calendar year after the launch of the appeals

## H1.3. Timely funding to sudden onset disasters

$$\text{Indicator H1.3} = \frac{\text{F6W}}{\text{F6M}} \star 100$$

Optimal value: 100% of the funds are committed during the first 6 weeks after the emergency appeal

Source: figures are the result of summing up data from FTS (inside and outside an appeal) and IFRC

Where,

F6W = Funds committed to individual onset disasters or emergency appeals within first 6 weeks

F6M = Total funds committed to individual disasters up to six months after the disaster declaration.

## Pillar 2: Prevention, risk reduction and recovery

### H2.1. Funding for reconstruction and prevention

$$\text{Indicator H2.1} = \frac{\text{RRR} + \text{DPP}}{\text{BHA}} \star 100$$

Optimal value: 41.4%, as for Belgium

Source: OECD Stat

Where,

RRR = funds to 'Reconstruction Relief & Rehabilitation'

DPP = funds to 'Disaster Prevention & Preparedness'

BHA = Bilateral Humanitarian Assistance

### H2.2. Funding of risk mitigation mechanisms

Indicator H2.2 = 0.8\* Part A + 0.2\* Part B

$$\text{Part A} = \frac{(\text{UNDPTTF} + \text{GFDRR} + \text{DIPECHO} + \text{GEF} + \text{UNTFDR})_{(2008-2009)}}{\text{ODA}_{(08-09)}} \star 100$$

Where,

UNDPTTF = Funds to UNDP Thematic Trust Fund for Crisis Prevention and Recovery (2009)

GFDRR = Funds to World Bank/ISDR Global Facility for Disaster Reduction and Recovery (2008-2009)

DIPECHO = Funds to DIPECHO (2008-2009)

GEF = Funds to Global Environmental Facility Trust Fund (2008-2009)

UNTFDR = Funds to UN Trust Fund for Disaster Reduction (2008-2009)

ODA = Total official development assistance

Optimal value: Optimal value is fixed as twice the OECD/DAC average proportional funding to these mechanisms.

Part B = Average of two dummy variables that capture funding to the GPPAC and IDRL, re-scaled to a 0 to 10 scale.

Sources: OECD Stat, World Bank, Preventionweb, DIPECHO, UNDP, GEF, IFRC, and GPPAC

### H2.3. Reducing climate-related vulnerability

$$\text{Indicator H2.3} = \frac{\text{CO}_2}{\text{Pop}} \star 100$$

Where,

CO<sub>2</sub> = Carbone dioxide emissions, in metric tons (2007)

Pop = Population (2007)

Optimal Value: In this case, 0 metric tons of CO<sub>2</sub> is the optimal value. The poorest score is given to Luxembourg, which emmitted 24.9 tons in 2007, that is the threshold for this indicator.

Source: MDG data

## Pillar 3: Working with humanitarian partners

### H3.1. Funding to NGOs

Indicator H3.1 = 0.8\* Part A + 0.2\* Part B

$$\text{Part A} = \frac{\text{NGO}}{\text{THA}}$$

Where,

NGO = Total humanitarian assistance through NGOs by donor

THA = Total humanitarian assistance by donor

Optimal value: Part A's optimal value is reached when 34% of total humanitarian assistance is channeled through NGOs.

This percentage is double of what overall OECD-DAC donors channel through NGOs

Source: FTS and HRI 2010 survey

### H3.2. Un-earmarked funding

$$\text{Indicator H3.2} = \frac{\text{UHA}}{\text{HA}}$$

Source: ICRC, UNHCR, WFP, OHCHR, UNICEF, IFRC, OCHA, UNRWA, WHO.

### H3.3. Funding UN and RC/RC appeals

Indicator H3.3 = 0.25\* Funding UN appeals  
+ 0.25\* Funding coordination  
+ 0.25\* Funding RCM  
+ 0.25\* Funding pooled funds

$$\text{Funding UN appeals} = \frac{\text{UNCIAA}}{\frac{\text{GDP}}{\text{TOTAL GDP}} * \text{TOTAL UNICIAA}} * 100$$

Optimal value: 150% Fair share

$$\text{Funding coordination} = \frac{\text{UNCOORD}}{\frac{\text{GDP}}{\text{TOTAL GDP}} * \text{TOTAL UNICIAA}} * 100$$

Optimal value: 150% Fair share

$$\text{Funding RCRC} = \frac{\text{ICRC} + \text{IFRC}}{\frac{\text{GDP}}{\text{TOTAL GDP}} * (\text{TOTAL ICRC} + \text{TOTAL IFRC})} * 100$$

Fair share

Optimal value: 150%

$$\text{Funding Pooled Funds} = \frac{\text{QDM}}{\frac{\text{GDP}}{\text{TOTAL GDP}} * \text{TOTAL QDM}} * 100$$

Optimal value: 150% Fair share

$$\text{Part B} = \frac{\text{FNGO}}{\text{TNGO}} \text{ where,}$$

FNGO = Number of foreign NGOs interviewed on the HRI survey receiving funds from the donor

TNGO = Total number of NGO's interviewed on the HRI survey receiving funds from the donor

Optimal value: Part B's optimal value is 100%

Where,

UHA = Un-earmarked multilateral humanitarian aid

HA = Total multilateral humanitarian aid

Optimal value: 100%

Where,

UNCIAA = Funding to UN Consolidated Inter-Agency Appeals

TOTAL UNICIAA = Funding to UN Consolidated Inter-Agency Appeals by all donor countries

UNCOORD = Funding to UN coordination mechanisms

TOTAL UNCOORD = Total funding to UN coordination mechanisms by all donor countries (2008-09)

GDP = Gross domestic product (2008-09)

TOTAL GDP = Gross domestic product of all donor countries (2008-09)

ICRC = Funding to ICRC (2009)

IFRC = Funding to IFRC (2009)

TOTAL ICRC = Funding to ICRC by all donors (2009)

TOTAL IFRC = Funding to IFRC by all donors (2009)

QDM = Actual funding to quick disbursement mechanisms

TOTAL QDM = Total funding to quick disbursement mechanisms by all donors.

Source FTS, IMF, ICRC, IFRC: CERF, DREF, ERF and CHF

## Pillar 4: Protection and international law

### H4.1. International humanitarian law

Indicator H4.1 = 0.5\* Part A + 0.5\* Part B

$$\text{Part A} = 0.5 * \left( \frac{X}{50} \right) + 0.5 * Y$$

Where,

X = Variable that measures the number of ratifications of international treaties on humanitarian law by the donor, assigning the value 0 when not signed, 1 when signed but not ratified, and 2 when ratified. The maximum score possible (when all treaties are ratified) is 50.

Y = Dummy variable that takes the value 1 when the Donor country has created a National Committee on IHL

The list of international treaties on humanitarian law considered includes seven on protection of victims of armed conflicts, one on the International Criminal Court, three on Protection of Cultural Property, one on the environment and thirteen on weapons

### H4.2. Human rights law

Indicator H4.2 = 0.66\* Part A + 0.33\* Part B

$$\text{Part A} = \left( 0.5 * \frac{X}{X_{\text{MAX}}} + 0.5 * \frac{Y}{2} \right) * 10$$

Where,

X = Variable that measures the number of ratifications of international treaties on human rights law by the donor, assigning the value 0 when not signed, 1 when signed but not ratified, and 2 when ratified.

$X_{\text{MAX}}$  = the maximum score possible (when all treaties are ratified) varies depending on the type of donor:  
Members of the European Council: 33 treaties to be considered (Maximum score= 66)  
Other donors: 18 treaties to be considered (Maximum score=36)

Y = Variable that takes the value 2 when the donor has an A accreditation status regarding its national institutions on human rights, 1 for B, and 0 for not accredited.

$$\text{Part B} = \frac{\text{ICRC}}{\text{GDP}} * 1000$$

Where,

ICRC = Funding to ICRC  
Optimal value: 0.1

Sources: ICRC, IMF

$$\text{Part B} = \frac{\text{OHCHR}}{\text{GDP}} * 1000$$

Where,

OHCHR = Core Funding to OHCHR  
Optimal value for part B: 0.02

Sources: UN treaties database, Council of Europe, OHCHR and IMF

### H4.3. Refugee law

Indicator H4.3 = 0.4\* Part A + 0.2\* Part B + 0.4\* Part C

$$\text{Part A} = 10 * \frac{X}{X_{\max}}$$

Where,

X = Variable that measures the number of ratifications of international treaties on refugee law by the donor, assigning the value 0 when not signed, 1 when signed but not ratified, and 2 when ratified.

X<sub>max</sub> = The maximum score possible (when all treaties are ratified) which is 12.

Sources: UNHCR, FTS and UN Treaties Database

Part B= Number of people received as part of UNHCR resettlement programmes (per million of inhabitants) in the donor country

Part B's optimal value: 506.5, as for Australia

$$\text{Part C} = \frac{\text{UNHCR} + \text{RL}}{\text{GDP}} * 100000$$

Where,

UNHCR= Funding to UNHCR

RL= Funding to protection/human rights/rule of law (excluding funding to UNHCR, ICRC and UNHCHR to avoid double-counting)

Part C's Optimal value: 100

## Pillar 5: Learning and accountability

### H5.1. Participation in accountability initiatives

Indicator H5.1 = Weighted average of Participation in accountability initiatives

Source: ALNAP, GHD, HAP, Groupe URD, Sphere, IATI, and People in Aid.

This indicator is a weighted average of different dummy variables that capture membership (and attendance) of humanitarian accountability and learning initiatives, including, ALNAP, GHD (co-chair), IATI (signatories), HAP, Quality Compass, Sphere and People in Aid.

### H5.2. Funding for accountability initiatives

$$\text{Indicator H5.2} = \frac{\text{FLAI}}{\text{HA}}$$

where,

FLAI = Funding directed to humanitarian accountability and learning initiatives (ALNAP, HAP, Quality Compass, Sphere) and projects on learning & accountability (listed in OCHA - FTS)

HA = Total Humanitarian Aid (2008-2009)

Optimal value: 1.5% of total humanitarian aid.

Source: ALNAP, HAP, Groupe URD, Sphere and FTS

### H5.3. Funding and commissioning evaluations

Indicator H5.3= Part A + Part B

$$\text{Part A} = \frac{E}{\text{THA}}$$

Where,

E = Number of self and joint evaluations of humanitarian assistance interventions (publicly available on relevant websites and humanitarian activities evaluated based on standard criteria) for the period 2004-2010.

Optimal values: 0.07 which is two standard deviations above DAC average. In other words, optimal value is achieved when seven evaluations are conducted for every 100 USD million of humanitarian aid.

Part B = G \*10

Where,

G = Dummy variable scoring 1 when the donor has evaluation guidelines in the field of humanitarian aid

Sources: DAC Evaluation Resource Centre (DEReC) (it includes TEC), ALNAP (it includes ECHO), individual donor websites and OECD Stat

### Checking indicator: Generosity of humanitarian assistance

$$\text{Generosity} = \frac{\text{THA}}{\text{GNI}} * 100$$

Optimal values: 10%

Source: OECD Stat, ICRC, UNHCR, WFP, OHCHR, UNICEF, IFRC, OCHA

Note: This indicator is not taken into account for the index calculation

Where,

THA (Total humanitarian aid) = MHA + CERF + BHI

GNI = Gross National Income

MHA = Multilateral humanitarian aid (own calculations, based on core un-earmarked funding)

CERF = Funding to CERF

BHI = Bilateral humanitarian aid (data from OECD)

## Humanitarian Response Index 2010

### Field mission questionnaire

- 1** The donor proved with its decisions in this crisis that meeting humanitarian needs, saving lives, alleviating suffering and maintaining human dignity were...
- (not a priority) 0 - 1 - 2 - 3 - 4 - 5 - 6 - 7 - 8 - 9 - 10 (the top priority) / don't know / not applicable*
- 2** The donor's decisions on humanitarian aid in this crisis were...
- (biased and partial) 0 - 1 - 2 - 3 - 4 - 5 - 6 - 7 - 8 - 9 - 10 (neutral and impartial) / don't know / not applicable*
- 3** To what extent did the donor's funding decisions systematically exclude groups or individuals within the affected populations?
- (not at all) 0 - 1 - 2 - 3 - 4 - 5 - 6 - 7 - 8 - 9 - 10 (completely) / don't know / not applicable*
- 3.b** If applicable, could you provide specific examples of exclusion? *(Open answer)*
- 4** Regarding the interference of political, economic or military interests on humanitarian aid, the donor's decisions in this crisis were...
- (completely dependent) 0 - 1 - 2 - 3 - 4 - 5 - 6 - 7 - 8 - 9 - 10 (completely independent) / don't know / not applicable*
- 4.b** What non-humanitarian interests could influence the donor's funding decisions in this crisis? *(Open answer)*
- 5** For the donor, responding to needs in this crisis was...
- (completely neglected) 0 - 1 - 2 - 3 - 4 - 5 - 6 - 7 - 8 - 9 - 10 (fully undertaken) / don't know / not applicable*
- 6** According to the needs identified in this crisis, the donor's funding was...
- (not at all proportional) 0 - 1 - 2 - 3 - 4 - 5 - 6 - 7 - 8 - 9 - 10 (completely proportional) / don't know / not applicable*
- 7** For the donor, funding your needs assessments was...
- (totally neglected) 0 - 1 - 2 - 3 - 4 - 5 - 6 - 7 - 8 - 9 - 10 (fully met) / don't know / not applicable*
- 8** To what extent was the donor's support for your programmes negatively affected by other crises?
- (completely affected) 0 - 1 - 2 - 3 - 4 - 5 - 6 - 7 - 8 - 9 - 10 (not at all affected) / don't know / not applicable*
- 8.b** Which crises? In case of decreased funding not due to other crises, were funds allocated to other sectors/programmes/organisations? *(Open answer)*
- 9** For the donor, the engagement of beneficiaries in the design and implementation stages of your programming was...
- (not a requirement) 0 - 1 - 2 - 3 - 4 - 5 - 6 - 7 - 8 - 9 - 10 (a fundamental requirement) / don't know / not applicable*
- 9.b** For the donor, the engagement of beneficiaries in monitoring and evaluation of your programming was...
- (not a requirement) 0 - 1 - 2 - 3 - 4 - 5 - 6 - 7 - 8 - 9 - 10 (a fundamental requirement) / don't know / not applicable*
- 9.1** If relevant, what were the specific requirements of the donor in this respect? *(Open answer)*
- 10** Did the donor verify that you adapted your programmes to meet changing needs?
- (never) 0 - 1 - 2 - 3 - 4 - 5 - 6 - 7 - 8 - 9 - 10 (on a regular basis) / don't know / not applicable*
- 10.b** How did the donor verify that adaptation? Were the beneficiaries involved in that process? *(Open answer)*
- 11** To what extent did the donor undertake actions integrating risk reduction measures, improving prevention and strengthening preparedness for future crises?
- (not at all) 0 - 1 - 2 - 3 - 4 - 5 - 6 - 7 - 8 - 9 - 10 (completely) / don't know / not applicable*
- 12** To what extent did the donor provide support for the transition between relief, early recovery and /or development in your programmes?
- (not at all) 0 - 1 - 2 - 3 - 4 - 5 - 6 - 7 - 8 - 9 - 10 (completely) / don't know / not applicable*
- 13** The support your organisation received from the donor throughout your involvement in this crisis has been...
- (completely unsatisfactory) 0 - 1 - 2 - 3 - 4 - 5 - 6 - 7 - 8 - 9 - 10 (completely satisfactory) / don't know / not applicable*
- 13.b** How would you characterise that support? *(Open answer)*
- 14** The donor's activities in facilitating coordination among all actors in this crisis were...
- (completely negligent) 0 - 1 - 2 - 3 - 4 - 5 - 6 - 7 - 8 - 9 - 10 (completely decisive) / don't know / not applicable*
- 14.b** What did the donor do? How could donors improve coordination in the field? *(Open answer)*
- 15** The donor's advocacy for governments and local authorities to fulfill their responsibilities in responding to the humanitarian needs was...
- (completely negligent) 0 - 1 - 2 - 3 - 4 - 5 - 6 - 7 - 8 - 9 - 10 (completely decisive) / don't know / not applicable*
- 16** The donor's capacity and expertise for informed decision-making in this crisis were...
- (completely inadequate) 0 - 1 - 2 - 3 - 4 - 5 - 6 - 7 - 8 - 9 - 10 (completely adequate) / don't know / not applicable*
- 17** To what extent did the donor respect the roles and responsibilities of the different components of the humanitarian system (UN, Red Cross/Red Crescent and NGOs)?

(not at all) 0 - 1 - 2 - 3 - 4 - 5 - 6 - 7 - 8 - 9 - 10 (completely) / don't know / not applicable

**17.b** In your opinion, what were the criteria used by the donor to allocate funding among the different organisations? (Open answer)

**18** To what extent did the donor's conditions on its funding compromise your ability to carry out your work?

(not at all) 0 - 1 - 2 - 3 - 4 - 5 - 6 - 7 - 8 - 9 - 10 (completely) / don't know / not applicable

**18.b** Please, provide specific examples of good and bad practices (Open answer)

**19** The donor's funding to your organisation was...

(completely rigid) 0 - 1 - 2 - 3 - 4 - 5 - 6 - 7 - 8 - 9 - 10 (completely flexible) / don't know / not applicable

**19.b** What level of flexibility would be desirable? (Open answer)

**20** The donor's funding for your programmes in this crisis arrived...

(too late) 0 - 1 - 2 - 3 - 4 - 5 - 6 - 7 - 8 - 9 - 10 (when you needed them) / don't know / not applicable

**20.b** What does 'timely funding' mean? (Open answer)

**21** The donor's funding to maintain and strengthen your organisational capacity in areas like preparedness, response and contingency planning, was...

(completely inadequate) 0 - 1 - 2 - 3 - 4 - 5 - 6 - 7 - 8 - 9 - 10 (completely adequate) / don't know / not applicable

**21.b** How could donors help your organisation to be better prepared to respond? (Open answer)

**22** Regarding the protection of affected populations, the support provided by the donor in this crisis was...

(completely negligible) 0 - 1 - 2 - 3 - 4 - 5 - 6 - 7 - 8 - 9 - 10 (completely decisive) / don't know / not applicable

**22.b** What could donors do to be more proactive in the protection field? (Open answer)

**23** For the donor, advocating for the human rights of affected populations and the implementation of the international humanitarian law in this crisis was...

(not a priority) 0 - 1 - 2 - 3 - 4 - 5 - 6 - 7 - 8 - 9 - 10 (a high priority) / don't know / not applicable

**24** To what extent did the donor request and monitor that your organisation fully apply good practices and quality standards in your programming?

(not at all) 0 - 1 - 2 - 3 - 4 - 5 - 6 - 7 - 8 - 9 - 10 (completely) / don't know / not applicable

**25** The donor's contribution to guarantee safe humanitarian access and protection of humanitarian workers in this crisis was...

(completely negligible) 0 - 1 - 2 - 3 - 4 - 5 - 6 - 7 - 8 - 9 - 10 (completely decisive) / don't know / not applicable

**25.b** What did the donor do in order to facilitate the humanitarian access and protection of humanitarian workers? (Open answer)

**26** To what extent did the donor support initiatives to improve accountability towards affected populations in this crisis?

(not at all) 0 - 1 - 2 - 3 - 4 - 5 - 6 - 7 - 8 - 9 - 10 (completely) / don't know / not applicable

**27** The funding and decision-making information provided by the donor for this crisis was...

(completely inadequate) 0 - 1 - 2 - 3 - 4 - 5 - 6 - 7 - 8 - 9 - 10 (completely adequate) / don't know / not applicable

**28** For the donor, regular evaluations on the efficiency and effectiveness of your programmes were...

(not part of its requirements) 0 - 1 - 2 - 3 - 4 - 5 - 6 - 7 - 8 - 9 - 10 (an important part of its requirements) / don't know / not applicable

**29** The funds provided by the donor to your organisation for monitoring and evaluation were...

(completely inadequate) 0 - 1 - 2 - 3 - 4 - 5 - 6 - 7 - 8 - 9 - 10 (completely adequate) / don't know / not applicable

**30** To what extent did the donor work with you to implement organizations from evaluations into your programming?

(not at all) 0 - 1 - 2 - 3 - 4 - 5 - 6 - 7 - 8 - 9 - 10 (completely) / don't know / not applicable

**31** For your organisation, the donor's reporting requirements were...

(an excessive burden) 0 - 1 - 2 - 3 - 4 - 5 - 6 - 7 - 8 - 9 - 10 (completely appropriate) / don't know / not applicable

**32** How would you rate each of your donors in terms of their response to the crisis?

(very poor) 0 - 1 - 2 - 3 - 4 - 5 - 6 - 7 - 8 - 9 - 10 (excellent) / don't know / not applicable

**33** Can you give any specific examples of good or poor donor practice in this crisis? (Open answer)

**34** Are there cases where you have refused offers of support of funding from a donor? If yes, which donors and why? (Open answer)

**35** How would you characterize the response to this crisis? Is there anything that makes this crisis unique or different from other crises? (Open answer)

**36** How familiar are you with the Good Humanitarian Donorship Initiative?

1 (not at all familiar) 2 (somewhat familiar) 3 (very familiar)

**37** How familiar are you with the Humanitarian Response Index?

1 (not at all familiar) 2 (somewhat familiar) 3 (very familiar)

Comments:	Years of experience in the humanitarian or development field:
City and date of the interview:	
Crisis:	Years of experience working in this crisis:
Name of the respondent:	E-mail address:
Sex of the respondent:	Organisation:
Nationality:	Nationality of the organisation:
Position:	Type of organisation:

**Table 1. Qualitative indicators' construction from HRI 2010 questionnaire**

Pillar	Question name	Question Number
Pillar 1	Impartiality of aid	2
	Independence of aid	4 and 18
	Adapting to needs	10
	Timely funding to partner organisations	20
Pillar 2	Beneficiary participation in programming	9
	Beneficiary participation in monitoring and evaluation	9.1
	Support for prevention and preparedness	11
	Linking relief, rehabilitation and development	12
Pillar 3	Flexible funding	19
	Support for partners and funding organisational capacity	13 and 21
	Donor capacity for informed decision-making	16
	Support for coordination	14
Pillar 4	Support for protection of civilians	22
	Promotion of international humanitarian law	23
	Facilitating humanitarian access	25
	Advocacy towards local authorities	15
Pillar 5	Accountability towards beneficiaries	26
	Transparency of funding	27
	Appropriate reporting requirements	31
	Support for learning and evaluations	24, 28, 29 and 30