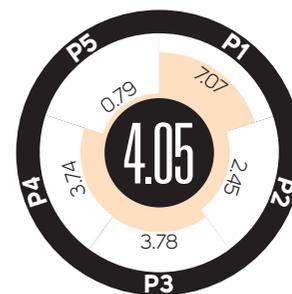


PORTUGAL

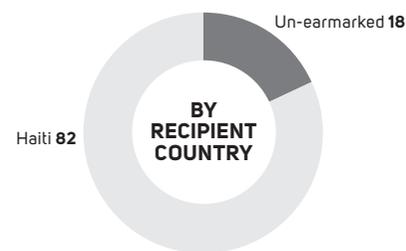
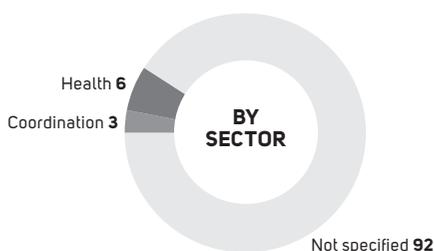
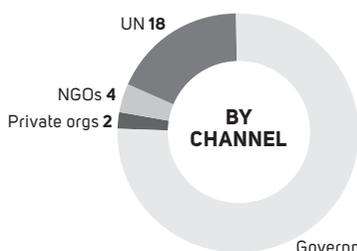


OFFICIAL DEVELOPMENT ASSISTANCE **0.29%**
of GNI

HUMANITARIAN AID **2.8%**
of ODA

US \$2
Per person

HUMANITARIAN AID DISTRIBUTION (%)



GENDER RATING POLICY → **FUNDING** N/A **FIELD PERCEPTION** N/A

| STRENGTHS | | Score | % above OECD/DAC average |
|-----------|---|-------|--------------------------|
| 3 | QT Un-earmarked funding | 10.00 | +92.9% |
| 1 | QT Timely funding to sudden onset emergencies | 9.28 | +79.1% |

| AREAS FOR IMPROVEMENT | | Score | % below OECD/DAC average |
|-----------------------|--|-------|--------------------------|
| 3 | QT Funding accountability initiatives | 0.00 | -100.00% |
| 5 | QT Funding UN and RC/RC appeals | 0.07 | -98.2% |
| 5 | QT Participating in accountability initiatives | 0.14 | -96.9% |
| 3 | QT Funding NGOs | 1.28 | -71.8% |
| 2 | QT Funding international risk mitigation | 1.37 | -71.4% |

OVERALL PERFORMANCE

Portugal is not included in the overall ranking as insufficient survey responses were obtained to calculate the qualitative indicators that make up the index.

Portugal's overall score was below the OECD/DAC and Group 3 averages. Portugal also scored below both averages in all pillars.

Portugal did best compared to its OECD/DAC peers in the indicators on *Un-earmarked funding* and *Timely funding to sudden onset emergencies*. Its scores were relatively the lowest in the indicators on *Funding accountability initiatives*, *Funding UN and RC/RC appeals*, *Participating in accountability initiatives*, *Funding NGOs* and *Funding international risk mitigation*.

SOURCES: UN OCHA FTS, OECD StatExtracts, various UN agencies' annual reports and DARA

All scores are on a scale of 0 to 10. Colours represent performance compared to OECD/DAC donors' average performance rating:
↑ Good → Mid-range ↓ Could improve N/A Non applicable QT Quantitative Indicator QL Qualitative Indicator

AID DISTRIBUTION

In 2010, Portugal's Official Development Assistance (ODA) comprised 0.29% of its Gross National Income (GNI), up from 0.23% in 2009. Humanitarian assistance represented 2.8% of Portugal's ODA in 2010, or 0.008% of its GNI.

According to data reported to United Nations (UN) Office for the Coordination of Humanitarian Affairs' (OCHA) Financial Tracking Service (FTS) (2011), in

2010, Portugal channelled 76.4% of its humanitarian aid bilaterally to affected governments, 17.8% to UN agencies, and 4.2% to non-governmental organisations (NGOs). Portugal also provided 15.1% of its total humanitarian aid to the Central Emergency Response Fund (CERF) (OCHA FTS 2011). In 2010 Portugal contributed to one crisis: Haiti.

POLICY FRAMEWORK

The Portuguese Institute for Development Support (IPAD) is responsible for coordinating Portugal's humanitarian assistance. The Portuguese aid system is fairly decentralised, and IPAD coordinates the work of approximately 20 ministries and 300 municipalities that also play a role in international cooperation (OECD/DAC 2009). The National Civil Protection Authority is often the mechanism by which Portugal manages the operational delivery of humanitarian aid (OECD/DAC 2010). According to the 2010 DAC Peer Review, "The unit responsible for humanitarian assistance [in IPAD] has been closed and operational responsibility now rests with the head of the Civil Society Unit," (OECD/DAC 2010).

Decree Law 5/2003 provides the legal framework for Portuguese foreign assistance (OECD/DAC 2009). The *Strategic Vision for Portuguese Development Cooperation* (2006a) serves as a general guiding framework for Portugal's development policy; including a brief section on humanitarian action and key guiding principles. Though the *Strategic Vision for Portuguese Development*

Cooperation declares that "humanitarian actions must be viewed, planned and executed within the framework of, and in coordination with, the other instruments that integrate the concept of Official Development Assistance" (IPAD 2006a), it does not provide many details regarding Portugal's strategy for humanitarian action. The *Action Plan for the Portuguese Strategic Vision* calls for the creation of a humanitarian assistance policy, but this has not yet been developed (IPAD 2006b). IPAD includes both the *European Consensus on Humanitarian Assistance and the Good Humanitarian Donorship* (GHD) *Principles* for reference under the humanitarian aid section of its website, asserting their importance as guiding frameworks for humanitarian action (IPAD 2011). IPAD has no staff members fully dedicated to humanitarian assistance, though it has tried to increase its field presence, adding several "Technical officers" or "Cooperation attachés" to embassies to work on development projects that can be co-opted as support in times of humanitarian crises (OECD/DAC 2010).

HOW DOES NEW PORTUGAL'S POLICY ADDRESS GHD CONCEPTS?

GENDER

Portugal's *Cooperation Strategy for Gender Equality* (2011) serves as the main policy document regarding the incorporation of a gender-sensitive approach to its aid. This framework calls for the incorporation of a gender-sensitive approach in all of Portugal's long-term projects for each of the six Portuguese-speaking countries as well in its humanitarian aid programmes (IPAD 2011a). Since there is no overarching policy for humanitarian aid, however, it is unclear if or how a gender-sensitive approach is incorporated into Portugal's humanitarian assistance.

PILLAR 1

RESPONDING TO NEEDS

Portugal affirms that “humanity, independence, impartiality, universality and neutrality” guide its humanitarian assistance (IPAD 2006a). Since the Portuguese Civil Authority is sometimes deployed to deliver assigned humanitarian aid, Portugal notes that it will ensure its aid remains neutral, impartial and independent. However, there is no concrete policy on how this is done; the latest *DAC Peer Review* states that there is no way of knowing if “funding levels are based on an objective determination of the severity of a particular crisis,” (OECD/DAC 2010). In its *Strategic Vision for Portuguese Development Cooperation*, Portugal states that “although traditionally . . . [humanitarian] assistance has predominantly been sent to partner countries of Portuguese development cooperation, humanitarian aid has also been distributed in other areas when the dimension of the disaster has entailed particularly devastating consequences,” (IPAD 2006a). Portugal seems to be increasingly willing to respond to emergency needs in countries outside of the Community of Portuguese Speaking Countries. Portugal regularly contributes to the Central Emergency Response Fund (CERF) in an effort to provide timely funding to sudden-onset emergencies.

PILLAR 2

PREVENTION, RISK REDUCTION AND RECOVERY

The *Developmental Strategic Vision* affirms that beneficiary participation in the design, implementation, monitoring and evaluation of programming is key to Portugal’s cooperation efforts (IPAD 2006a). It is not clear, however, how beneficiary participation is incorporated into Portugal’s humanitarian aid. The same document also stresses that “the transition to the development phase must be taken into account at the earliest possible moment in [humanitarian] aid operations, by building bridges with rehabilitation and sustainable development actions,” (IPAD 2006a). Disaster risk reduction, for example, is not integrated into partner country programmes (OECD/DAC 2010). Portugal’s policy on prevention and preparedness is also unclear. The same report, however, adds that the Ministry of Interior’s civil protection unit is “strengthening existing national disaster response mechanisms in some partner countries,” though this has not been mainstreamed into an official policy (OECD/DAC 2010).

PILLAR 3

WORKING WITH HUMANITARIAN PARTNERS

The *Strategic Vision for Portuguese Development Cooperation* emphasises Portugal’s wish to move towards multi-year financing for all of its international cooperation programmes, but the 2010 *DAC Peer Review* asserts that this is still not a reality (IPAD 2006a and OECD/DAC 2010). The *Strategic Vision for Portuguese Development Cooperation* also called for the “creation of a specific budget line under the responsibility of IPAD, sufficiently flexible to respond to the specificities of Humanitarian Aid,” (IPAD 2006a). Since most of its humanitarian assistance is “project-specific,” however, the 2010 *DAC Peer Review* concludes that Portugal “is an unpredictable source of financing for humanitarian agencies,” (OECD/DAC 2010). It also adds that “Portugal does not provide funds to the

international Red Cross [Red Crescent] movement, or provide core funding for multilateral agencies or NGOs, or fund Common Humanitarian Funds (pooled funds) or Emergency Rapid Response Funds (ERRFs),” (OECD/DAC 2010). Even for project-specific financing, the 2010 *DAC Peer Review* noted that “disbursement of funds can sometimes be rapid, but can also take over 12 months, especially funds for NGOs” (OECD/DAC 2010).

In terms of fostering cooperation with other national and international actors, the *Strategic Vision for Portuguese Development Cooperation* calls for the coordination both of “the various state and civil society actors” as well as “the international community’s efforts, namely the coordination mechanisms existing within the European Union, as well as at the United Nations level,” (IPAD 2006a). IPAD identifies inter-institutional coordination within Portugal as the most important challenge for the Portuguese humanitarian system (2006a). The 2010 *DAC Peer Review* echoes these concerns, noting that without a humanitarian strategy and guidelines for NGOs, it is difficult to coordinate across the different ministries involved in humanitarian aid (OECD/DAC 2010).

PILLAR 4

PROTECTION AND INTERNATIONAL LAW

The *Strategic Vision for Portuguese Development Cooperation* emphasises that humanitarian aid must be “governed by respect for human rights and international law...namely the right to protect victims and defend humanitarian principles,” (IPAD 2006a). The 2010 *DAC Peer Review* notes that Portugal has begun to “upgrade the civil-military coordination (CIVMIL)” in an effort to ensure “compliance with the Oslo Guidelines and respect for International Humanitarian Law,” and has created dialogue with Portuguese NGOs regarding the issue (OECD/DAC 2010).

In terms of protection, the *Portuguese National Strategy for Security and Development* emphasises Portugal’s commitment to human security and protection defined as “support for civilian victims of violent conflict” through “political, military, humanitarian and development-related approaches” and outlines a general set of aims regarding this purpose (IPAD 2009). These measures include the creation of a unit in IPAD to coordinate safety issues, the training of Portuguese staff to consider safety in plans and the encouragement of communication with other actors to increase awareness of this issue (IPAD 2009). The *Strategic Vision for Portuguese Development Cooperation* adds that “it is especially important to pay attention to the situation of refugees and internally displaced persons and to support the work of international organisations which protect and promote their rights,” though there is no more information in terms of how this will be incorporated into its humanitarian activities specifically (IPAD 2006a). Portugal’s position on advocacy for local governments and for the facilitation of humanitarian access is not clear.

PILLAR 5

LEARNING AND ACCOUNTABILITY

The *Strategic Vision for Portuguese Development Cooperation* calls for the implementation of comprehensive monitoring and mainstreamed evaluations, both of financed projects and IPAD's overall and country strategies (IPAD 2006a). The assessment of the Strategic Vision in 2009 reports that IPAD has released the evaluation guidelines titled *Evaluation Policy, as well as the Evaluation Guide* (IPAD 2009). The agency also attempts to monitor field implementation "through visits to the locations where the programmes are being implemented and through joint action by Headquarters and by the Embassy co-operation services," but this is often difficult due to IPAD's limited staff. IPAD's Evaluation Unit (GAI) has recently expanded its scope, also responsible now for internal audits of IPAD. Overall, the latest *DAC Peer Review* concludes that Portugal's efforts in this regard are lacklustre. It states that "Portugal has not yet participated in joint evaluations of multilateral partners," instead relying on audited accounts from its implementing NGOs, though it does conduct lesson learning exercises after civil protection units return from carrying out relief activities (OECD/DAC 2010). In regards to transparency of funding decisions, the 2010 *DAC Peer Review* reports that the lack of guidelines for humanitarian action means that, "NGOs are not sure what format to use for proposals, what their funding limits will be, or who should act as their focal point within IPAD," (OECD/DAC 2010). The 2010 *DAC Peer Review* also notes that "the humanitarian budget is not transparently available in any form during the budget year, even within IPAD, which further hinders accountability and transparency," (OECD/DAC 2010). Portugal's position on accountability towards affected populations is not clear.

RECOMMENDATIONS

Given the severe economic crisis Portugal is currently facing, it may need to postpone the following recommendations until after it has surpassed the crisis. Portugal's recovery will also present an opportunity for the country to review its position on humanitarian aid and recommit itself to *Good Humanitarian Donorship Principles*.

● FORMALIZE COMMITMENT TO HUMANITARIAN PRINCIPLES IN A COMPREHENSIVE HUMANITARIAN POLICY

Portugal would do well to create an official humanitarian policy which explains its commitment to *Good Humanitarian Donorship Principles* and unites the information from various web pages and documents into a common humanitarian policy.

● ENHANCE SUPPORT FOR UN AND RC/RC APPEALS, COORDINATION AND SUPPORT SERVICES AND POOLED FUNDS

Portugal received a low score for *Funding UN and RC/RC appeals*, which measures the extent to which donors provide their fair share³ of funding to UN and Red Cross/Red Crescent (RC/RC) appeals, coordination and support services and pooled funds. It scored well below average in all components that comprise this indicator.

● CONSIDER CHANNELLING MORE FUNDING TO NGOS

Portugal channelled only 4.2% of its humanitarian funding to NGOs, compared to the OECD/DAC average of 15.3%. As Portugal may not be able to handle a large number of smaller contracts to NGOs, it could explore flexible working models, such as shared management arrangements with other donors, supporting NGO umbrella organisations or NGOs of other nationalities.

● INVEST ADEQUATELY IN RISK REDUCTION

Portugal allocated 0.26% of its ODA to international risk mitigation mechanisms – the lowest of the OECD/DAC donors. The OECD/DAC average was 0.77% and the Group 3 average was 0.72%.

● RENEW COMMITMENT TO LEARNING AND ACCOUNTABILITY

Portugal could improve its support of learning and accountability initiatives. Portugal is participating solely in Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP) meetings, but in none of the other initiatives included in the indicator *Participating in accountability initiatives*.¹ In addition, Portugal did not provide financial support for learning and accountability initiatives.²



Please see www.daraint.org for a complete list of references.