THE HUMANITARIAN RESPONSE INDEX 2011 QUANTITATIVE INDICATORS' FORMULAS

PILLAR 1

Indicator H1.1: Funding vulnerable and forgotten emergencies

Percentage of a donor´s humanitarian funding allocated to crises classified as forgotten (Part A) and with high degrees of vulnerability (Part B)

$$Indicator \text{H}1.1 = 1/2 * PART\ A + 1/2 * PART\ B$$

PART A and PART B are re-scaled before being introduced into the formula above.

$$PART A = \text{Funding to forgotten emergencies} = \frac{\sum_{j=1}^{n} FFC_j * X_j}{\sum_{j=1}^{n} X_j}$$

Where,

$X_j = Funding\ to\ crisis\ j$

$FFC_j = Funding\ to\ Forgotten\ Crisis\ indicator\ for\ crisis\ j$

$$FFC_j = \begin{cases} = 1 \text{ if } MCI_j > 1 \text{ or the UN OCHA CAP coverage for crisis j was below 50\% or crisis j} \\ \quad \text{received an underfunded grant from CERF in 2010.} \\ = 0 \text{ otherwise} \end{cases}$$

$MCI_j = Media\ Coverage\ Index\ for\ crisis\ j, ECHO\ 2010 - 2011$

PART A is re-scaled to the 0 to 10 scale fixing the maximum value to 47.1%, which is twice the average percentage of OECD/DAC donors' aid that goes to emergencies classified as forgotten.

$$PART B = \text{Funding to vulnerable emergencies} = \frac{\sum_{j=1}^{n} FVC_j * X_j}{\sum_{j=1}^{n} X_j}$$

Where,

$X_j = Funding\ to\ crisis\ j$

$FVC_j = Funding\ to\ Vulnerable\ Crisis\ indicator\ for\ crisis\ j$

$$FVC_j = \begin{cases} 1 \text{ if } CI_j + VI_j = 6 \\ 0 \text{ if } CI_j + VI_j < 6 \end{cases}$$

Being

$CI_j = Crisis\ Index\ for\ crisis\ j, ECHO\ 2010 - 2011$

$VI_j = Vulnerability\ Index\ for\ crisis\ j, \qquad ECHO\ 2010 - 2011$

PART B is re-scaled to the 0 to 10 scale, fixing the maximum value to 70%.

<div align="right">*Sources: UN OCHA FTS and ECHO*</div>

Indicator H1.2: Timely funding to complex emergencies

Percentage of a donor's humanitarian funding for complex emergencies provided within the first three months following the launch of a humanitarian appeal. Funding to the Central Emergency Response Fund (CERF) is taken into account.

$$Indicator\ \text{H1.2} = \frac{F3M + trCE * CERF}{TFCE + CERF}$$

Where,

$F3M$ = Funding committed or contributed during the first three months after the launch of the 2010 appeals (of complex emergencies)

$TFCE$ = Total funding to the 2010 appeals (of complex emergencies)

$trCE$ = CERF timeliness rate for complex emergencies = 48% according to DARA's estimations based on FTS

$CERF$ = Funding to CERF

Indicator is re-scaled, fixing the maximum value to 75%.

<div align="right">*Sources: UN OCHA FTS and CERF*</div>

IndicatorH1.3: Timely funding to sudden onset emergencies

Percentage of a donor's humanitarian funding for sudden onset emergencies provided within the first six weeks following the crisis or the launch of a flash appeal launch. Funding to the Central Emergency Response Fund (CERF) is taken into account.

$$Indicator\ \text{H1.3} = \frac{F6W + trND * CERF}{TFND + CERF}$$

Where,

$F6W$ = Funding committed or contributed within the first 6 weeks after the disaster date

$TFND$ = Total funding to natural disasters in 2010

$TrND$ = CERF timeliness rate for natural disasters = 92% according to DARA's estimations based on FTS

$CERF$ = Funding to CERF

Indicator is re-scaled, fixing the maximum value to 100%.

<div align="right">*Sources: UN OCHA FTS and CERF*</div>

PILLAR 2

Indicator H2.1: Funding reconstruction and prevention

Percentage of a donor's humanitarian funding allocated to disaster prevention and preparedness, rehabilitation and reconstruction

$$Indicator\,H2.1 = \frac{RRR + DPP}{THA}$$

Where,

RRR=funds to 'Reconstruction Relief & Rehabilitation' (for year 2009, OECD Stat)

DPP=funds to 'Disaster Prevention & Preparedness' (for year 2009, OECD Stat)

THA= Total Humanitarian Assistance (for year 2009, OECD Stat)

Indicator is re-scaled, fixing the maximum value to 40%.

Source: OECD stat

Indicator H2.2: Funding international risk mitigation

Percentage of a donor's ODA allocated to international risk mitigation mechanisms and participation in global risk mitigation initiatives

$$Indicator\,H2.2 = 4/5 * PART\,A + 1/5 * PART\,B$$

$$PART\,A = \frac{UNDPTTF + GFDRR + DIPECHO + GEF + UNTFRD}{ODA}$$

Where,

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

GFDRR= Funds to World Bank/ISDR Global Facility for Disaster Reduction and Recovery

DIPECHO= Funds to Disaster Preparedness ECHO (2010)

GEF = Funds to Global Environmental Facility Trust Fund (2010)

UN TFDR= Funds to UN Trust Fund for Disaster Reduction (2010)

ODA= Total official development assistance

Part A is re-scaled to a 0 to 10 scale before being introduced into the indicator formula. The maximum value is fixed to twice the average value for OECD/DAC donors in part A.

$$PART\ B = 10 * \left(\frac{1}{2} * GPPAC + \frac{1}{2} * IDRL\right)$$

GPPAC=
$\begin{cases} 1 \text{ if the donor gives funds to the Global Partnership for the Prevention of Armed Conflict} \\ \\ 0 \text{ if not} \end{cases}$

IDRL=
$\begin{cases} 1 \text{ if the donor gives funds to International Disaster Response Laws, Rules and Principles program} \\ \text{(IFRC)} \\ \\ 0 \text{ if not} \end{cases}$

Indicator H2.3: Reducing climate-related vulnerability

Donor´s contributions to Fast Start Finance, compared to its fair share (Part A), and greenhouse gas emission reduction, compared to Kyoto Protocol target (Part B).

$$Indicator\ \text{H2.3} = 7/10 * \text{PART A} + 3/10 * \text{PART B}$$

No score is computed for EC

$$PART\ A = \text{donor's pledge for Fast Start Finance (period } 2010 - 2012)\text{in relation to its fair share}$$
$$= \frac{PLEDGE_i}{\underbrace{\frac{GDP_i}{GDP} * TOTPLEDGE}_{\text{Fair share}}}$$

Where,

$PLEDGE_i = $ Fast Start Climate Finance Pledge by donor i (period 2010-2012)

$TOTPLEDGE = $ Total Fast Start Climate Finance Pledge by all assesed donors (period 2010-2012)

$GDP = $ Total gross domestic product of all assessed OECD/DAC donor countries

$GDP_i = $ Gross domestic product of donor country i

Part A is normalised to a 0 to 10 scale before being introduced into the indicator formula. The maximum value is fixed at 2 (slightly below all OECD/DAC donors' average score). This means a score of ten is reached when a donor's pledge for fast start finance is at least twice its fair share (based on GDP).

$$PARTB = \text{Greenhouse gas emission reduction, compared to Kyoto Protocol target}$$
$$= \text{KPERT} - \frac{\text{AVGHGEM} - \text{GHGEM}}{\text{GHGEM}}$$

KPERT = Kyoto Protocol Emissions Reduction Target

AVGHGEM = Average *Greenhouse Gas* Emissions (GHGs) NOT including LULUCF, for the period 2008 - 2009.

GHGEM = GHG emissions (Kyoto protocol base year, 1990)

The rescaling of part b is done symmetrically. Maximum value is fixed as the opposite of minimum value, whose absolute value is bigger (Maximum value: 23.1%, minimum value: -23.1%).

Source: UNFCC

PILLAR 3

Indicator H3.1: Funding NGOs

Percentage of a donor´s humanitarian funding channelled through NGOs

$$Indicator\ \text{H3.1} = \frac{\text{NGOF}}{\text{THA}}$$

Where,

$NGOF$ = Total humanitarian funding channeled through NGOs

THA = Total humanitarian funding

Indicator is re-scaled, fixing the maximum value to 33.2%, which is the maximum observed among OECD/DAC donors in 2010.

Source: UN OCHA FTS

Indicator H3.2: Un-earmarked funding

Percentage of a donor´s humanitarian funding to selected UN agencies and the Red Cross/Red Crescent Movement that is not earmarked by region or thematic area

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

UHA= un-earmarked, multilateral humanitarian aid to the following organisations: ICRC, UNHCR, WFP, OHCHR, UNICEF, IFRC, OCHA and UNRWA.

HA= total multilateral humanitarian aid to the organisations listed above.

Indicator is re-scaled to a 0 to 10 scale, fixing the maximum value to 60%.

Sources: ICRC, UNHCR, WFP, OHCHR, UNICEF, IFRC, OCHA, UNRWA

Indicator H3.3: Funding UN and RC/RC appeals

Donors´ contributions to UN appeals, UN coordination mechanisms, Red Cross/Red Crescent Movement and pooled funds, compared to its fair share

$$Indicator\ H3.3 = \frac{1}{4} * PARTA + \frac{1}{4} * PARTB + \frac{1}{4} * PARTC + \frac{1}{4} * PARTD$$

Each part of the indicator is re-scaled separately, and then the average is computed. Maximum fixed value for Parts A and B is 100%, 150% for part C and 298% (twice the average value) for part D.

$$PART\ A = Funding\ to\ UN\ appeals = 100 * \frac{UNAPPFUNDING_i}{\frac{GDP_i}{GDP} * TOTREQ}$$

$$\underbrace{}_{Fair\ share}$$

$$PART\ B = Funding\ to\ coordination\ mechanisms = 100 * \frac{UNCOORDFUNDING_i}{\frac{GDP_i}{GDP} * TOTCOORDREQ}$$

$$\underbrace{}_{Fair\ share}$$

$$PART\ C = Funding\ to\ Red\ Cross/Red\ Crescent = 100 * \frac{ICRC_i + IFRC_i}{\frac{GDP_i}{GDP} * TOTREQRCRC}$$

$$\underbrace{}_{Fair\ share}$$

$$PART\ D = Funding\ to\ quick\ disboursement\ mechanisms = 100 * \frac{QDM_i}{\frac{GDP_i}{GDP} * QDM}$$

$$\underbrace{}_{Fair\ share}$$

Where,

GDP = gross domestic product of all assessed OECD/DAC donor countries

GDP_i = gross domestic product of donor i

$UNAPPFUNDING_i$ = Funding to UN Consolidated Inter − Agency Appeals by donor i

$TOTREQ = Total$ 2010 UN Consolidated Inter − Agency Appeals requirements

$UNCOORDFUNDING_i$ = Funding to UN coordination mechanisms by donor i

$TOTCOORDREQ$ = Total 2010 UN CAP requirements for Coordination and Support Services

$ICRC_i$ = funding to ICRC by donor i

$IFRC_i$ = funding to IFRC by donor i

$TOTREQRCRC$ = Total ICRC and IFRC requirements for 2010

QDM_i = funding to quick disbursement mechanisms by donor i

QDM = Total actual funding to quick disbursement mechanisms of all donor countries

The list of quick disbursement mechanisms taken into account is the following: Disaster Relief Emergency Fund, Central Emergency Response Fund, the Democratic Republic of the Congo Pooled Fund, Common Humanitarian Fund (Somalia, Sudan and Central African Republic), and Emergency Response Fund.

Sources: UN OCHA FTS, International Monetary Fund (WEO Database), ICRC, IFRC, Disaster Relief Emergency Fund, Central Emergency Response Fund, the Democratic Republic of the Congo Pooled Fund, Common Humanitarian Fund and Emergency Response Fund

PILLAR 4

Indicator H4.1: International humanitarian law

Number of humanitarian treaties signed and ratified by donor and existence of a national committee to ensure respect of treaties (part A) and funding provided to the International Committee of the Red Cross as a guardian and promoter of international humanitarian law (part B)

$$Indicator\ H4.1 = \frac{1}{2} * Part\ A + \frac{1}{2} * Part\ B$$

$$Part\ A = 10 * \left[\frac{1}{2} * \left(\frac{R}{50}\right) + \frac{1}{2} * C\right]$$

Where,

$R = \sum rat_j$, where rat_j takes the value 0 when the treaty j on humanitarian law is not signed, 1 when it is signed but not ratified, and 2 when it is ratified.

The maximum possible value for *R* is 50 (when all treaties are ratified)

The list of international treaties on humanitarian law includes seven treaties related to the protection of victims of armed conflicts, one on the International Criminal Court, three on Protection of Cultural Property, one on the environment and 13 on weapons.

C takes the value 1 if donors have National Committees on International Humanitarian Law and 0 if not.

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

Where,

ICRC = funding to ICRC

Part B is re-scaled before being included into the indicator formula. Maximum value is fixed to 0.01%, which is slightly above twice the average value for this part of the indicator (0.009%).

Sources: The International Humanitarian Law database published by the International Committee of the Red Cross (ICRC), the ICRC annual report, the World Economic Outlook Database, published by the International Monetary Fund

Indicator H4.2: Human rights law

Number of human rights conventions signed and ratified and existence of an accredited human rights national institution (part A) and funding to the Office of the High Commissioner for Human Rights (OHCHR, part B)

$$Indicator\ H\ 4.2 = \frac{2}{3} * PART\ A + \frac{1}{3} * PART\ B$$

$$PART\ A = 10 * \left(\frac{1}{2} * \frac{R}{R_{max}} + \frac{1}{2} * \frac{ACRED}{2}\right)$$

Where,

$R = \sum rat_j$, where rat_j takes the value 0 when the treaty j is not signed, 1 when it is signed but not ratified, and 2 when ratified

R_{max}= Maximum possible score for variable R (when all treaties are ratified). It varies depending on the donor country:

> Members of the European Union: 33 treaties are taken into account ($R_{max} = 66$)
> Other donors: 18 treaties are taken into account ($R_{max} = 36$)

$$ACRED = \begin{cases} 2, \text{ if donor has an A accreditation status regarding its national institutions on human rights} \\ 1, \text{ if donor has a B accreditation status regarding its national institutions on human rights} \\ 0, \text{ if donor is not accredited} \end{cases}$$

$$PART\ B = \frac{OHCHR}{GDP} * 1000$$

Where,

$OHCHR = Voluntary\ contributions\ to\ OHCHR$

Part B is normalized to a 0 to 10 scale, fixing the maximum value to 0.002%, which means that maximum score is obtained by donors giving an amount of at least 20,000 USD to OHCHR , for every USD Billion of GDP.

Sources: UN treaties database, list of national institutions on human rights and accreditations and OHCHR

Indicator H4.3: Refugee law

Number of refugee treaties signed and ratified (part A), number of people received as part of UNHCR's resettlement programs (part B) and funding to UNHCR and protection/human rights/rule of law programs, as a percentage of GDP (part C)

$$Indicator\ H4.3 = \frac{1}{3} * Part\ A + \frac{1}{3} * Part\ B + \frac{1}{3} * Part\ C$$

PART B and PART C are re-scaled to the 0 to 10 scale before being introduced into the formula above.

$$Part\ A = 10\ * \frac{R}{R_{max}}$$

Where,

$R = \sum rat_j$, where rat_j takes the value 0 when the treaty j is not signed, 1 when it is signed but not ratified, and 2 when ratified

R_{max} = Maximum possible score for R (when all treaties are ratified), which is 12

$Part\ B$ = Number of persons received as part of UNHCR resettlement programs (per million of inhabitants)

Part B is normalised to a 0 to 10 scale fixing the maximum value to twice the average value (i.e. around 160 people participate in UNHCR resettlement programs per million of inhabitants in donor country).

$$Part\ C = \frac{UNHCR + RL}{GDP} * 1000000$$

Where,

UNHCR= Funding to UNHCR

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

GDP= Gross Domestic Product

Part C is re-scaled in a 0 to 10 scale. Maximum score is given to donors that spent at least 0.001% of their GDP in funding UNHCR and other protection/human rights/rule law initiatives.

Sources: UN treaties database and the UNHCR global report

PILLAR 5

Indicator H5.1: Participating in accountability initiatives

Donor'sparticipation in selected humanitarian initiatives for learning and accountability

$$\text{Indicator H5.1} = 10\left(\frac{1}{3}\text{ Part A} + \frac{2}{3}*\text{Part B}\right)$$

$$PART\ A = \frac{1}{2}ALNAPMEMBER + \frac{1}{2}*\frac{1}{12}*ALNAPATTENDANCES$$

$ALNAPMEMBER = Dummy\ variable\ that\ takes\ the\ value\ 1\ if\ the\ donor\ is\ an\ ALNAP\ member$

$ALNAPATTENDANCES = Number\ of\ attendances\ to\ ALNAP\ meetings\ in\ the\ period\ 2004 - 2010$

Maximum possible number of attendances is 12

$$PART\ B = \frac{\sum_{j=1}^{j=6} D_j}{6}$$

D_j represents six dummy variables that indicate if the donor country is a member, co-chair or financial partner of the following initiatives respectively : IATI, GHD, HAP, COMPASS, SPHERE and People Aid.

Part B is re-scaled so that 0.67 is the maximum score, i.e. if a donor participates in 4 of the 6 initiatives it obtains the maximum score in this part of the indicator.

Sources: ALNAP, AID transparency, Good Humanitarian Donorship, HAP, Quality Compass, Sphere, People in AID

Indicator H5.2: Funding accountability initiatives

Percentage of a donor's humanitarian funding allocated to selected accountability initiatives and projects on learning and accountability

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

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

All data corresponds to the period 2009-2010.

The indicator is re-scaled in a 0 to 10 scale fixing the maximum value to 0.85% (i.e. 0.0085), which is twice the average share of funding to accountability given by OECD/DAC donors.

Sources: ALNAP, AID HAP, Sphere, UN OCHA FTS

Indicator H5.3: Funding and commissioning evaluations

Number of evaluations commissioned per US$ spent on humanitarian aid (part A) and existence of evaluation guidelines (part B).

$$\text{Indicator H5.3} = \frac{2}{3} * \text{Part A} + \frac{1}{3} * \text{Part B}$$

$$\text{Part A} = \text{Number of evaluations commissioned per US\$ spent on humanitarian aid} = \frac{2}{3} * \frac{E}{THA}$$

Where,

E = Number of self and joint evaluations of humanitarian assistance interventions for the period 2007-2011. (Evaluations must be publicly available on relevant websites and based on standard criteria)

THA= Total Humanitarian Assistance

$$\text{Part B} = \frac{2}{3} * G + \frac{1}{3} * UF$$

Where,

G= dummy variable scoring 1 when the donor has at least one evaluation guideline in the field of humanitarian aid and 0 when it does not

UF= Number of guidelines by donor in which monitoring is given special attention to

Both parts, A and B, are re-scaled in a 0 to 10 scale before being introduced into the formula above. Maximum value for part A is fixed to 10 evaluations per US $100 million of humanitarian aid, while no maximum value is fixed for part B.

Source: DAC Evaluation Resource Centre (DEReC), donor websites and OECD StatExtracts