

# HRI THE HUMANITARIAN RESPONSE INDEX 2011

## RESEARCH PROCESS



\*See next page for further details and [www.daraint.org](http://www.daraint.org) for more information on the HRI methodology

CONSOLIDATED DATA ANALYSIS  
AND INDEX CONSTRUCTION \*

REVIEW AND  
CONTEXTUALISATION OF RESULTS

FIELD PERCEPTIONS OF  
DONOR RESPECT OF  
GHD PRINCIPLES

**20**  
QUALITATIVE  
INDICATORS

**CLASSIFICATION  
BY GROUP**

**PILLAR AND  
FINAL INDEX  
SCORES**

**15**  
QUANTITATIVE  
INDICATORS

MEASUREMENTS OF  
DONOR RESPECT OF  
GHD PRINCIPLES

- In-depth review of field interview comments
- Consolidated analysis of donor performance
- Drafting of preliminary conclusions
- Testing and validation through 40 interviews with senior headquarter staff
- Internal review and quality control by Peer Review Committee

FINAL KEY FINDINGS

RECOMMENDATIONS TO DONORS

INFORMATION ANALYSIS

# HRI DONOR CLASSIFICATION BY GROUPS

HRI 2011 donor classification organises donors into three groups according to their application of the *Good Humanitarian Donorship Principles*, as measured by the HRI's 35 indicators that make up the index. The classification is based on the application of a principal components analysis, followed by a clustering technique, which places donors in the same group when their indicator scores are statistically similar.

# HRI PILLARS AND FINAL SCORES

The HRI final index score is the aggregate of the HRI indicators, organised in five different pillars of donor performance. Each pillar is weighted according to its importance in terms of the *Good Humanitarian Donorship principles*.

## HUMANITARIAN RESPONSE INDEX CONSTRUCTION - WEIGHTS AND INDICATORS BY PILLAR

HRI PILLARS	WEIGHT	PILLAR COMPONENTS INFORMATION TYPE	WEIGHT	NUMBER OF INDICATORS	WEIGHT BY INDICATOR
1 RESPONDING TO NEEDS	30%	QT Quantitative	15%	3	5.0%
		QL Qualitative	15%	4	3.8%
2 PREVENTION, RISK REDUCTION AND RECOVERY	20%	QT Quantitative	10%	3	3.3%
		QL Qualitative	10%	4	2.5%
3 WORKING WITH HUMANITARIAN PARTNERS	20%	QT Quantitative	10%	3	3.3%
		QL Qualitative	10%	4	2.5%
4 PROTECTION AND INTERNATIONAL LAW	15%	QT Quantitative	8%	3	2.5%
		QL Qualitative	8%	4	1.9%
5 LEARNING AND ACCOUNTABILITY	15%	QT Quantitative	8%	3	2.5%
		QL Qualitative	8%	4	1.9%

# HRI 2011 INDICATORS

## QUALITATIVE INDICATORS

Qualitative indicators are based on responses to the HRI 2011 field questionnaire. The questionnaire consists of 25 closed-ended questions which ask OECD/DAC donors' field partners to give each of their donors a score from 1 to 5 on different aspects of their support based on the HRI's five pillars. Field scores are statistically analysed and potential response biases are corrected before the scores are converted into qualitative indicators (on a 0 to 10 scale). The questionnaire also includes a series of open-ended questions to allow research teams to collect additional information that can complement, contextualise and validate scores given.

### PILLAR 1 RESPONDING TO NEEDS

- Neutrality and impartiality
- Independence of aid
- Adapting to changing needs
- Timely funding to partners

### PILLAR 2 PREVENTION, RISK REDUCTION AND RECOVERY

- Strengthening local capacity
- Beneficiary participation
- Linking relief to rehabilitation and development
- Prevention and risk reduction

### PILLAR 3 WORKING WITH HUMANITARIAN PARTNERS

- Flexibility of funding
- Strengthening organisational capacity
- Supporting coordination
- Donor capacity and expertise

### PILLAR 4 PROTECTION AND INTERNATIONAL LAW

- Advocacy towards local authorities
- Funding protection of civilians
- Advocacy for protection of civilians
- Facilitating safe access

### PILLAR 5 LEARNING AND ACCOUNTABILITY

- Accountability towards beneficiaries
- Implementing evaluation recommendations
- Appropriate reporting requirements
- Donor transparency

## ➤ QUANTITATIVE INDICATORS

The HRI's quantitative indicators are drawn from a variety of internationally-comparable, published data sources, including the UN, World Bank and other international organisations. Data for each donor government is collected, verified and then statistically processed and analysed before it is converted into quantitative

### PILLAR 1

#### RESPONDING TO NEEDS

- **FUNDING VULNERABLE AND FORGOTTEN EMERGENCIES:** Percentage of a donor's humanitarian funding allocated to crises classified as forgotten and with high degrees of vulnerability
- **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
- **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

### PILLAR 2

#### PREVENTION, RISK REDUCTION AND RECOVERY

- **FUNDING RECONSTRUCTION AND PREVENTION:** Percentage of a donor's humanitarian funding allocated to disaster prevention and preparedness, rehabilitation and reconstruction
- **FUNDING INTERNATIONAL RISK MITIGATION:** Percentage of a donor's ODA allocated to international risk mitigation mechanisms and participation in global risk mitigation initiatives
- **REDUCING CLIMATE-RELATED VULNERABILITY:** Donor's contributions to Fast Start Finance, compared to its fair share, and green house gas emission reduction, compared to Kyoto Protocol targets

indicators (on a 0 to 10 scale). Thresholds are set for some indicators in order to establish maximum values and compensate for indicator scores with very little variation among donors, or indicator scores with extreme variation among donors.

### PILLAR 3

#### WORKING WITH HUMANITARIAN PARTNERS

- **FUNDING NGOS:** Percentage of a donor's humanitarian funding channelled through NGOs
- **UN-EARMARKED FUNDING:** Percentage of a donor's humanitarian funding to selected UN agencies and Red Cross/Red Crescent Movement that is not earmarked by region or thematic area
- **FUNDING UN AND RC/RC APPEALS:** Donor's contributions to UN appeals, UN coordination mechanisms, Red Cross/Red Crescent Movement and pooled funds, compared to its fair share

### PILLAR 4

#### PROTECTION AND INTERNATIONAL LAW

- **INTERNATIONAL HUMANITARIAN LAW:** Number of humanitarian treaties signed and ratified treaties and existence of a national committee to ensure respect of treaties
- **HUMAN RIGHTS LAW:** Number of human rights conventions signed and ratified and existence of an accredited human rights national institution
- **REFUGEE LAW:** Number of refugee treaties signed and ratified, number of people received as part of UNHCR's resettlement programs and funding to UNHCR and protection/human rights/rule of law programs, as a percentage of GDP

### PILLAR 5

#### LEARNING AND ACCOUNTABILITY

- **PARTICIPATING IN ACCOUNTABILITY INITIATIVES:** Donor's participation in selected humanitarian initiatives for learning and accountability
- **FUNDING ACCOUNTABILITY INITIATIVES:** Percentage of a donor's humanitarian funding allocated to selected accountability initiatives and projects on learning and accountability
- **FUNDING AND COMMISSIONING EVALUATIONS:** Number of evaluations commissioned and existence of evaluation guidelines

## ➤ GENDER

In 2011 a question on donors' commitment to promoting gender in humanitarian assistance funding and programmes was included in the field questionnaire. Additional indicators were developed to assess

donors' funding and policies related to gender issues in humanitarian action, in order to allow for an additional analysis on donors' performance in this area.

# HRI 2011 SURVEY SAMPLE

<b>DONORS</b>	NUMBER OF QUESTIONNAIRES
Questionnaires included in the construction of qualitative indicators	
AUSTRALIA	21
BELGIUM	17
CANADA	65
DENMARK	28
EC	159
FINLAND	16
FRANCE	32
GERMANY	41
IRELAND	18
ITALY	22
JAPAN	32
LUXEMBOURG	17
NETHERLANDS	31
NORWAY	41
SPAIN	45
SWEDEN	59
SWITZERLAND	27
UK	64
US	142
<b>SUB-TOTAL</b>	<b>877</b>
Questionnaires not included in the construction of qualitative indicators	
OECD/DAC DONORS*	51
OTHER DONOR COUNTRIES	24
UN/POOLED FUNDS/ MULTILATERAL AGENCIES	300
RED CROSS MOUVEMENT	36
PRIVATE ORGANISATIONS/FOUNDATIONS/NGOs	71
<b>TOTAL</b>	<b>1359</b>

\*OECD/DAC donors not fully assessed in this edition of the HRI: Austria, Czech Republic, Greece, Luxembourg, New Zealand, Republic of Korea and decentralised aid.

<b>CRISES</b>	NUMBER OF QUESTIONNAIRES
CHAD	145
COLOMBIA	70
DEMOCRATIC REPUBLIC OF THE CONGO	197
HAITI	133
KENYA	158
OCCUPIED PALESTINIAN TERRITORIES	168
PAKISTAN	129
SOMALIA	112
SUDAN	247
<b>TOTAL</b>	<b>1359</b>

<b>SEX</b>	NUMBER OF QUESTIONNAIRES*
Male	887
Female	472
<b>TOTAL</b>	<b>1359</b>

\*One interview can produce multiple questionnaires, depending on the number of donors supporting the organisation.



Pakistan / UNHCR /S. Phelps