

BASELINE SURVEY

GOOD HUMANITARIAN DONORSHIP PILOT

DEMOCRATIC REPUBLIC OF THE CONGO

FINAL REPORT
31 DECEMBER 2004

COMMISSIONED BY OCHA'S
POLICY DEVELOPMENT AND STUDIES BRANCH
EVALUATION AND STUDIES UNIT

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The content of this report reflects the opinions of the consultants and not necessarily those of OCHA.

ACKNOWLEDGEMENTS

The consultants wish to express their recognition and appreciation to all those who supported this study during the preparation, field work, follow-up, and report writing stages. We are particularly indebted to the members of the Good Humanitarian Donorship (GHD) Implementation Group in Geneva and the GHD Pilot Facilitators in Kinshasa for their assistance during the baseline survey.

The baseline survey would not have been possible without the continuous support from numerous OCHA staff in New York, Geneva, and Kinshasa and they deserve our sincere thanks.

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ACRONYMS AND ABBREVIATIONS

| | |
|---------|--|
| BPR | Business Process Review (WFP) |
| CA | Consolidated Appeal |
| CAP | Consolidated Appeals Process |
| CCA | Common Country Assessment (UN) |
| CHAP | Common Humanitarian Action Plan |
| CIDA | Canadian International Development Agency |
| CNONG | Conseil des ONG de Développement |
| CORDAID | Catholic Organization for Relief and Development Aid (Netherlands) |
| CRS | Creditor Reporting System (OECD/DAC) |
| DAC | Development Assistance Committee (OECD) |
| DANIDA | Danish International Development Agency |
| DDR | Disarmament, Demobilization, and Reintegration |
| DDRRR | Disarmament, Demobilization, Repatriation, Resettlement and Reintegration |
| DFID | Department for International Development (UK) |
| DGCS | Directorate-General for Development Cooperation (Italy) |
| DGIS | Directorate-General for International Cooperation (Netherlands) |
| DRC | Democratic Republic of the Congo |
| EC | European Commission |
| ECHO | European Commission Humanitarian Aid Office |
| EDRC | Eastern DRC |
| EHI | Emergency Humanitarian Interventions (OCHA) |
| EU | European Union |
| FAO | Food and Agriculture Organisation |
| FTS | Financial Tracking System (OCHA) |
| GHD | Good Humanitarian Donorship |
| HA | Humanitarian Activities |
| HAG | Humanitarian Advocacy Group (Kinshasa) |
| HC | Humanitarian Coordinator (UN) |
| IASC | Inter-Agency Standing Committee |
| ICRC | International Committee of the Red Cross |
| IDP | Internally Displaced Person |
| IFRC | International Federation of Red Cross and Red Crescent Societies |
| ILO | International Labour Organisation |
| INGO | International Non-Governmental Organizations |
| IOM | International Organization for Migration |
| IRC | International Rescue Committee |
| MCDA | Military and Civilian Defence Assets |
| MDG | Millennium Development Goal |
| MONUC | Mission de l'Organisation des Nations Unies en la République Démocratique du Congo/United Nations Organization Mission in the Democratic Republic of Congo |
| MTR | Mid-term Review |
| NAFM | Needs Assessment Framework and Matrix |
| NGO | Non-Governmental Organization |
| NNGO | National Non-Governmental Organization |
| NORAD | Norwegian Agency for Development Cooperation |
| NRC | Norwegian Refugee Council |
| OCHA | Office for the Coordination of Humanitarian Affairs |
| OECD | Organisation for Economic Cooperation and Development |
| OFDA | Office of Foreign Disaster Assistance (USAID) |
| OHCHR | Office of the High Commissioner of Human Rights |
| PRM | Bureau of Population, Refugees, and Migration (U.S. Department of State) |

| | |
|-----------|---|
| PRRO | Protracted Relief and Recovery Operation (WFP) |
| PRSP | Poverty Reduction Strategy Paper (WB) |
| QUIPS | Quick Impact Projects (MONUC) |
| RC | Resident Coordinator (UN) |
| RRF | Rapid Response Fund (OCHA/UNICEF) |
| SIDA | Swedish International Development Agency |
| SMART | Standardized Monitoring and Assessment of Relief and Transition (joint USAID and CIDA initiative) |
| UNAIDS | Joint UN Programme on HIV/AIDS (9 UN agencies and the WB) |
| UNDG | UN Development Group |
| UNDP | UN Development Programme |
| UNDAF | UN Development Assistance Framework |
| UNESCO | UN Education, Scientific and Cultural Organisation |
| UNFPA | UN Population Fund |
| UNHCR | UN High Commissioner for Refugees |
| UNICEF | UN Children's Fund |
| UNIFEM | UN Development Fund for Women |
| UNMACC | UN Mine Action Coordination Centre |
| UNMAS | UN Mine Action Service |
| UNOPS | UN Office for Project Services |
| UNSECOORD | UN Security Coordinator |
| USAID | US Agency for International Development |
| WB | World Bank |
| WFP | World Food Programme |
| WHO | World Health Organisation |

EXECUTIVE SUMMARY

The Democratic Republic of Congo (DRC) is one of the two countries chosen to pilot the Good Humanitarian Donorship (GHD) initiative. A set of indicators reflecting the GHD principles was developed for the evaluation of the DRC pilot to take place at the end of 2005. A baseline survey was commissioned by the Office for the Coordination of Humanitarian Affairs (OCHA) to provide information on the status of donor funding and behavior in 2004 in order to measure change in 2005. A team of independent consultants conducted the baseline survey through interviews and data collection with major humanitarian actors in the DRC and donor representatives and UN organizations in Geneva and donor capitals. This report was originally issued in December 2004. It was subsequently updated, at the request of the Good Humanitarian Donorship (GHD) Implementation Group in Geneva, to reflect final funding figures for the year 2004.

The survey team found that **information about the GHD pilot** was limited among the key humanitarian actors in the DRC and spent considerable time providing information about the initiative. All humanitarian actors expressed interest and commitment to working with the pilot facilitators (Belgium and the United States), although great concern was expressed regarding the vague nature of the indicators and the lack of clear objectives or benchmarks linked to the indicators. These objectives are needed to guide the initiative's activities and maximize its impact.

The team also experienced great difficulties in developing accurate **profiles** of donor contributions within and outside the Consolidated Appeal (CA). These profiles are key for analyzing funding flows, improving strategic planning, and ensuring that adequate resources are available to respond to humanitarian needs. The collection of reliable and consistent baseline data for many of the indicators was hampered by several factors, including the lack of a uniform definition of humanitarian assistance and the fact that the voluntary information presented to OCHA's Financial Tracking System (FTS) is often incomplete, late, and even contradicts information available from donor websites, European Commission Humanitarian Aid Office's (ECHO) 14-point reporting system, or donors or UN Agencies themselves.

In terms of **funding flows**, the baseline survey found that during the first quarter of 2004, donors provided 25% of the total funding requests presented in the Appeal. By the end of the year, 73% (US\$ 118,295,561) of revised Appeal requirements had been met (compared to 47% or US\$ 108,046,534 in 2003). In terms of the percentage of *total* FTS reported humanitarian funding, only 55% was reported through the Appeal in 2004, a decrease from 64% in 2003. All of the 19 donors reported in the FTS provided part of their 2004 funding in response to Appeal requests, although the Appeal is not the only channel for humanitarian funding. The two largest donors, the United States and ECHO, channeled 52% and 21% (of their total contributions), respectively, through the Appeal.

The **onus of funding decisions** remains centralized in donor capitals for all donor agencies, though usually based on consultations with staff from the agencies' representations in DRC. Similarly, project reports are often handled between agencies' HQ and donor capitals, with little involvement from staff on the ground. Several donors have attempted to reduce **earmarking** and

thereby increase flexibility for implementing organizations, although mechanisms that use “soft earmarking” might increase the preparatory and administrative burden on the implementing organizations and result in de facto earmarking, for instance, through increased reporting requirements.

The **UN’s leadership** in humanitarian assistance is recognized by all humanitarian actors and donors have shown increased commitment to fund and participate in OCHA’s coordination activities. Donors also recognize the need for **funding security activities and increasing the humanitarian space**, although few have a clear strategy on these issues or have participated in joint advocacy activities. The **role of the UN Organization Mission in the DRC (MONUC)** in providing security information and logistical support to humanitarian partners is acknowledged by donors. Nevertheless, MONUC’s mandate to “coordinate humanitarian action, mobilize resources, advocate for victims, undertake humanitarian negotiations and lead joint assessment missions” is not always clearly understood by donors, operational agencies, and local authorities, particularly in relation to OCHA’s role in coordination and leadership.

Many of the **GHD principles** reflect experiences accumulated from several decades of international cooperation in humanitarian assistance or development cooperation. This is expressed, for instance, in the call for strengthening local capacity, basing decisions on standardized needs assessments, applying internationally recognized standards (including gender mainstreaming and sound environmental management), promoting coordination and harmonization of humanitarian strategies, having adequate contingency plans, and encouraging organizational learning and accountability. However, donors in DRC seem to be less demanding on a number of these requirements when funding humanitarian assistance than when funding development cooperation and, with few exceptions, their active and year-round participation in the development and promotion of common humanitarian strategies has been limited.

In general, the **distinction between the humanitarian assistance and development cooperation**, while recognized as artificial by many humanitarian actors, seems to be strong and few efforts have been undertaken to promote clear links between the two. Furthermore, time restrictions on funding for humanitarian assistance limit possibilities to promote longer-term planning and harmonization with development strategies.

Based on the findings from the baseline survey, a **series of recommendations for donors and humanitarian organizations** has been developed to ensure that the pilot gains momentum and is able to promote concrete, high-impact activities that can be evaluated at the end of 2005. In particular, it is recommended that the Donor Implementation Group in Geneva, in close collaboration with the pilot facilitators and a to-be-established GHD Pilot Group in DRC, define the exact objectives and expected outputs of each principle, review the program for the GHD pilot activities in DRC, ensure the full engagement of all humanitarian actors in DRC through concrete actions, and seize opportunities for promoting the GHD principles, such as the Mid-Term Review of the 2005 Appeal, the 2006 Consolidated Appeals Process, the ongoing Common Country Assessment and preparation of the UN Development Assistance Framework (CCA/UNDAF), and the Poverty Reduction Strategy Paper (PRSP). In addition, recommendations are made for donors, OCHA and other UN Agencies, and non-governmental organizations (NGOs) to improve financial reporting and use of the FTS; make needs

assessments more relevant and available; improve coordination mechanisms between and among all members of the humanitarian community; encourage more meaningful local capacity-building activities; and establish an international NGO platform to facilitate communication with donors.

1 Background

1.1 Good Humanitarian Donorship Pilots

The Good Humanitarian Donorship (GHD) initiative was launched in June 2003 by 18 major donors to improve the coherence and effectiveness of international responses to humanitarian crises. The initiative is based on a set of principles and good practices that include funding flexibility and predictability, rapid disbursement, funding according to needs, and participatory and inclusive approaches to planning, implementation, monitoring and evaluation of humanitarian activities.

The donors decided to pilot the GHD principles in Burundi and the Democratic Republic of Congo (DRC), and to undertake a final evaluation at the end of the pilot phase based on a set of impact indicators developed by the GHD Pilot working group¹. Annex X provides more information on the GHD initiative in the DRC. A baseline survey was also commissioned for both countries with the objectives of (a) testing the performance indicators and (b) providing baseline information to be used during the final evaluations of the pilots.

The DRC GHD Pilot focuses on the 2005 Consolidated Appeals Process (CAP) initiated in mid-2004. The Pilot will be evaluated at the end of 2005 and the results will be compared to a baseline on donor funding and behavior for the CAP 2004 cycle, mainly expressed through the set of indicators developed for the GHD DRC Pilot (see Annex VI).

The main purpose of the present report is therefore to reflect on and analyze donor behavior and funding issues in DRC prior to the start-up of the pilot, to provide insights into the validity and applicability of the impact indicators developed by the GHD group, and to offer recommendations for the implementation of the pilot and the evaluation at the end of 2005.

1.2 Context

The complexity of the internal and regional crises in the DRC has long involved international actors in a variety of roles. Since its independence in 1960, DRC has been plagued by economic crises, mismanagement, and hyper-inflation, accompanied by political instability, plundering and attacks on civil populations by armed groups, particularly in the eastern part of the country. Protracted humanitarian and political crises in neighboring countries, particularly Rwanda, Burundi, Angola and Uganda, have also contributed to the insecurity since the early 1990s. Numerous insurgencies led to the overthrow of then-President, Mobutu Sese Seko, by Laurent Désiré Kabila in 1997, and the continuation and deepening of the civil war in 1998. Various rebel movements rapidly gained control of large parts of the country, leading to large-scale displacement of populations and a widespread humanitarian crisis. This crisis was compounded by the presence of significant numbers of refugees from neighboring countries (Rwanda, Burundi, Angola) and difficulties in ensuring the safe delivery of relief assistance in the most affected areas. In July 1999, a cease-fire agreement was signed by the DRC Government, the major rebel groups, and neighboring countries with troops present in DRC. The UN Security Council established the UN Organization Mission in the DRC (MONUC) and deployed UN

¹ The donors have established a GHD Implementation Group and sub-groups, including a Pilot Working Group.

peacekeepers to DRC. MONUC's mandate was extended in 2000 and the Secretary-General was authorized to deploy necessary civilian staff in the fields of human rights, humanitarian affairs, information, child protection, and political affairs.

Although a Transitional Government was established in July 2003, the impact of the prolonged civil war and regional conflicts and the complexity of the conflict's economic, ethnic and geopolitical origins continue to profoundly affect civilian populations. The political climate and security situation remain extremely fragile and tense, with recurrent incidences of unrest, civil conflict, and human rights violations, particularly in the eastern part of the country. The humanitarian situation is still considered one of the worst in the world. More than 3.8 million are estimated to have died due to the conflict and mortality rates have not improved since 2002. The role of the international community in humanitarian assistance, peace-building, and conflict resolution remains crucial.

2 Methodology and Constraints

2.1 Overview

The Office for the Coordination of Humanitarian Affairs (OCHA) recruited a team of independent consultants to conduct the baseline survey in response to a request made by the donors and with funding from the UK Department for International Development (DFID). The team initiated its work in mid-August with a series of meetings with operational organizations and donors in New York, Rome, and Geneva. At the end of the inception phase, the team leader met with members of the GHD Implementation Group in Geneva and OCHA staff in Geneva and New York to discuss the inception report, to clarify the approach to be taken for the donor survey, and to agree on the final Terms of Reference (see Annex VIII). During the meeting, it was decided that the baseline survey should be guided by the impact indicators, the Montreux Process,² and the Humanitarian Financing Work Program.³ Considering the relatively short time available for the baseline survey and the fact that most donors and major humanitarian organizations have country representations in Kinshasa, it was also decided that the team would only collect information and data in the capital and not go to Eastern DRC (EDRC).

² The Montreux Process was established in 2000 as a forum for donors to discuss and improve the CAP and the coordination of humanitarian emergencies. Since Montreux I in 2000, donor retreats have taken place annually leading to a number of Common Observations that propose activities to improve donor practices in order to respond more efficiently to humanitarian needs. The GHD initiative is closely linked to the Montreux process and the Common Observations are therefore also seen as relevant for the baseline survey. As such, the Common Observations from Montreux V (2004) called for donors to become more active partners in the whole CAP cycle, strengthen the prioritization within the CAP and minimize funding of projects outside the Common Humanitarian Action Plan (CHAP), ensure transparency and predictability in funding, and improve the common needs assessment framework and its use. Furthermore, Montreux V stressed the importance of the GHD Pilots and requested donors to brief their field colleagues and present funding plans by April 2004. The donors should also promote non-governmental organization (NGO) participation in the CAPs in the Pilot countries. Finally, Montreux V called for the IASC Country Teams, the Humanitarian Coordinator and OCHA to identify how the CAP cycle adds value and increases the efficiency of the humanitarian activities of each stakeholder.

³ The Humanitarian Financing Work Programme was initiated by Inter-Agency Standing Committee (IASC) members and a group of donors with the purpose of analyzing the relationship between humanitarian funding and actual needs. A number of studies have been commissioned by the program including "Global Humanitarian Assistance 2003," "Measuring Needs," and "The Quality of Money."

Data and information collection commenced in Kinshasa on September 3, 2004 with a variety of humanitarian actors (see Annex V). The team met with traditional and “new” donors (embassies and bilateral cooperation representations), UN and international organizations, national and international NGOs, and Government entities involved in humanitarian activities (HA). The impact indicator framework was used to guide the semi-structured interviews. Several group meetings and discussions were also held with donors, OCHA Humanitarian Officers, the Humanitarian Advocacy Group (HAG), the UN Country Team, and national and international NGOs. The meetings in Kinshasa continued through September 21, followed by additional discussions with humanitarian agencies in Geneva and Brussels, and telephone interviews with the humanitarian departments of donor agencies at the HQ level (see Annex XI for a list of all persons interviewed). A short questionnaire was distributed to UN Agencies to solicit additional information about funding and donors for humanitarian activities. Fifteen donors were also surveyed about their mandate, sector and geographical coverage, partners, and resources (see Annex III for survey results).

In addition to information obtained from resource persons, the team also relied on information about humanitarian funding from OCHA’s Financial Tracking System (FTS), the European Commission Humanitarian Aid Office’s (ECHO) 14-point system, and information on various websites, particularly those of donors, UN organizations, and NGOs. A list of consulted documents and studies is contained in Annex XII.

2.2 Constraints

The following constraints were identified during the field visit. More detailed information will be presented in the findings section.

Limited Knowledge of GHD Initiative: Overall, the team found limited awareness about the GHD initiative and the DRC Pilot among partners in DRC – even among key stakeholders in the pilot process. Thus, the team spent an important amount of time explaining the GHD principles, including briefing and debriefing donors at the beginning and end of the visit, and presentations to the Humanitarian Affairs Group (HAG), the UN Country Team, and international and national NGOs to explain the initiative.

Complexity of Indicators: The impact indicators consist of 14 indicator categories and 42 specific indicators. During interviews, donors commented on the complexity of the indicators and some expressed concern regarding the level of detail required. It was felt that the indicator framework might give a false impression of data availability or reliability, a major planning obstacle highlighted in several recent development strategies for DRC.⁴ Moreover, donors indicated that using the indicators for monitoring purposes would be too resource demanding.

Time Period: The baseline survey covers the time period of the 2004 Consolidated Appeals Process, which was launched in June 2003. Many resource persons interviewed had difficulties to make clear distinctions between their perceptions of the 2004 process and the activities for the 2005 Appeal, which had taken place shortly before the field visit.

⁴ See, for instance, the European Commission (EC) Country Strategy Paper and Indicative Program for 2003 to 2007 for DRC.

2004 CAP Process: Many of the interviewees were not involved in the 2004 CAP or were not actively involved in the 2005 CAP other than participating in the general July workshop. In addition, relatively little systematized information about the 2004 CAP workshops, agency participation in sectoral strategies, etc. was available in the OCHA office in Kinshasa and the 2004 Appeal itself does not clearly explain the process, participants, or criteria for selection of projects, etc.

Availability of Financial Information: Because of the centralized nature of decisions regarding humanitarian assistance and complex accounting mechanisms, detailed financial information is often only available in the donor capitals or at headquarters for operational agencies. Yet the major part of the time allocated for the baseline survey was programmed for Kinshasa, which ultimately constrained the non-FTS financial information obtained. In addition, in some countries, decisions on food aid or demining are taken outside the humanitarian departments in the Ministries of Foreign Affairs. Although, the team attempted to ascertain the total levels of donor funding for humanitarian activities, information on funding outside humanitarian departments is not complete. Some of the problems are offset with information provided by operational organizations on all funding received from a specific country, but this information is only partial. The team also dedicated an important amount of time perusing websites and annual reports of donors and operational organizations, but with limited results. Funding mechanisms to address humanitarian priorities that are regional in approach (for example, the regional CAP 2004 for the Great Lakes Region) were not included in this study.

Discrepancies in Financial Information: The team found considerable contradictions in humanitarian funding information available from different sources, such OCHA's Financial Tracking System (FTS), ECHO's 14-point system,⁵ annual reports, and information received in response to questionnaires and surveys from donors and implementing organizations. Unfortunately, insufficient time was programmed in donor capitals to clarify the discrepancies.

3 Findings

The findings section is divided into two main parts: a) strategic planning and humanitarian response, and b) the impact indicators. Because of the importance of the Consolidated Appeals Process for strategic planning as well as for the analysis of donor behavior and funding, section 3.1 focuses on the CAP. The baseline status of the impact indicators is given in section 3.2, along with a brief narrative of supporting evidence from the data collection.

3.1 Strategic Planning and Humanitarian Response

One of the key objectives of the baseline survey expressed in the revised terms of reference is an analysis of experiences and perceptions of strategic planning and the humanitarian response in the DRC. These critical issues potentially both affect and are affected by donor behavior. A central component of the strategic planning process is the Consolidated Appeals Process (CAP)

⁵ The FTS and ECHO's 14-point system are considered the main regularly updated financial tracking systems for humanitarian funding. The team also analyzed the Organisation for Economic Cooperation and Development/Development Assistance Committee's (OECD/DAC) Creditor Reporting System, which was found to be far out-of-date, incomplete, and not focused on humanitarian assistance.

and the development of the Common Humanitarian Action Plan (CHAP). This section describes the evolution of Appeals in DRC, the 2004 CAP process, and donor participation and perceptions.

3.1.1 Evolution of Appeals in DRC, 1996-2004

The following chart describes the evolution of Appeals in DRC, as well as the general levels of response from 1996-2004.

| EVOLUTION OF CONSOLIDATED APPEALS IN DRC 1996-2004⁶ | | | | |
|---|---|------------------------------|-------------------------------------|--|
| 1996 | In addition to the 1996 Inter-Agency Fundraising Document for the Great Lakes Region, a Flash Appeal for the Great Lakes Region in Response to the Crisis in Eastern Zaire was launched for 1 November 1996 – 31 January 1997 to mobilize resources to assist 1.25 million Rwandan and Burundian refugees, 250,000 internally displaced Congolese and at least 500,000 people depending on emergency assistance. The Zaire portion of the Flash Appeal was US\$ 43.5 million. | | | |
| 1997 | This Appeal was for the Great Lakes Emergency (Eastern Zaire, Burundi, Tanzania, and Uganda). Original requirements were US\$ 324.5 million. By July, US\$ 131 million had been received, in addition to US\$ 73.7 million in carry-over (65.5% of total requests). The portion for Zaire was approximately US\$ 20 million. | | | |
| 1998 | Eastern Zaire/Democratic Republic of Congo was included in the Appeal for the Great Lakes Region and Central Africa (Burundi, DRC, Rwanda, Tanzania, Uganda). The entire Appeal was for US\$ 550.5 million, with the portion for Eastern Zaire/DRC totaling US\$ 26 million (revised to US\$ 60 million). | | | |
| Year | Amount Requested (US\$) | Revised Amount (US\$) | Amount and % Received (US\$) | Comments |
| 1999 | 21,369,141 | -- | 4,842,197 (22.7%) | July-December. Nine UN Agencies. (United Nations High Commissioner for Refugees [UNHCR] and WFP requests were included in the Great Lakes Regional Consolidated Appeal.) |
| 2000 | 71,363,897 | 37,039,207 | 11,772,710 (31.8%) | Nine UN Agencies. |
| 2001 | 139,464,891 | 122,856,090 | 81,971,040 (66.7%) | Eleven UN Agencies. |
| 2002 | 194,140,365 | 202,201,192 | 98,431,641 (48.7%) | Fourteen UN Agencies and five international NGOs. |
| 2003 | 268,645,326 | 229,407,473 | 108,523,271 (47.3%) | Fourteen UN Agencies, two international NGOs, and one national NGO. |
| 2004 | 187,094,868 | 162,602,463 | 118,295,561 (72.8%) | Fifteen UN Agencies, seven international NGOs, and four national NGOs. |

(Source: FTS, www.reliefweb.int/fts)

This review of the evolution of Appeals in DRC shows that number of participating agencies has increased from only nine UN agencies in 2000 to fifteen UN agencies, seven international NGOs

⁶ Detailed FTS information is not available for 1996-1998.

and four national NGOs in 2004. The amount of funds requested has also increased and response rates have varied from a low of 22.7% in 1999 to 72.8% in 2004.⁷ Although percentages have varied, the overall amount of funds received has consistently increased.

3.2 CAP 2004

As preparation for the 2004 CHAP and Consolidated Appeal (CA), a preparatory meeting was organized in June 2003 around thematic areas: water and sanitation, internally displaced persons (IDPs), protection, nutrition, food security, and land mines. The meeting was followed by a two-day workshop in Goma with the participation of NGOs, the Red Cross Movement, local authorities, donors (ECHO), and UN organizations.⁸ A staff member from OCHA Geneva with considerable experience in the region facilitated the workshop.⁹

The 2004 CAP workshop in EDRC was followed by a national workshop in Kinshasa in September and the Goma input was used as working background documents. UN Agencies and select NGOs participated, as did a representative of the Ministry of Solidarity and Humanitarian Affairs. In terms of donor participation, it was noted that only a couple of donors attended even though 15 had been invited, and only US Agency for International Development (USAID) and ECHO participated in the thematic groups.¹⁰ The final CA and CHAP 2004 were drafted by OCHA with sectoral input and project proposals from UN organizations and NGOs. Two of the key participants in the Goma workshop commented that some partners from Eastern DRC felt that they had done significant work for the CHAP and that their contributions had not been fully taken advantage of or had been excessively modified in Kinshasa. This issue perhaps reflected

⁷ Some of the increase in total funds requested was due to the inclusion of significant economic recovery activities in 2002 and 2003. The CAP 2004 downplayed economic recovery activities. Revised amounts in 2000, 2001, and 2003 were based on significant decreases in the World Food Programme's (WFP) requests, and in 2002 on an increase in UNHCR's request. In the case of WFP, this is partly due to the inclusion of 2-year Protracted Relief and Recovery Operations (PRROs) in the Appeals and subsequent revisions.

⁸ NGOs included ALISEI, ASRAMES, Atlas Logistique, AVSI, BOAD, Caritas, DOCS, EPER-Suisse, IRC, Louvain Développement, Maltezer/Bukavu, MDM-B, MEC, Merlin, NPA, Oxfam GB, PSF, SCF-UK, SoDeru, Solidarité, TSF, and World Vision. Local authorities included representatives of the departments of rural development, agriculture, health, and planning. UN Agencies included the Food and Agriculture Organisation (FAO), the Office of the High Commissioner of Human Rights (OHCHR), OCHA, the World Health Organisation (WHO), WFP, the United Nations Development Programme/United Nations Office for Project Services (UNDP/UNOPS), the United Nations Children's Fund (UNICEF), and the United Nations Security Coordinator (UNSECOORD).

⁹ According to the summary report from the Goma workshop, participants discussed coordination mechanisms, humanitarian principles and human rights, the humanitarian context, scenarios, and strategic objectives. They identified some major constraints, including inadequate coordination structures, insufficient participation of local/national authorities, the undue distinction between humanitarian assistance and development, and adequate resource mobilization based on priorities identified in the CHAP. Participants also discussed humanitarian principles, concluding that there should be more focus on human rights in the CHAP. Finally, participants concluded that distinguishing between IDPs and host communities based on vulnerability is becoming increasingly difficult. Some of the background information for the scenarios section was based on input developed by OCHA and partners during the June 2003 Regional Contingency Planning workshop in Nairobi. Detailed notes were prepared and distributed to all attendees who were requested to provide feedback. Sectoral commissions were organized to draft the sectoral plans two weeks later.

¹⁰ During interviews for the baseline survey, some donors claimed that the invitation came too late. Other donors referred to their small embassies and lack of human resources, which hampers participation in long workshops or sectoral groups that meet regularly.

the larger issue of the divide between coordination in Eastern DRC and Kinshasa. A 2002 donor mission recommended reducing the east-west coordination division and efforts have been made to boost coordination in Kinshasa. Some of the difficulties identified in centralized vs. decentralized planning and east-west coordination remain and seem to have been echoed during the CAP process. Still, the active participation of provincial partners was considered a positive step.

No Mid-Term Review (MTR) was prepared for DRC in 2004, primarily due to unrest and insecurity throughout the country in May and June, which resulted in the suspension of a significant number of humanitarian activities and the evacuation of many staff from EDRC. OCHA reported that it was approached by several donors at mid-year to provide input regarding underfunded sectors and recommendations/prioritization of projects for funding—something that normally would have been covered by a MTR. It is unclear how the absence of a MTR may have affected end-of-year contributions to the 2004 Appeal.

3.2.2 Donor Participation, Perceptions and Responses

Many of the donors interviewed for the baseline survey had not participated in the preparation of the 2004 Appeal and many were not even present in DRC at the time.¹¹ The two donors with the most experience were USAID and ECHO. In general, donors welcomed the idea of participating in the development of the Appeal, although they do not consider the CHAP as a significant policy document that guides their internal strategic planning processes.¹² Several donors emphasized that the Appeal should only include emergency activities and felt that it currently mixes relief, recovery, and development, making it difficult to use systemically as the basis for humanitarian funding decisions. While some donors interviewed stated that they prefer to fund projects in the Appeal, others, including several key donors, simply regard it as a “collection of projects” that does not significantly influence their decision-making processes or recommendations to their capitals about which projects to fund.

The total revised request for the 2004 Consolidated Appeal was US\$ 162.6 million, of which US\$ 118.3 million (72.8% of total requested) were provided by the end of the year. The greatest unmet Appeal requirements were in the sectors of economic recovery and infrastructure, family shelter and non-food items, health and nutrition, mine action, water and sanitation, protection, and education. It is important to note, however, that donor funding to Appeal projects and outside the Appeal varies greatly by sector. For example, significant funding for the health sector and for multi-sector projects was provided outside the appeal. (See Annex I for Appeal and non-

¹¹ As previously mentioned in the constraints section, several donors had participated in recent 2005 CAP activities (in July 2004) and when asked about the 2004 CAP (developed in 2003), they had difficulties separating the two processes. The survey team attempted to tease out the differences between what occurred in 2003 and 2004 because there were some significant differences, including the GHD workshop and a more extensive participation of donors as part of the process in 2004, but the lack of institutional memory and staff turnover made this difficult.

¹² One specific example is ECHO, which prepares a Global Plan based on field visits and consultations with implementing partners and EU member countries in DRC. Even though one of the objectives of preparing Global Plans is to reach some common agreement on strategies, during the interviews with ECHO in Kinshasa and Brussels, it was stated that for 2004, the CHAP did not present a strategy as such and alignment would not be possible. The timing of the two processes (July for CHAP and September for ECHO’s internal planning exercise) did not facilitate synergies.

Appeal sector breakdowns.) Because there is no explicit prioritization of sectors or projects in the Appeal, it is difficult to determine if donors' sectoral and Appeal/non-Appeal funding decisions are directly linked to the CHAP or if they are based on other considerations. Only anecdotal evidence was available in Kinshasa.

According to the FTS, all of the 19 donors who provided humanitarian funding to DRC in 2004 channeled part of their contributions through the Appeal. In fact, all but five donors channeled more than 50% of their total reported funding through the Appeal. For comparison, in 2003, three out of 19 donors recorded in the FTS did not channel any funds through the Appeal (Australia, Denmark, and Germany). Overall, in 2004, 54.8% of total funding was provided through the Appeal (compared to 63.9% in 2003). The two largest overall donors—the United States and EC/ECHO—channeled 51.5% and 21.4%, respectively, of their total humanitarian funding through the Appeal. Motivations for funding outside the Appeal is often defined by other opportunities, such as direct funding requests from traditional partners, including NGOs.

| HUMANITARIAN CONTRIBUTIONS 2003 – 2004 | | |
|---|--------------|-------------|
| | 2003* | 2004 |
| Total Received (US\$) | 169,936,309 | 215,956,425 |
| Inside Appeal (US\$) | 108,523,271 | 118,295,561 |
| Outside Appeal (US\$) | 62,024,218 | 97,660,864 |
| Inside as % of Total | 63.9 | 54.8 |
| Outside as % of Total | 36.5 | 45.2 |

(Source: FTS, www.reliefweb/fts)

* Includes US\$ 611,180 in carry-over.

The number and composition of donors responding to Appeal requests has changed over the years. For example, the United States provided close to half of Appeal funds between 2001 and 2003, but only 27.3% in 2004. In the past few years, the main donors (in alphabetical order) have been Belgium, Canada, Denmark, the European Commission, France, Germany, Ireland, Italy, Japan, the Netherlands, Norway, Sweden, Switzerland, the United Kingdom, and the United States. Several other countries, such as New Zealand, Luxembourg, Iceland, and Saudi Arabia, have provided small amounts to specific projects one time during the past five years, but it is not possible to determine if this represents a trend of increased donor engagement or simply one-off contributions in response to specific requests or emergencies, such as the 2002 volcano eruption in Goma. National UNICEF Committees have also responded to the Appeals, and the amount of direct UN agency funding has also seemed to increase, as indicated by greater unearmarked

funding (reported by FAO, UNICEF, UNHCR, and WHO).¹³ (See Annexes II and III for more information about donors and contributions.) The following chart shows individual country contributions as amounts and as percentages of total, Appeal, and non-Appeal contributions.

¹³ In order to complement and cross-check the information gathered during the interviews with donors in Kinshasa and the analyses of donor funding undertaken with financial information from the FTS, the team sent a brief survey to the following UN organizations: FAO, the International Organization for Migration (IOM), OCHA, OHCHR, the Joint UN Programme on HIV/AIDS (UNAIDS), UNDP, the United Nations Population Fund (UNFPA), UNICEF, the United Nations Development Fund for Women (UNIFEM), UNHCR, UNSECOORD, WFP, and WHO. The information requested included: donors in 2003, donors in 2004, core funding, special fundraising requests, and special fundraising activities. Approximately 50% (seven out of 13) of the organizations replied, although not all agencies were able to provide all information. A careful analysis and mapping of UN agency responses revealed that the information provided by agencies, donors, and collected from websites and financial reporting systems (such as FTS or ECHO's 14-point system) is quite incongruent. While some of the problems may stem from reporting delays, others may be the result of the lack of standardization for reporting or lack of adherence to suggested norms. It also bolstered the idea that donor information must be collected at the capital/HQ level due to limited and outdated information in the field.

**REPORTED HUMANITARIAN FUNDING (BY DONOR)
INSIDE AND OUTSIDE APPEAL—2004**

| Donor | Total Humanitarian Assistance (US\$) | % of Grand Total | Amount Inside Appeal (US\$) | % of Total Inside | Inside Appeal as % of Country Total | Amount Outside Appeal (US\$) | % of Total Outside |
|--|---|-------------------------|------------------------------------|--------------------------|--|-------------------------------------|---------------------------|
| United States | 62,741,696 | 29.1 | 32,324,325 | 27.3 | 51.5 | 30,417,371 | 31.1 |
| ECHO (European Commission) | 51,133,483 | 23.7 | 10,945,726 | 9.3 | 21.4 | 40,187,757 | 41.2 |
| Allocations of unearmarked funds by UN | 16,477,154 | 7.6 | 16,477,154 | 13.9 | 100.0 | 0.0 | 0.0 |
| United Kingdom | 14,398,636 | 6.7 | 13,334,218 | 11.3 | 92.6 | 1,064,418 | 1.1 |
| Belgium | 13,918,257 | 6.4 | 9,744,981 | 8.2 | 70.0 | 4,173,276 | 4.3 |
| Canada | 10,580,876 | 4.9 | 8,552,931 | 7.2 | 80.8 | 2,027,945 | 2.1 |
| Germany | 7,934,801 | 3.7 | 1,319,512 | 1.1 | 16.6 | 6,615,289 | 6.8 |
| Sweden | 7,872,602 | 3.6 | 4,087,026 | 3.5 | 51.9 | 3,785,576 | 3.9 |
| Netherlands | 7,681,168 | 3.6 | 4,482,122 | 3.8 | 58.4 | 3,199,046 | 3.3 |
| Japan | 5,623,005 | 2.6 | 5,623,005 | 4.8 | 100.0 | 0.0 | 0.0 |
| Finland | 2,921,409 | 1.4 | 1,636,388 | 1.4 | 56.0 | 1,285,021 | 1.3 |
| Italy | 2,864,805 | 1.3 | 2,864,805 | 2.4 | 100.0 | 0.0 | 0.0 |
| Ireland | 2,629,250 | 1.2 | 738,755 | 0.6 | 28.1 | 1,890,495 | 1.9 |
| Denmark | 2,372,685 | 1.1 | 818,350 | 0.7 | 34.5 | 1,554,335 | 1.6 |
| Norway | 2,294,903 | 1.1 | 2,079,741 | 1.8 | 90.6 | 215,162 | 0.2 |
| Private | 1,611,488 | 0.7 | 1,381,749 | 1.2 | 85.7 | 229,739 | 0.2 |
| France | 1,563,801 | 0.7 | 1,358,701 | 1.1 | 86.9 | 205,100 | 0.2 |
| Switzerland | 1,207,334 | 0.6 | 397,000 | 0.3 | 32.9 | 810,334 | 0.8 |
| South Africa | 59,271 | 0.0 | 59,271 | 0.1 | 100.0 | 0.0 | 0.0 |
| New Zealand | 53,856 | 0.0 | 53,856 | 0.0 | 100.0 | 0.0 | 0.0 |
| Saudi Arabia | 15,945 | 0.0 | 15,945 | 0.0 | 100.0 | 0.0 | 0.0 |
| Grand Total | 215,956,425 | 100.0 | 118,295,561 | 100.0 | -- | 97,660,864 | 100.0 |

(Source: FTS, www.reliefweb.int/fts)

In terms of how donor are reporting their contributions, a detailed analysis of the “reporting source method” of each of the 234 contributions to overall humanitarian funds in 2004 (Appeal and non-Appeal) produced mixed results.¹⁴ However, what appears unmistakable is that while

¹⁴ The actual methods include email, fax, copies of acknowledgement letters, and a standardized on-line system for data transfer (ECHO’s 14 point system).

donors are doing a great deal of reporting directly to FTS, donors are not the only reporting source. Even for those donors that are reporting contributions consistently, it appears that they are not reporting *all* of the contributions for a given year or organization. In addition, direct donor reporting for non-Appeal contributions appears to be more consistent than for Appeal, which relies more heavily on agency reporting or a combination of agency and donor reporting.

For the 103 Appeal contributions, the following can be noted:

- 55 contributions were reported exclusively by UN agencies (FAO, OHCHR, UNFPA, UNHCR, UNICEF, the United Nations Mine Action Service [UNMAS], UNSECOORD, and WFP), usually through emails. WFP (26) and UNICEF (12) reported the largest number;
- 19 contributions were reported by both the appealing agency *and* the donor (includes FAO, OCHA, UNSECOORD, UNHCR, and Belgium, Canada, Sweden, Switzerland, and the United States);
- only 7 contributions were reported exclusively by the donor (Belgium, Norway, the Netherlands, Sweden, and the United Kingdom);
- 12 contributions were reported through a combination of methods (14-point + donor; 14-point + agency; 14-point + agency + donor)
- 10 contributions were reported exclusively through acknowledgement letters or the 14-point system.

In contrast, an analysis of the reporting source method for each of the 131 non-Appeal contributions in 2004 reveals that the largest contributions were reported by donors and not receiving agencies:

- 49 contributions were reported exclusively through ECHO's 14-point system (Canada, Germany, Denmark, France, Finland, Ireland, the Netherlands, and Sweden);
- 45 contributions were reported directly by ECHO *and* through the 14-point system;
- 1 contribution was reported in both the 14-point system and by the donor (Belgium);
- 2 donors reported directly to FTS (Switzerland and the United Kingdom);
- Information about the United States' contributions was reported through the USG website and USAID/Office of Foreign Disaster Assistance (OFDA) newsletters;
- 3 organizations reported 9 non-Appeal contributions directly to FTS (International Federation of Red Cross and Red Crescent Societies [IFRC], OCHA, and FAO).

A mapping of donor mandates, sectors and geographical preferences, partners, and resources was undertaken during the research. Despite considerable information received from 15 donors, the information provided is not readily comparable with information from other sources due to lack of standardization in how donors organize and track funding for humanitarian assistance. The results of the mapping exercise are presented in Annex III. Furthermore, a comparison of donor information in two different reporting systems (OCHA and ECHO) reveals numerous discrepancies (see Annex I). While it is difficult to determine whether the exact source of the discrepancies in the two systems, it is clear that the current efforts to harmonize financial reporting systems to capture the full scope of donor contributions to humanitarian activities are

needed. Additional information regarding donor participation, behaviour, and responses will be provided in the next section on the impact indicators.

3.3 Impact Indicators

Prior to commencing field work, it was determined that main focus of the team should be on “gathering concrete qualitative and quantitative data on donor behavior and performance against each of the indicators” (Terms of Reference, 4.2). The following section presents the major findings regarding the baseline status for each impact indicator, followed by a brief narrative of key research findings. Detailed comments on the usefulness of each indicator and specific suggestions regarding modifications can be found in the chart in the recommendations section (4.2.2). A summary table of the baseline status all indicators is contained in Annex VII.

3.3.1 The Flexibility and Timeliness of Donor Funding

| Impact Indicator and Sub-Indicators | Baseline Status |
|---|---|
| <i>1) Donor funding is flexible and timely</i> | Compared to 2003, information about pledges and contributions was received earlier by the FTS in 2004. There is, however, wide variation among sectors. |
| <i>a. x% of funding pledged to CHAP activities by January 2005</i> | Only Sweden informed about pledges/contributions to the Appeal in January 2004, representing only 2.5% of total requested funds. |
| <i>b. x% of funding disbursed to CHAP activities in the first quarter 2005</i> | 24% of total requested funding was registered by the end of the first quarter of 2004. |
| <i>c. x% of funding disbursed to CHAP activities by the end of the second quarter / at the MTR</i> | 42% of total requested funding was registered by the end of the second quarter (end June) of 2004. |
| <i>d. x% of funding provided (either new funding or through re-allocation) to new activities and/or in newly accessible areas identified at mid-term review and CHAP revision</i> | No information available. (The 2004 Mid-Term Review was not completed due to widespread insecurity and unrest in the country and the interruption of many humanitarian activities.) |

Analysis: One of the most useful ways of analyzing the timeliness of donor funding was to undertake a detailed analysis of Appeal and non-Appeal funding decisions for 2003 and 2004 recorded in the OCHA Financial Tracking System (FTS).¹⁵ This analysis revealed an uneven pattern of the timing of funding.

Appeal contributions: In 2003, an overall total of US\$ 108,622,571 out of a requested US\$ 229,407,473 (revised) was received. During the first quarter of the year, official communications to the FTS regarding funding decisions totaled only 11.9% of the total requested funds. By the end of the first half of the year, only 25.4% of requirements were met. In fact, a

¹⁵ Although the baseline survey covered only 2004, data from 2003 was included when appropriate to provide more information and a more thorough bases for comparison. The general term “funding decisions” has been used because until November 2004, one of the caveats of the “build tables” function in the FTS system was the inability to distinguish the origin of the information entered in the system (either the donor or the receiving agency) and whether the information referred to a pledge, commitment, contribution, or disbursement. The FTS database has actually been reconfigured to allow it to separate pledges, commitments, and disbursements, to show the date of each, and to provide details on how the information was reported (from donors, appealing agencies, the 14-point system, etc.). Until recently, however, most data did not include enough detail to allow distinctions be made in a reliable or meaningful way.

month-by-month breakdown of each decision shows that the largest number (not value) of funding decisions were made towards the end of the year in November 2003.¹⁶

In 2004, decisions about Appeal funding appear to be timelier, with approximately 24.6% of funding decisions (as % of revised requested funds) made in the 1st quarter and 18.1% in the second quarter, for a total of 42.1% made in the first half of the year. This compares to only 25.5% made in the first two quarters of 2003. According to the FTS, the only donor that reported decisions in the first month of 2004 was Sweden.¹⁷ In contrast to 2003, the largest number (and value) of funding decisions were made in the first quarter of the year.¹⁸

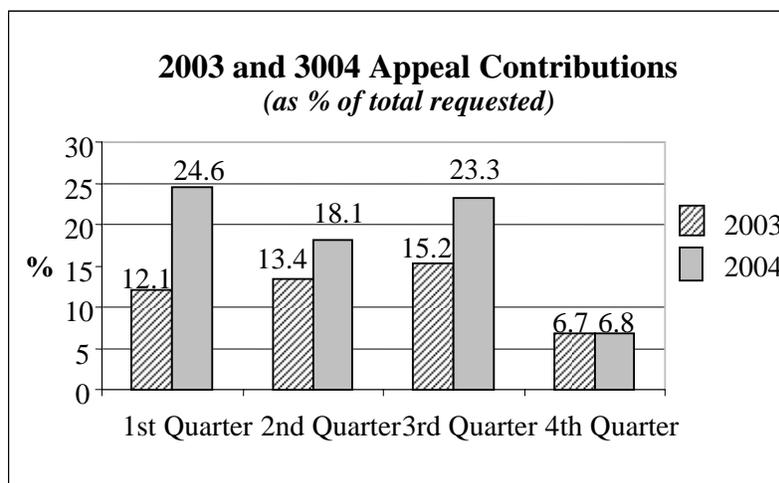
| TIMELINESS OF APPEAL FUNDING DECISIONS | | | | | | |
|---|---------------------|----------------------------|---------------------------------------|----------------------|----------------------------|---------------------------------------|
| 2003 – 2004 | | | | | | |
| <i>(by quarter)</i> | | | | | | |
| Period | 2003 | | | 2004 | | |
| | Amount US\$* | % of total received | % of total requested (revised) | Amount US\$** | % of total received | % of total requested (revised) |
| 1 st Quarter | 27,824,331 | 25.8 | 12.1 | **39,930,586 | 33.8 | 24.6 |
| 2 nd Quarter | 30,674,341 | 28.4 | 13.4 | 29,357,973 | 24.8 | 18.1 |
| Subtotal | 58,498,672 | 54.2 | 25.5 | 69,288,559 | 58.6 | 42.1 |
| 3 rd Quarter | 34,751,348 | 32.2 | 15.2 | 37,893,818 | 32.0 | 23.3 |
| 4 th Quarter | 15,273,251 | 14.2 | 6.7 | 11,113,184 | 9.4 | 6.8 |
| Total | 108,523,271 | 100.6 | 47.3 | 118,295,561 | 99.9 | 72.8 |
| * For consistency with tables in FTS, carry-over funds of US\$ 611,180 are included in the 1 st quarter calculations and the total. | | | | | | |
| ** Includes three donations made in late 2003 but attributed to CAP 2004. These contributions are included in 1 st quarter calculations. | | | | | | |

(Source: FTS, www.reliefweb.int/fts)

¹⁶ Despite the caveats in the FTS system for the 2003 and 2004 data, by carefully examining the clustering of information organized by date, donor and receiving agency, it is possible to make a fairly reliable determination about which decisions are reported by donors and which ones are reported by UN organizations. It should also be noted that the high number of funding decisions (and the relatively lower amount of these decisions) at the end of the year could be due to the fact that most donors do not allow carry-over of humanitarian funds from one fiscal year to the next. Although the fiscal year in most donor countries follows the calendar year, some notable exceptions are Japan, Canada, the United Kingdom, and South Africa, where the fiscal year begins on April 1, and the United States, where the fiscal year begins on October 1.

¹⁷ No decisions were reported to the FTS in January 2003.

¹⁸ In order to analyze whether Appeal funding trends for DRC are unique or similar to those in other countries, a breakdown of funding by quarters for 2003 and 2004 (as of October) was also undertaken for Burundi and Angola. Burundi was chosen because it is also included in the Good Humanitarian Donorship pilot. Angola was chosen because its 2003 Appeal was Angola's first post-conflict Appeal and the 2004 Appeal was considered a "transition Appeal"—two issues of importance for DRC. The mixed results of this analysis made it impossible to draw definitive conclusions about the Appeal funding patterns identified in DRC in comparison to the other countries.



Non-Appeal Contributions: As previously mentioned, funding outside the 2003 Appeal reported in FTS totaled US\$ 62.0 million—approximately 37% of total FTS reported humanitarian funding. In 2004, reported non-Appeal contributions totaled US\$ 97.7 million, which was 45.2% of total FTS reported humanitarian funding. In the first half of 2004, reported non-Appeal contributions totaled US\$ 33.2 million (34.0% of total non-Appeal contributions), in comparison to US\$ 31.7 million (51.1% of total non-Appeal contributions) reported during the first half of 2003. In 2004, more than half of all non-Appeal contributions were made in the 3rd quarter. As opposed to Appeal contributions in 2004, the largest amount of non-Appeal contributions were made in the third quarter. (See Annex I for detailed information about reported funding outside the Appeal.)

The FTS information for humanitarian assistance outside the Appeal presents the same difficulty as for Appeal reporting—the difference between pledges and contributions was not systematically reported in 2003 and 2004, and the system depends on voluntary reporting. A complementary analysis of information available in ECHO’s 14-point reporting system, the OECD/DAC Creditor Reporting System (CRS), and donor agency websites makes it clear that the reporting of non-Appeal contributions to FTS is neither systematic nor comprehensive, a drawback recognized by the FTS Manager in Geneva. At the same time, it provides complementary information that is useful for beginning to identify donor funding patterns and assessing the timing and flexibility of funding. (See Annex I for more information from the 14-point and CRS systems.)

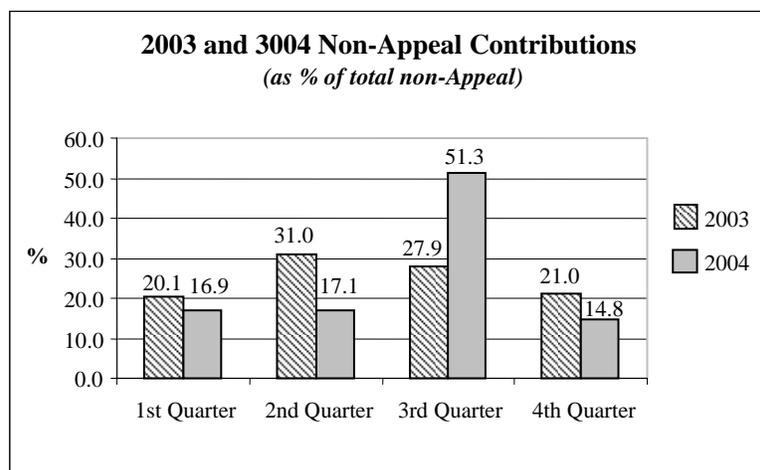
TIMELINESS OF NON-APPEAL FUNDING DECISIONS
2003 – 2004
(by quarter)

| Period | 2003* | | 2004** | |
|-------------------------|-------------------|---------------------|-------------------|---------------------|
| | Amount US\$ | % of total received | Amount US\$ | % of total received |
| 1 st Quarter | 12,456,192 | 20.1 | 16,466,801 | 16.9 |
| 2 nd Quarter | 19,201,888 | 31.0 | 16,686,281 | 17.1 |
| Sub-total | 31,658,080 | 51.1 | 33,153,082 | 34.0 |
| 3 rd Quarter | 17,319,254 | 27.9 | 50,082,671 | 51.3 |
| 4 th Quarter | 13,046,884 | 21.0 | 14,425,111 | 14.8 |
| Total | 62,024,218 | 100.0 | 97,660,884 | 100.1 |

* Includes four contributions totaling US\$ 4,220,338 made in 2002 but attributed to 2003 accounts. These contributions are included in the 1st quarter calculations.

** Includes four contributions totaling US\$ 3,658,283 made in 2003 but attributed to 2004 and one contribution for US\$ 189,542 made in 2005 but attributed to 2004. These contributions are included in the 1st and 4th quarter calculations.

(Source: FTS, www.reliefweb.int/fts)



Several operational organizations mentioned difficulties with the time-lag between commitment or pledge date and the actual disbursement of funds. Because of the configuration of FTS previously mentioned, it was not possible to undertake a comprehensive analysis of this issue, however, FAO provided interesting information that illustrates this point. (See Annex I.)

In addition to timeliness, flexibility of funding is another one of the key goals of the Good Humanitarian Donorship initiative. An analysis of cash and in-kind contributions reveals that in 2003, approximately 67% of contributions inside and outside the Appeal were cash. Thirty-three percent of contributions were in-kind. All of the in-kind contributions were received for Appeal projects and they were all food aid. In 2004, the percentage of cash contributions (76.4%) was slightly higher than in 2003, and in-kind contributions represented 23.5 percent of the total, less than in 2003. As in the previous year, all in-kind contributions were food aid. (See Annex I for detailed breakdowns.)

3.3.2 Allocating Funds in Accordance to Needs Assessments

| Impact Indicator and Sub-Indicators | Baseline Status |
|---|---|
| 2) Donors' and agencies' funding is allocated based on needs assessments | Donors and agencies report that funding is allocated according to needs assessments, but there is a lack of clear evidence regarding the process by which this takes place. |
| <i>a. Standard needs assessment criteria elaborated and accepted for all priority sectors</i> | Standard needs assessment framework only developed and applied in the nutrition sector through the National Nutrition Protocol. |
| <i>b. Donor funding for collection of baseline data, in particular number of beneficiaries (disaggregated by sex) and for needs assessments</i> | No specific examples. Donors generally consider that Agencies' overhead and core funding should fund data collection and needs assessments. |
| <i>c. Joint (i.e. agencies, NGOs, beneficiaries and donors) needs assessments conducted for all priority sectors and results used as basis for CHAP</i> | Joint needs assessments take place regularly in all sectors, although it is not clear if results are used in a systematic way for the CHAP. No central repository with information regarding assessments and main findings. |
| <i>d. Priorities in CHAP fully funded to implementation capacity</i> | No systematic assessment of implementing capacity; no system of matching CHAP priorities to funding. |
| <i>e. x% of funding provided for non-priority sectors</i> | Sectors, activities, and projects are not prioritized in the Appeal. |

Analysis: (a) One of the difficulties in mobilizing new resources is knowing where those resources are most needed. Although partners generally agree that the humanitarian crisis due to on-going conflict is worse in the eastern part of the country, it has become clear that serious humanitarian needs also exist in “neglected” provinces, such as Equateur. These needs are often the result of the destruction and lack of investment in basic social infrastructure, as well as the absence of humanitarian and development partners in remote areas. While almost all agencies and organizations interviewed reported carrying out ad hoc needs assessments or evaluations, there is a dearth of comprehensive and systematized information on recent needs assessments. And although this information may be more readily available at the provincial level, the use of different methodologies and lack of comparative analysis makes it difficult to compare results within and across provinces, or to make comprehensive sectoral analyses. There is no evidence to indicate that assessments are used in a systematized way for developing the CHAP, although agencies certainly use assessments for project development and on-going activities.

The lack of systematized needs assessment information in DRC is not unique and was recognized by donors as an area that needs improvement. The Needs Assessment Framework and Matrix (NAFM), developed by the IASC in collaboration with UN Agencies, NGOs, international organizations and donors, were piloted in Burundi in April 2004 and in DRC in May 2004.¹⁹ As part of the pilot, OCHA commissioned a cross-sectoral study of existing humanitarian needs assessments. The results brought to light the difficulties of compiling meaningful assessment information to inform strategic policy decisions and operational planning. The consultants responsible for the study found a reticence to share information and,

¹⁹ In 2003, the Inter-Agency Standing Committee (IASC), in collaboration with UN agencies, NGOs, international organizations and donors, elaborated a Needs Assessment Matrix to guide the collection, organization, analysis and presentation of humanitarian data, particularly in complex emergencies. The plan is that the matrix be updated twice a year in order to feed into the CAP and Mid-Term Review processes, thus contributing to sectoral plan development and prioritization of humanitarian activities.

in some cases, suspicion about how the results would be used. Much of the information was outdated and did not include desegregation of data by sex, age, or other distinguishing factors. Overall, the report was highly descriptive and not considered useful. The NAFM was more comprehensively piloted in the health sector and included an analysis of interviews, 95 documents, and results of field visits in provinces. Despite high expectations, particularly among operational agencies, the health assessment report from DRC presented at the July 2004 GHD meeting in Kinshasa presented an overview of some of the practical difficulties/complexities of the needs assessment framework and concluded that the NAFM was considered unrealistic by many partners.²⁰ A major concern was that the format was too detailed and therefore not possible to fill in within a reasonable timeframe. However, there was general agreement that a standardized framework and a central repository or joint database with readily available needs assessments are required.

Within the health sector, the use of SMART²¹ indicators is strongly encouraged by USAID and the Canadian International Development Agency (CIDA) and form part of their guidelines for NGO project proposals and reporting. However, the use of the SMART indicators is not mandatory for funding. A National Nutrition Protocol has been elaborated for the nutrition sector by the National Program on Nutrition, but no similar protocols exist for needs assessments for other sectors. WFP reports that it uses its own standard needs assessment format that has been adapted to the Congolese context. Finally, it should be noted that several operational organizations have initiated or are planning activities aiming at improved and more standardized needs assessments, including OCHA, UNAIDS, WHO, and UNFPA.

(b) Donors do not have experience in directly funding assessments and data collection directly and most consider that preparation of baseline data should be covered by organizations' overhead/core funding. At the same time, donor support for the Emergency Humanitarian Interventions (EHI) fund administered by OCHA has been strong and EHI serves as a flexible tool to fund rapid needs assessments, including baseline data collection. Other donors reported that they would have no objections to funding assessments, but they have never received specific requests. Generally donors do not question the quality of the assessments on which funding requests are based. Gender-disaggregated data are generally not available or presented in project proposals, reports, or studies.

(c) Joint needs assessments are common and considered positively by donors, although no donor reported that it specifically requires them as a basis for funding. Planning and scheduling of joint assessments are carried out in each province as needs arise.²² Reports are shared among partners at the field level, but there are no formal mechanisms for passing on these reports to

²⁰ Dr. Johan von Schreeb and Dr. Markus Michael (2004), "Joint Assessment of Health Status and Health System Among Crisis Affected Populations in the Democratic Republic Of Congo (DRC)," WHO.

²¹ The SMART – Standardized Monitoring and Assessment of Relief and Transitions – initiative was launched in 2002 by USAID and State/Bureau of Population, Refugees and Migration (PRM) in collaboration with CIDA to meet donor reporting needs using benchmark indicators and provide improved data for informed decision-making. SMART uses two main indicators: crude mortality rate and nutritional status of children under-five.

²² OCHA Humanitarian Affairs Officers stationed in the provinces reported that no standard assessment forms or methodologies are used for inter-agency needs assessments (with the exception of several organizations in Kalemie Province). It is usually the responsibility of focal points/lead agencies to write the evaluation of each sector and OCHA compiles the separate documents into a single report and is responsible for distribution.

stakeholders in Kinshasa (or Goma) or other organizations that do not participate in the assessments.²³

(d) Operational organizations and donors do not have a systemized way of assessing the implementation capacity of operational humanitarian organizations. While some donors have established capacity assessment frameworks for NGOs, the frameworks are often general and do not necessarily analyze a particular NGO’s capacity for carrying out humanitarian activities in DRC. Based on the subjective assessments of implementing organizations’ capacity, some resource persons expressed concern that the international non-governmental organizations (INGOs) actively involved in the East have overstretched their capacities – often because of too many demands from donors and UN organizations.

(e) Priority sectors and specific priorities within sectors are not established in the 2004 Appeal. In terms of the breakdown of funding by sectors, some sectors are obviously funded better than others as indicated by the chart in Annex I. Unfortunately, a general sectoral breakdown might obscure important regional priorities and potential gaps in funding. Thus, while overall support for a specific sector, such as agriculture, may be reported as adequate on a national level, this does not ensure that resources are distributed satisfactorily throughout the country or where the greatest needs exist. Nor does it provide information about the timing of resource allocation, which is more crucial in some sectors than others (i.e. agriculture because of planting season, education because of the pre-determined beginning of the school year, food because of lead times for bringing stocks to the country, etc.).

3.3.3 Strengthening of Local Capacities

| Impact Indicator and Sub-Indicators | Baseline Status |
|--|--|
| 3) <i>Local capacities strengthened</i> | No reliable baseline data. |
| a. <i>x capacity building activities for local NGOs and local institutions included in CHAP and funded by donors</i> | Not possible to determine the extent to which capacity-building activities/components given priority within projects or specifically funded by donors. |
| b. <i>Local capacity component increasingly included in agencies’ and NGO’s programs</i> | “Local capacity building” was a distinct sector in the 2003 Appeal, but not in 2004. |
| c. <i>x activities handed over to local authorities and local NGOs for implementation by December 2005</i> | No examples found for 2004. |

Analysis: While some examples of capacity-building activities for NGOs and local institutions engaged in humanitarian activities were found in the 2004 Appeal and as objectives in the 2004 CHAP, there is little evidence that this is a significant priority for donors or agencies themselves. A thorough review of the 2004 Appeal projects revealed that six UN Agencies and one local NGO included local capacity-building as a specific objective or activity in their projects—

²³ Concerns about joint needs assessments and how they are used were raised in relation to the inter-agency common assessment of sex- and gender-based violence that was conducted in seven provinces in 2003. The results were jointly presented to donors, but the excessive and individual funding requests were confusing for some donors. In addition, many of the national partners who participated in the assessment were not invited to make funding requests for their organizations. In effect, although a joint assessment was conducted, there was no clear joint response proposed.

all but two of the projects received funding. In addition, some of the Response Plans (health, coordination, water and sanitation, economic recovery, disaster management, and protection, human rights and rule of law) in the CHAP mention strengthening/reinforcing local capacity as a general objective, but often in very vague terms and as one of a long list of non-prioritized objectives.

In spite of positive donor response to projects with local capacity-building components, most donors expressed reluctance to fund local organizations directly because of accountability requirements and the alleged lack of skills required for financial management and complex reporting procedures.²⁴ Several resource persons specifically expressed that the local capacity for “taking over” project activities does not currently exist and no concrete examples of handover or longer-term capacity-building projects promoted by donors were identified. There was also a tendency to consider that simply working with local partners as “implementing partners” could be considered capacity-building, rather than a more complex understanding of the long-term strategic goals of strengthening local institutions. The local NGOs interviewed confirmed this view and expressed concern that partnerships mainly center on “delivery functions”. Among the operational UN agencies, some do not even plan for capacity-building with implementing partners, as they consider it to be much more of a development issue – in line with the position of several donors.²⁵

3.3.4 Support to UN Leadership and Coordination

| Impact Indicator and Sub-Indicators | Baseline Status |
|--|---|
| 4) UN leadership and coordination role supported by international community | All organizations interviewed positively evaluated the UN leadership and coordination role. |
| <i>a. Portion of funds from all donors available for coordination activities</i> | Six donors have funded two Coordination and Support Services projects in the 2004 Appeal, which represents 6.6% of all Appeal funds received. |
| <i>b. Portion of funds from all donors available for security activities</i> | Not all donors provide support for common security services for the humanitarian community. According to the FTS, Canada, Sweden and the United Kingdom supported security activities in 2003 and 2004. In 2004, the security sector represented 0.6% of all Appeal funds received. |
| <i>c. Coordination component included in all project reports</i> | According to donors, coordination is not included in a systematic way in project report formats. |
| <i>d. % of coordination costs agreed to in CHAP are funded on time.</i> | No costs are included in the CHAP, thus the indicator cannot be measured. However, 56.7% of total Appeal funds received for coordination in 2004 was received in the first quarter. |
| <i>e. Heads of UN agencies participate in drafting of common strategy</i> | Participation and quality and quantity of input varies. |

Analysis: Almost 100% of the coordination funding requests in the 2003 Appeal were covered, while only 88% of 2004 requests were covered, with support from Belgium, Canada, the

²⁴ No donors mentioned an issue that has been highlighted in other studies, namely conflict with the impartiality requirement.

²⁵ ECHO’s health activities include funding of local health committees, which over time are expected to strengthen local capacities and eventually lead to self-sustained local health care structures. However, ECHO’s funding for local health structures is considered as development assistance by many.

Netherlands, Sweden, the United Kingdom, and the United States.²⁶ However, the sector included five projects, of which only two received funding (both OCHA projects). One of these projects, Emergency Humanitarian Interventions (EHI), received more than US\$ 3.0 million against a request of US\$ 1.2 million. Many other Appeal projects contained coordination components, but it is not possible to identify the exact amount of resources requested for coordination in the budgets presented in the project proposals. Recognizing the need for coordination in the nutrition sector, OFDA/USAID has provided funds to UNICEF and WHO in DRC for specific coordinator positions. The WHO Emergency Coordination Unit in DRC with staff in Kinshasa and Goma also receives funds from Finland. The funds have i.a. allowed WHO to participate in weekly coordination and information meetings and joint needs assessment missions.

One UNSECOORD project for security was included in the 2003 Appeal and the 2004 Appeal. In 2003 only 17% of the requested funds were provided by donors, while in 2004, 64% of requested funds were provided by Canada, Sweden, and the United Kingdom. The FTS did not record any funding for security outside the Appeal for 2003 and 2004. ECHO's 14-point system does not include "security" as a specific search parameter and donors' websites do not provide further information regarding funding for security activities.

Although the UN leadership and coordination role was generally perceived as positive, it should be noted that no efforts have been made recently to support the establishment and functioning of an international NGO platform or regular donor coordination meetings. Although NGOs (one rotating representative) and donors (two representatives—USAID and ECHO) are represented in the Humanitarian Advisory Group, no mechanisms exist to ensure that there is multi-directional feedback/reporting between the representatives and the larger groups.

3.3.5 Reduction of Earmarking

| Impact Indicator and Sub-Indicators | Baseline Status |
|--|--|
| 5) <i>Earmarking is reduced</i> | Increasing use of instruments such as framework agreements which leads to more unearmarked funding. |
| a. <i>Percentage of funds pooled at country level</i> | Less than 3% of 2004 Appeal funding pooled at country level (Emergency Humanitarian Interventions). New funding pool for emergencies (Rapid Response Fund) being successfully piloted from October 2004. |
| b. <i>Percentage of funds agencies bring to country from donors unearmarked at the HQs level</i> | Relatively few agencies provided information about core funding and unearmarked funds, and never as a percentage of total funds. |
| c. <i>Percentage of funding at less specific level of earmarking, at least at organizational level</i> | Framework agreements increasingly used by donors for both NGOs and UN organizations. However, due to the nature of framework agreements, it was not possible to identify specific information for DRC. |

Analysis: Due to administrative limitations in the donor countries, as mentioned specifically by the United States, Belgium, Canada, and Sweden, most countries cannot support common funds,

²⁶ In 2004, significant non-Appeal funds (44% of total funding) were received for coordination and support services.

unless certain conditions are met, such as one agency being accountable to donors.²⁷ Two notable exceptions are the Emergency Humanitarian Interventions (EHI) and the Rapid Response Fund (RRF). In the case of the EHI, OCHA manages the fund in collaboration with the HC and the UN Country Team, and with the participation of ECHO and OFDA. In 2003, the EHI received US\$ 600,000 that was used to fund 25 humanitarian activities, including joint assessments. In 2004, the EHI project received US\$ 3,046,932 from Sweden (17%) and the United Kingdom (83%)—more than double (247%) the original request of US\$ 1.24 million. Still, it should be noted that out of the total funding, this constitutes less than 3%. As of October 2004, 15 organizations (INGOs, UN organizations, and the Ministries of Health and Humanitarian Affairs) had implemented 21 EHI-funded activities, including air transport for humanitarian actors and cargo, reinforcement of security in an IDP camp in Bunia, the rehabilitation of infrastructures for humanitarian access, and joint needs assessments. Another unearmarked fund, the Rapid Response Fund, was piloted in October 2004. US\$ 6.5 million has been made available to the fund (approximately 85% from DFID) and is being administered by UNICEF and OCHA. Initial evaluations of the fund have been positive and it is expected that its geographical coverage will be extended when the RRF continues after the pilot phase. DFID has indicated that it will continue to support both the EHI and RRF in 2005.

During interviews with implementing organizations, the team attempted to assess the level of core funding and other unearmarked funding, but the interviewed resources persons could not indicate these amounts. The follow-up electronic questionnaire sent to UN agencies in September 2004 specifically requested information about core funding. Only UNDP, UNFPA, and UNSECOORD reported receiving core funding in 2004, however none of them indicated if this funding was earmarked or unearmarked. Similarly, donor responses to the donor survey conducted in September 2004 did not reveal any information about earmarked vs. unearmarked funds.

Some donors have established or are in the process of establishing framework agreements with select INGOs working in EDRC, such as the Danish International Development Agency (DANIDA) and the Danish NGO Danchurchaid, the Dutch Development Agency and the Dutch NGO Cordaid, and DFID's Partnership Programme Agreements with a number of UK-based NGOs.²⁸ Through these often multi-year funding agreements, NGOs have greater flexibility for planning and implementing activities.²⁹ Some donors mentioned that while they might have an

²⁷ DFID reported that it has advocated for basket funds, but has found very little interest/possibility from other donors to participate in such arrangements.

²⁸ The framework agreements are approved based on a number of conditions, including the NGOs' obligation to undertake advocacy activities and inform the public in general about their activities. While most NGOs holding framework agreements with donors such as DANIDA and SIDA use the major part of their funding for development activities the advocacy activities are primarily concentrated on humanitarian issues.

²⁹ Many donors have also established similar agreements with UN organizations, including the Netherlands and UNHCR, OCHA, and UNIFEM. Another example is DFID that has developed three-year Institutional Strategies with 25 multilateral organizations, including UNIFEM, WFP, WHO, UNHCR, UNDP, FAO, UNFPA, UNICEF, and the ICRC. Still, while framework agreements might mean "soft earmarking" in terms of organizations and activities, some donors, e.g. OFDA, have restrictions in terms of what goods can be purchased and from where. This practice ties part of the funding in the agreements. Also, some donors are providing funds to agencies that are either earmarked for specific project activities or have the characteristics of core funding. These funds fall in the area that some agencies term "soft earmarking", i.e. somewhat flexible funding based on major themes, strategies and outputs rather than on projects and program, per se, and as such entails some flexibility. Some "soft earmarked"

overall policy of moving towards unearmarked funding, implementing organizations often call for earmarking for specific countries. Furthermore, while some donors might provide flexible or “soft earmarked” funding, the same donors might require comprehensive reporting with detailed information on the use of the funds, which could have the same effect as earmarking in terms of reduced flexibility.

3.3.6 Longer-term Funding Horizons

| Impact Indicator and Sub-Indicators | Baseline Status |
|--|---|
| 6) <i>Funding is made available on longer-term basis</i> | The majority of humanitarian contributions are limited to short-term interventions. Nevertheless, many development activities with time spans beyond one year include some type of humanitarian activities. |
| a. <i>x % of agencies funded on multi-year basis for priority activities</i> | No evidence of multi-year funding or commitments for humanitarian activities. |

Analysis: Despite the lack of a common definition of humanitarian assistance vs. development activities, donors generally agreed that humanitarian budgets are time-limited (six to 18 months), with no carry-over options but with possibilities of granting extensions for already funded projects. Some donors mentioned that they fund the same humanitarian activities for consecutive years, although based on new project proposals each year. Multi-year framework agreements, however, allow for longer-term planning. Finally, while humanitarian funding sources do not allow or promote longer-term funding commitments, many development programs do actually include activities that may be considered as humanitarian activities.

3.3.7 Connectedness of the Assistance

| Impact Indicator and Sub-Indicators | Baseline Status |
|--|---|
| 7) <i>Recovery and long-term development is linked to humanitarian programs</i> | In general, humanitarian activities are not comprehensively linked to recovery and development, in part due to uncertainty regarding “transition” funding. |
| a. <i>Priorities identified in CHAP given adequate consideration in the World Bank’s Poverty Reduction Strategy Paper (PRSP)/United Nations Development Assistance Framework (UNDAF)</i> | The 2003-2005 UNDAF includes Consolidated Appeals as an important component. PRSP still under development. |
| b. <i>Development programs in place to encourage durable solutions for refugees and IDPs</i> | Development programs given less priority due to extensive life-threatening humanitarian needs among IDP and refugee populations. |
| c. <i>Extent to which needs are assessed based on vulnerability</i> | OCHA has advocated for applying vulnerability as basis for humanitarian assistance. The approach would lead to inclusion of “non-crisis” areas (outside EDRC) in humanitarian programs, which is not readily supported by most donors |

Analysis: The 2003-2005 UNDAF includes the Consolidated Appeals as a key component, although a clear strategy for linking development and humanitarian activities is not presented. While the inclusion of the Appeals in the UNDAF can be seen as positive, interviews with

funds are provided with an expected understanding – but not written agreement - of what can be funded and what cannot.

donors and operational organizations in Kinshasa clearly demonstrated that there was limited knowledge about the UNDAF and the linkages have never been explained or operationalized. While the consultants were in Kinshasa at the time the Common Country Assessment (CCA)/UNDAF for 2006-2011 was being finalized, it was unclear how the development framework would address humanitarian priorities. It was not possible within the scope of the baseline survey to analyze all development programs and projects in DRC and the team was not able to identify relief projects with clear links to development ones.

Many donors expressed reluctance to fund humanitarian assistance to areas that are not directly characterized as crisis areas, i.e. outside of EDRC, which limits the opportunities for addressing many of the long-term concerns related to IDPs, refugees, and other vulnerable populations in the rest of the country. Many donors do not use needs assessments and vulnerability analyses in a systematic way for funding decisions.³⁰ OCHA has tried to advocate for applying vulnerability as a basic criterion for humanitarian assistance because large populations in areas that are not directly affected by the armed conflict (i.e. Western and Central DRC) are often extremely vulnerable. However, as mentioned, several major donors are reluctant to intervene in non-crisis areas, leaving large groups of vulnerable populations in dire need. As part of the preparatory activities for the PRSP, a comprehensive risk and vulnerability analysis has recently been finalized and this could lead to increased focus on vulnerable populations in non-crisis areas.

3.3.8 Overall Donor Participation in Funding the Appeal

| Impact Indicator and Sub-Indicators | Baseline Status |
|---|--|
| 8) <i>Funding requirements for assistance effort is shared equitably among donors (does not apply to country pilots but rather to the global level)</i> | Two donors provide over 50% of total humanitarian funding and six donors provide more than 75% in 2004. |
| a. <i>More donors providing funding, including x new (non-traditional) donors</i> | The number of Appeal donors has increased from 9 in 1999 to 19 in 2004. Non-traditional HA donors such as China and South Africa may consider humanitarian funding, but there is no concrete evidence that new donors are putting plans into action. |

³⁰ One exception is ECHO and its annual global needs assessment, which forms the basis for the yearly overall HA planning exercises, as well as for each country where ECHO intervenes. Still, in DRC, ECHO is only intervening in areas directly affected by the crisis and is focusing on health, irrespective of the vulnerability levels among populations in other regions.

Analysis: According to the data on total humanitarian assistance reported in the FTS, most humanitarian funding in DRC is provided by a limited number of donors. In 2004, two donors (the United States and the European Commission) provided more than 50% of the total funding in DRC, as compared to four donors for all CAP countries. Six donors (the United States, the European Commission, UN agencies³¹, the United Kingdom, Belgium, and Canada) provided more than 75% of humanitarian funding, the same number as for all CAP countries. As with other CAP countries, after accounting for the top two donors, all other donors provided significantly less funding, ranging from less than 0.1% to 7.6%. A majority of these donors provided less than 1% each of total humanitarian resources. It is worth noting, however, that the number of donors to the Appeal has increased steadily—from nine in 1999 to 19 in 2004.

3.3.9 Application of Good Practices

| Application of Good Practices | |
|--|---|
| 9) <i>Established good practices are adhered to by humanitarian implementing partners</i> | Reported adherence, but few concrete examples provided. |
| a. <i>Sphere Project guidelines applied to CAP programs</i> | Adherence to Sphere Project guidelines not a criterion for project inclusion in 2004 Appeal. |
| b. <i>Basic humanitarian principles included in all humanitarian programs</i> | Importance of basic humanitarian principles included in 2004 CHAP, including ICRC’s Code of Conduct and the Humanitarian Charter on minimum standards; however reference to humanitarian principles does not necessarily inform about the operationalization of the principles. |
| c. <i>IDP country programs are consistent with and promote the Guiding Principles for Internal Displacement</i> | No IDP strategy or system-wide IDP country programs. Training activities undertaken to promote Guiding Principles as part of on-going humanitarian activities in the provinces. |
| d. <i>Donor participation in the elaboration of a common humanitarian framework guided by Good Humanitarian Donorship principles</i> | Not possible to quantitatively assess donor participation in CAP 2004 preparatory activities and whether it was guided by GHD principles. |
| e. <i>All partners (NGOs, UN agencies, donors, govt) participate in drafting a common humanitarian strategy and implement projects in accordance with the strategy</i> | Although many partners participate in drafting of strategy, few were able to express how strategy guides overall humanitarian programs or implementation of projects. |

Analysis: During interviews with INGOs, many expressed that the Sphere Project guidelines are considered as ultimate objectives, rather than implementing guidelines. Some INGOs expressed concern that Sphere criteria are often higher than the general standards in the country and that applying higher standards might lead to increased conflicts in communities where the entire population might not benefit from a project. Some INGOs were also concerned that donors are not prepared to provide the amount of funds necessary to apply Sphere Project standards, and that they do not “reward” adherence to internationally recognized standards such as Sphere Project. While adherence might be encouraged, it has no influence on funding decisions. During the baseline survey, none of the interviewed resource persons questioned the limited attention given to issues such as gender equality or environmental considerations in the Appeals or other humanitarian projects or strategies.³² Furthermore, when asked about requirements for specific

³¹ While UN agencies may not be considered “donors” as such, they did provide US\$ 16,477,154 or 7.6% of total reported humanitarian funds in 2004.

³² USAID’s Guidelines for Project Proposals and Reporting for HA funding (2004) recognize that while minimum standards should be encouraged reaching them is not always possible.

cross-cutting issues, such as gender and environment, most donors referred to their agencies' overall development policies that include these issues, but could not detail how these policies guide decision-making at the field level.³³

The 2004 Appeal highlights the importance of a rights- and responsibility-based approach and endorses the primary principles of the Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief. The Appeal also acknowledges the importance of adhering to the Humanitarian Charter and Minimum Standards in Disaster Response. Finally, the Appeal points out that all humanitarian actors will uphold the core principles outlined in the Principles of Engagement for Emergency Humanitarian Assistance in the DRC to ensure that humanitarian programs are implemented in accordance with the highest international standards. However, no monitoring mechanisms are in place to ensure that the application of basic humanitarian principles is included in all humanitarian programs.

As mentioned in the 2004 Appeal, no country-wide IDP strategy or IDP country program exists for DRC, although OCHA DRC has established an IDP Unit for promoting an IDP focus in humanitarian programs. In 2003 and 2004, the OCHA IDP Unit and the Norwegian Refugee Council (NRC) provided training in various provinces in EDRC for national and international NGOs using IASC training modules. OCHA also responded to special requests to sensitize local journalists, military and police commanders, and NGOs. A total of 16 projects presented in the 2004 Appeal explicitly address the needs of IDPs. The total amount requested for these 16 projects amount to US\$ 59 million, of which 64% was met by pledges, contributions, and carry-over by November 2004. Seven projects addressing IDP issues had not received any funding, including a UNFPA project “Development of a model of data collection specifically designed for IDPs identification” that particularly addresses some of the data collection concerns for this indicator.

According to available records, fifteen donors were invited to participate in the preparatory workshops (June 2003 in Goma and September 2003 in Kinshasa) for the 2004 Appeal but only a few assisted. It is not possible to assess the impact or quality of this participation because it is not known if/how donors participated further in the development of the CHAP and the sectoral response plans.

3.3.10 Promotion of Humanitarian Access

| Impact Indicator and Sub-Indicators | Baseline Status |
|--|--|
| <i>10) Safe humanitarian access is promoted</i> | Most donors and implementing organizations involved in projects to improve humanitarian access. OCHA active in advocacy activities for increased humanitarian space. |
| <i>a. new areas accessed and jointly assessed by humanitarian agencies/x% of vulnerable population safely accessible by humanitarian workers</i> | No information about new beneficiaries or estimates of accessible vulnerable populations included in CAP 2004. |

³³ A review of the guidelines for NGO projects for USAID, ECHO, and Belgium showed that gender mainstreaming and environmental considerations should be taken into account when possible. CIDA requires that all humanitarian projects comply with the Canadian Environmental Assessment Act, unless the situation calls for the requirement being waved. Guidelines for other donors were not provided and were not available on donor websites.

| Impact Indicator and Sub-Indicators | Baseline Status |
|---|---|
| <i>b. x% of new beneficiaries accessing humanitarian assistance</i> | Ibid. |
| <i>c. Outreach strategy articulated jointly with donors</i> | Donors do not have jointly articulated access strategies nor is there a commonly accepted set of access priorities. |

Analysis: During discussions with Heads of Provincial OCHA Offices, participants expressed that not all humanitarian actors have the same understanding of access and security. Although OCHA created a map of humanitarian access in May 2004, there are no systematized analyses of how access has changed during 2004 or how it specifically affects humanitarian operations or the number of beneficiaries accessible. MONUC and UNSECOORD both have a role in providing security information and assessing access. MONUC, however, often has greater logistic means for assessing difficult areas. More information should be gathered about how the issues of access and security play out in the provinces and the potential role of donors in articulating outreach strategies.

3.3.11 Support to Contingency Planning

| Impact Indicator and Sub-Indicators | Baseline Status |
|---|---|
| <i>11) Contingency planning is supported by donors</i> | No funding shortages for contingency planning observed. |
| <i>a. Programs exist and funding available for quick-dispersement of stocks/staff</i> | No overall coordinated strategy for contingency planning. Numerous, but uncoordinated, contingency measures put in place by donors and implementing organizations, including quick dispersement of goods and staff. |

Analysis: There is no overall national coordinated strategy for contingency planning that outlines the roles and responsibilities of different actors in rapid-onset or man-made emergencies. Contingency plans for North and South Kivu were updated in November 2004 and updates of plans for other provinces have been programmed. Many implementing organizations (UN and NGO) have contingency plans and have received donor support to pre-position stocks in crisis areas that can be mobilized immediately in response to new crises. Furthermore, many organizations (WFP, UNICEF, UNHCR, ECHO, USAID and DFID) have Rapid Response Teams for quick deployment in case of new emergencies.

Some donors, e.g. USAID, can call on organizations they already fund in an area near a new immediate crisis to use their on-going project funds to address emergency needs. Other donors retain part of their yearly budget for emergencies and can normally respond to catastrophes within 48 hours with limited amounts, e.g. France can authorize up to Euros 100,000 for immediate release. Many donors have established simplified procedures for funding NGOs from their countries in case of emergencies, e.g. the Swedish International Development Agency (SIDA) can approve funds for Swedish NGOs within 24 hours. Likewise, several country representatives of UN organizations have been authorized to spend up to a pre-determined amount to respond to a rapid-onset emergency. The Representative of WFP, for instance, can spend US\$ 200,000 on emergencies, which will be fully justified later.

The implementing organizations did not report specific problems, such as funding shortages, related to contingency planning, although several organizations called for a more harmonized

approach. This is, in fact, in line with the objectives of the Regional Contingency Planning Process for the Great Lakes Region, although the effectiveness of this initiative was questioned by several participants.

The Emergency Humanitarian Interventions fund coordinated by OCHA is also designed to respond to emergencies, although some humanitarian partners expressed that the mechanism is not always efficient for rapid deployment of funds. A new OCHA/UNICEF managed Rapid Response Fund (RRF) has been developed to allow for responses within 48 hours for emergencies in EDRC. An initial pilot phase of six months was launched in October 2004 with funds from DFID (2.5 million pounds).

3.3.12 Use of Military Assets

| Impact Indicator and Sub-Indicators | Baseline Status |
|---|---|
| <i>12) Military assets are used appropriately</i> | Humanitarian organizations rely on MONUC's logistical support and many use transport facilities. This dependence raises issues about neutrality and independence of humanitarian actors. |
| <i>a. Regular coordination meetings held between MONUC (civil and military affairs) and the international humanitarian community</i> | MONUC participates in weekly HAG meetings and weekly information meetings organized by OCHA in Kinshasa. Joint coordination meetings are also held at the provincial level. |
| <i>b. Clear understanding of MONUC support of humanitarian activities articulated</i> | Most donors and implementing organizations understand and appreciate MONUC's role in providing logistical support (cargo and humanitarian transport). Other activities (leadership and coordination, negotiating access, joint assessments) at the provincial level sometimes overlap with OCHA/UN roles and understanding is less clear. |
| <i>c. Use of military assets for humanitarian interventions in conformity with international humanitarian law and the Military and Civil Defense Assets (MCDA) Guidelines</i> | Time constraints and competing priorities prevented the team from systematically exploring this area, and therefore no firm conclusions were reached. |
| <i>d. Clear understanding exists of terms of interaction with domestic armed forces and any other armed groups</i> | Both OCHA and MONUC negotiate access with local armed groups in EDRC as needs arise. |
| <i>e. MONUC agenda for Disarmament, Demobilization and Reintegration (DDR)/Disarmament, Demobilization, Repatriation, Resettlement and Reintegration (DDRRR) is coordinated with common humanitarian strategy</i> | MONUC participated in CAP 2004 activities, but its strategy for DDR/DDRRR is not coordinated with the common humanitarian strategy. |

Analysis: All donors recognized MONUC's role in providing security, logistical support, and information to the humanitarian community. However, some donors and operational organizations expressed ambiguous opinions regarding MONUC's involvement in activities such as Quick Impact Projects (QUIPS).³⁴ They felt that QUIPS could make it difficult for local populations to distinguish between humanitarian assistance and activities closely linked to peace-

³⁴ MONUC launched the QUIPS program in 2001 to facilitate the organization's access to local communities through small-scale projects such as rehabilitation of local infrastructure. According to MONUC's website, QUIPS have covered the following areas: education, health, environment, agriculture, public infrastructure rehabilitation, human rights, erosion control, income generation, and support for vulnerable groups.

keeping operations. In June 2004, for example, incidents of violence and anti-UN demonstrations erupted in several areas in the country and no distinction was made between MONUC peacekeepers and the humanitarian community. Some implementing organizations also felt that negotiation of access to vulnerable populations should be led by UN humanitarian actors, specifically OCHA. This issue is particularly sensitive at the provincial/local levels.

According to the MCDA Guidelines from 2003, MCDA should only be requested and employed by humanitarian organizations “in the absence of any other available civilian alternative to support urgent humanitarian needs in the time required.” In DRC, the MONUC logistical network is used for a number of purposes, including transport of humanitarian personnel to locations where other safe transport does not exist. This has caused some problems, given that UN and NGO staff do not have priority for passenger transport. WFP presented a request to donors to support a humanitarian air transport service in October 2004, partly as a result of these difficulties. The MCDA Guidelines also state that “while military assets will remain under military control, the operation as a whole must remain under the overall authority and control of the responsible humanitarian organization.” The baseline survey could not establish the degree to which this guiding principle is actually adhered to.

A representative from MONUC’s Humanitarian Affairs Section participates in the weekly HAG meetings in Kinshasa composed of senior officials from UN humanitarian organizations and key donors. Furthermore a MONUC staff member provides a security briefing at the Friday information meeting in Kinshasa organized by OCHA for HA actors (UN organizations, national and international NGOs, and donors). Representatives from MONUC’s Humanitarian Affairs Section participated in the CAP 2004, including the scenario-building exercise for the CHAP. However, according to MONUC, the CHAP is not used for planning purposes within the Humanitarian Affairs Section of the organization.³⁵

3.3.13 Performance Assessment

| Impact Indicator and Sub-Indicators | Baseline Status |
|--|--|
| <i>13) Evaluate performances</i> | CHAP does not include an overall monitoring and evaluation framework and generally no standard evaluation criteria are applied when ad hoc evaluations are undertaken. |
| <i>a. Standard evaluation criteria (linked to needs assessment criteria) for impact elaborated for x sectors (including IDPs) and evaluation(s) undertaken</i> | Evaluations undertaken on an ad hoc basis with no use of standard evaluation criteria for most activities. |
| <i>b. x% of humanitarian activities evaluated based on standard criteria</i> | No systematized information on evaluations undertaken during 2004. |

Analysis: According to the resource persons interviewed, evaluations and project monitoring of humanitarian activities are generally undertaken on an ad hoc basis, mainly due to lack of human and institutional resources in Kinshasa. Sporadic field visits and project reports are the most common assessment tools. Most donors have specific reporting requirements for funded humanitarian projects, however, some reports are prepared by the field offices and submitted by

³⁵ This disarticulation between the CAP/CHAP and general planning is not specific to MONUC, as many donors and NGOs admitted that they do not use the common humanitarian strategy as a basis for their planning exercises.

the HQs of the operational organizations directly to donor capitals. Several program officers in Kinshasa (operational organizations and donors) mentioned that they do not always receive final copies of the reports and thus do limited “quality control”.

Although each year’s Appeal includes a review of the preceding year, the assessment is very general. Furthermore, the monitoring framework in the 2004 Appeal does not facilitate systematic monitoring and evaluation and the use of indicators, objectives, outputs, etc. For each sector, for instance, there is a long list of objectives followed by a long list of indicators but with no clear link between specific objectives and indicators, or reports on results from the previous year. In most sectors, the working groups do not meet on a regular basis throughout the year, further contributing to the lack of overall monitoring and evaluation activities.

3.3.14 Timely Reporting of Contributions

| Impact Indicator and Sub-Indicators | Baseline Status |
|--|------------------|
| <i>14) Report contributions in timely and accurate fashion</i> | See indicator 1. |
| <i>a. All contributions reported to the FTS in a timely and accurate fashion</i> | See indicator 1. |

4 Conclusions and Recommendations

4.1 Conclusions

While many humanitarian actors in DRC were unaware or poorly informed about the GHD pilot, there is strong interest in this initiative and the potential for increased participation of DRC-based donors and agencies is widely recognized. However, unless there is a clear and shared understanding regarding the key objectives of the pilot and a full engagement and participation of resident donors and agencies, the pilot is bound to fail. Establishing a set of performance indicators to measure the potential outcome of this pilot has been a useful first step, but the current list is too lengthy and plagued with definitional issues and lack of clarity regarding how the indicators are related to the perceived pilot objectives. The current list of performance indicators must therefore be revisited and tailored to a logical framework approach that clearly links the indicators to established and measurable objectives. Such a framework must be agreed to by all key actors and should then be used to guide the initiative’s activities and maximize its impact.

It is difficult to develop accurate profiles of funding within and outside the Consolidated Appeal. Nevertheless, these profiles are key for analyzing funding flows, improving strategic planning, and ensuring that adequate resources are available to respond to humanitarian needs. The current lack of a uniform definition of humanitarian assistance and the fact that the voluntary information presented to OCHA’s Financial Tracking System (FTS) is often incomplete, late, and even contradicts information available from donor websites, ECHO’s 14-point reporting system, or donors or UN Agencies themselves makes any accurate reporting and analysis difficult, if not impossible. These are issues that must be addressed in order to allow for a rigorous assessment of the pilot’s successes or failures.

The timeliness and response to the appeal have improved in recent years but it may be too early to establish a clear trend. In 2004, all of the 19 donors reported in the FTS provide part of their funding in response to Appeal requests, although the Appeal is clearly not the primary channel for humanitarian funding. In fact, 55% of funding in 2004 was provided through the Appeal (compared to 64% in 2003). The two largest donors, the United States and ECHO, channeled 51% and 21%, respectively, of their total funding through the Appeal.

Funding decisions remain centralized at the donor capital level, though usually based on consultations with staff from the donor agencies' representations in DRC. Similarly, project reports are often handled between agencies' HQs and donor capitals, with little involvement from staff on the ground. Several donors have attempted to reduce earmarking and thereby increase flexibility for implementing organizations, although mechanisms that use "soft earmarking" might increase the preparatory and administrative burden on the implementing organizations and result in "hidden earmarking," for instance, through increased reporting requirements.

The UN's leadership in humanitarian assistance is recognized by all humanitarian actors and donors have shown increased commitment to fund and participate in OCHA's coordination activities. Donors also recognize the need for funding security activities and increasing the humanitarian space, although few have a clear strategy on these issues or have participated in joint advocacy activities. The role of the UN Peacekeeping Mission in DRC (MONUC) in providing security information and logistical support to humanitarian partners is acknowledged by donors. Nevertheless, MONUC's mandate to "coordinate humanitarian action, mobilize resources, advocate for victims, undertake humanitarian negotiations and lead joint assessment missions" is not always clearly understood by donors or operational agencies, particularly in relation to OCHA's role in coordination and leadership.

Many of the GHD principles reflect experiences accumulated from several decades of international cooperation in humanitarian assistance or development cooperation. This is expressed, for instance, in the call for strengthening local capacity, basing decisions on standardized needs assessments, applying internationally recognized standards, including gender mainstreaming and sound environmental management, promoting coordination and harmonization of humanitarian strategies, preparing adequate contingency plans, and encouraging organizational learning and accountability. These priorities seem, however, to be less of a concern or priority for humanitarian donors in DRC. With few exceptions, the active and year-round participation of donors in the development and promotion of common humanitarian strategies, including sectoral strategies, has been limited.

In general, the split between the humanitarian assistance and development cooperation, while recognized as artificial by many humanitarian actors, seems to be strong and few efforts have been undertaken to promote clear links between the two. Time restrictions on funding for humanitarian assistance are also a factor that limits longer-term planning and harmonization with development strategies.

4.2 Recommendations

4.2.1 Implementation of the Pilot

As described throughout this report, the GHD pilot was not well-known amongst the key stakeholders in the country, despite previous efforts to disseminate information, and no activities or follow-up had been concretely discussed or programmed at the time of the baseline survey. The conclusions and other information from the baseline survey provide important initial insight into donor funding and behavior, as well as indications of how to move forward. This section suggests concrete actions that should be taken by donors, UN Agencies, and the international community in relation to: 1) the indicator framework, 2) the overall implementation of the pilot, and 3) the final evaluation. These recommended priority actions for donors and humanitarian organizations (UN Agencies and NGOs) will contribute to improving the effectiveness of the pilot and facilitate its eventual evaluation.

Priority Actions for Donors

- The GHD Implementation Group in Geneva should, as a matter of priority, agree on clear objectives for the pilot, along with a) relevant and improved indicators that are clearly linked to each objective (e.g. in the form of a logical framework), and b) step-by-step suggestions for concrete actions to be taken in DRC. This input should be clearly communicated to all involved actors in Geneva, donor capitals, and DRC to ensure a common understanding of expectations and responsibilities. The GHD Implementation Group in Geneva should also agree on steps to ensure ownership of the initiative at the level of donor capitals and in DRC, particularly with the pilot facilitators—the U.S. and Belgium.
- The GHD Implementation Group in Geneva should, as part of the process to clarify the objectives, carefully analyze the indicators, clarify and amend the most important ones, and possibly delete those indicators for which adequate or meaningful data cannot be collected. Furthermore, indicators related to long-term changes in areas where the pilot will have little possibility of making headway because of policy constraints at the donor level (such as time limits for humanitarian funding) should be eliminated.
- Pilot facilitators in Kinshasa should establish a DRC Pilot Group in DRC with the participation of representatives of all major humanitarian actors, including “non-traditional” donors. The pilot group, under the leadership of the pilot facilitators, should use the suggestions of the Geneva Implementation Group to develop a detailed work plan specifying expected outputs, required actions, a plan detailing the responsibility of each stakeholder, reporting mechanisms to all stakeholders, and a timeline.

Priority Actions for Humanitarian Organizations

- In its role as FTS Manager, OCHA Geneva should work with an appointed focal point in OCHA Kinshasa (or the HC/RC’s office) to encourage better CAP and non-CAP financial reporting by donors, UN Agencies and international NGOs during 2005. The

purpose is to better understand how and where resources are being used and contribute to overall strategic planning. This initiative should include the following actions:

- a) Develop and distribute to all appropriate representatives of donors, UN Agencies and NGOs (in DRC and at HQ/capitals level) an explanation of FTS and its importance for the GHD initiative, and a request to collaborate with improved reporting as part of the pilot project;
 - b) Distribute electronically (on a monthly basis) the main FTS financial tables to donors, UN Agencies, and NGOs in DRC and encourage them to work with their HQs/capitals to ensure accurate and timely reporting of contributions within and outside the Appeal;
 - c) Encourage both donors and UN Agencies at the HQ/capital level to report unearmarked donor and Agency contributions.
- OCHA should ensure that the 2005 Mid-Term Review and 2006 Consolidated Appeals Process incorporate GHD principles, particularly standardized assessments and meaningful participation of all stakeholders in the drafting and updating of the common humanitarian strategy. A system for prioritizing projects should also be explored and upheld.
 - OCHA should work closely with the GHD Pilot Group to define essential information needs for funding decisions and strategic planning. This activity would complement OCHA's on-going evaluation and development of an improved humanitarian information management system that will be useful for donors and other members of the international community. Special attention should be given to the establishment of a central repository of regular needs assessments and timely and effective information-sharing/distribution mechanisms.
 - The Humanitarian Coordinator (HC), in close collaboration with OCHA, should explore the possibility of reactivating the permanent donor coordination group to facilitate meetings on a regular basis between donors and UN Agencies. Meetings with ambassadors could alternate with meetings with high-level technical staff/cooperation counselors. When appropriate, meetings should be organized in conjunction with the Government.
 - International NGOs should establish a permanent coordination platform/forum to more actively participate in on-going coordination activities and dialogue with donors and UN Agencies in Kinshasa. A joint forum with donors, INGOs, national non-governmental organizations (NNGOs), national and local authorities, and operational agencies should also be organized to initiate discussions about the assessment of local capacity and possible joint initiatives (to be presented to donors) that focus on capacity-building, meaningful partnerships, and increased involvement and responsabilization of local organizations and authorities.
 - The HC/Resident Coordinator (RC) should identify and seize opportunities to ensure complementarity of GHD principles with upcoming planning exercises, such as the

finalization of the PRSP and CCA/UNDAF, the recently launched Practical Guide to Multilateral Needs Assessments in Post-Conflict Situations (United Nations Development Group), and the use of national studies on risks and vulnerabilities.

- The HC/RC, in collaboration with humanitarian agencies, to identify areas where basket funding would be particularly useful and advocate with donors to contribute pooled/unearmarked funds.

4.2.2 The Indicator Framework

As indicated in the analysis of the baseline status of the impact indicators, there are several concerns with the indicators and sub-indicators in terms of conceptual clarity, level of specificity, possibility for data collection, and relevancy to the main concerns of the GHD pilot. The overarching concern is that the indicators are not linked to any concrete goals or objectives, many of which are expressed in the Principles and Good Practice of Humanitarian Donorship endorsed by the donors during the Stockholm GHD meeting in 2003.³⁶ As such, the indicators measure a wide range of issues, with no logical connections among them that could guide implementation of the pilot or influence donor behavior. The current indicator list is also gender-neutral and a revised list should ensure that indicators are gender sensitive where relevant (e.g. indicator 9).

The following chart recommends changes in current indicators and possible additions to the sub-indicators. These modifications, along with the design of a logical framework with clearly articulated goals, should be made by the Good Humanitarian Donorship Implementation Group in close consultation with OCHA and the GHD DRC pilot facilitators in Kinshasa. In some cases, it may be decided that indicators or sub-indicators should be eliminated.

| Recommendations for the Impact Indicators | | |
|---|--|--|
| | Comments | Changes/Additions |
| Indicator 1: Timeliness and flexibility of donor funding | <ul style="list-style-type: none"> • This indicator is useful to make a general assessment of the flexibility and timeliness of donor funding. However, it is not possible to match funding with specific activities in the CHAP in a meaningful way. | <ul style="list-style-type: none"> • Clarify what is meant by “funding for CHAP activities” or simply refer to the Appeal. • Reporting mechanisms for each donor and receiving agency; • Time lag between pledges/commitments and disbursements; • Cash vs. in-kind contributions; • Funding through framework agreements; • Funding in DRC compared with other countries to determine the impact of new crises in other parts of the world and identify trends. |
| Indicator 2: Funding according to needs | <ul style="list-style-type: none"> • Sub-indicator (d) is difficult/impossible to measure quantitatively or qualitatively. | <ul style="list-style-type: none"> • Number of relevant needs assessments included in new database/central repository; • Criteria developed and applied to sectors or |

³⁶ International Meeting on Good Humanitarian Donorship, Stockholm 16-17 June, 2003, “Principles and Good Practice of Humanitarian Donorship,” www.sida.se/content/1/c6/02/18/82/Meetingconclusions.pdf

| Recommendations for the Impact Indicators | | |
|---|--|--|
| | Comments | Changes/Additions |
| assessments | <ul style="list-style-type: none"> In its present form, sub-indicator (e) does not belong in this section. | projects in the MTR and Appeal. |
| Indicator 3: Local capacities strengthened | <ul style="list-style-type: none"> Although the issue of local capacity building is relevant for the baseline survey, the indicator as such does not adequately reflect the ways in which donor behavior currently does or could influence local capacity-building. | <ul style="list-style-type: none"> Clarify what is meant by local capacity-building activities (implementing partnerships, strengthening, training, hand-overs, etc.); Funding for specific local capacity-building activities (i.e. tease out components in large projects). |
| Indicator 4: UN leadership and coordination role supported by international community | <ul style="list-style-type: none"> The indicator and sub-indicators do not adequately measure how the international community (donors, heads of UN Agencies) support the UN leadership and coordination role. | <ul style="list-style-type: none"> Number of standardized donor project report formats that require reporting on coordination activities; Existence and activities of humanitarian coordination platforms for donors and international NGOs at the national level. |
| Indicator 5: Earmarking is reduced | <ul style="list-style-type: none"> Additional efforts should be made to acquire this information. | -- |
| Indicator 6: Funding available on multi-year basis | <ul style="list-style-type: none"> “Longer-term” is not adequately defined and it is difficult to determine what are “priority activities”. | -- |
| Indicator 7: Recovery and long-term development linked to humanitarian programs | -- | <ul style="list-style-type: none"> Funding for transition activities. |
| Indicator 8: Equitable sharing of assistance among donors | <ul style="list-style-type: none"> The indicator only addresses funding from new “non-traditional” donors, and not participation in CAP and other coordination activities. | <ul style="list-style-type: none"> Number of advocacy efforts undertaken to broaden the donor base in Kinshasa and Geneva; Non-appeal funding by non-traditional donors; Participation in coordination activities, donor fora, common humanitarian strategy and sectoral planning. |
| Indicator 9: Established good practices adhered to by humanitarian partners | <ul style="list-style-type: none"> Indicators are difficult to measure without an extensive study of humanitarian programs/projects of all partners. | <ul style="list-style-type: none"> In addition to “established good practices”, it may be worthwhile to add examples positive experiences with good practices in DRC; Gender mainstreaming and environmental assessment included in project proposal formats by donors as funding criteria; Existence and monitoring of objectives of a common country-wide IDP strategy; Specific activities/publications of OCHA IDP Unit to articulate IDP concerns; Actual participation by all partners (NGOs, UN agencies, donors, Government) in drafting a common humanitarian strategy, participation in sectoral coordination groups at the central and provincial level, and use |

| Recommendations for the Impact Indicators | | |
|---|--|---|
| | Comments | Changes/Additions |
| | | of agreed common humanitarian strategy in individual agencies' planning and project implementation. |
| Indicator 10: Safe humanitarian access is promoted | <ul style="list-style-type: none"> Needs to indicate who should promote safe access | -- |
| Indicator 11: Contingency planning is supported by donors | -- | <ul style="list-style-type: none"> Existence of an overall strategy for contingency planning. |
| Indicator 12: Military assets are used appropriately | <ul style="list-style-type: none"> The indicator should focus on the key issues related to MONUC's humanitarian mandate in relation to the international community—its role in coordination and leadership. | <ul style="list-style-type: none"> Analyze the interactions between MONUC and OCHA at the provincial level; Complementarity of strategies for humanitarian assistance. |
| Indicator 13: Evaluate performances | <ul style="list-style-type: none"> Not clear if this indicator refers to performance of activities, programs, sectors, or actors. | <ul style="list-style-type: none"> Funding for a joint monitoring and evaluation system for the CHAP. Sectoral groups functioning at the central and provincial levels that carry-out monitoring and evaluation activities. |
| Indicator 14: Report contributions in timely and accurate manner | <ul style="list-style-type: none"> Repetitive—covered in indicator #1. Should be deleted or incorporated in #1. | -- |

4.2.3 Suggestions for the Pilot Evaluation

The following suggestions for a final pilot evaluation are based, in a large part, on the lessons learned from the baseline survey and the constraints faced by the survey team in collecting adequate baseline data on the impact indicators and donor behavior.

- The terms of reference for the real-time evaluation should be prepared in close collaboration with the GHD Implementation Group in Geneva, the GHD Pilot Group in DRC, OCHA Geneva/New York, and OCHA Kinshasa. As suggested in the recommendations for the implementation of the pilot, this can only be done after the indicator framework is revised to realistically reflect the overall objectives of the pilot, i.e. the GHD principles.
- The timing of the evaluation is important. As such, the evaluation should commence during the preparation of the CAP/CHAP 2006 in mid 2005. The final analysis and final report should be presented at the end of February 2006 in order to allow for a full assessment of funding in 2005.

- Considering the constraints encountered by the baseline survey team with regard to data collection in Kinshasa, significant background information should be prepared before the independent consultants initiate their field work. The background information should include a file with documentation from all relevant CAP 2005 and Mid-Term Review activities and meetings, as well as minute meetings from the GHD Pilot Group in DRC. If a UN agency survey is used, it should be prepared and distributed in advance, with OCHA NY and OCHA Geneva providing support, if needed, to obtain the required information. A more standardized donor survey about funding flows should be developed and simultaneously distributed in advance to both donor capitals and representations in DRC. Again, support from OCHA NY and OCHA Geneva should be provided, if needed, to obtain the information. A detailed analysis of funding flows and sectoral/geographical distribution of assistance *before* the field visit will be useful to allow further clarifications in the field. Furthermore, programming of the evaluation should allow for visits to major donor capitals for detailed data collection.

The following chart presents a summary of the suggested pilot and evaluation activities and a general timeline for their implementation.

| Timeline for Pilot and Evaluation Activities | | | | | | | | | | | | | | |
|---|----------|----------|----------|----------|----------|----------|----------|----------|----------|-----------|-----------|-----------|-----------|-----------|
| (Based on 14-month timeframe) | | | | | | | | | | | | | | |
| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 |
| Pilot Activity (Focal Point) | | | | | | | | | | | | | | |
| Revise indicator framework and clarify objectives and outcomes (GHD Implementation Group in Geneva and GHD Pilot Group in Kinshasa) | | | | | | | | | | | | | | |
| Establish GHD Pilot Group in Kinshasa (Pilot facilitators in collaboration with OCHA) | | | | | | | | | | | | | | |
| Prepare records of all relevant information for CAP 2005 (OCHA Kinshasa) | | | | | | | | | | | | | | |
| Implement activities related to improved financial tracking (OCHA Geneva and OCHA Kinshasa/HC-RC's office) | | | | | | | | | | | | | | |
| Develop plan to ensure that GHD principles are incorporated into MTR process and 2006 CAP (OCHA Kinshasa) | | | | | | | | | | | | | | |
| Establish NGO platform and ensure regular meetings (OCHA and international NGOs) | | | | | | | | | | | | | | |
| Define information needs (OCHA, GHD Pilot Group) | | | | | | | | | | | | | | |
| Explore the establishment of a donor coordination group and ensure regular meetings (OCHA, HC/RC, donors) | | | | | | | | | | | | | | |

| Timeline for Pilot and Evaluation Activities | | | | | | | | | | | | | | |
|---|----------|----------|----------|----------|----------|----------|----------|----------|----------|-----------|-----------|-----------|-----------|-----------|
| (Based on 14-month timeframe) | | | | | | | | | | | | | | |
| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 |
| Evaluation Activity (Responsible) | | | | | | | | | | | | | | |
| Prepare terms of reference (GHD Implementation Group in Geneva, GHD Pilot Group in Kinshasa, OCHA NY, OCHA Geneva, OCHA Kinshasa) | | | | | | | | | | | | | | |
| Date collection (evaluators in close collaboration with OCHA) | | | | | | | | | | | | | | |
| Evaluator visits to DRC and donor capitals (to be timed with CHAP activities) (evaluators) | | | | | | | | | | | | | | |
| Preparation of final analysis and report (evaluators) | | | | | | | | | | | | | | |

ANNEX I – ANALYSIS OF HUMANITARIAN CONTRIBUTIONS

One of the main principles of Good Humanitarian Donorship is that donor funding is flexible and timely in order to ensure that humanitarian activities are not hampered by the lack of funds. The following charts provide information regarding: a) reported humanitarian funding inside and outside the Appeal, b) types of contributions (cash/in-kind) inside and outside the Appeal, c) an example of time-lag for funding, and d) complementary and comparative information from ECHO's 14-point system. In several cases, information from both 2003 and 2004 has been included to facilitate the identification of trends.

As illustrated by the chart below, significant funding for certain sectors, both in terms of amounts and percentages, is provided outside the Appeal. This is particularly true for the health sector and for multi-sector projects. This breakdown also reveals an uneven pattern of funding in 2003 and 2004.

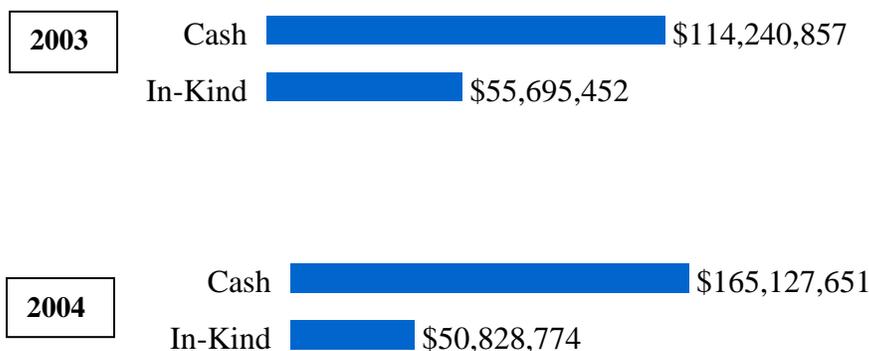
| REPORTED HUMANITARIAN FUNDING INSIDE AND OUTSIDE APPEAL—2004 <i>(by sector)</i> | | | | | | |
|---|--------------------------------------|--------------------------------------|---------------------------------------|-----------------|--------------------------------------|------------------------------------|
| Sector | Amount Inside Appeal (US\$) | % of Total Requested in Appeal | Amount Outside Appeal (US\$) | Total (US\$) | Inside Appeal as % of Total | Outside Appeal as % of Total |
| Agriculture | 8,268,932 | 71 | 1,265,226 | 9,534,158 | 86.7 | 13.3 |
| Coordination and Support Services | 7,787,577 | 88 | 6,095,356 | 13,882,933 | 56.1 | 43.9 |
| Economic Recovery and Infrastructure | 274,725 | 3 | 3,539,970 | 3,814,695 | 7.2 | 92.8 |
| Education | 96,626 | 4 | 2,201,735 | 2,298,361 | 4.2 | 95.8 |
| Family Shelter and Non-Food Items | 0 | 0 | 2,015,001 | 2,015,001 | 0 | 100.0 |
| Food | 50,805,082 | 87 | 3,646,977 | 54,452,059 | 93.3 | 6.7 |
| Health | 1,324,385 | 5 | 40,729,898 | 42,054,283 | 3.1 | 96.9 |
| Mine Action | 508,824 | 10 | 1,270,826 | 1,779,650 | 28.6 | 71.4 |
| Multi-Sector | 24,982,375 | 105 | 30,246,222 | 55,228,597 | 45.2 | 54.8 |
| Protection, Human Rights, Rule of Law | 1,074,550 | 11 | 1,908,688 | 2,983,238 | 36.0 | 64.0 |
| Sector Not Yet Specified | 22,499,840 | -- | 3,806,743 | 26,306,583 | 85.5 | 14.5 |
| Security | 672,645 | 64 | 0 | 672,645 | 100.0 | 0 |
| Water and Sanitation | 0 | 0 | 934,222 | 934,222 | 0 | 100.0 |
| TOTAL | 118,295,561 | 72.8 | 97,660,864 | 215,956,425 | 54.8 | 45.2 |

(Source: FTS, www.reliefweb.int)

b) Types of Contributions

| CASH AND IN-KIND CONTRIBUTIONS INSIDE AND OUTSIDE THE APPEAL 2003 AND 2004 (US\$) | | | | |
|---|--------------------|-------------|--------------------|-------------|
| | 2003 | % | 2004 | % |
| Cash Appeal | 52,216,639 | 30.7 | 67,490,479 | 31.3 |
| Cash Outside | 62,024,218 | 36.5 | 97,637,172 | 45.1 |
| Cash Subtotal | 114,240,857 | 67.2 | 165,127,651 | 76.4 |
| In-Kind Appeal | 55,695,452 | 32.8 | 50,805,082 | 23.5 |
| In-Kind Outside | 0 | 0 | 23,692 | .01 |
| In-Kind Subtotal | 55,695,452 | 32.8 | 50,828,774 | 23.5 |
| Total | 169,936,309 | 100 | 215,956,425 | 99.9 |

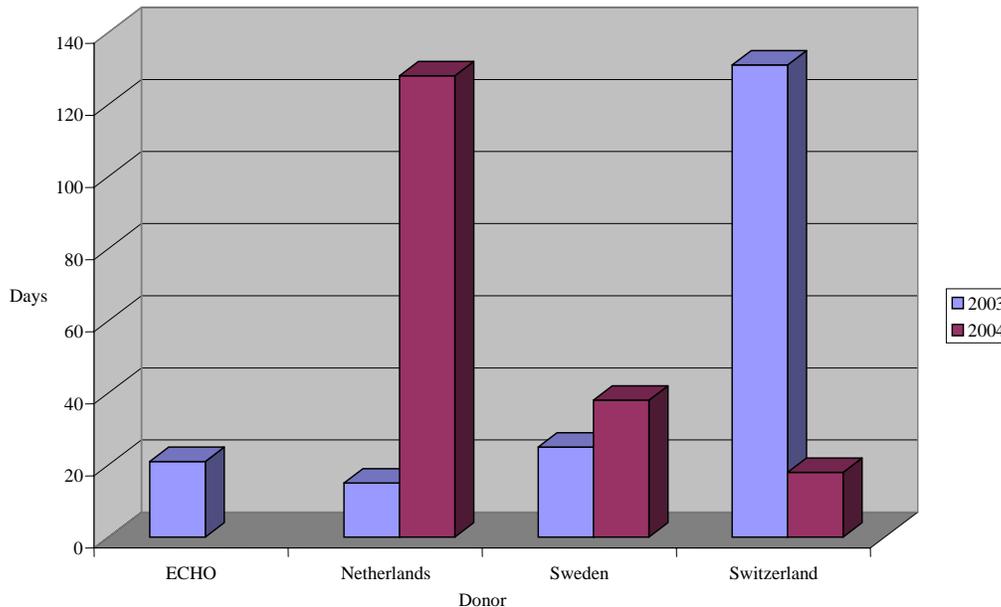
(Source: FTS, www.reliefweb.int/fts)



c) Example of Funding Time-lag Between Commitment and Disbursement

FAO reported that the organization normally receives information about funding commitments for humanitarian activities between March and June, with disbursements three months later. This corresponds generally with the agricultural season in DRC, but OCHA's Emergency Humanitarian Interventions program (EHI) has been called on for support to bridge gaps between funding commitment and funding availability. As can be seen in the following chart, there is a wide variety between the four donors for whom information has been provided for 2004. This information is not available in the FTS and agencies were not requested for this level of detail.

Days between commitment and disbursement of HA funding for DRC through FAO



d) Complementary Information

Recognizing the need to explore information sources outside OCHA’s Financial Tracking System, data collection was conducted from 1) ECHO’s 14-point HOLIS System, 2) OECD/DAC Creditor Reporting System (CRS), and 3) selected donor websites. The discrepancies noted are evidence of the need for harmonized reporting systems.

1) ECHO’s 14-point HOLIS System

Following the adoption of Council Regulation (EC) No 1257/96, Article 10 concerning humanitarian assistance, the Member States of the European Union agreed to inform ECHO when they approve funding for humanitarian aid, using a 14-point report system. The HOLIS 14-point system was introduced in 2002. ECHO and OCHA also devised a “14-point report” for reporting EU information to FTS. The basic purpose of the system is to list all donations to humanitarian aid made by any government department. The database can be queried and reports prepared by year, purpose, donor, recipient country, etc.

2003: This section presents a comparison of 2003 contributions to DRC by EU members reported in the ECHO system and contributions reported in OCHA’s FTS system. In some cases, information in one system was not in the other. Only one country, Sweden, registered similar information in both systems, i.e. the amount reported in one system was within 100,000 Euros of the amount reported in the other system. Italian contributions were reported in FTS but not HOLIS. Two very large discrepancies between the two systems were noted: the United Kingdom and ECHO. In HOLIS, the UK contribution is only 75,000 Euros, while in FTS it is 10,076,254 Euros. The ECHO contributions are even more disparate—79.3 million Euros in the HOLIS system and 10.7 million Euros in FTS. A breakdown of the ECHO contributions reveals that the 2003 data includes 35 million Euros for the DRC Global Plan 2003 and 40

million Euros for the DRC Global Plan 2004. Even after reducing the HOLIS data by 40 million Euros, the HOLIS system registered 67.7 million Euros versus the FTS amount of 42.1 million Euros. Excluding ECHO contributions from both the HOLIS and FTS columns reverses the results, with FTS registering more contributions than HOLIS—31.4 million Euros versus 25.4 million.

| COMPARISON OF CONTRIBUTIONS IN ECHO'S HOLIS 14-POINT SYSTEM AND OCHA'S FTS 2003 | | | |
|--|---|--|-------------------|
| Country | Contributions reported in 14- point system (EUR) | Contributions inside and outside the Appeal reported in OCHA FTS* | |
| | | (EUR)** | (US\$) |
| Belgium | 6,838,397 | 3,925,908 | 4,969,504 |
| Germany | 3,225,678 | 1,189,387 | 1,505,553 |
| Denmark | 1,318,976 | 1,175,434 | 1,487,891 |
| ECHO | 79,358,091 | 10,678,801 | 13,517,469 |
| Finland | 1,450,000 | 818,473 | 1,036,042 |
| France | 0 | 0 | 0 |
| Greece | 0 | 0 | 0 |
| Ireland | 1,461,606 | 1,004,641 | 1,271,698 |
| Italy | 0 | 1,759,691 | 2,227,457 |
| Luxemburg | 0 | 0 | 0 |
| Netherlands | 5,532,618 | 6,005,138 | 7,601,441 |
| Portugal | 0 | 0 | 0 |
| Spain | 0 | 0 | 0 |
| Sweden | 5,470,000 | 5,492,640 | 6,952,709 |
| United Kingdom | 75,000 | 10,076,254 | 12,754,752 |
| TOTAL | 104,730,366 | 42,126,367 | 53,324,516 |
| TOTAL (excluding 2004 ECHO from 14-pt.) | 64,730,366 | 42,126,367 | |

* Only includes countries that are reported in the 14-point system.

** FTS contributions are reported in US\$. A rough conversion was made using the US\$ to EUR exchange rate on December 31, 2003 (1 US\$ = .79 Euros).

(Sources: http://europa.eu.int/comm/echo/statistics/members_states_aid_en.htm and www.reliefweb.int/fts)

The 2004 (as of March 2005) data presents some of the same difficulties and discrepancies as the 2003 data. Only two countries, Denmark and France, registered similar information in both systems, i.e. the amount reported in one system was within 100,000 Euros of the amount reported in the other system. Once again Italian contributions were reported in FTS, but not HOLIS, and the UK reported more than 10.6 million Euros to FTS and nothing to HOLIS. Belgium and the Netherlands also presented large discrepancies (more than one million Euros).

Once again, the ECHO contributions reported in each system are quite different—642,857 Euros in HOLIS and 37.8 million Euros in FTS. Excluding the ECHO contributions from both systems, the FTS reported 47.5 million Euros versus 31.3 million Euros in HOLIS.

| COMPARISON OF CONTRIBUTIONS IN ECHO'S HOLIS 14-POINT SYSTEM AND OCHA'S FTS 2004 | | | |
|--|--|--|--------------------|
| Country | Contributions reported in 14-point system | Contributions inside and outside the Appeal reported in OCHA FTS* | |
| | (EUR) | (EUR) | (US\$)** |
| Belgium | 5,789,067 | 10,299,510 | 13,918,257 |
| Germany | 6,605,054 | 5,871,753 | 7,934,801 |
| Denmark | 1,855,562 | 1,755,787 | 2,372,685 |
| ECHO | 642,857 | 37,838,777 | 51,133,483 |
| Finland | 1,750,000 | 2,161,843 | 2,921,409 |
| France | 1,164,900 | 1,157,213 | 1,563,801 |
| Greece | 0 | 0 | 0 |
| Ireland | 1,564,000 | 1,945,645 | 2,629,250 |
| Italy | 0 | 2,119,956 | 2,864,805 |
| Luxembourg | 0 | 0 | 0 |
| Netherlands | 7,191,048 | 5,684,064 | 7,681,168 |
| Portugal | 0 | 0 | 0 |
| Spain | 0 | 0 | 0 |
| Sweden | 5,384,600 | 5,825,725 | 7,872,602 |
| United Kingdom | 0 | 10,654,991 | 14,398,636 |
| TOTAL | 31,947,088 | 85,315,264 | 115,290,897 |
| TOTAL (excluding ECHO) | 31,304,231 | 47,476,487 | |

* Only includes countries that are reported in the 14-point system.

** FTS contributions are reported in US\$. A rough conversion was made using the US\$ to EUR exchange rate on December 31, 2004 (1 US\$ = .74 Euros).

(Sources: http://europa.eu.int/comm/echo/statistics/members_states_aid_en.htm and www.reliefweb.int/fts)

2) OECD/DAC Creditor Reporting System (CRS³⁷)

Additional limitations of current reporting mechanisms are revealed by the information available for 2003 in the database of the OECD/DAC CRS. The CRS aims to “provide Members of the Development Assistance Committee (DAC) and the international aid community a set of readily available basic data that enables analysis on where aid goes, what purposes it serves and what policies it aims to implement”.³⁸

³⁷ Analysis based on information available in October 2004.

³⁸ <http://www.oecd.org/dataoecd/52/9/31417141.pdf>

A query for emergency assistance, including emergency food aid, emergency/distress relief, and aid to refugees provides information from only four donors (Canada, Finland, Sweden, and the United Kingdom) for total contributions of approximately US\$ 25.9 million. Some of the contributions are specified as CAP contributions to particular UN organizations, while others are vague and do not even name the receiving agency (i.e. peace and reconciliation strengthening, food security in Ituri, emergency nutrition in Katanga, etc.).

A general query for all assistance to the DRC results in a higher amount of reported contributions (approximately US\$ 157.3 million) and more donors (the African Development Fund, Canada, Finland, France, Italy, Japan, Sweden, the United Kingdom). However, this query includes both humanitarian assistance and other types of assistance/cooperation ranging from national resources extraction to culture and recreation to economic development policy and planning. Completion dates for projects vary from 2003 to 2006.

Comparing the 2003 results with the 2002 CRS database results, it appears that even the 2003 data is still incomplete: humanitarian assistance in 2002 totaled US\$ 140 million and total assistance totaled US\$ 1.9 billion—figures that are not comparable with the 2003 data currently in the system. In other words, it is unlikely that humanitarian assistance dropped from US\$ 140 million in 2002 to US\$ 25.9 in 2003. Data for total assistance for 2004 is not available.

ANNEX II - OVERVIEW OF DONOR FUNDING

The following chart provides an overview of donors who have contributed to the Consolidated Appeals between 1999 and 2004.

| DONORS WITHIN THE APPEAL 1999-2004 | | | | | | |
|---|--------------------|--------------------|--------------------|--------------------|--------------------|------|
| | 1999 ³⁹ | 2000 ⁴⁰ | 2001 ⁴¹ | 2002 ⁴² | 2003 ⁴³ | 2004 |
| Belgium | | X | X | X | X | X |
| Canada | | X | X | X | X | X |
| Cyprus | | X | X | | | |
| Denmark | X | | X | X | | X |
| European Commission | | | X | X | X | X |
| Finland | | | X | | X | X |
| France | X | | X | X | | X |
| Germany | | | X | X | | X |
| Iceland | | | | X | | |
| Ireland | X | X | X | X | X | X |
| Italy | X | X | X | X | X | X |
| Japan | | | X | X | X | X |
| Luxembourg | | | | X | | |
| Netherlands | X | X | X | X | X | X |
| New Zealand | | | | | X | X |
| Norway | | X | X | X | X | X |
| Saudi Arabia | | | | | | X |
| South Africa | | | X | | X | X |
| Sweden | X | X | | X | X | X |
| Switzerland | X | | X | X | X | X |
| United Kingdom | X | | | X | X | X |
| United States | X | X | X | X | X | X |
| TOTAL NUMBER | 9 | 9 | 16 | 17 | 15 | 19 |

(Source: FTS, www.reliefweb.int/fts)

The following chart presents the top 10 donors within the Appeal from 2000-2004 in terms of percentages of total contributions.



³⁹ Other “donors” include UNDP and the U.S. National UNICEF Committee.

⁴⁰ Includes “private” contributions (UNICEF).

⁴¹ Includes “private” contributions (FAO, UNICEF, UNHCR).

⁴² Includes “private” contributions (FAO, UNICEF, UNHCR).

⁴³ Includes “private” contributions (UNICEF, UNHCR).

TOP 10 DONORS WITHIN THE APPEAL
2000-2004
(% of total)

| | 2000 | 2001 | 2002 | 2003 | 2004 |
|------------|--------------------------|--|--|---|--|
| 1. | Belgium (41.8%) | United States (45.9%) | United States (50.5%) | United States (47.8%) | United States (27.3%) |
| 2. | United States (15.6%) | European Commission (13.8%) | Unearmarked UN allocations (11.2%) | Unearmarked UN allocations (9.3%) | Unearmarked UN allocations (13.9%) |
| 3. | Norway (13.7%) | Unearmarked UN allocations (10.8%) | European Commission (6.3%) | European Commission (7.1%) | United Kingdom (11.3%) |
| 4. | Sweden (9.9%) | Japan (7.0%) | Netherlands (4.8%) | Japan (6.8%) | European Commission (6.8%) |
| 5. | Netherlands (5.5%) | Belgium (4.7%) | Japan (2.9%) | Netherlands (6.1%) | Belgium (8.2%) |
| 6. | Italy (4.0%) | Netherlands (3.9%) | Canada (3.7%) | Norway (4.3) | Canada (7.2%) |
| 7. | Private (3.7%) | Sweden (2.3%) | Belgium (2.7%) | United Kingdom (3.9%) | Japan (4.8%) |
| 8. | Unearmarked (3.4%) | Germany (2.2%) | Sweden (4.1%) | Belgium (3.7%) | Netherlands (3.8%) |
| 9. | Canada (1.3%) | Canada (1.8%) | Germany (3.3%) | Canada (2.7%) | Sweden (3.5%) |
| 10. | Ireland (1.1%) | Italy (1.6%) | United Kingdom (4.7%) | Sweden (2.4%) | Italy (2.4%) |

(Source: FTS, www.reliefweb.int/fts)

The following chart outlines the top 10 donors in terms of total funding (Appeal and non-Appeal) from 2000-2004.

| TOP 10 DONORS TOTAL FUNDING 2000-2004 (US\$) | | | | | |
|---|----------------------------------|--|---|--|---|
| | 2000 | 2001 | 2002 | 2003 | 2004 |
| 1. | Belgium (4,639,281) | United States (61,347,385) | United States (69,170,936) | United States (81,949,462) | United States (62,741,696) |
| 2. | Sweden (3,600,528) | European Commission (33,560,803) | Unearmarked UN funds (15,357,148) | European Commission (13,517,469) | European Commission (51,133,483) |
| 3. | Netherlands (3,539,672) | Unearmarked UN funds (8,889,670) | European Commission (8,651,757) | United Kingdom (12,754,752) | Unearmarked UN funds (16,477,154) |
| 4. | Denmark (2,681,356) | United Kingdom (6,924,116) | Netherlands (6,613,127) | Unearmarked UN funds (9,992,034) | United Kingdom (14,398,636) |
| 5. | Norway (2,636,824) | Belgium (6,772,356) | United Kingdom (6,424,614) | Netherlands (7,601,441) | Belgium (13,918,257) |
| 6. | United States (2,363,158) | Netherlands (5,862,217) | Sweden (5,557,138) | Japan (7,273,504) | Canada (10,580,876) |
| 7. | United Kingdom (2,250,225) | Japan (5,759,402) | Canada (5,115,876) | Sweden (6,952,709) | Germany (7,934,801) |
| 8. | Germany (1,864,595) | Sweden (5,534,204) | Germany (4,533,049) | Canada (6,297,768) | Sweden (7,872,602) |
| 9. | Canada (1,766,051) | Germany (5,450,070) | Japan (3,950,000) | Norway (6,102,239) | Netherlands (7,681,168) |
| 10. | Finland (483,871) | Switzerland (3,424,498) | Belgium (3,727,396) | Belgium (4,969,504) | Japan (5,623,005) |

(Source: FTS, www.reliefweb.int/fts)

ANNEX III – DONOR PROFILES

| Grande Bretagne (Coopération Britannique)/DFID | | | |
|---|--|---|--|
| <p>La coopération britannique est réalisée à travers son Ministère de Coopération Internationale (Department For International Development) qui a pour mandat de travailler avec le gouvernement de transition de la République Démocratique du Congo et d'autres bailleurs de fonds autour de deux objectifs principaux :</p> <ul style="list-style-type: none"> - appui au processus de transition et au renforcement de la paix (par le biais d'un programme d'aide humanitaire, de programmes axés sur la résolution des conflits, la réforme de secteur de la sécurité et un appui aux institutions de la transition; - réduction à long terme de la pauvreté (par le biais d'une assistance au processus lié au DSRP, aide à l'établissement d'une meilleure gouvernance économique, de prestation de service et de lutte contre le VIH/SIDA) | | | |
| <i>Secteurs Couverts</i> | <i>Couverture Géographique</i> | <i>Partenaires</i> | <i>Observations</i> |
| <p>l'aide humanitaire d'urgence la construction de la paix, la sécurité, l'état de droit, et la bonne gouvernance la gestion responsable des ressources naturelles les prestations de services (éducation, santé, ...) le VIH/SIDA</p> | <p>Nord Kivu Sud Kivu Province Orientale Katanga Kasaï Oriental Kasaï Occidental Maniema Kinshasa (Micro projets) Equateur (en examen)</p> | <p><i>Agences Nations Unies:</i> OCHA, OHCHR, UNSECOORD, UNHCR, UNICEF, UNIFEM, UNAIDS, ... <i>ONGs Internationales:</i> MSF, OXFAM, CARE, CAFOD, BCRS, MERLIN, SCF, ACF, CESVI, SOLIDARITES, PSI, CTB, Christian Aid, MERLIN, CRS, International Alert, Fondations Hironnelle, CRN, Panos Paris Institute, EISA, ...</p> | |
| Union Européenne/ECHO | | | |
| <p>L'union européenne, premier bailleur de fonds humanitaire mondial, est très actif en RDC par le biais de l'ECHO (office d'aide humanitaire de la commission européenne). Le mandat de l'ECHO se résume à l'expression de la solidarité européenne envers les plus vulnérables dans le monde, en apportant, son assistance à des millions de personnes victimes des catastrophes naturelles et des crises provoquées par l'homme.</p> | | | |
| <i>Secteurs Couverts</i> | <i>Couverture Géographique</i> | <i>Partenaires</i> | <i>Observations</i> |
| <ul style="list-style-type: none"> - Santé : appui aux structures publiques, réponse aux urgences médicales, services de santé dans les zones de conflit ; - Nutrition et sécurité alimentaire : des groupes les plus vulnérables ; - Assistance d'urgence : aux populations déplacées ; - Protection et coordination : soutien aux mandats spécifiques des agences internationales | <ul style="list-style-type: none"> - Zones en conflit (situation instable) : Ituri, Nord et Sud Kivu, et Maniema - Zones en stabilisation : Equateur, Kasaï et Katanga | <p>CARITAS-BE, ACTED-F, ALISEI-IT, IRC-UK, MSF-F, MSF-NL, WORLD VISION-DE, PSF-F, GOAL-IR, OCHA, AMI-F, CICR, MEDAIR-UK, MERLIN-UK, SOLIDARITES-F, CARE-F, MALTESER-DE, ACF-F, AAA-DE, PAM, COOPI-IT, MSF-BE., UNICEF, WFP</p> <p>L'ECHO ne travaille pas avec les ONG locales.</p> | <ul style="list-style-type: none"> - ECHO dispose de plusieurs bureaux sur le terrain. - ECHO flight est une ligne aérienne disposant de deux avions en République Démocratique du Congo au service, de l'humanitaire, d'accès gratuit assure le transport du personnel humanitaire et l'approvisionnement d'endroits reculés et inaccessibles par la route. - L'ECHO associe la participation des groupes d'intérêt représenté par les bailleurs de fonds, la population et le gouvernement. (Essentiellement le Ministère de la Santé à travers sa division d'études et planification). |

Belgique (Coopération Belge)/CTB

La coopération belge agit en RDC sur le plan multilatéral et bilatéral. La coopération multilatérale est entreprise à travers les organisations des Nations Unies, de l'Union européenne et les institutions internationales. La coopération bilatérale belge en RDC s'inscrit dans le cadre des initiatives de développement par le biais de la CTB/BTC, son agence de coopération internationale. La coopération dans l'humanitaire dépend des instruments (lignes budgétaires) et des acteurs utilisés. Elle intervient dans le cadre multilatéral et des interventions des ONG. Les actions dans le domaine humanitaire sont autorisées et suivies à partir de Bruxelles. La CTB/BTC, agence belge de coopération internationale, est une entreprise publique dont le personnel s'engage à mettre en œuvre les actions de coopération destinées à améliorer le développement humain dans le monde en lutte contre la pauvreté. Le mandat humanitaire de la CTB/BTC se limite essentiellement à la distribution alimentaire par le biais des ONG.

| <i>Secteurs Couverts</i> | <i>Couverture Géographique</i> | <i>Partenaires</i> | <i>Observations</i> |
|--|---|--|--|
| <ul style="list-style-type: none"> - Santé publique - Les infrastructures de base - Les programmes multisectoriels émanant d'organisations locales - Aide alimentaire - (distribution des produits alimentaires) | <ul style="list-style-type: none"> - Kinshasa - Bas-Congo - Bandundu - Kasai occidental - Kasai oriental - Katanga - Kisangani | Union européenne, Banque Mondiale e via BCECO, et le DFID, ONG locales | <ul style="list-style-type: none"> - La CTB dispose des bureaux en province - L'aide humanitaire n'est constituée que par la distribution de produits alimentaires pour un montant de 1 million d'Euros. |

France (Coopération Française)

Le mandat politique de la coopération française vise la stabilisation de la RDC, de l'Afrique centrale et les pays de Grands Lacs à partir de la position géostratégique de la RDC. Cette stabilisation est nécessaire pour faire revenir les investisseurs en RDC. La coopération internationale française qui dépend à la fois des ministères des affaires étrangères et des finances a une double mission. L'agence française de développement (AFD) exécute et soutien des projets centraux à effet national des ministères et des micro-projets de développement. Le service de la coopération de l'ambassade initie des actions en appui au renforcement de l'autorité de l'Etat congolais (Justice, Police,...). La France a une politique de coopération structurelle bilatérale d'aide publique au développement avec la RDC. Elle a pour outils essentiels les projets pluriannuels et le fonds social de développement. Il existe un comité de pilotage des projets. La coopération française au niveau de l'ambassade finance directement des petits projets à travers les ONG dont certains d'entre ont un caractère humanitaire. La coopération française n'a pas le mandat humanitaire local. Elle agit sur le plan humanitaire par le biais des financements accordés aux organisations des Nations Unies et de l'Union européenne (ECHO), aux institutions internationales et aux ONG. Il existe au niveau du ministère en France, une Direction d'Action Humanitaire (DAH) qui a sa propre programmation des actions humanitaires. Néanmoins, la coopération française peut intervenir après l'aval de Paris sur une action humanitaire ponctuelle (éruption volcan Nyirangongo à Goma).

| <i>Secteurs Couverts</i> | <i>Couverture Géographique</i> | <i>Partenaires</i> | <i>Observations</i> |
|--|--|--|---------------------|
| <ul style="list-style-type: none"> - énergie - justice, police | <ul style="list-style-type: none"> - Province Orientale (Ituri) - Nord et Sud-Kivu | <ul style="list-style-type: none"> - Ministères - ONG françaises, internationales et locales : GRET, COOPI, ACF, MSF, SOLIDARITES, HERITIERS DE LA JUSTICE, Atlas Logitique - Nations Unies : BCAH, HCR, PAM, UNICEF, OXFAM, OCHA - Autres organisations : CICR, GRAM-KIVU | |

| Suède (Coopération Suédoise) | | | |
|---|--|--|--|
| <p>Jadis, La Coopération suédoise basait l'assistance humanitaire dans la région à partir du Kenya. Depuis quelques temps, le gouvernement vient d'adopter l'assistance humanitaire pour les pays des Grands Lacs.</p> | | | |
| <i>Secteurs Couverts</i> | <i>Couverture Géographique</i> | <i>Partenaires</i> | <i>Observations</i> |
| | | <ul style="list-style-type: none"> - Agences et Missions des Nations Unies : PNUD, FAO, IOM, UNICEF, UNSECORD, OCHA, WHO, OHRC, MONUC - Institutions internationales: Banque mondiale et Fonds Monétaire International, ICRC - ONG Internationales et locales : FEWER, Save the Children, PMU-Interlife, NRC, ONG suédoises et ONG locales | |
| Japon (Coopération Japonaise) | | | |
| <p>Le Japon axe sa coopération avec la RDC sous les volets de développement socio-économique et humanitaire à travers les agences de l'ONU internationale et locale et aussi directement avec les gouvernement (les fonds de contrepartie). Aussi, le Japon a initié depuis 1999 au niveau de sa coopération internationale un nouveau concept de fonds de sécurité humaine qui consiste à renforcer les capacités de l'homme pour se développer au regard de la vie ; du bien-être et de la dignité humaine quelque soit la nationalité, la race, le sexe et autres identités. Ainsi, le Japon a avec la RDC, la coopération bilatérale (dons non-remboursables, remboursables et assistance technique) et la coopération multilatérale à travers les organisations des Nations Unies.</p> | | | |
| <i>Secteurs Couverts</i> | <i>Couverture Géographique</i> | <i>Partenaires</i> | <i>Observations</i> |
| <ul style="list-style-type: none"> - Education - Santé - Protection et programme d'assistance aux réfugiés - Aide alimentaire aux réfugiés et déplacés de la guerre - DDR | <ul style="list-style-type: none"> - Kinshasa - Bas-Congo - Bandundu - Katanga - Nord-Kivu - Sud-Kivu. | <ul style="list-style-type: none"> - Organisations des Nations Unies : PNUD, OCHA, UNHCR, UNICEF, PAM, FAO, UNESCO. - Organisations internationales : CICR - ONG Internationales et locales. | |
| Etats-Unis d'Amérique (Coopération Américaine, USAID) | | | |
| <p>USA seeks to strengthen the process of internal reconciliation and democratization within the DRC in order to promote a stable, developing and democratic nation. In partnerships with the DRC transitional government, the USA has been working to address security interests on the continent, the Great Lakes Region and develop mutual beneficial economic relations. USAID, the US Agency for International Development, has an integrated strategic plan that consists of strategic objectives in health, democracy and governance livelihoods, education, reintegration of ex-combatants, and environment for the Central African Regional Program (CARPE). To accomplish some of these tasks, USAID works with UN agencies, international institutions and NGOs.</p> | | | |
| <i>Secteurs Couverts</i> | <i>Couverture Géographique</i> | <i>Partenaires</i> | <i>Observations</i> |
| <ul style="list-style-type: none"> - Health - Water and sanitation - Nutrition - Food emergency - Food security - Rehabilitation - Sexual abuse | <ul style="list-style-type: none"> - Nord-Kivu - Sud-Kivu - Maniema - Katanga | <p>UN agencies: WFP, UNICEF, FAO, OCHA, UNHCR, WHO</p> <p>UN mission: MONUC</p> <p>NGOs: AAH/USA, AirServ, CARE, CRS, GAA, GOAL, IMC, MERLIN, SOLIDARITES, World</p> | <p>USAID's humanitarian support goes particularly to the eastern part of DRC. Four offices within USAID's Bureau of Democracy, Conflict and Humanitarian Assistance (DCHA) support programs of the Office of US Foreign Disaster Assistance (OFDA), the Office of Food for Peace (FFP), the Office of Transition Initiatives</p> |

| | | | |
|--|--|--|--|
| | | Vision, IRC, IMC, MSF Local NGOs: ADECCO and others. | (OTI) and the Office of Private Voluntary Cooperation (PVC). USAID/OFDA provides emergency assistance in the eastern part of DRC in health, water and sanitation, nutrition, food security, logistics and geological hazard sectors (Nyirangongo volcano in Goma). |
|--|--|--|--|

Canada (Coopération Canadienne)

La coopération canadienne avec la RDC a pour objectif de contribuer à la lutte contre la pauvreté, d'assurer un monde juste et sécurisé et d'accompagner le processus de paix. Ce mandat global est par la voie multilatérale et bilatérale. Le budget de la coopération est sous la gestion de l'agence canadienne de la coopération internationale. La coopération multilatérale passe par les organisations des Nations Unies et les institutions internationales. La coopération bilatérale se focalise sur le développement à travers de fonds décentralisé développement. L'humanitaire passe par la voie de coopération multilatérale par le biais des agences des Nations Unies et les institutions internationales. Néanmoins, certaines aides d'urgence sont décidées la centrale à Ottawa les dernières années, l'essentiel de l'intervention humanitaire canadienne est orienté à l'Est de la RDC.

| <i>Secteurs Couverts</i> | <i>Couverture Géographique</i> | <i>Partenaires</i> | <i>Observations</i> |
|--|---|--|---------------------|
| - Santé - Agriculture - Renforcement de capacité - Démocratie - Paix | Humanitaire : Nord et Sud-Kivu Autres : Bas-Congo, Kinshasa, Province Orientale et Katanga | Agences de Nations Unies, ONGs canadiennes, internationales et locales | |

Italie (Coopération Italienne)

La coopération italienne a pour objectif de recherche à ce que l'argent mis à la disposition de la RDC puisse avoir un maximum d'impact auprès de la population congolaise en appuyant des projets à output immédiat et durable. L'Italie soutient et appui la RDC pour les initiatives de paix et de démocratie et apporte son assistance humanitaire aux déplacés de guerre, son aide alimentaire d'urgence aux réfugiés et autres victimes des conflits armés surtout à l'Est du pays. L'intervention de la coopération internationale italienne se réalise à la fois par les canaux bilatéraux (notamment le fonds de contre partie) et multilatéraux à travers les organisations des Nations Unies, de l'Union européenne et des institutions internationales.

| <i>Secteurs Couverts</i> | <i>Couverture Géographique</i> | <i>Partenaires</i> | <i>Observations</i> |
|---|--|--|---------------------|
| - Santé : lutte contre le SIDA - Aide alimentaire d'urgence - Appui institutionnel - Réhabilitation infrastructure - Agriculture - Education - Nutrition. | - Kinshasa - Nord-Kivu - Sud-Kivu - Bas-Congo | - Ministères du gouvernement RDC : (Ministères du plan, des affaires étrangères et de la coopération internationale, santé, éducation, affaires sociales et familles, commissariat général à la réinsertion) - Agences de Nations Unies : (OCHA, UNICEF, PAM, FAO, UNICRI, PNUD, UNHCR) - ONG italiennes et internationales : ALISEI, COOPI, MICHI, MONDO, VIDES CISS - ONG locales | |

Espagne (Coopération Espagnole)

L'Espagne fonde sa coopération internationale sur un certain nombre de principes globaux : le respect de l'être humain, les droits et libertés sans discrimination, promotion d'un développement-soutenu avec la participation à la fois de l'homme et la femme, la promotion d'une croissance équitable et le respect des accords internationaux. En matière humanitaire, les objectifs de base de la coopération espagnole visent la contribution à la sécurité et à la paix et la promotion de l'assistance humanitaire. La coopération internationale espagnole est gérée par l'agence espagnole de coopération internationale AECI. Quoique disposant d'une ambassade en RDC, l'Espagne ne considère pas la RDC comme un pays prioritaire. Néanmoins, les aides humanitaires espagnoles à la RDC passent par les Agences des Nations-Unies et des institutions internationales et européennes. Sur le plan bilatéral, la coopération espagnole intervient via la coopération du gouvernement national, des gouvernements locaux des aides aux ONG souvent des organismes religieux et civils et des petites interventions de l'ambassade. L'aide de la coopération espagnole n'établit la distinction entre l'humanitaire et le développement.

| <i>Secteurs Couverts</i> | <i>Couverture Géographique</i> | <i>Partenaires</i> | <i>Observations</i> |
|---|---|--|---------------------|
| - Education - Santé - Agriculture péri-urbaine de survie (pisciculture et maraîchage) | - Kinshasa - Bas-Congo - Katanga - Maniema - Kivu - Bandundu | - Société civile - Les ONG missionnaires espagnols (églises) - Nations-Unies | |

Allemagne (Coopération Allemande)

L'Allemagne est présente en RDC par l'aide humanitaire, l'aide d'urgence et alimentaire ainsi que la coopération technique et politique. L'aide humanitaire du Gouvernement allemand est géré par le ministère allemand des affaires étrangères à Berlin. Le ministère intervient avec l'assistance à travers des ONGs ou des organisations internationales. L'aide d'urgence et alimentaire ainsi que la coopération technique sont gérées par le ministère allemand de coopération économique et du développement. La coopération technique intervient à travers l'agence d'exécution GTZ (Coopération technique allemande). L'aide d'urgence et alimentaire est exécuté par la GTZ et/ou par des ONG's ou des partenaires internationaux. La coopération technique allemande qui n'a jamais interrompu sa présence en RDC, est exécuté par la GTZ sur des fonds du Gouvernement allemand.

| <i>Secteurs Couverts</i> | <i>Couverture Géographique</i> | <i>Partenaires</i> | <i>Observations</i> |
|--|---|--|---------------------|
| - Humanitaire: food/cash for work (e.g. construction de routes), camps humanitaires - Aide d'urgence: Déplacés internes/réfugiés/DDRR/communautés de base - Coopération technique: Santé, Protection de la nature, lutte contre la pauvreté (Appui au secteur privé, au développement communautaire et à la société civile), DDRR, appui aux élections | La couverture de la coopération technique est nationale. L'aide humanitaire intervient surtout dans les régions de l'est du pays où il y a toujours un fort besoin. L'aide d'urgence intervient dans plusieurs provinces. | - Agence et mission des N.U. : PAM, FOA, UNOPS, MONUC - Institutions internationales : Banque mondiale, CICR - ONG allemands et internationales - Organisations privées - ONG et institutions locales : FOLECO, COPEMECO, I.C.G, OAC, RIFIDEC | |

Pays-Bas (Coopération Hollandaise)

La coopération des Pays-Bas en l'endroit de la RDC à un mandat humanitaire axé sur la transition au développement.

| <i>Secteurs Couverts</i> | <i>Couverture Géographique</i> | <i>Partenaires</i> | <i>Observations</i> |
|---|--------------------------------|--|---------------------|
| - Médicaments - Déplacés - Nourriture - Eau et assainissement - Enfants - Sécurité alimentaire - Réfugiés | L'est du pays | - Les agences de l'ONU PNUD, PAM, UNICEF, UNHCR, OCHA, FAO, UNMAS - Les ONG : ASRAMES, World vision, Save the Children, RSF-H, ICCO, CORDAID - Banque mondiale (DDR, PRSP) | |

Suisse (DDC - Direction du développement et de la Coopération)

La RDC n'est actuellement pas un pays prioritaire pour la coopération bilatérale au développement. La Suisse ne participe pas aux réunions du groupe consultatif sur la RDC, elle n'est pas membre du CIAT(Comité International Appui à la Transition). Le Domaine humanitaire de la DDC – dans le cadre de son mandat – intervient en faveur des victimes des conflits armés et des catastrophes naturelles principalement à l'Est de la RDC à partir de son Bureau de Coopération (régionale), dont le siège est à Bujumbura (Burundi). Ces interventions se réalisent grâce aux transferts à des organisations multilatérales y compris le CIRC, à des ONG internationales, locales, la société civile ainsi qu'au travers des projets d'urgence de son Ambassade à Kinshasa.

| <i>Secteurs Couverts</i> | <i>Couverture Géographique</i> | <i>Partenaires</i> | <i>Observations</i> |
|---|---|---|---------------------|
| <ul style="list-style-type: none"> - Aide alimentaire; - Personnes déplacées; - Répartition des réfugiés; - Agriculture d'urgence; - Santé et nutrition; - Femmes et enfants victimes de violence; - Médias (Radio OKAPI); - Aide d'urgence et programmes de prévention (OVG) volcan; - Déminage humanitaire | <ul style="list-style-type: none"> - Province Orientale - Nord Kivu - Sud Kivu | CICR, FAO, WFP, OCHA, EPER/HEKS, MEDAIR, MSF-Suisse, Fondation Suisse de Déminage (FSD), Observatoire Volcanique de GOMA, CRONG-D | |

Banque Mondiale

La Banque Mondiale a développé une stratégie d'appui à la transition en RDC focalisée sur la stabilité sociale et la sécurité, la croissance économique, la bonne gouvernance et le renforcement des capacités et le développement social. Pour matérialiser ces objectifs avec l'appui de la Banque Mondiale, la RDC a mis en œuvre un certain nombre des projets dans la réhabilitation des infrastructures de base, le financement des initiatives communautaires, l'appui institutionnel et la livraison des services sociaux, notamment avec le programme multi-sectoriel d'urgence pour la réhabilitation et la reconstruction (PMURR). Dans la coopération humanitaire, la Banque n'est pas outillée pour répondre aux demandes des urgences humanitaires. Néanmoins, il peut arriver que la banque autorise des interventions humanitaires par le biais des partenaires comme les agences des Nations Unies et les ONG internationales lorsque surviennent les catastrophes où la vie humaine est menacée. La Banque, dans des situations de risque de vulnérabilité, élabore des projets où les dispositions sont prises pour ne pas se retrouver dans des situations de catastrophes, tel est le cas de l'appui de la Banque dans le DRSP en RDC. La Banque Mondiale vient d'élaborer un projet de fonds social d'urgence. Ce projet, à volet humanitaire, permet l'amélioration de l'accès des pauvres aux services économiques et sociaux ; l'augmentation de la disponibilité et de la gestion des ressources au niveau communautaire ; ainsi que la fourniture des opportunités pour la génération des revenus aux ex-combattants comme aux civiles victimes ou non des conflits armés

| <i>Secteurs Couverts</i> | <i>Couverture Géographique</i> | <i>Partenaires</i> | <i>Observations</i> |
|--|--------------------------------|---|---------------------|
| <ul style="list-style-type: none"> - Réhabilitation des infrastructures de base - Santé : HIV/AIDS - Appui institutionnel - Education - Environnement - Restructuration des entreprises publiques - Agriculture | National | <ul style="list-style-type: none"> - Ministères du gouvernement - Agents des Nations-Unies - Agences de coopération technique internationale - ONG internationales et locales | |

ANNEX IV – DONOR INFORMATION AVAILABLE ON THE WEB

The information on donor agency websites is not always useful for an up-to-date analysis about the resources dedicated to funding humanitarian assistance in DRC. In some cases, information must be collected from annual reports published months after the close of the fiscal year. The concept of when the year actually begins is another problem, as some countries report according to their own established fiscal year and others report according to the calendar year. In several cases, funds for humanitarian assistance, loans, grants, and contributions to multilateral institutions are not clearly separated. Few countries provide information about actual amounts committed to NGOs or to specific activities (i.e. by sector). Few websites have regular or up-to-date situation reports on activities, although many include press releases on newsworthy activities. In addition, it is often necessary to consult both the sites of the Ministry of Foreign Affairs/State Department and of cooperation departments/institutions in order to collect more complete information. General financial information without breakdowns by country is often buried in lengthy central government general budget documents. No strategic multi-year country plans were found and inconsistent information was published in different sections of the same website. Although websites are able to provide some overviews, in general they do not provide the kind of detailed information necessary to make an accurate analysis of general funding trends, much less more detailed analyses of sectors, partners, geographical regions, etc. The following chart provides some examples of sources of readily-available information (as of October 2004) for a select group of donors (chosen based on their contributions to the CAP 2003).

| Country | Information Available for 2003 | Information Available for 2004 |
|---------------------|---|---|
| United States | <p><u>OFDA Annual Report 2003</u> http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/publications/annual_reports/pdf/AR2003.pdf</p> <p><u>USAID/Democratic Republic of Congo, FY 2004 (June 2004)</u> http://www.dec.org/pdf_docs/PDACA026.pdf</p> | <p><u>Situation Reports</u> http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/countries/drc/fy2004/DRC_CE_SR04_08-20-2004.pdf</p> |
| European Commission | <p><u>ECHO DRC Webpage</u> http://europa.eu.int/comm/echo/field/drc/background_en.htm</p> <p><u>Annual Report 2003</u> http://europa.eu.int/comm/echo/pdf_files/annual_reviews/2003_en.pdf</p> <p><u>ECHO Key Figures on Humanitarian Assistance</u> http://europa.eu.int/comm/echo/statistics/echo_en.htm</p> | <p><u>ECHO DRC Global Plan 2004 (November 2003)</u> http://europa.eu.int/comm/echo/pdf_files/decisions/2004/gp_congo_01000_en.pdf</p> |
| Japan | <p><i>General information and press statements</i> http://www.mofa.go.jp/region/africa/congo/index.html</p> | <p><i>General information and press statements</i> http://www.mofa.go.jp/region/africa/d</p> |

| Country | Information Available for 2003 | Information Available for 2004 |
|----------------|--|--|
| | | r-congo/index.html |
| Netherlands | <p><u>Bijlagen bij Jaarverslag HGIS 2003</u></p> <p>http://www.minbuza.nl/default.asp?CMS_TCP=tcpAsset&id=09D83AC0D39744658904523D0590A044X2X48714X9&.pdf</p> | <p><u>Ministry Fact Sheet (July 2004)</u></p> <p>http://www.minbuza.nl/default.asp?CMS_ITEM=6C4D3488D51C4A0B8CF9D1C0BF9C4915X3X53901X14</p> <p><u>Description of Homogeneous Budget for International Cooperation (2004)</u></p> <p>http://www.minbuza.nl/default.asp?CMS_ITEM=48FB8AF7B6064B1695827F95C9FB2B52X3X51127X64</p> |
| United Kingdom | <p><u>Departmental Report 2003</u></p> <p>http://www.dfid.gov.uk/pubs/files/departreport03full.pdf</p> | <p><u>General Information</u></p> <p>http://www.dfid.gov.uk/countries/africa/congo.asp</p> <p><u>Departmental Report 2004</u></p> <p>http://www.dfid.gov.uk/pubs/files/departreport04chap2.pdf</p> |
| Norway | <p><u>Annual Report 2003</u></p> <p>http://www.norad.no/default.asp?V_ITEM_ID=2467</p> | No information available. |
| Belgium | <p><u>Annual Report 2002</u></p> <p>http://www.dgcd.be/en/partner_countries/congo/tabel_oda.html</p> <p><u>Aperçu des Contributions de la DGCD aux Organisations Internationales Période 2001-2003 (August 2004)</u></p> <p>http://www.dgic.be/documents/fr/cooperation_multi/gele_boek_livre_jaune_2004.pdf</p> | No information available. |
| Canada | <p><u>Statistical Report on Official Development Assistance, Fiscal Year 2002-2003 (March 2004)</u></p> <p>http://www.acdi-cida.gc.ca/INET/IMAGES.NSF/vLUIImages/stats/\$file/StatRep_02_03.pdf</p> <p><u>2003-2004 Estimates A Report on Plans and Priorities</u></p> <p>http://www.tbs-sct.gc.ca/est-pre/20032004/CIDA-ACDI/CIDA-ACDIr34_e.asp</p> | No information available. |
| Sweden | <p><u>General Information</u></p> <p>http://www.sida.se/Sida/jsp/polopoly.jsp?d=2355</p> <p><u>Statistics 2003 South Country</u></p> <p>http://www.sida.se/Sida/jsp/polopoly.jsp?d=2350&a=25132&pfLang=en</p> | <p><u>General Information</u></p> <p>http://www.sida.se/Sida/jsp/polopoly.jsp?d=3400</p> <p><u>Government Budget 2005: Chapter 5 International Cooperation</u></p> <p>http://www.regeringen.se/content/1/c6</p> |

| Country | Information Available for 2003 | Information Available for 2004 |
|---------|---|--------------------------------|
| | <p><u><i>Government Budget 2005: Chapter 5 International Cooperation</i></u> http://www.regeringen.se/content/1/c6/02/97/44/7b0861c7.pdf</p> | <p>/02/97/44/7b0861c7.pdf</p> |

ANNEX V – HUMANITARIAN ACTORS

Responses to the humanitarian crises in DRC are provided by donors, multi-lateral organizations, international NGOs, national NGOs, and local and national authorities interacting in a number of different constellations. The following gives a brief overview of the main humanitarian actors in DRC in 2004.

DONORS

Most bilateral development cooperation with DRC was suspended from 1992 to 2002. At the same time, a number of donors decided to fund humanitarian programs, often coordinated from either Goma (e.g. Belgium and the EC) or neighboring countries (e.g. Switzerland from Bujumbura and Sweden from Nairobi). Over the last couple of years most donors have (re)established missions/embassies in Kinshasa, including Sweden, ECHO, USAID/OFDA, DFID, Belgium, the Netherlands, France, Japan, Switzerland, Spain, Germany, Canada, and Italy. Switzerland's humanitarian and development support to DRC continues to be coordinated from Bujumbura and concentrates on Eastern DRC. Norway and Denmark cover their activities from missions in Luanda and Kampala, respectively. Most donors put great emphasis on working through international NGOs, mainly those from their own countries,⁴⁴ in addition to the UN system. Although most donors do not have any legal requirements for not funding national NGOs, accountability requirements often preclude direct collaboration between a donor and national NGOs.

The decision-making process for humanitarian assistance remains centralized at the level of the donor capitals with some consultations with local missions/embassies. Several of the donor embassies transmit the Consolidate Appeals directly to headquarters while others provide comments and suggestions for funding.

Only ECHO and USAID have human resources specialized in humanitarian assistance in DRC, while the other donors draw on support from headquarters when needed. As such, many donors report that they do not have the capacity to participate in all humanitarian coordination meetings, nor do they have the capacity to provide proper monitoring of the projects they fund. Instead they rely on visits from technical advisors from headquarters.

The requirements in terms of project proposals and reporting vary greatly among the different donors. CIDA, DFID, USAID, and ECHO all require individual proposals with much more detailed information than provided, for instance, in the brief project proposals presented in the Appeals. The Netherlands and Ireland only require the project briefs presented in the Appeals. USAID, Germany, and ECHO require specific end-of-project reports.

OTHER DONORS

When referring to donors there is often an implicit understanding that the reference covers OECD/DAC members – or what have been termed “traditional donors.” However, several

⁴⁴ Some countries, such as Canada, require that NGOs are registered in their country in order to be eligible for funding.

non-OECD/DAC countries such as China, Russia, Turkey, Saudi Arabia, and South Africa support DRC and have intervened in specific and sudden-onset natural disasters, such as the volcano eruption in Goma in 2002. The support is mainly in-kind, and the lack of proper structures for providing humanitarian assistance and policy guidance often causes delays in terms of decision-making, transport, and customs.

One of the most influential non-traditional donors in DRC is probably South Africa, which has provided support to the health sector, the upcoming elections, and demobilization. Humanitarian assistance is provided through a contingency fund managed by the Ministry of Foreign Affairs in Pretoria, although the fund is rather small (around US\$ 10 million for 2004 for global coverage). South Africa has been invited to several OCHA coordination meetings in DRC and expressed interest in collaborating with other humanitarian actors. South Africa's humanitarian support to DRC is registered in the FTS for 2001, 2002, and 2003.⁴⁵

Traditionally, the World Bank (WB) is not considered a humanitarian actor and during interviews for the baseline survey, the WB representative explained that the Bank is not involved in humanitarian activities in the sense of immediate responses. However, many of the WB-supported interventions address the complex emergencies presented in the CAPs in DRC, including rehabilitation of basic infrastructure through projects such as Disarmament, Demobilization, and Reintegration (US\$ 26 million), Emergency Early Recovery (US\$ 50 million), Emergency Multi-Sector Rehabilitation and Reconstruction (US\$ 453 million), and Emergency Social Funds (US\$ 60 million). Furthermore, the WB can respond to emergencies when requested officially by the Government. The WB program in DRC emphasizes risk prevention, particularly for vulnerable groups and a national risk and vulnerability analysis was finalized in 2004. The WB did not participate in the CAP 2004 workshops and generally does not attend the Humanitarian Advisory Group (HAG) meetings or other humanitarian coordination activities in Kinshasa.

UN ORGANIZATIONS

In 2004, 15 UN organizations were involved in humanitarian assistance at the local and national levels in DRC: FAO, the International Labour Organisation, (ILO), OCHA, OHCHR, UNAIDS, UNDP, the United Nations Education, Scientific and Cultural Organisation (UNESCO), UNFPA, UNHCR, UNICEF, UNIFEM, the United Nations Mine Action Coordination Centre (UNMACC), UNOPS, UNSECOORD, WFP, and WHO.

Resource mobilization and donor reporting is done by HQs for most UN organizations, with some support from the field such as donor field visits. However, some country representations of UN organizations in DRC (for example, UNFPA) have embarked on direct donor contact this year.

OCHA plays a crucial role and supports the Humanitarian Coordinator (HC) in carrying out coordination for the UN system and humanitarian partners in DRC, including supporting the

⁴⁵ South Africa's support in 2001 and 2003 consisted of contributions to UNICEF. Since UNICEF automatically registers all humanitarian support as received through the Consolidated Appeal, South Africa's contributions are shown as a response to the CAP 2001 and CAP 2003, although there was no political decision from the donor regarding funding through the Consolidated Appeal or not.

organization of UN Country Team meetings on a regular basis; Humanitarian Advisory Group (HAG) weekly meetings with the participation of IASC members, USAID, ECHO, MONUC, ICRC, and an INGO representative; and weekly information meetings with national and international NGOs, Government representatives, MONUC, donors, and UN organizations. OCHA also plays a key coordination and security role in the provinces, with 11 provincial offices. Another important part of OCHA's coordination role is the information system. Several information documents are produced on a regular basis and distributed to partners electronically, including an extensive weekly monitoring of the humanitarian situation (with a summary in English) and monthly analyses.

INTERNATIONAL NGOS

As in other countries with complex crises, international NGOs (INGOs) are crucial for the implementation of humanitarian activities, particularly for on-the-ground activities in EDRC. According to the draft CAP 2005 (September 2004) there are 95 INGOs actively involved in humanitarian activities in DRC.

There is no formal international NGO coordination platform in DRC. A group of the most active organizations have established an information coalition in Kinshasa and they nominate rotating INGO representatives for humanitarian meetings with limited invitation, such as the weekly HAG meetings. At the provincial level, INGOs meet regularly and there is a general opinion that the NGO coordination at the provincial level is more effective than at the national level mainly due to concrete and common interests.

INGOs with field-based activities are normally in regular communication with their funding agencies. In fact many donors use "their" INGOs as key information sources regarding the humanitarian situation, for instance when assessing needs and defining funding strategies.

NATIONAL NGOS

The lack of government structures to provide basic services has led to the creation of a number of national NGOs (NNGOs), encouraged by the international community's need for local partners for implementing humanitarian activities. Currently, more than 5,000 NNGOs are registered in the Ministry of Planning, but there is no information regarding the number of NNGOs involved in HA. A national NGO platform Société Civile has recently been established.⁴⁶ Several coordination structures exist for NNGOs, including a web-based database available with basic information (resources, funding, partners, and main activities) for 350 of the most active NNGOs. CNONG (Conseil National des ONG de Développement) is probably the most well-known umbrella organization, with the participation of more than 550 NNGOs organized in national and provincial structures. The majority of NNGOs work in development activities, although they often play a critical role, particularly in Eastern DRC, in the delivery of humanitarian assistance in areas not deemed safe for international organizations.

⁴⁶ Société Civile is funded, i.a. by the Canadian NGO Alternatives, www.societecivile.cd

LOCAL AND NATIONAL AUTHORITIES

In 2003, the Transitional Government of DRC created a Ministry of Solidarity and Humanitarian Affairs. The Ministry has very limited resources, and while its mandate in principle is clearly defined, including its role in humanitarian coordination activities, there is still some confusion regarding its role in strategic planning, operations, and its relation with other ministries and humanitarian actors. Its relationship to the Ministry of Social Affairs, previously responsible for the humanitarian portfolio, is also not clearly defined within the Government itself or in relation to the international community. The Ministry has proposed a new law for a national coordination structure—the National Commission for Humanitarian Coordination—involving several line ministries, donors, UN organizations, and NGOs. It has also proposed establishing provincial offices in crisis areas, although no resources are available.

During a meeting for the baseline survey, the Ministry presented some key issues considered of importance for the GHD Pilot, including improved information to the Ministry about humanitarian funding and activities, involvement of national counterparts in needs assessments, and strengthening of local capacity. The Director of the Ministry participated in the CAP 2004 and 2005 workshops and participates on an ad hoc basis in OCHA's weekly information meetings. No regular coordination structures between the Government and the international community exist and there is not a single "focal point" in the Government for issues related to international organizations (registration, visas, tax exemptions, etc.)

Other Ministries that are carrying out humanitarian activities include the Ministry of Social Affairs, Ministry of Budget, Ministry of Internal Affairs, Decentralization, and Security, Ministry of External Affairs, Ministry of Cooperation, Ministry of Planning, Ministry of Women and Family Affairs, Ministry of Health, Ministry of Education, and the Ministry of Land and Reconstruction. These Government authorities interact with UN organizations and national and international NGOs in various ways. Overall, some line ministries, such as the Ministry of Health, have a stronger cooperation with external institutions than others, including involvement in needs assessments at the local level. But the special challenges of the Transitional Government should be noted, including the fact that there are currently more than 70 ministries/vice-ministries, reflecting the large number of political groups in the Government. Problems with overlapping and conflicting mandates are therefore a political reality.

OTHER ACTORS

The scope of this study did not allow for an assessment of other humanitarian actors that play important roles, particularly civil society organizations such as community associations. Likewise, the study was not been able to identify private foundations or other funding sources that support humanitarian activities in DRC.

It should also be mentioned that states in countries with a federal system, e.g. Communauté Française in Belgium and Autonomía de Navarra in Spain, often engage directly in international cooperation, including support to emergencies. Information about this form of cooperation is not gathered systematically at the embassies.

ANNEX VI - IMPACT INDICATORS

Principles and Good Practice of Humanitarian Donorship

*Impact indicators for DRC Pilot
Revised 11 December 2003*

1) **Donor funding is flexible and timely:**

- a) x% of funding pledged to CHAP activities by January 2005
- b) x% of funding disbursed to CHAP activities in the first quarter 2005
- c) x% of funding disbursed to CHAP activities by the end of the second quarter / at the MYR
- d) x% of funding provided (either new funding or through re-allocation) to new activities and/or in newly accessible areas identified at mid-term review and CHAP revision

Note: need to make sure that humanitarian activities are not hampered by lack of available funds, yet no need that all donors disburse in the first month of the year; discussion of funding (intentions) should take place in December 2004

2) **Donors' and agencies' funding is allocated based on needs assessments**

- a) Standard needs assessment criteria elaborated and accepted for all priority sectors
- b) Donor funding for collection of baseline data, in particular number of beneficiaries (disaggregated by sex) and for needs assessments
- c) Joint (i.e. agencies, ngo's, beneficiaries, governments and donors) needs assessments conducted for all priority sectors and results used as basis for CHAP
- d) Priorities in CHAP fully funded to implementation capacity
- e) x% of funding provided for non-priority sectors

Note: it is considered of key importance that assessments be done on inter-agency basis; awaiting work by CAP-sub-working group on needs assessments; no separate funding proposals for doing needs assessments; unforeseen needs assessments (made possible by newly accessible areas) should be funded from EHI-like mechanisms under the control of the HC

3) **Local capacities strengthened**

- a) x capacity building activities for local NGOs and local institutions engaged in humanitarian activities included in CHAP and funded by donors
- b) Local capacity component increasingly included in agencies' and ngo's programs
- c) x activities handed over to local authorities and local ngo's for implementation by December 2005

Note: Value of "x" to be set during the CHAP process.

Best practices of funding local capacity building to be discussed at a later stage

4) UN leadership and coordination role supported by international community

- a) Portion of funds from all donors available for coordination activities
- b) Portion of funds from all donors available for security activities
- c) Coordination component included in all project reports
- d) % of coordination costs agreed to in CHAP are funded on time.
- e) Heads of UN agencies participate in drafting of common strategy.

5) Earmarking is reduced

- a) Percentage of funds pooled at country level;
- b) Percentage of funds agencies bring to country from donors unearmarked at the HQS level
- c) Percentage of funding at less specific level of earmarking, at least at organizational level

Note: prioritized activities in the CHAP must be fully funded, but recognition that no humanitarian organization will be able to reach 100% implementation rate; information on funding for non-priority sectors is necessary to analyze whether funding for non-priorities detracts from funding for priorities. Moving towards unearmarked funds will be directly related to the degree to which all partners can agree upon a common strategy and to which the strategy is based upon solid needs assessments.

6) Funding is made available on longer-term basis

- a) x % of agencies funded on multi-year basis for priority activities

Note: indicator measures percentage of agencies funded on multi-year basis, since multi-year funding for particular sectors is not yet feasible

7) Recovery and long-term development is linked to humanitarian programs

- a) Priorities identified in CHAP given adequate consideration in PRSP/UNDAF
- b) Development programs in place to encourage durable solutions for refugees and IDPs
- c) Extent to which needs are assessed based on vulnerability

Note: CHAP and PRSP/UNDAF should inform one another; same general analysis of country situation should serve as basis for both humanitarian and development programs. Goal is to have exit strategies by humanitarian implementers that are well coordinated with entry programs by development partners.

8) Funding requirements for assistance effort is shared equitably among donors (Does not apply to country pilots but rather to the global level)

- a) More donors providing funding, including x new (non-traditional) donors

Note: goal is to improve burden sharing among traditional and new (non-traditional) donors; all donors should adhere to the Stockholm-principles; improved burden sharing is also a way to decrease the degree to which agencies might be depending on one or a few major donors, which entails risks for their independence and for the sustainability of their programs

9) Established good practices are adhered to by humanitarian implementing partners

- a) SPHERE guidelines applied to CAP programs
- b) Basic humanitarian principles included in all humanitarian programs
- c) IDP country programs are consistent with and promote the Guiding Principles for Internal Displacement
- d) Donor participation in the elaboration of a common humanitarian framework guided by Good Humanitarian Donorship principles
- e) All partners (NGOs, UN agencies, donors, govt) participate in drafting a common humanitarian strategy and implement projects in accordance with the strategy.

Note: the Good Humanitarian Donorship principles (para 16) promote the use of Inter-Agency Standing Committee guidelines and principles on humanitarian activities, the Guiding Principles on Internal Displacement and the 1994 Code of Conduct for the International Red Cross and Red Crescent Movement and Non-Governmental Organisations (NGOs) in Disaster Relief; the IASC Guidelines on Sexual Exploitation and Abuse; and gender-mainstreaming.

10) Safe humanitarian access is promoted

- a) new areas accessed and jointly assessed by humanitarian agencies/ x% of vulnerable population safely accessible by humanitarian workers
- b) x % of new beneficiaries (disaggregated by sex) accessing humanitarian assistance
- c) Outreach strategy articulated jointly with donors

Note: See also Principle 1) d)

11) Contingency planning is supported by donors

- a) Programs exist and funding available for quick-dispersement of stocks/staff

12) Military assets are used appropriately

- a) Regular coordination meetings held between MONUC (civil and military affairs) and the international humanitarian community
- b) Clear understanding of MONUC support of humanitarian activities articulated
- c) Use of military assets for humanitarian interventions in conformity with international humanitarian law and the MCDA Guidelines
- d) Clear understanding exists of terms of interaction with domestic armed forces and any other armed groups.
- e) MONUC agenda for DDR/DDRRR is coordinated with common humanitarian strategy.

13) Evaluate performances

- a) Standard evaluation criteria (linked to needs assessment criteria) for impact elaborated for x sectors (including IDPS) and evaluation(s) undertaken
- b) x % of humanitarian activities evaluated based on standard criteria

Note: donor performance must be part of any evaluation of the DRC pilot; stock taking of various aspects of pilot could be done as soon as February 2005 with a baseline study done in Feb/Mar 2004.

14) Report contributions in timely and accurate fashion

- a) All contributions reported to the FTS in a timely and accurate fashion

Note: donors should also encourage agencies and ngo's to improve their reporting to the FTS

“Agencies” is defined as implementers in the field to include UN organizations and NGOs.

ANNEX VII - OVERVIEW OF BASELINE STATUS OF IMPACT INDICATORS

| Impact Indicator and Sub-Indicators | Baseline Status |
|---|---|
| Flexibility and Timeliness of Donor Funding | |
| 1) Donor funding is flexible and timely | Compared to 2003, information about pledges and contributions was received earlier by the FTS in 2004. There is, however, wide variation among sectors. |
| <i>a. x% of funding pledged to CHAP activities by January 2005</i> | Only Sweden informed about pledges/contributions to the Appeal in January 2004, representing only 2.5% of total requested funds. |
| <i>b. x% of funding disbursed to CHAP activities in the first quarter 2005</i> | 24% of total requested funding was registered by the end of the first quarter of 2004. |
| <i>c. x% of funding disbursed to CHAP activities by the end of the second quarter / at the MTR</i> | 42% of total requested funding was registered by the end of the second quarter (end June) of 2004. |
| <i>d. x% of funding provided (either new funding or through re-allocation) to new activities and/or in newly accessible areas identified at mid-term review and CHAP revision</i> | No information available. (The 2004 Mid-Term Review was not completed due to widespread insecurity and unrest in the country and the interruption of many humanitarian activities.) |
| Allocating Funds in Accordance with Needs Assessments | |
| 2) Donors' and agencies' funding is allocated based on needs assessments | Donors and agencies report that funding is allocated according to needs assessments, but there is a lack of clear evidence regarding the process by which this takes place. |
| <i>a. Standard needs assessment criteria elaborated and accepted for all priority sectors</i> | Standard needs assessment framework only developed and applied in the nutrition sector through the National Nutrition Protocol. |
| <i>b. Donor funding for collection of baseline data, in particular number of beneficiaries (disaggregated by sex) and for needs assessments</i> | No specific examples. Donors generally consider that Agencies' overhead and core funding should fund data collection and needs assessments. |
| <i>c. Joint (i.e. agencies, NGOs, beneficiaries and donors) needs assessments conducted for all priority sectors and results used as basis for CHAP</i> | Joint needs assessments take place regularly in all sectors, although it is not clear if results are used in a systematic way for the CHAP. No central repository with information regarding assessments and main findings. |
| <i>d. Priorities in CHAP fully funded to implementation capacity</i> | No systematic assessment of implementing capacity; no system of matching CHAP priorities to funding. |
| <i>e. x% of funding provided for non-priority sectors</i> | Sectors, activities, and projects are not prioritized in the Appeal. |
| Strengthening of Local Capacities | |
| 3) Local capacities strengthened | No reliable baseline data. |
| <i>a. x capacity building activities for local NGOs and local institutions included in CHAP and funded by donors</i> | Not possible to determine the extent to which capacity-building activities/components given priority within projects or specifically funded by donors. |
| <i>b. Local capacity component increasingly included in agencies' and NGO's programs</i> | "Local capacity building" was a distinct sector in the 2003 Appeal, but not in 2004. |
| <i>c. x activities handed over to local authorities and local NGOs for implementation by December 2005</i> | No examples found for 2004. |
| Support to UN Leadership and Coordination | |
| 4) UN leadership and coordination role supported by international community | All organizations interviewed positively evaluated the UN leadership and coordination role. |

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| <i>a. Portion of funds from all donors available for coordination activities</i> | Six donors have funded two Coordination and Support Services projects in the 2004 Appeal, which represents 6.6% of all Appeal funds received. |
| <i>b. Portion of funds from all donors available for security activities</i> | Not all donors provide support for common security services for the humanitarian community. According to the FTS, Canada, Sweden and the United Kingdom supported security activities in 2003 and 2004. In 2004, the security sector represented 0.6% of all Appeal funds received. |
| <i>c. Coordination component included in all project reports</i> | According to donors, coordination is not included in a systematic way in project report formats. |
| <i>d. % of coordination costs agreed to in CHAP are funded on time.</i> | No costs are included in the CHAP, thus the indicator cannot be measured. However, 56.7% of total Appeal funds received for coordination in 2004 was received in the first quarter. |
| <i>e. Heads of UN agencies participate in drafting of common strategy</i> | Participation and quality and quantity of input varies. |
| Reduction of Earmarking | |
| 5) Earmarking is reduced | Increasing use of instruments such as framework agreements which leads to more unearmarked funding. |
| <i>a. Percentage of funds pooled at country level</i> | Less than 3% of 2004 Appeal funding pooled at country level (Emergency Humanitarian Interventions). New funding pool for emergencies (Rapid Response Fund) being successfully piloted from October 2004. |
| <i>b. Percentage of funds agencies bring to country from donors unearmarked at the HQs level</i> | Relatively few agencies provided information about core funding and unearmarked funds, and never as a percentage of total funds. |
| <i>c. Percentage of funding at less specific level of earmarking, at least at organizational level</i> | Framework agreements increasingly used by donors for both NGOs and UN organizations. However, due to the nature of framework agreements, it was not possible to identify specific information for DRC. |
| Longer-term Funding Horizons | |
| 6) Funding is made available on longer-term basis | The majority of humanitarian contributions are limited to short-term interventions. Nevertheless, many development activities with time spans beyond one year include some type of humanitarian activities. |
| <i>a. x % of agencies funded on multi-year basis for priority activities</i> | No evidence of multi-year funding or commitments for humanitarian activities. |
| Connectedness of the Assistance | |
| 7) Recovery and long-term development is linked to humanitarian programs | In general, humanitarian activities are not comprehensively linked to recovery and development, in part due to uncertainty regarding "transition" funding. |
| <i>a. Priorities identified in CHAP given adequate consideration in the World Bank's Poverty Reduction Strategy Paper (PRSP)/United Nations Development Assistance Framework (UNDAF)</i> | The 2003-2005 UNDAF includes Consolidated Appeals as an important component. PRSP still under development. |
| <i>b. Development programs in place to encourage durable solutions for refugees and IDPs</i> | Development programs given less priority due to extensive life-threatening humanitarian needs among IDP and refugee populations. |
| <i>c. Extent to which needs are assessed based on vulnerability</i> | OCHA has advocated for applying vulnerability as basis for humanitarian assistance. The approach would lead to inclusion of "non-crisis" areas (outside EDRC) in humanitarian programs, which is not readily supported by most donors |
| Overall Donor Participation in Funding the Appeal | |
| 8) Funding requirements for assistance effort is shared equitably among donors (does not apply to country pilots but rather to the global | Two donors provide over 50% of total humanitarian funding and six donors provide more than 75% in 2004. |

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| <i>level)</i> | |
| <i>a. More donors providing funding, including x new (non-traditional) donors</i> | The number of Appeal donors has increased from 9 in 1999 to 19 in 2004. Non-traditional HA donors such as China and South Africa may consider humanitarian funding, but there is no concrete evidence that new donors are putting plans into action. |
| Application of Good Practices | |
| 9) Established good practices are adhered to by humanitarian implementing partners | Reported adherence, but few concrete examples provided. |
| <i>a. Sphere Project guidelines applied to CAP programs</i> | Adherence to Sphere Project guidelines not a criterion for project inclusion in 2004 Appeal. |
| <i>b. Basic humanitarian principles included in all humanitarian programs</i> | Importance of basic humanitarian principles included in 2004 CHAP, including ICRC's Code of Conduct and the Humanitarian Charter on minimum standards; however reference to humanitarian principles does not necessarily inform about the operationalization of the principles. |
| <i>c. IDP country programs are consistent with and promote the Guiding Principles for Internal Displacement</i> | No IDP strategy or system-wide IDP country programs. Training activities undertaken to promote Guiding Principles as part of on-going humanitarian activities in the provinces. |
| <i>d. Donor participation in the elaboration of a common humanitarian framework guided by Good Humanitarian Donorship principles</i> | Not possible to quantitatively assess donor participation in CAP 2004 preparatory activities and whether it was guided by GHD principles. |
| <i>e. All partners (NGOs, UN agencies, donors, govt) participate in drafting a common humanitarian strategy and implement projects in accordance with the strategy</i> | Although many partners participate in drafting of strategy, few were able to express how strategy guides overall humanitarian programs or implementation of projects. |
| Promotion of Humanitarian Access | |
| 10) Safe humanitarian access is promoted | Most donors and implementing organizations involved in projects to improve humanitarian access. OCHA active in advocacy activities for increased humanitarian space. |
| <i>a. new areas accessed and jointly assessed by humanitarian agencies/x% of vulnerable population safely accessible by humanitarian workers</i> | No information about new beneficiaries or estimates of accessible vulnerable populations included in CAP 2004. |
| <i>b. x% of new beneficiaries accessing humanitarian assistance</i> | Ibid. |
| <i>c. Outreach strategy articulated jointly with donors</i> | Donors do not have jointly articulated access strategies nor is there a commonly accepted set of access priorities. |
| Support to Contingency Planning | |
| 11) Contingency planning is supported by donors | No funding shortages for contingency planning observed. |
| <i>a. Programs exist and funding available for quick-dispersement of stocks/staff</i> | No overall coordinated strategy for contingency planning. Numerous, but uncoordinated, contingency measures put in place by donors and implementing organizations, including quick dispersement of goods and staff. |
| Use of Military Assests | |
| 12) Military assets are used appropriately | Humanitarian organizations rely on MONUC's logistical support and many use transport facilities. This dependence raises issues about neutrality and independence of humanitarian actors. |
| <i>a. Regular coordination meetings held between MONUC (civil and military affairs) and the international humanitarian community</i> | MONUC participates in weekly HAG meetings and weekly information meetings organized by OCHA in Kinshasa. Joint coordination meetings are also held at the provincial level. |
| <i>b. Clear understanding of MONUC support of humanitarian activities articulated</i> | Most donors and implementing organizations understand and appreciate MONUC's role in providing logistical support (cargo and humanitarian transport). Other activities (leadership and coordination, negotiating access, joint assessments) at the |

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| | provincial level sometimes overlap with OCHA/UN roles and understanding is less clear. |
| <i>c. Use of military assets for humanitarian interventions in conformity with international humanitarian law and the Military and Civil Defense Assets MCDA Guidelines</i> | Time constraints and competing priorities prevented the team from systematically exploring this area, and therefore no firm conclusions were reached. |
| <i>d. Clear understanding exists of terms of interaction with domestic armed forces and any other armed groups</i> | Both OCHA and MONUC negotiate access with local armed groups in EDRC as needs arise. |
| <i>e. MONUC agenda for Disarmament, Demobilization and Reintegration (DDR)/Disarmament, Demobilization, Repatriation, Resettlement and Reintegration (DDRRR) is coordinated with common humanitarian strategy</i> | MONUC participated in CAP 2004 activities, but its strategy for DDR/DDRRR is not coordinated with the common humanitarian strategy. |
| Performance Assessment | |
| 13) Evaluate performances | CHAP does not include an overall monitoring and evaluation framework and generally no standard evaluation criteria are applied when ad hoc evaluations are undertaken. |
| <i>a. Standard evaluation criteria (linked to needs assessment criteria) for impact elaborated for x sectors (including IDPs) and evaluation(s) undertaken</i> | Evaluations undertaken on an ad hoc basis with no use of standard evaluation criteria for most activities. |
| <i>b. x% of humanitarian activities evaluated based on standard criteria</i> | No systematized information on evaluations undertaken during 2004. |
| Timely Reporting of Contributions | |
| 14) Report contributions in timely and accurate fashion | See indicator 1. |
| <i>a. All contributions reported to the FTS in a timely and accurate fashion</i> | See indicator 1. |

**ANNEX VIII - TERMS OF REFERENCE
for the Baseline Survey of the
Good Humanitarian Donorship Pilot in the
Democratic Republic of the Congo**

1. Background

1.1 The Good Humanitarian Donorship (GHD) initiative was launched in June 2003 by 18 donors seeking to improve donor response to humanitarian assistance and protection needs through increased equity, effectiveness, efficiency and accountability of donor responses. At this meeting, donors endorsed a set of Principles and Good Practices for GHD, and developed an Implementation Plan to ensure they would be realized. Building on previous commitments made by donors at their annual review of the Consolidated Appeals Process (CAP) in Montreux, Switzerland as well as the Humanitarian Financing Work Programme, the GHD Implementation Plan included, among five key follow up measures, the identification of at least one crisis subject to a CAP in which to pilot the GHD principles and good practices in 2004 and 2005. Burundi and the Democratic Republic of the Congo were subsequently chosen for the exercise. In order to allow a real-time evaluation of the pilot approach in 2005, donors decided to gather quantitative and qualitative baseline data on donor behaviour and funding in the DRC in 2004, against which they could measure the progress of the GHD initiative in 2005. In support of this initiative, the Inter-Agency Standing Committee (IASC) requested OCHA, with funding from DFID, to oversee the conduct of an independent baseline survey.

2. Purpose

2.1 The baseline survey will serve to provide a snapshot of donor behaviour in 2003 and 2004, as defined by the impact indicators that donors themselves developed to measure progress against each of the GHD Principles and Good Practices. It will also help donors to plan for the real-time evaluation of the DRC pilot in 2005.

2.2 The objectives of the baseline survey are to provide donors with:

- Concrete qualitative and quantitative data on donor funding and behaviour against the impact indicators for the DRC GHD pilot;
- An analysis of experience and perceptions of strategic planning for and implementation of the humanitarian response in the DRC; and
- Identification of issues key to the conduct of the real-time evaluation in 2005, both substantive and methodological. This should include key observations pertaining to the actual implementation of the pilot in 2005, as well as about the coherency of the indicator framework.

3. Scope

3.1 The baseline survey may cover experience in previous years, but will focus mainly on the development of the 2004 CAP (throughout 2003), as well as its actual implementation in 2004. In doing so, the evaluators will consider each of the impact indicators. While the survey

will focus on the CAP, it will also examine all other funding mechanisms, as well as appeals and strategic planning processes, employed by donors in the DRC. Contextual analysis on the operating environment within the DRC will be provided as necessary to explain or elucidate donor behaviour, but will not be the main thrust of the survey.

4. Key issues

4.1 The attached impact indicators for the DRC pilot will serve as the framework of issues to be addressed.

4.2 Key questions pertaining to experiences with the CAP will include:

- What are donors' motivations for funding through or outside of the CAP?
- To what extent has funding outside the CAP been based on priorities reflected in the Common Humanitarian Action Plan (CHAP)?
- What funding patterns and donor preferences exist (geographically, historically, politically, intra-year or by sector) and why? What has been the impact of these preferences on addressing needs?
- To what extent is the CAP an effective resource mobilization tool?

4.3 In addition, the pilot should examine how social roles and gender issues are taken into account in designing and implementing response strategies.

5. Recommendations for the real-time evaluation of the DRC pilot

5.1 The survey will provide suggestions for the conduct of the real-time evaluation of the DRC pilot, including:

- The evaluation timeframe and main milestones;
- Key issues to be addressed, including observations on the coherency of the indicator framework; and
- Identification of critical areas in which GHD can be expected to make a difference.

6. Methodology

6.1 The evaluation will be based on findings from a field mission to DRC in addition to interviews at headquarters in person and by phone with key representatives from all major UN agencies, OCHA, donors and NGOs and will include on analysis of data from key monitoring systems, such as the CAP Financial Tracking System (FTS).

6.2 A first briefing with the leading consultant is to be foreseen with key persons from OCHA as managing body of this evaluation, DFID as financer, and USA and Belgium as lead Donors for the GHD initiative in DRC.

7. Management and Organisation

7.1 A team comprising an international expert as lead consultant and a local consultant is to be appointed and paid through OCHA.

7.2 The present ToR is valid for the international expert. The local consultant will be appointed directly by OCHA DRC under a separate contract, but will work under the supervision of the expert. The local consultant(s) should be selected by the team leader.

7.3 The evaluation is commissioned by OCHA and will be managed by OCHA's Evaluation and Studies Unit, in close collaboration with USA and Belgium. The funds are provided by DFID (CHAD), but the financial management and accounting will be overseen by OCHA.

7.4 Reporting to main stakeholders (IASC members, humanitarian actors outside IASC, Government of DRC) will be decided between the consultant, DFID and OCHA.

8. Qualification of evaluators

8.1 The chosen consultants should have:

- an Advanced University Degree in Social Sciences or equivalent;
- a minimum of ten years experience in humanitarian aid work;
- a solid record of evaluation of humanitarian action at institutional and/or strategic level,
- be familiar with issues of humanitarian financing and funding practices of all major donors;
- in-depth knowledge of main humanitarian (CHAP/CAP) and development aid (CCA, UNDAF, PRSP) planning frameworks;
- in addition practical experience with the Consolidated Appeals Process (CAP);
- be well familiar with the functioning and roles of the UN system, NGOs and donors;
- have excellent English writing skills and be able to speak and understand French;
- excellent communication and presentation skills in English and in French (as he/she is expected to feed back results to high-level donor and agencies meetings both at HQ and in the field);
- be familiar with the context of DRC and it's latest developments.

8.2 If the international consultant is a man, the local consultant should ideally be a woman and vice-versa.

9. Reporting requirements

9.1 The consultants will provide a:

- Two-page inception report.
- One-page debriefing document containing the main findings of the mission will be provided out to main stakeholders (i.e. OCHA CO director, DFID Country representative and main agencies representative) before the end of the mission, ideally at a debriefing meeting.
- Succinct 10,000-word report, including a 1,000-word executive summary should be submitted at the agreed deadline (see next §). The baseline information should be

summarized in a matrix, and whenever possible be depicted graphically. The reports should be made available in English and French (translation to be foreseen). If requested, the consultant may translate the report into French.

- The report should give clear answers to the key questions, referring to the method used to collect the findings, as well as constraints. The report should be structured according to the key objectives and contain clear findings, conclusions and recommendations. Annexes should contain the list of key informants, statistical charts, the TOR, inception report, preliminary findings report other useful documentation to illustrate the findings.

10. Planning and time schedule

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|---|---------------------------------------|
| Finalising TOR | by end of June 2004 |
| Recruitment and contracting of consultant | beginning of July 2004 |
| Briefing of consultants | Meeting in Geneva tbd July / August |
| Inception report | early August 2004 |
| Mission to DRC (12-18 working days): | End August / beginning September 2004 |
| Draft Report | Mid September 2004 |
| Debrief meeting | End September 2004 |
| Final Report | 8 October 2004 |

11. Background materials

- Burundi Baseline Evaluation report
- DRC CAPs 2002-2004
- Bassiouni Report
- CAP Launch Review report
- Montreux IV and V final documents
- Stockholm final documents
- CAP External Review Report
- IASC CAP SWG Needs Assessments Framework and Matrix
- Humanitarian Financing Work Programme Research

ANNEX IX - INCEPTION REPORT

Baseline Survey
Good Humanitarian Donorship Pilot – Democratic Republic of the Congo
Inception Report
Lene Poulsen, Teamleader

Background

Increased awareness of inadequate responses from donor governments to major humanitarian crises led to the organization of an international conference on Good Humanitarian Donorship (GHD) hosted by the Government of Sweden in June 2003. The participants included representatives from 18 donor governments representing over 90% of humanitarian assistance, members of the IASC, and special invited resource persons. Participants agreed on a set of Principles that donor governments should adhere to in order to improve the coherence and effectiveness of international responses to humanitarian crises, including:

- flexible and timely donor funding according to needs and on the basis of needs assessments and beneficiary participation;
- funding of new crises should not negatively effect funding;
- beneficiaries should participate in the design, implementation, and monitoring and evaluation of humanitarian responses;
- national and local capacity for crisis management should be strengthened;
- funding should facilitate transition towards long-term sustainable development;
- coordination of humanitarian activities under UN leadership should be supported;
- the Consolidated Appeals Processes (CAP) should be reinforced;
- funding should result in improved implementation practices by aid agencies;
- common standards for humanitarian activities should be developed;
- humanitarian agencies' response readiness should be strengthened;
- military assets should be use appropriately; and
- organizations involved in humanitarian activities should strengthen their learning and accountability measures.

Furthermore, the Principles stress that humanitarian assistance should be guided by humanitarian principles, namely impartiality, neutrality, and independence.

The Conference also called for the identification of at least one crisis “subject to a Consolidated Appeals Process to which the Principles and Good Practice of Humanitarian Donorship will be applied in a concerted and co-ordinated manner no later than 2005”. Donor governments decided in consultation with the UN to pilot GHD principles in Burundi and the Democratic Republic of the Congo (DRC) in 2004 - 2005. The GHD pilot in DRC is chaired by Belgium and the US. The pilots will be evaluated in real-time in order to draw lessons-learned and, as necessary, improve them. A baseline is therefore needed and donor governments have requested the IASC to commission an external study of the GHD pilot in the DRC CAP.

Establishing the Baseline

To establish the baseline, IASC requested OCHA to undertake a Baseline Study through contracting a group of independent consultants and OCHA recruited a team of three persons, Lene Poulsen, team leader, Julie Thompson, CAP expert, and Charles Kinkela, national expert. The Team initiated its work in mid-August with a series of meetings with operational agencies and donor governments in New York, Rome, and Geneva. In addition, complementary phone interviews were conducted with several donor agencies.

In preparation for the study, the GHD Pilot Working Group established by the donor governments⁴⁷ has developed a set of impact indicators to form the basis of the real-time GHD evaluation. During meetings with the GHD DRC Pilot Facilitators and a representative of the Government of Canada in Geneva in August, the scope of work of the Baseline Survey was agreed upon:

- The Baseline Survey will focus on the GHD Impact Indicators developed by the GHD Pilot working group (www.reliefweb.int/ghd/GHDDRC-indicatorsrevised18-12-2003.doc);
- The Baseline Survey Team will suggest additional indicators for evaluating donor behavior;
- The Team will suggest a methodology and elements for the Baseline Evaluation;
- In addition to information provided by key agencies and organizations, the Baseline Survey will be guided by the outcome of the International Meeting on GHD in Stockholm, the Montreux process⁴⁸, the Humanitarian Financing Work Program,⁴⁹ and the OCHA Financial Tracking System. The Baseline Survey will also use general studies on donor behavior, for instance OECD/DAC working papers and studies on funding structures in donor agencies;

⁴⁷ In order to implement the Principles from the GHD Conference, the donors established a GHD Implementation Group as well as four sub-groups focusing on 1/Peer Reviews, 2/Piloting the GHD at the level of countries with complex emergencies, 3/Statistics and definitions, and 4/Harmonization.

⁴⁸ The Montreux Process was established in 2000 as a forum for donors to discuss and improve the CAP and the coordination of humanitarian emergencies. Since Montreux I in 2000, these donor retreats have taken place annually and have led to a number of Common Observations suggesting activities to improve donor practices in order to respond more efficiently to humanitarian needs. The GHD initiative is closely linked to the Montreux Process and the Common Observations are therefore also seen as relevant for the Baseline Survey. The Common Observations from Montreux V (2004) called for donors to become more active partners in the whole CAP cycle; strengthen prioritization within the CAP and minimize funding of projects outside the CHAP; ensure transparency and predictability of funding; and improve the common needs assessment framework and its use. Furthermore, Montreux V stressed the importance of the GHD Pilots and requested donors to brief their field colleagues and present funding plans by April 2004. It was also determined that donors should promote NGO participation in the CAPs in the pilot countries. Finally, Montreux V called for the IASC Country Teams, the Humanitarian Coordinator and OCHA to identify how the CAP cycle adds value and increases the efficiency of the humanitarian activities of each stakeholder.

⁴⁹ The Humanitarian Financing Work Programme was initiated by IASC members and a group of donors with the purpose of analyzing the relationship between humanitarian funding and actual needs. A number of studies have been commissioned by the program, including “Global Humanitarian Assistance 2003,” “Measuring Needs,” and “The Quality of Money”.

- Special attention will be given to needs assessment in the context of the current Pilot of the Joint Needs Assessment Framework;
- Attention will also be given to other relevant pilots and innovative donor procedures and practices, such as the current WFP Pilot on the Business Practice Review that is being piloted in DRC.⁵⁰
- The Team will visit Congo from 2 September to 21 September to establish the baseline. Meetings and interviews with donor representatives, agencies involved in humanitarian assistance to DRC, Government representatives, and representatives from the beneficiaries will provide basic information for the baseline;
- The Team will undertake additional interviews with key donor agencies and operational humanitarian agencies in Brussels and Washington and telephone interviews with other major humanitarian actors;
- The Team will brief the GHD Pilot sub-group in Geneva on the major outcomes of the mission on September 23 and will produce a two-page briefing document;
- The Team will strive to finalize the draft document by October 8;
- The input from the Baseline Survey will be presented at the GHD meeting in Ottawa organized by the Government of Canada on October 21 and 22.

Objective

The objective of the Baseline Survey is to identify experiences with donor responses to humanitarian needs in the DRC prior to the GHD pilot in order to better measure progress towards achieving the goals of the GHD. Special emphasis will be given to the CHAP/CAP.

Outputs

- Two-page debriefing document
- A succinct 10,000-word report, including a 1,000-word executive summary
- Suggestions for real-time evaluation

Timing

The tentative schedule for the Baseline Evaluation is:

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|--|----------------|-------------------|---------------------|----------------------|--|--------------------|
| | August 18 - 31 | August 18 – 20 | September 2 – 22 | September 23 - 25 | September 29 - 30 October 1 - 8 | October 21 – 22 |
|--|----------------|-------------------|---------------------|----------------------|--|--------------------|

⁵⁰ Through the Business Practice Review (BPR) an internal Bank facility will be established that will lend money to crises operations based on donor forecasts. DRC requested a first advance in June for the 4th quarter – it is expected that the advance will be transferred in the beginning of September. The success of the BPR initiative relies on the availability of funds and how donors follow through on their commitments.

| | | | | | | |
|---------------------------|--|-----------------------------|----------------|---------------------------------|-----------------------------|--------------------------------|
| International Consultants | Inception of Consultancy – preparatory studies | Meetings in Rome and Geneva | Mission to DRC | Meetings in Brussels and Geneva | Preparation of Draft Report | Ottawa Conference, Team-leader |
| DRC Consultant | Inception of BE, preliminary mapping of humanitarian stakeholders in DRC | | | Preparation of Draft Report | -- | |

Pilot Program

In order to initiate a dialogue with stakeholders in DRC and Burundi on the Pilots, the Pilot Facilitators, DFID,⁵¹ USAID,⁵² and DGDC⁵³ visited Kinshasa and Bujumbura in December 2003.⁵⁴ The visit confirmed the Humanitarian/Resident Coordinators’ interest in the GHD Pilot—a key condition for the three facilitating agencies. Overall, it was found that donors are not sufficiently involved in the CAP/CHAP process and that both UN Agencies and the donors need to address this issue in order for the GHD Pilot to be successful. Presently, the access to flexible funding is limited, e.g. the Central Emergency Revolving Fund is difficult to access, and new modalities and procedures should be identified and developed. The stakeholders in the Pilot countries expressed clearly that the GHD pilots should be developed in a way that would not create extra burdens for the stakeholders.

The visits to the two countries discovered more interest in the GHD principles in Burundi than in DRC; reportedly due to less coordination problems in DRC than in Burundi. In fact, the facilitating agencies highlighted the low participation of donors represented at a donor meeting in Kinshasa organized during the mission. Furthermore, the major constraints for humanitarian activities in DRC are more linked to access and capacity than to funding as such. The vastness of the country and the enormity of unmet needs cause all operational agencies to feel that they are stretched beyond capacity. As the complexity of the needs is expected to increase as a result of the progressing peace process, prioritization has become even more important. The mission discussed the possibility of limiting the Pilot to two key areas in DRC: Ituri and the Eastern Congo, as it was considered that covering the whole country would lead to a very difficult Pilot process. However, apart from the vastness of the geographical area, the mission did not identify the exact problems linked to piloting on a country-wide basis and interviews with various donors in preparation of the Baseline Survey revealed mixed points of view regarding the challenges of a comprehensive pilot project. During the interviews, many donors highlighted the fact that Kinshasa is located more than 3,000 km from the principal crisis areas in DRC. Furthermore, several donors providing humanitarian assistance to Eastern Congo are not based in Kinshasa, but in more nearby cities such as Bujumbura.

Interestingly enough, the CHAP in its present form is considered too closely linked to the UN system and the fund-raising functions and the mission called for delinking the strategy formulation from the CAP. This is definitely a point that needs to be further clarified during the Baseline Survey in order to see if it is really a delink that is required or rather an improved CHAP as part of

⁵¹ UK’s Department for International Cooperation.

⁵² US Agency for International Development.

⁵³ Belgium’s Directorate-General for Development Cooperation.

⁵⁴ DFID, report on “Good Humanitarian Donorship: Country Pilots Visit to Burundi & Democratic Republic of Congo 8-13 December 2003.”

the CAP, as called for by many stakeholders, including the donor representatives participating in Montreux V.

In stressing the needs for enhanced strategy development for humanitarian assistance, the mission also called for improved transition strategies, including exit plans and the transition to development activities. MONUC and World Bank should play a key role in the transition.

Finally, the mission concluded that more attention should be given to needs assessment, particularly in terms of peoples' vulnerabilities, in order to strengthen the link between emergency and development activities. In this context, it should be noted that DRC prepared an IPRSP in 2004 and that the World Bank prepared a Transitional Support Strategy in January 2004 that could provide important frameworks for the post-conflict period. It should also be noted that DRC does not have an updated CCA, the UNDAF is under preparation, and no Millennium Development Goal (MDG) report has been prepared so far.

The Pilot Facilitators have developed a timetable of Pilot activities for the GHD Pilot in DRC, including:

- Development of a set of impact indicators;
- Development of preliminary assistance strategies;
- Baseline Survey and survey of needs assessments;
- Needs assessments; and
- Evaluation of the Pilot.

The Final Evaluation of the Pilot is planned to take place in the beginning of 2006.

ECHO has been identified as donor lead for health needs assessments while USAID/OFDA is lead for food security. Other lead agencies need to be identified.

A GHD workshop was organized in Kinshasa on July 27, bringing together donors, NGOs, UN Agencies and other stakeholders to define priorities for humanitarian activities in DRC. According to the workshop summary,⁵⁵ priority sectors were defined for each beneficiary group instead of defining priority activities. In continuation of earlier discussions about the importance of defining needs according to vulnerability (as discussed, for instance, in the GHD mission report referred to above), the workshop participants concluded that criteria for vulnerability still need to be defined. Still, special vulnerable groups were identified, such as IDPs, refugees, returnees, host populations, women and children, victims of gender-based violence, and forgotten victims of conflict. Participants also favored a national approach rather than a more limited focus on the Eastern Congo considering that the majority of humanitarian activities will only be implemented in conflict affected areas anyway. Workshop participants suggested that priorities should be defined according to the following criteria: saving lives, alleviating suffering, providing basic inputs for recovery, and addressing acute emergency/chronic emergency. While these activities might be very useful for the CAP process, it needs to be assessed how they actually improve donor behavior.

For the preparation of the 2005 CAP, the "humanitarian community" has prepared a common strategy for 2005⁵⁶. The strategy is based on four workshops organized at the provincial level during which participants developed a common understanding of the context, developed scenarios, identified priority needs, and showed complementarity among the actors. The strategy stresses that

⁵⁵ Good Humanitarian Donorship workshop, Kinshasa, 27 July 2004. Workshop summary prepared by OCHA.

⁵⁶ OCHA "RDC : Stratégie Humanitaire Commune", OCHA – DRC, 2004.

OCHA « Document d'orientation pour l'atelier sur les stratégies humanitaires 2005 en République Démocratique du Congo » - Background document for the workshop on the Humanitarian Strategy 2005 for DRC.

the humanitarian needs are enormous and exceed the capacity of the humanitarian organizations and donors. This point is important. Often, the projects presented in the CAP documents are criticized for being resource-based instead of demand-driven. It is therefore also important that the prioritization be used as a way to respond to take potential resources into consideration, while simultaneously taking the time to make a proper needs analysis. The prioritization should also consider the capacity constraints of the operational agencies.

The DRC Humanitarian Strategy presented in the CAP 2004 focused on saving lives, reducing vulnerability, and improving coordination mechanisms and the transition towards development. The 2005 strategy notes that improvements have taken place for all three focus areas. Still, it is noted that in spite of sectoral commissions in the provinces, there is still a lack of local strategies and that the transition towards development is hampered by the lack of involvement of development partners. The transition is also hampered by the deteriorating security situation, which has direct implication for staff members of humanitarian and development organizations. The 2005 strategy calls for donors to provide flexible funds and establish a consultative group between GHD and development partners. DFID's new initiative, the "Rapid Response Fund," is mentioned as a good practice.

Donor Behavior

In addition to assessing the impact indicators, the Team will develop additional indicators to describe donor behavior as expressed through procedures and practices. As presented by the Norwegian Agency for Development Cooperation (NORAD) and SIDA during the OECD High Level Forum on Harmonization,⁵⁷ "donor behavior is not something apart and separate but an important policy issue." Furthermore, donor behavior should be seen as the result of the relationship between operational humanitarian agencies and the donors.⁵⁸ From that it also follows that donor behavior can only be understood when using both qualitative and quantitative indicators.

In order to establish indicators for donor behavior, the Team will address a number of questions including:

- Conditions for funding (e.g earmarking, special requirements, tied aid, accountability and reporting requirements);
- Cycles of pledging and payment (e.g. processes for funding decisions, disbursement procedures, history of unrequited pledges, timeliness and predictability of funding);
- Individual country plans;
- Role of needs assessments;
- Links between humanitarian and development activities;
- Role and use of CAP/CHAPs;
- Level of bilateral humanitarian aid;

⁵⁷ Discussion of Lessons of Harmonization Experience – Country and Agency Perspectives, by Director General Tove Strand, NORAD, and Acting Director General Jan Bjerninger, OECD High Level Forum on Harmonization, 24-25 Feb 2003, Rome, www.norad.no/items/684/25/6653410804/High-level%20Forum%20on%20Harmonization.doc

⁵⁸ See for instance Joanna Macrae, Adele Harmer, James Darcy and Charles-Antoine Hofmann (2004) "Redefining the Official Humanitarian Aid Agenda", ODI Opinions 8. www.odi.org.uk/publications/opinions/8_aid_agenda_04.html

- Funding of NGOs (e.g. can donor fund NGOs directly);
- Consideration of transaction costs;
- Public information regarding humanitarian funding;
- Experiences with coordination, alignment, and harmonization of humanitarian assistance;
- Capacity building considerations;
- Gender mainstreaming, the role of women, and sexual violence;
- Monitoring and evaluation; including results-based management and use of SMART indicators;
- Sharing of data and use of common data facilities.

Considering that communication, free flow of information, and knowledge management is key for coordination and effective collaboration among different organizations, the Team will pay special attention to communication structures, availability of information, perceived relevance and use of information, role of the MYR in the communication structure, and means and “rules” (formal and informal) for information sharing and dissemination.

Team

The Team will consist of three Consultants:

1. **Lene Poulsen, Team leader:** 17 years international experience including M&E and indicator development for international sector initiatives, national development programs, and integrated development initiatives with assignments for a number of UN agencies (incl. FAO, UNDP, UNDCP, UNSO, UNEP, UNCCD, and OCHA), EU, Bilateral donors (incl. SIDA and DANIDA), and International NGOs (incl. CARE, ENDA-TM, and IUCN). Good analytical, presentation and communication skills. Training experience on issues such as logical framework, gender mainstreaming, harmonization of development initiatives, and resource mobilization.
2. **Julie Thompson:** Extensive hands-on experience in the CAP/CHAP process at country level, including coordination and participation of UN Agencies, NGOs, donors and other stakeholders, and follow-up activities such as financial tracking. More than 13 years work experience from a number of international assignments focusing on humanitarian assistance, human rights, and development cooperation. Excellent communicator.
3. **Charles Kinkela:** Extensive knowledge of humanitarian actors in DRC, and consulting experience from a number of assignments assessing aid strategies with UN humanitarian agencies (incl. FAO, UNDP, and WFP), WB, and international NGOs (incl. Concern World Wide). More than 25 years experience in the food sector, including food distribution and storage and rural market structures. Excellent networker and communicator.

The three team members have full working proficiency in English and French. The CVs of the three team members are attached to this proposal.

ANNEX X - RESOURCE PERSONS INTERVIEWED

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| Vincent Makaya | Canadian Embassy | Economic Advisor | +243-81 052 4695 | Vincent.makaya@uaprdc.org |
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|--|---|-------------------------------|------------------|-------------------------|
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ANNEX XI - DOCUMENTS CONSULTED

Buchanan-Smith, Margie and Folster, Natalie (2002) “Canada’s international humanitarian assistance programme: policy oversight mechanisms” Background Research Paper for HPG – ODI.

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