

# **global humanitarian assistance report 2018**

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Bangladesh, 2017

A Rohingya refugee girl in a temporary UNICEF learning centre in Kutupalong, Cox's Bazar.

Credit: Russell Watkins/DFID



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# foreword

Welcome to the *Global Humanitarian Assistance Report 2018*.

In 2017, conflicts and disasters around the world left an estimated 201 million people in need of the 'last resort' of international humanitarian assistance in order to cope and survive. The conflicts in Syria, Yemen and South Sudan continued to cause suffering and displacement for many millions of people. Meanwhile disasters in the Caribbean and droughts and food insecurity in the Horn of Africa devastated the lives and livelihoods of many more. Elsewhere, crises from Burundi to Ukraine continued to affect large populations but garner few international headlines.

It is now two years since the World Humanitarian Summit brought humanitarian donors, responders and affected people together to agree how crises need to be dealt with differently. Bold commitments were made to shift the financing model – to diversify the donor base, reduce need and improve efficiencies. Two years on, how are we measuring up? On the one hand, we are starting to see some important innovations gather momentum: a focus on insurance and anticipation, more funding for cash transfer programmes, and greater investments from multilateral development banks. On the other hand, we are seeing a slow-down in international humanitarian financing, inadequate long-term development funding, and little progress in supporting localisation.

Many of you are dealing with the difficult daily realities of how to advance these commitments and how to best spend increasingly constrained resources. To do this, you need accurate, transparent data and reliable analysis. In response, the Global Humanitarian Assistance (GHA) report has been presenting the most comprehensive available data in an independent, rigorous and accessible digest since 2000.

Each year we adapt and update the GHA report to respond to the feedback of our readers and to the changing context. So this year we are pleased to introduce a new approach – a concise presentation of the essential facts and figures that you need at your fingertips. This forms part of Development Initiatives' wider programme of humanitarian analysis, and we will be publishing in-depth research on pressing issues in crisis financing to accompany the GHA report over the coming year. This will be on cash programming, multi-year financing and demystifying the array of financial instruments and mechanisms used by humanitarians. All these will be available on our website.

As ever, we welcome your feedback on the report as well as your ideas on how we can further support your work. Improving the way the world prevents, prepares for and responds to the crises that affect the most vulnerable people remains a critical challenge. It is one we must approach collectively, with the best possible data and evidence to guide us – we look forward to continuing to be part of that effort.

Thank you for your interest.

**Harpinder Collacott**  
Executive Director



Uganda, 2017

Women get their cereals measured at a grinding mill inside Bidi Bidi refugee settlement in Yumbe district.

Credit: Edward Echwalu/EU ECHO



# executive summary

# humanitarian assistance in numbers

## poverty and crisis risk\*

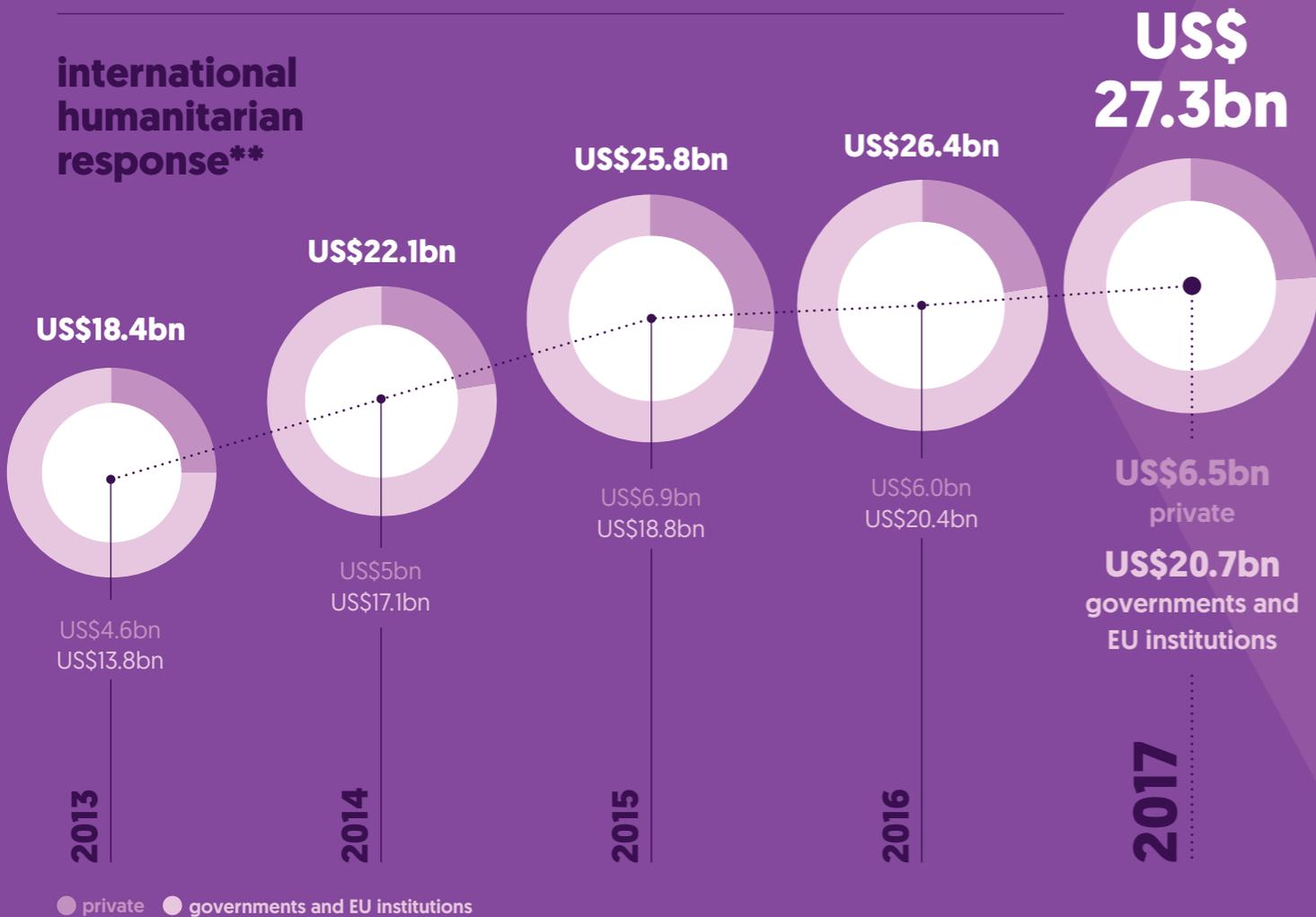
2bn poor people worldwide



753m of these are in extreme poverty



## international humanitarian response\*\*



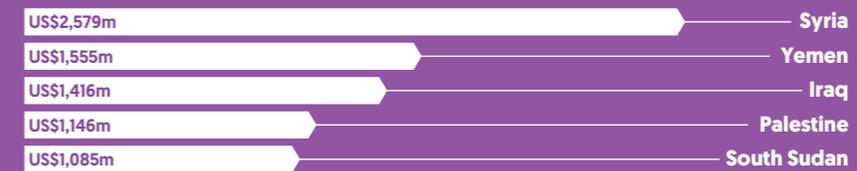
## where does this come from?

donors, 2017 (largest by volume)\*\*\*



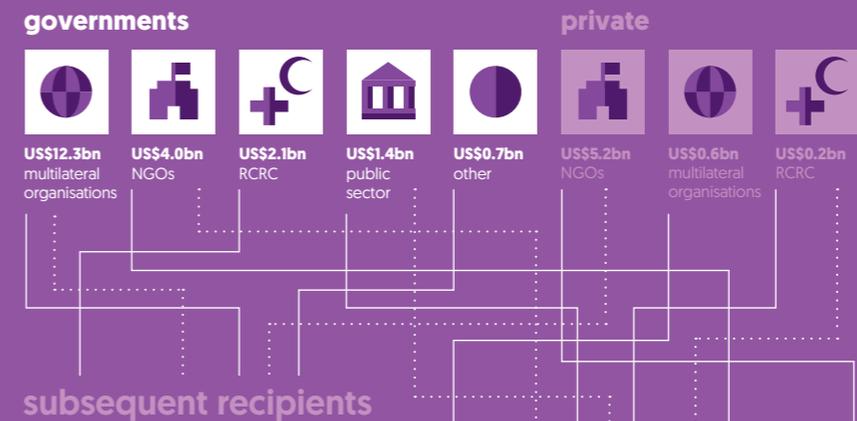
## where is it going?

recipient countries, 2016 (largest by volume)



## how does it get there?

first-level recipients



resource mix in the 20 countries receiving the most international humanitarian assistance, 2016

1.7% official humanitarian assistance



## UN-coordinated appeals 2017

proportion of requirements met and unmet

41% shortfall

Notes: \*Poor people are defined as those living on less than \$3.20 a day, extreme poverty is defined as living on less than \$1.90 a day. \*\*Data consists only of humanitarian assistance directed internationally by donors. \*\*\*Contributions of EU member states include an imputed amount of the EU institutions' expenditure. EU institutions are also included separately for comparison and are shaded differently to distinguish from government donors.

For sources and full notes see Figures 1.1, 1.5, 2.1, 2.2, 2.5, 3.1 and 4.1. Turkey is shaded differently because the humanitarian assistance it voluntarily reports to the DAC is largely comprised of expenditure on hosting Syrian refugees within Turkey so it is not strictly comparable with the international humanitarian assistance totals from other donors in this figure. Data for 2017 is preliminary.

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## executive summary

An estimated 201 million people in 134 countries needed international humanitarian assistance in 2017, a fifth of whom were in just three countries – Syria, Yemen and Turkey. A small number of complex crises continue to absorb the majority of humanitarian assistance – 60% of all assistance was channelled to 10 countries only, with 14% going to Syria, the largest recipient, and 8% to Yemen, the second-largest.

Conflict continues to feature as a main contributor to humanitarian need. Syria was the single largest recipient of humanitarian assistance for the fifth consecutive year, while Greece and Turkey featured among the 10 largest recipients of international humanitarian assistance for the first time.

A complex dynamic between poverty, environmental vulnerability and fragility continues to affect significant numbers of poor people. Of the 753 million people living in extreme poverty, 59% were living in countries affected by either fragility, environmental vulnerability or both. While some countries have shown improved capacity to cope with shocks, the lack of subnational data masks significant local variations in community resilience.

International humanitarian assistance remains a critical resource to meet the needs of people affected by crisis, and 2017 saw a record US\$27.3 billion allocated to humanitarian responses. Yet the slowed growth in 2016 continued into 2017, with a 3% increase for the second consecutive year. A growth of just 1.4% from governments and EU institutions was offset by an increase of 9% in estimated contributions from private donors in 2017.

A greater proportion of official development assistance (ODA) is being spent as humanitarian assistance. Although both show an upward trend from 2007, the level of humanitarian assistance within overall ODA is growing faster (at 124% since 2007) than overall ODA (at 41% since 2007). Increased volumes of humanitarian assistance to the 20 largest recipients have not been matched by investments of non-humanitarian ODA.

Although there were two fewer UN-coordinated appeals (41) in 2017 than in 2016, the amount requested reached a high of US\$25.2 billion, driven by ongoing crises in Syria, Yemen, Somalia and Nigeria and new large appeals in Ethiopia and Pakistan. These appeals saw a record response of US\$14.9 billion, but also a funding shortfall of US\$10.3 billion (41% of requirements), the largest to date.

A small number of donor governments continue to contribute the majority of international humanitarian assistance. The three largest donors accounted for 59% of all government contributions. International humanitarian assistance contributions from European governments plateaued after a sharp rise in 2016 but still made up 53% of total government funding. Contributions from the Middle East and North of Sahara region continued to fall for a second consecutive year – by a further 30% from 2016. Estimated funding from private donors – individuals, trusts, foundations and corporations – grew by around 9%. Individual giving remains the single largest source of private donations, though those from trusts and foundations are growing.

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Humanitarian assistance reaches people in need via multiple channels and transaction chains. In 2016, US\$12.3 billion or 60% of all direct government funding went to multilateral agencies (primarily UN agencies) in the first instance. Non-governmental organisations (NGOs) received US\$4.0 billion directly – 20% of the total. A growing majority of this went to international NGOs who received 94% of all funding to NGOs in 2017, up from 85% in 2016. There was a slight increase in direct funding to national and local NGOs, from 1.7% of all NGO funding in 2016 to 2.7% in 2017. But local and national NGOs received just 0.4% directly of all international humanitarian assistance reported to FTS in 2017, a rise of just 0.1% from 2016. Improved reporting, with lower volumes of funding being categorised as ‘undefined’, may in part explain the changes seen in 2017.

Funding volumes through the flexible funding mechanisms termed pooled funds continue to grow, reaching a record total of US\$1.3 billion in 2017. Within this, funding for both the Central Emergency Response Fund and the 18 country-based pooled funds grew by 18% and 10% respectively. Unearmarked funds allow agencies to anticipate and respond to changing needs. However, self-reporting by nine UN agencies suggests that although the volume of unearmarked funds is increasing, it is not growing as a share of the total.

Given the number of protracted crises and that 17 of the 20 largest recipients of international humanitarian assistance in 2017 were either long-term or medium-term recipients, adaptable multi-year planning and funding is essential. Consistent and comparable data on multi-year funding remains unavailable, but a review of UN-coordinated appeals suggests an increase in the volume of requirements for multi-year appeals despite a reduction in their number. The Syria Regional Refugee and Resilience Plan (3RP) accounted for 55% of total multi-year requirements.

Cash transfer programming can enable recipients of humanitarian assistance to choose how best to meet their needs. An estimated US\$2.8 billion of international humanitarian assistance was allocated to this in 2016, a 40% increase from 2015.

Greater transparency of the financing flows to humanitarian crises is important to enable coherent responses and to identify gaps. Grand Bargain signatories committed to publish “timely transparent harmonised and open high-quality data”. By the end of 2017, 73% of Grand Bargain signatories were publishing open data to the International Aid Transparency Initiative (IATI) Standard, and 85% of these were publishing data on their humanitarian activities.



Lebanon, 2017

Ramadan, a disabled Syrian refugee, warms his hands over a stove in an informal tented settlement in the Bekaa Valley.

Credit: Russell Watkins/DFID



# chapter 1

## people and crisis

Poverty, vulnerability and crisis are inseparably linked. Poor people (living on under US\$3.20 a day) and extremely poor people (living on under US\$1.90) are more vulnerable to shocks. Many also live in countries at high risk of such shocks. Nearly 59% of the world's extremely poor and almost half of the world's poor people live in countries identified as fragile, environmentally vulnerable or both.

Over 201 million people in 134 countries were estimated to be in need of humanitarian assistance in 2017. Conflict continued to fuel much of this need, with protracted violence and unrest continuing in many countries, including Yemen, Syria and the Democratic Republic of the Congo (DRC), and new outbreaks in Nigeria among others. Many crises were complex, involving a combination of conflict, disasters associated with natural hazards and forced displacement. In 2017, all 10 of the countries with the largest numbers of people in need faced complex crises involving conflict. The pattern of a small number of crises generating high levels of need continued in 2017. Of the 201 million people identified as in need of humanitarian assistance, 23.5% were in just three countries – Yemen, Syria and Turkey.

Conflict, violence and persecution drove ever more people from their homes in 2017. The total number of people forcibly displaced grew for the sixth consecutive year to an estimated 68.5 million. And 2.8 million more people were identified as refugees than in the previous year. Most of those forcibly displaced (62%) remained in their own countries.

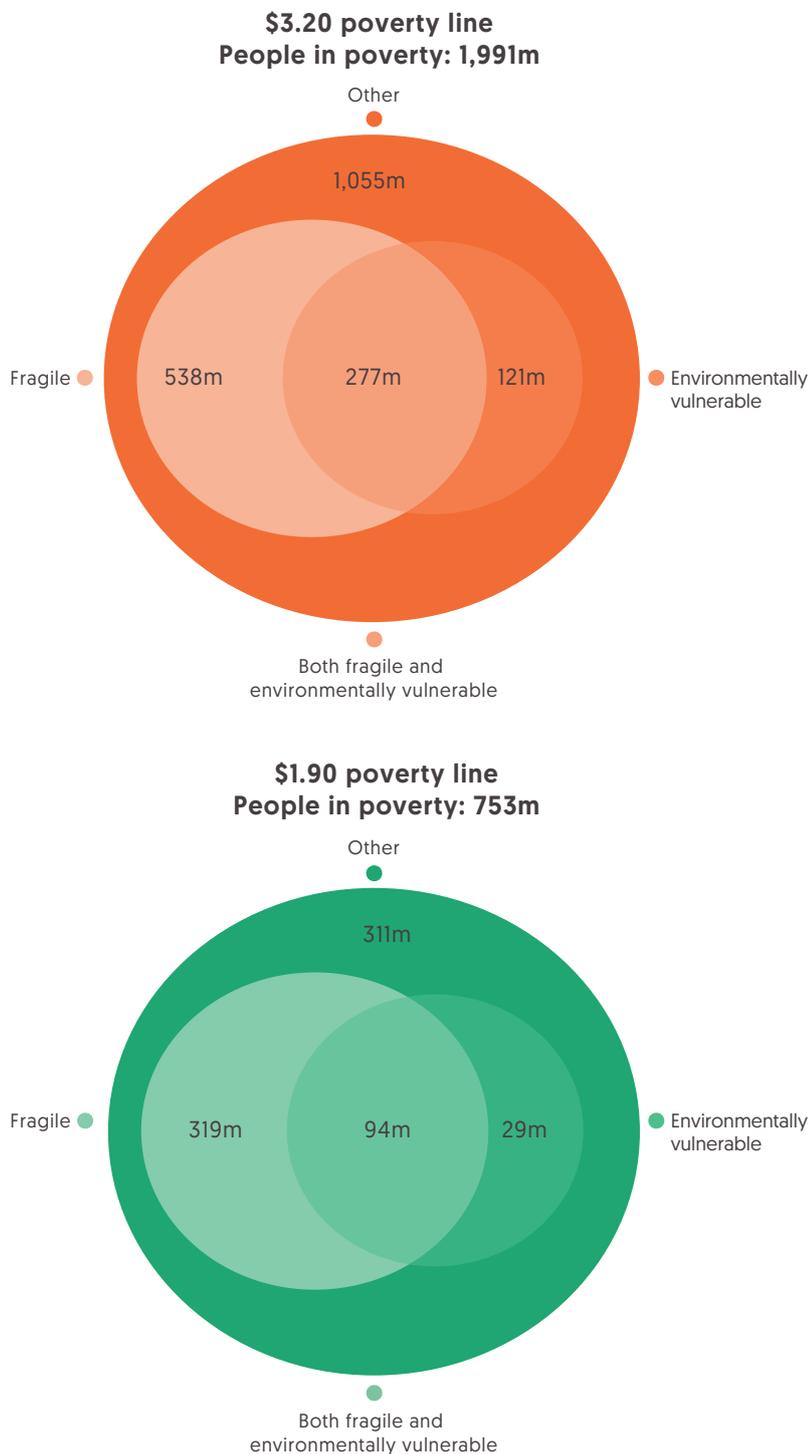
A small number of crises continued to receive the majority of international humanitarian assistance: 60% was channelled to 10 countries. For the fifth consecutive year Syria was the single largest recipient of international humanitarian assistance. Response to the overspill of crises and the forced displacement of populations led to Turkey and Greece featuring among the 10 largest recipients of humanitarian assistance for the first time.

The pattern of protracted, recurrent crises seen in previous years continued. Of the 20 largest recipients of official humanitarian assistance, 17 were either long- or medium-term recipients. This concentration of international assistance to long-running crises reaffirms the importance of developing longer-term, multi-year plans and funding. Responses need to address both immediate humanitarian need and underlying development and peacebuilding shortfalls in crisis-affected countries.

# Poverty, risk and vulnerability

**Figure 1.1**

Number of people living in poverty or extreme poverty in fragile and/or environmentally vulnerable countries



**Sources:** Development Initiatives based on World Bank PovcalNet, World Bank World Development Indicators, Organisation for Economic Co-operation and Development (OECD) and INFORM Index for Risk Management data.

**Notes:** Charts not to scale. Poverty estimates use World Bank PovcalNet modelled 2013 data. Regional estimates are used for 21 countries with no poverty data. Eight Middle East and North of Sahara countries are excluded due to lack of national or regional representative data. Fragile states defined according to the 2016 OECD report States of Fragility; and environmental vulnerability defined using INFORM's 2018 Index for Risk Management, selecting countries scoring high and very high on 'natural hazard' indicator, and medium, high and very high on 'lack of coping capacity'.

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Crisis can affect the poorest people disproportionately as they have less resources to cope with shocks. Crisis can also deplete limited resources, deepening poverty. Poor and extremely poor people are more vulnerable to shocks, and live in countries at high risk of such shocks. National data is available on poverty, fragility and environmental vulnerability but this can mask vulnerability in subnational locations.

- According to the most recent data,<sup>1</sup> almost 2 billion people were living on less than US\$3.20<sup>2</sup> a day and thus considered 'poor'.
- Of these, at least 936 million people (47%) were living in countries affected by fragility (27%), environmental vulnerability (6%) or both (14%).<sup>3</sup>
- 753 million people were living on less than US\$1.90<sup>4</sup> a day and therefore identified as in 'extreme poverty'.
- Of those people in extreme poverty, 442 million (59%) were living in countries affected by fragility (42%), environmental vulnerability (4%) or both (12%).
- The number of extremely poor people identified as living in environmentally vulnerable countries has reduced since the previous estimate.
- Assessments of environmental vulnerability have shown some changes in countries' capacities to cope with shocks. For instance, in India, an identified increase in coping capacity means that the 210 million people living in extreme poverty and 696 million people living in poverty<sup>5</sup> are not currently considered to be environmentally vulnerable.
- Nationally aggregated data can mask local differences in levels and severity of poverty and in exposure to the causes and symptoms of fragility and environmental vulnerability. But subnational data on environmental vulnerability is not widely available.

Large proportions of the populations in fragile and environmentally vulnerable countries are extremely poor or poor.

- Among the populations of the 50 countries<sup>6</sup> identified as fragile, on average, 54% of the population lived under the US\$3.20 poverty line and 31% lived under the US\$1.90 poverty line.
- Across the 23 countries identified as environmentally vulnerable, 38% of the population lived on less than US\$3.20 per day and 17% lived on less than US\$1.90 per day.

The occurrence of fragility and environmental vulnerability varies between countries in different income groups.

- More low income countries (LICs) were deemed fragile than lower middle income countries (LMICs) – 85% of LICs compared with 48% of LMICs.
- Conversely, more LMICs were identified as environmentally vulnerable than LICs – 31% of LMICs compared with 15% of LICs.

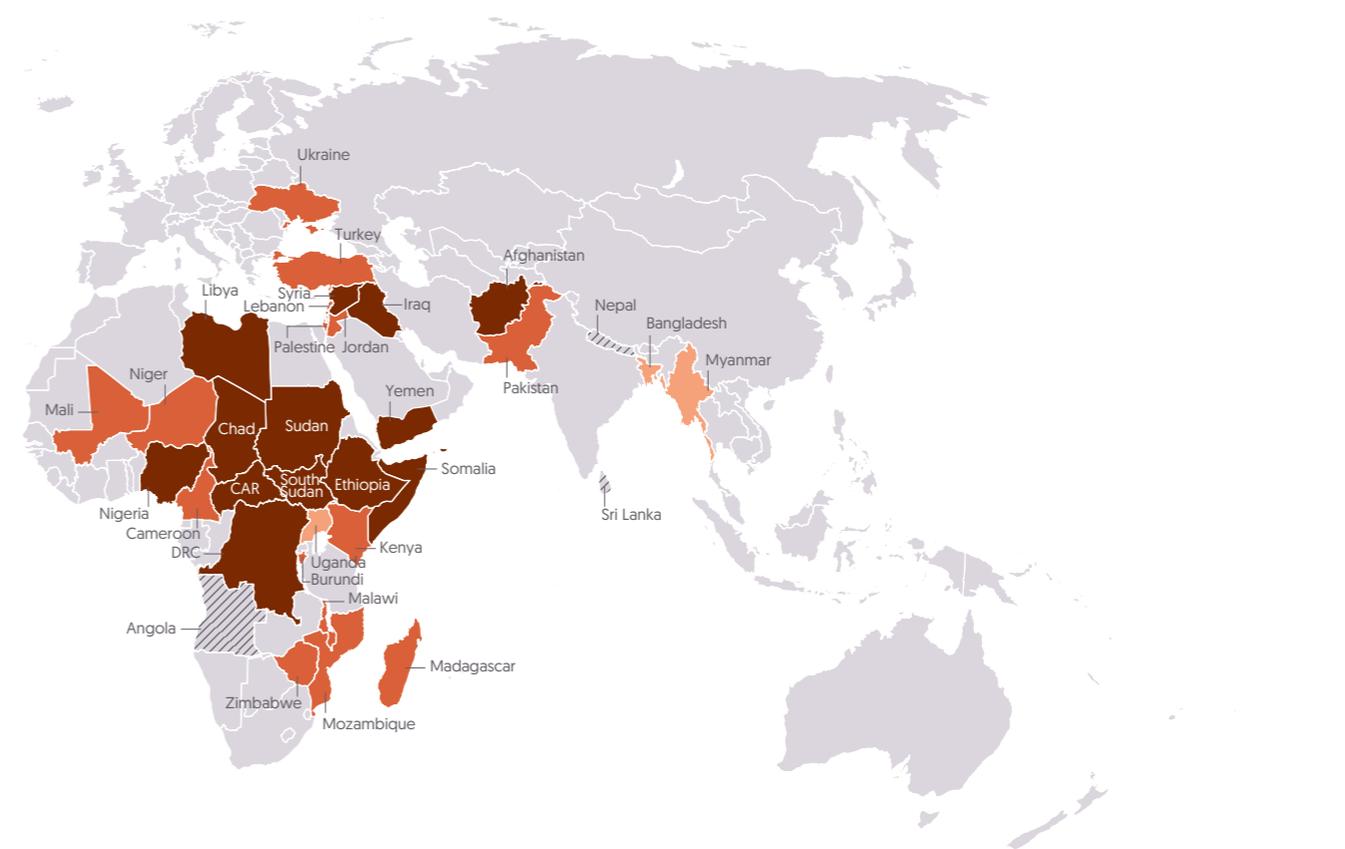
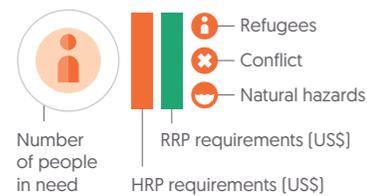
# People affected by crisis

**Figure 1.2**  
People in need, type and severity of crisis, and funding requirements, 2017

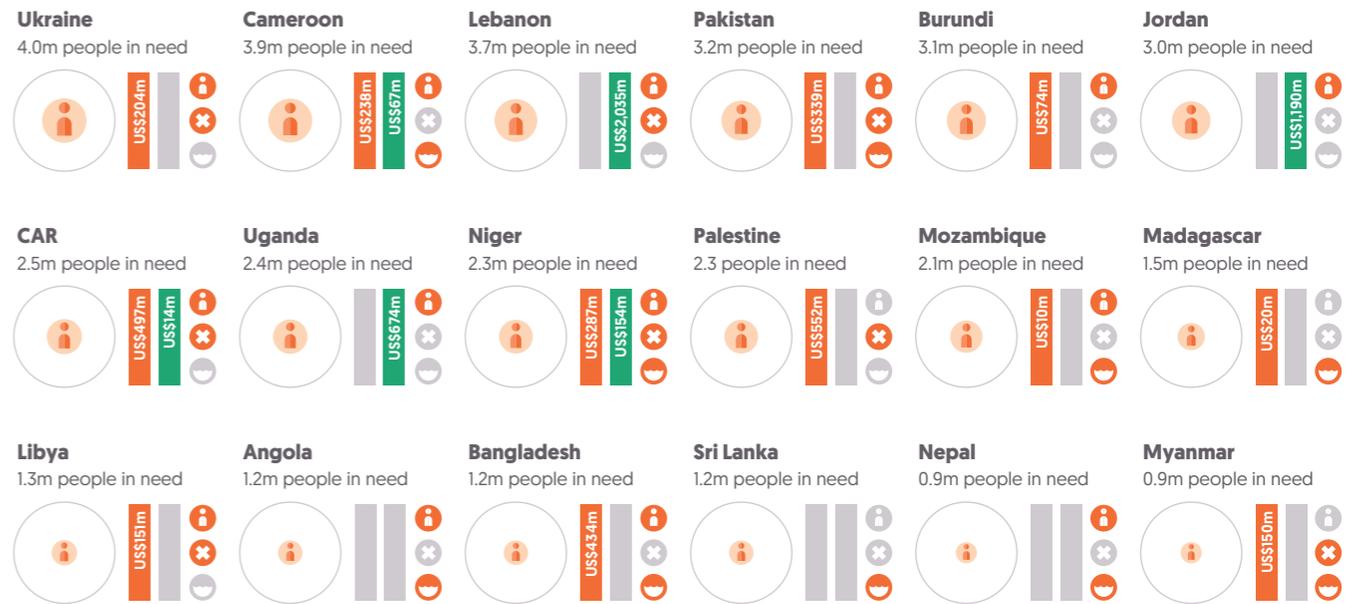
## Map – ACAPS severity level

- Severe humanitarian crisis
- Humanitarian crisis
- Situation of concern
- No severity score

## Country summaries key



## Country summaries ordered by number of people in need



Source: Development Initiatives based on ACAPS, Food and Agriculture Organization, UN High Commissioner for Refugees (UNHCR), UN Relief and Works Agency for Palestine Refugees in the Near East, INFORM Index for Risk Management, Centre for Research on the Epidemiology of Disasters and UN Office for the Coordination of Humanitarian Affairs (OCHA) Financial Tracking Service (FTS) data.

Notes: HRP: humanitarian response plan; RRP: regional response plan; CAR: Central African Republic; DRC: Democratic Republic of the Congo. Countries selected using ACAPS data and corresponding estimates of people in need. Countries with fewer than an estimated 0.8 million people in need are not shown. For further information on coding crisis types see our online Methodology and definitions.

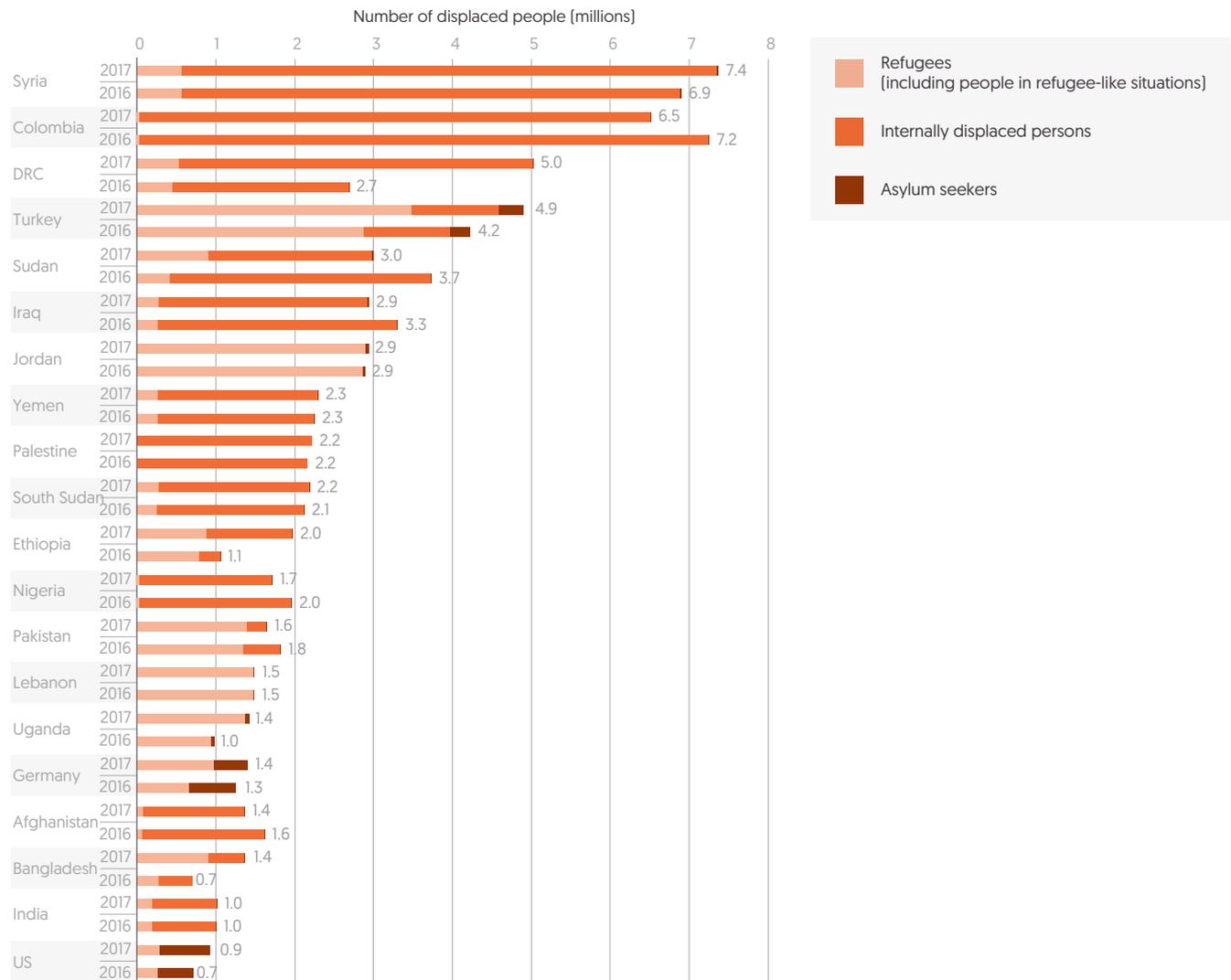
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In 2017, humanitarian need was driven by continued, large-scale conflict, with crises persisting in Yemen, Syria and South Sudan. 2017 also witnessed violence and persecution forcing the mass displacement of the Rohingya population from Myanmar, while hurricanes across the Caribbean caused large-scale destruction.

- In 2017, an estimated 201.5 million people living in 134 countries were assessed to be in need of international humanitarian assistance.
- More than a fifth of these people in need (23%) were living in just three countries – Yemen, Syria and Turkey.
- In 2017, conflict drove crises in 21 of the 36 countries with the largest numbers of people in need of humanitarian assistance.<sup>7</sup>
- The 10 countries with the highest numbers of people in need all experienced complex crises in 2017<sup>8</sup> – conflict as well as at least one other type of humanitarian crisis (disasters associated with natural hazards and/or refugee situations).
- In 2017, complex crises (involving at least two of conflict, disasters associated with natural hazards and refugee situations) occurred in 29 of the 36 countries with the highest numbers of people in need. Meanwhile six of these 36 countries experienced all three crises types.<sup>9</sup>
- Just three of the 36 countries with the highest number of people in need experienced a disaster associated with natural hazards (Haiti, Madagascar and Sri Lanka) but neither of the other two crises types.

# Forced displacement

**Figure 1.3**  
20 countries with the largest forcibly displaced populations, 2017



In 2017, an increasing number of people were in need of humanitarian assistance having been forced to flee their homes because of conflict, violence or persecution.

- The total number of people forcibly displaced due to conflict, violence or persecution reached 68.5 million in 2017, an increase of 2.9 million [4.5%] from 2016, the sixth consecutive annual increase.
- The numbers of internally displaced persons (IDPs) and refugees both reached record levels in 2017, rising to 42.2 million [62% of all displaced] and 23.2 million [34% of all displaced], respectively.
- The 2.8 million [14%] rise in the number of refugees was the main driver of the overall increase in the number of displaced people. Meanwhile the number of IDPs decreased by 0.3 million [0.6%] while the number of asylum seekers grew by 0.4 million [14%].

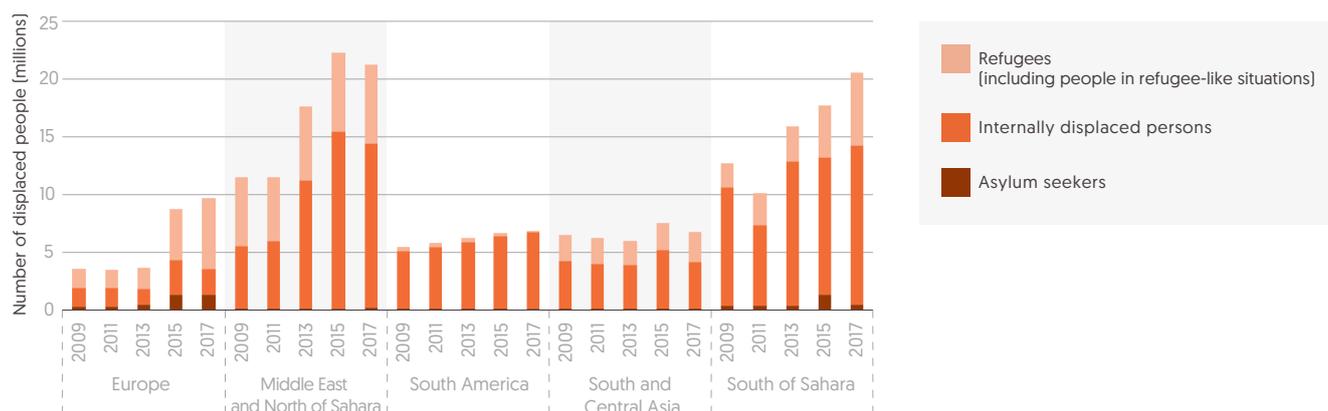
**Source:** Development Initiatives based on UNHCR, UN Relief and Works Agency for Palestine Refugees in the Near East (UNRWA) and Internal Displacement Monitoring Centre (IDMC) data.

**Notes:** The 20 countries are selected based on the size of displaced populations in 2017. 'Displaced population' includes refugees and people in refugee-like situations, internally displaced persons (IDPs) and asylum seekers. IDP figures include the total number of IDPs at the end of 2017 as reported by the IDMC. Data is organised according to UNHCR's definitions of country/territory of asylum. According to data provided by UNRWA, Palestinian-registered refugees are included as refugees for Jordan, Lebanon and Syria, and as IDPs for Palestine.

The figure above shows the location of forcibly displaced populations by country.

- In 2017, 70% of the total displaced population were in middle income countries, 22% in LICs and just 7% in high income countries, a similar distribution to 2016.
- In 2017, the 10 countries with the highest populations of forcibly displaced people accommodated 39.4 million displaced people (refugees, IDPs and asylum seekers), 58% of the total displaced population.
- From 2016 to 2017, numbers of displaced people in these 10 countries increased by 1.9 million, and included 1.3 million refugees, 0.5 million IDPs, and 0.1 million asylum seekers.
- The single largest refugee population in 2017, with 3.5 million refugees, was in Turkey.
- Of people displaced in 2017, more originated from Syria than any other country, with 13.1 million people displaced – 6.3 million refugees (including people in refugee-like situations), 6.7 million IDPs and 0.1 million asylum seekers.

**Figure 1.4**  
Location of forcibly displaced populations by region, 2009–2017



The figure above shows the location of forcibly displaced populations by region.

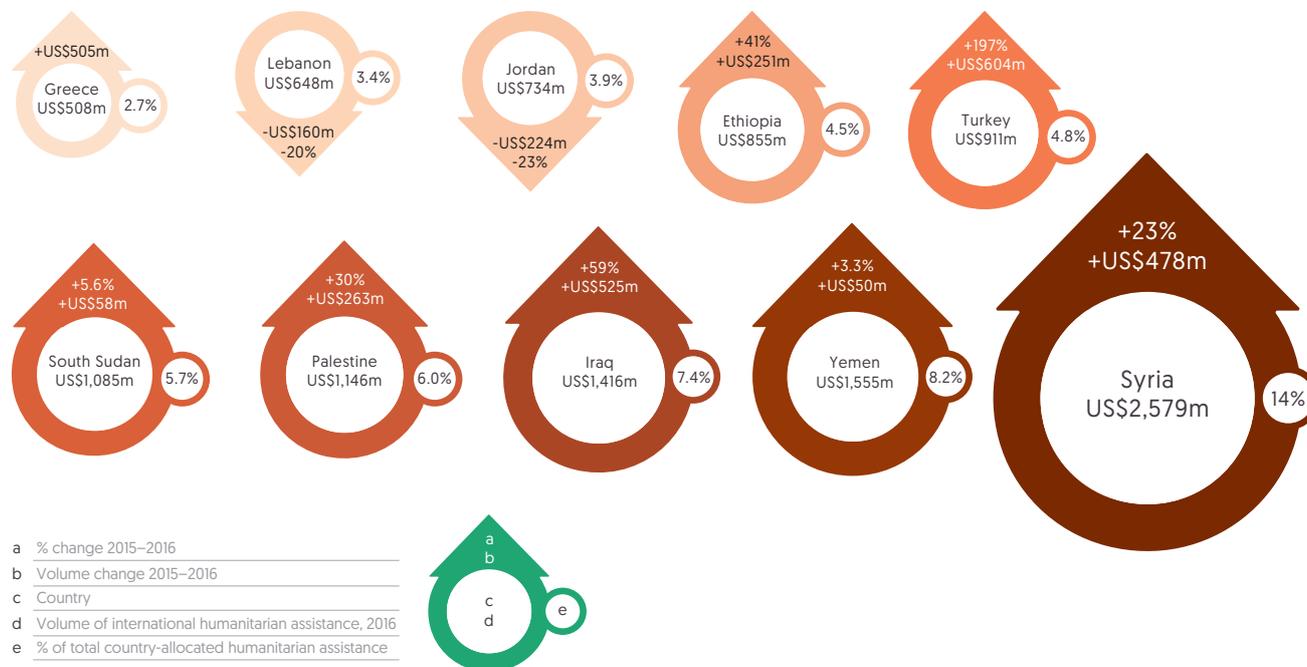
- The growth in the total numbers of displaced people from 2009 to 2017 is evident across the regions of Europe, the Middle East and North of Sahara region, South America and South of Sahara, with only South and Central Asia witnessing no consistent or marked rise.
- Since 2011, the Middle East and North of Sahara region, including the large population of displaced Palestinians, has accommodated more displaced people than any other region. The second-largest population of displaced people in the same period was in the South of Sahara region.
- In 2017, the Middle East and North of Sahara region and the South of Sahara region accommodated similar numbers of IDPs and refugees, respectively, 14.2 million and 13.8 million IDPs and 6.8 million and 6.3 million refugees.
- In 2017, the Middle East and North of Sahara region's displaced population (21.3 million) was more than double that of Europe's (9.7 million), while South of Sahara hosted the second-largest number of displaced people (20.6 million).

**Source:** Development Initiatives based on UNHCR, UN Relief and Works Agency for Palestine Refugees in the Near East (UNRWA) and Internal Displacement Monitoring Centre (IDMC) data.

**Notes:** OECD country naming has been used for regions, except the Middle East and North of Sahara, which have been combined. According to data provided by UNRWA, Palestinian registered refugees are included as refugees for Jordan, Lebanon and Syria, and as IDPs for Palestine. The regions with the five largest displaced populations in 2017 are shown in the chart.

## Which countries did funding go to?

**Figure 1.5**  
10 largest recipients of international humanitarian assistance, 2016



Funding continues to be concentrated among a small number of countries but the profile of the 10 largest recipients of humanitarian assistance saw some changes in 2016.

- The 10 largest recipients accounted for 60% of total country-allocable humanitarian assistance in 2016, a similar proportion as in each of the past four years.<sup>8</sup>
- For the fifth consecutive year, Syria was the largest recipient of international humanitarian assistance, receiving US\$2.6 billion (a 23% increase from 2015).
- Turkey and Greece featured among the 10 largest recipients for the first time in 2016 due to increases in assistance to support the populations of forced migrants they hosted.<sup>11</sup>
- Four of the 10 largest recipients were LMICs (Syria, Yemen, Palestine, and Jordan), three were upper middle income countries (Iraq, Turkey and Lebanon), two were LICs (South Sudan and Ethiopia) and one was a high income country (Greece).
- DRC and Sudan were not among the 10 largest recipients for the first time since 2011 and 1999, respectively.
- The largest increases in volumes of assistance received among the 10 largest recipients were in Turkey (up US\$604 million, 197%), Iraq (up US\$525 million, 59%) and Greece (up US\$505 million).
- International humanitarian assistance provided to Jordan and Lebanon decreased, by 23% (US\$224 million) and 20% (US\$160 million), respectively.

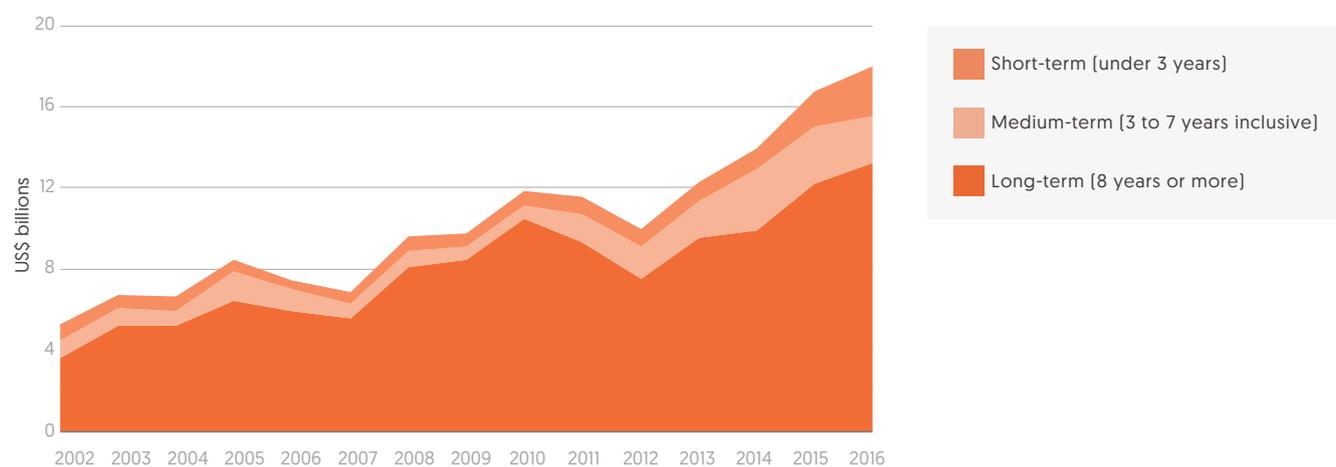
**Source:** Development Initiatives based on OECD Development Assistance Committee (DAC), UN OCHA FTS and UN Central Emergency Response Fund data.

**Notes:** Data is in constant 2016 prices. Graphics scaled by volumes of international humanitarian assistance.

# Funding is directed towards protracted and recurrent crises

**Figure 1.6**

Long-, medium- and short-term recipients of official humanitarian assistance, 2002–2016



Humanitarian crises with the greatest numbers of people in need are frequently complex (see Figure 1.2), protracted and slow onset. Responses should be designed to reflect the long-term and complex nature of many of these crises addressing humanitarian and development needs. Growing levels of international humanitarian assistance have not been matched by increases in non-humanitarian official development assistance [ODA] (see Chapter 2, *crisis financing*). Most international humanitarian assistance continued to go to long- and medium-term recipients.<sup>12</sup> However, 2017 saw a decrease in the number of multi-year appeals, down from 14 in 2016 to eight in 2017. Increased attention is paid to multi-year funding but data on its total volume is not yet available (see Chapter 4, *effectiveness, efficiency and quality*).

- In 2016, 86% of international humanitarian assistance went to long- and medium-term recipients, continuing a trend.
- Almost three-quarters (74%) of all international humanitarian assistance provided in 2016 went to long-term recipients.
- Of the 20 countries receiving the most official humanitarian assistance in 2016, 17 were either long-term (16 countries) or medium-term (1 country) recipients.
- Turkey received the sixth largest share of international humanitarian assistance in 2016 but, as a short-term recipient, is the exception among the 20 largest recipients.<sup>13</sup>
- Long- and medium-term international humanitarian assistance is focused on the countries with more limited domestic capacity. Eight of the 10 countries with the lowest government spending per capita in 2016 were either long- or medium-term recipients of international humanitarian assistance.
- Of the 20 countries with the greatest number of people in need, 17 were long-term (12 countries) or medium-term (5 countries) recipients.

**Source:** Development Initiatives based on OCED DAC, UN OCHA FTS and UN Central Emergency Response Fund.

**Notes:** Long-, medium- or short-term classification is determined by the length of time the country has received an above-average share of its official development assistance (ODA) in the form of humanitarian assistance. Calculations are based on shares of country-allocable humanitarian assistance. Data is in constant 2016 prices.

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Countries can be long-term recipients but, year-on-year, receive varying levels of funding as a result of changes in the funding and needs contexts.

- Zimbabwe received nearly three times the amount of international humanitarian assistance in 2016 (US\$132 million) as in 2015 (US\$47 million).
- Similar patterns of growth in international humanitarian assistance received from 2015 to 2016 were also seen in Iraq (rising 59%), Ethiopia (increasing 41%) and Haiti (up by 40%).
- Conversely, DRC received 58% less international humanitarian assistance in 2016 than in 2015.



Ethiopia, 2013

A worker mixes cement at a new housing site in Addis Ababa.

Credit: Simon Davis/DFID



# chapter 2

## crisis financing

Governments and private donors channelled US\$27.3 billion in international humanitarian assistance to relieve the suffering of people affected by crises in 2017. The growth in volumes of international humanitarian assistance has slowed, rising by just 3% for the second year running, following increases of 20% and 16%, respectively, in 2014 and 2015. In 2017, contributions from governments and EU institutions stagnated, increasing by just 1.4%. An increase in estimated contributions from private donors was the primary driver of the limited overall growth in international humanitarian assistance.

There were two fewer UN-coordinated appeals [41] in 2017 than in 2016. Nonetheless, total requirements for all UN appeals increased by over a quarter to US\$25.2 billion. Most of these funds were requested for a small number of large appeals. Seven appeals requested more than US\$1 billion and accounted for two-thirds (67%) of all requirements.

The volume of funding received for UN-coordinated appeals also increased in 2017. The US\$14.9 billion received was an increase of US\$2.4 billion from 2016. This represented the largest volume of funding ever contributed. Despite this record level of commitments, the increase in funding did not keep pace with the growth in requirements – 59.2% of appeal requirements were met. This represented a funding shortfall of US\$10.3 billion, the largest volume yet recorded.

The appeals of the Red Cross and Red Crescent Movement requested smaller amounts than UN appeals but their requirements were proportionately much better met. In 2017, the International Committee of the Red Cross (ICRC) met 93% of appeal targets, while the International Federation of Red Cross and Red Crescent Societies (IFRC), fulfilled 87% of appeal targets.

Governments have the primary responsibility to prepare for, respond to and support recovery from crises in their own territories. However, where domestic capacity cannot meet the scale of needs, international assistance can alleviate suffering and address the longer-term developmental needs often underpinning and exacerbating crisis. While the volume of international humanitarian assistance to its largest recipients is rising, these countries have not received comparable increases in levels of non-humanitarian official development assistance (ODA).

Other institutional sources of financing, both domestic and international, can support people to prepare for, recover from and become resilient to crises. Multilateral development banks have an increasingly important role to play in this respect. The Global Concessional Financing Facility (GCFF) is one of many World Bank instruments within its recently established Global Crisis Response Platform. From its launch in September 2016 to the end of 2017, US\$357 million had been channelled to the GCFF for the refugee response in Jordan and Lebanon.

# International humanitarian assistance

**Figure 2.1**  
International humanitarian assistance, 2013–2017



The growth of international humanitarian assistance seen in recent years has slowed. The slight increase in 2017 was primarily driven by an increase in the estimated contribution of private donors.

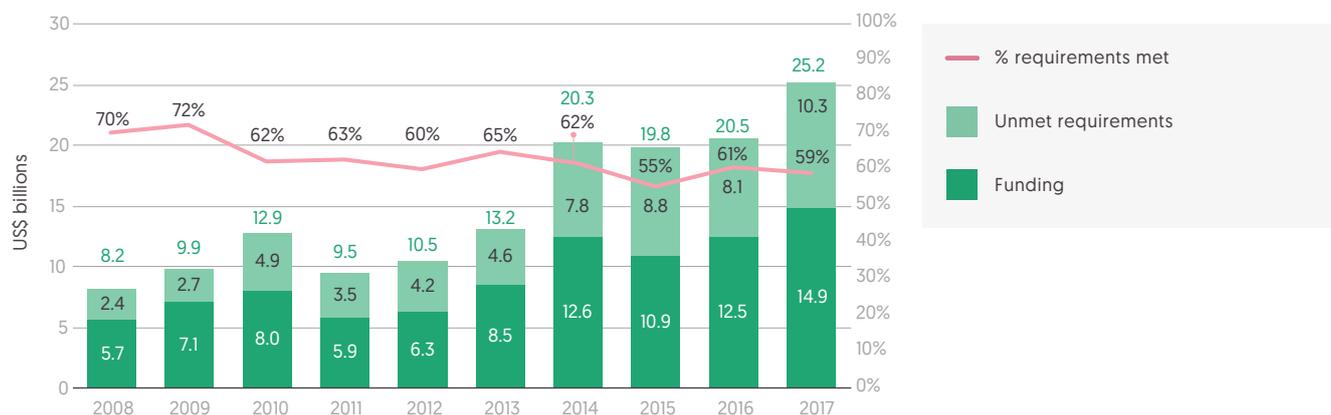
- International humanitarian assistance increased for the fifth consecutive year, reaching a new high of an estimated US\$27.3 billion.
- Since 2013, the rate of growth of international humanitarian assistance has slowed, increasing year-on-year by 20%, 16% and 3%, and again by 3% between 2016 and 2017.
- Funding rose by US\$843 million from US\$26.4 billion in 2016 and has increased by US\$9 billion, or 48%, from the amount provided in 2013.
- Funding reported by governments and EU institutions stagnated, increasing by just 1.4% (US\$286 million) from 2016, while an increase of 9% (US\$558 million) in estimated contributions from private donors (see Chapter 3, *donors: who gives assistance?*) was primarily responsible for the overall rise in international humanitarian assistance.

**Source:** Development Initiatives based on Organisation for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC), UN Office for the Coordination of Humanitarian Affairs (OCHA) Financial Tracking Service (FTS), UN Central Emergency Response Fund (CERF) and our unique dataset for private contributions.

**Notes:** Figures for 2017 are preliminary estimates. Totals for previous years differ from those reported in previous Global Humanitarian Assistance reports due to deflation and updated data and methodology (see our online *Methodology and definitions*). Data is in constant 2016 prices.

## How did assistance compare with requirements set out in appeals?

**Figure 2.2**  
Requirements and funding, UN-coordinated appeals, 2008–2017



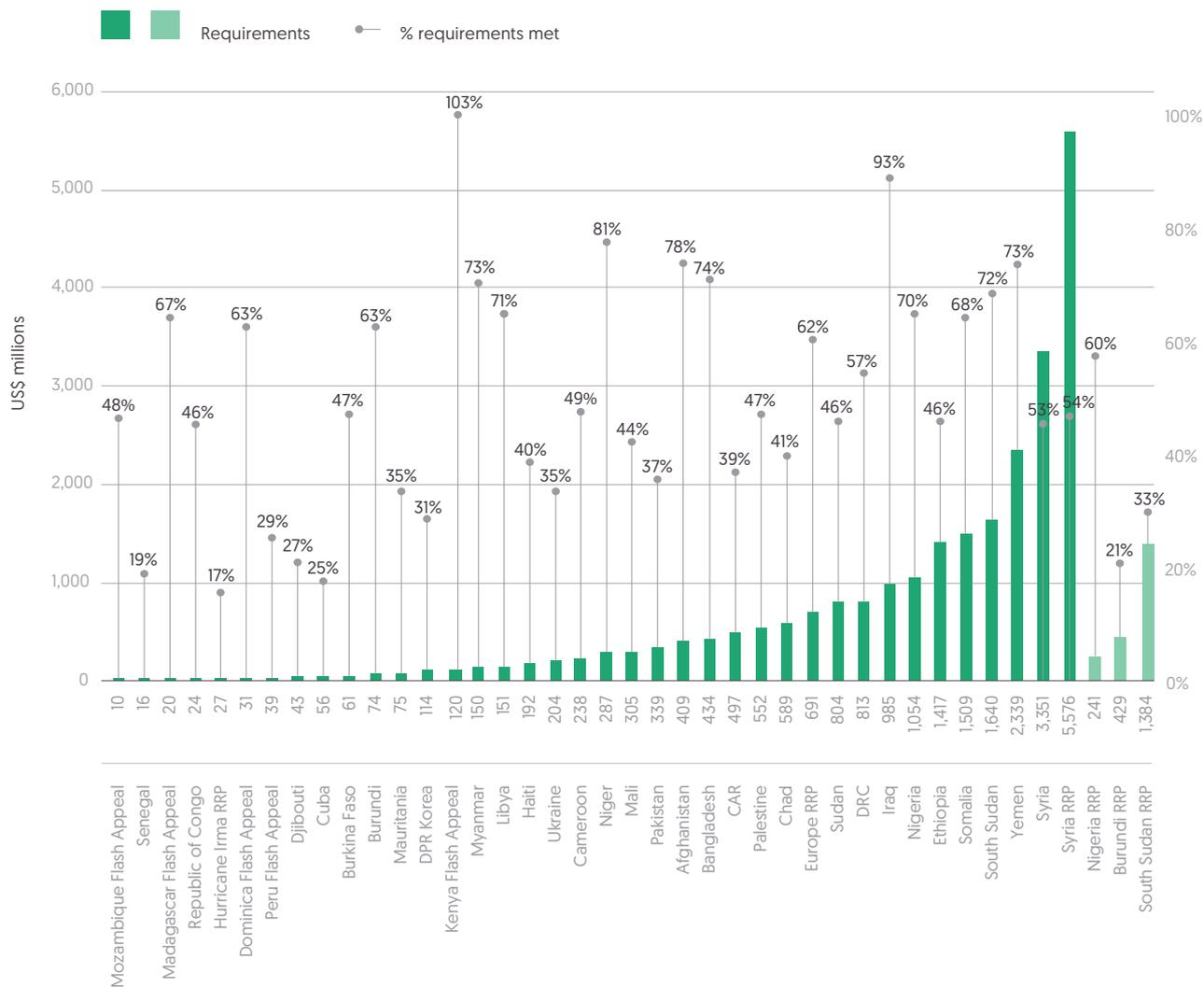
UN-coordinated appeals are central to humanitarian response. They give a summary of the assistance many UN and non-governmental humanitarian responders provide to many major crises.

- The total amount requested through UN-coordinated appeals increased by almost a quarter (23%) in 2017 to US\$25.2 billion.
- This increase in requirements, of US\$4.7 billion from 2016 to 2017, followed three years of only slight variation in total appeal requests. It was the largest percentage increase since the Syria crisis drove appeal requirements up by over a third from 2013 to 2014.
- The 2017 increase in requirements was driven by major increases for ongoing crises in Syria, Yemen, Somalia and Nigeria (collectively totalling US\$1.9 billion), and large requests from two new appeals in Ethiopia and Pakistan (totalling US\$1.8 billion).
- Total funding received for UN-coordinated appeals increased by US\$2.4 billion to US\$14.9 billion, the largest volume of funding ever received.
- Despite this increase, there was a funding shortfall of US\$10.3 billion against appeal requirements, the largest volume shortfall ever.
- While the volume of total funding received reached record levels, the growth in appeal requirements outpaced funding, resulting in only 59.2% of total requirements being met – the second lowest proportion of requirements fulfilled since 2008.
- Despite the increase in total funding requirements, there were two fewer UN-coordinated appeals (41) in 2017 than in 2016.

**Source:** Development Initiatives based on UN OCHA FTS and UN High Commissioner for Refugees (UNHCR) data.

**Notes:** 2012 data includes the Syria Regional Response Plan (SRP) monitored by UNHCR. 2015 data does not include the Yemen Regional Refugee and Migrant Response Plan. To avoid double counting of the regional appeals with the country appeals in 2015, the Burundi Regional Refugee Response Plan does not include the Democratic Republic of the Congo component, the Central African Republic (CAR) Regional Refugee Response Plan only includes the Republic of Congo component, and the Nigeria Regional Refugee Response Plan does not include any country component. 2016 and 2017 data does not include regional appeals tracked via UNHCR (CAR and Yemen in 2016; South Sudan, Burundi and Nigeria in 2016 and 2017). Data is in current prices.

**Figure 2.3**  
Requirements and proportion of UN-coordinated appeals requirements met, 2017



Aggregate totals mask significant differences between individual appeals.

- The 41 appeals in 2017 ranged in size from the Syria Regional Response Plan (RRP), requesting US\$5.6 billion, to the Mozambique Cyclone flash appeal, requiring US\$10 million.
- Seven appeals requested over US\$1 billion (Syria RRP, and the humanitarian response plans for Syria, Yemen, South Sudan, Somalia, Ethiopia and Nigeria), collectively representing 67% of total funds requested (almost US\$17 billion). The Yemen and two Syria appeals alone accounted for 45% (US\$11.3 billion) of all appeal requirements.
- In 2017, the average proportion of requested funding received for the 10 appeals with the highest requirements was 61%, compared with 37% for the 10 appeals with the lowest requirements and an overall average of 59%.

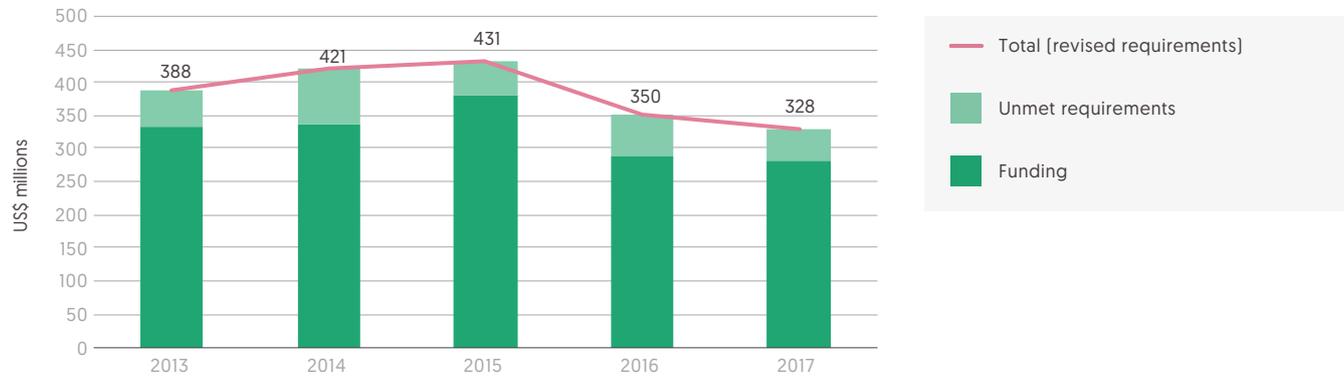
**Source:** Development Initiatives based on UN OCHA FTS and UNHCR data.

**Notes:** CAR: Central African Republic; DPR Korea: Democratic People's Republic of Korea; DRC: Democratic Republic of the Congo. The three regional response plans (RRPs) are shaded to avoid double counting with country humanitarian response plans (HRPs). There is no double counting in country HRPs for the Syria RRP or the Regional Refugee & Migrant Response Plan for Europe January to December 2017. Data is in current prices.

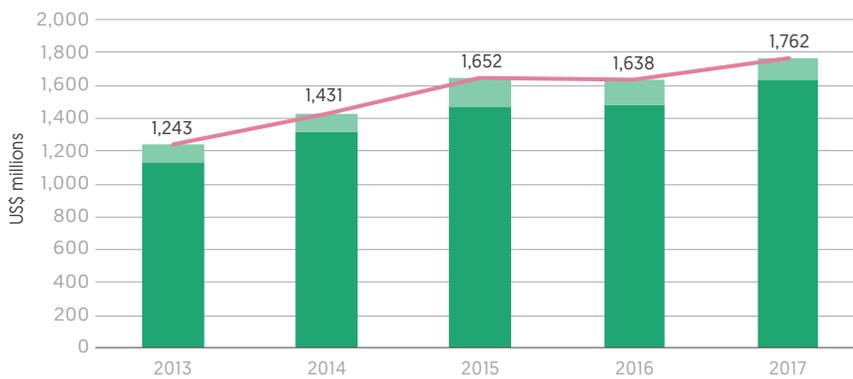
## Red Cross appeals

**Figure 2.4**

IFRC appeals requirements and funding, 2013–2017



ICRC appeals requirements and funding, 2013–2017



The International Red Cross and Red Crescent Movement sets out its requirements separately, maintaining independence from the UN-coordinated appeals.

IFRC emergency appeals relate primarily to disasters associated with natural hazards.

- In 2017 requirements totalled US\$328 million, a decrease of 5% from 2016 [US\$350 million].
- The IFRC received US\$286 million, fulfilling 87% of requirements.
- Over the last five years, at least 80% of IFRC appeal targets have been met [averaging 85% of requirements met].

ICRC appeals respond mainly to conflict-related situations.

- In 2017 requirements totalled US\$1.8 billion, an increase of 7.6% from 2016 [US\$1.6 billion].
- ICRC appeal targets have grown steadily from 2013 to 2017, increasing from US\$1.2 billion to US\$1.8 billion, a 42% rise.
- Funding received has mirrored growth in appeal targets, with US\$1.6 billion raised in 2017.
- The proportion of requirements met was 93% in 2017, with an average over the last five years of 91% of identified funding received.

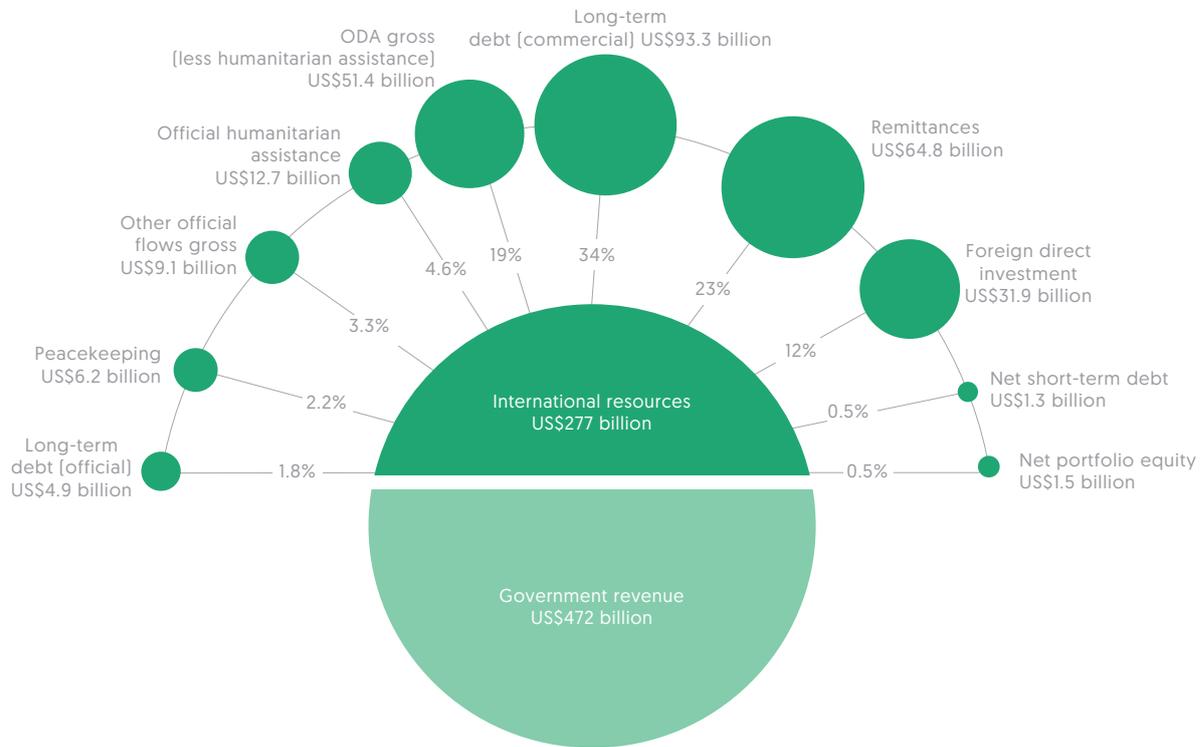
**Source:** Development Initiatives based on data provided bilaterally from the International Federation of Red Cross and Red Crescent Societies (IFRC), International Committee of the Red Cross (ICRC) and OECD DAC.

**Notes:** IFRC figures show revised annual budgets and funding for all emergency appeals and thematic programmes and may differ from previous years' reports. ICRC figures represent total budgets and contributions for all field operations. Swiss Francs amounts have been converted to US\$ based on OECD exchange rates. Data is in 2016 constant prices.

# Resources beyond humanitarian assistance

**Figure 2.5**

Resource mix in the 20 countries receiving the most international humanitarian assistance, 2016



International humanitarian assistance is a critical resource to target the needs of people affected by crisis but a wide range of other domestic and international resources can and do complement humanitarian assistance. The figure above shows resource flows to the 20 largest recipients of humanitarian assistance in 2016.

- Governments should be the primary responders to crises using their own revenues. In the 20 countries receiving the most international humanitarian assistance, the proportion of analysed resources from domestic government non-grant revenue was 63% in 2016.
- In 2016, the largest international flow to these 20 countries was commercial long-term debt (12% of all resources), while ODA (excluding humanitarian assistance) accounted for 6.9% and official humanitarian assistance for 1.7%.
- Aggregate figures mask significant differences in the resource mix between countries. For instance, remittances to Turkey and Iraq accounted for just 0.3% and 1.8% of all analysed resources, respectively, while those to Pakistan and Nigeria accounted for 26% and 37%, respectively.

There are notable differences in the mix of international resources flowing to the 20 largest recipients of humanitarian assistance compared with other developing countries:

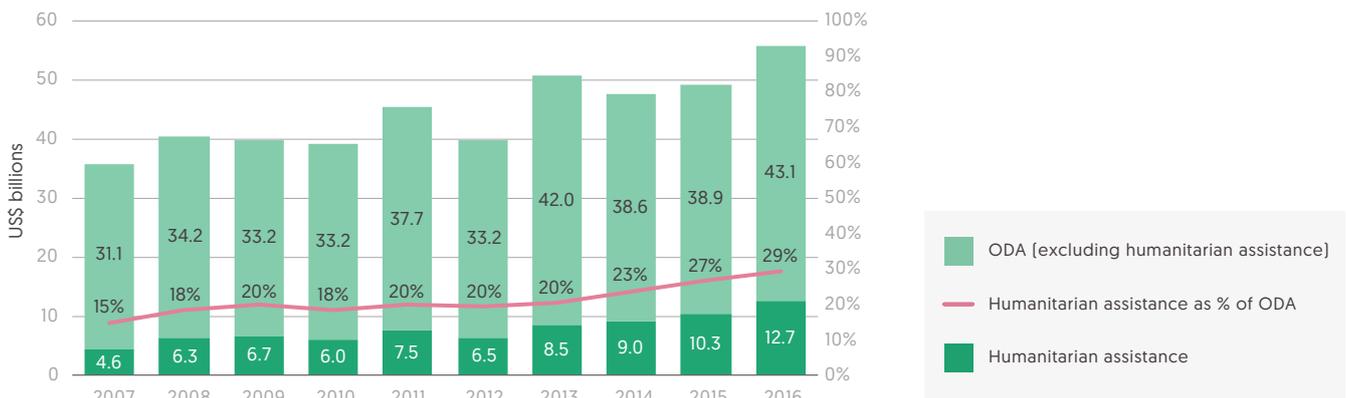
**Source:** Development Initiatives calculations based on OECD DAC, UN OCHA FTS, UN CERF, UN Conference on Trade and Development, World Bank and International Monetary Fund data and data from peacekeeping budgets or funding snapshots.

**Notes:** Government revenue may include grants for Turkey and Yemen. Negative flows for net portfolio, short-term debt and foreign direct investment have been set to zero at the country level.

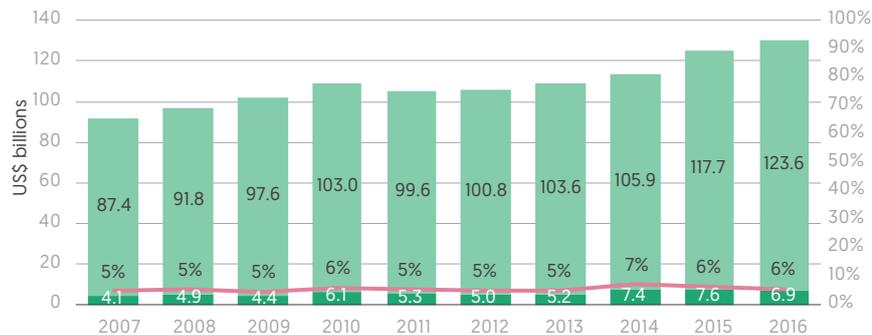
- Peacekeeping [2.2% compared with 0.1%], ODA (excluding humanitarian assistance, 19% compared with 4.4%) and official humanitarian assistance [4.6% compared with 0.2%] represented a greater proportion of the analysed international resource mix in the 20 largest recipients of humanitarian assistance.
- Long-term commercial debt represented 37.3% of international resources in other developing countries, with a similar proportion among the largest humanitarian recipients [34%], but foreign direct investment accounted for a significantly greater share of international resources in other developing countries [26.3% compared with 12%].

## ODA

**Figure 2.6**  
Humanitarian assistance as a proportion of ODA to the 20 largest recipients of international humanitarian assistance, 2007–2016



Humanitarian assistance as a proportion of ODA to all other recipients of international humanitarian assistance, 2007–2016



**Source:** Development Initiatives based on OECD DAC, UN OCHA FTS and UN CERF data.

**Notes:** Largest 20 recipients refer to the largest 20 ODA-eligible recipients and are taken from Development Initiatives' international humanitarian assistance recipient calculations for 2016. Humanitarian assistance figures include official humanitarian assistance only. Data is in constant 2016 prices.

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Although both show an upward trend from 2007, humanitarian assistance is growing faster than ODA.

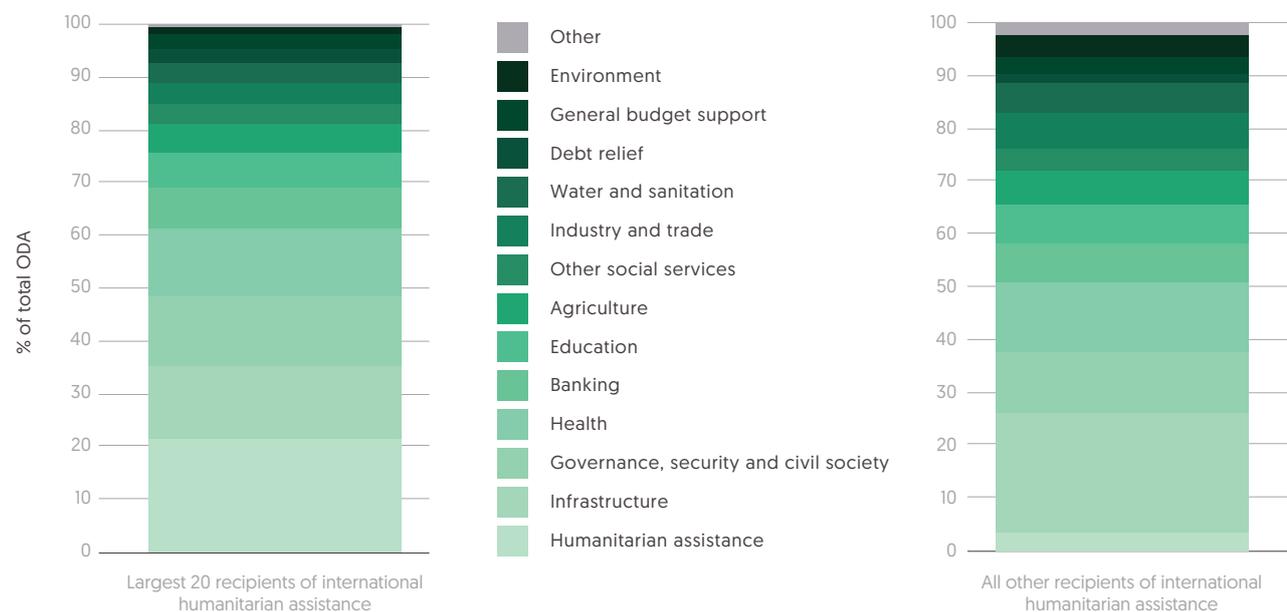
- In 2016, official humanitarian assistance constituted a growing, and higher than average, proportion of ODA – rising from 11.4% in 2015 to 11.7% in 2016, compared with an average for the previous decade (2006 to 2016) of 9.2%.
- From 2015 to 2016, volumes of official humanitarian assistance also grew at a faster rate than volumes of gross ODA (less humanitarian assistance), increasing by 9% to US\$19.5 billion, compared with 6% growth of ODA (less humanitarian assistance) to US\$167 billion.
- This faster growth is consistent with longer trends: over the last decade (2007–2016), official humanitarian assistance has grown at three times the rate of ODA (less humanitarian assistance). It has risen by 124%, from US\$8.7 billion to US\$19.5 billion, while overall ODA has grown by 41%, from US\$119 billion to US\$167 billion.

Over the past decade, increasing volumes of international humanitarian assistance to the countries most affected by crisis (the 20 largest recipients of humanitarian assistance) have not been matched by investments of non-humanitarian ODA.

- Between 2007 and 2016, in the 20 largest recipients of humanitarian assistance, volumes of non-humanitarian ODA remained relatively constant (except in 2006), fluctuating between US\$26.5 billion and US\$30.5 billion. Given that humanitarian ODA has increased significantly over this period, non-humanitarian ODA has decreased as a share of total ODA from 85% to 71%.
- In 2016, people living in countries among the 20 largest recipients of international humanitarian assistance<sup>1</sup> received less non-humanitarian ODA per person than those living in other developing countries, at US\$113 per person compared with US\$121 per person.

**Figure 2.7**

Largest recipient ODA sectors in largest 20 humanitarian assistance recipients, 2012–2016



An overall comparison of ODA disbursements by sector between the 20 largest recipients of humanitarian assistance and other developing countries between 2012 and 2016 shows some differences.

- The share of ODA allocated for infrastructure spending among the 20 largest recipients of humanitarian assistance (14% of ODA) was lower than among other developing countries (23%).<sup>2</sup>
- Differences between the 20 largest recipients of humanitarian assistance and other developing countries were also notable in other sectors accounting for smaller proportions of ODA – with lower proportionate spending on industry and trade (4% for the 20 largest recipients and 7% for others) and environment (1% and 4%) but a larger share spent on debt relief (3% for the 20 largest recipients and 1.5% for others).

While, in aggregate, there are similar proportions of spending in many sectors, there are variations in sector allocations among the 20 largest recipients of humanitarian assistance.

- For 2012–2016, the sectors and countries where the highest proportionate allocations of ODA were made, compared with the average for the 20 largest recipients, are: governance, security and civil society in Afghanistan (44% compared with the average of 14%); health in Nigeria (51% compared with 14%); infrastructure in Pakistan (33% compared with 13%); and banking in Turkey (62% compared with 6%).

Large year-on-year changes in allocations were seen in: health spending and other social services in Iraq (rising, respectively, from 2% and 1% in 2015 to 34% and 38% in 2016); and general budget support to Yemen (growing from 6% in 2014 to 53% in 2016).

**Source:** Development Initiatives based on OECD DAC, UN OCHA FTS and UN CERF data.

**Notes:** Largest 20 recipients refer to the largest 20 ODA-eligible recipients and are taken from GHA's international humanitarian assistance recipient calculations for 2016. Humanitarian assistance figures refer to official humanitarian assistance only. The proportion of each sector represents its share of overall ODA.

# Multilateral development banks

Multilateral development banks play an increasingly important role in crisis financing. They channel funds as humanitarian assistance, and also provide financing beyond humanitarian assistance to countries affected by and at risk of crisis.

Many multilateral development banks have a growing range of instruments and mechanisms that can provide crisis financing for preparedness, response, recovery and reconstruction. The volume of financing available is also significant. For instance, the World Bank's IDA18 Replenishment, running from 2017 to 2020, sets out financing commitments of more than US\$14 billion to address conflict, fragility and violence.

These instruments – from risk financing for disasters to loans for refugee-hosting countries – are not substitutes for humanitarian grants but do expand the toolkit for tailored ex-ante and ex-post financing for crises. Yet it is currently difficult to track their respective scale and impact in humanitarian contexts and more timely and transparent reporting is needed.

**Source:** Development Initiatives based on World Bank Group Global Crisis Response Platform Board Report, guidance notes and Projects & Operations database.

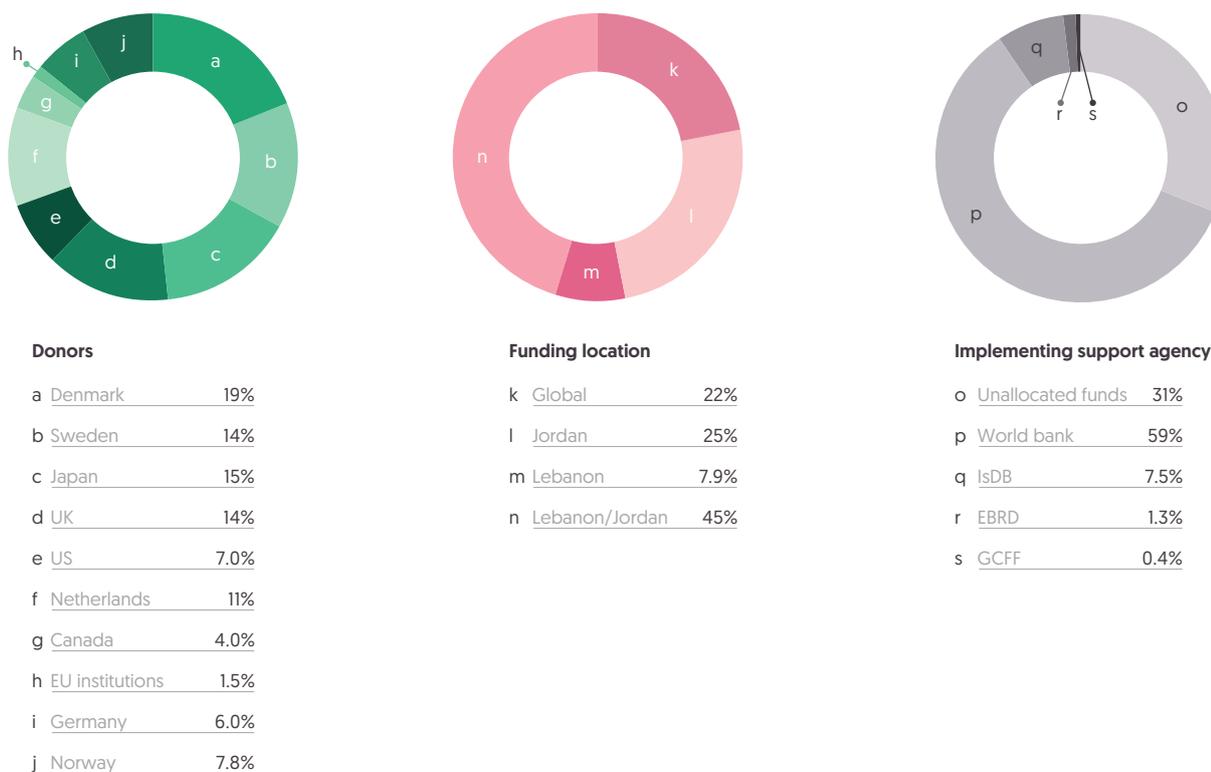
**Notes:** CAT-DDO: Catastrophe Deferred Drawdown Option; FCV: Fragility, conflict, and violence; GFDRR: Global Facility for Disaster Reduction and Recovery; IBRD: International Bank for Reconstruction and Development; IDA: International Development Association; MENA: Middle East and North Africa; MIGA: Multilateral Investment Guarantee Agency.

**Table 2.1**  
Summary of World Bank Global Crisis Response Platform

Type of mechanism	Names	Source of financing
Loan	Development Policy Financing	IBRD
Loan	Investment Project Financing	IBRD
Loan	Global Concessional Financing Facility	Supporting countries (Canada, UK, US, the Netherlands, Japan, the EU, Germany, Norway, Denmark, Sweden)
Loan	Proposed MENA Guarantee Facility	World Bank
Loan: contingent credit line	Catastrophe Deferred Drawdown Option	IBRD
Loan: contingent credit line	Proposed CAT-DDO for Health Emergencies	IDA
Grant	Program-for-results	IBRD
Grant	Crisis Response Window	IDA
Grant	Immediate Response Mechanism	Governments (Voluntary)
Grant	Contingent Emergency Response Component	IDA
Trust fund	GFDRR	World Bank
Trust fund	Country-specific trust funds	World Bank
Risk insurance	Risk pools	World Bank
Risk insurance	Pandemic Emergency Financing Facility	Governments
Bonds/guarantees on bonds	Cat Bonds, Cat Swaps, Weather Derivatives	World Bank
Guarantee on loans	IDA special allocation for FCV risk mitigation	IDA
Pooled funds	IDA Sub-window for Refugees	IDA
Multiple mechanisms	Regional IDA Program	IBRD
Within the Private Sector Window	IDA Private Sector Window	IDA
Guarantees on loans	Risk Mitigation Facility	IDA
Risk insurance	MIGA Guarantee Facility	IDA
Loan	Local Currency Facility	IDA
Loan/guarantees on loans	Blended Finance Facility	IDA

The World Bank established a Global Crisis Response Platform in 2016 to bring together its portfolio of crisis financing tools. One of these is the Global Concessional Financing Facility (GCFF) created in response to the Syria crisis. This supports middle income countries hosting large numbers of refugees by providing low interest development loans to host governments to respond to the needs of refugees and their host communities. Figure 2.8 illustrates the volume of inflows and outflows through the GCFF to Lebanon and Jordan.

**Figure 2.8**  
Contributions to and allocations from the GCFF, 2016–2017



By the end of 2017, a total of US\$515 million<sup>3</sup> had been committed by 10 donors to the GCFF for Jordan and Lebanon, of which US\$357 million had been received.

- As of 31 December 2017, two-thirds [US\$244 million] of the funding received had been approved for implementation via three implementation support agencies, which then disburse financing to the 'benefitting countries', with the World Bank channelling the most [87%, US\$212 million].<sup>4</sup>
- GCFF loans may finance expenditure over a number of years and so direct comparisons with annual flows of international humanitarian assistance are not possible. However, to place the scale of GCFF financing in some context, the combined total for international humanitarian assistance to Jordan and Lebanon in 2016 was US\$1.4 billion.

**Source:** Development Initiatives based on World Bank data.

**Notes:** EBRD: European Bank for Reconstruction and Development; IsDB: Islamic Development Bank. The graph only includes funds that have been received by the Global Concessional Financing Facility (GCFF) during the financial year 2016/17 and does not include unfulfilled pledges or effective contributions. Totals may not add up due to rounding. Data is in current prices.



Ethiopia, 2017

People wait at a government-led feeding centre in Wagduf Temporary Resettlement site, Somali regional state.

Credit: Ayene/UNICEF Ethiopia



# chapter 3

## donors: who gives assistance?

In 2017, volumes of international humanitarian assistance provided by government donors remained at similar levels to 2016. They also continued to be concentrated among a small group of these donors. In 2017, as in 2016, the three largest donors accounted for almost three-fifths of all government contributions, while the US remained the single largest donor, providing almost a third (32%) of all assistance.

Just over half of the 20 largest donors of international humanitarian assistance increased their contributions in 2017, although only three countries saw growth in excess of US\$100 million. These increases were counterbalanced by reductions among other donors. International humanitarian assistance from countries in the Middle East and North Africa fell significantly for the second consecutive year, decreasing by 30% from 2016. Levels of funding from governments in Europe plateaued in 2017, following a sharp rise in 2016. Contributions from Europe in 2017 accounted for the same proportion of total government funding (53%) as in the previous year.

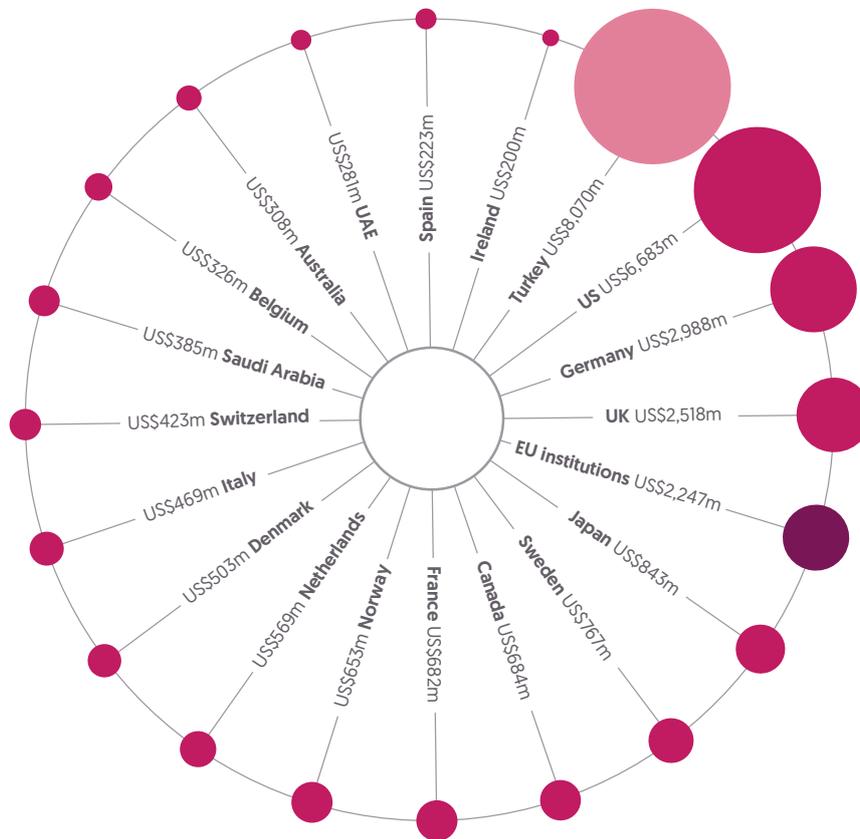
Estimated funding for international humanitarian assistance from private donors – individuals, trusts, foundations and corporations – grew by approximately 9% in 2017, following a decrease of 14% in 2016. The sharp growth in private contributions in 2015 appears to represent an exceptional spike – interrupting a six-year trend of steady growth – likely driven by the occurrence of high-profile sudden-onset disasters associated with natural hazards including the Nepal earthquake as well as the Ebola virus disease outbreak.

Contributions from trusts and foundations grew by 14% in 2016 [the latest year for which a breakdown by private donor type is available], accounting for an increasing proportion of funding from private donors. Yet individual giving continued to be the single largest source of private international humanitarian assistance, accounting for over two-thirds (68%) of all private contributions.

# International government funding: largest donors

**Figure 3.1**

20 contributors of the largest amounts of humanitarian assistance, governments and EU institutions, 2017



A relatively small group of governments, along with EU institutions, continue to provide the majority of international humanitarian assistance.

- In 2017 international humanitarian assistance from the largest 20 public donors was largely unchanged from the previous year (up to US\$19.8 billion in 2017 from US\$19.5 billion in 2016).
- Contributions from the group of 20 largest donors increased, but the pace of growth slowed to only 1.6% from 2016, following rises in the preceding three years of 8%, 11% and 24%, respectively.
- The proportion of total contributions provided by the three largest donors increased slightly from 57% in 2016 to 59% in 2017.<sup>1</sup>
- The US continued to be the single largest donor, providing almost a third (32%) of all public funding for humanitarian assistance, a similar share to that contributed in 2016 (32%).

**Source:** Development Initiatives based on Organisation for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC), UN Office for the Coordination of Humanitarian Affairs (OCHA) Financial Tracking Service (FTS) and UN Central Emergency Response Fund (CERF) data.

**Notes:** UAE: United Arab Emirates; Data for 2017 OECD DAC is preliminary. Contributions of EU member states include an imputed amount of their expenditure (see our online *Methodology and definitions*). EU institutions are also included separately for comparison and are shaded differently. Turkey is shaded differently because the humanitarian assistance it voluntarily reports to the DAC<sup>2</sup> is largely comprised of expenditure on hosting Syrian refugees in Turkey,<sup>3</sup> and is not therefore strictly comparable with the international humanitarian assistance from other donors in this figure. Data is in constant 2016 prices.

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Some notable year-on-year increases and decreases in the volumes of international humanitarian assistance provided by individual governments are evident.

- 10 of the 20 largest donors in 2016 increased their contributions in 2017, with six increasing by more than 10%.
- Among the very largest donors, increases in excess of US\$100 million were seen from the US, of US\$3.5 billion (5%); Germany, of US\$284 million (11%); and Canada, of US\$111 million (19%).
- These increases were largely counterbalanced by reductions in funding from another 10 of the largest donors, with four decreasing by more than 10%.
- The single most significant fall in contributions was from the United Arab Emirates (UAE), of US\$434 million (61%), the only country to reduce funding by more than US\$100 million.

According to Organisation for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC) guidance, donors can report some of their spending on hosting refugees for their first year as non-humanitarian official development assistance (ODA).<sup>4</sup>

- In 2017, total reported costs decreased for the first year since 2012, falling by 14% to US\$13.8 billion from 2016 to 2017.
- Of the 15 countries with the highest in-country refugee-hosting costs, 10 reported decreases.
- Costs for 2017 were, however, still three times the level reported in 2012.
- In 2017, Germany (43%), Italy (13%) and the US (12%) accounted for two-thirds of expenditure.
- The Netherlands and Spain reported large increases in spending from 2016 to 2017, rising by 87% (to US\$813 million) and 140% (to US\$213 million), respectively.

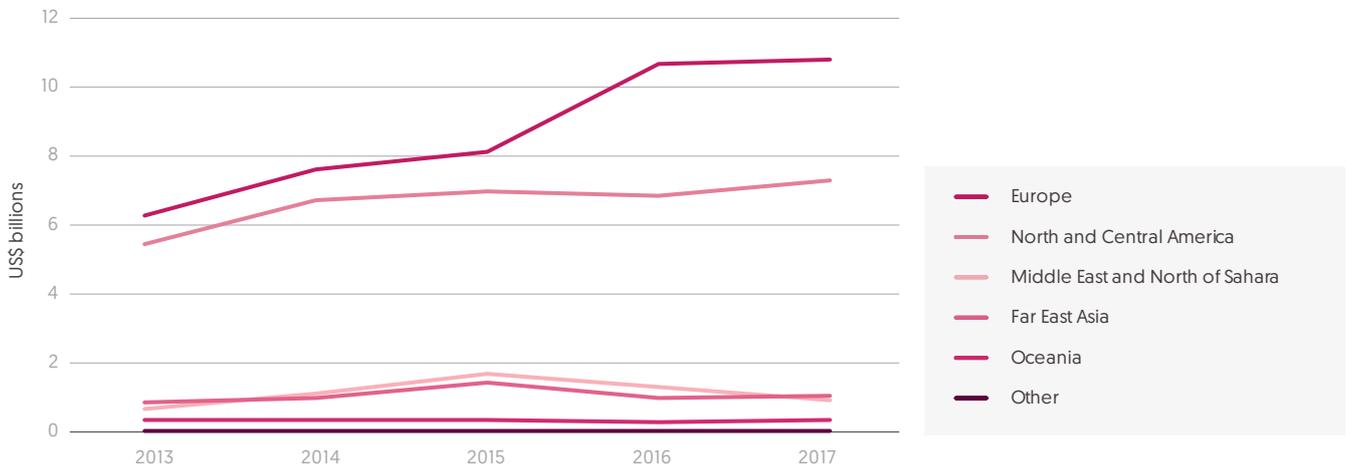
The proportion of gross national income (GNI) spent on international humanitarian assistance indicates the significance of humanitarian spending relative to the size of the economy and other spending priorities.

- In 2017, significant changes in the share of GNI dedicated to humanitarian assistance from 2016 were evident for Turkey, increasing from 0.69% to 0.85%, and the UAE, decreasing from 0.20% to 0.08%.
- In addition to Turkey, five other countries contributed more than 0.1% of GNI as international humanitarian assistance: Norway (0.17%); Luxembourg (0.17%); Denmark (0.16%); Kuwait (0.16%); and Sweden (0.15%).
- The US was the largest donor by volume but contributed only 0.04% of GNI as international humanitarian assistance, the 19th largest share of GNI.

# International government funding: donor regions

**Figure 3.2**

International humanitarian assistance from governments by donor region, 2013–2017



In 2017, volumes of international humanitarian assistance from different regions showed only minor changes from 2016.

- In 2017, contributions from European governments (provided bilaterally and from EU institutions) accounted for just over half of all government funding (53%, US\$10.9 billion), a minor change from the previous year (53%, US\$10.8 billion).
- Levels of assistance provided by countries in North and Central America (primarily the US and Canada) have also remained relatively stable, increasing by 6% in 2017, following a 1% decrease in 2016 and a 3% rise in 2015.
- Funding from both the US and Canada grew in 2017, by US\$304 million and US\$111 million, respectively. This represented a sharp 19% increase in total funding from Canada following a larger, 21% (US\$150 million) fall in 2016.
- Levels of funding from countries in the Middle East and North of Sahara region continued to decline (decreasing by US\$394 million) from their 2015 peak (US\$1.7 billion).
- This decline was primarily driven by a US\$434 million fall in funding from the UAE, while funding from Kuwait also fell (US\$11 million).
- A consistent trend in allocations across the region was not evident, however, as funding from Saudi Arabia and Qatar increased by US\$24 million and US\$28 million respectively.
- Contributions from governments in the Middle East and North of Sahara accounted for 4% of all government funding in 2017, down from 6% in 2016 and 9% in 2015.

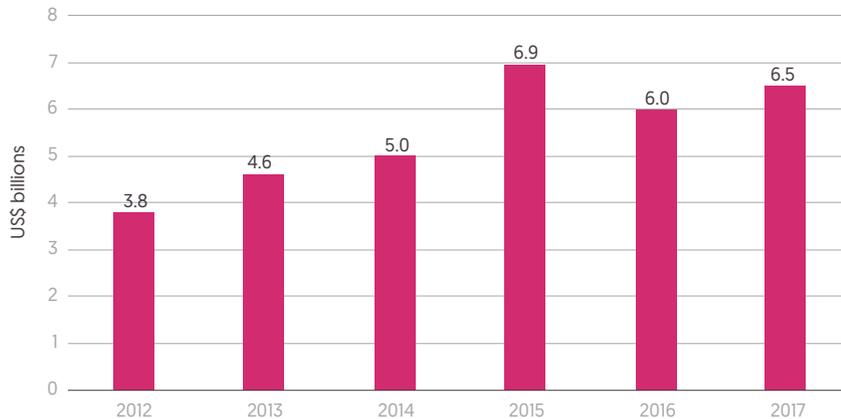
**Source:** Development Initiatives based on OECD DAC, UN CERF and UN OCHA FTS data.

**Notes:** OECD DAC data for 2017 is preliminary. Funding from OECD DAC donors includes contributions from EU institutions. OECD country naming has been used for regions, except the Middle East and North of Sahara, which have been combined. 'Other' regions includes the combined total of regions where funding was below US\$100 million over the five-year period. Calculations only include humanitarian assistance spent internationally, not in-country. See our online *Methodology and definitions*. Data is in constant 2016 prices.

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## Private donors

**Figure 3.3**  
International humanitarian assistance from private donors, 2012–2017



With resources for international humanitarian assistance continually stretched, private donors play a vital and substantial role funding humanitarian action, in addition to public funding from governments.

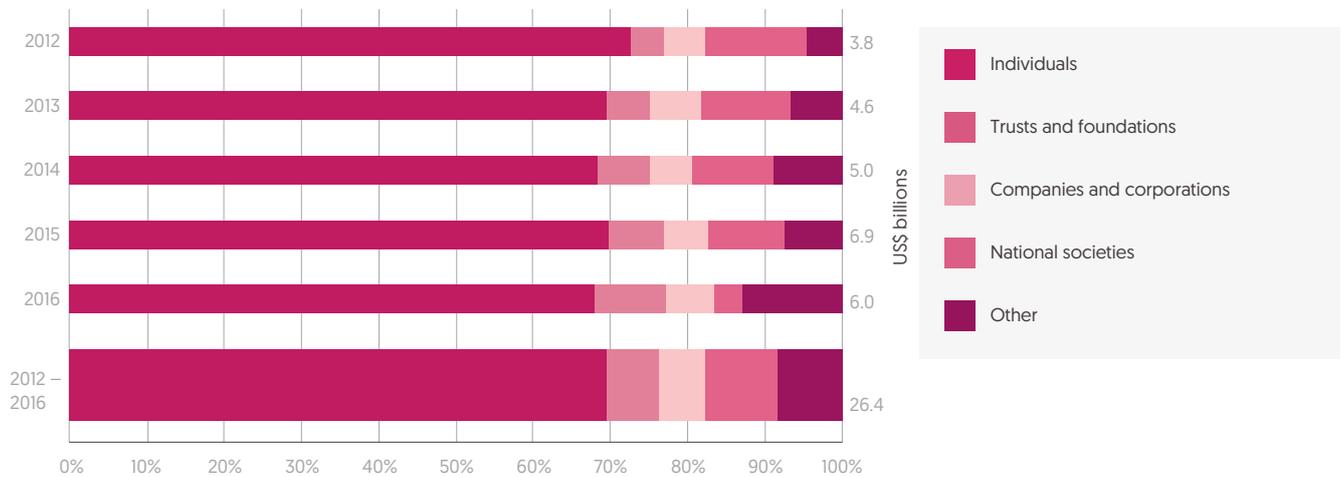
- International humanitarian assistance provided by private donors decreased to US\$6.0 billion in 2016 from US\$6.9 billion in 2015, following four consecutive years of growth from 2012.<sup>5</sup>
- Preliminary estimates for 2017 indicate that private donor contributions rose by 9% from 2016 to US\$6.5 billion.
- Figures for 2017 suggest a return to a pattern of steady growth in contributions from private donors, with an increase of US\$558 million slightly below the average yearly level of growth since 2012 [US\$687 million].
- Funding in 2015 appears to represent an exceptional spike, likely driven by high-profile sudden-onset disasters associated with natural hazards including the Nepal earthquake as well as the Ebola outbreak.
- Although increasing by 72% in volume from 2012, the proportion of all humanitarian assistance provided by private sources has remained relatively constant over the past six years, accounting for about a quarter of all international humanitarian assistance [ranging from 23% to 27% of all funding].
- In 2017 the Syria crisis remained the largest recipient of private contributions.
- Private sources contributed 2% of total humanitarian response to the Syria crisis [down from 4% in 2016], with private funding reducing by 51% [US\$136 million].

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**Source:** Development Initiatives based on our unique dataset of private contributions.

**Notes:** Figures for 2017 are preliminary estimates [see our online *Methodology and definitions* for full details]. Data is in constant 2016 prices.

**Figure 3.4**  
Sources of private international humanitarian assistance, 2012–2016



This figure shows how sources of private international humanitarian assistance have varied between 2012 and 2016.

- Individual giving remained the largest source of private humanitarian assistance in 2016, accounting for two-thirds (68%) of private contributions and totalling US\$4.1 billion.
- The volume and proportion of total private funding provided by trusts and foundations continued to increase in 2016.
- Contributions from trusts and foundations rose to US\$557 million (a 14% increase from 2015) and accounted for 9% of all private humanitarian assistance in 2016.
- According to our dataset (see our online *Methodology and definitions*), non-governmental organisations (NGOs) continued to receive a greater proportion of their funding from private sources than other types of organisation did,<sup>6</sup> with 41% of humanitarian funding raised by NGOs in 2016 coming from private contributions.

**Source:** Development Initiatives based on our unique dataset of private contributions.

**Notes:** Data is in constant 2016 prices.

# chapter 4

## effectiveness, efficiency and quality

Humanitarian assistance can be passed through a series of agencies before it reaches the ultimate recipients. In 2016, multilateral organisations (primarily UN agencies) were the first channels of almost half (49%) of all international humanitarian assistance. Total funding to nine UN agencies grew slightly from the previous year to US\$14.6 billion. Trends in funding to individual agencies varied, however, with large percentage increases (in excess of 10%) for the UN Development Programme (UNDP), Food and Agriculture Organization (FAO) and World Food Programme (WFP) but large percentage decreases for the International Organization for Migration (IOM), UN Office for the Coordination of Humanitarian Affairs (OCHA) and UN Relief and Works Agency for Palestinian Refugees in the Near East (UNRWA).

Pooled funds can deliver flexible, responsive funding. Funding to both the Central Emergency Response Fund (CERF) and the UN's 18 country-based pooled funds (CBPFs) increased in 2017, reaching a record combined total of US\$1.3 billion. Funding to the CERF increased by 18% to US\$505 million in 2017, a large rise in contributions, though still some way short of the ambition to generate US\$1 billion by 2018.<sup>1</sup> Just five countries provided 64% of all resources to UN pooled funds in 2017.

Signatories to the Grand Bargain have committed to make progress in improving the efficiency and effectiveness of humanitarian assistance. With some targets set for 2020, only two years remain to realise these goals. But results are hard to track. Improving transparency through better reporting, dissemination and use of information is important in measuring progress towards these targets.

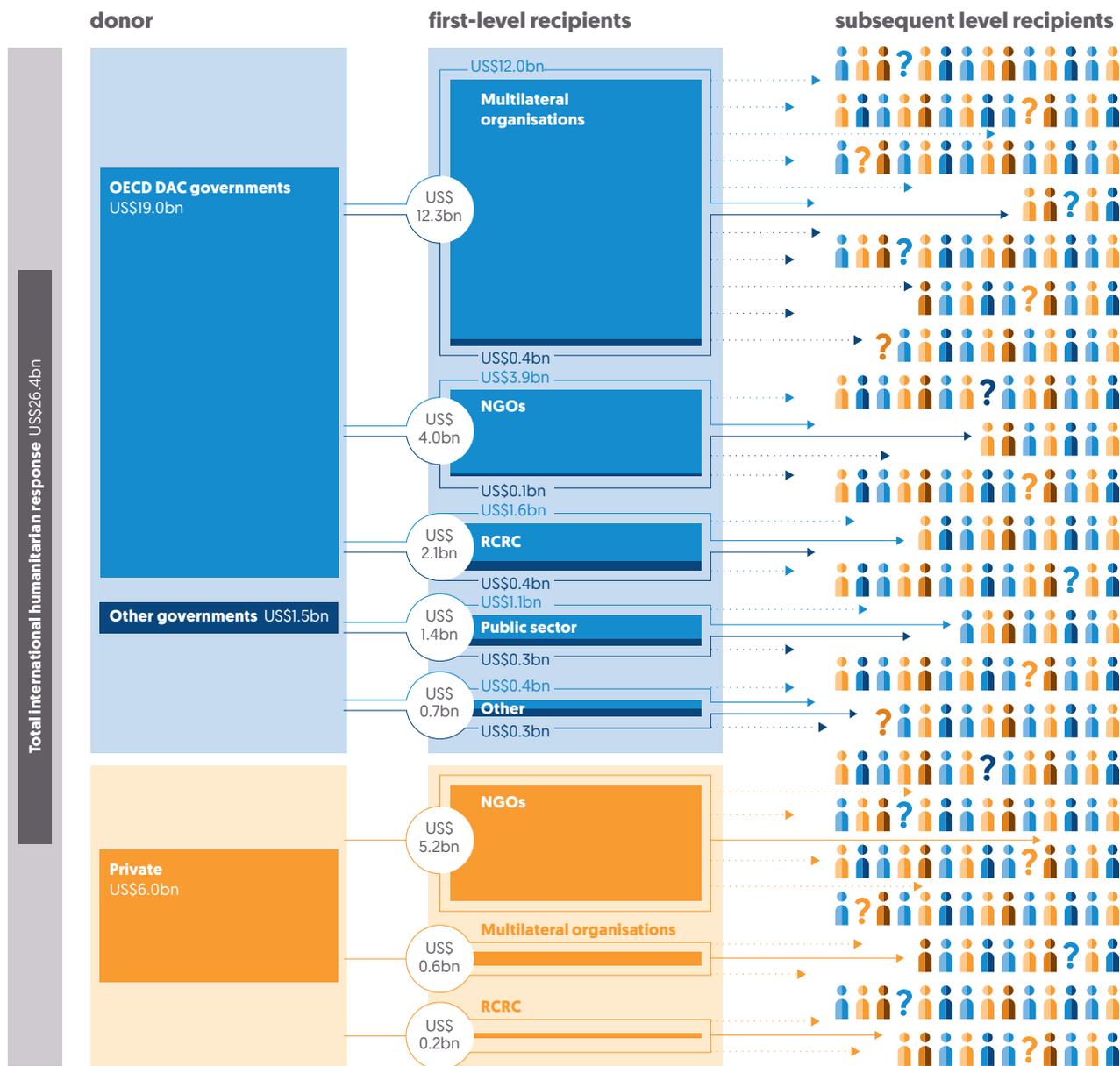
The Grand Bargain sets “a global, aggregated target of at least 25% of humanitarian funding to local and national responders as directly as possible” by 2020. In 2017, funding reported to UN OCHA Financial Tracking Service (FTS) as being channelled directly to local and national non-governmental organisations (NGOs), or delivered through one intermediary, accounted for 3.6% of total humanitarian assistance. This represented an increase from 2.3% in 2016 but suggests much progress remains to be made.

Unearmarked funding can bring greater flexibility and responsiveness to humanitarian action, as well as greater autonomy for responders. Since 2013, self-reported data from UN agencies indicates that volumes of unearmarked funding have increased by 30% to US\$2.6 billion. However, volumes of earmarked funding have grown more rapidly, resulting in a fall over the same period in the proportion of total funding that was unearmarked from 22% to 18%.

Cash-transfer programming (CTP) can provide choice and empower recipients of humanitarian assistance. Estimates suggest that volumes of assistance provided through CTP are growing rapidly to US\$2.8 billion, up from US\$2.0 billion in 2015, an increase of 40%. Improvements have been made in tracking CTP but reporting systems need to develop mechanisms to track it at sufficiently disaggregated levels.

# Channels of delivery

**Figure 4.1**  
Funding channels of international humanitarian assistance, 2016



**Source:** Development Initiatives based on Organisation for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC), UN Office for the Coordination of Humanitarian Affairs (OCHA) Financial Tracking Service (FTS) and UN Central Emergency Response Fund (CERF) data and Development Initiatives' unique dataset for private contributions.

**Notes:** RCRC: International Red Cross and Red Crescent Movement. Our first-level recipient data from government donors and EU institutions uses OECD DAC Creditor Reporting System (CRS), UN CERF and UN OCHA FTS data. The figures in our calculations for total humanitarian assistance from OECD DAC donors use data from OECD DAC Tables 1, 2a and 'Members' total use of the multilateral system', so totals may differ. 'Public sector' refers both to the OECD definition and reporting to the FTS. OECD DAC CRS codes 'other', 'to be defined' and 'public-private partnerships' are merged to 'other'. Private funding figures use our unique dataset on private contributions for humanitarian assistance. This figure cannot be cross referenced with Figure 4.7, which uses data from UN OCHA FTS only. The data used in Figures 2.4 and 2.5 is sourced bilaterally from International Committee of the Red Cross and International Federation of Red Cross and Red Crescent Societies' reports and therefore differs from the data shown above, which is based on OECD DAC and UN OCHA FTS. Data is in constant 2016 prices.

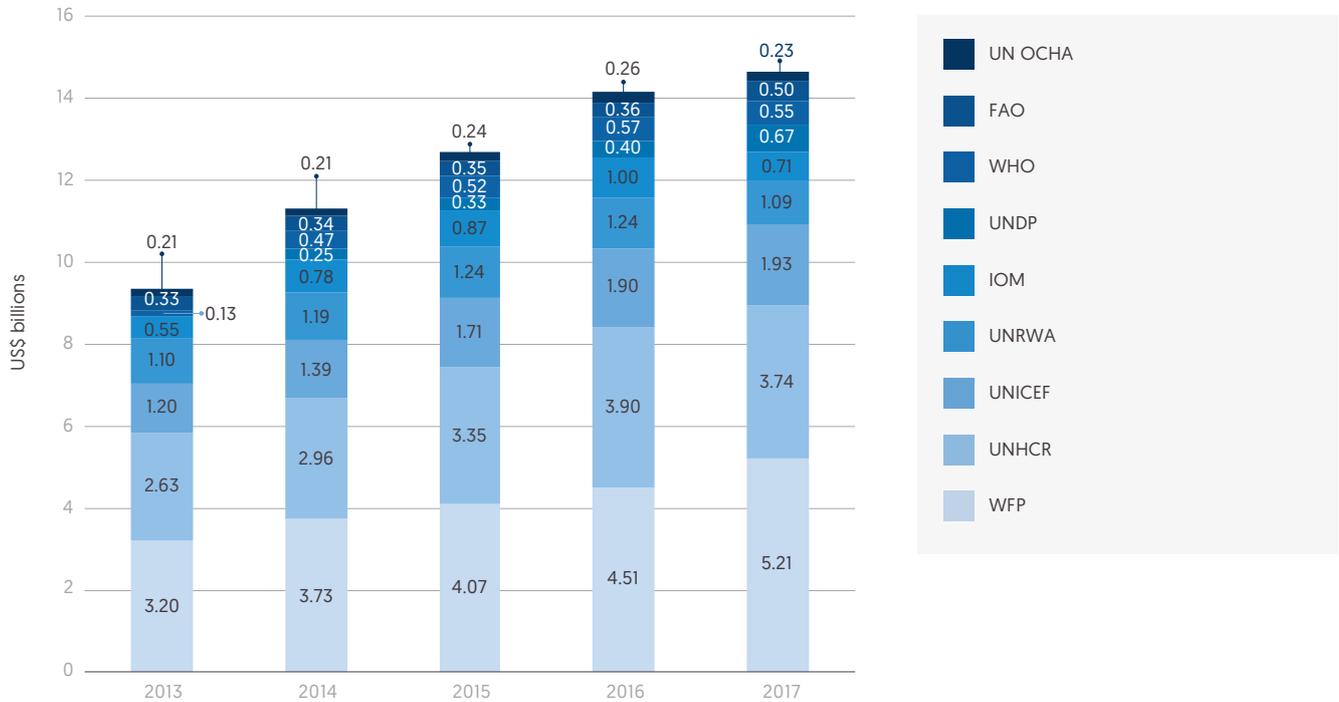
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Funding for humanitarian assistance is channelled from donors through a variety of organisations to get to the location of the crisis. It often passes through one or more levels of recipients before reaching people affected by crisis.

- In 2016, multilateral organisations (primarily UN agencies) continued to receive the most government funding (60% or US\$12.3 billion), the same proportion as in 2015.
- 87% of private contributions were directed to NGOs, with 10% going to multilateral organisations, and 3% to the International Red Cross and Red Crescent Movement (RCRC), largely in line with averages over the past five years.
- The volume of direct funding to NGOs decreased for the first time in four years (falling by US\$666 million to US\$9.2 billion in 2016),<sup>2</sup> largely driven by a 15% fall in private donor contributions.
- Funding to NGOs as a proportion of total international humanitarian assistance decreased from 38% in 2015 to 35% in 2016.

# UN agencies

**Figure 4.2**  
Humanitarian-related contributions to nine UN agencies, 2013–2017



UN agencies, including WFP, UNHCR, UN International Children’s Emergency Fund [UNICEF], UNRWA, IOM, UNDP, WHO, FAO and UN OCHA, play key roles in humanitarian coordination and response.

- These nine UN agencies directly received US\$14.6 billion in 2017, a 3% increase from 2016.
- This overall slight increase in funding from 2016 masks significant differences in the patterns of funding to individual agencies in 2017.
- Three UN agencies saw large percentage increases in their levels of funding, with allocations to UNDP growing by 68% [US\$273 million], to FAO by 36% [US\$133 million] and to WFP by 16% [US\$704 million].
- Conversely, levels of assistance reduced to IOM [29% decrease, US\$293 million], UN OCHA [11%, US\$30 million]<sup>3</sup> and UNRWA [12%, US\$150 million].
- Overall volumes of funding to different agencies also varied markedly, with two bodies accounting for 61% of all funding directed to the nine UN agencies in 2017 – WFP, which received US\$5.2 billion [36% of funding to these UN agencies] and UNHCR, which received US\$3.7 billion [26% of UN funding]. This matched the proportions of funding to these two bodies in 2016.
- The total amount received by these nine UN agencies has increased by 29% since 2014, from US\$11.3 billion to US\$14.6 billion. Excluding UNDP, for which no 2013 data is available, the increase in humanitarian-related contributions to the remaining eight UN agencies was 49%, up from US\$9.4 billion in 2013 to US\$14.0 billion in 2017.

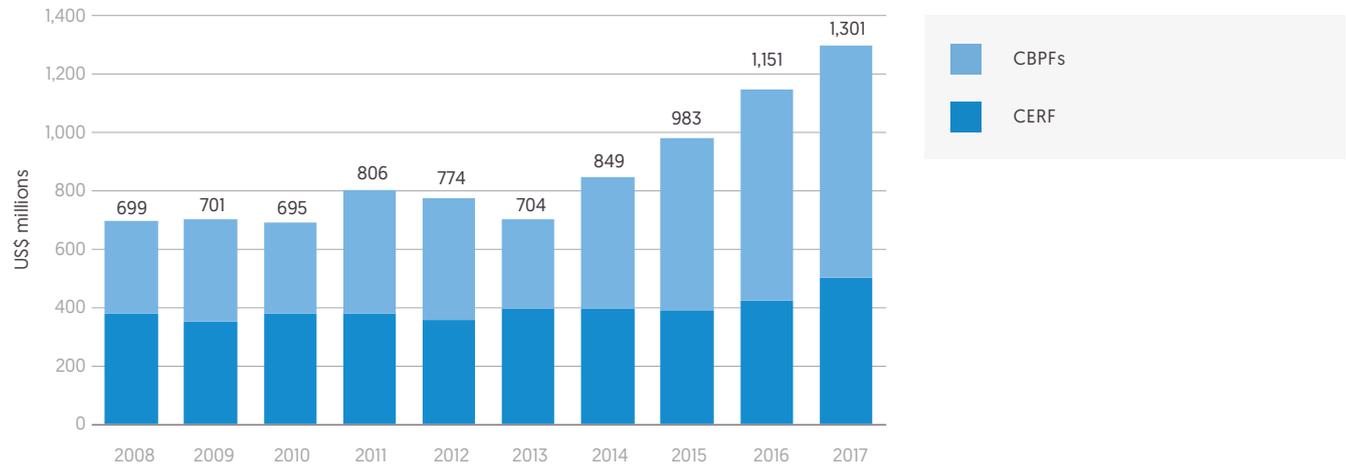
**Source:** Development Initiatives based on data provided bilaterally by UN agencies.

**Notes:** The calculations comprise humanitarian and humanitarian-related contributions given to the Food and Agriculture Organization (FAO), International Organization for Migration (IOM), UN Development Programme (UNDP), UN High Commissioner for Refugees (UNHCR), UN International Children’s Emergency Fund (UNICEF), UN OCHA, UN Relief and Works Agency for Palestinian Refugees in the Near East (UNRWA), World Food Programme (WFP) and the World Health Organization (WHO). UNDP data is not included for 2013. For all agencies, 2017 data is preliminary and may be revised. The data used in this analysis differs from data used in Figure 4.1. Data is in constant 2016 prices.

## Pooled funds

**Figure 4.3**

Total funding to UN-managed humanitarian pooled funds, 2008–2017



Pooled funds can provide flexible funding that is responsive to changing need and gaps in resourcing. They allow donors to contribute to collective humanitarian responses and can provide rapid assistance as emergencies develop. Such funds – UN – and NGO-led – operate at the global and country levels.

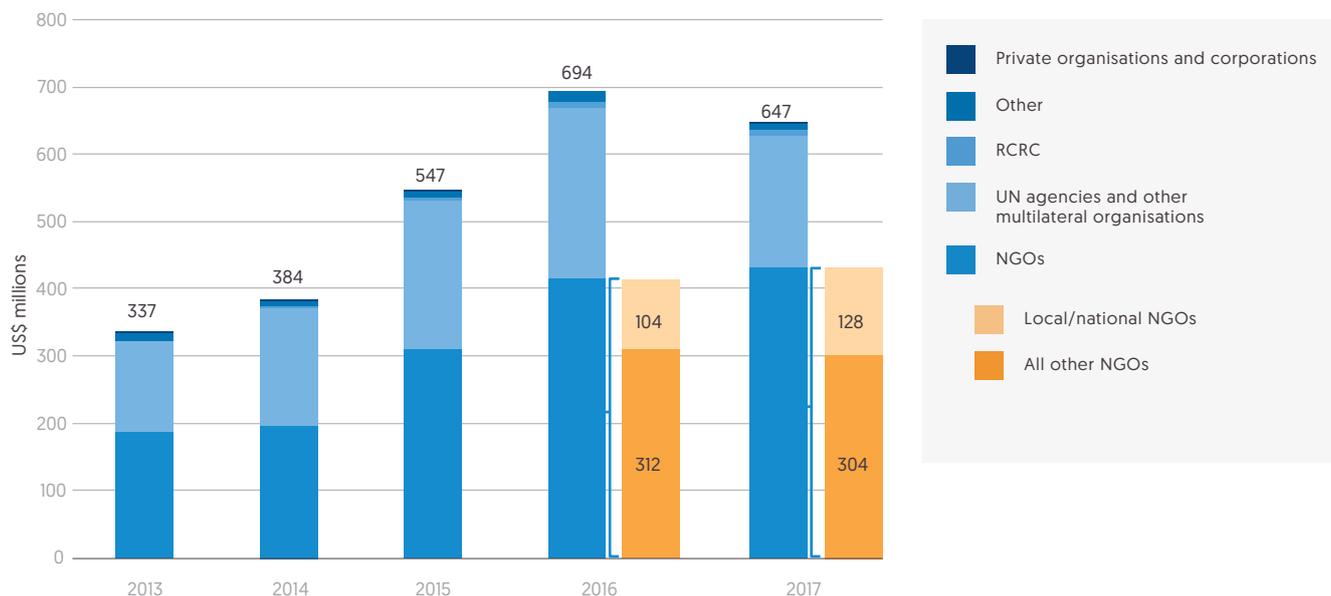
- UN pooled funds continued to attract growing volumes of funding in 2017, reaching a new record, for the fifth consecutive year, of US\$1.3 billion, a 13% increase from 2016.
- Funding for both the CERF and the 18 CBPFs grew in 2017, by 18% and 10%, respectively.
- The 18% growth in contributions to the CERF – up from US\$426 to US\$505 in 2017 – was the highest increase, by volume and proportion, since its creation.
- This growth marks significant progress towards its target of US\$1 billion by 2018, though with much still to do.<sup>4</sup>
- Between 2013 and 2017, five countries provided two-thirds of total contributions to pooled funds: the UK (US\$1.5 billion), Sweden (US\$721 million), Netherlands (US\$553 million), Germany (US\$532 million), and Norway (US\$368 million).
- Significant increases in contributions to the CERF from the UK (rising US\$37 million) and Germany (up US\$24 million), and to CBPFs by Germany (rising US\$130 million), substantially drove the overall growth in allocations to pooled funds.

**Source:** Development Initiatives based on UN OCHA FTS and UN CERF data.

**Notes:** CBPFs: country-based pooled funds. Data is in constant 2016 prices.

**Figure 4.4**

UN-managed humanitarian country-based pooled funding by recipient type, 2013–2017



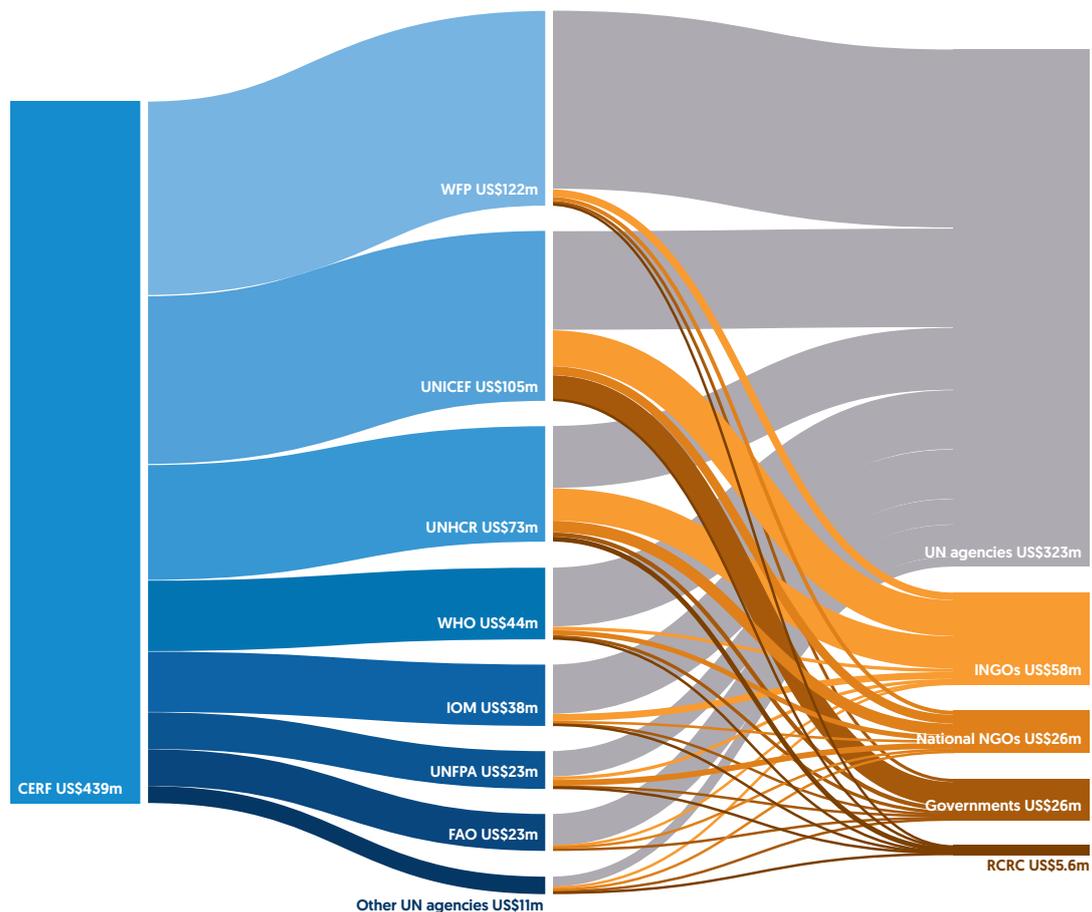
While the CERF can only make direct allocations to UN agencies, the CBPFs can fund NGOs [both international and national or local] directly.

- Allocations from CBPFs to NGOs continued to grow, though the rate of growth is slowing, down from 58% in 2015 and 34% in 2016 to just 4% in 2017.
- The share of total CBPF allocations received by NGOs was 67%, the highest proportion for five years.
- International NGOs (INGOs) received the largest share of CBPF allocations to NGOs, at 67%, with 30% provided to national or local NGOs and 3% to southern INGOs.

**Source:** Development Initiatives based on UN OCHA FTS data and UN OCHA's Country-based pooled fund (CBPF) Grant Management System (GMS).

**Notes:** RCRC: International Red Cross and Red Crescent Movement. 'Other' includes: national governments; foundations; unspecified organisations; think tanks, academia and research institutions. Coding of organisations in receipt of funding from Turkey's CBPF in 2016 and 2017 is based on definitions used by CBPF GMS. For DI's organisation coding methodology, see our online *Methodology and definitions*. Data is in constant 2016 prices.

**Figure 4.5**  
First- and second-level recipients of CERF funding, 2016



The CERF only provides funding directly to UN agencies; however, it is possible to trace this funding to first- and second-level recipients. CERF data from 2016 – the year World Humanitarian Summit commitments were made – provides a baseline to monitor future progress, particularly in relation to Grand Bargain localisation commitments to increase “as directly as possible” funding to local and national actors.<sup>5</sup>

- In 2016, almost half of CERF funds (48%) were allocated for procuring relief supplies, with remaining funds split between direct implementation by UN agencies (25%) and sub-grants by UN agencies to implementing partners (26%).
- As second-level recipients, INGOs received 13% of all CERF grants, 6% went to national NGOs and a further 6% to national governments, with Red Cross and Red Crescent receiving 1%.<sup>6</sup>
- In 2016, as in 2015, the largest providers of sub-grants (to governments, INGOs, national NGOs or the RCRC) were UNICEF (US\$44 million) and UNHCR (US\$33 million).

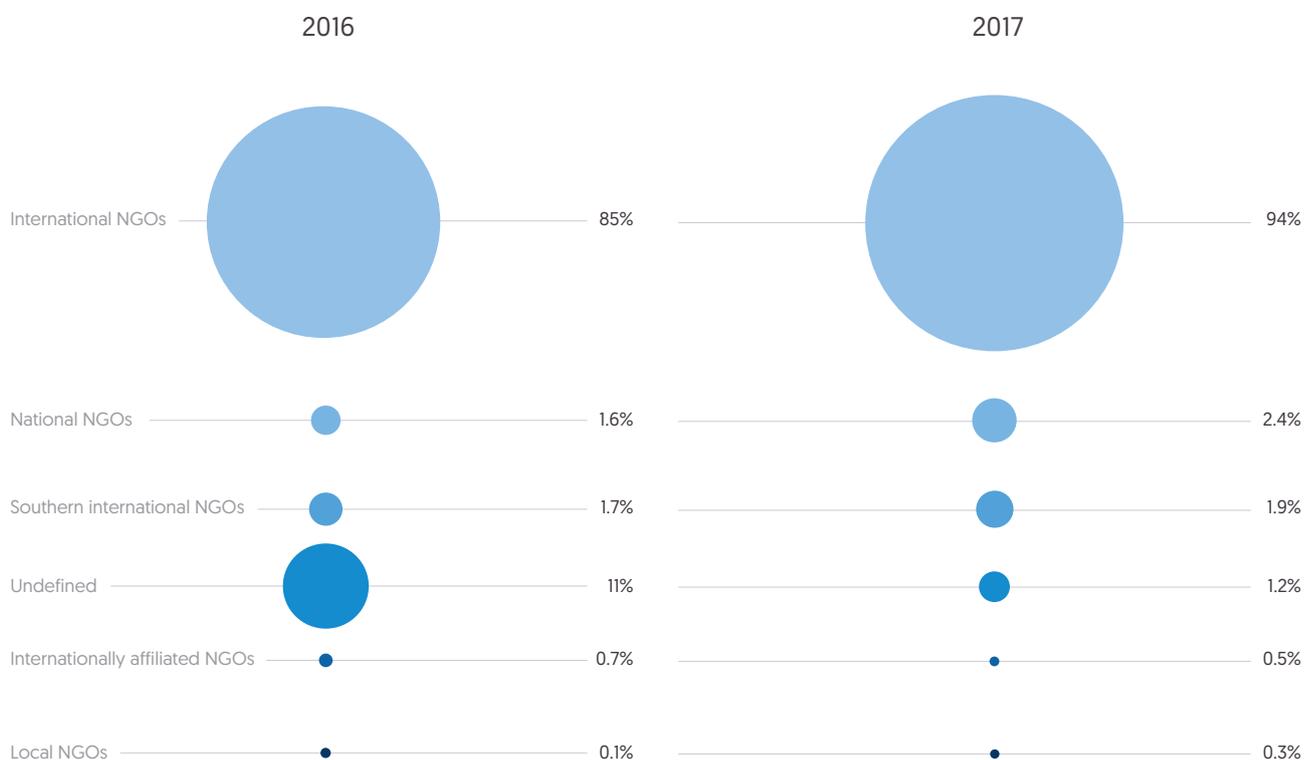
**Source:** Development Initiatives based on UN CERF data.

**Notes:** FAO: Food and Agriculture Organization; INGO: international non-governmental organisation; IOM: International Organization for Migration; RCRC: International Red Cross and Red Crescent Movement; UNDP: UN Development Programme; UNHCR: UN High Commissioner for Refugees; UNICEF: UN International Children’s Emergency Fund; UNRWA: UN Relief and Works Agency for Palestinian Refugees in the Near East; WFP: World Food Programme; WHO: the World Health Organization. ‘Other UN agencies’ includes: UNDP, UN Human Settlements Programme (UN Habitat), UN Entity for Gender Equality and the Empowerment of Women (UN Women), UN Office for Project Services (UNOPS) and UN High Commissioner for Human Rights (UNHCR). The UN agencies’ own classification of organisations, collated by CERF, is used for this analysis and differs from DI’s methodology in Figures 4.6 and 4.7. Data is in current prices.

## Funding for local and national responders

**Figure 4.6**

International humanitarian assistance channelled directly to NGOs, by category, 2016 and 2017



Overall funding to all NGOs combined has decreased from 19% of total funding reported to FTS in 2016, to 15% in 2017. The figure above shows how this funding is distributed between different types of NGOs.

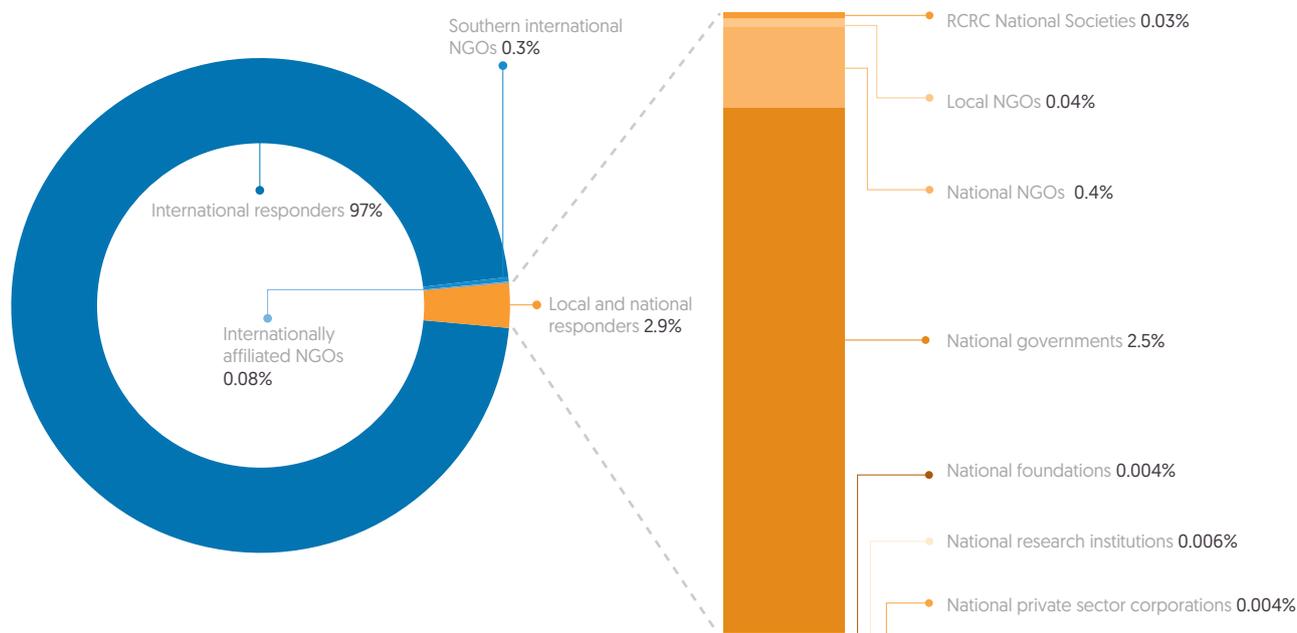
- A greater share of funding was directed to INGOs in 2017 than in 2016, accounting for 94% of all funding to NGOs, rising from 85% in 2016.
- The 10 largest INGO recipients continued to account for just under half [44% in 2017 and 44% in 2016] of all assistance channelled through NGOs on UN OCHA FTS.
- There was an increase in direct funding to national and local NGOs combined, from 1.7% of the total to NGOs to 2.6%.
- The proportional changes seen in 2017 from the previous year could be due to improvements in reporting, illustrated by the sharp decrease, from 11% to 1%, in funding categorised as 'undefined'.

**Source:** Development Initiatives based on UN OCHA FTS data.

**Notes:** Figure shows humanitarian assistance to each category of non-governmental organisation (NGO) as a percentage of the total humanitarian assistance channelled through NGOs as reported to FTS only; it does not show funding channelled to categories of NGOs as a percentage of total international humanitarian assistance. Circles are scaled by percentage. For definitions of different NGO types and details of our methodology, see our online [Methodology and definitions](#).

**Figure 4.7**

Direct funding to local and national responders reporting to UN OCHA FTS, 2017



The Grand Bargain sets “a global, aggregated target of at least 25% of international humanitarian funding to local and national responders as directly as possible” by 2020.<sup>7</sup>

- The share of total international humanitarian assistance provided directly to local and national responders has increased from 2.0% [US\$458 million] in 2016 but remains small at just 2.9% [US\$603 million] in 2017.
- Most direct funding to local and national responders (84%, US\$509 million) continues to be directed to national governments.
- Local and national NGOs combined received 0.4% [US\$85 million] of all international humanitarian assistance reported to UN OCHA FTS in 2017, a rise of 0.1%, or US\$6 million, from 2016.

The outcome of discussions in the Localisation Marker Working Group currently define “as directly as possible funding” as including funding passed through one intermediary – that is, to a second-level recipient:<sup>8,9</sup>

- Funding provided to local and national responders directly and through one intermediary accounted for 3.6% [US\$736 million] of total international humanitarian assistance reported to FTS in 2017, up from 2.3% [US\$535 million] in 2016.
- In 2017, 2.4% of all funding that can be traced as directed through one intermediary [and up to second-level recipients] went to local and national responders, up from 1.7% in 2016.

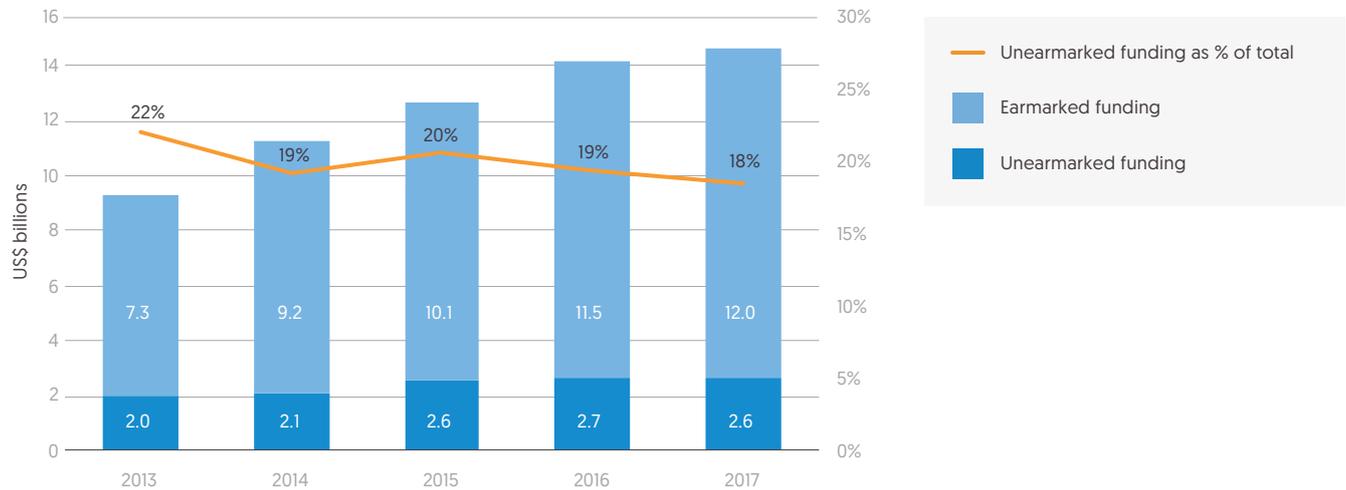
**Source:** Development Initiatives based on UN OCHA FTS data.

**Notes:** RCRC: International Red Cross and Red Crescent Movement. Government authorities in Bahamas and Greece are counted as national responders since they received international humanitarian assistance in 2017. RCRC National Societies that received international humanitarian assistance to respond to domestic crises are included. For organisation coding methodology, see our online [Methodology and definitions](#).

# Earmarking

**Figure 4.8**

Earmarked and unearmarked international humanitarian assistance and humanitarian-related contributions to nine UN agencies, 2013–2017



The potential benefits of unearmarked humanitarian-related funding in enabling rapid, flexible response to humanitarian needs, and allowing for greater stability and efficiency in programme planning, procurement and management, are recognised in the Grand Bargain. This seeks to “achieve a global target of 30% of humanitarian contributions that is non-earmarked or softly earmarked by 2020”.<sup>10</sup>

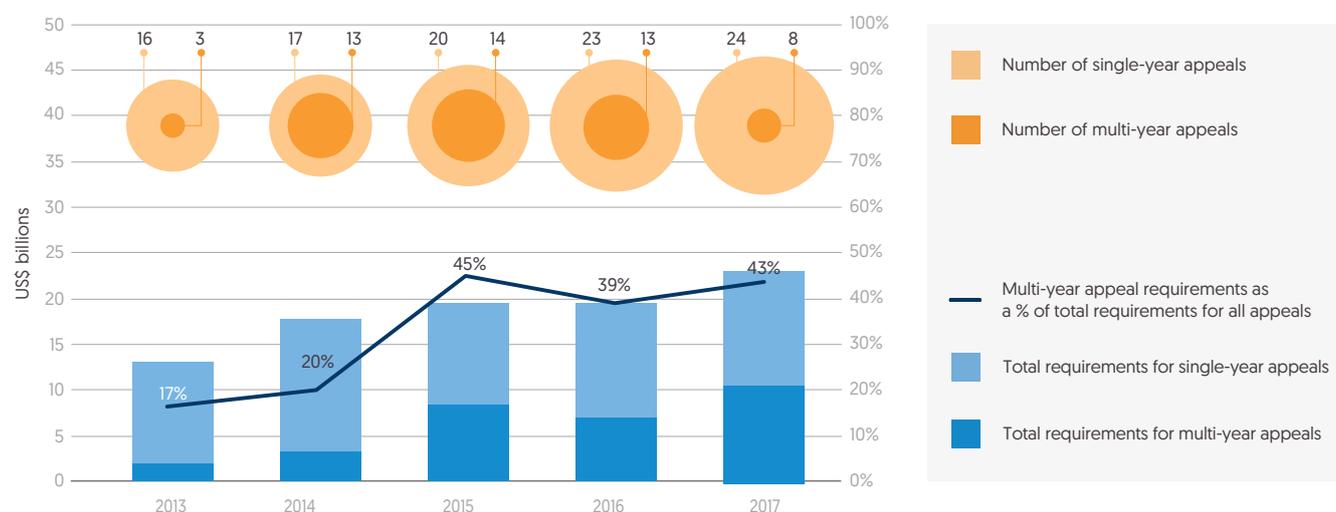
- Self-reported data from nine UN agencies indicated that increases in the volumes of unearmarked funding received have been outweighed by greater rises in volumes of earmarked funding.
- Between 2013 and 2017, unearmarked funding to these agencies increased by US\$605 million (30%). However, the US\$4.7 billion growth in earmarked funding meant the unearmarked share of their total funding fell from 22% to 18% over the period.
- Increases in volumes of earmarked funding to three agencies – WFP, UNHCR and UNICEF, rising by US\$2 billion, US\$735 million and US\$700 million, respectively – accounted for three-quarters (74%) of the total rise in earmarked funding between 2013 and 2017.
- The proportion of each agency’s funding that was unearmarked varied markedly. UNWRA and UN OCHA received the highest proportions in unearmarked funding in 2017 and were the only two agencies to see significant increases in the proportions of unearmarked income from 2016 – rising, respectively, from 60% to 67%, and 39% to 55%. In contrast, FAO received 1% of its income unearmarked, while IOM reported that all its funding was earmarked in 2017.

**Source:** Development Initiatives based on data provided bilaterally by UN agencies.

**Notes:** The calculations comprise earmarked and unearmarked humanitarian and humanitarian-related contributions given to the Food and Agriculture Organization (FAO), International Organization for Migration (IOM), UN Development Programme (UNDP), UN High Commissioner for Refugees (UNHCR), UN International Children’s Emergency Fund (UNICEF), UN OCHA, UN Relief and Works Agency for Palestinian Refugees in the Near East (UNRWA), World Food Programme (WFP) and the World Health Organization (WHO). 2017 data for all agencies is preliminary and may be revised. The data used in this analysis differs from data used in Figure 4.1. Data for WHO in 2013 is captured as entirely earmarked since a breakdown of earmarked and unearmarked funding is not available for those years. UNDP data is not included for 2013. Data is in constant 2016 prices.

## Single-year and multi-year appeals

**Figure 4.9**  
Number and requirements of single- and multi-year appeals, 2013–2017



The Grand Bargain included a commitment to increase collaborative multi-year planning and funding. While the data on multi-year funding is not currently available, a review of UN-coordinated appeals provides a window on multi-year planning.

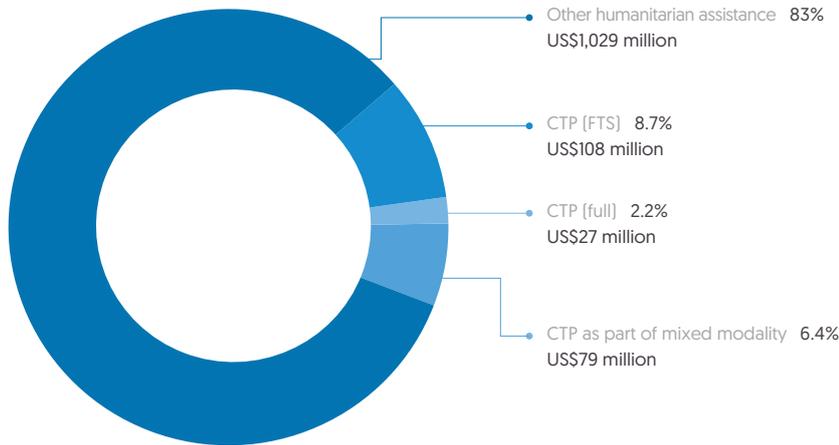
- Between 2013 and 2015, the number of multi-year appeals grew from three to 14 and their share of total UN appeal requirements increased from 17% to 45%.
- However, 2017 saw a reduction in the number of multi-year appeals, decreasing from 14 to eight.<sup>11</sup>
- Multi-year appeal requirements have increased to US\$10.2 billion in 2017, the highest recorded value, accounting for 43% of total appeal requirements.
- In 2017, the Syria Regional Refugee and Resilience Plan (3RP) accounted for 55% of total multi-year requirements, with requirements increasing by US\$1 billion from 2016.

**Sources:** UN OCHA FTS and appeal documents.

**Notes:** Data is in current prices.

# Cash

**Figure 4.10**  
Cash-transfer programming in Somalia as reported to FTS, 2017



Cash-transfer programming (CTP) can empower recipients of humanitarian assistance to choose how to best meet their needs. Cash transfers can be standalone or an element of other programmes; they can range from unconditional cash to vouchers for particular goods or vendors. Yet accurately tracking cash transfers is challenging.

- An estimated US\$2.8 billion of humanitarian assistance in 2016 was provided in the form of cash and vouchers,<sup>12</sup> a 40% increase from the 2015 estimate (US\$2.0 billion).
- Developments in 2017 to UN OCHA FTS indicate an improving ability to track levels of CTP from 2016 and greater granularity on CTP data is expected in 2018.
- Reporting currently varies considerably by country. In 2017, of countries in receipt of larger amounts of humanitarian assistance as reported to FTS, Ethiopia and Nigeria report 6% and 7% CTP respectively, whereas those receiving smaller amounts of international humanitarian assistance, Zimbabwe, Dominica and Haiti report 29%, 13% and 11% as CTP.<sup>13</sup>
- Up to 17% of total international humanitarian assistance to Somalia, as reported to FTS, can be identified as containing an element of CTP – identified through reporting of funding modality (cash or traditional aid), project descriptions and keyword search. This share splits into 11% that seems wholly or mostly cash-based and 6% that includes cash among other modalities.

**Source:** Development Initiatives based on UN OCHA FTS data.

**Notes:** CTP: Cash-transfer programming. 'CTP (FTS)' captures all 2017 flows to Somalia with CTP reported as funding modality to UN OCHA FTS. The other two CTP categories shown in the graph are additional flows identified through a word search and flow-by-flow sense checks. Data is in current prices.

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## Transparency

Grand Bargain signatories committed to greater transparency and to publish “timely, transparent, harmonised and open high-quality data”<sup>14</sup> to improve the efficiency and effectiveness of humanitarian response, as well as to enable greater accountability. And progress is being made. At the end of 2017 there were 56 Grand Bargain signatories.

- The International Aid Transparency Initiative (IATI) Standard is a technical publishing framework allowing data to be compared across those agencies publishing and across time.
- At the end of 2017, just under three-quarters (73%) of Grand Bargain signatories (or their members or affiliates) were publishing open data to the IATI Standard; of these, 85% were publishing data on their humanitarian activities. Meanwhile, 9% of Grand Bargain signatories were providing more granular humanitarian data, such as information on humanitarian response plans or clusters.<sup>15</sup>
- An updated version of IATI Standard (2.03) was developed in 2017, for launch in early 2018, and will enable organisations to publish data on specific Grand Bargain commitments, such as earmarking, CTP and if funding is channelled via local and national responders.
- The UN OCHA FTS and IATI teams are working with the Centre for Humanitarian Data to pilot “the automated use of published IATI data as a primary data source for FTS”. This aims to reduce the reporting burden for participating organisations and enable faster data processing and analysis by FTS.<sup>16</sup>
- Developments in the FTS have been made to identify intermediaries in the financing chain and report on funding modalities (such as CTP) as well as on multi-year allocations.

# chapter 5

# methodology

# and definitions

## What is humanitarian assistance?

Humanitarian assistance is intended to save lives, alleviate suffering and maintain human dignity during and after man-made crises and disasters associated with natural hazards, as well as to prevent and strengthen preparedness for when such situations occur. Humanitarian assistance should be governed by the key humanitarian principles of: humanity, impartiality, neutrality and independence. These are the fundamental principles of the International Red Cross and Red Crescent Movement (ICRC), which are reaffirmed in UN General Assembly resolutions and enshrined in numerous humanitarian standards and guidelines.

In this report, when used in the context of financing data, humanitarian assistance refers to the financial resources for humanitarian action and international humanitarian assistance refers to those spent outside the donor country. Our calculations of international humanitarian assistance are based on what donors and organisations report as such and do not include other types of financing to address the causes and impacts of crises, which we refer to as crisis-related financing.

There is no universal obligation or system for reporting expenditure on international, or indeed domestic, humanitarian assistance. The main reporting platforms for international humanitarian assistance are the Organisation for Economic Co-operation and Development (OECD)'s Development Assistance Committee (DAC) and UN Office for the Coordination of Humanitarian Affairs (OCHA)'s Financial Tracking Service (FTS). OECD DAC members are obligated to report their humanitarian assistance to the DAC systems as part of their official development assistance (ODA), in accordance with definitions set out by the DAC.<sup>1</sup> Some other governments and most major multilateral organisations also voluntarily report to the DAC.

The FTS is open to all humanitarian donors and implementing agencies to voluntarily report contributions of internationally provided humanitarian assistance, according to an agreed set of criteria for inclusion.<sup>2</sup>

The analysis in the GHA report draws on data reported to the OECD DAC, as well as that reported to the FTS. Between these sources there is variation in the criteria for what can be included as humanitarian assistance, as well as volumes reported, so we aim to consistently explain and source the data that we use. In the 2018 report, we have included for the first time humanitarian funding reported to FTS that has been provided by OECD DAC members as assistance to non-ODA eligible countries. We also use other sources to calculate international humanitarian assistance including reports from UN agencies and non-governmental organisations (NGOs) and data from the Central Emergency Response Fund (CERF); data sources and methodologies for these are also clearly marked and explained.

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## Cash

Our calculations of the value of cash-transfer programming (CTP) in Somalia are based on data drawn from UN OCHA FTS. We capture three categories of CTP: CTP reported to FTS where it is given as the modality, additional flows fully supporting CTP, and additional flows supporting projects with a CTP element. These additional flows are identified through a word search on the description field, followed by flow-by-flow sense checks. Data is in current prices.

The figure we provide for a global estimate of humanitarian assistance provided in the form of cash and vouchers is taken from *The State of the World's Cash Report* (February 2018).<sup>3</sup> The methodology used for this estimate builds on one developed by Development Initiatives for research in 2016. For more information on the methodology and research, see *Counting cash: Tracking humanitarian expenditure on cash-based programming* (December 2016).<sup>4</sup>

## Channels of delivery

We use 'channels of delivery' to describe the first level of organisations receiving funding for the delivery of humanitarian assistance – multilateral agencies, NGOs, the public sector and the RCRC – whether they deliver the assistance themselves or pass it on to partner organisations. Our channels of delivery data in Figure 4.1 comes predominantly from the OECD DAC's Creditor Reporting System (CRS) and the FTS. For private donors' channels of delivery, we use our own dataset (see this chapter's section on Private funding).

## Constant prices

Our trends analyses on financial flows are in US\$ constant prices (base year 2016) unless otherwise stated. We use data from the OECD DAC, the International Monetary Fund (IMF)'s World Economic Outlook (October 2017 release) and the World Bank's World Development Indicators to convert financial data from current to constant prices using deflators. Consistent with our annual methodology, data in the *Global Humanitarian Assistance Report 2017* was shown in constant 2015 prices, so totals may vary between reports. The increase in the value of the US\$ in 2015 against several national currencies levelled off in 2016. As a result, the rebasing of data from constant 2015 to constant 2016 prices maintains the previous year's fall in the constant US\$ value of flows shown for certain countries.

## Country and region naming conventions

Country and region naming conventions used throughout this report are based on those used by the OECD DAC or the UN. Region naming conventions are based on those used by the OECD except the Middle East and North of Sahara regions, which have been combined. The conventions used do not reflect a political position of Development Initiatives.

## Crisis categories

For our analysis of crises by category, we applied thresholds to several indicators and cross-checked with other data sources. We used indicators in INFORM's Index for Risk Management and from the Internal Displacement Monitoring Centre to identify countries affected by conflict. For countries affected by disasters associated with natural hazards, we used Centre for Research on the Epidemiology of Disasters (CRED) Emergency Events Database (EM-DAT) data. And to identify refugee-hosting countries, we used data from the UN High Commissioner for Refugees (UNHCR) and the UN Relief and Works Agency Palestine Refugees in the Near East (UNRWA).

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## Earmarked funding

'Earmarked' funding comprises all non-core ('other') funding directed to multilaterals. It may include softly or tightly earmarked contributions, either by geography or sector.

Our calculation of earmarking to nine UN agencies – Food and Agriculture Organization (FAO), International Organization for Migration (IOM), UNICEF, UN Development Programme (UNDP), UNHCR, UN OCHA, UNRWA, World Food Programme (WFP) and World Health Organization (WHO) – is primarily based on data provided directly to us by each agency, based on their internal reporting.

## Exchange rates

We use exchange rates from the OECD DAC for DAC members and data from the IMF World Economic Outlook (October 2017 release) for other government providers.

## Funding for local and national responders

Our analysis of direct funding to local and national responders in Figures 4.6 and 4.7 uses data from FTS that we then 'code' according to a set of organisational categories. We use the following categories of local and national non-state actors and national and subnational state actors, as defined by the Inter-Agency Standing Committee Humanitarian Financing Task Team in its *Localisation Marker Working Group Definitions Paper* (January 2018):<sup>5</sup>

- national NGOs/civil society organisations (CSOs): National NGOs/CSOs operating in the aid recipient country in which they are headquartered, working in multiple subnational regions, and not affiliated to an international NGO. This category can also include national faith-based organisations
- local NGOs/CSOs: Local NGOs/CSOs operating in a specific, geographically defined, subnational area of an aid recipient country, without affiliation to an international NGO/CSO. This category can also include community-based organisations and local faith-based organisations
- Red Cross/Red Crescent National Societies: National Societies that are based in and operating within their own aid recipient countries
- local and national private sector organisations: Organisations run by private individuals or groups as a means of enterprise for profit, that are based in and operating within their own aid recipient countries and not affiliated to an international private sector organisation
- national governments: National government agencies, authorities, line ministries and state-owned institutions in aid recipient countries such as national disaster management agencies. This category can also include federal or regional government authorities in countries where they exist
- local governments: Subnational government entities in aid recipient countries exercising some degree of devolved authority over a specifically defined geographic constituency such as local/municipal authorities.

Other categories of first-level recipients featured in this analysis are:

- national foundations: foundations in receipt of international humanitarian funds that are based in aid recipient countries
- national research institutions: academia, think tanks and research institutions in receipt of international humanitarian funds that are based in aid recipient countries

- internationally affiliated NGOs: NGOs affiliated to an international NGO through interlinked financing, contracting, governance and/or decision-making systems. This category does not include local and national organisations that are part of networks, confederations or alliances wherein those organisations maintain independent fundraising and governance systems
- southern international NGOs: NGOs based in aid recipient countries that are not OECD members, carrying out operations outside the aid recipient country in which they are headquartered and not affiliated to an international NGO. The same organisation is classified as a national NGO/CSO when carrying out operations in the country in which they are headquartered.

For our calculation of indirect funding (i.e. delivered through one intermediary) given to local and national responders, as agreed in the Inter-Agency Standing Committee's definitions paper,<sup>6</sup> we analyse data reported to FTS that is marked up as 'new money' or provided through an intermediary. To prevent double counting, we compare levels of funding to first-level recipients (receiving 'new money' as reported on FTS) with the volumes these same organisations then pass on down the transaction chain (and are therefore recorded as 'donors' of funds that do not constitute 'new money'). The amount of funding provided as intermediary donors is subtracted from the amount of funding received as first-level recipients.

## International humanitarian assistance

Our estimate of total international humanitarian assistance is the sum of that from private donors (see this chapter's section on Private funding) and from government donors and EU institutions. Our calculation of international humanitarian assistance from government donors is the sum of:

- 'official' humanitarian assistance (OECD DAC donors)
- international humanitarian assistance from OECD DAC donors to non-ODA eligible countries from the FTS
- international humanitarian assistance from donors outside the OECD DAC using data from the FTS.

Our 'official' humanitarian assistance calculation comprises:

- the bilateral humanitarian expenditure of OECD DAC members, as reported to the OECD DAC database under Table 1
- the multilateral humanitarian assistance of OECD DAC members. This comprises:
  - the unearmarked ODA contributions of DAC members to nine key multilateral agencies engaged in humanitarian response: FAO, IOM, UNDP, UNHCR, UN OCHA, UNICEF, UNRWA, WFP and WHO, as reported to the OECD DAC under Table 2a and the CRS. We do not include all ODA to FAO, IOM, UNICEF and WFP but apply a percentage to take into account that these agencies also have a 'development' mandate. These shares are calculated using data on humanitarian expenditure as a proportion of the total received directly from each multilateral agency
  - the ODA contributions of DAC members to some other multilateral organisations (beyond those already listed) that although not primarily humanitarian oriented, do report a level of humanitarian aid to OECD DAC Table 2a. We do not include all reported ODA to these multilaterals but just the humanitarian share of this

- 
- contributions to the UN CERF that are not reported under DAC members' bilateral humanitarian assistance. We take this data directly from the UN CERF website.

When we report on the official humanitarian assistance of individual OECD DAC countries who are members of the EU, we include an imputed calculation of their humanitarian assistance channelled through the EU institutions, based on their ODA contributions to the EU institutions. We do not include this in our total international humanitarian assistance and response calculations to avoid double counting.

Our estimate for official humanitarian assistance in 2017 is derived from preliminary DAC donor reporting on humanitarian aid grants.

Turkey is captured and shaded differently in Figure 3.1 because the humanitarian assistance that it voluntarily reports to the DAC largely comprises expenditure on hosting Syrian refugees within Turkey. We do not include Turkey's spending on Syrian refugees in Turkey in our total international humanitarian assistance and response calculations elsewhere in the report as these only include amounts directed internationally by donors.

## Multi-year appeals

The analysis on multi-year appeals relies on manually coding each primarily humanitarian appeal based on publicly available documents. The analysis captures both multi-year plans and strategies.

## Poverty

We refer to two poverty lines in this report: the international extreme poverty line of \$1.90 a day and a higher poverty line of \$3.20 a day. Both of these poverty lines are expressed in 2011 purchasing power parity (PPP) dollars and use data from the World Bank's PovcalNet. We use the international poverty lines with estimates for 2013 in this year's report to provide the most comparable up-to-date analysis possible.

## Private funding

We directly request financial information from humanitarian delivery agencies (including NGOs, multilateral agencies and the RCRC) on their income and expenditure to create a standardised dataset. Where direct data collection is not possible, we use publicly available annual reports and audited accounts. For the most recent year, our dataset includes:<sup>7</sup>

- 259 NGOs that form part of 15 representative NGO alliances and umbrella organisations such as Oxfam International, and a further 22 large international NGOs operating independently
- multilateral contributions from IOM, UNHCR, UNDP, UNICEF, UNHCR, UNRWA, WFP and WHO
- the International Federation of Red Cross and Red Crescent Societies (IFRC) and the International Committee of the Red Cross (ICRC).

Our private funding calculation comprises an estimate of total private humanitarian income for all NGOs, and the private humanitarian income reported by the eight UN agencies, the IFRC and ICRC. To estimate the total private humanitarian income of NGOs globally, we calculate the annual proportion that the 259 NGOs in our dataset represent of NGOs reporting to UN OCHA FTS. The total private humanitarian income reported to us by the NGOs in our dataset is then scaled up accordingly.

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Data is collected annually, and new data for previous years may be added retrospectively. Due to limited data availability, detailed analysis covers the period 2012 to 2016.

Our 2017 private funding calculation is an estimate based on data provided by Médecins Sans Frontières (MSF), pending data from our full dataset. We calculate the average share that MSF's contribution represents in our private funding figure for the five previous years (2012–2016) and use this to scale up the private funding figure provided by MSF to arrive at an estimated total for 2017. The rationale for this methodology is that the share of MSF's private funding remains relatively consistent year on year [ranging between 21% and 27% of the total amount over the last five years].

## Rounding

There may be minor discrepancies in some of the totals in our graphs and infographics, and between those in the text, because of rounding.

## UN-coordinated appeals

We use this generic term to describe all humanitarian response plans and appeals coordinated by UN OCHA or UNHCR, including strategic response plans/humanitarian response plans, flash appeals and regional refugee response plans. We use data from UN OCHA's FTS and UNHCR for our financial analysis of UN-coordinated appeals.

# data sources

ACAPS	<a href="http://www.acaps.org/countries">www.acaps.org/countries</a>
Centre for Research on the Epidemiology of Disasters	<a href="http://www.emdat.be/database">www.emdat.be/database</a>
EM-DAT: International Disaster Database Université Catholique de Louvain, Brussels, Belgium	
Country-based pooled funds Grant Management System	<a href="https://gms.unocha.org/content/cbpf-allocations">https://gms.unocha.org/content/cbpf-allocations</a>
CBPF allocations, CBPF Grant Management System, UN OCHA	
Food Security Information Network <i>Global Report on Food Crises 2018</i>	<a href="http://www.fsincop.net/fileadmin/user_upload/fsin/docs/global_report/2018/GRFC_2018_Full_report_EN_Low_resolution.pdf">www.fsincop.net/fileadmin/user_upload/fsin/docs/global_report/2018/GRFC_2018_Full_report_EN_Low_resolution.pdf</a>
International Aid Transparency Initiative	<a href="http://www.aidtransparency.net/">www.aidtransparency.net/</a>  <a href="http://iatistandard.org/">http://iatistandard.org/</a>
INFORM Index for Risk Management	<a href="http://www.inform-index.org">www.inform-index.org</a>
Internal Displacement Monitoring Centre	<a href="http://internal-displacement.org/database/displacement-data">http://internal-displacement.org/database/displacement-data</a>
International Federation of Red Cross and Red Crescent Societies IFRC's appeal reports, IFRC, Geneva	<a href="http://www.ifrc.org">www.ifrc.org</a>
International Monetary Fund World Economic Outlook Database	<a href="http://www.imf.org/external/pubs/ft/weo/2017/01/weodata/index.aspx">www.imf.org/external/pubs/ft/weo/2017/01/weodata/index.aspx</a>  <a href="http://www.imf.org/external/pubs/ft/weo/2016/02/weodata/index.aspx">www.imf.org/external/pubs/ft/weo/2016/02/weodata/index.aspx</a>
Organisation for Economic Co-operation and Development OECD.StatExtracts, OECD, Paris Development finance data, OECD, Paris <i>States of Fragility 2016: Understanding Violence</i> , OECD, Paris	<a href="http://stats.oecd.org">http://stats.oecd.org</a>  <a href="http://www.oecd.org/dac/financing-sustainable-development/development-finance-data/">www.oecd.org/dac/financing-sustainable-development/development-finance-data/</a>  <a href="http://www.oecd.org/dac/states-of-fragility-2016-9789264267213-en.htm">www.oecd.org/dac/states-of-fragility-2016-9789264267213-en.htm</a>
UN Conference on Trade and Development UNCTADstat, UNCTAD, Geneva	<a href="http://unctadstat.unctad.org">http://unctadstat.unctad.org</a>

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UN High Commissioner for Refugees	<a href="http://data.unhcr.org">http://data.unhcr.org</a>
Population Statistics Reference Database, UNHCR	<a href="http://popstats.unhcr.org/en/time_series">http://popstats.unhcr.org/en/time_series</a>
Mid-Year Trends [historical], UNHCR Global Trends reports, response plans' funding snapshots	<a href="http://reporting.unhcr.org/">http://reporting.unhcr.org/</a>
UN Office for the Coordination of Humanitarian Affairs	<a href="http://www.unocha.org/">www.unocha.org/</a>
Central Emergency Response Fund/CERF, UN OCHA, New York	<a href="http://www.unocha.org/cerf">www.unocha.org/cerf</a>
Financial Tracking Service/FTS, UN OCHA, Geneva	<a href="https://fts.unocha.org">https://fts.unocha.org</a>
UN Relief and Works Agency for Palestine Refugees in the Near East	<a href="http://www.unrwa.org/resources/about-unrwa">www.unrwa.org/resources/about-unrwa</a>
UNRWA in Figures reports	
World Bank	<a href="http://data.worldbank.org/data-catalog/world-development-indicators">http://data.worldbank.org/data-catalog/world-development-indicators</a>
World Development Indicators, World Bank, Washington DC	<a href="http://iresearch.worldbank.org/PovcalNet">http://iresearch.worldbank.org/PovcalNet</a>
PovcalNet, World Bank	<a href="http://data.worldbank.org/data-catalog/international-debt-statistics">http://data.worldbank.org/data-catalog/international-debt-statistics</a>
Global Concessional Financing Facility, Financial Reports	<a href="http://www.worldbank.org/en/topic/migrationremittancesdiasporaissues/brief/migration-remittances-data">www.worldbank.org/en/topic/migrationremittancesdiasporaissues/brief/migration-remittances-data</a>
	<a href="https://globalcff.org/documents/">https://globalcff.org/documents/</a>

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# acronyms

CAR	Central African Republic
CBPF	Country-based pooled fund
CERF	Central Emergency Response Fund
CRS	Creditor Reporting System (DAC)
CSO	Civil society organisation
CTP	Cash-transfer programming
DAC	Development Assistance Committee (OECD)
DFID	Department for International Development (UK)
ECHO	European Civil Protection and Humanitarian Aid Operations
DPR Korea	Democratic People's Republic of Korea
DRC	Democratic Republic of the Congo
EU	European Union
FAO	Food and Agriculture Organization
FTS	Financial Tracking Service (UN OCHA)
GCFF	Global Concessional Financing Facility
GDP	Gross domestic product
GHA	Global Humanitarian Assistance (project by Development Initiatives)
GMS	Grant Management System (CBPFs)
GNI	Gross national income
HRP	Humanitarian response plan
IATI	International Aid Transparency Initiative
ICRC	International Committee of the Red Cross
IDMC	Internal Displacement Monitoring Centre
IDP	Internally displaced person
IFRC	International Federation of Red Cross and Red Crescent Societies
INFORM	Index for Risk Management
INGO	International non-governmental organisation
IOM	International Organization for Migration
LIC	Low income country
LMIC	Lower middle income country

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NGO	Non-governmental organisation
OCHA	Office for the Coordination of Humanitarian Affairs (UN)
ODA	Official development assistance
OECD	Organisation for Economic Co-operation and Development
RCRC	International Red Cross and Red Crescent Movement
RRP	Regional response plan
UAE	United Arab Emirates
UK	United Kingdom
UN	United Nations
UNDP	UN Development Programme
UNHCR	UN High Commissioner for Refugees
UNICEF	UN International Children's Emergency Fund
UNOPS	UN Office for Project Services
UNRWA	UN Relief and Works Agency for Palestine Refugees in the Near East
US	United States
WFP	World Food Programme
WHO	World Health Organization

# notes

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## chapter 1

1. Poverty data drawn from World Bank PovcalNet:  
<http://iresearch.worldbank.org/PovcalNet/povOnDemand.aspx>
2. This figure is in PPP (purchasing power parity) to allow for comparison of poverty data across countries. PPPs are constructed by comparing the cost of a common basket of goods in different countries. To reflect internationally comparable poverty lines, we use the \$1.90 and \$3.20 poverty lines derived from 2011 prices.
3. Fragility is defined by the list of fragile states taken directly from the OECD's report *States of Fragility 2016: Understanding violence*, as defined by OECD methodology. See [www.oecd.org/dac/states-of-fragility-2016-9789264267213-en.htm](http://www.oecd.org/dac/states-of-fragility-2016-9789264267213-en.htm). Environmental vulnerability is defined by the INFORM Index for Risk Management dataset for countries which meet both of the following criteria: [1] lack of coping capacity score of medium, high or very high; [2] natural hazard score of high or very high. For the 2018 INFORM Index dataset, this translates to a country scoring at least 4.7 in both criteria.
4. See note 2.
5. The 2018 INFORM Index dataset was used to identify environmentally vulnerable countries. India, identified as environmentally vulnerable in 2017, has been adjudged to have reduced its 'lack of coping capacity', previously considered 'medium' and in 2018 identified as 'low'.
6. 56 countries are defined as fragile, however, poverty data is only available for 50 of these. The fragile countries with no poverty data are: Afghanistan, Cambodia, Democratic People's Republic of Korea, Eritrea, Libya and Somalia.
7. Countries were selected on the basis of the numbers of people in need of humanitarian assistance: 36 countries met the threshold of having 0.8 million or more people in need. This included all countries with a UN appeal.
8. The UN defines a complex crisis as "a humanitarian crisis in a country, region, or society where there is total or considerable breakdown of authority resulting from internal or external conflict and which requires an international response that goes beyond the mandate or capacity of any single and/or ongoing UN country program." For the analysis, 'complex crises' refer to those which simultaneously experience at least two of the three types – disasters associated with natural hazards, refugee situations or conflict. See: [https://interagencystandingcommittee.org/system/files/legacy\\_files/WG16\\_4.pdf](https://interagencystandingcommittee.org/system/files/legacy_files/WG16_4.pdf)
9. Ethiopia, Niger, Pakistan, Somalia, South Sudan and Sudan experienced conflict, disasters caused by natural hazards and refugee situations.
10. 2016 is the most recent year for which OECD DAC data on where humanitarian assistance goes is available. Country-allocable humanitarian assistance refers to data reported to the DAC that specifies a recipient country.
11. The methodology used to identify assistance channelled to recipients includes flows of international humanitarian assistance directed to non-ODA eligible countries. For more details see our online *Methodology and definitions*.

12. Long-term recipients are defined as those who have received an above-average share of ODA as humanitarian assistance annually for eight years or more. Medium-term recipients are those that have received such a share for between three and seven years.
13. 2016 was the first year in the last 15 that Turkey received an above-average share of official humanitarian assistance as a proportion of ODA.

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## chapter 2

1. Calculation is based on data for 17 of the 20 largest recipients of humanitarian assistance in 2016. Poverty headcount figures for Afghanistan, Lebanon and Somalia were not available.
2. The proportion of ODA spending on humanitarian assistance was higher among the 20 largest recipients of humanitarian assistance than among other developing countries.
3. This includes investment income.
4. The other implementation support agencies are the Islamic Development Bank and the European Bank for Reconstruction and Development, which received 11% (US\$27 million) and 2% (US\$4.6 million), respectively, of GCF disbursements.

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## chapter 3

1. Turkey and EU institutions are not included in these calculations. In 2016, the three government donors that contributed 59% of the total (US\$12.1 billion) were the US, Germany and the UK.
2. Other government providers that voluntarily reported to the OECD DAC Creditor Reporting System in 2016 were Azerbaijan, Bulgaria, Croatia, Estonia, Israel, Kazakhstan, Kuwait, Latvia, Liechtenstein, Lithuania, Malta, Romania, Russia, Chinese Taipei, Thailand, Turkey and the UAE.
3. In 2017, 98% of Turkey's DAC reported humanitarian assistance was spent on supporting Syrian refugees in Turkey. The proportions of humanitarian expenditure spent on Syrian refugees in Turkey appear to have remained constant. Figures were not available for 2016, but in 2015 97% of Turkey's reported humanitarian assistance was spent on Syrian refugees in Turkey.
4. Amendments to the OECD DAC guidelines specifying the costs that can be reported as in-country refugee hosting expenditure were agreed in October 2017. In-donor refugee costs are only those reported under the specified ODA category code in these guidelines. Other expenditure on refugee hosting in these countries that is not reported to this code is not included. [see OECD, 2017. *DAC High Level Communiqué*: 31 October 2017. Available at: [www.oecd.org/dac/DAC-HLM-2017-Communique.pdf](http://www.oecd.org/dac/DAC-HLM-2017-Communique.pdf)]. The revised guidelines will apply to expenditure in 2018 that will be reported in 2019. The revisions aim to enhance the consistency of reporting between donors as well as transparency of reported costs. For analysis of guidelines, see Development Initiatives, 2017. *ODA modernisation: An update following the October 2017 HLM*. Available at: <http://devinit.org/wp-content/uploads/2017/11/ODA-modernisation-an-update-following-the-October-2017-HLM.pdf>. Data is in constant 2016 prices.

5. The calculated value reported for 2016 in this report differs from the estimate provided in the *Global Humanitarian Assistance Report 2017*. Factors influencing differences in reported figures include: changes in the price base; new organisations sharing funding data with Development Initiatives in 2017; additional reporting and upgrade to FTS and consequent impact on the scaling of our independently collected data. For more information see our online *Methodology and definitions*.
6. Organisations are categorised as NGOs, UN agencies or Red Cross and Red Crescent societies.

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## chapter 4

1. See [www.un.org/en/ga/search/view\\_doc.asp?symbol=A/RES/71/127](http://www.un.org/en/ga/search/view_doc.asp?symbol=A/RES/71/127)
2. This figure is higher than that shown in Figure 4.6, which only uses FTS data in order to allow for granular analysis.
3. In 2017, UN OCHA had a decrease of US\$30 million in extra-budgetary requirements.
4. The UN Secretary-General, subsequently endorsed by the UN General Assembly, called for the level of the CERF to increase to US\$1 billion by 2018. See *UN General Assembly Resolution, A/RES/71/127*. Available at: <https://undocs.org/A/RES/71/127>. See also UN CERF, 2017. *Making the case for an investment in the Central Emergency Response Fund*. Available at: [www.unocha.org/cerf/sites/default/files/CERF/CERF\\_BriefingNote\\_20171108.pdf](http://www.unocha.org/cerf/sites/default/files/CERF/CERF_BriefingNote_20171108.pdf)
5. Grand Bargain signatories, 2016. *The Grand Bargain – A Shared Commitment to Better Serve People in Need*. Available at: [www.agendaforhumanity.org/initiatives/3861](http://www.agendaforhumanity.org/initiatives/3861)
6. Sub-grants of CERF funding were received by 589 implementing partners, of which 464 went to CERFs national and local partners.
7. Grand Bargain signatories, 2016. *The Grand Bargain – A Shared Commitment to Better Serve People in Need*. Available at: [www.agendaforhumanity.org/initiatives/3861](http://www.agendaforhumanity.org/initiatives/3861)
8. IASC Humanitarian Financing Task Team, 2018. *Localisation Marker Working Group: Definitions Paper*, Available at: [https://interagencystandingcommittee.org/system/files/hfft\\_localisation\\_marker\\_definitions\\_paper\\_24\\_january\\_2018.pdf](https://interagencystandingcommittee.org/system/files/hfft_localisation_marker_definitions_paper_24_january_2018.pdf). The definitions paper currently defines ‘as directly as possible’ funding as that passed through “a single international aid organisation” but notes that further research and discussion is planned to consider whether other intermediaries should be considered for inclusion.
9. In this analysis, ‘second-level recipients’ refers to all organisations that receive pass-on funding from first-level recipients. The latter are categorised by FTS.
10. Grand Bargain signatories, 2016. *The Grand Bargain – A Shared Commitment to Better Serve People in Need*. Available at: [www.agendaforhumanity.org/initiatives/3861](http://www.agendaforhumanity.org/initiatives/3861)

11. Nine of the national multi-year response plans active in 2016 were part of the Sahel humanitarian response plan, which lasted from 2014 to 2016, and had regional indicators/targets for each cluster. When this regional appeal ended, only two countries [Cameroon and Chad] carried on with multi-year planning, while the others either did not have a HRP in 2017 [Gambia] or went back to single-year design [Burkina-Faso, Mali, Mauritania, Niger, Nigeria].
12. This figure is from *The State of the World's Cash Report*, published in February 2018 by the Cash Learning Partnership and Accenture Development Partnerships. Available at: [www.cashlearning.org/downloads/calp-sowc-report-web.pdf](http://www.cashlearning.org/downloads/calp-sowc-report-web.pdf). Its methodology builds on research by Development Initiatives in 2016 for the Overseas Development Institute (ODI): Development Initiatives and ODI [Spencer, A, Parrish, C, Lattimer, C], 2016. *Counting cash: Tracking humanitarian expenditure on cash-based programming*. Available at: [www.odi.org/publications/10716-counting-cash-tracking-humanitarian-expenditure-cash-based-programming](http://www.odi.org/publications/10716-counting-cash-tracking-humanitarian-expenditure-cash-based-programming)
13. These percentages describe the percentage of flows on FTS with the modality cash-transfer programming out of the total international humanitarian assistance the respective countries reported to FTS in 2017.
14. Grand Bargain signatories, 2016. *The Grand Bargain – A Shared Commitment to Better Serve People in Need*. Available at: [www.agendaforhumanity.org/initiatives/3861](http://www.agendaforhumanity.org/initiatives/3861)
15. Based on data collected for Development Initiatives 2018 *Supporting Grand Bargain signatories in meeting the commitments to greater transparency: Progress report 1*. Available at <http://devinit.org/post/grand-bargain-progress-report-1/>
16. Development Initiatives 2018. *Supporting Grand Bargain signatories in meeting the commitments to greater transparency: Progress report 1*. Available at <http://devinit.org/post/grand-bargain-progress-report-1/>

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## chapter 5

1. OECD DAC definitions and reporting guidelines can be found at: [www.oecd.org/dac/financing-sustainable-development/development-finance-standards](http://www.oecd.org/dac/financing-sustainable-development/development-finance-standards)
2. See criteria for inclusion at: [https://fts.unocha.org/sites/default/files/criteria\\_for\\_inclusion\\_2017.pdf](https://fts.unocha.org/sites/default/files/criteria_for_inclusion_2017.pdf)
3. Cash Learning Partnership and Accenture Development Partnerships. 2018. *The State of the World's Cash Report*. Available at: [www.cashlearning.org/downloads/calp-sowc-report-web.pdf](http://www.cashlearning.org/downloads/calp-sowc-report-web.pdf)
4. Development Initiatives and Overseas Development Institute [Spencer, A, Parrish, C, Lattimer, C]. 2016. *Counting cash: Tracking humanitarian expenditure on cash-based programming*. Available at: [www.odi.org/publications/10716-counting-cash-tracking-humanitarian-expenditure-cash-based-programming](http://www.odi.org/publications/10716-counting-cash-tracking-humanitarian-expenditure-cash-based-programming)
5. Inter-Agency Standing Committee Humanitarian Financing Task Team. 2018. *Localisation Marker Working Group Definitions Paper*. Available at: <https://interagencystandingcommittee.org/humanitarian-financing-task-team/documents-public/hfft-localisation-marker-definitions-paper-24>
6. See endnote 5.
7. Please note we may not have data reported for each organisation in every year. For some NGO alliances, we may have only collected data from one member organisation, therefore they are treated as independent here.

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