

Global Humanitarian Assistance

# UN Humanitarian Appeal 2011

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Analysis and discussion

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Global Humanitarian  
Assistance

A DEVELOPMENT INITIATIVE 

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# UN Humanitarian Appeal 2011

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## **The Humanitarian Appeal 2011: Any Progress? by Jan Kellett**

I imagine we would agree that one clear way of measuring the progress of humanitarian assistance is when it is not needed anymore. In ten years time if we are spending US\$15 billion (a fairly conservative estimate given recent trends) on humanitarian aid year on year we are surely making a mistake. We will not have made the right choices about how to spend what is a finite resource: money.

Does the UN appeals process – which despite some major caveats, remains perhaps our best measure of humanitarian needs – highlight whether or not we have made any progress in reducing humanitarian need?

The combined humanitarian appeal for 2011 has just been released: US\$7.4 billion for some of the most complex countries around the world. It is also for the most intractable crises too; of the 11 country appeals of 2010 all but one reappears this year. Uganda drops out and is replaced by Niger, the latter's needs large enough to warrant being separated out from the combined appeal for West African countries. So there is not too much sign of progress in terms of total volume requested nor the countries for which money is being requested: US\$7.4 billion requested for 2011 follows US\$7.1 billion in 2010 which follows US\$7 billion in 2009, US\$22 billion largely in the same complex emergencies year on year.

And it is these emergencies, Sudan, DRC, Somalia etc, that account for the bulk of all spend on humanitarian assistance. Despite the media coverage, generated by large disasters such as the Haiti earthquake and Pakistan flooding, conflict still takes up more than its fair share of humanitarian assistance. Seven out of every ten US dollars spent on assistance is spent on conflict affected countries, almost each and every year. And it is these same countries we see, unsurprisingly, each and every year in the humanitarian appeals.

This certainly does not look like progress. Perhaps the humanitarian appeals actually reflect a lack of progress and what we are actually doing year on year is keeping people alive and delivering basic services. Each year we add to the vast number of people being kept alive and who receive basic services through humanitarian money. If so the questions come thick and fast, two above all, is humanitarian aid the best tool to make itself redundant? And secondly, not unconnected, what is the role of development in aid in reducing the risk, the vulnerability that appears to be increasing, if we read the CAP right, year on year?

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In the range of articles the Global Humanitarian Assistance team have written on this year's humanitarian appeal we examine the scope and scale of this record appeal, question the dollar value put on an individual's needs, look at the relationship between commodity prices and disaster risk

**Record Humanitarian Appeal for 2011 by Velina Stoianova**

reduction and humanitarian aid and finally look briefly at a single country, Somalia, and see what impact this year's CAP may have on funding for national actors.

**Record Humanitarian Appeal for 2011 by Velina Stoianova**

The 2011 Humanitarian Appeal, which was launched on 30 November in Geneva, is a record appeal. Not only has the Consolidated Appeal Process (CAP) for 2011 requested an unprecedented US\$7.4 billion in humanitarian assistance, but it is also aimed at 50 million beneficiaries, the highest number ever targeted by the CAP.

The number of beneficiaries of the Humanitarian Appeal has almost doubled in the last seven years but the volume of funding sought has increased by more than 335%. In a similar way, the US\$ requested per beneficiary has increased dramatically with a 128% increase in 2011 compared to 2005, but reaching as high as 265% growth in 2010. Such a dramatic increase in the appeal requirements has multiple explanations. The skyrocketing cost of commodities in recent years, specifically the rise in the price of food and fuel, increased operational costs and difficult access to beneficiaries in some of the traditional CAP countries, such as Somalia, may account for this trend. However, it remains very difficult to assert that the increase in costs for humanitarian delivery keeps pace with the increase in appeal requirements.

	2005	2006	2007	2008	2009	2010	2011
<b>CAP requirements in US\$ billion</b>	1.7	4.7	3.9	3.8	7.0	7.1	7.4
<b>CAP beneficiaries (million)</b>	26	31	27	25	30	30	50
<b>US\$ per beneficiary</b>	65	152	144	152	233	237	148
<b>Number of appeals</b>	17	14	13	10	12	12	14

**Table 1: Overview of humanitarian appeals as part of the Consolidated Appeal Process, 2005-2011. Source: Development Initiatives based on UN OCHA data**

In 2011, 425 aid organisations are participating in projects for 14 consolidated appeals (note that the Djibouti appeal was launched already in October 2010), covering 28 countries. Additionally, there are three ongoing flash appeals still requesting funding in 2011 – the Pakistan Floods Relief and Early Recovery Response Plan (running from August 2010 until August 2011), Kyrgyzstan Extended and Revised Flash Appeal (June 2010 – June 2011), and Benin Emergency Humanitarian Action Plan (November 2010 – May 2011). All consolidated appeals in the 2011 CAP follow appeals for the same countries in 2010. However, there is also good news – 2011 will be the first year since 2000 that Uganda does not need a consolidated appeal, as the internally displaced persons (IDPs) resettlement work of many years is near completion and the country has moved out of a large-scale humanitarian crisis situation.

A review of the funding status for appeals in 2010 leaves us with conflicting feelings. On one hand, 2010 was the year that a record US\$13.1 billion raised in humanitarian aid, largely driven by the two mega-disasters that affected three million people in Haiti and over 20 million in Pakistan. Natural disasters in 2010 raised the second largest amount in CAP history – US\$5.4 billion. Thus the volume of humanitarian aid in 2010, as recorded by the Financial Tracking Service (FTS), exceeds even that

raised in the year of the Tsunami and South Asia earthquake responses. Additionally, three weeks before the end of the year, the funding channelled towards projects included in the CAP is almost the highest ever and is very likely to reach a record amount by the end of the year.

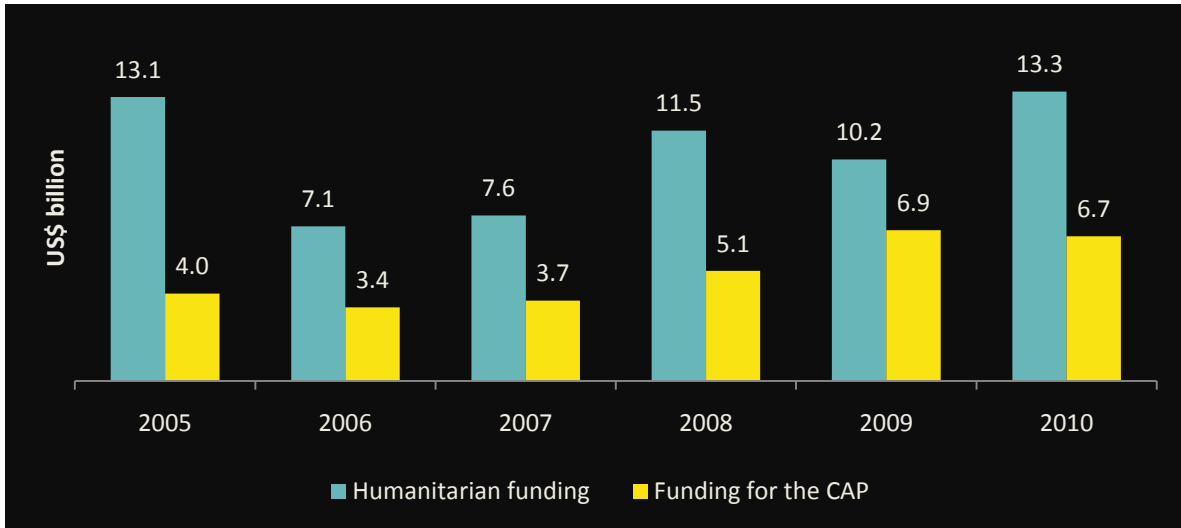


Figure 1: humanitarian aid and funding for the UN CAP, 2005-2010. Source: Development Initiatives based on UN OCHA FTS

On the other hand, 2010 was also the year of the lowest appeal coverage (i.e. appeal funding as a share of the appeal requirements) for the last 5 years, though it may even be the lowest for the last nine years if the funding for the appeals does not improve over the next few weeks. It seems contradictory that the appeal will remain over 40% unfunded in the year of the highest humanitarian funding ever, however this apparent contradiction is due to the large appeal requirements for 2010 and the fact that the unmet requirements are the largest ever.

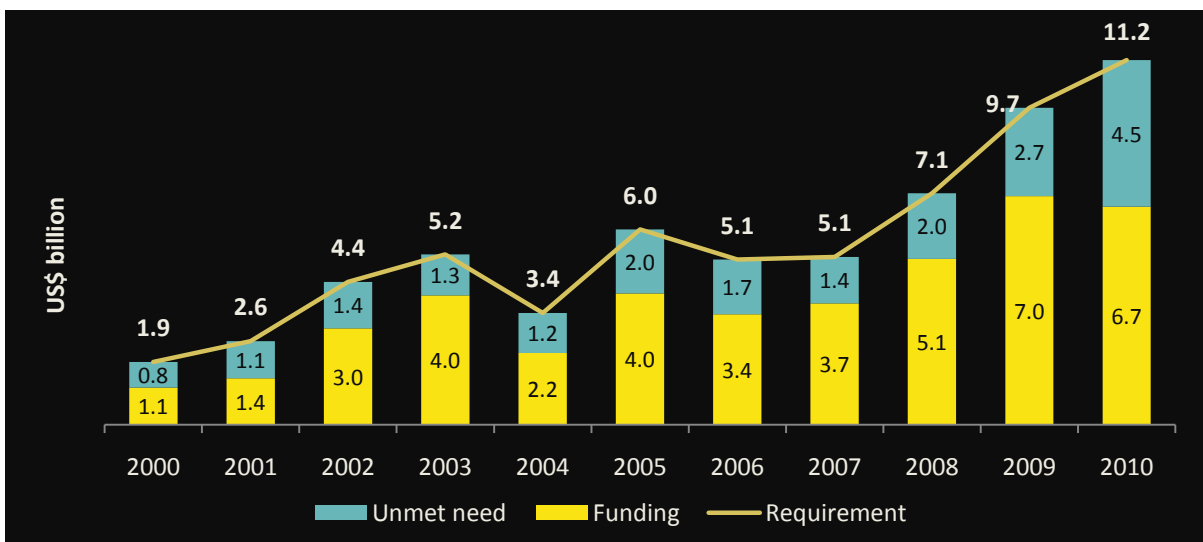


Figure 2: Overall requirements and the level of funding for UN CAP appeals 2000-2010. Source: Development Initiatives based on UN OCHA FTS

In terms of individual appeals funding, 2010 does not present great polarisation in the appeal coverage. Even the worst funded consolidated and flash appeals were funded at 44% and 46%

**The complex relationship between commodities and aid by Daniele Malerba**

respectively, compared to the previous year when they had received 37% and 32%. In fact, the worst funded appeal in 2010 (the Central African Republic consolidated appeal) has the highest funding levels ever. However, when we look at the best funded appeal in 2010 – the Haiti Revised Humanitarian Appeal, it’s 72% funding actually presents the lowest value since 2000.

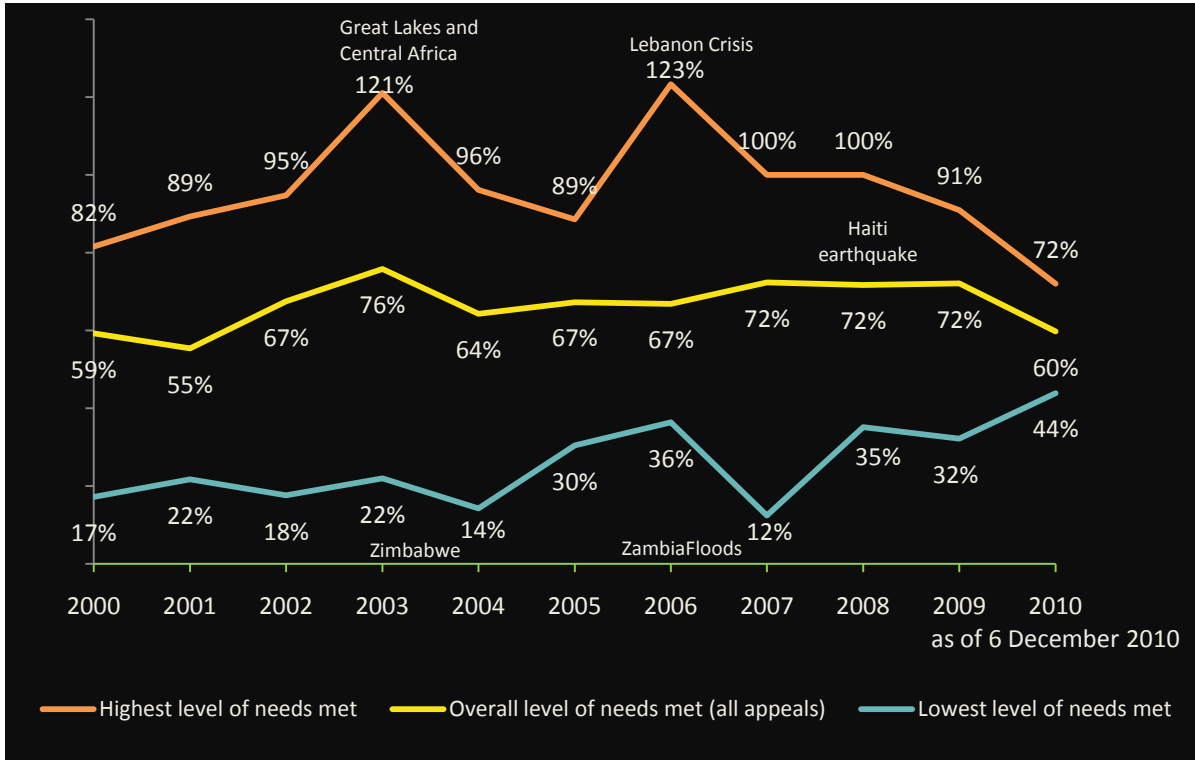


Figure 3: Highest and lowest percentages of needs met for UN CAP appeals 2000-2010. Source: Development Initiatives based on UN OCHA FTS

Finally, funding for the CAP is also an invaluable source of information about the humanitarian donor scene. The United States and the European Commission, two of the usual suspects, have consistently been two of the top three donors for the past five years. A quick look at the largest CAP donors over the 2005-2010 period shows that contributions from individuals and other private sources experienced an upward trend even in the years of no major humanitarian crises. In 2005 private funding reached an unprecedented 9.7% of all funding for the CAP, clearly driven by the Southeast Asia tsunami. It made up 1.4% of all appeal funding in 2006 further increasing the following years and more than doubled its volume in 2009 when it contributed US\$244 million to the CAP. The Haiti earthquake response mobilised vast support from corporations, as well as from the general public, raising US\$285 million or 78% of all private contributions for 2010 CAP appeals. In fact, private sources are the third largest humanitarian donor to this years’ CAP.

**The complex relationship between commodities and aid by Daniele Malerba**

In the recent launch of the 2011 Humanitarian Appeal in Geneva, it has been pointed out that the amounts required for humanitarian assistance have increased in the last twelve months and will

continue to do so over the next years, after reaching a record US\$9.7 billion in 2009. However, 2010 has also been the year with the lowest percentage of appeal requirements funded since 2005 (despite a record amount of humanitarian aid collected). Why is this happening? Is it just a consequence of the increase of the volume of aid?

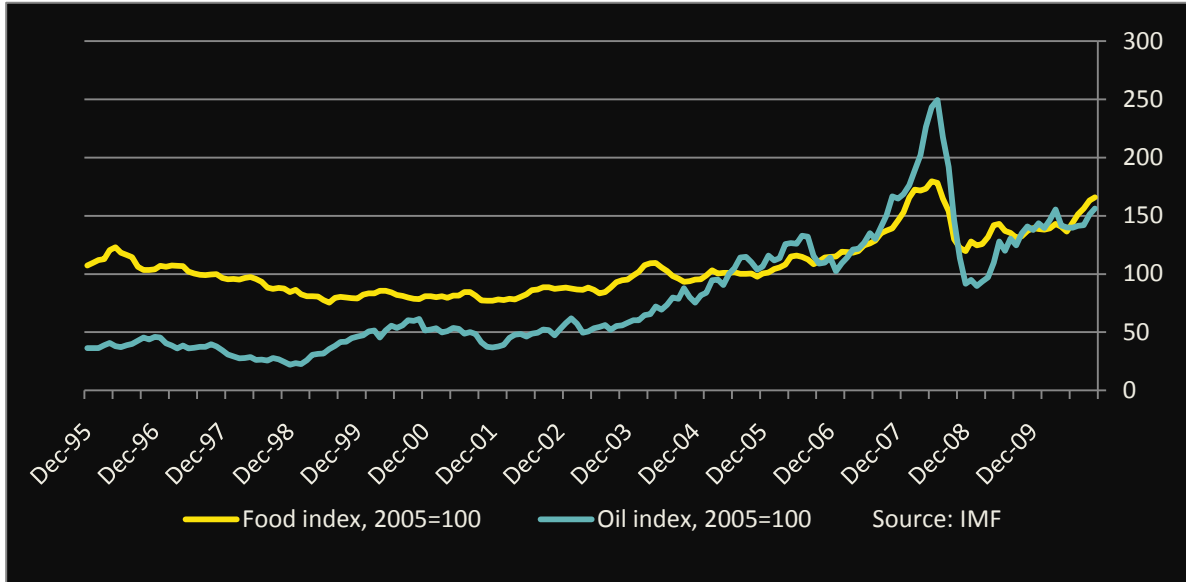
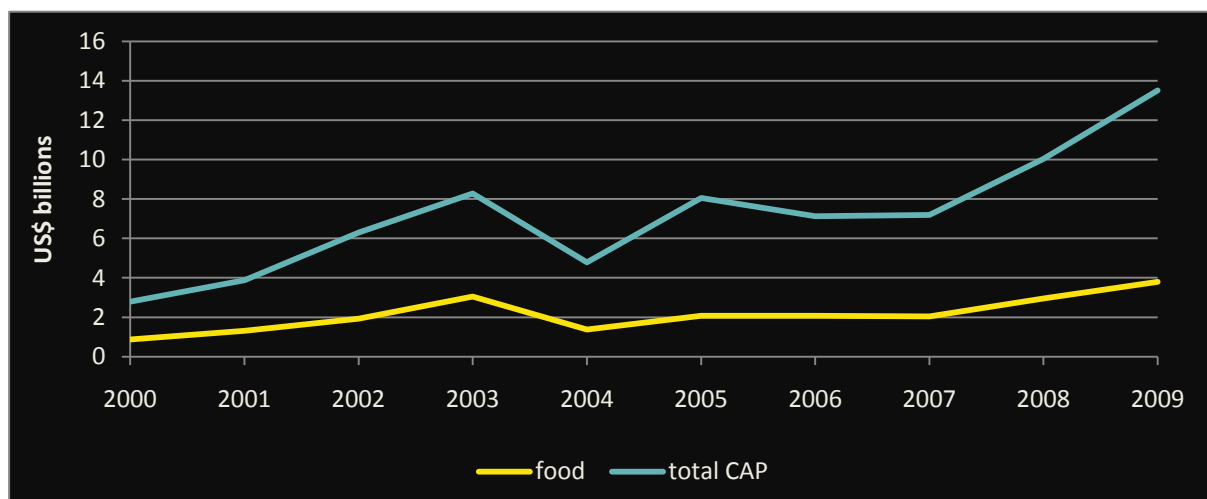


Figure 4: Commodity index. Source: IMF

In order to comment on this question, we should first remember that there has also been an increase in the prices of crucial commodities, such as fuel and food, which have seen their market value rise over the past decade; they actually tripled before a decline due to the economic crisis. This has happened due to both the supply side (such as low investments in agriculture, a series of droughts and an important devaluation of the dollar, in which many commodities are quoted) and demand side issues (an increase in population and a consequent rise in the demand from fast growing countries, principally in Asia, and an increasing demand for bio-fuels). Even after the decrease of prices following the crisis, their value remains very high compared to those at the beginning of the century, as shown from the graph. Moreover, fuel and food prices are closely linked since the cost of agricultural production rises with increases in the cost of transportation and fertilizers. Such increases are further driven by increases in demand for bio-fuels as crude oil supplies decrease (decreasing available land for agriculture).



**Did humanitarian aid just get cheaper? By Lydia Poole**

**Figure 5: Food sector requirements alongside total UN CAP appeal requirements. Source: Development Initiatives based on UN OCHA FTS**

What does this mean for aid and humanitarian response? First, since food is the top funded sector and is of vital importance in humanitarian contexts, an increase in the price of this commodity means higher funding requirements to meet the needs of the same population suffering from crises. The World Food Program claims, in fact, that more funds will be needed due to higher food import bills. Moreover, fuel makes it more expensive to deliver aid into regions of the world that are already often difficult to reach because they are landlocked and lack adequate infrastructure. I have tried to study the relationship between commodity prices and the volume of appeals from CAP appeal requirements, (total and food ones) over the past decade. However this exercise did not produce significant results because the appeals differ year by year. I have therefore considered a sample of appeals for which we have time-series data from 2005 (Central African Republic, Cote d'Ivoire, occupied Palestinian Territory, Somalia, Uganda and West Africa). The total amount has been continuously increasing, also if in 2009 the yearly increase was lower compared to previous ones (from a 25% increase in 2008 to 17% in 2009). Despite this slight improvement (probably due to the lower commodity prices), as stated in the recent launch of the Humanitarian Appeal, things will get worse next year. But as the picture is complex, the issue will require further research.

What solutions are possible to avoid major fluctuations? Many experts suggest a twofold reform, concerning both institutions and markets. It will be necessary to find adequate policies to make aid less expensive. Some institutions are starting to avoid importing food to stimulating and relocating food production in or close to emergency areas; agriculture counts is in fact for just 3.1% of total ODA, and could be helpful to link short and long term strategies regarding food insecurity. Yet it will also be necessary to avoid speculation in price determination and consequently in the availability of necessary goods to the poor and people in need (giving money instead of in-kind donations is also suggested as a better use of resources by many experts and institutions, such as the World Food Programme (WFP) or Oxfam). Therefore a global effort is required to avoid a continuous increase of requirements, accompanied by a lower share of coverage that will harm who is more vulnerable and in need!

**Did humanitarian aid just get cheaper? By Lydia Poole**

The 2011 UN consolidated appeals process (CAP) is the largest to date, targeting a huge 50 million beneficiaries and requesting an unprecedented US\$7.4 billion in humanitarian aid. But what does the 2011 UN CAP appeal really tell us about global humanitarian needs and what progress has been made to improve the evidence base that justifies this request for that US\$7.4 billion?

Not surprisingly perhaps, the UN CAP chapeau document explains that the global humanitarian situation is complicated. Some situations have improved, some changed little, others have worsened, and in 2011 the humanitarian community will still be contending with the aftermath of two 'mega-disasters'. Reference is made to the rising cost of humanitarian response, which has been pushed up by the rising costs of food and fuel. The number of beneficiaries targeted in the 2011

appeal is far higher than in any previous year, but it is not clear whether overall the global needs are greater, or whether the ambition of those organisations participating in the CAP is greater.

So what do the funding requirements tell us about humanitarian needs? To begin with, surprisingly, the amount requested per beneficiary is US\$89 lower in 2011 than in 2010. Collectively, the consolidated appeals which are both in the 2010 and 2011 CAP appeal are collectively requesting 10% less funding in 2011 than in 2010. The most significant growth in initial requirements is in Yemen, which demonstrates a 25% growth in requirements. Uganda has ‘graduated’ from the CAP process and no longer has a consolidated appeal.

So if the requirements of the usual suspects are down, where does the growth in overall requirements lie? In the simplest terms, in Haiti, which was subject to a flash appeal in 2010 and has now entered the CAP as a consolidated appeal in 2011 with a large initial requirement of US\$907 million. There are two other new entries, Djibouti, US\$39 million and Niger, US\$187 million, both of which had flash appeals in 2010.

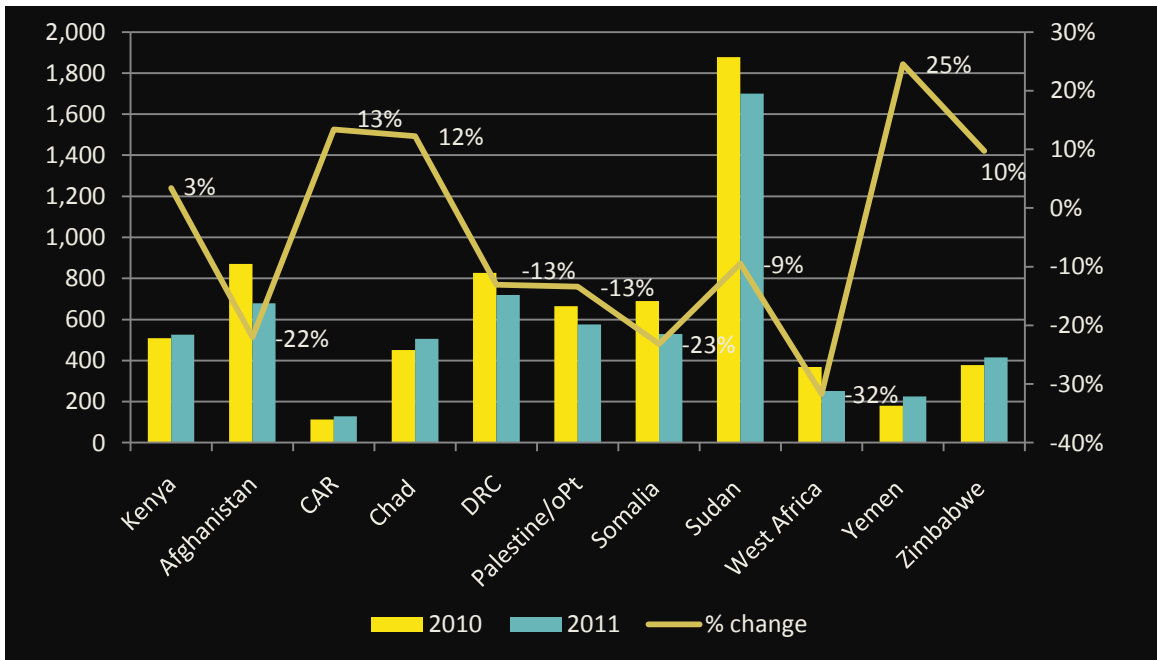


Figure 6: Initial requirements for UN consolidated appeals 2010 and 2011. Source: UN Humanitarian Appeal 2010, 2011 and Development Initiatives based on UN OCHA FTS

Between 2010 and 2011, the number of beneficiaries targeted in the UN CAP appeal has increased by 20 million people. Yet the requirements have in comparison increased a relatively modest amount, only around US\$300 million

While we do not have target beneficiary numbers available for each country in the 2010 CAP, we have already seen that requirements amongst the usual suspects are down. The new entries into the CAP account for only 3.62 million beneficiaries (Djibouti 120,000 people; Haiti 2.1 million people;

## **The CAP Appeal 2011 - the connections between disaster risk reduction and humanitarian assistance by Dan Sparks**

Niger 1.4 million people). So those 'new' 16.4 million targeted beneficiaries, who are not in Haiti, Niger or Djibouti, must lie amongst those countries whose overall requirements are down.

Requirements per beneficiary are on average US\$89 less in 2011 than in 2010. While the talk in certain donor capitals is of 'value for money' in aid, it seems unlikely that this could have yet enabled the humanitarian community to respond to the needs of 67% more people for just 4% more humanitarian aid. Perhaps what we ought to be asking is how the target beneficiary numbers are arrived at. Many actors are working to improve processes, standards and capacity in needs assessments and these should ultimately contribute to an improved evidence base. Currently however, no CAP is created equal – each follows their own locally determined processes for establishing the needs and requirements and while country level innovations have improved the evidence base of several consolidated appeals, there is no clear direction in this year's CAP chapeau document as to which approach the UN endorses. Listing target beneficiary numbers is a huge improvement on earlier appeals that should facilitate comparisons across appeals and across time, but a little more transparency around how those figures are determined would also be welcome.

It is not only the scale of demand however which is less than clear, the cost of supplying humanitarian aid might well have significantly altered in the last five years. In making claims for increasing amounts of humanitarian aid, it might also be time to look seriously at the costs of delivering aid – including the impact on aid budgets of rising commodity prices and the cost of delivering aid in highly insecure environments. In 2011 the GHA programme hopes to get to grips with some of these questions..... watch this space!

## **The CAP Appeal 2011 - the connections between disaster risk reduction and humanitarian assistance by Dan Sparks**

The increasing number of natural disasters is raising the profile and importance of humanitarian aid and Disaster Risk Reduction (DRR). As part of the GHA programmes ongoing work to investigate processes involved in global humanitarian response I have recently been considering the inter-connections between humanitarian assistance and investments in DRR.

The links between DRR and humanitarian aid are reasonably clear enough. While there is some uncertainty on what exactly constitutes DRR. Investments in DRR aim to reduce impact, quicken recovery and make assistance effective. Tracking when and where investments in DRR have been made is not straight forward and reporting is poor for a variety of reasons:

- Semantic differences
- Arguably it is not a sector but an approach
- Leads to DRR being a key element of programmes and projects but not marked
- Donor differences in reporting and DRR prioritise
- Inadequate reporting systems in terms of coding, rigour and timeliness

Difficulties in locating DRR investments is partly a result of such activities falling within both humanitarian and development aid, which are commonly, considered separate entities and are differentiated when reported. Within humanitarian aid DRR is typically tied up within response and early recovery programs, while in development aid DRR activities are often hidden within wider programmes and projects, including those relating to food security, health, infrastructure and environmental management. Differences in how DRR is reported by donors plus its relatively recent emergence in development, humanitarian and particularly climate change adaptation thinking means that the data on DRR funding is limited. It is typically hidden within development and humanitarian figures. Quantifying the total amount spent on DRR remains far too difficult.

The importance of DRR is a common theme of the recently released 2011 UN consolidated appeals process (CAP) document. This year’s CAP highlights how disaster preparedness in Haiti was overwhelmed by the devastating earthquake of 12<sup>th</sup> January 2010. Requirements for Haiti are US\$907 million. This is the second largest appeal behind Sudan in a record breaking year for the CAP that aims to target 50 million beneficiaries and has requested US\$7.4 billion in humanitarian aid. One of the key strategic objectives of the Haiti appeal is to *“Enhance Disaster Preparedness and Contingency Planning: Put in place disaster risk reduction methods and contingency plans to reduce the impact of disasters”*

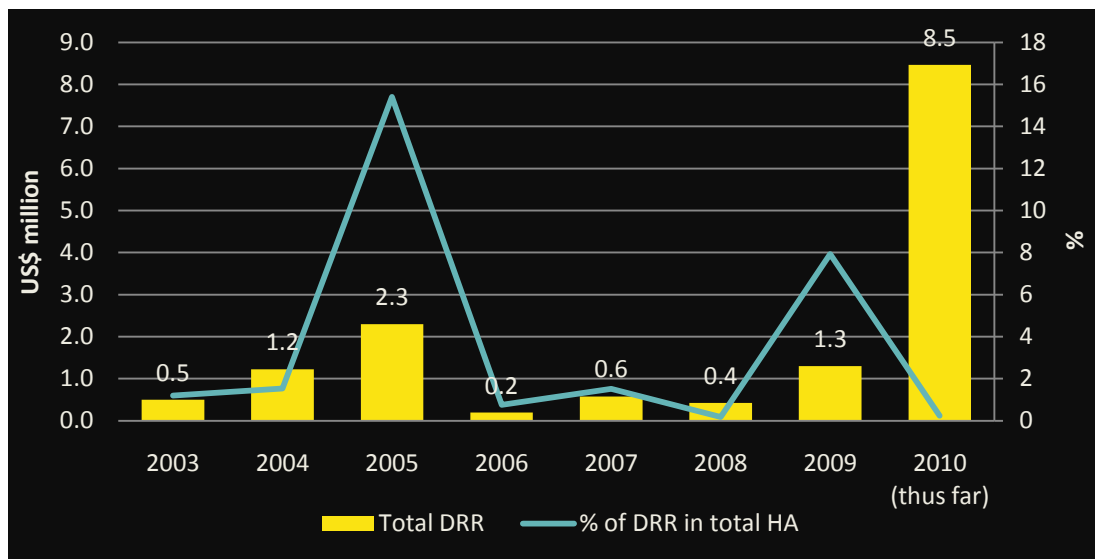
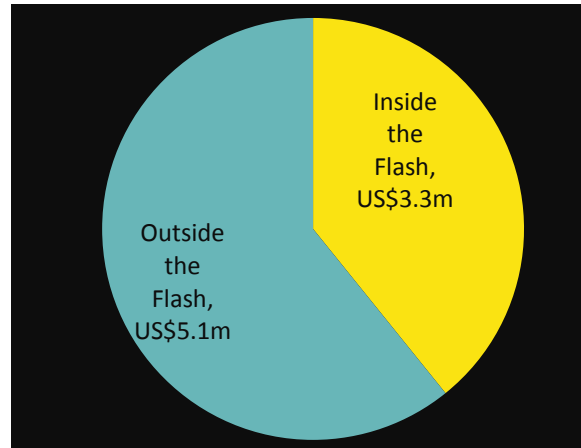


Figure 7: The amount of funding to Haiti towards Disaster Risk Reduction activities and the percentage of total humanitarian assistance spent on Disaster Risk Reduction 2003-2010. Source: Development Initiatives based on UN OCHA FTS data

Using the UN OCHA’s Financial Tracking System (FTS) we can attempt to quantify reported investments in Haiti prior to and after the 2010 earthquake. The amount of funding for DRR in Haiti reported through the FTS over the last seven years peaked dramatically in 2010 at US\$8.5million in response to the earthquake (figure 1). Funding both within and outside of the UN’s Flash Appeal for 2010 is currently at US\$3.5 billion, 0.2% of which has been reported as funding for DRR. Out of the US\$8.5 million of funding for DRR in Haiti 39% was reported within the UN’s 2010 Flash Appeal

## The CAP Appeal 2011 - the connections between disaster risk reduction and humanitarian assistance by Dan Sparks

(figure 2). The seven years prior (2003) to 2010 the amount of funding for DRR reported to the FTS has averaged US\$0.9 million roughly 1.4% of total humanitarian assistance.



**Figure 8: Funding for Haiti inside and outside the UN's 2010 Flash Appeal for Haiti. Source: Development Initiatives based on UN OCHA FTS data**

The figures extracted from the FTS do not give the full picture of the amount of funding going towards DRR activities in countries such as Haiti. DRR is often hidden within a wide range of development programmes and current reporting makes it difficult to track funding. To give a fuller picture of investments in DRR in Haiti we would need to establish how it has been integrated within development programmes. However, it will be interesting to track whether there is a significant increase in funding for DRR within the 2011 Haiti CAP appeal.

Clearly there are connections between DRR, climate change and the reduction of risk that already vulnerable countries and communities face. As DRR gains prominence, and is hopefully considered as neither a humanitarian nor development issue but one of an integrated approach, its key role as a pillar for climate change adaptation funding will mean it becomes increasingly important to track investments.

Trying to quantify international investments in DRR in one country, let alone globally is challenging and it is poorly represented in current reporting systems. There are a number of questions that emerge when attempting to track DRR and monitor trends:

- Should DRR be mainstreamed into development programmes rather than humanitarian assistance?
- Will donors agree on the semantics of DRR and how they report investments?
- How will DRR interlink with climate change adaptation financing?
- How does DRR funding impact/effect existing HA?(i.e. total HA might not increase much in time, implying that DRR has gone up at the expense of HA or increasing investment in DRR might mean total HA has gone up as a consequence of disasters)

We hope to help find some answers over this coming year.

## Somali CAP appeal and support to local organisations by Hannah Sweeney

On a visit to Kenya this year I spoke to a local Somali NGO that received funding from the humanitarian response fund (HRF), an in-country financing mechanism enabling donors to pool their humanitarian assistance. The HRF was in operation until June 2010, after which it was converted into a common humanitarian fund (CHF), a strategic pooled financing mechanism that allocates funding to projects in the consolidated appeal process (CAP).

In Somalia the donor community has to rely heavily on local civil society organisations to deliver assistance, as the insecure environment prevents many international organisations from operating in-country. The HRF is an example of this reliance on local capacity. In 2009 they represented 44% of the number of funded projects and received 33% of allocated funding. In addition many international NGOs and UN agencies relied on Somali NGOs to implement their projects.<sup>1</sup>

The local NGO that I had the pleasure of meeting expressed concern that now the HRF had converted to a CHF, small Somali organisations would have problems accessing funding. This was mainly due to the fact that to receive funding a project must be included in the CAP and therefore writing a project proposal that is acceptable requires training for some organisations, something that would cost both time and money.

This comes at an inopportune time. Donor support to local capacity in Somalia has already been reduced following a [report](#) that implicated one of the Somali NGO implementing partners in violating the arms sanctions. It is now even harder for reputable local organisations to convince donors of their honest intentions.

Despite the negativity surrounding local Somali organisations the recent 2011 CAP appeal for Somalia details higher funding requirements for local organisations, US\$27.3 million, which equates to 5.2% of the total. This compares to US\$6.1 million or 0.9% of the total original requirements in the 2010 appeal. In addition the number of local organisations included has increased from 34 to 41 in the same period.

The real evidence of whether local Somali organisations are affected by this change to a new funding mechanism as well as the reduction in donor trust will only be seen as funding for the CAP projects trickles in.

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<sup>1</sup> HRF annual report 2009 <http://ochaonline.un.org/OchaLinkClick.aspx?link=ocha&docId=1163382>

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## About us

Global Humanitarian Assistance is a Development Initiatives programme that receives grant funding from the governments of Canada, Denmark, the Netherlands, Sweden and the United Kingdom for its ongoing analysis of aid flows to people living in humanitarian crises.

In addition to the role we play in collating, analysing and communicating 'humanitarian' flows reported in the official aid statistics reported to the Development Assistance Committee (DAC) and UN OCHA Financial Tracking Service (FTS), our work allows us to provide insight and assistance on aid architecture and financing mechanisms; fragile states, human security and vulnerability; transparency and accountability. We have specific workstreams that focus on governments, delivery agencies, conflict, the scale of needs, the role of the affected state ('domestic response') and financing mechanisms.

Development Initiatives is an independent organisation that sees improving aid effectiveness as part of its commitment to the elimination of absolute poverty by 2025.



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