# Criteria for inclusion of reported humanitarian contributions into the Financial Tracking Service database, and for donor / appealing agency reporting to FTS
*September 2004*

### I. BACKGROUND

This note arises from the work of the Good Humanitarian Donorship Implementation Sub-Group on Definition of Humanitarian Aid to develop a common definition for statistical purposes. OCHA's Financial Tracking Service seeks *inter alia* to improve real-time resource allocation decisions and promote equitable funding among crises by posting detailed information on humanitarian aid flows. To do so, it must distinguish humanitarian aid from broader international aid. Since different donors and implementing agencies have different definitions of humanitarian action and assistance, the question arises as to which definition FTS should apply. A parallel issue is that donors and appealing agencies should have guidelines for deciding what funding they must report to FTS (i.e. which of their funding is humanitarian). These draft criteria comprise context, activities or sub-sectors, textual definitions, and standards and objectives, as well as procedures (plus responsibility) for applying the criteria. In other words they outline "who decides" and "how to decide."

Both the IASC CAP Guidelines and the 2003 Good Humanitarian Donorship document contain textual definitions of humanitarian aid (reproduced below). This document aims to <u>operationalise</u> these definitions for the particular purpose of the FTS, i.e. with reference to the scope and type of projects whose funding has been shown on FTS.

In paraphrase, the IASC[1] states that CAPs should include, and therefore humanitarian aid comprises, high-priority projects that are required for survival needs or that help re-establish a part of the infrastructure that is necessary to deliver emergency assistance or reduce dependency on food aid and other emergency aid. Specifically:

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*"…[T]he emergency components selected for inclusion in the CAP must meet the following criteria:*

*1. Demonstrated relationship to survival requirements of identified group/s of severely affected people including refugees and IDPs;*
*2. Demonstrated delivery and implementation capacity by the concerned agency to procure and deliver inputs:*
   *a) within the time frame of the appeal;*
   *b) according to specific nature of the input, e.g. seeds depending upon agricultural cycle.*

*Inclusion of rehabilitation activities and inputs must meet the following criteria:*
*1. Demonstrated functional/supportive relationship to relief interventions such as:*
   *a) repair or construction of infrastructure such as roads, bridges and ports, demining, aircraft hire and similar;*
   *b) restoration of essential facilities (e.g. provision of potable water, basic health care infrastructure, cattle vaccination, shelter); costs of administration, monitoring etc. that are*

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[1] Source: "CONSOLIDATED APPEAL PROCESS GUIDELINES (As endorsed by the Inter-Agency Standing Committee on 13 April 1994)"

> *directly related to 1.a above.*
> 2. *Demonstrated agency capacity to procure, deliver and distribute required inputs and ensure implementation within the appeal time frame.*
> 3. *Demonstrated in-country capacity to develop for and maintain the infrastructure required to undertake rehabilitation activities and meet delivery and distribution targets within the appeal time frame."*

The IMGHD Meeting Conclusions (June 2003) offer a basically similar definition, with more emphasis (in paragraph 2) on standards and principles:

> *Objectives and definition of humanitarian action* *[IMGHD Meeting Conclusions (June 2003)]*
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> 1. The objectives of humanitarian action are to save lives, alleviate suffering and maintain human dignity during and in the aftermath of man-made crises and natural disasters, as well as to prevent and strengthen preparedness for the occurrence of such situations.
>
> 2. Humanitarian action should be guided by the humanitarian principles of *humanity*, meaning the centrality of saving human lives and alleviating suffering wherever it is found; *impartiality*, meaning the implementation of actions solely on the basis of need, without discrimination between or within affected populations; *neutrality*, meaning that humanitarian action must not favour any side in an armed conflict or other dispute where such action is carried out; and *independence*, meaning the autonomy of humanitarian objectives from the political, economic, military or other objectives that any actor may hold with regard to areas where humanitarian action is being implemented.
>
> 3. Humanitarian action includes the protection of civilians and those no longer taking part in hostilities, and the provision of food, water and sanitation, shelter, health services and other items of assistance, undertaken for the benefit of affected people and to facilitate the return to normal lives and livelihoods.

## II. CRITERIA: CONTEXT AND ACTIVITIES

### II.1 CONTEXT

Context plays a decisive role in determining whether an activity is to be considered humanitarian. For example, building and operating a primary health care facility is a normal developmental activity in the absence of a crisis, but is usually considered a life-saving humanitarian intervention in the context of a crisis. An activity's designation as humanitarian therefore often depends more on its context than its nature.

What then defines or triggers the beginning and end of a context in which aid activities are considered humanitarian? (In general, defining the beginning is easier than defining the end.) Situation reports that can be used to confirm new or ongoing humanitarian needs include those of IFRC, UNHCR, and OCHA. IFRC situation reports ("Information

Bulletins") cover a more comprehensive set of events than OCHA or UNHCR Situation Reports. An IFRC Bulletin is issued on the basis of information from the local Red Cross anywhere of humanitarian needs on any scale. It therefore serves as a sensitive trigger for the beginning of a context. IFRC Bulletins (and Operations Updates) may continue long past the end of such a context, as their appeals and activities often explicitly include a post-emergency rehabilitation phase. Such updates, however, can be expected to specify whether the Red Cross is detecting ongoing humanitarian needs, or whether the activities are entirely in the nature of reconstruction, rehabilitation etc. In some cases, a host government or donor declares an emergency before a sitrep is issued from one of the sources cited above.

*CRITERION: The context in which aid reported to FTS can be considered humanitarian begins with an IFRC, UNHCR, or OCHA report, or comparable report or designation such as by the host government or donors, that confirms humanitarian needs. It is deemed to have ended when six months have passed with no IFRC, UNHCR or OCHA situation report that confirms current humanitarian needs.*

### II.2 SPECIFIC ACTIVITIES & SUB-SECTORS

Starting on p. 5 is a list of activities (drawn from Consolidated Appeals) that commentators found to be either (a) always humanitarian, or (b) potentially humanitarian depending on context.

*CRITERION: When a context is deemed to have begun* per *point I above, any activity on the list that is performed in that context shall be considered humanitarian aid.*

## III. F.T.S. IS RESTRICTED TO INTERNATIONALLY-PROVIDED AID

F.T.S. will include only aid that is provided internationally. For example, government domestic spending on refugees within its borders will be excluded. The exception is in-country provision of funds (whether from private or governmental sources) for projects in an appeal launched by an international organisation or organisations.[2]

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[2] The rationale for this exception is that such appeals generally calculate their needs as being the excess over what the government can provide in response to the crisis within its borders. Occasionally, however, the government subsequently finds that it can contribute more than expected. Stakeholders should then be aware of the resulting reduction in the appeal's shortfall.

## IV.  ODA- AND OA-ELIGIBILITY

FTS will make no exclusions on the basis of ODA/OA-eligibility or non-eligibility of the recipient country.[3]   However, donors should signal contributions to non-OA-eligible countries in their reporting to FTS.


## V.  DECISION-MAKING PROCEDURES

*CRITERION:  For the purposes of FTS, OCHA will apply the criteria outlined in this note, with periodic or* ad hoc *review (of these criteria in general and/or of specific applications thereof) by the GHD Implementation Working Sub-group on Definitions, and voluntary input from the IASC CAP Sub-Working Group (representing UN agencies, Red Cross Movement, and NGOs). In the event of disagreement between the two groups, the decision will be made by majority vote of the chairs of the two groups and a third party to be agreed by both.*

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[3] ODA = Overseas Development Assistance.  OA = Official Aid.

## VI. ANNEX 1: Humanitarian Sectors and Activities

BACKGROUND: This list provides examples of actual projects and activities included in Humanitarian Response Plans. *This list was updated in January 2017 to replace the previous Annex I; the previous annex drew on Consolidated Appeals, which have since been replaced by Humanitarian Response Plans.*

The activities within each sector are divided into two groups: first are activities always considered humanitarian given their underlying nature; second is a much larger group of activities that are categorized as humanitarian only in certain contexts (e.g. in response to needs that arise during a crisis or its aftermath).

It should be noted that this list is not exclusive or exhaustive. New situations may require new types of humanitarian activities or activities that do not fit neatly into the sub-sectors presented here.

| Sector | Activities |
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| Food Security | DURING A CRISIS OR ITS AFTERMATH:<br>• Food distribution<br>• Food-for-Work<br>• Monitoring of food security/livelihoods<br>• School feeding<br>• Support for of bulk food logistics (e.g. transport, port facilities, etc.)<br>• Buffer stocks<br>• Agricultural input distributions (e.g. provision of agricultural seeds and tools, including fertiliser)<br>• Livestock interventions/destocking/restocking<br>• Seed/seedling/tuber propagation or diversification<br>• Agricultural extension and training<br>• Veterinary services<br>• Pest control<br>• Environmental management<br>• Aquaculture[1]<br>• Coordination/information/early warning<br>• Agricultural water systems (e.g. irrigation, wells, etc.) |
| Camp Coordination and Camp Management | DURING A CRISIS OR ITS AFTERMATH:<br>• Camp administration/management/coordination |
| Emergency Shelter and NFI | DURING A CRISIS OR ITS AFTERMATH:<br>• Distribution of non-food items (NFIs) or resettlement/repatriation packages, with associated transport/logistics<br>• Stockpiling/pre-positioning NFIs<br>• Temporary shelter and associated transport/logistics<br>• Post-emergency/semi-permanent shelter |
| Coordination and Support Services | ALWAYS HUMANITARIAN:<br>• Emergency response funds<br><br>DURING A CRISIS OR ITS AFTERMATH:<br>• Support for coordinating bodies (e.g. OCHA)<br>• Preparedness/planning/capacity-building<br>• Humanitarian information services<br>• Passenger and cargo air service |

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[1] Some fishing projects are also designated as Food Security in FTS; however, they are more properly aligned with Early Recovery.

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| | • Security of humanitarian staff and operations (e.g. establishment of security offices, deployment of security officers, communications, etc.) |
| Logistics | DURING A CRISIS OR ITS AFTERMATH:<br>• Joint logistics centres<br>• Passenger and cargo air service |
| Emergency Telecommunications | DURING A CRISIS OR ITS AFTERMATH:<br>• Tele-communications |
| Early Recovery | DURING A CRISIS OR ITS AFTERMATH:<br>• Food-for-Work/job creation/direct hiring<br>• Micro-finance and micro-enterprise development<br>• Rehabilitation of infrastructure (e.g. road, rail, air, power, communications, water/sanitation[2], public buildings and markets, etc.)<br>• Livelihoods<br>• Skills training<br>• Natural resource management<br>• Support for demobilisation of ex-combatants and their dependents[3] |
| Education | DURING A CRISIS OR ITS AFTERMATH:<br>• Food-for-Work (e.g. for school construction or teaching)<br>• School construction<br>• School supplies<br>• Support to teachers<br>• Teacher training<br>• Temporary learning facilities<br>• Peace/reconciliation education |
| Health | ALWAYS HUMANITARIAN:<br>• Direct (temporary) provision of primary health care[4]<br><br>DURING A CRISIS OR ITS AFTERMATH:<br>• Support for (re)establishment of permanent primary health care (including rehabilitation, training, medical supplies)<br>• Direct or indirect provision of secondary health care<br>• Supplementary and therapeutic feeding<br>• Health extension and education/preventive health care<br>• Environmental health (e.g. vector control)<br>• Training/capacity building<br>• Reproductive health/maternal and child health<br>• STI and HIV/AIDS prevention and treatment<br>• Medical and psycho-social response to sexual/gender-based violence<br>• Mental health/psycho-social interventions<br>• Vertical disease control (e.g. malaria)/Emergency response to acute outbreaks or epidemics<br>• Immunisations<br>• Health care support for people with disabilities<br>• Blood transfusions |

[2] FTS generally considers large-scale projects as Early Recovery. Smaller-scale, community-level projects are categorized under Water, Sanitation, and Hygiene.
[3] Disarmament, demobilization and reintegration is generally accepted as humanitarian action; however, the following phase usually called 'socio-economic reintegration' of ex-combatants is not.
[4] Review ICRC terminology "Substitution of Services."

| Nutrition | DURING A CRISIS OR ITS AFTERMATH:<br>• Nutrition surveillance and monitoring<br>• Supplementary and therapeutic feeding |
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| Water, Sanitation, and Hygiene | ALWAYS HUMANITARIAN:<br>• Emergency/temporary water supply and sanitation (i.e. new IDP or refugee camps or following the outbreak of water-borne disease)<br>• Water treatment (e.g. with chemicals)<br><br>DURING A CRISIS OR ITS AFTERMATH:<br>• Medium- or long-term community water supply and sanitation (i.e. in resettlement zones or long-term IDP or refugee camps)<br>• Capacity building/institutional support<br>• Water quality testing/surveillance<br>• Drought preparedness |
| Mine Action | DURING A CRISIS OR ITS AFTERMATH:<br>• Mine awareness/mine risk education/prevention<br>• Mine victim assistance<br>• Mine surveying<br>• Mine clearance<br>• Training/capacity building/institutional support<br>• Mine action coordination<br>• Mine action response funds |
| Multi-Sector[5] | ALWAYS HUMANITARIAN:<br>• Multi-sector assistance to refugees or IDPs<br>• Emergency preparedness/early warning systems/pre-positioning<br><br>DURING A CRISIS OR ITS AFTERMATH:<br>• Repatriation/resettlement/reintegration<br>• Livelihoods support<br>• Other multi-sector or miscellaneous |
| Protection | DURING A CRISIS OR ITS AFTERMATH:<br>• Protection of civilians/IDPs/refugees/repatriates<br>• Prevention and treatment of violence<br>• Advocacy and monitoring of human rights/IHL/IDP Guiding<br>• Legal aid/clinics<br>• Education and training in culture of peace and conflict resolution<br>• Prevention of & combating impunity for sexual/gender-based violence<br>• Media/reporting<br>• Birth registration<br>• Civic education<br>• Support for law enforcement and judiciary<br>• Family tracing and reunification<br>• Reconciliation/peace-building and peace promotion/conflict prevention[6]<br>• Monitoring conditions of detention/upholding minimum standards and IHL in prisons |

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[5] Many UNHCR projects are designated "multi-sector" given that refugee/IDP care and repatriation tends to be multi-sector in nature. The majority of "multi-sector projects on FTS are therefore refugee/IDP related.

[6] Small-scale community-level activities, rather than armed activities, such as peace-keeping and disarmament.

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| Child Protection | DURING A CRISIS OR ITS AFTERMATH:<br>• Child protection<br>• Principles/Convention on the Rights of the Child (including training & capacity-building) |
| Gender-Based Violence | DURING A CRISIS OR ITS AFTERMATH:<br>• Prevention and treatment of gender-based violence |
| Housing, Land, and Property | DURING A CRISIS OR ITS AFTERMATH:<br>• Land and property rights (e.g. for IDPs) |