

# THE EUROPEAN CONSENSUS ON HUMANITARIAN AID: AN NGO PERSPECTIVE

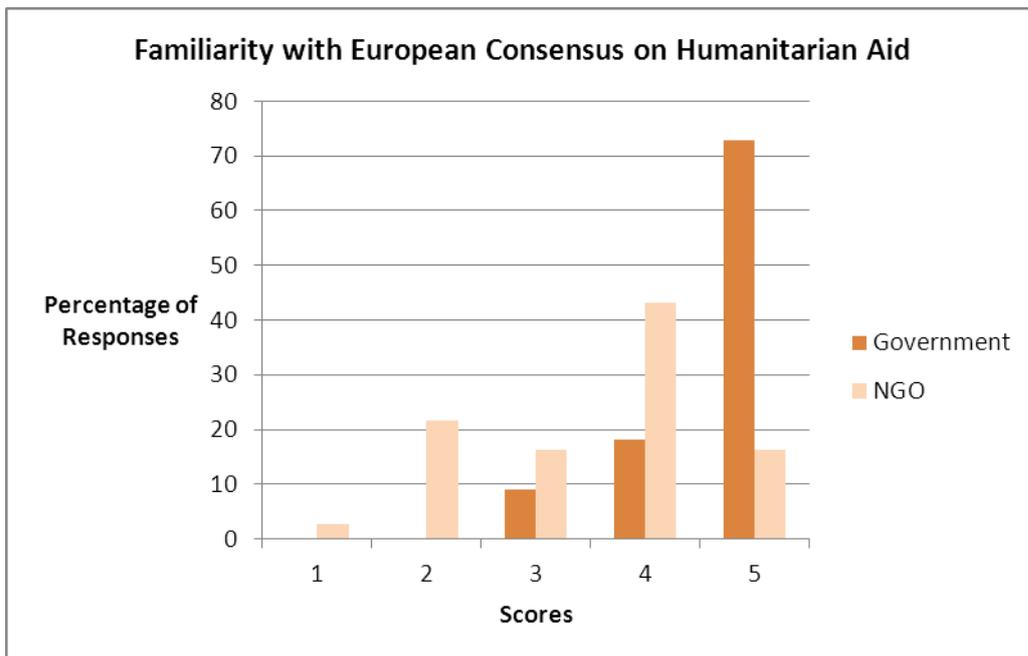
## VOICE Study – May 2014

### Annexes:

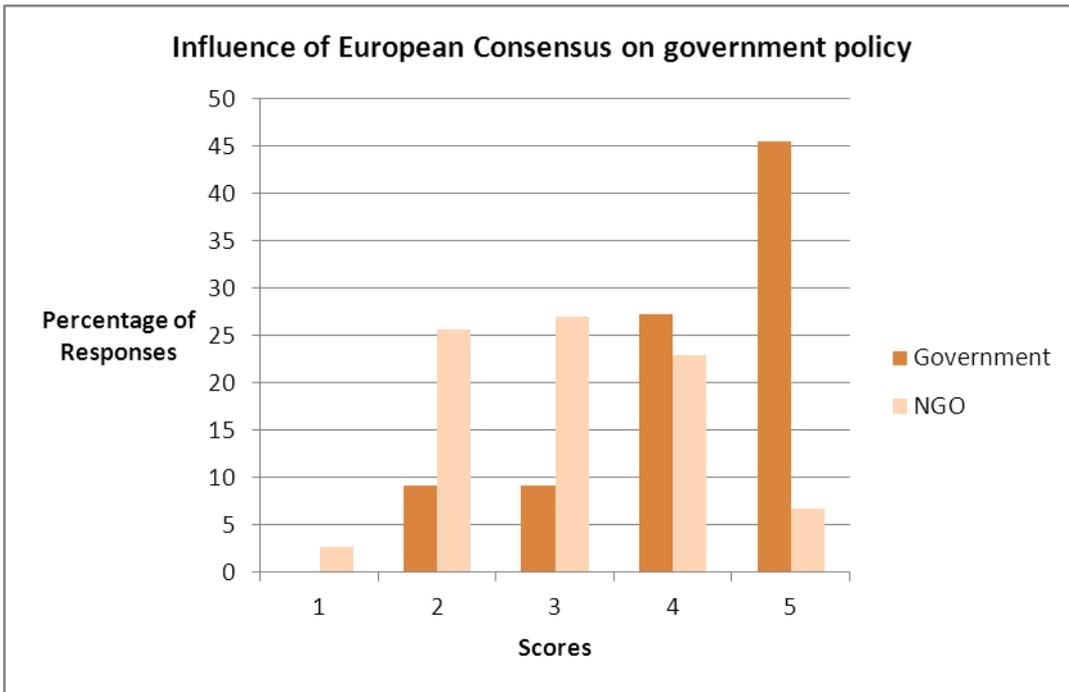
<a href="#">Annex 1: Survey results</a> .....	1
<a href="#">Annex 2: Terms of reference</a> .....	7
<a href="#">Annex 3: Questionnaire</a> .....	11
<a href="#">Annex 4: Focus group questions</a> .....	18

## Annex 1: Survey results

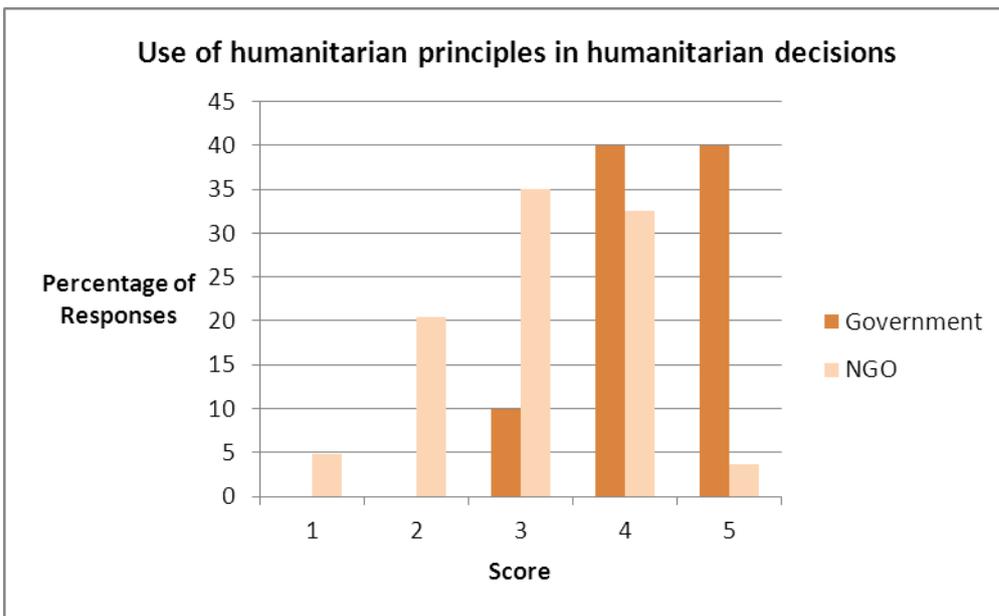
*Graphs in order used for the VOICE Consensus study, May 2014*



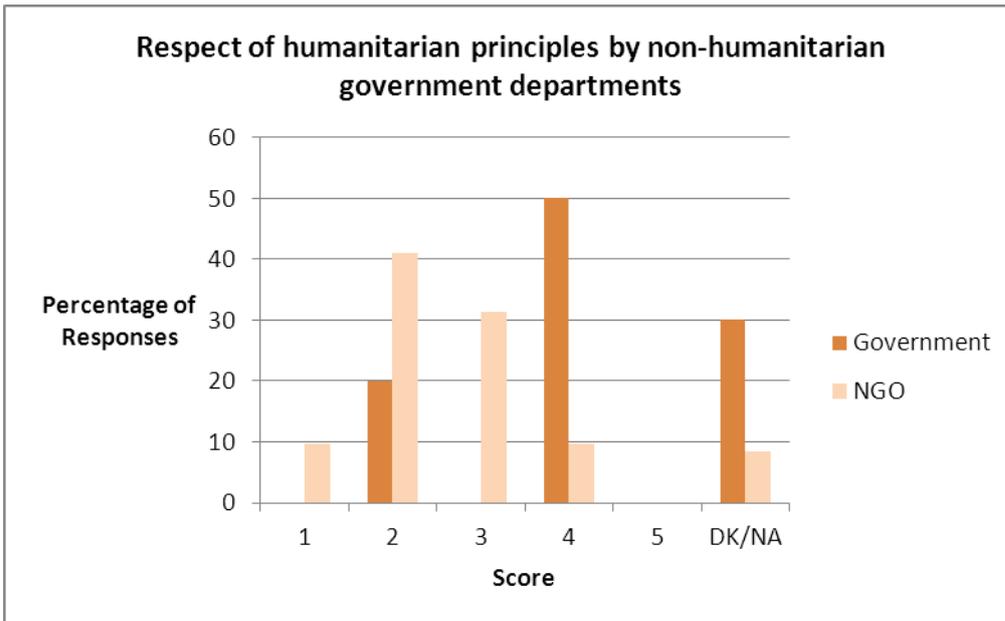
Survey question: “How familiar are you with the European Consensus on Humanitarian Aid?”  
[see section 1.1 of the VOICE Consensus study, May 2014].



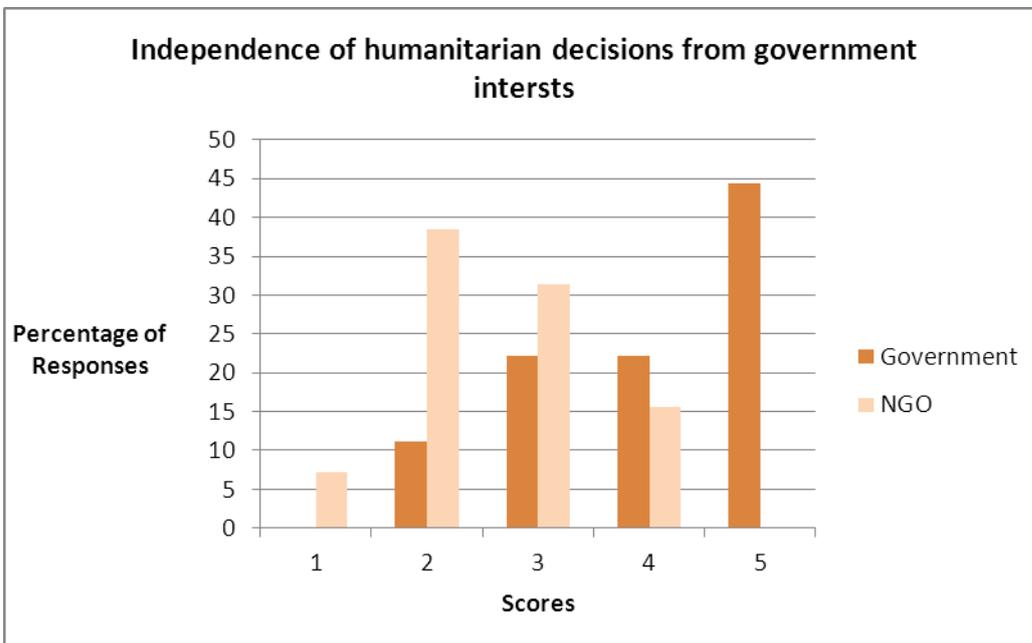
Survey question: "To what extent do you think the European Consensus has influenced your government's policy?" [see section 1.2 of the VOICE Consensus study, May 2014]



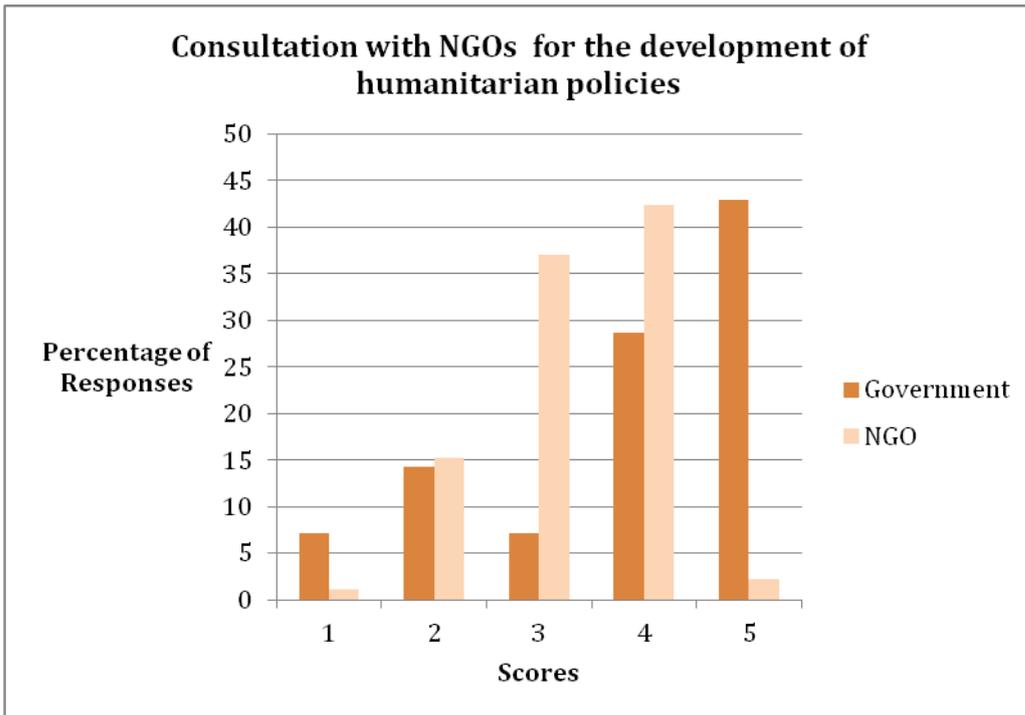
Survey question: "To what degree do you feel humanitarian decisions guide government humanitarian decision-making?" [see section 2.1 of the VOICE Consensus study, May 2014]



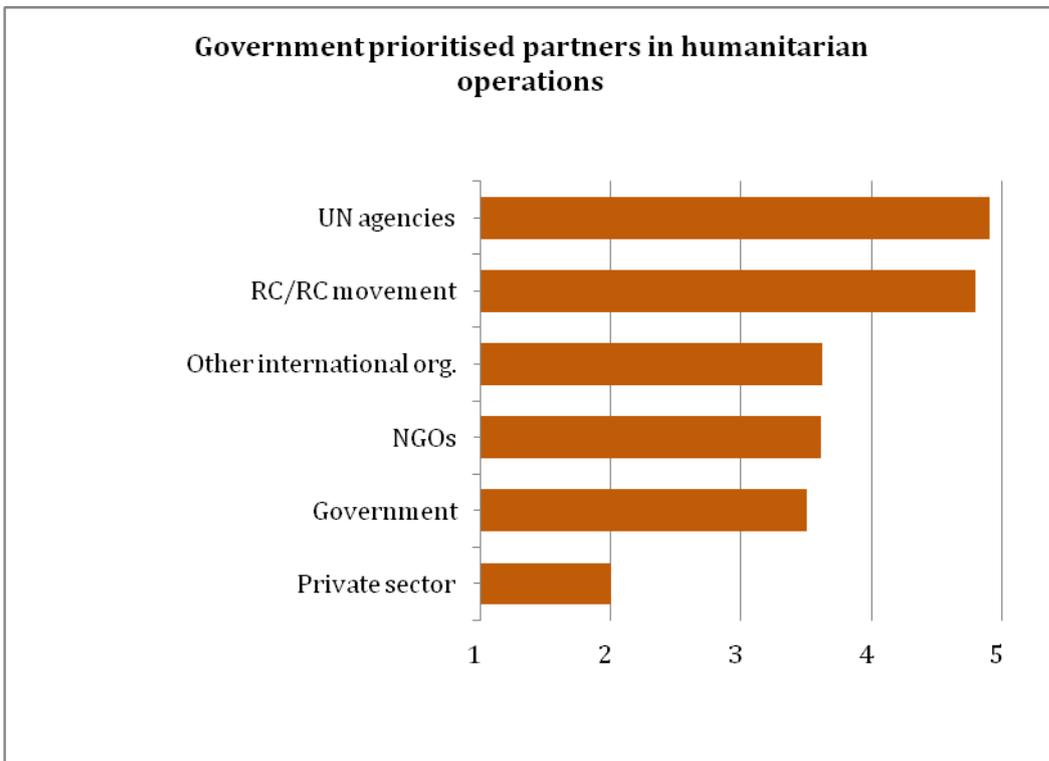
Survey question: “Do you think that humanitarian principles are respected by non-humanitarian departments of your government (foreign affairs, development, defence, etc.)?” [see section 2.1 of the VOICE Consensus study, May 2014]



Survey question: “How independent do you feel decisions on humanitarian action are from other government interests?” [see section 2.1 of the VOICE Consensus study, May 2014.]

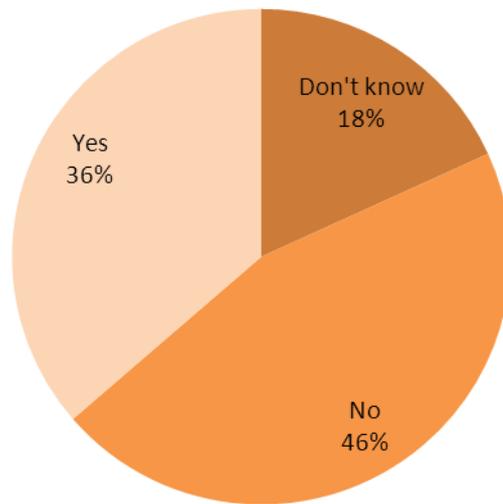


Survey question: "To what extent is the NGO community consulted in the development of government policy on humanitarian issues?" [see section 3 of the VOICE Consensus study, May 2014]



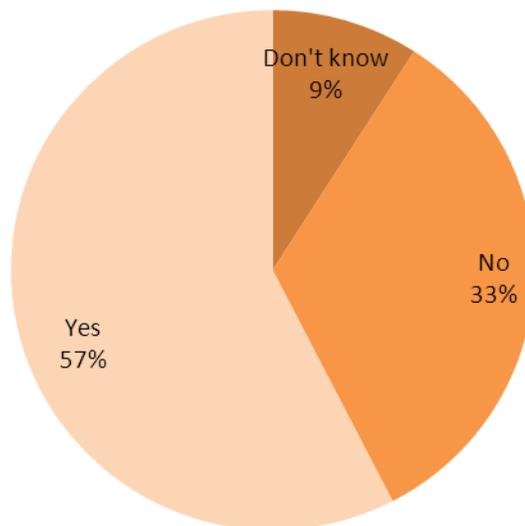
Survey question: "Who do you prioritise in your funding as partners in your humanitarian operations?" [see section 4 of the VOICE Consensus study, May 2014]

**Government responses to whether administrative requirements should be reduced**



Survey question: "Should the government administrative burden (proposals, reporting, audits, etc.) be reduced? [see section 5 of VOICE Consensus study, May 2014]"

**NGO responses to whether administrative requirements should be reduced**



Survey question: "Should the government administrative burden (proposals, reporting, audits, etc.) be reduced? [see section 5 of the VOICE Consensus study, May 2014]"



# Annex 2: Terms of reference

## STUDY ON THE EUROPEAN CONSENSUS ON HUMANITARIAN AID: AN NGO PERSPECTIVE

### **BACKGROUND**

The European Consensus on Humanitarian Aid is the main policy document on EU humanitarian aid. It was signed in 2007 by the EU Member States, the European Commission and the European Parliament and was followed in 2008 by an Action Plan which set out activities for the Commission and Member States to implement the Consensus. In 2010, humanitarian aid for the first time received its own article<sup>1</sup> in an EU Treaty (Lisbon Treaty), giving it a strong legal reference.

As a follow-up to these documents and institutional discussions, the Council set up a working group on Humanitarian Aid and Food Aid (COHAFA), and a Commissioner for International Cooperation, Humanitarian Aid and Crisis Response was appointed. A Humanitarian Rapporteur was also re-appointed in the European Parliament. This strengthened humanitarian architecture is important as humanitarian aid is a shared competency between the Commission and Member States. EU humanitarian legislation is proposed by the Commission and then decided upon by the Member States and the European Parliament (co-decision).

At an EU institutional level, DG ECHO has been strongly engaged in implementing the Consensus Action Plan, while the European Parliament has mostly fulfilled its control function at the time of the mid-term review of the Action Plan in 2010, through adopting a resolution with key findings and recommendations on the topic.

What has become clear throughout the implementation of the Action Plan is the challenge of identifying what Member States have done at national level to implement the Consensus. While some Member States have developed a humanitarian policy which makes reference to the Consensus, it is unclear what level of overall ownership there is of the document across the Member States. VOICE would like to explore further the extent to which Member States have taken into account the Consensus when making their decisions or, put differently, to investigate the influence the Consensus has had on national humanitarian policy and practice.

### **VOICE and the European Consensus on Humanitarian Aid**

NGOs deliver 60-80% of humanitarian aid in the field, using private, bilateral and international funding. Of the European Commission's humanitarian funding, almost half goes directly to NGOs and indeed most VOICE members are ECHO partners, implementing EU aid in the field. VOICE members also carry out humanitarian aid worldwide via Member States' funding.

NGOs consider the European Consensus as invaluable for the policy framework that it provides and the direction that gives in support of decision-making in relation to principled, needs-based EU humanitarian aid. VOICE advocacy has therefore both referred to and promoted the Consensus in

---

<sup>1</sup> Article 214 Treaty for the Functioning of the European Union

the course of the last five years. Given its continuous engagement, VOICE is seen as the main NGO interlocutor in Consensus-related discussions. VOICE members also reconfirmed in the network's strategic plan 2013-2017 the need to promote the Consensus as the reference for good policy and practice for all EU Member States, and the need to enhance the link between the EU and the Member States at the national level.

Therefore, VOICE wants to commission a report which looks at how the principles which underpin and are included in the Consensus (and possibly the Consensus itself) are reflected in current policy and practice of Member States. The intention is that the report could be used by the VOICE network as an advocacy tool. It should therefore present findings on the application of the Consensus by Member States from an NGO perspective, consolidating views in a way that will help readers understand what NGOs consider important for the future of EU humanitarian aid.

### **OBJECTIVES OF STUDY REPORT**

1. To provide a picture of Member States' humanitarian policy and practice from an NGO perspective, serving as a baseline against which progress can be assessed in four years;
2. To provide an overview of how Member States have integrated the principles and themes of the Consensus into their policy and practice;
3. To inspire Member States to learn from each other's humanitarian policy and practice by highlighting positive examples of the application of the Consensus, and by learning from areas where adherence to it has been challenging;
4. To raise awareness about the elements of the Consensus that need more attention from an NGO point of view;
5. To provide the network with evidence to use at various occasions for visibility and advocacy purposes

### **MAIN QUESTIONS TO BE ADDRESSED**

#### **I. Key themes- (Overview of all EU Member States)**

Selected themes in keeping with VOICE priority concerns will be examined across all Member States:

1. Humanitarian strategy: *which Member States have established or revised a humanitarian strategy/policy/ action plan; which factors and processes contributed to this; links with other international frameworks.*
2. The humanitarian principles: *prominence of principles and IHL in Member States' policy and practice, organisation of humanitarian aid (independent decision making).*
3. Added value of NGOs: *humanitarian funding allocations, and via which partners (including support to NGOs), perceived comparative advantage of NGOs.*
4. Disaster Risk Reduction: *Attention to DRR in Member States' policy, funding allocations, humanitarian or development.*

#### **II. Other relevant themes of NGO concern: best practices and lessons learnt (based on review of selected Member States)**

In addition to the themes above, there are a number of issues that the Consensus touches upon which are important to NGOs. In keeping with the priorities of the VOICE Strategic Plan,

the report will look more closely into a number of themes with regards a small representative selection of Member States (around six, to be agreed):

- Comprehensive approach
- Humanitarian-military relations
- Linking Relief Rehabilitation and Development
- Partnerships with NGOs/local partners
- Administrative burden

Both positive and negative examples from Member States can be used for these sections. Each theme needs to conclude with a recommendation, either confirming what is positive in the example, or making explicit the change desired.

### **III. Conclusions**

A final section will provide a summary of findings, make recommendations, and spell out the elements of the Consensus which, from an NGO perspective, warrant more attention.

### **TARGET AUDIENCE**

Report for use by NGOs to influence:

1. EU Member States
2. European Commission and European Parliament
3. Humanitarian NGOs, UN, Red Cross, other donors

### **METHODOLOGY**

- A briefing meeting is envisaged with the selected consultant to provide further background on key themes and lines of enquiry
- The selection of Member States for the second part of the study will be determined by the number of VOICE members in each country, but also needs to reflect the diversity across the EU in terms of humanitarian donorship
- A desk study will be completed of existing data on Member States' performance as donors, including but not limited to reports from think-tanks, governments and NGOs. Existing VOICE materials can also be drawn upon.
- Interviews with a diversity of relevant stakeholders including at national and EU institutional level

### **OUTPUT**

The final report document should not exceed 30 pages. A very provisional structure of the report would align with the sections of questions:

1. Overview of Member States on the four key themes indicated above
2. Other relevant themes of NGO concerns discussed on the basis of deeper review of selected Member States
3. Conclusions & Recommendations

The research schedule is likely to include: first draft, comments, second draft, final draft.

### **TIMING**

- Expected duration of assignment: 30 days (non-consecutive).
- Preferably start mid/late July. Expected closing: mid-October 2013
- A steering group for the study will be established

**PROFILE OF THE CONSULTANT**

- ✓ Significant experience of working in the humanitarian aid sector
- ✓ Understanding of NGOs as humanitarian actors and advocates
- ✓ Understanding of European Union institutions
- ✓ Strong analytical and research experience, demonstrated by relevant previous evaluation and analysis work.
- ✓ Ability to creatively consolidate quantitative and qualitative data into a clear report
- ✓ Fluency in English essential, fluency in French and/or German highly desirable

# Annex 3: Questionnaire

[This represents the combined questions for NGOs and government actors. Not all questions were for both.]

The European Consensus on Humanitarian Aid is the main policy document on EU humanitarian aid. As part of the VOICE Review on the European Consensus on Humanitarian Aid carried out by DARA, we would like to capture your perspective on the degree of influence the European Consensus has had on Member States' humanitarian policy and practice, engagement with NGOs and several other important issues. We would greatly appreciate your participation in this brief survey. Please keep in mind that in the following questions, we are focusing exclusively on the government and NGOs in the country where you are based. Any information you provide will not be associated directly with you or your organisation. You can start the survey by clicking on the Continue button below. Please answer all the questions you can, but if there is a question you can't answer, please carry on!

Do you work in:

1. NGO
2. Government

In which country is your organisation based?

## Added value of NGOs

Please keep in mind that in the following questions, we are focusing exclusively on the government and NGOs in the country where you are based.

1.1. What is the level of engagement between the government and NGOs?

1 None at all	2	3	4	5 Very high	DK/NA
<input type="checkbox"/>					

1.2 To what extent is the NGO community consulted in the development of government policy on humanitarian issues?

1 Not at all	2	3	4	5 Completely	DK/NA
<input type="checkbox"/>					

1.3 What was the role of NGOs in developing the governments humanitarian strategy?

1.4 Are the consultations between your government and NGOs as frequent as you would like?

1 Not at all	2	3	4	5 Completely	DK/NA
<input type="checkbox"/>					

1.5 Is there a recognised forum for dialogue between the government and NGOs?

1. Yes
2. No
3. Dont know

1.6 To what extent does your humanitarian budget depend on funding from your national government?

1 Not at all	2	3	4	5 Completely	DK/NA
<input type="checkbox"/>					

1.7 Who do you prioritise in your funding as partners in humanitarian operations?

	1 Low priority	2	3	4	5 High priority	DK/NA
International NGOs (generally)	<input type="checkbox"/>					
International NGOs based in your country	<input type="checkbox"/>					
National NGOs	<input type="checkbox"/>					
Red Cross/Red Crescent Movement	<input type="checkbox"/>					
UN agencies	<input type="checkbox"/>					
Other international organisations	<input type="checkbox"/>					
Government	<input type="checkbox"/>					
Private sector	<input type="checkbox"/>					

1.8 What value do you think your government places on NGOs as humanitarian actors?

1 None at all	2	3	4	5 Completely	DK/NA
---------------	---	---	---	--------------	-------

<input type="checkbox"/>					
--------------------------	--------------------------	--------------------------	--------------------------	--------------------------	--------------------------

1.9 How transparent (easily accessible) is information on humanitarian funding from your government (who gets it, and how much)?

1 Not at all	2	3	4	5 Completely	DK/NA
<input type="checkbox"/>					

1.10 How transparent are criteria for humanitarian aid funding?

1 Not at all	2	3	4	5 Completely	DK/NA
<input type="checkbox"/>					

1.11 How burdensome do you consider government administrative requirements for NGOs (proposals, reporting, audits, etc.)?

1 Not at all	2	3	4	5 Completely	DK/NA
<input type="checkbox"/>					

1.12 Should the government administrative burden (proposals, reporting, audits, etc.) be reduced?

1. Yes
2. No
3. Dont know

### Humanitarian Principles

Please keep in mind that in the following questions, we are focusing exclusively on the government and NGOs in the country where you are based.

2.1 To what degree do you feel humanitarian principles guide government humanitarian decision-making?

1 Not at all	2	3	4	5 Completely	DK/NA
<input type="checkbox"/>					

2.2 Do you think that humanitarian principles are known in non-humanitarian departments of your government (foreign affairs, development, defence, etc.)?

1 Not at all	2	3	4	5 Completely	DK/NA
<input type="checkbox"/>					

2.3 Do you think that humanitarian principles are respected by these other government departments?

1 Not at all	2	3	4	5 Completely	DK/NA
<input type="checkbox"/>					

2.4. How independent do you feel decisions on humanitarian action are from other government interests?

1 Not at all	2	3	4	5 Completely	DK/NA
<input type="checkbox"/>					

2.5 Can you provide examples of good practice of the government applying humanitarian principles?

2.6 Can you provide examples of poor practice where the government did not apply humanitarian principles (but should have)?

2.7 In situations where military deployment coincides with humanitarian response, what types of limitations, if any, does the government place on NGOs in carrying out their activities?

2.8 Is there dialogue between NGOs and national military in your country (either on a regular basis or regarding a specific crisis)?

- 1. Yes
- 2. No
- 3. Dont know

**European Consensus on Humanitarian Aid**

Please keep in mind that in the following questions, we are focusing exclusively on the government and NGOs in the country where you are based.

3.1 How familiar are you with the European Consensus on Humanitarian Aid?

1 Not at all	2	3	4	5 Completely	DK/NA
--------------	---	---	---	--------------	-------

3.2 To what extent do you think that the European Consensus has influenced your government policy?

1 Not at all	2	3	4	5 Completely	DK/NA
<input type="checkbox"/>					

3.3 What aspects of the European Consensus do you consider most significant?

3.4 Are there aspects of the European Consensus you feel require greater attention from the government?

3.5 Are there aspects of the European Consensus you feel the government is addressing well?

3.6 How important is the European Consensus in influencing your government humanitarian policy compared to other international policy instruments / frameworks?

1 Not at all	2	3	4	5 Completely	DK/NA
<input type="checkbox"/>					

**Disaster risk reduction and working with partners**

Please keep in mind that in the following questions, we are focusing exclusively on the government and NGOs in the country where you are based.

4.1 What degree of emphasis is placed on disaster risk reduction (in third countries) in government policy?

1 Not at all	2	3	4	5 Completely	DK/NA
<input type="checkbox"/>					

4.2 Does the government consider disaster risk reduction

1. Humanitarian
2. Development
3. Both
4. Neither

4.3 How proportionate do you consider government funding for disaster risk reduction compared to overall humanitarian / development funding?

1 Not at all	2	3	4	5 Completel y	DK/NA
<input type="checkbox"/>					

4.4 Does your government fund disaster risk reduction via NGOs?

1. Yes
2. No
3. Dont know

4.5 What percentage of government funding for disaster risk reduction is allocated to NGOs?

4.6 How could your governments approach to disaster risk reduction be improved?

4.7 How well coordinated is humanitarian and development programming within the government?

1 Not at all	2	3	4	5 Completely	DK/NA
<input type="checkbox"/>					

4.8 To what degree does your government provide flexible funding to bridge the humanitarian-development gap?

1 Not at all	2	3	4	5 Completely	DK/NA
<input type="checkbox"/>					

4.9 What degree of priority is given by the government to working with local partners (either directly or via INGOs)?

1 None at all	2	3	4	5 Very high	DK/NA
------------------	---	---	---	-------------	-------



4.10 Do you have any additional comments you would like to add?

# Annex 4: Focus group questions

*Semi-structured Group Interview and Discussion led by DARA*

*August/September 2013*

---

As part of the VOICE Review on the EU Consensus on Humanitarian Aid carried out by DARA, a number of focus group meetings will be held with VOICE member organisations in their countries. These meetings will take 1.5 hour (up to 2hrs where possible) and will cover a range of issues identified by VOICE as priority themes under the Consensus.

The following list of questions offers a framework for the discussions. Where relevant given the national context, and based on the interests of the participants, some of these issues will be covered in more detail.

## **1. Relations to Donor & Added Value of NGO**

- a. How would you describe your relationship with the Government? Do you think that government sees you as partner or an implementer? With which parts of the Government do you engage, why and how?
- b. Are you satisfied with the quality/frequency of the Government's engagement with the NGO community? To what extent is the NGO community consulted in the drafting of government policies? In times of crisis? At HQ and/or field level? How could this dialogue be reinforced?
- c. How important is Government funding in your humanitarian budget? What are the comparative advantages of funding /collaboration with your Government compared to other donors (other Govts. / UN funding / ECHO)?
- d. What is your general perception of administrative & reporting requirements overall? In comparison with other donors? Do you think these requirements demonstrate a good balance between transparency/accountability and flexibility/speed/timeliness as needed in humanitarian crises?
- e. The Consensus promotes the diversity of humanitarian actors. According to national/FTS sources, the distribution of government funding between UN, Red Cross and NGO is ...%, ...%, and ...%. Do you think this reflects a prioritization on the part of the government?

## **2. General on European Consensus on Humanitarian Aid**

- a. How familiar are you with the Consensus and how much do you use it in your organization? How well do your colleagues (field/HQ) know and use it?
- b. Which aspects of the Consensus do you think are most significant, both regarding your activities and your Government's policy?

- c. To what extent do you think the Consensus has influenced your Government's policy/strategy? Do you use the Consensus as a reference in your dialogue with Government?
- d. Do you know of other policy instruments or international standards that have shaped, in a significant way, your Government's humanitarian policy and decisions?

**3. Humanitarian Principles (incl. civil military issues)**

*For this part, participants are encouraged to refer to concrete operational situations and dilemmas (i.e. Afghanistan, Mali, Syria, Libya – Preliminary question: Did/do you have Govt. funded operations in these contexts?).*

- a. In these contexts, did you face any constraints from your Government related to carrying your activities? Did you have some guidelines regarding security / relations with the military that limited your operational choices?
- b. What are the prerequisites / pressures / requirements from the Government side vis a vis funding? In these contexts, did you receive any signals of specific regional/thematic interests from your Government ahead of the start of your operations funded by them? To what extent do your project proposals take into account Government interest and its agenda in order to increase chances of funding?
- c. If any, what do you think is the influence of the other parts of the Government on the decisions and policies set forth by the humanitarian department? Examples?

**4. DRR, LRRD and capacity building**

- a. How much priority has your Government placed on DRR? Do you think the DRR policy of your government is translated into practice/funding? From humanitarian or development funding lines?
- b. Has your organization applied for DRR funding and was it successful? What are the obstacles for Governmental funding of DRR activities (implemented by NGOs)? Do you (could you) use the Consensus to advocate for such funding? *Same questions for LRRD*
- c. Do you see links and /or coordination between your Government's humanitarian and development work? Please give examples.
- d. Is working with local actors an asset or a constraint for an organization looking for funding from the Government? Does your Government provide direct funding to local NGOs? To what degree does the Government allow for capacity-building funds included in the budget of your proposals?