



## Humanitarian Emergency Response Review: UK Government Response



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## **Foreword**

## By the Secretary of State for International Development, the Right Honourable Andrew Mitchell MP

The last year has seen an unprecedented number of disasters, from the massive floods in Pakistan to the shocking death and destruction caused by the earthquake and tsunami in Japan. Meanwhile the long term suffering caused by conflict in countries such as Sudan and the Democratic Republic of Congo continues, even as new conflict brings fresh misery and oppression in Libva.



Lord Ashdown's timely review of the way the UK delivers humanitarian assistance identifies much the British public can be proud of. My department, the Department for International Development, is praised for its leading role in international efforts. But Lord Ashdown also highlights the daunting challenges we face, and calls for us to respond now in order to be ready.

The Review is a deeply impressive document. It makes a compelling, clear and powerful case for reform. This Government agrees with and endorses the central thesis of the Review and will accept the vast majority of its specific recommendations. Indeed in many areas we will go beyond the specific recommendations of the Review, in order to drive further and faster improvement in the international response to disasters.

And I am determined that we seize this moment. We cannot just 'enhance the status quo'. Many millions will suffer if we collectively fail this challenge, and fragile development gains will be lost. The Humanitarian Emergency Response Review, properly implemented, will help us make the changes needed and we will live up to its ambition both in spirit and in the detail.

To deliver this change, we must be clear that our starting point is in our collective humanity. The British people are amongst the most generous in times of international disaster, rising above national interest or allegiance. The Government is committed that our humanitarian aid must continue to be delivered on the basis of need and need alone. We will honour our international commitments that firmly root our response in the principles of humanity, neutrality and impartiality.

The International Development Committee in its recent select committee report on Pakistan makes clear that whilst the work of DFID was impressive, the UN and the international community as a whole are still failing to provide an adequate response in the face of major disasters. We urgently need to improve leadership of the international response, and we will use our multilateral aid to make this happen. The UK is firmly committed to the multilateral system, but we cannot allow it to be poorly led, jeopardising people's lives.

Even with dramatic gains in the impact and efficiency of the international system, Lord Ashdown makes clear we will not meet the challenges ahead. That is why I will commit DFID to a new core commitment to build resilience in all country programmes, and why we will show international leadership in this essential task. Whether it is making sure that hospitals can survive earthquakes, preventing mass starvation, or helping countries weather financial and food crises, it is clear that the more resilient countries are the better chance they have of developing. I am clear that helping the world's poorest also means helping them cope with disasters, especially as these are on the increase. Families who lose everything in floods or war are often the most vulnerable on the planet.

The Humanitarian Emergency Response Review makes a number of other key recommendations, and in our response we set out how we intend to take these forward. A new emphasis on accountability and transparency will underpin our work with partners, as will a new focus on demonstrating impact. We will expand our own capacity to deal with humanitarian issues and our new work on resilience, ensuring it is championed at the most senior level. All of this will require more resources and where these are needed we will make them available. A strong focus on accountability and ensuring the best value for money, for the British taxpayer as well as those affected by disaster, will be central to our efforts.

I would like to express my gratitude to Lord Ashdown and his team for their tremendous work. His review comes at a pivotal moment, and we are indebted to him for providing us a vision that can ensure the UK and DFID are ready for an uncertain future. In this response, and our work for the next four years, we will be guided by his work.

Finally I would like to pay tribute to those Brits around the world who work tirelessly in extreme circumstances to save lives during humanitarian crises. Their work, often unsung and taken at real personal risk, is truly heroic.

Let me end with the words of a survivor of a cyclone in Haiti:

"The water started to rise, and it did not stop...the water was already so high and strong that I could not hold on to one of my children and the water swept her away.

Luckily someone was there to grab her."

hu Still

Andrew Mitchell MP

## Introduction

- 1. Lord Ashdown's Humanitarian Emergency Response Review (HERR) has raised the bar for the UK Government. It has given direction, reminded us of key principles and outlined a new approach to ensure we are fit to respond to emergencies in the 21st Century. The review requires a step change in the way we work, in our humanitarian work and in our development work.
- 2. This response document sets out what that step change will look like. It also sets out the framework for the UK's humanitarian policy going forward. The HERR themes are relevant not just for rapid onset emergencies, but also for our work in protracted conflict and fragile states. The HERR sets out the core principles that will guide all our humanitarian work, and the key policy commitments that will shape our actions in the coming years. Over the next three months we will develop a short policy note that covers all DFID humanitarian action, including protracted emergencies.
- 3. The UK firmly commits to applying the core principles of humanity, impartiality and neutrality to all UK Government humanitarian action, including respect for international humanitarian law. The UK strongly reaffirms its commitment to the European Consensus on humanitarian aid and the UN General Assembly resolution 46/182 on strengthening of the coordination of humanitarian assistance, and the principles and practice of Good Humanitarian Donorship. Together these principles and international commitments will guide our humanitarian work. Common to all of these is the principle that **our humanitarian action will be based on need, and need alone**.
- 4. This key principle has underpinned UK policy towards humanitarian action in recent years. The UK has been a pioneer in the establishment of the expanded UN Central Emergency Response Fund (CERF), and its largest contributor to date. The CERF provides fast and flexible funding to the multi-lateral system, including for forgotten emergencies, but more importantly it provides it on the basis of need, not political interest. The same is true of country-level pooled funds, which the UK Government supports in some of the largest and most protracted humanitarian crises, and of our core funding to multilaterals.
- 5. In line with this approach, the UK will deliver humanitarian assistance in three key modes:
  - Multilaterally, through core, predictable increased support for our humanitarian partners, through mechanisms such as CERF, and through new mechanisms to support non-government organisations (NGOs).
  - In humanitarian emergencies, where there is compelling and overwhelming need, by providing additional funding to the international system where it needs additional resource to save lives, including providing funds to governments and local civil society when appropriate.
  - Where there is comparative advantage, or overwhelming public interest, the UK Government may respond directly.

- 6. In line with the recommendations of the HERR, the UK Government will develop a new and vital component to its humanitarian and development work. We will commit to making resilience a core part of the work of all our country offices, and show international leadership on this important area of work. Being more anticipatory and innovative will be a part of this. In the medium to long term this will result in more lives saved, and faster and more efficient response to major disasters. Crucially, building resilience will also safeguard development gains, and contribute to achieving the Millennium Development Goals in those communities and countries where these targets have been the most challenging.
- 7. We endorse the seven themes of the HERR and have used these to structure our response. We will **honour our international commitments**, we will **champion accountability and transparency in aid** and we will work to **combat the impact of climate change**. We will also **strengthen our focus on women and girls**, amongst the most vulnerable groups that carry much of the burden resulting from emergencies. We will do this in partnership as a network enabler, working with the multilateral system and non-government organisations (NGOs), with established donors and forming relationships with important new donors.
- 8. The challenges highlighted in the HERR will mean a new way of thinking and working for both DFID and the international system. In partnership with others, DFID will work for change. A new way of working will mean countries better able to respond to, and withstand, disasters. It will mean a faster and more professional international response system. And it will mean greater transparency and accountability to the people who receive assistance and those who pay for it. The result of this, implemented properly, will be many thousands of lives saved, and scarce resources better used.

## **Anticipation**

9. The HERR sets out how some disasters can be anticipated and prepared for. It encourages the UK Government and other actors in the sector to use the tools available to improve our understanding of where climate change, seismic activity, seasonal fluctuations and civil conflicts can lead to humanitarian disasters, both rapid onset and chronic. This would enable us to better prepare and to bolster our own and the capacities of partners to respond. The Review suggests that by improving its use of early warning tools, the UK Government will be better able to make early interventions that prevent fragile situations from escalating into humanitarian disasters. We strongly endorse this approach.

- 1. Improve our use of science in both predicting and preparing for disasters, drawing on the Chief Scientific Advisors' network across government. Ensure scientific data on disaster risks is used to inform and prioritise country and regional level work on resilience.
- 2. Work with others to find new ways of acting quickly in 'slow onset' disasters to stop them becoming major emergencies.
- 10. The UK Government will develop better early warning systems through DFID's country programmes, a stronger evidence base to direct its own interventions to prevent and mitigate the impact of disasters, and work to develop better signals for early response. Specifically, we will:
  - Incorporate global risk mapping into existing risk management tools used by senior decision makers in DFID with immediate effect, supported by the Chief Scientist.
  - Work with others to establish a global risk register held by the multilateral system.
  - Develop new and innovative mechanisms for early action interventions in slow onset disasters. For example, livestock purchasing schemes in drought that deliver a fair market price, in turn stopping families becoming destitute. That prevents children becoming severely malnourished, which in turn prevents the need for much bigger and more expensive emergency interventions.

## Resilience

- 11. The Government strongly endorses the emphasis in the HERR on resilience and the need to make resilience a central element of our work. **DFID will take a leadership role in this important new area of work**, developing the ideas in the HERR into practical action and committing resources to its implementation. It requires us to analyse global, regional, national and local resource stress and make sure our investments do not increase vulnerability. This will require a **step change in DFID's development work**.
- 12. Resilience is a new area for DFID, although much of what we do already is likely to feature in this new agenda. Practically it is likely to involve:
  - Economic resilience: from macro policy that ensures economies can withstand shocks, to livelihoods work that helps communities and households survive famines and disasters.
  - Physical resilience: including vital infrastructure such as hospitals and community infrastructure such as dams.
  - Social resilience: including institutions in fragile contexts, building on the governance work that DFID has historically done.
  - Environmental resilience: ensuring that our development work does not exacerbate natural hazards or reduce people's ability to cope.
  - National resilience: helping governments and civil society prepare for and respond to disasters through training and equipping the relevant institutions.
- 13. The new resilience agenda will draw upon the skills, resources and ongoing work of different parts of DFID. Our climate change teams are the furthest advanced in understanding resilience, and we will draw on their work. Our new growth and resilience team will make a better analysis of the effects of various types of economic growth, and the best pathways for growth that mitigates risks. We will determine how to promote resilience to shocks and disasters. This will mean increased investment in longer term resilience-building such as social protection, livelihoods promotion, risk financing and insurance mechanisms and encouraging private investment strategies that provide sustainable long term growth. We must create social and economic opportunities that enable people and communities to build their own resilience. All of this and more will be needed to put resilience at the heart of our development work.
- 14. Resilience building will also be vital to our work in fragile states. The HERR notes that much of what is called humanitarian aid in fragile and failing states is substitution service delivery. Increasing our understanding of how to support weak institutions and ensure life saving services are maintained will be critical as our focus on fragile states increases.

#### **Key policy commitments**

- 3. Make building resilience a core part of DFID's approach in all of the countries where we work.
- 4. Integrate resilience and disaster risk reduction into our work on climate change.
- 5. Improve the coherence of and links between our development and humanitarian responses in fragile and conflict-affected situations.

- Make resilience work a core part of what DFID does in all its country programmes. Invest resources directly to build stronger resilience in priority countries where DFID is well placed to do so. The first round of countries will be Ethiopia, Kenya, Malawi, Mozambique, Bangladesh and Nepal. Work to ensure that others lead to improve resilience in other priority countries including Pakistan, Niger, Chad, South Sudan, Zimbabwe, and Burma. This will be both direct through DFID bilateral programme work, and through work with our partners. Resilience will be embedded in all DFID country programmes by 2015.
- Champion the development of **regional resilience plans** where appropriate and with those best placed to do so (particularly in the multilateral system), starting with the Sahel and the Caribbean.
- Play a leadership role in developing and delivering the concept of resilience internationally.
- Increase our funding to the World Bank's Global Fund for Disaster Risk Reduction (GFDRR) in order to increase support to national governments, disaster management agencies and development strategies.
- Consider increases in funding and support to NGOs, the Red Cross and the UN system to work on resilience.
- Ensure that our humanitarian and development investments are better linked in fragile and conflict-affected situations, helping communities to increase their resilience to threats to their lives and livelihoods.

## Leadership

- 16. The Government welcomes the HERR's emphasis on the need for continued and substantial reform of the international humanitarian system. We recognise the central role of the UN, and agree that there is great potential to play a catalytic role through partnerships with other donors and by supporting efforts for reform from within the UN. We welcome the UN Secretary General's inclusion of emergency humanitarian response in the UN list of top priorities.
- 17. The HERR identifies the need for better strategic and operational leadership to deliver better response. The Government is committed to strengthening international leadership, but we do not think a high level panel is the best mechanism for delivering this. Rather we should support the process put in place by the Emergency Relief Coordinator (ERC) Baroness Amos to improve leadership and accountability. The heads of the UN humanitarian agencies through the Inter-Agency Standing Committee (IASC) have backed the ERC in these efforts, many of which are the same as the HERR recommendations. The Government will support the ERC and the IASC in this work.

- 6. The Government will work with other donors to support the Inter-Agency Standing Committee (IASC) and the Emergency Relief Coordinator (ERC) in their efforts to improve humanitarian leadership at the strategic and operational levels.
- 7. The Government will work with partners to improve skills and professionalism across the humanitarian sector.
- 18. In coordination with the UK Mission to the UN and with alliances of other donors, we will:
  - Take on the "championing" role of this reform agenda as suggested by the HERR, working carefully through alliances (with emerging powers, Governments of affected or at-risk countries, NGOs, as well as traditional donors).
  - Work with the UN Secretary General, the ERC, the United Nations
    Development Programme (UNDP) Administrator and heads of
    humanitarian agencies to bring about reforms to strategic and
    operational leadership (especially the Humanitarian Coordinator and
    cluster level). Support the IASC in its efforts in the same area following
    their February 2011 retreat.
  - Work with the European Community Humanitarian Office (ECHO) and others to establish a high level/ Ministerial donor-IASC dialogue.

## **Innovation**

- 19. We strongly endorse the priority the HERR gives to strengthening the use of innovation in dealing with and preparing for humanitarian emergencies. DFID is already investing in a Humanitarian Innovation Fund, but this is not enough. Given the increasing scale and severity of humanitarian crises, the international system will need to embrace innovation and apply new ways of working if it is to remain fit-for-purpose, and to capture the lessons from the multiple innovations which already occur in humanitarian emergencies. We are committed to supporting innovation and the scaling-up and strengthening of humanitarian response.
- 20. The HERR raises some interesting and exciting ideas around specific technologies. DFID will undertake its own analysis of humanitarian innovation to establish where the gaps are, and what others are doing (for instance the US is investing in mobile technologies). DFID will seek to add value and to support crucial and underfunded areas of innovation.

#### **Key policy commitments**

- 8. Make humanitarian research and innovation a core part of DFID research and evidence work.
- 9. Use innovative techniques and technologies more routinely in humanitarian response (for instance, cash transfers).

- Establish a 'virtual' humanitarian research and innovations team, under the direction of DFID's Chief Scientific adviser, that draws on all relevant professions (not just humanitarian), and appoint a senior research fellow to lead the team.
- The team will review existing innovative approaches and identify gaps in the humanitarian and resilience knowledge-base, establishing a budget on this basis in the next six months.

## Accountability and Impact

22. The Government strongly endorses the HERR's focus on accountability to affected populations and British taxpayers. The HERR provides evidence that the impact of disasters is borne disproportionately by vulnerable groups, particularly women and girls. We must be accountable to these groups. The Government strongly agrees with the HERR that better needs and impact assessments are vital to improving humanitarian action.

- 10. Make beneficiary accountability a core element of DFID's humanitarian work.
- 11. Invest more in measuring the UK Government's impact and the impact of partners.
- 23. The Government is leading by example with the Aid Transparency Guarantee and our work on the International Aid Transparency Initiative. Our broad aim is to improve the accessibility of information for aid beneficiaries, encourage their feedback and strengthen their role in evaluations. We have also established an Independent Commission on Aid Impact.
- 24. In particular, we will:
  - Insist on "real time, real accountability" from our partners and work with them to make this happen.
  - Place greater emphasis on accountability to beneficiary views in DFID funding decisions.
  - Work with others to establish a single set of common accountability standards, which require participation of the most vulnerable groups (women, children, old people and disabled people) in all stages of the programme cycle.
  - Put effort and funding into more routine and rigorous assessment of impact, including assessment of the impact of the system response as a whole, and better needs assessment.
  - Build into evaluation and impact assessment explicit attention to the needs of different vulnerable groups, particularly women and girls.

## Partnership

25. The Government strongly endorses the HERR recommendations on partnership. With the nature and scale of humanitarian disasters changing and the increased need for resilience and disaster mitigation, strong partnerships, including with the UN, the Red Cross/Red Crescent movement, NGOs, faith groups and key governments will be essential for effective and appropriate humanitarian responses. The UK Government needs to be a network enabler that supports greater partnerships within the humanitarian sector. We agree that the UN has a central leadership role in the international humanitarian system.

#### **Key policy commitment**

12. Continue to maintain a strong multilateral approach and encourage others to do likewise.

#### 26. In particular we must:

- **Engage more strategically with ECHO** at a policy and operational level, particularly in areas such as accountability, innovation, donor coordination, UN reform and resilience.
- Initiate bilateral discussions with Brazil, China and the Gulf States to broaden political commitment to an effective humanitarian system based on humanitarian principles. Look to expand this to include India, Russia and others where appropriate.
- Work to maximise the potential of the Good Humanitarian Donorship (GHD) group, including its role in improving donor co-ordination on system-wide reform and during large-scale responses. Encourage other donors to contribute generously to humanitarian work through our catalytic role and develop an action plan that sets out our approach.
- Work to find new ways to engage with the private sector and to bring their skills and expertise into humanitarian action, especially in areas where they have comparative advantage such as urban crises.
- Increase our policy dialogue with key non-government organisations (NGOs), faith and Diaspora groups on UN reform and improving humanitarian response generally.
- Actively encourage and support NGO leadership to solve the coordination problems posed by huge numbers of them attending disasters.

## **Humanitarian Space**

- 27. The UK Government strongly agrees with the review's finding that humanitarian space needs to be protected and expanded, including in fragile and conflict-affected states. Humanitarian access is fundamental to ensuring those affected by disasters are assisted and protected, and has become increasingly challenging. This can also be the case following natural disasters, particularly where governments limit access, and new and innovative ways of securing access are increasingly needed.
- 28. We fully endorse the view that improving the protection of civilians in crises is paramount and share the concern that civilians' access to humanitarian aid is too often restricted. Protecting civilians is at the core of the UK's policies to prevent, manage and resolve conflict. The UK has a particular role to play not only as a humanitarian donor but also as a permanent member of the Security Council, as a party to international humanitarian law (IHL), as a provider of international military forces and as a trainer or financial supporter of foreign peacekeepers. Attaining this objective requires consistent efforts and concerted action along diplomatic, legal, humanitarian, development and military tracks, bringing together those different strands of work to better protect civilians in armed conflict.

- 13. The UK will ensure that its humanitarian aid is delivered on the basis of need alone, and on the basis of humanity, impartiality, neutrality and independence in accordance with its key international commitments. We will maintain a principled, non-politicised approach to humanitarian aid.
- 29. In crises, women and girls are at increased risk of violence. As part of the Government's Strategy to end Violence Against Women and Girls (VAWG) we are committed to ensure that UK humanitarian aid prevents and responds to violence against women and girls.
- 30. In particular we will:
  - Continue to be a major donor to the CERF and ECHO and other UN agencies in order to address forgotten emergencies, and cover disasters where UK is not active.
  - Ensure UK humanitarian aid is guided by the humanitarian principles of: humanity, the imperative of saving human lives and alleviating suffering wherever it is found; impartiality, acting solely on the basis of need; neutrality, humanitarian aid should not favour any side in a conflict and independence; humanitarian action is autonomous from political, security, economic or other objectives.

- Continue to allocate funding according to need and on the basis of needs assessments.
- Consider all the instruments the UK Government has available for securing protection of civilians and humanitarian access and work with the UN Office for the Coordination of Humanitarian Affairs (OCHA), the International Committee of the Red Cross (ICRC), the UN refugee agency (UNHCR) and NGOs on how best to deploy these.
- Task the new Senior Research Fellow to look at innovative measures for securing humanitarian access.
- Allocate proportionate funds in the most volatile situations to security
  management costs and ensure partners undertake proper risk
  assessments and put in place security risk mitigation measures.

# Delivering Transformational Change in DFID

31. The HERR is an important guiding framework for the UK Government's future humanitarian action. Despite the fact that it did not look at the entire humanitarian portfolio, the UK Government believes that the themes identified are sufficiently important and universal to serve as policy direction for all the UK's humanitarian work. Whilst some further work will be needed in the areas relating to protracted conflict and fragile states such as the protection of civilians, the direction toward more predictable and flexible financing, maintenance of key principles and a strong emphasis on impact and accountability will underpin the UK's approach. As will the need to build resilience where appropriate and feasible.

#### **Key policy commitment**

14. The UK Government will use this document to frame its new humanitarian policy, using its key commitments to guide our humanitarian and resilience work.

- Develop a short new humanitarian policy note, incorporating the key commitments from this response document and further analysis looking at aspects of protracted, or slow-onset, crisis not covered by the HERR themes.
- 33. The UK Government agrees we must change the way we fund the system. Incentives need to be set so that each implementing partner and the system as a whole become more effective and efficient in delivering humanitarian aid. Predictable funding will be a part of this, as will flexible and fast funding during the critical period.

#### **Key policy commitments**

- 15. Improve the way we fund our partners increasing predictable funding so that they are better equipped to respond, and ensure that during the critical period funding is fast and efficient.
- 16. In line with the findings of the MAR and the HERR, make funding conditional on demonstrating:
  - Accountability to beneficiaries, and transparency.
  - A focus on results, with emphasis on the outcomes and the impact of a response for the affected population.
  - A discernible improvement in strategic and operational leadership, and skills.

- Provide a significant increase over the next four years as core funding to multilateral humanitarian agencies. This will improve predictability. Funding will be linked to MAR reform priorities and will be subject to review after two years. Improving country level performance that demonstrates progress against identified MAR reform priorities will be key.
- Provide more predictable funding linked to performance to pooled funds at the global, regional and country level as part of our commitment to needs based funding, including to 'forgotten' emergencies.
- Establish a new mechanism to partner with the strongest performing British NGOs to improve the timeliness and quality of responses to humanitarian crises through competition and linked to performance.
- Establish a new facility to provide rapid mobilisation funding in the first 72 hours following a crisis to NGOs using pre-qualification to streamline decision making.
- Explore with others the benefits of devising **new funding mechanisms for protracted crisis** including funding of affected governments.
- Continue to deploy humanitarian experts into the multilateral system as 'surge capacity', expanding this through partners to help mobilise clusters.

- 35. The UK Government does not agree with the proposed need for a standing cross-government emergency mechanism for mega disasters that is linked to the National Security Council, as we feel existing structures provide this already and have been thoroughly tested by recent major events. We will however:
  - Find smarter and better ways of working together cross-Whitehall in humanitarian emergencies. This will result in the development of a set of standard operating procedures for this approach.
- 36. To achieve the changes envisaged in the HERR and set out in this response, DFID will change the way it is structured and resourced.

#### **Key policy commitment**

17. We will substantially increase our capacity to deliver humanitarian assistance and better integrate this work into the core of DFID.

- Designate a Director General as a humanitarian and resilience champion within the organisation.
- Substantially expand our humanitarian cadre, enhance its skill-set, and ensure the cadre benefits from sufficient leadership to help this transition and ensure our skills remain world-leading, and pursue skills development in humanitarian and resilience in other cadres.
- Continue with the system of Senior Response Officers (SRO) ensuring that the right level of management leads individual responses, with large-scale emergencies led from London managed by our Conflict Humanitarian and Security Department (CHASE).
- Train DFID senior managers and UK ambassadors in countries affected or at risk of emergencies in the essentials of resilience and humanitarian response.
- **Retain and expand an operations team** that mobilises DFID's response. Ensure the new tender separates policy and management from contracted surge capability for delivery.
- **Develop and deploy niche capabilities**, focusing on UK added value, and widen the 'tools' in our direct response 'toolbox' to:
  - **retain the capability to deploy search and rescue,** but limit this to where we can genuinely add value; and
  - complement this with other key areas of UK excellence such as surgical or scientific capability.

- 38. The UK Government endorses the HERR's analysis of results and Value for Money (VfM) in sudden onset disasters. To deliver the maximum benefit to recipients in a way that is efficient and effective for the UK taxpayer the Government will:
  - Work through governing bodies of humanitarian agencies to strengthen agencies' reporting on results and ensure that the whole of the results chain is reported on from inputs, through outputs, to outcomes.
  - Devise standardised and disaggregated results frameworks for our partners to report against and work with other donors to promote standardisation across the system.
  - Use the information collected in responses, from research and from working with other donors, to build up a library of results and costs to improve the evidence base for decision making.
  - Commission a study that looks into how UK funding impacts on the **humanitarian supply chain.** We will then work with others to improve performance.
  - Determine a procedure for demonstrating the cost effectiveness of humanitarian action.
- 39. The Government fully endorses the HERR's findings and recommendations on communications to the UK public. We have an obligation to explain how our actions are making a difference to those in most need as part of our ongoing commitment to transparency. In particular, we will:
  - Continue to work creatively through online channels to show the impact of our response.
  - Prepare and deploy specialist communications staff, alongside a humanitarian response team.
  - Ensure heads of office, ambassadors and response staff are appropriately trained and mandated to speak to media on the ground in humanitarian emergencies to ensure the UK public get information on how their resources are being used.

## Conclusion

- 40. This document provides the UK Government with a framework for change, which we will implement over the coming four years. This is a challenging agenda and it is clear that the UK alone will not be able to fully deliver all commitments presented here. Improving the international system, particularly UN leadership (both at Resident Coordinator/Humanitarian Coordinator (RC/HC) level and sectoral coordination) will be central to delivering the step change we need. The Inter Agency Standing Committee (IASC) has an important role to play and donors need to develop more consistent messaging and support for reform: OCHA, UNDP and Cluster Lead Agencies must improve their leadership of the system, but can only do this if the rest of the international community rallies behind them, providing the support they will need.
- 41. Other key challenges include learning more from responses and scaling up innovation, developing one set of accountability standards internationally that require participation from beneficiaries, and bringing private sector skills to help address particular challenges of 21st century response.
- 42. There will also be challenges for the UK Government. We will embed resilience work across DFID and improve the links between our development programming and humanitarian action. We need clear roles and responsibilities for all UK Government departments and commonly accepted criteria to initiate a UK response.
- 43. Providing increased funding for the system also presents challenges, not least because we must both maximise the Value for Money for the British taxpayer from these resources and demonstrate clearly the results we achieve.
- 44. Humanitarian action is by its nature often in the most challenging and dangerous places we work. Whilst protecting civilians caught up in violence and conflict we must also improve the security of our aid workers.
- 45. This is an ambitious agenda, but also an urgent one. The UK Government will implement the changes envisaged by the HERR over the next four years, starting immediately. We will invite the International Development Committee to review progress against commitments in this response in a year's time.
- 46. Finally, we would like to thank all those who took the time to provide valuable contributions to the HERR and to this Government response.

# ANNEX: UK Government Response to the HERR Recommendations

HE	RR Recommendations	Accepted/ Rejected	UK Government Response	
Ar	nticipation			
Key	policy commitments			
:	scientific data on disaster risks is used to inform and prioritise country and regional level work on resilience.			
1	Assemble and regularly update a global risk register for DFID using information gained from its country teams and international organisations.	Accepted	Incorporate global risk mapping into existing risk management tools used by senior decision makers in DFID with immediate effect, supported by the Chief Scientist.	
2	Make better use of the DFID Chief Scientist to support UK science in anticipating crises.	Partly accepted	The DFID Chief Scientist will work with the network of Chief Scientific Advisors across government, drawing on UK science to support in the anticipation of crises.	
3	Make this available as a contribution to pre-crisis arrangements across the system.	Accepted	Work with others to establish a global risk register held by the multilateral system.	

#### **Additional actions**

Develop new and innovative funding mechanisms for early action interventions in slow onset disasters. For example livestock purchasing schemes in drought that deliver a fair market price, in turn stopping families becoming destitute. That prevents children becoming severely malnourished, which in turn prevents the need for much bigger and more expensive emergency interventions

HERR Recommendations	Accepted/	UK Government Response
	Reiected	

### Resilience

- 3. Make building resilience a core part of DFID's approach in all of the countries where we work.
- **4.** Integrate resilience and disaster risk reduction into our work on climate change.
- 5. Improve the coherence of and links between our development and humanitarian responses in fragile and conflict-affected situations.

4	Ensure that building resilience is part of the core DFID programme in at risk countries, integrating the threat from climate change and other potential hazards into disaster risk reduction. Country offices should undertake contingency planning.	Accepted	Make resilience work a core part of what DFID does in all its country programmes. Invest resources directly to build stronger resilience in priority countries where DFID is well placed to do so. The first round of countries will be Ethiopia, Kenya, Malawi, Mozambique, Bangladesh and Nepal. Work to ensure that others lead to improve resilience in other priority countries including Pakistan, Niger, Chad, South Sudan, Zimbabwe, and Burma. This will be both direct through DFID bilateral programme work, and through work with our partners. Resilience will be embedded in all DFID country programmes by 2015.
5	Promote national response capacities of both governments and civil society in at risk countries including:		
	The development of national resilience strategies.	Accepted	Through our bilateral programmes in priority countries we will work with governments on national resilience strategies.  Increase our funding to the World Bank's Global Fund for Disaster Risk Reduction (GFDRR) in order to increase support to national governments, disaster management agencies and development strategies
	The establishment of direct funding mechanisms.	Accepted	We will explore modalities for direct government funding in our priority countries where the requisite fiduciary guarantees can be secured. We will explore the use of multi-donor trust funds such as the GFDRR.

HE	RR Recommendations	Accepted/ Rejected	UK Government Response
	Regional response mechanisms where they add value.	Accepted	Champion the development of regional resilience plans where appropriate and with those best placed to do so (particularly in the multilateral system), starting with the Caribbean and the Sahel.
	Through civil society organisations such as Red Cross and Crescent Societies.	Accepted	Consider increases in funding and support to NGOs, Red Cross and UN system to work on resilience.
	National and local private sector companies, which are able at the country level to support entrepreneurial, and market solutions, which will increase in resilience and improve disaster response.	Accepted	Use cash based responses more routinely in our humanitarian response as a way of empowering those affected and stimulating local enterprise.  Ensure that our resilience strategies consider the role of the private sector.

#### **Additional actions**

Play a leadership role in developing and delivering the concept of resilience internationally.

Ensure that our humanitarian and development investments are more linked in fragile and conflict-affected situations, helping communities to increase their resilience to threats to their lives and livelihoods.

## Leadership

- **6.** The Government will work with other donors to support the Inter-Agency Standing Committee (IASC) and the Emergency Relief Coordinator (ERC) in their efforts to improve humanitarian leadership at the strategic and operational levels.
- 7. The Government will work with partners to improve skills and professionalism across the humanitarian sector.
- Build coalitions to drive forward humanitarian reform based on improving leadership, including;

HE	RR Recommendations	Accepted/ Rejected	UK Government Response
	Rapid deployment of experienced leadership teams in big crises. This should include a 'step aside' system to ensure the best leadership is in place at both the strategic and operational level.	Accepted	Take on the "championing" role on this reform agenda as suggested by the HERR, working carefully through alliances (with emerging powers, Governments of affected or at-risk countries, NGOs, as well as traditional donors).
	Encourage the convening of a UN High Level Panel to look at ways of improving the international humanitarian system to face future challenges.	Rejected	Work with the UN Secretary General, the ERC, the UNDP Administrator and heads of humanitarian agencies to bring about reforms to strategic and operational leadership (especially RC/HC and cluster level). Support the IASC in its efforts in the same area following their February retreat.
	Work closely with UK missions to build coalitions for reform of the international system, including more coherent use of UN executive board positions.	Accepted	
	Work with the UN to create a new cadre of humanitarian leaders and the talent management systems and terms and conditions to sustain this.	Accepted	
	Work with other donors and the UN to resolve some of the deficiencies in management, prioritisation and planning. This must include the right support staff available for rapid deployment.	Accepted	
	Work with other donors and the UN to strengthen and provide better leadership of the cluster system.	Accepted	
7	DFID should make a sustained effort to improve skills in the humanitarian sector. This should include;		
	Work to create a set of standards for humanitarian leadership.	Partly accepted	We are already doing this with NGOs with the UN system.

HE	ERR Recommendations	Accepted/ Rejected	UK Government Response
	Training within DFID, aid agencies and governments and civil society in disaster prone countries.	Accepted	Train DFID senior managers and UK ambassadors in countries affected or at risk of emergencies in the essentials of resilience and humanitarian response.  Resilience work in priority countries will include training for national government staff and civil society where appropriate.
	Ensuring pre-qualified partners demonstrate adequate investment in skills development	Accepted	Incorporate this as criteria for consideration in pre-qualification process.

#### **Additional actions**

Work with ECHO and others to establish a high level/ Ministerial donor-IASC dialogue, rather than a UN high level panel.

### **Innovation**

- **8.** Make humanitarian research and innovation a core part of DFID research and evidence work.
- 9. Use innovative techniques and technologies more routinely in humanitarian response work (for instance, cash transfers).

8	Nurture innovation and its application in dealing with and preparing for humanitarian emergencies, including through partnership with operational agencies, private sector, technological innovators and science and research communities.	Accepted	Establish a humanitarian research and innovations team 'virtually' under the direction of DFID's Chief Scientific adviser, that draws on all relevant professions (not just humanitarian), and appoint a senior research fellow to lead the team.  The team will review existing innovative approaches and identify gaps in
9	Appoint a Humanitarian Senior Research Fellow, reporting to the Chief Scientific Officer with a dedicated budget tasked with developing evidence and innovation.	Accepted	the humanitarian and resilience knowledge-base, establishing a budget on this basis in the next six months.

HE	RR Recommendations	Accepted/ Rejected	UK Government Response
10	Invest in three key technologies; mobile technologies, satellites and data management and display.	as outlined above, we will use the new human team to analyse gaps in the sector (including team).	DFID will not immediately follow these recommendations. Instead, as outlined above, we will use the new humanitarian innovations
11	Support exploration of emerging and cutting-edge technologies such as nanotechnology, and new computer modelling approaches.		recommendations 10 and 11) and prioritise work accordingly.
12	Work with partners to ensure cash based responses are given full consideration and where appropriate become much more widely adopted.	Accepted	Routinely consider cash based responses in our humanitarian response.

## **Accountability**

- **10.** Make beneficiary accountability a core element of DFID's humanitarian work.
- 11. Invest more in measuring the UK Government's impact and the impact of partners.

13	Promote and support mechanisms to give recipients of aid a greater voice.	Accepted	Insist on "real time, real accountability" from our partners. Work with them to make this happen.  Build into evaluation and impact assessment explicit attention to the needs of different vulnerable groups, particularly women and girls.
14	Promote the development of robust impact and needs assessments.	Accepted	Put effort and funding into more routine and rigorous assessment of impact, including assessment of the impact of the system response as a whole, and better needs assessment.

HE	RR Recommendations	Accepted/ Rejected	UK Government Response
15	Work with others to create an over-arching set of standards to assess beneficiary accountability.	Accepted	Work with others to establish a single set of common accountability standards, which require participation of the most vulnerable groups (women, children, old people and disabled people) in all stages of the
16	Encourage the spread of best practice in this area.	Accepted	programme cycle.
17	Give greater emphasis to beneficiary accountability factors when making funding decisions.	Accepted	Place greater emphasis on accountability to beneficiary views in DFID funding decisions.

## **Partnership**

#### **Key policy commitment**

12. Continue to maintain a strong multilateral approach and encourage others to do likewise

18	Reach out to create new partnerships with new donor partners (in particular China, India, Brazil and the Gulf States).	Accepted	Initiate bilateral discussion with Brazil, China and the Gulf States to broaden political commitment to an effective humanitarian system based on humanitarian principles. Look to expand this to include India, Russia and others where appropriate.
19	Maintain its default position that humanitarian response is multilateral. In particular it should:		
	Engage more effectively with ECHO on a policy level, and explore the possibility of co-financing.	Accepted	Engage more effectively with ECHO at a policy and operational level, particularly in areas such as accountability, innovation, donor coordination, UN reform and resilience.
	Work with others to support the UN Emergency Relief Coordinator (ERC) in the reform of OCHA and the system more widely.	Accepted	Work with the ERC, International Agency Standing Committee (IASC) and other donors to pursue reform (as above).

HERR Recommendations		Accepted/ Rejected	UK Government Response
20	Work with partners to promote donor coordination and revitalise the Good Humanitarian Donor-ship group.	Accepted	Work with other UK government departments and donors to revitalise the Good Humanitarian Donorship (GHD) group, including its role in improving donor co-ordination on system-wide reform and during large-scale responses. Encourage other donors to contribute generously to humanitarian work through our catalytic role and develop an action plan that sets out our approach.
21	Ensure that the new Private Sector Department gives full consideration to those areas where private sector expertise can improve humanitarian response effectiveness, including at the country level.	Accepted	Work to find new ways to engage with the private sector and to bring their skills and expertise into humanitarian action, especially in areas where they have comparative advantage such as urban crises.
22	Use military assets in situations where they are consistent with Oslo guidelines and offer capacity others cannot, or provide better value for money than commercial alternatives.	Accepted	Ensure the use of military assets is consistent with Oslo guidelines and offers capacity others cannot, or provide better value for money than commercial alternatives.
23	Work with NGOs to promote the concept of accreditation or certification.	Partly accepted	Actively support NGO leadership to solve the problems caused by huge numbers of them attending disasters.

#### **Additional actions**

Increase UK Government policy dialogue with key non-government organisations (NGOs), faith and Diaspora groups on UN reform and improving humanitarian response generally.

	Accepted/ Rejected	UK Government Response
H an ita via a an a a		

#### **Humanitarian space**

#### **Key policy commitment**

13. The UK will ensure that its humanitarian aid is delivered on the basis of need alone, and on the basis of humanity, impartiality, neutrality and independence in accordance with its key international commitments. We will maintain a principled, non-politicised approach to humanitarian aid.

24	Re-assert the premise that humanitarian action should be based on need, reaffirming the key principles of humanity, neutrality and impartiality in the new DFID humanitarian policy.	Accepted	Ensure UK humanitarian aid is guided by the humanitarian principles of: humanity, the imperative of saving human lives and alleviating suffering wherever it is found; impartiality, acting solely on the basis of need; neutrality, humanitarian aid should not favour any side in a conflict and independence; humanitarian is autonomous from political, security, economic or other objectives.
25	Ensure funding is made available for security and risk management for humanitarian workers.	Accepted	Allocate proportionate funds in the most volatile situations to security management costs and ensure partners undertake proper risk assessments and put in place security risk mitigation measures.

#### **Additional actions**

Continue to allocate funding according to need and on the basis of needs assessments.

Continue to be a major donor to the CERF, to ECHO and other UN agencies in order to address forgotten emergencies, and cover disasters where UK is not active.

Consider all the instruments the UK government has available for securing the protection of civilians and humanitarian access and work with OCHA, ICRC, UNHCR and NGOs on how best to deploy these.

Task the new Senior Research Fellow to look at innovative measures for securing humanitarian access.

HERR Recommendations	Accepted/ Rejected	UK Government Response
Changing the policy		
Key policy commitment		

14. The UK Government will use this document to frame its new humanitarian policy, using its key commitments to guide our humanitarian and resilience work.

26	Incorporate resilience into its development policy and programmes.	Accepted	Make building resilience a core part of DFID development work in 'at risk' countries.
27	Develop a new humanitarian policy setting out why the UK responds, where, when and how. The policy should build on the review themes of anticipation, resilience, leadership, innovation, accountability, partnership and humanitarian space.	Accepted	Develop a short new humanitarian policy note, incorporating the key commitments from this response document and further analysis looking at aspects of protracted, or slow onset, crisis conflict not covered by the HERR themes.

## **Delivering differently**

- **15.** Improve the way we fund our partners increasing predictable funding so that they are better equipped to respond, and ensure that during the critical period funding is fast and efficient.
- **16.** In line with the findings of the MAR and the HERR, make funding conditional on demonstrating:
  - Accountability to beneficiaries, and transparency
  - A focus on results, with emphasis on the outcomes and the impact of a response for the affected population.
  - A discernible improvement in strategic and operational leadership, and skills.
- Change the funding model to achieve greater preparedness, pre-crisis arrangements, capacity, performance and coherence by:

  Accepted Improve the way we fund our partners increasing predictable funding so that they are better equipped to respond, and ensure that during the critical period funding is fast and efficient.

HERR Recommendations		Accepted/ Rejected	UK Government Response
	<ul> <li>Increasing predictable multi-year funding linked to performance to major UN agencies, the Red Cross Movement and NGOs.</li> </ul>	Partly accepted	Increase core funding to multilateral humanitarian agencies over the next 4 years to improve predictability. Funding will be linked to MAR reform priorities and will be subject to review after two years. Improving country level performance that demonstrates progress against identified MAR reform priorities will be key.  Establish a new mechanism to partner with the strongest performing British NGOs to improve the timeliness and quality of responses to humanitarian crises through competition and linked to performance.
	<ul> <li>Increasing long-term support to international (the CERF) and country level pooled funds and to global, regional and country level NGO consortia, such as the CBHA and WAHRF.</li> </ul>	Partly accepted	Provide more predictable funding linked to performance to pooled funds at the global, regional and country level as part of our commitment to needs based funding, including to 'forgotten' emergencies.
29	Design fast and flexible funding models for emergency responses:		Establish a new facility to provide rapid mobilisation funding in the first 72 hours following a crisis to NGOs using pre-qualification to streamline decision making.
	<ul> <li>Provide fast mobilisation funding in the Critical Period based on pre-qualification rather than speculative proposals. Use the process to reduce bureaucracy in this Critical Period.</li> </ul>	Partly accepted	Explore with others the benefits of devising new funding mechanisms for protracted crisis including funding of affected governments.
	<ul> <li>Ensure recovery and livelihoods funding is considered during and immediately after the Critical Period, rather than later as has traditionally been the case.</li> </ul>	Partly accepted	
	Ensure there is flexibility of funding as fast moving situations change, perhaps by providing it in stages.	Partly accepted	

HERR Recommendations		Accepted/ Rejected	UK Government Response
30	Use all new funding models to enforce standards and link funding to performance through clear impact assessments and reporting. Carry out independent periodic programme audits and after action reviews to inform future funding decisions.	Accepted	<ul> <li>In line with the findings of the MAR and the HERR, make funding conditional on demonstrating:</li> <li>Accountability to beneficiaries and transparency</li> <li>A focus on results, with emphasis on the outcomes and the impact of a response for the affected population.</li> <li>A discernible improvement in strategic and operational leadership, and skills.</li> </ul>
31	Develop and deploy niche capabilities in a more focused way concentrating on those areas where DFID or the UK are able to add value:	Accepted	Develop and deploy niche capabilities, focusing on UK added value, and widen the 'tools' in our direct response 'toolbox' to:  Retain the capability to deploy search and rescue, but limit this to where we can genuinely add value and
	Only use search and rescue in situations where the UK can genuinely add value.	Accepted	Complement this with other key areas of UK government excellence such as surgical or scientific capability.
	Incorporate surgical teams into first phase deployments especially after earthquakes.	Accepted	
	Investigate new forms of niche capabilities that can respond to new types of threats such as nuclear, biological and chemical.	Accepted	
32	Continue and expand the surge of UK contracted personnel into the international system.	Accepted	Continue to deploy humanitarian experts into the multilateral system as 'surge capacity', and expand this through partners to help mobilise clusters rapidly.

HE	RR Recommendations	Accepted/ Rejected	UK Government Response	
33	Convene and lead a standing cross-government emergency mechanism for mega emergencies, using the authority of the National Security Council.	Rejected	The Government does not agree with the proposed need for a standing cross-Government emergency mechanism for mega disasters that is linked to the National Security Council as we feel existing structures provide this already and have been thoroughly tested by recent major events.  We will however find smarter and better ways of working together cross-Whitehall in humanitarian emergencies. This will result in the development of a set of standard operating procedures.	
Changing the structure, shifting resources				
Key	policy commitment			
<b>17.</b> \	We will substantially increase our capacity to deliver humanitaria	in assistance and bet	tter integrate this work into the core of DFID.	
34	Ensure that the structure, funding and human resources for humanitarian work reflects its importance as a central part of DFID work, not least by having a Director General champion this work. Amongst others, this will require	Accepted	Designate a Director General as humanitarian champion within the organisation.	
	Rebalance resources within DFID to meet the challenges	Accepted	Explore this further as we develop the UK Policy note.	

Accepted

Accepted

Substantially expand our humanitarian cadre and enhance its skill-set,

Continue with the system of Senior Response Officers (SRO) ensuring

that the right level of management leads individual responses, with

large-scale emergencies led from London managed by CHASE.

and ensure the cadre benefits from sufficient leadership to help this

transition and ensure our skills remain world-leading.

• Expand the humanitarian cadre, both in London and in

• Ensuring every response to rapid onset humanitarian

need is led by an experienced response manager, with

sufficient delegated authority to ensure swift action.

the field.

HERR Recommendations		Accepted/ Rejected	UK Government Response
	Lead large-scale responses from London, managed by CHASE.	Accepted	Ensure that all large scale responses are led by CHASE from London. Increase DFID surge capacity, including providing 24/7 cover in major emergencies.
35	Redefine the objectives for the contracted response team so that it is solely dedicated to supporting rapid response and pre-crisis arrangements.	Accepted	Retain and expand an operations team that mobilises DFID's response. Ensure the new tender separates policy and management from contracted surge capability for delivery.
Dr	iving results and value for mone	y	
36	Build up a library of results, costs of inputs, outputs and outcomes from different countries and regions and different types of disasters in order to be able to carry out effective unit cost analysis and enable fast evidence based decision-making. Share this where appropriate with other donors.	Accepted	Work through governing and executive boards of humanitarian agencies to strengthen agencies' reporting on results and ensure that the whole of the results chain is reported on from inputs, through outputs to outcomes.
			Devise standardised and disaggregated results frameworks for our partners to report against and work with other donors to promote standardisation across the system.
			Use the information collected in responses, from research and from working with other donors, to build up a library of results and costs to improve the evidence base for decision making.
			Determine a procedure for demonstrating the cost effectiveness of humanitarian action.
37	Encourage the Independent Commission for Aid Impact (ICAI) to examine a range of humanitarian cases and resilience building work.	Accepted	The ICAI is an independent body and therefore DFID is not able to influence the way it works. We do however, think it would be excellent if the ICAI could at some stage examine humanitarian aid and understand their work programme this year will review at least 1 humanitarian response.

HE	RR Recommendations	Accepted/ Rejected	UK Government Response
38	Carry out an in-depth study on how DFID's funding impacts on the humanitarian supply chain recognising that the supply chain is a major cost driver in sudden-onset responses. Work with other donors, the private sector and implementing partners to align supply chain practices.	Accepted	Commission a study that looks into how DFID funding impacts on the humanitarian supply chain. We will then work with others to improve performance.
Ge	etting the message out		
39	Prioritise communications as a key factor in the UK's emergency response, and resource it accordingly.		
	Make DFID's humanitarian and emergency response work permanently more visible through DFID's website – in addition to features on specific responses.	Accepted	Continue to work creatively through on-line channels which provide the most appropriate and cost effective way to show the impact of our response;
	Embed communications at the policy and operations level from the beginning of a response.	Accepted	Prepare and deploy specialist communications staff, alongside a humanitarian response team.
	Communications staff, and/or the team leader trained in communications should be supported to speak publicly on DFID's behalf.	Accepted	Ensure heads of office, British Ambassadors and response staff are appropriately trained and mandated to speak to media on the ground in the event of a humanitarian emergency to ensure the UK public get information on how their resources are being used.
	Make better use of faith based and diaspora partners.	Accepted	We will work more closely with our partners to ensure the British public receive the most accurate account of UK humanitarian assistance.
	Work more closely with funded partners on communications – to agree a consistent narrative and share channels. These relationships need to be developed in advance of an emergency response.		receive the most accurate account of OK numanitarian assistance.
40	Request the International Development Select Committee to scrutinise progress on the implementation of these findings one year on from the launch of this report.	Accepted	We will invite the International Development Committee to review progress against commitments in this response in a year's time.

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