

**Independent Commission for Aid Impact (ICAI)**  
**DFID's Humanitarian Emergency Response in the Horn of Africa**  
**Inception report**

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## 1. Introduction

- 1.1. The Independent Commission for Aid Impact (ICAI) is the independent body responsible for scrutinising UK aid. We focus on maximising the effectiveness of the UK aid budget for intended beneficiaries and on delivering value for money for UK taxpayers. We carry out independent reviews of aid programmes and of issues affecting the delivery of UK aid. We publish transparent, impartial and objective reports to provide evidence and clear recommendations to support UK Government decision-making and to strengthen the accountability of the aid programme. Our reports are written to be accessible to a general readership and we use a simple 'traffic light' system to report our judgement on each programme or topic we review.
- 1.2. We will assess DFID's humanitarian emergency response efforts in the Horn of Africa since October 2010. This Inception Report builds on the Terms of Reference to outline the purpose of the investigation and identifies the detailed areas of assessment. The methodology and work plan are flexible enough to allow for new issues and questions that emerge over the course of the review. Furthermore, our assessment will take into account the challenging circumstances in which humanitarian emergency aid is delivered

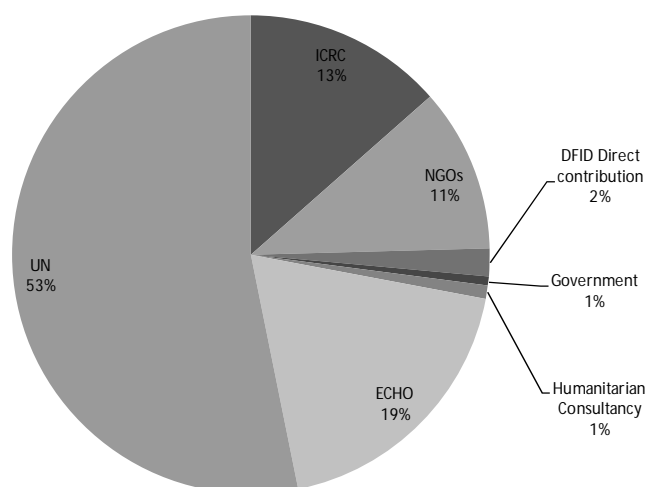
## 2. Background

- 2.1. Humanitarian emergency response is one of the major priorities for UK assistance, an area in which the UK is a leading donor country. In 2009-10, DFID spent 8% of its budget (£528 million) on humanitarian assistance. Most of DFID's expenditure is made through partners, encouraging a multilateral approach. DFID channels 86% of its expenditure through a combination of the United Nations (UN), the European Commission's Humanitarian Office (ECHO) and the International Committee of the Red Cross and Red Crescent (ICRC). The remainder is channelled through non-governmental organisations (NGOs) and governments or spent on DFID's own staff and consultants. Figure 1 shows the split between these funding streams.
- 2.2. DFID's top ten humanitarian interventions in 2009-10 by expenditure, where it spent a total of approximately £230 million in humanitarian assistance, were in Sudan, the Democratic Republic of Congo, Ethiopia, Somalia, Zimbabwe, West Africa, Pakistan, Haiti, the Occupied Palestinian Territories and Sri Lanka. Continuing chronic emergencies meant that many of the same countries from 2008-09 continued to be among the top ten recipients of humanitarian spending in later years. Exceptions were the inclusion of Sri Lanka, West Africa, Haiti and Pakistan due to the respective conflict, food crisis, earthquake and Internally Displaced Persons (IDP) crises.<sup>1</sup>

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<sup>1</sup> *DFID's Expenditure on Humanitarian Assistance 2009/10*, DFID, <http://www.dfid.gov.uk/Documents/publications1/humanitarian-spend-report0910.pdf>.

Figure 1: DFID's humanitarian expenditure by agency type in 2009-10.<sup>2</sup>



2.3. By definition, humanitarian aid is delivered in difficult circumstances. Speed is critical yet delivery channels are often undermined by challenges of poor infrastructure, security and a lack of the rule of law. The UK Government commissioned the Humanitarian Emergency Response Review (HERR) chaired by Lord Ashdown which examined the effectiveness of the UK government's humanitarian interventions.<sup>3</sup> DFID issued a response to the recommendations in the HERR in June 2011 and an updated humanitarian policy in September 2011.<sup>4,5</sup>

#### DFID's humanitarian response in the Horn of Africa

2.4. From 2010-11, DFID focussed increasingly on the humanitarian crisis occurring in the Horn of Africa. This was a slow onset emergency; it built up over time as opposed to a sudden event such as a cyclone or earthquake. The crisis was brought on by a combination of severe drought, conflict and insecurity, governance failures, high food prices and limited humanitarian access. Oxfam and Save the Children estimate that more than 13 million people, most of them women and children, have been affected.<sup>6</sup> In particular, over 260,000 refugees fled Somalia in 2011, putting increasing pressure on neighbouring Kenya and Ethiopia.<sup>7</sup>

2.5. While droughts are not uncommon, it is socio-economic and political factors that generally lead to famine. The crisis in the Horn of Africa was exacerbated by major governance failures. History repeated itself in Somalia where the BBC reported that 'conflict, not drought, is the reason so many Somalis are dying needlessly'.<sup>8</sup> The militant group Al-Shabaab sought to take control of humanitarian supplies in Somalia.<sup>9</sup> Economic drivers can also exacerbate famines, with farmers holding back food while prices rise.<sup>10</sup> In Kenya, there were reports of 'irregular disposal of three million-plus bags of maize from strategic grain reserves and subsidised

<sup>2</sup> Humanitarian Emergency Response Review, March 2011, <http://www.dfid.gov.uk/Documents/publications1/HERR.pdf>.

<sup>3</sup> Humanitarian Emergency Response Review, March 2011, <http://www.dfid.gov.uk/Documents/publications1/HERR.pdf>.

<sup>4</sup> Saving lives, preventing suffering and building resilience: The UK Government's Humanitarian Policy, DFID, September 2011, <http://www.dfid.gov.uk/Documents/publications1/1/The%20UK%20Government's%20Humanitarian%20Policy%20-%20September%202011%20-%20Final.pdf>.

<sup>5</sup> Humanitarian Emergency Response Review: UK Government Response, DFID, June 2011, <http://www.dfid.gov.uk/Documents/publications1/hum-emer-resp-rev-uk-gvmt-resp.pdf>.

<sup>6</sup> A Dangerous Delay: the cost of late response to early warnings in the 2011 drought in the Horn of Africa, Oxfam and Save the Children, 18 January 2012, <http://policy-practice.oxfam.org.uk/publications/a-dangerous-delay-the-cost-of-late-response-to-early-warnings-in-the-2011-droug-203389>.

<sup>7</sup> DFID documentation.

<sup>8</sup> Somalia drought: Tragic history repeats itself, BBC, 10 August 2011, <http://www.bbc.co.uk/news/uk-14481103>.

<sup>9</sup> Somalia: UN strongly condemns seizure of aid agency assets by insurgent group, UN News Centre, 28 November 2011, <http://www.un.org/apps/news/story.asp?NewsID=40539>.

<sup>10</sup> Hard times getting tougher for poor Kenyans, The Standard, 28 May 2011, <http://www.standardmedia.co.ke/InsidePage.php?id=2000036074&cid=4>.

fertiliser that senior ministry officials sold to farmers at exorbitant prices' rather than being distributed on the basis of need as part of the national response.<sup>11</sup>

- 2.6. Even before the UN declared famine in the Horn of Africa, DFID had ongoing humanitarian programmes focussed on vulnerable populations in Somalia and Kenya. In response to the unfolding crisis, DFID scaled up its activity in late 2010 and again in early 2011: some existing programmes were expanded and new programmes have been created. DFID anticipates that large-scale humanitarian needs will remain, especially in Somalia, during 2012.<sup>12</sup>
- 2.7. From October 2010 to March 2012, DFID has spent £200 million on humanitarian assistance in the Horn of Africa: £108 million in Somalia, £63 million in Ethiopia and the remainder in Kenya. This includes:
- multi-sectoral programmes (covering nutrition, food assistance, water, health, protection, shelter and/or livelihoods) currently targeting over 1 million people in Somalia, over 300,000 in drought-affected Kenya and 130,000 refugees in Dadaab, Kenya;
  - World Food Programme food distributions and a third of the funding made available to the UN Humanitarian Response Fund in Ethiopia;
  - support for the UN High Commission on Refugees to provide water and shelter for Somali refugees in Ethiopia and Kenya; and
  - a wide range of policy lobbying and influencing activities with affected states, donors, the international humanitarian response community and the media, in an effort to seek a bigger and more effective international response and to advocate the rights of affected people.
- 2.8. Figure 2 shows how DFID's humanitarian expenditure in the Horn of Africa has been split between Somalia, Kenya and Ethiopia. At this stage, the data received from DFID is aggregated from different years and sectors across humanitarian programmes and is currently not comparable. We plan to receive a further break-down of this data from DFID during the review.

Figure 2: summary of DFID's Horn of Africa aid programmes

Country	Oct 2010-Mar 2011	Financial Year 2011-12
Kenya	£6.5 million	£22.6 million
Somalia	£28.7 million	£79.6 million
Ethiopia	£6.1 million	£57.0 million

### 3. Purpose

- 3.1. To assess the value for money and effectiveness of DFID's humanitarian emergency response in the Horn of Africa, from early warning to the transition to longer-term development.
- 3.2. We will specifically focus on:
- the linkage between early warning, early action and longer-term preventative interventions;
  - how intended beneficiaries' needs were identified and how they were involved in programme design and implementation;
  - the effectiveness of supply chain management to meet these needs ;
  - DFID's role in leadership and co-ordination of aid and evidence of innovation;
  - how DFID has applied learning from previous interventions in the Horn of Africa and other recent interventions; and
  - the extent to which resilience and sustainability are considered and built into the humanitarian response.

<sup>11</sup> Kenya farmers reject famine plan, BBC, 11 January 2006, <http://news.bbc.co.uk/1/hi/world/africa/4602770.stm>.

<sup>12</sup> DFID documentation.

#### 4. Relationships to other initiatives and evaluations

##### *Humanitarian Emergency Response Review (HERR)*<sup>13</sup>

- 4.1. Recommendations in the HERR set out the need to:
  - develop a more **anticipatory** approach to prepare for disasters and conflict;
  - create **resilience** through both longer-term development and emergency response;
  - improve the strategic, political and operational **leadership** of the international humanitarian system;
  - **innovate** to become more efficient and effective;
  - increase transparency and **accountability** towards both donor and host country populations;
  - create new **partnerships** and build and strengthen existing ones; and
  - defend and strengthen the **humanitarian space**.<sup>14</sup>
- 4.2. In terms of meeting the needs of intended beneficiaries, the HERR reported that ‘there is an accountability deficit. The people who are on the receiving end of our assistance are rarely if ever consulted on what they need, or able to choose who helps them or how. This means that gender-based issues and the needs of the vulnerable are too often overlooked. Whilst this has long been recognised as an issue, too little has been done about it.’ In terms of our review, we will consider both whether and how intended beneficiaries have been involved in the design and implementation of programmes. This includes the extent to which DFID includes intended beneficiaries in the delivery of programmes and is accountable to intended beneficiaries.
- 4.3. The HERR also acknowledged the key challenges of logistics and value for money in humanitarian interventions. Speed of response is critical while also adding to the cost of assistance. The review reported that ‘logistics can account for as much as 80 per cent of the effort of humanitarian organisations during a relief operation, the global supply chain warrants special consideration. If DFID wants to improve its ability to respond at the right time for the right price and with the appropriate quality, supply chain management needs to be recognised as an integral part of preparedness and response.’ The review noted a number of examples of poor value for money through procurement errors. It recommended that DFID should ‘encourage the Independent Commission for Aid Impact to examine a range of Humanitarian cases and resilience building work’.

##### *Other initiatives and evaluations*

- 4.4. Regarding the Horn of Africa humanitarian response, in September 2011 the World Bank published a response plan for the drought, which provides an overview of the Bank’s response and how it worked with other key players such as the EU and bilateral donors.<sup>15</sup> In January 2012, Oxfam and Save the Children published a report on the world’s humanitarian response in the Horn of Africa.<sup>16</sup> They found that ‘the scale of death and suffering and the financial cost, could have been reduced if early warning systems had triggered an earlier, more substantial response’. They also reported the disproportionate impact on women who ‘generally eat last and least’. This affects their children’s health and has long-term development implications. Women and girls face even greater risks due to insecurity (DFID’s 2005 study on the impact on women in conflict and post conflict environments highlights how this is exacerbated by forced migration where women are particularly ‘vulnerable to violence and exploitation’).<sup>17</sup>

<sup>13</sup> *Humanitarian Emergency Response Review*, Humanitarian Emergency Response Review, March 2011, <http://www.dfid.gov.uk/Documents/publications1/HERR.pdf>.

<sup>14</sup> Humanitarian space refers to the access and protection of humanitarian workers when providing humanitarian assistance. This requires assistance to be given on the basis of need and need alone in return for access and protection in conflict affected areas. For further information, see Section 4.7 of the *Humanitarian Emergencies Response Review*, <http://www.dfid.gov.uk/Documents/publications1/HERR.pdf>.

<sup>15</sup> *Response Plan: Drought in the Horn of Africa*, World Bank, September 2011, [http://siteresources.worldbank.org/INTAFRICA/Resources/Drought\\_in\\_the\\_Horn\\_of\\_Africa\\_7.28.2011.pdf](http://siteresources.worldbank.org/INTAFRICA/Resources/Drought_in_the_Horn_of_Africa_7.28.2011.pdf).

<sup>16</sup> *A Dangerous Delay: the cost of late response to early warnings in the 2011 drought in the Horn of Africa*, Oxfam and Save the Children, 18 January 2012, <http://www.savethechildren.org.uk/sites/default/files/docs/Dangerous-delay-UK-version.pdf>.

<sup>17</sup> Nicola Johnston for DFID, ‘*Evaluation of DFID Development Assistance: Gender Equality and Women’s Empowerment*’, March 2005, <http://www.dfid.gov.uk/Documents/publications1/evaluation/wp12.pdf>.

4.5. Since we are interested to see how DFID has applied learning, reports and evaluations on other humanitarian responses will also be useful. For example:

- **Horn of Africa pre-2010:** several studies have been conducted of the humanitarian context in the Horn of Africa prior to 2010, which will help us to understand how existing programmes and experience affected later interventions;<sup>18</sup>
- **Pakistan floods:** in May 2011, the International Development Committee published a report on the humanitarian response in Pakistan.<sup>19</sup> This raised concerns about the pace of disbursement by the UN: only 60% of funds raised (approximately £450 million) were disbursed between August 2010 and February 2011; and
- **Haiti earthquake:** a DFID evaluation of the response to the Haiti earthquake highlighted areas of good practice but also that 'old mistakes were repeated and new ones made'.<sup>20</sup> This report emphasised the lack of co-ordination amongst donors and delivery organisations and the lack of proper engagement with local stakeholders.

4.6. Assessments by other development agencies, such as USAID, on their humanitarian interventions will also provide important reference points for learning.<sup>21</sup> There are also many other reports examining humanitarian aid work:

- the National Audit Office (NAO) has produced reports on humanitarian aid in 2003, specific interventions such as the tsunami in 2005 and operating in insecure environments in 2008;<sup>22</sup>
- ECHO and UN agencies (such as the UN High Commissioner for Refugees, UNHCR and the UN Office for the Coordination of Humanitarian Affairs, OCHA, have conducted a range of country, thematic and partnership evaluations.<sup>23</sup> These cover topics such as *Humanitarian Negotiations with Armed Groups* and assessments of partners such as ICRC. ECHO also produced a study of quality management tools in 2002, which provides a useful framework relating to assuring the quality of NGO procurement;<sup>24</sup> and
- agencies such as the Overseas Development Institute's (ODI's) Humanitarian Policy Group and ITAD carry out independent evaluation studies. These include *Dependency and Humanitarian Relief, Measuring the Impact of Humanitarian Aid* and *Preventing Corruption in Humanitarian Assistance*.<sup>25</sup> One example of a study which considered cost-effectiveness issues more fully was the ODI's evaluation of an Oxfam emergency cash transfer programme in Zambia in 2006.<sup>26</sup>

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<sup>18</sup> For example, *Horn of Africa Crisis Report*, UN Office for the coordination of Humanitarian Affairs, 2009, [http://www.fao.org/fileadmin/user\\_upload/newsroom/docs/Horn%20of%20Africa%20Crisis%20Report%20February%202009.pdf](http://www.fao.org/fileadmin/user_upload/newsroom/docs/Horn%20of%20Africa%20Crisis%20Report%20February%202009.pdf); *Mid Term Evaluation of DG ECHO's Regional Drought Decision in the Greater Horn of Africa*, DG ECHO, 2009, [http://ec.europa.eu/echo/files/evaluation/2009/GHA\\_2009.pdf](http://ec.europa.eu/echo/files/evaluation/2009/GHA_2009.pdf); and *Evaluation of the Danish Engagement in and around Somalia 2006-10*, DANIDA, 2010, <http://www.oecd.org/dataoecd/55/3/49649335.pdf>.

<sup>19</sup> *International Development Committee Seventh Report: The Humanitarian Response to the Pakistan Floods*, House of Commons, April 2011, <http://www.publications.parliament.uk/pa/cm201012/cmselect/cmintdev/615/61502.htm>.

<sup>20</sup> *Haiti Earthquake Response: Emerging Evaluation Lessons*, Jonathan Patrick for DFID, June 2011, <http://www.oecd.org/dataoecd/58/42/48373454.pdf>.

<sup>21</sup> See [http://www.usaid.gov/our\\_work/humanitarian\\_assistance/disaster\\_assistance/](http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/).

<sup>22</sup> *Department for International Development: Responding to Humanitarian Emergencies*, NAO, 2003; *Tsunami: Provision of Financial Support for Humanitarian Assistance*, NAO, 2005; and *Department for International Development: Operating in Insecure Environments*, NAO, 2008.

<sup>23</sup> See <http://www.unocha.org/about-us/publications>, <http://www.unhcr.org/cgi-bin/texis/vtx/search?page=search&query=evaluation+report> and [http://ec.europa.eu/echo/evaluation/index\\_en.htm](http://ec.europa.eu/echo/evaluation/index_en.htm).

<sup>24</sup> *Report on the Analysis of 'Quality Management' Tools in the Humanitarian Sector and their Application by NGOs*, European Commission Humanitarian Office, September, 2002, [http://ec.europa.eu/echo/files/evaluation/2002/thematic\\_qm.pdf](http://ec.europa.eu/echo/files/evaluation/2002/thematic_qm.pdf).

<sup>25</sup> See: <http://www.odi.org.uk/resources/docs/277.pdf>; <http://www.odi.org.uk/resources/docs/281.pdf>; and <http://www.odi.org.uk/resources/docs/1836.pdf> respectively.

<sup>26</sup> *Independent Evaluation of Oxfam GB Zambia's Emergency Cash-Transfer Programme*, ODI Humanitarian Policy Group, May 2006, <http://www.odi.org.uk/resources/download/606.pdf>.

## 5. Methodology

- 5.1. The review will focus on four phases of DFID's assistance in the Horn of Africa:
  - the early warning systems and decision to mobilise major resources;
  - the initial response after the decision to mobilise major resources;
  - the consolidation of the humanitarian response; and
  - a window later on, when DFID was working on the transition to a longer-term intervention and on promoting resilience and prevention.
- 5.2. First, we will consider the linkages between phases:
  - between early warning and early action;
  - between pre-existing interventions and humanitarian emergency assistance; and
  - between humanitarian emergency assistance and longer-term development programmes.
- 5.3. Second, we will consider how DFID identified which groups of people it should target and their needs. We will specifically consider how DFID assesses the needs of women and marginalised groups. We will focus on how DFID engages with and is accountable to its intended beneficiaries, considering how the other six areas outlined in the HERR can influence this, in particular, DFID's leadership, innovation and learning and its anticipatory approach.
- 5.4. Third, we will look at the distribution and flow of funding from DFID to intended beneficiaries via a range of international organisations and NGOs. We will examine the link between money flows and supply processes; and the efficiency of these. We will consider the timeliness of response and extent to which value for money considerations were used appropriately and fit-for-purpose standards of procurement and accounting were followed. We will assess these in the wider context of the impact on the local community, including:
  - assessing the impact on local markets of employment and procurement decisions (for example, purchasing locally as opposed to imports);
  - assessing how well the assistance supports the transition from crisis response to recovery and ongoing development; and
  - analysing intended and unintended changes in local institutions and relationships between stakeholders.
- 5.5. Fourth, we will look at how DFID used its influence to help raise the profile of the needs in the Horn of Africa and to co-ordinate the delivery of aid. We will examine how effectively DFID used early warning signals to initiate its humanitarian response and how DFID engages with other donors and actors (especially DG ECHO, UN agencies and ICRC, international financial institutions and national and regional governments and stakeholders) to help ensure that aid is co-ordinated. We will specifically look at DFID's leadership and co-ordination in relation to identifying intended beneficiaries' needs and getting value for money from supply chains. We will consider how DFID works with other UK government departments who are also active in the region.
- 5.6. Fifth, we will look at the extent to which DFID has learnt from previous aid efforts and applied this knowledge to the Horn of Africa intervention. We will also consider how effectively learning took place during the intervention to improve aid delivery and outcomes. Finally, we will look at the mechanisms DFID has to identify and share learning from the Horn of Africa with other current and future interventions.
- 5.7. The review will include both UK-based work and field visits. Our field visits will focus on Kenya, which has not yet been the focus of an ICAI assessment and, to a lesser extent, Ethiopia and Somalia. Many NGOs and other actors have their regional offices in Nairobi, which will enable us to meet with those responsible for managing Somali and Ethiopian operations. Our proposed locations for site visits in Kenya are Turkana and Marsabit. Locations will be finalised and confirmed during the early phases of our work and late changes may be required due to security or other practical reasons. Due to the size of the expenditure in Ethiopia, we will also visit Addis Ababa and Dalo Ado refugee camp or another programme location if this is not possible due to security concerns.

- 5.8. Our assessment of expenditure in Somalia will be conducted by conference call and visits to head offices in Nairobi due to the relative costs and security/logistical challenges of visiting Somalia. There will be security and logistical challenges in seeing intended beneficiaries and where aid is being delivered on the ground. Particular concerns are the ability of the team to visit the Dalo Ado refugee camps and security issues in seeing the worst-affected areas in Turkana and Marsabit. Overall, the security situation is fluid in the worst-affected areas, particularly near the Somali border and exact fieldwork visits will be closely co-ordinated with DFID in-country.
- 5.9. The review will draw conclusions and derive lessons specifically for the Horn of Africa but with a view to these being applicable to other humanitarian emergencies, particularly slow onset emergencies such as droughts. While our review will aim to cover the areas outlined above, we will be particularly focussed on the questions in bold in the evaluation framework below.



*Evaluation framework*

5.10. The evaluation framework for this review is set out in the table below. This has as its basis the standard ICAI guiding criteria and evaluation framework, which are focussed on four areas: objectives, delivery, impact and learning. It also incorporates other pertinent questions we want to investigate in this review. The questions which are highlighted in bold are those on which we will focus in particular. In this review we will focus more on delivery and learning and less on objectives and impact because we want to understand how the phases of intervention were linked together and how DFID: identifies and reaches those most in need; learns from other interventions; and works with other parties to deliver effective humanitarian assistance.

Relevant ICAI Evaluation Framework Questions	Evaluation Questions	Criteria for Assessment	Sources of Evidence
<b>Objectives: what is the programme trying to achieve?</b>			
<p>Does the programme have clear, relevant and realistic objectives that focus on the desired impact? (1.1)</p> <p>Is there a clear and convincing plan, with evidence and assumptions, to show how the programme will work? (1.2)</p>	<p><b>How well did DFID gather and respond to early warning signals indicating the onset of crisis? (ToR 6.2.1)</b></p> <p><b>Does DFID's approach in the Horn of Africa have clear, relevant and realistic objectives that focus on the needs of intended beneficiaries? (ToR 6.2.2a)</b></p> <p>How did DFID identify its intended beneficiaries and their needs? (ToR 6.2.2b)</p>	<ul style="list-style-type: none"> <li>• Comprehensiveness and clarity of early warning indicators</li> <li>• Decision-making processes for determining response to early warning signals</li> <li>• Comprehensiveness and clarity of DFID's approach in the Horn of Africa</li> <li>• Adequacy of guidance and technical support</li> <li>• Adequacy and comprehensiveness of approaches to identify intended beneficiaries and their needs</li> <li>• Programming goals and objectives</li> <li>• Guidance and training provided to managers and staff involved in humanitarian response</li> </ul>	<ul style="list-style-type: none"> <li>• Early warning systems and related documentation</li> <li>• Policies, strategies, guidance material</li> <li>• Interviews with DFID senior management in the UK and Kenya/Somalia</li> <li>• Interviews with DFID humanitarian aid advisors and programme managers</li> <li>• Interviews with intended beneficiaries and other agencies working to reach them</li> </ul>

Relevant ICAI Evaluation Framework Questions	Evaluation Questions	Criteria for Assessment	Sources of Evidence
Does the programme complement the efforts of government and other aid providers and avoid duplication? (1.3)	<p>Is DFID's approach complementary across all Horn of Africa countries and consistent with its overall humanitarian strategy? (ToR 6.2.3)</p> <p>Does DFID co-ordinate effectively with other donors and demonstrate leadership? (ToR 6.2.4a)</p> <p>Does DFID engage effectively with local, national and regional stakeholders to help create an effective humanitarian space?<sup>27</sup> (ToR 6.2.4b)</p>	<ul style="list-style-type: none"> <li>• Consistency of approach with DFID's overall humanitarian strategy</li> <li>• Evidence of engagement with governments in the region and in the regional summit of drought which agreed to national response frameworks</li> <li>• Comprehensiveness of stakeholder mapping to identify who the key stakeholders, actors and influencers are</li> <li>• Guidance and documentation on engaging with militant groups in Somalia</li> <li>• Evidence of co-ordination and engagement with other donors</li> <li>• Leveraging of other resources</li> </ul>	<ul style="list-style-type: none"> <li>• Policies, strategies, guidance material</li> <li>• Interviews with DFID senior management in the UK and Kenya/Somalia</li> <li>• Interviews with DFID humanitarian aid advisors and programme managers</li> <li>• Stakeholder identification documentation</li> <li>• Interviews with intended beneficiaries and other agencies working to reach them</li> <li>• Interviews with local authorities and other key stakeholders and influencers</li> <li>• Study of national response plans produced by national governments after September summit</li> </ul>
Are the programme's objectives appropriate to the political, economic, social and environmental context? (1.4)	<b>Are DFID's Horn of Africa interventions based on robust analysis of the regional and local contexts, building on its existing initiatives in the region? (ToR 6.2.5)</b>	<ul style="list-style-type: none"> <li>• Evidence of learning from earlier interventions and existing programmes in the region</li> <li>• Evidence that objectives have been built on solid and comprehensive evidence and have taken context into account</li> </ul>	<ul style="list-style-type: none"> <li>• Guidance material</li> <li>• Conflict assessments</li> <li>• Programme strategies</li> <li>• Activities lists</li> <li>• Interviews with DFID senior management and programme managers</li> </ul>

<sup>27</sup> For a definition of 'humanitarian space', see footnote 14 on page 5.

Relevant ICAI Evaluation Framework Questions	Evaluation Questions	Criteria for Assessment	Sources of Evidence
<b>Delivery: is the delivery chain designed and managed so as to be fit for purpose?</b>			
Is the choice of funding and delivery options appropriate? (2.1)	Is DFID's choice of delivery options appropriate? (ToR 6.3.1a)	<ul style="list-style-type: none"> <li>• Evidence of assessment of options for delivery and choice based on clear rationale</li> </ul>	<ul style="list-style-type: none"> <li>• Project plans/options appraisals</li> <li>• Interviews with DFID senior management in the UK and Kenya/Somalia</li> <li>• Interviews with DFID humanitarian aid advisors and programme managers</li> <li>• Project documentation</li> <li>• Case studies</li> </ul>
Does programme design and roll-out take into account the needs of the intended beneficiaries? (2.2)	<p>Is DFID's choice of delivery options focussed on how it can deliver the best impact for its intended beneficiaries? (ToR 6.3.1b)</p> <p>Were appropriate steps taken to involve and consult with intended beneficiaries and local stakeholders to ensure that appropriate goods and services were supplied? (ToR 6.3.4)</p>	<ul style="list-style-type: none"> <li>• Comprehensive and robust approach for determining how to meet intended beneficiaries' needs</li> <li>• Decisions based on experience and evidence of how to effectively reach intended beneficiaries</li> <li>• Consideration of innovative approaches and trials</li> <li>• Clear and documented consultation with intended beneficiaries</li> <li>• Evidence of accountability and transparency to intended beneficiaries and civil society groups representing them</li> </ul>	<ul style="list-style-type: none"> <li>• Decision-making and strategy documentation</li> <li>• Interviews with DFID senior management in the UK and Kenya/Somalia</li> <li>• Interviews with DFID humanitarian aid advisors and programme managers</li> <li>• Interviews with intended beneficiaries and other agencies working to reach them</li> </ul>

Relevant ICAI Evaluation Framework Questions	Evaluation Questions	Criteria for Assessment	Sources of Evidence
<p>Is there good governance at all levels, with sound financial management and adequate steps being taken to avoid corruption? (2.3)</p> <p>Are resources being leveraged so as to work best with others and maximise impact? (2.4)</p>	<p>Have governance and financial management systems appropriately addressed the risks of operating in challenging environments, while ensuring accountability to donor and host country populations? (ToR 6.3.2a)</p> <p>What measures are in place to prevent corruption and wastage? (ToR 6.3.2b)</p> <p><b>Are resources being leveraged so as to work best with others and maximise impact and provide value for money? (ToR 6.3.3)</b></p>	<ul style="list-style-type: none"> <li>• Quality of project cycle management</li> <li>• Comprehensive financial management and control systems exist within partner organisations funded through the response</li> <li>• Clearly documented risk analysis at all levels</li> <li>• Local authorities' and communities' ownership of the activities and ability to carry these forward</li> <li>• Extent of challenge and accountability around design and resource allocation</li> <li>• Due diligence of implementing partners</li> <li>• Quality of oversight of implementing partners, including reporting requirements</li> <li>• Specific anti-corruption measures</li> <li>• Mechanisms for whistle blowing in place</li> <li>• Collaboration with other agencies and donors leads to effective delivery</li> <li>• DFID's involvement and activities leverage support from other donors and actors and result in more effective and efficient delivery</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews with DFID senior management in the UK and Kenya/Somalia</li> <li>• Interviews with DFID humanitarian aid advisors and programme managers</li> <li>• Interviews with implementation partners</li> <li>• Review of DFID policies, strategies, guidance material</li> <li>• Interviews with NGOs and other donors to understand the role DFID plays in leveraging and coordinating resources</li> </ul>

Relevant ICAI Evaluation Framework Questions	Evaluation Questions	Criteria for Assessment	Sources of Evidence
<p>Do managers ensure the efficiency and effectiveness of the delivery chain? (2.5)</p> <p>Is there a clear view of costs throughout the delivery chain? (2.6)</p>	<p>Do managers ensure the efficiency and effectiveness of the delivery chain? (2.5)</p> <p>Is there a clear view of costs throughout the delivery chain? (ToR 6.3.5a)</p> <p>What were the costs of delivery, were unit costs monitored and did they reflect good value for money? (ToR 6.3.5b)</p>	<ul style="list-style-type: none"> <li>• Consideration of the relative costs and cost-effectiveness of different options</li> <li>• Effective management of individual projects, including sufficient oversight of delivery and cost-effectiveness</li> <li>• Routine performance meetings to discuss progress</li> <li>• Rigorous processes for selecting delivery partners</li> <li>• Effective monitoring of delivery costs</li> <li>• Clear consideration of programme delivery chain at inception</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews with DFID senior management in the UK and Kenya/Somalia</li> <li>• Interviews with DFID humanitarian aid advisors and programme managers</li> <li>• Interviews with implementation partners</li> <li>• Review of DFID documentation and in-country DFID financial reporting sample</li> <li>• Review of agreements with implementation partners and suppliers</li> <li>• Documents establishing unit costs and comparative analysis between different activities</li> </ul>

Relevant ICAI Evaluation Framework Questions	Evaluation Questions	Criteria for Assessment	Sources of Evidence
<p>Are risks to the achievement of the objectives identified and managed effectively? (2.7)</p> <p>Is the programme delivering against its agreed objectives? (2.8)</p> <p>Are appropriate amendments to objectives made to take account of changing circumstances? (2.9)</p>	<p><b>Was adequate speed of delivery achieved in the circumstances while managing governance and financial risks? (ToR 6.3.6)</b></p> <p>Is the programme delivering against its agreed objectives? (2.8)</p> <p>Are appropriate amendments to objectives made to take account of changing circumstances? (2.9)</p>	<ul style="list-style-type: none"> <li>• Prior planning and risk assessments</li> <li>• Timeliness of response</li> <li>• Quality of oversight of delivery chain and suppliers</li> <li>• Effective governance and management of the programme, co-ordinating with different donors, suppliers and DFID HQ and in-country offices</li> <li>• Regional/country programmes incorporate risk analysis</li> <li>• Individual project designs incorporate risk analysis</li> <li>• Active approaches to managing risk</li> <li>• Evidence of activities delivering against objectives</li> <li>• Clear written procedures for scope change, contingency plans in place, which are updated during delivery to respond to changes in circumstances</li> <li>• Evidence of objectives being amended to take into account changing circumstances, during the delivery as well as the planning phases to respond to real time changes</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews with DFID senior management in the UK and Kenya/Somalia</li> <li>• Interviews with DFID humanitarian aid advisors and programme managers</li> <li>• Review of DFID documentation and in-country DFID risk assessments and programme documentation</li> <li>• Policies and procedures around change of scope and contingency plans</li> </ul>

Relevant ICAI Evaluation Framework Questions	Evaluation Questions	Criteria for Assessment	Sources of Evidence
<b>Impact: what is the impact on intended beneficiaries?</b>			
<p>Is the programme delivering clear, significant and timely benefits for the intended beneficiaries? (3.1)</p>	<p><b>Are initiatives delivering clear, significant and timely benefits for the intended beneficiaries in an accountable and transparent way? (ToR 6.4.1)</b></p> <p>Are there any unintended impacts of note, including on institutions and other actors? (ToR 6.4.4)</p>	<ul style="list-style-type: none"> <li>• Regular reporting on results</li> <li>• Evidence of activities delivering positive impact</li> <li>• Length of time required for new funding decisions</li> <li>• Contingency planning and funds set aside for responding to crisis or opportunities (during planning and delivery of programmes)</li> <li>• Evidence of individual activities being adapted to take into account changing circumstances and delivering positive impact</li> <li>• Evidence of unintended impacts</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews with DFID humanitarian aid advisors and programme managers</li> <li>• Review of DFID documentation, including results reporting</li> <li>• Communications procedures in place</li> <li>• Systems review</li> <li>• Interviews with intended beneficiaries</li> <li>• Interviews with institutions and other stakeholders</li> </ul>
<p>Is the programme working holistically alongside other programmes? (3.2)</p>	<p>Is the programme working holistically alongside other programmes? (3.2)</p>	<ul style="list-style-type: none"> <li>• Co-ordination with other DFID programmes and objectives</li> <li>• Co-ordination with other donors' programmes and objectives</li> <li>• Evidence of co-ordination and engagement with local authorities and other stakeholders/actors</li> <li>• Joint planning or shared documents or timetables for delivery</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews with DFID senior management in the UK and Kenya/Somalia</li> <li>• Interviews with DFID humanitarian aid advisors and programme managers</li> <li>• Stakeholder identification documentation</li> <li>• Interviews with intended beneficiaries and other agencies working to reach them</li> <li>• Interviews with local authorities and other key stakeholders and influencers</li> </ul>

Relevant ICAI Evaluation Framework Questions	Evaluation Questions	Criteria for Assessment	Sources of Evidence
<p>Is there a long-term and sustainable impact from the programme? (3.3)</p> <p>Is there an appropriate exit strategy involving effective transfer of ownership of the programme? (3.4)</p> <p>Is there transparency and accountability to intended beneficiaries, donors and UK taxpayers? (3.5)</p>	<p><b>Is there a long-term and sustainable impact from initiatives and are they contributing to building resilience to disasters in the target countries and populations? (ToR 6.4.2)</b></p> <p><b>Is there an appropriate exit strategy for humanitarian initiatives involving effective transition to longer-term development programmes? (ToR 6.4.3)</b></p> <p>Is there transparency and accountability to intended beneficiaries, donors and UK taxpayers? (3.5)</p>	<ul style="list-style-type: none"> <li>• Programme linkage between relief and recovery</li> <li>• Ownership by local communities and government</li> <li>• Communities' awareness of assistance plans and their entitlement in various stages of the response</li> <li>• Evidence of long-term cost reductions – internally and for end users</li> <li>• Evidence that budget forecasts support changes made to respond to changing circumstances</li> <li>• Exit and handover planning, stakeholder co-ordination</li> <li>• Evidence of institutional, structural or regulatory changes</li> <li>• Publication of spending data, activities and results</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews with DFID humanitarian aid advisors and programme managers</li> <li>• Interviews with DFID senior management in the UK and Kenya/Somalia</li> <li>• Review of results data from programmes</li> <li>• Review of DFID planning and exit strategy documentation</li> <li>• Interviews with intended beneficiaries</li> <li>• Project proposals and DFID assistance strategy</li> <li>• Interviews with programme stakeholders, including suppliers and other partners</li> </ul>



Relevant ICAI Evaluation Framework Questions	Evaluation Questions	Criteria for Assessment	Sources of Evidence
<b>Learning: what works and what needs improvement?</b>			
Are there appropriate arrangements for monitoring inputs, processes, outputs, results and impact? (4.1)	Are there appropriate arrangements for monitoring inputs, processes, outputs, results and impact? (ToR 6.5.1)	<ul style="list-style-type: none"> <li>• Quality data on progress and achievements obtained through monitoring</li> <li>• Appropriate monitoring and evaluation arrangements, informed by rules and guidelines</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews with DFID humanitarian aid advisors and programme managers</li> <li>• Interviews with DFID senior management in the UK and Kenya/Somalia</li> <li>• Departmental guidelines</li> <li>• Interviews with programme managers and country teams</li> <li>• Monitoring reports</li> <li>• Discussions with intended beneficiaries</li> </ul>
Is there evidence of innovation and use of global best practice? (4.2)	<p>Is there evidence of innovation and use of global best practice? (ToR 6.5.2a)</p> <p><b>How has experience from previous interventions helped to influence Horn of Africa interventions? (ToR 6.5.2b)</b></p>	<ul style="list-style-type: none"> <li>• Use of international standards in humanitarian response</li> <li>• Processes for learning from wider practice</li> <li>• Processes for identifying lessons from existing activities and disseminating them across the programmes</li> <li>• Use of key lessons from 2006 Horn drought, 2004-05 Sahel food insecurity crisis</li> </ul>	<ul style="list-style-type: none"> <li>• DFID planning documentation</li> <li>• Review of project evaluations</li> <li>• Interviews with DFID humanitarian aid advisors and programme managers</li> <li>• Interviews with DFID senior management in the UK and Kenya/Somalia</li> <li>• Interviews with key suppliers and other co-ordinating donors</li> </ul>

Relevant ICAI Evaluation Framework Questions	Evaluation Questions	Criteria for Assessment	Sources of Evidence
<p>Is there anything currently not being done in respect of the programme that should be undertaken? (4.3)</p> <p>Have lessons about the objectives, design and delivery of the programme been learned and shared effectively? (4.4)</p>	<p>Is there anything currently not being done in respect of the programme that should be undertaken? (ToR 6.5.3)</p> <p><b>Have lessons about the objectives, design and delivery of the programme been learned and shared effectively? (ToR 6.5.4)</b></p> <p><b>What lessons have been learned, particularly those which may assist DFID in responding to the HERR recommendations? (ToR 6.5.5)</b></p>	<ul style="list-style-type: none"> <li>• Use of gap analysis in the relief and recovery programme</li> <li>• Use of lesson learning exercises and After Action reviews</li> <li>• Quality of performance management and lesson learning</li> <li>• Adaptation of programmes in response to learning</li> <li>• Evidence of sharing of experience and lessons</li> </ul>	<ul style="list-style-type: none"> <li>• Review of DFID planning and exit strategy documentation</li> <li>• Assessment of dissemination of lessons learned from the programmes</li> <li>• Review of project evaluations</li> </ul>

5.11. The evaluation will consist of:

- a brief review and synthesis of evidence available internationally from evaluations of humanitarian and emergency programmes;
- evidence-gathering through discussions with DFID senior management and relevant stakeholders and headquarters staff of relevant agencies that have played a major role in the delivery of UK humanitarian emergency assistance;
- undertaking field visits to Kenya and Ethiopia to review systems and documentation and meet with intended beneficiaries and staff from DFID, partners, other donors and stakeholders;
- reviewing publicly-available reports from major humanitarian institutions to identify lessons learned from humanitarian interventions in the last two years; and
- completing a final report based on the evidence gathered.

***Phase 1: Preliminary Assessment***

i). A preliminary review of literature, including a brief review and synthesis of evidence available internationally from evaluations of humanitarian and emergency programmes. This will focus on assessments of earlier interventions in the region and other slow onset humanitarian emergencies.

ii). A preliminary desk-top review of documentation relating to the Horn of Africa response available through DFID systems and remotely.

iii). Interviews, either in person or by phone, with:

- key DFID staff in Kenya, Somalia and Ethiopia;
- representatives of relevant central DFID teams, including the Conflict, Humanitarian and Security Department; and
- other individuals within and outside DFID with insights into DFID's humanitarian response and the Horn of Africa crisis in general (this may include individuals involved in the HERR and other agencies operating in the Horn of Africa).

This phase will be used to refine the evaluation framework if necessary.

***Phase 2: Field Work, including site visits to Kenya and Ethiopia***

i). A series of semi-structured and informal interviews with:

- intended beneficiaries;
- partners in government and civil society;
- other donors operating in the Horn of Africa;
- DFID staff currently in-country;
- previous DFID staff; and
- others as required, including other NGOs and multilateral organisations working in this area.

The full list of interviewees will be drawn up in discussion with DFID Kenya, Somalia and Ethiopia and other key informants. We will look to hold meetings with certain groups in workshops if feasible.

ii). Further review of documentation in-country as required, specifically looking through DFID's operational files.

iii). Evidence-gathering from local sources as practicable, specifically from the interventions in Kenya and Ethiopia.

### **Phase 3: Final Analysis**

Presentation of analysis to Commissioners, then drafting of final report based on evidence gathered and Commissioner views and guidance.

## **6. Roles and responsibilities**

6.1. It is proposed that this evaluation is undertaken by a core team of five (indicated with a \* in the table below), with supplementary peer review if deemed necessary. While lead responsibility for answering sections of the framework is shown, all will contribute to the analysis supporting the findings for each section.

<b>Role</b>
Project Director
Team Leader*
Team member 1*: Lead Humanitarian Aid Impact Expert
Team member 2*: Lead Accountability and Transparency Expert
Team Member 3*: Humanitarian Aid Impact Support
Team member 4*: Accountability and Transparency Support
Team member 5: Lead Supply Chain Expert
Team member 6: Accountability and Transparency Support
Peer Reviewer

### **Team leader (KPMG)**

He is part of KPMG's International Development Assistance Services team. In addition to being a Chartered Accountant, he has a background in Human Rights Law and has over eight years' experience in evaluation of corporate sustainability and philanthropic grant-making programmes. He has extensively reviewed the design and financial and impact performance of grants, including humanitarian grants, in particular working with DFID, philanthropic foundations and corporate CSR programmes.

He will lead the team and have overall responsibility for the review and the report.

### **Team member 1 (Independent Consultant)**

He has nearly thirty years of experience in the social development and humanitarian sectors working with NGOs and United Nations Agencies in Asia/Middle East, Africa, Eastern Europe and Latin America/Caribbean. His experience includes:

- participatory approaches to project design and appraisal, use of result-based management frameworks in project planning and implementation, development of outcome indicators for complex programmes, impact evaluation and real-time evaluation of development, disaster management and relief programmes using various international standards; and
- organisational assessments and diagnosis, development of strategic direction and realigning the organisation to new management systems and ways of working, coaching on goal setting and visualisation for senior leaders, training and facilitation in change management and related areas.

He will lead on humanitarian aid and examining the DFID programmes as part of this review.

### **Team member 2 (KPMG)**

He is a development professional with experience in delivering high-quality programme design and management within challenging environments, often in fragile and conflict-affected states. He is based in Nairobi and has worked in East Africa for over 15 years, with key experience in Sudan and Somalia. He will lead on the accountability and transparency workstream.

**Team member 3 (Independent Consultant)**

She is a research analyst with previous experience working with the Kenya Institute of Public Policy Research and Analysis. She has experience in designing and conducting surveys and is a Somali speaker. She will provide support to the aid impact workstream.

**Team member 4 (KPMG)**

He is a Senior Audit and Risk Advisor within the Audit and Risk Advisory division in KPMG. He has considerable experience in Public Sector Reform initiatives especially in the area of institutional and project audits, pre-grant evaluation and capacity assessments and internal control reviews of the public sector organisations. His country experience includes: Somalia, Kenya, DRC, Sudan and South Sudan. He is Somali/Kenyan and is a native Somali speaker.

**Team member 5 (KPMG)**

He is a supply chain advisor with eighteen years' experience in leading and delivering supply chain and operational transformation programmes for public and private sector organisations. He has experience of designing and implementing international supply chains for NGOs and aid organisations; and a track record of working with public and private sector organisations to assess the financial and operational efficiency and effectiveness of global supply chains and operations. He will provide expertise in supply chain cost efficiencies and will lead in examining the supplier delivery chain.

**Team member 6 (KPMG)**

She is an advisor in KPMG's Management Consulting Public Sector group, focussing on organisational financial management. She has over ten years' experience in auditing and advising public sector and government clients. Her main role will be to analyse data sources and figures to support the findings of the report. She will also conduct UK-based fieldwork and interviews.

**Peer reviewer (Independent Consultant)**

He has over 20 years' experience working in the humanitarian aid sector. Formerly the UK's emergencies director for Save the Children, he is now working as an independent consultant in humanitarian policy, practice and evaluation. He was lead author for the Humanitarian Emergency Response Review and will provide peer review.

**7. Management and reporting**

- 7.1. We will produce a first draft report for review by the ICAI Secretariat and Commissioners in the second quarter of 2012, with time for subsequent revision and review prior to completion and sign off in the third quarter of 2012.

## 8. Expected outputs and time frame

8.1. The following timetable is based on the assumption that the report will need to be finalised in the third quarter of 2012, to meet ICAI's requirements.

<b>Phase</b>	<b>Timetable</b>
<b>Planning</b> Finalising methodology Drafting Inception Report	12-23 March 2012
<b>Phase 1: Preliminary Assessment</b> UK-based initial assessment and document review	26 March-14 April 2012
<b>Phase 2: Field Work</b> Kenya Field Work	15-28 April 2012
<b>Phase 3: Final Analysis</b> Roundtable with Commissioners Draft main report Report to DFID Report finalisation	30 May 2012 w/c 18 June 2012 w/c 20 August 2012 w/c 10 September 2012

## 9. Risks and mitigation

9.1. The following sets out the key risks and mitigating actions for this evaluation:

<b>Risk</b>	<b>Level of risk</b>	<b>Specific Issues</b>	<b>Mitigation</b>
Inability to access key information	Medium	<p>Unable to access intended beneficiaries in conflict-affected areas</p> <p>Unable to have access to full financial information for costing</p> <p>Some documents may be classified as Restricted or Confidential making access more difficult</p>	<p>Identify areas to visit that enable good access to intended beneficiaries and speak to a good cross-section of other actors to obtain a range of views</p> <p>Identify whether there are Restricted or Confidential documents early on to plan for appropriate access</p>
Safety and Security	Medium/High	<p>Risk of violence or kidnapping near Somalia</p> <p>Risk to the person in refugee camps and other insecure areas</p>	<p>Discuss with DFID and Foreign and Commonwealth Office (FCO) to arrange appropriate security while in the field</p> <p>Use experienced local guides and drivers. Two of the team members are Somali.</p>
Lack of impact data makes impact assessment impossible	Low	Impact data weak or incomplete	<p>Evaluation team to examine a range of projects in Kenya and Somalia with different implementing organisations, to obtain sufficient results data</p> <p>Views of intended beneficiaries and third party sources of information will be sought</p>
Intended beneficiary voices not heard	Medium	<p>Access to intended beneficiaries is managed or otherwise restricted so that a skewed view is heard</p> <p>Not able to identify intended beneficiaries due to communication infrastructure within developing countries and rural settings</p> <p>Language and cultural barriers may make it difficult to hear beneficiaries' views</p>	<p>Ensure sufficient time in field and focus on getting a wide range of views from selected interventions</p> <p>Seek to gain at least three different routes through partners to access intended beneficiaries</p> <p>Two of the team members – one female and one male – are native Somali-speakers</p>

## **10. How will this review make a difference?**

10.1. This ICAI review will assess the effectiveness of DFID's humanitarian response in the Horn of Africa, with particular consideration of what DFID can learn in relation to implementing the recommendations of the HERR. The review will look at how well the phases of intervention are linked together, how effectively DFID engages with other actors and how the focus on intended beneficiaries' needs is maintained. A key focus will be on learning: what DFID has learnt from earlier interventions in the Horn of Africa and other slow onset emergencies; and what it can learn for the future. Our aim is to provide practical recommendations to help DFID and other donors to respond to emergencies more effectively while ensuring appropriate accountability to the intended beneficiaries and UK and host governments and populations.