

Executive Summary

□ Introduction

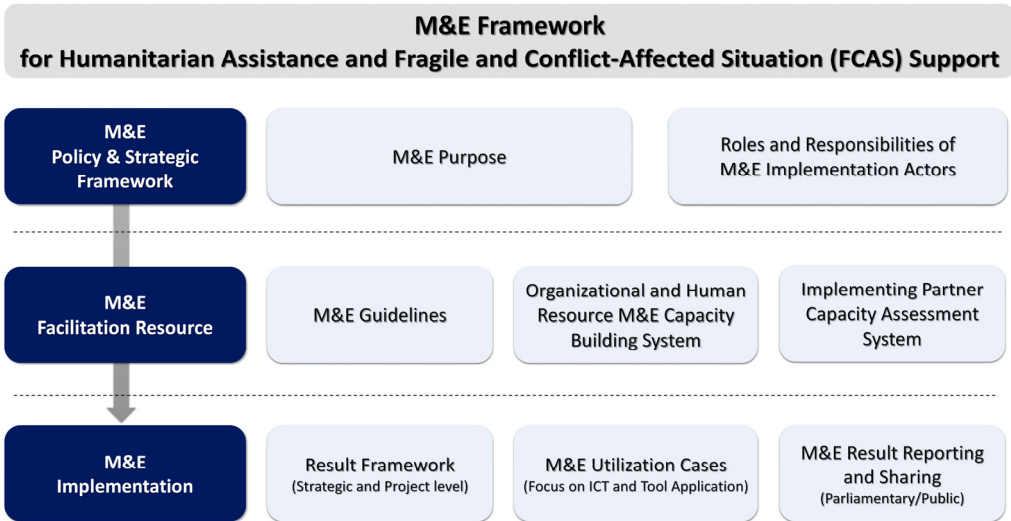
1. Background and Purpose of the Study

- The international community faces increasingly complex and large-scale humanitarian crises caused by war, disasters, and climate change, highlighting the need to place understanding of ‘fragility’ at the core of development cooperation. The OECD has moved beyond simple country classifications to present a new fragility framework that considers multidimensional factors including economic, political, and social elements. This framework enables more effective development policy formulation and crisis management through enhanced capacity for crisis prevention and response.
- Humanitarian assistance must extend beyond emergency response to address structural vulnerabilities arising from chronic poverty and fragile state capacity. Countries and regions in Fragile and Conflict-Affected Situations (FCAS) often experience more severe consequences due to insufficient resources and crisis response capabilities. However, international community support for FCAS has drawn criticism for concentrating predominantly on humanitarian assistance characterized by emergency relief and recovery measures, while failing to establish effective linkages with development and peacebuilding initiatives.
- Recent increases in global complex crises have heightened demand for humanitarian assistance and support for strengthening resilience in FCAS. In this context, the Government of the Republic of Korea has expressed its commitment to expanding its humanitarian assistance responsibilities as a ‘key OECD member state.’
- This study aims to establish improvement measures for the planning and monitoring and evaluation (M&E) of Korea’s humanitarian assistance and support programs for FCAS, based on analysis of international trends and overseas institutional cases. Due to budgetary structure and administrative considerations, Korea’s humanitarian

assistance and support for FCAS are planned and implemented separately by the Ministry of Foreign Affairs and KOICA. Therefore, considering the current implementation system, this study is structured with Part 1 focusing on improvement measures for humanitarian assistance monitoring and evaluation systems, and Part 2 addressing improvement measures for planning, monitoring, and evaluation of FCAS projects.

2. Research Content and Methodology

- Part 1 examines improvement measures for humanitarian assistance M&E by analyzing the policy and strategic foundations, implementation systems, operational approaches, and M&E results utilization cases of OECD DAC members including the United Kingdom and the European Union. Additionally, to analyze advanced donor countries' M&E cases, the study conducts analysis of implementing partners' capacity assessment methods and organizational M&E capacity strengthening approaches. Part 2 addresses improvement measures for planning, monitoring, and evaluation of FCAS projects by investigating international trends, M&E standards and recommendations, and analyzing the United Kingdom's and Germany's policies and implementation strategies, project identification, planning procedures, and M&E implementation systems. Through this research, the study seeks to derive insights for improving the operational approaches of Korea's humanitarian assistance and FCAS assistance programs.
- The research comprises three phases: Phase 1 involves analysis of international discussions, Phase 2 encompasses analysis of overseas institutional cases, and Phase 3 focuses on understanding the Korean domestic situation. The analytical framework of this study adapts the business process model for humanitarian assistance programs proposed by Peterken and Bandara (2018), modified to derive improvement measures for humanitarian assistance and FCAS projects M&E, which constitutes the primary objective of this research.



❑ Part 1. Improving Humanitarian Assistance Monitoring and Evaluation Systems

1. Overview

- The OECD is making various efforts to expand humanitarian assistance and enhance its effectiveness and transparency in response to complex humanitarian crises, focusing on cooperation through the Grand Bargain and the Humanitarian-Development -Peace (HDP) Nexus, while emphasizing support in accordance with the Sphere principles.
- The Grand Bargain is an international cooperation mechanism established to improve the efficiency and effectiveness of the humanitarian assistance system as a whole. It represents a commitment between major donor countries and humanitarian organizations in the international community, particularly emphasizing the importance of quality funding, localization, accountability to affected People, and the HDP Nexus.

2. Case Analysis of UK and EU Support for Humanitarian M&E Systems

2.1 United Kingdom

2.1.1 Policy and Strategic Foundation for Humanitarian Assistance

- The United Kingdom's international development strategy establishes four key objectives: investment partnerships, freedom for women and girls, strengthening humanitarianism, and climate change response. It also establishes four development approaches: patience for long-term change, transition to country programs, expanded utilization of UK expertise, and global engagement.
- The UK government established and published a new humanitarian strategy (UK Humanitarian Framework) in 2022. Based on the overarching international development strategy, it presents the country's humanitarian vision, objectives, and response measures to international humanitarian crises. Additionally, the UK government specifies the purpose of evaluation through its evaluation strategy as evaluation for

learning and evaluation for accountability.

- The Foreign, Commonwealth and Development Office (FCDO) oversees the UK's humanitarian assistance. The FCDO has the responsibility to evaluate programs and projects according to its own policies, while the Independent Commission for Aid Impact (ICAI) evaluates the UK government's aid projects and conducts impact assessments to recommend relevant policy improvements to the government, including the FCDO. ICAI performs thematic reviews of the UK's strategic priorities and reports the results directly to Parliament. Additionally, it provides recommendations and oversight functions regarding improvements to the FCDO's evaluation system and implementation.

2.1.2 Resources for Facilitating Humanitarian Assistance M&E Implementation

- The United Kingdom emphasizes the importance of M&E for humanitarian assistance but does not provide separate specific M&E guidelines. Since UK humanitarian assistance projects are implemented in integration with development cooperation projects, they fundamentally use bilateral aid and multilateral aid review methods, while considering the specificities of humanitarian assistance projects by utilizing the Third Party Monitoring (TPM), humanitarian expert consultation, and M&E tools developed by humanitarian assistance specialized institutions such as Active Learning Network for Accountability and Performance (ALNAP). Additionally, to mainstream gender in humanitarian assistance, the UK positions gender equality as a core element and seeks to integrate gender-based M&E systems into humanitarian assistance projects by collecting more disaggregated data and adopting multi-year project formats.
- The UK has long introduced public sector evaluation and performance management concepts, and since the 2010s has been conducting evaluations and due diligence on multilateral organizations to enhance the performance of multilateral aid. Multilateral organization evaluations aim to support the most effective institutions by assessing partners' performance capabilities, conducting the Multilateral Aid Review (MAR) in 2011 and the Multilateral Development Review (MDR) in 2016 to

link performance with funding support. Recently, instead of evaluating multiple institutions, the focus has shifted to strengthening due diligence targeting individual partners. The FCDO's due diligence serves as periodic evaluation of multilateral partners' implementation capacity and risk management, emphasizing monitoring and evaluation.

- In UK organization context, job functions are narrowly defined, with clearly established work scope for individuals performing specific functions. Job-specific competencies occupy a significant proportion throughout the entire Human Resource Management (HRM) process, including staff recruitment and selection, training and education, and career development.

2.1.3 M&E Implementation System and Operation

- According to the UK's International Development (Reporting and Transparency) Act 2006, the FCDO publishes annual reports and accounts submitted to Parliament each year. The 2023-2024 session report includes humanitarian crisis response as part of four priority outcomes, but humanitarian crisis response is treated as one of the means to strengthen UK leadership in international development. Contributions to humanitarian assistance are not addressed as core outcomes, and no separate result framework is presented. However, the FCDO has developed the Humanitarian Emergency Response Operations and Stabilisation Programme (HEROS) to respond to all humanitarian and stabilization crises worldwide.
- In recent years, advances in Information and Communication Technology (ICT) and digital tools have brought significant changes to humanitarian assistance implementation, enabling rapid response, efficient resource allocation, and data-driven decision-making. Drones and Geographic Information Systems (GIS) play crucial roles in rapidly assessing damage scale and needs in disaster areas and planning support, while Artificial Intelligence (AI) and big data are utilized as data-driven decision tools for disaster response and prediction. Additionally, blockchain and biometric identification represent technologies that significantly enhance transparency and security, particularly demonstrating prominence in assistance for refugee. Blockchain technology contributes

to enhancing data security and facilitating refugee support without personal information leakage, while mobile money has greatly improved transparency and speed by enabling direct fund transfers to beneficiaries in cash assistance programs.

- The UK reports M&E results to Parliament through the International Development Committee and committees under ICAI. ICAI serves as the institution that evaluates the overall effectiveness of UK ODA, operating an independent aid effectiveness evaluation system.

2.2 European Union

2.2.1 Policy and Strategic Foundation for Humanitarian Assistance

- The EU emphasizes effective M&E-based project implementation according to principles and standards through the European Consensus on Humanitarian Aid, highlighting that humanitarian assistance should be based on assessed needs rather than specific objectives. The framework presents the relevance of specific evaluation criteria according to approaches and outlines elements that the EU should carefully consider, including inputs, performance indicators, costs, and efficiency.
- The EU's dedicated humanitarian assistance organization is the Directorate-General European Community Humanitarian Office (DG ECHO), which conducts humanitarian assistance across a comprehensive scope including disaster prevention, preparedness, response, and recovery, while performing M&E for these activities.
- The EU allocates humanitarian assistance budgets by assessing humanitarian needs to prioritize support according to institutional-level humanitarian assistance strategies, incorporating these priorities into the Annual Strategy (detailed explanation follows). DG ECHO drafts the Annual Strategy based on preceding needs assessment results, presenting general guidelines and operational priorities for EU humanitarian assistance. This serves as a strategic document for efficiently and equitably coordinating and programming humanitarian assistance activities according to identified priorities.

2.2.2 Resources for Facilitating M&E Implementation

- Since the EU does not provide humanitarian assistance directly in the field but partners with NGOs and international organizations to deliver support, humanitarian assistance M&E guidelines are published targeting the EU's major partner institutions. M&E subjects are divided into two categories: project implementation entities (referring to partner institutions, namely NGOs and IOs) and DG ECHO.
- Through the monitoring guideline 'Monitoring Overview and Guidance for Humanitarian Organisations' for humanitarian assistance projects with partners, the EU introduces monitoring formats and evaluation tools to strengthen the monitoring capacity of partner organizations, presenting detailed guidance aimed at establishing standard methodologies and enhancing capacity.
- This guideline targets NGO partners that implement humanitarian assistance projects with DG ECHO, ultimately aiming to strengthen the monitoring capacity of these partner institutions. It is important to note that the guideline serves not only to provide technical and instrumental guidance on 'how' partner institutions can conduct M&E of humanitarian assistance projects, but also functions as part of DG ECHO's broader strategy to build capacity in the humanitarian assistance sector.
- DG ECHO generally does not intervene directly in the field, and the implementation of humanitarian assistance activities is carried out in cooperation with approximately 200 partner institutions. Since M&E of humanitarian assistance projects is challenging, the selection of capable project implementation partners is crucial. The EU evaluates partners' capacities in advance to build a partner pool for collaboration with excellent partners.
- The selection criteria for the 30 international organizations (IO Partners) with which the EU has agreements for implementing humanitarian assistance activities include accounting transparency and institutional capacity. Meanwhile, with NGO partners, the EU issues the EU Humanitarian Partnership Certificate (2021-2027) to evaluate and manage the capacity of partner institutions.

- The European Personnel Selection Office (EPSO) competency framework serves as a model that broadly describes performance excellence within organizations, used not only for staff recruitment and selection purposes but also for career development, performance management, and human resource planning. The EU's core competency framework consists of analysis and problem solving, communication, delivering quality and results, learning and development, prioritizing and organizing, resilience, working with others, and leadership

2.2.3 M&E Implementation Systems and Operation

- DG ECHO has selected four institutional-level Key Performance Indicators (KPIs): the proportion of projects where field monitoring is possible, the proportion of humanitarian assistance funding for forgotten crisis situations, the response time of the European Union Civil Protection Mechanism (EU CPM) to assistance requests, and the appropriateness of response by the EU CPM.
- The strategic and program-level performance model was established in the 'Comprehensive evaluation of the European Union humanitarian aid (2012-2016)', through which an independent comprehensive evaluation and retrospective evaluation of humanitarian assistance provided by the EU over five years was conducted. The main content of the evaluation comprehensively assessed whether EU humanitarian assistance activities were based on needs, whether they ultimately contributed to restoring dignified life for affected populations which is the purpose of humanitarian assistance, and what positive outcomes and improvements were achieved. The evaluation was conducted focusing on criteria including relevance, coherence, effectiveness, efficiency, sustainability, and EU added value, with the EU's response to humanitarian needs derived using Theory of Change.
- The project-level performance model includes the Single Form template in Action Proposals submitted by partner institutions. Partner institutions select from Key Objective/Outcome Indicators (KOI), which are key result indicators, or add customized indicators when necessary.

Single Form Guideline: List of Key Outcome Indicators
• Crude mortality rate (number of deaths/10,000p/day)
• Average Coping Strategy Index score of the target population
• % of the target population with acceptable Food Consumption Score (FCS)
• Severe acute malnutrition recovery rate (at the discharge and after 3 and 6 months)
• Nutrition program coverage rate_
• % of 6–23 months old children in target population who receive a Minimum Acceptable Diet (MAD)
• % of target population with adequate WASH services and hygiene practices
• % reduction in the number of affected people (experienced, expected or modelled)
• Case fatality rate
• % of target population living in safe and dignified shelters in secure settlements
• % of target facilities (PHU, schools, markets) with basic WASH services functioning
• Average monthly number of explosive ordnance accidents/incidents reported in area of operation
• % of school-age children (boys and girls) with sustained access to quality protective learning opportunities in emergency situations

- DG ECHO actively encourages the use of ICT tools in M&E and advocates this in its institutional digitalization policy document, the ‘DG ECHO Policy Framework for Humanitarian Digitalisation’. In this document, the EU presents the following policy priorities to promote the use of digital tools and encourage innovation in humanitarian assistance.
- The EU reports M&E results for humanitarian assistance in two main categories: M&E results conducted at the strategic and management objective levels, and results measuring performance regarding project-level M&E outcomes.
- The Council of the European Union publishes the ‘Annual report on the European Union’s humanitarian aid operations financed’ each year, providing comprehensive information about humanitarian assistance implemented by the EU during the year.

3. Implication

○ According to the analytical framework of this study, a comparison of the strengths and characteristics of the UK and EU humanitarian assistance M&E systems is presented in the following table.

〈Comparison of Strengths and Features of UK and EU M&E Systems for Humanitarian Assistance〉

Analytical Element	United Kingdom (FCDO)	European Union (EU)
Policy and Strategic Foundation		
International M&E Standards & Recommendations	• Adherence to OECD DAC evaluation criteria (relevance, coherence, effectiveness, efficiency, impact, sustainability) • Core Humanitarian Standard, ALNAP's Evaluation of Humanitarian Action, Evaluation of Protection in Humanitarian Action, Real-time Evaluations (RTE), and others.	• Adherence to OECD DAC evaluation criteria (relevance and appropriateness, Connectedness, coherence, coverage, effectiveness, efficiency, impact) • While these evaluation criteria are applied in principle, additional criteria may be added or modified according to the purpose and use of each evaluation.
National M&E Policies & Strategic Foundation	• UK Humanitarian Framework 2022 • Humanitarian Funding Guidelines for NGOs • FCDO Evaluation Policy 2022 • FCDO Evaluation Strategy 2022 • UK government's Humanitarian Reform Policy	• European Consensus on Humanitarian Aid • Strategic Plan 2020-2024 • Management Plan 2023 • Annual Strategy • Humanitarian Implementation Plans (HIPs)
M&E Operational Approach	• Oversight of UK humanitarian assistance through the Humanitarian and Migration Directorate • M&E is handled by CHASE before FCDO merger, and by relevant departments within FCDO after the merger • Humanitarian Advisers (HAs) are utilized	• Implementation according to specific M&E guidelines based on organizational and project-level performance models (project level: mandatory completion of Single Form) • M&E execution through direct field implementation or field visits by DG ECHO headquarters staff • Geographic evaluations and thematic evaluations are conducted • Publication of Annual report on the European Union's humanitarian aid operations financed • Implementation and publication of Comprehensive evaluation of the European Union humanitarian aid (2017-2022) report

Analytical Element	United Kingdom (FCDO)	European Union (EU)
Implementation Facilitation Resource		
M&E Guidelines	• (Actors) NGO/IO partner institutions, external evaluation experts (consultants) • (Means) Third Party Monitoring (TPM), Real Time Evaluation (RTE), Secure Access in Volatile Environments (SAVE) toolkit	• (Actors) DG ECHO, NGO/IO partner institutions, external evaluation experts (consultants) • (Means) Monitoring Overview and Guidance for Humanitarian Organisations (2008)
Partner Institution Capacity Assessment System	• 2016 Multilateral Development Review (MDR) • Multilateral Performance Network(MOPAN) • Central Assurance Assessment(CAA), Due Diligence Assessment(DDA) • NGO pre-screening	• Building EU project partner pool through preliminary capacity assessment • International Organizations (IOs): assessment of institutional capacity and transparency • EU Member State Specialized Agencies (MSSA): • Pillar Assessment • European NGOs: certification system
Institutional/ Personnel Capacity Building System	• FCDO Technical Competency Framework • Education and capacity building programs • Organizational and individual technical capacity enhancement (FCDO evaluation literacy mainstreaming)	• General Competency Framework • DG ECHO staff capacity building • Implementing partner training programs
Implementation		
Result Framework	• Humanitarian assistance is not addressed as a core outcome of FCDO's development cooperation, with no performance model in place. • However, the Humanitarian Emergency Response Operations and Stabilisation Programme (HEROS) presents theory of change and logic models.	• Organizational and strategic-level performance models • Project-level performance models
Innovative M&E Tool (including ICT)	• Utilization of ICT and digital tools for M&E • Case studies of ICT and digital tool applications • Considerations when utilizing ICT and digital tools	• Same as left
	• Digital Development Strategy 2024–2030	• DG ECHO humanitarian digitalisation (2023)

Analytical Element	United Kingdom (FCDO)	European Union (EU)
Dissemination of Results & Public Sharing	• Publication of humanitarian assistance project-related reports and press releases on the UK government's official website. • Reporting to Parliament through committees under IDC and ICAI.	• Geographic and thematic evaluations. • Publication of Annual report on the European Union's humanitarian aid operations financed in 2023. • Implementation and publication of Comprehensive evaluation of the European Union humanitarian aid (2017–2022) reports. • Through the annually published Management Plan, indicators are established to measure efforts to raise general public awareness regarding EU humanitarian assistance (target values are not set, but annual achieved figures are being compiled).

○ Following the 2020 merger of Department for International Development (DFID) and Foreign & Commonwealth Office (FCO) into FCDO, the UK was reorganized into a comprehensive organization overseeing foreign affairs, development, and consular services. As a result, specialized M&E policy foundations and operations for humanitarian assistance are rarely implemented. Nevertheless, the various evaluation systems and instruments (such as third-party monitoring) that have been developed since the DFID era, along with ICAI's independent evaluation functions, are worthy of benchmarking.

○ In the case of the EU, a solid M&E policy foundation specialized for humanitarian assistance has been established through DG ECHO. Through the construction of performance models at the policy, strategy, organizational, and project levels, the EU has established a system that enables humanitarian assistance activities occurring at multiple levels to be organically interconnected and lead to outcomes. Furthermore, the development of monitoring guidelines targeting NGOs and INGOs, which are key partners in humanitarian assistance, and the operation of capacity building programs can be considered exemplary in the overall humanitarian assistance system.

□ Part 2. Improving Planning and M&E of projects in Fragile and Conflict-Affected Situations

1. Overview

- This chapter examines strategies to enhance the planning, monitoring, and evaluation (M&E) of aid programs in fragile and conflict-affected situations (FCAS). It reviews key international discussions, standards, and recommendations relevant to FCAS, with a particular focus on planning and M&E mechanisms. By analyzing the policy frameworks, project design and planning procedures, and M&E systems of two major donors—the United Kingdom and Germany—this chapter aims to identify lessons that can inform the Republic of Korea’s approach to engagement in FCAS contexts.

1.1. Discussions on Fragile and Conflict-Affected Situations Support

- **(International Development Cooperation and Fragility & Conflict)** Poverty, violence, and environmental degradation disproportionately affect fragile environments. Fragility and violence are interconnected, perpetuating a vicious cycle that expands conflict domestically and internationally. Continuous conflict has broadened the concept of fragile states within economic-centric perspective, as major threats to international security. This necessitates new aid approach integrating development, security, and politics, beyond poverty reduction. The international community is discussing simultaneously achieving poverty reduction and peacebuilding in development cooperation.
- **(Definition and Classification of Fragility)** Since 2005, the OECD has analyzed aid flows to fragile states through its reports, though early definitions of fragility faced criticism. From 2015, it revised to *States of Fragility*, introducing a multidimensional concept of fragility and expanding analysis from nation-states to systems and communities. Fragility is defined as “the combination of exposure to risk and insufficient capacity to manage, absorb, or mitigate those risks.” The OECD evaluates fragility across six dimensions: economic, environmental, political, security, social,

and human. Other institutions, such as the World Bank and the Fragile States Index (FSI), also provide frameworks and criteria for assessing fragility.

- **(The HDP Nexus Concept)** The Humanitarian-Development-Peace (HDP) Nexus refers to the interconnections between humanitarian aid, development cooperation, and peacebuilding efforts. In February 2019, the OECD DAC formally adopted the *DAC Recommendation on the Humanitarian-Development-Peace Nexus* as a normative legal instrument during its High-Level Meeting.

1.2. Project Planning and M&E Recommendations in Fragile and Conflict-Affected Situations

- In 2011, the OECD published *Supporting Statebuilding in Situations of Conflict and Fragility: Policy Guidance*, emphasizing the state-society relationship as a critical factor shaping fragility and resilience. It presents a conceptual framework based on three core propositions and provides recommendations for international support during statebuilding processes and their enabling environments.
- To enhance M&E practices in fragile contexts, the OECD released *The Global Partnership's Tailored Approach for Monitoring Effectiveness in Fragile Contexts* in 2019, which advocates simplified monitoring methods tailored to the unique challenges of development projects in fragile settings. Additionally, the OECD's 2012 guidance, *Evaluating Peacebuilding Activities in Settings of Conflict and Fragility: Improving Learning for Results*, offers conceptual and practical guidance for M&E in these complex environments.

2. Case Analysis of UK and German Support for Fragile and Conflict-Affected Situations

2.1. United Kingdom

2.1.1. Policies and Strategic Foundations for Supporting Fragile and Conflict-Affected Situations

- Before the 2020 merger of the DFID into the FCDO, the UK maintained relatively separate ODA strategies for fragile and conflict-affected countries. Since the FCDO integration, support for such contexts has shifted as part of a whole-of-government response strategy, emphasizing international conflict resolution and citizen protection.
- Since the merger, no official list of FCAS or corresponding strategies has been published. Despite a clear decline in overall ODA and humanitarian aid volumes, this does not necessarily indicate a diminished importance placed on support for fragile contexts.
- The UK defines fragile states as those “failing to make effective use of their own and international resources,” characterized by political instability, social conflict, economic vulnerability, and weak institutional capacity. UK support policies adopt a multi-dimensional approach addressing stabilization, peacebuilding, humanitarian aid, climate change, and human rights protection.

2.1.2. Implementation of Support for Fragile and Conflict-Affected Situations

- Currently, the UK government’s support system for FCAS is characterized by a ‘joined-up approach,’ featuring an integrated structure that leverages ODA and Non-ODA resources based on diplomatic, aid, and military decision-making. In November 2024, *the Joint Analysis of Conflict and Stability Guidance Note* was published, providing guidelines for inter-ministerial joint analysis by the UK government in conflict-affected regions.
- Within the UK’s FCDO, the Office for Conflict, Stabilisation and Mediation (OCSM) specializes in conflict resolution and peacebuilding, focusing on activities in specific conflict regions. The UK Integrated Security Fund¹⁾ (UKISF), launched in March 2023 as the successor to the Conflict, Stability and Security Fund (CSSF), aims to strengthen the UK’s overall national security and global influence. It addresses issues such as terrorism, cybersecurity, and economic security through a comprehensive system involving collaboration among multiple ministries including the Ministry of Defence,

1) Officially launched in March 2023.

Foreign Office, and digital security departments.

- The budget for the UK's support to FCAS is mainly sourced from two entities: OCSM and the UKISF(formerly CSSF). Since its 2017 update, the UK has not officially published a separate list of conflict-affected and fragile countries. Instead, the OECD classifies Highly Fragile Countries and fragile countries using a multidimensional vulnerability framework. According to this framework, 57% of the UK's ODA in 2022 was allocated to fragile countries. Although the balance among humanitarian aid, development cooperation, and peacebuilding in the UK's ODA to fragile countries has been gradually improving, the overall volume of UK support to these countries has sharply declined since 2020, resulting in significant impacts.

2.1.3. Project Planning in Fragile and Conflict-Affected Situations

- The UK government's strategy for supporting FCAS is based on the 'Integrated Review of Security, Defence, Development and Foreign Policy' (IR), a whole-of-government review first established in 2021 and updated in 2023 to respond to "a more competitive and volatile global environment."
- According to the Stabilisation Unit (2019)'s The UK Government's Approach to Stabilisation, the UK government carries out stabilization in conflict-affected regions to respond violence or the immediate threat, especially when local political structures and processes are fail manage conflict. Its stabilization support adheres to three core principles: protecting livelihoods, facilitating political processes to reduce violence, and laying groundwork for long-term stability.
- Among UK ministries, the Home Office, FCDO, and UKISF are major ODA implementers in humanitarian and conflict/fragility sectors, alongside ICRC, IFRC, and five UN agencies (WFP, UNICEF, UNHCR, WHO, UNRWA). Although there is no explicit strategy or rationale publicly stated for selecting these partners, the government plans its intervention by considering the thematic and regional expertise of these international organizations through unearmarked funding for their core programs. Even for unearmarked support, budget execution and performance achievement is monitored

through logical frameworks.

- The identification of UK FCAS projects largely follows two approaches. First, projects are identified based on country support plans developed by embassies and FCDO country offices. Second, it is identified through undifferentiated tracks for humanitarian aid and FCAS support, with headquarters determining and distributing budgets from humanitarian, FCAS, and other ODA funds.
- All ODA projects, including those in FCAS are planned based on the standardized framework presented by the FCDO PrOF (Program Operating Framework), adhering to a total of 29 rules outlined in the PrOF. Design, implementation, and completion rules appropriate for each portfolio/program/project or delivery channel are followed.

2.1.4. M&E of Projects in Fragile and Conflict-Affected Situations

- This study analyzes the M&E system and operational process of UK government support projects for FCAS based on the DFID's Stabilisation Unit's conflict and fragility support strategy (2019) and M&E strategy (2014), as the M&E strategy or system for these projects has not been updated since the merger of DFID and FCO into FCDO in September 2020.
- MEL (Monitoring, Evaluation, and Learning), allocated 5% of the total budget, is highlighted as the sixth of seven essential components in the Stabilisation Unit's (2019) framework for supporting conflict and fragile states.
- The five principles for effective M&E in FCAS support encompass adaptability, political sensitivity, conflict and gender sensitivity, innovation and learning from other contexts, and appropriate, realistic resource allocation. The UK government's MEL budget guidance (Stabilisation Unit, 2019a) generally recommends allocating 5~10% of intervention budgets (OECD suggests 3~5%) but acknowledges this may be inadequate in fragile conflict situations.
- Similar to other development programs, M&E for FCAS involves a theory of change and following RBM procedures. However, M&E are conducted during project implementation rather than after completion, with findings used to refine the theory

of change. Consequently, mid-term evaluations, ongoing monitoring, real-time evaluations, and evaluative monitoring are prioritized over final evaluations to ensure timely, context-sensitive responses.

- Constraints in M&E within FCAS often stem from the limited capacity of implementing agencies or local partners and frequent challenges in field access. To address these, Third-party Monitoring (TPM) may be considered to supplement internal monitoring mechanisms.
- The UK prioritizes Value for Money (VfM) as a core principle across all ODA initiatives. In 2011, DFID established the 'Value for Money Framework,' which has been continuously used without updates since the merger into FCDO. This framework defines VfM as enhancing the value of UK ODA and maximizing the impact of all expenditures on improving the lives of disadvantaged populations. VfM is focused on cost-cutting but on demonstrating how taxpayers' funds are allocated to outputs and how these outputs convert into tangible outcomes. In contexts of humanitarian crises amid conflict and fragility, conducting comprehensive VfM analyses is often impeded by limitations in time, resources, and information. Under such circumstances, analyzing VfM based on speed, quality, and cost is advised. Nonetheless, VfM's emphasis on efficiency and economy has been criticized for its limited compatibility with adaptive management approaches that require flexibility in dynamic field.
- The FCDO Evaluation Unit has established a standardized quality management framework for outputs across project phase, implemented by all agencies delivering UK ODA. EQUALS 2, a program overseen by the Evaluation Unit, offers independent quality assurance for FCDO's evaluation and monitoring outputs, based on 69 indicators. FCDO's PrOF Rule 7 mandates that all FCDO evaluations be publicly available and actively disseminated to stakeholders.

2.2. Germany

2.2.1. Policies and Strategic Foundations for Supporting Fragile and Conflict-Affected Situations

○ Germany's strategic approach to supporting FCAS contexts centers on development cooperation, stabilization, and security reinforcement. To this end, the German government combines independent ministry-level approaches with a unified inter-ministerial cooperation framework. The Federal Ministry for Economic Cooperation and Development (BMZ) leads the implementation of Transitional Development Assistance (TDA), a framework designed to bridge the gap between humanitarian aid and long-term development, with a focus on stabilization and recovery in FCAS. The Ministry of Defence (MoD) manages the Security Capacity Enhancement Initiative (Ertüchtigungs initiative), aiming to strengthen defense and security capacities in fragile, conflict-prone partner states. The Federal Ministry of the Interior (BMI) supports international law enforcement cooperation, promotes rule-of-law institutions, assists in border and migration management, and contributes to strengthening disaster preparedness and response. While ministries pursue their own mandates, coordination is ensured through integrated approaches such as the HDP Nexus, enabling joint planning and sectoral complementarity.

2.2.2. Implementation of Support for Fragile and Conflict-Affected Situations

- Each ministry undertakes distinct roles based on its area of expertise. The BMZ applies quantitative and evidence-based criteria to identify countries classified as fragile or conflict-affected. Under the BMZ 2030 Reform, a list of 65 official partner countries was published, including 10 FCAS categorized as Nexus and Peace Partners. In contrast, BMI and MOD apply more discretionary criteria based on security and policy priorities. Since early 2018, the German government has employed the ESKA (Eskalationspotentialanalyse – Escalation Potential Analysis) tool to conduct annual assessments of partner countries' risk of conflict escalation.
- In 2022, Germany allocated USD 35.64 billion in ODA, according to the Federal Statistical Office (Statistisches Bundesamt). BMZ accounted for the largest share, disbursing 40.46% of the total. While ODA increased steadily from 2000 to 2008, they temporarily declined in 2009 due to austerity measures following the global financial crisis. Since then, ODA has rebounded, reaching a historic high in 2022.

2.2.3. Project Planning in Fragile and Conflict-Affected Situations

- BMZ employs Transitional Development Assistance (TDA) as a strategic approach for engaging in fragile contexts. The revised 2020 TDA framework places greater emphasis on strengthening resilience, defined as the vulnerability of local communities and subnational governments to climate change, conflict, and migration pressures.
- The primary aim of Germany's TDA strategy is to shift the focus away from short-term humanitarian assistance toward long-term development efforts that build self-reliance. In this context, TDA serves as a bridging mechanism between immediate relief and sustainable development.
- In fragile settings, Germany underscores the importance of adaptability and flexibility to improve the effectiveness of ODA. This includes the ability to use funding flexibly and respond swiftly to rapidly changing field conditions. The approach aims to balance rapid decision-making with a focus on long-term development impact.
- BMZ defines vulnerabilities as ① conflict, ② disasters or severe natural hazards, ③ epidemics, and ④ protracted refugee crises, and continues its development cooperation through TDA. BMZ also takes an area-based rather than sector-based approach in its interventions in fragile countries and situations. Consequently, most TDA projects follow a multi-sectoral approach. Germany's focus areas include four priorities: food and nutrition security, reconstruction of basic infrastructure and services, disaster risk management (DRM), and support for peaceful and inclusive communities.
- TDA projects generally follow the standard identification and planning procedures used in German development cooperation. However, they include additional crisis-specific assessments during the planning phase and are designed in accordance with TDA-specific principles. Projects are usually identified one year before implementation. Project design follows a set of established standards, including a focus on resilience, integration of the HDP nexus, development of exit strategies, application of Peace and Conflict Analysis (PCA), inclusion of vulnerable groups and gender perspectives, adherence to OECD-DAC criteria, and compliance with EU and UN sanctions.

- Resilience analysis is highly emphasized during the project planning, with five key questions developed based on BMZ's resilience learning initiative and the OECD (2014) resilience systems framework. The resilience analysis is conducted using a matrix and utilizes risk and crisis assessments in economic, environmental, political, security, and social dimensions as defined by the OECD (2020) State of Fragility report, including peace and conflict analysis (PCA) and gender analysis. The analysis is performed at both the portfolio and project levels.

2.2.4. M&E of Projects in Fragile and Conflict-Affected Situations

- M&E of Germany's conflict and fragile states support projects are conducted following guidelines from the implementing agencies, AA and BMZ. For BMZ's TDA projects, relevant to this study, M&E is conducted based on BMZ's Evaluating German Development Cooperation. While no specific M&E strategy document exists for TDA or projects in FCAS, the OECD DAC's six evaluation criteria are recommended for use when evaluating humanitarian or conflict-related interventions. AA-led projects are evaluated by external experts, with the Independent Evaluation Committee offering strategic guidance, internal feedback, and public dissemination of findings.
- For ODA projects implemented by BMZ with budgets exceeding €3 million, approximately 200 projects are selected annually for evaluation through a random sampling method. If a country is classified as fragile or conflict-affected based on the German government's ESKA analysis, the use of a context- and conflict-sensitive monitoring system becomes mandatory. The results-based monitoring (RBM) system commonly used in Germany's development cooperation projects is also applied to projects in fragile and conflict-affected settings, but with additional analysis at each stage.
- Evaluations are divided into project-level and strategic-level evaluations. Project-level evaluations are conducted by implementing agencies such as GIZ, KfW, UN agencies, and NGOs, and carried out by external experts. Strategic-level evaluations are conducted by DEval (German Institute for Development Evaluation), focusing on policy-related strategies. DEval assesses the effectiveness of Germany's development strategies, develops evaluation methodologies and standards, disseminates knowledge,

and supports capacity-building for evaluations in partner countries.

- In fragile and conflict-affected contexts, movement restrictions and other challenges hinder the quality of M&E. As a result, DEval recommends that BMZ allocate separate budgets for project implementation and for M&E.
- In 2020, the German government introduced aggregate indicators. The primary purpose of these indicators is communication with the German public and consultations with major ODA donors, rather than evaluation. Developed jointly by GIZ and KfW—BMZ’s primary implementing agencies—the indicators were finalized after approximately two years of development and coordination. The latest set of aggregate indicators includes 44 indicators across six areas. Eight of these indicators—under Area 1: Peaceful and Inclusive Societies—are used to track support for fragile and conflict-affected contexts.

3. Implication

3.1. Comparison of Strengths and Features of UK and German M&E Systems for Fragile and Conflict-Affected Situations

- This study summarizes the M&E systems for FCAS assistance in the United Kingdom and Germany using three key elements of the analytical framework: (1) policy and strategic foundations, (2) enabling resources (including project planning), and (3) M&E implementation and operational mechanisms. Both case study countries, while adhering to international M&E standards and recommendations, are also striving for systematic M&E implementation by developing their own institutional guidelines, such as M&E guidelines. The following table compares the distinctive features of the UK and German M&E systems for supporting fragile and conflict-affected countries based on the analytical framework of this study.

Comparison of Strengths and Features of UK and German M&E Systems for FCAS

Analytical Element	United Kingdom (FCDO)	Germany (BMZ)
Policy Framework		
International M&E Standards & Recommendations	• Adherence to OECD DAC evaluation criteria (relevance, coherence, effectiveness, efficiency, impact, sustainability) • Addition of Conflict Analysis, Gender Analysis	• Adherence to OECD DAC evaluation criteria (relevance, coherence, effectiveness, efficiency, impact, sustainability) • Mandatory Resilience analysis: includes Peace and Conflict Analysis (PCA), Gender Analysis
National M&E Policies & Strategic Foundation	• HMG Integrated Review (2021, 2023) • UK White Paper (2023) • UK Government's Approach to Stabilisation • Building Stability Framework (2016) • FCDO evaluation strategy (2023) • FCDO Programme Operating Framework (2024) • SU M&E of Conflict and Stabilisation Interventions (2014)	• AA Peace Mediation Framework • BMZ 2030 Reform (2020) • BMZ Strategy on Transitional development assistance (2013, 2020) • ESKA (2018) • BMZ Evaluating German Development Cooperation (2023) • GIZ evaluation system (2023) • GIZ Context- and conflict-sensitive results-based monitoring (2014)
Implementation Facilitation Mechanism		
National Support Strategy	• Post-FCDO integration, expanded FCAS support focused on national security. Approximately 50% implemented for domestic refugee settlement support. • Approximately 50% of total FCDO ODA. • Emphasis on improving women's rights within FCAS support based on WPS (Women, Peace, and Security) policy.	• TDA (Transitional Development Assistance) approach connecting short-term humanitarian aid with medium-to-long-term development cooperation. • Approximately 70–80% of total BMZ ODA. • Resilience building emphasized as the top strategic goal.
Project Identification & Planning	• Joined-up Approach: Whole-of-government joint decision-making across diplomacy, aid, and security, involving FCDO (Development and Economic Affairs), Home Office, Ministry of Defence, etc. • Integration of ODA and Non-ODA funds for implementation (e.g., UKISF). • For FCDO: Joint identification by UK Embassies and FCDO country offices	• National Security Council (Ministry of Foreign Affairs, Ministry of the Interior, Ministry of Defence, Federal Ministry for Economic Cooperation and Development, Ministry of Finance, Ministry of Justice, Ministry of Economic Affairs) HDP Nexus coordination. • Representative implementing agencies: BMZ and AA.

Analytical Element	United Kingdom (FCDO)	Germany (BMZ)
	within partner countries (CP-based) → Whole-of-government utilization of FCAS support budget through HQ approval process.	Adherence to TDA project identification principles, the BMZ's representative program for FCAS support (resilience analysis, HDP Nexus, exit strategy).
M&E Implementation Entity & Means	- Implementing agencies (ICRC, IFRC, key UN agencies, NGOs), ICAI, TPM. - Adherence to PrOF procedures, M&E implemented according to GA, Business Case, and Logframe for each project/program. - Independent quality assurance based on 69 indicators through the EQUALS2 program.	- Government implementing agencies (GIZ, KfW), UN agencies (e.g., UNICEF, WFP), self-evaluation by NGOs, meta-evaluation by independent evaluation body (DEval). - M&E implemented including FCAS support elements within BMZ RBM implementation.
Implementation		
Performance Framework	- Absence of national-level aggregate indicators. Theory of change, Logframe, and performance indicators agreed with implementing agencies at portfolio/program level. - Mandatory VfM measurement. - Achievement indicators added within WPS national implementation plan.	- Utilization of 8 relevant indicators out of 44 national-level aggregate indicators. - Based on performance indicators agreed with implementing agencies at program/project level. - Mandatory resilience analysis results.
Evaluation & Monitoring Implementation	- Monitoring and evaluation implemented by project implementing agencies (ICRC, IFRC, key UN agencies, NGOs). - M&E budget set at 5–10% of project budget (SU, 2019). - Meta-evaluation by independent evaluation body (ICAI). - Utilization of Third-Party Monitoring (TPM), evaluative monitoring, real-time evaluation.	- Monitoring and evaluation implemented by project implementing agencies (government, UN, NGOs). - Strategic evaluation, meta-evaluation by independent evaluation body (DEval). - Utilization of TPM, evaluative monitoring, real-time evaluation.
Dissemination of Results & Public Relations	- Annual FCDO annual report and financial reports publicly disclosed. - All evaluation reports publicly disclosed according to FCDO PrOF Rule 7. - Annual UKISF (formerly CSSF) fund operation reports publicly disclosed. - ICAI provides evaluations and policy recommendations on whole-of-government FCAS support.	GIZ and KfW annually submit aggregate indicator results to BMZ; aggregate indicators emphasized for communication purposes rather than aid performance reporting.

3.2. Implications for KOICA's M&E Guideline Development for project in Fragile and Conflict-Affected Situations

- The UK and Germany allocate a significant portion of their total ODA to support for fragile and conflict-affected states, but instead of having separate implementation systems or M&E guidelines, they design their overall ODA strategies and guidelines with conflict and fragility considerations. Both countries align their national strategies with international standards and principles (e.g., Grand Bargain, HDP Nexus). Accordingly, Korea should ensure that its strategies and M&E guidelines for fragile and conflict-affected contexts are aligned with international standards.
- The UK and Germany implement programs in fragile contexts through strategic partnerships with the UN and major NGOs, with a strong reliance on unearmarked funding. The UK, in particular, selects implementing partners based on demand-driven logic models and performance indicators, enabling strategic delivery even through unearmarked modalities. The Korean government also need to conduct regular contextual analyses and establish detailed strategies(theory of change, logic models, and performance indicators) for fragile contexts. These strategies should guide the selection of partners and programs, allowing for the expansion of unearmarked funding in alignment with international standards.
- In fragile settings, adaptive M&E strategies are essential to respond to rapidly evolving contexts, with a strong emphasis on leveraging the M&E capacities of implementing partners. Where physical access is constrained, real-time and third-party evaluations are key tools for adaptive management, and securing separate budgets should also be considered. Future M&E guidelines should reflect the complexities of fragile environments by allowing for methodological and temporal flexibility, and by shifting the focus from accountability to learning.

3.3. Considerations for Applying Lessons from International Cases

- The M&E systems and approaches for supporting fragile and conflict-affected situations in the UK and Germany are shaped by their respective political, diplomatic,

economic, and social contexts. Accordingly, KOICA should ensure a thorough contextual understanding of these factors when developing its own M&E guidelines.

- This study does not directly assess the Korean government's or KOICA's current support for fragile and conflict-affected countries, but preliminarily presented the status based on existing strategic documents. While KOICA implements its programming following Korea's ODA policy and the Ministry of Foreign Affairs policies, it needs to strengthen strategic coherence and a systematic approach to selecting target countries. It has been confirmed that performance frameworks and standard performance indicators for more systematic M&E will be further developed in future efforts, drawing on the findings and recommendations of this study.