United Nations Trust Fund for Human Security

HUMAN SECURITY IN THEORY AND PRACTICE

Application of the Human Security Concept and the United Nations Trust Fund for Human Security

Human Security Unit

Office for the Coordination of Humanitarian Affairs

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Executive Summary

Prepared as a guide for practitioners who wish to integrate the added value of the human security approach into their work, this handbook provides an overview of the human security concept and its operational impact. Useful tools for applying the human security concept, including a step-by-step strategy for developing, implementing and evaluating human security programme/projects are provided. Two detailed case studies; one in post-conflict situations and another related to food insecure scenarios, demonstrate the application of these human security tools and are followed with additional examples of projects supported under the United Nations Trust Fund for Human Security.

This handbook assumes prior knowledge in programme/project management methods, such as Results Based Management (RBM) as well as logical framework analysis, and will be accompanied by a series of trainings for UN agencies, field staff and other stakeholders.

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List of Acronyms

ABHS	Advisory Board on Human Security
ASEAN	Association of South East Asian Nations
CFA	Comprehensive Framework for Action
CHS	Commission on Human Security
DDC	District Development Committees
DRC	Democratic Republic of the Congo
FAO	Food and Agriculture Organization
HDI	Human Development Index
HLTF	High Level Task Force on the Global Food Security Crisis
HSIA	Human Security Impact Analysis
HSN	Human Security Network
HSU	Human Security Unit
ICC	International Criminal Court
IDP	Internally Displaced Persons
ILO	International Labor Organization
IMF	International Monetary Fund
IOM	International Organization for Migration
FHS	Friends of Human Security
FMLN	Farabundo Martí National Liberation Front
LAS	League of Arab States
MDG	Millennium Development Goals
MONUC	United Nations Mission in the Democratic Republic of the Congo
NGO	Non-Governmental Organization
NRS	National Referral System
OAS	Organization of American States
OCHA	Office for the Coordination of Humanitarian Affairs
OHCHR	Office of the United Nations High Commissioner for Human Rights
OSCE	Organization for Security and Co-operation in Europe
PAHO	Pan-American Health Organization
PRSP	Poverty Reduction Strategy Paper
RFTF	Results Focused Transitional Framework
SAP	Structural Adjustment Programme
UN	United Nations
UNDP	United Nations Development Programme
UNFPA	United Nations Population Fund
UNHCR	Office of the United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UNIFEM	United Nations Development Fund for Women
UNODC	United Nations Office on Drugs and Crime
UNTFHS	United Nations Trust Fund for Human Security
UNV	United Nations Volunteers
WFP	World Food Programme
WHO	World Health Organization
WTO	World Trade Organization

Chapter 1 - The Concept of Human Security and its Added Value[1]

1.1 The Concept of Human Security as defined by the Commission on Human Security

Why Human Security Now?

As argued by the Commission on Human Security[2] (CHS), the need for a new paradigm of security is associated with two sets of dynamics:

- First, human security is needed in response to the complexity and the interrelatedness of both old and new security threats – from chronic and persistent poverty to ethnic violence, human trafficking, climate change, health pandemics, international terrorism, and sudden economic and financial downturns. Such threats tend to acquire transnational dimensions and move beyond traditional notions of security that focus on external military aggressions alone.

- Second, human security is required as a comprehensive approach that utilizes the wide range of new opportunities to tackle such threats in an integrated manner. Human security threats cannot be tackled through conventional mechanisms alone. Instead, they require a new consensus that acknowledges the linkages and the interdependencies between development, human rights and national security.

What is Human Security?

The CHS, in its final report *Human Security Now*, defines human security as:

> "…**to protect the vital core of all human lives in ways that enhance human freedoms and human fulfillment**. Human security means protecting fundamental freedoms – freedoms that are the essence of life. It means protecting people from critical (severe) and pervasive (widespread) threats and situations. It means using processes that build on people's strengths and aspirations. It means creating political, social, environmental, economic, military and cultural systems that together give people the building blocks of survival, livelihood and dignity." (CHS: 2003: 4)

Overall, the definition proposed by the CHS re-conceptualizes security in a fundamental way by:

(i) moving away from traditional, state-centric conceptions of security that focused primarily on the safety of states from military aggression, to one that concentrates on the security of the individuals, their protection and empowerment;

[1] This handbook has been developed by the HSU-OCHA under the guidance of Dr. Shahrbanou Tadjbakhsh, Sciences Po, and in close collaboration with Ms. Hitomi Kubo, Sciences Po, and Ms. Elianna Konialis.

[2] The Commission on Human Security was established in January 2001 in response to the UN Secretary-General's call at the 2000 Millennium Summit for a world "free from want" and "free from fear." The Commission consisted of twelve prominent international figures, including Mrs. Sadako Ogata (former UN High Commissioner for Refugees) and Professor Amartya Sen (1998 Nobel Economics Prize Laureate).

(ii) drawing attention to a multitude of threats that cut across different aspects of human life and thus highlighting the interface between security, development and human rights; and
(iii) promoting a new integrated, coordinated and people-centered approach to advancing peace, security and development within and across nations.

What are the main features of Human Security?

Human security brings together the 'human elements' of security, rights and development. As such, it is an inter-disciplinary concept that displays the following characteristics:

- people-centered
- multi-sectoral
- comprehensive
- context-specific
- prevention-oriented

As a **people-centered** concept, human security places the individual at the 'centre of analysis.' Consequently, it considers a broad range of conditions which threaten survival, livelihood and dignity, and identifies the threshold below which human life is intolerably threatened.

Human security is also based on a **multi-sectoral** understanding of insecurities. Therefore, human security entails a broadened understanding of threats and includes causes of insecurity relating for instance to economic, food, health, environmental, personal, community and political security.

Table I: Possible Types of Human Security Threats [3]

Type of Security	Examples of Main Threats
Economic security	Persistent poverty, unemployment
Food security	Hunger, famine
Health security	Deadly infectious diseases, unsafe food, malnutrition, lack of access to basic health care
Environmental security	Environmental degradation, resource depletion, natural disasters, pollution
Personal security	Physical violence, crime, terrorism, domestic violence, child labor
Community security	Inter-ethnic, religious and other identity based tensions
Political security	Political repression, human rights abuses

Moreover, human security emphasizes the interconnectedness of both threats and responses when addressing these insecurities. That is, threats to human security are mutually reinforcing and inter-connected in two ways. First, they are interlinked in a domino effect in the sense that each threat feeds on the other. For example, violent conflicts can lead to deprivation and poverty which in turn could lead to resource depletion, infectious diseases, education deficits, etc. Second, threats within

[3] Based on the UNDP Human Development Report of 1994 and the HSU-OCHA.

a given country or area can spread into a wider region and have negative externalities for regional and international security.

This interdependence has important implications for policy-making as it implies that human insecurities cannot be tackled in isolation through fragmented stand-alone responses. Instead, human security involves **comprehensive** approaches that stress the need for cooperative and multi-sectoral responses that bring together the agendas of those dealing with security, development and human rights. "With human security [as] the objective, there must be a stronger and more integrated response from communities and states around the globe" (CHS: 2003: 2).

In addition, as a **context-specific** concept, human security acknowledges that insecurities vary considerably across different settings and as such advances contextualized solutions that are responsive to the particular situations they seek to address. Finally, in addressing risks and root causes of insecurities, human security is **prevention-oriented** and introduces a dual focus on protection and empowerment.

What do Protection and Empowerment mean for achieving Human Security?

Protection and empowerment of people are the two building blocks for achieving the goal of human security. They are proposed by the CHS as the bi-parts of any human security policy framework.

- **Protection** is defined by the CHS as "strategies, set up by states, international agencies, NGOs and the private sector, [to] shield people from menaces" (CHS: 2003:10). It refers to the norms, processes and institutions required to protect people from critical and pervasive threats.

  Protection implies a **"top-down"** approach. It recognises that people face threats that are beyond their control (e.g., natural disasters, financial crises and conflicts). Human security therefore requires protecting people in a *systematic*, *comprehensive* and *preventative* way. States have the primary responsibility to implement such a protective structure. However, international and regional organizations; civil society and non-governmental actors; and the private sector also play a pivotal role in shielding people from menaces.

- **Empowerment** is defined by the CHS as "strategies [that] enable people to develop their resilience to difficult situations" (CHS: 2003:10).

  Empowerment implies a "**bottom up"** approach. It aims at developing the capabilities of individuals and communities to make informed choices and to act on their own behalf. Empowering people not only enables them to develop their full potential but it also allows them to find ways and to participate in solutions to ensure human security for themselves and others.

As clearly stated by the CHS, protection and empowerment **are mutually reinforcing** and cannot be treated in isolation: "both are required in nearly all situations of human insecurity, though their form and balance will vary tremendously across circumstances" (CHS: 2003:10).

1.2 How does Human Security differ from Traditional Security, Human Development and Human Rights Approaches?

"Human Security complements state security, strengthens human development and enhances human rights" (CHS: 2003: 2). Yet the question often arises as to what are the substantive differences between these concepts. Significant among these are the following:

- Whereas state security concentrates on threats directed against the state, mainly in the form of military attacks, human security draws attention to a wide scope of threats faced by individuals and communities. It focuses on root causes of insecurities and advances people-centered solutions that are locally driven, comprehensive and sustainable. As such, it involves a broader range of actors: e.g. local communities, international organizations, civil society as well as the state itself. Human security, however, is not intended to displace state security. Instead, their relationship is complementary: "human security and state security are mutually reinforcing and dependent on each other. Without human security, state security cannot be attained and vice versa" (CHS: 2003: 6).

- To human development's objective of 'growth with equity', human security adds the important dimension of 'downturn with security'. Human security acknowledges that as a result of downturns such as conflicts, economic and financial crises, ill health, and natural disasters, people are faced with sudden insecurities and deprivations. These not only undo years of development but also generate conditions within which grievances can lead to growing tensions. Therefore, in addition to its emphasis on human well-being, human security is driven by values relating to security, stability and sustainability of development gains.

- Lastly, too often gross violations of human rights result in conflicts, displacement, and human suffering on a massive scale. In this regard, human security underscores the universality and primacy of a set of rights and freedoms that are fundamental for human life. Human security makes no distinction between different kinds of human rights – civil, political, economic, social and cultural rights thereby addressing violations and threats in a multidimensional and comprehensive way. It introduces a practical framework for identifying the specific rights that are at stake in a particular situation of insecurity and for considering the institutional and governance arrangements that are needed to exercise and sustain them.

1.3 The Added Value of Human Security as an Operational Tool

Human security is increasingly being adopted as a doctrine to guide foreign policies and international development assistance, as well as a policy tool for programming in the fields of security, development and humanitarian work.

The strength and appeal of human security as an operational tool for analysis, explanation and programming lies in the following components:

(i) A Framework for Protection and Empowerment

Human security derives much of its strength from its dual policy framework resting upon the two

mutually reinforcing pillars of protection and empowerment (as defined under section 1.1 above). Operationalization of this framework introduces a hybrid approach which:

- Combines **top-down** norms, processes and institutions, including the establishment of the rule of law, good governance, accountability and social protective instruments with a **bottom-up focus** in which democratic processes support the important role of individuals and communities as actors in defining and implementing their essential freedoms.
- Helps identify gaps in the existing security infrastructure and detects ways to mitigate the impact of existing security deficits.
- Ensures the sustainability of programmes and policies as protection and empowerment are introduced in a systematic and preventative manner with a look to long-term stability.
- Reinforces peoples' ability to act on their own behalf.
- Strengthens the resilience of individuals and communities to conditions of insecurity.
- Encourages participatory processes.

(ii) Comprehensive

Human security addresses the full scope of human insecurities. It recognises the multi-dimensional character of security threats – including but not limited to violent conflict and extreme impoverishment – as well as their interdependencies (both sectorally and geographically). In particular, as an operational approach, human security:

- Attributes equal importance to civil, political, economic, social, and cultural rights.
- Sets rudimentary thresholds below which no person's livelihood, survival and dignity should be threatened.
- Provides a practical framework for the identification of a wide range threats in given crisis situations.
- Addresses threats both within and across borders.
- Encourages regional and multilateral cooperation.

(iii) Multi-sectoral

Coherence is needed between different interventions in order to avoid negative harms while choosing multiplying effects of positive interventions. To this end, human security develops a true multi-sectoral agenda which:

- Captures the ultimate impact of development or relief interventions on human welfare and dignity.
- Provides a practical framework for assessing positive and negative externalities of interventions supported through policies, programmes and projects.
- Enables comprehensive and integrated solutions from the fields of human rights, development and security in a joint manner.
- Helps to ensure policy coherence and coordination across traditionally separate fields and doctrines.
- Allows for knowledge-sharing and results-oriented learning.

(iv) Contextualization

Insecurities vary significantly across countries and communities. Both their causes and expressions depend on a complex interaction of international, regional, national and local factors. Addressing peoples' insecurities therefore always requires specification to capture variations over time and contexts. As a universally applicable, broad and flexible approach, human security provides a dynamic framework that:

- Addresses different kinds of insecurity as these manifest themselves in specific contexts.
- Builds on processes that are based on peoples' own perceptions of fear and vulnerability.
- Identifies the concrete needs of populations under stress.
- Enables the development of more appropriate solutions that are embedded in local realities.
- Unveils mismatches between domestic and/or international policies and helps identify priority security needs at the local level.
- Looks at the impact of global developments on different communities.
- Captures the rapidly changing international, regional and domestic security environments.

(v) Emphasis on Prevention

A distinctive element of human security is its focus on early prevention to minimize the impacts of insecurity, to engender long-term solutions, and to build human capacities for undertaking prevention. In this regard, human security:

- Addresses root causes of human insecurities.
- Emphasises early prevention rather than late intervention – thereby, more cost-effective.
- Encourages strategies concerned with the development of mechanisms for prevention, the mitigation of harmful effects when downturns occur and, ultimately, with helping victims to cope.

(vi) Partnerships and Collaboration

With its emphasis on the interconnectedness of threats, human security requires the development of an **interconnected network of diverse stakeholders**, drawing from the expertise and resources of a wide range of actors from across the UN as well as the private and public sectors at the local, national, regional and international levels. Human security can therefore lead to the establishment of synergies and partnerships that capitalise on the comparative advantages of each implementing organization and help empower individuals and communities to act on their own behalf.

(vii) Benchmarking, Evaluation and Impact Assessment

Analyses based on human security can be of widespread importance. By providing a holistic and contextual account of peoples' concrete needs and the factors endangering their security, the information obtained through such analyses can be used in assessing existing institutional arrangements and policies as well as a benchmark for impact evaluation.

Chapter 2 - How to Operationalise the Human Security Concept

2.1 Human Security Principles and Approach

From an operational perspective, human security aims to address complex situations of insecurity through collaborative, responsive and sustainable measures that are (i) people-centered, (ii) multi-sectoral, (iii) comprehensive, (iv) context-specific, and (v) prevention-oriented. In addition, human security employs a hybrid approach that brings together these elements through a protection and empowerment framework.

Subsequently each human security principle informs the human security approach and must be integrated into the design of a human security programme[4].

HS Principle	HS Approach
People-centered	➢ Inclusive and participatory. ➢ Considers individuals and communities in defining their needs/vulnerabilities and in acting as active agents of change. ➢ Collectively determines which insecurities to address and identifies the available resources including local assets and indigenous coping mechanisms.
Multi-sectoral	➢ Addresses multi-sectorality by promoting dialogue among key actors from different sectors/fields. ➢ Helps to ensure coherence and coordination across traditionally separate sectors/fields. ➢ Assesses positive and negative externalities of each response on the overall human security situation of the affected community(ies).
Comprehensive	➢ Holistic analysis: the seven security components of human security. ➢ Addresses the wide spectrum of threats, vulnerabilities and capacities. ➢ Analysis of actors and sectors not previously considered relevant to the success of a policy/programmme/project. ➢ Develop multi-sectoral/multi-actor responses.
Context-specific	➢ Requires in-depth analysis of the targeted situation. ➢ Focuses on a core set of freedoms and rights under threat in a given situation. ➢ Identifies the concrete needs of the affected community(ies) and enables the development of more appropriate solutions that are embedded in local realities, capacities and coping mechanisms. ➢ Takes into account local, national, regional and global dimensions and their impact on the targeted situation.
Prevention-oriented	➢ Identifies risks, threats and hazards, and addresses their root causes. ➢ Focuses on preventative responses through a protection and empowerment framework.

[4] While this handbook is focused on human security programme development, nevertheless, the same principles and approach can also be applied to human security project development and where appropriate to human security policies.

2.2 Human Security Programme Phases

To design a human security programme, the following phases must be considered. Each phase requires a set of goals and tasks which provide the actions needed to ensure the integrity of the human security programme.

Phase	Goals and tasks
Phase 1: Analysis, Mapping and Planning	➢ Establish participatory processes and collectively identify the needs/vulnerabilities and the capacities of the affected community(ies). ➢ Map insecurities based on actual vulnerabilities and capacities with less focus on what is feasible and more emphasis on what is actually needed. ➢ Establish priorities through needs/vulnerabilities and capacity analysis in consultation with the affected community(ies). ➢ Identify the root causes of insecurities and their inter-linkages. ➢ Cluster insecurities based on comprehensive and multi-sectoral mapping and be vigilant of externalities. ➢ Establish strategies/responses that incorporate empowerment and protection measures. ➢ Outline short, medium, and long-term strategies/outcomes even if they will not be implemented in the particular programme. (Outlining strategies at different stages with the community is an important foundation for sustainability.) ➢ Establish multi-actor planning to ensure coherence on goals and the allocation of responsibilities and tasks.
Phase 2: Implementation	➢ Implementation in collaboration with local partners. ➢ Capacity building of the affected community(ies) and local institutions. ➢ Monitoring as part of the programme and the basis for learning and adaptation.
Phase 3: Impact Assessment	➢ Are we doing the right thing as opposed to whether or not we are doing things right? ➢ Does the programme alleviate identified human insecurities while at the same time avoiding negative externalities? ➢ Deriving lessons learned from failures and successes and improving the programme.

Phase 1: Analysis, Mapping and Planning

During the initial analysis, mapping and planning phase of a human security programme, it is critically important to ensure that the programme addresses the actual needs/vulnerabilities and capacities of the affected community(ies) and presents strategies that are based on the protection and empowerment framework with the active participation and implementation of the affected community(ies). Specifically, the **goals of the analysis, mapping and planning phase** are to:

(i) collectively identify the needs/vulnerabilities and the capacities of the affected community(ies) and develop programme priorities in consultation with the affected community(ies);
(ii) identify the root causes of insecurities and their inter-linkages across sectors, and establish comprehensive responses that generate positive externalities for the affected community(ies).
(iii) ensure coherence on the goals and the allocation of responsibilities among the various actors; and
(iv) include short, medium, and long-term strategies.

A. The Human Security Analytical Framework to Needs/Vulnerabilities and Capacity Analysis

A human security analytical framework to needs/vulnerabilities and capacity analysis is necessary to guide the development and the implementation of the data collection process as well as to inform the analysis of the data from a human security perspective. Specifically, the human security approach to needs/vulnerabilities and capacity analysis will be determined by the following actions under each of the human security principles:

- People-centered
  - Involve the affected community(ies) when gathering data on the needs/ vulnerabilities and the capacities of the affected community(ies).
  - Identify root causes through analysis of the 'degree of cause'.
  - Develop empowerment strategies based on the capacities needed.
  - Strengthen the resilience of individuals and communities.

- Multi-sectoral/Comprehensive
  - Consider the broad range of threats and vulnerabilities both within and across communities (including local, national, regional and international factors).
  - Develop a comprehensive and integrated analysis that incorporates the fields of security, development and human rights.
  - Identify the lack of policy coherence and coordination across sectors/fields that can have a negative impact on achieving the human security needs of the affected community(ies).

- Context-specific
  - Ensure that analysis incorporates context specific local information.
  - Include community perception of the threats and vulnerabilities in addition to other quantitative indicators.
  - Highlight potential mismatch between domestic and/or international policies and the priority security needs of the affected community(ies).
  - Identify gaps in the existing security infrastructure.

- Prevention-oriented
  - Identify the root causes and the primary protection and empowerment gaps so as to develop sustainable solutions.

- Emphasize prevention as well as response when developing priorities.
- Focus on empowerment measures that build on local capacities and resilience.

Once the data has been gathered, the **Human Security Needs, Vulnerabilities and Capacity Matrix** (Table I) provides the spatial presentation for mapping, identifying and analyzing the identified threats, needs and capacities of the affected community(ies). Mapping is well-suited to the analytical needs of the human security approach. Not only does it manage complexity well, mapping also provides the opportunity to visually:

(i) identify and link the most severe and widespread threats and vulnerabilities;
(ii) offer the strategies for addressing the identified insecurities; and
(iii) consider the capacities and the resources of the affected community(ies).

The spatial representation of mapping is also crucial for identifying differences within and among communities in resource distribution. Finally, by providing a more comprehensive view of insecurities in a particular situation or community(ies), mapping allows for stronger identification of the gaps in the existing protection and empowerment infrastructures as well as the priorities for action among the identified insecurities.

Table I - Human Security Needs, Vulnerabilities and Capacity Matrix

Threats	Needs/Vulnerabilities									Capacities
	National			District			Local			
	Gender	Age	Socio-economic Status	Gender	Age	Socio-economic Status	Gender	Age	Socio-economic Status	
Economic										
Food										
Health										
Environmental										
Personal										
Community										
Political										

Based on the mapping exercise, **the inter-linkages and dynamics among the various threats, vulnerabilities and capacities are identified**. It is in these intersections that the most effective and comprehensive strategies can be developed. Therefore, it is important to identify these intersections in order to:

1) Establish priorities (communities, areas of intervention, etc.) for action;
2) Assess the sectors and strategies for externalities; and
3) Develop multi-actor integrated plans.

B. Human Security Strategies

The human security approach not only requires a thorough assessment of the vulnerabilities and

the capacities of the affected community(ies), it also demands **an assessment of the strategies needed to help prevent and mitigate the recurrence of insecurities**. It is through this dual assessment that the interconnectedness between threats, vulnerabilities, capacities and strategies can be most effectively examined.

Table II - Examples of Strategies and Capacities Needed for Addressing Human Insecurities

Human security components	Strategies to enhance protection and empowerment	Capacities needed
Economic security	➢ Assured access to basic income ➢ Public and private sector employment, wage employment, self-employment ➢ When necessary, government financed social safety nets ➢ Diversify agriculture and economy	➢ Economic capital ➢ Human capital ➢ Public finance ➢ Financial reserves ➢ Diversified agriculture and economy
Food security	➢ Entitlement to food, by growing it themselves, having the ability to purchase it or through a public food distribution system	➢ Diversified agriculture and economy ➢ Local and national distribution systems
Health security	➢ Access to basic health care and health services ➢ Risk-sharing arrangements that pool membership funds and promote community-based insurance schemes ➢ Interconnected surveillance systems to identify disease outbreaks at all levels	➢ Universal basic education and knowledge on health related matters ➢ Indigenous/traditional health practices ➢ Access to information and community-based knowledge creation
Environmental security	➢ Sustainable practices that take into account natural resource and environmental degradation (deforestation, desertification) ➢ Early warning and response mechanisms for natural hazards and/or man-made disasters at all levels	➢ Natural resource capital ➢ Natural barriers to storm action (e.g. coral reefs) ➢ Natural environmental recovery processes (e.g. forests recovering from fires) ➢ Biodiversity ➢ Indigenous/traditional practices that respect the environment
Personal security	➢ Rule of law ➢ Explicit and enforced protection of human rights and civil liberties	➢ Coping mechanisms ➢ Adaptive strategies ➢ Memory of past disasters
Community security	➢ Explicit and enforced protection of ethnic groups and community identity ➢ Protection from oppressive traditional practices, harsh treatment towards women, or discrimination again ethnic/indigenous/refugee groups	➢ Social capital ➢ Coping mechanisms ➢ Adaptive strategies ➢ Memory of past disasters ➢ Local non-governmental organizations or traditional organisms
Political security	➢ Protection of human rights ➢ Protection from military dictatorships and abuse ➢ Protection from political or state repression, torture, ill treatment, unlawful detention and imprisonment	➢ Good governance ➢ Ethical standards ➢ Local leadership ➢ Accountability mechanisms

C. The Human Security Multi-Sectorality and Externalities Framework

To develop effective human security strategies, the Human Security Multi-Sectorality and Externalities Framework provides the necessary tool for developing policy and programme coherence among the relevant sectors involved in a programme intervention. By assessing the potential externalities of the proposed intervention, the framework entails multiple key functions in the design and improvement of human security programmes.

Why undertake an analysis of multi-sectorality?

- Intervention in one area can have negative impacts in other areas of equal importance to human security.
- Coherence is needed between different interventions in order to avoid negative externalities.
- To multiply positive externalities.
- To take advantage of available expertise, lessons learnt, etc.
- To share knowledge and improve the efficiency and effectiveness of responses.
- To be more efficient in terms of pooling of resources.
- To provide information for monitoring, evaluation and impact assessment.

What are the challenges of employing multi-sectorality?

- Turf war between organizations.
- Grand strategies that are top down, political and on paper.
- Forced mainstreaming without explaining rationale.
- Multiplication of overlays of management, accountability, committees, etc.
- Different financing modalities as well as monitoring, evaluation and impact assessment.

Table III- An Example of a Human Security Externalities Framework

Human Security Components	Possible interventions and assistance in a human security field by international donors	Possible externalities on other insecurity domains	
		Positive outcomes in other fields	Negative potential outcomes
Economic security	E.g. Micro credit programmes meant for economic security.	Increase food production (food security). Communities saved from economic hardship less bent on fighting (political security), etc.	Competition among receiving and non receiving communities creates conflict (community insecurity). Women targeted for their increased income/power (personal insecurity).
Food security	E.g. Relief aid meant for increasing food security for communities.	Can increase economic security for communities who sell their ration (economic security). Less rationale for conflict (political security), etc.	State is no longer accountable to the population but to foreign authorities (political insecurity as a result of illegitimacy). Aid is looted (personal insecurity). Aid decreases agriculture production (economic insecurity of farmers).
Health Security	E.g. (Re)building the health care system.	Balance (re)attained in mortality/fertility rates (community and personal security). Jobs created (economic security), etc.	Replacement of the state's responsibility in providing healthcare (lack of trust in institutions, political insecurity). Sanitation not taken into account

			(environmental insecurity).
Environmental Security	E.g. Installing environmental sound management practices.	Recovering wasted and polluted renewable resources (economic security). Increased production in agriculture (food security), etc.	Ignoring agricultural traditions (linked to community insecurity).
Personal Security	E.g. Law and order interventions, increased police programmes and training (personal security).	Freedom from fear, want and indignity (with impacts on all human security concerns). Jobs created (economic security), etc.	Replacing the state (linked to political insecurity). Abuse of power by security forces (personal and community insecurity).
Community Security	E.g. Promoting disarmament and demobilization.	Social harmony (leading to the security of all components). Jobs (economic security), etc.	Exacerbating or creating new tensions between communities.
Political Security	E.g. Support to transition to democratic practices.	Reduction of political exclusion (community security). Participation of communities (community and personal security), etc.	Imposing particular type of governance system (linked to potential community, economic and political insecurities).

(Adapted from S. Tadjbakhsh and A. Chenoy, Human Security: Concepts and Implications, London: Routledge, 2007)

How can policy and programme coherence be addressed?

For the most part, most organizations and institutions are attempting to address multi-sectorality through coordination and a focus on effectiveness. This however is quite difficult in the face of differing mandates. Therefore, rather than organizational coordination, a human security approach requires working in an integrated manner by directly assessing externalities and focusing on legitimacy, efficiency and effectiveness. A successful multi-sectoral approach requires:

- An analytical, comprehensive, and integrated framework.
- A strategic approach to change.
- Permanent networking among programmes that have thematic or target population overlaps.
- Overcoming tensions between short, medium, and long-term strategies and planning.
- Joint interdisciplinary research.

D. The Human Security "Protection and Empowerment" Framework

The analysis, mapping and planning phase of a human security programme also requires employing **the "protection and empowerment" framework** by designing strategies that address both top-down and bottom-up measures.

- Protection involves strategies that enhance the capacities of the institutional/governance structures needed to protect the affected community(ies) against the identified threats.
- Empowerment includes strategies that build upon the capacities of the affected community(ies) to cope with the identified threats and to strengthen their resilience and choices so as to act on their own behalf and those of the others.

How to develop 'protection and empowerment' strategies?

Having identified several strategies and assessed the potential positive and negative externalities among each, it is crucial to subsequently assess the identified strategies for their employment of the 'protection and empowerment' framework. The key questions at this stage are:

- What are the relationships between the specific protection and empowerment strategies?
- Which empowerment strategies build upon the capacities of the local population to best resist and respond to the identified threats and vulnerabilities while also enlarging their choices?
    - What community capacity(ies) and assets provide solid foundations for empowerment strategies?
    - What community strengths have been neglected? How can they best be employed?
- Which protection strategies target the existing gaps in the human security infrastructure and reinforce the capacities of the institutional structure to ensure the protection of the affected community(ies) against the most severe and widespread threats?
    - Based on the assessment of resources and gaps in the human security infrastructure, which strategies are most likely to have positive externalities on other sectors?
- Which protection strategies have the greatest positive externalities on empowerment? Which empowerment strategies have the greatest positive externalities on protection strategies?

Phase II. Implementation

One of the **goals of the implementation phase** is to ensure ownership by the beneficiaries and local counterparts through capacity building and partnership. A strong human security programme should be evaluated against the level of local ownership in the implementation phase and the sustainability of the programme, which is increased through collaborative implementation.

A. Participatory Approaches and Local Capacity Building

Participation by the affected beneficiaries and local counterparts is vital to the successful implementation and sustainability of any human security programme. Human security programmes must be informed by inputs from the local population in order to be both legitimate and effective in achieving the objectives of the affected community(ies). Participatory processes also provide forums for partnerships that are necessary for addressing complex situations of human insecurity.

Today, there is a large toolkit of participatory approaches available and the decision on which to employ (and to what degree) should be determined by the specificities of the circumstances. Nevertheless, some of the factors that will impact strategic choices regarding participation include:

- Access to the local population.
- External hazards or hostile conditions.

- Timeframe.
- Funding constraints.
- Cultural/community barriers to participation.
- Existing inequalities amongst the local population.

Furthermore, within the context of this handbook, participatory approaches are applied to different actors as well as various phases. For **UN actors**, participation is an important element for advancing multi-agency programme and/or project development. As a result, participatory processes are undertaken with multiple partner agencies in order to ensure:

- Shared goals, objectives, strategies, outcomes, and impact in programme/project development.
- Clear delineation of responsibilities and tasks.
- Harmonized monitoring and reporting mechanisms.

Meanwhile for **multi-actor groups**, participation broadens the scope of the potential participants and emphasizes local and national participatory processes as much as possible. In these groups, participation:

- Provides a foundation for capacity-building and empowerment strategies.
- Supports implementation by local actors in collaboration with other agencies.
- Provides opportunities for building and/or strengthening networks of action.
- Provides a medium for mainstreaming best practices and lessons learned.

B. The Stages of Participatory Implementation

The **building of local capacities and the emphasis on empowerment measures are fundamental** to the advancement of human security. This can occur during all phases of a human security programme. However, the implementation phase provides significant opportunities for building upon and developing new local capacities through participation in project activities and implementation by community members and local counterparts. Participation subsequently needs to be actively mainstreamed through:

- Careful planning that integrates strategies and activities which highlight and build upon the capacities and the resources of the affected community(ies).
- Implementing, reporting and monitoring mechanisms in a manner that makes technical assistance readily accessible and shares ownership for successful implementation with the affected community(ies).
- Allowing for leadership to emerge from the affected community(ies) and building upon and supporting legitimate local and community-based structures.

Stage 1: Present the programme design to the affected community(ies)

Although many local participants will have already been engaged in the programme planning phase, however it is important to inform the wider affected community(ies) about the human security programme you will be undertaking. In doing this:

- Allow for feedback from the affected community(ies) about the programme design and the process of implementation;
- Be aware of the capacity of the local population to participate, while considering the local context and the risks involved in their participation; and
- If the affected community(ies) did not participate in the programme design, engage them in dialogue on how the process was conducted and seek their participation.

Stage 2: Establish a committee for overseeing the implementation

As participatory processes can be complex to manage, it is useful to establish a committee for overseeing the implementation of the programme. Committees need to be representative and multi-actor. When forming these committees, be sure to:

- Support legitimate leadership from the affected community(ies);
- Be clear about the mandate of the oversight committees and the lines of reporting.

Stage 3: Allocate tasks and responsibilities

Conflict or tension may arise in this stage of the implementation as various responsibilities also carry different advantages and disadvantages. To avoid compromising the programme through disagreements between the implementing partners:

- Establish clear organizational structures while being sensitive to local practices, processes and structures; and
- Divide the responsibilities and tasks based on the degree and the level of participation possible, while taking into consideration those activities that provide opportunities for local capacity building and empowerment.

Stage 4: Mobilize local resources

Sharing of resources is another way for engendering sustainability into a human security programme. Therefore, it is important to employ local material and labor where possible so as to avoid undermining the local economic system and contribute to the empowerment of the affected community(ies). Resource-sharing can also provide a solid foundation for collaboration among multiple actors across various levels. When mobilizing local resources:

- Be aware of what already exists and build upon those resources; and
- Utilize the full spectrum of local capacities including (i) time, labor and commitment; (ii) local knowledge, expertise and materials; and (iii) financial inputs.

Stage 5: Establish monitoring and reporting mechanisms

In the allocation of tasks and responsibilities, the monitoring and reporting mechanisms should be elaborated so as to promote a flexible human security programme that can be improved upon through feedback. Subsequently, regular monitoring and evaluation of the programme through participation by the affected community(ies) is an essential aspect of the human security approach and the information gained should inform the changes to the programme and the implementation process.

Phase III. Impact Assessment

Evaluation can take many forms and have vastly different objectives. Evaluation is often thought to occur at the end of a programme or some period after implementation in order to assess the success of the programme. Evaluation can also take place during the programme lifecycle in order to assess the progress and provide information for improving or re-targeting the programme. In addition, evaluation can vary based on how and against what standards assessment occurs. Evaluation can assess the success of a programme based on pre-defined indicators such as the number of people served etc. or based on the impact(s) and outcomes the programme has for the target population. From a human security perspective, **evaluation should be focused on impact assessment**.

What do we mean by 'impact'?

When we talk about impact, we are looking beyond the evaluation of the programme against indicators of efficiency, such as, whether delivery was done on time, targets met, budget spent, etc. Instead, we are interested in the longer term consequences of the programme, i.e., questions of legitimacy about why we developed and implemented the programme in the first place.

Why a Human Security Impact Assessment (HSIA)?

- The purpose of an HSIA is to improve the programme and ensure that it alleviates the identified human insecurities while at the same time avoiding negatives outcomes.
- To ensure that individuals and teams think carefully about the likely impact of their work on people and take actions to improve strategies, policies, projects and programmes, where appropriate.
- To assess the external environment and the changing nature of risks rather than the typical focus on the output-input equation used in programme management.

The Six Phases of an HSIA

PHASE 1: IDENTIFY THE SCOPE OF THE HSIA

Step 1: Start with the information available

- Gather information on the human security programme
  - What is the main purpose of the programme?
  - List the main activities of the programme (for strategies list the main policy areas).

- Who are the main beneficiaries of the programme?

- Gather the analysis, data, research on the conditions, needs, etc. of the affected community(ies) and/or group(s).

Step 2: Identify and define the following variables

(i) The components of the human security concept

- Freedom from fear (personal, political, and community security, etc.)
- Freedom from want (economic, food, health, environmental security, etc.)
- Life with dignity (education, access to freedoms, equality, human rights, community security, political security, etc.)

(ii) The desired outcome of protection and empowerment

(iii) The possible dimensions of insecurity

- Economic insecurity
- Food insecurity
- Health insecurity
- Environmental insecurity
- Personal insecurity
- Community insecurity
- Political insecurity
- Add your own areas of insecurity, for example, gender, educational, etc.

Step 3: Define the target groups

- The population at the national level
- The community at the group level
- People within that community (disaggregate people along various types)

PHASE II: GATHER THE EVIDENCE

Step 4: Identify direct and indirect impacts on people

- Undertake a holistic analysis (quantitative and/or qualitative) on whether the programme contributed to promoting human security by having a positive or a negative impact on the three freedoms under the human security concept.

	Positive impact on freedom from want, freedom from fear and a life of dignity	Reasons	Negative impact on freedom from want, freedom from fear and a life of dignity	Reasons
Women				
Men				
Rural population				
Urban population				
Poor population				
Richer population				
Middle class				
Religious minorities				
Elderly				
Children				

Youth				
Special needs persons				

Step 5: Define the protection and empowerment outcomes and processes

- Analyze on how, during the process, and as an outcome of the interventions, population groups benefited from the empowerment and protection strategies of the human security goals.

	Protection		**Empowerment**	
	During the Process	**Through the Outcome**	**During the Process**	**Through the Outcome**
Women				
Men				
Rural population				
Urban population				
Poor population				
Richer population				
Middle class				
Religious minorities				
Elderly				
Children				
Youth				
Special needs				

Step 6: Define the positive and negative externalities

- Identify positive and negative externalities in different fields using the seven human security components and the externalities framework presented earlier.

Targeted intervention(s)	**The primary insecurity field(s) it targets successfully and how**	**The primary insecurity field(s) it fails to target and why**	**The other insecurity fields it also touches on as a positive externality and why**	**The potential pitfalls in other insecurity fields that could result in negative externality(ies) in the short and medium-term and why**
Ex: Intervention meant for improving economic security.	Its impact on improving economic security.	Its shortcomings on improving economic security.	Positive outcomes in other fields such as food, health, environment, personal community, etc.	Unintended negative outcomes in other fields.

PHASE III: ANALYZE

Step 7: If there is a negative impact on any group(s) or on other insecurity fields

- Is that impact intended (for example, the group or sector was not taken into account) or unintended (a negative by-product)?
- How can we minimize or remove the negative impact(s)?
- How can we improve the programme's positive impact(s)?

PHASE IV: REFLECT

Step 8: Reflect on the costs and benefits at the aggregate level

- Consider how to minimize harm and maximize benefits.
- Take into account the need for prioritization and trade-offs.

Step 9: Define overall changes to the programme as well as the needed changes at the policy and the institutional levels for the future.

PHASE V: RECOMMEND

Step 10: Recommend improvements

List recommendations for action that you plan to take or that you recommend others to take as a result of the impact assessment. At different levels:

1) Micro level (programme)
   - How can the programme improve/change?
   - How can the budget target better?
2) Meso and macro levels (i.e., beyond the programme level with a view towards policies)
   - How can human security be institutionalized?
   - How can human security policies be designed or improved upon?
   - What types of new laws or amendments are needed?
3) In general
   - What type of new studies may be needed?
   - How can the importance of human security be better advocated?

PHASE VI: SUSTAINABILITY

Step 11: Measure the effectiveness of the HSIA by assessing its sustainability based on the following four dimensions.

- **Institutionalization:** Human security initiatives developed are incorporated into existing community/local/national institutions.
- **Policy change:** Changes in rules, regulations and laws of the community are sanctioned.
- **Community ownership, changing community norms:** As part of the community development and empowerment strategy, activities are initiated, owned and continued through community efforts.
- **Resources:** Funding resources are part of the programme strategy so as to ensure that activities will continue uninterrupted.

2.3 Lessons Learnt, Best Practices and Mainstreaming of Human Security

Each phase of the human security programme provides valuable information on a host of insecurities which if shared appropriately can contribute to the advancement of human security.

- Developing information databanks.
    - Information from mapping exercises can be included in a database to create a baseline on human insecurities. This information can then be shared with relevant parties from:
        - National, district and local government
        - Local population
        - International organizations
        - Donor agencies
        - Private sector
        - Civil society
        - Academic community
    - Furthermore, a database on the linkages and the interconnectedness of insecurities, as well as the impact of externalities on sectors that are often not considered together, can provide critical information on improving human security policies, programmes and projects by all relevant parties.
- Engaging key decision-makers is critical for strengthening the political will to advocate for human security issues.
    - Relevant indicators and/or qualitative assessments, even if not a complete Human Security Index, provide policy makers with easily accessible information about emerging and/or ongoing human insecurities. In addition, identifying gaps in services and resources, as well as areas or groups of high vulnerabilities, encourages political debate and acceptance for finding concrete solutions to identified human security challenges.
- Mainstreaming through participation.
    - The initial capacity building that occurs within the participatory processes under a human security framework provide the foundations for further engagement and action outside of a particular programme and create the opportunities to build additional networks for collaboration, early warning, and advocacy.
- Advocating for further research.
    - Each phase of a human security programme provides information about gaps in knowledge and research. In particular, the HSIA can uncover areas of neglect and uncertainty and encourage further research and studies to be undertaken.

Chapter 3 - Human Security Case Studies

3.1. Human Security in Post-Conflict Situations

Over the last decade, approximately 60 countries have been identified as countries in conflict or emerging from violent conflicts. The majority of them have been affected by intra-state or internal wars, often acquiring a regional dimension as violence tends to spread into neighbouring states, engulfing entire regions or sub-regions in a situation of mutual vulnerability and insecurity. Most of these countries are amongst the world's poorest nations with the lowest ranking human development indicators (HDI).

Meanwhile, the intricate web of poor political conditions, socio-economic deprivation and armed violence threatens almost every aspect of human security, putting in question peoples' survival, livelihood and dignity. At the same time, helping countries emerge from conflict provide significant opportunities to promote fundamental change, to include the excluded, decrease inequalities, strengthen social networks, and improve state-society relations.

Notwithstanding, addressing the root causes and the detrimental effects of conflicts, as well as assisting countries towards human security and sustainable development, represent a highly complex endeavour that lies at the forefront of the UN agenda. As explained in *Human Security Now*, "helping countries recover from violent conflict [is] one of the most complex challenges confronting the international community"(CHS, 2003: 57). Nevertheless, the urgency and the costs in failing to secure peace, makes success in post-conflict situations critical not only to the achievement of human security but also to the attainment of regional and international security.

I. Overview of Post-Conflict Scenarios: Characteristics, Gaps and Challenges

Although the context specificity of each post-conflict situation does not allow for standardized blueprints, nevertheless, consideration of the main characteristics typical to most post-conflict situations, as well as the gaps and challenges commonly faced, can help establish a framework under which the key elements of human security are identified and addressed.

Main characteristics of post-conflict situations

- **Highly volatile security**

  While ceasefire agreements and peace settlements signal the end of violent conflicts, however, post-conflict conditions are inherently unstable and in most cases tensions between opposing forces continue to persist. Typically, in the immediate aftermath of a peace settlement, deteriorating socio-economic conditions, torn social fabrics, sharpened inequalities, exclusion, and ethnic grievances often exacerbate the very causes that instigated the violence in the first place. As a result, over half of post-conflict countries return to civil war, with this percentage even higher when control over natural resources is at stake.

- **Civilian impact**

  Contemporary conflicts have an overwhelming civilian impact, often disproportionately

impacting women, children and other vulnerable groups. The humanitarian consequences of large-scale armed violence, including internal displacement of local populations, refugee flows, spread of diseases and lack of access to food and shelter, shape the post-conflict terrain, both during the immediate post-conflict period as well as the ensuing transition phase from humanitarian relief to development.

- **Weak institutional capacity**

  In addition to the obvious destruction of physical infrastructure, including civilian property, and significant disruption to economic production and development, post-conflict settings typically confront a complete collapse of state institutions and societal structures. Subsequently, government are often unwilling or unable to secure their borders and territory, deliver basic services and public goods, and protect and empower their people, including the most vulnerable. This weakness and/or disintegration of state institutions results in the emergence of new non-state actors as well as an increased interdependency between national and international actors.

- **Militarization of social, political and economic life**

  Militarization of social life, politics and the economy, and the deep trauma faced by individuals and communities are some of the main features of post-war societies. Meanwhile, to rebuild the economic, political and social foundations of war-torn societies requires the provision of national, local and community security including the reform of the security sector; the dismantling of war economies; the disarmament, demobilization, and reintegration (DDR) of ex-combatants; as well as community reconciliation and rehabilitation. Each of these functions is interrelated and the interaction between them must be considered in any post-conflict situation.

- **Non-linear transition period**

  Too often there is a tendency to approach transition from war to peace as a linear process – from humanitarian relief to rehabilitation and reconstruction, leading to development. As noted by the CHS, "the presumption has been that only short-term relief is feasible immediately after the conflict ends and that any effort at that time towards rehabilitation and reconstruction would likely be wasted" (CHS: 2003: 59). In reality, however, post-conflict recovery does not follow such a continuum and cannot be compartmentalized into distinct timeframes under conventional, sector-based approaches.

Gaps and Challenges

Despite considerable efforts and resources directed by the international community towards promoting peace and security, the overall record of peacebuilding has been mixed at best. Past experience demonstrates that the complexity of peacebuilding operations requires constant assessment, examination, reflection, and improvement so as to overcome the challenges that post-conflict interventions confront and to increase the overall effectiveness of peacebuilding operations.

As described by the CHS in *Human Security Now* (CHS: 2003: 59), from a human security perspective, current approaches to post-conflict reconstruction face the following gaps and challenges:

Box 1. Gaps in Today Post-Conflict Strategies

From a human security perspective, today's post-conflict strategies have many shortcomings, leaving many gaps:

Security gaps

• Military troops are frequently deployed to separate combatants—troops that are ill-equipped to deal with public security issues, such as civil unrest, crime and the trafficking in people.
• From the outset, emphasis in peacekeeping operations is on pursuing an exit strategy that is not directly related to the security needs of the people.
• Security strategies do not take into account the needs of humanitarian and development actors.

Governance gaps

• Peace-building is seen as a "top-down" process, commonly led and imposed by outside actors—rather than as a process to be owned by national institutions and people.
• Little attention goes to building national and local civil society and communities—or to drawing on their capacities and expertise.
• Organization of national elections receives the most attention (and is often seen as a maneuver for handing over international mandates and responsibilities to the newly elected authorities), with little regard for further efforts to support governance and democratization.
• Reconciliation efforts pay too little attention to the coexistence of divided communities and the building of trust.

Gaps in international responses

• The international architecture is segregated along security, humanitarian and development lines, encouraging fragmented and competitive responses.
• International actors tend to focus on mandates—not on presence, comparative advantages and needs of specific situations. Coordination is emphasized, not integration.
• Too little attention goes to building national capacities and institutions, resulting in the absence of national ownership.
• Humanitarian agencies focus on speedy interventions but often fail to consider the impact on reconstruction and development activities. Development actors require long periods to mobilize resources and implement their plans, hampering the conversion of humanitarian activities to longer term development strategies.

Resource gaps

• Assistance tends to peak in the early phases, when the capacity to absorb it is low. It has been difficult to sustain aid over the medium term, just when reconstruction and development take off.
• International actors use many fundraising mechanisms—comprehensive appeals, round-tables, consultative groups and country-specific trust funds—some competing, many raising false expectations about the amounts pledged. Negotiations over debt arrears often delay the full participation of international financial institutions.
• Donors and multilateral agencies separate their budgets into humanitarian and development assistance, making it difficult to transfer funds from one cluster to another.
• Funds are earmarked for specific activities and countries, reflecting the primacy of economic, strategic or political interests over human security needs.

The added value of the Human Security approach in post-conflict situations and recovery

- First, by **placing individuals and communities at the centre** of analysis, the human security approach greatly alters the perspective typically adopted in post-conflict interventions. Subsequently, the local dimensions of the conflict, recovery, and sustainability are placed at the forefront rather than being secondary to international and/or institutional approaches. This repositioning has broad implications for the assessment, planning, implementation and evaluation of post-conflict initiatives.

- Second, the highly complex and interconnected nature of the causes and consequences of violent conflicts cannot be tackled in isolation but rather must be understood in their dynamic and **interrelated** forms and addressed in a complementary manner. The human security approach assesses these interconnections, considers their positive and negative externalities, and frames the designing of multi-sector strategies in an **integrated** manner.

- Third, an overemphasis on national security and the failure to advance lasting peace illustrates the need for more **comprehensive** strategies that take into account the needs of different sectors and segments of the affected populations, while recognizing that internal inequalities and tensions cannot be ignored and in most cases lead to resumption of tensions and renewed conflicts.

- Fourth, full partnership with the local population through **top-down and bottom-up** strategies. The human security approach provides the analysis for identifying local capacities and resources as well as the framework for linking top-down and bottom-up approaches that promote stronger synergies between state and societal responses, thereby strengthening the impact of both on the effectiveness of peacebuilding.

- Fifth, the large numbers of actors involved in post-conflict situations calls for collaborative and participatory frameworks that can best manage diversity and ensure ownership and capacity-building at the local-beneficiary level. The human security approach with its emphasis on **people-centered** solutions advances such a framework in a collaborative and integrative manner.

II. Human Security Principles and Approach in Post-Conflict Situations

To reposition the focus of post-conflict recovery towards the achievement of human security encompasses adopting an approach that is people-centered, multi-sectoral, comprehensive, context-specific, and prevention-oriented.

Table I: The Implications of a Human Security Approach in Post-Conflict Scenarios

HS Principle	HS Approach
People-centered	▪ Put populations impacted by conflicts, including the most vulnerable, at the centre of analysis and planning. ▪ Emphasize reconciliation, reintegration and rehabilitation at the individual and community level and not only through large-scale institutional reforms. ▪ Consider and evaluate the impact of conflict interventions and donor policies from a both a human and state security perspective. ▪ Adopt participatory processes where possible so as to consider information from the points of view of those affected. ▪ Think about local capacities and resources in order to identify gaps in protection and empowerment strategies. ▪ Shift from a military focus towards public safety and reform of the state security sector.
Multi-sectoral	▪ Analyze the inter-linkages and externalities between e.g., security, health, education, human rights, etc. No element of post-conflict transition can be tackled in isolation. ▪ Adopt inclusive and multi-actor approaches. ▪ Minimize negative externalities that can cause a conflict to relapse. ▪ Ensure coherence among humanitarian, security and development approaches.

	▪ Link people and institutions towards an inclusive and representative governance processes.
Comprehensive	▪ Take a multi-dimensional approach, engaging a broad landscape of issues, sectors and disciplines (see human security clusters for post-conflict situations). ▪ Recognize that lasting peace requires social, economic and security dimensions to be addressed in a manner that captures their inter-linkages. ▪ Engage multiple actors from various levels including the local, district, national, regional and international. ▪ Provide extra attention to excluded groups and focus on social inequalities and reconciliation. ▪ Employ a dual 'protection and empowerment' framework to peacebuilding strategies.
Context-specific	▪ Adopt context-specific strategies to each unique post-conflict situation. ▪ Pay attention to the root causes behind the conflict in a given context. ▪ Conduct an in-depth analysis of targeted issues and populations from both a local and an external perspective. ▪ Work with the principles, norms and institutions that are linked with the history and the culture of the war-torn society. ▪ Extend analysis to capture the regional dynamics of the conflict where appropriate. ▪ Situate insecurity within other contexts (district, national, regional, global).
Prevention-orientated	▪ Conflict prevention must be included as an element of peacebuilding. ▪ Address root causes of conflict and the ensuing insecurities. ▪ Develop early warning systems. ▪ Support building of local capacity and ownership to ensure sustainability. ▪ Conduct mapping at different time periods to identify trends and provide information for preventative solutions. ▪ Identify most vulnerable and most neglected areas or populations.

III. Human Security Programme Phases in Post Conflict Situations

Phase 1: Analysis, Mapping and Planning

From a human security perspective, post-conflict situations cannot be fully understood without the input of those experiencing the insecurity. And while research and analysis have brought to the forefront the multitude of challenges and gaps inherent in post-conflict interventions, however, unless the full range of stakeholders and beneficiaries are not engaged, heard and respected, these obstacles will not be surmounted. Therefore, in the mapping, analysis and planning phase of a post-conflict intervention, the following key processes must be included:

- Identify the most **critical and widespread threats, vulnerabilities and insecurities** of the affected community(ies), their relation to other communities and to the larger context. The participatory needs/vulnerabilities and capacity analysis described in Chapter 2 should be used in developing this phase.
- Assess the **local capacities and resources** of the affected community(ies) including those capacities/resources that were used in past situations to address insecurities; those that have not been mobilized due to the conflict situation; and those that can be built upon to actively create lasting peace.
- Address the **gaps in the existing protection and empowerment** infrastructures.

- Assess the **actors and sectors involved**: What are their roles? What are their activities? How do they relate to one another? How can coherence be developed between them?

Analysis of threats, needs/vulnerabilities and local capacities

To ensure human security, the primary goal is to restore broadly-framed security and dignity to individuals and communities. Therefore, a thorough assessment of the actual needs/vulnerabilities and capacities of the individuals and communities from their perspective will be the cornerstone of any human security programme in post-conflict situations. This however can be a daunting task where massive vulnerabilities span across multiple sectors and at multiple levels. To achieve such an objective, the following table outlines the possible interrelations between (i) threats to human security, (ii) needs/vulnerabilities across various levels, and (iii) the capacities available to respond to these threats.

Table II: Post-Conflict Needs, Vulnerabilities and Capacity Matrix

Examples of Post-Conflict Threats	**Examples of Needs/Vulnerabilities**			**Examples of Capacities (individual/ community level)**
	Local	**National**	**Regional**	
	***NB: Distinguish between different groups as relevant, according e.g. to age, gender and socio-economic status*			
<u>Economic</u> - Increased poverty and unemployment - Prevalence of war economies/illegal networks - Collapse of the economy - Destruction of property and infrastructure - Lack of economic opportunities - Discrepancies in aid - Internal and external economic shocks	- Diminished human capital - Lack of access to gainful employment - Prevalence of illegal economic networks at the community level	- Embedded war economy (relationship between conflict causes/enablers and economic institutions or practices) - Lack of capacities and resources to reinvigorate national economy and embark on sustainable economic development	- Regional economic instability/ interdependency (e.g. weak border/customs control) - Restricted opportunities for regional economic development - Interrelated illegal/ criminal economic networks - Lack of sufficient regional integration to respond to economic shocks and dismantle cross-border illegal economy	- Self-sufficiency (agriculture) - Community networks/ cooperatives for markets/ trade - Financial reserves/ remittances
<u>Food</u> - Destruction of food systems as a result of war - Hunger - Famine - Disruptions of food supply or allocation - Malnutrition	- Lack of physical and economic access to basic food	- Inability of the state to ensure food production and equitable distribution - Inability of the state economy to absorb/withstand external shocks - Lack of capacities and resources to reinvigorate destroyed	- Reliance on regional trade for agricultural products and manufactured food-related produce - Lack of sufficient regional integration to respond to food-related crises	- Food reserves and distribution systems - Diversified agriculture and economy

		food production and distribution systems		
Health - Spread of disease - Unsafe food - Physical traumas	- Highly prone to illnesses especially the most vulnerable - Lack of access to health care	- Destroyed health infrastructure - Overburdened health system	- Spread of communicable diseases - Lack of cross-border capacity to manage movement of people and goods	- Access to information and community-based health care and insurance schemes - Indigenous/ traditional health practices
Environmental - Illegal exploitation of natural resources - Unequal access to resources - Environmental degradation, deforestation - Resource depletion	- Unsafe/unstable natural habitat - Lack of decision-making power - Lack of access and management of local land and resources	- Lack of early-warning and response systems for protection and recovery from the short- and long-term ravages of nature, man-made threats in nature, and deterioration of the natural environment. - Underdeveloped legislative frameworks for sustainable and equitable management of natural resources	- Lack of regional early-warning and response systems for protection and recovery from the short- and long-term ravages of nature, man-made threats in nature, and deterioration of the natural environment.	- Natural resource capital - Natural environmental recovery processes (e.g. forests recovering from fires) - Biodiversity - Indigenous/ traditional practices that respect the environment
Personal - State violence: torture by military, police - Increased criminality - Psycho-social trauma - Gender-based violence - Displacement - National cross-border threats - Human trafficking - Prevalence of terrorist groups	- Lack of ability to protect one's self from physical violence, whether from the state or external states, from violent individuals and sub-state actors, from domestic abuse, or from predatory adults ➢ Gender-based violence ➢ Child soldiers - Destruction of property/shortage of and inadequate housing	- Absence of rule of law - Lack of state systems for reconciliation and rehabilitation - Gaps in ensuring equitable treatment of different groups	- Underdeveloped state and societal structures to manage/integrate migrant and refugee flows	- Coping mechanisms - Adaptive strategies - Memory of past disasters
Community - Inter-group/ inter-ethnic violence - Exclusion and sharpened inequalities - Weakened cultural diversity	- Loss of traditional relationships and values and from sectarian and ethnic violence.	- Lack of ability to protect communities from the loss of traditional relationships and values and from sectarian and ethnic violence - Non-representative political processes	- Fuelling existing ethnic tensions across bordering communities - Potential for creating new hostilities amongst neighboring communities/groups - Lack of regional social cohesion	- Social capital - Coping mechanisms - Adaptive strategies - Memory of past disasters - Local non-governmental organizations or traditional organisms

Political - Political repression - Impunity - Human rights violations by conflicting parties - Political violence and repression - Interest-based/non-representative politics - Corruption	- Human rights violations - Weak/ non-functioning local civil society	- Not respecting basic human rights of a population or group - Lack of good governance	- Non-cohesive and non-integrated regional institutions - Lack of a regional civil society	- Good governance - Ethical standards - Local leadership - Accountability mechanisms

Based on the above assessment, gaps in the human security needs/vulnerabilities and capacities of the affected community(ies) are highlighted and are used to identify the needed strategies as indicated in the following table:

Table III: Examples of Post-Conflict Strategies and Capacities Needed for Addressing Human Insecurities

Human security components	Post-conflict strategies to enhance protection and empowerment	Capacities needed
Economic security	➢ Infrastructure recovery and restoring access to basic services (e.g. transport, communications, water, electricity) ➢ Poverty alleviation ➢ Agricultural rehabilitation ➢ Dismantling of war economy and illegal economic networks ➢ Enlarging opportunities for people through e.g. training, skills development and empowerment at the community level ➢ Development of productive activities for ex-combatants, returnees and impoverished groups ➢ Provision of micro-finance opportunities ➢ Clarifying property rights ➢ Macroeconomic development and job creation ➢ Establishment of social safety nets ➢ Provision of well-coordinated, predictable and multi-faceted aid	➢ Economic capital ➢ Human capital ➢ Public finance ➢ Financial reserves ➢ Diversified agriculture and economy
Food security	➢ Guarantee access to nutrition ➢ Reinforce peoples' ability to ensure access to food ➢ Agricultural rehabilitation programmes ➢ Equitable food and agricultural assistance ➢ Famine early warning systems ➢ Revitalization of rural communities and local production processes and distribution systems	➢ Diversified agriculture and economy ➢ Local and national distribution systems
Health security	➢ Guarantee access to health care and	➢ Knowledge on health related matters

	health services ➢ Community-based disease prevention, health promotion, nutrition promotion, epidemic preparedness, disease surveillance and control ➢ Risk-sharing arrangements that pool membership funds and promote community-based insurance schemes ➢ Improved water and sanitation facilities ➢ Specific attention to poor people in rural areas, particularly women and children	➢ Indigenous/traditional health practices
Environmental security	➢ Maintaining/creating healthy physical environment ➢ Assure fair and equitable access to scarce water and land resources ➢ Early warning and response mechanisms for natural hazards and/or man-made disasters ➢ Sustainable use and management of natural resources ➢ Landmine awareness campaigns	➢ Natural resource capital ➢ Natural barriers to storm action (e.g. coral reefs) ➢ Natural environmental recovery processes (e.g. forests recovering from fires) ➢ Biodiversity ➢ Indigenous/traditional practices that respect the environment
Personal security	➢ Rule of law ➢ Explicit and enforced protection of human rights and civil liberties ➢ Provision of psychosocial or psychological dimension for overcoming trauma ➢ Reconciliation at the individual level ➢ Empowerment of women and other vulnerable groups ➢ Victims support ➢ Integration of conflict-afflicted individuals	➢ Coping mechanisms ➢ Adaptive strategies ➢ Memory of past disasters
Community security	➢ Explicit and enforced protection of ethnic groups and community identity ➢ Protection from oppressive traditional practices, harsh treatment towards women, or discrimination against ethnic/indigenous/refugee groups ➢ Social renewal primarily focusing on establishing civil society structures ➢ Social reintegration of former combatants; and smooth repatriation of refugees and displaced persons ➢ Overcoming culture of violence and identity politics ➢ Reconciliation and community coexistence ➢ Trust building in local community networks	➢ Social capital ➢ Coping mechanisms ➢ Adaptive strategies ➢ Memory of past disasters ➢ Local non-governmental organizations or traditional organisms
Political security	➢ Protection of human rights ➢ Protection from military dictatorships and abuse ➢ Protection from political or state repression, torture, ill treatment, unlawful detention and imprisonment	➢ Good governance ➢ Ethical standards ➢ Local leadership ➢ Accountability mechanisms

	➢ Development of local/national civil society groups ➢ Political renewal: creation of public and legal institutions that safeguard legal certainty and democratic participation (good governance), investigate human rights violations and reform and/or help to dismantle the apparatus of violence	

Assessing multi-sectorality and externalities in post-conflict situations

The human security framework for assessing externalities, as detailed in Chapter 2, provides the methodology for detecting both positive and negative spillovers across multiple sectors impacting human security. Such an exercise is critical in post-conflict situations as even minor unintended effects can cause significant disruption to the peace process. In addition, it allows for the maximization of impact, while also providing the foundation for collaboration, inter-agency/multi-actor planning and the pooling of resources.

Prioritizing in post-conflict situations

Post-conflict peacebuilding requires a broad approach that no single sector and/or organization can tackle alone. Therefore, a clear added value of the human security approach is its insistence on multi-sectorality and coherence among actors and programmes, as well as through a human security assessment that diminishes negative externalities between interventions. Clustering the vast amount of information gathered during the assessment into logical categories will aid in determining their relationships to one another as well as to the most critical points of leverage for positive change.

Furthermore, while retaining a multi-dimensional focus, human security sharpens attention on the core sets of freedoms and rights that are under threat in any given post-conflict scenario. It therefore enables the identification of the primary insecurities and vulnerabilities that need to be addressed and the prioritization of the strategies required for reconciliation, reintegration and rehabilitation in each context.

The following table illustrates the clusters for post-conflict peacebuilding as established by the CHS (CHS: 2003: 60)

Table IV: Key Human Security Clusters Following Violent Conflicts

Public safety	Humanitarian relief	Rehabilitation and reconstruction	Reconciliation and coexistence	Governance and empowerment
Control armed elements - Enhance ceasefire - Disarm combatants - Demobilize combatants	Facilitate return of conflict afflicted people - Internally displaced persons (IDPs) - Refugees	Integrated conflict afflicted people - Internally displaced persons (IDPs) - Refugees - Armed combatants	End impunity - Set up tribunals - Involve traditional justice processes	Establish rule of law framework - Institute constitution, judicial system, legal reform - Adopt legislation - Promote human rights

Protect civilians - Establish law and order - Clear landmines - Collect small arms	Assure food security - Meet nutrition standards - Launch food production	Rehabilitate infrastructure - Roads - Housing - Power - Transportation	Establish truth - Set up truth commission - Promote forgiveness - Restore dignity of victims	Initiate political reform - Institutions - Democratic processes
Build national security institutions - Police - Military - Integrate/ dissolve non-state armed elements	Ensure health security - Provide access to basic health care - Prevent spread of infectious diseases - Provide trauma and mental health care	Promote social protection - Employment - Food - Health - Education - Shelter	Announce amnesties - Immunity from prosecution for lesser crimes - Reparation for victims	Strengthen civil society - Participation - Accountability - Capacity building
Protect external security - Combat illegal weapons and drugs trade - Combat trafficking of people - Control borders	Establish emergency safety net for people at risk - Women (female-headed households); children (soldiers); elderly; indigenous people; missing people	Dismantle war economy - Fight criminal networks - Re-establish market economy - Provide micro-credit	Promote coexistence - Encourage community-based initiatives (long-term) - Rebuild social capital	Promote access to information - Independent media - Transparency

The "Protection and Empowerment" framework

In addition to prioritizing the strategies required for reconciliation, reintegration and rehabilitation, the human security approach also entails the "protection and empowerment" framework. This framework expands the arena for political, social and economic participation and ensures that the necessary coherence involved between the requisite 'top-down' and 'bottom-up' strategies genuinely help enhance the safety and the resilience of the affected community(ies).

By guaranteeing public safety and other protective mechanisms and by promoting authentic public participation and implementation, the protection and empowerment framework strengthens civic engagement, reinforces state-society relations, and breeds a culture of ownership that allows communities to develop long-term horizons and to consider investing in peaceful activities. In contrast, the reverse can be expected when protection and empowerment processes are treated in isolation and fail to respond to post-conflict situations through an integrated protection and empowerment framework.

Phase 2: Implementation

Peacebuilding initiatives are arguably the most complex international endeavours. They have the dual goal of strengthening state-society relations as well as increasing ownership and sustainability

through local engagement. Meanwhile, countries engaged in international post-conflict operations are also host to a large diversity of external actors. The following table illustrates some of the myriad actors involved in post-conflict peacebuilding situations.

Table V: Examples of Actors Involved in Post-Conflict Peacebuilding

	Public sector stakeholders	Civil society stakeholders	Private sector stakeholders
Local	➢ Local government/councils ➢ IDPs ➢ Refugees ➢ Former combatants ➢ Community police	➢ Community groups ➢ Local NGOs ➢ Religious groups ➢ Women's groups	➢ Individual business leader
National	➢ Ministers and advisors ➢ Civil servants and departments ➢ Elected representatives ➢ Courts ➢ Human rights councils ➢ Political parties ➢ Military / Police	➢ Media ➢ Religious groups ➢ Schools and universities ➢ Social movements and advocacy groups ➢ Trade unions ➢ National NGOs	➢ Corporations and businesses ➢ Business associations ➢ Professional bodies ➢ Financial institutions
International	➢ International bodies (UN, World Bank, WTO, ICC)	➢ International NGOs ➢ International media ➢ International advocacy groups ➢ International trade unions	➢ IFIs ➢ Multinational corporations

In such an environment, the devastation that conflict places on the social fabric of a given society needs to be repaired, and to achieve this objective, local capacity building must be the cornerstone of a human security programme to peacebuilding operations. And while, top-down approaches can address some of this through fair and transparent justice mechanisms, however, the strengthening of communities and the reconciliation necessary for true participatory ownership must also be prioritized.

Furthermore, experience has illustrated that post-conflict peacebuilding efforts have not yet adequately capitalized on the immense knowledge, cultural practices, and the existing local capacities of the affected community(ies). Partnerships between external and local actors are powerful human security tools in post-conflict peacebuilding situations and can provide the space, resources, and the training to shift the ownership of the process from the international to the national and local actors, thereby enhancing local capacities and consolidating peace and recovery.

The Stages of Participatory Implementation

Stage 1: Present the programme design to the affected community(ies)

- Be aware of the conflict context in order to make decisions with regards to the different types and levels of participation in order to ensure safety of local participants.
- Make strategic decisions in bringing together different groups so as to not exacerbate existing tensions and inequalities.
- Allow opportunities for feedback from the community about the programme design and the process of implementation.

Stage 2: Establish a committee for overseeing the implementation

- Provide opportunities for the emergence of natural and legitimate leadership from the local community.
- Ensure representation from most heavily impacted communities and groups.

Stage 3: Allocate tasks and responsibilities

- Employ transparent decision-making processes in order to ensure that all voices are heard.
- Be sensitive to local norms and practices as well as gender.

Stage 4: Mobilize local resources

- Pay attention to and build upon unexploited local capacities and resources.
- Set common goals and vision so as to strengthen community reconciliation and capacities to address current and future challenges.

Stage 5: Establish a monitoring and reporting mechanism

- Establish links between implementation, monitoring and evaluation and discuss feedback mechanisms.
- Engage local participants through all three processes.

Phase 3: Human Security Impact Assessment (HSIA)

Impact assessment is an integral component of the human security framework and must be employed from the early stages in any post-conflict programme. This allows for monitoring of results at different phases, adaptation to changing conditions, and consideration of the evolving human security needs of the affected community(ies). Accordingly, HSIA in post-conflict situations introduces the following elements as inherent components of peacebuilding evaluation:

- Use of a wide range of both quantitative and qualitative indicators, including public perceptions and community narratives based on inclusive, consultative, and interactive bottom-up processes that take into account the views and experiences of the local groups and the beneficiaries.

- Comprehensive evaluation that integrates the seven different components of human security and thereby allows due consideration to a wide rage of variables that determine the conditions for durable peace.

- Measurement of programme impact at different levels and on a group-by-group basis. This methodology has the potential to:

    - Show whether the programme has succeeded in reaching the intended beneficiaries.
    - Reveal whether additional groups have benefited as a result of the programme and highlight ways to broaden coverage if some are excluded.
    - Provide crucial information on prevailing inequalities and marginalization, as well as consider ways to alter the situation.

- Establish the level and nature of horizontal inequalities – often attributed as the root causes behind many conflicts.
- Identify groups who could be multipliers for social change and conflict transformation.
- Assess if and how post-conflict peacebuilding programmes have been successful at empowering and/or protecting different groups.

- Sufficient flexibility to review and explain the context-specific expressions of insecurities in any given post-conflict scenario.

- Assessment of positive and negative externalities on different groups (including cross-border entities) and different components of human security. Such a framework can help highlight and evaluate the inter-linkages and the overlaps between the different responses, thereby providing the basis for consideration of concrete ways in which different actors can collaborate, coordinate and integrate their activities.

- Assessment of intended and unintended consequences of security, humanitarian and development projects on the structures and processes of violence and peace.

- Linking programme outputs and outcomes (on the micro level) to changes and impacts achieved at the macro level, including change in policies and societal structures.

- A framework for providing recommendations, identifying best practices, highlighting areas for improvement, and up-streaming key issues.

3.2. Human Security in Situations of Food Insecurity

In 2007, there was an estimated 923 million people, an increase of more than 80 million since 1990 (FAO, 2008), who faced persistent hunger and food insecurity. Meanwhile, due to conflict-induced emergencies as well as rising natural disasters, demand for food assistance has continued to grow. The interaction of these different types of food-induced emergencies and the severity of the crises, have raised critical concerns regarding the assessment, response, recovery and the prevention of food crisis and its impact on peace, security and development.

As a basic need, food security constitutes a fundamental element of development and growth. Moreover, the recent attention to food insecurity as a consequence of soaring food prices has also shed light on the critical interlinkages between food security and overall human security. Despite widespread impact in both developed and developing countries, the communities most heavily impacted by food insecurity reside in countries largely in Africa and Asia. Recognized as low-income food-deficit countries by the Food and Agriculture Organization (FAO), food comprises between half to three-quarters of household purchasing power in these regions, a condition in which according to the World Bank there is no margin for survival in situations of food-induced emergencies (Kuntjoro & Jamil, 2008). In addition, there have also been notable reversals in development gains in other regions such as Latin America which had experienced more than a decade of steady progress towards reducing hunger and under-nourishment.

I. Overview of Situations of Food Insecurity: Context, Gaps and Challenges

The complexity of ensuring food security presents many challenges to identifying the most appropriate strategies. And although the context specificity of each situation of food insecurity does not allow for standardized responses or solutions, nevertheless, consideration of the overall context, typical to most situations of food insecurity, as well as the gaps and challenges that they commonly face, can help establish a framework under which the key elements of human security can be identified and addressed.

Main characteristics of food insecure situations

- **Complexity of driving forces and underlying causes**

Food security is a highly complex issue that rests on a delicate balance between the availability of supply and demand for food-related products. In many situations of food insecurity, growth in demand outstrips growth in supply creating food shortages. However, the underlying dynamics which create food insecure regions go beyond direct supply and demand conditions for food-related products and include factors such as changes in developed economy agricultural policies; drops in production due to environmental conditions, increases in energy prices, inputs costs and demand for bio-fuels; changes in consumption patterns; and speculation leading to volatility in the financial markets.

- **Threat of rising food prices**

While there are a number of structural factors driving food insecurity, the recent rise in food prices is one the main causes exacerbating the state of global food insecurity, driving millions of people into poverty, worsening the state of the world's most food insecure regions and threatening long-term human security. The rise in food prices have widespread impacts from increasing the proportion of undernourished people in the world, to reversals in development gains, both of which will have detrimental effects on long-term human development and human capital.

- **Impact on the most vulnerable**

The poorest, the landless, children and female-headed households are the most heavily impacted in situations of food insecurity. Furthermore, the vast majority of urban and rural households in developing countries rely heavily on food purchases. Subsequently any fluctuation in the availability, access, and prices of food-related products has significant consequences on the household purchasing power of the most vulnerable. In the current context of high food prices, these communities and groups suffer critical losses as a result of reduced real income and trade-offs that tend to increase insecurities in other areas (e.g., spending less on healthcare, infrastructure, education, etc.). Moreover, food insecurity also impacts the most vulnerable countries – that is, those that are already in need of emergency interventions and food assistance due to other factors such as conflicts and environmental disasters.

- **Chronic and transitory/cyclical nature of food insecurity**

There are two primary types of food insecurity: those which are chronic and persist over long periods of time and those which are transitory or cyclical. These are important distinctions for appropriately addressing situations of food insecurity and for drawing attention to those who may not be food insecure in a given moment and yet be close to the 'zone of vulnerability'.

Gaps and Challenges

- **Gaps in protection and empowerment**

To date, international and national strategies to tackle food insecurity have in most cases employed top-down approaches, focusing on trade-related measures and emergency interventions without sufficiently considering complementary bottom-up approaches that can effectively enhance the resilience of local communities and reduce risks for the most vulnerable. This has resulted in the following gaps:

  - **Gaps in protective measures**: Social safety nets and social protection programmes in both developing and developed countries are falling short of providing adequate protection from food insecurity. In addition, intermediate shock absorbers are lacking to buffer individuals and communities from suffering the impact of volatility in food-related prices and food supply.

  - **Gaps in empowerment measures**: More attention needs to be given on supporting and empowering vulnerable groups, particularly small-scale farmers, female-headed households, and the poorest groups within societies. There is an urgent need to provide

sustainable opportunities so that these groups have the means to absorb and benefit from rising food prices, improve their productivity and secure their livelihoods and dignity.

- **Gaps in international responses**

  - Despite significant global commitments, such as the recent creation of the UN Secretary General's High Level Task Force (HLTF) on the Global Food Security Crisis and the ensuing Comprehensive Framework for Action (CFA), the international community has not yet implemented a concerted approach to food insecurity.

  - There has been an overall lack of coordination and coherence among international responses as many countries have taken unilateral action (mainly in the form of export restrictions and price controls) to address the impact of food insecurity and the effects of soaring food prices. Such measures have resulted in ad hoc responses and in many cases have negative consequences on global food security and poverty reduction.

  - Lack of coherence is also evident in food aid policies as donor countries have failed to introduce a unified response to food insecurity. As a result, developing countries are often recipients to a number of different initiatives and in the absence of an overall strategic framework are asked to implement multiple plans from different donors.

  - There is a persistent gap between emergency food assistance initiatives by humanitarian actors and longer-term development programmes. Food security has often been addressed solely through humanitarian responses and while such responses are critical to addressing the crises, nevertheless, different types of initiatives by other communities of actors are also needed in order to ensure sustainable solutions for long-term food security.

- **Resource gaps**

  - Despite the approximately $US12.3 billion[5] that was pledged at the FAO Rome High Level Conference in June 2008, this figure is significantly below the $US25 billion – $US40 billion estimated by the United Nations as necessary to increase agricultural production and provide social protection in countries most hit by the current food crisis.

  - In addition, over the last decades, public and private investments in agriculture in developing countries have significantly declined, resulting in stagnant or lower crop yield growth in most of the developing regions. External assistance to agriculture had followed similar trends, having dropped from 20% of ODA in the early 1980s to 3% by 2007 (FAO CFA, 2008).

- **The challenge of worrisome long-term trends**

  - Projections by international organizations, including the United Nations and the World Bank, all point to the persistence of high food prices in the future and their potential negative effects on developing countries' markets. As asserted by the HLTF "the economic and structural factors driving food markets are expected to keep food prices 50% higher than their 2004 levels until at least 2015" (FAO CFA: 2008).

[5] This is in addition to US$6 billion pledged earlier by the international community.

The added value of the Human Security approach to food insecurity

First, with its emphasis on **people-centered** approaches, human security ensures that developments and strategies at the international level take into account local conditions while giving due consideration to the interplay between international and local dynamics surrounding food security. This approach provides for a more in-depth analysis of the local conditions and the need to promote **an enabling environment where individuals and communities can be free from hunger and poverty**.

Second, recognizing the complexity, interrelatedness, as well as the rapidly changing nature of threats to food security, human security provides a **dynamic and integrated framework** to analyze and address the inter-linkages and externalities between policies and programmes related to food security. As such, human security necessitates participatory processes that involve all the relevant actors and ensures coherence amongst sectors and responses.

Third, human security puts forward a **comprehensive approach to food insecurity** that goes beyond traditional food security frameworks with their focus on demand and supply conditions and takes into account the broader aspects of human security such as health, economic and environmental security. By considering the different ways that food insecurity threatens peoples' survival, livelihood and dignity, human security therefore comprehensively address the full scope of peoples' vulnerabilities vis-à-vis natural and human-induced disasters.

Fourth, while some of the economic and structural factors behind food insecurity are common to most countries, the expressions, impacts and specific root causes exacerbating food insecurity can vary significantly across different settings. As such, human security adopts a **context-specific approach** that takes into account the particular context, insecurities and the needs of the most vulnerable in a given situation. Moreover, human security encourages the consideration of contextualized solutions that are embedded in local knowledge, experience and realities, while building on untapped capacities at the community level.

Fifth, central to the human security framework is the question of how to shield individuals and communities from 'downturn risks' in a truly sustainable and empowering manner. In situations of food insecurity, a human security approach therefore **sharpens the attention on preventative strategies** to reduce risks, to address chronic vulnerabilities that lie at the root causes of food insecurity, and **to strengthen community resilience**.

II. Human Security Principles and Approach in Situations of Food Insecurity

Anchored in the five human security principles, a human security approach to food insecurity includes the following considerations.

Table I: The Implications of a Human Security Approach in Food Insecure Scenarios

HS Principle	HS Approach
People-centered	▪ Put populations affected by food insecurity, especially the most vulnerable, at the centre of analysis and planning. ▪ Consider and evaluate the impact of food assistance interventions and donor policies

	from a community-based perspective. ▪ Adopt participatory processes wherever possible so as to consider information from the points of view of those affected. ▪ Think about local risks, capacities and resources in order to identify gaps in current food insecurity frameworks and responses. ▪ Work with the principles, norms, institutions that are linked with the agrarian practices and cultures of the affected community(ies).
Multi-sectoral	▪ Recognize the wide scope and interrelatedness of challenges to food security, implicating and spreading across humanitarian, development, human rights and security fields. ▪ Analyze inter-linkages and externalities across a variety of programmes linked to food security ▪ Analyze the interplay between policies and dynamics at the local, regional and international levels. ▪ Build on positive externalities that can accelerate positive change, and minimize negative externalities that can cause setbacks in agricultural development. ▪ Adopt inclusive, multi-actor approaches across a multitude of relevant fields. ▪ Ensure coherence among short-term emergency food relief and longer-term development approaches related to food security. ▪ Link people and institutions towards an inclusive and representative governance processes.
Comprehensive	▪ Adopt a broad, multi-dimensional approach to understand and address food insecurity and peoples' vulnerabilities. ▪ Recognize that food security requires health, environmental, political and socio-economic dimensions to be addressed in a manner that captures their inter-linkages. ▪ Engage a broad landscape of issues, sectors and disciplines as relevant and appropriate. ▪ Engage multiple actors from various levels including the local, district, national, regional and international: e.g., national governments, international institutions, donors, civil society, private sector, small producers, trade unions, labor and women's organizations. ▪ Address cross-cutting issues by taking into account national and international developments that affect implementation and impact (including public sector reform and decentralization; peace and security; trade and macroeconomic policy reforms; etc.) ▪ Employ a 'protection and empowerment' framework to protect the most food insecure groups and build the resilience of individuals and communities.
Context-specific	▪ Address root causes and structural conditions within a given food insecure situation. ▪ Adopt context-specific strategies with a focus on local-level implementation. ▪ Extend analysis to capture the intrastate and interstate dimensions of food insecurity by situating insecurity within multiple contexts (district, national, regional, global). ▪ Conduct an in-depth analysis of targeted issues and populations from both a local and an external perspective.
Prevention-oriented	▪ Focus on reducing risks and strengthening the resilience of individuals and communities to withstand shocks. ▪ Develop and monitor community-driven early warning systems. ▪ Support building of local capacity, employ local resources and strengthen intra- and inter-community dialogue to ensure ownership and sustainability, and to prevent conflict over land issues. ▪ Tap into opportunities for prevention that are grounded in local knowledge and experience. ▪ Conduct mapping at different time periods to identify trends and modify interventions, if needed. ▪ Identify excluded groups and neglected areas or populations.

III. Human Security Programme Phases in Situations of Food Insecurity

Phase 1: Analysis, Mapping and Planning

Human security programming is premised on the understanding that food insecurity cannot be fully addressed without reducing broadly-framed risks and vulnerabilities as well as building on the resilience of individuals and communities to absorb shocks and to adapt to the fluctuating context of global food security. Key to identifying, mapping and addressing food-related security threats is the *inclusion of local perspectives* from the affected groups and community(ies).

As in almost every human security programme, the following processes should be included in the analysis, mapping and planning phase:

- Identify the most **critical and pervasive threats, vulnerabilities and insecurities** of the affected community(ies), their relation to other communities and to the larger context. The participatory need/vulnerability and capacity analysis described in Chapter 2 should be used in developing this phase.

- Given that the food insecure are not a homogeneous group – identify, map and cluster vulnerabilities and insecurities as per different groups: e.g. urban/rural, female-headed households, refugees, IDPs, children and marginalized populations.

- Assess the **local capacities and resources** of the affected community(ies) including those capacities/resources that were used in past situations to address similar insecurities and detect untapped opportunities that can be capitalized in order to develop localized and sustainable solutions.

- Map the interrelationship between coping mechanisms at the local level with policies at the regional and international levels.

- Address the **gaps in the existing protection and empowerment** measures.

- Assess the **actors and sectors involved**: What are their roles? What are their activities? How do they relate to one another? How can coherence be developed between them?

Analysis of threats, needs/ vulnerabilities and local capacities

The following table outlines the possible interrelations between (i) threats to food security and their impact on other sectors, (ii) vulnerabilities at different levels, and (iii) the local capacities available to respond to these challenges.

Table II: Food Security Threats, Needs/vulnerability and Capacity Matrix

Examples of Threats to Food Security	Examples of Needs/Vulnerabilities			Capacities (community/ individual level)
	Local (community/individual)	National	International	
Economic	- Reduced import capacity	- Collapse of	- Financial crisis,	- Self-sufficiency

- International and/or domestic financial crisis - Changes in consumption patterns - Rising oil prices - Constraints on national budgets that decrease expenditures on agriculture and socio-economic programmes - Dependence o imports (primary commodities) - Unemployment - Rising food and input prices	- Instability in production incentives - Reduced real income, wealth, and purchasing power - Lack of availability and access to social, health and education expenditures - Decreased personal food production - Reduced asset holdings - Reduced access to entitlements - Increased indebtedness - Unemployment	economic growth - Fiscal or monetary crisis - Constraints on national budget (SAPs, PSRPs, etc.) which decrease expenditures on agriculture and socio-economic programmes - Dependence on imports (primary commodities)	trade related shocks - Rising food prices - Negative effects of trade and aid policies - Rising oil prices - Rising demand for bio fuel	(agriculture) - Community networks/ cooperatives for markets/trade - Financial reserves/ Remittances - Public finance - Human capital - Diversified agriculture and economy
Health - Poor water and sanitation - Negative effects of trade and aid policies related to health - Negative effects of global health policies	- Lower food production - Loss of working days (reduced income) - Increased non-food expenditures (e.g. higher health costs) - Reduced uptake of macro- and micronutrients - Increased exposure/reduced immunity to disease - Lack of access to healthcare leading to less treatment - Reduced asset holdings (selling off) - Increased indebtedness - Poor food utilization	- Overburdened healthcare systems - Lack of social safety nets/social protection programmes - Lack of technical expertise or resources for healthcare - Epidemics, HIV/AIDS, poor water and sanitation - Illness, disability, injury	- Epidemics, HIV/AIDS, poor water - Negative effects of trade and aid policies related to health - Negative effects of global health policies	- Universal basic education and knowledge on health related matters - Indigenous/ traditional health practices - Access to information and community-based knowledge creation such as community-based healthcare and insurance schemes
Environmental - Landslides, rainfall, high winds, pest attacks, livestock diseases - Deforestation, declining soil fertility - Extreme weather events: earthquakes, floods, droughts, desertification - Global climate changes	- Falling productivity of cropland - Increased income variability - Increased pressure on resources for livelihood adaptation - Increase in water-borne diseases - Lower food production - Reduced livestock holdings - Reduced real income (agricultural, non-farm) and purchasing power - Increased pressure on natural resources - Increased production	- Insufficient response mechanisms for natural hazards - Mismanagement of natural resources	- Resource depletion; demand for alternatives; heavy-reliance on petroleum	- Natural resource capital - Natural environmental recovery processes (e.g. forests recovering from fires) - Biodiversity - Indigenous/ traditional practices that respect the environment - Coping mechanisms - Adaptive

	costs - Seasonal/migratory nature of agriculture - Reduced access to clean drinking water			strategies - Memory of past disasters
Community - Loss of traditional community-based coping mechanisms and support systems - Discriminatory access to common resources	- Reduced income and diversification opportunities - Exclusion from informal insurance schemes - Discriminatory access to food by certain household members (e.g. women and children) - Transfer of malnourishment to children (long-term community effects) - Inequitable intra-household food distribution	- Discrimination of access to common resources - Social exclusion - Loss of patronage	- Increase in globalization and lack of recognition of community specificity	- Social capital - Coping mechanisms - Adaptive strategies - Memory of past disasters - Local non-governmental organizations or traditional organisms
Political - Insufficient political will - Declining investment in agriculture, particularly small-holder practices - Non-egalitarian policies for distribution of land and food - Ad hoc market interventions	- Breakdown in agricultural support systems - Breakdown of social protection systems - Lower food production - Increased transaction costs - Exacerbated inequalities (e.g. access to land, access by female headed households) - Lack of representation and voice - Food-related civil disturbances - Lack of formal structures (unions, collectives, women's organizations) for political participation and representation	- Non-egalitarian policies for distribution of land and food - Ad hoc market interventions - Corruption (e.g. concentration in value chain, reliance on intermediaries - Civil unrest, conflict	- Insufficient financial commitments (pledges do not meet demand) - Uncoordinated action by the international community	- Social capital - Local non-governmental organizations or traditional organisms - Good governance - Ethical standards - Local leadership - Accountability mechanisms

Characteristics of threats for situations of food insecurity

Research in the area of food insecurity has highlighted the variegated nature of threats to food security. These can be categorized by the following factors: type, level, frequency, timing and severity. Depending on the particular combination of the factors and the types of protective mechanisms and entitlement programmes in place, threats can impact communities in vastly different ways. For example, research has identified that threats related to natural, environmental, health and social conditions are among the key threats affecting communities when faced by situations of food insecurity (Lovendal and Knowles, 2006). Therefore, from a human security

perspective, a thorough analysis of the range and the interplay of factors and the type of threats is critical for identifying the best points of entry for maximum positive impact.

Table III: Characteristics of Threats to Food Security

Characteristic of Threats	Description
Type	Political, social, economic, health, natural, and environmental.
Level	Individual/household, community/regional, national, and/or global/regional.
Frequency	Transitory risks: unpredictable events, cyclical/seasonal. Trends: changes in variables over time. Structural risks: long-term conditions rooted in the social, economic and/or political fabric.
Timing	Single event or coupled with other events/factors.
Severity	Strength, intensity, duration of the event and/or impacts.

(Compiled from Lovendal and Knowles, 2006)

Given the multi-level nature of the potential threats to food security, at the programme level, the human security approach targets the affected community(ies). However, examining the broader international response is also critical to ensuring complementarity and to identifying potential gaps within situations of food insecurity.

Table IV: Examples of Strategies Needed for Addressing Situations of Food Insecurity

Human security components	International strategies to enhance protection and empowerment	National strategies to enhance protection and empowerment
Economic security	➢ Increase investment in development assistance for broad based, sustainable agricultural and rural growth in developing countries ➢ Better-targeted food aid, minimizing potential negative externalities ➢ Enhance food supply to the most vulnerable ➢ Seed/input relief ➢ Restock livestock capital ➢ Enable market revival and investing in rural markets ➢ Enhance income and other entitlements to food	➢ Promote broad based, sustainable agricultural and rural growth ➢ Revive rural financial systems ➢ Improve rural food production especially by small-scale farmers ➢ Strengthen the labor market ➢ Diversify agriculture and employment ➢ Promote access to assets and services such as land, water, seeds, fertilizers, technology, infrastructure and energy. ➢ Revive access to credit system and savings mechanisms ➢ Careful adoption of trade measures: focus on protecting smallholder producers, strategic sectors and emerging enterprises; avoid last resort measures such as export bans that could accentuate such crisis and undermine long-term development
Health security	➢ Reform health, pharmaceutical and trade policies that inhibit growth in developing countries ➢ When appropriate, address health and food aid/policies in tandem to ensure a mutually reinforcing relationship	➢ Maintain or increase public expenditures on health infrastructure and access ➢ Develop and safeguard programmes to ensure safe food ➢ Establish nutrition intervention programmes ➢ Improve access to proper sanitation and clean water
Environmental security	➢ Affirm or re-affirm international commitments to resource rehabilitation, conservation, and alternative energy	➢ Targeted policies on resource rehabilitation and conservation ➢ Revitalize livestock sector

	sources ➢ Meet targets and obligations on environmental conservation as agreed upon in multilateral treaties and protocols	➢ Implement transfer systems: Food/Cash based ➢ Redistribute assets
Community security	➢ Promote comprehensive, people-centred solutions that are based on top-down and bottom-up strategies ➢ Address unfair trade practices that can limit the growth potential of communities dependent on agriculture	➢ Consider assistance programmes that encourage local communities to design community-based food reserves ➢ Establish social rehabilitation programmes ➢ Reintegrate refugees and displaced people ➢ Address urban dimensions: unique factors behind increasing urban poverty and improving food security in terms of availability and access, market development, management of natural resources and access to basic services ➢ Promote community participation on the design, implementation and monitoring of food and agricultural policies
Political security	➢ Address the structural causes of food insecurity ➢ Reform agriculture and trade policies that inhibit growth in developing countries (e.g. dumping) ➢ Minimize vulnerability of developing countries to the negative effects of rapid liberalization and the reduction of the public sector through trade negotiations and agreements ➢ Recognize the interlinkages between food security, poverty, peace/stability, and economic growth ➢ Ensure food security objectives are incorporated into national poverty reduction strategies (PRSPs) ➢ Monitor food security and vulnerability ➢ Monitor immediate vulnerability and intervention impact ➢ Develop risk analysis and management	➢ Deal with the structural causes of food insecurity ➢ Increase public spending on agriculture and support to smallholder farmers ➢ Re-establish rural institutions, invest in rural infrastructure, and appropriately target farming sector expenditures ➢ Re-establish social safety nets and invest in social protection programmes as well as community-based insurance schemes ➢ Enhance access to assets and land ➢ Address the entire rural space beyond farming to include off farm income opportunities ➢ Develop/enforce labor legislation and employment programmes for rural workers and seasonal workers ➢ Support the creation and strengthening of producer's organizations, women's organizations, etc.

Assessing multi-sectorality and externalities in situations of food insecurity

Given the highly volatile and complex interplay of factors necessary for ensuring food security, interventions must take into account the potential for positive and negative externalities across different sectors and levels. Undertaking such an assessment will allow the design of responses and strategies to be comprehensive and flexible enough to respond to the changing conditions and the inherent trade-offs in any situation of insecurity. Moreover, the examination of the interaction between international and local dynamics can highlight the context-specificity of each scenario and provide opportunities for targeted and sustainable solutions.

The "Protection and Empowerment" framework

At both the macro- and micro-levels, the issue of food insecurity must be tackled in a comprehensive manner, based on a protection and empowerment approach that entails both top-down (i.e., address the structural problems involved in the food production and supply systems and provide social safety nets and social protection mechanisms) and bottom-up measures (e.g., stimulate and support the agricultural sector particularly smallholder farmers as well as promote community-based insurance schemes and interventions).

The added-value of the protection and empowerment framework is the association of these two streams of decision-making in order to ensure complementarity and mutual benefits. In addition, the framework forces consideration in view of short, medium, and long-term policies and programmes.

- **Protection**

Protection against food insecurity requires action at multiple levels. Although national governments have the primary responsibility to ensure food security for their citizens, the responsibility for protection mechanisms also falls upon the international community. Often, international policies have the consequence of restricting the policy space of national governments. Therefore, the international community, donor agencies and national governments need to work in close partnership in order to minimize the negative consequences of international policies related to food security.

In addition, from a human security perspective, the notion of protective mechanisms needs to be expanded to include measures that are designed to absorb some of the impact of internal and/or external shocks so that the majority of the challenges faced are not shouldered by the most vulnerable.

- **Short-term**: Carefully targeted social safety nets and social protection programmes in order to ensure universal access to food, with particular focus on the most vulnerable and those suffering from chronic food insecurity.
- **Long-term**: Focus on strengthening the agricultural sector in those developing countries most in need and address the prevailing inequities in the international trade system.

- **Empowerment**

Empowerment strategies represent one of the cornerstones of the human security approach. Therefore in addition to addressing gaps in the protective mechanisms, more emphasis needs to be placed on designing and implementing long-term, sustainable, and bottom-up approaches. One of the pillars of sustainable solutions for food security is the expansion of food production through investing in rural development, especially of smallholder farms, and enlarging access to necessary inputs such as seeds, fertilizers and land. Moreover, emphasis should also be placed on measures that (i) strengthen the capacity of affected community(ies) to undertake risk reduction and develop early warning systems so as to increase their ability to respond to, cope with, and recover from food-related shocks; (ii) enhance resource management; (iii) increase participation in decision-

making regarding food security; and (iv) promote local and community-based insurance mechanisms and schemes.

Phase 2: Implementation

Close partnership between different stakeholders is key to ensuring an integrated response to food security. While some elements are confined to negotiations and policy-making at the international level, other components require a focus at the local level by engaging relevant actors and institutions from the different sectors noted below and as appropriate:

Table V: Examples of Relevant Actors Involved in Food Security

	Public sector stakeholders	Civil society stakeholders	Private sector stakeholders
Local	- Local government - Community-based organizations (CBOs) - Female-headed households	- Community groups - Local NGOs - Women's groups	- Small farmers - Traders - Intermediaries
National	- National governments - Human rights councils - Hospitals - Military/Police	- Trade Unions - Farmers associations - Environmental groups - National civil society - Social movements and advocacy groups - Schools and universities	- Corporations and businesses - Banks and financial institutions - Business associations
International	- International organizations and international financial institutions (UN, World Bank, WTO, IMF) - International donors	- International NGOs - International trade unions - International advocacy groups	- Agribusinesses - Multinational corporations

The Stages of Participatory Implementation

Stage 1: Present the programme design to the affected community(ies)

- Create opportunities for feedback so as to ensure that the programme is relevant to the local community.
- Allow space for local knowledge and build upon local experience and indigenous practices.

Stage 2: Establish a committee for overseeing the implementation

- Initiate cross-community dialogue to promote joint and collaborative management and use of local resources for the programme.
- Be clear about the mandate of oversight committees and lines of reporting in order to guarantee effective monitoring.

Stage 3: Allocate tasks and responsibilities

- Allocate tasks across different groups, including the most vulnerable, with a view to provide opportunities for empowerment.

- Ensure inclusivity, particularly key community stakeholders and promote new learning experiences.

Stage 4: Mobilize local resources

- Be sensitive to local practices, processes and structures, as well as local coping and preventative mechanisms.
- Seek untapped resources within the community.

Stage 5: Establish a monitoring and reporting mechanism

- Acknowledge the dynamic nature of food insecurity and incorporate monitoring and reporting mechanisms throughout different phases to allow for flexibility and adaptation as appropriate.
- Ensure complementarity and consistency with existing community-based mechanisms to avoid duplication and overlap.

Phase 3: Human Security Impact Assessment (HSIA)

An integral component of the human security framework, impact assessment must be employed early on in any food security programme. In particular, since situations of food insecurity are highly vulnerable to a wide variety of internal/external factors and are impacted by changes over time, ongoing monitoring and evaluation of a given programme is imperative throughout the planning, implementing and evaluation phases.

In situations of food insecurity, the HSIA tool introduces the following elements as inherent components of evaluation and impact assessment:

- Use of a wide range of both quantitative and qualitative indicators, including public perceptions and community narratives based on inclusive, consultative, and interactive bottom-up processes that take into account the views and experiences of the local groups and the affected community(ies).

- Comprehensive evaluation that integrates the seven different components of human security and thereby allows due consideration to a wide range of variables that determine the conditions for food security.

- Measurement of programme impact at different levels and on a group-by-group basis. This methodology has the potential to:

    - Show whether the programme has succeeded in reaching the intended beneficiaries.
    - Reveal whether additional groups have benefited as a result of the programme and highlight ways to broaden coverage if some are excluded.
    - Provide crucial information on prevailing inequalities and marginalization and consider ways to alter the situation.
    - Establish the level and nature of horizontal inequalities and social exclusion.
    - Identify groups who could be multipliers for social change and risk reduction.

- Assess if and how the programme has been successful at empowering and/or protecting different groups.

- Sufficient flexibility to review and explain the context-specific expressions of insecurities in any given food insecure scenario.

- Assessment of positive and negative externalities on different groups (including cross-border entities) and different components of human security. Such a framework can help highlight and evaluate the inter-linkages and the overlaps between the different responses, therefore providing the basis for consideration of concrete ways in which different actors can collaborate, coordinate and integrate their activities.

- Assessment of intended and unintended consequences of international and national policies on the structures and processes of food insecurity.

- Linking programme outputs and outcomes (on the micro level) to changes and impacts achieved at the macro level, including change in policies and societal structures.

- A framework for providing recommendations, identifying best practices and highlighting areas for improvement, as well as, for up-streaming key issues on food security related matters.

Annex 1 - Genesis and the Institutional Trajectory of Human Security within the UN Framework

Key Developments of Human Security at the UN

1992	*Agenda for Peace*	UN Secretary General Boutros-Boutros Ghali's call for "an integrated approach to human security" to address root causes of conflict, spanning economic, social and political issues.
1994	Human Development Report	Debut of human security, broadly defined as 'freedom from fear and freedom from want' and marking the move from a state-centric to a human-centric security paradigm.
1999	1999 Millennium Declaration	UN Secretary General Kofi Annan calls the international community to work towards achieving the twin objectives of 'freedom from fear' and 'freedom from want'.
	United Nations Trust Fund for Human Security (UNTFHS)	In March 1999 the Government of Japan and the UN Secretariat launch the UNTFHS to finance UN human security projects and increase human security operational impact.
	Human Security Network (HSN)	Launch of the HSN at the initiative of Canada and Norway. The HSN comprises a group of like-minded countries from all regions of the world committed to identifying concrete areas for collective action in the area of human security.
2001	Commission on Human Security (CHS)	Establishment of the independent Commission on Human Security under the chairmanship of Sadako Ogata and Amartya Sen.
2003	*Human Security Now*	The CHS publishes its final report *Human Security Now,* defining human security as: "to protect the vital core of all human lives in ways that enhance human freedoms and human fulfillment".
2004	Human Security Unit (HSU)	Establishment of the HSU at the UN Secretariat in the Office for the Coordination of Humanitarian Affairs (OCHA).
2004	UN Secretary General's *High-level Panel on Threats, Challenges and Change*	Recognition of the interconnectedness of a wide range of new threats to human security (economic and social threats; inter-state conflict and rivalry; internal violence, including civil war, state collapse and genocide; nuclear, radiological, chemical and biological weapons; terrorism; and transnational organized crime) and the need for greater cooperation and partnerships to address them.

2005	*In Larger Freedom: Towards Development, Security and Human Rights for All*	Report of the UN Secretary General setting a series of policy priorities and proposing a number of institutional reforms to achieve the three goals of 'freedom from want', 'freedom from fear' and 'freedom to live in dignity'.
2005	2005 World Summit Outcome Document	Heads of States and Governments refer to the concept of human security. Paragraph 143 of the Document recognized that: "all individuals, in particular vulnerable people, are entitled to freedom from fear and freedom from want, with an equal opportunity to enjoy their rights and fully develop their human potential".
2006	Friends of Human Security (FHS)	The FHS, "a flexible and open-ended informal group of supporters of human security" consisting mainly of representatives from UN member states and international organizations working at the UN headquarters in New York., holds its first of four meetings in NY under the chairmanship of Japan.
2008	UN General Assembly: Thematic Debate on Human Security	Debate to reflect on the multidimensional scope of human security and to further explore ways to follow up on its reference in the World Summit Outcome Document.

- In 1992, Boutros-Boutros Ghali's Agenda for Peace makes the first explicit reference of human security within the UN. In this report, the concept was used in relation to preventative diplomacy, peacemaking, peacekeeping and post-conflict recovery. The report drew attention to the broad scope of challenges in post-conflict settings and highlighted the need to address root causes of conflict through a common international moral perception and a wide network of actors under "an integrated approach to human security".

- In 1994, the UNDP Human Development Report was the seminal text to stress the need for human security, broadly defining it as 'freedom from fear' and 'freedom from want'. The 1994 HDR further characterized human security as "safety from chronic threats such as hunger, disease, and repression as well as protection from sudden and harmful disruptions in the patterns of daily life – whether in homes, in jobs or in communities" (UNDP, 1994:23).

- In the late 1990s, human security was adopted by Secretary-General Kofi Annan as part of the new UN mandate in the 1999 Millennium Declaration and his call at the 2000 UN Millennium Summit, addressing the international community to work towards the advancement of the twin objectives of 'freedom from fear' and 'freedom from want'.

- In 1999, the Government of Japan and the UN launched the United Nations Trust Fund for Human Security (UNTFHS), taking a concrete step towards operationalizing the concept. The UNTFHS has been primarily funded by the government of Japan with the governments of Slovenia and Thailand joining the Fund since 2007. The UNTFHS funds projects relating to

key thematic human security areas, such as, post-conflict peacebulding, persistent and chronic poverty, disaster risk reduction, human trafficking and food security. Projects are selected with a view to further "translate the concept of human security into operational activities that provide concrete and sustainable benefits to peoples and communities threatened in their survival, livelihood and dignity."

- Meanwhile, in 1999, a number of additional governments joined efforts to engage with the concept as part of the Human Security Network (HSN). Launched by Canada, the Network comprises a total of twelve 'like-minded' countries - Austria, Canada, Chile, Costa Rica, Greece, Ireland, Jordan, Mali, Norway, Switzerland, Slovenia, Thailand and South Africa as an observer. Committed to applying the human security perspective to international problems, the Network's efforts include steps towards the application of human security, including the Ottawa Convention on Anti-personnel Landmines and the establishment of the International Criminal Court (ICC).

- In 2000, in contribution to the above efforts and in direct response to the Secretary-General's call at the Millennium Summit, the independent Commission on Human Security (CHS) was established under the chairmanship of Sadako Ogata, former UN High Commissioner for Refugees, and Amartya Sen, Nobel Economics Prize Laureate (1998). Aiming to mobilize support and provide a concrete framework for the operationalization of human security, in 2003, the CHS produced its final report Human Security Now. The report offers a working definition of human security and reaches a number of respective policy conclusions covering issues such as violent conflict, small arms, refugees and internally displaced persons, post-conflict recovery, health, poverty, trade and education.

- Following the conclusion of the activities of the CHS and as per its recommendations, the Advisory Board on Human Security (ABHS) was created as an advisory body to the Secretary General and to follow-up the policy recommendations of the CHS. In specific, the ABHS has undertaken the role to (i) advise the UN Secretary-General on issues relating to the management of the UNTFHS, (ii) further promote the human security concept and (iii) increase the impact of human security projects funded by the Trust Fund.

- The ABHS has been instrumental in the establishment, in 2004, of the Human Security Unit (HSU) at the UN Secretariat in the Office for the Coordination of Humanitarian Affairs (OCHA). The overall objective of the Unit is twofold: (i) management of the UNTFHS and (ii) the development of the Trust Fund into a major vehicle for the acceptance and advancement of human security within and outside the UN. Since its establishment in 1999, the UNTFHS has funded more than 175 projects in approximately 70 countries.

Broader Acceptance of Human Security

- Further to the establishment of the HSU, in 2004, the UN Secretary General's High-level Panel on Threats, Challenges and Change has significantly reinforced the utility and relevance of human security. The report makes extensive use of the concept within a broader agenda of requisite institutional reforms to respond to the new threats of the 21st century. In acknowledging the broadened nature and interrelatedness of security challenges, it stresses the

need to address human security along with state security and draws strong links between development and conflict.

- In 2005, in his final proposal for UN reforms within his report In Larger Freedom, Kofi Annan, albeit not making specific reference to the term human security, uses its three components, namely 'freedom from fear', 'freedom from want' and 'freedom to live in dignity' as the main thematic principles of the report.

- More recently, the adoption of the Outcome of the 2005 World Summit by the General Assembly has been pivotal in further raising awareness and interest in the concept of human security. Paragraph 143 of the Outcome Document (A/RES/60/1) recognizes that "all individuals, in particular vulnerable people, are entitled to freedom from fear and freedom from want, with an equal opportunity to enjoy their rights and fully develop their human potential".

- In parallel, the creation of the Friends of Human Security (FHS), as "a flexible and open-ended informal group of supporters of human security"[6] shows a commitment by states and international organizations to engage with the concept in line with the CHS definition and disseminate it on the ground. So far, the FHS has held four meetings (October 2006, April 2007, November 2007 and May 2008) discussing human security in relation to issues such as: climate change, peacebuilding, the Millennium Development Goals (MDGs), the global food crisis, human rights education and gender-based violence. The fourth FHS meeting has been followed by two additional events of significant contribution to the propagation of human security: (i) the General Assembly Informal Thematic Debate on Human Security organized by the President of the GA on 22 May 2008 in New York and (ii) the HSN Ministerial meeting chaired by the Government of Greece in Athens on 29-30 May 2008.

- Similarly as outlined in the follow-up document[7], a multitude of UN agencies and departments have implemented more than 175 human security projects worldwide. These projects cover a wide range of issues including: protection and reintegration of refugees, post-conflict peacebuilding, prevention of human trafficking, women's empowerment, food and health security, socio-economic security for vulnerable communities as well as activities to further promote the concept of human security.

- Developments at the international level are similarly reflected in the agendas and policy debates among regional organizations such as the African Union, the European Union, the Association of South East Asian Nations (ASEAN), the Organization of American States (OAS) and the League of Arab States (LAS), where contemporary challenges – from hunger, poverty and failing schools to armed conflict, human trafficking and international terrorism – highlight the need for comprehensive, integrated and people-centered solutions.

[6] The FHS consists mainly of representatives from UN Member States and international organizations working at the UN headquarters in New York.
[7] The February 25, 2008 report to the General Assembly includes a comprehensive outline of human security activities by Member States of the FHS and UN funds, agencies and programmes.

Annex 2 – Sample of Projects funded by the UNTFHS

2.1 DR Congo: Community Empowerment and Peacebuilding in Ituri[8]

Overview

Despite its rich endowments in natural resources and the resilience and entrepreneurship of its population, DRC entered the 1990s in a state of quasi-collapse. The decade was marked by successive episodes of increasing violence, internal, and cross-border conflicts resulting in millions of casualties, considerable population movements, significant infrastructure destruction and continuous deterioration of socio-economic conditions.

With growing stability returning to parts of the DRC, including the district of Ituri, the transition from emergency to development assistance is increasingly recognized as pivotal to the future of the district and the country. Meanwhile, human security, with its emphasis on "protecting people from critical and pervasive threats and empowering them to build on their strengths and aspirations" is seen by many as best suited to bridge the gap between emergency assistance and medium to long-term development. By strengthening public safety; improving health, education and economic recovery; and advancing reconciliation and coexistence, the human security approach is argued to produce the peace dividend needed to bolster confidence in Ituri's continuing efforts to consolidate peace and transition to sustainable development.

Application of the human security approach

The fundamental aim of the project is to empower the peoples of Ituri to act on their own behalf and re-establish their livelihoods in a culture of peace. As such, the project seeks to address the human security needs of the targeted communities in the areas of public safety, coexistence and reconciliation, health, education, training, employment and institutional support. Accordingly, the

[8] This project was formulated prior to recent events in the eastern DRC and as of 7 November 2008 has not been suspended.

project focuses on multi-sectoral entry points under an integrated inter-agency approach executed by UNDP, FAO, UNICEF and UNHCR, in collaboration with WFP, MONUC, UNFPA and WHO as well as community based organizations, national and international NGOs, and the provincial government of Ituri.

Programming Areas

Based on an integrated and comprehensive approach, the project focuses on achieving the following goals:

(1) Restore livelihoods and re-activate productive assets.

(2) Improve the delivery of and access to basic social services such as health, education and water.

(3) Support community empowerment processes through good governance and promote a culture of peaceful co-existence between diverse groups.

Activities under the project fall into two categories or pillars. The first pillar aims to empower individuals, communities, and the government. As *Human Security Now* notes, empowerment enables people to develop their potential and become full participants in the decision-making process. The second pillar seeks to protect people and shield them from dangers through efforts to develop norms, processes and institutions that systematically address insecurities.

Pillar One - Empowerment

In its objective to empower the people of Ituri and build their individual strengths and aspirations, the project:

- provides capacity building support to community-based cooperatives and association of farmers, fishermen and livestock breeders in the most war affected and the poorest regions of Ituri;
- improves the quality of agricultural and veterinary extension services where over 85% of the population of Ituri is engaged in;
- strengthens capacities for sustainable employment opportunities to the benefit of vulnerable youths including young girls as well as returnees; and finally
- enhances the capacity of government and community-based organizations in the areas of education and healthcare service delivery both of which are critical to allowing people to fully develop themselves

Pillar Two - Protection

Through a concentrated effort to develop norms, processes and institutions that systematically address insecurities**,** the project aims to protect and shield people from critical and pervasive threats. Subsequently, norms of peaceful co-existence, safety and security are achieved through:

- sporting, artistic, cultural, peace committees and workshop activities that promote social cohesion and reconciliation; as well as,
- reinforcement of police posts, the newly created border police, and the training of local line ministries in conflict-sensitive planning and implementation skills

Summary

By integrating the two pillars of empowerment and protection and promoting responses that are people-centred, comprehensive, and sustainable, the project addresses the full range of insecurities faced by the peoples of Ituri and proposes activities that help strengthen the transition from emergency to medium and long-term development, peace and security.

2.2 El Salvador: Strengthening Human Security by Fostering Peaceful Coexistence and Improving Citizen Security

Overview

In 1992 the government of El Salvador and the rebel Farabundo Martí National Liberation Front (FMLN) signed the Chapultepec Peace Accord, ushering an end to over a decade of violent conflict. However, as efforts to consolidate hard-won stability and democratic governance continue to be undermined, the human security dividends of the peace process have yet to materialize. In the western Department of Sonsonate, persistent violent crime, high homicide rates, the presence of youth gangs, drug trafficking and a ready supply of firearms sustain a culture of fear and intimidation.

Application of the human security approach

Lessons learned from past activities suggest that an integrated approach including multiple sectors, various government agencies, and civil society participation are imperative to effectively improve the human security of the region. Meanwhile, given the seriousness of domestic and sexual violence, gender equality also requires special consideration as human security cannot be achieved without the active participation of women.

With its emphasis on the special needs of vulnerable communities and its attention to advancing inter-organizational partnerships, the human security approach is viewed as the most suitable mechanism for fostering coexistence and civic security in the Department of Sonsonate. By working comprehensively to (i) develop strong public institutions and civil society engagement, (ii) advance the protection of children and adolescents, (iii) promote the prevention of armed violence, (iv) provide responses to domestic and sexual violence, and (v) address gender gaps in employment opportunities, the improvement of human security provides the foundation for achieving sustainable development, peace and security in a region eager to benefit from the peace process.

Programming Areas

Through both top-down protection and bottom-up empowerment measures, the project comprehensively addresses the demands of human security in the Department of Sonsonate. Taking into account the multi-sectoral nature of the human security challenges in the region, the project takes an inter-agency approach to integrate the comparative advantages of four UN agencies – UNDP, UNICEF, WHO and ILO. Project activities are implemented in direct collaboration with the Government, including the Ministries of Foreign Affairs, Education and Health, the National Council on Public Security, the police and the judiciary. Local governments, NGOs and community organizations are also involved in the implementation of the project. The following are some of the key areas of intervention under the project.

(1) *Coordinating and complementing initiatives by public institutions and civil society to prevent violence and foster peaceful coexistence* by training members of local police and relevant administrative and judicial offices on effective and adequate policymaking as well as promoting public awareness on civic culture and coexistence norms.

(2) *Enhancing the safety of public space usage* by building and reclaiming public spaces such as parks and sports grounds, developing mechanisms and activities for sustainable municipal management of public spaces with community participation, facilitating the integration of children and adolescents in community spaces and vocational trainings, and promoting strategies that increase public awareness and inhibit violations of children's rights.

(3) *Establishing mechanism to reduce road accident mortality and morbidity* by facilitating the adoption of local by-laws restricting arms-bearing in public spaces through campaigns and media, developing arms control plans including the procurement of weapon detectors, and creating strategies and networks on road education and prevention of road injuries and accidents.

(4) *Equipping local institutions to ensure comprehensive responses to domestic and sexual violence* by setting up self-help groups and inter-sectoral networks to address sexual and domestic violence, carrying out awareness-raising campaigns, and supporting community debates on domestic violence, sexual exploitation and human trafficking.

(5) *Reducing gender gaps in access to employment and representation in decision-making processes* by providing technical assistance for the formulation and adaptation of gender sensitive policies and promoting micro-projects to create employment opportunities and economic incentives for women, with particular emphasis on young women and single mothers.

Summary

The project aims to reduce the interconnected threats of violence, organized crimes, gender inequality and social insecurity. With specific emphasis on protecting and empowering vulnerable communities, the project contributes to the achievement of human security and stability in one of the most violent and vulnerable regions in El Salvador.

2.3 Kosovo[9]: Multi-sectoral Initiative for Community Stabilization and Improved Human Security

Overview

The conflict of 1998/99 resulted in growing hardships on the already vulnerable and distressed population of Kosovo. By further destroying the area's social infrastructure and contributing to its soaring unemployment, Kosovo today is one of the poorest regions in Europe. Moreover, remaining social tensions between the deeply divided ethnic communities of Kosovo-Albanians, Kosovo-Serbs and Roma Ashkali and Egyptian (RAE) minorities present further obstacles to achieving human security in the region. By politicizing the provision of public services and creating parallel facilities and structures, ethnic divisions have not only inhibited the reform and development process but have also made the task of reintegrating over 200,000 internally displaced ethnic minorities exceedingly complex and challenging.

Application of the human security approach

Focusing on the municipalities of North and South Mitrovice/a and Zvecan, current tensions cannot be alleviated through piecemeal responses but instead require a comprehensive and integrated approach that is based on human security. Subsequently, a broad range of interconnected issues such as poverty, education, health, displacement, conflict prevention, reconciliation, and the protection of minority rights must be addressed if sustainable peace and stability is to take root in the region. To this end, the project draws upon the expertise of multiple UN agencies (UNDP, UNV, WHO, UNICEF, UNFPA and OHCHR) and includes the full partnership of the Ministry of Local Government, the Ministry of Communities and Returns, local governments of North and South Mitrovice/a and Zvecan, as well as local NGOs and business centers.

[9] In accordance with Security Council Resolution 1244.

Programming Areas

To promote peace and stability in North and South Mitrovice/a and Zvecan, the project focuses on the following three tangible outputs:

(1) Establish mechanisms for local authorities in the three target areas to involve all communities in the planning, monitoring and assessment of service delivery.

- Train local institutions on human rights and social protection, and integrate the human rights approach into development strategies.
- Develop and implement health sector action plans to rehabilitate local health facilities.
- Refurbish schools and train educational officials and school teachers on inclusive teaching methodologies.

(2) Increase enterprise activities within the three municipalities and develop stronger trade links between the communities.

- Identify economic opportunities for small and medium enterprises, establish short-term employment opportunities in public investment schemes, promote skills upgrading and on-the-job training.
- Train entrepreneurs on business management and planning practices and establish grant mechanisms to support start-ups with a special focus on marginalized groups including women, youth, and ethnic minorities.

(3) Improve inter-community relations through increased local ownership and strengthened capacities of civil society organizations, as well as implementation of neighborhood and inter-community development projects.

- Empower communities through training of local NGOs and civil organizations on a variety of issues ranging from participatory assessment techniques to intercommunity development projects and dispute resolution mechanisms.

Summary

By bridging the ethnic divide through education and training as well as improving public services and facilitating economic development, the project contributes to the consolidation of peace and the promotion of human security in northern Kosovo.

2.4 Liberia: Rebuilding Communities in Post-Conflict Liberia Empowerment for Change

Overview

Emerging from a series of protracted conflicts, Liberia undergoes a challenging process of recovery. Two decades of conflicts have destroyed the socio-economic infrastructure and have forced people to flee from their home, leaving rural communities in dire poverty and disillusionment. While return of the displaced and the demobilized ex-combatants signals restoration of peace, severe shortage of food production and employment opportunities in rural communities provide grounds for friction and discontent between returnees and those who, for one reason or another, opted not to migrate and remained during the conflicts.

With increasing awareness of the risk of a relapse into conflict, consolidation of peace based on a holistic approach is viewed as crucial in post conflict efforts. To this end, enhancing capacity of rural communities to absorb returnees and to plan and manage long-term development is seen as imperative in defusing the potential source for backslide. Human security, focusing on protecting people from threats and empowering them to build on their strengths and aspirations, offers the most suitable platform to support vulnerable communities recovering from conflict. Through supporting participation in addressing their own needs, improvement of economic skills and performance, and enhancement of basic social services in communities that are most affected by conflicts in Liberia, the human security approach promotes successful transition from violent and impoverished environment to sustainable peace and development.

Application of the human security approach

To enhance the empowerment and participation of the targeted communities in the decision making process at the local level, the project adopts a multi-sectoral approach that addresses the economic, social, institutional and capacity needs of the affected communities and rebuilds relations among the host communities, the ex-combatants, the returnees and the IDPs. Accordingly, the project takes an inter-agency approach that benefits from the comparative

advantages of UNDP, FAO and the WFP, and collaborates with non-governmental organizations and local and national authorities including District Development Committees (DDC), Ministry of Agriculture, Ministry of Rural Development, and the Results Focused Transitional Framework (RFTF).

Programming Areas

Addressing a wide range of human security needs, the project focuses on the following objectives and activities to:

(1) *Enable targeted communities to participate in identifying and determining their needs; articulating and negotiating with partners; and participating in the monitoring and realization of such needs:*

- Facilitate the participation of community members in the formulation and the administration of community rehabilitation projects;
- Develop management skills of community members for effective and efficient assets storage, local marketing and information processing; and
- Support the establishment of systems and institutions such as credit schemes to improve the development and marketing of agricultural products.

(2) *Replenish farming skills and technical support services lost during the conflict in the targeted communities:*

- Enhance blacksmith skills through delivery of training programs and rehabilitation of blacksmith centres; and
- Improve farming techniques such as crop production and the use of fertilizers.

(3) *Support the revitalization of local economies by creating on-farm and off-farm opportunities for gainful employment:*

- Rehabilitate basic infrastructure such as roads, bridges and canals through local contractors with visible multiplier effects; and
- Distribute seeds and other related farming inputs.

(4) *Enhance access to basic social services including education, health and water and sanitation:*

- Rehabilitate schools, clinics, and water and sanitation facilities through local contractors.

Summary

Through a community-based multi-sectoral approach, the project enhances the capacity of post-conflict rural communities to protect themselves from the risks of relapsing into conflict and empowers them to consolidate and sustain the recovery towards peace and development.

2.5 Moldova: Protection and Empowerment of Victims of Human Trafficking and Domestic Violence

Overview

Continuous political conflicts and extreme poverty in Moldova have resulted in high unemployment rates and a growing income disparity between urban and rural areas. Subsequently, up to 40% of the labor force in some of the poorest towns and villages have emigrated abroad, tearing apart family structures in rural towns and villages and undermining community support mechanisms.

Of these, women and children bear the heaviest burden of the country's challenges. Prompted by their desperate economic and social situation, young women constitute the vast majority of trafficked persons – migrating to improve the quality of their lives and yet often trafficked into sexual exploitation. Meanwhile, children of poor and emigrating families are frequently abandoned at state institutions, exposing them to further psychological stress and neglect.

Application of the human security approach

Looking at the root causes of human trafficking, human security highlights the inter-connections between gender-based violence, poverty and sexual exploitation. Accordingly human security advocates for not only physical security but also access to fundamental freedoms, economic security, and social well-being. Through an integrated top-down protection and bottom-up empowerment framework, human security promotes a comprehensive program that improves the protective and socio-economic situation of women and children in rural town and villages in Moldova.

Programming Areas

The project, in close collaboration with UNDP, UNFPA, IOM, and OSCE, and through implementation by the government and local counterparts, comprises of the following two primary components:

Protection

The objective of the Protection component is *to strengthen the capacity of government institutions in partnership with civil society to provide quality identification, protection, and assistance services to victims of human trafficking and domestic violence on a sustainable basis.* Protection measures will be achieved through the following activities:

- Build the capacity of institutions, professional groups and civil society on the prevention, identification and provision of integrated support services to victims of human trafficking and domestic violence;
- Establish repatriation funds and mechanisms to offer immediate safe accommodation, medical care and psychological counseling services; and
- Raise social awareness on the issue of domestic violence and human trafficking through self-help groups, education and counseling services.

Empowerment

The objective of the Empowerment component is *to empower communities, civil society organizations, and individuals to better address the issues of human trafficking and domestic violence and to provide basic services for at-risk persons*. Empowerment measures will be achieved through the following activities:

- Mobilize target communities to dispatch community-led development processes and community initiatives addressing domestic violence and human trafficking through community meetings and action groups;
- Train community leaders, individuals and local media on human security issues including access to alternative livelihoods, social responsibility and positive parenting practices.

Summary

By addressing the human security needs of vulnerable women and children in Moldova, the project bridges the existing gap between gender-based violence, poverty, and sexual exploitation. This integrated approach comprehensively addresses the root causes of human trafficking and empowers communities to provide better protection assistance and empowerment measures to sustain lives that are free from fear, want and loss of dignity.

2.6 Myanmar: Support to Ex-Poppy Farmers and Poor Vulnerable Families in Border Areas

Overview

Myanmar, a country of 53 million inhabitants, is one of the most ethnically diverse countries in South East Asia consisting of over 135 diverse groups. Since independence these groups have been vying for various levels of autonomy. In an effort to maintain the cease-fire status quo and to avoid the renewal of conflict, the Government has adopted a 'peace for development strategy' and in 1999 agreed to a 15-year plan to eradicate poppy production form Myanmar.

For generations poppy production however has been the main source of income for large segments of inhabitants in the highlands of Shan State. And while recent efforts on opium eradication have produced considerable progress nevertheless in the absence of alternative income opportunities, the eradication plan has resulted in sharp declines in incomes and a significant rise in levels of indebtedness among farmers. Without alternative sources of income, as well as households struggling to meet their basic needs, farmers are more likely to resist authorities, resulting in tensions and a possible renewal of conflicts along the border areas of Myanmar including the Shan State.

Application of the human security approach

Faced with loss of income, inadequate food security, lack of education and multiple health challenges, the project addresses the broad range of human security challenges confronted by the targeted communities and highlights the socio-economic alternatives needed to ensure adequate food and economic security during the transition period. To this end, WFP, FAO, UNODC and UNFPA will implement an interagency approach, in direct partnership with a number of local and

international NGOs, focusing on the requisite health, education, nutrition, infrastructure, and capacity building needs of the local communities.

Programming Areas

With the goal of improving the socio-economic conditions of vulnerable communities in the Shan State, the project focuses on the following objectives and activities:

(1) Protect ex-poppy farming households and poor vulnerable families from critical loss of livelihoods and improve their food security:

- Identify sustainable alternative crops and provide seeds and fertilizers together with technical support and training to transfer modern agricultural technologies as well as land/water management skills;
- Construct weirs and dams and develop canals to improve irrigation system; and
- Recommend alternative livelihoods and provide training for income generating skills.

(2) Create and maintain conducive conditions for the rehabilitation and restoration of self reliance:

- Construct and renovate primary schools;
- Improve water supply facilities based on the needs of the community;
- Conduct vocational training on masonry and carpentry, and provide the necessary tools and equipments;
- Enhance access to primary education, targeting women and adolescent girls; and
- Increase awareness and knowledge on HIV/AIDS, health and gender issues.

Summary

With multiple entry points, the project comprehensively addresses the sources of insecurities faced by the ex-poppy farming communities as they transition away from poppy production. Based on capacity building activities, conditions for the eradication of opium are sustained and access to alternative livelihoods for the community is ensured. Moreover, by protecting and empowering people exposed to extreme poverty and sudden economic downturns, the project through the human security approach provides a powerful tool in assisting communities in freeing themselves form dependency on poppy production and restoring their livelihoods.

2.7 Peru: Natural Disasters in Peru: From Damage Limitation to Risk Management and Prevention

Overview

Located at the foot of the Andes and in one of Peru's most remote and vulnerable regions, the communities of Quispicanchis and Carabaya face a daunting range of natural disasters including earthquakes, floods, droughts, tsunamis and avalanches. Moreover, the recurrent nature of these disasters has resulted in serious human insecurities that threaten to confine these communities into permanent situations of poverty, malnutrition and ill-health.

Too often responses to natural disasters are piecemeal, reactive and fail to address the root causes of vulnerabilities. Moreover, little attention is paid to the interlinkages between risk reduction, capacity building and support for sustainable development. However, to substantially improve the human security of the peoples of Quispicanchis and Carabaya, these factors must be considered. Through disaster management education, safer building techniques, improved agricultural practices as well as community-driven early warning and disaster response mechanisms, communities can better prevent and mitigate the impacts of natural disasters. Similarly by supporting community-based land conservation and improved agricultural practices, responses can tap into vast and untapped opportunities that not only help restore natural defenses vis-à-vis disasters but also benefit the poor by expanding their economic opportunities, improving their livelihoods, and strengthening their resilience in times of crisis.

Application of the human security approach

Based on an integrated inter-agency approach, the project addresses a broad range of interconnected issues that help protect and empower the most neglected and exposed communities

in the southern Andes region. Accordingly, the project benefits from the participation of UNDP, UNICEF, FAO, WHO and WFP, and through direct collaboration with local and national counterparts such as civil defense district committees (CDDCs), community networks, non-governmental organizations and the offices of regional authorities including the Ministries of Agriculture, Health, and Education as well as the National Programs for Food Assistance and for River-basin Management and Soil Conservation.

Programming Areas

Taking into account the multi-sectoral demands of human security, the project focuses on the following objectives and activities:

(1) *Empower district municipalities in disaster preparedness, response, and coordination of the Civil Defence District Committees:*

- Strengthen the monitoring and logistical capacities of municipal and district committees by elaborating and enhancing disaster prevention tools, early warning systems and local communications infrastructure; and
- Promote community awareness and participation by identifying vulnerable persons and clarifying safe areas and evacuation routes.

(2) Reduce the impact of natural disasters through risk mitigation and prepare for community survival, health and food security:

- Improve the health condition of local populations and expected mothers by developing capacities of local health care institutions and constructing pilot homes with upgraded cooking and sanitary facilities; and
- Engage in reforestation activities, build micro-dams and protective barriers against floods and improve soil conservation.

(3) Strengthen coping capacities to protect livelihoods, improve nutrition, meet basic needs and expedite recovery in the event of a natural threat:

- Develop livestock management and animal treatment techniques that are suitable for severe weather conditions;
- Improve subsistence agriculture through effective management of natural resources and selection of suitable local systems for harvest, storage, distribution and trade of crops; and
- Enhance nutrition and health conditions of local communities and vulnerable groups through vegetable production in locally designed green houses and training on hygiene and sanitary practices.

(4) Improve community awareness and knowledge of practical preventive measures in the event of natural disasters:

- Design and distribute communication strategies and tools that link disaster prevention with the protection of environmental assets and disaster education.

(5) *Disseminate lessons learned at the regional level and implement standing agreements between regional, provincial, and district institutions to promote sustainability:*

- Promote inter-district communications to benefit from sharing of local best practices and mentoring; and
- Engage in information dissemination at the national level in collaboration with the press and the private sector.

Summary

By addressing the full range of insecurities faced by the targeted communities, the project promotes responses that are community-driven, preventive and sustainable. Through a culture of local prevention and empowerment, the projects helps to further strengthen the preventive and coping capacities of the communities of Quispicanchis and Carabaya as well as improve their long-term growth and sustainable development.

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