



United Nations Trust Fund
for Human Security

HUMAN SECURITY HANDBOOK

An integrated approach for the realization of
the Sustainable Development Goals and
the priority areas of the international community
and the United Nations system

CONTENTS

- Acronyms3
- Introduction4
- The Human Security Approach and Its Added Value5
- Towards a Stronger Response by the United Nations System 11
- Application of the Human Security Approach to Programmes and National Plans..... 17
- Annex 1 - Designing a Human Security Programme: A Case Study from Kenya 30
- Annex 2 - Examples of Programmes Funded by
the United Nations Trust Fund for Human Security..... 40

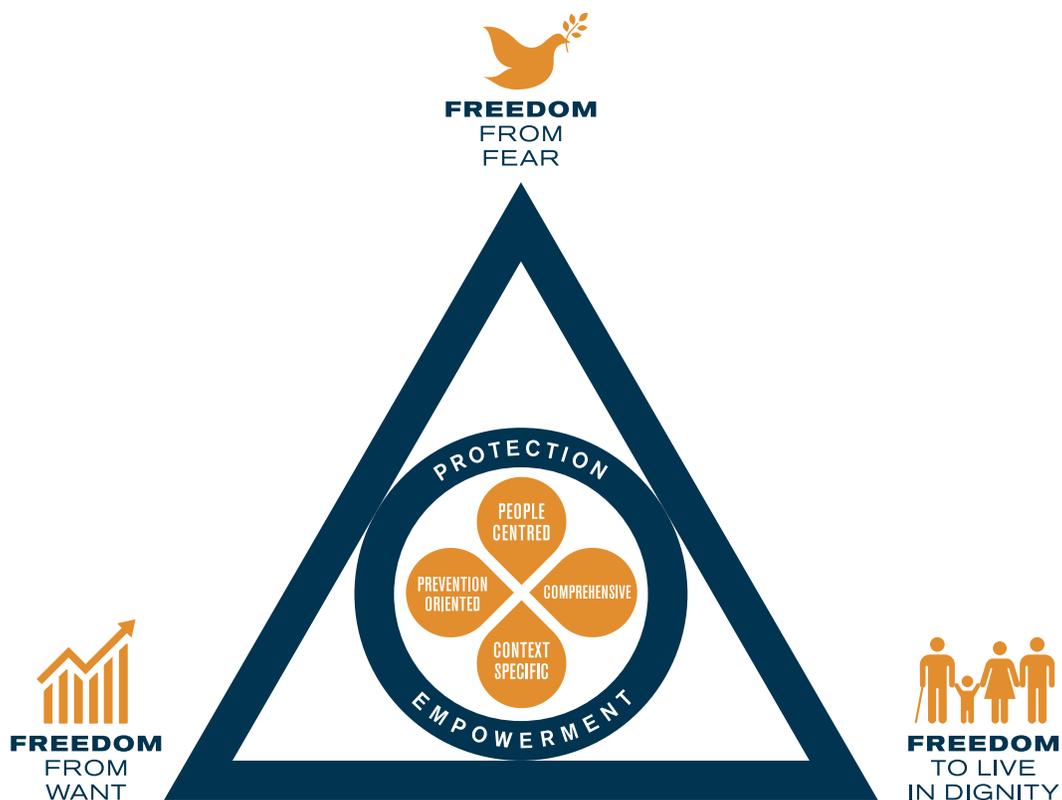
ACRONYMS

| | |
|-------------------|--|
| FAO | Food and Agriculture Organization |
| ILO | International Labour Organization |
| MDGs | Millennium Development Goals |
| NGO | Non-governmental organization |
| SDGs | Sustainable Development Goals |
| UNESCO | United Nations Economic, Scientific and Cultural Organization |
| UNDP | United Nations Development Programme |
| UNFPA | United Nations Population Fund |
| UN Habitat | United Nations Human Settlements Programme |
| UNHCR | United Nations High Commissioner for Refugees |
| UNICEF | United Nations Children's Fund |
| UNIDO | United Industrial Development Organization |
| UNTFHS | United Nations Trust Fund for Human Security |
| UNV | United Nations Volunteers |
| UN Women | United Nations Entity for Gender Equality and the Empowerment of Women |
| WHO | World Health Organization |

INTRODUCTION

Prepared as a guide for practitioners and policymakers who plan to integrate the human security approach into their work, this handbook provides an overview of the principles that embody the approach and its added value. It introduces a step-by-step analytical process for the design and implementation of human security initiatives, and provides guidance for assessing the added value of the approach. A detailed case study from the Turkana region of Kenya demonstrates the application of human security tools to analyse a complex situation and develop an integrated multisectoral approach. This is followed with additional examples of programmes supported under the United Nations Trust Fund for Human Security (UNTFHS).

This handbook assumes prior knowledge in programme/project management methods, such as results-based management as well as logical framework analysis, and will be accompanied by a series of trainings for United Nations entities, field staff and other stakeholders.



1.

THE HUMAN SECURITY APPROACH AND ITS ADDED VALUE

For many people, today's world is an insecure place, full of threats on many fronts. Natural disasters, violent conflicts, chronic and persistent poverty, health pandemics, international terrorism, and sudden economic and financial downturns impose significant hardships and undercut prospects for sustainable development, peace and stability. Such crises are complex, entailing multiple forms of human insecurity. When insecurities overlap, they can grow exponentially, spilling into all aspects of people's lives, destroying entire communities and crossing national borders.

Most of today's development or humanitarian challenges arise from multiple factors that are interconnected and mutually reinforcing. These require greater integration of activities across the United Nations system and in partnership with others. For people in crisis and extreme poverty, acting on single issues is not enough. Insecurities must be tackled together, comprehensively. Only then will people begin to feel safe in all aspects of their lives, have the income and opportunities to attain well-being, and know that their rights and dignity are fully respected. Only then will they enjoy human security – a more powerful, lasting approach to the most difficult deficits in peace and development.

The human security approach can reinforce United Nations support to Member States in strengthening resilience to climate change and natural disasters; promoting peaceful and inclusive societies; addressing the underlying causes of persistent poverty; and bolstering the transition from humanitarian crisis to longer term sustainable development. As such, the application of the human security approach can significantly enhance actions taken by the United Nations and its partners to fully realize the transformative promise of Agenda 2030 and the Sustainable Development Goals (SDGs).

Agenda 2030 underscores that an integrated sustainable development agenda requires an equally synergistic framework for its implementation, and that a truly sustainable development agenda must be inclusive and people-centred. Echoing the human security approach, Agenda 2030 calls for development strategies that result in more resilient societies where people are safe from chronic threats such as abject poverty, hunger, disease, violence and repression, and protected from sudden disruptions in their daily lives. In short, the human security approach is a crucial ingredient to achieve sustainable development.

1.1 - A COMMON UNDERSTANDING OF HUMAN SECURITY

The human security approach provides a new way of thinking about the range of challenges the world faces in the 21st century and how the global community responds to them. It is a multidimensional analytical framework that can assist the United Nations system to assess, develop and implement integrated responses to a broad range of issues that are complex and require the combined inputs of the United Nations system, in partnership with Governments, non-governmental entities and communities.

The adoption of General Assembly resolution 66/290 on 10 September 2012 was a significant milestone for the application of human security. In paragraph 3 of the resolution, the General Assembly agreed by consensus that human security is an approach to assist Member States in identifying and addressing widespread and cross-cutting challenges to the survival, livelihood and dignity of their people. Based on this, the General Assembly endorsed the following common understanding to guide the application of the human security approach within the United Nations system:

- a. The right of people to live in freedom and dignity, free from poverty and despair. All individuals, in particular vulnerable people, are entitled to freedom from fear and freedom from want, with an equal opportunity to enjoy all their rights and fully develop their human potential;
- b. Human security calls for people-centred, comprehensive, context-specific and prevention-oriented responses that strengthen the protection and empowerment of all people and all communities;
- c. Human security recognizes the interlinkages between peace, development and human rights, and equally considers civil, political, economic, social and cultural rights;
- d. The notion of human security is distinct from the responsibility to protect and its implementation;
- e. Human security does not entail the threat or the use of force or coercive measures. Human security does not replace State security;
- f. Human security is based on national ownership. Since the political, economic, social and cultural conditions for human security vary significantly across and within countries, and at different points in time, human security strengthens national solutions which are compatible with local realities;

Governments retain the primary role and responsibility for ensuring the survival, livelihood and dignity of their citizens. The role of the international community is to complement and provide the necessary support to Governments, upon their request, so as to strengthen their capacity to respond to current and emerging threats. Human security requires greater collaboration and partnership among Governments, international and regional organizations and civil society;

Human security must be implemented with full respect for the purposes and principles enshrined in the Charter of the United Nations, including full respect for the sovereignty of States, territorial

integrity and non-interference in matters that are essentially within the domestic jurisdiction of States. Human security does not entail additional legal obligations on the part of States.

1.2 - APPLYING THE HUMAN SECURITY APPROACH

The human security approach is a comprehensive methodology that allows for a broad perspective on the challenges that people and Governments face. It reminds us that the challenges that the international community must address are not simple, nor can they successfully be ameliorated through separate initiatives, each assigned to a particular organization.

Types of human insecurities and possible root causes¹

| TYPE OF INSECURITY | ROOT CAUSES |
|--------------------------|---|
| Economic insecurity | Persistent poverty, unemployment, lack of access to credit and other economic opportunities |
| Food insecurity | Hunger, famine, sudden rise in food prices |
| Health insecurity | Epidemics, malnutrition, poor sanitation, lack of access to basic health care |
| Environmental insecurity | Environmental degradation, resource depletion, natural disasters |
| Personal insecurity | Physical violence in all its forms, human trafficking, child labour |
| Community insecurity | Inter-ethnic, religious and other identity-based tensions, crime, terrorism |
| Political insecurity | Political repression, human rights violations, lack of rule of law and justice |

The human security approach, however, is more than an exercise in joint programming. It has five fundamental principles that differentiate it from simply working together. These are:

- People-centred
- Comprehensive
- Context-specific
- Prevention-oriented
- Protection and empowerment

First and foremost, the human security approach is people-centred. It considers the broad range of conditions that threaten the survival, livelihood and dignity of people and their communities, particularly those who are most vulnerable.

Second, the human security approach recognizes the complexity and interconnected nature of the

¹ Based on the 1994 UNDP Human Development Report, *New Dimensions of Human Security*.

challenges that confront people and their aspirations to be free from want, fear and indignity. By being **comprehensive** and by drawing together all the actors necessary to respond to a challenge, the application of human security ensures coherence, eliminates duplication and advances integrated solutions that result in more effective and tangible improvements in the day-to-day life of people and their communities.

There is no “one size fits all” in addressing today’s challenges. Recognizing that risks to the human condition vary considerably within and across countries, and at different points in time, the human security approach recognizes **context-specific** variances, including the differing capacities of people, civil society and Governments, as well as the root causes behind ongoing and future challenges.

The human security approach goes beyond quick responses and is **prevention-oriented**. By drilling down to ascertain the real causes of challenges and by building solutions that are in themselves sustainable and resilient, human security promotes the development of early warning mechanisms that help to mitigate the impact of current threats and, where possible, prevent the occurrence of future challenges.

Moreover, the human security approach recognizes that there are inherent responsibilities within each and every society. Empowering people and their communities to articulate and respond to their needs and those of others is crucial. Likewise, top-down norms, processes and institutions, including the establishment of early warning mechanisms, good governance, rule of law and social protection instruments are fundamental characteristics of the human security approach. It brings measures into a framework that can better address complex challenges to the human condition.

The five principles making up the human security approach are mutually reinforcing and cannot be implemented as separate objectives. Human security involves recognizing the strengths that accrue from true partnerships where different entities combine their strengths to create synergies that can achieve far greater impact in addressing today’s complex and multidimensional challenges.

1.3 - HUMAN SECURITY’S ADDED VALUE AS AN OPERATIONAL TOOL

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

i. **People-centred**

By placing people at the centre of analysis and action, human security:

- Attributes equal importance to civil, political, economic, social and cultural rights of individuals and communities.
- Enables highly localized and disaggregated analyses, thereby helping to reveal the “real” situation of individuals and communities, and allowing for a deeper understanding of how communities and social groups experience different types of threats and vulnerabilities.

ii. Comprehensive

Human security addresses the full range of human insecurities faced by communities including, but not limited to, violent conflicts, extreme impoverishment, natural disasters, health pandemics, etc., as well as their interdependencies, both across human securities and geographically. In particular, as an operational approach, human security:

- Underlines the importance of addressing the totality of conditions that impact human beings and highlights the need to refrain from looking at people's lives through the lens of specialized entities or interested parties, which often results in silo- or supply-driven responses.
- Addresses the root causes of threats both within and across borders, and advances multisectoral/multi-stakeholder responses to advance integrated and prioritized solutions over the short, medium and long run.

iii. Coherence

Coherence is needed between different interventions in order to avoid negative outcomes while benefitting from the multiplying effects of positive interventions. To this end, human security:

- Helps to ensure policy coherence and coordination across traditionally separate fields and doctrines, and enables comprehensive and integrated solutions from the fields of development, security, humanitarian action and human rights in an integrated manner.
- Provides a practical framework for assessing positive and negative externalities of interventions supported through policies, programmes and projects, and ensures that actions are targeted and effective with the greatest impact possible.

iv. Contextualization

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

- Addresses different threats as they manifest themselves in specific contexts.
- Builds on processes that are based on peoples' own perceptions of fear and vulnerability.
- Identifies the concrete insecurities and 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 needs and vulnerabilities at the local level.
- Captures rapidly changing international, regional and domestic developments and their effects on different communities.

v. Partnerships and collaboration

With its emphasis on the interconnectedness of insecurities, 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 United Nations 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 capitalize on the comparative advantages of each implementing organization, and help empower individuals and communities to act on their own behalf.

vi. Emphasis on prevention

A distinctive element of human security is its focus on early prevention to minimize the impacts of threats, to engender long-term solutions, and to build human capacities for undertaking prevention and enhancing resilience if prevention is not feasible. In this regard, human security:

- Addresses root causes of crises and their impact on human insecurities.
- Emphasizes early prevention rather than late intervention, where benefits include greater cost-effectiveness.
- Encourages strategies concerned with the development of mechanisms for prevention, with the mitigation of harmful effects when downturns occur, and, ultimately, with helping communities to cope by becoming more resilient.

vii. Greater resilience and sustainability

Human security derives much of its strength from its dual policy framework resting upon the two mutually reinforcing pillars of protection and empowerment. Operationalization of this framework:

- Combines **top-down** norms, processes and institutions, including the establishment of the rule of law, good governance, accountability and social protection instruments, with a **bottom-up focus** in which inclusive and participatory processes support the important roles of individuals and communities as actors in defining and implementing their essential freedoms.
- Helps identify gaps in existing frameworks in order to mitigate and wherever possible prevent the impact of these deficits on broader development, peace and stability both within and across countries.
- Encourages participatory processes, reinforces peoples' ability to act on their own behalf, and supports local and national ownership to manage current and future challenges.

viii. Benchmarking, evaluation and assessment

By providing a comprehensive and contextual account of peoples' concrete needs and the factors endangering their survival, livelihood and dignity, the information obtained through such analyses can be used in assessing existing institutional arrangements and policies as well as for benchmarks for impact evaluation and assessment.

2.

TOWARDS A STRONGER RESPONSE BY THE UNITED NATIONS SYSTEM

An important development over the last decade has been the increase in cross-cutting challenges confronting people and Governments. Seldom are there situations where only one United Nations entity may be called upon to respond. On the contrary, there is growing acknowledgement that most of today's developmental or humanitarian challenges are the confluence of multiple factors that are interconnected and mutually reinforcing, and that those challenges require greater integration of activities across the United Nations system.

As a people-centred, context-specific, comprehensive and prevention-oriented approach that advances both top-down protection and bottom-up empowerment solutions, the human security approach ably complements and supports this new direction. The approach, as detailed in this handbook, can greatly assist United Nations country teams in advancing priority issues of the international community and the United Nations system.

Since 1999, the application of the human security approach has been piloted and tested through over 220 projects and programmes funded by the UNTFHS, covering a variety of national and regional contexts.² Through these initiatives, the added value of the human security approach in bolstering the operational effectiveness of the United Nations system and magnifying the impact of its work on the ground has been well documented.

These outcomes have been verified in a number of ways. An independent rapid assessment of the UNTFHS conducted in 2013 found that the application of the human security approach at the country level resulted in concrete benefits. These benefits have been corroborated in a questionnaire sent to United Nations country teams and Member States to gather data in support of the Secretary-General's Report on Human Security (A/68/685), and by evaluations of UNTFHS-funded programmes as well as reports prepared by United Nations country teams implementing the human security approach.

SUPPORTING THE 2030 AGENDA FOR SUSTAINABLE DEVELOPMENT

Fifteen years ago, the Millennium Development Goals (MDGs) transformed the global community's response to ending extreme poverty. Building on the success of the MDGs, the new sustainable development agenda goes further by emphasizing the interconnectivity of the challenges that face

humanity, and by highlighting the importance of integrated and comprehensive responses that support a more inclusive and shared prosperity in greater peace and resilience.

Echoing the principles of the human security approach, this new agenda, as outlined by the General Assembly in “Transforming our world: The 2030 Agenda for Sustainable Development,” emphasizes a “world free of poverty, hunger, disease and want ... free of fear and violence ... with equitable and universal access to quality education, health care and social protection ... to safe drinking water and sanitation ... where food is sufficient, safe, affordable and nutritious ... where habitats are safe, resilient and sustainable ... and where there is universal access to affordable, reliable and sustainable energy.”

To this end, the human security approach offers an important framework that can significantly reinforce the contribution of the United Nations system to help Member States initiate comprehensive and multi-stakeholder partnerships that result in more resilient societies where people are safe from chronic threats such as abject poverty, hunger, disease, violence and repression, while remaining protected from sudden and hurtful disruptions in their daily lives.

By highlighting the interlinks among Agenda 2030’s SDGs, the application of human security provides a proven and practical approach for “why” and “how” the different parts of the United Nations system must come together to utilize their resources in a more integrated manner. Lessons learned through the application of human security demonstrate the added value of such a comprehensive approach to combating poverty and promoting sustainable development. In addition, the application of human security allows for a more nuanced understanding of how different countries, districts within countries and groups of people experience the multidimensional aspects of poverty. Such a deep understanding of poverty results in actions that can further extend the benefits of sustainable and equitable growth, and improve daily lives and opportunities available to different people and communities.

To meet the goals of Agenda 2030, a context-specific analysis at the local level – a hallmark of the human security approach – offers essential insights for further extending the benefits of economic growth across and within countries. By addressing the root causes of poverty and by highlighting the impact of income and other inequalities on broader development, the human security approach can respond in a more inclusive, integrated and multidimensional fashion. Whereas national measurements may not adequately address disparities at the local level, the identification of bottlenecks at the local level can foster inclusive economic growth with significant gains across countries.

Examples drawn from human security programming at the country level demonstrate such benefits. By disaggregating social and economic indicators at the national and local levels, the human security approach is able to uncover the various factors that impede those who are most vulnerable, including women, minority groups and economically marginalized populations, from accessing essential public services and economic opportunities. Subsequently, services can be tailored to meet their specific needs. National and local priorities are established to advance an inclusive development process where the benefits of economic growth can reach the most marginalized, and result in greater impact on the overall growth and social capital of respective communities.

² Examples of lessons learned through UNTFHS-funded programmes/projects are available on the UNTFHS website.

Moreover, the application of human security addresses not only developmental challenges, but also challenges stemming from other factors that impede economic growth and poverty reduction. It helps to clarify how diverse issues ranging from deprivation in all its forms (food, health, education, employment, etc.) to violence and environmental degradation interact and require comprehensive and context-specific solutions.

Studies have shown that progress in the achievement of the MDGs has been slowest in fragile and conflict-affected countries. For example, in countries where violence is rife, and trust in people and institutions is lacking, a development framework that fails to address the structural and behavioural causes of violence falls short of preventing a relapse into crises and fragility.

The human security approach, based on its core vision to achieve freedom from fear, want and indignity, can help address challenges stemming from and resulting in persistent conflicts, marginalization and abject poverty. By emphasizing the triangular relationship between peace and security, development and human rights, human security can highlight the indispensable relationship between these variables, and ensure that poverty reduction strategies are attentive to root causes and remedial solutions needed in order to stem the persistence of violence and other forms of fragility, and stop their impact on the achievement of inclusive and sustainable development.

The application of human security therefore complements and enriches the mechanisms that will be needed in order to attain the SDGs. By conceptualizing the relationship between the different components of the SDGs, the human security approach can frame future responses in a more interconnected and systematic fashion. It can help clarify how diverse issues interact and require mutually complementary solutions so as to ensure more sustainable and inclusive development. Based on its combined principles, it can support the United Nations system to find appropriate solutions in this new direction and to advance the important expansion of the SDGs towards greater respect for human dignity and planetary sustainability for all.

2.1 - IMPROVING THE EFFECTIVENESS OF “DELIVERING AS ONE”

Human security can be most valuable in enhancing the operational effectiveness of the “Delivering as One” initiative. Through its analytical framework, the application of human security provides policy makers and practitioners with a multi-stakeholder partnership model to move beyond the single-agency style of programming that often leads to overlap, loss of synergies and even competition among United Nations entities. By collectively identifying the needs, vulnerabilities and capacities of people and Governments, and by advancing solutions that are comprehensive and integrated, human security can be instrumental in emphasizing the critical significance of assessing, planning and “Delivering as One.”

Several interim evaluations have highlighted the extent to which the implementation of the “Delivering as One” initiative tends to be seen as a mechanistic process as opposed to a comprehensive framework designed to improve the overall quality and effectiveness of the services provided by

the United Nations system. The human security approach can help transform a procedural focus. It can provide the rationale and analytical framework to bring together the different entities of the United Nations system into a more targeted, people-centred and comprehensive response. At the country level, programmes supported by the UNTFHS have served as pilots to strengthen “Delivering as One.”

Member States have also stressed the importance of human security as a cross-cutting approach to advance integrated responses by the international community. These Member States recognize that based on a more in-depth, people-centred and comprehensive understanding of the challenges faced by people and Governments, the human security approach can provide an important analytical and operational framework to contribute to a more coherent United Nations system.

In short, the application of human security complements and supports the “Delivering as One” initiative and provides successful multi-stakeholder examples that bring together the United Nations system as a whole to “Deliver as One”. They remind us that in a world where challenges are multidimensional, responses cannot be successful if addressed in narrow silos of action. Instead they require the combined expertise of the United Nations system.

2.2 - STRENGTHENING INTEGRATED RESPONSES IN CRISIS-AFFECTED SETTINGS

Numerous policies, tools and handbooks have been issued to provide practical guidance for those involved in crisis-affected settings. Despite these valuable efforts, a number of challenges remain. In 2014, the United Nations Office for the Coordination of Humanitarian Affairs released a major policy review on humanitarian and transitional activities titled “Saving Lives Today and Tomorrow.” The report highlighted the interplay among multiple shocks, and called for a more proactive approach to anticipate and prevent humanitarian crises. More recently, the review of the United Nations Peacebuilding Architecture has underscored the need to promote comprehensive and multi-stakeholder solutions that integrate the three pillars of the United Nations system, and unite efforts towards greater peace and stability.

Although remedies to institutional constraints that separate humanitarian and development assistance go beyond the scope of this handbook, a multi-stakeholder, comprehensive and integrated approach, such as the human security approach, can contribute significantly to ongoing efforts. Such an approach can underscore the need for joint analysis, planning and implementation among humanitarian and development organizations, and provide the rationale and evidence by which to transcend this divide.

At its core, human security is rooted in the notion that threats to people’s survival, livelihood and dignity are seldom singular in nature. Rather, a mix of factors comes together to generate situations that are often complex and multidimensional. Therefore, human security advocates for comprehensive solutions that encompass all key stakeholders, including those responsible for relief, reha-

bilitation and development. This is contrary to approaches that disassemble responses based on loosely coordinated but essentially individually focused solutions that are often compartmentalized.

Second, human security is premised on the recognition that long-term sustainable results are more likely to be generated by long-term solutions that go beyond responding to an immediate crisis. By looking at the root causes of a particular threat, the human security approach identifies the structural as well as behavioural changes needed to mitigate negative impacts, and, wherever possible, help prevent the recurrence of crises. In this regard, the human security approach complements immediate humanitarian efforts.

Based on a wide range of experiences, human security initiatives have enabled the United Nations to improve coherence between development and humanitarian processes. In identifying the interlinks between the two, these initiatives have brought together a diverse network of stakeholders under coherent and integrated cooperation mechanisms that have capitalized on the knowledge, capacities and commitment of a broad range of actors. Experiences have demonstrated how the United Nations system, by working together, has improved coordination with national and local authorities, strengthened national and local capacities, and reinforced confidence in future stability.

2.3 - ENHANCING DISASTER RISK REDUCTION

Over the past decade, the Hyogo Framework for Action has been the central framework on disaster risk reduction. The recent ratification of the Sendai Accord on Disaster Risk Reduction continues the emphasis on substantially reducing disaster-related losses by transforming the ways in which individual countries respond to the multidimensional consequences of natural and man-made disasters. Based on lessons learned from initiatives supported by the UNTFHS, the application of human security provides valuable tools to advance the priorities set in the accord.

The first lesson is that to ensure that disaster risk reduction is a national and local priority with a strong institutional basis for implementation, communities and civil society must play a much bigger role in disaster risk management. A key challenge, however, is the lack of capacity among civil society organizations. It is therefore essential to ensure that this capacity is enhanced and that awareness on the importance of disaster risk reduction is raised among citizens. To this end, as a people-centred and prevention-oriented approach, human security can significantly contribute to the promotion of greater community participation in disaster risk reduction activities at the local and national levels. In particular, the human security approach can help promote networking among civil society and community-based organisations, improve the strategic management of volunteer resources, and strengthen the delegation of responsibilities among civil society groups, Governments and the international community.

Another lesson from the application of human security is in the enhancement of early warning mechanisms, particularly at the local level. While many countries are committed to this area, few have either the capacity to undertake local risk assessments or the capability to ensure their full

utilization in disaster risk reduction policy-making. To this end, the human security approach has supported the development of community-based adaptation and mitigation plans that have highlighted the interconnected and cross-sectoral consequences of natural disasters on people and communities. Such analysis has enhanced the quality of information required on the level, trends, and distribution of risks and vulnerabilities at the local level, reinforced the development of early warning mechanisms, and improved the resilience of those most vulnerable.

Lastly, the Sendai Framework for Disaster Risk Reduction underscores the importance of a broader and more people-centred preventative approach to reducing the underlying risk factors that determine people's vulnerability to natural disasters. Poverty and inequality are identified as significant determinants of people's vulnerability to disasters and hinder their participation in disaster risk management strategies. To this end, the human security approach has shown its value in developing social policies and programmes that can address some of these vulnerabilities.

The lessons learned from the UNTFHS show how the application of the human security approach and the principles on which it is based can result in greater community participation, strengthened resilience and improved early warning, including the reduction of existing and emerging risk factors, especially those related to persistent poverty, inequality, exclusion and the lack of capabilities.

3.

APPLICATION OF THE HUMAN SECURITY APPROACH IN PROGRAMMES AND NATIONAL PLANS³

From an operational perspective, human security is an effective and proven approach for responding to current and emerging challenges that are complex and interconnected. Through targeted, effective and collaborative measures, the advancement of human security results in greater resilience, peace and sustainable development. Based on protection and empowerment strategies, the application of human security ensures that responses are:

| | |
|----------------------------|--|
| People-centred | <ul style="list-style-type: none">• Inclusive and participatory.• Considers/engages/ensures the participation of individuals and communities under stress in defining their needs, vulnerabilities and capacities in responding to their insecurities.• Collectively determines which insecurities to address, and identifies priorities and available resources, including local assets and indigenous coping mechanisms.• Manages expectations and strengthens social harmony. |
| Comprehensive | <ul style="list-style-type: none">• Comprehensive analysis of root causes and manifestations of a particular threat across the different components of human security.• Develops multisectoral/multi-stakeholder responses by promoting dialogue among key actors from different sectors/fields/communities/groups (includes actors and sectors not previously considered relevant to the success of a policy, programme or project).• Helps to ensure coherence and coordination across traditionally separate sectors and fields thereby strengthening resilience.• Assesses positive and negative externalities of each response on the overall human security situation of the affected community(ies). |
| Context-specific | <ul style="list-style-type: none">• Requires in-depth analysis of the targeted situation.• Focuses on a core set of freedoms and rights under threat in a given situation.• 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 | <ul style="list-style-type: none">• Identifies risks, threats and hazards, and addresses their root causes.• Focuses on preventative responses that are proactive and not reactive. |

These inform the human security approach and must be integrated into the design of any programme and/or national plan grounded in human security.

3.1 - HUMAN SECURITY PHASES

The following phases require a set of goals and tasks to achieve expected outcomes from a human security perspective, where people can live in greater freedom from fear, want and indignity, and where the United Nations system can support a more peaceful and prosperous future for all. A detailed case study is provided in Annex I.

| PHASE | GOALS AND TASKS |
|---|--|
| <p>Phase 1: Analysis, mapping and planning</p> | <ul style="list-style-type: none"> • Establish participatory processes and collectively identify the needs, vulnerabilities and capacities of the affected community(ies). • Map insecurities based on actual needs, 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 interlinkages. • Cluster insecurities based on comprehensive, integrated and multisectoral mapping, and be vigilant of externalities. • Establish strategies and responses that incorporate protection and empowerment measures based on the four principles of human security. • Outline short, medium, and long-term strategies and 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 and for managing expectations. • Establish inclusive multi-stakeholder planning to ensure coherence on goals and the allocation of responsibilities and tasks. |
| <p>Phase 2: Implementation</p> | <ul style="list-style-type: none"> • Implementation in collaboration with local partners, ensuring that actions do not unintentionally undermine any other human security component and principles, and respect the local norms and practices of the affected community(ies). • Implementation that considers the changing dynamics of risks and threats and is flexible to adjust to such changes as necessary for the protection and empowerment of the affected community(ies). • Capacity-building of the affected community(ies) and local institutions. • Monitoring as part of the programme, and the basis for learning and adaptation. |

³ The human security phases have been adapted from the first edition of this handbook, which was developed by the UN Human Security Unit in close collaboration with Dr. Shahrbanou Tadjbakhsh, Ms. Hitomi Kubo and Ms. Elianna Konialis at the Masters of Public Affairs, Sciences Po.

| PHASE | GOALS AND TASKS |
|--------------------------------------|--|
| Phase 3: Rapid assessment | <ul style="list-style-type: none"> • 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 protection and empowerment strategies that are based on the principles of the human security approach. Specifically, the goals of the analysis, mapping and planning phase are to:

1. Collectively identify the needs, vulnerabilities and capacities of the affected community(ies) and develop programme priorities in consultation with the affected community(ies), local and national representatives, as well as other relevant stakeholders at the regional and global level.
2. Identify the root causes of insecurities and their interlinkages across sectors, and establish comprehensive responses that generate positive externalities that are targeted and impactful for the affected community(ies).
3. Ensure coherence on the goals and the allocation of responsibilities among the different actors.
4. Include short, medium and long-term strategies.

SITUATIONAL ANALYSIS

To undertake an in-depth analysis of the overall human security situation, a situational analysis is needed to (i) uncover the root causes and the impacts of current and emerging challenges on the different components of human security both within communities and across groups; (ii) consider the interlinkages (positive and negative) between these insecurities; and (iii) establish inclusive and participatory processes that result in greater transparency in setting priorities, strengthen local capacities and improve sustainability of actions undertaken, promote prevention where possible, and enhance resilience and long-term achievements.

A. Assessing the current situation

Gathering data on the different human security components provides a comprehensive and detailed understanding of the human insecurities faced by people in their daily lives and/or as a result of a

particular threat. By identifying the quantitative and qualitative indicators for each of the human security components and by deepening the analysis of the overall situation of the affected population, a thorough baseline can be established to support the design, implementation and assessment of the proposed programme. This will ensure that the activities identified by the programme directly respond to the needs, vulnerabilities and capacities of those whom the United Nations system, in partnership with others, is seeking to assist.

Measuring the overall human security of the population

| HUMAN SECURITY COMPONENTS* | QUANTITATIVE INDICATORS/DATA | QUALITATIVE INDICATORS/DATA |
|----------------------------|------------------------------|-----------------------------|
| Economic | | |
| Food | | |
| Health | | |
| Environmental | | |
| Personal | | |
| Community | | |
| Political | | |

B. Uncovering root causes

To break cycles of insecurity where the same vulnerable communities are repeatedly affected by crises and disasters, it is essential to ensure that programmes and policies tackle the root causes of threats and vulnerabilities. Uncovering and addressing the root causes of threats and people's vulnerabilities to these threats are essential to guaranteeing the sustainability of actions taken, and to building on people's resilience so that today's progress is not lost to tomorrow's crises.

Root causes

| HUMAN SECURITY COMPONENTS* | GLOBAL LEVEL | REGIONAL LEVEL | NATIONAL LEVEL | COMMUNITY LEVEL |
|----------------------------|--------------|----------------|----------------|-----------------|
| Economic | | | | |
| Food | | | | |
| Health | | | | |
| Environmental | | | | |
| Personal | | | | |
| Community | | | | |
| Political | | | | |

C. Impacts of threats and their interrelation in terms of different components of human security

The human security approach emphasizes the interconnectedness of both insecurities and responses. Insecurities are interlinked in a domino effect in the sense that each insecurity feeds on the other. If not managed proactively, these can spread to other regions or countries. For example, climate change may induce drought, giving rise to food insecurity with impacts on health, while competition over scarce resources threatens community cohesion, and personal and political security.

This interdependence has important implications for programme design. Therefore, it is vital to conduct a comprehensive situation analysis to fully understand the manifestations of each threat on different components of human security. This helps to also better understand the impact of each threat on a particular population as well as groups (such as women, youth, elderly, people with disabilities, ethnic minorities, etc.) in order to identify the interlinkages between the various insecurities they face as a result of the threat, and to highlight those intersections where the most effective and comprehensive strategies can have the greatest impact.

By differentiating the impact of a threat on communities, groups and institutions, this analysis can help inform the development of robust protection and empowerment strategies.

| MANIFESTATION OF A THREAT ON HUMAN SECURITY COMPONENTS | IMPACTS ON COMMUNITIES AND GROUPS | IMPACTS ON THE STATE AND NON-STATE INSTITUTIONS |
|--|-----------------------------------|---|
| Economic | | |
| Food | | |
| Health | | |
| Environmental | | |
| Personal | | |
| Community | | |
| Political | | |

MAPPING NEEDS, VULNERABILITIES AND CAPACITIES

Once the in-depth situation analysis is completed, the needs, vulnerabilities and capacities matrix, a fundamental element of the human security approach, is used to map and analyse the needs and existing capacities of the affected community(ies) against the insecurities identified. Such a spatial presentation is well-suited to the analytical needs of the human security approach. Not only does it manage complexity well, but mapping also provides the opportunity to visually:

- i. Identify and link the most severe and widespread insecurities and vulnerabilities.
- ii. Offer strategies for addressing the identified insecurities.
- iii. Consider the capacities and the resources of the affected community(ies) vis-à-vis each type of insecurity and vulnerability.
- iv. Identify the gaps in the existing protection and empowerment infrastructures as well as priorities for action among the identified insecurities.

| HUMAN SECURITY COMPONENTS OF A THREAT | NEEDS/VULNERABILITIES | | CAPACITIES |
|---------------------------------------|-----------------------|----------------|------------|
| | LOCAL LEVEL* | NATIONAL LEVEL | |
| Economic | | | |
| Food | | | |
| Health | | | |
| Environmental | | | |
| Personal | | | |
| Community | | | |
| Political | | | |

Based on this mapping exercise, the interlinkages and dynamics among the various insecurities, vulnerabilities and capacities are identified. It is in these intersections that the most effective and comprehensive strategies can be developed. Identifying these intersections helps to:

- i. Establish priorities (communities, areas of intervention, etc.) for action;
- ii. Assess sectors and strategies for positive externalities;
- iii. Develop multi-stakeholder and integrated programme plans; and
- iv. Take advantage of available expertise, pool resources and improve the efficiency and effectiveness of responses.

DEVELOPMENT OF HUMAN SECURITY STRATEGIES

The human security approach not only requires a thorough assessment of the needs, vulnerabilities and the capacities of the affected community(ies), but it also demands an assessment of the protection and empowerment strategies needed to help prevent and mitigate the recurrence of insecurities. Some key questions at this stage are:

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 impacts on other sectors?

Which protection strategies have the greatest positive impact on empowerment? Which empowerment strategies have the greatest positive impact on protection? Also consider how activities in one area or group could have negative impacts on another area or group.

PHASE 2: IMPLEMENTATION

Participation by the affected community(ies) 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.

During the implementation phase, engaging in meaningful participation with local actors and affected community(ies) should be undertaken with careful and deliberate consideration so as to provide the best possible benefit to the affected community(ies), including the broader population, as well as the success and sustainability of the programme.

Why is participation important from the human security perspective?

Participation is a fundamental element of:

- Analysis (understanding threats, needs, vulnerabilities and capacities from the point of view of the affected community(ies)).
- Planning (defining strategies and setting objectives through multi-actor engagement).
- Implementation (local capacity-building and local ownership).
- Assessment (understanding the impact of policies or programmes on the affected community(ies)).

What are some of the advantages of participatory implementation?

- Ensures proposed activities are in line with the needs, vulnerabilities and capacities of

the affected community(ies) and the local population.

- Links local participants through engagement in the process.
- Helps bring out implementation constraints and proposes local solutions.
- Mobilizes people, communities and institutions.
- Provides opportunities for building longer-term sustainability through local ownership, which could not develop without participation.

When conducting a participatory programme analysis, design and implementation, be sure to consider the following:

i. Who represents “the people”?

Take care to understand the context and the different types of sub-groups within the affected community(ies) and local population. Particular attention should be paid to the most vulnerable groups. Think also about how to engage potential “spoilers” and their impact on the process and how actions for one community might impact other communities (e.g., perception, tensions, unequal distribution).

ii. An emphasis on consensus may privilege dominant views

Be aware of the potential for dominant views or dominant people to overrun the process. Being well informed and aware of the local context, social groups and social relations is an important first step in minimizing the potential for dominance by any one perspective, group or individual. Practitioners should be experienced in mediating and providing the space for all voices to be heard.

iii. Manage expectations

The process of participation can heighten participants’ expectations of the results or outcomes of their participation. Practitioners should clearly outline the scope of the process or programme with the participants, as well as the potential and expected outcomes in order to minimize raising expectations that are not obtainable.

iv. Establish a committee for overseeing 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-stakeholder. When forming these committees, be sure to be clear about the mandate, lines of reporting and long-term institutional sustainability, where appropriate.

PHASE 3: RAPID ASSESSMENT

The final phase of any human security programme involves assessing performance and sharing lessons learned. To assess whether the programme’s activities have been successfully delivered as outlined in the results framework, and to uncover the consequences of the activities on the target population, a thorough assessment must be conducted.

Current end of programme reporting, while fully sufficient to ensure fiscal and operational stewardship, does not lend itself to the more qualitative assessment of the consequences and benefits inherent in the application of the human security approach, and the transmission of lessons learned. Therefore, in addition to reporting on programme delivery as per the results framework, UNTFHS programmes should also assess the benefits and results of applying the human security approach.

A human security rapid assessment⁴ should be conducted within six months of the programme's end date. It should be a short and concise assessment (no more than 15 pages) of the added value of the human security approach and the lessons learned from its application. It is important to underscore that reviewers must reach out to individual programme beneficiaries and their communities, as well as the United Nations system, non-governmental organizations (NGOs) and government stakeholders. It is also essential that the rapid assessment directly engage the Resident Coordinator and other key members of the United Nations country team to address how the programme has contributed to the expansion of the human security approach and the extent to which the application of the approach has assisted the United Nations country team in achieving its overall mission and goals.

The human security rapid assessment should cover the following areas:

- The added value of the human security approach in addressing the broad range of insecurities faced by vulnerable communities in order to bring positive changes in the lives of the target population, and strengthening the United Nations systems' ability to respond to multidimensional insecurities.
- The consequences and benefits of human security principles (joint protection and empowerment mechanisms and processes that are people-centred, context-specific, comprehensive and prevention-oriented) on the target populations versus standard joint programmes or single-agency United Nations funds and programmes frameworks. This goes beyond an evaluation of what was done, to assess what difference the application of the human security approach has made.
- The usefulness of UNTFHS programmes in addressing gaps in responses to multi-dimensional insecurities due to human security's broad focus and its ability to go beyond traditional agency mandates.

Each human security rapid assessment should also present lessons learned in the particular situation and assess how the particular programme has contributed to the expansion of the human security approach as a whole.

The table below expands upon the issues presented above, laying out a notional list of questions that would need to be addressed in each human security rapid assessment.

⁴ The assessment is adapted from tools used to conduct the Rapid Assessment of the UNTFHS in 2013.

Human security rapid assessment

| ISSUE/ THEME | MAJOR QUESTIONS | EXAMPLES OF SUB-QUESTIONS |
|-----------------|--|--|
| | <p>What is the added value of the human security approach in addressing the broad range of insecurities faced by vulnerable communities?</p> | |
| | <p>Was there a common understanding of the importance of human security among United Nations partners? Among the affected communities? Among government and non-governmental stakeholders?</p> | <p>If not, what differences existed and why? How did stakeholders come to be aware of the importance of human security?</p> |
| | <p>What constituted “value added” in the application of human security in this programme?</p> | <p>What was different in how this programme was designed? What was different in how it was delivered? What was done differently in comparison to other United Nations interventions? How were the affected communities involved in the design of the initiative? How were they involved in its delivery? How were government entities involved and at what stages? How did the participating United Nations agencies work together in the design of the initiative? Was there a joint workplan and budget?</p> |
| | <p>What added value (aside from the funding) did co-financiers bring to the initiative?</p> | <p>How many co-financiers were there and how much did each contribute? Why did they agree to co-finance? Who sought them out/asked them to participate? Did they participate in the design of the programme? Did they participate in its delivery? Aside from a financial contribution, what did each bring to the programme? Did any have any specific goals? Did these differ from those for the programme as a whole?</p> |
| | <p>Was there a difference between “joint” and “integration” in the context of the programme?</p> | <p>If there are variances in understanding, what are they and why (headquarters, field, etc.)?</p> |

| ISSUE/ THEME | MAJOR QUESTIONS | EXAMPLES OF SUB-QUESTIONS |
|-----------------|--|---|
| | How did the programme begin? What makes it unique in the country/ regional context? | Who decided to begin to design the initiative? What specific threats to human security exist? Why could other UN initiatives not be used to address these insecurities? What is innovative (in the specific context of the United Nations country team) about how the programme was designed and/or implemented? |
| | How did the programme raise awareness of the “value added” of the human security approach? | What specific mechanisms are/have been used to promote “value addition”? What level of contact/engagement with Resident Coordinators regarding human security is/has there been? What level of contact has there been with governments? Have there been briefings to elected and or non-elected government officials about the human security approach as opposed to only about programmatic details? |
| | <p>What have been the consequences (the changes and or improvements in beneficiary conditions and or organizational practices) as a result of the human security programme (i.e., people-centred, comprehensive, context-specific, and prevention-oriented multisectoral solutions that are reinforced through the protection and empowerment framework) for the target populations versus regular United Nations programmes?</p> | |
| | What kinds of changes or improvements were anticipated by the programme supported by the UNTFHS? | What were these changes and/or improvements? Are these change and/or improvements identified in the programme design? Are they quantifiable? Are they identified as “special” in any way? Are these changes and/or improvements designed to be sustainable? |
| | What kinds of changes and/or improvements have come about as a result of the UNTFHS-supported programme? | What are seen to be the causes for any differences? Are the consequences, changes and/or improvements the same as those anticipated during the design of the initiative? If not, what are the differences and why did they occur? How are they identified in comparison to those of “other United Nations programmes”? Is there programming “pick up” to ensure continuity after the end of the UNTFHS supported initiative? What is the role of government and or civil society in the continuity/sustainability of programming? |

| ISSUE/ THEME | MAJOR QUESTIONS | EXAMPLES OF SUB-QUESTIONS |
|---|---|---|
| | <p>Were other United Nations agencies or official development assistance partners working on the same issues/in the same geographic area?</p> | <p>If so, what were they doing and how long had they been there? Did they have similar objectives, and specifically did they have the same objectives in terms of changing the conditions of beneficiary populations or organizational practices? Are these other programmes larger or smaller than the UNTFHS-supported initiative? Did they work in collaboration with those delivering the UNTFHS-supported programme?</p> |
| <p>What has been the usefulness of the UNTFHS programme in addressing gaps in responses to multidimensional insecurities?</p> | | |
| | <p>How are gaps identified and by whom?</p> | <p>What are the types of gaps? What measures are used to guard against overlap, namely addressing the same gap via differing programmes or with differing ODA partners? How does the programme complement national or regional planning? Does it fill a gap in that planning framework? Are these gaps identified in national and/or regional development planning? If so, who identified them?</p> |
| | <p>How have gaps been filled in a manner different from that in other kinds of United Nations programmes?</p> | <p>Is gap filling more efficient or effective in the context of UNTFHS programmes than in other instances? How so? What are the specific differences in design and delivery?</p> |
| | <p>What are the perceptions among United Nations partners about the “usefulness” of the UNTFHS supported programme?</p> | <p>Are there differences/patterns of perceptions among varying types of stakeholders, from the United Nations and others? What are the perceptions about sustainability and linkages to broader efforts by the United Nations and others (e.g., achieving the SDGs, transitioning from humanitarian to short- and medium-term development, preventing human security challenges from turning into humanitarian crises, building resilience, improving the effectiveness of United Nations delivery, etc.)?</p> |
| <p>What lessons have been learned related to the application of the human security approach as a whole in national and subnational contexts?</p> | | |

| ISSUE/ THEME | MAJOR QUESTIONS | EXAMPLES OF SUB-QUESTIONS |
|-----------------|--|--|
| | What specific lessons have been learned? | <p>Were lessons learned specifically gathered, and if so, by whom?</p> <p>How many and what kinds of lessons were there?</p> <p>Do more relate to the concept that underpins human security, or to administrative/operational matters?</p> |
| | How have these lessons been communicated so as to promote organizational learning? | <p>What mechanisms (formal/informal) were used to disseminate lessons learned?</p> <p>Do feedback mechanisms exist to share lessons learned and programme findings among programme participants and parent organizations?</p> |
| | How are lessons learned used? | <p>What mechanisms exist to use lessons learned as part of the planning process as a whole?</p> <p>Aside from the coordinating/management committee for the particular UNTFHS supported programme, are there any other formalized mechanisms to share lessons learned among United Nations partners?</p> |
| | How are the lessons learned being used to promote the expansion of the human security approach at the national or subnational level? | <p>How have the lessons learned been circulated and to whom?</p> <p>What measures have been taken to expand the application of the human security approach at the national or subnational level?</p> <p>Have the lessons learned from the programme been the subject of a briefing or another form of awareness-raising session for the UN country team, for the government, for others?</p> <p>What commitment to eventual expansion of the application of the human security approach was made in the programme design? Has it been carried out/is it being carried out?</p> |

ANNEX 1

DESIGNING A HUMAN SECURITY PROGRAMME: A CASE STUDY FROM KENYA

This human security programme addressed the insecurities of pastoralists in Central Turkana, an arid region of Kenya where 60 per cent of people derive their incomes from livestock-based activities, and there are few alternative livelihood options. In 2009, after several failed rainy seasons, the area experienced one of the worst droughts ever. Large numbers of livestock were wiped out, livelihoods were significantly undermined, and food and health security were deeply compromised.

One of Kenya's poorest regions, Turkana suffers from a "climate change-migration-conflict" nexus, where recurring drought cycles lead to increasing movements of pastoralists within Kenya or across the border, in search of water and pasture for livestock. This, in turn, results in incidences of violent inter-ethnic conflict over scarce resources. Growing insecurities and conflict are thus interlinked with the increasing frequency of extreme weather and severe droughts, which endanger the pastoralist way of life. Other issues are limited or no access to livestock markets, lack of basic infrastructure, lack of veterinary services, and inadequate marketing support for livestock and livestock products. Due to a decreased food supply, skyrocketing food prices are resulting in low pastoralist purchasing power, and 50 per cent of the population is dependent on food assistance for survival. In this context, the region has recorded increasing rates of malnutrition, in particular among children and lactating mothers. The situation is exacerbated by the absence of education and health care, and the lack of sufficient and clean water, sanitation and hygiene.

The viability of traditional pastoralist livelihoods is further threatened by a swelling population, and by new administrative boundaries that have changed the context in which the mobile pastoralist production system is struggling to operate. As pastoralists struggle to eke out a living under such unfavourable conditions, crime and violence flourish beyond the reach of governance structures and law enforcement systems along the region's porous national boundaries.

The population has resorted to acquiring arms, which has accelerated the proliferation of small arms and light weapons in the region, turning traditional conflict over resources and cattle rustling (stealing of cattle) more deadly. Cattle rustling, once labelled a 'cultural' practice for restocking in times of scarcity, has in many instances turned into a well-organized and profitable commercial activity. Raids and counter raids, involving armed warriors and vicious cross-border attacks have resulted in the rustling of hundreds of livestock from poor households, increasing overall victimization and destitution. Children have been caught up in the conflict, and may be shot while providing labour within the culturally ascribed role of cattle herding, or pressed to take up arms to provide shock troops for ethnic warriors or cattle raiders, or suffer from the loss of caretakers as family members are killed or injured by community-wide misuse of small arms. There is a strong mistrust and suspicion among the neighbouring communities, and weakened traditional pastoral governance systems are undercutting the traditional management, prevention and resolving of con-

flicts. While more than a thousand guns have been voluntarily surrendered over the last two years, it is estimated that local people in the North West pastoral area of Kenya alone hold over 50,000 illegal guns. Ad hoc, selective disarmament operations have had limited impact in addressing the problem. Localized peace initiatives led by civil society and involving local authority have, however, had small-scale, local successes.

In community consultations done in Central Turkana between 2009 and 2011, community members described how the population lacks resilience and preparedness to mitigate conflicts, natural disasters and other environmental shocks. They need crucial early warning information on weather patterns, resources and conflicts, and strategies that allow them to autonomously adapt to climate change in a sustainable manner.

The tables below provide a step-by-step example of the approach taken to design the human security programme in Turkana, as per Phase 1, analysis, mapping and planning, above. They provide guidelines and templates for designing a human security programme/project/policy response. These tools can be used by UN country teams and their national partners to analyse complex situations, and design integrated and multisectoral solutions.

SITUATIONAL ANALYSIS

The goal of this analysis is to identify the root causes and the manifestations of a particular threat on the human security of a given population.

A. Measurements of the overall human security of the population

| HUMAN SECURITY DOMAINS | QUANTITATIVE INDICATORS/DATA | QUALITATIVE INDICATORS/DATA |
|----------------------------|---|---|
| Economic insecurity | 64% living below the poverty line Only 50% of children enrolled in primary education 60% of the population derive their livelihoods from pastoralist activities | Expressions of rising concern over drying of grazing land and its impact on pastoralist activities – a primary source of income |
| Food insecurity | 50% of the population requires food assistance Malnutrition rates over 15% | Expressions of rising hunger |
| Health insecurity | Poorest health indicators in Kenya Regular outbreaks of meningitis, cholera and polio Very limited access to health care (1 hospital for the population) Lack of clean water | |

| HUMAN SECURITY DOMAINS | QUANTITATIVE INDICATORS/DATA | QUALITATIVE INDICATORS/DATA |
|---------------------------------|--|---|
| Environmental insecurity | Drought-prone region Fragile ecosystems Increasing incidence of floods and extreme weather | |
| Personal insecurity | Proliferation of small arms and light weapons Approximately 50,000 illegal guns in north-west Kenya Child labour | Fear/feelings of insecurity |
| Community insecurity | Localized armed violence Cross-border attacks | Fear/feelings of insecurity Mistrust and suspicion between communities |
| Political insecurity | N/A to this case study | N/A to this case study |

B. Uncovering the root causes

| | CAUSES (STRUCTURAL OR BEHAVIOURAL) |
|---------------------------------------|---|
| Global level | Climate change, which is impacting traditional pastoralist lifestyles |
| Regional level | Regional ethnic and political interplay within Kenya-Uganda-Sudan and Ethiopia borderlands, leading to conflicts and cross-border tensions over land and resources |
| National level | Remoteness from national decision-making centres Weak local governance structures New administrative boundaries have changed the context in which pastoralist systems operate |
| Individual and community level | Inter-ethnic resource-based conflicts Proliferation of small arms and light weapons Heavy dependence on pastoralism Patriarchal social structures |

C. Impact of threats and their interrelation on different components of human security

| MANIFESTATION OF A THREAT ON HUMAN SECURITY COMPONENTS | IMPACT ON GROUPS AND COMMUNITIES | IMPACT ON THE STATE AND NON-STATE INSTITUTIONS |
|---|---|---|
| Economic security Increased poverty, growing unemployment, decreased aggregate productivity | Increased poverty Growing unemployment Increased migration in search of employment | Need to address the growing number of people living in poverty, need to address rising migration to urban centres |
| Food security Skyrocketing food prices, loss of livestock, dwindling crop production | Growing food insecurity Increased household expenditures on food Growing hunger and malnutrition and the accompanying loss of productivity | Increased number of people in need of food assistance and nutrient supply Growing need to develop climate-sensitive agricultural practices |
| Health security Rise in infectious diseases, lack of access to basic health care, growing malnutrition | Increasing diseases and illnesses Growing malnutrition and the accompanying loss of productivity | Increasing disease burden, pandemics and the need to improve access to health care and to strengthen health status overall |
| Environmental security Climatic changes resulting in rising droughts, environmental degradation, diminishing water sources and grazing land | Loss of livestock Rising competition in search for water and pasture Emergence of conflicts over land and water | Regional and national security concerns and consequences when pastoralists cross national borders in competition over land and water |
| Personal security Proliferation of small arms and light weapons, growing violence | Cattle rustling turning deadly Injuries and killings of community members sometimes due to misuse of guns | Rising tensions and disengagement with the State make disarmament programmes urgent, along with measures to improve the rule of law, good governance and local leadership |
| Community security Inter-ethnic and intercommunity conflicts Breakdown of traditional pastoral governance structures | Increased inter-ethnic conflicts and intercommunal distrust Weakened traditional management for the prevention and resolution of conflicts further exacerbating tensions | Growing need to bridge community tensions through peacebuilding communal efforts, disarmament programmes, rule of law, good governance and improved local leadership |
| Political security | N/A to this case study | N/A to this case study |

MAPPING NEEDS, VULNERABILITIES AND CAPACITIES

D. Human security framework for needs/vulnerability and capacity analysis

| HUMAN SECURITY COMPONENTS OF A THREAT | NEEDS/VULNERABILITIES | | | CAPACITIES |
|---------------------------------------|--|--|---|--|
| | PASTORALISTS | CHILDREN | WOMEN | |
| Economic insecurity | Need for livelihood options and income diversification Need to protect and preserve the pastoralist system Need for expanded skills Need to better manage risks | Need to access education Need for mobile schools | | Very limited capacities in view of the changing climate and its impact on traditional pastoralist lifestyles |
| Food insecurity | Vulnerability to loss of livestock Need for increased food supply Heavy dependence on maize with little food variety Low nutrients in current food basket | Children the most vulnerable to malnutrition and hunger (plus the needs and vulnerabilities outlined for pastoralists) | Lactating women vulnerable to malnutrition (plus the needs and vulnerabilities outlined for pastoralists) | Limited capacities Previous success in alternative agricultural production in line with climatic changes |
| Health insecurity | Need for health care services Vulnerability to infectious diseases | Need for health care services Vulnerability to infectious diseases | Need for health care services Need for maternal health care | Very limited |
| Environmental insecurity | Need for climate change adaption strategies Need for early warning mechanisms to identify weather patterns | Similar to the needs and vulnerabilities outlined for pastoralists | Similar to the needs and vulnerabilities outlined for pastoralists | Limited capacities Traditional know-how Subsistence coping mechanisms |

| HUMAN SECURITY COMPONENTS OF A THREAT | NEEDS/VULNERABILITIES | | | CAPACITIES |
|---------------------------------------|--|--|--|--|
| | PASTORALISTS | CHILDREN | WOMEN | |
| Personal insecurity | Vulnerability to the use of small arms and light weapons | Vulnerability to child labour Vulnerability to violence when herding cattle | | Community disarmament initiatives/groups |
| Community insecurity | Vulnerability to intercommunity and cross-border conflicts | Similar to the needs and vulnerabilities outlined for pastoralists | Similar to the needs and vulnerabilities outlined for pastoralists | Faith-based NGOs Local peace committees Existing cross-community/border networks |
| Political insecurity | N/A to this case study | N/A to this case study | N/A to this case study | N/A to this case study |

DEVELOPMENT OF HUMAN SECURITY STRATEGIES

E. Protection and empowerment framework

| WHAT PROTECTIVE MECHANISMS EXIST TO ADDRESS THE INSECURITY? (PER HUMAN SECURITY DOMAIN) | WHAT IS LACKING (IN TERMS OF PROTECTION) AND COULD BE ESTABLISHED TO ADDRESS THE INSECURITY? | WHAT EMPOWERMENT MECHANISMS EXIST TO ADDRESS THE INSECURITY? | WHAT IS LACKING (IN TERMS OF EMPOWERMENT) AND COULD BE ESTABLISHED TO ADDRESS THE INSECURITY? |
|--|--|---|--|
| Economic insecurity National Government plan to address economic growth and poverty reduction through resource distribution, disaster risk reduction and long-term investments | Long-term economic investments Investments in education Pastoral diversification support Mobile education | Existing community-based organizations and local actors to engage community members in vocational skills and capacity-building training Attempts by former pastoralists in urban areas to diversify their livelihoods through microenterprises | Community-based organizations and local actors lack capacities to adequately address economic insecurities Former pastoralists who migrate to urban areas lack crucial education and skills |

| WHAT PROTECTIVE MECHANISMS EXIST TO ADDRESS THE INSECURITY? (PER HUMAN SECURITY DOMAIN) | WHAT IS LACKING (IN TERMS OF PROTECTION) AND COULD BE ESTABLISHED TO ADDRESS THE INSECURITY? | WHAT EMPOWERMENT MECHANISMS EXIST TO ADDRESS THE INSECURITY? | WHAT IS LACKING (IN TERMS OF EMPOWERMENT) AND COULD BE ESTABLISHED TO ADDRESS THE INSECURITY? |
|---|---|---|---|
| <p>Food insecurity Food assistance</p> | <p>Protection mechanisms that diversify livelihoods and ensure sustainable food and water supply</p> | <p>Previous success in alternative agricultural production in line with climatic changes</p> | <p>Lack of agricultural skills to ensure self-sufficient food production Necessary local capacities to build viable livelihoods and reduce dependence on food assistance</p> |
| <p>Health insecurity Extremely limited health-care available</p> | <p>Procurement of stocks of drugs and vaccines to sustain disease outbreaks Increase in the number of health workers and general improvements in health services Mobile health clinics</p> | <p>Limited projects covering measles, polio and other diseases</p> | <p>Lack of communal health education and knowledge of positive health practices</p> |
| <p>Environmental insecurity No protection mechanisms exist</p> | <p>Lack of early warning information systems on weather patterns Environmental control (water conservation, tree planting, etc.) Environmental conservation education to prevent negative coping mechanisms</p> | <p>Traditional know-how in communities to cope with changing weather patterns exists (for example, out-migration)</p> | <p>Lack of resilience of the dominant livelihood (pastoralism) to environmental hazards and natural disasters Lack of autonomous climate change adaption strategies Lack of modified coping strategies to manage climate change</p> |
| <p>Personal insecurity National and local disarmament operations. More than 1,000 guns have been surrendered in the past two years National legislation prohibiting child labour</p> | <p>Promote further localized initiatives to disarmament that involve local authorities and civil society Enhance rule of law</p> | <p>Local small-scale disarmament projects</p> | <p>Lack of early warning systems at the community level that can inform community members about conflicts</p> |

| WHAT PROTECTIVE MECHANISMS EXIST TO ADDRESS THE INSECURITY? (PER HUMAN SECURITY DOMAIN) | WHAT IS LACKING (IN TERMS OF PROTECTION) AND COULD BE ESTABLISHED TO ADDRESS THE INSECURITY? | WHAT EMPOWERMENT MECHANISMS EXIST TO ADDRESS THE INSECURITY? | WHAT IS LACKING (IN TERMS OF EMPOWERMENT) AND COULD BE ESTABLISHED TO ADDRESS THE INSECURITY? |
|---|--|---|---|
| Community insecurity National and local disarmament operations | Promote further localized initiatives to disarmament that involve local authorities and civil society Enhance rule of law Improve local governance | Community-based groups that work to promote intercommunal dialogue and cross-border interaction | Early warning systems at the community level that can inform community members about conflicts Cross-community cooperation and joint partnerships working towards common goals such as the management of natural resources |
| Political insecurity | N/A to this case study | N/A to this case study | N/A to this case study |

F. Building protection and empowerment strategies

| GOAL/OBJECTIVES AS PER PRIORITY AREA | PROTECTION COMPONENT: ACTIVITIES TO STRENGTHEN OR DEVELOP PROTECTION MECHANISMS | EMPOWERMENT COMPONENT: CAPACITIES TO BE STRENGTHENED OR DEVELOPED AT THE INDIVIDUAL AND COMMUNITY LEVELS |
|---|---|--|
| Improve pastoral livelihoods and food security | Ensure increased access to water for livestock and crops by constructing water-harvesting structures Promote production of drought-tolerant crops Build small-scale vegetable irrigation schemes Support livestock disease control Provide environmental control through soil and water conservation, and tree planting | Train communities to construct and manage water harvesting systems Train women and men on animal health, and poultry and fish production, and support them to provide animal health services to their communities Environmental conservation education to prevent negative coping mechanisms |

| GOAL/OBJECTIVES AS PER PRIORITY AREA | PROTECTION COMPONENT: ACTIVITIES TO STRENGTHEN OR DEVELOP PROTECTION MECHANISMS | EMPOWERMENT COMPONENT: CAPACITIES TO BE STRENGTHENED OR DEVELOPED AT THE INDIVIDUAL AND COMMUNITY LEVELS |
|---|---|--|
| <p>Expand people’s livelihood choices and support livelihood diversification</p> | <p>Establish a centre at the community level to manage income-generating activities</p> | <p>Skills training in support of microenterprises and market-driven skills such as carpentry, masonry, mechanics, wood working and dressmaking Develop community partnerships for the management of natural resources Joint training of community members to establish local markets and trade opportunities</p> |
| <p>Ensure access to basic health care</p> | <p>Build capacities for public health facilities and teams Support health providers to conduct emergency health and nutrition assessments Set up mobile clinics</p> | <p>Implement health education campaigns in schools, faith-based entities and pastoral communities, in order to increase awareness of health and hygiene</p> |
| <p>Promote peace and prevent conflicts</p> | <p>Establish an Early Warning Information Centre to spread information about conflicts Conduct safe migration initiatives Establish a task force for arms control and voluntary disarmament</p> | <p>Promote community dialogue and cross-border exchange Awareness-raising and capacity-building among local authorities to mitigate irregular migration Capacity building of peace committees and local organizations</p> |
| <p>Increase access to education for nomadic children</p> | <p>Set up and provide school supplies to mobile schools Mainstream child labour prevention in schools Formulate national policy frameworks for education of nomadic children</p> | <p>Support parents to prevent and withdraw from child labour</p> |

ANNEX 2

EXAMPLES OF PROGRAMMES FUNDED BY THE UNITED NATIONS TRUST FUND FOR HUMAN SECURITY

The summaries below provide an insight into recent programmes funded by the UNTFHS. While not an exhaustive list of the thematic and geographic coverage of the UNTFHS, these examples highlight how UN country teams and their partners have applied the human security approach to address the impacts and root causes of multidimensional and interrelated threats to people's survival, livelihood and dignity. These programmes also provide examples of approaches taken to integrate the human security approach at the national level, and of how long-term sustainable partnerships, including co-funding, are increasing programmatic scope and effectiveness.

Programmes advance the integration and mainstreaming of the human security approach across the work of the United Nations, build partnerships with national and international stakeholders to expand the reach of activities, promote greater support and replication of the human security approach, and provide a detailed action plan with target dates to advance the integration and mainstreaming of the human security approach across the work of the United Nations at the local and country levels.

1. SUPPORT TO THE HUMAN SECURITY IN NORTHERN MALI THROUGH BUILDING THE RESILIENCE OF YOUTH AND WOMEN

| | |
|------------|---|
| Agencies | UNDP, UNFPA, ILO, FAO, UNICEF, WHO |
| Country | Mali |
| Duration | 2016-2018 |
| Budget | \$5,114,749 |
| Co-funding | UNTFHS: \$2,087,409 UN country team: \$3,027,340 |

Programme overview:

Between January 2012 and June 2013, northern regions of Mali endured months of conflict. Vulnerable communities in Timbuctoo, Gao and Kidal bore the brunt of violent clashes between armed groups and Government troops as people were forced to flee their homes and young people feared recruitment by rebel groups. The conflict exacerbated existing insecurities with some 4.6 million people already at risk of food insecurity and malnutrition, and unemployment rates at 55 per cent. As a direct consequence of the conflict, the local economy has stagnated, livelihood opportunities are limited, and households struggle to purchase the food they need as prices continue to rise. Furthermore, basic social services such as education, sanitation and health facilities have rapidly deteriorated, and there is a worrying increase in sexual and gender-based violence as well as the number of HIV cases and other sexually transmitted diseases.

The transition towards durable peace and sustainable development must begin by healing the scars of conflict and addressing the underlying causes of unrest in northern Mali. At the same time, consolidated efforts are needed to rebuild the region's basic social services and develop responsive

institutions and participatory development plans to ensure all voices can be heard to break the cycle of violence. Moreover, integrated planning and programming in crises-affected settings requires addressing the interplay between multiple threats, shifting from responding to preventing crises, and overcoming organizational obstacles that separate humanitarian relief and long-term development. Through the application of the human security approach, the project offers an innovative solution to support an integrated transition from emergency relief to development in northern Mali.

To this end the programme is working to strengthen the resilience of youth and vulnerable communities through sustainable livelihoods and economic opportunities, while improving access to basic social services and promoting a culture of peaceful coexistence. At the same time, the programme is working to build the capacities of national and local stakeholders to mainstream the human security approach into national recovery and development plans through training, media campaigns and institutionalized frameworks for exchanging and sharing experiences on implementation.

In placing people at the centre of the assessment, the human security approach focuses on the region's most vulnerable groups. A participatory and inclusive household and community survey was carried out among internally displaced people and returning refugees, ex-combatants, youth, women and girls, in addition to consultations with Government agencies and civil society organizations, to identify immediate recovery needs and long-term development priorities. Subsequently, an integrated transition strategy – which empowers vulnerable groups and allows them to actively participate in peacebuilding, and social and economic rehabilitation activities – was tailored to the specific contexts of Timbuctoo, Gao and Kidal.

The human security approach also compliments immediate humanitarian efforts by proactively considering the root causes of crises and the long-term solutions needed to prevent their reoccurrence. Based on the participatory and comprehensive situation analysis, activities have been designed to address the specific root causes of conflict in northern Mali. For example, providing basic services, such as sanitation, water, health care and education, and diversifying economic opportunities reduces marginalization and social exclusion. Meanwhile, training community leaders on leadership and reconciliation, while empowering youth to participate in community development and conflict management, will foster the social integration of those most likely to return to violence.

Lastly, by identifying the wide range of threats as well as the root causes of instability in the region, the programme brings together the diverse actors needed to ensure long-term stability. While planning in times of crisis tends to be loosely coordinated and focussed on individual solutions, the programme joins the efforts of six UN agencies, Government ministries, local authorities and civil society under an integrated and cross-cutting strategy. In doing so, the programme also improves United Nations system-wide coherence by consolidating existing integrated planning mechanisms, improving the allocation of resources, and strengthening integration among all actors across the development and humanitarian spectrum.

2. BUILDING RESILIENCE OF COMMUNITIES AFFECTED BY THE ARAL SEA DISASTER THROUGH THE MULTIPARTNER HUMAN SECURITY FUND FOR THE ARAL SEA

| | |
|-----------------|---|
| Agencies | UNDP, UNESCO, UNFPA, UNV, UN Women, UNDP |
| Country | Uzbekistan |
| Duration | 2016-2018 |

| | |
|------------|------------------------------|
| Budget | \$4,154,000 |
| Co-funding | UNTFHS: \$2,000,000 |
| | Adaptation Fund: \$1,254,000 |
| | UNDP: \$593,000 |
| | UNFPA: \$100,000 |
| | UNESCO: \$81,000 |
| | UNV: \$72,000 |
| | UN Women: \$54,000 |

Programme overview:

Considered to be one of the world’s worst environmental disasters, the disappearing Aral Sea has caused a complex range of environmental, health, economic and demographic problems across Central Asia, with the region of Karakalpakstan at the epicentre of this man-made crisis. Largely as a consequence of highly inefficient agricultural and irrigation practices initiated during Soviet times, the disaster has had a devastating effect on the human security of Karakalpakstan residents and has affected people in almost every walk of life. It has resulted in land degradation and desertification, a decline in income generation opportunities, population migration, high poverty rates, a shortage of drinking water, malnutrition and ill health. Consequently, the Aral Sea region is one of the most vulnerable and underdeveloped regions of Central Asia. Multiple human security challenges faced by individuals and communities have undermined resilience and limited opportunities for people to become actively engaged in rebuilding their lives.

A number of different efforts are attempting to address the Aral Sea disaster, but mitigating its consequences and tackling some of the root causes of vulnerability require an integrated and multi-sectoral approach. Through the application of the human security approach, this programme is challenging the effectiveness of single-sector responses. It is promoting multidisciplinary solutions that cut across sectoral divides and reflect the specific needs and aspirations of affected individuals and communities.

Tailored to local realities in Karakalpakstan, the programme’s activities are informed by an in-depth baseline survey using qualitative and quantitative sources to analyse the multidimensional causes and consequences of the disaster in terms of different human security domains. From this analysis, a regional human security strategy has been developed with accompanying participatory community development plans. Subsequently, an integrated package of activities is responding to the multiple and interrelated needs of communities, including access to basic services, income generation, community-based tourism development, sustainable management and conservation of natural resources, climate resilient agriculture and improved health care.

By extensively involving beneficiaries in community development and decision-making processes, the programme is implementing a comprehensive approach that is targeting the full spectrum of threats and vulnerabilities to the survival, livelihood and dignity of communities affected by the disaster. To this end, a Multipartner Human Security Fund for the Aral Sea has been established. It will go beyond short-term fixes to advance comprehensive solutions that are preventive rather than reactive; that include the active participation of the affected communities; and that are flexible and responsive to evolving local needs and human security challenges. With initial seed money provided by the UNTFHS, the Aral Sea fund will act as a catalyst to replicate the application of the human security approach across the region, and provide a foundation for evidence-based policymaking and programming to mainstream the approach in the work of regional and national governments as well as the United Nations system.

For example, the programme will coordinate with the International Fund for Saving the Aral Sea and the Aral Gene Pool Fund to advocate for the human security approach at the regional forums. It will provide capacity-building and technical assistance to mainstream the human security approach in programming and project implementation. This will be complemented by the development of training modules on human security policy and programme development for national and local governments, as well as advocacy and training across the United Nations system to integrate the human security approach in key programme documents such as the United Nations Development Assistance Framework, the Common Country Assessment and national strategies to achieve the SDGs.

3. HUMAN SECURITY THROUGH INCLUSIVE SOCIOECONOMIC DEVELOPMENT IN UPPER EGYPT

| | | |
|---|----------------------------------|-----------|
| Agencies | UNIDO, UN Women, UN Habitat, ILO | |
| Country | Egypt | |
| Duration | 2013-2016 | |
| Budget | \$5,339,396 | |
| Co-funding | UNTFHS: \$4,839,396 | |
| Swiss Agency for Development Cooperation: | | \$500,000 |

Programme overview:

Demands for reform and good governance triggered by the Arab Spring are expected to result in socioeconomic benefits in the long run. Nevertheless, in the short run, the rapid transformation of the political system and the subsequent destabilization of society have resulted in a severe economic downturn and a growing number of human insecurities for the people of Egypt. Shrinking revenues from tourism, reduced foreign direct investment, rising inflation and political turmoil have led to the contraction of the economy and have decelerated the overall rate of development. Communities in Upper Egypt, an area home to 66 per cent of the country's extreme poor, with a poverty incidence almost twice as high as the national average, are particularly impacted. Faced with severe unemployment, the acute drop in incomes combined with decreasing agricultural outputs have resulted in growing social tensions and a rise in economic, food, health, personal, environmental and community insecurities.

Through activities in the field and advocacy at the national level, the programme is integrating the human security approach into the work of the United Nations system. In Egypt, human security offers a comprehensive approach to alleviate the multiple social and economic challenges faced by poor and often neglected communities, and to include their voices in the country's development. Recognizing the importance of sustaining human security during periods of political transition, the programme applies a comprehensive and multisectoral approach that emphasizes the importance of combining top-down protection measures with bottom-up empowerment activities.

As protection measures, the programme aims at upgrading community infrastructure (including drainage, water connections, schools, marketplaces and homes), boosting health and nutrition, improving agricultural production, creating employment opportunities and strengthening institutional capacities. Meanwhile, bottom-up empowerment actions are geared towards further strengthening the capacities of community members to become economically self-sufficient and to advance community engagement in local development. Specifically, the programme has formed

Human Security Forums through which community members can play an active role in creating sustainable solutions for the betterment of their livelihoods and dignity. The Human Security Forums serve as an enabling environment for community members to take the lead in planning and implementing responses that have been defined based on priorities set in consultation with participating communities. By asserting a holistic community action plan, and by designing and selecting priority projects at the village and district levels, the forums catalyse local ownership and ensure the sustainability of initiatives proposed under the programme. Vocational skills training for disadvantaged community members, business management coaching for entrepreneurs, and microfinance for women and other vulnerable groups are provided to further empower communities to mitigate current challenges and build future opportunities.

In Upper Egypt, the human security approach, by rejecting silo-driven responses that have limited impacts on the overall improvement of people’s conditions, has necessitated the engagement of five United Nations agencies with specific expertise and know-how in responding to the multidimensional challenges identified by participating communities. Done in close collaboration with local and national Governments, civil society, the private sector and community groups, such an approach utilizes local structures and capitalizes on experiences and the skills already present in the communities. The Ministry of Local Development has expressed interest in replicating the programme’s approach nationwide as an effective response to the multifaceted challenges faced by the country’s most vulnerable communities.

4. IMPROVING HUMAN SECURITY IN THE BATEYES OF THE DOMINICAN REPUBLIC BY SECURING DOCUMENTATION AND ENSURING THAT VULNERABLE PEOPLE’S BASIC NEEDS ARE MET

| | |
|----------------------|----------------------------|
| Agencies | UNHCR, UNDP, UNICEF |
| Country | Dominican Republic |
| Duration | 2012-2016 |
| BudgetUNTFHS: | \$2,569,600 |

Programme overview:

The Dominican Republic hosts between 500,000 and 1 million Haitian migrant workers and their descendants. Approximately 200,000 Haitian migrants live in precarious conditions in the bateyes – communities located on or near sugar cane plantations. With the sugar industry shrinking, the human insecurities of this already vulnerable population have grown exponentially. Geographically and socially isolated, bateyes lack basic health care, adequate water and sanitation, and access to education, while employment and income generation opportunities have grown increasingly scarce. Moreover, many residents in the bateyes, including an overwhelming 85 per cent of adolescents, lack civil status documentation such as birth certificates (either Dominican or Haitian), and are therefore unable to fully access education, vocational training, employment opportunities or health care offered outside of the bateyes.

The programme highlights the importance of contextually relevant interventions and is grounded in the specific local realities of the bateyes. For example, by building on existing community infrastructures, the programme has established food stores and community gardens to promote sustainable access to food and reduce malnutrition. Health security is being addressed by improving access to facilities as well as instituting contextually appropriate preventative measures, particularly in the

areas of maternal health and prevention-oriented campaigns on adolescent pregnancies and sexual health. Economic insecurity is addressed through training sessions, vocational activities and support to microenterprise ventures, aimed at diversifying people's income generation opportunities.

Furthermore, by applying a multi-stakeholder approach, the programme creates a diverse network of actors that build on each other's expertise in order to comprehensively address the many insecurities in the bateyes. In this regard, the programme is able to implement a human security strategy that combines the necessary top-down and bottom-up approaches to meet the needs of the vulnerable and isolated bateyes residents. While the lack of official documentation requires a protection-oriented approach, which includes law and policy reform, residents still face difficulties in accessing basic services due to chronic poverty and their geographical isolation. Therefore, by complementing protection efforts with participatory empowerment measures, such as enhancing people's income generation capacity and providing educational opportunities, the human security approach strengthens communities' ability to manage their insecurities and advocate for their rights.

Lastly, by focusing attention on the combined risks of climate-related threats, the project highlights the interconnectedness and the cross-sectoral consequences of natural hazards and their impacts on different human insecurities in the bateyes. By developing local emergency-response mechanisms and early warning systems, the project enhances community resilience against natural disasters and helps minimize the economic and social costs of environmental degradation and climate-related challenges.

As the project progresses, impressive results are emerging that provide important operational and conceptual lessons for integrated programming in the United Nations system. For example, as a result of the application of a comprehensive protection and empowerment framework, a new and effective coordination mechanism has been established between the participating agencies, the Government and civil society partners. Activities in the field are for the first time being implemented in an integrated manner and are simultaneously addressing the range of insecurities faced by the Haitian communities. The participating agencies also report that valuable unanticipated synergies are emerging. For example, implementing partners can better identify the interrelated needs of the most vulnerable individuals and share information on these communities in order to ensure that they can access the full range of services provided by the initiative.

Additionally, agencies also report that the integrated human security approach has helped avoid duplication of activities and ensure a more cost-effective use of resources. It has not only strengthened coordination among United Nations entities, the Government and civil society partners, but has also strengthened cooperation between the Government and civil society organizations, who recognize the human security approach as the most appropriate way to address the interrelated insecurities faced by Haitian migrants and their descendants in the Dominican Republic.

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