Strategies for Promoting Human Security

Cross-Sectoral Cooperation

According to Sadako Ogata, president of the Japan International Cooperation Agency (JICA), "Top-down protection can be thought of as 'rule,' and bottom-up empowerment can be thought of as 'self-rule.' When the two come together, that is where 'good governance' begins. The purpose of the human security concept is to create a framework in which people can realize their own potential."[5] In other words, if one takes a protection and empowerment approach in operationalizing human security, governance can also be improved. This means not only focusing on enforcing good governance from the outside but also on good governance that is initiated from the inside.

In a strict "protection" approach, governments or intergovernmental agencies formulate and enforce policies for the target community. In a strict "empowerment" approach, the target community takes the initiative, or a grassroots organization helps the target community grasp its own needs, and the community's potential is thus elicited and strengthened. In order to integrate those two approaches, the government needs to begin by recognizing the dignity of the community and the community needs to be motivated to help itself. According to the participants in the ESCAP (United Nations Economic and Social Commission for Asia and the Pacific) project, Human Dignity Initiative, which was the subject of one of the case studies developed by JCIE in 2003, the government perceives of poor people as the people to whom they give money and food, and poor people see the

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5.   From a speech given at a December 2, 2003, symposium, "Human Security Now," in Tokyo, organized by Japan's Ministry of Foreign Affairs and the *Asahi Shimbun*.

government as the one responsible for giving them money and food. There is, however, a dire need to change that way of thinking.

In order to integrate the protection and empowerment approaches that are necessary for a human security approach, an entity that has the trust of the relevant government (such as a UN agency or a bilateral aid agency) is needed to play a facilitating role. In that role, the agency would raise the government's understanding of the circumstances in the community and of the need to improve those circumstances. An NGO or other organization that is rooted in the community is also needed to play a facilitating role in order to improve the community's self-sufficiency and encourage them to take more initiative. To do this, a project needs to go beyond the confines of any one sector to include the government, the community, international organizations, bilateral aid agencies, NGOs, and others from civil society. It should be noted, however, that such linkages should not be created purely for the sake of working together but that they should be used to gain shared understanding of the importance of the issues being addressed, recognition of goals, and definition of each party's role. In particular, cross-sectoral cooperation is critical in the situations discussed below.

Issues or groups with which the government cannot deal directly

In the field of HIV/AIDS, there has been a recent recognition, particularly among the governments of countries with high levels of infection, of the importance of finding effective responses to AIDS, and more countries are trying to learn about concrete approaches to dealing with the challenge. The Joint United Nations Programme on HIV/AIDS (UNAIDS) has encouraged countries with high levels of infection to create AIDS committees that include a cross-section of government agencies and departments and are organized at the national and local levels. However, there are certain vulnerable groups that need to be targeted but that governments either avoid or find very difficult to work with. In particular, for sociocultural and political reasons, it is often difficult for governments to engage in activities directly with injecting drug users (IDUs), women, and men who have sex with men (MSM) in places where it is a cultural taboo, so the role played by NGOs becomes critical. In those cases, unless the government cooperates closely with an organization that is working at the community level, it will be difficult for them to develop any effective responses. At the same time, the scope and complexity of AIDS requires a national-level response, so if

the government is not involved in the response, the solution will generally not be as effective.

For example, in the WHO project in Thailand, the IOM acts as facilitator to make it easier for immigrant workers to access healthcare services provided by the local government. The project trains healthcare workers from the immigrants' countries, translates materials into the immigrants' language, and convenes seminars for Thai healthcare workers and government representatives on immigrant health and human rights in an attempt to eliminate the prejudice against immigrant workers. However, the immigrant workers who do not have proper documentation are worried that their illegal entry and stay in Thailand will be revealed when they go to the public clinics, causing them to be deported back to their own country, so they often do not access the services. In Samutsakorn, one of the places where this project is being implemented, a Thai NGO, the Raks Thai Foundation, is offering healthcare services to immigrant workers using resources from the Global Fund. The Raks Thai Foundation has created four drop-in centers where immigrant workers can come in for consultation on any health concerns or other concerns in their lives and where they are seen by doctors from their own ethnic group. The drop-in centers also offer schooling to immigrant workers' children who are not able to attend regular schools.

The UNTFHS-supported project and the Raks Thai Foundation project were both developed with the goal of creating a healthcare system that is more accessible to the immigrant workers. However, they found that the immigrant workers' lack of legal status was a significant challenge. Theoretically, all foreign workers in Thailand are supposed to register, making them eligible for public services. However, in reality, half of the foreign workers in Thailand are not registered. Those without legal status in Thailand are limited in their ability to interact directly with the government. In addition, NGOs often better understand the needs and challenges faced by the immigrant workers and are better at encouraging them to access services that are available to them. Therefore, working closely with NGOs is critical. When the research team visited the project site, there still was not any linkage between the government and the NGO, but the project staff said that they planned to explore ways to create such a linkage in the future.

Thailand has a system in which residents, including illegal aliens, can register at their local healthcare center to receive services for 30 baht per visit. This type of policy that allows poor people, regardless of their nationality, to purchase medical services is an important national program

for providing healthcare to migrants within the national policy framework.[6] However, absence from work can result in immediate dismissal from their jobs, so even when immigrant workers feel sick, they generally do not go to healthcare facilities, and when they finally do, it is often too late to treat their ailment adequately. Without a legal system that provides at least a minimum level of protection of the rights of the weak, we cannot claim any success in the field of human security.

Situations in which the government is not willing or able to take responsibility for protecting illegal immigrants require linkages among various sectors and across national borders. In these cases, NGOs are able to think of immigrants not as "illegals" but as "human beings" and develop activities that provide for their protection and empowerment. However, if human security is going to be realized in its true form, the international community will need to help change the situation in the immigrants' home countries and work to protect them in the countries in which they are living. For this to happen, there is an important role for an organization that enjoys the trust of the relevant country's government.

Gap between policies and the actual situation on the ground

It is difficult for policies to reflect all of the needs on the ground, just as it is difficult for people on the ground to implement policies exactly as they have been written. Therefore, when one is operationalizing human security, there is a need to create systems that fit with the actual situation on the ground. As noted above, the UNIFEM project in Zimbabwe attempted to enforce an existing policy framework at the community level. The government of Zimbabwe had already taken up gender equality as an important topic, but a gender perspective was not adequately reflected in the country's AIDS policy. So UNIFEM decided to offer training to personnel in the government departments that deal with AIDS and piloted a GEZ in order to more effectively bring a gender perspective into AIDS policies. In order to implement the project, they needed to bring the local government leaders on board, have them explain the project's objectives to the members of the community, and encourage the community to participate in the project. UNIFEM had a field coordinator in the community who was responsible

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6.   If, for example, the cost of providing healthcare services to each person is 1,600 baht, the additional cost of 1,570 baht is borne by the hospital. The staff in the Samutsakorn Department of Health have cited an unfortunate decline in the quality of service as a result.

for liaising between UNIFEM and the local government, as well as among the various implementing organizations. The government also appointed a project coordinator to oversee the project. Within this framework, scholars from the University of Zimbabwe and three NGOs were commissioned to provide specialized technical assistance.

UNIFEM played a facilitating role in the project while the local government played the role of mobilizing the local community. Because this project was implemented within the existing policy framework, the local government, community members, NGOs, and international organizations were able to participate relatively smoothly. As a pilot project, the approach it took of providing training to central government personnel in parallel with the other project activities in the community appears to have been effective. However, this project has not necessarily resulted in any changes in the national policy framework.

In the case of the UNDP project in South Africa, there were already various AIDS-related policies being implemented by each individual district with varying levels of community involvement in AIDS policy. The UNDP project seeks to coordinate among those various district-level policies and encourage more community engagement. To do that, it has created an NGO desk within the district government in order to improve linkages with grassroots organizations.

There is a need for more research on cases in which the government did not at first recognize on its own the need for solutions to various challenges in communities but, through the facilitation of the UN or a bilateral aid agency, was able to create new policies or make changes to existing policies. Also, there is a need to study ways in which challenges seen in the community were resolved through the practical application of a human security approach by engaging stakeholders from various sectors.

Challenges to cross-sectoral cooperation

Differing values among sectors

Generally, in the interest of fairness, governments focus on the macro level and are less able to create programs aimed at individual groups. Community-based NGOs, on the other hand, do not have to concern themselves with such issues of fairness and can respond to people's needs on

a more individual basis. According to the research team's discussions with UN personnel, government representatives, and NGO staff, this variation in function or role brings about a discrepancy in the way their values are perceived. As a result, each sector might define success differently. The two projects in Thailand illustrate this point. The local government's goal in the WHO project is to provide healthcare services to 25,000 immigrants from Burma in three villages.[7] NGO staff who are a part of the UNDP project, on the other hand, have said that if their project is able to help just one person then that project should be considered successful and valuable. If one looks at "sustainability," for example, the government might say that the very fact that they are involved makes it sustainable. NGOs, on the other hand, focus more on increasing the capacity of people in the community, which they regard as a more sustainable approach. In addition, governments are more likely to look for shorter-term results and often emphasize efficiency over effectiveness.

There is a need to explore in more specific terms the degree to which UN agencies or governments are contributing to processes of empowerment by promoting human security through linkages among sectors with divergent values. While sustainability is an important component of empowerment, one must recognize that it is not always efficient, and there is a need for more evaluation on that issue. In addition, for an NGO to contribute to strengthened protection, it must work effectively with the government or create a close working relationship with an international organization, governmental agency, or individual that has the trust of the government.

Inclusion of implementing agencies in the project cycle

Generally, UN agencies and bilateral aid agencies alike decide on a project concept and then choose the implementing agencies through a competitive process. However, a human security approach places importance on a process of joint identification of needs and analysis of challenges among the local government and residents of the target community before the project concept is created.

NGOs often implement projects in one area over a long period of time, so they already have a grasp of the local context before they begin

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7.   The Thai administration is divided into provinces (*changwat*), districts (*amphoe*), sub-districts (*tambon)*, and villages (*muban*).

implementing their projects. However, when implementing a new project, it is crucial that they forge relationships with the target population in order to gain local acceptance of the project and appropriately analyze the problems.

For this reason, there is a need to explore alternatives to the competitive process so that the implementing agencies can be a part of the project design and proposal-writing process. In the case of the UNDP project in Thailand, UNDP staff decided not to go through a competitive process but rather to bring the implementing agencies in as collaborating partners.

Joint Programming

If demand-side security requires looking into the causes of threats that people face or may face in the future, as well as the interlinkages among those threats, the response requires a broad range of actions in order to enhance people's resilience to the threats. This brings about the challenge of coordinating such diverse activities.

Implementation of human security projects requires the engagement of multiple organizations that have their own comparative advantages and their own expertise. At the same time, in order to execute projects effectively, implementing agencies also need a shared sense of the goals and objectives of the project, and they need to coordinate well with one another.

There have been calls since the 1970s for more coherence among UN agencies on policies and project implementation, reflecting a recognition of the need for more efficient planning. Over the years, there have been many discussions on joint programming and coordination at the ground level. The High-Level Panel on UN System-Wide Coherence in the Areas of Development, Humanitarian Assistance and the Environment is one recent effort in this area, and its findings were presented to Secretary-General Annan in November 2006 under the title *Deliver as One*.

Ever since the first AIDS cases were diagnosed in 1981, the WHO has taken a central role in promoting international cooperation on responses to AIDS. By the mid-1990s, however, as the world witnessed the rapid spread of HIV infection and the major social and economic impacts of HIV/AIDS, the need for a stronger framework throughout the UN system became clear. At the same time, other UN agencies and affiliated organizations, such as UNICEF, the UNDP, and the World Bank, joined the WHO in the fight by

including responses to the threat posed by AIDS in their various activities. These agencies recognized the need for more coordination in order to avoid duplication of efforts and inefficiencies among those activities. Against this backdrop, UNAIDS was established in January 1996. By 1999, UNAIDS had created 132 AIDS Theme Groups around the world with representatives from all UN agencies in order to facilitate more coordination among UN agencies and their partner organizations.

Later, as AIDS became a major international political issue, it was discussed at the Kyushu-Okinawa G8 Summit held in Japan in 2000. In 2001, the United Nations General Assembly Special Session on HIV/AIDS (UNGASS) was launched, adopting a five-year declaration of commitment on HIV/AIDS, entitled "Global Crisis–Global Action." Following the discussion at the G8 Summit as well as global trends at the time, the Global Fund to Fight AIDS, Tuberculosis and Malaria (the Global Fund) was established in 2002. The Global Fund not only deals with communicable diseases at the policy level but also takes practical approaches to dealing with AIDS and other communicable diseases by using resources from around the world and by looking for ways to use those resources more effectively. Between 2003 and 2005, UNAIDS and the WHO established the "Three by Five" initiative, which aimed to provide ARV treatment to 3 million people in low- and middle-income countries by 2005. During that time, the number of people receiving ARV treatment in the developing world rose dramatically, but there were still fewer than 1.5 million people—less than half of the target number—on ARV treatment at the end of 2005, in large part due to a persisting gap between needs and available funds. Still, when compared with the resources available for communicable diseases in the 1990s, the level of resources available today for the three major communicable diseases has grown rapidly.

Today's challenge is not simply coordination within the UN system; there is also a need for mechanisms to strengthen coordination among the various sectors involved in the fight against HIV/AIDS, which would also facilitate more effective use of the rapidly growing pool of resources and ensure greater accountability. In April 2004, UNAIDS, the United States, and the United Kingdom launched the Three Ones principles. The principles call for each country to have one policy framework for dealing with AIDS, one coordinating authority, and one system for monitoring and evaluation. UNAIDS, France, the United States, and other donors have begun to recognize the need for harmonization among mechanisms for contributing AIDS-related resources, as well as for simpler procedures

and greater coordination among agencies. They formed a Global Task Team, which released its final report in June 2005.[8] In that report, the team recommended that every country develop priority AIDS action plans so that various agencies can provide funding for the plan's implementation, creating comprehensive leadership and ownership on the part of the target country. They also recommended that a single national AIDS coordinating authority be created in each country, comprising the local coordinator, the UNAIDS coordinator, and the head of the AIDS Theme Group, and that it be tasked with developing a unified UN plan on AIDS for each country. It also recommended that a joint problem-solving team be created with the UN and the Global Fund and that the division of roles between the two international bodies be made clearer within each country.

There are many root causes of the spread of HIV infection and a broad spectrum of social problems resulting from its prevalence. This requires a wide range of activities, so various non-health agencies have developed AIDS-related activities. As a result, there has been growing awareness of the need for better coordination among agencies in order to create a more effective response to the challenge of HIV/AIDS, leading to the developments outlined above. These kinds of developments are also promoted in the UNTFHS guidelines, which recommend "advancing integrated approaches that preferably involve more than one organization in planning and implementation." There are, however, still some issues at the local level that need to be addressed.

Within the UN, one of the practical roles of the AIDS Theme Groups is to support the organization of staff-level technical working groups that meet on a regular basis.[9] The technical working group in Thailand is promoting cooperation among UN agencies and various governmental agencies, but it is not creating any linkages with NGOs. The Thai group is exploring the possibility of joint programming in order to avoid duplication of efforts and it is also in the process of putting together a joint strategic plan, but the agencies involved have yet to engage in any kind of actual joint programming.

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8.   UNAIDS, "Global Task Team on Improving AIDS Coordination Among Multilateral Institutions and International Donors, Final Report," 14 June 2005, data.unaids.org/Publications/IRC-pub06/JC1125-GlobalTaskTeamReport_en.pdf.
9.   Similar working groups have been set up around the world to deal with human trafficking and environmental problems.

Challenges to joint programming

Mandates and compartmentalization

The first challenge is that UN agencies' activities are based on their mandates, and their programs are therefore developed within the framework of those specific mandates. It is becoming increasingly difficult for agencies to work outside of their mandates, particularly since the introduction of results-based programming and in light of the scarcity of resources. However, there are some in Thailand who have argued that it is precisely the scarcity of resources that makes cooperation among UN agencies indispensable.

In the case of the UNDP project in Thailand, after the project began, the partner NGOs told the UNDP staff that there was a need for AIDS prevention activities among immigrants and that the UNDP should support that population. Because supporting immigrants does not fall under the UNDP's mandate, they brought that information to a staff member of the International Labor Organization (ILO)—a member of the technical working group—whose mandate does include support for immigrants. This, however, was an isolated case. There is no established mechanism for an agency to communicate emerging needs that are not within its own mandate to those agencies whose mandates they do fall under so that the appropriate agency can support a response to those new needs.

In general, UN agencies respond to requests by country governments for technical assistance. In such cases, governments' tendencies toward compartmentalization may also hinder joint programming. In the AIDS field, most countries in Asia and Africa have formed AIDS committees that bring together representatives from various government agencies and departments. But moving beyond compartmentalization is often very difficult. In Thailand, the Ministry of Public Health disbursed funds in the past to other agencies for their AIDS-related efforts, but now each agency has to cover its AIDS-related activities through its own budget, which has diluted such efforts.

It should also be noted that if UN personnel are to be encouraged to think outside of their agency's mandate and work with staff from other agencies, there needs to be some assurance that such cooperation will not threaten the participating staff's post or position.

Competition for resources

A second challenge to joint programming is that the UN agencies do not have a budget for joint programming, and considering the limited resources in all of the agencies, it is unrealistic to expect that any of them would use their own funds for joint activities. In addition, they already have their hands full with their existing work, so there is rarely motivation within an agency to take on new projects in addition to what they are already doing. At the same time, UN staff have stated that the UNTFHS decision to put resources behind its promotion of joint programming is an important step in promoting such activities. In 2000, UNAIDS established a Programme Acceleration Fund (PAF) in order to help the AIDS Theme Groups encourage coordination among AIDS-related activities. The PAF allocated US$100,000 to Thailand as seed money for projects being implemented in new fields.[10] If joint programming is going to be successful, such funding and mechanisms for a constant exchange of information among UN staff will be indispensable.

Field-level coordination

Generally, UN agencies respond to requests from governments in their respective countries and operate programs at the government level. It is often difficult for them to ensure that community needs are all reflected in the policy framework. In addition, government agencies each have their specific field of responsibility, making it difficult to create policy or implement programs that cut across various fields.

In the case of the UNICEF project in Tanzania, however, UN agencies and their local government counterparts appear to be overcoming some of these challenges to some degree. There are four refugee camps in Tanzania near the Burundi and Rwandan borders, and even though the relevant UN agencies each work within their own mandates to provide services, all of the agencies' offices are in the same building, allowing the staff to exchange information on a daily basis, even on projects outside of the camps. As a result, when UNICEF staff discovered that learners in their COBET centers were missing school frequently because they had to spend their time finding

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10. The Global Task Team recommended that working groups be organized with the participation of various UN agencies and civil society to ensure that PAF resources could be used to provide technical assistance.

money to buy food instead of studying, they discussed the problem with WFP staff, and the agency began providing food at several of the COBET centers. The WFP had provided food in schools before, but it probably would not have begun providing food at a non-public school if it had not been for the discussion among the staff on the ground. However, this kind of effort to develop cooperation based on actual needs on the ground is easier in situations like those found in and around refugee camps, where multiple UN agencies share facilities and target the same population.

The research team found this kind of cooperation rare in the other countries they visited. According to interviews that the team conducted with NGOs, the provision in the UNTFHS guidelines of "advancing integrated approaches that preferably involve more than one organization in planning and implementation" can be difficult to realize when creating a project that is based on the actual needs of the target community, so there is a need to explore the creation of a structure that will make joint programming possible in order to respond to the interconnected needs. Because it is not possible in every country where the UN operates to house all UN agencies in the same facilities, some kind of mechanism, for example a network for sharing information with NGOs, needs to be created to raise awareness within the agencies of the local needs.

Similarly, it is rare for a project to effectively link the activities undertaken by multiple NGOs. This was the case with the UNIFEM project, even though a UNIFEM field coordinator was employed to coordinate the activities. A representative from one of the implementing NGOs in the UNIFEM project pointed out that it is of critical importance that the lead agency bring the implementing agencies together, starting at the design stage, so that they buy into the project's overall goals and objectives from the beginning. Instead, the project operated in a kind of "hub-and-spokes" manner, with the UNIFEM coordinator interacting with each of the partner NGOs but with little or no opportunity for cross-fertilization of ideas among the various partner NGOs. The NGOs each have their own mission and philosophy and implement their portion of the project using their own approach. While there is value in each organization taking its own unique approach, that means that their activities rarely fit well with one another. And, they need to have an understanding of their roles in achieving the common goals of the project and the synergic effects of their activities.

When NGOs take an approach that encompasses both protection and empowerment, they also face the challenge of cooperating with multiple government agencies and departments. For example, an organization

implementing a project on AIDS in Thailand needs to work not only with the Ministry of Public Health but also with the Ministry of Social Development and Human Security and the Ministry of Education. But, the bureaucratic nature of government can get in the way, and forming linkages across government agencies and departments becomes time consuming. In many countries, there are already committees with representatives from various government agencies and departments, as well as from UN agencies, established in such fields as AIDS and migration, but these committees do not have the capacity or the flexibility to respond to needs coming from the community. If a human security approach requires the effective involvement of the government, there will need to be further discussion on how to overcome the bureaucratic nature of government in each country and create mechanisms for responding to the needs beyond the boundary of each government agency's mandate as well as that of each UN agency.