



# PHAP Credentialing Program Certification in Understanding the Humanitarian Ecosystem

## Study Guide

version 0.5\_20210110AL

**Draft version 0.5**

***This guide will be continuously updated to reflect new developments and new resources published. Please provide your comments and suggestions using the online form at <https://phap.org/credentialing-program/study-guide/contribute>***

**NOTE: This Study Guide has been developed independently from the PHAP Credentialing Program.** The PHAP Credentialing Program is governed by an independent Certification Commission, an independent certifying body of the International Association of Professionals in Humanitarian Assistance and Protection (PHAP). No preparatory resource is endorsed by the Certification Commission nor is a prerequisite to earn PHAP Credentialing Program certifications.

Copyright © 2017-2021 by PHAP. All rights reserved.

Certain pages of this Study Guide may be reproduced. The reproducible pages are designated by the appearance of the following copyright notice at the foot of each page:

<p><i>Understanding the Humanitarian Ecosystem Study Guide</i>. Copyright ©2017-2021 by PHAP. All rights reserved.</p>
--

This notice must appear on all reproductions as printed.

No part of this publication may be reproduced, stored in a retrieval system, or transmitted in any form or by any means electronic, mechanical, photocopying, recording, scanning, or otherwise, except as permitted under applicable copyright legislation or with the express permission of PHAP.

Limit of Liability/Disclaimer of warranty: While the publisher and author have used their best efforts in preparing this Study Guide, they make no representations or warranties with respect to the accuracy or completeness of the contents of this Study Guide and specifically disclaim any implied warranties of merchantability or fitness for a particular purpose. No warranties may be created or extended by sales representatives or written sales materials. The advice and strategies contained may not be suitable for your situation. You should consult with a professional where appropriate. Neither the publisher nor the author shall be liable for any loss of profit or any other damages, including, but not limited to special, incidental, consequential, or other damages. Readers should be aware that Internet Web sites offered as citations and/or sources for further information may have changed or disappeared between the time this was written and when it is read.

# Contents

Contents.....	3
Introduction.....	5
What is Certification? .....	5
Reasons for Earning PHAP credentials .....	6
What is Required for Certification?.....	7
For More Information.....	7
Creating and Executing Your Study Plan.....	9
Planning Your Certification Assessment Study Path.....	9
Study Resources .....	10
Creating a Personalized Study Schedule.....	18
Participating in a Study Group.....	21
Approaches to the Domain Content.....	23
Symbols used for recommended resources .....	24
Domain 1: The Big Picture.....	25
Domain Outline .....	25
General Recommended Reading and Resources.....	25
1.1 Scope and defining characteristics of humanitarian action .....	28
1.2 The emergence of the current humanitarian ecosystem.....	32
1.3 Types of crises.....	37
1.4 Humanitarian action and other forms of assistance and protection .....	41
1.5 Contemporary humanitarian reform and review processes .....	46
1.6 Related international policy frameworks.....	52
1.7 Accountability .....	57
1.8 Vulnerability and resilience .....	63
Domain 2: Key Actors.....	66
Domain Outline .....	66
2.1 Crisis-affected people at the center .....	67
2.2 Governmental actors in crisis response .....	71
2.3 Key UN agencies .....	76
2.4 Red Cross and Red Crescent Movement.....	81
2.5 Non-governmental organizations in humanitarian action.....	84
2.6 Donors and funding mechanisms .....	90
2.7 Engagement with armed actors .....	95
2.8 Peacekeeping and political missions.....	100
Domain 3: Key Mechanisms and Processes.....	105
Domain Outline .....	105
3.1 UN-led humanitarian coordination mechanisms .....	106
3.2 NGO and RC/RC networks and coordination mechanisms.....	111
3.3 Humanitarian Programming Cycle.....	117
3.4 Standards and codes .....	120
3.5 Legal frameworks.....	125
3.6 Intergovernmental decision-making bodies.....	131
3.7 IT tools and platforms.....	136
Domain 4: The Shaping Environment.....	142
Domain Outline .....	142

4.1 External and internal pressures.....	143
4.2 Contemporary criticism.....	150

## Introduction

Responding to long-standing concerns about capacity issues across the humanitarian sector, the PHAP Credentialing Program combines the established and rigorous international standard for professional credentials with solutions that meet the specific needs of the humanitarian sector, structuring the program around a number of narrower certifications in specific competency areas. Certifications can provide a robust means for humanitarian practitioners to demonstrate competencies and for employers to know whether staff members or job candidates possess specific knowledge or skills, while reinforcing high standards of commitment and competence at the individual level. The three certifications launched in 2017 are in the areas of *Understanding the Humanitarian Ecosystem*, *International Legal Frameworks for Humanitarian Action*, and *Applying Humanitarian Principles in Practice*.

This Study Guide is designed to help you, as a PHAP Credentialing Program certification candidate for *Understanding the Humanitarian Ecosystem*, prepare for the certification assessment. It contains information and advice to help you maximize the value of the time that you are putting in to prepare.

Take note that this guide is not meant to serve as a comprehensive textbook. The focus is on highlighting the areas you should learn about if you are interested in applying for certification, as well as pointing you to recommended resources in order to do so.

The Study Guide has been developed independently from the PHAP Credentialing Program. No preparatory resource is endorsed by the Certification Commission nor is a prerequisite to earn PHAP Credentialing Program certifications. Nor, conversely, is there any guarantee that everything in the certification assessment is also covered in this Study Guide.

The Study Guide contains two main sections: an overview and guide for how to approach your preparations and a section with resources for each of the domains of the body of knowledge. We recommend all candidates to read the first section before proceeding to the domain-specific content.

## What is Certification?

The three credentials offered by the PHAP Credentialing Program are *certifications*. PHAP follows the usage in the leading international standard for certifying individuals.<sup>1</sup> The term certification is used for *voluntary* programs for recognition of *individuals* through an *independent assessment* (not requiring participation in any particular course) against a body of knowledge that is based in *confirmed actual practice* in a clearly defined area.

Certification is a form of *credentialing*. Other credentialing types you may have heard of that are distinct from certification include *licensure* (required for practicing in certain jobs, such as medicine) and *certificate programs* (based on assessment linked to participation in specific training or courses). You may have also heard the term *accreditation*, which under standard credentialing usage applies to organizations, not individuals.

While many certifications are full professional role certifications, others are for specific competency areas. The certifications currently offered by PHAP certify specific sets of competencies which are relevant to many humanitarian practitioners across the sector. But as

---

<sup>1</sup> ISO 17024 *Conformity assessment — General requirements for bodies operating certification of persons*

they do not cover *all* the competencies needed in humanitarian work, they do not certify in themselves that a person is a fully competent humanitarian practitioner.

Competencies include knowledge, skills, and abilities. The certifications currently available focus primarily on knowledge, and also on skills of applying that knowledge in different scenarios that require interpretation and problem solving skills.

The certification in *Understanding the Humanitarian Ecosystem* is designed for humanitarian practitioners for whom understanding the components and dynamics of the international humanitarian ecosystem is one of the required competencies in their work.

## Reasons for Earning PHAP credentials

Individuals surveyed or involved in the development of the PHAP Credentialing Program have expressed interest in certification for a variety of reasons. Chief among them is a personal commitment to their own accountability and that of the humanitarian sector. As a certificant, you commit yourself to a high professional standard in your work and an ongoing pursuit of knowledge and proficiency in your work.

While only awarded to individuals, PHAP Credentialing Program certifications can have an impact on the different stakeholders in humanitarian action, including:

### For people affected by crisis

- A robust way to improve accountability to crisis-affected people
- Provides a tool for building capacity across the humanitarian sector
- Reduces waste of limited resources

### For practitioners

- A robust method of demonstrating professionalism, commitment, knowledge, and skill
- Flexible choice of learning methods, including capturing on-the-job learning
- Possibility to have existing skills and knowledge recognized

### For organizations and agencies

- A flexible set of tools for recruitment and staff development
- Identify gaps and focus staff development resources where most needed
- A way to demonstrate organizational readiness and live up to commitments

### For training and education providers

- Relevant, up-to-date, practice-based body of knowledge for curriculum development
- Increase value of existing training and education offerings by adding trusted and robust assessments
- Provide motivation and recognition to course and training participants

## What is Required for Certification?

Before you begin preparing for the certification, it is important to ensure that you meet the qualifications.

In order to be eligible for a PHAP Credentialing Program certification, you must:

- Commit to abide by the PHAP Code of Ethics and Professional Conduct<sup>2</sup>
- Agree to participate in the continuing education program for maintaining the certification or to otherwise undertake a re-assessment at the end of the certification period, in order to maintain the credential
- Achieve a passing score in the proctored (invigilated) certification assessment

The certification assessment consists of 60 multiple-choice questions (MCQs). The MCQs are designed to measure candidate ability with regard to a specific area in the certification body of knowledge, and are of three main different types: *recall*, *interpretation*, and *problem solving*. Depending on the nature of the area in the body of knowledge, the mix of MCQs and level of difficulty will vary – for example, areas that ask for knowledge of facts are more likely to use recall questions, while areas that require judging a situation according to certain criteria would more likely use interpretation questions. It is important to note that the certification questions do not cover *all* of the knowledge in the domain, but are rather a sampling of the possible questions that could be asked. However, as you do not know which specific questions will be asked, you should prepare for each area in its entirety.

Each domain of the certification body of knowledge a certain percentage of the assessment, divided according to the relative importance determined for them in the certification job task analysis.

The assessments are delivered through a secure online system, which gives you the possibility to take the assessment at any time and from any place where you have a computer, an Internet connection, and a webcam. The assessments are proctored (invigilated).

It does **NOT** require participation in any particular preparatory course, nor does it require membership in PHAP.

Earning the certification requires making a firm commitment to dedicate the time required to achieve it and maintain it. Once you have confirmed that you are eligible and interested in seeking the certification, the next step should be self-assessment and planning. This is the topic of the next section.

## For More Information

- For more information about the PHAP Credentialing Program, visit <https://phap.org/credentialing-program>
- For detailed information about the certification requirements, assessment registration, policies, fees, and the entire certification process, refer to the **Candidate Handbook** on the PHAP website

---

<sup>2</sup> The PHAP Code of Ethics and Professional Conduct is available at <https://phap.org/code-of-ethics>

- For other questions, email the PHAP secretariat at [certification@phap.org](mailto:certification@phap.org)

# Creating and Executing Your Study Plan

## Planning Your Certification Assessment Study Path

Your existing experience and knowledge as well as your learning preferences and available time will influence how to best prepare for the certification assessment. There is more than one path to follow – and as the certification does not require any particular course, it is up to you to decide how you would like to prepare.

You may of course already have the knowledge required to pass the assessment. However, in most cases, candidates will benefit from refreshing their understanding of the area – it will give you the opportunity to solidify your long-term ability to recall information when needed, and also to deepen your knowledge on topics that you may only have dealt with cursorily in the past.

This section is designed to help you approach your preparation in a purposeful and planned manner. Take a few minutes with this section to discover the different resources that are available to you and how they can be used.

### What are Your Learning Preferences?

How do you prefer to learn new things? If you become interested in a new area of knowledge or skill – for example digital video editing – how do you approach it?

- a) Do an online search or get the latest book on video editing?
- b) Sign up for a course or workshop?
- c) Get in touch with a friend or colleague who you know is an expert in the area?
- d) Seek out other friends or colleagues who want to learn about video editing?
- e) Get the necessary software to start experimenting directly with video editing?

The one you are likely to gravitate towards is connected to your preferred way of learning:

- If *a)*, you are likely to prefer reading new material and reflect on how you relate to it before try it out in practice.
- If *b)*, this might indicate a preference for learning through organized and guided instruction from those already skilled in the area.
- If *c)*, you might prefer learning through observing best practice.
- If *d)*, your preference is likely for learning through an informal or formal study group.
- If *e)*, you are likely to prefer getting started and figuring out as you go.

None of these options are necessarily better than the other, nor are they mutually exclusive. It is, however, important to note that you are likely to have a preference for one or two of them – keep this in mind when planning your studying.

#### **Consider how this applies to you...**

Which of the options above did you choose and why? Do you think this is generally applicable to your learning preferences? (*Write down your response, to include in your study plan*)

## What We Know About How We Learn

How we best learn is a complex topic, and important new discoveries have been made in this area in the past decade. A few points are worth mentioning in this overview:

- It is clear that **last-minute cramming does NOT work**. While it might in some cases help you pass an assessment, but it will not help you with longer term understanding or retention.
- If you want to strengthen your long-term memory, and be able to recall information when needed, add new information gradually, and **repeat it at regular intervals**.
- Research also indicates that it is important *how* you repeat the material. Just repeating key points, while useful for initial learning, is of questionable value. Instead, **regularly recalling information is shown to be effective**. This can be through emulating a test environment and quizzing yourself (or having others quiz you), applying your knowledge through study questions, or thinking through the applicability of concepts in more complex real-world scenarios.

When preparing your study plan, try to include time for the gradual introduction of new information as well as opportunity for quizzing and discussion. Next we will be looking at resources to help you do so.

### Consider how this applies to you...

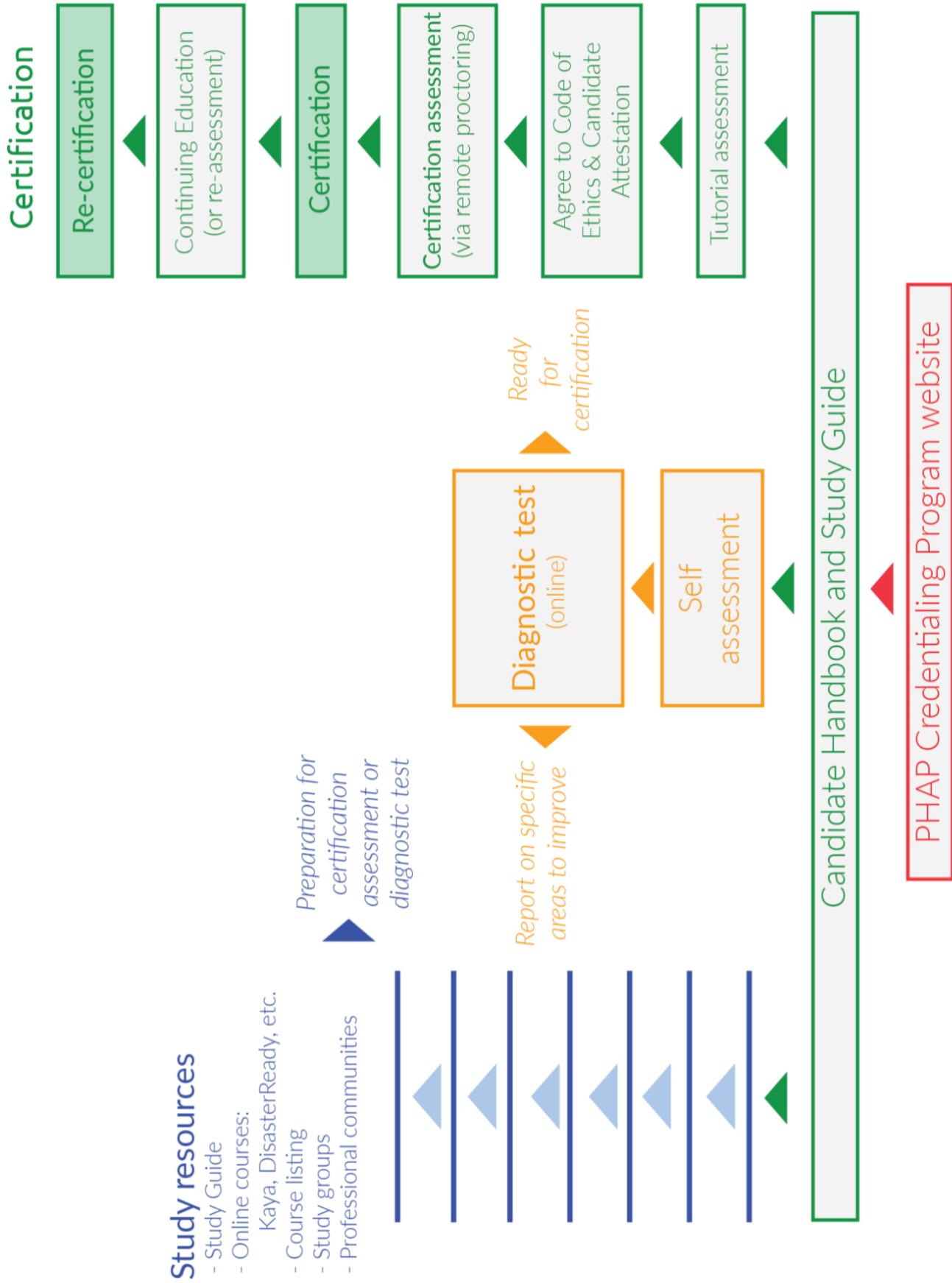
What do you think of the value of repeating material regularly? When planning your study schedule, how can you allocate sufficient time to practice recalling information? What methods will you use? (*Write down your response, to include in your study plan*)

## Study Resources

In order to help candidates prepare for the certification assessment, PHAP has made available a range of resources, which together with resources from partner organizations provide support for different ways of learning. It is important to note that none of these resources are required in order to qualify for the certification, nor are any of the certification assessment questions taken from any of these resources.

### Overview of resources available

A diagram showing the different resources available to you in your preparations is shown in *Figure 1*. It is recommended for all new candidates to first complete the self-assessment, followed by the online diagnostic tests, as described in more detail below. This will allow you to get an idea of whether you are ready to sit for the assessment or whether (and in what areas) you would need to strengthen your knowledge. However, this is not required – you can also access the study resources directly, or even attempt the assessment directly if you are convinced that you already have the necessary knowledge.



## Certification Body of Knowledge

At the center of the certification is the body of knowledge, based on a methodical and comprehensive practice analysis that investigated the competencies required in the specific area of the certification, in this case *Understanding the Humanitarian Ecosystem*. The body of knowledge is divided into four domains, each with between two and eight statements. Start by reading through the body of knowledge to familiarize yourself with the areas that will be assessed. You will find the body of knowledge in the self-assessment as well as at the beginning of Section 3.

## Resources to evaluate your starting point

### *Self-assessment*

The recommended starting point is to assess your existing knowledge in each of the areas of the certification body of knowledge. Use the tool in *Exhibit 1* to rate your own level of knowledge in each area, to the best of your ability. This self-assessment exercise is particularly valuable in combination with the Diagnostic Test (introduced in the next section), as the Diagnostic then provides an objective check on your own perceptions of your starting point. Moreover, the Diagnostic Test is not able to test all aspects of each area – your own perceptions are important for determining where you should focus your study.

### *Diagnostic test*

It is essential for you to compare your own existing knowledge against what is contained in the certification body of knowledge. PHAP has developed online Diagnostic Tests for all certifications under the PHAP Credentialing Program. The Diagnostic Tests can help diagnose how well you know the relevant body of knowledge, as well as help refresh your test-taking skills in general.

You have 75 minutes to complete the 50 questions of the Diagnostic Test (the official certification has 60 questions and allows 90 minutes). Upon completing the diagnostic test, you will be sent a customized report detailing your performance in each the four domains of the certification body of knowledge.

It is recommended to take this diagnostic test in an environment that simulates that of the invigilated/proctored official certification assessment.

- Try to find a private, calm environment where you will not be disturbed for the duration of the test.
- Do not look up answers to the questions or ask others for help during the test. In the official certification assessment, the online proctor (invigilator) will be monitoring to ensure that you do not have access to any unauthorized resources or assistance.
- The questions on both this diagnostic test and the official certification assessment have been carefully designed so that the incorrect answer options may sound plausible but there is only one best answer. For each question, select the best answer option available, to the best of your understanding.

The Diagnostic Test questions are drawn from a bank of questions, which will be further expanded over time. This means that you can re-take the diagnostic after studying in your identified weak areas to get an indication of how your knowledge has improved.

Exhibit 1: Self-Assessment

	Pre-existing knowledge				Diagnostic Test results: Area of particular focus?
	None	Some, but with gaps	Ok, but need refresher	Good	
<b>Domain 1: The Big Picture</b>					____ %
1.1 Identify approaches to describing the scope and defining characteristics of humanitarian action.					
1.2 Recognize how the current humanitarian ecosystem emerged, including key historical milestones and turning points.					
1.3 Identify the basic types of crisis that may call for humanitarian response and the essential differences between them, according to commonly used typologies.					
1.4 Identify key ways in which humanitarian action is distinct from, and connected to, other forms of assistance and protection.					
1.5 Identify key contemporary reform and review processes in the humanitarian ecosystem.					
1.6 Identify major contemporary international policy frameworks in related areas and their relevance for humanitarian action.					
1.7 Recognize the main forms of accountability among different stakeholders in the context of humanitarian action.					
1.8 Recognize how the concepts of vulnerability and resilience are used in the context of humanitarian action.					
<b>Domain 2: Key Actors</b>					____ %
2.1 Recognize the key ways in which crisis-affected people are both the focus of humanitarian action and play an active part in its planning, implementation, and assessment.					
2.2 Identify the key types of governmental actors (civilian and military) that are likely to be involved in domestic crisis response and typical divisions of responsibility among them.					
2.3 Identify the key UN agencies active in humanitarian action, their mandates, and their positions in the UN system.					
2.4 Recognize how the Red Cross and Red Crescent Movement emerged and identify the mandates of the International Committee of the Red Cross (ICRC), the International Federation of Red Cross and Red Crescent Societies (IFRC), and national Red Cross and Red Crescent Societies.					
2.5 Identify the key functional differences among non-governmental organizations involved in humanitarian action.					
2.6 Identify the main kinds of donors contributing to humanitarian action and the main types of funding mechanisms and relationships.					
2.7 Identify purposes for which humanitarian actors engage with armed actors, both State and non-State, in situations of international or non-international armed conflict.					
2.8 Identify the mandates and roles of peacekeeping and political missions in crisis response.					

<b>Domain 3: Key Mechanisms and Processes</b>					____%
3.1 Identify essential components, roles, and responsibilities of the UN-led humanitarian coordination mechanisms.					
3.2 Identify essential components, roles, and responsibilities of the main examples and types of NGO and Red Cross/Red Crescent networks and coordination mechanisms.					
3.3 Identify essential components of, and tools related to, the Humanitarian Programming Cycle.					
3.4 Identify key standards and codes for humanitarian action and their scope.					
3.5 Recognize the main international legal frameworks that apply to humanitarian action in situations of armed conflict and in other crisis situations.					
3.6 Identify the mandates of key intergovernmental decision-making bodies as they relate to humanitarian contexts.					
3.7 Identify the primary IT tools and platforms for humanitarian information management and coordination and their scope and purpose.					
<b>Domain 4: The Shaping Environment</b>					____%
4.1 Identify key enduring and emerging examples of political and related pressures and why they require consideration by humanitarian actors.					
4.2 Recognize the reasoning behind common contemporary criticisms of humanitarian action and actors.					

Note that relying only on simulated assessments is not the best way to increase knowledge and understanding. Use the Diagnostic Test to provide insight into the areas in which you should engage in additional study, and then use other methods to strengthen your capacities in those areas.

You can access the Diagnostic Test at <https://diagnostics.phap.org/s3/uhe>

The image displays two screenshots from the PHAP Diagnostic Test interface. The left screenshot shows a question: "Which of the following is a primary function of humanitarian action?" with four multiple-choice options (A, B, C, D). Below the question are "Back" and "Next" buttons and a progress bar showing 4%. The right screenshot is a diagnostic report titled "Understanding the Humanitarian Ecosystem" with a diagnostic date of 22 March 2017. It shows a total score of 26% (13 of 50) and a domain overview: Domain 1: The Big Picture (25%), Domain 2: Key Actors (19%), Domain 3: Key Mechanisms and Processes (29%), and Domain 4: The Shaping Environment (50%). The report also includes sections for "Preparing for your certification assessment" and "Why certification?" with a URL <https://phap.org/credentialing-program/UHE> and icons for Practice, Study, and Register.

## Self-study resources

### Study Guide

The Study Guide you are currently reading provides you with guidance for each of the domains and statements of the certification body of knowledge. For each statement, you are presented with key points and recommended resources, as well as study questions and scenarios.

With a few exceptions where motivated, all recommended resources in the Study Guide are freely available online.

Note that the Study Guide has been developed independently from the PHAP Credentialing Program and it neither is a required resource for certification nor guarantees to provide you with all information needed for the certification assessment.

### Humanitarian Leadership Academy: Kaya

Kaya ([kayaconnect.org](http://kayaconnect.org)) is a free online learning platform of the Humanitarian Leadership Academy, providing self-guided and blended learning opportunities to over 60,000 humanitarian volunteers and professionals worldwide. The Humanitarian Leadership Academy is a global learning initiative set up to facilitate partnerships and collaborative opportunities to enable people to prepare for and respond to crises in their own countries. The Academy supports the

needs of individuals, organisations and communities by facilitating access to learning resources, platforms and tools.

Resources available on Kaya are also marked in this guide with **k**

### *DisasterReady.org*

[DisasterReady.org](https://disasterready.org) is a free online learning portal built to increase the effectiveness of humanitarian and development workers around the world. DisasterReady offers personalized learning plans based on the PHAP Diagnostic Test and resources to help prepare for the UHE certification. Get started by signing up for a free account at DisasterReady.org. Already have an account? [Login](#) and navigate to the UHE page under Certifications.



Resources available on DisasterReady.org are also marked in this guide with 

## Courses and training

A number of humanitarian agencies, training providers, colleges, universities, and private companies offer study courses and materials that may be of use to candidates when preparing for PHAP Credentialing Program certification examinations. Some of these are freely available and others are paid. In order to facilitate for candidates to select a course, PHAP publishes a mapping of existing courses to the certification body of knowledge at <https://phap.org/credentialing-program/uhe>

Please note that the mapping is self-reported by the training providers. PHAP neither endorses the providers shown on the online list nor evaluates the providers or the providers' materials for consistency with certification body of knowledge.

Candidates must contact these other providers directly about materials, course schedules, fees, or matters related to satisfaction with their offerings.

## Professional communities

When preparing for certification assessment, you are likely to come across issues that would benefit from discussion with other practitioners. If your local network does not provide you with the advice and expertise you need, there are dedicated online professional communities that you can turn to.

If you are a PHAP member, The **PHAP Member Exchange** community is focused on the exchange of targeted professional advice among peers, following best practice in professional community management to provide a practical and dynamic information resource relevant to the day-to-day needs of humanitarian practitioners.

For less actively managed groups, there are several options on Facebook and LinkedIn. Some organizations focusing on specific technical specializations also have their own dedicated online communities.



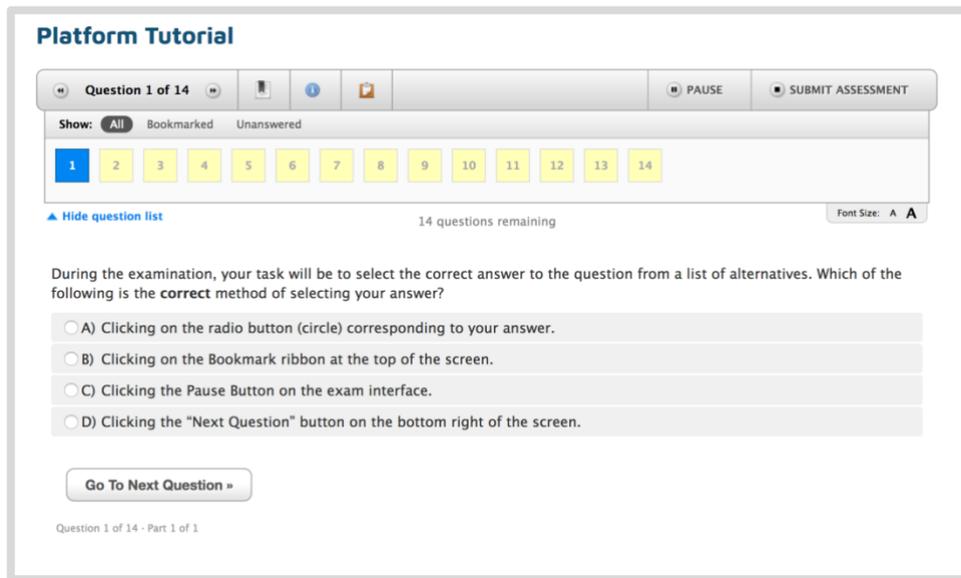
## Understanding the certification and assessment process

### *PHAP Credentialing Program Candidate Handbook*

If you think you are ready for the certification assessment, or would like to learn more about the specifics of the PHAP Credentialing Program certifications, PHAP provides a comprehensive Candidate Handbook, available at <https://phap.org/credentialing-program>

### *Tutorial assessment*

In order for you to be able to acquaint yourself with the testing platform used for the certification assessments, PHAP offers a tutorial assessment that you are able to take for free. This is available at the PHAP Certification Assessment Center after you create an account. (Note that the previously mentioned Diagnostic Tests are not delivered through the PHAP Certification Assessment Center, but through a different platform.)



### Consider how this applies to you...

Having had a quick overview of the available resources and tools, which are you planning to use, and at what stages of your preparations? (*Write down your response, to include in your study plan*)

## Creating a Personalized Study Schedule

The decision to pursue a PHAP Credentialing Program certification is a major commitment, made more difficult by conflicting priorities for how to allocate your time. To give yourself the best chance for success, your personal study plan should take into account a number of factors, in particular:

- How much you already know and how much you need to learn (based on the self-assessment and Diagnostic Test)
- Your learning preferences
- Your work commitments and schedule
- Your personal and family commitments
- Any eventual work or personal travel

Considering all the relevant factors, decide on the amount of time you can dedicate to preparations – whether through self-study, in a course, or in a study group. Allow more time than you expect you will need. If your calendar currently is packed, allow for a longer time period to prepare with fewer hours per week. Make sure that you focus most of your efforts on the areas that you have identified in the self-assessment, in the Diagnostic Test, or both.

Establish good study habits based on knowledge of your own preferences and history. Identify how you study, how much time you need to read and go through study questions, etc., and then decide on which resources to focus on and how much time you will need to spend. Try to commit the same amount of time every week to make it habitual. Build review time into your study schedule.

Keep track of your progress in writing. Writing things down helps us keep commitments to ourselves. Exactly how you do it is up to you, but some form of planning and tracking system is

strongly recommended. We provide you with a starting point in Exhibit 2 – use this as it is or modify it to suit your needs. We have allowed for 10 weeks of preparation in the template– you may need more, or less.

*Exhibit 2: Certification Preparation Schedule Planner*

<b>Weeks left</b>	<b>Calendar dates</b>	<b>Domain and statements</b>	<b>Resources</b>	<b>Available study time</b>	<b>Date completed</b>
10			Complete self-assessment Complete diagnostic test		
9					
8					
7					
6					
5					
4			Re-take diagnostic test to check on progress		
3					
2					
1			Re-read the Candidate Handbook Take the Tutorial Assessment		
0			Book and sit for your assessment		

## Participating in a Study Group

Although it is possible to study on your own for the assessment, many find that a combination of individual and group study helps them prepare more effectively. Self-study is critical, but a study group can help keep you on track, give you insights into areas you might not fully understand, and potentially lighten your study load when it is possible to distribute responsibilities among group members.

What makes a study group successful? Organizing a group can be challenging, but very rewarding if done well. Consider some of these tips when joining or establishing your group.

- A study group is generally small, but if well-organized can also be beneficial with larger numbers.
- Make an initial study group plan so everyone knows what to expect. You may not want to go through the topics in numerical order. A starting point is provided in Exhibit 3.
- Seek diversity among the group members – you will learn the most from having different perspectives on the studies topics. Consider whether you need the face-to-face interaction of a local group or whether you can organize your group virtually.
- Assign specific detailed readings to each person and have them share a content summary and insights with the rest of the group as basis for discussion. Assign areas to group members where they are relatively weak.
- Make sure to include enough time to discuss the study questions and scenarios in the guide. Ask group members to think of further scenarios from their professional experience to discuss in the group.
- Build in regular recall into the group sessions. Prepare questions on what you discussed in the last session and quiz each other.

*Exhibit 3: Certification Study Group Schedule Planner*

<b>Weeks left</b>	<b>Date</b>	<b>Domain and statements</b>	<b>Resources</b>	<b>Study leader</b>	<b>Notes</b>
10					
9					
8					
7					
6					
5					
4					
3					
2					
1					
0			Book and sit for your assessment		

## Approaches to the Domain Content

As you work your way through the Study Guide and the recommended material and other resources, consider the following tips:

- Start with examining each domain as a whole, looking at the overview of statements, and revisiting your self-assessment and Diagnostic Test results. Look at the recommended resources for the domain as a whole – are there any that would be relevant for you as a starting point?
- Next, focus on each domain in turn and consider each statement in that domain. Look through the key terms and concepts to re-evaluate where you may have gaps. Select resources to study accordingly. Keep in mind that the Study Guide is developed independently from the assessment – there is no guarantee that everything you need to know for the assessment is mentioned in the guide. Use your judgment – if something seems to be missing from the guide, consider finding additional resources on the topic.
- Don't use the study questions as the guide to what you should know, but rather as tools to help you practice recalling the knowledge you have already gained. Attempt the study and scenario questions after you have gone through your selected resources.
- For each resource, improve your comprehension by asking yourself first what you already know about the topic and what you want to find out. After finishing, ask yourself what you learned. Think actively about examples and real-world applications from your own experience. See if you can apply this learning to some aspect of your current work.
- Read purposefully. Ensure you fully understand the concepts being covered; memorizing is not sufficient for most content.
- Periodically quiz yourself on the content – return to the study questions of previous sections and use the Diagnostic Test again.

## Symbols used for recommended resources

 Webpage

 Report or other standalone document

 Journal article or book chapter

 News article

 Brief focusing on statistics

 Brief outline of main points

 Video or other recording

 Course

 Book

 Resource available on Kaya ([kayaconnect.org](https://kayaconnect.org))

 Resource available on [DisasterReady.org](https://DisasterReady.org)

# Domain 1: The Big Picture

The first domain of the body of knowledge for Understanding the Humanitarian Ecosystem covers *the totality of the actors and organisations involved in humanitarian work, the mechanisms and processes that connect them, and the wider environment that shapes their functioning.*

This domain constitutes 32% of the certification assessment.

## Domain Outline

*Humanitarian practitioners must be able to:*

- 1.1 Identify approaches to describing the scope and defining characteristics of humanitarian action.
- 1.2 Recognize how the current humanitarian ecosystem emerged, including key historical milestones and turning points.
- 1.3 Identify the basic types of crisis that may call for humanitarian response and the essential differences between them, according to commonly used typologies.
- 1.4 Identify key ways in which humanitarian action is distinct from, and connected to, other forms of assistance and protection.
- 1.5 Identify key contemporary reform and review processes in the humanitarian ecosystem.
- 1.6 Identify major contemporary international policy frameworks in related areas and their relevance for humanitarian action.
- 1.7 Recognize the main forms of accountability among different stakeholders in the context of humanitarian action.
- 1.8 Recognize how the concepts of vulnerability and resilience are used in the context of humanitarian action.

## General Recommended Reading and Resources

*Introductory courses: Kaya, BBR, Humanitarian U*

There are several online course offerings that provide a general introduction to humanitarian work. Often, these courses permit the learner to select and follow specific course topics as necessary. These courses cover a number of the specific outline topics within Domain 1 and Domain 2.

The Humanitarian Leadership Academy has grouped a number of course modules together into a “Humanitarian Essentials Pathway”, as aligned with the Core Humanitarian Competency Framework (CHCF).



### **Humanitarian Essentials**

Kaya – Humanitarian Leadership Academy

[phap.org/uhe-39JX](http://phap.org/uhe-39JX)

The Building a Better Response (BBR) e-learning course touches on many of the topics in the certification body of knowledge. If you need a comprehensive refresher on many of the basic topics, this is a good starting point.



## Building a Better Response

Humanitarian Academy at Harvard

[phap.org/uhe-QD6A](http://phap.org/uhe-QD6A)

Humanitarian U offers a “Core Professional Humanitarian Training” course in four modules, also on the Humanitarian Leadership Academy’s Kaya Platform.



## Core Professional Humanitarian Training

Humanitarian U

[phap.org/uhe-UZP3](http://phap.org/uhe-UZP3)

### *Pieces for reflection*

The following articles and reports take a big-picture look at the humanitarian ecosystem. While not geared towards learning about the practical functioning of the humanitarian ecosystem, they help provide an overview and set the tone for this challenging area.



### “What are the future challenges for humanitarian action?”

Kristalina Georgieva & Jakob Kellenberger (2011)

*International Review of the Red Cross, Vol. 93, No. 884, pp. 899-914*

[phap.org/uhe-UZPM](http://phap.org/uhe-UZPM)



### “Megatrends and the future of humanitarian action”

Elizabeth Ferris (2011)

*International Review of the Red Cross, Vol. 93, No. 884, pp. 915-938*

[phap.org/uhe-UZPM](http://phap.org/uhe-UZPM)



### Planning from the Future: Is the Humanitarian System Fit for Purpose?

Randolph C. Kent, Antonio Donini & Christina Bennett (November 2016)

*Planning from the Future project*

[phap.org/uhe-DHVC](http://phap.org/uhe-DHVC)

### *State of the Humanitarian System Report 2015*

ALNAP produces the State of the Humanitarian System Report every two years. This provides you with an overview of current trends and challenges related to the humanitarian ecosystem.



### State of the Humanitarian System Report 2015

Abby Stoddard *et al.* (October 2015)

ALNAP

[phap.org/uhe-QBJ3](http://phap.org/uhe-QBJ3)

### *Glossary of Humanitarian Terms*

Although not updated in recent years, ReliefWeb’s humanitarian glossary remains a very valuable reference when studying the different concepts used in the humanitarian context.



## **Glossary of Humanitarian Terms**

ReliefWeb (August 2008)

[phap.org/uhe-J3R6](http://phap.org/uhe-J3R6)

## 1.1 Scope and defining characteristics of humanitarian action

*Identify approaches to describing the scope and defining characteristics of humanitarian action.*

### Key Points and Concepts

*The term “humanitarian”* The term “humanitarian” is ambiguous, as there is no agreed definition or set of criteria.

Approaches to humanitarian action can generally be grouped into three categories:

*Different approaches*

- ❖ The “Dunantist” or “classical” approach, which holds a stricter interpretation of the core principles and places a greater emphasis upon independence from political agendas.
- ❖ The “rights-based approach” and other more recent approaches that embrace issues related to social justice, human rights, and inequality.
- ❖ The “Wilsonian” approach, whereby humanitarian actors have a more pragmatic relationship with (predominantly) Western government donors and military forces, accepting a level of coherence of action with their foreign policy aims, a position rejected by Dunantist approaches.

There are differing interpretations of the scope of objectives and activities of humanitarian action, reflecting the different mandates and missions of organizations:

*Scope and objectives*

- ❖ That humanitarian action should address underlying vulnerabilities and their causes;
- ❖ That humanitarian action should increase resilience (see section 1.8) to shocks and disaster preparedness;
- ❖ That humanitarian action should maintain a more limited focus on symptoms and immediate needs;
- ❖ That humanitarian action should aim to protect/defend the rights of people affected by crisis.

*“Humanitarian crisis”*

There are differing interpretations of the scope of what constitutes a “humanitarian crisis”: natural disasters, conflict situations of varying intensity, “complex emergencies,” and suffering/mortality linked to chronic situations or structural poverty. Note the key difference, for instance, in measures required to address malnutrition of a structural nature versus malnutrition caused by extraordinary circumstances.

*Humanitarian principles*

There are different approaches to and interpretation of the humanitarian principles and their application, in particular regarding the principle of neutrality.

<i>Different perspectives</i>	Perspectives of national and local responders to the preceding points 4 – 6, who tend to view the needs of people in a less sectoral fashion, versus a focus on immediate needs (subsistence).
<i>Major conceptual shift</i>	There have been recent major changes to the humanitarian paradigm, such as those proposed at the 2016 World Humanitarian Summit, especially in its relation to achievement of the Sustainable Development Goals.
<i>UNGA Resolutions 46/182 and 58/114</i>	<p>The UN General Assembly Resolution 46/182 (1991) does not directly define humanitarian assistance, but states that it “is of cardinal importance for the victims of natural disasters and other emergencies” and “must be provided in accordance with the principles of humanity, neutrality and impartiality”. At the same time, it highlights the sovereignty of states and that the “affected State has the primary role in the initiation, organization, coordination, and implementation of humanitarian assistance.”</p> <p>The view of the scope of humanitarian assistance shifted in the General Assembly with the adoption of Resolution 58/114 (2003), which had a greater focus on situations of armed conflict, added the principle of independence, and expressed a concern with the lack of access of humanitarian personnel.</p>

## Recommended learning resources

On the term “humanitarian” – interactive educational website based on a documentary about the Haiti earthquake and humanitarian work:



### “What is humanitarianism?”

Inside Disaster (2010)

[phap.org/uhe-RMU7](http://phap.org/uhe-RMU7)

On the term “humanitarian” – brief web page on definitions used for financial reporting:



### “Defining humanitarian assistance”

Global Humanitarian Assistance

[phap.org/uhe-6D3S](http://phap.org/uhe-6D3S)

On the definition of humanitarianism (see especially pp. 34-35 and Chapter 3):



### Time to let go: Remaking humanitarian action for the modern era

Christina Bennett *et al.* (2016)

*Humanitarian Policy Group*

[phap.org/uhe-XTPQ](http://phap.org/uhe-XTPQ)

---

On the rights-based approach (see especially sections 1.2, 2.1, and 2.2):



### **Human Rights and Humanitarian Action: A review of the issues**

James Darcy (2004)  
*HPG Background Paper, Humanitarian Policy Group*  
[phap.org/uhe-8XHA](http://phap.org/uhe-8XHA)

---

On traditional vs. rights-based humanitarian action and varying interpretations of the principles:



### **“Romancing Principles and Human Rights – Are Humanitarian Principles Salvageable?”**

Stuart Gordon & Antonio Donini (2016)  
*International Review of the Red Cross, Vol. 97, No. 897/898, pp. 77-109*  
[phap.org/uhe-9GGQ](http://phap.org/uhe-9GGQ)

---

On the “Wilsonian” approach to humanitarian action:



### **Humanitarian NGOs: challenges and trends**

Abby Stoddard (July 2003)  
*Humanitarian Policy Group Briefing, No. 12*  
[phap.org/uhe-D8KJ](http://phap.org/uhe-D8KJ)

---

On differing approaches to protection and advocacy (see subsection 4.5):



### **State of the Humanitarian System Report 2015**

Abby Stoddard *et al.* (October 2015)  
*ALNAP*  
[phap.org/uhe-QBJ3](http://phap.org/uhe-QBJ3)

---

On the Sustainable Development Goals (SDGs) in humanitarian action – from the UN Secretary-General’s proposal to the 2016 World Humanitarian Summit (see especially Core Responsibility Four):



### **One Humanity: Shared Responsibility**

Report of the Secretary-General for the World Humanitarian Summit (January 2016)  
*United Nations General Assembly, A/70/709*  
[phap.org/uhe-VU7C](http://phap.org/uhe-VU7C) (web-based summary) [phap.org/uhe-3RFU](http://phap.org/uhe-3RFU) (full report)

## **Additional learning and resources**

---

On the interpretation and application of the principles, and the differences in approaches to neutrality (especially chapters 3 and 4):



### **Humanitarian Ethics: A Guide to the Morality of Aid in War and Disaster**

Hugo Slim (2015)  
*C Hurst & Co Publishers Ltd*  
Purchase at [phap.org/uhe-ETKT](http://phap.org/uhe-ETKT)

## Study questions

1. Compare and contrast the “Dunantist” or “classical” approach and the Wilsonian approach, in particular in terms of their interpretation of the principles and in terms of the scope of activities. What are the key differences?
2. Describe the main features of the “rights-based approach” and how it differs from the “Dunantist” approach.
3. How do different humanitarian actors view their role in terms of underlying or root causes and problems?
4. Identify the main types of crisis and the degree to which they are accepted as humanitarian in nature.
5. How do humanitarian actors differ in their approach to the principle of neutrality?
6. What did the 2016 World Humanitarian Summit propose in terms of the relationship between humanitarian action and the SDGs?

## Scenario

The people of Kwizandland, one of the five poorest nations in the world, are mired in a crisis that has spanned two decades. There is an internal conflict, with attacks on civilians provoking waves of displacement and their attendant problems of access to shelter, healthcare, food and water. Rapid urbanization has led to expansive shanty towns surrounding the capital city, known for high levels of sickness and disease due to poor sanitation, low levels of education and the absence of government health facilities. Gender inequality in the country has led to schooling for only 20% of girls (one-third of the rate for boys); and climate change has led to desertification, poor harvests and chronic 6-8% acute malnutrition in children under five.

In response to the crisis, the UN disburses an additional \$50 million for humanitarian work. Three aid workers are standing waiting in a line to cross a checkpoint – a Dunantist, a champion of the rights-based approach, and a Kwizander who lives and works for a community-based organization in the slums of the capital. They get into an animated debate over what how the money can be spent, given that it is earmarked for humanitarian work only. What might their various positions sound like?

## 1.2 The emergence of the current humanitarian ecosystem

Recognize how the current humanitarian ecosystem emerged, including key historical milestones and turning points.

### Key Points and Concepts

<i>Cultural origins</i>	Origins in historical practices across cultures, such as Christian traditions of charity, Islamic duty of zakat, etc.
<i>Solferino</i>	<p>The 1859 Battle of Solferino, Henry Dunant, and the formation of the Red Cross.</p> <p>Major treaties in the establishment of international humanitarian law (IHL) (See also section 3.5):</p> <ul style="list-style-type: none"><li>❖ Adoption of the original Geneva Convention (1864) – focus on wounded and sick soldiers.</li><li>❖ Adoption of the key Hague Conventions (1899 and 1907) – focus on regulating the methods of warfare.</li></ul>
<i>Establishment of IHL</i>	<ul style="list-style-type: none"><li>❖ Adoption of the Four Geneva Conventions of 1949 – note that the fourth Geneva Convention relates to the protection of civilians during armed conflict.</li><li>❖ Adoption of the Additional Protocols I and II (1979) – note that the second additional protocol covers non-international armed conflict, thus filling a gap in the Geneva Conventions of 1949, which focus mainly on international armed conflict.</li></ul> <p>Key developments in the early 20th century:</p> <ul style="list-style-type: none"><li>❖ Building of international institutions (e.g., League of Nations).</li><li>❖ World War I, World War II, and the founding of key aid/humanitarian agencies (The League of Red Cross and Red Crescent Societies (later IFRC), Save the Children, Oxfam, CRS, CARE, IRC, etc.).</li></ul> <p>Key developments following World War II:</p> <ul style="list-style-type: none"><li>❖ Aid work – major resettlement of refugees and the large-scale Marshall Plan (U.S. government relief to Western Europe).</li><li>❖ Establishment of the United Nations.</li><li>❖ Codification of the main human rights instruments (e.g., Universal Declaration of Human Rights).</li><li>❖ Founding of Unicef, WHO, UNHCR and other specialized UN agencies.</li></ul>
<i>Early 20<sup>th</sup> century</i>	
<i>Post-WWII</i>	
<i>Cold War period</i>	<p>Cold War and decolonization period marks the emergence of many previously marginalized countries and the growth of international aid that targets the problem of “underdevelopment.” In the US, approval to create government aid agencies aimed at development and Western political liberties.</p>

<i>Humanitarian principles</i>	Red Cross formally adopts (1965) a set of fundamental principles, including humanity, impartiality, neutrality, and independence.
<i>Biafra</i>	The Nigeria - Biafra civil war and the massive, ICRC- and NGO-led response, seen by many as the birthplace of modern humanitarian action.
<i>MSF</i>	The founding of MSF (1971) and more generally the development of a more outspoken and political approach to humanitarian action.
<i>Mediatization</i>	Ethiopia famine and Band-Aid (1984): global fundraising and a new level of mediatization of humanitarian crisis.
<i>UNGA Resolution 46/182</i>	UN General Assembly Resolution 46/182 (1991), creating the Emergency Response Coordinator, Inter-Agency Standing Committee (IASC), Central Emergency Response Fund (CERF), and other key components of the UN-led architecture of the humanitarian ecosystem.
<i>Early 1990s</i>	Violent and often internal conflicts (rather than between States) in the first half of the 1990s with high levels of displacement, destruction, and civilian casualties (e.g., Angola, Sudan, Somalia, Sierra Leone, Liberia, Former Yugoslavia, Rwanda, Eastern Congo, Chechnya).
<i>Accountability</i>	Mounting criticism of the lack of accountability in humanitarian sector leads to formation of the Sphere Project, ALNAP, People in Aid in the late 1990s.
<i>Bahr el Ghazal Famine</i>	Bahr el Ghazal Famine in Sudan (1998) and the implementation of Operation Lifeline Sudan, a massive emergency food relief program at a time of civil war.
<i>“Humanitarian War”</i>	War in Kosovo, NATO military intervention explicitly justified on humanitarian grounds (1999).
<i>OCHA</i>	The UN Department for Humanitarian Affairs reorganized (1998) into the UN Office for the Coordination of Humanitarian Affairs (UN OCHA), with a greater set of responsibilities (see section 2.3).
<i>9/11 and counter-terrorism</i>	The September 11 attacks (2001) and their key consequences on humanitarian work: <ul style="list-style-type: none"> <li>❖ Highly public instrumentalization of humanitarian aid within the scope of Western military interventions in Afghanistan and Iraq.</li> <li>❖ Strengthening of jihadi ideology and increased targeting of both Muslim and “Western” entities and, often, civilians as a result.</li> </ul>

- ❖ Enactment of counter-terrorism legislation that also inhibits humanitarian work (see section 4.1).

<i>HAP</i>	Further approaches to self-regulation and accountability through the Humanitarian Accountability Partnership (HAP) in the early 2000s
<i>West Africa SEA report</i>	UNHCR and Save the Children report on sexual exploitation and abuse by aid workers and peacekeepers in West Africa (2001).
<i>Indian Ocean tsunami (2004)</i>	2004 Indian Ocean tsunami response reveals shortcomings in humanitarian sector, particularly with coordination, responsiveness and effectiveness
<i>Humanitarian Reform</i>	Humanitarian Reform and birth of the Cluster System (2005) (see section 1.5)
<i>Haiti earthquake (2010)</i>	Major earthquake in Haiti (2010) again reveals shortcomings in humanitarian sector, particularly regarding coordination, responsiveness, and effectiveness; earthquake response also includes responses from a large number of actors outside of the formal “system.”
<i>PHAP</i>	Establishment of the International Association of Professionals in Humanitarian Assistance and Protection (PHAP) (2010)
<i>“Non-traditional” humanitarian actors</i>	Emergence and/or growing awareness of humanitarian work and funding by non-Western nations or organizations (late 2000s-early 2010s).
<i>Transformative Agenda</i>	IASC launches Transformative Agenda to strengthen humanitarian responsiveness and performance (2011) (see section 1.5).
<i>European Migrant Crisis</i>	European Migrant Crisis (beginning 2015) brings humanitarian crisis and response into Europe and highlights the record global levels of internal displacement and international flight
<i>World Humanitarian Summit</i>	First ever World Humanitarian Summit takes place in May 2016 and leads to major commitments that have the potential to become milestones in the history of humanitarian action.

## Recommended learning resources

---

Overview of the history of humanitarianism – interactive educational website based on a documentary about the Haiti earthquake and humanitarian work:



### “A history of humanitarianism”

Inside Disaster (2010)

[phap.org/uhe-3PCL](http://phap.org/uhe-3PCL)

---

On the origins of the humanitarian ecosystem and its history up until the end of the 20<sup>th</sup> century:



### A history of the humanitarian system: Western origins and foundations

Eleanor Davey, John Borton & Matthew Foley (2013)

*Humanitarian Policy Group Working Paper*

[phap.org/uhe-FGQV](http://phap.org/uhe-FGQV)

---

For a brief overview of the main points in the history of humanitarian action:



### The Humanitarian Sector

Transforming Surge Capacity

[phap.org/uhe-PCQP](http://phap.org/uhe-PCQP)

---

For a brief overview of the history of humanitarian coordination mechanisms since the end of the 20<sup>th</sup> century:



### Humanitarian Coordination

Advanced Training on Humanitarian Action (ATHA)

[phap.org/uhe-F3GQ](http://phap.org/uhe-F3GQ)

---

Interactive timeline of key events in the history of the International Committee of the Red Cross (ICRC):



### 150 Years of Humanitarian Action: Photos Past and Present

International Committee of the Red Cross (ICRC)

[phap.org/uhe-UU9E](http://phap.org/uhe-UU9E)

---

Timeline on Wikipedia with an alternative selection of key events:



### “Timeline of events in humanitarian relief and development”

Wikipedia

[phap.org/uhe-AZJW](http://phap.org/uhe-AZJW)

---

A more detailed timeline covering key developments over the past 20 years:



### Timeline developed for the 31<sup>st</sup> Annual Meeting of ALNAP

ALNAP

[phap.org/uhe-3A9C](http://phap.org/uhe-3A9C)

## Study questions

1. Give examples of how specific humanitarian crises led to or reinforced key changes in humanitarian practice.
2. Discuss the major historical influences on humanitarian action in the early 20th Century (pre-WWII).
3. What are some of the key UN components of the humanitarian ecosystem and roughly when did they come into existence? (See section 2.3 for more information)
4. Briefly describe Henri Dunant's role in the establishment of modern humanitarianism.
5. What are examples of historical or cultural practices and values that helped shape humanitarian approaches but are not necessarily considered humanitarian action?
6. What are the key Geneva Conventions and when did they come into existence?
7. Give examples of events from the 1990s that helped shape humanitarian action as it is today.
8. What are the major UN reforms enacted over the past 15 years?

## Scenario

The same scenario as in 1.1, above. The same checkpoint. The same three aid workers. As they tire from their argument over what does and does not constitute humanitarian assistance, the Dunantist asks another question: "What two or three events have done the most to shape the modern humanitarian movement?". Discuss potential answers (not necessarily based on their humanitarian approach).

## 1.3 Types of crises

*Identify the basic types of crisis that may call for humanitarian response and the essential differences between them, according to commonly used typologies.*

### Key Points and Concepts

<i>Type of context</i>	<p>The basic types of crisis are often defined with reference to a type of context:</p> <ul style="list-style-type: none"><li>❖ Armed conflict situations (man-made crisis)</li><li>❖ Natural hazard and natural disaster, including geophysical events (e.g., earthquake), storms, and epidemics</li><li>❖ Complex emergency, defined by the IASC as a humanitarian crisis which occurs in a country, region, or society where there is a total or considerable breakdown of authority resulting from civil conflict and/or foreign aggression, requiring an international response beyond the mandate or capacity of any single agency and intensive and extensive political and management coordination.</li></ul>
<i>Crisis onset</i>	<p>There is sometimes a distinction between slow-onset (e.g., famine) and rapid-onset emergencies (e.g., earthquake).</p>
<i>Stages</i>	<p>Crises may be defined with reference to stages, such as post-conflict, transitional, etc.</p>
<i>Triggers</i>	<p>Crises may be defined in reference to certain ‘triggers’ or thresholds, such as the CMR – crude mortality rate.</p>
<i>Drivers/ characteristics</i>	<p>The type of crisis may also be defined by the primary drivers or identifying characteristics of the crisis, such as a refugee crisis, protection crisis, or food crisis.</p>
<i>L3 emergencies</i>	<p>OCHA’s and the UN system’s designation of the crisis plays a key role in determining the shape of the international intervention, with an “L3” (“Level 3”) emergency mandating a special response (see section 3.1).</p>
<i>Classifications in IHL</i>	<p>Classification in international humanitarian law (IHL) is important for determining the applicable law, i.e., whether or not the crisis is recognized as one of armed conflict, and how that conflict is defined – international vs non-international armed conflict.</p>
<i>Humanitarian principles</i>	<p>Criticism that these labels do not necessarily correspond to the needs of crisis-affected populations (see sections 1.7, 4.1, and 4.2)</p>

## Recommended learning resources

---

For a useful overview of basic definitions and examples of crises targeted to those reporting on crises (see pp. 20-25):



### **Reporting on Humanitarian Crises: A Manual for Trainers & Journalists and an Introduction for Humanitarian Workers**

Internews Center for Innovation & Learning (2014)

[phap.org/uhe-LQM4](http://phap.org/uhe-LQM4)

---

For an overview of the concepts of natural disasters, man-made disasters, and complex humanitarian emergencies (see sections 4 and 5):



### **Humanitarian Context, System and Standards**

Humanitarian U

[phap.org/uhe-F3GG](http://phap.org/uhe-F3GG)

---

For a basic overview of types of crises:



### **What is a Humanitarian Emergency?**

Humanitarian Coalition

[phap.org/uhe-E2SL](http://phap.org/uhe-E2SL)

---

For an audio recording providing a basic overview of different types of crises:



### **Humanitarian Crisis**

Audiopedia

[phap.org/uhe-9Z7H](http://phap.org/uhe-9Z7H)

---

A brief web page on the distinction between natural, man-made, and complex emergencies:



### **“What is a humanitarian emergency?”**

World Vision International

[phap.org/uhe-TJ5N](http://phap.org/uhe-TJ5N)

---

For a typology of different kinds and definitions of complex emergencies:



### **“Complex Emergencies”**

The Robert S. Strauss Center, University of Texas

[phap.org/uhe-3M7Z](http://phap.org/uhe-3M7Z)

---

On slow- and rapid-onset emergencies (see paragraphs 1-9):



### **OCHA and slow-onset emergencies**

OCHA (April 2011)

*OCHA Occasional Policy Briefing Series, No. 6*

[phap.org/uhe-5V88](http://phap.org/uhe-5V88)

---

For L3 emergencies and their consequences for international humanitarian response:



### **Humanitarian System-Wide Emergency Activation: definition and procedures**

Inter-Agency Standing Committee (IASC) (April 2012)

*IASC Transformative Agenda Reference Document, PR/1204/4078/7*

[phap.org/uhe-VHV6](http://phap.org/uhe-VHV6)

## Primary resources

---

Regarding the IASC definition of a “complex emergency”:



### **Definition of Complex Emergencies**

Inter-Agency Standing Committee (IASC) (30 November 1994)

*IASC Working Group, XVI<sup>th</sup> Meeting*

[phap.org/uhe-XAXH](http://phap.org/uhe-XAXH)

## Study questions

1. In what key way does responding to a crisis caused by a natural disaster differ from responding to a conflict situation?
2. What are the key components of a typical refugee crisis, providing some contemporary examples?
3. What does the “L3” or “Level 3” emergency designation signify?
4. What are the main types of conflicts as defined in international humanitarian law (IHL)? What implications do the definitions have?
5. Describe the defining characteristics of a “complex emergency.”

## Scenario

Long-simmering ethnic tension and inter-militia violence has once again exploded in the impoverished east of Kabemba, where the killings, burning and pillaging of villages, systematic rape, and forced conscription of child soldiers has forced large numbers of poor farmers to flee their homes, often multiple times. A “forgotten” crisis, Kabemba receives low levels of

international aid. Most internally displaced persons (IDPs) live in unsanitary, cramped conditions with relatives in nearby villages, while a smaller number have constructed makeshift huts on the outskirts of towns. That said, the IDP and local population is resilient and has adapted to this ongoing pattern of deprivation. As if the situation was not bad enough, a yellow fever outbreak has reached epidemic levels, affecting the entire area.

Discuss the different ways in which this crisis might be characterized, in terms types of crisis.

## 1.4 Humanitarian action and other forms of assistance and protection

*Identify key ways in which humanitarian action is distinct from, and connected to, other forms of assistance and protection.*

### Key Points and Concepts

	<p>The key similarity/differences in objectives (roles and responsibilities), methodologies, programmatic activities, and delivery mechanisms, between humanitarian action and the following:</p>
<i>Related activities</i>	<ul style="list-style-type: none"><li>❖ Development (see section 4.1)</li><li>❖ Rehabilitation/transition</li><li>❖ Relief and protection by armed actors, particularly peacekeeping interventions</li><li>❖ Peacebuilding, reconciliation</li><li>❖ Human rights</li><li>❖ Assistance delivered by the State to its affected communities; or delivered directly by teams from other States, or by the private sector, etc.</li></ul>
<i>DRR and resilience</i>	<p>Disaster Risk Reduction (DRR) and the more recent advent of the concept of “resilience,” and how these fit (or not) into current humanitarian strategies (see also section 1.8).</p>
<i>Comprehensive approach</i>	<p>The main arguments for and against the “integrated framework” or “comprehensive approach” to achieve peace and stability, and its emphasis on whole-of-mission coherence and coordination.</p>
<i>Stabilization</i>	<p>Relationship between humanitarian action and aid interventions based on the “stabilization” or “fragile State” agendas.</p>
<i>Non-linearity of crises</i>	<p>Current thinking that rejects the idea that crises evolve in a linear fashion, along a continuum, or that contexts can be defined by one single status, in favor of an understanding that crisis situations require a mix rather than a sequence of approaches to address the needs of people.</p>
<i>Distinction of funding</i>	<p>Government funding for humanitarian work is often maintained separately from development aid, and governed by rules designed to shield it from political motivations.</p>
<i>New Way of Working</i>	<p>In an effort to bridge the humanitarian-development divide and create a greater “nexus” between the two modes of working, various agencies have begun elaborating and putting into practice a “New Way of Working,” in particular aiming to ensure that long-term (development) needs are addressed from the very beginning of a</p>

crisis. Increasingly, peace-building activities are included in these policy discussions, in what is sometimes referred to as the “triple nexus.”

## Recommended learning resources

For a brief overview of the differences and similarities of humanitarian action and development, human rights conflict prevention and peacebuilding:



### **International Assistance and Interventions**

Advanced Training on Humanitarian Action (ATHA)

[phap.org/uhe-YUCA](http://phap.org/uhe-YUCA)

Overview of the relationship between humanitarian action and development assistance:



### **Relationship between humanitarian and development aid**

Roisin Hinds (2015)

*GSDRC Helpdesk Research Report*

[phap.org/uhe-XNFB](http://phap.org/uhe-XNFB)

Regarding humanitarian action and human rights (especially sections 1.2 and 2.1):



### **Human Rights and Humanitarian Action: A review of the issues**

James Darcy (2004)

*Humanitarian Policy Group Background Paper*

[phap.org/uhe-8XHA](http://phap.org/uhe-8XHA)

Regarding humanitarian relief, rehabilitation, and development, as well as the issue of linearity (especially chapter 2):



### **Remaking the case for linking relief, rehabilitation and development**

Irina Mosel and Simon Levine (2014)

*Humanitarian Policy Group*

[phap.org/uhe-GA9R](http://phap.org/uhe-GA9R)

Further information on humanitarian relief, rehabilitation, and development, as well as the issue of linearity, with a focus on EU funded assistance:



### **Linking relief, rehabilitation and development: Towards more effective aid**

Valerie Ramet (July 2012)

*European Union, DG EXPO/B/PolDep/Note/2012\_74*

[phap.org/uhe-SZ5P](http://phap.org/uhe-SZ5P)

---

For a brief overview of the concept of disaster risk reduction (DRR) (see section 3):



### Cross-cutting themes and future directions

Humanitarian U

[phap.org/uhe-F3GY](http://phap.org/uhe-F3GY)

---

Regarding humanitarian action, fragile States, and stabilization (especially sections 1 and 2):



### States of fragility: stabilisation and its implications for humanitarian action

Sarah Collinson, Samir Elhawary & Robert Muggah (2010)

*Humanitarian Policy Group Working Paper*

[phap.org/uhe-64FF](http://phap.org/uhe-64FF)

---

Regarding humanitarian action, peacekeeping, and UN integration (especially the Executive Summary):



### UN Integration and Humanitarian Space

Victoria Metcalfe, Alison Giffen & Samir Elhawary (2011)

*Humanitarian Policy Group*

[phap.org/uhe-ZYVG](http://phap.org/uhe-ZYVG)

---

Regarding the “New Way of Working”:



### New Way of Working

OCHA Policy Development and Studies Branch (2017)

[phap.org/uhe-AJU1](http://phap.org/uhe-AJU1)

---

Regarding the “New Way of Working,” with a particular focus on its implications for humanitarian NGOs:



### New Way of Working: What does it mean for NGOs?

ICVA & PHAP (2017)

*Learning Stream on Humanitarian Coordination*

[phap.org/uhe-AYU3](http://phap.org/uhe-AYU3)

## Primary resources

---

Further information regarding peacekeeping (especially sections 2.5 and 7.2):



### United Nations Peacekeeping Operations, Principles and Guidelines

United Nations Department of Peacekeeping Operations and Department of Field Support (2008)

[phap.org/uhe-HMY3](http://phap.org/uhe-HMY3)

---

Regarding “siloeed” approaches, the humanitarian-development divide, and the tension between short-term (humanitarian) and long-term (development) goals (see especially Core Responsibility Four):



### **One Humanity: Shared Responsibility**

Report of the Secretary-General for the World Humanitarian Summit (January 2016)

*United Nations General Assembly, A/70/709*

[phap.org/uhe-VU7C](http://phap.org/uhe-VU7C) (web-based summary) [phap.org/uhe-3RFU](http://phap.org/uhe-3RFU) (full report)

---

Regarding disaster risk reduction (apart from recommended page, it is recommended to acquaint yourself with other resources on the site):



### **“What is disaster risk reduction?”**

*UN Office for Disaster Risk Reduction (UNISDR)*

[phap.org/uhe-587D](http://phap.org/uhe-587D)

## **Additional learning and resources**

---

Further info regarding disaster risk reduction and humanitarian action (especially sections 1.2 and 1.3):



### **Disaster Risk Reduction**

John Twigg (2015)

*Humanitarian Policy Group, Good Practice Review 9*

[phap.org/uhe-SNRL](http://phap.org/uhe-SNRL)

---

The ECHO explanation of disaster risk reduction:



### **ECHO Factsheet: Disaster Risk Reduction**

European Commission Humanitarian Aid and Civil Protection (2016)

[phap.org/uhe-7V6R](http://phap.org/uhe-7V6R)

## **Study questions**

1. How is humanitarian action different from human rights work? How is it complementary?
2. Describe in general terms the humanitarian – development “divide” or “nexus”? What are the main criticisms of it? (See also section 4.1)
3. Compare and contrast humanitarian action with development work. Identify the key consistencies/differences at the programmatic or operational level.
4. What is the role of peacekeepers and national militaries in delivering assistance and protection? Does context matter (e.g., whether it is a conflict situation or a natural disaster)?

5. How does humanitarian protection differ from the protection provided by armed actors, such as police, international peacekeepers, or national militaries?
  
6. During an international armed conflict, the foreign military forces carry out food distribution to people affected by the conflict. Assuming that it meets all of the relevant quality standards, is the foreign military engaged in humanitarian action? If not, why?

## Scenario

Kalamatis is a tropical nation marked by authoritarian political structures, chronic poverty, and a long-running conflict that is usually low-intensity, but on occasion flares up to open civil warfare. There is therefore already a wide range of international actors present in the country when a major earthquake strikes that results in massive destruction, loss of life, and pronounced shortages of food, shelter, water, and healthcare.

Identify four forms of assistance that are related to, but distinct from, humanitarian aid and that would likely exist in Kalamatis. What factors would lead you to expect them to be present?

## 1.5 Contemporary humanitarian reform and review processes

*Identify key contemporary reform and review processes in the humanitarian ecosystem.*

### Key Points and Concepts

<i>Outcomes of the WHS</i>	<p>The main findings and commitments of the World Humanitarian Summit:</p> <ul style="list-style-type: none"><li>❖ The World Humanitarian Summit’s “Grand Bargain”.</li><li>❖ The findings of the World Humanitarian Summit’s high-level panel on humanitarian financing.</li><li>❖ Goals and commitments related to the “localization” of humanitarian response.</li><li>❖ Goals and commitments of governmental actors in terms of respect for international humanitarian law (IHL).</li></ul>
<i>Transformative Agenda</i>	<p>The main contours of the 2011 IASC-led UN Transformative Agenda, which aimed to ensure accountability to crisis-affected populations through improvements in the predictability, planning, and decision-making of humanitarian response:</p> <ul style="list-style-type: none"><li>❖ Empowered leadership</li><li>❖ System-wide Activation of Level 3 Response (see section 3.1)</li><li>❖ Humanitarian Program Cycle (HPC) (see section 3.3)</li><li>❖ Further strengthening of the Cluster coordination (see section 3.1)</li></ul>
<i>Humanitarian Reform</i>	<p>The main contours of the 2005 IASC-led UN Humanitarian Reform, including the establishment of the Cluster System. The reforms aimed to simplify processes and mechanisms in order to improve inter-agency communication and collaboration, from the immediate response to longer-term planning.</p>
<i>HIPPO</i>	<p>The main findings of the UN’s high-level independent panel on peace operations (HIPPO), which identified a gap between what is being asked of UN peacekeepers and realistically what they can deliver.</p>
<i>Whole of System Review</i>	<p>The main findings of the independent whole of system review of the role of protection in the context of humanitarian action, which found among other shortcomings a poor understanding among UN personnel of their role in terms of protection.</p>
<i>Human Rights up Front</i>	<p>The purpose and main contours of the UN’s Human Rights up Front initiative (2013), designed to ensure that the UN prevents and responds to large-scale human rights violations.</p>

<i>New Way of Working</i>	This process aims to bridge the humanitarian-development divide (or more recently the humanitarian-development-peace divide) (see section 1.4).
<i>Cash transfer programming</i>	The advent and increased use, where appropriate conditions exist, of cash transfers/cash-based programming, to replace distribution of goods and services and to provide people with the dignity of making their own choices.
<i>Gender-based violence</i>	The main contours of the UN's efforts to mainstream gender-based violence responses.

## Recommended learning resources

On the commitments made at the World Humanitarian Summit in 2016:



### **Commitments to Action**

World Humanitarian Summit (2016)

[phap.org/uhe-LM2Z](http://phap.org/uhe-LM2Z)

On the Grand Bargain process, with a focus on its impact for NGOs:



### **The Grand Bargain and its impact for NGOs**

ICVA & PHAP (March 2017)

[phap.org/uhe-LZKU](http://phap.org/uhe-LZKU)

A webinar on IASC and other global coordination mechanisms, including the processes that led to their creation:



### **The IASC and the global humanitarian coordination architecture**

ICVA & PHAP (2017)

*Learning Stream on Humanitarian Coordination*

[phap.org/uhe-AYU4](http://phap.org/uhe-AYU4)

On the work of the High Level Panel on Humanitarian Financing (especially the Executive Summary):



### **Too important to fail: addressing the humanitarian financial gap**

High Level Panel on Humanitarian Financing (January 2016)

*Report to the Secretary-General*

[phap.org/uhe-3KGF](http://phap.org/uhe-3KGF)

---

Regarding the reform of UN peace operations (especially the Summary):



**Report of the High-level Independent Panel on Peace Operations on uniting our strengths for peace: politics, partnership and people**

UN General Assembly and Security Council (2015)

*A/70/95-S/2015/446*

[phap.org/uhe-9D9K](http://phap.org/uhe-9D9K)

---

On the Whole of System Review of protection (especially the Executive Summary and chapter 13):



**Independent Whole of System Review of Protection in the Context of Humanitarian Action**

Norah Niland *et al.* (May 2015)

*Commissioned by NRC on behalf of IASC and the Global Protection Cluster*

[phap.org/uhe-KR28](http://phap.org/uhe-KR28)

---

A brief summary of the UN's Human Rights up Front initiative:



**Human Rights up Front: A summary for staff**

United Nations

[phap.org/uhe-M3BD](http://phap.org/uhe-M3BD)

---

On L3 emergencies as part of the Transformative Agenda and their consequences for international humanitarian response (especially sections 1 and 2):



**Humanitarian System-Wide Emergency Activation: definition and procedures**

Inter-Agency Standing Committee (IASC) (April 2012)

*IASC Transformative Agenda Reference Document, PR/1204/4078/7*

[phap.org/uhe-VHV6](http://phap.org/uhe-VHV6)

---

On “Empowered Leadership” as part of the Transformative Agenda (especially section 1):



**Concept Paper on ‘Empowered Leadership’**

Inter-Agency Standing Committee (IASC) (2015)

*IASC Transformative Agenda Reference Document PR/1204/4069/7*

[phap.org/uhe-NSV2](http://phap.org/uhe-NSV2)

---

On the strengthened Cluster coordination as part of the Transformative Agenda (especially section 1):



**IASC Reference Module for Cluster Coordination at the Country Level**

Inter-Agency Standing Committee (IASC) (revised July 2015)

*IASC Transformative Agenda Reference Document PR/1204/4069/7*

[phap.org/uhe-TDNM](http://phap.org/uhe-TDNM)

---

Regarding cash transfer programming – a three-minute introductory video:



**Cash transfer programming - an introduction**

Cash Learning Partnership (2014)

[phap.org/uhe-879A](http://phap.org/uhe-879A)

---

On the IASC's work on integrating responding to gender-based violence into humanitarian response (especially pp. 1-17). Online training on the guidelines available on the same site:



**Guidelines for Integrating Gender-based Violence Interventions into Humanitarian Action**

Inter-Agency Standing Committee (2015)

[phap.org/uhe-3W5C](http://phap.org/uhe-3W5C)

## Primary resources

---

The Grand Bargain commitments as presented at the World Humanitarian Summit:



**The Grand Bargain – A Shared Commitment to Better Serve People in Need**

World Humanitarian Summit (2016)

[phap.org/uhe-KUHM](http://phap.org/uhe-KUHM)

---

Learning and discussion session on three aspects of the Grand Bargain process – localization, reporting requirements, and the humanitarian-development “nexus”:



**Grand Bargain and its impact for NGOs**

PHAP & ICVA (March 2017)

*Learning Stream on Humanitarian Financing*

[phap.org/uhe-9KFD](http://phap.org/uhe-9KFD)

## Additional learning and resources

---

Overview of accountability standards and links to other standards areas (see especially pp. 2-4):



**Initial note for discussion for the World Humanitarian Summit Humanitarian Effectiveness Thematic Team Focus Area: Standards**

Alex Jacobs (January 2015)

[phap.org/uhe-AJUV](http://phap.org/uhe-AJUV)

---

A useful list of other related international agreements and policies, with emphasis on protection and legal frameworks:



**Key documents that inform the Humanitarian Charter**

Humanitarian Charter and Minimum Standards in Humanitarian Response

[phap.org/uhe-7KUJ](http://phap.org/uhe-7KUJ)

---

On the SDGs:



**The Sustainable Development Goals: An overview of relevant OECD analysis, tools and approaches**

Organization for Economic Co-operation and Development (OECD) (2015)

[phap.org/uhe-QHCE](http://phap.org/uhe-QHCE)

---

Useful overview regarding localization and how international organizations relate to local ones:



**What future role for local organizations? A reflection on the need for humanitarian capacity-building**

François Audet (2011)

*International Review of the Red Cross*, Vol. 93, No. 884, pp. 1151-1164

[phap.org/uhe-Q3DJ](http://phap.org/uhe-Q3DJ)

---

On initiatives to “professionalize” humanitarian action:



**Fit for purpose: the role of modern professionalism in evolving the humanitarian endeavour**

Peter Walker & Catherine Russ (2011)

*International Review of the Red Cross*, Vol. 93, No. 884, pp. 1193-1210

[phap.org/uhe-Q3DJ](http://phap.org/uhe-Q3DJ)

## Study questions

1. What were the main objectives and proposed changes set forth in the 2005 UN Reform?
2. What were the main objectives and proposed changes set forth in the 2011 Transformative Agenda?
3. Identify the main commitments made at the World Humanitarian Summit with regard to localization.
4. Identify the main commitments made at the World Humanitarian Summit with regard to humanitarian financing.
5. What is cash transfer programming? Describe the primary rationale behind it.
6. What were the main findings of the Whole of System Review of humanitarian protection?

## Scenario

You work as the Financial Director of the international secretariat of a major international humanitarian NGO. The Board of Directors has asked for a meeting to discuss with you the latest draft of the next five-year strategy. In the course of this discussion, several members of the Board become concerned about your plans to invest significant financial resources in five identified partner organizations, national NGOs located in the global south. This is one of three top priorities in your strategy, and it seems the Board might vote against it. On the table, your phone buzzes and you find the following text message from your boss, the International Secretary General, who is sitting across the room: “Hey. I just realized that nobody here knows anything about the World Humanitarian Summit. I’ll intro it, but can you explain the basics of the ‘Grand Bargain’ to them so that they will understand the rationale behind our investment in these local partners?” By the time you finish reading the message your boss has already started. What will you say?

## 1.6 Related international policy frameworks

*Identify major contemporary international policy frameworks in related areas and their relevance for humanitarian action.*

### Key Points and Concepts

The main points and/or purpose(s) of the following and their relevance to humanitarian action:

*Relevance of related frameworks*

- ❖ Sendai Framework for Disaster Risk Reduction, which outlines targets and priorities to prevent new disaster risks and mitigate existing ones.
- ❖ Paris Declaration on Aid Effectiveness and the Accra Agenda for Action (2008), in particular the enunciation of the primary responsibility lying with the affected State.
- ❖ Kyoto Protocol (1997) and the Paris Agreement on Climate Change (2016), which aim to reduce greenhouse gas emissions and their attendant contribution to global warming.
- ❖ Responsibility to Protect (R2P) doctrine, by which States underlined their sovereign responsibility to protect people from atrocities, genocide, etc., and empowered the UN Security Council to employ a range of measures to protect people when sovereign powers fail in this responsibility.
- ❖ International Health Regulations (2005), which aim to increase global health security and prevent the international spread of diseases.
- ❖ Sustainable Development Goals, which set out 17 global aspirations across sectoral themes, to be achieved by the year 2030.

*Regional and national mechanisms*

Note the trend towards an increasing number of regional and national disaster management mechanisms, policies or frameworks (e.g., AHA Centre, the ASEAN Coordinating Centre for Humanitarian Assistance on Disaster Management, the IFRC-led Pan American Disaster Response Unit (PADRU), Caribbean Disaster Emergency Management Agency (CDEMA))

### Recommended learning resources

For a brief overview of the concept of disaster risk reduction (DRR) (see section 3):



#### **Cross-cutting themes and future directions**

Humanitarian U

[phap.org/uhe-F3GY](http://phap.org/uhe-F3GY)

---

Regarding disaster risk reduction (apart from recommended page, it is recommended to acquaint yourself with other resources on the site):



**“What is disaster risk reduction?”**

UN Office for Disaster Risk Reduction (UNISDR)

[phap.org/uhe-587D](http://phap.org/uhe-587D)

---

The ECHO explanation of disaster risk reduction:



**ECHO Factsheet: Disaster Risk Reduction**

European Commission Humanitarian Aid and Civil Protection (2016)

[phap.org/uhe-7V6R](http://phap.org/uhe-7V6R)

---

Brief overview of the Accra Agenda for Action:



**The Accra Agenda for Action (AAA) Overview**

Organization for Economic Co-operation and Development (OECD) (2008)

[phap.org/uhe-XDMM](http://phap.org/uhe-XDMM)

---

On climate change and how it relates to humanitarian action:



**Climate change as a driver of humanitarian crisis and response**

Peter Walker, Josh Glasser & Shubhada Kambli (2012)

*Feinstein International Center*

[phap.org/uhe-M3UK](http://phap.org/uhe-M3UK)

---

An overview of the main implications of the Responsibility to Protect:



**The Responsibility to Protect: A Background Briefing**

Global Centre for the Responsibility to Protect (updated October 2015)

[phap.org/uhe-HCR3](http://phap.org/uhe-HCR3)

---

An overview of the main aspects and implications of the International Health Regulations:



**Frequently asked questions about the International Health Regulations (2005)**

World Health Organization (WHO) (2009)

[phap.org/uhe-Y5YH](http://phap.org/uhe-Y5YH)

---

A brief overview of the SDGs from OECD:



**The Sustainable Development Goals: An overview of relevant OECD analysis, tools and approaches**

Organization for Economic Co-operation and Development (OECD) (2015)

[phap.org/uhe-QHCE](http://phap.org/uhe-QHCE)

---

## Primary resources

---

The Sendai Framework:



### **Sendai Framework for Disaster Risk Reduction 2015-2030**

United Nations (2015)

[phap.org/uhe-CJ4K](http://phap.org/uhe-CJ4K)

---

The Paris Declaration (on aid effectiveness) and Accra Agenda for Action:



### **Paris Declaration and Accra Agenda for Action**

Organization for Economic Co-operation and Development (OECD)

[phap.org/uhe-TD4H](http://phap.org/uhe-TD4H)

---

The Paris Agreement (on climate change):



### **Adoption of the Paris Agreement**

UN Framework Convention on Climate Change (UNFCCC) (2015)

*FPCCC/CP/2015/L.9/Rev.1*

[phap.org/uhe-VUJB](http://phap.org/uhe-VUJB)

---

The outcomes of the 2005 World Summit, which included language on the Responsibility to Protect (especially paragraphs 138-139):



### **2005 World Summit Outcome**

UN General Assembly (2005)

*A/60/L.1*

[phap.org/uhe-NS4K](http://phap.org/uhe-NS4K)

---

The International Health Regulations:



### **International Health Regulations, 3<sup>rd</sup> edition**

World Health Organization (2005)

[phap.org/uhe-9E8D](http://phap.org/uhe-9E8D)

---

The Sustainable Development Goals (SDGs):



### **Transforming Our World: The 2030 Agenda for Sustainable Development**

UN General Assembly (2015)

*A/RES/70/1*

[phap.org/uhe-2NAC](http://phap.org/uhe-2NAC)

---

An important example of a regional coordination framework and how it relates to the international humanitarian ecosystem:



### **Disaster Response in Asia and the Pacific: A Guide to International Tools and Services**

OCHA ROAP

[phap.org/uhe-QBS5](http://phap.org/uhe-QBS5)

## Additional learning and resources

---

Further info regarding disaster risk reduction and humanitarian action (especially sections 1.2 and 1.3):



### Disaster Risk Reduction

John Twigg (2015)  
*Humanitarian Policy Group, Good Practice Review No. 9*  
[phap.org/uhe-SNRL](http://phap.org/uhe-SNRL)

---

A useful list of other related international agreements and policies, with emphasis on protection and legal frameworks:



### Key documents that inform the Humanitarian Charter

Humanitarian Charter and Minimum Standards in Humanitarian Response  
[phap.org/uhe-7KUJ](http://phap.org/uhe-7KUJ)

---

For an overview of how the OECD approaches the SDGs:



### The Sustainable Development Goals: An overview of relevant OECD analysis, tools and approaches

Organization for Economic Co-operation and Development (OECD) (2015)  
[phap.org/uhe-QHCE](http://phap.org/uhe-QHCE)

---

For an in-depth overview of disaster risk reduction management:



### Global Disaster Risk Reduction and Management (DRRM) Pathway

Kaya  
<https://phap.org/7V6F>

## Study questions

1. How should or does humanitarian action relate to disaster risk reduction? What is the relevance of the Sendai Framework for humanitarian actors?
2. What are the key international policy agreements dealing with climate change? What is their relevance to humanitarian action?
3. How does the concept of sustainability fit in with humanitarian action? What role do the SDGs play in humanitarian action?

4. What are some of the main triggers of the Responsibility to Protect?
5. In which ways may the Responsibility to Protect be relevant for humanitarian organizations?
6. How are the International Health Regulations relevant to humanitarian action?
7. Give examples of regional disaster response frameworks and how they relate to the global humanitarian ecosystem.

## Scenario

The president of Thorristan dies suddenly and the country plunges into violent civil conflict that is fueled by deep political tensions. The more urban and secular population seeks to hold elections and has been mounting large street demonstrations to push for democratic reform. Government functions have been taken over by the military, and the generals in charge tightly control Thorristan's most important and profitable businesses. As the protests grow, military and associated national security forces have met these demonstrations with increasingly disproportionate and violent measures. As the situation worsens, they have declared that they will oversee a three-year transition to democratic rule. Several cities under the control of the opposition proclaim that they represent the true government of Thorristan. In response, the military commence air and missile attacks on these cities resulting in widespread civilian casualties, and have arrested thousands of political opposition or street protesters, tried them in secret courts, leading to imprisonment and – it is rumored – executions.

Discuss the relevance of and potential actions under the Responsibility to Protect.

## 1.7 Accountability

Recognize the main forms of accountability among different stakeholders in the context of humanitarian action.

### Key Points and Concepts

#### *Accountability frameworks*

The key approaches, features, and components related to accountability of the main sectoral accountability frameworks:

- ❖ The Core Humanitarian Standard (CHS), which has grown out of and replaced the Humanitarian Accountability Project (HAP) Standard in Accountability and Quality Management and the People in Aid Code of Good Practice, and will also replace the Core Standards section of the Sphere Handbook.
- ❖ IASC Accountability to Affected Populations and Protection from Sexual Exploitation and Abuse (AAP/PSEA), which were combined into a single task force that is in the process of rolling out guidance, policy and the necessary tools.

#### *Downward and upward accountability*

The terms ‘downward’ and ‘upward’ accountability are used to distinguish between accountability towards the people organizations aim to assist, and accountability of organizations towards senior managers, trustees, and donors respectively. Some have argued that upward accountability has over-shadowed downward accountability, and that humanitarian organizations tend to have difficulty putting downward accountability into practice.

#### *Organizational accountability*

There are numerous mechanisms, both internal and external, by which organizational accountability is established. These include:

- ❖ Contractual obligations to donors, in particular institutional donors and foundations
- ❖ Regulatory and board/trustee accountability within its home society
- ❖ Regulatory and governmental accountability within programming locations
- ❖ Commitments to codes of conduct, statements of principles, etc.
- ❖ Contractual obligations to partners and communities
- ❖ Internal agency accountability to its internal governing structures; to strategies, plans and agreements; and to its staff for safety and security
- ❖ Accountability to crisis-affected populations, and more narrowly to beneficiaries.

#### *Individual and collective accountability*

The growing concern with individual accountability (e.g., for the decision of leadership) and collective accountability, be it accountability for the collective outcomes of the many interventions in a given context or accountability for the consequences of decisions of collective bodies, such as a cluster group.

<i>Donor accountability</i>	<p>The accountability of institutional donors:</p> <ul style="list-style-type: none"> <li>❖ To affected people and grant recipients through the Good Humanitarian Donorship Agreement (2003), which intended to establish standards for donor conduct.</li> <li>❖ To boards/trustees (in philanthropic foundations) and to members of the government executive responsible for aid programming (in government aid programs).</li> </ul>
<i>Financial transparency</i>	<p>OCHA Financial Tracking Service (FTS) (see section 3.7) – donors now report financial contributions to OCHA to improve the transparency of, for example, pledges to a given context, fulfilment of those pledges, grantee organizations, etc.</p>
<i>Other organizational standards</i>	<p>Some NGO consortia also have standards that must be met to be considered for membership (e.g., InterAction).</p>

## Recommended learning resources

For a broad analysis of accountability mechanisms (especially subsection “Accountability Mechanisms,” pp. 8ff):



### **Mechanisms for NGO Accountability**

Lisa Jordan (2005)  
*GPPI Research Paper Series, No. 3*  
[phap.org/uhe-BANE](http://phap.org/uhe-BANE)

Regarding accountability in humanitarian action in general, the various relevant accountability relationships, and the distinction between voluntary and official accountability (see especially the Table of Key Accountability Relationships, p. 13):



### **Have we lost the plot?**

James Darcy (2013)  
*Humanitarian Accountability Partnership*  
[phap.org/uhe-F8KB](http://phap.org/uhe-F8KB)

Regarding collective accountability:



### **“Collective accountability: are we really in this together?”**

Matthew Serventy (2015)  
*2015 Humanitarian Accountability Report: On the Road to Istanbul, CHS Alliance, pp. 82-91*  
[phap.org/uhe-CLRA](http://phap.org/uhe-CLRA)

---

Regarding collective accountability:



**“Taking accountability to the next level”**

Dorothea Hilhorst (2015)

*2015 Humanitarian Accountability Report: On the Road to Istanbul, CHS Alliance, pp. 104-112*

[phap.org/uhe-CLRA](http://phap.org/uhe-CLRA)

---

On the accountability to crisis-affected populations:



**Rhetoric or reality? Putting affected people at the centre of humanitarian action**

Dayna Brown & Antonio Donini (2014)

*ALNAP Study*

[phap.org/uhe-F4ZV](http://phap.org/uhe-F4ZV)

---

On the accountability to crisis-affected populations:



**FAQs on Accountability to Affected Populations (AAP)**

CHS Alliance

[phap.org/uhe-RF6C](http://phap.org/uhe-RF6C)

---

Overview of the work of the IASC on the prevention of sexual exploitation and abuse (PSEA):



**FAQs on PSEA**

IASC Task Force on Protection from Sexual Exploitation and Abuse

[phap.org/uhe-W4XC](http://phap.org/uhe-W4XC)

---

On the accountability of institutional donors:



**International humanitarian action and the accountability of official donors**

Margie Buchanan-Smith & Sarah Collinson (2002)

*Humanitarian Policy Group Briefing, No. 6*

[phap.org/uhe-JRJS](http://phap.org/uhe-JRJS)

---

On the Good Humanitarian Donorship Agreement:



**Good Humanitarian Donorship: overcoming obstacles to improved collective donor performance**

Sue Graves & Victoria Wheeler (December 2006)

*Humanitarian Policy Group Discussion Paper*

[phap.org/uhe-38JX](http://phap.org/uhe-38JX)

---

Overview of voluntary guidelines for humanitarian actors (see pp. 11-13):



**Disaster Response in Asia and the Pacific: A Guide to International Tools and Services**

OCHA ROAP

[phap.org/uhe-QBS5](http://phap.org/uhe-QBS5)

---

---

Regarding internal organizational accountability (based on US not-for-profit sector):



**Best Practices for Nonprofit Internal Controls: Enhancing Your Internal Control Environment**

First Nonprofit Foundation

[phap.org/uhe-UHY5](http://phap.org/uhe-UHY5)

---

For an online course introducing the Core Humanitarian Standard on Quality and Accountability (CHS):



**Introduction to the Core Humanitarian Standard**

Humanitarian Leadership Academy

[phap.org/uhe-CLRB](http://phap.org/uhe-CLRB)

## Primary resources

---

Core Humanitarian Standard on Quality and Accountability (CHS):



**Core Humanitarian Standard on Quality and Accountability**

CHS Alliance, Groupe URD & the Sphere Project (2014)

[phap.org/uhe-JA3L](http://phap.org/uhe-JA3L)

---

Sphere Standards (see especially Core Standard 1):



**Sphere Handbook: Humanitarian Charter and Minimum Standards in Humanitarian Response**

The Sphere Project (revised 2011)

[phap.org/uhe-9Z6H](http://phap.org/uhe-9Z6H)

---

The IASC operational framework for AAP:



**The Operational Framework – Accountability to Affected Populations**

IASC Taskforce on Accountability to Affected Populations (2011)

[phap.org/uhe-WDHT](http://phap.org/uhe-WDHT)

---

Good Humanitarian Donorship:



**23 Principles and Good Practice of Humanitarian Donorship**

Good Humanitarian Donorship (2003)

[phap.org/uhe-CSS8](http://phap.org/uhe-CSS8)

## Additional learning and resources

---

Regarding accountability generally and how to link policy with practice:



### **Accountability: Moving from Rhetoric to Reality**

HERE Geneva (January 2016)

*Report on the Working Meeting held on 3 February 2016, Geneva, Centre for Humanitarian Dialogue*

[phap.org/uhe-RWF8](http://phap.org/uhe-RWF8)

## Study questions

1. To whom does the CHS apply and how does it create accountability? What is the nature of the obligation placed on the humanitarian agency under the CHS?
2. How does the Sphere Handbook contribute to improving accountability?
3. Why is accountability to crisis-affected populations important? Which mechanisms for accountability involve accountability to crisis-affected populations?
4. What are several agreed measures that can be taken to increase the participation of crisis-affected populations and local communities into humanitarian action?
5. What are some of the main ways humanitarian actors are held accountable by external actors for the effectiveness of their program activities?
6. What are some of the main ways humanitarian agencies are held accountable from within the agency itself for the effectiveness of their program activities?
7. How has the accountability of major institutional donors been treated in the humanitarian sector?
8. Briefly trace the history of attempts to introduce greater external accountability into humanitarian action.

## Scenario

One million refugees have fled Sumera to the neighboring country, where half live in large camps managed by the UN. These camps have received relatively steady funding, and conditions are stable in terms of the basics (shelter, water, healthcare, education, and food). The refugees regularly protest their living conditions and there are many angry confrontations with the camp authorities and between the refugees themselves. Assessments show that the refugees suffer very high levels of mental trauma such as PTSD and depression, affecting children and adults of both genders. After discussion at the UN's health cluster meeting, your organization decides to mount a psycho-social healthcare program that will address refugees in the camps. The cluster suggests

– and your organization agrees – that the program will not serve those refugees outside of the camps, or residents and citizens of the country who are not refugees. What sort of accountability mechanisms or processes might be relevant or allow scrutiny of this programmatic decision?

## 1.8 Vulnerability and resilience

*Recognize how the concepts of vulnerability and resilience are used in the context of humanitarian action.*

### Key Points and Concepts

<i>Definition of vulnerability</i>	The ways in which vulnerability is defined and approached among humanitarian actors (there is no one agreed definition in the sector), with its meaning broadly grounded in the level of inability of people to anticipate, cope with, resist, and recover from the impact of shocks such as disasters or conflict.
<i>Vulnerability assessment</i>	Vulnerability assessment as a key determinant and/or predictor of need.
<i>Vulnerable groups</i>	Groups that are typically (though not necessarily, depending on the specific context) the most vulnerable when shocks occur.
<i>Critique of approach</i>	Critique that humanitarian action's short-term approach (e.g., addressing immediate needs) insufficiently reduces vulnerability, insufficiently contributes to resilience, and may interfere with normal coping mechanisms (see also sections 4.1 and 4.2).
<i>Program design</i>	The degree to which this is not an either/or situation: in some cases, humanitarian agencies can design interventions that alleviate immediate suffering and also increase resilience.
<i>WHS commitments</i>	The commitment at the World Humanitarian Summit to improving humanitarian action in terms of reducing people's (future) vulnerability and strengthening resilience (see also sections 1.5, 4.1, and 4.2).
<i>Definition of resilience</i>	<p>The ways in which resilience is defined and approached among humanitarian actors, generally referring to the ability of a body – an individual, household, community, or nation – to overcome stresses and shocks such as natural disasters or conflict.</p> <p>❖ Note skeptical views on resilience that it is a too broad label being applied to a wide range of existing activities.</p>
<i>DRR, resilience &amp; vulnerability</i>	The relationship of resilience and vulnerability to disaster risk reduction.
<i>State responsibility</i>	The key responsibility of national and local actors/leadership in reducing vulnerability and increasing resilience.

## Recommended learning resources

---

An overview of the concept of, and evidence related to, disaster resilience:



### **Disaster resilience: Topic guide**

Emilie Combaz (2014)  
*Birmingham, UK: GSDRC, University of Birmingham*

[phap.org/uhe-XYXY](http://phap.org/uhe-XYXY)

---

On the definition of vulnerability and recommended resources on vulnerability and capacity assessment:



### **“What is vulnerability?”**

International Federation of Red Cross and Red Crescent Societies (IFRC)

[phap.org/uhe-XYX7](http://phap.org/uhe-XYX7)

---

On the basics of vulnerability assessment:



### **What is VCA? An introduction to vulnerability and capacity assessment**

International Federation of Red Cross and Red Crescent Societies (IFRC) (2006)

[phap.org/uhe-YBUE](http://phap.org/uhe-YBUE)

---

On the definition and application of the concept of resilience in humanitarian action:



### **“Understanding resilience”**

Jaspreet Kindra (4 March 2013)

*IRIN News*

[phap.org/uhe-2UGA](http://phap.org/uhe-2UGA)

---

For a critical discussion of the concept of resilience:



### **Supporting Resilience in Difficult Places**

Simon Levine and Irina Mosel (March 2014)

*Report commissioned by Humanitarian Policy Group*

[phap.org/uhe-HUDV](http://phap.org/uhe-HUDV)

---

On the recommendations to the WHS relating to vulnerability and resilience:



### **One Humanity: Shared Responsibility**

Report of the Secretary-General for the World Humanitarian Summit (January 2016)

*United Nations General Assembly, A/70/709*

[phap.org/uhe-VU7C](http://phap.org/uhe-VU7C) (web-based summary) [phap.org/uhe-3RFU](http://phap.org/uhe-3RFU) (full report)

---

## Primary resources

---

On how OCHA approaches the concept of resilience:



### **OCHA Position Paper on Resilience**

United Nations Office for the Coordination of Humanitarian Affairs (OCHA)

[phap.org/uhe-BPAV](http://phap.org/uhe-BPAV)

---

The UN action plan to integrate disaster risk reduction and resilience into UN operations:



### **UN Plan of Action on Disaster Risk Reduction for Resilience**

United Nations System Chief Executives Board for Coordination (2013)

[phap.org/uhe-9YEC](http://phap.org/uhe-9YEC)

## Study questions

1. Does the concept of vulnerability relate to the humanitarian principles? How? And to which principles?
2. Identify those groups typically understood to be the most vulnerable when natural disasters strike.
3. Describe the general features of a community or group that has a high level of vulnerability.
4. What is resilience? Give some examples of how aid can help an individual become more resilient? How is that different from helping a community become more resilient? And what about a State?
5. How does building the resilience of communities fit into humanitarian response?

## Scenario

Violent civil war erupts in Devastatia. Where fighting is heaviest in the West of the country, hundreds of thousands of people flee to the neighboring country of Receptika, where they settle among the local population and in large camps. The area is arid, sparsely populated, and has poor infrastructure. Similar to the local population, most of these new arrivals are subsistence farmers without an education or professional skills in other areas. The government of Receptika has placed strict controls on its border, but for the most part does not block the flow of women, children, and elderly refugees. To avoid becoming a base for military groups, it refuses entry to males aged 15 - 55. Receptika is a poor country and cannot adequately respond to the needs of the refugees. To complicate matters, the official languages of the two countries are different. Your NGO is one of the first to arrive on the scene in one of the largest refugee camps. Which are some of the most vulnerable groups of people that you would expect to find and what are their expected vulnerabilities?

## Domain 2: Key Actors

The second domain of the body of knowledge for Understanding the Humanitarian Ecosystem covers *the key organisations and entities and their different mandates*.

This domain constitutes 32% of the certification assessment.

### Domain Outline

*Humanitarian practitioners must be able to:*

- 2.1 Recognize the key ways in which crisis-affected people are both the focus of humanitarian action and play an active part in its planning, implementation, and assessment.
- 2.2 Identify the key types of governmental actors (civilian and military) that are likely to be involved in domestic crisis response and typical divisions of responsibility among them.
- 2.3 Identify the key UN agencies active in humanitarian action, their mandates, and their positions in the UN system.
- 2.4 Recognize how the Red Cross and Red Crescent Movement emerged and the mandates of the International Committee of the Red Cross (ICRC), the International Federation of Red Cross and Red Crescent Societies (IFRC), and national Red Cross and Red Crescent Societies.
- 2.5 Identify the key functional differences among non-governmental organizations involved in humanitarian action.
- 2.6 Identify the main kinds of donors contributing to humanitarian action and the main types of funding mechanisms and relationships.
- 2.7 Identify purposes for which humanitarian actors engage with armed actors, both State and non-State, in situations of international or non-international armed conflict.
- 2.8 Identify the mandates and roles of peacekeeping and political missions in crisis response.

## 2.1 Crisis-affected people at the center

*Recognize the key ways in which crisis-affected people are both the focus of humanitarian action and play an active part in its planning, implementation, and assessment.*

### Key Points and Concepts

<i>Principle of humanity</i>	How the core principle of humanity helps define the content of humanitarian action as a direct response (assistance and protection) to the needs of crisis-affected people and how this makes people rather than systems or governments the focus of humanitarian programming.
<i>Organizational standards</i>	Increasing the involvement and/or participation of people has been the subject of sectoral standard setting, culminating in the Core Humanitarian Standard (CHS) (see section 1.7). Such participation can take place at various stages: assessment, project design, implementation, evaluation, etc.
<i>Decision-making</i>	The degree to which participation includes a role in the decision-making process, as opposed to supplying information, feedback, and input.
<i>Common forms</i>	<p>Common forms of involvement and participation:</p> <ul style="list-style-type: none"><li>❖ Formal employment in the implementation of humanitarian activities (e.g., NGO and UN staff), noting in particular that 90% of humanitarian staff come from the crisis-affected country, as well as programs short of formal employment (food-for-work or cash-for-work, etc.).</li><li>❖ Transparent supply of information related to the crisis and response to affected communities.</li><li>❖ Input from crisis-affected people at various stages. This might employ a variety of techniques, such as community consultations, surveys, focus groups discussions, interviews, working with local leaders, etc.</li><li>❖ Provision of assistance in exchange for local populations also contributing labor or material to the implementation.</li><li>❖ Establishment of feedback and complaint mechanisms.</li><li>❖ Direct involvement of people in the decision-making process.</li><li>❖ Cash programming, which shifts much of the decision-making process (and power) to aid recipients.</li><li>❖ Aid initiatives formed and mounted by crisis-affected people themselves, with or without support from aid organizations</li><li>❖ Informal community level sharing of basic services and goods – water, shelter, NFIs, medicines, food, information, protection, and care.</li></ul>

## Localization

The Grand Bargain and other efforts aim to increase the leadership and operational role played by local and national responders, often labelled as “localization.” (see Section 2.4). The Charter 4 Change exemplifies this thinking. Note critical views that identify important potential risks to the role of humanitarian action, its principles, and effectiveness.

## Recommended learning resources

---

Regarding the principle of humanity and keeping people at the center (see in particular subsection on humanity):



### **The Fundamental Principles of the Red Cross and Red Crescent**

International Committee of the Red Cross (ICRC) (1996)

[phap.org/uhe-HV62](http://phap.org/uhe-HV62)

On the role of local communities (see especially pp. 5-6):



### **Engagement of Crisis-Affected People in Humanitarian Action**

ALNAP (March 2014)

*ALNAP Background Paper, 29th Annual Meeting*

[phap.org/uhe-53NM](http://phap.org/uhe-53NM)

A useful overview (chapter 1) and manual for following a participatory approach:



### **Participation handbook for humanitarian field workers - Involving crisis-affected people in a humanitarian response**

Groupe URD (2009)

[phap.org/uhe-5DZB](http://phap.org/uhe-5DZB)

Regarding critical views on the “localization” of humanitarian action (see especially the executive summary):



### **The challenges of localised humanitarian aid in armed conflict**

Ed Schenkenberg (November 2016)

*MSF Emergency Gap Series 03*

[phap.org/uhe-40JX](http://phap.org/uhe-40JX)

## Primary resources

---

Core Humanitarian Standard (see especially commitments 4 and 5):



### **Core Humanitarian Standard on Quality and Accountability**

CHS Alliance, Groupe URD & the Sphere Project (2014)

[phap.org/uhe-JA3L](http://phap.org/uhe-JA3L)

---

The IASC operational framework for AAP:



### **The Operational Framework – Accountability to Affected Populations**

IASC Taskforce on Accountability to Affected Populations (2011)

[phap.org/uhe-WDHT](http://phap.org/uhe-WDHT)

## Additional learning and resources

---

Although focusing on humanitarian “interventions,” a useful study on the importance of “local participation” for the success of humanitarian action:



### **“Why Humanitarian Interventions Succeed or Fail: The Role of Local Participation”**

Theodora-Ismene Gizelis and Kristi E. Kosek (2005)

*Journal of the Nordic International Studies Association, Vol. 40(4)*

[phap.org/uhe-LWTB](http://phap.org/uhe-LWTB)

---

Regarding the discussions at the World Humanitarian Summit on putting “people at the center”:



### **“People at the Centre”**

World Humanitarian Summit (2016)

*Special Session Summary*

[phap.org/uhe-39CR](http://phap.org/uhe-39CR)

## Study questions

1. If an NGO talks to a large number of community members before finalizing its project plans, is that sufficient to say that the NGO has established downward accountability to crises affected people? If no, why not?
2. Why is cash-based programming seen by some as more “people centric” than other modes when it would seem to involve less human interaction?
3. Why is it important to provide information to communities affected by crisis? What sort of information do they need?
4. Identify ways in which aid programming can incorporate people affected by crisis in the decision-making process.
5. At what stage of programming is it appropriate to seek people’s participation?
6. What are some of the ways crisis-affected populations take part and contribute to relief activities?

## Scenario

You are the project coordinator for an international aid organization working in the isolated, impoverished northern territories of Calamatoria. For historical reasons, even though the area is calm, the government has very little presence in the region. For the past three years, your organization has been running ante-natal care clinics and vaccination programs in the area.

Record monsoon rains leave large areas of the territories flooded, displacing tens of thousands of people, destroying the transit infrastructure, and endangering the supply of clean water. A journalist from an international news agency calls you to talk about the situation. When he discovers that your organization is the only one in the northern territories, he suggests a story about how your organization is all alone in saving the lives and responding to the emergency affecting of all those people. This is not true, as local communities have mobilized in great numbers, and your organization is largely working in support of their efforts. How will you explain the role of the local communities to him? What are the possible ways in which the local community has become engaged in the crisis response?

## 2.2 Governmental actors in crisis response

*Identify the key types of governmental actors (civilian and military) that are likely to be involved in domestic crisis response and typical divisions of responsibility among them.*

### Key Points and Concepts

<i>Differences in capacity</i>	Note the differences between States, in particular the degree to which some States possess strong leadership and the ability to mobilize significant national capacity, or where limited State capacity is easily overwhelmed by a crisis, or where the government is unwilling or unable to respond to crisis-affected populations (e.g., certain conflict situations).
<i>Levels of government</i>	Note the important distinction between government authorities at the national, regional/provincial, and local/district levels and the differences between official authority and actual power. Of particular weight is the degree to which non-governmental authorities may hold important authority (e.g., chiefs, medicine men, religious leaders).
<i>Disaster Management Authorities</i>	Note that some States have designated bodies to manage crises (e.g., Pakistan's National Disaster Management Authority), either directing or acting in parallel with implementing agencies. Others use other existing capacity or create ad hoc task forces or coordinating mechanisms (e.g., Incident Management Systems). This trend is growing, with a number of countries now setting up Emergency Operations Centers.
<i>State responsibility</i>	<p>International policy (e.g., 2005 Paris Declaration on Aid Effectiveness) and UN Resolution 46/182 (1991) places primary responsibility for disaster response upon the home government, reinforcing sovereign responsibility and as a means to decrease human suffering and economic loss due to disasters (see also section 1.6). There is no definitive or agreed list that determines what these leadership responsibilities are, and States themselves may view this differently. Note that a primary role of UN leadership and coordination involves establishing the ground rules for its partnership with the State (see also section 3.1). These State responsibilities include:</p> <ul style="list-style-type: none"><li>❖ implementing disaster risk reduction and preparedness;</li><li>❖ declaring a crisis and inviting international aid;</li><li>❖ providing assistance and protection;</li><li>❖ monitoring and coordinating external assistance (technical expertise, financial assistance, relief aid, etc.);</li><li>❖ setting the regulatory and legal frameworks governing relief assistance;</li><li>❖ keeping the public informed and accounting for the crisis response;</li></ul>

- ❖ guiding the transition from relief to recovery.

Given the nature of crisis, there is often a major involvement of security forces, both in the delivery of assistance and in establishing protection/security of civilians and of the aid response itself (see also section 2.7).

#### *Security forces*

- ❖ In many countries government policy/regulation establishes a key military role in disaster response (e.g., Pakistan, India, China).
- ❖ Police and other security forces may be part of dealing with the situation within the affected country.

#### *Civil Defense*

Civil defense is incorporated into disaster relief to varying degrees depending on the country.

#### *Line/Sectoral Ministries*

Ministerial response varies in function to their relevance to the crisis and includes a role in sectoral coordination. Relevant ministries include: health, social welfare, economy and planning, public order and security, agriculture, transport, etc.

#### *Refugees and IDPs*

In countries with large refugee and IDP populations, there are often dedicated State authorities or ministries responsible for them

## Recommended learning resources

Regarding the role of the State in humanitarian response (especially subsection “In Principle”):



### **The Role of National Governments in International Humanitarian Response**

ALNAP (March 2011)

*ALNAP Meeting Paper, 26th Annual Meeting, November 2010*

[phap.org/uhe-9BA3](http://phap.org/uhe-9BA3)

Regarding the role of the government in providing security (especially section 4):



### **To Stay and Deliver: Good practice for humanitarians in complex security environments**

Jan Egeland, Adele Hamer & Abby Stoddard (2011)

*UN OCHA Policy and Studies Series*

[phap.org/uhe-JMAJ](http://phap.org/uhe-JMAJ)

For an overview of the roles of affected State governments (see especially pp. 2-6):



### **National humanitarian response**

Brigitte Rohwerder (2015)

*GSDRC Helpdesk Research Report*

[phap.org/uhe-UGH3](http://phap.org/uhe-UGH3)

---

Regarding State responsibilities and international support activities (see especially pp. 32-33):



**Guide for Governments 2011: How the international humanitarian system supports government disaster response**

REDLAC (2011)

[phap.org/uhe-BM2S](http://phap.org/uhe-BM2S)

---

For an overview of government responsibility and military roles (see especially sections 2.2 and 2.4):



**“Towards good humanitarian government: The role of the affected state in disaster response”**

Paul Harvey (September 2009)

*Humanitarian Policy Group Report No. 29*

[phap.org/uhe-TKGU](http://phap.org/uhe-TKGU)

---

Regarding the different models of the government role in disaster risk reduction, with a focus on the Asian context:



**“Disaster Risk Management at the National Level”**

Mikio Ishiwatari (2013)

*ADB Working Paper Series, No. 448*

[phap.org/uhe-WFCM](http://phap.org/uhe-WFCM)

---

Recommended case studies on the role of the government in specific countries:



**The role of the affected state in humanitarian action: A case study on Pakistan**

Helen Cochrane (October 2008)

*Humanitarian Policy Group Working Paper*

[phap.org/uhe-PKZ9](http://phap.org/uhe-PKZ9)



**The role of the affected state in humanitarian action: A case study on Indonesia**

Barnaby Willets-King (February 2009)

*Humanitarian Policy Group Working Paper*

[phap.org/uhe-MVWF](http://phap.org/uhe-MVWF)

---

For an overview of the domestic legal frameworks for disaster relief (see especially pp. 18-22):



**Introduction to the guidelines for the domestic facilitation and regulation of international disaster relief and initial recovery assistance**

International Federation of Red Cross and Red Crescent Societies (IFRC) (2011)

[phap.org/uhe-KT3X](http://phap.org/uhe-KT3X)

---

Regarding the government role in disaster risk reduction:



**Local Governments and Disaster Risk Reduction: Good Practices and Lessons Learned**

United Nations Local Government Alliance for Disaster Risk Reduction

[phap.org/uhe-HHKP](http://phap.org/uhe-HHKP)

## Primary resources

---

Regarding the UN's position on State responsibility (see references to international vs. national responsibilities throughout the resolution):



**UN Resolution on Strengthening of the coordination of humanitarian emergency assistance of the United Nations**

United Nations General Assembly (19 December 1991)

*78th plenary meeting, A/RES/46/182*

[phap.org/uhe-48HX](http://phap.org/uhe-48HX)

---

Regarding civil defense – OCHA has published guidelines that include civil defense:



**Oslo Guidelines: Guidelines on the use of Foreign Military and Civil Defence Assets in Disaster Relief**

United Nations Office for the Coordination of Humanitarian Affairs (OCHA) (2007)

[phap.org/uhe-XXWN](http://phap.org/uhe-XXWN)

## Additional learning and resources

---

Further information regarding domestic legal frameworks relevant for international humanitarian actors:



**“Domestic regulation of international humanitarian relief in disasters and armed conflict: a comparative analysis”**

David Fisher (2007)

*International Review of the Red Cross, Vol. 89, No. 866*

[phap.org/uhe-PGYD](http://phap.org/uhe-PGYD)

## Study questions

1. How would you describe the responsibility of the State when it is confronted with a domestic humanitarian crisis?
2. What are the main civilian authorities which might respond to a humanitarian crisis within a given country?

3. What are the different security actors within a State that might be involved in crisis response and what are their typical roles?
4. What are the main ways in which a State might organize coordination and leadership of its response to a crisis? How would this differ between a conflict situation and a natural disaster?
5. How do States differ in their capacity to respond to crisis within their borders and what implications do these differences have for humanitarian actors?

## Scenario

Your agency is working in a middle-income country that possesses a relatively developed State machinery and a large military. In the north of the country there is longstanding insecurity and tension, especially along the border with Towat, the neighboring State. This is where most international humanitarian actors work, dealing with the effects of internal displacement and with refugees from Towat, which has its own problems. The area is vast and challenging in terms of transport infrastructure. An earthquake strikes, causing widespread destruction in the region. What role might you expect the State to take on? What response efforts are they likely to undertake? Your organization decides to increase activities related to shelter, food, and health. What steps would you take that involve the State?

## 2.3 Key UN agencies

*Identify the key UN agencies active in humanitarian action, their mandates, and their positions in the UN system.*

### Key Points and Concepts

<i>Overall structure</i>	The basic top-level structure of the UN, in particular the main organs relevant for humanitarian work (General Assembly, Secretariat, Security Council, Economic and Social Council) and the location of the agencies listed below within this architecture.
<i>Relevant components</i>	There are various UN offices, departments, funds, programs, and specialized agencies involved in different ways in humanitarian action.
<i>IASC</i>	Inter-Agency Steering Committee (IASC) (see also section 3.1)
<i>OCHA</i>	The Office for the Coordination of Humanitarian Affairs (OCHA) is responsible for coordinating humanitarian actors to ensure a coherent and effective response, working in partnership with national authorities. Part of the UN Secretariat, led by the Emergency Relief Coordinator (ERC) (see also section 3.1), OCHA appoints the Humanitarian Coordinator (HC) (see also section 3.1) for a country or crisis response and is responsible for the implementation of the cluster system (see section 3.1).
<i>UNICEF</i>	The United Nations Children’s Fund (UNICEF) is mandated by the UN General Assembly to defend the rights of children, help respond to their basic needs, and work towards their development. In the cluster system (see section 3.1) UNICEF is the lead agency of the nutrition, education (with Save the Children), and water & sanitation clusters.
<i>UNHCR</i>	The United Nations High Commissioner for Refugees (UNHCR) is mandated by the UN General Assembly to provide international protection to refugees and seeking permanent solutions to their plight. Led by the High Commissioner and governed by the UN General Assembly and its Economic and Social Council (ECOSOC) (see section 3.6), UNHCR is the lead agency of three clusters: protection, shelter (with IFRC), and camp management (with IOM). Though not covered in its original mandate, UNHCR has become increasingly involved in providing assistance and protection to IDPs.
<i>WFP</i>	The World Food Programme (WFP) is known as the world’s largest humanitarian organization. WFP is the lead UN agency fighting hunger worldwide, providing emergency food aid as well as working to improve nutrition and community resilience. WFP, jointly established by the Economic and Social Council (ECOSOC) and the Food and Agriculture Organization (FAO) (see below), is the lead

agency of two clusters – food security (with FAO) and emergency telecommunications, the latter based on WFP’s extensive capacity in emergency logistics.

*WHO* The World Health Organization (WHO) is responsible for the direction and coordination of the UN system’s efforts in terms of international health, including emergencies and humanitarian crises. The WHO is directed by the World Health Assembly, a body composed of delegates from UN member States. It is the lead agency of the health cluster and is an independent specialized agency (i.e., like the International Monetary Fund (IMF), FAO and World Bank).

*UNDP* The United Nations Development Programme (UNDP) works primarily to support the development of UN member States, and coordinates the various UN bodies playing a role in development. UNDP manages the Resident Coordinator System which leads the UN Country Team (see section 3.1) and plays a central role in the work for achieving the Sustainable Development Goals (SDGs). UNDP is the lead agency of the early recovery cluster.

*FAO* The Food and Agriculture Organization (FAO) was established to eradicate hunger and food insecurity. FAO typically addresses the more long-term issues related to food. Along with WFP, it is the lead agency for the food security cluster.

*DPKO* The UN Department of Peacekeeping Operations (DPKO) is part of the UN Secretariat and is responsible for the management and direction of peacekeeping operations.

*Other UN components* Depending on the nature of the crisis, there are other agencies that might play an important role, including UNFPA, UN-Habitat, UNAIDS, OHCHR, and UN Women.

*IOM* The International Organization for Migration (IOM) is a separate organization from the UN, with a focus on the management of migration. Governed by a Council composed of delegates from its member States, the IOM is also a “related organization” of the UN since 2016. It is the lead agency for the camp management cluster (with UNHCR).

*Mandates* Note that UN member States have given a specific mandate to (most) UN agencies, and this mandate sets out the objectives of the agency. NGOs differ in this regard, and have foundations in the private sphere (sometimes viewed as being “self-mandating”). (See section 2.4 regarding the Red Cross Movement).

### *Overlapping missions*

The missions of these agencies overlap, so for example responsibility for children who are refugees and have no access to healthcare, school, or shelter might implicate a number of agencies.

## Recommended learning and primary resources

---

Regarding the top-level structure of the UN, see the organigram of the UN System:



### **The United Nations System**

United Nations (2019)

[phap.org/uhe-HMW2](https://phap.org/uhe-HMW2)

---

For overview information on the structure of the UN Secretariat:



### **“Secretariat”**

United Nations (2015)

[phap.org/uhe-QWMD](https://phap.org/uhe-QWMD)

---

For overview information on the funds, programs, and specialized agencies of the UN system:



### **“Funds, Programmes, Specialized Agencies and Others”**

United Nations

[phap.org/uhe-5V3C](https://phap.org/uhe-5V3C)

---

Mission and strategic plan of OCHA:



### **“Who we are”**

United Nations Office for the Coordination of Humanitarian Affairs (OCHA)

[phap.org/uhe-W4DT](https://phap.org/uhe-W4DT)

---

Overview of IASC:



### **“About IASC”**

Inter-Agency Standing Committee (IASC)

[phap.org/uhe-41JX](https://phap.org/uhe-41JX)

---

Mission statement of UNICEF:



### **“UNICEF's mission statement”**

United Nations Children's Fund (UNICEF)

[phap.org/uhe-2VVV](https://phap.org/uhe-2VVV)

---

Mission statement, mandate, and overview of UNHCR:



### **“About UNHCR”**

United Nations High Commissioner for Refugees (UNHCR)

[phap.org/uhe-CABP](https://phap.org/uhe-CABP)

---

Mission statement and overview of WFP:



**“Who we are: Overview”**

World Food Program (WFP)

[phap.org/uhe-7SJN](http://phap.org/uhe-7SJN)

---

Overview of WHO:



**“About WHO”**

World Health Organization (WHO)

[phap.org/uhe-KJ9U](http://phap.org/uhe-KJ9U)

---

Overview of UNDP’s operations:



**“About UNDP”**

United Nations Development Programme (UNDP)

[phap.org/uhe-QADG](http://phap.org/uhe-QADG)

---

Overview of FAO:



**“About FAO”**

Food and Agriculture Organization (FAO)

[phap.org/uhe-J97H](http://phap.org/uhe-J97H)

---

Mission and overview of IOM:



**“About IOM”**

International Organization for Migration (IOM)

[phap.org/uhe-GF26](http://phap.org/uhe-GF26)

---

Overview of DPKO:



**“Department of Peacekeeping Operations”**

United Nations Department of Peacekeeping Operations (DPKO)

[phap.org/uhe-B2WQ](http://phap.org/uhe-B2WQ)

---

For DPKO principles and guidelines, see its capstone document:



**United Nations Peacekeeping Operations: Principles and Guidelines**

United Nations Department of Peacekeeping Operations (DPKO) (2008)

[phap.org/uhe-HMY3](http://phap.org/uhe-HMY3)

## Additional learning and resources

---

Further information on the structure of the UN Secretariat:



### “The Secretariat - Structure and composition of the secretariat”

Nations Encyclopedia

[phap.org/uhe-F5VE](http://phap.org/uhe-F5VE)

---

Additional information on UNHCR’s operations:



### The Emergency Handbook: UNHCR's mandate for refugees, stateless persons and IDPs

United Nations High Commissioner for Refugees (UNHCR)

[phap.org/uhe-526G](http://phap.org/uhe-526G)

## Study questions

1. What are the main UN agencies involved in humanitarian crisis response and what are their primary areas of responsibility?
2. Which UN agency is explicitly linked to the Convention on the Rights of the Child? How is this manifest in the agency’s objectives?
3. Which UN agencies serve as lead agencies in the cluster system, and for which clusters?
4. Under which agency or agencies would you expect to find responsibility for IDPs?
5. What is the nature of UNHCR’s mandate?
6. What role(s) does IOM play within humanitarian response?

## Scenario

The impoverished island nation of Carribiana is among the five poorest nations in the world and has only recently begun recovery from a violent civil war that resulted in substantial humanitarian needs among the population. The United Nations designated the crisis as a “Level 3” Emergency (See section 3.1). Now, a major tropical storm has pummeled Carribiana, worsening the humanitarian situation and creating urgent needs across all sectors. The government is overwhelmed by the situation and asks the UN to deploy as comprehensive a response as possible. What UN agencies might be found responding in Carribiana, and in what roles?

## 2.4 Red Cross and Red Crescent Movement

*Recognize how the Red Cross and Red Crescent Movement emerged and be knowledgeable about the mandates of the International Committee of the Red Cross (ICRC), the International Federation of Red Cross and Red Crescent Societies (IFRC), and national Red Cross and Red Crescent Societies.*

### Key Points and Concepts

#### *History*

The RC/RC Movement is the largest humanitarian network in the world, established upon the initiative of Henri Dunant in 1863 following his experiences at the Battle of Solferino. He also played an important part in persuading States to agree to the original Geneva Convention in 1864. The initial focus of the Red Cross was on improved care for wounded soldiers in situations of armed conflict.

#### *ICRC*

The International Committee of the Red Cross (ICRC) is an independent, neutral organization and serves a role and purpose defined by the Geneva Conventions of 1949. In addition to the provision of assistance and protection to victims of war and armed violence, the ICRC plays a unique role as a steward of international humanitarian law (IHL), promoting respect of, and adherence to it. Its mandate includes visiting prisoners of war, and confers a broad right of initiative to offer its services in situations of non-international armed conflict or other humanitarian crises. The ICRC receives substantial unrestricted funding from States party to the Geneva Conventions.

#### *IFRC*

Founded in 1919, the International Federation of the Red Cross and Red Crescent Societies (IFRC) coordinates the relief efforts of the national societies, establishes policy, and supports the development of the national societies. In addition to the promotion of humanitarian values and assistance at times of crisis, the Federation also works on disaster preparedness and health/community care.

#### *National societies*

Currently 190 countries in the world have a Red Cross or Red Crescent national society, dedicated to relief and assistance within its home nation as well as responding where possible to humanitarian crises worldwide. Each national society has its own legal identity and role, with coherence created by a commitment to uphold the Movement's seven fundamental principles: humanity, impartiality, neutrality, independence, voluntary service, unity, and universality. Responding to different needs, there are a range of ways in which they function within their home societies, including the capacity to mobilize large numbers of trained volunteers.

#### *Auxiliary status*

National societies are legal entities that are established by their home States and have auxiliary status vis-à-vis that State. To maintain a degree of independence, the national societies must be formally recognized by the ICRC, adhere to a set of ten statutorily defined

conditions, including adherence to the seven fundamental principles and having their autonomous status recognized by the State.

## Recommended learning and primary resources

---

For an overview of the Movement:



### “The Movement”

International Committee of the Red Cross (ICRC)

[phap.org/uhe-2MJQ](https://phap.org/uhe-2MJQ)

---

For an overview of the components of the Movement:



### “Components and bodies of the International Movement of the Red Cross and Red Crescent”

International Committee of the Red Cross (ICRC) (2013)

[phap.org/uhe-3D7S](https://phap.org/uhe-3D7S)

---

For an overview of the ICRC:



### “Who we are”

International Committee of the Red Cross (ICRC)

[phap.org/uhe-8JNN](https://phap.org/uhe-8JNN)

---

Regarding the ICRC’s mandate:



### “The ICRC’s mandate and mission”

International Committee of the Red Cross (ICRC)

[phap.org/uhe-J8SY](https://phap.org/uhe-J8SY)

---

Regarding the emergence of the Red Cross and Red Crescent Movement:



### “History”

International Committee of the Red Cross (ICRC)

[phap.org/uhe-YBVE](https://phap.org/uhe-YBVE)

---

For an overview of the IFRC:



### “Our vision and mission”

International Federation of the Red Cross and Red Crescent Societies (IFRC)

[phap.org/uhe-ENH7](https://phap.org/uhe-ENH7)

## Study questions

1. What is the relationship between the national societies and their home governments?

2. How does the ICRC work with governments?
3. What are the principles that the three components share (i.e., the seven fundamental principles of the Movement)?
4. What roles would be typically played by the national society if there were a natural disaster in its home country?
5. When the ICRC operates within a given country, what is the nature of its relationship to the national society?
6. Describe in general terms the mandate given to the ICRC by international law. In what body of law is this mandate located?

## Scenario

Long-simmering ethnic tension and inter-militia violence has once again exploded in the impoverished east of Kabemba, where the killings, burning and pillaging of villages, systematic rape, and forced conscription of child soldiers has forced large numbers of poor farmers to flee their homes, often multiple times. The militias are known for their grisly torture of enemies taken prisoner. A “forgotten” crisis, Kabemba receives low levels of international aid. Most internally displaced persons (IDPs) live in unsanitary, cramped conditions with relatives in nearby villages, while a smaller number have constructed makeshift huts on the outskirts towns. As if the situation weren’t bad enough, a yellow fever outbreak has reached epidemic levels, affecting the entire area. The Kabemba Red Cross Society has long been working in the area. Now, several national societies from other countries would like to contribute and the ICRC has initiated negotiations with the government to enter the country.

Discuss the roles that might be played by these three levels of the Red Cross Movement, and how the lines of authority work between them.

## 2.5 Non-governmental organizations in humanitarian action

*Identify the key functional differences among non-governmental organizations involved in humanitarian action.*

### Key Points and Concepts

<i>Variety of NGOs</i>	<p>NGOs come in many different varieties. This variety is also true for those involved in humanitarian action, which can be differentiated along different lines (see also section 1.1).</p>
<i>Geographic scope</i>	<p>The geographic scope of intervention and scale of operations creates a common way to distinguish between NGOs:</p> <ul style="list-style-type: none"><li>❖ International (Global and Regional)</li><li>❖ National</li><li>❖ Local or community-based</li></ul> <p>These can be difficult to define in practice (e.g., is the independently founded national chapter of an international organization an international or a national NGO?). Typically, community-based organizations possess strong local networks and contextual understanding, key to identifying and meeting needs. At the other end of the spectrum, a relatively small group of major international aid agencies controls a high percentage of NGO resources, and boasts high levels of technical expertise and surge capacity, as well as the capacity to engage in advocacy on behalf of crisis-affected populations.</p>
<i>Scope of mandate</i>	<ul style="list-style-type: none"><li>❖ “Single mandate” organizations: addressing emergency/crisis situations on the basis of the humanitarian principles and IHL (e.g., MSF, ACF).</li><li>❖ “Multi-mandate” organizations: addressing emergency/crisis situations and also longer-term issues such as poverty, social justice, and development (e.g., Oxfam, CARE, Save the Children, World Vision).</li></ul>
<i>Views on neutrality</i>	<p>Organizations can be on different points on the spectrum between being an operational organization and focusing on campaigning. A key factor in this is how an organization views its role in terms of protection, advocacy, or (political) activism in addition to delivery of assistance. This often relates to the organization’s perspectives on the principle of neutrality, with some organizations believing that some forms of public advocacy violate neutrality and that they therefore do not claim to be neutral humanitarian organizations. (See section 1.1).</p>
<i>Secular and faith-based organizations</i>	<p>“Faith-based” organizations: established by a religious institution or in accordance to a religious tradition. The main faith-based international NGOs deliver aid impartially – not based on religious affiliation of recipient populations (e.g., Caritas, Islamic Relief).</p>

<i>Specialized organizations</i>	Specialized organizations tend to focus on a single target population (e.g., HelpAge International for the elderly) or a single operational sector (e.g., Halo Trust for demining activities or ShelterBox for shelter) as opposed to organizations that address a broad range of needs.
<i>Structures</i>	The way that NGOs are structured can vary greatly, from “families” that organize themselves as global federations (e.g., MSF, Save the Children, CARE, Oxfam) to hierarchical approaches (e.g., ICRC).
<i>Maturity</i>	A distinction can be made between mature NGOs that have learned, developed, and expanded over time vs “new” NGOs, for example the volunteer organizations that responded to the plight of migrants crossing the Mediterranean towards Europe.
<i>Independence</i>	The relationship of an organization to its “home” government varies, particularly in terms of financial dependence and decisional independence, with some NGOs functioning as the “implementing partner” of a State (i.e., a “GONGO” or a government-organized NGO, rather than an NGO). The same can be true of NGOs in terms of financial and decisional independence vis-à-vis other NGOs and UN agencies, again playing the role of implementing partners.
<i>“Localization”</i>	<p>Functional differences also result from stark differences in terms of resource flows within the humanitarian system:</p> <ul style="list-style-type: none"> <li>❖ The vast majority of NGOs in the humanitarian sector work within their home country.</li> <li>❖ The “big five” NGOs (MSF, Save the Children, Oxfam, World Vision, and IRC) have been estimated to account for more than 75% of expenditure by NGOs in humanitarian work.</li> <li>❖ National and local NGOs receive a minuscule proportion of direct international humanitarian funding.</li> </ul> <p>The Grand Bargain and other efforts aim to increase the leadership and operational role played by local and national NGOs, often labelled as “localization.”</p>
<i>Harmonization</i>	The professionalization of the sector and harmonization of operational practices has reduced many differences in the functioning of different NGOs.
<i>Registration</i>	NGOs (including international NGOs as well as federations when the federation is itself an organization) need to be registered in at least one country. International NGOs often need to also register with the national and/or local authorities where they are active. Depending on the legal system of the country, an international NGO may instead decide to register a separate organization in a country of

operation. A common requirement for many of the organizational forms that NGOs take is that they are not allowed to have a profit-making purpose.

### *Governance*

The governance models of NGOs vary between organizations, depending on the legal requirements in their country of registration and the choices made by the organization. Each organization has its own bylaws or constitution that regulates its governance and activities. In most cases, the organization will have a membership that has the ultimate authority over the organization through the General Assembly (or Annual Meeting, etc.) and will be overseen by a Board (of directors, trustees, governors, etc. form), with its members usually serving on a voluntary basis.

## Recommended learning resources

---

Regarding several key distinctions among international NGOs:



### **Humanitarian NGOs: Challenges and Trends**

Abby Stoddard (July 2003)

*Humanitarian Policy Group Briefing, No. 12*

[phap.org/uhe-2EJA](http://phap.org/uhe-2EJA)

---

Regarding organizational mandates in general, including the distinction between, and challenges related to, single-mandated and multi-mandated organizations.



### **Organizational mandates**

Advanced Training on Humanitarian Action (ATHA)

[phap.org/uhe-CLRC](http://phap.org/uhe-CLRC)

---

Regarding multi-mandate agencies:



### **Principled Humanitarian Action & Ethical Tensions in Multi-Mandate Organizations in Armed Conflict**

Hugo Slim and Miriam Bradley (March 2013)

*World Vision Report*

[phap.org/uhe-SQGQ](http://phap.org/uhe-SQGQ)

---

Regarding the advocacy role of NGOs:



### **Public support for humanitarian crises through NGOs**

Development Initiatives (February 2009)

[phap.org/uhe-QARB](http://phap.org/uhe-QARB)

---

For an analysis and literature review of NGO mandates:



**The role of ‘mandates’ in humanitarian priority settings for international non-governmental organisations in situations of armed conflict**

Karin Wendt and Heleen Hiemstra (2016)

*HERE-Geneva*

[phap.org/uhe-42JX](http://phap.org/uhe-42JX)

---

Regarding faith-based and secular NGOs:



**“Faith-based and secular humanitarian organizations”**

Elizabeth Ferris (2005)

*International Review of the Red Cross, Vol. 87, No. 858*

[phap.org/uhe-VGZY](http://phap.org/uhe-VGZY)

---

Regarding inequality in funding of NGOs (see p. 74):



**Global Humanitarian Assistance Report 2015**

Development Initiatives (2015)

[phap.org/uhe-5CNJ](http://phap.org/uhe-5CNJ)

## Additional learning and resources

---

For general overviews of basic NGO types that go beyond the sector:



**Types of NGOs**

Sushant (30 August 2010)

*NGO*

[phap.org/uhe-33MS](http://phap.org/uhe-33MS)

---

For general overviews of basic NGO types that go beyond the sector:



**What is a Non-Governmental Organization?**

Peter Willets

*City University of London*

[phap.org/uhe-9QSP](http://phap.org/uhe-9QSP)

---

Regarding participation of NGOs in the cluster system:



**Participation of NGOs in Cluster Co-Leadership at Country Level: A Review of Experience**

ICVA (February 2010)

[phap.org/uhe-AMDL](http://phap.org/uhe-AMDL)

---

Regarding inequality between NGOs (see subsection 3):



### State of the Humanitarian System Report 2015

Abby Stoddard *et al.* (October 2015)

ALNAP

[phap.org/uhe-QBJ3](http://phap.org/uhe-QBJ3)

---

On interaction with the private sector:



### “How Humanitarian NGOs Work with the Private Sector”

NGO Voice (2016)

VOICE out loud, No. 24

[phap.org/uhe-76T7](http://phap.org/uhe-76T7)

## Study questions

1. How does a single-mandate approach differ from that of a multi-mandated organization?
2. What sort of differences would you expect to see in the respective programs of a multi-mandate and a single-mandate NGO responding to a complex emergency?
3. What are some of the advantages and disadvantages of an organization specializing in one specific area of response (e.g., shelter, elderly, ante-natal care)?
4. Name five global NGO “families.”
5. How do the programs and activities of mainstream faith-based organizations such as CAFOD, Christian Aid, and Islamic Relief differ from those of other mainstream organizations?

## Scenario

The UN Security Council has just authorized an international coalition to lead a military intervention in Mellowdistan, where a large militia force called the Green Brigade has captured half of the country and the capital city. The Green Brigade has been designated as a terrorist organization by the UN Security Council. This intervention will involve many Western governments, including major donors to the longstanding humanitarian mission in Mellowdistan, who will therefore become belligerent parties in the conflict.

The people of Mellowdistan on the other hand, have been suffering from compounded crises that have spanned over two decades. It is one of the poorest nations in the world, and rapid urbanization has led to expansive shanty towns surrounding the capital city, known for high levels of sickness and disease due to poor sanitation, low levels of education, and the absence of government health facilities. Gender inequality is considerable, with schooling for only 20% of girls (one-third of the rate for boys). The current conflict has led to poor harvests in areas

controlled by the Green Brigade, with high levels of acute malnutrition in children under 5. There are widespread attacks on civilians provoking displacement and their attendant problems of access to shelter, healthcare, food, and water.

How might the following agencies differ in terms of the needs/issues they address? What might be a unique aspect of their programming that differentiates it from other responders?

- ❖ A single-mandate agency with a high degree of independence.
- ❖ A multi-mandate agency.
- ❖ UNICEF (see section 2.3).
- ❖ A Mellowdistani organization with ties to the Green Brigade.
- ❖ An implementing partner for one of the major Western governments also contributing troops to the military effort.

## 2.6 Donors and funding mechanisms

*Identify the main kinds of donors contributing to humanitarian action and the main types of funding mechanisms and relationships.*

### Key Points and Concepts

<i>Private funding sources</i>	<p>The main sources of private funding for humanitarian action:</p> <ul style="list-style-type: none"><li>❖ From individuals, including major donors and including through cultural and religious traditions such as zakat giving, through national societies (such as the Red Cross and UNICEF), and diaspora community remittances sent either directly to affected people or to local organizations and institutions. Note that this is by far the largest source of private funding.</li><li>❖ From corporations and the private sector, noting the rapid growth of this source over the past decade.</li><li>❖ Philanthropic foundations and trusts.</li></ul>
<i>Institutional funding</i>	<p>The main sources of public or government/institutional funding:</p> <ul style="list-style-type: none"><li>❖ Western governments – in particular DAC countries (OECD’s Development Assistance Committee)</li><li>❖ “Non-DAC,” “Non-Western,” “New,” or “Emerging” donor governments (e.g., Kuwait, Turkey, Saudi Arabia)</li></ul>
<i>Funding mechanisms</i>	<p>The main funding mechanisms for humanitarian action include:</p> <ul style="list-style-type: none"><li>❖ Bilateral grants/assistance used by institutional donors to provide funding directly to organizations and governments, often on the basis of a specific project proposal.</li><li>❖ Pooled Funds, such as UN Funding mechanisms that distribute funding received from donors.</li><li>❖ Private donations</li><li>❖ Crisis appeals that channel public donations to a specific crisis.</li><li>❖ Network or partnership approaches (e.g., Disasters Emergency Committee, START Network, or the IFRC’s Disaster Relief Emergency Fund)</li><li>❖ Donations in kind (e.g., food aid, seconded staff, transport)</li></ul>
<i>Pooled funding</i>	<p>The main pooled funding mechanisms include:</p> <ul style="list-style-type: none"><li>❖ The Central Emergency Response Fund (CERF) is a global humanitarian pooled fund that is designed to improve responsiveness by making funds available through UN agencies for life-saving assistance at the onset of humanitarian crisis, and also funding for poorly supported interventions.</li><li>❖ Country-Based Pooled Funds (CBPFs) are humanitarian pooled funds established at country-level and managed by the Humanitarian Coordinator (HC). CBPFs allocate funding based on identified humanitarian needs and priorities in line with the</li></ul>

humanitarian program cycle (HPC) (see section 3.1). CBPFs have proven crucial to funding of national NGOs, who cannot easily access funding from major institutional donors or foreign publics.

- ❖ Emergency Response Funds (ERFs) are OCHA-managed funds designed with a specific context in mind, allowing donors (public and, increasingly, private) to contribute to the relief effort. Both UN agencies and NGOs may seek ERF funding.
- ❖ Emerging NGO-led pooled funds, such as the Start Fund.

### *Grand Bargain*

The 2016 World Humanitarian Summit's "Grand Bargain" aims to make significant changes to funding, in particular increasing the funds available to national actors, increasing the availability of non-earmarked funding, and lessening of bureaucratic restrictions/reporting (see also section 1.5).

### *Earmarking*

The distinction between unrestricted or earmarked funding. Earmarked (restricted) funding goes to a particular project, context, or type of program and must be spent by the operational agency in that manner. Unrestricted or non-earmarked funding can be used by the operational agency for any (legitimate) purpose.

## Recommended learning resources

This series of six recorded webinars provides a comprehensive overview of the main funding mechanisms for humanitarian action, as well as the Grand Bargain, focusing in particular on their relevance for NGOs:



### **Learning stream on humanitarian financing**

ICVA & PHAP (2016-2017)

*Learning stream on humanitarian financing*

[phap.org/uhe-AYU6](http://phap.org/uhe-AYU6)

Short course providing an overview of humanitarian funding mechanisms:



### **Humanitarian Funding Mechanisms**

Advanced Training on Humanitarian Action (ATHA)

[phap.org/uhe-CLRD](http://phap.org/uhe-CLRD)

For an overview of humanitarian funding, see the report produced annually by Development Initiatives:



### **Global Humanitarian Assistance Report 2016**

Development Initiatives (2016)

[phap.org/uhe-Q973](http://phap.org/uhe-Q973)

---

Regarding private funding for humanitarian action:



**Private funding for humanitarian assistance: Filling the gap?**

Velina Stoianova (August 2013)

*Global Humanitarian Assistance*

[phap.org/uhe-EQL3](http://phap.org/uhe-EQL3)

---

An overview and analysis of funding from non-State donors:



**Humanitarian Assistance from Non-State Donors: What is it worth?**

Chloe Stirk (April 2014)

*Global Humanitarian Assistance Briefing Paper*

[phap.org/uhe-JSD3](http://phap.org/uhe-JSD3)

---

Analysis of non-DAC or “emerging” donors:



**Non-DAC Donors and Humanitarian Aid: Shifting structures, changing trends**

Kerry Smith (July 2011)

*Global Humanitarian Assistance Briefing Paper*

[phap.org/uhe-LJDB](http://phap.org/uhe-LJDB)

---

An overview of current financing trends in humanitarian financing, with a particular focus on funding for NGOs:



**The humanitarian financing landscape - realities and emerging trends for NGO**

PHAP & ICVA (September 2016)

*Learning Stream on Humanitarian Financing*

[phap.org/uhe-NMQT](http://phap.org/uhe-NMQT)

---

Overview and analysis of where humanitarian financing goes:



**“The Humanitarian Economy”**

Christian Els & Nils Carstensen (2015)

*IRIN News*

[phap.org/uhe-W6Z6](http://phap.org/uhe-W6Z6)

---

Overview of in-kind donations (see sections on “In-kind donations of relief goods” and “In-kind donations of services & volunteers,” pp. 2-6):



**Guide to Humanitarian Giving**

United Nations Office for the Coordination of Humanitarian Affairs (OCHA) (August 2010)

[phap.org/uhe-QS7G](http://phap.org/uhe-QS7G)

---

Regarding restricted *versus* unrestricted funding:



**“What Are Restricted and Unrestricted Funds for a Nonprofit?”**

Joanna Fritz (9 January 2017)

*The Balance*

[phap.org/uhe-P7PG](http://phap.org/uhe-P7PG)

---

## Primary resources

---

Regarding the IFRC’s Disaster Relief Emergency Fund (DREF):



**“Disaster Relief Emergency Fund (DREF)”**

International Federation of the Red Cross and Red Crescent Societies (IFRC)

[phap.org/uhe-V93Y](http://phap.org/uhe-V93Y)

---

Overview of CERF:



**“OCHA CERF - Who we are”**

United Nations Office for the Coordination of Humanitarian Affairs (OCHA)

[phap.org/uhe-TQA5](http://phap.org/uhe-TQA5)

---

Overview of CBPFs:



**“Country-based pooled funds (CBPFs)”**

United Nations Office for the Coordination of Humanitarian Affairs (OCHA)

[phap.org/uhe-4YLL](http://phap.org/uhe-4YLL)

---

The Grand Bargain commitments:



**The Grand Bargain – A Shared Commitment to Better Serve People in Need**

World Humanitarian Summit (2016)

[phap.org/uhe-KUHM](http://phap.org/uhe-KUHM)

---

## Additional learning and resources

---

Regarding trends in private fundraising:



**“4 key trends in private humanitarian fundraising”**

Eliza Villarino (1 May 2014)

*Devex*

[phap.org/uhe-5JTC](http://phap.org/uhe-5JTC)

---

For an overview of issues in institutional funding, (see especially “Key Messages”):



### **Financing in Crisis? Making humanitarian finance fit for the future**

Rachel Scott (June 2015)

*OECD Development Co-operation Working Paper 22*

[phap.org/uhe-43JX](http://phap.org/uhe-43JX)

## Study questions

1. What are the key differences between earmarked and non-earmarked funding? Why are NGOs so keen to receive non-earmarked donations?
2. What are CERF funds used for and who decides how are they disbursed?
3. What are CBPF funds used for and who decides how are they disbursed?
4. Identify the primary types of private donors.
5. What are the key advantages and disadvantages of receiving government institutional funding?
6. What are donations in kind? Give some common examples.

## Scenario

The impoverished island nation of Carribiana is among the five poorest nations in the world and has only recently begun recovery from a violent civil war that resulted in substantial humanitarian needs among the population. At its worst, the United Nations designated the crisis as a “Level 3” Emergency, but the crisis has now subsided. However, now, a major tropical storm has pummeled Carribiana, worsening the humanitarian situation and creating urgent needs across all sectors. At the time of the storm, Hollywood movie stars Monty Towers and his wife Cleopetrana “Coco” Galaxasi were staying at their luxury villa on Carribiana, generating enormous media attention to the crisis in much of the Western world. Prior to this last crisis, your organization was winding down its operations, but will now scale up. Discuss several funding options in this context, with their basic advantages and disadvantages.

## 2.7 Engagement with armed actors

*Identify purposes for which humanitarian actors engage with armed actors, both State and non-State, in situations of international or non-international armed conflict.*

### Key Points and Concepts

*CivMil relations* How relations between civilian and military actors (civil-military or CivMil relations) are shaped by humanitarian law, standards, and principles. In the context of a humanitarian crisis, these relations are generally managed by OCHA at the UN level, while individual humanitarian organizations will often engage with the military independently.

*CivMil ideals* The broad ideal that governs CivMil relations is promoting coexistence, cooperation, and respect for humanitarian principles.

*Overall aims* The broad pragmatic aim that governs CivMil relations is reducing competition and inconsistency, and providing a framework for coordination and cooperation.

The range of specific purposes for which humanitarian actors engage with State and non-State armed actors is broad, including:

- ❖ Sharing information to understand the humanitarian and security situation of civilians.
  - ❖ Sharing information for humanitarian organizational security management (e.g., movements, coordinates of humanitarian staff and facilities, etc.).
  - ❖ Negotiating consent with the relevant armed parties to gain acceptance of humanitarian deployment and access to populations in need.
  - ❖ Coordination to improve the effectiveness of aid, such as where the military control vital logistic infrastructure (e.g., air traffic control).
  - ❖ Communication to support the military in their delivery of aid and improve their support to humanitarian actors (e.g., logistical support, such as the use of military transport or construction capacity).
  - ❖ Direct protection of humanitarian personnel/assets (e.g., armed escorts and convoys).
  - ❖ Advocating for the protection of civilians, respect for the law, and respect for humanitarian principles.
  - ❖ Engagement related to the treatment of the wounded and sick (combatants hors de combat).
  - ❖ Engagement related to the visitation of prisoners of war (a Red Cross mandated activity).
- Specific purposes*

*Measure of last resort* Take note that the use of Military or Civil Defense Assets (MCDA) in support of humanitarian action is a *measure of last resort*, a decision

taken with reference to six criteria. The chief concern is to safeguard the perceived neutrality and independence of humanitarian actors.

## Recommended learning resources

---

For a course introducing the coordination tools and principles of UN-led CivMil coordination:



### **UN Humanitarian Civil-Military Coordination (UN-CMCoord) IMPACT**

OCHA Civil-Military Coordination Section (CMS) (2015)

[phap.org/uhe-PLRD](http://phap.org/uhe-PLRD)

---

For a brief introduction to current challenges in CivMil relations:



### **“Civil–military coordination: the state of the debate”**

Simone Haysom (2013)

*HPG/HPN Humanitarian Exchange, No. 56, pp. 3-4*

[phap.org/uhe-W2LP](http://phap.org/uhe-W2LP)

---

For an overview of the six criteria for the use of military assets (see p. 16):



### **Introduction to Humanitarian Action: A brief guide for resident coordinators**

Inter-Agency Standing Committee (IASC) (October 2015)

[phap.org/uhe-MW72](http://phap.org/uhe-MW72)

---

For an overview of issues in CivMil relations in humanitarian action, with separate chapters on disaster response and protection of civilians:



### **Trends and challenges in humanitarian civil–military coordination: A review of the literature**

Victoria Metcalfe *et al* (May 2012)

*HPG Working Paper*

[phap.org/uhe-CF4C](http://phap.org/uhe-CF4C)

---

Fact sheet providing an overview of CivMil relations, with a focus on EU humanitarian and military activities (see especially pp. 1-5):



### **Civil-military relations in humanitarian crises**

European Civil Protection and Humanitarian Aid Operations (ECHO)

[phap.org/uhe-W42A](http://phap.org/uhe-W42A)

---

Regarding non-State armed actors (see in particular summary on p. 6):



### **Humanitarian Engagement with Non-state Armed Groups**

Andrew MacLeod *et al* (2016)

*Chatham House Research Papers*

[phap.org/uhe-5B3M](http://phap.org/uhe-5B3M)

---

For an overview of current Civ-Mil information sharing challenges:



**“Introduction to the guidelines for the domestic facilitation and regulation of international disaster relief and initial recovery assistance”**

Steven Zyck (2013)

*HPG/HPN Humanitarian Exchange, No. 56, pp. 20-22*

[phap.org/uhe-W2LP](http://phap.org/uhe-W2LP)

---

An overview of the UN position on CivMil relations:



**What is United Nations Humanitarian Civil Military Coordination?**

United Nations Office for the Coordination of Humanitarian Affairs (OCHA) (2013)

*OCHA on Message*

[phap.org/uhe-V8WZ](http://phap.org/uhe-V8WZ)

## Primary resources

---

MCDCA Guidelines for complex emergencies (See especially paragraphs 10, 36 - 40). This guideline does not apply to engagement with non-State military actors:



**Civil-Military: Guidelines & Reference for Complex Emergencies**

United Nations Office for the Coordination of Humanitarian Affairs (OCHA) (2008)

[phap.org/uhe-P6RS](http://phap.org/uhe-P6RS)

---

Guidelines for CivMil relations in natural disasters (hence not a conflict situation):



**Oslo Guidelines: Guidelines on the use of Foreign Military and Civil Defence Assets in Disaster Relief**

United Nations Office for the Coordination of Humanitarian Affairs (OCHA) (2007)

[phap.org/uhe-XXWN](http://phap.org/uhe-XXWN)

---

UN CivMil Handbook:



**UN-CMCoord Field Handbook**

United Nations (2015)

[phap.org/uhe-67Y6](http://phap.org/uhe-67Y6)

## Additional learning and resources

---

On current best practice for negotiating access with non-State armed groups:



**“Civil-Military Relations in Armed Conflicts: A Humanitarian Perspective”**

Manuel Bessler and Kaoruko Seki (2006)

*Liaison – A Journal of Civil-Military Humanitarian Relief Collaborations, Vol. III, No. 3*

[phap.org/uhe-P6SC](http://phap.org/uhe-P6SC)

---

On current best practice for negotiating access with non-State armed groups:



**Humanitarian access negotiations with non-state armed groups: Internal guidance gaps and emerging good practice**

William Carter and Katherine Haver (October 2016)

*SAVE Resource Paper*

[phap.org/uhe-52DV](http://phap.org/uhe-52DV)

---

Another overview of negotiation of access with non-State armed actors:



**Humanitarian engagement with non-state armed actors: The parameters of negotiated access**

Max P. Glaser (June 2005)

*HPG Humanitarian Practice Network Paper, No. 51*

[phap.org/uhe-T7CK](http://phap.org/uhe-T7CK)

---

Regarding overall dialogue with non-State armed actors:



**Talking to the other side: Humanitarian engagement with armed non-state actors**

Ashley Jackson (June 2012)

*Humanitarian Policy Group Policy Brief, No. 47*

[phap.org/uhe-8DNW](http://phap.org/uhe-8DNW)

---

For a discussion of the role of the military in natural disaster response:



**Military responses to natural disasters: last resort or inevitable trend?**

Charles-Antoine Hofmann and Laura Hudson (October 2009)

*HPG Humanitarian Practice Network*

[phap.org/uhe-B7DJ](http://phap.org/uhe-B7DJ)

---

Regarding the complexities of humanitarian relations with the military when it comes to innovation:



**Military actors and humanitarian innovation: questions, risks and opportunities**

Josiah Kaplan and Evan Easton-Calabria (April 2016)

*HPG Humanitarian Practice Network*

[phap.org/uhe-9YVA](http://phap.org/uhe-9YVA)

## Study questions

1. Why is the use of military assets by humanitarian actors considered a measure of last resort?
2. For what purposes might a humanitarian actor communicate with a non-State armed group (e.g., a militia group) in situations of non-international armed conflict?

3. In a country where they are an acting belligerent, what information might foreign military forces possess that is important for humanitarian actors to know?
4. Give examples from recent or ongoing humanitarian operations in conflict-affected States of the role played by State armed forces. Non-State armed actors? Foreign military personnel?
5. The work of an NGO brings it into contact with many civilians who have suffered terrible abuse and violence perpetrated by a non-state armed group. Is it appropriate for the NGO to discuss these violations with the armed group? What are the reasons for and against?

## Scenario

In the country of Kannistan the war with two neighboring States generates a high level of humanitarian needs. The international response is fairly large: while there is no peacekeeping force, humanitarian organizations implement programs throughout the country. The security situation for the humanitarian organizations is difficult – over the past several years, the number of international agencies that have been robbed or had their vehicles stolen has risen alarmingly. The government of Kannistan now struggles to maintain the safety and security of the many humanitarian workers based in their country. It is also concerned that these stolen assets – e.g., 4WD vehicles, laptops, and satellite telephones – may be falling into enemy hands. To remedy the situation, the government announces a new law that requires all transport movements outside of specific cities to be accompanied by an approved armed escort service. These approved services are known to have links to the government security apparatus. What are the arguments in favor and against using these armed escort services? What will your argument be to your counterparts in the government?

## 2.8 Peacekeeping and political missions

*Identify the mandates and roles of peacekeeping and political missions in crisis response.*

### Key Points and Concepts

<i>Primary aim of the UN</i>	<p>Recognize that per Article 1 of the UN Charter, the primary goal of the United Nations is to maintain international peace and security. This gives rise to a broad and inter-related set of UN peace operations: peacekeeping, peacemaking, peace building, peace enforcement, and conflict prevention and mediation.</p>
<i>Conflict prevention</i>	<p>Conflict prevention involves stopping political disputes from becoming armed conflict, and may involve the preventative deployment of UN missions.</p>
<i>Peace making</i>	<p>Peace making involves efforts to bring an end to conflict through negotiated settlement or agreement by the parties.</p>
<i>Peace enforcement</i>	<p>Peace enforcement comprises coercive measures authorized by the UN Security Council in response to a threat to the peace, breach of peace, or act of aggression.</p>
<i>Peace building</i>	<p>Peace building measures include the long-term efforts to create the conditions for a sustainable peace.</p>
<i>Peacekeeping</i>	<p>Peacekeeping forces are typically deployed in support of a peace process, such as the implementation of a ceasefire or disarmament, but may also be part of peace making, peace enforcement and early conflict prevention.</p>
<i>Mandates</i>	<p>How the mandates of peacekeeping operations as assigned by the UN Security Council (UNSC) -- Chapter VI, Chapter VII, and Chapter VIII of the UN Charter – differ in terms of their objectives and scope of powers.</p> <ul style="list-style-type: none"><li>❖ Chapter VI empowers the UNSC to authorize peacekeeping activities in service to the pacific settlement of disputes, and hence not for the purpose of coercive action (but peacekeeping forces may still employ force in self-defense).</li><li>❖ Chapter VII empowers the UNSC to authorize coercive military action in order to restore international peace and security.</li><li>❖ Chapter VIII empowers the UNSC to mandate other intergovernmental bodies to mount peacekeeping operations, such as the African Union Mission in Somalia (AMISOM).</li></ul>
<i>Other functions</i>	<p>In addition to soldiers, peacekeeping teams now frequently include a mix of military and civilian experts authorized to work in areas such as quick impact projects (QIPs), monitoring human rights, support</p>

for the rule of law, protection of electoral processes, and security sector reform.

*Political missions*

The variety of functions of political missions, as mandated by the UN Security Council, within the general instruction to use the UN Secretary General’s “good offices,” mediation, and facilitation to prevent and resolve conflict.

*Integrated missions*

The role of peacekeeping actions within an integrated, coherent, system-wide mission.

## Recommended learning resources

Short course providing an overview of the relationship of humanitarian action to peacebuilding activities, including peacekeeping and stabilization missions:



### **Peace Building and Linkages with Security and Stabilization**

Advanced Training on Humanitarian Action (ATHA)

[phap.org/uhe-CLRE](http://phap.org/uhe-CLRE)

For a very brief history of UN peacekeeping:



### **“60 Years of United Nations Peacekeeping: Looking Back/Moving Forward”**

United Nations Information Service – Vienna (2008)

[phap.org/uhe-W2LP](http://phap.org/uhe-W2LP)

For an overview of UN peacekeeping and political missions (see especially subsections 7.1 and 7.2 in Chapter II):



### **UN-CMCoord Field Handbook**

United Nations (2015)

[phap.org/uhe-67Y6](http://phap.org/uhe-67Y6)

For an overview of conclusions on new directions for peacekeeping:



### **The Review by the High-Level Independent Panel on Peace Operations: Overview**

International Peace Institute (IPI) – Future Peace Operations

[phap.org/uhe-44JX](http://phap.org/uhe-44JX)

For an overview of UN integrated missions:



### **Integration: Structural Arrangements**

United Nations Office for the Coordination of Humanitarian Affairs (OCHA) (March 2012)

*OCHA on Message*

[phap.org/uhe-D7AR](http://phap.org/uhe-D7AR)

---

Regarding types of peacekeeping activities (sections 2.1-2.4) and integrated missions (section 7.2):



**United Nations Peacekeeping Operations: Principles and Guidelines**

United Nations Department of Peacekeeping Operations (DPKO) (2008)

[phap.org/uhe-HMY3](http://phap.org/uhe-HMY3)

---

Brief overview of the missions and purposes of political missions and the UN DPA:



**“Overview”**

United Nations Department of Political Affairs (UN DPA)

[phap.org/uhe-BL3M](http://phap.org/uhe-BL3M)

---

Brief overview of the missions and purposes of political missions and the UN DPA:



**“Role of the Department of Political Affairs”**

United Nations Department of Political Affairs (UN DPA)

[phap.org/uhe-CNUU](http://phap.org/uhe-CNUU)

---

For a more detailed overview of UN political missions (see especially sections 1 and 2):



**No Helmets, Just Suits: Political missions as an instrument of the UN Security Council for civilian conflict management**

Alischa Kugel (March 2011)

*Friedrich Ebert Stiftung International Policy Analysis*

[phap.org/uhe-A5B6](http://phap.org/uhe-A5B6)

---

On legal mandates for peacekeeping:



**“Mandates and the legal basis for peacekeeping”**

United Nations Department of Peacekeeping Operations (DPKO)

[phap.org/uhe-WC6C](http://phap.org/uhe-WC6C)

---

## Primary resources

---

Official civil-military coordination policy for UN integrated missions:



**Civil-Military Coordination in UN Integrated Peacekeeping Missions (UN-CIMIC)**

United Nations Department of Peacekeeping Operations (DPKO) (October 2010)

*DPKO Policy Document*

[phap.org/uhe-49XC](http://phap.org/uhe-49XC)

---

Policy on quick impact projects (see especially paras. 10 and 11):



### **Quick Impact Projects (QIPs)**

United Nations Department of Peacekeeping Operations (DPKO) (2016, last review)

*DPKO Policy Document*

[phap.org/uhe-NJJK](http://phap.org/uhe-NJJK)

---

## **Additional learning and resources**

For a more detailed history and overview of UN peacekeeping:



### **United Nations Peacekeeping Operations: Principles and Guidelines**

United Nations Department of Peacekeeping Operations (DPKO) (2008)

[phap.org/uhe-HMY3](http://phap.org/uhe-HMY3)

---

Regarding integrated missions (see subsection 7.3 in Chapter II):



### **UN-CMCoord Field Handbook**

United Nations (2015)

[phap.org/uhe-67Y6](http://phap.org/uhe-67Y6)

## **Study questions**

1. What are the different names used to describe the various types of UN peacekeeping operations and what are their key differences?
2. What are the main features of a Chapter VI peacekeeping mission?
3. What are the main features of a Chapter VII peacekeeping mission? What are the main differences with Chapter VI?
4. Identify some common objectives of UN political missions and how they relate to humanitarian action.
5. Are peacekeeping missions ever permitted to deliver humanitarian aid?
6. Who are the “Blue Helmets”? Where do they come from?
7. Besides classical keeping of the peace (e.g., creating a military buffer between two armed forces), what else might peacekeepers be asked to do?

## Scenario

For the past five years, the UN Security Council has used its powers under Chapter VII to authorize a large peacekeeping force (10 000 Blue Helmets) in the country of Mestland. Their main objective is to prevent fighting between the government military and a large militia group led by the previous Prime Minister. The two groups have been fighting for several decades, and they share an abysmal track record of violence and abuse of civilian populations, including the frequent commission of atrocities. The country is vast and lacks most infrastructure, so the peacekeepers have set up a major base in each of Mestland's provinces. In response to an ambush on one of its convoys, the government military forces begin attacking villages, looting premises, and often killing or raping those who do not flee. Thousands of displaced people have now set up make-shift communities literally along the border fences of the peacekeeper's base. What sort of actions might the Security Council authorize in order to protect these civilians?

## Domain 3: Key Mechanisms and Processes

The third domain of the body of knowledge for Understanding the Humanitarian Ecosystem covers *efforts to coordinate the humanitarian ecosystem*.

This domain constitutes 28% of the certification assessment.

### Domain Outline

*Humanitarian practitioners must be able to:*

- 3.1 Identify essential components, roles, and responsibilities of the UN-led humanitarian coordination mechanisms.
- 3.2 Identify essential components, roles, and responsibilities of the main examples and types of NGO and Red Cross/Red Crescent networks and coordination mechanisms.
- 3.3 Identify essential components of, and tools related to, the Humanitarian Programming Cycle.
- 3.4 Identify key standards and codes for humanitarian action and their scope.
- 3.5 Recognize the main international legal frameworks that apply to humanitarian action in situations of armed conflict and in other crisis situations.
- 3.6 Identify the mandates of key intergovernmental decision-making bodies as they relate to humanitarian contexts.
- 3.7 Identify the primary IT tools and platforms for humanitarian information management and coordination and their scope and purpose.

## 3.1 UN-led humanitarian coordination mechanisms

*Identify essential components, roles, and responsibilities of the UN-led humanitarian coordination mechanisms.*

### Key Points and Concepts

<i>ERC</i>	<p>The Emergency Relief Coordinator (ERC) role was established by UN Resolution 46/182 (1991). It is an Under-Secretary-General position reporting to the UN Secretary-General.</p> <ul style="list-style-type: none"><li>❖ The ERC is the top UN humanitarian position, responsible for advising the Secretary-General on humanitarian issues and the coordination of response.</li><li>❖ Appointed by the Secretary-General, the ERC serves as the head of OCHA and chairs the Inter-Agency Standing Committee (IASC).</li></ul>
<i>OCHA</i>	<p>See section 2.3</p>
<i>IASC</i>	<p>The Inter-Agency Standing Committee (IASC) was established by UN Resolution 46/182 (1991).</p> <ul style="list-style-type: none"><li>❖ A member body comprised of the UN's key operational agencies, with standing invitations to several other UN bodies, and key non-UN actors: the ICRC, IFRC and several INGO coordination mechanisms (ICVA, InterAction, SCHR – see section 3.2). Chaired by the ERC, the objective is to foster inter-agency coordination in international humanitarian response.</li><li>❖ Current priorities: Effective Response to Emergencies and Protracted Crises; Accountability and Inclusivity; Displacement and Protection Outcomes; Financing.</li><li>❖ Subsidiary bodies focus on specific issues, such as protection, gender, and protracted displacement. In addition, the IASC holds an Emergency Directors Group to advise the IASC members on key operational concerns.</li></ul>
<i>RC and HC</i>	<p>The distinct roles of the UN Resident Coordinator (RC) and the Humanitarian Coordinator (HC)</p> <ul style="list-style-type: none"><li>❖ Different structures apply in different contexts:<ul style="list-style-type: none"><li>- Where the RC holds responsibility for the humanitarian response as a combined RC/HC. The RC system is managed by UNDP and an RC typically has expertise in development, but also reports to the ERC on humanitarian matters.</li><li>- Where conditions warrant – e.g., the capacity of the RC, the nature/extent of the crisis – a separate HC may be appointed to coordinate the humanitarian response, who is named by and reports to the ERC.</li></ul></li><li>❖ The RC or, if named, the HC leads the Humanitarian Country Team.</li></ul>

- ❖ The HC is responsible for ensuring the overall objective of a coordinated humanitarian response within a crisis-affected context, and for the relationship to the affected State – which can be complicated if the State is contributing to the humanitarian problems.
- ❖ In some contexts, the RC will also be named as a Deputy Special Representative of the Secretary-General (DSRSG).

#### UNCT

The UN Country Team (UNCT) is a team of key UN and non-UN agency directors, chaired by the RC and supported by UNDP.

- ❖ It is responsible for strategic decision-making and coordination of the international response.

#### HCT

The UN Humanitarian Country Team (HCT) is a team of key UN agency (those most involved in crisis response) and non-UN agency directors, including the Inter-Cluster Coordinators and sometimes national government or NGO representatives, with a focus on the humanitarian crisis. It is chaired by the HC and supported by OCHA. Membership is decided on a context-specific basis.

- ❖ Responsible for strategic decision-making and coordination of the international response.

#### Cluster system

The cluster system was established in the 2005 UN Reform process and then further refined in the 2011 Transformative Agenda (see section 1.5) in order to create stronger coordination and predictability of humanitarian response.

- ❖ Established for eleven technical areas, clusters are activated on the basis of need, when other coordination mechanisms are overwhelmed – not every cluster is present in every humanitarian crisis.
- ❖ The purpose of the system is to coordinate international response to humanitarian crises in a more strategic, predictable, and accountable manner, with clear leadership and divisions of labor, roles and responsibilities.
- ❖ Having a designated lead agency for each cluster at the global level improves consistency, providing governments and other responders with an identified contact point. Importantly, the lead agency has been designated as the provider of last resort, meaning that it must respond operationally to the gaps in service if no other agency or actor is able to do so. Note that there is some flexibility, and the lead agency for a cluster at the global level is not always designated the lead agency at the country level.
- ❖ The cluster system encourages co-leadership with government bodies and partnership with the NGO community, which can sometimes complicate decision-making.
- ❖ The six core functions of a cluster at country level:

- Ensure delivery of assistance and protection in accordance to the Humanitarian Response Plan and priorities.
- Inform the HC and HCT's decision-making by ensuring a proper assessment of needs, response options, and gaps.
- Plan and implement sectoral funding and operational strategies in accordance with common standards and guidelines.
- Monitor and evaluate performance across the sector.
- Build national capacity and preparedness.
- Support robust advocacy.

### L3 emergencies

In order to improve performance in the most critical and complex crises, the 2011 Transformative Agenda set forth directions for an accelerated, system-wide response to Level 3 (L3) emergencies. Note that this is for the entire UN system – individual agencies also have specific definitions of what constitutes an L3 (or L1 and L2) emergency in their sector.

### Refugee Coordination Model (RCM)

The Refugee Coordination Model (RCM) is led by UNHCR together with the host government. In complex emergencies where a separate humanitarian response is also in place, the *Joint UNHCR-OCHA Note on Mixed Situations: Coordination in Practice* outlines the responsibilities and coordination mechanisms.

## Recommended learning resources

For a webinar focusing in particular on the IASC-coordination mechanisms:



### The IASC and the global humanitarian coordination architecture

PHAP & ICVA (May 2017)

*Learning Stream on Humanitarian Coordination*

[phap.org/uhe-NMRA](http://phap.org/uhe-NMRA)

For a webinar focusing in particular on country-level coordination mechanisms, primarily in terms of UN-led mechanisms:



### The humanitarian coordination architecture at country and regional levels

PHAP & ICVA (June 2017)

*Learning Stream on Humanitarian Coordination*

[phap.org/uhe-NMRB](http://phap.org/uhe-NMRB)

For a webinar discussing OCHA's role in humanitarian coordination:



### OCHA and NGOs in humanitarian coordination

PHAP & ICVA (September 2017)

*Learning Stream on Humanitarian Coordination*

[phap.org/uhe-NMRC](http://phap.org/uhe-NMRC)

---

For a webinar focusing on the Refugee Coordination Model (RCM):



**NGOs in government-led and refugee coordination contexts**

PHAP & ICVA (November 2017)

*Learning Stream on Humanitarian Coordination*

[phap.org/uhe-NMRD](http://phap.org/uhe-NMRD)

---

For a one-page overview of who does what:



**“Clusters: Who does what?”**

HumanitarianResponse.info

[phap.org/uhe-NW9S](http://phap.org/uhe-NW9S)

---

For an overview of international coordination mechanisms (see subsection “International Coordination Mechanisms”):



**International Humanitarian Architecture**

United Nations Office for the Coordination of Humanitarian Affairs (OCHA)

[phap.org/uhe-2JHE](http://phap.org/uhe-2JHE)

---

For an overview of IASC and its membership:



**IASC Membership and Structure**

Inter-Agency Standing Committee (IASC)

[phap.org/uhe-4MVS](http://phap.org/uhe-4MVS)

---

For an overview of IASC priorities:



**IASC Priorities**

Inter-Agency Standing Committee (IASC)

[phap.org/uhe-CPWZ](http://phap.org/uhe-CPWZ)

---

For an explanation of the cluster system (see especially pp. 7, 8, 10 and 13):



**Reference Module for Cluster Coordination at Country Level**

Inter-Agency Standing Committee (IASC) (July 2015)

[phap.org/uhe-WTDW](http://phap.org/uhe-WTDW)

---

For general principles and guidelines on UN coordination:

- On the principles of partnership: see p. 12
- On the ERC role: especially see p. 4
- On the HCT and the difference between UNCT and HCT: especially see pp. 13-15



**Introduction to Humanitarian Action: A brief guide for resident coordinators**

Inter-Agency Standing Committee (IASC) (October 2015)

[phap.org/uhe-MW72](http://phap.org/uhe-MW72)

---

On the activation of Level 3 emergencies:



## **Protocol 2: Humanitarian System-Wide Emergency Activation: definition and procedures**

Inter-Agency Standing Committee (IASC) (13 April 2012)

*IASC Working Group Reference Document*

[phap.org/uhe-KCTU](http://phap.org/uhe-KCTU)

### Study questions

1. What is the difference in responsibility and structure between the UNCT and the HCT? Between the RC and HC?
2. What are the main functions of the clusters? Name the (eleven) thematic clusters.
3. What is the IASC? Give some examples of how the IASC has taken action to improve the coordination of humanitarian action.
4. How do the various UN coordination mechanisms ensure coordination with the government of the affected State?
5. By what mechanism(s) does the UN ensure coordination between the clusters?
6. What UN agency is the designated global cluster lead for protection? What responsibilities come with being the cluster lead?
7. Who is the current ERC and what are his or her main responsibilities?

### Scenario

For the past five years, the UN Security Council has used its powers under Chapter VII to authorize a large peacekeeping force (10 000 Blue Helmets) in the country of Mestland. Their main objective is to prevent fighting between the government military and a large militia group led by the previous Prime Minister. The government and the armed group have been fighting for several decades, and they share an abysmal track record of violence and abuse of civilian populations, which has generated large numbers of long-term IDPs and frequent short-term flight. The country is poor, vast and lacks most infrastructure, leading to high levels of malnutrition and mortality due to poor access to clean water or reliable healthcare, particularly among children. The UN mission is a large one, with an appointed RC and a designated HC. Draw an organigram of how the UN's coordination might look, from its leader(s) in the country down to NGOs and UN agencies that deliver assistance.

## 3.2 NGO and RC/RC networks and coordination mechanisms

*Identify essential components, roles, and responsibilities of the main examples and types of NGO and Red Cross/Red Crescent networks and coordination mechanisms.*

### Key Points and Concepts

Global-acting alliances and coalitions that aim to improve or steer humanitarian policy and practice (more strictly within a humanitarian scope, or within a larger framework of development, sustainability, or peace). These alliance organizations are not operational in the field.

- ❖ Based in Washington, D.C., InterAction is an alliance organization of over 180 NGO members working across the world. Combining the weight, operational impact, and experience of its members with its own research, Interaction advocates on development and humanitarian aid strategy and programming, particularly with the U.S. government and foundations. In addition to current crises, Interaction's Humanitarian Practice and Policy team advocates on a number of thematic areas (e.g., protection, shelter and the transition from relief to development).
- ❖ The International Council of Voluntary Agencies (ICVA), headquartered in Geneva, is a global network of humanitarian NGOs that seeks to improve policy and practice through collective action based on the collaboration and coordination of its members. They pay particular attention to advancing principled humanitarian action.
- ❖ The Steering Committee on Humanitarian Response (SCHR) is a voluntary alliance of nine of the world's leading humanitarian organizations, which come together to support quality, accountability, and learning in humanitarian action. The members are ACT Alliance, CARE, Caritas, ICRC, IFRC, Lutheran World Federation, Oxfam, Save the Children and World Vision.
- ❖ Voluntary Organisations in Cooperation in Emergencies (VOICE) is a Brussels-based network of European NGOs active in humanitarian response. With a focus on ECHO and the European institutions, it helps NGOs to work with ECHO and conducts advocacy on various levels. (Note that there are other networks named VOICE that have little or nothing to do with humanitarian action)
- ❖ ACT Alliance forms a coalition of 143 church- and faith-based organizations, using advocacy to bring about a more just, peaceful, and sustainable world.
- ❖ The Network for Empowered Aid Response (NEAR) is a newly formed alliance that works towards restructuring the top-down global response to human, economic, and environmental challenges so that actions to address these are locally driven and owned, and promote equitable, dignified, and accountable partnerships. *Note that they are also planning to start working on funding with the launch of a regional NGO-led pooled fund.*

*Policy and practice*

Networks and alliances that use coordination to achieve a more specific objective, such as related to funding.

*Funding*

- ❖ The Start Network brings together 42 national and international aid agencies. Its focus is on piloting/testing new ways of working: innovative funding mechanisms, increasing the resilience of local communities, and managing an NGO-led pooled response fund (the Start Fund).
- ❖ The Disasters Emergency Committee (DEC) is an example of an alliance of 13 UK-based aid organizations designed to maximize and coordinate funding appeals in response to select humanitarian emergencies (recent examples: Yemen crisis, Nepal Earthquake, Ebola). They are in turn members of the international Emergency Appeals Alliance (EAA), bringing together 13 national organizations like the DEC.

*Crisis-specific mechanisms*

In some crisis contexts, the NGO community has found it useful to form coordination mechanisms that remain independent from the UN coordination mechanisms. Prominent current examples include the Syrian INGO Regional Forum (SIRF), the Agency Coordinating Body for Afghan Relief and Development (ACBAR), and the Association of International Development Agencies (oPT) (AIDA). Some, like ACBAR, have existed for a long time (established in 1988), while others have arisen within a recent crisis response. Membership varies: international only (SIRF), national only, mixed (ACBAR).

*IFRC*

The International Federation of the Red Cross and Red Crescent Societies (IFRC) is almost 100 years old (see section 2.4) and forms a humanitarian network encompassing 190 national RC/RC societies across the world. The purpose of the IFRC is to support humanitarian action by coordinating the response of its global network of RC/RC societies and by representing that network in international forums. It takes the lead in the Movement's response to natural disasters. It should not be confused with the ICRC. (see section 2.4).

*IASC*

The IFRC, ICRC, ICVA, InterAction and SCHR have permanent invitations to sit on the IASC.

*RC/RC Conference*

Every four years, the Movement holds the International Conference of the Red Cross/Red Crescent, which brings together the Movement (national societies, ICRC, IFRC) with States Party to the Geneva Conventions in the aim of setting forth new commitments to strengthen humanitarian law.

## Recommended learning resources

---

For a webinar giving an overview of different NGO for and consortia and how they work:



### **NGO fora and consortia from local to global**

PHAP & ICVA (July 2017)

*Learning Stream on Humanitarian Coordination*

[phap.org/uhe-NMRE](http://phap.org/uhe-NMRE)

---

For an overview of humanitarian NGO networks:



### **“Humanitarian NGO Networks”**

Kathrin Schick (2006)

*In Pat Gibbons et al, Working in Conflict - Working on Conflict, Humanitarian Dilemmas and Challenges, HumanitarianNet, University of Deusto, pp. 95-103*

[phap.org/uhe-UX7D](http://phap.org/uhe-UX7D)

---

For an overview of ICVA and its history (see especially sections “About ICVA” and “Strategic plans”):



### **“About ICVA”**

International Council of Voluntary Agencies (ICVA)

[phap.org/uhe-HFMC](http://phap.org/uhe-HFMC)

---

On the humanitarian focus areas of InterAction:



### **“Humanitarian Action”**

InterAction

[phap.org/uhe-UGFL](http://phap.org/uhe-UGFL)

---

For an overview of SCHR and their priorities:



### **“About SCHR”**

Steering Committee for Humanitarian Response (SCHR)

[phap.org/uhe-AY2M](http://phap.org/uhe-AY2M)

---

A very brief overview of ACT Alliance’s work:



### **“About ACT Alliance”**

Action by Churches Together (ACT) Alliance

[phap.org/uhe-FUVW](http://phap.org/uhe-FUVW)

---

Brief overview of VOICE:



### **“About VOICE”**

Voluntary Organizations in Cooperation in Emergencies (VOICE)

[phap.org/uhe-UV4F](http://phap.org/uhe-UV4F)

---

---

Summary report of the launch event of NEAR ahead of the World Humanitarian Summit (see especially pp. 1-4):



### **The Launch of NEAR**

Network for Empowered Aid Response (NEAR) (2016)

*NEAR Summary Report*

[phap.org/uhe-LLSW](http://phap.org/uhe-LLSW)

---

For an overview of the Start Network:



### **“About us: Leading for change in humanitarian aid”**

Start Network

[phap.org/uhe-BANV](http://phap.org/uhe-BANV)

---

For a history of the Start Network:



### **“The Start Network: A history”**

Start Network

[phap.org/uhe-B6QU](http://phap.org/uhe-B6QU)

---

For the history of the Emergency Appeals Alliance (EAA):



### **“History”**

Emergency Appeals Alliance (EAA)

[phap.org/uhe-V72Q](http://phap.org/uhe-V72Q)

---

For the reason behind the founding of the Emergency Appeals Alliance (EAA):



### **“Why a Global Alliance”**

Emergency Appeals Alliance (EAA)

[phap.org/uhe-93ZQ](http://phap.org/uhe-93ZQ)

---

On the history, mission, and structure of the IFRC (see especially sections on “History” and “Our vision and mission” and for the structural components, see the subsections under “The IFRC”):



### **“Who we are”**

International Federation of the Red Cross and Red Crescent Societies (IFRC)

[phap.org/uhe-R5UV](http://phap.org/uhe-R5UV)

---

For a crisis-specific mechanism (ACBAR):



### **“ACBAR – Background”**

Agency Coordinating Body for Afghan Relief and Development (ACBAR)

[phap.org/uhe-45JX](http://phap.org/uhe-45JX)

## Additional learning and resources

---

The following reports provide a more in-depth insight into the strategies of specific networks:



### ICVA's 2015-2018 Strategy

International Council of Voluntary Agencies (ICVA) (2015)

[phap.org/uhe-R26S](http://phap.org/uhe-R26S)



### InterAction 2015 Annual Report

InterAction (2016)

*Interactive Report*

[phap.org/uhe-NVZ9](http://phap.org/uhe-NVZ9)



### NEAR wants to transform global aid: New local-focused network launches ahead of World Humanitarian Summit in Istanbul

Network for Empowered Aid Response (NEAR) (2016)

*NEAR Press Release*

[phap.org/uhe-ZM99](http://phap.org/uhe-ZM99)



### IFRC Annual Report 2015

International Federation of the Red Cross and Red Crescent Societies (IFRC)

[phap.org/uhe-QAK9](http://phap.org/uhe-QAK9)

---

For the background research behind founding a Southern-based network like NEAR:



### The Demand for, Feasibility and Scope of a Global Network of Southern NGOs in Disaster Resilience, Response and Recovery

Ben Ramalingam (April 2015)

*Adeso Africa*

[phap.org/uhe-YXLG](http://phap.org/uhe-YXLG)

---

On how joint action NGO alliances can be structured in general:



### New organisational frameworks: the importance of joint action

David Sogge (2011)

*Conference Report, Jornadas Eficacia del Desarrollo y ONGDs: renovando nuestro papel*

[phap.org/uhe-KQLY](http://phap.org/uhe-KQLY)

## Study questions

1. Name five examples of international NGO networks or coordination bodies. Generally speaking, what are their purpose/objectives? What factors differentiate the examples you picked?

2. How does the Red Cross and Red Crescent movement coordinate response to an emergency in country X, where there is a national Red Cross society and where several foreign Red Crescent societies seek to contribute to the emergency response?
3. By what methods might ICVA or InterAction seek to influence humanitarian policy or practice? Give some examples of their positions.
4. For what purposes might NGOs come together in an alliance or network within a specific humanitarian context? Does this mean that coordination efforts of mechanisms established by the United Nations are being duplicated?
5. What is the nature of the NEAR network? What sparked it to come into existence?
6. What is the Disasters Emergency Committee (DEC)? For what objective (to overcome what problems) was it created?

## Scenario

You are the founder of a new NGO called Fundraising without Borders. The purpose of this organization is to employ fundraising experience and expertise – common in many Western NGO markets – to support emerging or developing humanitarian NGOs in the “global south.” There are two main ways you hope to accomplish this. The first is by increasing their access to Western markets, by enabling them to launch appeals directly and raise money in those markets (e.g., through media relations, secure funding transfer mechanisms, and development of brand awareness and identity). The second is by establishing a long-term vision for increasing private donations – corporate and individual – within the home market. You have access to the expertise but will require funding and access to potential “client” NGOs willing to engage your support. How might the work of existing coordination mechanisms help you achieve your objectives? Which one coordination mechanism would you join and why?

## 3.3 Humanitarian Programming Cycle

*Identify essential components of, and tools related to, the Humanitarian Programming Cycle.*

### Key Points and Concepts

The Humanitarian Programming Cycle (HPC) comprises a set of tools and processes to support UN HCs and HCTs (see section 3.1) in delivering effective assistance and protection. There are six components:

*Six components*

- ❖ **Emergency preparedness** – anticipating emergencies that are likely to occur and putting in place key components of the response in advance.
- ❖ **Needs assessment and analysis** – coordinated, multi-sectoral needs assessment and prioritization, captured in the Humanitarian Needs Overview.
- ❖ **Strategic response planning** – translation of the most pressing humanitarian needs into objectives that inform a country strategy at the HCT level and in cluster plans (activities, projects and costing) at the operational level
- ❖ **Resource mobilization** – tracking of funding and assistance through the UN’s Financial Tracking Services (FTS)
- ❖ **Implementation and monitoring** – assessment of the response against the Humanitarian Response Plan (HRP) in order to identify gaps/shortfalls and to improve accountability to stakeholders (note: this is not program evaluation), with output contributing to the Periodic Monitoring Report and the Humanitarian Dashboard
- ❖ **Operational review and evaluation** – using the Operational Peer Review (OPR) to assess leadership, implementation of the HPC, coordination, and accountability to affected populations, and following with a more thorough Inter-Agency Humanitarian Evaluation. Note that an OPR is distinct from a Real-Time Evaluation (RTE), which might also be used to evaluate the situation (see certification in Monitoring, Evaluation, Accountability, and Learning).

*Transformative Agenda*

The establishment of the HPC forms part of the IASC’s Transformative Agenda and is recognized as depending heavily on good coordination and information management. The HPC applies to all emergencies and contexts, so must remain flexible and adapted to the specific situation.

*Level 3 emergencies*

Special guidance has been established for system-wide Level 3 emergencies, where the fluidity of the situation and urgency of the needs may require a streamlining of the HPC process.

## Recommended learning resources

---

For an overview of what needs to be done, when, and by whom in the Humanitarian Program Cycle (see especially pp. 1-12):



### **IASC Reference Module for the Implementation of the Humanitarian Programme Cycle**

Inter-Agency Standing Committee (IASC) (July 2015)

*Version 2.0*

[phap.org/uhe-4VKM](http://phap.org/uhe-4VKM)

---

IASC guidance on the HPC in Level 3 crises:



### **Protocol 5: Responding to Level 3 Emergencies: The Humanitarian Programme Cycle**

Inter-Agency Standing Committee (IASC) (November 2012)

*IASC Working Group Reference Document*

[phap.org/uhe-EY8L](http://phap.org/uhe-EY8L)

## Additional learning and resources

---

Templates and Guidance for the Humanitarian Needs Overview:



### **“Humanitarian Needs Overview - Guidance and Templates”**

Inter-Agency Standing Committee (IASC) (updated August 2016)

[phap.org/uhe-VLTM](http://phap.org/uhe-VLTM)

---

Template and Guidance for the Periodic Monitoring Report:



### **“Periodic monitoring report guidance”**

Inter-Agency Standing Committee (IASC) (November 2015)

[phap.org/uhe-K2R7](http://phap.org/uhe-K2R7)

---

Template and Guidance for the Humanitarian Dashboard:



### **“Humanitarian Dashboard Toolkit”**

Inter-Agency Standing Committee (IASC) (July 2013)

[phap.org/uhe-6Y7X](http://phap.org/uhe-6Y7X)

## Study questions

1. What are the six key components of the HPC?
2. How are needs determined in the HPC? At what stage does this take place?
3. What mechanisms exist to ensure that program activities are meeting their objectives?

4. Why are there specific guidelines for the HPC in system-wide “Level 3” or “L3” emergencies?
5. In a given emergency, how might the work of clusters fit into the HPC?

## Scenario

An epidemic of a deadly, highly contagious strain of influenza has broken out in one of the poorest regions of the world. The international response has been significant but has not been able to gain control over the situation. The United Nations has not yet declared the situation to be a system-wide Level 3 emergency, and governments in the region oppose such a move. The WHO has deployed a large team, as have several well-resourced global health security epidemic response bodies. The impact goes well beyond the flu itself – health systems have been completely overrun and facilities abandoned, transport bans imposed, schools and many businesses closed, commerce all but halted, and the annual harvest interrupted. The epidemic has already led to major loss of life in three countries and threatens to do so in several others.

You work in the head office of a major humanitarian NGO alliance (see section 3.2). You are asked by a politician of a powerful Western government for an off-the-record briefing. She would like to understand the arguments for and against declaring this emergency a system-wide Level 3 emergency. Based on this situation, what might be some of these arguments? Does the situation fit the purpose of the Level 3 activation?

## 3.4 Standards and codes

*Identify key standards and codes for humanitarian action and their scope.*

### Key Points and Concepts

<i>Humanitarian principles</i>	<p>The four core humanitarian principles of humanity, impartiality, neutrality, and independence were first codified by the Red Cross (along with three additional RC organizational principles – see section 2.4). There is widespread agreement among humanitarian actors, as well as governments, that these principles form the foundation of the unique role and value of humanitarian action and distinguish it from other forms of assistance and protection. These principles define and guide humanitarian action, but must also be balanced within the context and complexity of the human experience.</p>
<i>RC/RC Movement Code of Conduct</i>	<p>The Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief (1994) is a code designed to ensure high standards of conduct among humanitarian responders. It is voluntary, and contains ten principles.</p>
<i>Sphere standards</i>	<p>The Sphere Handbook and accompanying standards provide key technical standards for a wide set of program activities, establishing internationally agreed common principles and minimum standards (see section 1.7). The standard is currently being revised, with a new edition planned for 2018.</p>
<i>CHS</i>	<p>The Core Humanitarian Standard on Quality and Accountability (CHS) (2014) establishes nine verifiable commitments that humanitarian actors can employ to enhance the quality and accountability of their work. Its development is led by the CHS Alliance, which unites elements of previous initiatives such as the Humanitarian Accountability Project (HAP) and People in Aid. (See section 1.7)</p>
<i>PSEA</i>	<p>Regarding sexual abuse by their own staff, most agencies will have their own specific policy. At the sectoral level, there is the IASC (2015) <i>statement on Protection from Sexual Abuse and Exploitation</i>.</p>
<i>Principles of Partnership</i>	<p>The Principles of Partnership (2007) was adopted by the Global Humanitarian Platform, consisting of leaders of 40 humanitarian organizations including NGOs, UN agencies, the International Organization for Migration (IOM), the World Bank, and the Red Cross and Red Crescent Movement. The Principles of Partnership (i.e. Equality, Transparency, Results-Oriented Approach, Responsibility and Complementarity) provide a framework for all actors in the humanitarian space, including Governments, academia, the private sector and affected populations, to engage in a more equal, constructive and transparent setting.</p>

<i>PHAP Code</i>	Agreeing to the PHAP Code of Ethics and Professional Conduct is required of all PHAP members and PHAP Credentialing Program certification holders. Committing to the PHAP Code entails agreeing to a shared understanding of humanitarian action and a set of general standards of conduct that is applicable to humanitarians and others alike.
<i>NGO consortia</i>	Some NGO consortia and alliances have their own standards for membership that focus on financial accountability, ethics, and other matters of conduct.
<i>Context-specific standards</i>	Specific codes of conduct and standards have been agreed at the field (country) level, for example spelling out how the humanitarian community should relate to peacekeeping or other military forces.
<i>Other technical standards</i>	There are technical standards that have been developed in sectors not directly covered by the Sphere Handbook, for example the Livestock Emergency Guidelines and Standards (LEGS) and the Minimum Economic Recovery Standards (MERS).

## Recommended learning resources

On the core humanitarian principles (see pp. 1-10 for the core four principles of humanity, impartiality, neutrality, and independence):



### **The Fundamental Principles of the Red Cross and Red Crescent**

International Committee of the Red Cross (ICRC) (1996)

[phap.org/uhe-HV62](http://phap.org/uhe-HV62)

Video overview of the Code of Conduct for The International Red Cross and Red Crescent Movement and NGOs in Disaster Relief:



### **The Code of Conduct**

International Federation of the Red Cross and Red Crescent Societies (IFRC) (2007)

[phap.org/uhe-A68M](http://phap.org/uhe-A68M)

Online course on the Sphere Handbook, Humanitarian Charter and Minimum Standards in Humanitarian Response:



### **The Sphere Handbook in action**

Kaya - Humanitarian Leadership Academy

*Provided by the Sphere Project*

[phap.org/uhe-TBD6](http://phap.org/uhe-TBD6)

---

Online course on the Core Humanitarian Standards on Quality and Accountability (CHS):



### **Introduction to the Core Humanitarian Standard**

Kaya - Humanitarian Leadership Academy

*Provided by CHS*

[phap.org/uhe-TBD7](http://phap.org/uhe-TBD7)

---

## Primary resources

---

Code of Conduct for the RCRC Movement and NGOs in Disaster Relief:



### **Code of Conduct for The International Red Cross and Red Crescent Movement and NGOs in Disaster Relief**

International Federation of the Red Cross and Red Crescent Societies (IFRC) (1994)

[phap.org/uhe-ATSH](http://phap.org/uhe-ATSH)

---

The Sphere Handbook and accompanying standards:



### **Sphere Handbook: Humanitarian Charter and Minimum Standards in Humanitarian Response**

The Sphere Project (revised 2011)

[phap.org/uhe-9Z6H](http://phap.org/uhe-9Z6H)

---

Core Humanitarian Standard on Quality and Accountability (CHS):



### **Core Humanitarian Standard on Quality and Accountability**

CHS Alliance, Groupe URD & the Sphere Project (2014)

[phap.org/uhe-JA3L](http://phap.org/uhe-JA3L)

---

IASC statement on PSEA:



### **IASC statement on Protection from Sexual Abuse and Exploitation**

Inter-Agency Standing Committee (IASC) (2015)

[phap.org/uhe-ZE5Q](http://phap.org/uhe-ZE5Q)

---

PHAP Code of Ethics and Professional Conduct required of all PHAP members and PHAP Credentialing Program certification holders:



### **PHAP Code of Ethics and Professional Conduct**

PHAP (revised March 2017)

[phap.org/uhe-SKKA](http://phap.org/uhe-SKKA)

---

Livestock Emergency Guidelines and Standards (LEGS):



**Livestock Emergency Guidelines and Standards (LEGS)**

Livestock Emergency Guidelines and Standards Project (revised 2014)

[phap.org/uhe-C5RQ](http://phap.org/uhe-C5RQ)

---

Minimum Economic Recovery Standards (MERS):



**Minimum Economic Recovery Standards (MERS)**

The SEEP Network (revised 2016)

[phap.org/uhe-DPD5](http://phap.org/uhe-DPD5)

---

## Additional learning and resources

For a comprehensive set of learning resources on understanding how to apply humanitarian principles in practice:



**Study Guide: Certification in Applying Humanitarian Principles in Practice**

PHAP Credentialing Program

[phap.org/uhe-46JX](http://phap.org/uhe-46JX)

---

An example of a code used by an NGO alliance:



**InterAction's PVO Standards**

InterAction (revised December 2014)

[phap.org/uhe-DEZA](http://phap.org/uhe-DEZA)

## Study questions

1. To whom does the Code of Conduct for the International Red Cross and Red Crescent Movement apply?
2. What are the four core humanitarian principles? Give a brief definition of each one.
3. How does the Core Humanitarian Standard (CHS) seek to improve accountability to crisis-affected populations?
4. What was the rationale underlying the creation of the Sphere Handbook? Generically speaking, what sorts of information would you be able to find in the Handbook?
5. According to the Sphere standards, which chapter would you expect to find the standard for the maximum distance from any household to the nearest water point? What is this distance?

(While you are unlikely to be asked for this level of detail in the assessment, you should be able to locate this kind of information when necessary).

## Scenario

One million refugees have fled Sumera to the neighboring country, where half live in large camps managed by the UN. The agencies managing these camps have received relatively steady funding, and conditions are stable in terms of the basics (shelter, water, healthcare, education, and food). Assessments show that the refugees suffer very high levels of mental trauma such as PTSD and depression, affecting children, adults and both genders. The UN has asked you to mount a psycho-social healthcare program to improve refugee mental health, as this marks a gap in the aid provided. The first step is to hold a meeting with a committee of representatives from the refugees. At the committee meeting you are asked to explain how your organization will implement the CHS in this project. Please discuss and give the committee some specific examples.

## 3.5 Legal frameworks

*Recognize the main international legal frameworks that apply to humanitarian action in situations of armed conflict and in other crisis situations.*

### Key Points and Concepts

<i>IHL</i>	<p>International Humanitarian Law (IHL), also known as Law of Armed Conflict (LOAC) delineates a relatively narrow range of rights, and a broader range of protections. Based in the four Geneva Conventions and its two Additional Protocols, it applies in times of armed conflict (i.e., not in effect in natural disasters with no armed conflict). Importantly, IHL differentiates between international armed conflict (e.g., between two or more States) and non-international armed conflict (e.g., an internal conflict or “civil war”).</p>
<i>Purpose of IHL</i>	<p>IHL does not prohibit armed conflict; its fundamental purpose is to limit its effects by regulating the behavior of belligerents, such as the principle of distinction between civilians and civilian objects on the one hand and combatants and military objects on the other.</p>
<i>Protection under IHL</i>	<p>IHL protects certain categories of persons, namely those who are not or are no longer participating in hostilities, meaning most notably civilians not participating in hostilities and combatants who are <i>hors de combat</i> being sick, wounded, or prisoners of war.</p>
<i>Means and methods of warfare</i>	<p>Recognizing that the only legitimate objective of war is to weaken the armed forces of the enemy, IHL restricts the means and methods of warfare to avoid superfluous injury and unnecessary suffering by regulating the weapons and techniques or strategies used by belligerents.</p>
<i>IHRL</i>	<p>International Human Rights Law (IHRL) sets forth a broad set of civil, political, economic, and social rights. Human rights law is directed at the conduct of States, protecting individuals against State authorities. There is the debate regarding the legal limitations that IHRL places on other entities, e.g., non-State armed groups, corporations, or NGOs. At the international level, there are today nine core international human rights treaties each monitored by a committee of experts and sometimes supplemented by optional protocols. Although not a legally binding treaty, the 1948 Universal Declaration of Human Rights was the first instrument adopted at the international level laying down fundamental human rights to be universally protected.</p> <ul style="list-style-type: none"><li>❖ One of the core treaties, the Convention on the Rights of the Child (CRC) is often referenced in humanitarian work as it frames the protection work of UNICEF and other humanitarian organizations with a focus on children.</li></ul>

Refugee law, and in particular the Refugee Convention (1951) and its 1967 Protocol, sets out the definition of a refugee and the standards to which State asylum processes must adhere.

*Refugee Law*

- ❖ The definition of a refugee is based upon four conditions: that an individual 1) is outside his/her country of origin (i.e., not an IDP); 2) is unable or unwilling to avail him/herself of the protection of his/her country; 3) has a well-founded fear of persecution; and 4) that this persecution is based on one of the enumerated discriminatory grounds.
- ❖ The principle of *non-refoulement* prohibits returning or expelling any refugee in any manner whatsoever to countries where their life or freedom would be threatened on account of their race, religion, nationality, membership of a particular social group, or political opinion.

International Criminal Law regulates individual criminal responsibility in case of international crimes, namely genocide, crimes against humanity, war crimes, and crimes of aggression. An important body for the prosecution of violations of international criminal law where national criminal prosecution cannot or will not handle the matter is the International Criminal Court (ICC). This is a recently created body: the statute of the ICC (the Rome Statute) was adopted in 1998 and the court came into existence in 2002.

*ICL and the ICC*

The principle that the applicability of many of the above rights and conventions may differ depending upon the relevant treaties being signed and ratified by States.

*Treaty applicability*

The Guiding Principles on Internal Displacement are not law and do not create a legal framework. They are derived from existing law, restating it in terms of the protection of internally displaced persons (IDPs), and thus can be interpreted as containing internationally recognized rights and guarantees.

*Guiding Principles on Internal Displacement*

Customary international humanitarian law plays an important role in filling the gaps of treaty law, especially in non-international armed conflict which are comparatively less regulated through treaties than international armed conflicts. Essentially, some laws, even if not codified in written form, exist because they appear to be the accepted “custom” of States, meaning the practice or conduct of States is consistent, demonstrating it is accepted by them as law. Customary inter1.7 has been subject of a detailed study by the ICRC.

*Customary international law*

## Recommended learning resources

---

For a comprehensive set of learning resources on the fundamentals of how international legal frameworks apply in humanitarian action:



### **Study Guide: Certification in International Legal Frameworks for Humanitarian Action**

PHAP Credentialing Program

[phap.org/uhe-47JX](https://phap.org/uhe-47JX)

---

For a good summary of the main legal bodies relevant for humanitarian action (see especially pp. 11-23):



### **International Legal Frameworks for Humanitarian Action**

Huma Haider (2013)

*GSDRC Topic Guide*

[phap.org/uhe-QETL](https://phap.org/uhe-QETL)

---

For an online course offering brief introductory modules related to different aspects of IHL:



### **ICRC e-learning modules on International Humanitarian Law**

International Committee of the Red Cross (ICRC)

[phap.org/uhe-B38H](https://phap.org/uhe-B38H)

---

For self-study modules on international refugee law with self-study assessments/exercises:



### **UNHCR's self-study modules on Refugee Law and Protection**

United Nations High Commissioner for Refugees (UNHCR)

[phap.org/uhe-H4YP](https://phap.org/uhe-H4YP)

---

Regarding law relevant to natural disasters (see pp. 37-41):



### **International Legal Frameworks for Humanitarian Action**

Huma Haider (2013)

*GSDRC Topic Guide*

[phap.org/uhe-QETL](https://phap.org/uhe-QETL)

---

For an interactive overview of the ratification of core IHRL treaties:



### **“Status of Ratification - Interactive Dashboard”**

Office of the United Nations High Commissioner for Human Rights (OHCHR)

[phap.org/uhe-EAY3](https://phap.org/uhe-EAY3)

## Primary resources

---

For direct links to all IHL treaties and the ICRC Commentaries:



### **Geneva Conventions of 1949 and Additional Protocols, and their Commentaries**

International Committee of the Red Cross (ICRC)

[phap.org/uhe-R5ZV](http://phap.org/uhe-R5ZV)

---

To search the ICRC customary IHL database by chapter or rule:



### **Customary IHL database**

International Committee of the Red Cross (ICRC)

*Based on J.-M. Henckaerts, J.-M., and Doswald-Beck, L. (2005), Customary International Humanitarian Law Study, ICRC, Cambridge University Press, Cambridge & New York*

[phap.org/uhe-MRDY](http://phap.org/uhe-MRDY)

---

For the texts of the core IHRL treaties:



### **International Covenant on Civil and Political Rights**

United Nations General Assembly (1966)

[phap.org/uhe-7YEG](http://phap.org/uhe-7YEG)

---

For the 1951 Refugee Convention:



### **Convention relating to the Status of Refugees**

UN Conference of Plenipotentiaries on the Status of Refugees and Stateless Persons (1951)

[phap.org/uhe-STUQ](http://phap.org/uhe-STUQ)

---

For the Rome Statute of the ICC:



### **Rome Statute of the International Criminal Court**

United Nations General Assembly (1998, amended 2010)

[phap.org/uhe-77LB](http://phap.org/uhe-77LB)

---

## Additional learning and resources

---

For an overview of the legal framework for humanitarian access:



### **“The legal framework of humanitarian access in armed conflict”**

Felix Schwendimann (2011)

*International Review of the Red Cross, Vol. 93, No. 884*

[phap.org/uhe-B8MA](http://phap.org/uhe-B8MA)

---

For an online course offering an introduction to IHL:



### **International Humanitarian Law Distance Learning Series**

Harvard Humanitarian Initiative

[phap.org/uhe-XUHV](http://phap.org/uhe-XUHV)

---

On the IHL definition of armed conflict:



### **How is the Term "Armed Conflict" Defined in International Humanitarian Law?**

International Committee of the Red Cross (ICRC) (March 2008)

*ICRC Opinion Paper*

[phap.org/uhe-LS4F](http://phap.org/uhe-LS4F)

---

For an alphabetized guide to humanitarian law:



### **The Practical Guide to Humanitarian Law**

Françoise Bouchet-Saulnier (2013)

*Médecins sans Frontières*

[phap.org/uhe-6A5P](http://phap.org/uhe-6A5P)

---

Regarding poor adherence and respect for international law in relation to humanitarian crises  
(see especially Core Responsibility Two):



### **One Humanity: Shared Responsibility**

Report of the Secretary-General for the World Humanitarian Summit (January 2016)

*United Nations General Assembly, A/70/709*

[phap.org/uhe-VU7C](http://phap.org/uhe-VU7C) (web-based summary) [phap.org/uhe-3RFU](http://phap.org/uhe-3RFU) (full report)

## **Study questions**

1. In a situation of non-international armed conflict, what are the main sources of the applicable IHL?
2. What is the principle of distinction under IHL?
3. What is the definition of a refugee under the Refugee Convention? What is the accepted definition of an IDP? How is a refugee different from an IDP?
4. In the context of a humanitarian response to an internal situation of civil war, give some example of how human rights law might establish protection or rights where IHL does not. Give some examples of how IHL might establish protection or rights where human rights law does not.
5. What is the purpose of the Guiding Principles on Internal Displacement? Why were they established?

6. When is a citizen protected by international human rights law? What about an immigrant who is not a citizen? What about a soldier?

## Scenario

Creeze was a stable, middle-income country until it plunged into civil war last year. The war pits the government against ever-shifting networks of rebel groups that also fight each other. The conflict fuels intercommunal strife on both religious and ethnic grounds, and is characterized by high levels of violence against civilians by all parties. Rural populations had originally fled from their villages to the cities and towns. Moreover, an estimated 15% of the population has fled to a neighboring State. One large city has become an enclave, with hundreds of thousands of civilians trapped by fighting and without access to reliable medical care, food, or water. A convoy of relief aid vehicles stands ready to deliver but is blocked by the government.

Because of your advocacy work for a humanitarian organization in Creeze, you are invited to give a lecture to a class of high school students. Keeping to the basics, what are some of the ways in which international law is implicated, even if it is not being respected. In other words, what frameworks cover the situation, and in what ways? How would you present this to the class?

## 3.6 Intergovernmental decision-making bodies

*Identify the mandates of key intergovernmental decision-making bodies as they relate to humanitarian contexts.*

### Key Points and Concepts

<i>UNGA</i>	<p>From time to time the United Nations General Assembly takes decisions that have a major impact on the shape of UN humanitarian work, such as Resolution 46/182 (1991), which instituted a set of reforms including the creation of position of the Emergency Relief Coordinator (ERC), the Inter-Agency Standing Committee (IASC), and the Central Emergency Response Fund (CERF); or the more recent adoption of the Sustainable Development Goals (SDGs), which seem likely to have a considerable on humanitarian contexts.</p>
<i>ECOSOC</i>	<p>The United Nations Economic and Social Council (ECOSOC) oversees and coordinates the work of 15 specialized agencies with a particular focus on sustainable development. Of particular interest is its Humanitarian Affairs Segment during its annual session.</p>
<i>UNSC</i>	<p>The United Nations Security Council (UNSC) has primary responsibility for the ensuring international peace and security. The Security Council determines whether or not a threat exists to peace or if an act of aggression has taken place. It calls upon the parties to a dispute to settle it by peaceful means and recommends methods of adjustment or terms of settlement. In some cases, the Security Council can resort to imposing sanctions or even authorize the use of force to maintain or restore international peace and security. The UNSC holds the power to establish peacekeeping operations and political missions (see section 2.8).</p>
<i>AU</i>	<p>The Assembly of the African Union (AU) can take decisions to address urgent matters related to peace and security, including emergency situations.</p>
<i>EU</i>	<p>The EU's European Council has set in place the EU's policy with regard to humanitarian response to crisis in the European Consensus on Humanitarian Aid. The EU channels its humanitarian work through ECHO, a component of the European Commission and an important source of policy and funding in the humanitarian sphere.</p>
<i>ASEAN</i>	<p>In 2005, Association of Southeast Asian Nations (ASEAN) members signed the Agreement on Disaster Management and Emergency Response (AADMER), which in turn has established a coordination center for humanitarian assistance and disaster response (AHA Centre) as its operational arm, to monitor and respond to crises in the region.</p>

OECD	Organization for Economic Cooperation and Development (OECD) membership is comprised of 35 nations, mostly representing Western-style democracies. OECD Council decisions set the strategies for the OECD Secretariat, which sets OECD policies and conducts research aimed at improving humanitarian assistance. This has for example led to the OECD commitments to the World Humanitarian Summit's Grand Bargain.
OIC	The Organization of Islamic Cooperation (OIC) is an inter-governmental body with 57 country members. It is involved in crisis response, peace and security, development, and other related fields, and established a Department of Humanitarian Affairs in 2008. For example, in 2014 the OIC conducted a joint mission with OCHA to assess the situation in Iraq.
<i>Peace and security operations</i>	A range of inter-governmental bodies may become relevant to humanitarian efforts if involved in peace and security operations, such as NATO actions in Afghanistan or Kosovo and those of ECOWAS in Sierra Leone or Mali.
<i>Specific agency governance</i>	Many agencies are governed by intergovernmental bodies, such as the World Health Organization (WHO) by the World Health Assembly.

## Recommended learning resources

---

On the humanitarian role of regional organizations:



### **Regional organisations and humanitarian action: Rethinking regional engagement**

Sherine El Taraboulsi *et al* (May 2016)

*Humanitarian Policy Group Report*

[phap.org/uhe-ADKR](http://phap.org/uhe-ADKR)

## Primary resources

---

For the mandate of the UNGA:



### **“Chapter IV: The General Assembly”**

United Nations (1945)

*Charter of United Nations*

[phap.org/uhe-97RX](http://phap.org/uhe-97RX)

---

For the mandate of ECOSOC:



**“Chapter X: The Economic and Social Council”**

United Nations (1945)  
*Charter of United Nations*  
[phap.org/uhe-7QSF](http://phap.org/uhe-7QSF)

---

For the mandate of the UNSC:



**“Chapter V: The Security Council”**

United Nations (1945)  
*Charter of United Nations*  
[phap.org/uhe-ARQL](http://phap.org/uhe-ARQL)

---

AU humanitarian policy framework:



**African Union Humanitarian Policy Framework**

African Union (2015)  
[phap.org/uhe-KXJM](http://phap.org/uhe-KXJM)

---

For the AU common position on humanitarian effectiveness:



**Common African Position on Humanitarian Effectiveness**

African Union (2016)  
[phap.org/uhe-2NUB](http://phap.org/uhe-2NUB)

---

For the European Consensus on Humanitarian Aid:



**The European Consensus on Humanitarian Aid**

European Council, European Parliament, and European Commission (2007)  
*DG Humanitarian Aid (ECHO)*  
[phap.org/uhe-T622](http://phap.org/uhe-T622)

---

For the agreement forming AADMER of ASEAN:



**Agreement on the establishment of the ASEAN Co-ordination Centre for Humanitarian Assistance on Disaster Management**

Association of Southeast Asian Nations (ASEAN) (2011)  
[phap.org/uhe-VCEK](http://phap.org/uhe-VCEK)

---

Regarding OECD policies and guidelines related to aid:



**DAC Guidelines and Reference Series**

OECD-DAC  
[phap.org/uhe-48JX](http://phap.org/uhe-48JX)

---

For the OIC charter:



**Charter of the Organization of Islamic Cooperation**

Organization of Islamic Cooperation (OIC) (2008)

[phap.org/uhe-4RR4](http://phap.org/uhe-4RR4)

---

For the ECOWAS humanitarian policy:



**ECOWAS Humanitarian Policy**

ECOWAS Commission (2012)

[phap.org/uhe-6YEK](http://phap.org/uhe-6YEK)

---

## Additional learning and resources

For an overview of how NATO sees its humanitarian role:



**“NATO's growing humanitarian role”**

Maurits Jochems (2006)

*NATO Review*

[phap.org/uhe-L6X2](http://phap.org/uhe-L6X2)

## Study questions

1. Identify the key inter-governmental organs of the United Nations that are the most relevant to humanitarian action.
2. What European inter-governmental body or bodies have a significant impact on the humanitarian sector? Not counting a humanitarian response inside Europe, what does their humanitarian work consist of?
3. What is the African Union's mandate in terms of humanitarian action? Can you give some examples of their interventions?
4. What inter-governmental organization with major relevance to the humanitarian sector has religious affinity as its basis?
5. What are some of the main ways in which the UN Security Council might engage in a crisis situation? What powers do the UN Security Council possess that might impact on a humanitarian crisis?
6. How would you characterize the membership of the OECD?

## Scenario

Creeze was a stable, middle-income country until it plunged into civil war last year. The war pits the government against ever-shifting networks of rebel groups that also fight each other. The conflict fuels intercommunal strife on both religious and ethnic grounds, and is characterized by high levels of violence against civilians by all parties. Rural populations had originally fled from their villages to the cities and towns. Moreover, an estimated 15% of the population has fled to a neighboring State. One large city, Seeggia, has become an enclave, with hundreds of thousands of civilians trapped by fighting and without access to reliable medical care, food, or water. A convoy of relief aid vehicles stands ready to deliver but is blocked by the government.

Discuss and describe the actions that, in theory could be taken by the UN Security Council to try and ensure that the convoy of aid vehicles is able to reach Seeggia?

## 3.7 IT tools and platforms

*Identify the primary IT tools and platforms for humanitarian information management and coordination and their scope and purpose.*

### Key Points and Concepts

<i>Information management</i>	Information management (IM) has challenged the humanitarian sector in important ways, for example in terms of accessibility, interoperability, verifiability and inclusiveness. Both the insufficiency of information and information overload have proven themselves difficult issues to deal with in the midst of crisis response.
<i>Humanitarian Response.info</i>	<i>HumanitarianResponse.info</i> is a central website managed by OCHA, which provides coordination tools and services, guidance and policy, and information. This global site is complemented by country specific sites aimed at providing information-sharing platforms at the field level.
<i>ReliefWeb</i>	<i>ReliefWeb</i> is a specialized information management service managed by OCHA. Frequently used components include its training and jobs listings.
<i>GDACS</i>	The <i>Global Disaster Alert and Coordination System (GDACS)</i> is a web-based platform to support coordination and information exchange in the immediate aftermath of emergencies. Though not yet fully realized, it is designed to provide real-time alerts, impact assessments, mapping, satellite images, weather forecasts, and information exchange standards to inform decision-making and planning of international assistance.
<i>UNOSAT &amp; UN-SPIDER</i>	UNOSAT provides digital information for use of humanitarian decision makers, specializing in GIS technology and satellite imagery. UN-SPIDER is another UN knowledge portal with a focus on satellite technology and disaster management.
<i>FTS</i>	OCHA's <i>Financial Tracking Service (FTS)</i> is one of the more widely used sources of information concerning humanitarian interventions. It collects and aggregates information on funding flows based on the reports of donors, UN agencies and some operational organizations.
<i>IRIN</i>	IRIN is a specialized on-line news source that focuses on humanitarian aid and crisis response. Previously part of OCHA, it is now an independent organization.
<i>Humanitarian Data Exchange</i>	A 2014 addition to the various web-based resources, the <i>Humanitarian Data Exchange (HDX)</i> is an open platform for sharing data across the sector. The goal of HDX is to make humanitarian data easy to find

and use for analysis. In the near future it will be managed by the new Centre for Humanitarian Data.

#### *INFORM*

*Index for Risk Management* (INFORM) is a tool that measures risks of humanitarian crises worldwide in order to support decision-making. Its methodology is flexible and can be used at the global, regional, or national levels or to focus on specific issues. It covers 191 countries, and combines around 50 indicators that measure hazards, vulnerability, and capacity. It is an IASC and European Commission initiative.

#### *Global Risk Data Platform*

The *Global Risk Data Platform* is a multi-agency effort to share spatial data information on global risk from natural hazards. It is possible to visualize, download, or extract data on past hazardous events, human and economical hazard exposure, and risk from natural hazards

#### *Digital communities*

The information gap has prompted action from NGOs and institutions, and has given birth to many initiatives (e.g., MapAction). There is a particular focus upon harvesting the power of digital communities to amalgamate a broad range of information quickly and inexpensively.

#### *For crisis-affected people*

More recently, efforts have been made to improve the information flow about humanitarian aid to people affected by crisis. An example of this sort of tool is the inter-agency (UN and NGO) IDP Information Centre in Iraq, which established a hotline service.

#### *Crisis-specific mobile apps*

ReliefWeb and ACAPS have both released mobile apps that provide up-to-date information about specific crises.

#### *Humanitarian ID*

Answering to the problem of knowing who is currently working in a specific crisis, OCHA has launched an online ID service. You are also able to use your Humanitarian ID to log in to several other services.

#### *Data format standardization*

The inability to standardize the collection of data and thereby integrate/aggregate data across agencies has been a long-standing problem in the humanitarian sector, with each organization employing its own data collection. Recent efforts have pushed in the direction of improving the availability of system-wide data, such as the Humanitarian Exchange Language (HXL) and the IASC's guidelines on Common Operational Datasets.

## Recommended learning resources

---

Overview of OCHA's information management role:



### **“Information Management”**

United Nations Office for the Coordination of Humanitarian Affairs (OCHA)

[phap.org/uhe-ZWBH](https://phap.org/uhe-ZWBH)

---

For additional information about common datasets:



### **“Data: Humanitarian Data Exchange - About COD and FOD”**

HumanitarianResponse.info

[phap.org/uhe-AUHG](https://phap.org/uhe-AUHG)

---

## Primary resources

---

Access to HumanitarianResponse.info:



### **HumanitarianResponse.info**

United Nations Office for the Coordination of Humanitarian Affairs (OCHA)

[phap.org/uhe-2UFQ](https://phap.org/uhe-2UFQ)

---

Access to ReliefWeb:



### **ReliefWeb**

ReliefWeb

[phap.org/uhe-SLM2](https://phap.org/uhe-SLM2)

---

Access to the GDACS:



### **Global Disaster Alert and Coordination System (GDACS)**

United Nations and European Commission

[phap.org/uhe-LPSZ](https://phap.org/uhe-LPSZ)

---

About UNOSAT:



### **“What we do”**

UNITAR Operational Satellite Applications Programme (UNOSAT)

[phap.org/uhe-V6ET](https://phap.org/uhe-V6ET)

---

About UN-SPIDER:



### **“What is UN-SPIDER?”**

UN Platform for Disaster Management and Emergency Response (UN-SPIDER)

[phap.org/uhe-PKUR](https://phap.org/uhe-PKUR)

---

---

Information on Financial Tracking Services (FTS):



**“About FTS”**

United Nations Office for the Coordination of Humanitarian Affairs (OCHA)

[phap.org/uhe-55JZ](http://phap.org/uhe-55JZ)

---

Access to IRIN website:



**IRIN News**

IRIN

[phap.org/uhe-TWAZ](http://phap.org/uhe-TWAZ)

---

Access to the Humanitarian Data Exchange:



**The Humanitarian Data Exchange**

Humanitarian Data Exchange (HDX)

[phap.org/uhe-2XC3](http://phap.org/uhe-2XC3)

---

Access to the INFORM Index:



**INFORM - Index for Risk Management**

IASC and European Commission

[phap.org/uhe-B8XA](http://phap.org/uhe-B8XA)

---

Access to the Global Risk Data Platform:



**Global Risk Data Platform**

UNEP & UNISDR

[phap.org/uhe-FXVL](http://phap.org/uhe-FXVL)

---

Information on MapAction and access to their website:



**“About us”**

MapAction

[phap.org/uhe-WB7B](http://phap.org/uhe-WB7B)

---

Overview of Iraq’s IDPs Information Center, as an example of a hotline service:



**Iraq Humanitarian Country Team - Internally Displaced Persons Information Centre**

CDAC Network (July 2015)

[phap.org/uhe-3D5T](http://phap.org/uhe-3D5T)

---

Access to ReliefWeb’s mobile app:



**ReliefWeb Crises app**

ReliefWeb

[phap.org/uhe-H3HD](http://phap.org/uhe-H3HD)

---

Access to ACAPS' mobile app:



### ACAPS CrisisAlert app

Assessment Capacities Project (ACAPS)

[phap.org/uhe-V36M](http://phap.org/uhe-V36M)

---

Access to the Humanitarian ID platform:



### Humanitarian ID

United Nations Office for the Coordination of Humanitarian Affairs (OCHA)

[phap.org/uhe-WZMG](http://phap.org/uhe-WZMG)

---

Access to the Humanitarian Exchange Language (HXL) website:



### Humanitarian Exchange Language (HXL): A simple standard for messy data

Humanitarian Exchange Language (HXL)

[phap.org/uhe-X79N](http://phap.org/uhe-X79N)

---

For IASC guidelines on CODs:



### IASC Guidelines Common Operational Datasets (CODs) in Disaster Preparedness and Response

Inter-Agency Standing Committee (IASC) (November 2010)

[phap.org/uhe-8KDF](http://phap.org/uhe-8KDF)

## Additional learning and resources

---

Critical review of information management in the Haiti earthquake:



### “Information management and humanitarian relief coordination: findings from the Haiti earthquake response”

Bartel van der Walle and Julie Dugdale (2012)

*International Journal of Business Continuity and Risk Management, Vol. 3, No. 4*

[phap.org/uhe-U9AF](http://phap.org/uhe-U9AF)



### “Challenges in humanitarian information management and exchange: evidence from Haiti”

Nezih Altay (5 August 2014)

*Aid & International Development Forum*

[phap.org/uhe-2GKL](http://phap.org/uhe-2GKL)

## Study questions

1. In the event of a flood, where might you look for the latest satellite imagery?

2. How would you find out which government donors has provided the most funding to the crisis in Yemen?
3. What categories or types of information are available on ReliefWeb?
4. Where would you look to find information on the disaster risks of specific countries?
5. Go to [HumanitarianResponse.info](http://HumanitarianResponse.info) and find examples of the following types of documents:
  - ❖ A needs assessment for a specific country
  - ❖ Training resources
  - ❖ The key contact person for the health and nutrition clusters in the Ukraine
  - ❖ Maps of Zimbabwe

## Scenario

Imagine that a blight destroyed this year's crop of rice in large areas of southeast Asia. The food situation has triggered widespread acute malnutrition, affecting both urban and rural areas. Hundreds of millions of people are at risk. National responses have been significant, including governments, civil society, and the private sector, and has been joined by a broad global response including initiatives by international UN/humanitarian agencies, small volunteer NGOs, universities, private sector companies, church groups, global health security experts, and foreign governments (including foreign military deployments). You are a consultant hired by one of the international NGOs. They would like to develop an intervention based on an up-to-date assessment of where the situation is most acute, and that fills a gap in current activities. Where will you look for detailed information on the needs of the people and on who is doing what and where they are doing it? Do you have concerns that the activities of some actors might not show up in this information? If so, for what sorts of actors?

## Domain 4: The Shaping Environment

The fourth domain of the body of knowledge for Understanding the Humanitarian Ecosystem covers *pressures, criticisms, and debates that influence humanitarian action*.

This domain constitutes 8% of the certification assessment.

### Domain Outline

*Humanitarian practitioners must be able to:*

- 4.1 Identify key enduring and emerging examples of political and related pressures and why they require consideration by humanitarian actors.
- 4.2 Recognize the reasoning behind common contemporary criticisms of humanitarian action and actors.

## 4.1 External and internal pressures

*Identify key enduring and emerging examples of political and related pressures and why they require consideration by humanitarian actors.*

### Key external pressures

<i>External pressures</i>	<p>Pressures arising from external factors (i.e., primarily from outside the sector) may jeopardize the effectiveness and principled nature of aid, and make it more difficult to “Do No Harm.”</p>
<i>Integration with donor interests</i>	<p>Pressure by donor and home society governments for humanitarian aid to serve their political, economic, or military/security interests, or to more closely integrate with the broader goals of nation building, peace, and development. For example:</p> <ul style="list-style-type: none"><li>❖ Insufficient efforts by States to prevent or end conflict and the use of humanitarian aid to mask this political and diplomatic inaction or disengagement.</li><li>❖ Using aid projects as a part of military tactics within armed conflict (e.g., winning hearts and minds, or building the legitimacy of the State where the State is a party to the conflict).</li></ul>
<i>Co-optation</i>	<p>Pressure by actors, especially armed groups, within a given conflict to co-opt humanitarian aid for political or military advantage, or more broadly to capture humanitarian aid for personal and economic gain.</p>
<i>Sovereignty vs. independence</i>	<p>Pressure resulting from the tension between, on the one hand, the sovereignty, authority, and primary responsibility of the national government in a country affected by crisis, and, on the other hand, the international/foreign lines of power in the sector and the necessity for political independence of humanitarian actors. This tension can be particularly acute where the government is one of the parties to the conflict or where the humanitarian community encounters protection issues that involve the State (e.g., abuse of citizens, discrimination in the provision of services).</p>
<i>Lack of respect of international norms</i>	<p>Catastrophic (in specific contexts) failure to protect civilians, places of refuge, essential services, and aid workers; disregard for and undermining of international humanitarian law (e.g., indiscriminate shelling of cities, blockage of aid deliveries, bombing raids on hospitals and kidnapping of aid workers).</p>
<i>Counter-terrorism</i>	<p>The impact of counter-terrorism efforts, including legislation, military action, and other enforcement activities, that interfere with humanitarian action; for example where legislation limits access to crisis-affected people in territory controlled by a terrorist organization, or where it interferes with beneficiary targeting and</p>

pressurizes humanitarian agencies to gather and provide information on their national staff and partners.

*Co-optation by private sector interests*

Co-optation of aid sector by the private sector, for example using humanitarian aid as an instrument to introduce products into new markets.

*Complex crises*

Complexity of modern crises and the convergence of factors such as climate change, rapid urbanization, rising inequality, etc.

*Changing nature of conflict*

Changing nature of armed conflict and violence, in particular the growth of “asymmetric” warfare, unmanned warfare, and international-scale criminal violence (e.g., drug-related violence in Latin America).

## Key internal pressures

*Internal pressures*

Pressures also arise from dynamics and constraints that are largely internal to the humanitarian sector (and wider aid sector).

*Inequality of power*

Starkly inequitable power dynamics within the sector (see section 2.5) and the politicization of tensions between international and national responders.

*“Downward” accountability*

Pressure from crisis-affected populations and their representatives to ensure that aid meets their needs (especially the tension between long-term or developmental ambitions and shorter-term humanitarian programming), to hold decision-making power in terms of the aid programming affecting their lives, along with a general push for “downward” accountability to the beneficiaries of aid.

*Funding*

Political constraints on major government donors that reduce the suitability and diversity of funding mechanisms for humanitarian action, in particular the insufficiency of:

- ❖ rapid funding for newly emerging crises (unless highly mediatized);
- ❖ funding for disaster risk reduction and preventative measures;
- ❖ funding for “forgotten” crises (often, those of little geo-political/strategic importance to major governmental donors);
- ❖ funding that allows for a multi-year project cycle;
- ❖ funding that goes directly to national governments and NGOs.

*Coordination*

Competition, “siloed” approaches (e.g., the humanitarian – development divide), and the fragmentation and increasing number of organizations leads to poor coordination and coherence among

humanitarian actors and between the humanitarian sector and other sectors responding to the crisis.

## Recommended learning resources

---

For an overview of key external and internal challenges to humanitarian action:



### “The future of humanitarian action: an ICRC perspective”

Claudia McGoldrick (2011)

*International Review of the Red Cross, Vol. 93 No. 884*

[phap.org/uhe-63VL](http://phap.org/uhe-63VL)

---

For an analysis of political and economic pressures on humanitarian action (see pp. 11-28):



### Constructive deconstruction: making sense of the international humanitarian system

Sarah Collinson (July 2016)

*Humanitarian Policy Group Working Paper*

[phap.org/uhe-FS6A](http://phap.org/uhe-FS6A)

---

On the impact of politics upon access:



### Restrictions on humanitarian access

Brigitte Rohwerder (11 November 2015)

*GSDRC Helpdesk Research Report*

[phap.org/uhe-9AQZ](http://phap.org/uhe-9AQZ)

---

Regarding the integration of aid with the broader goals of the international community:



### UN Integration and Humanitarian Space: an Independent Study Integration Steering Group

Virginia Metcalfe *et al* (December 2011)

*Humanitarian Policy Group and Stimson Center*

[phap.org/uhe-DHDY](http://phap.org/uhe-DHDY)

---

For a recent critique of efforts to integrate aid with the SDGs (especially pp. 10-14):



### The Cost of Coherence

Marc DuBois (December 2016)

*MSF Emergency Gap Series 04*

[phap.org/uhe-8V5P](http://phap.org/uhe-8V5P)

---

Regarding the impact of counter-terrorism measures:



### Counter-terrorism and humanitarian action: Tensions, impact and ways forward

Sara Pantuliano *et al* (2011)

*Humanitarian Policy Group, Policy Brief No. 43*

[phap.org/uhe-C3XU](http://phap.org/uhe-C3XU)

---

On the changing nature of conflict:



**“As Nature of Conflict Changes, Is International Humanitarian Law Still Relevant?”**

Jeremy Labbe (2014)

*The Global Observatory*

[phap.org/uhe-8AZ6](http://phap.org/uhe-8AZ6)

---

Regarding the tension between international actors and the push for more localized humanitarian action:



**The challenges of localised humanitarian aid in armed conflict**

Ed Schenkenberg (November 2016)

*MSF Emergency Gap Series 03*

[phap.org/uhe-TNK9](http://phap.org/uhe-TNK9)

---

On destructive competition among humanitarian actors (see pp. 61 ff):



**Time to let go: Remaking humanitarian action for the modern era**

Christina Bennett *et al.* (2016)

*Humanitarian Policy Group*

[phap.org/uhe-XTPQ](http://phap.org/uhe-XTPQ)

## Challenges as highlighted in the WHS and related processes

---

Regarding the failure to prevent/end conflict, the lack of respect for IHL and increasing violence against civilians (especially Core Responsibility One and Core Responsibility Two):



**One Humanity: Shared Responsibility**

Report of the Secretary-General for the World Humanitarian Summit (January 2016)

*United Nations General Assembly, A/70/709*

[phap.org/uhe-VU7C](http://phap.org/uhe-VU7C) (web-based summary) [phap.org/uhe-3RFU](http://phap.org/uhe-3RFU) (full report)

---

Regarding the complexities of climate change and rapid urbanization (Especially paragraphs 88, 105 & 106):



**One Humanity: Shared Responsibility**

Report of the Secretary-General for the World Humanitarian Summit (January 2016)

*United Nations General Assembly, A/70/709*

[phap.org/uhe-VU7C](http://phap.org/uhe-VU7C) (web-based summary) [phap.org/uhe-3RFU](http://phap.org/uhe-3RFU) (full report)

---

Regarding the “siloed” approach, humanitarian-development divide and tension between short-term (humanitarian) and long-term (development) goals (especially Core Responsibility Four):



**One Humanity: Shared Responsibility**

Report of the Secretary-General for the World Humanitarian Summit (January 2016)

*United Nations General Assembly, A/70/709*

[phap.org/uhe-VU7C](http://phap.org/uhe-VU7C) (web-based summary) [phap.org/uhe-3RFU](http://phap.org/uhe-3RFU) (full report)

---

Regarding humanitarian challenges related to financing (see the Executive Summary):



**Too important to fail: addressing the humanitarian financial gap**

High Level Panel on Humanitarian Financing (January 2016)

*Report to the Secretary-General*

[phap.org/uhe-3KGF](http://phap.org/uhe-3KGF)

---

## Additional learning and resources

For a case example of challenges related to political interference in the Aleppo response:



**“Politicized Humanitarian Aid to Aleppo”**

Stephen Lendman (3 December 2016)

*Global Research*

[phap.org/uhe-GNJB](http://phap.org/uhe-GNJB)

---

On challenges regarding humanitarian financing (see Executive Summary):



**Global Humanitarian Assistance Report 2016**

Development Initiatives (2016)

[phap.org/uhe-Q973](http://phap.org/uhe-Q973)

---

For an analysis of aid and political interests:



**“Is Humanitarian Action Independent from Political Interests?”**

Jonathan Whittall (2015)

*Sur Journal - International Journal on Human Rights, Vol. 12, No. 21*

[phap.org/uhe-3PTB](http://phap.org/uhe-3PTB)

---

On the politicization of aid:



**“The Dangers of Politicizing Aid”**

Hannah Bryce (16 September 2014)

*Chatham House*

[phap.org/uhe-CNJL](http://phap.org/uhe-CNJL)

---

For an analysis specific to impact on the United Nations of current pressures, in particular politicization:



**Modes of politicization, privatization and institution building of humanitarian assistance; an assessment of the UN humanitarian structures**

Dieter Reinhardt (2013)

*Paper for the Panel “The Politicization of Humanitarian Aid?” at ECPR General Conference 2013*

[phap.org/uhe-T246](http://phap.org/uhe-T246)

---

On how politics skews aid programming:



**Whose Aid is it Anyway? Politicizing aid in conflicts and crises**

Oxfam International (2011)  
*Oxfam Briefing Paper, No. 145*  
[phap.org/uhe-AHFZ](http://phap.org/uhe-AHFZ)

---

Research into how external pressures impact upon access:



**To Stay and Deliver: Good practice for humanitarians in complex security environments**

Jan Egeland, Adele Hamer & Abby Stoddard (2011)  
*UN OCHA Policy and Studies Series*  
[phap.org/uhe-JMAJ](http://phap.org/uhe-JMAJ)

---

Regarding the challenges related to humanitarian protection:



**Independent whole of system review of the role of protection in the context of humanitarian action**

Nora Niland *et al* (May 2015)  
*Norwegian Refugee Council*  
[phap.org/uhe-VC66](http://phap.org/uhe-VC66)

---

For an overview regarding challenges to “humanitarian space”:



**Humanitarian space: a review of trends and issues**

Sarah Collinson and Samir Elhawary (2012)  
*Humanitarian Policy Group Report No. 32*  
[phap.org/uhe-NX8F](http://phap.org/uhe-NX8F)

---

Regarding the challenges to “humanitarian space” and the securitization of aid:



**Politicisation and Securitisation of Aid: challenges to humanitarian space in Somalia**

ODI/HPG & SOAS (2011)  
*HPG Roundtable Meeting Series on Humanitarian Space, Report on Meeting 4*  
[phap.org/uhe-6ZR6](http://phap.org/uhe-6ZR6)

## Study questions

1. From the point of view of people affected by crisis, what are some of the typical problems with humanitarian aid?
2. What does it mean to say that aid is being “instrumentalized” by security forces, major donor governments, or the private sector?

3. What are some of the main concerns with trying to integrate the entire international effort – humanitarian, development, peacebuilding, electoral process – into a more coherent response?
4. How do counter-terrorism measures negatively impact upon humanitarian work?
5. In general terms, how does the lack of respect for IHL impact upon humanitarian action?
6. What are some of the key shortcomings of current humanitarian financing mechanisms?
7. How does external political pressure potentially undermine adherence to the each of the four core humanitarian principles?

## Scenario

The UN Security Council has just authorized an international coalition to lead a military intervention in Mellowdistan, where a large militia force called the Green Brigade has captured half the country, including the capital city. The Green Brigade has been designated as a terrorist organization by the UN Security Council. This intervention will involve many Western countries, including many major donors to the longstanding humanitarian response in Mellowdistan. Your organization has been working in Mellowdistan for several years, in difficult security conditions but nonetheless able to negotiate access with Green Brigade authorities. With significant international forces likely to engage in conflict in the near future, your organization holds an internal meeting to discuss its concerns. Foremost are the concerns for the potential impact on civilians, and this is the first item on the agenda. Following that item, you will lead a discussion of the potential impact in terms of the politicization of aid. What are some of the issues that might arise?

## 4.2 Contemporary criticism

*Recognize the reasoning behind common contemporary criticisms of humanitarian action and actors.*

### Key Points and Concepts

#### *International – National/Local relationship*

Key criticisms that surround the relationship between international humanitarian actors and national/local-level governments, aid actors, and crisis-affected populations:

- ❖ Lack of accountability to and participation of crisis-affected populations (See sections 1.7 and 4.1).
- ❖ Poor recognition of and response to the needs of local populations (especially developmental needs), giving rise to the frequent critique by aid recipients that their needs are not being met and that their opinions are neither sought out nor respected. (See sections 1.7 and 4.1).
- ❖ Poor inclusiveness of the sector, such as coordination mechanisms that operate only in English and not in a national language.

#### *Capacity and performance*

Key criticisms that surround the capacity and performance of the international humanitarian sector (see also section 4.1):

- ❖ Slow or insufficient responsiveness; inadequate emergency surge capacity.
- ❖ Ineffectiveness and inefficiency, in particular due to poor coordination and heavy bureaucratization.
- ❖ Poor adherence to and operationalization of its core principles, in particular impartiality's imperative to reach those most in need.
- ❖ The politicization of aid delivery (see section 4.1).
- ❖ Poor understanding and performance of the role of protection in humanitarian action.
- ❖ Predominance of top-down accountability leads to an emphasis on the financial bottom line and competition for market share.

#### *Structural issues*

Key criticisms at a more structural level (see section 4.1):

- ❖ Challenges to the universality of the humanitarian sector and its mission. An industry – set of actors, methodologies and culture – that is overly steeped in its Western origins; a form of neo-colonialism, and an outgrowth or reflection of the global exercise of Western soft power.
- ❖ Failure to address underlying causes, root problems, systemic failures; failure to build local capacity and resilience at either communal or governmental levels; poor integration with and contribution to development work (the so-called “humanitarian-development divide”).
- ❖ Humanitarian aid prolongs war, both by feeding into the war economy and resource capture, or by undercutting the urgency to take political action to end the war (see section 4.1)

- ❖ Aid organizations create a brain drain in the local context, using higher salaries to hire many qualified local staff.

## Recommended learning resources

---

For an overview of current discussion on several of the areas of criticism, see the corresponding chapters in the State of the Humanitarian System Report:

- Regarding effectiveness and sufficiency of aid: see subsection 4.3
- Regarding engagement with building resilience and response to long-term needs: see subsection 4.4
- Regarding protection and adherence to principles: see subsections 4.5 and 5.3
- On the perspective of aid recipients: see subsection 4.6
- Regarding coordination: see subsections 5.1-5.2



### **State of the Humanitarian System Report 2015**

Abby Stoddard *et al.* (October 2015)

ALNAP

[phap.org/uhe-QBJ3](http://phap.org/uhe-QBJ3)

---

For a critical analysis of the humanitarian sector being slow to respond in emergency situations (see especially the Executive Summary):



### **Where is everyone? Responding to emergencies in the most difficult places**

Sean Healy & Sandrine Tiller (July 2014)

MSF

[phap.org/uhe-49JX](http://phap.org/uhe-49JX)

---

For a critical overview of issues related to the application of the principles in practice (see especially section 2):



### **The Universality and Application of Values and Principles Underpinning Humanitarian Action**

Report on the Working Meeting held on 13 October 2015

HERE-Geneva

[phap.org/uhe-AJU2](http://phap.org/uhe-AJU2)

---

Regarding the “brain drain” (see section “Unintended Consequences”):



### **Humanitarian Aid: Are Effectiveness and Sustainability Impossible Dreams?**

Janice K. Kopinak (2013)

*The Journal of Humanitarian Assistance*

[phap.org/uhe-9Z8H](http://phap.org/uhe-9Z8H)

---

For a critical discussion with Linda Polman on the potentially prolonging effect of humanitarian action on armed conflict:



**“Does humanitarian aid prolong wars?”**

Linda Polman (2010)

*The Guardian*

[phap.org/uhe-XVYA](http://phap.org/uhe-XVYA)

---

## Criticism as highlighted in the WHS and related processes

Regarding the top-down nature of humanitarian aid, the poor long-term impact on underlying causes/root problems and the lack of responsiveness to needs:



**One Humanity: Shared Responsibility**

Report of the Secretary-General for the World Humanitarian Summit (January 2016)

*United Nations General Assembly, A/70/709*

[phap.org/uhe-VU7C](http://phap.org/uhe-VU7C) (web-based summary) [phap.org/uhe-3RFU](http://phap.org/uhe-3RFU) (full report)

## Study questions

1. What are some key reasons that humanitarian action is criticized as inefficient?
2. Identify some of the main critical points about humanitarian action being raised by aid recipients?
3. What is the humanitarian-development divide (or nexus) and why is it perceived as a problem?
4. How have humanitarian coordination mechanisms undermined the perceived inclusiveness of the sector?
5. Give a brief description of humanitarian protection and the key criticisms of the sector's performance in this regard.
6. What does it mean to say that the humanitarian sector suffers from being “too top-down”? What are some of the effects?
7. Why is it deemed a problem that aid agencies give insufficient space to the participation of crisis-affected people?

## Scenario

The UN Security Council has just authorized an international coalition to lead a military intervention in Mellowdistan, where a large militia force called the Green Brigade has captured half the country, including the capital city. The Green Brigade has been designated as a terrorist organization by the Security Council. This intervention will involve many Western countries, including many major donors to the longstanding humanitarian response in Mellowdistan. Your organization has been working in Mellowdistan for several years, in difficult security conditions but nonetheless able to negotiate access with Green Brigade authorities. With significant international forces likely to engage in conflict in the near future, your organization holds an internal meeting to discuss its concerns. First on the agenda are the concerns for the potential impact on civilians and you need to prepare for the discussion. What might be some of the typical problems with regard to the delivery of aid? Please note that political issues will be discussed in a separate meeting – this meeting concerns practical issues affecting impact on your performance.