

Third Party Evaluation 2009
The Ministry of Foreign Affairs of Japan

Evaluation on Multilateral ODA:
The United Nations Trust Fund for
Human Security
-Summary-

March 2010

Preface

This report is a summary of the “Evaluation on Multilateral ODA: The United Nations Trust Fund for Human Security” undertaken by the External Advisory Meeting on ODA Evaluation upon request by the International Cooperation Bureau of the Ministry of Foreign Affairs (MOFA) of Japan.

Since its commencement in 1954, Japan’s Official Development Assistance (ODA) has contributed to the development of partner countries, and finding solutions to international issues which vary with the times. Recently, there have been increased domestic and international calls for more effective and efficient implementation of ODA. MOFA, as a coordinating ministry for ODA, has been conducting ODA evaluation mainly at the policy level with two main objectives: to support management of implementation of ODA, and to ensure its accountability.

By verifying the results and activities of the UNTFHS (a mode of multilateral ODA that Japan engages in) and the reason why the fund was established, this evaluation aims to fulfill the duty of accountability to Japanese citizens, and to provide an indicator for the planning of future projects and how multilateral assistance should be implemented.

The External Advisory Meeting on ODA Evaluation was formed as an advisory body to the Director-General of the International Cooperation Bureau of MOFA to improve objectivity in ODA evaluation. The Advisory Meeting is commissioned to design and conduct evaluations of ODA and to feed back the results of each evaluation with recommendations and lessons learned as reference to the International Cooperation Bureau of MOFA. Prof. Hiroko HASHIMOTO and Dr. Yayoi TANAKA, members of the meeting, were in charge of this evaluation.

Dr. Yukie OSA, Chairperson of the Association for Aid and Relief (AAR), being an advisor for the study, made an enormous contribution to this report. Likewise, MOFA, the Human Security Unit of UNOCHA as well as the UN agencies (ILO, UNHCR and UNFPA) and the government and institutions in Thailand and Turkmenistan also made invaluable contributions. We would like to take this opportunity to express our sincere gratitude to all those who were involved in this study. The ODA Evaluation and Public Relations Division of the International Cooperation Bureau of MOFA was in charge of coordination of all the parties involved. All other supportive work including information collection, analysis and report preparation was provided by Oriental Consultants Co., Ltd. under the commission of MOFA.

Finally, we wish to add that the opinions expressed in this report do not reflect the views or positions of the Government of Japan or any other institution.

March 2010

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Evaluation on Multilateral ODA

- The United Nations Trust Fund for Human Security -

<p>1. Theme: Multilateral ODA – The United Nations Trust Fund for Human Security (UNTFHS) -</p>	
<p>2. Scope of Evaluation: Worldwide Case Study Countries: Thailand and Turkmenistan</p>	<p>Self-reliance for the human trafficking victims in Thailand (ILO)</p>
<p>3. Evaluators:</p> <p>(1) <u>Team Leader</u> Prof. Hiroko HASHIMOTO* (Professor, Jumonji University) Dr. Yayoi TANAKA (Associate Professor, National Institution for Academic Degrees and University Evaluation)</p> <p>(2) <u>Adviser:</u> Dr. Yukie OSA (Chairperson of the Board of Association for Aid and Relief (AAR))</p> <p>(3) <u>Consultants:</u> Oriental Consultants Co., Ltd. Masaya SEKIGUCHI* Chie YOSHIMI* Hidehiko FURUMOTO* Mayu IMAFUKU Takahiro MOJI</p> <p>*Members who participated in the field survey</p>	 <p>Reproductive health and self-reliance for ex-refugees in Turkmenistan (UNHCR/UNFPA)</p>
<p>4. Period of Evaluation Survey: From June 2009 to March 2010</p>	
<p>5. Outline of the Evaluation:</p> <p>5.1 Approach and Methodology of Evaluation</p> <p>(1) Objectives By verifying the results and activities of the UNTFHS (a mode of multilateral ODA that Japan engages in) and the reason why the fund was established, this evaluation aims to fulfill the duty of accountability to Japanese citizens, and to provide an indicator for the planning of future projects and how multilateral assistance should be implemented.</p> <p>(2) Targets The targets of evaluation are the policies of Japan's ODA regarding the UNTFHS, including Japanese aid policies toward the UNTFHS and projects that were implemented by international organizations through the use of the UNTFHS. The target period of the evaluation is from 1999, when the UNTFHS was established, until July 2009. Contribution of Japan's ODA to the UNTFHS is significant (99.4%) among Japan's other multilateral ODA. Thus, lessons learned from this evaluation may not</p>	

apply to other assistance for international funds.

(3) Methods

The evaluation was conducted in a comprehensive manner by reviewing the literature on human security, the UNTFHS, and 194 UNTFHS project reports (those that were authorized by the time of July 2009); interviewing officials and academic experts in charge of policy making regarding human security and the UNTFHS; surveying questionnaires to the implementing agencies of the projects supported by the UNTFHS as well as to the Human Security Unit (HSU/OCHA); and conducting field surveys in Thailand, Turkmenistan, and at the UN headquarters in New York.

5.2 Evaluation Results

(1) Evaluation on “Relevance of Policy”

The spread of the concept of human security as well as the practice of the concept in the fields through the activities of the UN agencies matches Japan’s policy objective with respect to human security. Therefore, Japan’s contribution to the UNTFHS as a mode of multilateral ODA is relevant, because it gives opportunities to many UN agencies to exercise the concept of human security.

(2) Evaluation on “Appropriateness of Process”

Compared to the time when the UNTFHS was launched, the process of implementation for the UNTFHS has been improved by the establishment of the HSU and the revisions of guidelines. However, regarding the reflection of the concept of human security in the projects, the managing system of HSU which is in the leading position has many problems to solve. The system for contribution of UNTFHS where Japan is the major donor needs to be reconsidered, since the finances of UNTFHS has been decreasing every year.

(3) Evaluation on “Effectiveness of Results”

Regarding practical effects, certain results such as the promotion of integrated approaches that involve numerous UN related agencies have been gained through a revision of the guidelines, and in recent years the concept of human security has been reflected in practice in the field. On the other hand, problems remain to be solved in both the UN headquarters and locally in order to spread the concept of human security.

5.3 Lessons Learned and Recommendations

(1) Lesson learned regarding multilateral ODA

Lesson 1: Clarification of the objectives of multilateral ODA

It is necessary to clarify the objectives of contribution to international organizations in terms of the strategic intent of Japanese diplomacy. The meaning of the policy and necessity of multilateral ODA should be clarified and explained to people in Japan since multilateral ODA does not easily enhance the presence of Japan unlike bilateral ODA. The need of Japan’s multilateral ODA and the benefit of multilateral ODA for people in Japan should be explained by clearly illustrating the objectives.

Lesson 2: Promotion of the coordination of multilateral ODA and other various aid schemes

The specific objectives of ODA cannot be achieved via multilateral ODA only. Specifically, the higher level objectives can be achieved only through the collaboration with other aid schemes. Regarding the results of multilateral assistance, it is beneficial to expand the results and supplement insufficiencies through bilateral ODA schemes. Moreover, besides ODA, the collaboration with academic institutions, NGOs and private sectors can be effective depending on the challenges. To this end, the information of missions and outcomes of multilateral ODA should be shared among all people concerned.

Lesson 3: How Japan should participate in multilateral ODA

It is useful to attain ODA policy objectives by utilizing multilateral ODA, but attention should be paid to how Japan should participate. Regarding policy objectives Japan seeks to achieve, it is essential to come up with them in the context of global issues without treating them as original Japanese ideas, because the influence of certain donors to the aid activities tends to cause a negative reaction, especially in the UN.

(2) Recommendations regarding the improvement of UNTFHS

Recommendation 1: Clarification of mid- and long-term objectives of UNTFHS

The UNTFHS aims to spread and practice the concept of human security in the activities of the UN agencies, but it is necessary to clarify mid- and long-term objectives that the UNTFHS aims for, since the objectives of UNTFHS are indefinite. Considering the fact that the finances of UNTFHS is decreasing, it is desirable to formulate and execute selected projects in the future that can become the best practices of UNTFHS rather than implementing many projects.

Recommendation 2: Clarification of the position of HSU/OCHA in the UN

The activities of HSU/OCHA need to be authorized by making the concept of human security the formal UN mandate through the discussions of human security at the UN General Assembly upon the submission of the report by the Secretary General regarding human security in the spring of 2010. If Japan takes the initiative and formulates a resolution toward this end and this resolution is passed at the UN General Assembly, the position of HSU/OCHA will be strengthened.

Recommendation 3: Spreading the results of UNTFHS projects

The results of UNTFHS projects have not been adequately shared among the UN agencies and the international community, although the UNTFHS has implemented more than 190 projects. There are many examples of good practices that can be collected from the abundant experiences in implementing UNTFHS projects, such as the integration of multiple sectors, promotion of the coordination between multiple agencies, coordination with civil society, and a comprehensive approach to protection and empowerment. There is a need to explain what a “reflection of the concept of human security to projects is, and what is being practiced” to the UN agencies and other stakeholders.

Recommendation 4: Enhancement of visibility of the UNTFHS

UNTFHS has not been well recognized in the fields of the projects, which is a problem. It needs to be acknowledged by the beneficiaries to a certain extent that the project is implemented by the UNTFHS. Nevertheless, it is not necessary for the beneficiaries to understand the concept of human security. With respect to the local governments and implementing partners, if they are aware of the fact that (and why) the projects are supported by the UNTFHS, it can help to promote the concept of human security to the people engaged on the field-level.

Recommendation 5: Improvement to the implementing system of the UNTFHS

A negative image of UNTFHS has been created because of long procedures and inconvenience of usage. To wipe this image away and to improve recognition of the concept of human security, not only must the HSU/OCHA explain the concept, but there is a need for improvements to be made to application procedures, monitoring and evaluation, and reporting procedures, while taking input from the field into consideration.

Recommendation 6: Promotion of multi-donors

It is necessary to develop an environment that other donors can easily join the UNTFHS in order to improve the financial balance of UNTFHS as well as to disseminate the concept of human security. Thus, the involvement of Japan should be gradually reduced at the project level, and its responsibility should be shifted to the policy level through the Advisory Board on Human Security in order to eliminate the image of the UNTFHS being a Japanese fund.

(Note: The opinions expressed in this summary do not necessarily reflect the views and positions of the Government of Japan or any other institutions.)

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Chapter 1 Outline of the Evaluation

1-1 Background of the Evaluation

Recently, there have been an increased number of domestic and international calls for more effective and efficient implementation of Official Development Assistance (ODA). ODA is one of the main pillars of Japan's international contribution, and the Ministry of Foreign Affairs (MOFA) has been making efforts to conduct substantial ODA evaluations.

The targets of the evaluation are the United Nations Trust Fund for Human Security (UNTFHS) as an example of Japan's multilateral ODA, and the policies of Japan's ODA, including Japanese aid policies regarding assistance through the UNTFHS and the projects that were implemented through the UN agencies funded by the UNTFHS.

Japan has been striving to make the 21st century "human-centered" by endorsing human security as the concept of international cooperation in this century. In December 1998, Prime Minister Keizou Obuchi expressed his views on human security in a symposium entitled "Intellectual Dialogue on Building Asia's Tomorrow." Later in the same month, he clearly defined human security in Japan's foreign policy and announced that the Trust Fund for Human Security would be established in the United Nations (UN) in his policy speech in Hanoi entitled "Toward the Creation of a Bright Future for Asia." The Government of Japan contributed five hundred million yen in March 1999 for the establishment of the fund, and the UNTFHS was established. Japan contributed a total of 39 billion yen to the UNTFHS by the fiscal year 2009,¹ making the trust fund one of the largest of its kind that had been established in the UN.

The objective of the UNTFHS is to implement the concept of human security in the activities of the UN agencies that address diverse threats that are faced by the international community including poverty, environmental degradation, conflicts, landmines, refugee problems, illicit drugs, and infectious diseases such as HIV/AIDS. It also aims at ensuring that people's lives, livelihoods, and dignity are preserved. Specifically, the UNTFHS is primarily focused on individuals and supports projects designed to protect people from the previously mentioned threats and empower people so that they can cope with these threats.

1-2 Objective of the Evaluation

By verifying the results and activities of the UNTFHS (a mode of multilateral ODA that Japan engages in) and the reason why the fund was established, this evaluation aims to fulfill the duty of accountability to Japanese citizens, and to provide an indicator for the planning of future projects and how multilateral assistance should be implemented.

1-3 Methodology of Evaluation

The evaluation was performed in a comprehensive manner from the perspective of "relevance of policy," "appropriateness of process," and "effectiveness of results" based

¹ Exchange rate: US\$1=JY92.10 as of 30 December 2009

on “ODA Evaluation Guidelines 5th Edition.”² The following evaluation surveys were conducted.

- Literature review
- Review of the UNTFHS project reports (194 projects³)
- Interview survey with stakeholders involved in the UNTFHS in Japan
- Questionnaire survey of the agencies that implement UNTFHS projects (The collection rate from headquarters was 86%; the collection rate from each country’s office was 37%)
- Questionnaire survey of the Human Security Unit (HSU) of the United Nations Office for the Coordination of Humanitarian Affairs (UNOCHA)(100% collection rate)
- Field surveys of the following projects: “Economic and Social Empowerment of Returned Victims of Trafficking“ in Thailand (International Labor Organization: ILO) and “Improvement of the Quality of Social Services and Infrastructure & Reproductive Health for Refugees and Host Communities“ in Turkmenistan (United Nations High Commissioner for Refugees: UNHCR/ United Nations Population Fund: UNFPA)
- Survey of HSU/OCHA, representatives of the UN, and the UN agencies at the UN headquarters in New York

1-4 Limitations of the Evaluation

1. Project Review

The review of the UNTFHS project reports was conducted mainly based on the fourth revision and the fifth revision (published in July 2009) of the UNTFHS guidelines. However, the UNTFHS projects that began in 1999 were created based on the guidelines at the time, and previous projects were not created using the current guidelines. The project review was performed with the intention of observing the changes and trends of all the previously authorized projects when examined using the current guidelines. Additionally, the review was conducted in order to extract lessons and recommendations for each period of time.

The final reports were mainly used for the project review; however, some of the final reports did not seem to have been submitted appropriately in the past. There are also several other projects that have not been finalized, and progress reports and/or final reports had not been submitted at the time of this evaluation survey. Thus, it should be noted that depending on the project, there are different degrees of accessible information, due to the availability of documents at the time of evaluation.

2. Field Survey

Field surveys of two projects were conducted in Thailand and Turkmenistan. These two projects were selected using the following criteria: accessibility of the project sites in terms of security, match of the date of the implementing agencies that can accommodate the survey schedule, availability of the survey within ten days due to the limitation of the schedule, and applicability if one of the two projects was implemented

² Ministry of Foreign Affairs. (2009). *ODA Evaluation Guidelines 5th Edition*, available from the MOFA website, <http://www.mofa.go.jp/policy/oda/evaluation/guideline.pdf#search='ODA Evaluation guideline'>

³ 194 projects had been approved by July 2009 since the establishment of the UNTFHS. The evaluation team reviewed 191 of these projects, because there was no official documentation for three of the 194 projects

by more than one agency. Due to these limitations, the projects with the best practices were not targeted for field surveys.

The objective of this evaluation is to evaluate the overall policies, process, and results of the UNTFHS, and the projects themselves were not evaluated. Although evaluation results, lessons, and recommendations were obtained from the field surveys, they are regarded as references for the overall evaluation of the UNTFHS.

3. Scope of Application of Lessons Learned from the Evaluation

The target of the evaluation is a particular form of multilateral ODA to which Japan has contributed the bulk of its ODA funds. Thus, the lessons learned from this evaluation may not apply to other international funds due to the fact that the rate of Japan's contribution to the UNTFHS is extremely high.

Chapter 2 About the UNTFHS

2-1 Japan's ODA Policy and Human Security

1. Human Security in Japan's Foreign Policy

(1) The Concept of Human Security and Its Involvement in Japan's Foreign Policy

The *Human Development Report 1994* was the first report in which the term human security received attention,⁴ although it had been used by scholars in the 1980s. In Japan, human security was introduced as a new concept pertaining to the international community after the end of the Cold War, and discussions on how to introduce this concept into Japan's foreign policy were started among several scholars, politicians, and foreign ministry officials.⁵

The end of the Cold War gave rise to fundamental questions about the traditional role of national security. Due to issues such as the collapse of former communist countries and the explosion of civil wars in Africa, people realized that sovereign states cannot ensure the security of the people. People were now free from the threat of nuclear war in the post-Cold War era, but there were still threats of armed conflicts, refugee problems, famines, and infectious diseases.

With these circumstances in mind, the UNDP defined security from a human perspective in the *Human Development Report 1994*. The report emphasized the necessity of broadening security from states to the people who compose the states and the realization of "freedom from fear" and "freedom from want." Human security gained more of the world's attention and vigorous discussions were held, especially in Japan and Canada.

In December 1998, after the Asian currency crisis, Prime Minister Keizou Obuchi expressed Japan's position on human security at the symposium entitled "Intellectual Dialogue on Building Asia's Tomorrow." Afterwards, Japan's policies on human security began to be officially developed. The prime minister's speech stated that the government of Japan would support the socially vulnerable against environmental degradation, illicit drugs, and terrorism after the economic crisis by establishing the UNTFHS. Moreover, in the speech at the UN Millennium Summit in 2000, Prime Minister Yoshiro Mori declared that Japan would establish human security as a pillar of Japan's foreign policy, and he called for the establishment of the Commission on Human Security to provide further support.

Japan's foreign policy regarding human security uses two approaches. The first approach promotes the concept of human security. The second approach promotes practicing human security in the field.

(2) Promotion of the Human Security Concept

The Commission on Human Security (CHS) was established in 2001 after being proposed by Prime Minister Yoshiro Mori. Sadako Ogata and Amartya Sen were appointed co-Chairs of the commission. The CHS submitted a report entitled "Human Security Now" to the UN Secretary-General in May 2003.

In order to follow-up on the recommendations of the report and to advise the UN

⁴ UNDP. (1994). *Human Development Report 1994*, Oxford University Press

⁵ Interview with Keizo Takemi

Secretary-General on the management of the UNTFHS, the Advisory Board on Human Security (ABHS) was established in September 2003. “The Friends of Human Security” was also established in 2006 under Japan’s initiative that each permanent mission to the UN and UN agencies in New York participate. Japan plays an important role in mainstreaming the concept of human security in the international community by supporting the activities of the ABHS and the Friends as well as by participating in discussions at bilateral meetings and international conferences.⁶

(3) Practice of Human Security in the Field

The first effort toward practicing human security in the field was made by Japan with the establishment of the UNTFHS in 1999. The targets of the fund were UN agencies, and the UNTFHS was primarily utilized to deal with the Kosovo Crisis in 1999 immediately after its establishment. Japan had contributed a total of approximately 39 billion yen to the UNTFHS by fiscal year 2009, supporting more than 190 projects. In 2003, Japan renamed “Grant Assistance for Grassroots Projects,” which applied to community-level organizations such as NGOs, to “Grant Assistance for Grassroots Human Security Projects” in order to incorporate the concept of human security into future projects. Japan International Cooperation Agency (JICA) has been trying to implement the concept of human security in the field of technical cooperation after the reform of JICA and the inauguration of Dr. Sadako Ogata as its President in October 2003.⁷

(4) Human Security as Japan’s ODA Policy

At the time of the revision of Japan’s ODA Charter in 2003, the concept of human security was added into the basic policy of the Charter. Additionally, approaches were proposed in “Japan’s Medium-Term Policy on ODA” published in 2005 to implement the concept of human security in the process of policy and project formulation, implementation, and evaluation.⁸ MOFA defines policies that contribute to human security as those that contribute to solving the global challenges facing people’s lives, livelihoods, and dignity. Thus, the components for this policy are: a) dissemination of the concept of human security, b) practice of the concept of human security, and c) countermeasures against the three main infection diseases using the Global Fund.⁹

(5) Goal Chart for Achieving Human Security and Japan’s Foreign Policy

Figure 2-1 is Japan’s foreign policy goal chart for achieving human security that was prepared by the evaluation team.¹⁰ The objective of human security policies is to promote the concept of human security and contribute to solving the global challenges facing people’s lives, livelihoods, and dignity. The impacts of such policies would lead to the “promotion and practice of the concept of human security among various actors such as international organizations and civil society groups,” which would eventually achieve human security. Japan’s contribution to achieving human security can help

⁶ MOFA. (2009). *United Nations Trust Fund for Human Security: For the “Human-centered” 21st Century*, p.1

⁷ JICA’s mission includes addressing the global agenda, reducing poverty through equitable growth, improving governance, and achieving human security. <http://www.jica.go.jp/english/about/mission/>

⁸ MOFA Website

⁹ MOFA. (2009). *Policy Evaluation Report*

¹⁰ The evaluation team drafted the goal chart considering Japan’s ODA policies and human security, because there is no official goal chart for this policy.

Japan obtain an honored position in international society, and it can also create an international environment that can contribute to peace and prosperity in Japan. The promotion and practice of the concept of human security are the means by which Japan's policy goals are achieved, and they can be accomplished by bilateral and multilateral ODA. The UNTFHS, which is the target of the evaluation, strives to practice the concept of human security through the implementation of projects and promote human security in its practices.

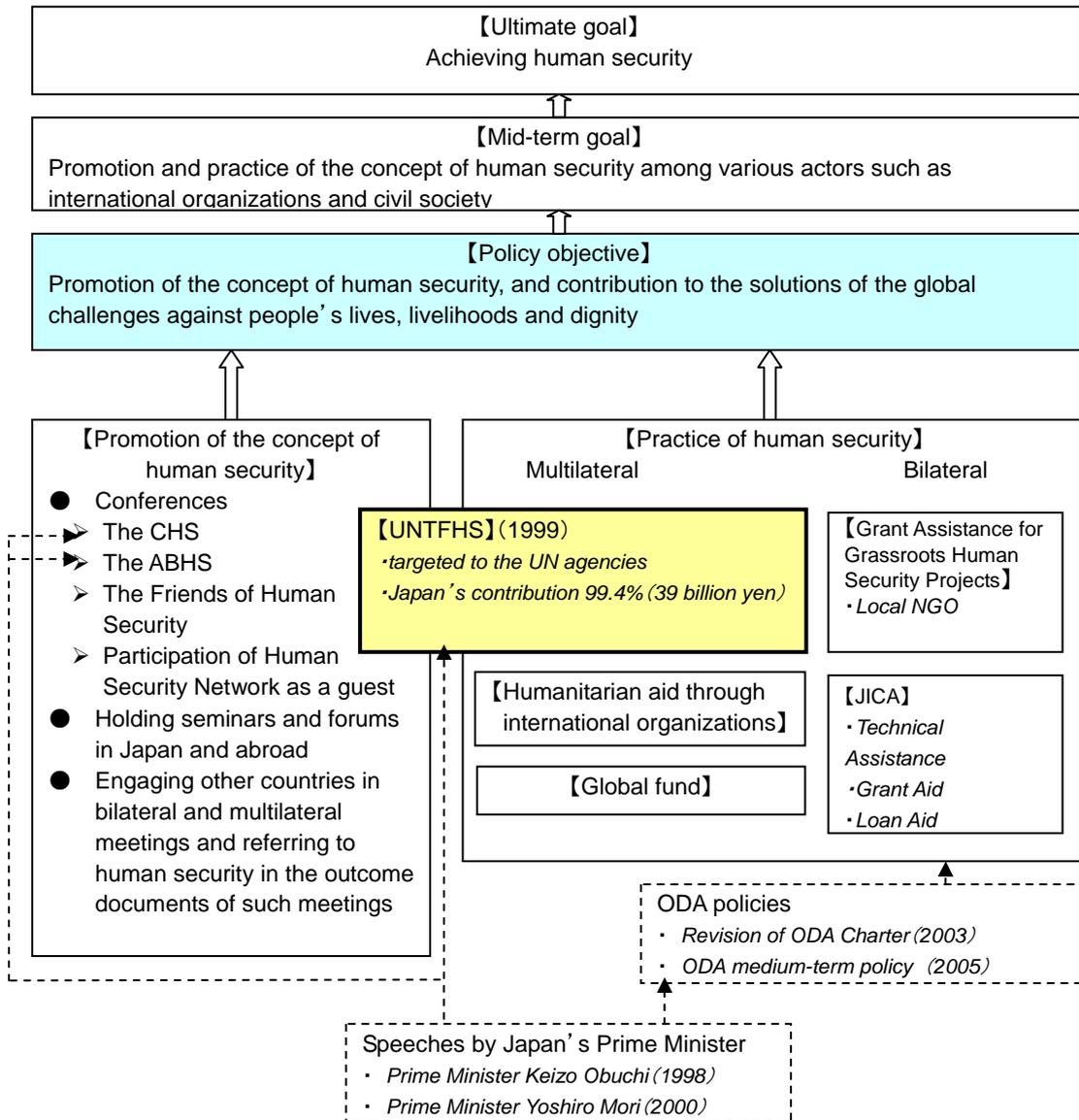


Figure 2-1 Goal Chart for Achieving Human Security and Japan's Foreign Policy

2-2 Establishment of the UNTFHS

1. Background of the Establishment

The UNTFHS was established for the purpose of assistance to Asian countries due to Asian economic crisis. The establishment of this fund was announced in a UN policy speech by Prime Minister Keizo Obuchi in 1998, and the fund was created in order to

practice the concept of human security as an actual assistance measure.¹¹

The most effective measures for the contribution to the UN's human security practices were examined when the UNTFHS was established. There were options for appropriate methods to effectively use Japan's contribution of multilateral ODA to specific organizations, programs, and funds in UN system or to the UN secretariat. It was established that contributions to the UN Secretary were treated as general trust funds under the UN financial regulations and rules. The general trust funds can provide support to various UN agencies, and contributing to the general trust funds allow funds to be used for more comprehensive and diverse issues when compared with contributions to a specific organization.¹² Additionally, the UN Secretariat may be the only organization that deals with comprehensive humanitarian, development, and security issues.¹³

2. Objectives of the UNTFHS

The objective of the UNTFHS is to translate the concept of human security into concrete activities implemented by UN agencies through supporting projects that address diverse threats including poverty, environmental degradation, conflicts, landmines, refugee problems, illicit drugs, and infectious diseases such as HIV/AIDS, in order to secure people's lives, livelihoods, and dignity in the real world.¹⁴

According to *Human Security in Theory and Practice* (HSU/OCHA, 2009), the inter-disciplinary concept of human security includes characteristics of being people-centered, multi-sectoral, comprehensive, context-specific, and prevention-oriented. Based on the inter-disciplinary concept, the UNTFHS addresses seven types of human security threats with top-down protection and bottom-up empowerment approaches.¹⁵

A goal chart of the UNTFHS is shown in Figure 2-2 in consideration of the previous discussion.¹⁶ The UNTFHS has the two aspects of dissemination and practice of the concept of human security, and aims to achieve human security as its ultimate goal, which includes "freedom from fear," "freedom from want," and "life with dignity." It is required to promote the practice of human security in UN agencies and to provide a model for realizing human security. It promotes mainstreaming the human security concept in UN agencies, and it stimulates multi-sectoral and multi-agency activities of the UN agencies based on issues beyond the mandate of each agency. This leads to mainstreaming the concept of human security not only in the UN agencies, but also in the member countries and civil society. The aid trend reflecting human security will enhance governments' capacity to supply services and take initiatives in addressing diverse threats. It also will lead to empowering the people and communities to take initiatives to cope with various threats. That is to say, it will strengthen their abilities with protection and empowerment so they may respond to new threats and relieve themselves of existing threats. These efforts will ultimately contribute to the "achievement of human security."

¹¹ Interview with HSU/OCHA and JCIE

¹² Interview with HSU/OCHA

¹³ Interview with HSU/OCHA

¹⁴ MOFA.(2009). *United Nations Trust Fund for Human Security: For the Human-centered 21st Century*, p.7

¹⁵ HSU/OCHA. (2009) *Human Security in Theory and Practice*, p. 7

¹⁶ The evaluation team made a goal chart based on references from the UNTFHS because the chart did not exist.

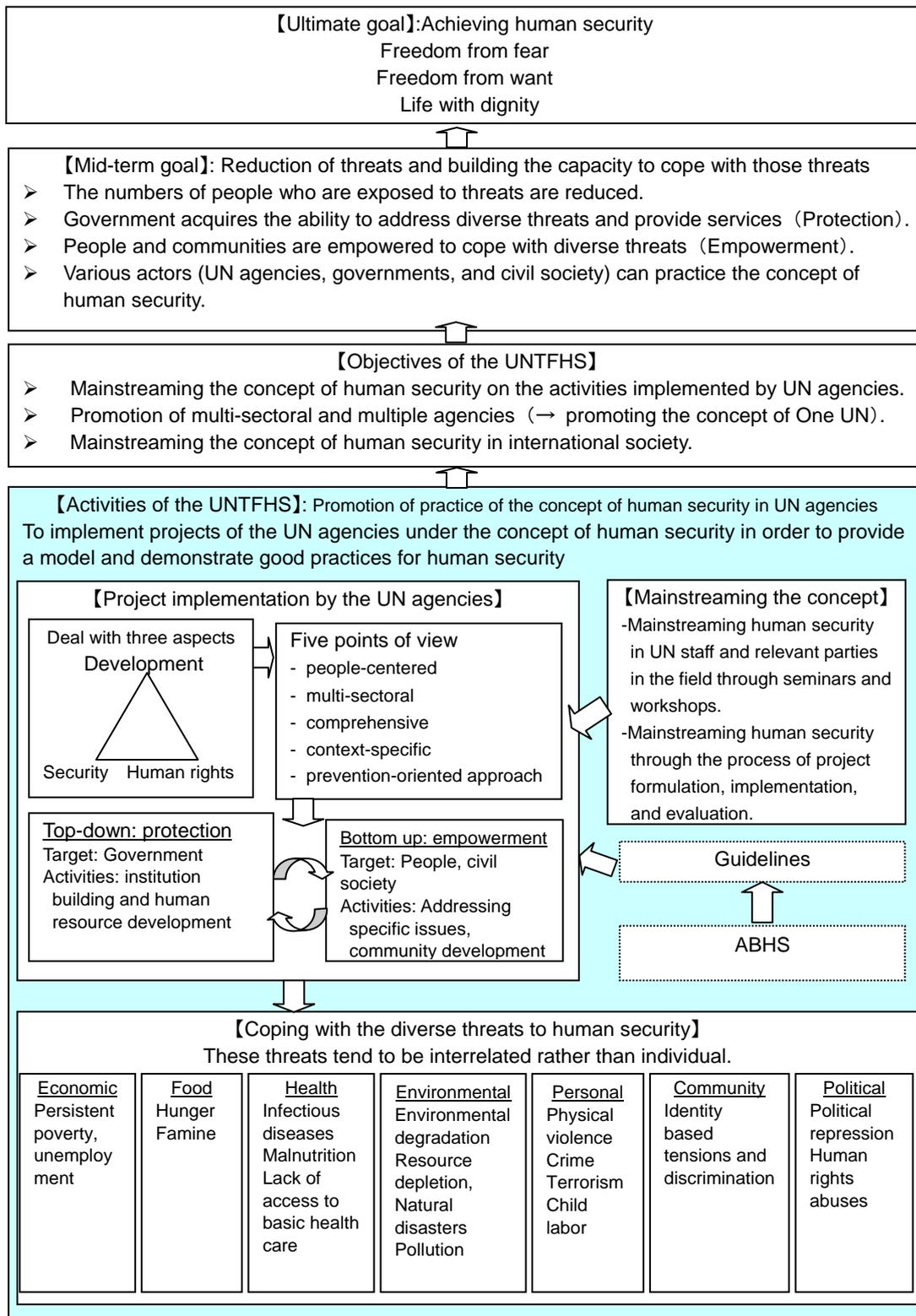


Figure 2-2 Goal Chart of UNTFHS for Achieving Human Security

2-3 Management of the UNTFHS

2-3-1 Guidelines for the United Nations Trust Fund for Human Security

“Guidelines for the United Nations Trust Fund for Human Security” is the essential guide to selecting UNTFHS projects that include the concept of human security, selection criteria, and procedures for application, approval, and implementation of projects.

The original guidelines were published in April 2001, and the most recent revision, the fifth revision, was published in May 2009. The first revision was completed in response to the CHS report “Human Security Now” in November 2003, and the concept of human security in the report was reflected in the revised guidelines. The guidelines have been reviewed and endorsed by the ABHS since then. The management systems have been modified in consideration of the input of UN agencies and suggestions by the ABHS.

Table 2-1 Revision of the UNTFHS Guidelines

Version	Date of Issue	Page
Original	10 April 2001	4 pages
1 st Revision	11 November 2003	4 pages
2 nd Revision	10 January 2005	4 pages + Annexes 13 pages
3 rd Revision	25 December 2005	4 pages + Annexes 17 pages
4 th Revision	17 March 2008	4 pages + Annexes 32 pages
5 th Revision	12 May 2009	4 pages + Annexes 32 pages

2-3-2 Application, Approval and Implementation Procedures

The procedures of the application, approval, and implementation of a UNTFHS project are as follows: (a) submission of a concept note, (b) submission of a full proposal, (c) approval, (d) financial agreement, (e) disbursement of funds, (f) implementation, and (g) submission of reports. The procedure chart illustrating the process from the application to submission of reports is shown in Figure2-3.

2-3-3 Project Management System

1. Implementation System

UNTFHS was established in the Controller’s Office of the UN Secretariat when the UNTFHS was launched and then transferred to the Human Security Unit (HSU/OCHA), where it is currently located. This transfer was triggered by the CHS report in 2003. It had been pointed out that the management system at that time was not appropriate in terms of the context of the project and efficiency, and then establishment of an office exclusively for the UNTFHS was recommended by Mrs. Sadako Ogata, co-Chair of the CHS.¹⁷ In response to this recommendation, the HSU/OCHA was established as a unit that was directly controlled by the Undersecretary General for the Coordination of Humanitarian Affairs in UNOCHA, and authorization was formally transferred.¹⁸ However, the HSU/OCHA has managed the functions of the UNTFHS since 2006 due to confusions such as dissipation of data that resulted from the transfer.¹⁹

¹⁷ Interview with HSU/OCHA

¹⁸ Interview with HSU/OCHA

¹⁹ Interview with HSU/OCHA

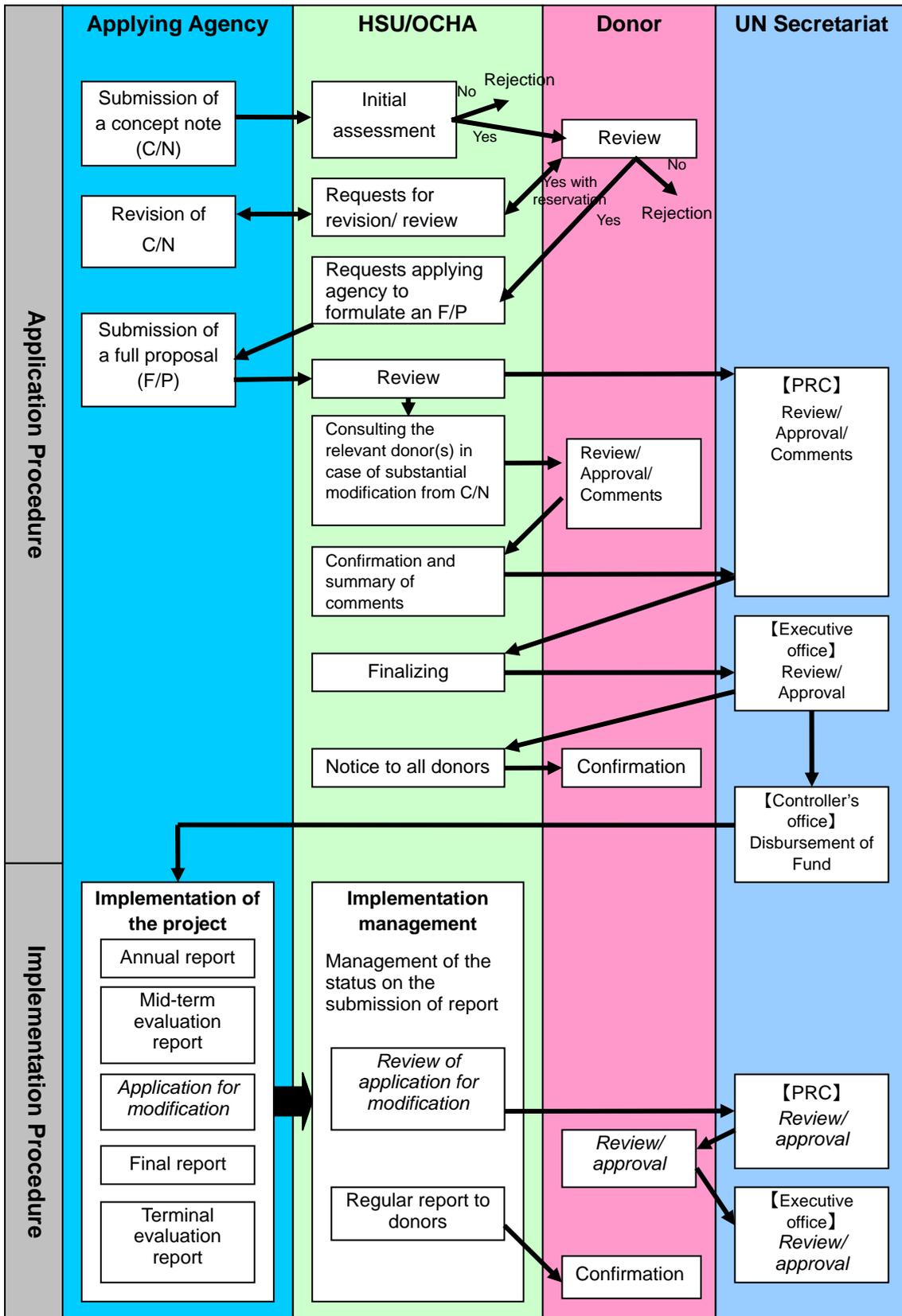


Figure 2-3 Procedures of UNTFHS Projects

2. Administration System of the HSU/OCHA

The HSU/OCHA consists of the unit chief, four officers, and one supporting staff member. They are in charge of the activities of mainstreaming human security, budget

management, project reviews, and project accounting. Their major activities range from reviewing potential UNTFHS project applicants from UN agencies based on the guidelines to playing the role of secretariat by conducting the modification, application, and confirmation of reports in coordination with relevant agencies as shown in Figure 2-3. As for the mainstreaming activities, they operate the Friends of Human Security, cooperate with member countries, conduct seminars for human resources of PKO Secretariat, and train the UN implementing agencies staff.²⁰

Shortages of manpower have been pointed out in response to the fact that HSU/OCHA staff in charge of project reviews also double as public relations staff.²¹ This problem affects the monitoring and evaluation of UNTFHS projects. The HSU/OCHA has not been able to monitor each project because of the independence of UN agencies and the shortage of manpower.²²

2-4 Approved Projects of the UNTFHS

2-4-1 Achievements of UNTFHS

As of July 2009, according to the records of the Ministry of Foreign Affairs, 194 projects had been approved since 1999. The achievements of the projects that were implemented by the UNTFHS are shown below.

The total budget of all projects is 308 million US Dollars, with an average of 1.6 million US Dollars per project.²³

Table 2-2 Annual Budget²⁴

Year	Budget (US\$)	Approved Projects
1999	760,063	3
2000	50,386,950	14
2001	15,712,238	21
2002	22,119,407	27
2003	26,386,489	24
2004	28,202,816	22
2005	31,879,282	21
2006	53,954,226	24
2007	20,051,663	13
2008	47,615,495	16
2009	8,886,503	4
Unclear	2,155,780	5
Total	308,110,912	194
Average	1,588,201	

The 194 projects can be categorized according to region as shown in Figure 2-4. 71 projects were implemented in Asia and 55 projects in Africa, both regions combined accounted for 65% of the total.

²⁰ Interview with HSU/OCHA

²¹ Interview with HSU/OCHA

²² Interview with HSU/OCHA

²³ The average is only provided for reference because the projects include small scale research and studies.

²⁴ Prepared by the evaluation team

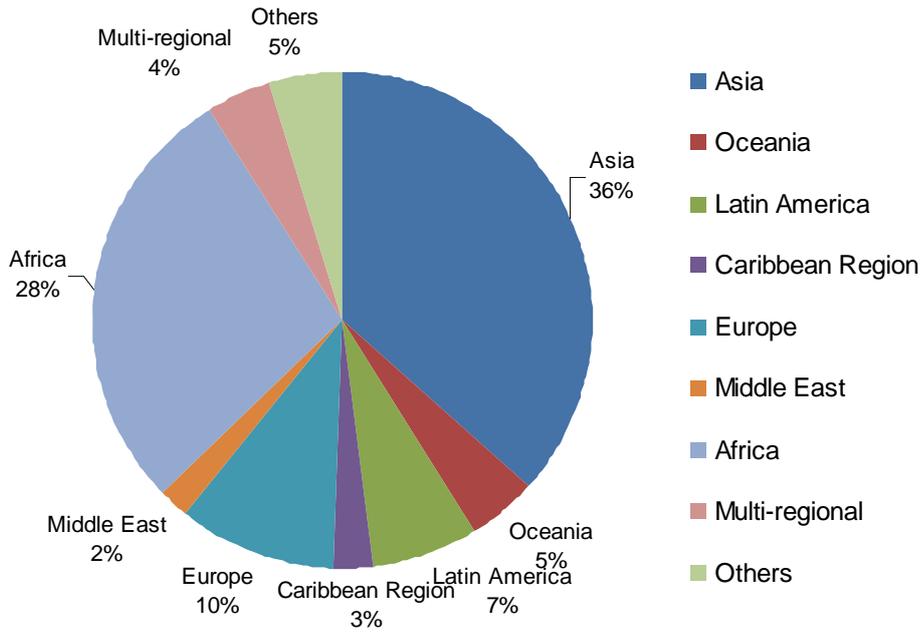


Figure 2-4 UNTFHS Project by Region²⁵

Approved budget amounts by region are shown in Figure 2-5. Africa has the largest total budget, and Asia and Africa are the largest in terms of budget as well as the number of projects. The budget for Europe indicates assistance for the Kosovo crisis in 1999.²⁶

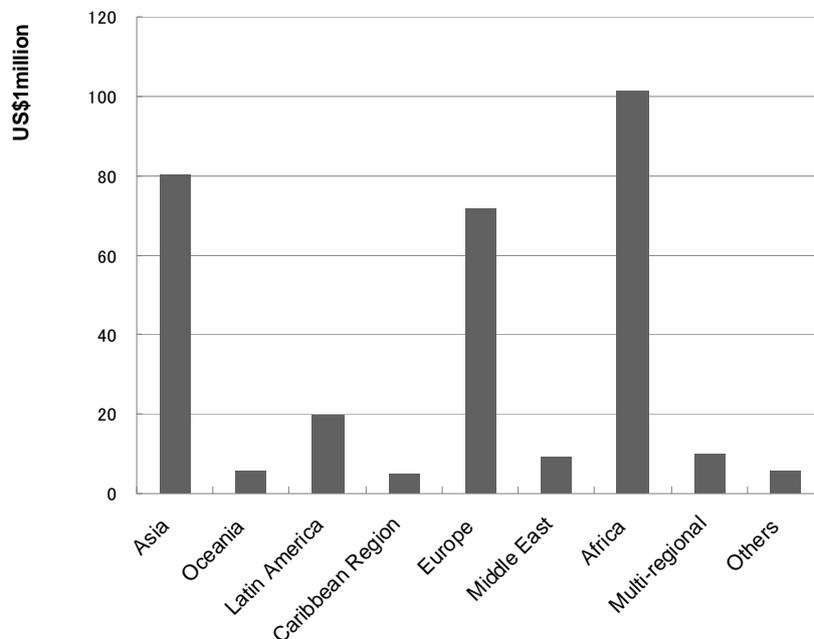


Figure 2-5 Approved Budget by Region²⁷

²⁵ Prepared by the evaluation team

²⁶ As for the Kosovo crisis, one project was approved in 1999, six in 2000, and three in 2001.

²⁷ Prepared by the evaluation team

The 194 projects are shown according to UN agency in Figure 2-6. Some projects were implemented by a single agency, and others were implemented by multiple agencies. In case of a project undertaken by multiple agencies, each agency was counted separately. A trend indicating that UNDP and UNICEF have implemented many of the projects was discovered.

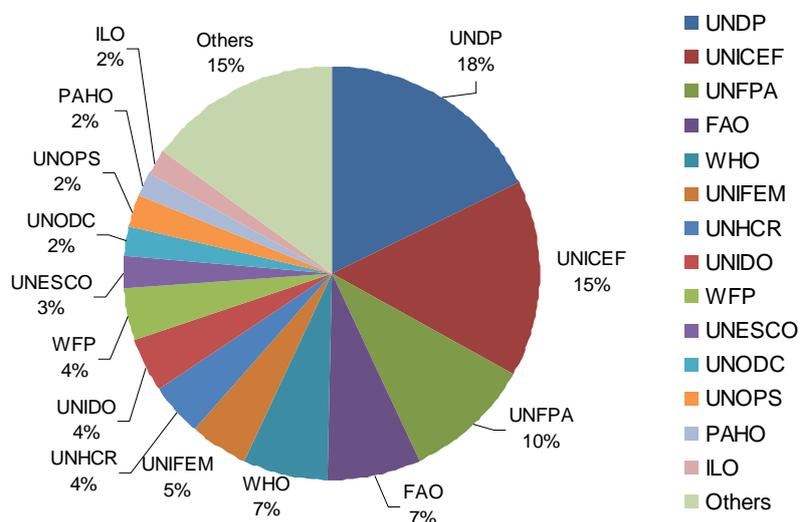


Figure 2-6 UNTFHS Projects by UN Agency²⁸

2-4-2 Trend of UNTFHS

The trend of the UNTFHS is shown below with regard to three aspects: a) implementation by multiple agencies or a single agency; b) sufficiency level of the parameters regulated in the UNTFHS guidelines; and c) budget of the UNTFHS.

1. Project Implementation by Multi Agencies or a Single Agency

The first revision of the guidelines was conducted in response to suggestions from the ABHS. The sentence “Advancing integrated approaches that preferably involve more than one organization in planning and implementation” was inserted as a parameter for funding projects.²⁹ This change stresses integrated approaches using multiple agencies. Multiple agency projects have increased rapidly after 2006, although there was a short period between the revision and its reflection on projects due to the time required to adjust the system after transferring authorization from the Controller’s Office to the HSU/OCHA. Single agency projects are limited to research and additional funding for existing projects.

However, the language regarding multiple agencies was deleted in the guideline’s 5th revision in May 2009. The deletion was the result of a recommendation from the ABHS in response to concerns that the projects undertaken by multiple agencies create coordination burdens.³⁰ Nevertheless, the HSU/OCHA still stresses on the multiple agency approach because the multi-sectoral approach that is regulated as a parameter requires integrated project implementation by multiple agencies.³¹

²⁸ Prepared by the evaluation team

²⁹ UNTFHS Guidelines 1st revision, Nov 2003, p. 2

³⁰ Interview with HSU/OCHA

³¹ Interview with HSU/OCHA

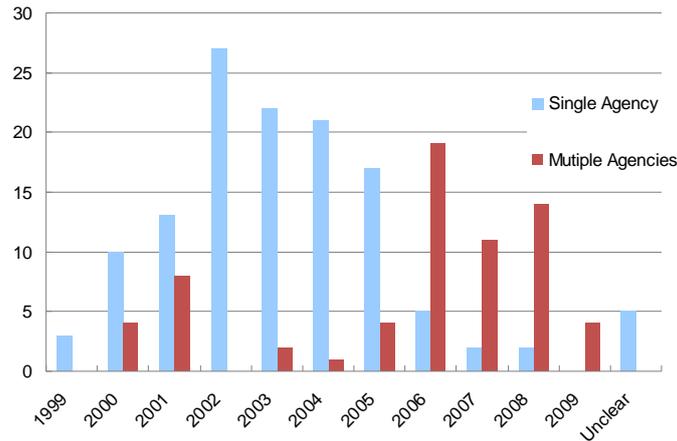


Figure 2-7 The Number of UNTFHS Projects by a Single or Multiple Agencies³²

2. Sufficiency Level of the Parameters Regulated in the UNTFHS Guidelines

Parameters regulated in the UNTFHS guidelines are requested to be met in the project review. Six parameters were provided in the 1st through 4th revisions, and five parameters were provided in the 5th revision. The parameter regarding multiple agencies was deleted in the 5th revision. However, multiple agencies are still regulated in another article. Since projects after the 5th revision are not target of this evaluation, the sufficiency level of the parameters was judged using six conditions:

- Parameter 1: Providing concrete and sustainable benefits to people and communities
Criterion: Providing concrete benefits for people, materials, or infrastructure and taking sustainable mechanisms into account
- Parameter 2: Protection and empowerment framework
Criterion: Involving the protection with top-down approaches and empowerment with bottom-up approaches
- Parameter 3: Promoting partnership with civil society groups and encouraging implementation by them
Criterion: Utilizing the local level of NGOs and entities
- Parameter 4: Integrated approaches that involve more than one organization
Criterion: Joint implementation of the project by at least two UN agencies
- Parameter 5: Addressing a broad range of interconnected issues that take multi-sector demands into account
Criterion: Addressing more than two sectors in fields of water, sanitation, health, infectious diseases, education, poverty (e.g., income generation), refugee/IDPs, infrastructure, illicit drugs, human trafficking, landmine problems, disarmament, demobilization and reintegration (DDR), small arms, disaster prevention, job training, and agriculture
- Parameter 6: Concentrating on those areas of human security that are currently neglected and avoiding duplication of existing assistance
Criterion: Not describing other similar projects or projects that have been previously implemented by another fund

³² Prepared by the evaluation team

During project examination, the above-mentioned parameters are used in order to make judgments as to whether all of the parameters are covered by the HSU/OCHA.³³ Figure 2-8 shows the fulfillment of the guideline parameters in terms of reports, concept notes, and full proposals approved by year for 194 projects, respectively. As for Parameter 1, concrete benefits, it has been confirmed at a rather high level since the establishment of UNTFHS. Other parameters indicate they were not taken into consideration by 1999. Nonetheless, with regard to Parameter 2, protection and empowerment, and Parameter 3, partnership with civil society, their percentages dramatically increased during the period from 1999 to 2002. Afterwards, they have maintained stable high percentages. Regarding Parameter 4, multiple agencies, and Parameter 5, multiple sectors, they have maintained high rates since 2006. This most likely resulted from transferring the management of the UNTFHS from the Controller's Office to the HSU/OCHA around the same time, and the HSU/OCHA came completely on-line around then as well. Although almost all the parameters indicate a high fulfillment rate over these years, the rate of Parameter 6, neglected areas fluctuated and was not as high on average. It is possible that fulfillment of Parameter 6 might simply have been low. Yet, the main reason for the low rate of Parameter 6 is that the related information was not verified from the project reports that the evaluation team reviewed.

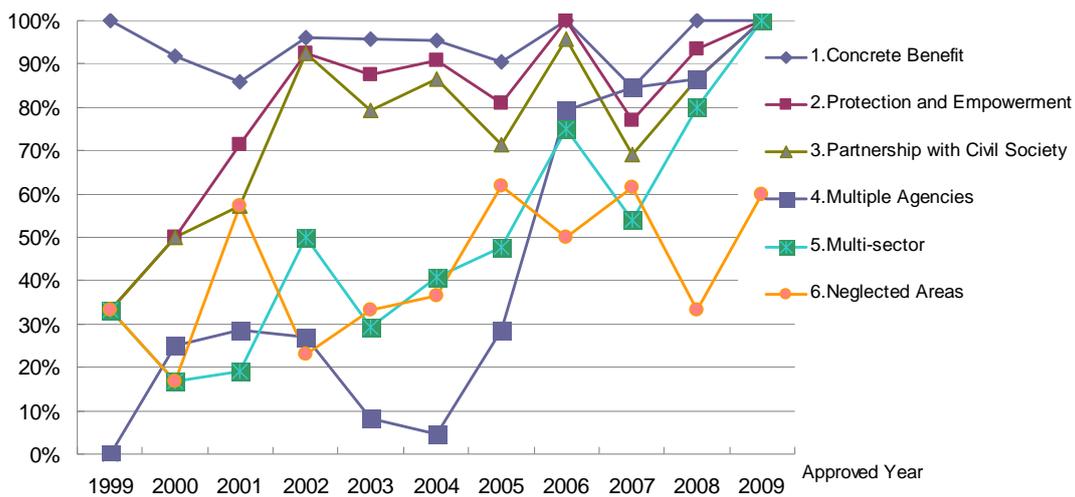


Figure 2-8 Fulfillment of the Guideline Parameters³⁴

Figure 2-9 indicates the average fulfillment of the parameters for 194 projects by classifying the projects into two types: those implemented by a single agency and those implemented by multiple agencies. The record of the projects implemented by a single agency and those implemented by multiple agencies show a dramatic reversal in 2006. Thus, it is difficult to compare the fulfillment of parameters. However, it is certain that the projects implemented by multiple agencies have maintained a high percentage on average.

³³ Interview with an ex-HSU/OCHA officer

³⁴ Prepared by the evaluation team

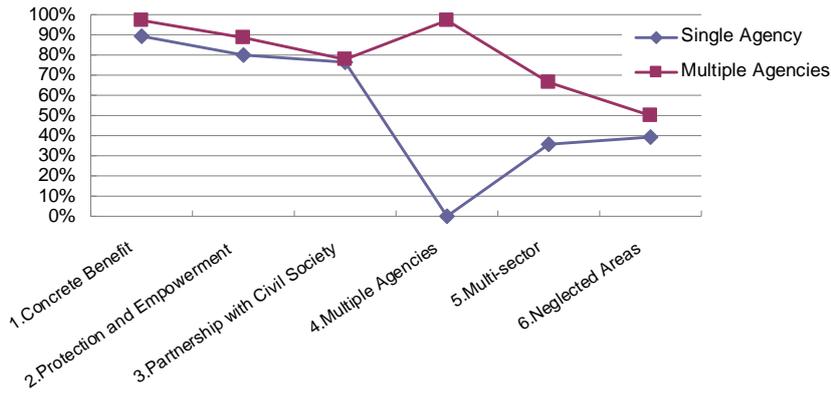


Figure 2-9 Fulfillment of the Guideline Parameters by a Single or Multiple Agencies³⁵

3. The Budgets for UNTFHS

Figure 2-10 shows the movement of UNTFHS from a budget perspective. The cumulative contributions signify the total amount that was provided to the UNTFHS for the year, and the cumulative budget indicates the total amount used on projects. The balance of UNTFHS is calculated by subtracting the cumulative budget from the cumulative contributions. An examination of Figure 2-10 shows that the cumulative contributions and the cumulative budget are trending towards one another recently. This is caused by a confirmation of the balance of the UNTFHS. The charted value of the balance shows there has been a continuing downward trend since 2004. The amount of annual contributions has declined since 2001. Provided that there is no drastic change to the contributions and the budget, the balance of UNTFHS is predicted to be depleted in 2010.

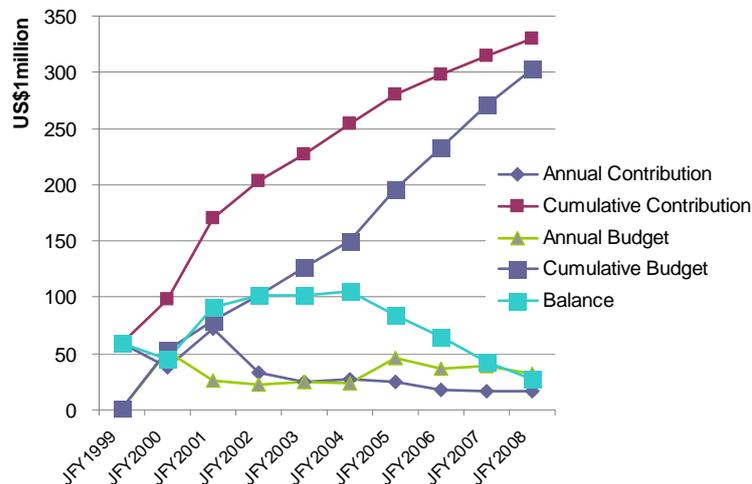


Figure 2-10 Contribution, Budget and Balance of the UNTFHS³⁶

³⁵ Prepared by the evaluation team

³⁶ This figure was made by the evaluation team. The amounts are indicated by fiscal year, and the amount is calculated on the basis of the information on website of the Ministry of Foreign Affairs. Thailand and Slovenia have contributed to the UNTFHS recently. The contribution amounts from both countries are considerably small, so they were difficult to represent. Hence, such amounts are not included in this analysis. Additionally, the annual expenses for management of the HSU/OCHA are not included.

Chapter 3 Evaluation Results

In this chapter, the evaluation results are summarized from the viewpoints of relevance of policies, appropriateness of process, and effectiveness of results.

3-1 Relevance of Policies

The spread of the concept of human security as well as the practice of the concept in the fields through the activities of the UN agencies matches Japan's policy objective with respect to human security. Therefore, Japan's contribution to the UNTFHS as a mode of multilateral ODA is relevant, because it gives opportunities to many UN agencies to exercise the concept of human security.

3-1-1 Policy Framework

Intellectual contributions with regard to human security in the international community have been undertaken by an initiative of the Japanese government since the 1990s. Consequently, the UNTFHS was established in the UN in 1999. The purpose of the UNTFHS is not only to disseminate the concept of human security through the activities of UN agencies, but also to put it into practice in the field. Yet, the UNTFHS did not possess guidelines to achieve its purpose at the time of its inception. In addition, the definition of human security remained ambiguous. The main reason for this was that there were no tangible criteria for human security in either the UN or in Japan. Subsequently, the CHS submitted a report to the UN Secretary General in May 2003, and afterwards the concept of human security was clarified. On the one hand, the ODA Charter of Japan was revised in accordance with the decision that the perspective of human security should be added into the basic policy on assistance. On the other hand, the guidelines for the UNTFHS were revised on the basis of such a report through the ABHS, which established the recommendations of the CHS. As a result, policy objectives between the UNTFHS and Japan matched each other well.

The UN and its implementing agencies have dealt with a variety of threats to human security in their specialized fields. The more complicated and comprehensive it was to tackle issues in projects, the more necessary it was for the stakeholders to cooperate among the UN agencies. In this regard, it said that the promotion of multiple agencies and the multi-sector approach have had a substantial effect on practice in the field and on UN reforms such as One-UN.

3-1-2 Assistance System

The UNTFHS is not a fund that a certain UN agency manages, but a fund under the control of the UN Secretariat. This assistance system of the UNTFHS has enabled a variety of the UN agencies to apply for aid. Such a system tends to be rather sound to reflect the notion of human security in the activities of UN agencies. Moreover, the UNTFHS, a multilateral trust fund for the UN, has been managed by the HSU/OCHA. The HSU/OCHA and the guidelines are supposed to accept advice from the ABHS, which has a common understanding of the concept of human security with Japan.

3-2 Appropriateness of the Process

Compared to the time when the UNTFHS was launched, the process of implementation for the UNTFHS has been improved by the establishment of the HSU and the revisions of guidelines. However, regarding the reflection of the concept of human security in the projects, the managing system of HSU which is in the leading position has many problems to solve. The system for contribution of UNTFHS where Japan is the major donor needs to be reconsidered, since the finances of UNTFHS has been decreasing every year.

3-2-1 Contributory Structure

There are three donors to the UNTFHS: Japan, Thailand, and Slovenia. This fund is highly dependent on Japan's support due to the fact that Japan's contributions to the UNTFHS represent 99.4% of the total. This might be effective in reflecting Japan's policy of human security to this fund or guidelines, although Japan's influence might be too much for other potential donors to participate. It is necessary for the UNTFHS to expand the number of donors considering the fact that the balance of this fund has decreased as well as the promotion of the concept of human security to UN member states. The contributory structure of UNTFHS should be re-examined in the future.

3-2-2 Process of UNTFHS

With regard to the process of UNTFHS projects, there were many opinions from UN agencies stating that it took a long time for the procedure and that there was a large volume of demands. Taking this into account, the guidelines for the UNTFHS have been revised by accepting appropriate advice from the ABHS, responding to the situation and necessity in the field accordingly. However, compared with the improvements to the guidelines, there were challenges in keeping concerned parties in the UN informed regarding the guidelines and relating their content in an easily understood manner. It can be said that time required to take the application procedures has not dramatically improved, regardless of establishing time restrictions through the revision of the guidelines.

On the other hand, there are many problems with the structure, such as project implementation, reporting, monitoring, and evaluation. The HSU has examined whether the notion of human security is reflected in the concept notes at the application stage and in approval procedures. The implementation phase is rather dependent on the context of UN agencies as to whether or not projects plans are implemented smoothly. Thus far, there has been a tendency for monitoring to be undertaken by the UN agencies and implementing parties themselves. The UNTFHS has not confirmed the quality of such monitoring. As for the submission of final reports, the evaluation team confirmed that only 20 projects out of 138 submitted a final report to the MOFA as a donor via the HSU/OCHA within the required period stated by the guidelines.³⁷ Many reports tend to be submitted to the HSU/OCHA late. Additionally, 23 final reports, approximately 16.7% of the total, have not been submitted. Therefore, it is considerably immeasurable whether funded projects have actually led to the practice of human security. In addition, both the confirmation framework of the HSU/OCHA concerning the

³⁷ The evaluation team reviewed data concerning the submission of final reports from the MOFA and the HSU/OCHA. There were 138 projects that should have been closed as of July 2009.

reports and the effort to compile a database for past projects have not been sufficient, so it is necessary for them to be improved.

3-3 Effectiveness of Results

Regarding practical effects, certain results such as the promotion of integrated approaches that involve numerous UN related agencies have been gained through a revision of the guidelines, and in recent years the concept of human security has been reflected in practice in the field. On the other hand, problems remain to be solved in both the UN headquarters and locally in order to spread the concept of human security.

3-3-1 Practical Effect

From the perspectives of sufficiency level of parameters for the projects on the guidelines for the UNTFHS, although the projects before 2005 could hardly be regarded as human security projects, such projects have been improved in stages in response to the guideline revisions. As for the parameters described in the guidelines for the UNTFHS, most of the parameters tend to be fulfilled in recent years as shown in Figure 2-8. An example of this is that the projects in Thailand and Turkmenistan, where field surveys regarding this evaluation were implemented, have been designed with the intention of enhancing the Protection and Empowerment of the socially vulnerable, such as the victims of human trafficking and ex-refugees that have experienced threats to their human security. In addition, these projects have strengthened the protection capacity of government agencies, and they have also implemented improvements to living conditions and empowering beneficiaries and communities.

At the same time, the implementations of projects promoted in terms of multi-sectors and multiple agencies have been substantially attributed to the promotion of One-UN. In particular, a project in Tanzania was implemented by five UN agencies:³⁸ UNDP, WFP, FAO, UNIDO, and UNICEF. This project provided food, small arms, education, water, and sanitary improvements by taking advantage of the specialty of each agency. One of the people in charge of an implementing agency said, “we were able to understand what the project formulated by multiple agencies is like through this experience;” the comment was sent to the HSU/OCHA and afterwards this project led to another project formulation made up of multiple agencies that was funded by another donor.³⁹

In light of the above, it seems to be certain that UNTFHS has alleviated threats to people and communities regarding their human security in the field. Yet, the components of empowerment and partnerships with civil society have incorporated general development assistance. Hence, it is rather difficult for the UN implementing agencies to determine the distinct accomplishments of projects funded by the UNTFHS. In other words, human security projects are not simply in possession of characteristic outcomes and have not adequately been shared among the concerned parties. A specific and practical project model that reflects the notion of human security has not been shown so far.

3-3-2 Promotion of the Concept of Human Security

With regard to the promotion of the notion of human security, HSU/OCHA has

³⁸ The Progress Report, “Strengthening human security through sustainable human development in North Western Tanzania”

³⁹ Interview with an ex-HSU/OCHA officer

conducted public relations activities using their website and through workshops involving the staff of UN agencies. However, the contents of both contain much general and theoretical information, so they may lack the necessary usability to put such information to practical use in the field. The UNTFHS per se tends to be regarded as Japan's visibility rather than human security's visibility in the UN. UN agencies would show an understanding of Japan, the largest donor promoting human security, as well as being keen on obtaining the funds contributed by Japan, which would not essentially contribute to an understanding and promotion of the human security concept and reflection to the activity of each agency. Therefore, it can be said that there are outstanding issues with the promotion of the human security concept in the UN Headquarters.

On the other hand, some of other countries' offices have reflected the practice of the concept of human security in their projects, including the multi-sectoral and the multiple agency approach. Nonetheless, the beneficiary can only confirm the visibility of the UN agencies as well as the extent to which the human security concept has been implemented among the concerned parties.

Chapter 4 Lessons Learned and Recommendations

This chapter contains the lessons learned regarding the role of multilateral ODA for the future as well as the recommendations to improve the UNTFHS based on the evaluation.⁴⁰

4-1 Lessons Learned regarding Multilateral ODA

Lesson 1: Clarification of the objectives of multilateral ODA

It is necessary to clarify the objectives of contribution to international organizations in terms of the strategic intent of Japan's foreign policy. The meaning of the policy and the necessity for multilateral ODA should be clarified and explained to people in Japan since multilateral ODA does not explicitly indicate the presence of Japan, unlike bilateral ODA.

In case of the UNTFHS, promotion of the concept of human security in UN agencies was legitimized with the support for the UNTFHS from Japan since the objective of Japan's policy is to promote the concept in the international society in order to "achieve human security." This means that achievement of the UNTFHS objective would also contribute to achieving Japan's policy objectives, although support of the UNTFHS does not always show the presence of Japan directly, unlike Grant Assistance for Grassroots Human Security Projects and JICA's technical cooperation.

Nevertheless, it is necessary to fulfill the duty of accountability to Japanese citizen at the same time. The need for Japan's multilateral ODA and the resulting benefits for Japanese people should be explained by illustrating the objectives and goals of the process.

Lesson 2: Promotion of the coordination of multilateral ODA and various aid schemes

The objectives of ODA cannot be achieved independently via multilateral ODA. They can be achieved through collaboration with other aid schemes. Even when the successful promotion of the concept of human security can be achieved thanks to certain UNTFHS projects, it only can contribute to solving some of the challenges facing human security. It is essential to learn how to expand such good practices. In this sense, it is favorable to complement the insufficiencies of multilateral ODA and expand the positive results from a bilateral ODA scheme. This is especially meaningful in cases where the UNTFHS utilizes both multilateral cooperation and bilateral cooperation in ODA policy. For example, UNTFHS projects are good at delivering direct benefits to beneficiaries and empowering them, but they tend to be insufficient for strengthening a government's capability to protect its people. Regarding this capability, JICA has good performance outcomes with their technical cooperation. Active collaboration of Japanese ODA, not considering the UNTFHS as a tool for Japan's policy, is desired.

Moreover, besides ODA, collaboration with academic institutions, NGOs, and the private sector can be effective depending on the challenge being faced. In this regard, the information on missions and outcomes of multilateral ODA should be shared among all people in charge. At this point, the UNTFHS is not well known among people

⁴⁰ As stated in the limitation of 1-4, the lessons learned from this evaluation can only apply to a particular form of multilateral ODA where Japan is the top donor.

concerned with ODA and the civil society in Japan. More active public relations at the civil level are required not only of the government, but also of schools and NGOs.

Lesson 3: Position of Japanese contribution to multilateral ODA

The approach of utilizing multilateral ODA to achieve Japan's policy objectives is useful if the policy and objectives of Japan match those of international organizations, if Japan is the main donor, and if Japan can exercise its influence on the direction and method of assistance. However, the best methods to utilize multilateral ODA should be explored. It is essential to form objectives in the context of global issues that Japan seeks to achieve rather than adding them to original Japanese ideas. This is because the influence of certain donors on ODA activities tends to cause a reaction in the UN. Regarding the management of funds, it would be better to seem less concerned with each individual project and to show greater involvement at the policy level. However, the degree of a donor's involvement in procedures may depend on the administration system and the operation structure of aid recipients.

4-2 Recommendations Regarding the Improvement of the UNTFHS

Recommendation 1: Clarification of mid- and long-term objectives of the UNTFHS

The mid- and long-term objectives of the UNTFHS should be clarified. The objective of the UNTFHS is still undefined, even though it intends to promote and implement the concept of human security in the activities of UN agencies. The distinctiveness of the UNTFHS should be defined. Specifically, it would be beneficial to do so after formulating a goal chart such as ones presented in this report, designing an action plan, and establishing monitoring and evaluation criteria. Regarding the indicators for achieving the objectives of the fund, they need to be exhibited by concrete indicators and measurements that constitute the five parameters of the contribution criteria and the degree of that the concept of human security is reflected in the project models. An action plan explaining how to promote the concept of human security through the activities of the UNTFHS should be designed after the target of the promotion is clarified.

It is desirable to formulate and execute select projects that can serve as the best practices of the UNTFHS, even if the number of projects is decreased considering the balance of the UNTFHS.

Recommendation 2: Clarification of the position of HSU/OCHA in the UN

The UNTFHS has been operated by the HSU/OCHA since responsibility for its operation was transferred from the Controller's Office in 2004. However, the HSU/OCHA has several institutional limitations when it comes to the practice of the concept of human security by UN agencies, which is the objective of the UNTFHS. This is caused not only by an inadequate understanding of the meaning of human security by the UN staff, but also by the objections of several member countries concerning humanitarian interventions involving armed forces and restrictions of state sovereignty when human security is pursued by the UN. The activities of the HSU/OCHA need to be authorized by making the human security concept a formal UN mandate in the human security discussions at the UN General Assembly after the submission of the report by the Secretary General regarding human security in the spring of 2010. If Japan takes the initiative and formulates a resolution toward this end and this resolution is passed at

the UN General Assembly, the position of HSU/OCHA will be strengthened.

Recommendation 3: Promotion of the outcomes of UNTFHS projects

The outcomes of the UNTFHS projects have not been shared enough among the UN agencies and the international community, even though the UNTFHS has implemented more than 190 projects. The concept of human security is comprehensive, and it is not necessarily easy to understand. The HSU/OCHA has managed to promote the concept by holding workshops on human security and providing advice during the application of concept notes for each UN agency project. However, systematic and strategic efforts have not been made, and the degree of such efforts largely depends on the person in charge. Thus, for example, many of the project staff do not seem to correctly understand the differences between the empowerment approach of human security and the bottom-up approach that UN agencies have implemented in the past.

There are many examples of good practices that can be collected from the abundant experiences in implementing UNTFHS projects, such as the integration of multiple sectors, promotion of the coordination between multiple agencies, coordination with civil society, and a comprehensive approach to protection and empowerment. There is a need to explain what a “reflection of the concept of human security to projects is, and what is being practiced” to the UN agencies and other stakeholders. It is essential to use good practices with the detailed explanations on the UNTFHS website and introduce the results and summaries of projects. Additionally, it is important to introduce articles on good practices and present real cases for those practices in addition to providing theoretical lectures in staff workshops.

Recommendation 4: Enhancement of UNTFHS visibility

The name of the UNTFHS has not been completely recognized in the project fields. Although the projects produce good results, the beneficiaries and the officials of the local governments did not always recognize that the financial resources for the projects came from the UNTFHS. Additionally, they did not clearly understand the differences between the UNTFHS and other projects completed by UN agencies. The beneficiaries need to acknowledge the involvement of the UNTFHS to a certain extent, although it is not necessary for these beneficiaries to understand the concept of human security. With respect to local governments and implementing partners (IP), if they are aware of the fact that the projects are supported by the UNTFHS, it can help to promote the concept to the people engaged in the field. In order for that to happen, efforts towards more public relations are indispensable in the field. In addition, it may be beneficial to hold workshops on human security that associate it with UNTFHS projects. These workshops could be held for government officials and IP staffs in collaboration with UN agencies and the HSU/OCHA.

Recommendation 5: Improvement of implementing system of the UNTFHS

The negative images associated with the UNTFHS such as long procedures and inconvenient use may be fixable. In order to remove these negative images and promote the concept of human security among UN agencies, it is essential to clearly specify the changes of the revisions in the guidelines, inform the public of the improvements to the UNTFHS, and collaborate with UN staff in the field. This means that more active involvement, such as holding workshops, will be required to disseminate the meaning of human security and promote the concept itself among UN

staff in the field.

A project management system that considers project cycle management should be established. Support from the staff of the HSU/OCHA for ex-ante evaluations is needed to design a project to reflect the concept of human security in order to successfully include the concept in the process of a project's application and implementation. It is desirable to carry out field surveys when a full proposal is made after a concept note has been approved.

Moreover, in order to extract the best practices, it is suggested that each project be evaluated by a third party upon completion. The UN implementing agencies have been in charge of monitoring and evaluating projects until now, but there has been a problem due to differences in criteria depending on the agencies. Additionally, there are several cases where projects have not been evaluated and the results are unknown. Thus, implementation of a third party evaluation and the submission of an evaluation report to the HSU/OCHA should be obligatory. The required budget for a third party, such as an estimation of the cost for hiring an international consultant for one person-month, should be included in each project. The establishment of a monitoring committee that participates with the UN agencies utilizing the UNTFHS should also be considered, and it could implement evaluation and monitoring activities if it is difficult for the staff of the HSU/OCHA to carry out monitoring.

However, it should be noted that report submissions tend to be delayed even though they are regulated by the guideline, and there are a number of projects for which reports have not been presented. This problem should be addressed since report submission is a basic responsibility of an implementing agency. Strict penalties should be considered for UN agencies that have not presented required reports.

Nevertheless, there are reasons for the delayed submission of reports. One is an issue with the excessive number and frequency of reports that are required. An annual progress report is requested to be submitted promptly by the UN agencies, since it is essential for the HSU/OCHA to supervise projects. Thus, regarding the report, requiring a unified format with a few pages that can easily address the necessary points would reduce the burden on the implementing agencies and contribute to the unified management of projects by the HSU/OCHA. Another reason for delayed submission is the delay of reports from IPs such as local NGOs. This happens because many local IPs are not familiar with writing reports in English. In order to decrease this burden on the IP, it would be effective and efficient to allow local IPs to submit their reports in their own languages, and allocate a portion of the budget to translate them into English.

Recommendation 6: Promotion of multi-donors

It is necessary to increase donors to the UNTFHS in order to improve the status of the decreased balance of the UNTFHS as well as to disseminate the concept of human security. This means that the expansion of the scale of the UNTFHS and the promotion of human security are desired to reduce the image of the UNTFHS as the Japan Fund and to increase its donor pool.

For this purpose, there are things to be considered for Japan's involvement in the fund. Because Japan contributes 99.4 % of the funds as the main donor to the UNTFHS and is involved in the application procedures, the UNTFHS is sometimes regarded as a "Japan Fund." A certain degree of involvement of donors may be necessary to reflect the intention of human security into the projects and keep the quality. It is also essential that Japan plays a leading role in order to contribute to the promotion and realization of

the concept of human security. However, the UN tends not to welcome situations where a certain donor is involved in the process of a fund that has been entrusted to the UN as a trust fund. Thus, an approach should be examined that proves the neutral nature of the UNTFHS to the world and induces an increase in the number of donors and funds that will result in the promotion of human security on an international scale. Considering the situation, Japan's substantial involvement in the screening process of concept notes and amendment applications to the fund may not create a positive situation that would result in an expansion of donors. Therefore, the involvement of Japan should be gradually reduced at the project level, and its responsibilities should be focused on the policy level of the ABHS, such as designing mid-term objectives and plans and formulating the principle policies of the UNTFHS.