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THE CONSOLIDATED APPEALS AND IDPs
*The Degree to Which UN Consolidated Inter-Agency Appeals for the
Year 2000 Support Internally Displaced Populations*

Presented by
**Francis M. Deng, Representative of the UN Secretary-General
on Internally Displaced Persons**

August 2000

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**Presented by Francis M. Deng, Representative of the UN Secretary- General on
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and prepared by James Kunder

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Francis M. Deng
Representative of the UN Secretary-General on
Internally Displaced Persons

SUMMARY OF RECOMMENDATIONS

- As a matter of course, Consolidated Inter-agency Appeals should (when internal displacement issues are relevant) include a brief but substantive description of internally displaced populations, their size, condition, primary needs, opportunities, and long-term outlook, either in the Introduction or the Common Humanitarian Action Plan (CHAP) section of the Appeal. The Appeals should also describe briefly the system for accessing and monitoring the condition of the displaced or, when no system is in place, request support for such a system in the Appeal. Program initiatives by individual agencies should be closely linked to the overall conditions of the displaced community, as described in the Appeal.
- Resident/Humanitarian Coordinators, and Country Teams, should examine ways in which environment building activities, and especially efforts to build local and national protection capacity, could be incorporated into Appeal projects.
- OCHA staff with responsibility for improving the Consolidated Appeals Process (CAP), and IASC Sub-Working Group members, should note and distill examples of sound environment building practice that can be disseminated to Country Teams preparing Appeals. Such an effort could build upon the work already undertaken by the IASC-WG in its publication *Manual on Field Practice in Internal Displacement: Examples from UN Agencies and Partner Organisations of Field-based Initiatives Supporting Internally Displaced Persons*.
- The work of the IASC Sub-working Group on the CAP should be encouraged, specifically the intention contained in the IASC paper on Protection of Internally Displaced Persons to develop "improved guidelines [that] include directions on how programming can systematically address the protection needs resulting from internal displacements."
- The IASC-WG should continue to disseminate examples of sound field practice in protection activities, and develop additional examples of such practice, to guide RC/HCs and Country Teams in the design of protection activities.
- Under the best of circumstances, it will take some time before internally displaced persons, with their special vulnerabilities, can expect to receive a full panoply of protection activities. A practical and useful first step toward providing physical protection would be for the Country Teams to begin undertaking the Operational Monitoring and Reporting (OMR) steps described in the IASC policy paper *Protection of Internally Displaced Persons*. The IASC-WG should begin the task of preparing guidelines and inter-agency protocols for OMR activities.
- The IASC should continue to encourage increased participation in the CAP by OHCHR, especially in activities that support internally displaced communities.
- More Consolidated Inter-agency Appeals documents should include strategies and programs to prevent or prepare for internal displacement or, since many individuals face repeated displacements during crises, to prepare for secondary internal displacement.

- Guidance by the IASC to RC/HCs and to Country Teams should make clear that the necessary focus on internally displaced persons is not intended to create a privileged class of individuals, or to create a preemptive entitlement to program benefits. Rather, in recognition of the special vulnerabilities associated with loss of one's home and community, the displaced are accorded an analytical focus commensurate with the deleterious conditions often accompanying displacement. When the analysis of displaced populations suggests the need for specialized assistance or protection, relevant projects should be designed and incorporated into the Appeal. In specific country circumstances, host communities, or communities remaining in their traditional homes, may also have special needs. Concerns about stigmatizing internally displaced persons (or refugees, returnees, demobilized ex-combatants or other groups) may require programs that benefit the entire community as the most effective approach.
- Appeals documents should devote more analysis to the projects necessary to facilitate return or resettlement, and reintegration. When internal displacement appears that it will be long-term, Appeals documents should address community and economic development measures beyond the provision of basic services to support displaced communities, even before hostilities have come to an end.
- When Appeals documents address durable solutions, the World Bank and other international financial institutions need to be engaged in the development of best approaches.
- Consolidated Inter-agency Appeals should briefly but precisely outline the UN monitoring, advocacy and management responsibilities within the Country Team for internally displaced persons, whether those responsibilities are centralized in one individual/agency or dispersed in a cooperative model.
- The field training program in internal displacement currently under development should be assigned a high priority. Planning should begin as quickly as possible on measures to fund and implement the training program in selected countries, as soon as training material is finalized.
- IASC-WG training programs on internally displaced persons should be extended to CAP facilitators stationed at agency headquarters, to enhance their capability to recommend appropriate interventions during the preparation of Appeals documents.
- OCHA should examine whether it is possible to compile and make available data on donor funding levels related to important cross-cutting themes and issues, like internal displacement.

INTRODUCTION

The following survey of the Consolidated Inter-Agency Appeals for the year 2000 assesses the degree to which they support internally displaced populations. It is not the intent of this survey to grade or critique individual Appeal documents. Rather, the report seeks to identify general patterns in the approach taken by Country Teams to internal displacement issues, and distill recommendations to enhance the rights of internally displaced persons, families and communities.

The analysis is consistent with the examination by the Inter-Agency Standing Committee (IASC) of how the Consolidated Appeals Process (CAP) can address the needs, especially the protection needs, of internally displaced persons.¹

The methodology is straightforward. The content of each of the seventeen year 2000 Appeals, issued as of February 2000,² have been reviewed. Then, based upon the issues identified in key documents like the *Guiding Principles on Internal Displacement* and the IASC policy paper *Protection of Internally Displaced Persons*, a number of practical questions have been asked about each Appeal:

1. If internal displacement is a major issue in the Appeal country, is the nature of internal displacement discussed in key segments of the document, like the Common Humanitarian Action Plan (CHAP) and the introduction to the section on Humanitarian Principles, Human rights and Protection? Is a serious analysis undertaken of the nature of, and durable solutions for, internal displacement?
2. Is it clear from the document that adequate data are available on the internally displaced population, or that efforts are underway to conduct surveys or otherwise obtain adequate data, and to monitor conditions among the displaced?

¹ Inter-Agency Standing Committee, *Protection of Internally Displaced Persons*, 7 December 1999

² Afghanistan, Angola, Burundi, Countries of the Great Lakes Region, Republic of the Congo, Democratic People's Republic of Korea, Democratic Republic of the Congo, East Timor, Eritrea, Ethiopia, Northern Caucasus, Sierra Leone, Somalia, Southeastern Europe, Sudan, Tajikistan, Uganda

3. Are all relevant phases of displacement discussed in the Appeal document, including protection from displacement (or from re-displacement), protection during displacement, and protection related to return, resettlement and reintegration?
4. Do programs ostensibly targeted at the internally displaced take into account the full range of civil, political, economic, social and cultural rights as set forth in the Guiding Principles on Internal Displacement and guaranteed under international law to the internally displaced?³
5. Does the analysis in the Appeal suggest that internally displaced persons, or their spokespersons, have had a voice in programmatic decisions affecting their own well-being?
6. Given the widespread recognition of the primary responsibility of national authorities for the care and protection of internally displaced persons, does the Appeal address capacity building within governmental institutions that have the responsibility to address internal displacement, or capacity building for relevant non-governmental organizations?
7. Does the Appeal address access to internally displaced populations, and advocacy with officials controlling access?
8. Is it clear from the text of the Appeal who within the UN system has responsibility for addressing issues of internal displacement, and what divisions of labor among UN agencies have been established?

In general, any objective reader focused on internal displacement issues would find some cause for optimism in the 2000 Consolidated Inter-agency Appeals. Most Appeals now speak directly to issues of internal displacement, often noting -- at least in general terms -- the special needs and vulnerabilities of displaced populations. Internal displacement is often noted in the CHAP sections of the documents, indicating an attempt by Country Teams to analyze internal displacement issues within the broader context of humanitarian assistance in the affected countries. Also of positive note, many individual project activities submitted by UN agencies, NGOs or the Red Cross movement target internally displaced persons to a greater or lesser degree.

³ Elaboration of these categories of rights are found in the *Handbook for Applying the Guiding Principles on Internal Displacement*, The Brookings Institution Project on Internal Displacement and OCHA, 1999.

On the other hand, much work remains to be done. The analysis of and response to internal displacement within Appeal documents can be enhanced. For example, while it is encouraging to find some attention to programmatic activities intended to support the rights of displaced communities at risk of physical attack or assault, the response of the international community, as reflected in the Appeal documents, remains concentrated in the provision of material aid, rather than protection, to such communities. In general, careful reading of the Consolidated Inter-agency Appeals suggests a disconnect between the frequent references to internally displaced persons as program beneficiaries and the relatively limited program initiatives, beyond traditional humanitarian aid, actually targeted to the displaced.

The preliminary findings and recommendations that follow constitute an attempt to build on: (1) the work done thus far by country teams; (2) the consultations of the IASC Sub-Working Group on the Consolidated Appeals Process, which has developed a number of important recommendations; and (3) the work of OCHA staff working on CAP improvement. These recommendations are made with an awareness of the complexity of many of the crises addressed by Consolidated Inter-agency Appeals as well as the resource constraints that plague agencies in many of the Appeal nations.

FINDINGS AND RECOMMENDATIONS

FINDING 1: Consolidated Inter-agency Appeals do not, in general, provide a clear and adequate description of the size or condition of the displaced population, nor do they adequately describe the procedure for monitoring conditions among the internally displaced.

DISCUSSION: Although most, but by no means all, Appeals describe the estimated numbers of internally displaced persons within the affected country, most provide only a cursory description of the condition of displaced populations. Appeal documents may refer to the displaced generally by noting that they are concentrated in camps, subject to attack, or localized within a region, and descriptions of individual projects (in the health, water, or education sectors, for example) may highlight specific needs. But, most Appeals do not provide a serious, integrated analysis of the political, security, legal, economic or cultural issues confronting displaced communities. Nor do the Appeals generally describe the process by which international organizations monitor or evaluate these issues in displaced settlements. When Appeals fail to present a clear picture of the conditions faced by internally displaced persons, the result may be to raise questions about the validity of the IDP-targeted projects recommended in the Appeal.

RECOMMENDATION 1: As a matter of course, Consolidated Inter-agency Appeals should (when internal displacement issues are relevant) include a brief but substantive description of internally displaced populations, their size, condition, primary needs, opportunities, and long-term outlook, either in the Introduction or the CHAP section of the Appeal. The Appeals should also describe briefly the system for accessing and monitoring the condition of the displaced or, when no system is in place, request support for such a system in the Appeal. Program initiatives by individual agencies should be closely linked to the overall conditions of the displaced community, as described in the Appeal.

FINDING 2: Consolidated Inter-agency Appeals pay insufficient attention to "environment building" activities on behalf of internally displaced populations.

DISCUSSION: The IASC policy paper *Protection of Internally Displaced Persons*, referencing the 1999 ICRC Workshop on Protection, described "environment building" activities as those "aimed at creating and/or consolidating a global environment conducive to full respect for the rights of individuals." Among IASC-suggested environment building activities related to displaced populations are:

- Dissemination and promotion of the *Guiding Principles*
- Advocacy
- Engaging non-state actors, and
- Strengthening local and national protection capacity.

A number of Appeals contain interesting initiatives in these subject areas, especially in strengthening the capacity of those governments willing to protect the rights of their internally displaced citizens. In several countries, dissemination of the *Guiding Principles* or other advocacy efforts is a prominent component of the Appeal related to internally displaced persons. In general, however, this array of environment building activities is not supported in the Appeals documents, and this category of important initiatives is not supported in project requests.

RECOMMENDATION 2-1: Resident/Humanitarian Coordinators, and Country Teams, should examine ways in which environment building activities, and especially efforts to build local and national protection capacity, could be incorporated into Appeal projects.

RECOMMENDATION 2-2: OCHA staff with responsibility for the CAP improvement process, and IASC Sub-Working Group members, should note and distill examples of sound environment building practice that can be disseminated to Country Teams preparing Appeals. Such an effort could build upon the work already undertaken by the IASC-WG in its publication *Manual on Field Practice in Internal Displacement: Examples from UN Agencies and Partner Organisations of Field-based Initiatives Supporting Internally Displaced Persons*.⁴

FINDING 3: As has been previously noted, program initiatives from the international community on behalf of the internally displaced tend to be concentrated in traditional humanitarian aid sectors

like food, water, health and education. These essential interventions could be supplemented by addressing other essential needs and rights, in particular protection of the physical security and human rights of displaced communities.

DISCUSSION: It is widely recognized that the rights of the displaced to adequate food, clean water and other essentials are important and, in critical emergency situations, may be paramount. There has been much discussion in recent years of the need to supplement the protection of these rights with the protection of displaced communities from physical attack, forced military recruitment, sexual assault, arbitrary detention and other threats to physical security and freedom of movement. Based on my assessment of the 2000 Appeals, concrete measures in this area -- despite a small, but encouraging, set of initiatives in accompaniment and documentation -- remain few. Not only are programs that address physical protection rare, but so are those that address economic, social and cultural rights (like the right to work, and property rights) enumerated in the *Guiding Principles*. In this regard, the increased participation of the Office of the High Commissioner for Human Rights (OHCHR) in the CAP process, visible in many Appeals documents, should be a welcome occurrence.⁵ However, my analysis suggests that, to date, OHCHR projects have not been strongly supported by donors.

RECOMMENDATION 3-1: The work of the IASC Sub-working Group on the CAP should be encouraged, specifically the intention contained in the IASC paper on Protection of Internally Displaced Persons to develop "improved guidelines [that] include directions on how programming can systematically address the protection needs resulting from internal displacements."

RECOMMENDATION 3-2: The IASC-WG should continue to disseminate examples of sound field practice in protection activities, and develop additional examples of such practice, to guide RC/HCs and Country Teams in the design of protection activities.

⁴ Inter-Agency Standing Committee Policy Paper Series No.1, November 1999.

⁵ OHCHR activities that would be especially important to internally displaced individuals include monitoring conditions in displaced camps, assessing security in potential areas of return, and monitoring conditions that could lead to involuntary displacement.

RECOMMENDATION 3-3: Under the best of circumstances, it will take some time before internally displaced persons, with their special vulnerabilities, can expect to receive a full panoply of protection activities. A practical and useful first step toward providing physical protection would be for the Country Teams to begin undertaking the Operational Monitoring and Reporting (OMR) steps described in the IASC policy paper *Protection of Internally Displaced Persons*. The IASC-WG should begin the task of preparing guidelines and inter-agency protocols for OMR activities.

RECOMMENDATION 3-4: The IASC should continue to encourage increased participation in the Consolidated Appeals Process by OHCHR, especially in activities that support internally displaced communities.

FINDING 4: Promising initiatives in prevention and preparedness contained in some Appeals, if replicated, could benefit displaced persons.

DISCUSSION: As is frequently noted in discussion of internal displacement crises, the best response to internal displacement would be to avoid the process of displacement in the first place. If displacement is unavoidable, contingency planning, risk monitoring, early warning, early intervention, stockpiling of relief supplies, and other preparedness steps can mitigate the deleterious impacts on displaced populations. In several Consolidated Inter-agency Appeals documents, Country Teams have taken creative steps to prevent or prepare for internal displacement. In one of the seventeen documents, for example, UN agencies propose to provide training to relevant government agencies in "risk assessment and vulnerability mapping," in an attempt to encourage interventions that might prevent either displacement or repeat displacement. In another document, preparedness activities are explicitly outlined: "The CAP addresses the problem by placing emphasis on the need to ...maintain the capacity of OCHA and other agencies to formulate regular contingency plans and to keep inventories of food and non-food supplies that are continuously updated."

RECOMMENDATION 4: More Consolidated Inter-agency Appeals documents should include strategies and programs to prevent or prepare for internal displacement or, since many individuals face repeated displacements during crises, to prepare for secondary internal displacement.

FINDING 5: The Consolidated Inter-agency Appeals documents reflect ambivalence among some Country Teams on how to balance the needs of specified target groups, like internally displaced persons, with the requirement to address problems facing the population at large.

DISCUSSION: Clearly, the many references in Appeal documents to internally displaced persons reflect a greater awareness by Country Teams of the special circumstances of those who have been forced to flee their homes, but who remain within the boundaries of their own countries, including issues of access and potentially ambiguous relations with government authorities. Increasingly, the CAP process is further encouraging a focus on the internally displaced. For example, the IASC Sub-working Group on the CAP recommended after its April 2000 meeting that the CAP consultative strategy process could be strengthened by "incorporat[ing] cross-cutting thematic issues such as: gender, DDR [disarmament, demobilization and reintegration], **IDPs** [author's emphasis] and security in strategy and project formulation." At the same time that these trends impel more focus on internally displaced persons, a great deal of analysis in the Appeal documents notes that conditions of impoverishment or widespread conflict affecting the general population in countries suffering humanitarian emergencies require Country Teams to assist the population at large. That is, there is an inherent tension in some Appeals documents between the imperative to focus on special needs groups like internally displaced persons, and the imperative to allocate limited resources among the general population, so that all affected individuals -- be they displaced, host families, returnees, or war-affected families remaining in their own homes -- receive some assistance.

RECOMMENDATION 5: Guidance by the IASC to RC/HCs and to Country Teams should make clear that the necessary focus on internally displaced persons is not intended to create a privileged class of individuals, or to create a preemptive entitlement to program benefits. Rather, in recognition of the special vulnerabilities associated with loss of one's home and community, the

displaced are accorded an analytical focus commensurate with the deleterious conditions often accompanying displacement. When the analysis of displaced populations suggests the need for specialized assistance or protection, relevant projects should be designed and incorporated into the Appeal. In specific country circumstances, host communities, or communities remaining in their traditional homes, may also have special needs. Concerns about stigmatizing internally displaced persons (or refugees, returnees, demobilized ex-combatants or other groups) may require programs that benefit the entire community as the most effective approach.

FINDING 6: Serious analysis of long-term solutions for internal displacement, as well as related project proposals, appear infrequently in Appeals documents.

DISCUSSION: When addressing the circumstances of displaced communities, Appeals documents often note the need to encourage return, while generally referencing the conditions of instability that constrain the return process. However, much less frequently do the Appeals provide concrete analysis of the requirements to effect return to the place of origin. Only limited analysis is contained in Appeals documents on issues like whether return is voluntary, property rights upon return, safe transport, availability of health or education facilities in the area of potential return, determining considerations, or reintegration with local communities. More detailed analysis of the return option, and program initiatives to enhance this option, would be welcome additions to many Appeals documents. Since Consolidated Inter-agency Appeals sometimes include programs for returning refugees, it is possible to discern a marked difference between the specificity with which refugee return programs are described in Appeals, and the less well developed approach to the return of internally displaced populations. It seems clear that the greater attention to refugee return programs in the CAP process relates to the focused attention of UNHCR to these issues.⁶

On another aspect of durable solutions, a small number of Consolidated Inter-agency Appeals creatively examine what programs can be accomplished with displaced communities during long-

⁶ This contrast is drawn not to critique the treatment of returning refugees, which sets an admirable standard for returnee programs in the CAP process, nor to set up a competitive dynamic between returning refugees and internally displaced populations. Rather, the relative lack of attention to developing return strategies for internally displaced persons points

term displacement, in order to help them reintegrate or resettle in other parts of the country. In particular, development oriented programs are needed earlier in displacement situations, but are often not introduced until after many years. As a positive example of a development-oriented approach, one Appeal included the following analysis:

"Consultations among key stakeholders have led to the emergence of a consensus that much of the urgently needed assistance at this time is not actually dependent upon cessation of conflict [and return]....Investment in human resource development, training, capacity building, income generating activities, extension work with farmers and pastoralists -- there are many opportunities even with people still living in IDP camps. These are urgent requirements to ensure that all the people of . . . can live with some security and dignity and be ready to take advantage of peace when it comes."

Since many internal displacements are of long duration, sometimes stretching for years, projects designed to empower displaced communities during displacement, beyond meeting basic survival needs, can be valuable. Such programs to empower displaced communities may require humanitarian and human rights agencies to work with development agencies in the design of appropriate interventions. Donor governments, international organizations and non-governmental organizations, convened under the "Brookings Process," agreed on the importance of coordinating the relief and development response earlier on in emergency situations.⁷

RECOMMENDATION 6-1: Appeals documents should devote more analysis to the projects necessary to facilitate return or resettlement, and reintegration. When internal displacement appears that it will be long-term, Appeals documents should address community and economic development measures beyond the provision of basic services to support displaced communities, even before hostilities have come to an end.

RECOMMENDATION 6-2: When Appeals documents address durable solutions, the World Bank and other international financial institutions need to be engaged in the development of best approaches.

out the benefits of clear-cut agency responsibilities -- either in a lead agency or cooperative inter-agency model -- for target groups. This issue is addressed again in Finding 7 below.

⁷ Brookings Institution, *Report on the Roundtable on the Gap Between Humanitarian Assistance and Long-Term Development*, January 15, 1999.

FINDING 7: Consolidated Inter-agency Appeals are often unclear on the management structure for cross-cutting issues like internal displacement. Uncertain management implies less than fully integrated programming for displaced populations.

DISCUSSION: The current division of labor within the UN system for the management of issues related to internal displacement allows a range of specific management structures within the country setting. Although Appeals documents often provide useful information on which agencies have the lead within the Country Team on sectors such as food assistance or water supply, and on particular groups of persons such as refugees, it is generally not clear from examination of the CAP documents which agencies have what responsibility vis-à-vis internally displaced persons. Recent IASC supplementary guidance to the RC/HCs on internal displacement should help to clarify this issue as this guidance sets out the possible options for in-country institutional arrangements/"management structures" vis-à-vis internally displaced persons. The arrangement decided upon should be specified in the Consolidated Appeal document. Greater clarity on the overall strategy for how the Country Team will monitor the internally displaced population, advocate on its behalf, and ensure integrated program initiatives that reach vulnerable segments of the displaced community might encourage donors toward greater support of projects intended to benefit the displaced.

RECOMMENDATION 7: Consolidated Inter-agency Appeals should briefly but precisely outline the UN monitoring, advocacy and management responsibilities within the Country Team for internally displaced persons, whether those responsibilities are centralized in one individual/agency or dispersed in a cooperative model.

FINDING 8: Training in internal displacement issues should be a priority both for members of the Country Team charged with preparation of CAP documents, and for the CAP facilitators.

DISCUSSION: As noted above, careful reading of the Consolidated Inter-agency Appeals suggests a disconnect between the frequent references to internally displaced persons as program beneficiaries and the relatively limited program initiatives, beyond traditional humanitarian aid, actually targeted to the displaced. The initiative of the IASC-WG, currently under development, to provide training on internal displacement to field personnel should increase the awareness of priority issues related to internal displacement and should stimulate creative program design within the CAP framework.

RECOMMENDATION 8-1: The field training program in internal displacement currently under development should be assigned a high priority. Planning should begin as quickly as possible on measures to fund and implement the training program in selected countries, as soon as training material is finalized.

RECOMMENDATION 8-2: IASC-WG training programs on internally displaced persons should be extended to CAP facilitators stationed at agency headquarters, to enhance their capability to recommend appropriate interventions during the preparation of Appeals documents.

FINDING 9: As data is currently captured in the Consolidated Appeals process, it is difficult to evaluate whether programs affecting the internally displaced are receiving donor support commensurate with need.

DISCUSSION: OCHA compiles a wealth of useful data on the success of Consolidated Appeals in attracting donor funding, or the lack thereof. Generally, this data can be disaggregated by donor source, requesting agency, country of appeal, and "sectors," such as food security. By comparing and analyzing the data compiled, OCHA is able to report on shortfalls or imbalances in financial support to the Consolidated Appeals -- a useful and important service. It is not possible, however, in the current system to determine the overall level of donor support for cross-cutting themes such as gender or internal displacement.

RECOMMENDATION 9: OCHA should examine whether it is possible to compile and make available data on donor funding levels related to important cross-cutting themes and issues, like internal displacement.