

Summative Evaluation of the Human Security Program

Foreign Affairs Canada (FAC)

Final Report

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List of Acronyms

ADM	Assistant Deputy Minister
AGC	International Crime and Terrorism Division
AGDC	Responsibility to Protect Unit
AGH	Human Rights, Humanitarian Affairs and International Women's Equality Division
AGP	Peacebuilding and Human Security Division
CCHS	Canadian Consortium on Human Security
CIDA	Canadian International Development Agency
CPCC	Canadian Peacebuilding Coordinating Committee
CPP	Conflict Prevention Pools
DDR	Disarmament, Demobilization and Re-integration
DFAIT	Department of Foreign Affairs and International Trade
DFID	Department for International Development (UK)
DND	Department of National Defence
DPR	Departmental Performance Report
EU	European Union
FAC	Foreign Affairs Canada
FCO	Foreign and Commonwealth Office (UK)
FSU	Former Soviet Union
FY	Fiscal Year
GCPP	Global Conflict Prevention Pool
HSN	Human Security Network
HSP	Human Security Program
ICC	International Criminal Court
ICISS	International Commission on Intervention and State Sovereignty
IDC	Regional Security and Peacekeeping Division
IDP	Internally Displaced Persons

IDRC	International Development Research Centre
ILX	Ambassador for Mine Action
JLHA	United Nations, Human Rights and Economic Law Division
MOD	Ministry of Defence (UK)
NGO	Non-governmental Organisation
ODA	Official Development Assistance
OGD	Other Government Departments
OHCHR	Office of the High Commissioner for Human Rights
OSCE	Organisation for Security and Cooperation in Europe
PAC	Program Advisory Committee
PBR	IDRC Peace Building and Reconstruction Initiative
PCO	Privy Council Office
PRC	Project Review Committee
R2P	Responsibility to Protect
RCMP	Royal Canadian Mounted Police
RHSC	Regional Human Security and Conflict Management Centre (Jordan)
RMAF	Results-Based Management and Accountability Framework
RPP	Report on Plans and Priorities
SAIS	School of Advanced International Studies
SALW	Small Arms and Light Weapons
SRSG	Special Representative of United Nations Secretary General
TRC	Truth and Reconciliation Commission
UK	United Kingdom
UN	United Nations
UNAMSIL	United Nations Armed Mission in Sierra Leone
UNDP	United Nations Development Program
USA	United States of America
YWCA	Young Women's Christian Association

Executive Summary

Introduction

This report presents the findings of an evaluation of the Human Security Program (HSP). The evaluation was completed between May and September, 2004.

The HSP was created in June 2000 to support Canada's human security agenda and to advance Canada's foreign policy objectives. The HSP invested in initiatives that were meant to strengthen the ability of Canada and the global community to respond to threats to human security and to support peaceful governance. The overall objective of the HSP is to "enhance people's safety and freedom from violent and nonviolent threats to their rights, safety or lives."

The HSP was allocated \$10 million per annum, beginning in FY 2000/01 and ending in FY 2004/05, and was designed to support diplomatic leadership and policy advocacy, country-specific initiatives and domestic and multilateral capacity building initiatives in five priority issue areas along with the following objectives: Protection of Civilians; Peace Support Operations; Conflict Prevention; Accountability; and, Public Safety:

The focus of this evaluation was to assess the achievements of the Foreign Affairs Canada (FAC) Human Security Program (HSP), identify lessons learned from the implementation of the HSP and similar programs, and contribute to decision-making about the continuance of this, or a similar, program.

The evaluation approach required the completion of the following:

- Document Review.
- Literature Review.
- Database Review.
- Project File Reviews for a sample of 79 projects of approved 568 projects.
- Interviews with over 20 FAC staff directly involved in the HSP.
- Stakeholder Interviews with 26 internal and external stakeholders.
- Survey of 60 Non-successful Applicants, of which twelve (12) responded.
- Case Studies (7)

An analysis was carried out of information from both the HSP database as of August 9, 2004 for the profiling of project characteristics, and internal HSP financial data, for an analysis of expenditure trends. The HSP information indicated that 568 projects had been approved and approximately \$44 million disbursed.

Findings

The following summarizes the findings of the evaluation:

- **Relevance of the HSP to Canadian Foreign Policy**

The HSP is consistent with and fully supportive of Canada's foreign policy objectives and the Department's Strategic Planning and Priorities Framework.

The HSP funding provides policy leverage for FAC in a number of areas including research studies, advocacy campaigns, support to multilateral initiatives and strategic assistance to key actors such as special representatives of the UN Secretary General (SRSGs). The availability of funds provides FAC with an input to many critical studies and initiatives globally and at the national level. As a result, FAC has been able to influence research study design, the development of norms and standards and the development of global policy on a range of issues.

The HSP has evolved somewhat with changing geo-political circumstances, and to some degree with the change in political leadership; however, core priorities have remained intact.

The HSP was established in June 2000 as a five-year, \$50 million program to build domestic capacity, strengthen multilateral mechanisms, undertake country-specific initiatives and advocate foreign policy in: Protection of Civilians, Peace Support Operations, Conflict Prevention, Accountability and Governance and Public Safety. At the time, 22 sub-priorities were also identified. Over this time frame over 950 project proposals have been received and 568 funded, as of August 2004. Basically the priority and sub-priority areas have remained the same.

Although the five priority areas and 22 sub-priority areas are still relevant, there are areas that have been given more or less emphasis at different periods over the life of the HSP. The breadth of the HSP in terms of themes and priorities, permits the Department flexibility to react to emerging issues in human security. The overall framework of priorities and sub-priorities continues to be relevant and appropriate.

Over the five years of the HSP, the funding provided to each of the priorities has remained relatively stable, however, the events of September 11, 2001 have resulted in an increased emphasis on anti-terrorism projects.

Our study indicated the importance of the HSP in support of Canadian foreign policy human security initiatives. There is strong support for its continuation, and an expressed need by many to increase it.

Our study also indicated, based on the interviews and document reviews, that the HSP is the only funding available of its kind in the Department. The HSP permits the

Department to support Canadian, multilateral and bilateral civil society initiatives aimed at improving human security globally, regionally or at a national level. The fund is seen as complementary to the CIDA Peacebuilding Fund even though the CIDA Fund is seen as more complex to access and somewhat less flexible and responsive than the HSP.

The HSP is seen by FAC officials as both an instrument to be used in direct support of FAC policy initiatives and as a responsive fund that can be used to support initiatives at the local level. External organisations expressed similar views. Generally FAC funds are available world-wide, and do not necessarily have to be used in ODA countries. Canadian NGOs indicated that the HSP is a major factor in supporting Canadian capacity building in the human security area and in permitting them to engage in human security activities with foreign partners overseas.

Overall, many Canadian interviewees believe that the HSP is needed, should be continued, and that it would be damaging to Canada's reputation if it was not continued. Some are also of the opinion that an expanded or supplemental fund should be made available to fund downstream implementation activities that cannot be funded through current programs such as the CIDA Peacebuilding Fund to better match Canada's financial contributions with its level of policy influence. Given Canada's strong policy stance and good reputation, the belief is that Canada's funding does not adequately match its influence and its many policy initiatives.

- **Complementarity to Other Programs**

The HSP is complementary to other initiatives such as the CIDA Peacebuilding Fund and the IDRC Peace Building and Reconstruction Fund.

Our study indicated that the HSP terms and conditions and focus do not duplicate or overlap with either the CIDA or the IDRC funds. The three funds often work in a complementary fashion, however, there are areas where there has been insufficient coordination between the HSP and the CIDA fund.

- **Contribution to Policy Coherence**

In general, the HSP has contributed to policy coherence especially within FAC and to some extent horizontally among federal departments. However, the coordination inter-departmentally at the strategic level could be improved to ensure a better integrated overall Canadian approach to human security issues. External respondents also expressed a need for more information on FAC's strategic priorities each year and notional allocations to guide their own planning.

Our analysis indicated that the departments which program in human security generally coordinate well at the operational level, but that the various programs may not be as well linked into an overall strategy as they could be.

- **Comparisons to Other Programs in the UK and Japan**

Canada is considered one of the leading countries in human security policy and issues development, however countries such as Japan and the UK have larger funding envelopes available.

Interviews and document reviews indicated that Canada has been at the forefront in raising and promoting multilateral action on human security issues. It is generally recognized by Canadian and non-Canadian interviewees however, that while Canada has been effective in policy dialogue, and has used the HSP fund strategically to advance human security issues at a multilateral level, it does not have the resources available to implement the downstream requirements of many global human security requirements generated by its policy and advocacy work.

Issues have been raised as to whether it is too broadly focussed (too many priority areas), and does not sufficiently support Canadian organisations rather than multilateral or foreign organisations. In addition there is a debate as to whether the fund should be primarily driven by strategic policy initiatives, as opposed to responsive initiatives which account for about 45% of the disbursements. Our study concluded that:

- Although there are a number of official priority areas, an annual planning memo emphasizes a smaller number of priorities for the forthcoming year and in essence, the policy driven priorities are limited;
- Having both strategic (policy driven) and responsive initiatives is not necessarily problematic providing that the two are well linked in an overall planning framework and that the responsive initiatives are well coordinated with the strategic policy initiatives;
- The approximately 20% allocation of funding to Canadian organizations has been justified by the limited Canadian capacity in the past, but priority should be given to funding Canadian organizations in the future to continue building Canadian capacity.

Our own analysis suggests that the HSP strategy has to emphasize selecting responsive projects that are highly strategic and that are coordinated with other funding sources or that are part of a cluster of projects related to a priority, sub-priority area or specific initiative. This would facilitate the evaluation of results.

Overall, however, the interviews, project reviews, case studies and country visits have indicated that the HSP permits Canada to take leading edge positions on human security issues at a relatively low cost. In addition, the fact that the fund is flexible, can respond to Canadian foreign policy priorities, and is not restricted to ODA countries has made it a powerful instrument for promoting Canadian foreign policy interests. Moreover the scrutiny provided by the Program Review Committee ensures that projects are well designed and are consistent with and supportive of Canadian

foreign policy objectives. The issue is ensuring that projects are truly strategic or that they, in combination with other Canadian or other sources of funds, provide for a truly critical mass to influence outcomes.

In conclusion, the evaluation found that although there are many priority areas, in practice only a small number are really emphasized at any point in time. The priority areas also evolve over time. The study also found that the policy driven initiatives lead to a number of correlated projects (clusters) that are all focused on achieving a common result. The responsive projects, which are not necessarily clustered adequately to form a critical mass of projects capable of meaningfully contributing to a national or global outcome, can be more problematic in terms of exhibiting results. The evaluation concluded that responsive projects have to be either highly strategic or part of a broader initiative to achieve overall results. It will be incumbent on the HSP to ensure that this happens and to ensure that the overall results of the initiative are adequately monitored and reported on.

Program Success

The paragraphs below describe the key program results according to its mandated activity areas:

- **Diplomatic Leadership and Advocacy**

The majority of program activities contribute in some way to increasing Canada's diplomatic leadership and advocacy in the field of human security by increasing policy dialogue and coherence, raising awareness, developing international norms and standards, leveraging resources, and enhancing Canadian reputation and credibility.

- **Strengthening Multilateral Mechanisms**

According to most domestic and external key informants, through its HSP, Canada has made a solid contribution to the efforts of multilateral mechanisms, particularly the UN, the international courts and the Human Security Network (HSN). It has also contributed to building local capacity by providing core support to institutions and by delivering training workshops and information seminars.

- **Domestic Capacity Building**

One of the program's expected results is the development of Canadian capacity in the area of human security and peacebuilding. The study demonstrated that the HSP contributed to the development of domestic capacity in human security through its funding of Canadian NGOs and research organisations engaged in human security activities in Canada and in conflict or post-conflict regions; through its support to the deployment of Canadian experts from Canadian departments and research institutes; and through its support to various human security networks.

- **Targeted Country-Specific Initiatives**

An analysis of the HSP database reveals that 37% of the HSP-approved projects were implemented in Canada or at the global community level (although some activities coded as global initiatives are, in fact, region or country specific), the remainder targeting specific geographical areas. Among others, the HSP has put particular emphasis on the countries of Sierra Leone and Colombia.

Success by Thematic Priority Area

The paragraphs below describe the key program results according to the thematic priority areas:

- **Protection of Civilians**

The HSP activities in the area of protection of civilians have helped to establish principles for humanitarian intervention under the doctrine of Responsibility to Protect and have helped to strengthen international attention to issues of war affected children, human rights and protection of internally displaced people. Progress has not been uniform in each area and some face considerable obstacles but the HSP has had a recognizable level of success in each area.

- **Peace Support Operations**

Funding in the peace support operations thematic area has enabled Canada to quickly respond to conflict situations through deployment of experts. As a result, Canada has been able to mobilize specialized expertise on a demand basis and to quickly deploy them to areas of need (e.g. Afghanistan, Iraq, Rwanda).

- **Conflict Prevention and Resolution**

The HSP contributed to several key projects that were assessed by external stakeholders as having made a significantly positive contribution to conflict prevention and reconstruction efforts, including the area of control of small arms and light weapons.

- **Governance and Accountability**

The HSP through the governance and accountability thematic area contributed to an international culture of accountability for serious international crimes through its support for the ICC and the Sierra Leone Special Court. In addition, the HSP, through a number of projects, contributed to the advancement of freedom of expression of journalists and the press as well as improved reporting of election results in selected conflict areas.

- **Public Safety**

This thematic area of the HSP has promoted a people-centered approach to examining drug trafficking, international crime and terrorism. In the past two years, the HSP has contributed significantly to international anti-crime and counter-terrorism capacity building (training, seminars, expert deployments) and supporting the ratification and implementation in other countries of various treaties and mechanisms to fight crime and terrorism.

- **Research and Communications**

The research and communication thematic area actively contributed to increased Canadian and international awareness and understanding of human security issues through production and dissemination of over 335 research reports and position papers, including the Human Security Report.¹

Program Efficiency

- **Results-Based Planning, Monitoring, Reporting and Management**

Our study indicated that the HSP has successfully instituted a set of program and project criteria as well as a Results-Based Management and Accountability Framework to guide project selection and report on results. Problems in defining, monitoring and evaluating results at the project level somewhat weaken the utility of the program monitoring systems.

¹ Program outputs database

- **Financial Planning, Budgeting and Control Systems**

This part of the evaluation was based on a review of written procedures, interviews, a review of 79 project files, and past project audit reports.

The study found that the sample of completed project files reviewed had financial and end of project reports that covered project outputs. A review of past audit reports indicated good overall controls over project expenditures.

Appropriateness of Resource Allocation and the Adequacy of the Human and Financial Resources

The study confirmed that there is considerable demand for HSP funding. From this perspective the contribution funding is seen by many as inadequate. Although the operational and human resources are adequate to manage the project approval process, the number of and sometimes small size of projects makes extensive monitoring and follow-up difficult.

Lessons Learned that were Derived from the Evaluation

A number of lessons learned were derived from the evaluation:

- *A small, responsive fund such as the HSP can be very effective.*
- *Bringing about policy change at the global, regional and national levels requires extensive awareness building and advocacy. The HSP has performed well in both advocating for and building awareness of the need for international action. Downstream coordination with other Canadian government departments is also required to ensure that policy initiatives are in fact implemented.*
- *The HSP funding can be effective in influencing the credibility and direction of human security research and programming.*
- *Measurement of tangible results at the outcome level can be difficult for a responsive fund.*

Recommendations

A summary of the recommendations of the evaluation are listed below:

- Recommendation 1:** If Canada wishes to maintain its global leadership and influence in the area of human security, then the HSP should be renewed and consideration should be given to increasing the level of funding to meet rising demand.
- Recommendation 2:** The HSP should ensure that responsive projects which represent about 45% of disbursements are well coordinated with strategic policy initiatives to achieve overall results.
- Recommendation 3:** Coordination mechanisms and accountability for overall Canadian foreign policy initiatives in human security should be strengthened to ensure greater collaboration and complementarity of the different departments, and non-governmental organizations undertaking human security initiatives.
- Recommendation 4:** A more programmatic approach should be taken to planning and measuring results. This would mean setting objectives at the priority and sub-priority levels and measuring results attained at that level.

1.0 Introduction

This document presents a report on the evaluation of the Human Security Program (HSP) carried out by Goss Gilroy Inc. between May and September, 2004.

The HSP supports a people-centred approach to foreign policy that recognizes that lasting global stability cannot be achieved until people are protected from violent and non-violent threats to their rights, their safety and their lives. The objective is to build a world where respect for human rights and humanitarian principles and the rule of law enhance the security and well-being of people, where those who violate these rights and principles are held accountable, and where international institutions are equipped to defend and enforce them. In short, a world where people can live in freedom from fear.

Canada's approach to human security is a direct response to the new realities emerging since the end of the Cold War - which includes devastating civil conflicts, unchecked brutality against innocent civilians, and terrorism. The Foreign Affairs Canada (FAC) people-centred approach to foreign policy is meant to reflect Canadian values, complementing and providing essential underpinnings for work being done to promote national security, human rights and human development.

The HSP was created in June 2000 to support Canada's human security agenda and to advance Canada's foreign policy objectives. The HSP invested in initiatives that were meant to strengthen the ability of Canada and the global community to respond to threats to human security and to support peaceful governance. The overall objective of the HSP is to "enhance people's safety and freedom from violent and nonviolent threats to their rights, safety or lives."

The HSP was allocated \$10 million per annum, beginning in FY 2000/01 and ending in FY 2004/05, and was designed to support diplomatic leadership and policy advocacy, country- specific initiatives and domestic and multilateral capacity building initiatives in five priority issue areas along with the following objectives:

- **Protection of Civilians:** to build international will, norms and capacity to reduce the human costs of conflict, by improving legal and physical protection for people;
- **Peace Support Operations:** to enhance international capacity to undertake peace support operations and to address the rapidly changing requirement for

deployment of skilled personnel, including Canadians, in multi-disciplinary peace support operations;

- **Conflict Prevention:** to strengthen the capacity of the international community at global and regional levels to prevent or resolve conflict and build indigenous capacity to manage conflict without violence;
- **Accountability:** to foster improved accountability and improved governance of public and private sector institutions in terms of established norms of democracy and human rights, and improved international capacity to hold perpetrators of serious human rights violations accountable to justice; and
- **Public Safety:** to build international expertise, capacities and instruments to counter the growing threat to the safety of people posed by the rise of transnational organized criminal activity, including terrorism.

With just under 20% of its funding going towards Canadian organisations for activities in Canada, the HSP is also meant to serve as a key platform for engaging Canadian academics and civil society in dialogue and for increasing their capacity to effectively address these human security issues. In addition, the HSP is a tool for Canadian missions abroad to further Canada's human security strategy and priorities in a country or region, and to enhance Canada's visibility. This is particularly true in countries or regions where the Canadian International Development Agency (CIDA) bilateral programs are non- or almost non-existent and where human insecurity is an issue. The HSP is meant to provide Canada with leverage and credibility by strategically allocating funds against policy priorities. In addition, it is meant to facilitate policy coherence and horizontal policy development among government departments on shared foreign policy issue interests.

This evaluation report is organized as follows:

- Section 2.0 describes the context for the HSP as well as its mandate and objectives. This Section also provides a brief profile of the HSP in terms of areas of focus, and types of disbursements;
- Section 3.0 addresses issues of program relevance;
- Section 4.0 assesses the HSP's success and describes some of its key accomplishments;
- Section 5.0 on efficiency provides an overview of the HSP's management and delivery process and their effectiveness; and
- Finally, Section 6.0 provides our conclusions and recommendations with respect to the HSP.

- Appendices contain a mapping of evaluation issues to data sources; draft key informant interview guides and non-successful applicants survey questionnaire; a template for project file reviews; an interview guide for sampled project proponents and beneficiaries; a list of persons and documents consulted; and individual case study reports.

1.1 Methodology

The overall purpose of this evaluation has been to assess the achievements of the Foreign Affairs Canada (FAC) Human Security Program (HSP), identify lessons learned from the implementation of the HSP and similar programs, and contribute to decision-making about the continuance of this, or a similar, program.

There were three more specific objectives for this evaluation:

- To determine the extent to which the HSP is consistent with Canada's foreign policy objectives, and is an appropriate tool for meeting departmental objectives related to enhancing people's safety and freedom from violent and non-violent threats.
- To assess the HSP's achievement in meeting its program objectives and short- and medium-term results as outlined in the HSP's Results-Based Management Accountability Framework (RMAF).
- To assess the effectiveness and efficiency of the management approach and program design for achieving the desired results, and to determine lessons learned from the implementation of the HSP and programs of a similar nature.

The key themes reflected in these objectives are:

- the relevance of the HSP;
- the achievement of program results (success); and
- the effectiveness and efficiency of the management approaches and program design.

Appendix A presents the list of evaluation issues addressed by this study.

The evaluation is organized around the five themes (issue areas) and the 22 sub-themes identified in the RMAF.

The evaluation approach required the completion of the following activities.

- **Document Review.** A review was completed of corporate documents, major program files, and the HSP database in order to help develop a profile for the program and to assess the program relevance to Canada's foreign policy objectives.
- **Literature Review.** This included a review of the current literature on human security and its evolution, as well as literature on the approach taken in other countries;
- **Database Review.** A database review was undertaken to characterise the portfolio of funded projects and to profile the outputs and outcomes reported for projects.
- **Project File Reviews.** A selection of 79 projects was sampled of the 568 projects completed or in progress at the time of the sampling. For each of the projects sampled, a file review was completed - which included a review of the project proposal, annual reports and end of project and/or evaluation reports. The project file reviews were complemented by interviews with project officers, project proponents and, where possible, project beneficiaries.
- **Staff Interviews.** Interviews were conducted with over 20 FAC staff directly involved in the HSP. Staff were generally interviewed in a group interview approach, and included personnel from AGP, AGC, AGH, IDC, AGDC, and JLHA.
- **Stakeholder Interviews** were completed with both internal and external stakeholders. These interviews were additional to the project interviews completed as part of the file review and generally included individuals who were not necessarily funded by the HSP but who were knowledgeable of human security issues, the Canadian approach, and the HSP. 26 interviews were completed with internal FAC stakeholders not directly involved in the HSP and stakeholders who are external to FAC.
- **Survey of Non-successful Applicants.** A survey of 60 non-successful applicants to the HSP was also undertaken. Twelve (12) responded, and provided their perception of the HSP and the program application process.

The study did have some methodological limitations, which must be taken into consideration:

- It was decided, in consultation with the project authority, that a detailed review of a sample of 79 of about 568 funded projects based on a review of documents and

interviews with project officers and proponents would provide more in-depth information than a survey of all project participants. The sampling of projects was purposive in nature and not based on random sampling. It was selected in consultation with a wide range of program representatives to ensure a broad and representative coverage of the various key areas of program activities.

- Attempts were made to contact at least one proponent for each project sampled. However, difficulties were encountered in attempting to reach proponents as well as some key informants. As a result, for some sampled projects the evaluation team was not able to validate information collected from the file reviews with external interviews. Examples chosen to illustrate the conclusions presented in this report were taken from projects for which we were able to obtain external validation.
- Due to time and resource limitations, field visits were restricted to two locations: Sierra Leone (Freetown) and Colombia (Bogota), and to in-person interviews conducted in New York and Geneva. Nevertheless, these sites offered the opportunity to meet with a large number of program proponents and human security stakeholders while covering several HSP projects.

1.2 Previous Evaluations

A formative evaluation of the HSP was completed in June 2003. The evaluation concluded that:

- “The HSP enables FAC to try innovative policy initiatives that if proven successful can be picked up by others. This is done by funding small projects that focus on policy development, research, advocacy, research and consultations. HSP is the only program that can back up Canada’s rhetoric on human security with funds to push innovative ideas forward.”
- “Although the HSP has a few minor operational problems, especially in the area of monitoring, it has contributed impressively to advancing Canada’s Human Security agenda.”
- “The program, as implemented, closely reflects the one designed; however, the evaluation considered that the HSP may be too flexible, because it allows the HSP to work in too many areas.”

Finally the evaluation considered that terminating the HSP would deprive the government of a crucial foreign policy development and advancement tool.

1.3 Action Taken on the Formative Evaluation Recommendations

The 2003 formative evaluation of the HSP listed eight recommendations. The following section summarizes the recommendations, and our understanding of the HSP response to these recommendations. This is meant to be a reporting of follow-up actions taken, and not an assessment as to whether the recommendations were appropriate and whether the HSP follow-up fully complied with the intent of the recommendation.

The recommendations and follow-up, in brief, follow:

Recommendation 1: “The HSP should evaluate its list of 22 sub-priorities and drop those that are overlooked or unused. It should also consider doing more in the anti-terrorism area, make funding more strategic, and improve the likelihood of showing a demonstrable impact by choosing countries where effort can be concentrated rather than spread the money over dozens of countries.”

Response: The HSP response indicated that the 22 priorities were selected through interdepartmental consultations and approved by Cabinet and that all of the issues remain important as priority areas. The HSP indicated that it would support increased counter-terrorism programming.

The current evaluation also noted that the HSP has moved some way to setting priorities for projects in some conflict-affected countries such as Sierra Leone and Colombia.

Recommendation 2: “The HSP should fund chiefly global, larger projects and multilateral projects.”

Response: The HSP responded that it was implementing a policy to limit proposals to a minimum budget of at least \$40,000, but would retain flexibility for small initiatives, as they believe that they receive good value from small initiatives. The HSP is also endeavouring to negotiate a more effective means to contribute funding to multilateral organisations for 2004/5.

The current evaluation noted that a new contribution agreement format has recently been developed. No guidelines on minimum project size have as yet been produced.

Recommendation 3: “The HSP should clearly link projects to its policy standards and issues.”

Response: The HSP responded that it will make enhancing policy coherence and impact a priority in project selection. The current evaluation verified that this is in fact occurring.

Recommendation 4: “FAC should explore integrating the ICISS initiative outside the HSP, as a separate core funded initiative.”

Response: In its response, the HSP agreed that Responsibility to Protect (R2P) will be integrated into existing FAC initiatives.

The current evaluation indicated that this did not appear to have taken place.

Recommendation 5: “The HSP should encourage funded NGOs to find alternate funding sources for core funding.”

Response: The HSP responded that few organizations are currently provided core funding, but that core funding remains a requirement for a small number of organisations.

Recommendation 6: “The signing delegation for ADM project approval should be increased to \$100,000.”

Response: The HSP agreed to request the increased delegation, but the request was turned down.

Recommendation 7: “Concerning FAC and CIDA, the dichotomy of the two mandates should be clear to avoid overlap.”

Response: The HSP agreed and indicated it meets with the CIDA Peace Building Unit regularly to discuss upcoming proposals, promote synergies and avoid duplication.

Recommendation 8: “FAC should improve its monitoring practices and administrative information gathering practices.”

Response: The HSP indicated that its recently revised RMAF would allow for greater focus on results and on data collection. A Standard Operating Procedures manual has also been developed, aimed at improving project management. To improve reporting, application and final report guidelines have also been included on the HSP web-site and added to contribution agreements.

In conclusion, the HSP responded to the 2003 evaluation and indicated that it agreed with most of the recommendations. All of the recommendations have been addressed. Follow up action has been taken in some areas, but progress is still ongoing in others.

2.0 HSP Background and Profile

This section presents a short summary of the context for the HSP and a description of the HSP's objectives and mandate.

2.1 Context for the HSP

Global vulnerability to threats to individual security increased dramatically in the last decade of the 20th century and the first few years of the 21st. As a result of the changing nature of conflict, marked by an increase in intra-state conflict (and a decline in state-to-state conflict) and an increase in the targeting of civilian populations, civilians now constitute the vast majority of the casualties of modern conflicts. The cost of international peace support operations has grown enormously, while the effectiveness of traditional methods of peace keeping has declined, and while humanitarian relief takes an increasing share of the international resources available for development assistance and economic growth².

In May 1999, the Minister of Foreign Affairs and International Trade released a concept paper entitled *Human Security: Safety for People in a Changing World*. The paper set out the case for an international agenda to enhance the security of civilians in conflict regions. The paper acknowledged the continuing importance of the security of states but argued that “national security” could not be an end in itself. Rather, the security of states was a means for ensuring the security and well-being of individuals within states. The concept paper postulated that one dimension of security could not be achieved without the other: without improved human security, stability and legitimacy of a state was at risk, without effective governance of a “democratic state that values its own people and protects minorities” human security would decline. Human rights and human development likewise were contingent on human security. Neither could be achieved in conditions of recurrent political violence and rampant criminality when people lacked confidence in the state's ability to protect them. Conversely, “human security provides an enabling environment for human development.”

Later that year, the Speech From the Throne articulated the Government's commitment “to address challenges to human security, including conflict, disease,

² Human Security Program Results Based Management and Accountability Framework, Office of the Inspector General

environmental disasters, and political and economic upheaval,” and in May 1999 the Minister of Foreign Affairs and International Trade sought approval to expand the modest peace building and human security activities which DFAIT had been conducting since 1997. The Minister described the changes in the global environment (“the dark side of globalization”) which had made safety for people, including Canadians, a central concern for Canadian foreign policy and proposed a Human Security Program “*to contribute to the creation of a sustainable environment for human security, by supporting initiatives and activities that promote human security in societies in conflict, potential conflict and post-conflict.*” The Minister outlined a strategy for implementing an expanded human security agenda in collaboration with other government departments and key non-governmental partners.

The HSP was approved in December 2000, and the Budget of February 2000 confirmed that the HSP would be funded at \$10 million annually for five years beginning in FY 2000/01 and ending in March 2005. Contributions were to go towards domestic capacity building, diplomatic leadership and advocacy, strengthening multilateral mechanisms, and country-specific initiatives.

2.2 HSP Mandate and Objectives

It was determined at the outset that the HSP should place specific emphasis on “freedom from fear” i.e., protecting people against violence. Based on this emphasis, a policy framework was developed to guide program priorities. The HSP would concentrate on five major issue areas, each with clearly defined objectives and associated plans as listed in Table 2.1 below.

Table 2.1**Issue Areas and Objectives**

Issue Areas	Objectives
1. Protection of Civilians	To build international will, norms and capacity to reduce the human costs of conflict.
2. Peace Support Operations	To address the rapidly changing requirements for deployment of skilled personnel, including Canadians, in multi-disciplinary peace support operations.
3. Conflict Prevention and Resolution	To strengthen the capacities of the international community at global and regional levels to prevent or resolve conflict. To build local indigenous capacity to manage conflict without violence.
4. Governance and Accountability	To foster improved accountability of public and private sector institutions in terms of established norms of democracy and human rights.
5. Public Safety	To build international expertise, capacities and instruments to counter the growing threat to the safety of people posed by the rise of transnational organized criminal activity (including the rise of illicit drug production and trafficking, substance abuse and international terrorism).

With the addition of Policy Research and Communications, these five issue areas have been transformed into the six components of the HSP (as defined in the HSP Logic Model presented in the current RMAF). Table 2.2 below reflects the five components/themes and the priority issues associated with each.

Table 2.2**HSP Components and Priority Issues**

Component	Priority Issues
Protection of Civilians (AGP/AGH)	War-affected children Internally displaced people Legal and physical protection Human rights field operations Humanitarian intervention
Peace Support Operations (IDC)	Expert deployment Police in peace support operations Strengthening peacekeeping capacity
Conflict Prevention and Resolution (AGP)	Targeted sanctions Small arms Cooperative conflict resolution Post conflict peacebuilding
Governance and Governance and Accountability (JLHA/AGH/IDC/AGP)	International Criminal Court Security sector reform Corruption and transparency Freedom of opinion and expression Democratic governance Corporate social responsibility
Public Safety (AGC)	Illicit drugs Transnational crime Terrorism

The Human Security Program is an integral component of the Department's International Security and Cooperation business line, primary responsibility for which rests with the Assistant Deputy Minister, Global and Security Policy. Overall management of the HSP is in the charge of the Peacebuilding and Human Security Division (AGP) with the Director having delegated authority to sign all contribution agreements under the program. Operational responsibility for the HSP rests with the Program Manager located in AGP, assisted by five Program Officers, one Communications Officer (who also has policy and programming responsibilities), one Administrative Assistant and one Financial Assistant.

2.3 Descriptive Profile of the Human Security Program

The evaluation team profiled rejected, approved and cancelled projects from program start-up in 2000 to August 2004. Approved projects are those that have been approved, and that are on-going or have been completed. Cancelled projects are projects which have been approved but subsequently cancelled. Cancelled projects generally must return FAC payments to Foreign Affairs Canada. Rejected projects are those which do not fit into a priority issue area, do not meet the HSP criteria or cannot be funded due to resource constraints. In the past, not all rejected projects were captured in the HSP database. Finally we have included a category called “proposals”, which may ultimately be accepted or rejected.

Analysis was carried out on information from both the HSP database as of August 9, 2004 for the profiling of project characteristics, and internal HSP financial data, for an analysis of expenditure trends. The HSP information indicated 568 projects had been approved and approximately \$44 million disbursed. Table 2.3 displays the project categories:

Table 2.3

HSP projects	Total
Approved Projects	568
• Approved	15
• Ongoing	150
• Completed	403
Cancelled Projects	56
Rejected Projects	327
• Rejected	229
• Proposals	98
Total	951

Source: Human Security Program Database, Peacebuilding and Human Security Division, FAC, August 2004

The database was created in October 2001, therefore some information from transactions and reports occurring prior to that date were transposed from available paper documents which did not provide complete project information. Adjustments are

periodically made to the structure of the database which has also created gaps in comparable information between projects of different years. For example, additional indicators have been added regarding gender mainstreaming, reasons for rejection of proposals, and other factors.

It should also be noted that the project activities, outputs, outcomes, results, etc. are only recorded upon completion of a project regardless of the project's time frame. Only recently have intermediate outcomes been requested in the final report.

The following is an outline of the analysis carried out by the evaluation.

1. Number and disbursement of approved / cancelled projects by priority issue.
2. Number and disbursement of approved / cancelled projects by region.
3. Number and disbursement of approved projects by year.
4. Analysis by sub-priority issue.
5. Disbursement by recipient type.
6. Outputs.
7. Beneficiaries.

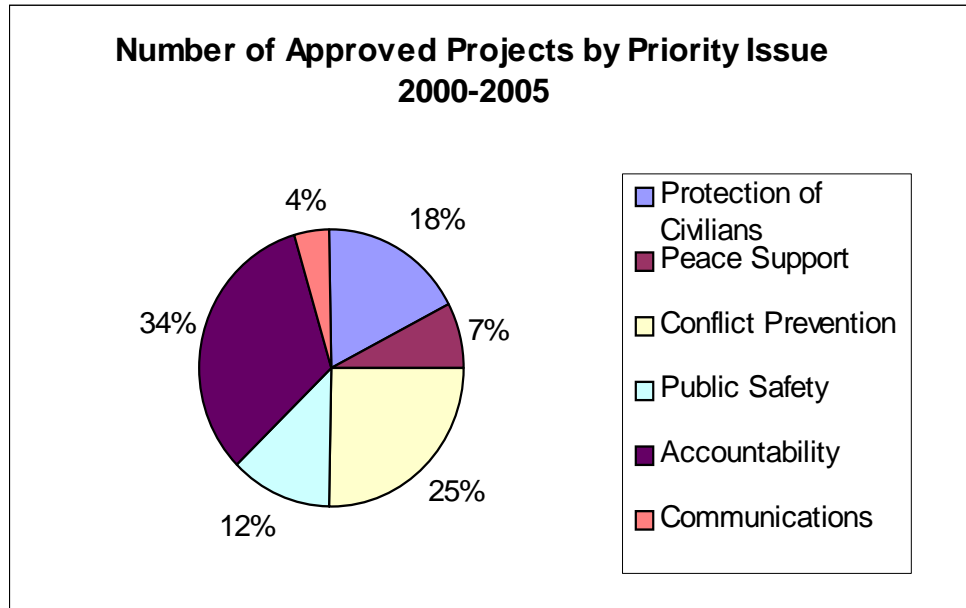
2.3.1 Analysis by Priority Issue

Approved Projects

The bulk of approved projects fall under the *Accountability* (34%) priority area, followed by *Conflict Prevention* (25%) (see figure 2.1). A total of 254 projects have been approved in *Accountability* and 189 for *Conflict Prevention*.

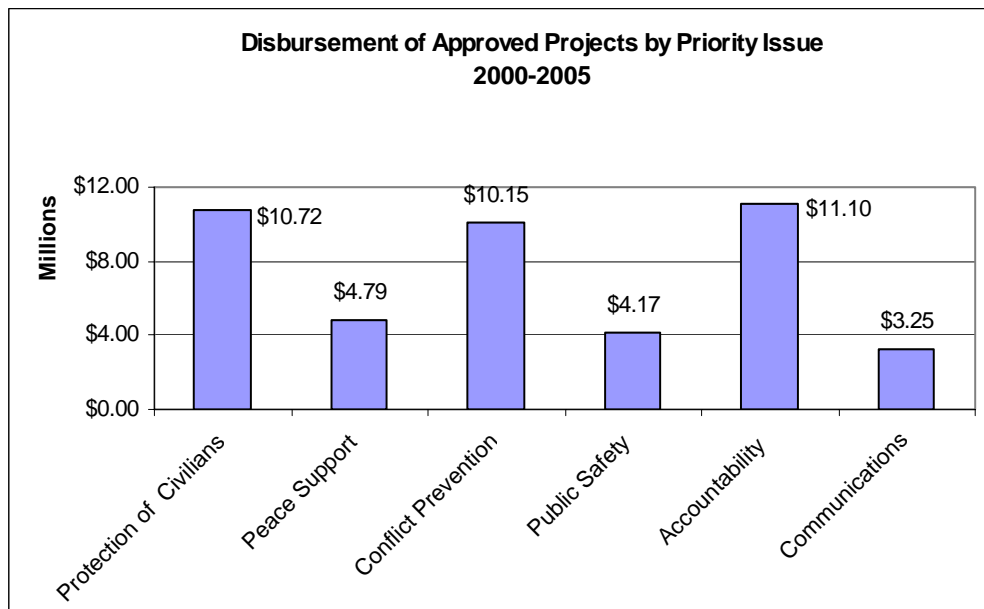
Between the 2000 - August 2004 time period, the highest amount of contribution dollars (\$11.1 million) were disbursed for the *Accountability* priority issue, followed by *Protection of Civilians* (\$10.7 million) and *Conflict Prevention* (\$10.1 million). Figure 2.2 displays the disbursements by priority issue.

Figure 2.1



Source: Internal financial data, Human Security Program, FAC, September 2004

Figure 2.2

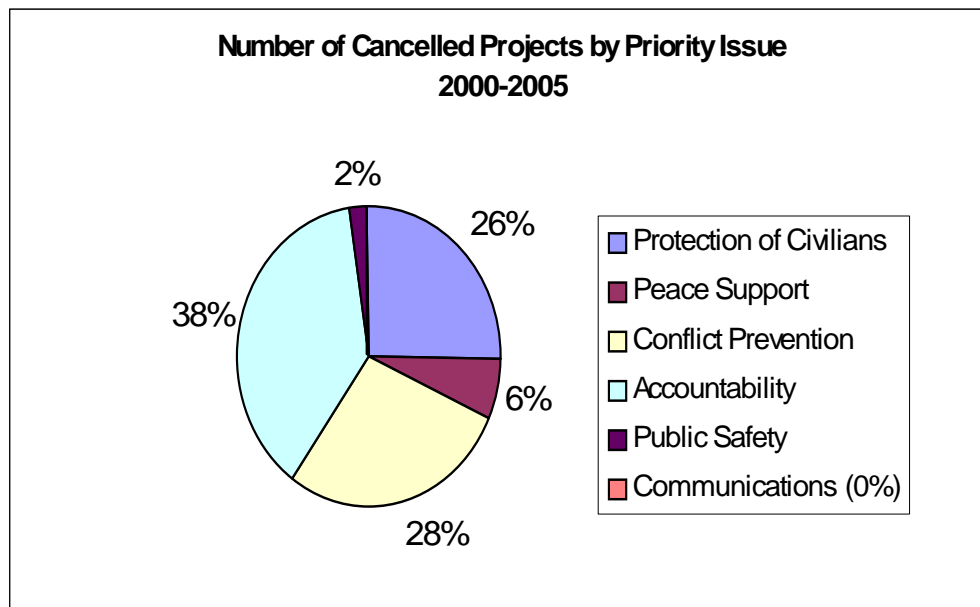


Source: Internal financial data, Human Security Program, FAC, September 2004

Cancelled Projects

There are 56 cancelled projects recorded in the HSP database. The majority of cancelled projects fall under the *Accountability* priority issue (38%), followed by *Conflict Prevention* (28%) and *Protection of Civilians* (26%). Figure 2.3 displays the number of cancelled projects by priority issue.

Figure 2.3



Source: Human Security Program Database, Peacebuilding and Human Security Division, FAC, August 2004

2.3.2 Analysis by Region

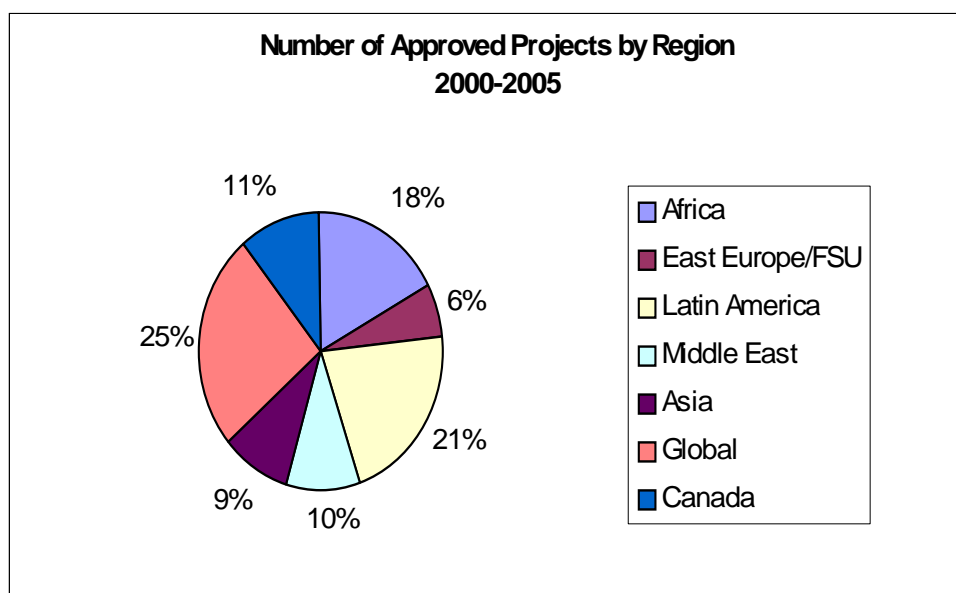
Approved Projects

The analysis by region reveals that *Global* projects account for 25% (195 projects) of overall approved projects, followed by *Latin America* (21% or 157 projects) and *Africa* (18% or 131 projects). Figure 2.4 shows the number of approved projects by region.

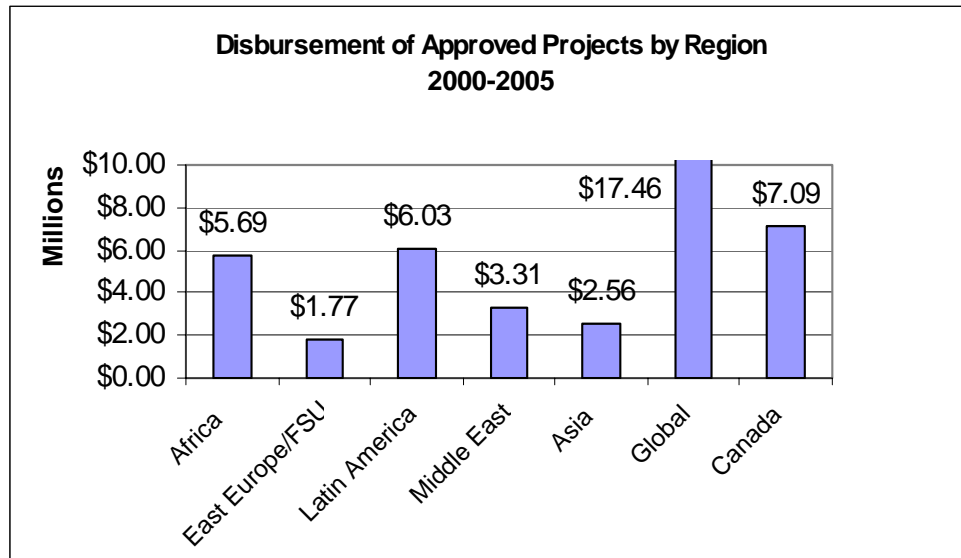
In terms of disbursement amounts, *Global* projects received the most financial support between 2000 to 2004, or \$17.5 million, followed by *Canada* (\$7.1 million) and *Latin*

America (\$6.0 million) (see Figure 2.5). It should be noted that one *Global* project (project # 00-107; *International Conference on War-Affected Children*) disbursed \$2.5 million (vote 1 funding). This is the only case where the disbursement amount was over \$1 million.

Figure 2.4: Approved Projects by Region



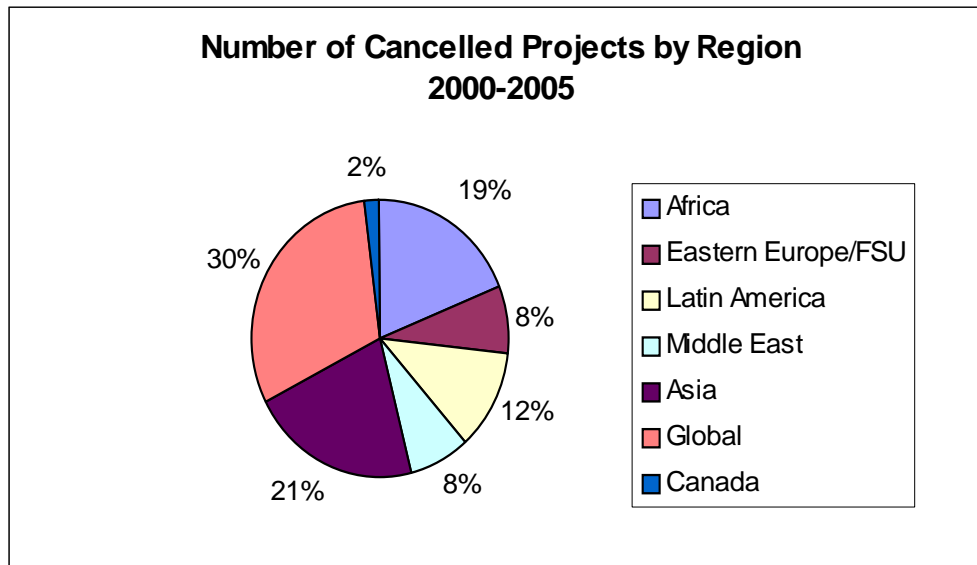
Source: Internal financial data, Human Security Program, FAC, September 2004

Figure 2.5 Disbursements by Region

Source: Internal financial data, Human Security Program, FAC, September 2004

Cancelled Projects

Global projects had the highest number of cancelled projects, accounting for 30% or 16 projects, during the 2000-2004 time period. Other regions which experienced a high cancellation rate were *Asia* with 21% (or 11 projects) and *Africa* with 19% (or 10 projects) (see Figure 2.6).

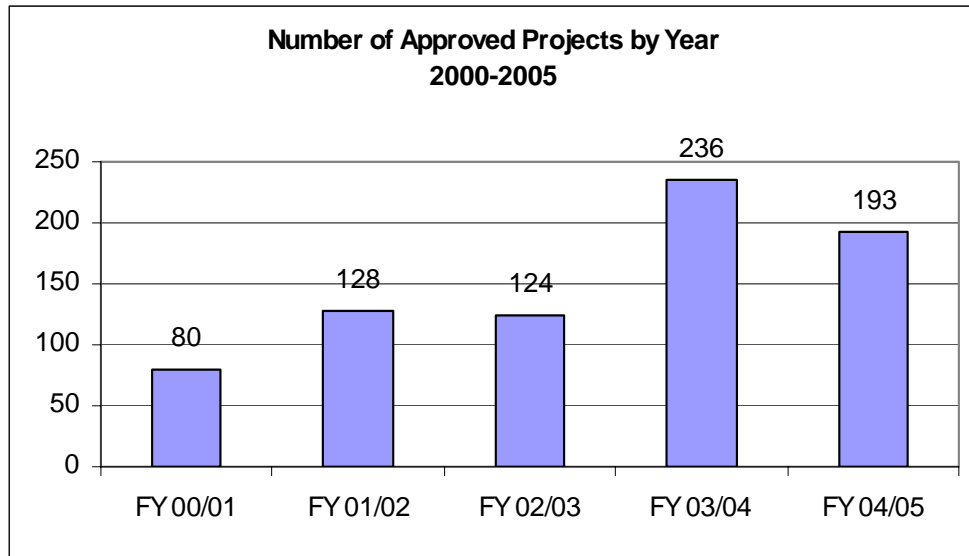
Figure 2.6

Source: Human Security Program Database, Peacebuilding and Human Security Division, FAC, August 2004

2.3.3 Analysis by Fiscal Year

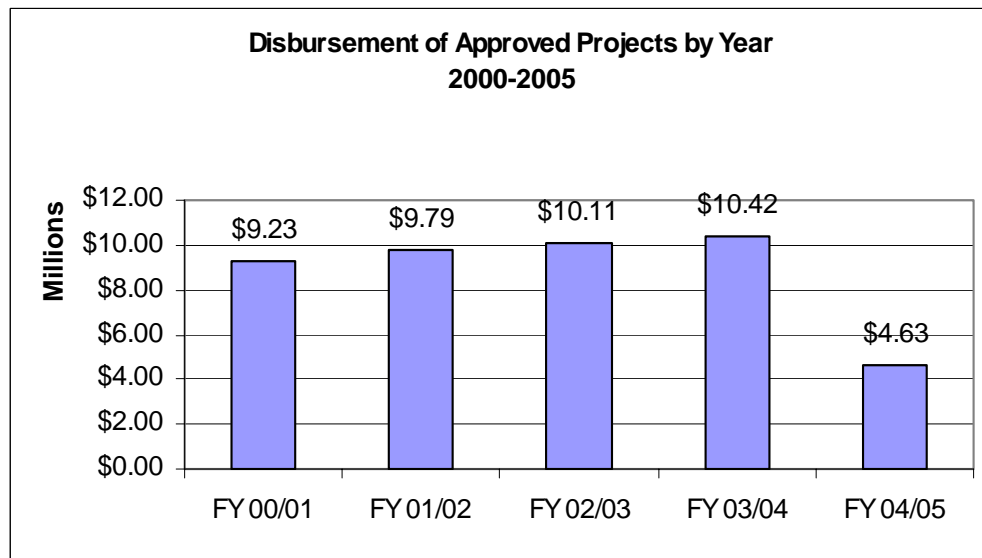
The analysis of approved projects by fiscal year reveals a majority of contributions during the 03/04 fiscal year (\$10.4 million), followed by the 02/03 FY (\$10.1 million) and 01/02 FY (\$9.7 million). Disbursements were distributed among 236 projects for the 03/04 fiscal year, and an average of 126 projects for the 02/03 and 01/02 fiscal years. A total of 193 projects amounting to \$4.6 million have been approved so far for the current fiscal year (04/05). See Figures 2.7 and 2.8 for an overview of the number and disbursement of approved projects per year.

Figure 2.7



Source: Internal financial data, Human Security Program, FAC, September 2004

Figure 2.8



Source: Internal financial data, Human Security Program, FAC, September 2004

2.3.4 Analysis by Sub-priority Issue

Data from the HSP database is also sorted by sub-priority issue. According to the database, the *cooperative conflict resolution* sub-priority was provided the greatest financial support with \$5.2 million. Other sub-priorities which account for significant expenditures are *war-affected children* (\$4.4 million), followed by *democratic governance* (\$3.8 million) (see Table 2.4).

Table 2.4

Sub-Priority Issue	Disbursement	N =
Protection of Civilians		
war-affected children	\$4,457,171.26	26
humanitarian intervention	\$1,801,467.21	27
legal and physical protection	\$1,284,057.29	22
internally displaced people	\$852,002.00	5
human rights field operations	\$716,851.34	16
Peace Support Operations		
expert deployment	\$3,138,603.30	18
strengthening peacekeeping capacity	\$1,392,349.34	30
police in peace support operations	\$25,000.00	2
Conflict Prevention/Resolution		
cooperative conflict resolution	\$5,221,552.51	75
small arms	\$2,323,057.81	26
post conflict peacebuilding	\$2,229,378.76	38
targeted sanctions	\$139,523.00	3
Accountability		
democratic governance	\$3,884,503.38	64
international criminal court	\$2,402,466.13	65
freedom of opinion and expression	\$1,541,902.00	13
security sector reform	\$1,193,328.20	24
corporate social responsibility	\$384,369.50	8
corruption and transparency	\$269,959.63	6
Public Safety		
terrorism	\$1,276,606.03	26
transnational crime	\$852,326.83	29
illicit drugs	\$846,408.76	10
Research and Communications		
policy research	\$1,763,257.04	15
communications	\$315,000.00	5
policy reserve	\$228,028.98	3
Unidentified (with and without \$)	\$401,548.50	12
Total	\$38,940,718.80	568

Note: The total disbursements reported in Table 2.4 and which come from the HSP database does not reflect the most recent financial expenditure information.

Source: Human Security Program Database, Peacebuilding and Human Security Division, FAC, August 2004

2.3.5 Disbursement by Recipient Type

An analysis was completed of disbursements by type of recipient for the approved projects. *International NGOs abroad* accounted for disbursements of \$6.0 million (24% of the identified recipients), followed by *Multilateral Organisations: UN and regional organisations* (\$5.5 million or 22%) and *Research Institutes / Academics*

(\$5.1 million or 21%). The total for Canadian NGOs is \$4.7 million, which accounts for 19% of total disbursements. (see Table 2.5).

Table 2.5

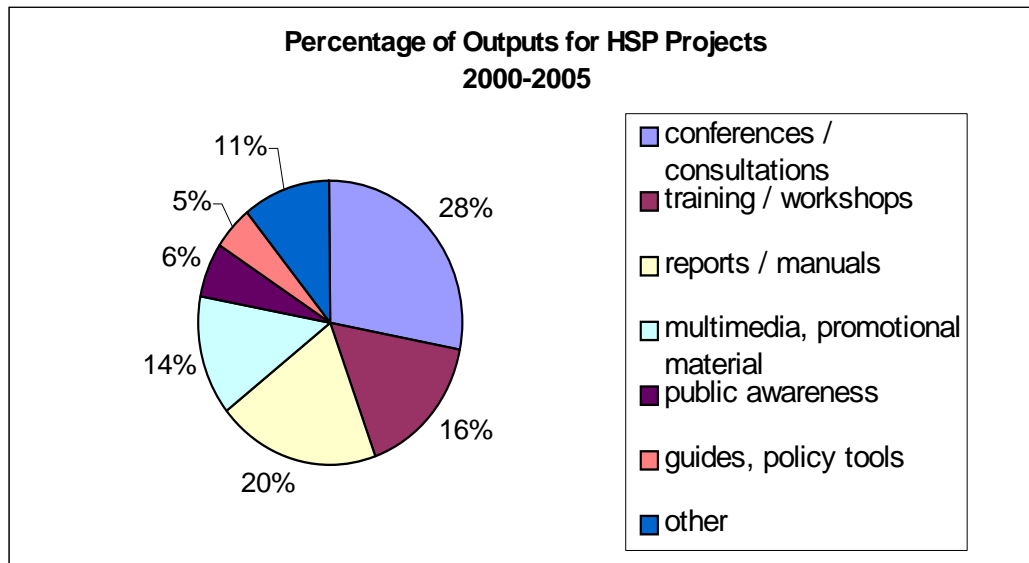
Recipient Type	Disbursement	N =
International NGOs abroad	\$5,983,760.00	119
Multilateral Organisation (UN and regional orgs)	\$5,525,382.95	68
Research Institutes/Academics	\$5,156,361.31	70
Canadian NGOs	\$4,752,348.86	67
Other	\$1,775,410.74	43
Canadian OGDs	\$1,080,371.34	27
Regional Multilateral Organisation	\$766,246.44	19
Foreign Governments	\$46,888.00	2
Unidentified (with and without \$)	\$13,853,949.16	153
Total	\$38,940,718.80	568

Note: The total disbursements reported in Table 2.5 and which come from the HSP database does not reflect the most recent financial expenditure information.

Source: Human Security Program Database, Peacebuilding and Human Security Division, FAC, August 2004

2.3.6 Outputs

The most common outputs reported by HSP projects between 2000 to 2004 were *conferences and consultations*, which accounted for 28% or 209 occurrences. Other frequent outputs include *reports / manuals* (20% or N=149) and *training / workshops* (16% or N=122). Figure 2.9 displays the distribution of outputs by percentage.

Figure 2.9

Source: Human Security Program Database, Peacebuilding and Human Security Division, FAC, August 2004

2.3.7 Beneficiaries

Analysis of the data on beneficiaries reveals that the majority were *government officials / policy makers / parliamentarians* (17% or N=245). Other common beneficiaries, which have been tracked in the database, include *international NGOs abroad* (13% or N=182), followed by *international multilateral organisations* (10% or 150). It is important to note that a project may have more than one beneficiary.

Table 2.6**Distribution of Project Beneficiaries**

Beneficiaries	N =	%
Government officials/policy makers/parliamentarians	245	16.92%
International NGOs abroad	182	12.57%
International multilateral organisations	150	10.36%
Academics / research institutions	134	9.25%
Governments of conflict- or crises-affected countries	114	7.87%
Military, police and/or judicial bodies	108	7.46%
Media organisations/journalists	87	6.01%
Canada based NGOs	87	6.01%
General public	70	4.83%
Regional multilateral organisations	63	4.35%
Children / youths / students	58	4.01%
Civilian populations in conflict or crises affected countries	54	3.73%
Women's groups	35	2.42%
Private sector organisations	32	2.21%
Ex-combatants and/or victims	18	1.24%
Parties engaging in conflict	11	0.76%
Total	1448	100.00%

Source: Human Security Program Database, Peacebuilding and Human Security Division, FAC, August 2004

2.3.8 Summary: Database Analysis

In summary, over the five years of the HSP both project approvals and disbursements built steadily to a peak in 2003/2004. In terms of regional distribution, a large portion of program resources went into global projects reflecting the focus of the HSP, i.e., supporting the development of global public policy. Regionally, concentration has been in Latin America, Africa and the Middle East. In addition, funding has flowed to Canadian priority areas and areas in which Canada has made special commitments such as the Africa Action Plan and the Summit of the Americas.

It is notable that Canada received just under 20% of the number of projects by region and less than that proportion in terms of disbursements (about 1/6th). Similarly, of 568 organisations receiving funding, 67 were Canadian NGOs and 27 projects funded other government departments (Table 2.5). Thus about 1/6th of the coded recipients were Canadian organisations (assuming they account for a similar portion of uncoded organisations).

This distribution reflects the global focus of the HSP but it may call into question the idea that strengthening the capacity of Canadian organisations is a major focus of program activity.

3.0 Program Relevance

The following questions were addressed under program relevance:

- the extent to which the HSP is consistent with Canada’s foreign policy objectives;
- the extent to which the HSP has evolved since its conception; and
- the extent to which the HSP is the most appropriate means of enhancing people’s safety and freedom from violent and non-violent threats.

3.1 Consistency with Canada’s Foreign Policy Objectives

The HSP is consistent with and fully supportive of Canada’s Foreign Policy objectives and the Department’s Strategic Planning and Priorities Framework.

This issue was addressed through a review of departmental documentation such as “Connecting Canada to the World”, including the most recent Report on Plans and Priorities (RPP) and Departmental Performance Report (DPR) documents. It was also addressed through interviews.

One of the strategic objectives included in the *Strategic Planning and Priorities Framework* published by FAC, includes: *Projecting Canada to the World and Advancing Canada’s Interests Abroad.*

This is further elaborated through the following sub-objectives/priorities.

- *Strengthened multilateral rules-based institutions and policy coherence*
- *Effective advocacy of Canada’s global and human security interests*
- *Enhanced support for human rights, democracy and good governance*

The International Security and Cooperation business line,³ which responds to the strategic objective of effective advocacy of Canada’s global and human security interest and priority sub-objective of enhanced support for human rights, democracy and good governance, plans and directs Canada’s international political and diplomatic cooperation both bilaterally and multilaterally with the goal of ensuring Canadian security and the promotion of Canadian interests abroad. The RPP specifies that:

³ Departmental Report on Plans and Priorities 2004-5

Canada's approach to human security is a people-centred approach to foreign policy which recognizes that lasting stability cannot be achieved until people are protected from violent threats to their rights, safety or lives.

The RPP also states that the HSP of the Department of Foreign Affairs is one of Canada's proactive mechanisms for addressing international human insecurity.

A number of interviews with both internal FAC staff and with external project proponents also indicated that the HSP funding provides policy leverage for FAC in a number of areas including research studies, advocacy campaigns, support to multilateral initiatives and strategic assistance to key actors such as special representatives of the UN Secretary General (SRSGs). The availability of funds provides FAC with an input to many critical studies and initiatives globally and at the national level. As a result, FAC has been able to influence research study design, the development of norms and standards and the development of global policy on a range of issues.

Therefore, the evaluation concluded that the HSP responds to a core strategic objective of FAC and is considered a key departmental program.

3.1.1 Extent to Which the HSP Has Evolved Since its Inception

The HSP has evolved somewhat with changing geo-political circumstances, and to some degree with the change in political leadership; however, core priorities have remained intact.

Although the five priority areas and 22 sub-priority areas are still relevant, there are areas that have been given more or less emphasis at different periods over the life of the HSP. The breadth of the HSP in terms of themes and priorities, permits the Department flexibility to react to emerging issues in human security. The overall framework of priorities and sub-priorities continues to be relevant and appropriate.

The HSP was established in June 2000 as a five-year, \$50 million program to build domestic capacity, strengthen multilateral mechanisms, undertake country-specific initiatives and advocate foreign policy in: Protection of Civilians, Peace Support Operations, Conflict Prevention, Accountability and Governance and Public Safety. At the time 22 sub-priorities were also identified. Over this time frame over 950 project proposals have been received and 568 funded, as of Aug 2004. Basically the

priority and sub-priority areas have remained the same. In fact the Department has taken the position, in a response to a 2003 evaluation of the HSP that questioned the number of priority areas, that “the 22 priority areas were identified through a process of consultation within and inter-departmentally and subsequently approved by Cabinet, and that for this reason the HSP is not able to modify the list”⁴.

Over the five years of the HSP, the funding provided to each of the priorities has remained relatively stable, however, the events of September 11, 2001 have resulted in an increased emphasis on anti-terrorism projects.

Given the nature of the HSP, i.e., to try out new and innovative ideas, and to help support Canadian foreign policy initiatives, supported projects have evolved as initiatives have matured or been adopted by others. The HSP has evolved to some degree with changing government priorities and with the changing geopolitical landscape.

Some of the initiatives undertaken in the early years have matured and are either no longer funded to the same level. In the last few years an increased emphasis has been placed on Small Arms and Light Weapons (SALW) and the International Commission on Intervention and State Sovereignty (ICISS) and its follow-up known as R2P. Support for the ratification process for the International Criminal Court (ICC) and for initiatives aimed at war affected children have been accomplished to a great degree and less emphasis is being put on these areas. Table 3.1 below demonstrates how funding by priority has changed over the last few years.

As may be seen in the table, funding for protection of civilians has declined from 2000/01 from \$4.3 Million to \$2.0 Million in 2003/04. Funding in other areas such as Conflict Prevention, Accountability and Public Safety have increased.

Over the last two years Accountability, Public Safety and Conflict Prevention have grown while other areas have remained constant or have declined slightly. Finally, although the HSP lapsed a small amount of the \$10 million annual budget in the first two years, during the last two years disbursements have slightly exceeded budget, indicating a continuing high level of demand.

⁴ 2003 Evaluation Report, Foreign Affairs Canada

Table 3.1**Total disbursement by Priority Area (Thousands)**

HS Priority	FY 00/01	FY 01/02	FY 02/03	FY 03/04	FY 04/05 Aug 2004
Protection of Civilians	\$4,344	\$1,475	\$2,001	\$2,015	\$885
Peace Support	\$863	\$1,537	\$936	\$922	\$524
Conflict Prevention	\$1,480	\$2,546	\$2,523	\$2,316	\$1,281
Public Safety	\$649	\$982	\$865	\$1,238	\$432
Accountability	\$1,107	\$2,614	\$3,056	\$3,069	\$1,253
Communications	\$788	\$633	\$721	\$856	\$252
Total	\$9,231	\$9,787	\$10,102	\$10,416	\$4,627

Source: Internal financial data, Human Security Program, FAC, September 2004

Table 3.2 below describes regional versus global funding levels.

It should be noted that, while funding of global projects has declined from \$5.5 million in 2000/01 to \$3 million in 2003/4, funding has increased at a regional level. During the last three years, disbursements have increased in Latin America, Asia, Eastern Europe and the Middle East, while funding for projects in Africa and Canada have remained relatively stable. As indicated earlier funding of global initiatives has declined by about 40%. In Latin America some of the increased demand has been related to support for Defence Reform in Latin America.

Table 3.2**Total Disbursements by Region (Thousands)**

REGION	FY 00/01	FY 01/02	FY 02/03	FY 03/04	FY 04/05
Africa	\$1,126	\$1,429	\$1,267	\$1,237	\$632
Eastern Europe/FSU	\$42	\$155	\$595	\$579	\$397
Latin America	\$846	\$1,365	\$1,306	\$1,757	\$753
Middle East	\$242	\$496	\$986	\$1,156	\$432
Asia	\$100	\$807	\$643	\$804	\$461
Global	\$5,522	\$4,025	\$3,430	\$3,068	\$1,407
Canada	\$1,353	\$1,509	\$1,874	\$1,816	\$539
Total	\$9,231	\$9,786	\$10,101	\$10,417	\$4,621

Source: Internal financial data, Human Security Program, FAC, September 2004

Priorities have shifted to the Responsibility to Protect, and the small arms area (given the 2006 upcoming UN conference). There has been increasing demands for assistance (according to staff) in areas surrounding governance and accountability and security sector reform. At the time of the evaluation, the possibility of new funds

being established to separately fund projects related to Counter-terrorism capacity building was under review.

The study concluded that although all of the priority and sub-priority areas remain relevant, some have evolved to the point where they are no longer as heavily drawn upon, as early stage activities have been completed and the initiatives are now into implementation.

Internal interviews indicated that the HSP is meant to fund new innovative ideas, research and advocacy initiatives. One exception to this has been the funding of CANADEM, which is more of an operational area. CANADEM is currently being reviewed separately.

3.2 Appropriateness and Need for the HSP

This sub-section addresses:

- the need for the HSP and implications of discontinuing it;
- complementarity with other departmental programs;
- whether the HSP has facilitated policy coherence;
- the extent to which the HSP is effective; and
- comparisons to the approaches of other countries

3.2.1 The Need for the HSP and Implications of Discontinuing it

The vast majority of both internal and external interviewees indicated the importance of the HSP in support of Canadian foreign policy human security initiatives. There is strong support for its continuation, and an expressed need by many to increase it.

Our study indicated, based on the interviews and the documents reviewed, that the HSP is the only funding available of its kind in the Department. The HSP permits the Department to support Canadian, multilateral and bilateral civil society initiatives aimed at improving human security globally, regionally or at a national level. The fund is seen as complementary to the CIDA Peacebuilding Fund even though the CIDA Fund is seen as more complex to access and somewhat less flexible and responsive than the HSP.

In addition, the evaluation indicated that the HSP funded projects are not completely incremental, but that the HSP funds are often important in helping proponents get off the ground. The HSP support provides credibility, which often enables proponents to attract additional support. Evidence on the extent to which the HSP is incremental emerged from the survey of rejected applicants. Although three quarters of the rejected HSP applicants reported that they had implemented their project in spite of not receiving HSP funding, a majority indicated that failure to obtain the HSP funds had resulted in a reduction in the size and scope of their project, a delay in its execution or a need to partner to implement the project.

The HSP is seen by FAC officials as both an instrument to be used in direct support of FAC policy initiatives and as a responsive fund that can be used to support initiatives at the local level. External organisations expressed similar views. Generally FAC funds are available world-wide, and do not necessarily have to be used in ODA countries. Canadian NGOs indicated that the HSP is a major factor in supporting Canadian capacity building in the human security area and in permitting them to engage in human security activities with foreign partners overseas.

External stakeholders outside of Canada indicated that support from the HSP has been critical in permitting them to proceed with key projects. Examples include the Brookings Institution Project on Internally Displaced Persons, and the OAS project in support of a settlement of the Guatemala and Belize boundary dispute.

The HSP funding level, although relatively modest, provides credibility to Canada and allows the funding of relatively strategic initiatives that permit movement of policy initiatives at all levels in support of peace and improved human security in diverse areas such as child soldiers, protection of civilians (R2P), illegal diamond trade, counter-terrorism, and internally displaced persons, etc.

The HSP offers a mechanism for providing Canadian expertise in countries with human security issues either directly through deployment of experts, or through NGO partners or partner implementing agencies. In some cases the Canadian financial support for projects has been coupled with Canadian technical advice and support (examples include: The Brookings Institute-SAIS assistance to project on Internally Displaced Persons; research completed for the Kimberley Process; and funding of investigators and lawyers assisting the Special Court in Sierra Leone). This provides a number of areas where Canada can influence important research, advocacy, and normative standards development.

Interviewees expressed concern that discontinuing the HSP at this time, without a replacement program, would greatly reduce Canada's effectiveness and credibility in promoting and supporting global, regional and local policy initiatives in the human security area.

A secondary issue that arose during discussions is whether funding for the HSP is at the right level. There were different schools of thought with regards to this issue. One perspective is that FAC is really not a programming department, and the HSP is meant to be a catalytic starter fund, with other funders and funding mechanisms taking over where increased funding is required for implementation of a policy initiative.

A second perspective is that the only real alternative source of funds to fund the implementation of many initiatives is the CIDA Peacebuilding Fund. This fund is considered to be more restrictive and can only be used in ODA countries. In addition, the lengthy approval times, large project size, and focus on implementation activities does not allow for funding of innovative new ideas, awareness creation, and advocacy activities.

Overall, many Canadian interviewees believe that the HSP is needed, should be continued, and that it would be damaging to Canada's reputation if it was not continued. Some are also of the opinion that an expanded or supplemental fund should be made available to fund downstream implementation activities that cannot be funded through current programs such as the CIDA Peacebuilding Fund to better match Canada's financial contributions with its level of policy influence. Given Canada's strong policy stance and good reputation, the belief is that Canada's funding does not adequately match its influence and its many policy initiatives.

3.2.2 Complementarity with Other Departmental Programs

The HSP is complementary to other initiatives such as the CIDA Peacebuilding Fund and the IDRC Peace Building and Reconstruction Fund.

In addition to the FAC HSP, there are two other important programs that also fund Human Security issues as part of their mandates. These are the IDRC Peace Building and Reconstruction Initiative (PBR) and the CIDA Peace Building Fund.

The IDRC PBR was initiated in October 1996. The PBR promotes research, policy development and capacity development in the South to support and explore the

complex links between peace, conflict, violence, and development. As described, the PBR focuses on research, and on building southern capacity, with IDRC being a facilitator or conveyor of knowledge. The PBR is committed to supporting research that involves social analysis with the aim of promoting the rights of historically marginalised groups, with a special emphasis on women, the rural poor and indigenous people. The IDRC PBR may be seen as a complementary program to the HSP but does not supplant it. Complementary studies to the HSP funded projects include:

- Defence Policy in Guatemala;
- Small arms control in Nicaragua;
- Biennial Report on the UN Program of Action in Small Arms; and
- Peace and conflict assessment in Sri Lanka.

IDRC-supported activities focus squarely on research as opposed to advocacy, policy development or local capacity building and problem solving.

A second important program that has some similarities with the HSP is the CIDA Peacebuilding Fund. The Peacebuilding Fund was launched in October 1996 as a joint undertaking between DFAIT and CIDA and is administered by the Multilateral Programs Branch.

The objectives of the Peacebuilding Fund are to:

- assist countries in conflict in their efforts towards peace and stability; and
- promote Canadian peacebuilding capacity and participation in international peacebuilding initiatives.

The Peacebuilding Fund supports projects directly related to conflict prevention, resolution or peace consolidation. Projects are generally expected to contribute to peace building, rather than to humanitarian or military aspects of conflict resolution, with clear measurable objectives and results.

Examples of possible activities include:

- support for the implementation of peace accords;
- strengthening locally-generated peacebuilding initiatives;
- support for local peace dialogues;
- developing local leadership for peace consolidation;

- strengthening and enhancing governance and civil society; and
- promoting peace through communications and information technology.

There are a number of differences with the FAC Human Security Program, as well as a number of areas that are complementary.

- The CIDA fund is only applicable in ODA countries and sectors, whereas a key feature of the HSP is that it can operate in non-ODA countries such as Eastern Europe and the Middle East.
- The HSP is broader in context than the Peacebuilding Fund, as the HSP addresses aspects of human security related to crime, terrorism, etc. There are commonalities in dealing with Internally Displaced Persons, Small Arms, Conflict Diamonds, etc.
- The CIDA Peacebuilding Fund is characterized by larger, but mainly national implementation projects, whereas the HSP has focused significant activity on advocacy, awareness and capacity building - often at the global level.
- CIDA focuses on practical on-the-ground initiatives, whereas the HSP is policy- and issue- focused with a strong emphasis on advocacy.

Our study indicated that the HSP terms and conditions and focus do not duplicate or overlap with either the CIDA or the IDRC funds.

3.2.3 Has the HSP Facilitated Policy Coherence?

In general, the HSP has contributed to policy coherence especially within FAC and to some extent horizontally among federal departments. However, the coordination inter-departmentally at the strategic level could be improved to ensure a better integrated overall Canadian approach to human security issues. External respondents also expressed a need for more information on FAC's strategic priorities each year and notional allocations to guide their own planning.

To ensure policy coherence in human security a number of structures have been formed:

Departmental Project Review Committee

The Departmental Project Review Committee (PRC) has broad representation within FAC, and serves to bring departmental units together for regular consultations and collective decision making on the course and direction of the HSP. The specific responsibilities of the PRC are to:

- Provide regular updates as to the status of the HSP (commitments vs disbursements, project results etc)
- Provide information on and discuss/consult on new/ongoing projects;
- Formally select and recommend project proposals to the Minister or ADM for consideration.

The Interdepartmental Peacebuilding Working Group

The Interdepartmental Peacebuilding Working Group strives to meet monthly to promote program synergy and avoid duplication of activity at an operational level among government departments involved in human security. The group includes representatives from FAC divisions involved in peacebuilding and human security, CIDA's Peacebuilding Unit, the Department of National Defence and other government departments (RCMP and Canadian Heritage), as well as the International Development Research Center (IDRC).

Program Advisory Committee

The Program Advisory Committee is a senior level, interdepartmental committee which builds on established interdepartmental consultations which keep FAC informed on initiatives related to peacebuilding and human security. The PAC is mandated to promote policy and program complementarity, enhance synergistic use of resources and avoid duplication of effort. It is convened and chaired by FAC and includes representatives of CIDA, Solicitor General, Justice, Health Canada, Canadian Heritage, Privy Council Office, and other interested departments.

Interviews with internal and external respondents indicated concerns by some respondents as to the effectiveness of the interdepartmental PAC, and whether the PAC has really contributed to overall policy coherence. A review of the mandate would indicate that individual departments have full accountability for their own programs, and the PAC is strictly an advisory committee. Its focus is information sharing and it meets about twice per year.

Our analysis indicated that the departments which program in human security generally coordinate well at the operational level, but that the various programs may not be as well linked into an overall strategy as they could be. For example, if a Canadian policy initiative in SALW is underway, there is no guarantee that CIDA and other departments will develop a complementary set of projects to FAC for the necessary implementation activities at a later stage.

The interviews indicated that the FAC internal project review committee has worked quite well as a mechanism to ensure policy coherence within FAC. All FAC projects are vetted by the committee and all of the committee members, who are engaged in different parts of FAC are thereby aware of ongoing policy priorities.

A review of the documentation indicated that in the early years policy priorities were established and circulated. It is less clear that this level of documentation has been maintained.

Interviews with external respondents indicated that Canadian NGOs are not familiar with the government's strategic framework and specific priorities for the HSP that may be established from year to year. NGOs are not a party to regular consultations with the Department or the PAC on appropriate priorities and how the Canadian NGOs can best be involved.

It should be noted, however, that the Canadian NGO community is strongly supportive of the HSP and feels that the HSP is a valuable mechanism for supporting Canadian foreign policy, permitting NGOs to also be involved in human security projects overseas.

3.2.4 Comparisons of the Canadian HSP to that of Other Countries

Canada is considered one of the leading countries in human security policy and issues development, however countries such as Japan and the UK have larger funding envelopes available.

Japan has established a UN trust fund to fund UN-supported peacebuilding projects. These projects must be requested by UN agencies.

The UK has established multi-departmental Conflict Pools which are managed by interdepartmental committees. The UK covers similar activities in its human security program to Canada, but has a much larger funding envelope.

Interviews and document reviews indicated that Canada has been at the forefront in raising and promoting multilateral action on human security issues. It is generally recognized by Canadian and non-Canadian interviewees however, that while Canada has been effective in policy dialogue, and has used the HSP fund strategically to advance human security issues at a multilateral level, it does not have the resources available to implement the downstream requirements of many global human security requirements generated by its policy and advocacy work.

In response, program staff explain that the HSP is meant to be catalytic and that the expectation is that others will fund the “heavy lifting” that may be required to actually implement international conventions and agreements. In fact some interviewees believe that Canada should have more resources available to follow up on some of these initiatives.

Examples of the approaches to human security taken by others follow.

Japan

In December 1998, Prime Minister Keizo Obuchi established human security as a pillar of Japan's foreign policy and announced that a Trust Fund for Human Security would be established in the UN with contributions from Japan in his policy speech in Hanoi entitled “Toward the Creation of a Bright Future for Asia”.

Following this announcement, a Commission on Human Security was established in January 2001, with 12 internationally prominent members including Mrs. Sadako Ogata, former United Nations High Commissioner for Refugees, and Professor Amartya Sen, Master of Trinity College, Cambridge, serving as co-chairs, as well as Ambassador Lakhdar Brahimi, Special Representative of the UN Secretary General for Afghanistan. The Commission was mandated to develop the concept of human security and make recommendations that will serve as guidelines for concrete action to be taken by the international community.

The Government of Japan fulfilled its commitment by establishing a Trust Fund for Human Security in March 1999, with an initial contribution of about 500 million yen.

By fiscal year 2001, total contributions had amounted to some 18.9 billion yen, making the Trust Fund the largest of its kind established in the UN.

The objective of the Trust Fund is to translate the concept of human security into concrete activities by supporting projects implemented by UN agencies that address, from the viewpoint of human security, various threats to human lives, livelihoods and dignity currently facing the international community, including poverty, environmental degradation, conflicts, landmines, refugee problems, illicit drugs and infectious diseases such as HIV/AIDS. Only organisations in the UN system may request support from the Trust Fund.

Applications to the Trust Fund are reviewed by both the Government of Japan and the UN Secretariat, whose concurrent approval is required to provide support for the projects.

As of the end of June 2002, the Fund had provided a total of \$84.12 million for 61 projects.

By category, most of the projects cover health and medical care (19 projects, \$9.26 million) and poverty (13 projects, \$10.80 million). As regards other categories, three projects are for the environment (\$0.43 million), two for conflicts (\$3.77 million), seven for refugees (\$6.50 million), one for drugs (\$0.2 million), three for disasters (\$2.41 million), 10 for Kosovo (\$48.80 million) and three for other categories (\$1.95 million).

By geographical area, 21 projects have been implemented in Asia (\$17.13 million), 11 in Africa (\$9.82 million), two in Latin America (\$1.21 million), three in the Caribbean (\$0.92 million), six in Oceania (\$1.59 million), 10 in Kosovo (\$48.80 million) and eight in other regions (\$4.66 million). Although most of the projects were located in Asia in the early stage following the establishment of the Trust Fund, they are now globally implemented.

Key stakeholders representing international NGOs and multilateral agencies expressed some frustration with the mechanisms and processes required to access the Japanese funded program. They also questioned the rather broad definition of human security which resulted from the report of the conference.

United Kingdom

The Conflict Prevention Pools (CPPs) are a joint Foreign and Commonwealth Office (FCO), Ministry of Defence (MOD) and Department for International Development (DFID) mechanism for funding and managing the UK's contribution towards violent conflict prevention and reduction. The Global Conflict Prevention Pool (GCPP) and the Africa Conflict Prevention Pool (ACPP) were set up by the UK government with the aim of “*reducing the number of people around the world whose lives are affected by violent conflict and, ultimately, of cutting the number of conflicts that occur.*” The ACPP covers sub-Saharan Africa while the GCPP covers the rest of the world.

The Global Conflict Prevention Pool

The Global Pool arose out of the 2000 “joined-up government initiative”, which encourages departments to integrate their policy-making and program delivery. The GCPP has brought together the conflict prevention work of the Foreign and Commonwealth Office (FCO), Ministry of Defence (MOD) and Department for International Development (DFID), helping them increase the impact of what they do through better coordination and common strategies. Since 2001, these departments have been working closely together under the umbrella of the two Conflict Prevention Pools, developing joint policies and coordinating their work in order to maximize its effectiveness and impact. Activities of the GCPP seek to harness the expertise available within these government departments across a wide range of sectors including development, security reform, public administration, good policing and equitable justice systems.

UK funding for peacekeeping and other peace support operations was also brought within the management structure of the pools, having previously been paid for directly from the Treasury's Departmental Expenditure Limits (DEL) reserve. This move aimed to improve the relationship between peacekeeping and other conflict prevention work, and to streamline management of the peacekeeping budgets.

In the two years to March 2003, the Global Pool has been working to deliver its agreed target through a wide range of projects grouped under 12 geographical or thematic strategies.

Three further strategies aim at strengthening the conflict prevention capabilities of European and international organisations; namely:

- the EU;

- the OSCE (Organisation for Security and Cooperation in Europe) and the Council of Europe; and
- the UN.

The Global Pool's program budget was £60 million in 2001/02 and £68 million in 2002/03. In 2002/03, the budget was boosted by a rebate from the UN of money that the UK had committed to UN Protection Force operations in Bosnia in the early 1990's. The budget will rise to £74 million in 2003/04.

The Global Pool prioritizes activities that contribute to long-term peacebuilding. Post-conflict reconstruction also forms a significant portion of its work. Project definition and management is often carried out by overseas staff, who work closely with NGOs, the private sector and academic institutions, as well as international organisations like the UN and OSCE to deliver the Pool's conflict prevention work.

The African Conflict Prevention Pool

The UK Government has a strong interest in reducing conflict in sub-Saharan Africa. The UK seeks to ensure that its own policies and program for tackling and preventing violent conflict in Africa are coherent with the policies and programs of other countries and institutions, especially the EU and the World Bank, in order to maximise their potential. The UK is also actively seeking effective partnership with African nations. The UK expects to pursue this partnership vigorously on a bilateral basis and through the G8's response to New Partnership for Africa's Development and the UN Economic Commission for Africa's proposed Global Compact.

The most pressing needs are for actions that will contain the spread of regional conflict in and around Sierra Leone, in the Great Lakes region, and in Sudan and Angola. Through Africa Pool funding, UK conflict prevention work in Africa is focusing on the following areas:

- small arms and light weapons controls;
- inclusive development;
- reduction in the exploitation of mineral and other natural resources for the purposes of war;
- inclusive government;
- security sector reform;
- regional security bodies; and
- African peacekeeping capacity.

Pool Management

Initially, each department put in funds from their own budget, with the Treasury providing additional resources; however, today the Pools bid for money alongside their parent departments in each governmental spending round.

Both pools are overseen by Cabinet committees comprising the Foreign Secretary, the Secretary of State for International Development, the Defence Secretary and the Chief Secretary of the Treasury. DFID chairs the Africa Pool, the FCO the Global Pool.

Each Pool is managed at the working level by a joint steering team made up of officials from each department. These Pool steering teams: prepare an agreed view of priorities of UK conflict prevention activities; recommend budgets for delivering programs; and, develop processes for Pool management. Below this level, the Africa and Global Pools have different ways of coordinating their work.

In summary, Canada's HSP is much closer in its defined program areas and priorities to the UK programs than to the Japanese fund. External stakeholders interviewed considered the two programs (Canada's and the UK's) to be quite complementary, with Canada focussing more on global policy development and the UK on the "heavy lifting" in specific conflicts. They also noted that Canada and the UK have cooperated effectively in supporting actions in specific conflict zones such as Sierra Leone.

3.3 Extent to Which the HSP Is an Effective Tool to Further Canada's Human Security Strategy

Overall, the evidence gathered from a review of projects, cases studies and interviews indicates that the HSP is an effective tool to further Canada's human security strategy. Issues have been raised as to whether it is too broadly focussed (too many priority areas), and does not sufficiently support Canadian organisations rather than multilateral or foreign organisations. In addition there is a debate as to whether the fund should be primarily driven by strategic policy initiatives, as opposed to responsive initiatives which account for about 45% of the disbursements. Our study concluded that:

- *Although there are a number of official priority areas, an annual planning memo emphasizes a smaller number of priorities for the forthcoming year and in essence, the policy driven priorities are limited;*
- *Having both strategic (policy driven) and responsive initiatives are not necessarily problematic providing that the two are well linked in an overall planning framework and that the responsive initiatives are well coordinated with the strategic policy initiatives;*
- *The approximately 20% allocation of funding to Canadian organizations has been justified by the limited Canadian capacity in the past, but priority should be given to funding Canadian organizations in the future to continue building Canadian capacity.*

Our analysis through interviews and document reviews indicated that although the HSP has 22 priority areas, there are a limited number of policy driven priorities identified for a particular year. In addition, of the 22 priority areas, a small number have not been used extensively. Therefore the high number of priority areas on paper, as authorized in the original approval documentation has not translated into a great number of truly active priorities.

Many respondents within FAC indicated that the HSP is the only major source of funds available internally to the various geographic and policy divisions in FAC to fund initiatives. In addition, the HSP is a key instrument available to both FAC divisions and to Canadian posts abroad to fund projects at the global, and national levels that address human security concerns.

The problem that does emerge to some degree is the number of somewhat isolated initiatives that are funded on a responsive basis. Many are proposed by FAC posts, or by NGOs. Although many of these are good projects, the small size and in some cases limited Canadian funding mitigates against achieving significant results attributable to the HSP.

Our own analysis suggests that the HSP strategy has to emphasize selecting responsive projects that are highly strategic and that are coordinated with other funding sources or that are part of a cluster of projects related to a priority, sub-priority area or specific initiative. This would facilitate the evaluation of results. Examples follow:

- Canadian projects in the Middle East aimed at improving media reporting can be very effective if coordinated in a way that truly increases awareness or

- understanding among local governments and policy makers. To do this, individual one-off projects may have limited effect. However a coordinated “cluster” of projects provides a more programmatic approach in which more specific awareness goals can be specified and then monitored and evaluated;
- A similar situation exists in terms of advancing human rights in Latin America. For example, a number of excellent projects have been funded, in Colombia. The question is whether these projects either strategically relate to other non-HSP funded projects or provide enough of a “cluster” or critical mass of projects to really influence awareness and action at the national level.

Overall, however, the interviews, project reviews, case studies and country visits have indicated that the HSP permits Canada to take leading edge positions on human security issues at a relatively low cost. In addition, the fact that the fund is flexible, can respond to Canadian foreign policy priorities, and is not restricted to ODA countries and sectors has made it a powerful instrument for promoting Canadian foreign policy interests. Moreover the scrutiny provided by the Project Review Committee ensures that projects are well designed and are consistent with and supportive of Canadian foreign policy objectives. The issue at hand is to ensure that projects are truly strategic or that they in combination with other Canadian or other sources of funds provide for a truly critical mass to influence outcomes.

Another issue pertains as to whether the amount of funding that goes to non-Canadian entities - both multilateral as well as NGOs - is appropriate for a program funding a Canadian human security strategy. The argument is that the HSP should be used primarily to fund Canadian driven initiatives. Our analysis indicated that approximately 20% has gone to Canadian entities. As Canadian capacity increases one would expect that ratio to increase as well.

In conclusion, the evaluation found that although there are many priority areas, in practice only a small number are really emphasized at any point in time. The priority areas also evolve over time. The study also found that the policy driven initiatives lead to a number of correlated projects (clusters) that are all focused on achieving a common result. The responsive projects, which are not necessarily clustered adequately to form a critical mass of projects capable of meaningfully contributing to a national or global outcome, can be more problematic in terms of exhibiting results. The evaluation concluded that responsive projects have to be either highly strategic or part of a broader initiative to achieve overall results. It will be incumbent on the HSP

to ensure that this happens and to ensure that the overall results of the initiative are adequately monitored and reported on.

4.0 Program Success

4.1 Analysing Program Success

The evaluation team was able to access two different models or frameworks for analysing the success of the HSP, frameworks which have been used by FAC to report program achievements in different fora at different points in time. The first of these two frameworks represents a combination of the four mandated areas of activity of the HSP and the key evaluation issues relating to program success. The second framework for analysing success is provided by the set of the HSP priorities.

In the first instance, the evaluation was able to analyse program **intermediate outcomes** under the four mandated areas of program activity:

- canadian capacity building;
- diplomatic leadership and advocacy;
- strengthening multilateral mechanisms; and,
- targeted-country specific initiatives.

In adapting this framework, the evaluation had to be confident it could cover the key evaluation issues relating to success as identified in the terms of reference and summarized in the evaluation work plan. An analysis of the stated evaluation issues relating to success (see pages 9 and 10 of the evaluation work plan) suggested that all the detailed issues listed there could be summarized in six key questions:

1. How has the HSP contributed to an increase in Canadian and international awareness of human security issues and of the priorities of the program?
2. How has the HSP contributed to increased dialogue and improved coherence in human security policy both in Canada and internationally?
3. How has the HSP contributed to strengthening the capacity of Canadian and international organisations, networks and governments involved in human security?
4. How has the HSP contributed to the development of and adherence to international norms and standards relating to human security?
5. Has the HSP been successful in leveraging the financial and political resources of other actors to support priorities in human security?

6. How has the HSP contributed to enhancing Canada’s reputation and credibility in the area of human security policy and programming?

There is a strong inter-relationship between the four mandated areas of program activity and the six evaluation issues relating to program success. Table 4.1 below illustrates that co-relation.

Table 4.1

HSP Mandated Activity Areas	Evaluation Success Issues
Canadian Capacity Building	1. Awareness Raising 3. Strengthening Capacity
Diplomatic Leadership and Advocacy	2. Policy Dialogue and Coherence 3. Awareness Raising 4. International Norms and Standards 5. Leveraging Resources 6. Canadian Reputation and Credibility
Strengthening Multilateral Mechanisms	3. Strengthening Capacity
Targeted Country-Specific Initiatives	All Issues

Section 4.2 below provides an overview of evaluation results relating to the HSP’s success in the four mandated areas of program activity. Section 4.3 describes the evaluation results regarding the HSP success in its stated priority areas.

4.2 Program Success by Activity Area

Program success was first examined in terms of the HSP's contributions to its four mandated areas of activity: diplomatic leadership and advocacy; strengthening multilateral mechanisms; Canadian capacity building; and targeted country-specific initiatives.

4.2.1 Diplomatic Leadership and Advocacy

The majority of program activities contribute in some way to increasing Canada's diplomatic leadership and advocacy in the field of human security by increasing policy dialogue and coherence, raising awareness, developing international norms and standards, leveraging resources, and enhancing Canadian reputation and credibility.

The following are key findings showing program success in this respect:

- ***Policy dialogue and coherence:*** The HSP's support to policy oriented research, to international conferences, to the development of action programs and to follow up activities has contributed to advancing the conceptual basis of international policies in human security and the movement toward consensus both domestically and internationally. Examples of policy development work include support to the preparatory research, to conference operations and to follow up work for the International Commission on Intervention and State Sovereignty (ICISS), the United Nations Conference on Small Arms and Light Weapons (SALW), the Winnipeg Conference on War Affected Children, and support to the Kimberley Process. Similarly, key stakeholders report that diplomatic initiatives under the HSP have been important in securing UN Security Council resolutions on the Protection of Civilians in Armed Conflict, on Women Peace and Security and on the Rights of Children. Other stakeholders point out that Canadian diplomatic initiatives were important in securing changes to the mandate and rules of engagement for UN peacekeepers which emphasized the protection of civilians in armed conflicts.
- ***Awareness raising:*** Most projects funded by the HSP have contributed in some way to raising awareness of human security issues and of the Canadian approach to human security. Canada's coordination role and leveraging impact on many issues such as small arms and international courts is generally recognized by external stakeholders. The HSP's role was recognized in advancing discussion of

issues such as the responsibility to protect, war-affected children, and the illegal diamond trade. Because of the generally small size and targeted focus of HSP projects, their awareness raising impact is felt mostly within the NGO community and among UN and government representatives involved in the particular issues being addressed. The HSP has supported a new approach to diplomacy involving collaboration with civil society. Examples of this are the annual peacebuilding consultations, the Afghanistan Tomorrow Conference which brought together Afghan leaders and people from the Canadian Afghan community, and support to the watchlist on children in armed conflict, which helped raise the profile of this issue and increase political buy-in and financial support for protection of civilians activities at the Security Council.

- ***International norms and standards:*** In the area of international norms and standards, the HSP's support to the Sierra Leone Special Court has been instrumental in the testing of new legal remedies and new definitions of crimes against humanity. The Special Court has been able to produce indictments for sexual slavery under the heading of "forced marriage" and has been successful in defending those indictments before its international appellate panel. This represents a practical introduction of a new international standard and definition of a type of crime against humanity which did not exist. Similarly, HSP funding and FAC technical support assisted the Brookings Institute develop Guidelines for the treatment of Internally Displaced Persons. The Guidelines have become the definitive standard for the treatment of IDPs. The HSP's support to the implementation of the Rome Statute of the International Criminal Court is yet another example of a significant Canadian contribution to international norms and standards. In the case of R2P, key stakeholders in Canada, the US and Switzerland all confirmed that the background research and resulting report will be the definitive documents on which the dialogue on humanitarian intervention will be based for the foreseeable future.
- ***Leveraging resources:*** Key stakeholders interviewed, including project proponents, strongly indicated that the HSP has been successful in leveraging the financial and political resources of key international partners from government and civil society. As examples, key stakeholders from the City University of New York (responsibility to protect), the Watch List on War Affected Children, Sesame Workshop (conflict resolution in the middle east), the Graduate Institute of the University of Geneva (small arms and light weapons) and Talking Drum Studio in Sierra Leone (conflict prevention and resolution) all reported that they had been able to access financial resources and political support from outside the HSP and the Government of Canada. At the same time they indicated that

financial commitment and support from the Government of Canada was important in either assisting in the leveraging of new funds or in maintaining a resource base that was spread across enough countries to demonstrate political neutrality.

- ***Canadian reputation and credibility:*** Interviews with key stakeholders and visits to projects (as well as a review of the literature) support the finding that the HSP has been able to contribute to Canada's reputation and credibility in the area of human security. Some observers contrasted the HSP's success in disbursing funds to key actors and linking Canadian diplomacy to funded program activities to the difficulties experienced by Japan's program of support to human security which has not been able to disburse significant funds due to its restrictive terms and conditions. Almost all external key informants interviewed felt the HSP was essential to maintaining Canada's "niche" in the area of human security.

4.2.2 Strengthening Multilateral Mechanisms

According to most domestic and external key informants, through its HSP, Canada has made a solid contribution to the efforts of multilateral mechanisms, particularly the UN, the international courts and the Human Security Network (HSN). It has also contributed to building local capacity by providing core support to institutions and by delivering training workshops and information seminars.

- Canada provided technical assistance to help draft legislation on the implementation of the International Criminal Court (ICC) following the ratification of the Rome Statute. A manual on domestic law implementation was developed and translated in six languages. The HSP also provided direct assistance through training of judges at the ICC. Switzerland and the Netherlands replicated Canada's ICC campaign model.
- According to UN representatives, Canada was instrumental in the creation of the Sierra Leone Truth and Reconciliation Commission by supporting its initial project formulation mission and its ensuing implementation. Representatives of the Office of the High Commissioner for Human Rights (OHCHR) commented that Canada's timely support had been instrumental in enabling the project to proceed. Similar comments were made regarding the Sierra Leone Special Court.
- By supporting the creation of the Sierra Leone Special Court, Canada contributed to the development of a new model of a hybrid court for prosecuting crimes against humanity.

- Canada was also instrumental in securing UN security council resolutions on the Protection of Civilians in Armed Conflict, which changed the mandate and rules of engagement for UN peacekeepers.
- Canada is a key member of the HSN, an informal, flexible mechanism for dialogue among 12 countries dedicated to preventing or solving conflicts and promoting peace and development by applying a human security perspective to international problems and bringing international attention to new and emerging issues. Canada currently chairs the HSN for a period of one year. Upon assuming leadership of the network, Canada declared that it would pursue issues commonly agreed upon by members such as human rights, small arms, landmines, and children affected by armed conflict, but that it would also push for further exploration of new emerging issues such as the Responsibility to Protect, HIV/AIDS, and Women, Peace and Security.
- The HSP funded a number of projects that contributed to the establishment of the Kimberley Process – an international certification scheme to ensure that "conflict diamonds" do not find their way into the legitimate diamond market . Subsequent projects funded by Foreign Affairs Canada (FAC), were designed to build on the momentum generated by the release of *The Heart of the Matter: Sierra Leone, Diamonds and Human Security*. The development and implementation of the international diamond certification system provides a mechanism for reducing the impact of diamonds as an economic factor that contributes to starting or supporting conflict in specific regions of Africa. In addition, the work on assessing the development impact of diamonds in Sierra Leone, Angola and Congo may be expected to contribute to strengthening options for rehabilitation in those countries.
- The HSP funding for the Diamond Integrity Protection Project contributed to the development of capacity for civil society to participate in review missions under the Kimberley Process. It also contributed, through funding and through the activities of Partnership Africa Canada (funded by the HSP) to the development of a coalition of NGOs in diamond producing countries (Sierra Leone, DRC and, to a lesser extent, Angola). This may be expected to strengthen the capacity of the NGO sector to address the issues related to conflict diamonds and to hold local governments accountable.
- In addition, the HSP provided core funding to a number of organizations such as the Small Arms Survey, the Norwegian Refugee Council, and the Regional Human Security Centre at the Jordan Institute of Diplomacy. Small Arms Survey representatives report that, although Canada's financial contribution is a small proportion of their overall funding, it is considered one of the strongest and

valued members of what they consider to be a necessary network of supporters of their work. Similarly, the HSP funding to the Norwegian Refugee Council reinforces the organization's capacity to produce research on the situation of internally displaced persons, but more importantly, it supports Canada's position as one of the most important actors at the forefront of discussions on IDP and as a leader in encouraging coordination among other donors. Also, with the HSP's assistance, Canada and Jordan jointly established a Regional Human Security and Conflict Management Centre (RHSC), aimed at enhancing the prevention of conflicts within the Middle East. The RHSC is the first centre of its kind in the Middle East. It works in collaboration with a variety of regional and international partners to address major human security issues in the Middle East.

- Finally, according to the program database, the HSP has supported over 550 training courses and workshops since its inception in 1999. These activities, often addressing human rights issues, were delivered for the benefit of local and regional populations and/or members of the international community.

4.2.3 Domestic Capacity Building

One of the HSP's expected results is the development of Canadian capacity in the area of human security and peacebuilding. Interviews with key stakeholders in Canada and abroad, profiles of a sample of the HSP's projects, review of a sample of the international literature on human security, and visits to the HSP-supported projects in Colombia and Sierra Leone support the following findings relating to program success in domestic capacity building:

Evidence shows that the HSP contributed to the development of domestic capacity in human security through its funding of Canadian NGOs and research organisations engaged in human security activities in Canada and in conflict or post-conflict regions; through its support to the deployment of Canadian experts from Canadian departments and research institutes; and through its support to various human security networks.

- According to the HSP policy officers and some FAC staff at posts, priority is given to the most qualified and experienced proponents for a given project, be they domestic or international organisations. Nonetheless, efforts are made on the part of the HSP to stimulate the development of Canadian capacity in human security and to encourage Canadian NGOs to coordinate their efforts.

- Over 80 Canadian organisations have received HSP funding. Among these are the Forum of Federations, Partnership Africa Canada, Institute of Peace and Conflict Studies, War Child Canada, YWCA of Canada, Canadian Centre of Substance Abuse, and the Canadian Manufacturers and Exporters Association, to name but a few.
- The Canadian institutions that received the most funding from the HSP are: 1) the Centre for International Relations, a component of the University of British Columbia's Liu Institute for Global Issues funded to produce the annual Human Security Report. The Human Security Report provides an annual mapping of the incidence, consequences, causes and policy responses to global violence; 2) CANADEM, a civilian standby mechanism for the UN and other international agencies conducting field operations and a source of candidates for Canadian and international organisations; and 3) the Canadian Consortium on Human Security, an academic-based research network which promotes and supports policy dialogue on human security through research, conferences and publications, including the Human Security Bulletin.
- CANADEM reported assisting in the deployment of over 600 Canadian experts and professionals in the field of conflict or post-conflict regions. Officers from DND, the RCMP, and Correctional Services, as well as lawyers from the Department of Justice are among the Canadian public servants whose expertise was put to use and developed as part of HSP initiatives. For instance, the Hybrid International Tribunal in Sierra Leone (the Special Court) benefited from RCMP forensic investigating capacity. The Court also received assistance from recent graduates of the Toronto University Law Faculty either as interns at the Court or as remote sources of additional research capacity. Canada's support to the Special Court is therefore contributing to creating a group of Canadian investigators and lawyers with particular expertise in the investigation and prosecution of crimes against humanity. Canada is reported to have the largest national contingent of employees at the Court.
- In addition, the HSP contributed to Canadian domestic capacity building in human security through its support to the Canadian Committee on Women, Peace and Security (CCWPC), which is composed of Parliamentarians, government officials and representatives from a broad cross-section of civil society; and the Canadian Peacebuilding Coordinating Committee (CPCC), which networks Canadian NGOs involved in peacebuilding. According to the project proponent, HSP funding has sustained core activities of the network and enabled a series of domestic conferences and consultations, as well as some research. These activities

have underscored the shared interest in and relevance of the human security agenda to both government and a wide range of Canadian NGOs and academics.

4.2.4 Targeted Country-Specific Initiatives

An analysis of the HSP database reveals that 37% of the HSP-approved projects were implemented in Canada or at the global community level (although some activities coded as global initiatives are, in fact, region or country specific), the remainder targeting specific geographical areas. Among others, the HSP has put particular emphasis on the countries of Sierra Leone and Colombia.

Sierra Leone

A number of different but complementary initiatives were supported by the HSP in Sierra Leone, including:

- the development of a police force training manual for the United Nations Mission in Sierra Leone (UNAMSIL);
- the Sierra Leone Special Court;
- the Truth and Reconciliation Commission (TRC);
- the Talking Drum studio broadcast of stories and information relating to reconstruction efforts;
- a national workshop on how to change Sierra Leone's legal framework to enable the implementation of the Rome Statute;
- the Network Movement for Justice and Peace in Sierra Leone's support to the Kimberley Process;
- a research study on conflict diamonds; and
- a series of specific projects focusing on war-affected children.

A field visit to Freetown revealed that, in comparison with interventions in other post conflict situations evaluated by team members in the past, Canadian efforts in Sierra Leone, in conjunction with those of the UN and other members of the international community, appear to be better coordinated, more integrated with local capacities and more sustained (although it is important to recognize the very different situations faced by each conflict). A particular example of the convergence of various initiatives in Sierra Leone is the coverage of the Special Court and the TRC as topics in the Talking Drum Studio's programming, its linkages with the TRC outreach committee to collect material for the radio programs, and its coverage of TRC hearings highlights

for one hour every day. In turn, this coverage helped stimulate interest and attendance at the TRC hearings.

Another key indicator of the coordinated approach of Canada in Sierra Leone is the Canadian government's consistent urging of the Nigerian government to extradite Charles Taylor so that he can be prosecuted in front of the Sierra Leone Special Court. This is an example of diplomatic efforts reinforcing the legitimacy of an activity supported by the HSP.

A key contribution of the HSP to the Special Court was a timely injection of funds at the beginning when the Court had difficulty starting due to lack of funding and, according to UN representatives, Canada was instrumental in the creation of the Sierra Leone Truth and Reconciliation Commission by supporting its initial project formulation mission and its ensuing implementation.

Colombia

Activities in Colombia are another example of country-specific focus. According to local key informants, the HSP appears to be the only coherent, cohesive, and holistic donor country program addressing human security issues in Colombia with programming taking place in areas of strategic importance for the Colombian nation.

Among the activities supported by the HSP are the work of the Defensoria, a Colombia NGO addressing human rights violations of members of indigenous communities affected by armed conflicts, as well as the capacity-building work of REDEPAZ for the promotion and protection of Colombian women's human rights. The HSP also provides ongoing support to the office of the Special Advisor to the UN Secretary General in its peace negotiations between the largest guerrilla group and the government of Colombia. Several peacebuilding training activities were also implemented with Colombian youth. Since 2000, over 10 HSP-supported projects were completed in Colombia.

The evaluation mission found that Canada's work in the area of human security was universally recognized in Colombia. While this reputation was not derived solely from the three projects included in the mission, the projects were repeatedly cited as examples of Canada's good work and commitment to the human security agenda. The HSP and associated projects were linked to the ability of the Canadian government to speak authoritatively in UN fora, it was stated that the projects lent credibility to

Canadian diplomatic efforts, and that the responsive nature of the HSP differentiates Canada from other donors that "push" project ideas upon recipients. The HSP was also cited as giving Canada credibility at both the community and national levels in Colombia.

4.3 Program Success by Thematic Priority Area

This section examines program success in each of its thematic priority areas: protection of civilians; peace support operations, conflict prevention and resolution; governance and accountability; public safety; and research and communications.

4.3.1 Protection of Civilians

The HSP activities in the area of protection of civilians have helped to establish principles for humanitarian intervention under the doctrine of Responsibility to Protect and have helped to strengthen international attention to issues of war affected children, human rights and protection of internally displaced people. Progress has not been uniform in each area and some face considerable obstacles but the HSP has had a recognizable level of success in each area.

The HSP has supported a wide ranging set of initiatives and actions in the area of protection of civilians during armed conflict. The evaluation did not develop a comprehensive inventory of all the actions taken and all the results achieved in this area (or in the other priorities). Rather, the methodology chosen reviewed a sub-set of projects and supported activities to verify results through project profiles, key informant interviews, and visits to project sites in Sierra Leone and Colombia. Based on that methodological premise, the evaluation documented the following significant program results under the priority of protection of civilians.

- The HSP supported hosting of the *International Conference on War-Affected Children* in September 2000 in Winnipeg. At the conference, 132 governments adopted the Agenda for War-Affected Children, an international plan of action to protect children affected by armed conflict. In an interesting capacity development outcome of the conference, Save the Children Canada and the Women's Commission for Refugee Women and Children based in New York developed a proposal to prepare an international publication called the *Watch List on Children and Armed Conflict* to monitor and document the situation of children in specific armed conflicts and to use that information to influence

decision makers in such bodies as the UN Security Council. The HSP, along with other donors has supported this publication and the proponents report that Canada has provided diplomatic support to their efforts to influence decision makers.

- HSP support helped launch and provided support to the independent International Commission on Intervention and State Sovereignty (ICISS) which resulted in a final report entitled *The Responsibility to Protect*. The literature review and interviews with external key stakeholders including international academics and staff in international NGOs have confirmed that the research carried out for the ICISS along with the report have made a significant contribution to international theory and practice in the area of states obligations to protect their own populations and the international obligations that arise when they fail. This is further attested by the long list of academic research and publications that were and continue to be produced on the topic, pursuing the dialogue initiated by the Commission. The doctrine of *Responsibility to Protect* has proven somewhat difficult to implement in recent years but stakeholders interviewed pointed out that it has made a difference to current attitudes to the crisis in Darfur and that it provides the conceptual basis for the main body of ongoing debate of intervention and state sovereignty.
- The HSP supported a number of workshops/seminars in various Latin America, Middle East and South-East Asia that promoted human rights, particularly those of women, children and migrants in conflict and post-conflict situations. A particularly successful project according to its proponent and the HSP officer responsible was the Seminar on Women and Society held in Syria in 2002 which drew a large attendance and television coverage and produced 200 recommendations on how to promote respect for women's rights. The event and its resulting recommendations received a high degree of interest and appreciation from diplomatic missions, UN agencies, and Syria's First Lady.
- The HSP also supported the Brookings Institute / School of Advanced International Studies (Johns Hopkins University) assistance to the Representative of the Secretary General on Internally Displaced Persons in fulfilling his mandate of identifying ways to improve protection and assistance to the world's 20-25 million persons forcibly displaced within the borders of their own countries. One of the key accomplishments of this project was the development of international guiding principles for internal displacements and their adoption by the UN Commission and the General Assembly.

4.3.2 Peace Support Operations

Funding in the peace support operations thematic area has enabled Canada to quickly respond to conflict situations through deployment of experts. As a result, Canada has been able to mobilize specialized expertise on a demand basis and to quickly deploy them to areas of need (e.g. Afghanistan, Iraq, Rwanda).

One example of this aspect of the program are two correctional assessment missions conducted in Afghanistan and Iraq which contributed to the UN considering corrections as part of the justice triad and making it a priority. Canada is considered a leader in providing experienced corrections staff to the UN.

Also, support to the office of the Special Advisor to the UN Secretary General enabled the UN to play a key role in peace negotiations between the largest guerrilla group and the government of Colombia.

According to key informants, CANADEM enables Canadians to respond to conflict situations and provide support to other countries and strengthen multilateral agreements by providing Canadian expertise which directly responds to the HSP's objectives. Among the rapid responses provided by CANADEM over the past few years was the creation of expert lists of Afghan-Canadians and Canadian regional and substantive experts which were meant to allow Canada to fulfil its commitment to the head of Afghan Interim Administration Karzai made by the Deputy Prime Minister. CANADEM also conducted a targeted recruitment of experts in child advocacy and protection, civil administration and reconstruction, and the justice sector in response to FAC's identification of a gap in Canadian capacity in these sectors. Another successful example quoted by the project proponent is a response to a crisis situation in Rwanda requiring assembly of a quick team of experts which identified a need for a quick method to respond to such needs as nothing like it existed at the time. It was set up as a private organization to ensure no political patronage existed and to allow them to respond more quickly. The roster was initially developed as a human rights mechanism and later expanded to cover other government issues such as human security.

It was however not possible to verify how the work performed by CANADEM is perceived by its UN clients since UN officers reviewing expert deployment applications do not know where the applications come from – they could have been

submitted through CANADEM or directly from the candidate. UN representatives therefore cannot say whether CANADEM candidates are better or worse than others.

4.3.3 Conflict Prevention and Resolution

The HSP contributed to several key projects that were assessed by external stakeholders as having made a significantly positive contribution to conflict prevention and reconstruction efforts, including the area of control of small arms and light weapons.

- The HSP provided support to the NGO Search for Common Ground and its Talking Drum Studio productions in Sierra Leone and Liberia. They used the radio soap opera format to produce in-depth exploration and commentary on issues relating to the effectiveness and fairness of the Special Court for Sierra Leone, the witness reports of the Truth and Reconciliation Commission for Sierra Leone, and the relative justice of efforts to re-integrate ex-combatants in comparison to the relative neglect of their victims. The programs have a wide following in Sierra Leone and Liberia and have served to communicate the complexity of local issues and the underlying rationale for the Special Court and the Truth and Reconciliation Commission (TRC).
- Along with more general support by the HSP and Canada to the Kimberley Process for ensuring the certification of traded rough diamonds, the HSP has supported more specific research and policy-oriented projects to develop knowledge about conflicts and diamonds and their inter-relationship. As an example, the evaluation team was able to visit the Sierra Leone based organization which collaborated with the Canadian NGO Partnership Africa Canada to produce a study on the link between conflict diamonds and the civil war in Sierra Leone entitled *The Heart of the Matter: Sierra Leone Diamonds and Human Security*. This link between research and direct support of an international voluntary certification mechanism (the Kimberley Process) demonstrates an area of strength for the HSP.
- Support by the HSP to the Ombudsman's office for protection of the human rights of indigenous people (Defensoria) in Colombia has enabled officials of the Defensoria to carry out their work in five departments of the state they could not previously access. This has, in turn, enabled Defensoria staff to directly assess and respond to human rights violations, or the risk of violations in indigenous communities across Colombia.

- Support to the establishment and ongoing operations of the Truth and Reconciliation Commission in Sierra Leone has facilitated the collection of testimony from combatants and their victims in all regions of the country, a process which observers have reported was efficiently and effectively carried out. After an initial period of poor administration, Canada and other donors were instrumental in getting a new manager in place and in securing improved project management by UNDP and the Office of the High Commissioner for Human Rights of the United Nations so that the ongoing operations of the TRC were improved. There are still some problems in the TRC in its timing and relation to the Special Court. There are also significant concerns that the TRC Report will not be able to meet the strong expectations created among the disabled and other victims: expectations of financial and other compensation which are beyond the mandate of the Commission.
- Support by the HSP to the office of the Special Advisor to the UN Secretary General for the peace process for Colombia has enabled the UN to play a key role in peace negotiations between the largest guerilla group and the government of Colombia.
- Support to the Small Arms Survey based in Geneva has supported the development of an annual survey of small arms and light weapons which documents producers, stockpiles, licit and illicit transfers, and direct and indirect effects including the exacerbation of conflict, frustration of peace processes and human rights violations. The Survey is seen by the HSP officers as the principal international source of information on this topic. This HSP-supported initiative relates closely to efforts to move forward the action plan resulting from the *UN Conference on the Illicit Trade in Small Arms and Light Weapons in All its Aspects*.
- The HSP also supported a study on the impact of the proliferation of small arms and light weapons (SALW) on the well being, safety and development of children which was launched at the *UN Conference on the Illicit Trade in Small Arms and Light Weapons in All its Aspects*. The study developed a framework for action considering the special needs of children during the disarmament, demobilization and re-integration (DDR) process.

4.3.4 Governance and Accountability

The HSP through the governance and accountability thematic area contributed to an international culture of accountability for serious international crimes through its support for the ICC and the Sierra Leone Special Court. In addition, the HSP, through a number of projects, contributed to the advancement of freedom of expression of journalists and the press as well as improved reporting of election results in selected conflict areas.

Key projects (previously described) were implemented in support of the International Criminal Court (ICC), the Sierra Leone Special Court and the Truth and Reconciliation Commission. The ICC is considered as one of FAC's biggest successes. It provided a vehicle for Canadian follow-up to its diplomatic leadership in the Rome Statute negotiations with assistance to countries in the process of ratifying and implementing the Statute. Canada's work in this regard contributed to the earlier than expected entry into force of the Statute. The campaign also allowed Canada to support the effective functioning of the Court and to provide education and outreach about the Court in every geographic region of the world. The Netherlands drew upon the Canadian ICC campaign experience when establishing their own ICC task force.

Another example of successful project is the Afghan Women's Governance and Leadership Training. This project illustrates how a small investment (\$49,600) can generate tangible results. In this case, the Canadian Committee on Women, Peace and Security initiated roundtable discussions with Afghan Canadian women on the situation of women in Afghanistan and explored ways in which Security Council Resolution 1325 can be implemented effectively in Afghanistan. These discussions generated recommendations to the Canadian and Afghan governments and attracted the attention of other countries that saw Canada as an innovator in this respect. Norway, Germany and the UK are reported to being in the process of following the Canadian model. Furthermore, the project led to two spin off initiatives, also funded by the HSP: Gender and sensitivity training for peacekeepers and roundtables in Sri Lanka similar to the ones held with Afghan women.

In Latin America, several workshops and forums were implemented that aimed at strengthening civil society participation in redefining their country's approach to security and defence activities. Mostly responsive, security sector reform activities

aimed at improving the effectiveness and accountability of security institutions (police, corrections, justice, military, intelligence, and border guards) in countries emerging from conflict.

In addition, the HSP funded over 50 projects in the area of democratic governance, several of which focussed on media freedom legislation and on human rights. For instance, a project was implemented to build a Canadian media and elections response mechanism in Cambodia which helped faster posting of election results and prevented violent outbreaks during the elections. Another project offered workshops for lawyers and journalists to develop and enhance their skills and knowledge in the protection of the media in Jordan, as well as the creation of a Legal Aid Centre for Journalists. Workshop attendance exceeded expectations and the activities received positive media coverage in Jordan. Furthermore, a regional Arab conference on media freedoms in Jordan was funded to hold a three-day conference promoting awareness of the importance of media freedoms in Jordan and surrounding Arab regions. The project also included studies on satellite channels and on the situation of journalists and the Jordan Press Association. The studies and conference proceedings will be published later this year.

4.3.5 Public Safety

This thematic area of the HSP has promoted a people-centered approach to examining drug trafficking, international crime and terrorism. In the past two years, the HSP has contributed significantly to international anti-crime and counter-terrorism capacity building (training, seminars, expert deployments) and supporting the ratification and implementation in other countries of various treaties and mechanisms to fight crime and terrorism, such as UN Security Council Resolution 1373, the 12 UN instruments on terrorism and the UN Convention on Transnational Organized Crime (TOC). Canadian support in these areas was noted in a number of multilateral institutions, such as the G8, APEC, the OAS, the UN, and the Commonwealth.

In addition, three transnational crime protocols were signed on firearms, smuggling of people and international trade of illicit resources that will guide policy makers, legislators and legislative drafters in countries either preparing for the ratification of the UN Convention Against Transnational Organized Crime or already taking steps to ensure its full implementation. The project proponent reports that the tools thus

produced were well received by the UN General Assembly and have been widely used since.

The Virtual Clearinghouse on Alcohol, Tobacco and Other drugs was also put forward by FAC as an innovative multilateral approach to addressing substance abuse using the Internet.

4.3.6 Research and Communications

The Research and Communication thematic area actively contributed to increased Canadian and international awareness and understanding of human security issues through production and dissemination of over 335 research reports and position papers, including the Human Security Report.⁵

Since 2002/2003, the HSP supported essentially two large initiatives under its Research and Communications thematic area: the production of the Human Security Report by the Human Security Centre of the UBC Liu Institute for Global Issues; and the creation of the Canadian Consortium on Human Security (CCHS). The Human Security Report provides an annual mapping of the incidence, consequences, causes and policy responses to global violence whereas the CCHS promotes and supports policy dialogue on human security through research, conferences and publications. Both are well known by several stakeholders external to FAC.

⁵ Program outputs database

5.0 Program Efficiency

5.1 Results-Based Planning, Monitoring, Reporting and Management

Our study indicated that the HSP has successfully instituted a set of program and project criteria as well as a Results-Based Management and Accountability Framework to guide project selection and report on results. Problems in defining, monitoring and evaluating results at the project level somewhat weaken the utility of the program monitoring systems.

Planning

Our review indicated that the HSP has established a set of guidelines and procedures to guide the project application and assessment process. Each year priorities and notional funding are established and approved by the Minister. As over 900 projects have been assessed in five years, of which 568 projects were funded, it is evident that the volume of projects leads to a relatively high overhead cost for low dollar value projects, and also makes tracking overall program level results more difficult.

The RMAF framework for the HSP is built on five issue areas and objectives for each. This along with a Research and Communications component forms the basis for reporting results. The characterization of the HSP according to four activity areas conflicts in some ways with the priority areas in the RMAF and causes some confusion in reporting on results achieved versus activities undertaken.

Monitoring and Reporting

A project database has been developed which captures extensive information on all project proposals received and tracks expenditures and some results information for approved projects. The project database provides a good overall system for tracking and reporting on projects. However, results information is inconsistent and consists primarily of counts of outputs. There is insufficient documentation of narrative results and outcomes information. Ensuring that more comprehensive information on results and lessons learned is captured would facilitate using the database for corporate learning and for studying the success of different types of projects. As well it would make it easier to aggregate projects to a cluster, theme or priority area level.

At present, there is very limited documentation of results obtained at the level of themes or issues. Results are reported to some extent in annual memos to the Minister and in Omnibus memos. A more consistent monitoring of overall results at the issue

level - both global results as well as results from the Canadian projects and initiatives - would provide useful information for policy development and evaluation as well as for corporate learning.

Project monitoring is carried out for some of the projects, usually by AGP officers, although staff at some Missions abroad also carry out project monitoring. However, there is no consistent information on monitoring visits in the HSP project database. This also makes it difficult to assess ongoing patterns of performance and results being achieved by projects.

Management

The HSP comprises a \$10 million increase to FAC reference levels from 2001-2 to 2004-5 with the HSP sunsetting March 31, 2005⁶. The HSP is an integral component of the Department's International Security and Cooperation business line, and comes under the ADM Global and Security Policy.

Overarching responsibility for program management is the responsibility of AGP, particularly financial management which has responsibility for the management of all projects. AGP also takes the lead on some HSP projects.

Each year a notional budget is established for the HSP by priority area. The HSP funds are then used to fund individual projects that are put forth by project proponents. Project requests can come from a number of sources including other departmental units, external multilateral organizations and Canadian, international and local NGOs. Project requests undergo a number of steps. They are sent to AGP in the form of an application. A decision to recommend or reject is made by the Project Review Committee. These are then reviewed internally and sent out on a non-objection basis to PRC members, other divisions, missions abroad and government departments as appropriate.

Program design and management as well as project selection are designed to respond to the Results Based Accountability Framework (RMAF).

Although the programming criteria are considered clear and the HSP is easy to access, some clients complained of the length of time to obtain approval of their projects.

⁶ A \$10 million item was included in the Supplementary Estimates for 2000/0 for a total allocation of \$50 million over five years.

This may be due to the \$50,000 delegation limit of the program. Projects larger than \$50,000 must be approved by the Minister.

External non-Canadian clients also find some of the Canadian government financial procedures and controls onerous. For example, the necessity to use a contribution agreement format creates difficulties for large projects, where Canada provides a small percent of the funding. The contribution agreement may require specific reporting requirements that are not suited to the need and capacity of smaller organizations. Recently the HSP has simplified its contribution agreement for UN and international agencies.

External stakeholders from a number of foreign based and/or international organizations receiving funding from the HSP were particularly critical of audit requirements and the level of scrutiny and reporting required for very small contributions.

In sum, management improvements could be made that relate to:

- improved tracking and reporting on project outputs as well as outcomes (especially narrative descriptions of results) in a systematic way;
- aggregation of clusters of projects into program components to facilitate tracking of expenditures, outputs and outcomes against higher level intended outcomes. (e.g. an awareness campaign on human rights in a country may involve a number of linked projects. These should all be linked and the aggregate results reported.)
- establishing a more formal mechanism for tracking annual accomplishments and results related to priority areas, sub priorities, as well as by mechanism or RMAF outcomes;
- in order to better assess outcomes, undertaking more specific evaluations per priority area to assess what has been accomplished, as well as the value of the Canadian contribution; and
- exploring ways to transform the current contribution program into a grants program for some types of recipients (i.e. UN), which entails less onerous reporting requirements.

5.2 Financial Planning, Budgeting and Control Systems

This part of the evaluation was based on a review of written procedures, interviews, a review of over 70 project files, and past project audit reports.

The study found that the sample of completed project files reviewed had financial and end of project reports that covered project outputs. A review of past audit reports indicated good overall controls over project expenditures.

Once approved a contribution agreement is drafted and signed by the proponent and by FAC. Project funding is provided on the basis of advance requests, and submission of financial reporting and supporting documentation. Once complete a final payment is made based on the submission of appropriate financial information on project expenditures and an end of project report.

At the end of each fiscal year and on an add hoc basis, recipients of contributions representing the highest risk to the credibility or performance of the HSP, are recommended to the department's Audit Division for audit. On average 10% of projects in that year are audited. There is no overall monitoring plan, but monitoring reports are prepared after the monitoring visits.

Projects are documented in proposals, contribution agreements, and end of project reports. Aggregate data includes a project database, which captures both descriptive and financial data for each project, by priority and sub-priority area.

Tools to ensure aggregate financial management include:

- the FAC IMS financial system that captures expenditures at the contribution agreement and program level;
- a spreadsheet control that captures all commitments, disbursements and pending disbursements by fiscal year;
- individual project control sheets in hard copy; and
- a program database that is updated continuously. The database includes project descriptions as well as overall project financial commitments and disbursements by year. The database also identifies outputs and outcomes.

5.3 Appropriateness of Resource Allocation and the Adequacy of the Human and Financial Resources

The study confirmed that there is considerable demand for HSP funding. From this perspective the contribution funding is seen by many as inadequate. Although the operational and human resources are adequate to manage the project approval

process, the number of and sometimes small size of projects makes extensive monitoring and follow-up difficult.

In discussing the appropriateness of the funding, it must be recognized that the HSP is meant to be a program to fund innovative concepts, and to be catalytic in promoting Canadian foreign policy initiatives. As it is one of the few funding programs available in FAC, demand is heavy. In addition, there is significant need in the human security area on the part of multilateral institutions. Emerging requirements are in areas such as counter-terrorism (which will be addressed separately in a new program), and in post-conflict peace building in areas such as Iraq, once it stabilizes.

However, given the project size limitations, as well as the terms and conditions of the HSP, and FAC's existing human resources in AGP, greatly increasing the funding would increase the management structures necessary to manage the HSP, unless the HSP was redesigned to allow for much larger projects.

From this perspective, given the high level of demand, an increase in the HSP funding level appears to be justified. However, some increase in the size and structure of the projects, and a relaxation of the stringent requirements of the contribution agreements for multilateral institutions in order to reduce the paper burden would be required.

In addition, as mentioned elsewhere in the report, many of the human security priority issues are long-term endeavors, which can require significant funding to fully implement. Increased linkage and coordination of all of the Canadian programs through the PAC would increase the overall effectiveness of the Canadian initiatives.

5.4 Lessons Learned

Lessons learned that were derived from the evaluation include:

A small, responsive fund such as the HSP can be very effective.

As indicated in the 2003 Formative Evaluation, and this evaluation concurs, a small, responsive fund such as is the case with the HSP can be very effective in supporting Canadian foreign policy initiatives. Conversely, not having a fund available can be an impediment to advocacy work being done by Foreign Affairs Canada.

Bringing about policy change at the global, regional and national levels requires extensive awareness building and advocacy. The HSP has performed well in both advocating for and building awareness of the need for international action.

Downstream coordination with other Canadian government departments is also required to ensure that policy initiatives are in fact implemented.

Bringing about change is a long and complex process that requires an extensive process of awareness creation and advocacy at the global, regional and national levels. This often culminates in the passing of UN resolutions and protocols which will form the basis of international norms and standards. Once this is completed, a regional and country-specific approach must be taken to build awareness of the changing global context and the need for legislation at the country level to address the UN resolution. This has been the case with the International Court, the Responsibility to Protect and the Small Arms and Light Weapons issues among others. In each case the challenge has been to change the international norms and standards and to ensure that UN member countries comply.

A lesson learned is the importance of a program such as the HSP in helping to fund awareness building through seminars, meetings, conferences etc. The HSP also has supported advocacy efforts. And finally the HSP has provided some technical support to national governments seeking to bring their own legislation in line with the new international norms.

The final step in the process is helping governments uphold their newly adopted legislation. In this area, significant funding may be required. This has not been an area that the HSP has been able to fund on a large scale, but it is an area where policy coordination with CIDA is critical.

The HSP funding can be effective in influencing the credibility and direction of human security research and programming.

A second lesson learned is that a fund such as the HSP can be very effective in influencing the credibility and direction of human security research and programming undertaken by others. For example, with limited investments FAC has influenced the yearly publication of *The Small Arms Survey* and the development of international norms and standards for treatment of internally displaced persons.

Measurement of tangible results at the outcome level can be difficult for a responsive fund.

A responsive fund, in which projects can be relatively scattered can create difficulties when it comes to the measurement of tangible results at the outcome level. Therefore a lesson learned is that it is important to structure priorities and criteria that will lead to a critical mass or grouping of projects that in aggregate support a policy initiative.

To demonstrate results it is also important to be able to relate specific project objectives, outputs and outcomes to a programmatic objective and to be able at some level to demonstrate in what way the project has contributed to the broader programmatic objective. For example, a workshop held to sensitize government officials, politicians and civil society to issues surrounding small arms has to inter-relate with other initiatives to produce a result at a country level. It is the inter-relationship of the project to others and how the overall objective has been met, that provides evidence that the project has been successful.

6.0 Conclusion and Recommendations

There were three objectives for this evaluation.

- To determine the extent to which the HSP is consistent with Canada's foreign policy objectives, and is an appropriate tool for meeting departmental objectives related to enhancing people's safety and freedom from violent and non-violent threats.
- To assess the HSP's achievement in meeting its program objectives and short- and medium-term results as outlined in the HSP's Results-Based Management Accountability Framework (RMAF).
- To assess the effectiveness and efficiency of the management approach and program design for achieving the desired results, and to determine lessons learned from the implementation of this program and programs of a similar nature.

HSP consistency with Canada's foreign policy objectives and appropriateness as a foreign policy tool

The evaluation concluded that the HSP has been fully consistent with and supportive of Canada's foreign policy objectives.

The FAC Report on Plans and Priorities specifies that:

Canada's approach to human security is a people-centred approach to foreign policy which recognizes that lasting stability cannot be achieved until people are protected from violent threats to their rights, safety or lives.

The RPP also states that the HSP of Foreign Affairs Canada is one of Canada's proactive mechanisms for addressing international human insecurity.

This was supported by interviews with both internal FAC staff and external project proponents, who also indicated that the HSP funding provides policy leverage for FAC in a number of areas including research studies, advocacy campaign, etc. The availability of funds provides FAC with an input to many critical studies and initiatives globally and at the national level. As a result, FAC has been able to

influence research study design, the development of norms and standards, and the development of global policy on a range of issues.

Overall, the HSP permits Canada to take leading edge positions on human security issues at a relatively low cost. The fact that the fund is flexible, can respond to Canadian foreign policy priorities, and is not restricted to ODA countries and sectors has made it a powerful instrument for promoting Canadian foreign policy interests. The study found that the policy driven initiatives lead to a number of correlated projects (clusters) that are all focused on achieving a common result. The evaluation concluded that responsive projects, which are not necessarily clustered adequately to form a critical mass of projects capable of meaningfully contributing to a national or global outcome, have to be either highly strategic or part of a broader initiative to achieve overall results.

Therefore, the evaluation concluded that the HSP responds to core strategic objectives of FAC and is considered a key departmental program.

Recommendation 1: **If Canada wishes to maintain its global leadership and influence in the area of human security, then the HSP should be renewed and consideration should be given to increasing the level of funding to meet rising demand.**

Management Response and Action Plan

The HSP has been renewed at the same \$10 million per year funding level as per the first five-year phase of the Program.

Recommendation 2: **The HSP should ensure that responsive projects which represent about 45% of disbursements are well coordinated with strategic policy initiatives to achieve overall results.**

Management Response and Action Plan

To ensure a coherent relationship between responsive projects and strategic policy initiatives, AGP has

developed new Terms of Reference for the Project Review Committee (PRC) to ensure that all projects that are approved in the second phase of the Program fall under precise criteria of the HSP. This will ensure greater coordination between policy objectives and targeted results.

Success of the HSP in meeting its Program objectives and short- and medium-term results

Evidence shows that the HSP contributed to the development of both domestic and international capacity in human security through its funding of Canadian and international NGOs and research organisations engaged in human security activities, its deployment of Canadian expertise where needed, and its core support to local institutions and delivering of training workshops and regional and international conferences.

As well, through the HSP, Canada has made a solid contribution to the efforts of multilateral mechanisms involved in human security, particularly the UN, the international courts and the Human Security Network. Much has been done to support advocacy for the creation of new norms and standards and for the implementation of these norms and standards to the national level. The HSP has contributed to both awareness creation and to advocacy to accomplish this both globally as well as nationally.

The majority of program activities contributed in some way to increasing Canada's diplomatic leadership and advocacy in the field of human security. Its concentrated efforts in areas such as Sierra Leone and Colombia have contributed to Canada's reputation as a key player and a credible authority in matters pertaining to human security.

However, the small size and catalytic nature of the projects supported by the HSP, although very effective at stimulating awareness and interest in various human security issues, assumes that others will take over where the HSP stops. While this is true of some initiatives, there is no guarantee that CIDA or other agencies will initiate programming that is complementary to the various HSP projects. In order to ensure that

the HSP results are sustainable, better integration of the program with other key players appears to be needed.

Recommendation 3: Coordination mechanisms and accountability for overall Canadian foreign policy initiatives in human security should be strengthened to ensure greater collaboration and complementarity of the different departments, and non-governmental organizations undertaking human security initiatives.

Management Response and Action Plan

AGP has re-organized along thematic lines to ensure that programming and policy considerations are given great consideration in strategic planning. Thematic ‘cluster groups’ will enhance dialogue with civil society, OGD and other partners in policy formulation and will allow regular updates on implementing organizations and results achieved. Management of the HSP has also encouraged other divisions with human security policy leads to undertake the same strategic planning.

Effectiveness and efficiency of the management approach

The evaluation concluded that the HSP has successfully instituted a set of program and project criteria as well as a Results Based Management and Accountability Framework to guide project selection and to report on results.

In addition, the HSP has instituted a project database that provides good information for tracking all projects received and especially approved projects.

The evaluation concluded that the results of monitoring activity are not routinely tracked or reported in the project database. In addition, the narrative project level and global results of projects and their related initiatives are not systematically reported in the project database or through an annual reporting process. This makes corporate learning more difficult.

Recommendation 4: The HSP should ensure that monitoring activity and narrative reporting on project results is incorporated into the project database.

Management Response and Action Plan

HSP management is conducting a review of the database to ensure that more data is captured, to allow for improved overall reporting/evaluation. Reports on monitoring activity, narratives and financial reports can be quite lengthy, however, so management is considering how to best capture this information in the most efficient manner (by including the executive summaries in the database but leaving the complete version for the paper file, for example)

Recommendation 5: The HSP should track global results indicators at the priority and sub-priority levels.

Management Response and Action Plan

HSP management is consulting with SIE, SMPA and Treasury Board to tighten up the Results-based Management and Accountability Framework (RMAF) and Risk-based Audit Framework (RBAF) plus engaging systematically with our partner divisions at FAC to develop logic models to improve both the initial formulation and ultimate tracking of global results indicators. In addition, management of the HSP reduced the number of sub-priorities from 22 to 13 for phase two.

A weakness in the HSP application of RBM results from the large number of small projects, which, although they fit into the overall program framework, create difficulties in measuring specific policy-related outcomes.

Many of the results indicators are at a general level, and do not relate to specific or country-specific initiatives. The study concluded that to make the measurement of results more meaningful, a more programmatic approach should be adopted which fits projects into a set of clearer policy related objectives. Results measurement should be

at the higher level, and should be related to the overall policy initiative as well as the Canadian input.

Recommendation 6: A more programmatic approach should be taken to planning and measuring results. This would mean setting objectives at the priority and sub-priority levels and measuring results attained at that level.

Management Response and Action Plan

Management of the HSP has prepared a new RMAF and RBAF to ensure clear identification of policy priorities, a detailed action plan to deliver on these priorities, and precise performance indicators to evaluate results achieved. AGP has been working with SIE, SMPA and Treasury Board on the preparation of these Frameworks.

Recommendation 7: FAC should evaluate global results achieved for issues in which it is investing project money as well as results achieved by the Canadian funded project.

Management Response and Action Plan

As detailed in the management response to recommendation 5 above, HSP management is focussing on tightening up the RMAF and RBAF plus engaging systematically with our partner divisions at FAC to improve the tracking of global results. We are also encouraging a higher minimum dollar amount per project and have reduced the number of sub-priorities from 22 to 13 for phase two to decrease the number of projects; this will in turn increase the availability of program staff to ensure a consistent follow up with project partners.