



COMMISSION OF THE EUROPEAN COMMUNITIES

Brussels, 30.04.1996  
COM(96) 153 final

COMMUNICATION FROM THE COMMISSION  
TO THE COUNCIL AND THE EUROPEAN PARLIAMENT

on

LINKING RELIEF, REHABILITATION AND  
DEVELOPMENT (LRRD)

Communication from the Commission  
to the Council and the European Parliament  
on  
Linking Relief, Rehabilitation and Development (LRRD)

**BACKGROUND, CONCLUSIONS AND RECOMMENDATIONS**

**(i) Background**

Over the last year, important decisions on long-term development cooperation relationships were taken : negotiations on the Lomé IV mid-term review were concluded and the Agreement amending the Fourth ACP-EC Convention of Lomé was signed in Mauritius on 4 November 1995; negotiations commenced with South Africa towards the establishment of a framework for long-term cooperation; a new EU-Mediterranean policy was decided; periodic conferences with Central American (San José) and Latin American countries (Rio groupe) took place and new framework agreements with Asian countries were negotiated (Vietnam), or are under preparation (Cambodia, Laos).

At the same time, a series of legal bases/draft regulations have been proposed, regarding a number of instruments ranging from short-term relief and rehabilitation to longer-term development.

This reconfirmation of the comprehensive "toolbox" of different instruments available for our relations with developing countries over the coming years, requires that they are not dealt with in isolation but that a coordinated approach to their management is adopted in order to strengthen linkages between them, thereby improving their complementarity and ensuring their global coherence in the most efficient way and with a view to achieve the greatest impact.

At a time when aid efficiency is the keyword, such efficiency should not only be considered separately within the fields of relief, rehabilitation and development aid, but attention must also be given to strengthening linkages between these fields of action.

Furthermore, aid is increasingly subject to policy and institutional conditionality and it is an appropriate moment for the donor community to reflect upon the way in which their own internal policies and institutional set-ups could be rendered more efficient and effective.

This communication is the outcome of an extensive internal and external consultation process:

- an interservice working group of the Commission, consisting of representatives of the different Directorates General for External Relations and ECHO, prepared a discussion document on "Linking Relief, Rehabilitation and Development (LRRD)";

- the document was discussed in a workshop with experts in this matter (invited in their personal capacity) from Member States, USAID, UN agencies, NGOs and academic institutions;

- it was subsequently discussed in the quarterly meeting of ECHO and the Heads of

Humanitarian Relief Services of the Member States and in the half-yearly meeting of the Commission and the Directors General for Development of the Member States in November 1995;

the document was discussed in a seminar with 20 experts of NGOs with experience in relief, rehabilitation and development issues, organised in February 1996 by the Commission, the NGO-Liaison Committee and VOICE;

finally, as proposed by the Directors General for Development from the Member States, the Commission has organised a meeting with relief and development experts of the Member States on 28 February 1996, on the basis of the discussion document and replies of Member States to the questionnaire prepared by the Commission on LRRD bilateral policies (see annex for a summary of these replies)

The communication takes account of the different remarks made during this consultation exercise. The global conclusion of the different discussions is that they were very useful, because a formulation of a coherent policy on the LRRD-issue is very timely, and that although general agreement exists on the policy approach and the concept of the linkage problem, there is also agreement on the fact that it is a difficult task to implement in practice.

Participants in the different meetings, while agreeing on the policy approach and proposals made in the document, considered that they could also be applied, if necessary in adapted form, in their own organisations (either bilateral, multilateral or non-governmental).

Since a certain number of Member States are currently in different stages of formulating documents on policies and procedures regarding linkages between relief, rehabilitation and development (see annex), it was agreed in the meeting with the experts of the Member States that these documents would be exchanged between the members of the Union, an exercise for which the Commission offered its services.

## **(ii) The Relief-Rehabilitation-Development (RRD) Continuum<sup>1</sup>**

The role of relief assistance<sup>2</sup> is to provide urgent short term humanitarian assistance to save and preserve lives of people facing serious difficulties resulting from natural or manmade

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<sup>1</sup> It has been suggested that the term "contiguum" would be more appropriate, reflecting the fact that operations in relief, rehabilitation and development may all be ongoing simultaneously within any given country .

<sup>2</sup> "Relief assistance" and/or "humanitarian aid" are used interchangeably in the text. The scope of humanitarian aid is defined in the Proposal for a Council Regulation concerning Humanitarian Aid as follows: "The Community's humanitarian aid shall comprise assistance, relief and protection operations on a non-discriminatory basis to help people in third countries, particularly the most vulnerable among them, and as a priority those in developing countries, victims of natural disasters, man-made crises, such as wars and outbreaks of fighting, or exceptional situations or circumstances comparable to natural or man-made disasters. It shall do so for the time needed to meet the humanitarian requirements resulting from these different situations. Such aid shall also comprise operations to prepare for risks or prevent disasters or comparable exceptional circumstances".

disasters. Rehabilitation programmes are seen as progressively taking over from relief assistance to stabilise the economic and social situation and facilitate the transition towards a medium and long term development strategy.

The basic justification for linking relief, rehabilitation and development is simple and sensible: disasters are costly in both human life and resources; they disrupt economic and social development; they require long periods of rehabilitation; they lead to separate bureaucratic structures and procedures which duplicate development institutions. At the same time, however, development policy too often ignores the risks of drought and other shocks and the need to protect vulnerable households by helping them to develop "coping strategies". If relief and development can be linked, these deficiencies could be reduced. **Better "development" can reduce the need for emergency relief; better "relief" can contribute to development; and better "rehabilitation" can ease the transition between the two.**

This simple model however, fails to deal with the realities of many current emergency situations. Most are not due to natural disasters, but are the result of the interaction of political, economic and social instability, frequently stemming from bad governance, failed economic policies and inappropriate development programmes which have exacerbated ethnic or religious differences. The assumption inherent in this model is that the path of short term relief leading via rehabilitation to long term development, underestimates the chronic nature of many disaster situations.

Even when there is no overt conflict, the combined effects of bad governance, failed economic policies, abuses of human rights and the democratic process may lead to the suspension of long term development aid, resulting in an acceleration of economic and social disintegration.

"Complex emergencies" or chronic crises involving armed conflict represent the most difficult context in which to develop a coordinated approach to RRD. Disaster prevention and preparedness measures are difficult to apply, and increasing prominence needs to be given to conflict prevention, through early and coordinated intervention at both political and developmental levels with the ultimate goal to reach a situation of "structural stability" i.e. a situation involving sustainable economic development, democracy and respect for human rights, viable political structures, healthy social and environmental conditions, with the capacity to manage change without resort to violent conflict.

It is important to introduce gender analysis into the RRD response, so as to avoid further marginalisation of disadvantaged groups. A gender approach helps to identify women and men's differing vulnerabilities to crises as well as their different (and ever-changing) capacities and coping strategies. Vulnerability is a key concept, and may be determined by membership of a particular ethnic or social group.

The regional dimension also requires specific attention. Crises may spread beyond the borders of the country concerned, threatening the socio-economic and political stability of neighbouring countries and the entire region. This will require specific action in favour of neighbouring countries, and at the regional level to support any regional initiatives to address crisis situations through political interventions.

Two other issues need to be considered. The first is the institutional separation of relief and development which exists within most donor organisations. Different criteria and procedures are applied to sustainability, funding and implementation arrangements. The international response to chronic crises in particular may risk reflecting the organisational and political priorities of implementing agencies, rather than the needs of war affected populations and the vulnerability of those threatened by war.

The second issue is financial. Over the period 1988 to 1993, relief expenditure by OECD member states rose from US\$ 500 mio to US\$ 3,500 mio per year, at a time when overall aid programmes are tending to stagnate or even decline. In the Community aid programme, emergency and distress relief amounted to 764 MECU in 1994 and represented in that year 18.8% of total Community aid.

For all the above reasons, it is timely that we should reconsider our approach to linking relief, rehabilitation and development and examine ways in which their impact and effectiveness can be improved.

### **(iii) General conclusions**

The analysis of the LRRD problem makes clear that the approach to the economic, political and social development of developing countries should be more holistic than is the case until now. This is especially important for countries which are prone to the risks/tensions of political, economic and/or natural disasters.

At all phases of their development - not only when a crisis is imminent - there is a need for a strategic planning policy which comprises political, developmental, social, and technical aspects. This global policy framework should define :

- the way in which conflict prevention as a means of managing the inevitable strains resulting from social, political and economic change can be incorporated into development operations : "peacebuilding" must be an intrinsic element of development cooperation strategies;
- the way in which disaster prevention and vulnerability analyses should be taken into account in development planning and operations;
- the way in which, once an emergency situation has erupted (either natural or man-made), relief actions should, apart from their primary objective of saving the lives of victims, take account of the longer term objectives of reconstruction and development;
- the way in which, for countries in a post-emergency phase, rehabilitation actions should be undertaken so as to ensure the most effective transition from emergency assistance to long term development.

The "backward" and "forward" linkages between political, development, relief and rehabilitation operations constitute a complex network of relationships, which has to be examined within the global policy framework or strategic planning policy, which is a dynamic function of the specific situation of each country or region. In other words, the components

of the RRD-linkage and their design are highly situation specific and should be considered in the light of the "hic et nunc" realities of the country or region concerned.

This means also that the structure of the document should be seen in this light, in a holistic way. The fact that it starts with relief, followed by rehabilitation, subsequently by development, including a political approach to the aim of structural stability, does not mean that the so-called RRD-continuum is to be considered in this linear manner. As indicated before, reality is more complicated and requires a multi-faceted approach, based on the real situation of each country or region under consideration.

If GLOBAL STRATEGIC PLANNING POLICY is the first keyword in the recommendations made in this document, the second one is : COORDINATION. Also institutionally a holistic approach is required : coordination between donors, as well as internal coordination between services is a prerequisite for efficient policy and action, but can only operate successfully in the framework of this overall strategic plan of action.

In addition TIMING is of the essence and procedures should be adapted, where necessary, to the requirements of appropriate timing and a smooth handover and articulation between the different aid approaches. Indeed the existence of rapid decision procedures is necessary at all stages of the relief, rehabilitation, development continuum if momentum is to be maintained both on the donor and the beneficiary side. In many cases a loss of momentum at a critical stage can plunge a country back into crisis, resulting in even higher donor spending in the future. Procedures must be flexible enough to prevent this happening.

#### (iv) Recommendations

- Global policy frameworks should be prepared for each country and region, with the overall aim of achieving in due time "structural stability" and based upon a detailed analysis of risk and vulnerability. These frameworks should draw together economic, social, (including gender,) and political (democratisation, human rights and the rule of law) factors in development and define more clearly linkages between relief, rehabilitation and development. As a first step, a pilot exercise should be undertaken for a representative sample of countries, which are particularly prone to the risk/tensions of political, economic and/or natural disasters.
- Conflict prevention, by which is meant the broad range of policies to anticipate and react towards the social, economic and political factors which could result in a breakdown of society. This concept should be considered within the broader sense of "peacebuilding" and be treated as an intrinsic element of these global policy frameworks.
- Political analysis capacity must be enhanced, in order to focus on structural root causes of conflict, identify potential trouble spots and translate analysis into timely political actions at the level of the Union. Political reports of EC delegates, based on coordination with EU Member States' representatives on the spot, are key contributions to this analysis and should be adapted to the new requirements.

- Intensified political cooperation and development coordination with Member States and other donors, at HQ and field level is an essential element of the above process.
- Internal coordination will be enhanced by the creation of country Task Forces, at HQ and field levels, consisting of officials from departments dealing with relief, rehabilitation, development and political relations.
- Country specific relief impact analyses will be undertaken in situations where humanitarian assistance is likely to be required beyond the immediate short term, in order to take account of longer term objectives so that humanitarian aid becomes as effective as possible. Training in such analyses will be undertaken.
- Rehabilitation planning strategies in post-emergency situations must be developed, including assessments of the causes of crises, evaluation of constraints and structural weaknesses highlighted during the emergency phase - specific tools for situation analyses have to be further elaborated. This must be accompanied by the application of appropriate rules and procedures allowing rapid and flexible response to ensure effective bridging with relief assistance.
- Disaster preparedness programmes should be given increased prominence within longer term development programmes and policies.
- Macroeconomic planning and economic reform programmes should include considerations of risk and vulnerability to natural and manmade disasters during their design and implementation. For the Community, this also means that risk and vulnerability should be taken into account in programming of Community assistance.
- Sectoral policies and programmes must also build in risk and vulnerability as key factors in design and implementation.

## LINKING RELIEF, REHABILITATION AND DEVELOPMENT (LRRD)

### 1. HOW CAN RELIEF ACTIONS TAKE BETTER ACCOUNT OF DEVELOPMENT REQUIREMENTS/OBJECTIVES : DEVELOPMENT ASPECTS OF EMERGENCY OPERATIONS.

#### 1.1 Introduction

The explicit aim of humanitarian aid is to save and preserve the lives of victims of emergency situations. Agencies involved in relief are obliged on humanitarian grounds as well as by their mandates and public opinion and the media to save lives irrespective of the lack of preventive actions, the poor state of preparedness against natural disasters or prevailing social, economic and political conditions in the crisis areas. Since the humanitarian aid of the Commission is non-political and often demand-driven, it is difficult to define very specific goals for its operations beyond saving lives.

Although in such situations, the long-term perspective must come second to saving life, it is nevertheless extremely important to keep sight of the longer-term view. Indeed, the short-term and long-term perspectives in relief operations can sometimes be **conflictive**: what makes good sense in terms of saving lives may conversely make longer-term solutions harder to attain.

For example, in certain major refugee crises it is expedient to set up **large refugee camps**. Logistically this may be the only way for foreign relief agencies to quickly feed and shelter the large numbers of people at risk. Once the camps are established (almost by default), they may attract more people than intended (the pull-factor), they may discourage refugees from going home, give rise to epidemics and internal security problems and can very often destroy the local environment and alienate the local population. All these elements have been experienced in the huge refugee camps outside the borders of Rwanda.

Another example of the conflict between short-term and long-term consideration in humanitarian actions concerns **working closely with local administrative systems and local NGOs**. In major crisis situations, the local structures are often destroyed or totally overwhelmed, and the international relief agencies set up their own systems to procure and distribute humanitarian aid. When relief agencies leave, an administrative vacuum may arise which can make rehabilitation very difficult and which can even affect political stability (e.g. in Somalia). It is obviously a challenge - and a very difficult one - for all relief actions to try to involve local institutions (official, NGOs or community based structures) in planning and implementation so that they are ready to take responsibility when the international attention is gone.

There are two main ways to deal with the conflict between the short-term and long-term perspectives:

- (a) improved awareness of the impact (short and long term) of humanitarian actions, on the part of humanitarian actors (local and foreign);
- (b) **organisational coordination** (links between humanitarian-development aid



branches, headquarters-field, donor-implementing agencies, donor-donor, links between international and local structures, etc).

## 1.2 The Ideal Relief Model

The basic elements of the ideal relief model are the following:

- (1) Relief should not undermine development (all relief operations, even the most urgent ones, should be carefully planned to protect development assets, e.g. tools, seeds and livestock).
- (2) The basic principles normally applied in development projects should be applied to relief:
  - Relief should be integrated into existing government structures or (if these are absent or party to the conflict) into independent local NGO operations and/or beneficiaries' own representative structures, thereby ensuring the participation of the beneficiaries of aid.
  - Relief should be flexible in such a way that relief items and distribution systems match local culture and society.
  - Relief should pay special attention to the gender dimension by taking into account the division of labour between men and women which is likely to be even more important under emergency situations.
  - Relief should be predictable and should not be terminated in an abrupt or premature manner.
- (3) Relief should be immediately followed up by and where possible implemented in parallel with rehabilitation and reconstruction programmes in order to ensure a smooth "continuum" on the way back to a long term development process.

Against this conceptual model, the actual programmes of relief agencies are often criticised as being mediatic, short-term and short-lived, top-heavy, centralized, standardized, resource-intensive, donor-dependent and neglecting local administrative structures and social mores.

Although relief agencies may be well aware of these criticisms, they may have difficulties in addressing them all because of the framework in which they work: lives must be saved, time is short, highly specialized partners are implementing actions, the mandates for follow-up actions belong to development agencies or departments whose procedures and resources are not always suitable for ensuring a smooth transition from relief to development.

## 1.3 Natural Emergencies

**Pure natural disasters** are less common than generally thought. In Third World countries man-made factors exacerbate "natural catastrophes", e.g. droughts are often combined with civil wars (Horn of Africa). Even in a "regular" drought situation, the real cause of the hardships suffered by victims in affected areas can be existing structural problems and abject poverty. In such crises the whole socio-economic and political structure of a country needs an overhaul. The lack of rain is often simply the straw that breaks the camel's back.

A key factor which is important to keep in mind in dealing with long-term relief following **droughts**, is local purchases of food. It is extremely important to monitor the impact of aid on the local food price mechanisms to avoid distortions which could affect future production. The use of local markets and institutions in food aid distribution must also be examined. At the on-set of each crisis, and in parallel with any relief operation, efforts must be made by relief donors to ensure protection and/or supplies of development assets such as livestock, seeds and tools.

**Limited natural disasters** such as floods, earthquakes and tropical storms often put exceptional demands on donors and relief agencies to provide relief very quickly. When the crisis strikes it is too late to build up a management capacity within local government structures. The answer to this is **preparedness programmes** in order to test local government structures, identify relief supplies and stock-piles (local or international). Officials and local representatives should be trained to handle a major disaster and to cooperate with foreign agencies, if necessary.

The value of preparedness programmes is accepted, but donor support towards these programmes is still limited. 5 MECU was made available in 1995 by the Community budget for these purposes. This should, however, be regarded as "seed money" to stimulate disaster prone countries to give greater attention to this approach in their long term development programmes and policies. Many "development" programmes funded by the Commission have disaster prevention, mitigation or preparedness as implicit objectives.

#### 1.4 Man-Made Emergencies

Man-made emergencies are used here to describe emergencies which involve violent conflict. However, it must be made clear that many so-called "civil wars" and "ethnic conflicts" have also been given a misleading label as is the case for "droughts". The underlying causes for these crises are often **structural economic and social problems**. In many cases local political and economic conditions do not give much hope for reform in the immediate future. We have many examples of this type of situation in Africa, Central Asia and in the Caucasus. Humanitarian aid can address the symptoms when severe conflicts break out, but does not have the means to address the root causes. Neither humanitarian nor development resources suffice for a global long-term mitigation of abject poverty in the foreseeable future. A global response is required including, in particular, appropriate policy reforms by the Governments concerned.

However, if humanitarian aid can in some situations defuse an explosive situation, this in itself may pave the way for development agencies to help and/or for the local authorities to assume responsibility for reform and development. Relief supplies may **reduce tensions**, when they can ease competition between population groups in search of scarce primary necessities. One such example is the rehabilitation of Sarajevo's water supplies, which has helped to reduce tension between different sections of the city.

Even where an uneasy peace is established, some problems remain, most notably that of **landmines**, the elimination of which remains a top priority for action by the international community.

Another difficulty which must also be kept in mind is the **increasing politicisation** of humanitarian aid. In structural crises, humanitarian aid can easily be seen as supporting rulers whose shortcomings in terms of providing for their people would otherwise be exposed. Care must be taken to associate relief in these cases with other types of support attacking the root causes of the structural crises, including "democratic deficits".

In open conflict situations humanitarian aid can be interpreted, not only as saving and preserving lives, but also as "**meddling**" in the conflict itself. Humanitarian aid may fall into the hands of warring parties. This means that humanitarian relief can be often regarded by one party as supplying their enemies. Consequently, humanitarian agencies become unwanted and their local distribution could be subject to violent attacks. In some cases, local warlords have seized humanitarian aid supplies, either to prevent it falling into enemy hands or simply to supply their own soldiers (e.g. Ex-Yugoslavia and the Horn of Africa). This situation raises important questions about the possible need for military protection of victims and humanitarian aid workers in certain situations.

### 1.5 Country-Specific Impact Analysis

A solid long-term perspective of relief operations can only be assured if a clear impact analysis is made before relief actions are implemented (especially in case of chronic crises). Such **country-specific impact analyses** in man-made and natural crises consist of several elements beyond the traditional, and still the most important, short-term objective of saving and preserving lives:

- (a) The role that relief can play in quickly covering basic human needs, e.g. food, health, shelter and education, which in itself may reduce tensions and promote a climate of conciliation. How beneficiaries could play a more participatory and active role? How effective humanitarian aid could be not only in covering basic needs but improving, for instance, nutrition levels? This political analysis includes an examination of whether relief affects or is affected by the local security situation.
- (b) Does humanitarian aid affect population movements? e.g. do we for the sake of logistical expediency establish camps and other centres which are disastrous for long-term settlement and development ("pull-factor" into refugee camps in Afghanistan)?
- (c) What is the social impact of humanitarian aid? e.g. does humanitarian aid have a negative long-term effect against certain ethnic groups, age groups or a particular gender and how does humanitarian aid inter-relate with other demographic factors? How does humanitarian aid influence the division of labour between men and women and specifically women's responsibility for productive labour, which is likely to intensify under emergency situations? The central role of women must be recognised and women must be reasserted in the decision-making process, planning, management and distribution of relief assistance as the best way of ensuring that relief reaches the most vulnerable.
- (d) What is the short-term and long-term economic impact of humanitarian aid? e.g. an analysis of how relief affects local markets, price mechanisms and supplies is always important.
- (e) Environmental consequences is now regarded as an essential element in any impact analysis. Environmental destruction has already had severe consequences for the host population in and around many refugee camps (e.g. around Rwanda). Could we finance and promote the use of

alternative sources of energy in a more environmental friendly manner thereby avoiding tree-cutting ?

- (f) The impact analysis should always include a section on how relief affects local administrative structures. Future reduction of vulnerability and shock absorption capacity depends on strong permanent local structures. Local government structures and local NGOs and community groups have their complementary roles to play as long as this does not endanger humanitarian aid principles of impartiality and neutrality. If local government is absent, local NGOs could be engaged. If local NGOs lack experience and capacity they can work with, and at the same time receive training from international NGOs in order to improve their capacities in the long term. Obviously, the international NGOs must be encouraged to accept greater responsibility for local partners. At the same time, care must be taken that levels of pay offered by NGOs do not become disproportionately high compared to local administrations, thereby leading to an exodus of staff from the latter.
- (g) In general the impact analysis must always ascertain that implementing partners have clear ideas of how to follow-up relief operations. Relief agencies should feel responsible for long-term consequences of their actions and for ensuring a smooth transition to the post relief - operations even if it involves other agencies or organisations.

Once an impact analysis with these and other elements has been carried out (within the time and the resources available), account can be taken of longer term objectives in the planning and implementation of each relief operation. This in turn will help relief donors, implementing agencies and field workers to keep the long-term perspective in mind from the start of each "relief operation".

Once the routine of solid impact analyses are available, the Commission will be in much better position to work out a "Relief Code of Good Practices" aimed at improving all aspects of relief work.

## 1.6 Organisational Aspects

However, a detailed impact analysis and the formulation of clear goals can not be done in isolation. The organisations involved and their staff must be equipped to carry out these tasks.

First of all, relief and development staff need **guidance and training** so that long-term consequences of relief for development becomes a natural reflex in preparation of all relief actions.

When dealing with crises-ridden countries, in countries with severe structural imbalances, in countries which are prone to ethnic problems and in countries often affected by natural disasters, the Commission is in the process of creating **Task Forces** as a flexible coordination structure, composed of officials dealing with humanitarian aid and with longer-term programmes. Planning of relief, rehabilitation, reconstruction and development programmes should be considered by the Task Force, and its members should be informed of individual actions in this context before they are submitted for decision. Follow-up links must be recorded in an accessible form and discussed at regular intervals. Regarding assistance to refugees, internally displaced persons and returnees in third countries, the Commission has already set up a permanent internal coordination structure.

In a more general way the Commission, in its meeting of 20 September 1995 has asked its services responsible for different instruments in the external relations field to carry on the efforts already made in the area of coordination in order to ensure maximum coherence between actions financed from different budget lines.

To ensure good coordination, not only between Commission services, but also with implementing partners, relevant NGOs and UN agencies responsible for relief and/or rehabilitation and development should be invited to take active part in specially arranged **open meetings of the Task Force**. The strategy adopted for Liberia is an example of this. Regular weekly meetings of the DG VIII and ECHO staff dealing with Liberia were complemented by quarterly meetings between the Commission and its main NGO and UN partners.

Another vital element to improve in the existing organisational structure is coordination with and in the field. In crisis-ridden or crisis-prone countries EC Delegation staff should convene regular coordination meetings with ECHO coordinators and local representatives and implementing partners.

**Global coordination** of all international relief, rehabilitation and reconstruction efforts at field level is of utmost importance. If the United Nations Department of Humanitarian Affairs (DHA) or other UN bodies have set up effective coordination structures at field level, the Commission and other donors must make every effort to take part and support such structures. Within this global coordination framework, coordination between Commission and Member States will take place as normal, in the light of Council resolution of 2 December 1993 on procedures for coordination between the Community and its Member States. In this case the main role of a Field Task Force would be to keep regular contact with the Brussels Task Force and vice-versa to ensure that all plans, initiatives and actions within the field of relief, rehabilitation and development are properly linked.

On the other hand, if in a given crisis situation there is no appropriate global coordination in place (between actors involved in relief, rehabilitation and reconstruction), the Commission will have to coordinate the activities funded by the Community. This should be done by the Field Task Force in an open-ended manner together, to the largest extent possible, with interested EU Member States, other donors, UN and other relief agencies, NGOs and local structures. The EC Aid Coordination office in Monrovia is a good example of a "one stop shop" for aid to the victims of the crisis in Liberia.

Finally, the Task Force in Brussels should take steps in a similar way to ensure proper coordination of all plans and initiatives with other donors, especially the relevant EU Member States.

**This proposal for the setting up of task forces does not apply only to countries in which crises have erupted but also to disaster prone countries throughout the RRD continuum.**

## **2. REHABILITATION - POST CRISIS ASSISTANCE**

Rehabilitation may be defined as an overall, dynamic and intermediate strategy of institutional reform and reinforcement, of reconstruction and improvement of infrastructure and services, supporting the initiatives and actions of the populations concerned, in the political, economic and social domains, and aimed towards the resumption of sustainable development. People - both victims and participants in violent conflicts - must be reintegrated into civil society, in its economic, social and political aspects. In other words, the human dimension is an essential feature of rehabilitation. At this stage it is most feasible to ensure integration of the gender dimension. Attention should also be paid here to the changed roles and circumstances of men and women, and the need to address such issues if social integration is to take place.

Rehabilitation can also play an important role in those countries on a path towards peace but still suffering sporadic conflict. Rehabilitation can build upon stable zones and aim to extend areas of peace.

### **2.1 Rebuilding of Civil Society**

The reconstruction phase of a country which has undergone a period of conflict must necessarily include the reestablishment of the rule of law and civil society. One of the key elements is the rapid installation of a government and administration able to inspire public confidence and trust and to reestablish economic activities, health and education systems etc.

Such an administration must be regarded by its citizens as serving all groups, in order to allay the inevitable tensions which will continue to exist during such a period. From the outset, it is therefore essential that these aspects are not under-estimated, as they will have a determining influence on the reconstruction of the country itself.

On the basis of these preconditions, reconstruction efforts should be built around the following axes:

#### **2.1.1 Reconstruction and functioning of the rule of law**

Particular attention should be given to certain guiding principles on which the rule of law should be built, that is, the separation of powers; respect for the rules of good management of public affairs with a view to legality and transparency; the establishment of institutional mechanisms accepted by the main actors, including the importance of clear laws and of institutions which are accessible to the public, and respect for universally recognised human rights, specifically including recognition of the rights of minority groups. It may be that the laws which were in force prior to the conflict can be utilised, provided they are reestablished within a framework of national consensus.

On the basis of the particular situation in each country, priorities should be established concerning the specific actions to be put in place. Amongst these, particular importance should be given to the effective and independent administration of justice (c.f. actions in favour of Rwanda). This aspect is fundamental to the reestablishment of public confidence and to allow them to rebuild their lives in an environment where they do not feel under threat.

### **2.1.2 Development of Political Dialogue and Public Participation**

As a basic prerequisite of democracy, the development of political dialogue should not await the arrival of better times before being put in place. From the very beginning, particular attention must be given to allow various groups and minorities to express themselves.

Questions such as freedom of association, or the encouragement of political parties should be included in the political agenda as quickly as possible in order that the new administration possesses the necessary transparency. Political dialogue and public participation can only be achieved if civil and human rights are guaranteed, including the opportunity for both men and women to participate on equal terms.

At the same time, it is necessary to carry out actions aimed at effective public participation in the exercise of power, through elections e.g. Mozambique, South Africa, as well as economic participation in the costs and benefits of development. In this context, actions in the field of freedom of expression and independence of the media allowing unbiased and informative reporting are essential to allow the forging of public opinion and may have positive repercussions in reducing any continuing tensions. In addition, it will be useful to undertake actions in the areas of training, civic education, support to associations, decentralised cooperation etc.

All the actions described above clearly apply not only in the context of rebuilding of the civil society, but also in all situations of transition towards democracy, even when not preceded by a period of armed conflict. The actions may also extend beyond the period of reconstruction itself and be incorporated into longer term development plans. Such actions are essential if external assistance is to have a sustainable impact in the long term.

Community actions in these areas can only play a catalytic role in assisting governments to start the ball rolling. It will however, be up to the latter to internalise the process. These issues should therefore be the subject of dialogue set up with each government when rehabilitation and development actions are being planned, and must be taken into account in the global policy framework.

One section of the public which may require particular attention in post conflict situations are the ex-combatants. Their demobilisation and reintegration into civilian life may be particularly difficult in countries which have suffered long periods of civil war, and where it may take some time to achieve demilitarisation and a removal of the "culture of killing". Ex-combatant reintegration schemes should preferably take place in parallel with programmes to resettle returnees and refugees, in order to remove any impression that the fact of having carried arms gives any right to priority treatment. Schemes to encourage ex-combatants to give up their weapons have not generally been very successful, and it may be preferable to concentrate on creating conditions under which weapons are not used even though they remain in private hands. Particular attention may be required where the ex-combatants are women and/or children.

### **2.1.3 The particular case of anti-personnel mines**

Responsible for the daily loss of human life, anti-personnel mines constitute a serious hindrance to the development of the regions affected: they are an obstacle to the repatriation

of refugees and displaced persons, to the utilisation of arable land and to the functioning of infrastructure.

Demining, even if it is often considered as a rehabilitation activity, may also well have a humanitarian character or be a component of a long term development process.

Furthermore, demining is a political priority for the European Union, as witnessed by the common action recently adopted within the CFSP framework.

In view of the magnitude of the problem, it would seem particularly important to aim at a more global coordinated approach and the continuity of the different interventions, in particular in countries where humanitarian, rehabilitation and development activities coexist.

The existence of rules and procedures ensuring the necessary rapidity and flexibility of the interventions, whilst facilitating the development of local capacities and guaranteeing a longer term donor commitment, should go hand in hand with efforts to increase coordination and complementarity.

## **2.2 How can rehabilitation form a bridge between relief and development**

In order that rehabilitation can contribute towards the continuity of the transition from the emergence from serious crisis to the resumption of development, certain essential elements of the "continuum" must be in place at the time of the transition period, in particular the existence of a minimum level of security, and the commencement of a transition process which respects democratic values and fundamental freedoms. It is necessary, however, to insist on three principles:

- rehabilitation should be implemented in a way which is determined by the situation of each country concerned (duration, priorities, gender issues)
- rehabilitation should be of a transitional nature, and in principle of limited duration, although specific situations may require interventions of longer term;
- rehabilitation should not simply aim for a return to the previous situation but should prepare, not necessarily in a linear way for the resumption of sustainable development in a better way than before and taking account of the lessons learned from the crisis.

Wherever possible, rehabilitation should build upon the achievements of humanitarian assistance by (i) avoiding a significant deterioration in services and infrastructure to which populations have had access during the crisis period and (ii) by conserving and improving local expertise utilised or created during the crisis period.

Rehabilitation should, however, aim at the same time to reduce any perverse effects of humanitarian aid by (i) progressively removing the economic substitution role of humanitarian aid, (ii) removing as soon as possible the system of free distribution of goods and services in favour of a system of paying at minimum costs, particularly for those which can be produced locally and (iii) supporting actions in favour of vulnerable groups (demobilised soldiers, orphans, female heads of family, the handicapped) with the aim of reinserting them into economic and social life. In this light rehabilitation should also take into account the



psychological effects of exposure to violence, in particular on children.

In designing rehabilitation programmes, four factors should be borne in mind to maximise their contribution to the transition process:

(i) "leverage effect"

- Choose actions which are balanced geographically and sectorally, taking account of changes which have taken place during the crises (displacement of population etc).
- Reorient, complete and accelerate through rehabilitation actions, the implementation of development programmes already underway in the basic and productive sectors.
- Give priority, in those areas which lend themselves to it, to methods which maximise the involvement of the local population (microprojects, food for work), and make use of small scale credit for the private sector.
- Put in place appropriate technical assistance both at the level of projects and programmes and at the general level (priority sectors, overall management). This support is especially required for the management of programmes by beneficiary government and NGO structures.

(ii) "critical mass"

- Make available, in a timely way through donor coordination financial resources, taking into account macro-economic forecasts.
- Implement accelerated and flexible procedures to limit the period of "intensive" rehabilitation during which certain benchmarks should be attained.
- Decide, on the basis of the situation in each country, the priority sectors, bearing in mind that institutional strengthening, reconstruction and rehabilitation of infrastructure, and the supply of essential goods and services for the rehabilitation period are those linked to production, notably agriculture, and health/sanitation, primary education, access to land, demining and demobilisation.

(iii) "continuity of partners"

- more support for the longer term operations of international and local NGO's which were present at the time of the humanitarian crisis, by associating those which are able to do so with the programming of rehabilitation funds, in the basic sectors, and by insisting during implementation on an approach emphasising viability of actions in the medium term and use of local structures.
- support basic community groups which have survived the crisis (village associations, women's groups, producer groups, local administrations).
- support the restructuring of administration in the priority sectors necessary for the planning and management of rehabilitation and long term development programmes.
- support for restructuring of administrations by concentrating actions on those sectors able to support the process of return to peace and those able to give to the State the minimal means of action, notably at the macro-economic and public finance levels.

(iv) "a phased approach"

- programme and finance actions on the basis of sectoral or geographic "channels" e.g. from supply of medicines under emergency aid to the reorganisation of essential medical supplies, redeployment of human resources and rehabilitation of health centres during rehabilitation; integration and development of these centres within the health pyramid when development aid recommences.
- give priority to social viability (assimilation) and seek, in the first instance, micro-economic viability.
- consider, during the various phases of aid programming, rehabilitation actions as important elements in the definition of the priority sectors for support.
- integrate into the approach the policy elements relating to the campaign against poverty and the macroeconomic context to which the country should evolve by the end of the rehabilitation period.
- provide a conducive environment for the recovery of production and trade; initial activities under the macroeconomic framework should focus upon ensuring the functioning of basic exchange, trade and banking services and on rebuilding institutions for basic macroeconomic management.
- determine the conditionality criteria which are necessary for the success of the rehabilitation programme and with a view to the recommencement of development (political, economic or specific eg. demining) and make them effective through dialogue on (sectoral) policies.

3. **HOW CAN DEVELOPMENT ACTIONS TAKE BETTER ACCOUNT OF THE RISK OF EMERGENCIES: EMERGENCY ASPECTS OF DEVELOPMENT OPERATIONS**

3.1 **The macro-economic context**

Violent conflicts and natural disasters can wreck development plans. The explicit consideration of the risk of natural and manmade disasters when formulating development programmes can greatly increase their chances of success.

In practice, however, such risks have in general not been considered explicitly in macro-economic planning, nor in the preparation of structural adjustment programmes. Yet, a recent study on crises forcing the adoption of IMF stabilisation programmes in Africa indicates that drought or other natural disasters had been "an important, perhaps dominant" factor in over one third of these programmes.

At the macroeconomic level three basic principles should therefore be borne in mind:

- (i) economic reform programmes should take account of the vulnerability of countries to disasters, natural or manmade. This should influence both the pace of reform and flexibility in the utilisation of performance indicators.
- (ii) good economic management in countries prone to disasters requires systematic provision for resources and capacities to improve disaster preparedness. This should be reflected in the government budget and taken into account when preparing economic reform programmes.
- (iii) economic reform programmes must ensure that basic social services (health, education, water supply and sanitation) continue to receive adequate funding.

For the Community, this also means that risk and vulnerability should be taken into account in programming of Community assistance.

The following sections look in more detail at practical ways of addressing the risk of natural and manmade disasters in development policies on a sectoral basis.

### **3.2 The sectoral context:**

In practice, all sectors must deal with risk and vulnerability. Here, two sectors - food and health - are given as examples, bearing in mind their particular importance within the LRRD context.

#### **3.2.1 The Food Sector: Food Aid and Food Security**

##### **3.2.1.1 General Orientations**

The Community food aid and food security contributions are growing in importance within its development aid policy and the Development Council Resolution of 25 November 1994 has confirmed the following orientations:

- integration of the role of food aid as one component of long term food security (at household, national and regional levels) in food insecure countries;
- the inclusion of food security policies within the general framework of poverty alleviation and their long term impact in development;
- the need for sectoral policies to meet food security objectives and to develop coherent long term food security strategies;
- the reinforcement of the linkage between emergency, rehabilitation and development operations;

##### **3.2.1.2 Emergency-Rehabilitation-Development: a dynamic approach to food crises.**

Community food aid and food security operations are frequently confronted with complex situations in which different types of crisis exist alongside one another. These reflect the extent to which the conditions of supply (availability of supplies in the marketplace) and demand (level of income giving access to food) have deteriorated. A simple structural food shortfall combined with balance of payments difficulties can quickly turn into a situation of endemic poverty where the population is totally dependent on aid for its survival.

Food security should therefore be defined, not in static, but in dynamic terms, as a set of supply and demand conditions (availability of food and access to it) providing a starting point from which urban and rural households can begin to build up reserves (stocks, cattle, savings), develop more reliable means of production or ways of increasing their income and organise a more reliable social safety net. The upshot of all of these steps is to reduce people's vulnerability to food crises. Below a certain threshold, however, urban and rural households are obliged to eat into their reserves, fall back on their support network or even sell off their means of production - in short, increase their level of vulnerability.

Above this threshold, people are embarked on a development pattern, which well-designed

aid (which does not include food aid in kind) can help to speed up.

Below this threshold, however, a process of impoverishment takes place which can lead to economic and social degradation, extreme dependency and increased mortality, which become more difficult to reverse, the longer it is allowed to continue. This is the prevention or risk reduction phase. At this stage, food aid and food security operations should aim at reducing the level of social and economic vulnerability to food crises, which in turn will reduce the risk of food emergencies. Rapidity is crucial as ill-considered or belated responses can result in greater dependence. The lack of success in reversing the tide of growing dependence, caused by increasing social breakdown, partly explains why a number of cases have remained bogged down at the humanitarian aid stage.

The rehabilitation phase consists of restoring productive capacities and providing everyone with a certain access to basic means of production (lands, seeds, tools). In view of the complexity of crises, only interventions which are adapted to each type of crisis can provide an adequate response to crises of different natures. No food aid and food security action can be viable if it is not closely associated with development operations capable of reactivating the process of income creation and development. **For this reason, it is essential to establish a global policy framework and common strategy.**

### 3.2.1.3 Food Security in the framework of Prevention/Mitigation of food crises

Economic instability within some countries can lead to food insecurity and eventually social conflict. Such "potentially at risk" countries merit particular attention and should be the target of measures which contribute towards improved food security. Such measures essentially aim at promoting household food security at local, national and regional levels; they thereby permit a reduction in vulnerability during times of crisis and facilitate the implementation of rehabilitation and development operations. Gender issues are of particular importance due to the potential for disaster in the absence of a system of distribution which effectively reaches the intended beneficiary population.

Amongst the food security assistance programmes which can contribute to crisis prevention, one may cite:

- village food stocks as well as national and regional food security stocks;
- actions in support of emergency planning; livestock production; rural credit; added value to local production; risk reduction mechanisms; support to agricultural policies; promotion of private sector; local and interregional trade;
- labour intensive projects, employment generation schemes
- establishment of information systems (data bases, early warning systems) which principally aim at detection of food crises sufficiently early to be able to supply food aid in a timely way.

One of the key elements for crisis prevention and for the efficiency of assistance programmes

(emergency aid, rehabilitation) is the availability and quality of Information Systems. The collection, processing and distribution of information and analyses of higher risk countries allows for the strengthening of early warning capacity and the identification of the best form of response to be provided.

The Commission intends to expand for the most food insecure countries, its capacity to collect, process and analyse information through the establishment of information networks which will be based on i) existing information systems and ii) a European team of experts. The aim of the system is to provide in the shortest possible time, relevant information for decision making at the time of crises.

#### **3.2.1.4 Organizational/Procedural Aspects**

Community policy in the area of food aid is structured around (i) the integration of food aid as a long term food security instrument within the overall of the Community's development policy framework; and (ii) the insertion of food aid as one of the elements of humanitarian aid policy.

The division of responsibilities between the different services, both from the viewpoints of Community development policy and that of humanitarian aid is based on the following principles:

- food aid actions which are specifically humanitarian in character are under the responsibility of ECHO;
- food aid actions of a developmental or structural character, support for food security or other food aid actions which include a developmental element, are implemented by the Food Aid/Food Security Unit in agreement with the competent geographical services;
- in case of serious food crises or humanitarian crises with an important food element, the entirety of Community aid instruments will contribute towards a coordinated intervention, such intervention being assured by the Food Aid/Food Security Unit in the case of food crises, and by ECHO for humanitarian crises.
- a permanent coordinating mechanism is ensured between the services in order to guarantee a maximum coherence and coordination, and to permit the most efficient and smooth transition between humanitarian actions and those of rehabilitation and development.

Presently existing arrangements allow for the establishment of a policy framework, or a common strategy well suited to the reality of each country, the establishment of a body of procedures for appraisal, management and follow-up, as well as the build up of internal expertise in areas as complex and diverse as early warning systems, harvest estimates, food product markets (Community and international), transport, storage, etc.

In the present situation, it is necessary to progressively harmonise structures and procedures

for management, control and follow-up of all food aid/food security operations. The unified nature of our policy, the common regulatory framework, a coherent overall strategy adapted to each geographical area should ensure a coherent approach for our interventions, the best use of resources, the reinforcement of expertise within the Commission as well as the improved effectiveness and efficiency of Community aid, notably within the RRD continuum.

### **3.2.2 The Health Sector**

Health is at the centre of all emergency situations (natural disasters or man-made conflicts). Relief's primary objective is to cover essential needs of populations affected by crisis: saving lives and reducing human suffering through appropriate medical care is a basic component of this relief strategy. The nature and quality of response to basic health care needs linked with emergency situations will depend on effectiveness of existing health structures: weaknesses in terms of organisation of health services, availability of essential medicines (including vaccines) could make the crisis worse (for instance influence the spread of epidemics). Also inequity or inaccessibility to health services for important segments of the population could lead to social discontent and eventually to civil unrest. In this context the need for early gender analysis to identify differing needs and constraints is acknowledged.

Moreover, poor conditions or performance in terms of environmental health (for instance limited access to water and sanitation, poor housing conditions or structural malnutrition) will also constitute aggravating factors in emergency situations.

Structural support to the health sector should therefore take into account more systematically prevention and management of emergency situations.

#### **3.2.2.1 General Orientations**

In the health sector, the new policy orientations and strategic priorities laid down for the Community and Member States (Council Resolution of May 1994) are based upon the following essential objectives:

- support to the development of an environment more favourable to health
- support to the organisation of health systems with priority to the development of basic and primary health services
- strengthening of preventive activities
  
- more rational and equitable mobilisation of national resources
- support to institutional reform through reinforcement both at central level (planning, legislation, management) and at regional and local level in order to improve national health coverage
  
- support to community initiatives in health

Through actions in support of these objectives, more emphasis should be given in assisting countries to:

- better identify risks and risk factors, foresee the onset of crisis or emergency situations

- prevent the outbreak of crises or reduce the extent of emergency situations.
- facilitate and accelerate the return to a normal situation after the crisis.

### **3.2.2.2 Better identify the risks and foresee crisis situations**

This consists essentially, through the transfer of knowledge and experience, of methods and techniques, and through permanent dialogue, to help countries to build up their own capacities to analyse situations, evaluate and foresee risks and future prospects. Depending upon the particular requirements of each country, particular assistance can be given to the following elements:

- (i) development of epidemiological surveillance, establishment of health information systems and early warning systems.

Such support aims to assist the country to plan and implement simple low cost systems, which are sufficient to collect, process and distribute epidemiological data (also including demographic data, sociological information, data on health services, nutritional situation etc). At the same time it consists, particularly through training programmes, to develop local capacity to analyse data and foresee risks.

- (ii) development of capacity to identify risk factors and the most vulnerable areas and populations: specific attention should be paid on population in urban settings and to the urban poor in particular, as well as the specific needs of women and children.

This implies the development of national research capacity through training, institutional support, and more direct organisational support and financing of studies and surveys.

### **3.2.2.3 Contribute to prevent the outbreak of crises and/or reduce the extent of emergency situations**

Efforts should be directed to reduce the factors and sources of risk and to improve the organisational capacities to respond more rapidly and efficiently in crisis or emergency situations.

In the short term:

- support to the establishment of basic structure, methodologies and means to intervene rapidly in epidemic situations. Methodologies for rapid assessments of health needs in emergency situations have been developed by different organisations (ICRC, WHO etc..) which should be disseminated at country level for appropriation by relevant national authorities.

In the medium term:

- to encourage social cohesion through improved physical and financial accessibility to health services. In this context, support to the efficient supply and distribution channels for essential medicines, including vaccines could improve the quality of

response to emergencies, (epidemics...). At the same time support to decentralisation and to district health policy allows an improved health coverage in times of crisis, enabling minimum supplies of services to be guaranteed (e.g. Zaire). Further efforts should be developed to improve access and coverage in periurban areas, taking into account gender and child specific needs.

In the long term:

- to create a more favourable environment for health, to develop primary prevention e.g. by improving access to drinking water, nutrition standards, urban development, education, promotion of women etc.

#### **3.2.2.4 Facilitate the return to a "normal" situation**

Rehabilitation and development strategies in a post emergency situation should be based on an analysis of the health sector in order to:

- identify weaknesses in the structure, organisation and performance of health systems brought to light during crisis situations
- evaluate the responses and actions financed during emergency situations as well as the roles and performance of the different actors (Government - NGO - international organisations).

On the basis of this information, a rehabilitation strategy can be sketched out covering long term requirements for restructuring the sector (improvement of environmental health organisation of the health system, medicines, human resources) as well as immediate needs to respond to demand for health services. This may imply the follow-up of assistance, financed under emergency aid, notably through NGO's adapting their programmes and strategies towards restructuring of the health system.

#### **4. MAN-MADE EMERGENCIES : A POLITICAL APPROACH <sup>3</sup>**

The process of economic development necessarily involves social and political changes, superimposed upon often rapidly evolving demographic and environmental situations. In such a dynamic process, the costs and benefits of change may be unequally distributed amongst the population. In the absence of specific mechanisms to address the grievances of groups which perceive they have been adversely affected, and means to deal with such issues, tensions can

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<sup>3</sup> This section contains some relevant key ideas of the Communication from the Commission to the Council on "The European Union and the issue of conflicts in Africa: Peace-building, conflict prevention and beyond", adopted by the Commission on 6 March 1996.



rapidly build up, often aggravated by natural disasters, ethnic differences or economic dislocations. In such circumstances these tensions can easily degenerate into violent conflict.

The growing number of violent conflicts since the end of the cold war represents a major challenge to the international community. Most of these conflicts are intra-state wars, directed mainly against civilians and often fought by militias that are difficult to control. These conflicts result in increasing human suffering and loss of life, the creation of massive movements of refugees, devastating effects on local and regional economies as well as on the environment, and serious threats to the viability of neighbouring countries and populations. They can even lead to the implosion of states and major humanitarian tragedies.

Even though the means available to the European Union are limited compared to the magnitude of the task of effectively preventing, managing, and resolving violent conflicts, the Union should aspire to maximise its leverage through an optimal use of its instruments and resources. This approach should be pro-active because the European Union has not only an important interest but also an important potential for actively addressing this issue. The approach should be comprehensive in so far as the European Community, within its competencies, should address the entire cycle of conflict and peace.

While the European Union has to be prepared to respond to situations of violent conflicts rapidly and in a reasonable manner, it goes without saying that effectively preventing conflicts is better than responding to their consequences. As no amount of humanitarian aid and no effective peace-keeping operation will solve a crisis of peace and security, justice and resources in a sustainable way, there is a need to try to go beyond ad-hoc decisions and a policy of damage limitation. Furthermore, responding to the effects of violent conflicts has become an extremely costly endeavour.

In view of all these considerations, the prevention of violent conflicts should be at the centre of a comprehensive response of the European Union towards the problem of violent conflicts.

Given the complexity of the issue of conflicts, an analytical distinction between different situations of conflict and peace seems helpful. While in each of these situations specific measures move to the forefront, it should be clear that in practice, there is no clear-cut dividing line between the different situations and different measures. As it will be impossible to develop an overall blueprint for action, the following survey of measures that the European Community could take, support or advocate is intended as a general political orientation.

Situation without obvious tension

This is the situation where the country is seemingly stable and largely quiet but where (structural) sources of potential conflict may be discerned. For example, the constant marginalisation of an important minority or the use of repressive instruments in the absence of effective mechanisms for the peaceful conciliation of divergent group interests.

Immediate aims

Peace-building: Establishment - under respect of democracy and fundamental human rights - of viable political and socio-economic structures (mechanisms of peaceful conciliation of interests, viable democratic models and so on).

Instruments

Targeted assistance incl. training, education, social and economic cohesion, strengthening human and social development, democracy building, good governance and civil society, institution building etc., political dialogue, watching changes, voicing concerns.

### Situation of tension

This is the situation where conflict in society become clearly apparent (social unrest, armed opposition, mass demonstrations etc.). The gravity of the situation depends not only on the events themselves but also on the existing political and power structures (Is the 'opposition' able to present negotiable demands? Is the government in a position to fulfil them? And so on).

Immediate aims Conflict prevention (in the strict sense): Reduction of tensions; prevention of full outbreak of hostilities.

Instruments Political dialogue with the parties concerned (missions, preventive diplomacy); advocacy of specific measures (incl. preventive deployment of troops) and/or of specific solutions to the problems; (threat of) sanctions; deployment of observers; own and contribution to other humanitarian / emergency aid (also to prevent refugee flows for economic reasons). Peace-building measures could continue to apply and could even be intensified. They will have most effect if targeted to the heart of the conflict (easing the economic situation of a marginalized group while offering assistance to the government to find a sustainable solution, for example).

### Open conflict

Immediate aims 1 Conflict management: Reducing the threat of vertical and horizontal escalation (incl. the reduction of immediate human suffering and the handling of the refugee problem).

Instruments Threat of sanctions (incl. to third countries), political dialogue, own and contribution to other humanitarian / emergency aid, (advocacy of) preventive military intervention; observer missions.

Immediate aims 2 Conflict resolution: Ending the hostilities and starting peace negotiations.

Instruments Sanctions, political dialogue, advocacy of specific solutions, support for peace initiatives, (advocacy of) peace-enforcement.

### Post-conflict situation

This is the situation where there is no longer organized armed violence. A cease-fire or a peace agreement might or might not yet have been already signed. In any case, the consequences of the war are still present and obvious in a large part of the society (refugees and ex-combatants still in the progress of re-integration etc.), and it is still uncertain if the situation will deteriorate (back into the phase of tensions or open conflict) or improve (towards a situation without obvious tensions or structural stability).

Immediate aims Conflict resolution / peace-building: Successful peace negotiations, return to normality

Instruments Demobilisation and disarmament, repatriation and re-integration, de-mining, post-conflict relief and humanitarian aid, rehabilitation, peace-building measures (see above), political dialogue, advocacy of specific solutions, watching changes, confidence building measures, (support for) conflict resolution initiatives, re-building of government structures.

Central to a comprehensive approach and a more effective engagement in the field of conflict prevention is a broad definition of the term: "Conflict prevention" should not only be understood as easing a situation where an outbreak of violence is imminent (= conflict prevention in a narrow sense) but also as preventing the occurrence of such a situation (= conflict prevention in a wider sense). Activities of conflict prevention in a wider sense should be summarized under the term peace-building. Defined as such, a policy of conflict prevention would apply mainly in a situation of tensions. **Peace-building** measures, by contrast, could apply in all phases of conflict and peace. However, as peace-building measures will generally embrace projects and programmes with the longer-term aim of the stabilization of societies, their impact will be greatest in non-violent situations.

A policy of peace-building and conflict prevention is not necessarily dependent on the adoption of new programs or the creation of new institutions. First and foremost, it necessitates the adaption of a peace-building approach in the sense that all measures should take the structural root-causes of violent conflicts into consideration, and should be targeted at the stabilization of societies (**"targeted assistance"**), in particular at the imbalance of political and socio-economic opportunities between different (regional, ethnic, religious etc.) identity groups within a given state, the absence of viable mechanism for the peaceful conciliation of the divergent interests of these groups, the need for a government that enjoys widespread legitimacy among the population, and for consensus on key 'national' issues.

The design of such measures or programs will be greatly facilitated if a **country-by-country analysis of structural root-causes of conflicts** has led to the establishment of **comprehensive policy frameworks** that could point to specific measures or priority areas for particular countries and regions, be it in a stable situation, a situation of conflict or in a post-conflict situation. As peace and security are closely interlinked with economic and social development, an adequate combination of political, economic, legal, social, environmental and, as far as helpful and feasible, also military measures of stabilisation should be considered within these frameworks.

The establishment of comprehensive policy frameworks will be facilitated through the adoption of **an ultimate policy goal**, a policy goal that gives a common header to the different 'economic' and 'political' goals (development, democracy, human rights etc.) of the European Union's policies. Given the fact that (i) experience shows that lack of development is not the only major source of violent conflict; that (ii) the general EU foreign policy aims that can be deduced from the Treaties and the declarations of the European Council could be summarized as helping to foster peace and stability, development, democracy and the respect of human rights; that (iii) those aims are interdependent/mutually re-enforcing; and that (iv) **sustained development** is often interpreted in a narrow economic sense, the ultimate policy goal could be summarized under the term **structural stability**.

Structural stability is to be understood as **a term denoting a dynamic situation**, a situation of stability able to cope with the dynamics inherent in (emerging) democratic societies. **Structural stability could thus be defined** as a situation involving sustainable economic development, democracy and respect for human rights, viable political structures, and healthy social and environmental conditions, with the capacity to manage change without to resort to violent conflict. Working towards structural stability would mean **the targeted reinforcement of those factors that enable peaceful change**.

Operating with the term structural stability in no way implies a major departure from the current policies of the European Union. As it goes without saying that economic development and prosperity are major factors for ensuring non-violent change, **sustainable development is a central objective for the attainment of structural stability**.

Operating with the term structural stability rather means to give expression to the fact that working towards economic development alone is insufficient for an effective policy of peace-building and conflict prevention, that the policy goals sustainable development, democracy and human rights, viable political structures, healthy social conditions and healthy environmental conditions are interdependent which implies the need for a comprehensive approach.

A pro-active and effective policy concerning the issue of violent conflicts requires a major effort of international coordination and cooperation. Access to and exchange of information and analysis, and the integration of the people concerned into the necessary discussions, is a major problem that needs to be tackled. Within the European Union, it needs also to be ensured that the common development policy is complementary to the policies by the Member States, as laid down in the EC Treaty.

The inclusion of conflict analysis and prevention within the policy frameworks will also have implications within the CFSP process. Coherence with CFSP should be ensured at all levels. The difficulties of arriving at a coherent Common Foreign and Security Policy of the European Union should not be underestimated in this regard. In order to address this issue one should envisage an enhancement of the Union's capacity to analyze root-causes of conflict for an effective utilization of targeted assistance.

Another key aspect of both man-made and natural emergencies is their regional dimension, which may require specific policy actions at a regional level. For example, conflict in one country may spill over into its neighbours, lending to political and ethnic tensions in addition to massive movements of refugees. In such circumstances, support must be provided, not only to the crisis country but also to those neighbours affected by the crisis. At a political level, support can be given to regional or sub-regional initiatives launched by the countries themselves, with the aim to address crisis situations through political interventions.

## *QUESTIONNAIRE*

on

Linkages between Relief, Rehabilitation and Development (LRRD) Actions and Programmes carried out by EU Member States in Third Countries

This following summary is intended as a guide to Member States replies to the questionnaire. All Member States received the questionnaire and, where possible, the replies have been completed as a result of clarifications provided during the meeting of experts held on 28/2/1996. The summary is not intended to replace the full replies, but has been prepared so as to facilitate comparisons and to convert the available data into a more manageable form. The summary follows exactly the format of the questionnaire with the replies inserted in table form underneath the questions. The following general comments may help to explain the approach adopted.

Reference statistics have been taken at face value; the only adjustment has been to convert the different currencies to ECUs. As regards the organisational and budgetary aspects, it is often the case that the Ministry of Foreign Affairs acts as the umbrella organisation for all aid operations, with in reality different departments taking responsibility for different aspects of aid. This is borne out by the replies to question 2.2 which indicate a greater divergence than would be expected from the replies to point 2.1..

Member States have not yet formulated specific LRRD policies. However, most have thought seriously about the issues and many are actively preparing policy documents. Such policies will probably be inspired by actual current practice, as despite the absence of any formal guidelines to ensure that relief takes better account of development requirements, this would appear to often take place in practice. Likewise, the absence of guidelines to ensure that risk and vulnerability be taken into account have not prevented Member States acting.

Conflict prevention, on the other hand, appears to be an area where Member States have been quicker to formalise and most replied that this is taken into account in the design of development policy.

Various examples have been provided by Member States and those which feature in the summary are undoubtedly only a small portion of what has actually been done.

## 1. REFERENCE STATISTICS

### 1.1 Bilateral and multilateral development aid (not channelled through the EC and excluding humanitarian aid) in 1994 and 1995.

| Member State   | 1994 (MECU) | 1995 (MECU) |
|----------------|-------------|-------------|
| Austria        | 466         | N/A         |
| Belgium        | 449         | N/A         |
| Denmark        | 1135        | 1133        |
| Finland        | 191         | 192         |
| France         | 6477        | N/A         |
| Germany        | 4612        | N/A         |
| Greece         | 8           | N/A         |
| Netherlands    | 1845        | N/A         |
| Ireland        | 55          | 67          |
| Italy          | 1050        | 470         |
| Luxemburg      |             |             |
| Portugal       | 186 *       | N/A         |
| Spain          | 1084        | 1251        |
| Sweden         | 1300        | 1274        |
| United Kingdom | 1732        | 1723        |
|                |             |             |

\* all aid (humanitarian and development)

Figures quoted are as supplied by Member States

1.2 Humanitarian aid in Third countries (excluding contributions to peace-keeping and in-coming refugees) in 1994 and 1995

| Member State   | 1994 (MECU) | 1995 (MECU) |
|----------------|-------------|-------------|
| Austria        | 8.7         | 8.4         |
| Belgium        | N/A         | N/A         |
| Denmark        | 103         | 111         |
| Finland        | 27.9        | 23.3        |
| France         | 18.5        | 18.8        |
| Germany        | 33.9        | 45.8        |
| Greece         | 5           | N/A         |
| Netherlands    | 282         | N/A         |
| Ireland        | 7.1         | 6.9         |
| Italy          | 52          | 54          |
| Luxemburg      |             |             |
| Portugal       |             | N/A         |
| Spain          | 3.2         | 14.5        |
| Sweden         | 184.8       | 161.5       |
| United Kingdom | 213         | 247         |
|                |             |             |

Figures quoted are as supplied by Member States

## 2. ORGANISATIONAL AND BUDGETARY ASPECTS

Please provide outline of the organisational structure for the management of humanitarian and development aid respectively. In particular,

- 2.1 whether a single organisational structure exists, or whether different ministries/departments are responsible for different aspects. If so, please provide details.

| Member State   | Reply   |
|----------------|---|
| Austria        | Different departments   |
| Belgium        | Different departments   |
| Denmark        | Ministry of Foreign Affairs   |
| Finland        | Ministry for Foreign Affairs - Dpt for Internat. Dev. Coop.                           |
| France         | Different ministries and departments  |
| Germany        | Different ministries  |
| Greece         | Mainly Ministry of Foreign Affairs  |
| Netherlands    | Different departments   |
| Ireland        | Foreign Affairs Department - Development Cooperation Division                         |
| Italy          | Different departments   |
| Luxemburg      |   |
| Portugal       | Instituto da Cooperaçào Portuguesa (ICP)  |
| Spain          | Administracion Central and decentralised cooperation                                  |
| Sweden         | All aid managed by Sida, a government authority under the Ministry of Foreign Affairs |
| United Kingdom | Overseas Development Administration - different departments                           |
|                |   |



2.2 whether humanitarian and development aid is provided from different budget sources, subject to different procedures.

| Member State   | Different Budget Source                                | Different Procedures |
|----------------|--|----------------------|
| Austria        | Yes  | Yes                  |
| Belgium        | Yes  | Yes                  |
| Denmark        |  |                      |
| Finland        | No - international development cooperation budget line | N/A                  |
| France         | Yes  | Yes                  |
| Germany        | Yes  | Yes                  |
| Greece         | Yes  | Yes                  |
| Netherland     | Yes  | Yes                  |
| Ireland        | No   | Yes                  |
| Italy          | Yes  | Yes                  |
| Luxemburg      |  |                      |
| Portugal       | No   | No                   |
| Spain          | Yes  | No                   |
| Sweden         | Yes  | Yes                  |
| United Kingdom | Yes  | Yes (under review)   |
|                |  |                      |

### 3. POLICIES

3.1 Has your Government formulated specific policies on LRRD? If yes, please give a brief description below.

| Member State   | Reply   |
|----------------|---|
| Austria        | LRRD working group set up to deal with coordination   |
| Belgium        | To be prepared  |
| Denmark        | Referred to in Statement of Intent (Danish Development Policy towards the year 2000)  |
| Finland        | Under preparation   |
| France         | No  |
| Germany        | Information document exists   |
| Greece         | Not at present  |
| Netherland     | Yes - 1993 Policy document "Humanitarian Aid between Conflict and Development"  |
| Ireland        | Policy review under way   |
| Italy          | Under preparation (approval expected in April 1996)   |
| Luxemburg      |   |
| Portugal       | Focus on Angola and Mozambique  |
| Spain          | Not at present  |
| Sweden         | No specific policies, but efforts made to make humanitarian aid "development promoting". Approach is also foreseen in country strategies. |
| United Kingdom | Not yet, but under preparation  |
|                |   |

3.2 Is there, in the administration of your government's humanitarian aid programmes, any guidelines or procedures for ensuring that relief take better account of development requirements and objectives (e.g. impact analysis of humanitarian aid as part of operational procedures or evaluation)?

| Member State   | Reply   |
|----------------|---|
| Austria        |   |
| Belgium        | Concept of durable development  |
| Denmark        | Humanitarian aid tends increasingly to include development consideration (in policy papers)                           |
| Finland        | No (results evaluation humanitarian assistance available by mid-1996)   |
| France         | No - in practice, this is the role of the "attachés" in the field   |
| Germany        | Yes - instructions issued in 1986 to all embassies (but only really covers straightforward relief aid)                |
| Greece         | No  |
| Netherland     | Guidelines for emergency & humanitarian aid in preparation - includes criteria for long-term effects of interventions |
| Ireland        | No  |
| Italy          | Policy guidelines from 1995 address these issues; specific guidelines are being drafted                               |
| Luxemburg      |   |
| Portugal       | No, but this occurs informally  |
| Spain          | Occurs informally   |
| Sweden         | Policy and guidelines under preparation   |
| United Kingdom | Exists internally, for rapid-onset disasters only   |
|                |   |

3.3 Does your Government have any guidelines or procedures for ensuring that risk and vulnerability are taken into account in the planning, programming and implementation of development aid?

| Member State   | Reply  |
|----------------|--|
| Austria        | These factors are taken into account   |
| Belgium        | Yes for bilateral aid  |
| Denmark        | Mentioned in the strategy papers - these factors are taken into account in practice                                    |
| Finland        | No, but these factors are taken into account   |
| France         | Will be taken into account in policy review  |
| Germany        | These factors are taken into account   |
| Greece         | No, but these factors are taken into account   |
| Netherland     | The so-called "development test" - involving the evaluation of "risks" in the field of poverty, environment and gender |
| Ireland        |  |
| Italy          | Yes  |
| Luxemburg      |  |
| Portugal       | No, but these factors are taken into account   |
| Spain          |  |
| Sweden         | Taken into account in country strategies   |
| United Kingdom | Exists but will be further developped  |
|                |  |

3.4 Does the conflict prevention play a part in design of your Government's development policy.

| Member State   | Reply   |
|----------------|---|
| Austria        |   |
| Belgium        | Yes - policy paper exists   |
| Denmark        | Yes - mentioned in strategy papers  |
| Finland        | Yes - strategic outline paper   |
| France         |   |
| Germany        | Will play a more important role in the future; policy paper under preparation |
| Greece         | Yes - in the majority of cases  |
| Netherland     | Yes - see "Humanitarian Aid between Conflict and Development"                 |
| Ireland        | Will become more important with policy review                                 |
| Italy          | Yes   |
| Luxemburg      |   |
| Portugal       | Yes - in practice support is linked to these issues                           |
| Spain          | Mainly through multilateral projects  |
| Sweden         | Yes - policy paper will be ready in November 1996                             |
| United Kingdom | Will play a larger role in the future/ draft non-paper exists                 |
|                |   |

### 3. CONCRETE EXAMPLES

Please provide, if possible, some recent examples of actions/projects/programmes, funded by your Government, involving linkage between relief, rehabilitation and development. If useful, kindly use the format annexed to this questionnaire.

| Member State   | Reply   |
|----------------|---|
| Austria        |   |
| Belgium        |   |
| Denmark        |   |
| Finland        |   |
| France         |   |
| Germany        | Guinea - move from crisis management of health sector to a more intersectoral longer term approach<br>Bosnia - evolution of building project; involvement of local population   |
| Greece         |   |
| Netherland     | Transfer of responsibility from emergency to structural depts. in Cambodia, Palestinian Entities, Eritrea and Angola  |
| Ireland        | Examples of integrated projects provided  |
| Italy          |   |
| Luxemburg      |   |
| Portugal       | Rehabilitation programmes in Mozambique   |
| Spain          | Examples in Haiti, Angola, Rwanda, Guatemala and ex-Yugoslavia  |
| Sweden         | Cambodia, West Bank and Gaza transferred from Humanitarian to Development department in 1995. More aid to Angola and Mozambique now comes from development budget   |
| United Kingdom | Examples in both the way all assistance is managed within ODA, how strategies are set and in the type of activities implemented (Angola, Sierra Leone, Afghanistan, Sri Lanka, etc.)<br>Case study 1 : Health Transitions Project in Angola : Managing the transition between emergency aid and development.<br>Case study 2 : The Angola Development Fund : Providing Development Assistance during an Emergency |
|                |   |