

Humanitarian Agenda 2015 (HA2015) is a policy research project aimed at equipping the humanitarian enterprise to more effectively address emerging challenges around four major themes: universality, terrorism and counterterrorism, coherence, and security.

# Coming to Terms with the Humanitarian Imperative in Iraq

As with all HA2015 materials, the Feinstein International Center welcomes feedback and criticism from all quarters. Please contact the author at ghansen@islandnet.com or the HA2015 Lead Researcher, Antonio Donini at antonio.donini@tufts.edu.

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# Humanitarian Agenda 2015 Briefing Paper

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Is suspect we will look back in amazement on these years, as much for their poverty of global spirit as for the unspeakable acts we are witnessing. This is a time in which life-saving compromises are denounced in the name of moral virtue. An astonishing cynicism greets expressions of the humanitarian instinct. Our public space is replete with armchair apostles espousing a philosophy of endless war. It is hardly too much to say that Mr. de Mello and the other UN workers who died yesterday are martyrs to a venal age. 1

## **Purpose and Scope**

Highlighting major changes in the context in Iraq and rapid deterioration of the humanitarian situation, this brief report summarizes an Iraq country study to be issued in final form later this month as part of the Humanitarian Agenda 2015: Principles, Power and Perceptions (HA 2015) initiative, an independent research project of the Feinstein International Center, Tufts University. Following a series of observations about how humanitarianism is currently perceived in Iraq, this report highlights findings regarding the operational environment, donor environment, and strategic policy environment. The interviews conducted comprise a valuable compilation of fieldbased evidence, provided at a time of mounting access difficulties and diminishing awareness of the situation on the ground. In addition to extensive interviews, the report draws heavily upon work conducted in the region and the regular monitoring of developments by the Humanitarianism and War Project in 2004 and 2005, thus spanning a three-year period.<sup>2</sup> It concludes with 20 recommendations for the UN

The HA 2015 project conducted fieldwork for six weeks in and around Iraq between the end of October and mid-December 2006.<sup>3</sup> As with all

translation will be posted to our website on completion.

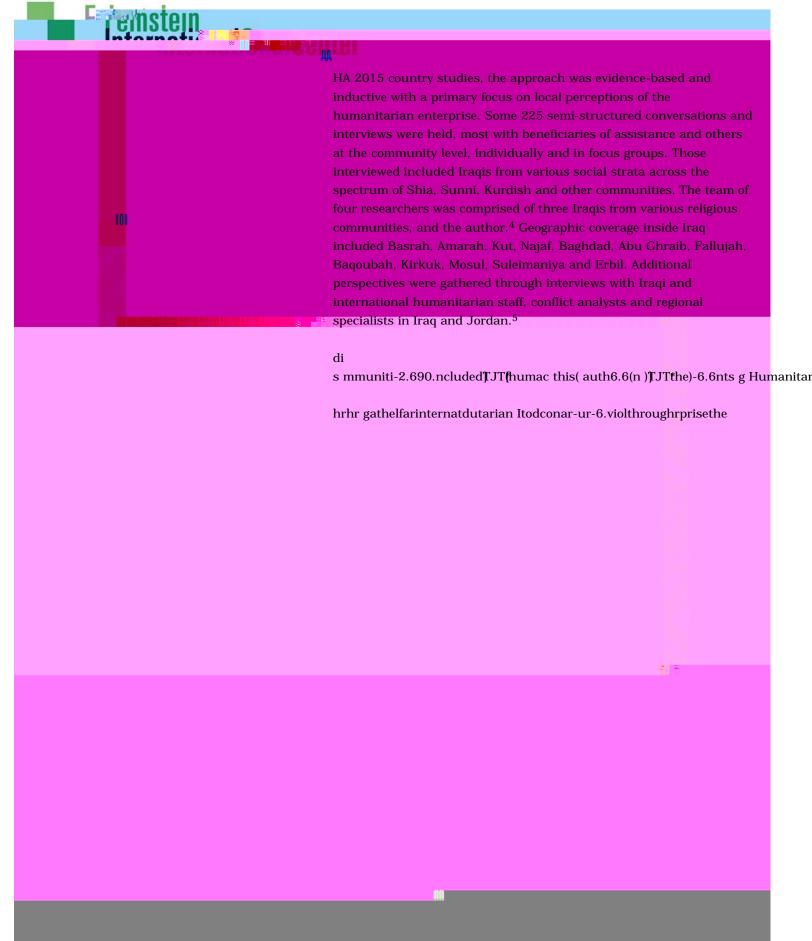
system, Red Cross / Red Crescent Movement, humanitarian NGOs, the NGOs Coordinating Committee in Iraq (NCCI) and donors. An Arabic

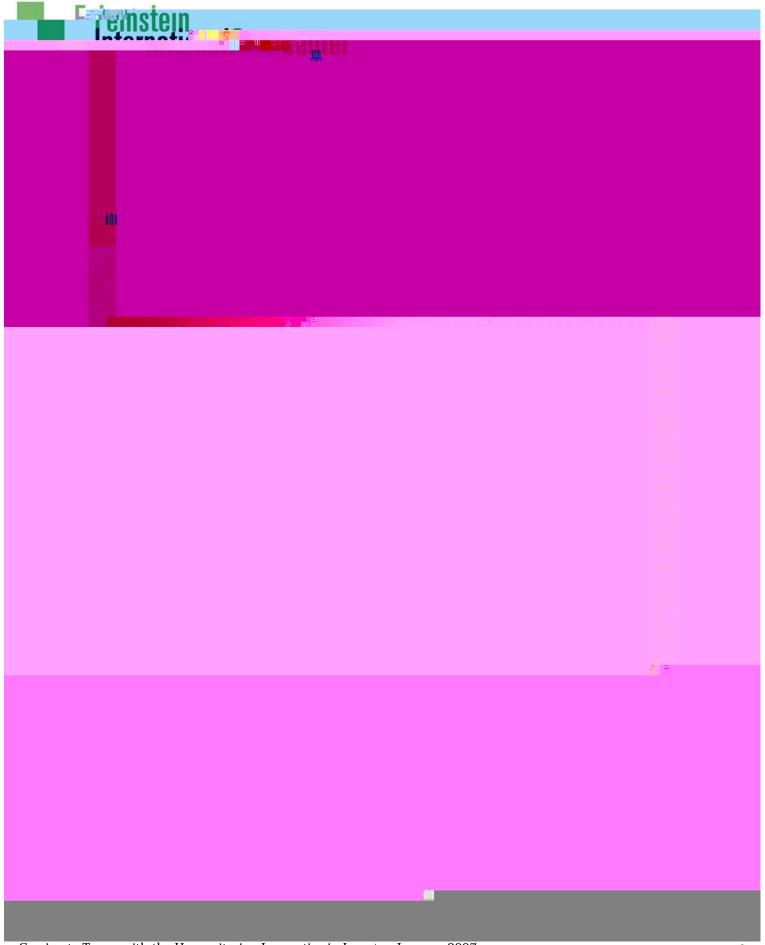
<sup>&</sup>lt;sup>1</sup> Paul Knox, Modern Martyrs to a Venal Age, The Globe and Mail, (20 August, 2003).

<sup>&</sup>lt;sup>2</sup> See *Humanitarian Action in Iraq – Emerging Constraints and Challenges*, Humanitarianism and War Project, 27 April 2004, http://hwproject.tufts.edu/new/pdf/Hansen\_report\_Iraq\_final.pdf.

<sup>&</sup>lt;sup>3</sup> HA 2015 focuses on the challenges and compromises that are likely to affect humanitarian action worldwide in the next decade. The project is funded by contributors to the Feinstein International Center, including the Ford Foundation, UN OCHA, and the Canadian, Dutch, Danish and Australian Governments. The issues under study are organized and analyzed around four interrelated themes: the *universality* of humanitarianism, the implications of *terrorism and counter-terrorism* for humanitarian action, the trend toward *coherence* between humanitarian and political agendas, and the *security* of humanitarian personnel and the beneficiaries of humanitarian action. Country studies provide the basis for analysis.

Studies completed so far include Afghanistan, Burundi, Colombia, Liberia, Northern Uganda, the Sudan and the Occupied







more than 650,000 "excess Iraqi deaths" resulting from conflict.<sup>9</sup> Growing insecurity and incremental failure of the state have already combined to push some 1.6 million Iraqis into Jordan and Syria. At least 1.8 million more have been displaced inside Iraq according to UNHCR estimates. The World Food Programme (WFP)'s most recent reckoning of food security, conducted in May, 2006 just as intercommunal violence was escalating, estimated that over 4 million Iraqis were already food insecure and an additional 8.3 million, or nearly 32% of Iraq's population, were at risk of food insecurity if not provided with a daily ration under the Public Distribution System.<sup>10</sup>

Our recent research indicates that for those who have stayed in the central and southern governorates, security is increasingly understood in terms of safe access to markets, medical facilities, schools, jobs, social services and extended family. Violence and the threat of it have proscribed the ability of many Iraqis to move to other governorates, towns, and neighborhoods. Being out of the home means exposure to unpredictable dangers, and people in the worst-affected areas are increasingly housebound. On the other hand, in some areas, staying in the home can turn the inhabitants into targets. In many areas the police and Iraqi military are believed to be unable to provide protection or, worse, are suspected of being active participants in inter-communal violence. In response, people often minimize movement because it entails traveling through police checkpoints manned by members of another community. Insecurity and mobility constraints have also resulted in a degradation of essential infrastructure, with faltering maintenance of water and sanitation systems and electrical grids. Commerce is increasingly challenged by rising costs and long wait times for fuel, unpredictable electricity supply, increased business costs for running generators, reduced customer traffic in violenceprone areas, and targeting of business owners and their families for kidnapping motivated by ransom payment.

http://www.ncciraq.org/article.php3?id\_article=1309.

<sup>&</sup>lt;sup>9</sup> Burnham et al., op.cit.

<sup>&</sup>lt;sup>10</sup> UN WFP and Central Organization for Statistics and Information Technology (COSIT), *Food Security and Vulnerability Analysis in Iraq*, WFP, (11 May, 2006). For an extensive collection of documentation on the humanitarian situation as of late October, 2006, see NCCI, *Iraq Humanitarian Crisis: Documents of Reference*, (28 October, 2006).





#### Insiders vs. Outsiders: Late 2006

The same local leader visited Amman in late 2006, long after virtually all international humanitarian organizations had evacuated their international staff from central and southern Iraq. Since 2004, he had worked hard to defuse emerging tensions between Shia and Sunni communities in Baghdad, and to help meet the assistance and protection needs of people in his area. He was well-known for his work and had received a number of explicit death threats. In Amman, he was approached by junior staff of several international humanitarian organizations that had no active presence in Iraq but were exploring options for gaining access to populations in need amid the increasing violence. Their question was, "What can you do to help us?" rather than, "What can we do to help you?"

—Private communication in December 2006.

central and southern governorates often engenders acute suspicion of the motives and affiliations of others. In most cases, those with whom we spoke did not ascribe impure motives to organizations or aid workers simply because of their particular national origin. Rather, the affiliation of a person or an organization is more important, and will be scrutinized: affiliation with the "occupiers", the MNF, the government or, increasingly, with a particular sect, party or militia.

The current proclivity for scrutiny among the Iragis we interviewed is rooted in genuine safety concerns. Real and perceived neutrality was frequently cited by recipients of assistance and by observers as an essential protection against targeted attack by armed actors of various stripes. It underscores that humanitarian principles are a preoccupation of many in local communities and not an element of secondary or derivative importance valued only by humanitarian practitioners themselves. Lack of adherence to humanitarian principles, and blurred distinctions between the range of actors and roles in Iraq, now have serious consequences for beneficiary communities and Iraqis involved in humanitarian efforts. Since 2004, the ability of aid workers to be seen to do principled work have been severely diminished by security threats and ensuing low profiles adopted by nearly all Iraqi and international humanitarian organizations. The costs of low profile modalities and blurred roles are described in more detail below.

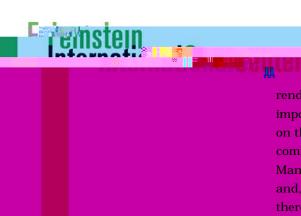
# II. The Operational Environment for Humanitarian Action

Against the backdrop of a growing civilian death toll, some 81 Iraqi and international humanitarian and human rights workers have been killed in conflict in Iraq between March, 2003, and late 2006. Murders, kidnappings and other incidents have afflicted aid workers from a broad range of international and Iraqi humanitarian organizations reflecting an equally broad spectrum of security strategies, programming modalities and adherence to humanitarian principles. The differential impacts on the security of indigenous and international agencies and personnel are discussed below.

Virtually all organizations interviewed for the study reported accelerating decreases in humanitarian access in recent months throughout the central and southern governorates, and related declines in access to reliable information. Insecurity and uncertainty have engendered a culture of secrecy among many actors in the

<sup>11</sup> NCCI website, http://www.ncciraq.org/





renders many Iraqis for whom the neutrality (or affiliations) of aid is important, at least partly inaccessible. Wholesale reliance for security on the MNF or private western contractors implies—or corroborates—a commonality of purpose between some aid agencies and military forces. Many Iraqis at the community level find such coherence unacceptable and, in the words of one beneficiary, "un-humanitarian." Likewise, there is little doubt among Iraqis as to the political allegiances and purposes of social welfare offices operated by, or under the armed protection of, various militias and parties. However, in many areas such offices are becoming welcome providers of life-saving assistance.

Critically, the reliance on the MNF by UN agencies and others calls into question the fate of aid operations, if and when co-location and mobility arrangements are changed or ended due to reassignment or withdrawal of MNF forces and private security details.

Acceptance strategies do not render humanitarian workers immune from targeted attack in Iraq but do contribute to greater adaptability and longevity of humanitarian programs. Some Iraqi and international NGOs that have taken an independent course in their approach to security, relying relatively more heavily on relationships and acceptance of their work by communities, have also decided to cease operations. However, others have stayed to continue vital programs. Flexible agencies that have invested considerable time and resources into understanding local (in addition to national) contexts and trends, building relationships and supportive networks, and nurturing staff professionalism, appear to have a comparative advantage in Iraq over less rooted agencies.

There is no substitute for presence. The low visibility of assistance and protection efforts in Iraq confounds misperceptions about humanitarian work and the lack of acceptance of humanitarian organizations. Humanitarian action in Iraq has gone steadily more underground since the bombing of the UN's Baghdad headquarters in August 2003 and, soon thereafter, the bombing of the ICRC office in the city. Insecurity for aid operations and personnel grew steadily worse through 2004 and 2005, leading to the evacuation of virtually all international staff in the central and southern governorates to safer locales, and widespread adoption of a low-profile presence and remotely controlled, managed or supported operations. Attacks targeted Iraqi staff with much greater frequency in 2005 and 2006 due to the near-absence of foreign aid workers and the far greater exposure of national staff.







"Lack of Courage"? Some Iraqi staff of local and international humanitarian NGOs lament the "lack of courage" of the international humanitarian apparatus, arguing that international organizations have not done enough to remain operational on a scale commensurate with needs. Under current conditions, however, they also frequently discourage visits by international aid workers; such visits can entail acute risks for Iraqi facilitators. Some international NGO staff in Amman with several years of experience inside Iraq recognize the potential risks of a foreigner's presence to Iraqis and to the programs they implement. However, they also observe with hindsight that humanitarian actors could have been more creative and assertive in "pushing through" the spate of attacks against aid workers in 2003 and 2004, and insist upon the need for close monitoring of the rapidly-changing situation in order to exploit new opportunities for increased access and activity.

The opposite view of the involvement of international aid workers in Iraq is also frequently held, particularly among international staff with limited experience in conflict areas, or among those with little or no direct exposure to Iraq outside of hardened facilities. Since 2004, there is a much stronger tendency among international humanitarian staff (as well as among donors and policymakers) to treat insecurity in Iraq as a nebulous, generalized, persistent and insurmountable challenge, rather than as a series of serious incidents, each of which can be analyzed, placed into (often localized) context, and used as a spur to adaptation. Inadequately nuanced understanding of the dynamics of insecurity has possibly become a rationalization in some organizations for reduced assertiveness, creativity and engagement. There has been a sharp decline since early 2004 in the number of international humanitarian workers in Amman with any depth of experience in the country: only a handful remains.

Physical and psychological distance from the action also extracts a high cost on the motivation and emergency mindset of some international staff. This was evident as early as 2004 as agencies began to withdraw their international staff from the country. Isolation from communities in need was even then taking a toll on the sense of solidarity with affected populations that, for many aid workers, animates creative problem-solving and the willingness to take risks. However, of late the problem has deepened considerably and now even affects some Iraqis working with humanitarian organizations in Amman. Movement constraints inside Iraq may now mean that more Iraqi aid workers are cut off from the communities they have been working to help.



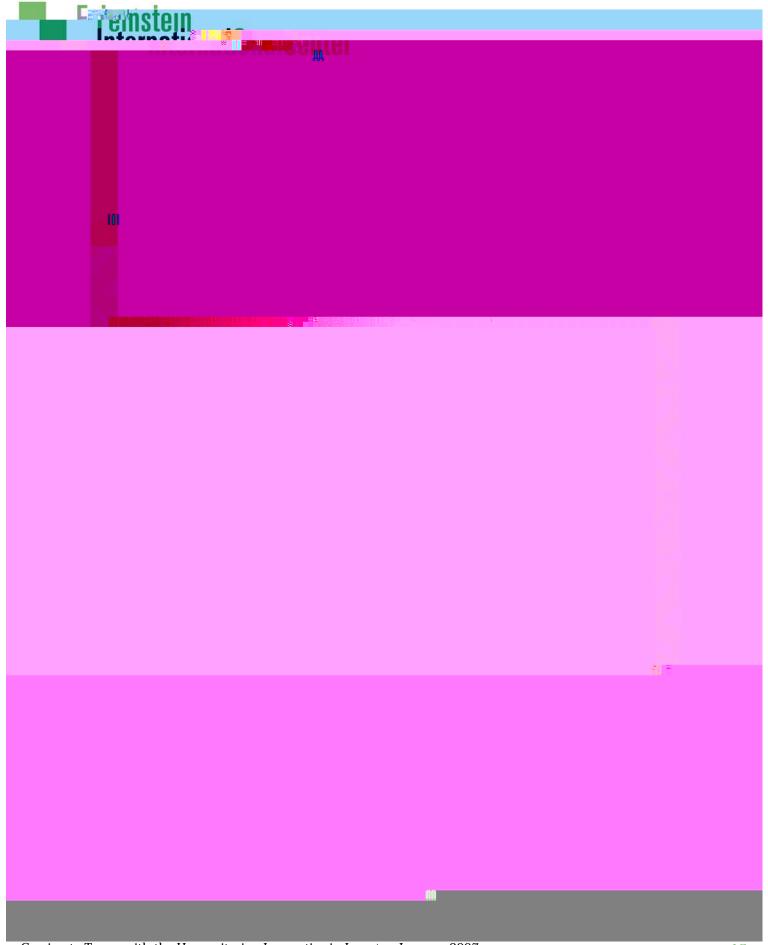
# **Constricted Access to Populations in Need and Diminishing Reliable Information**

The field of vision, connection to community and geographic scope of humanitarian organizations is decreasing at an alarming rate. As early as the summer of 2004 we noted the diminishing quality and timeliness of information available to humanitarian organizations. Our research in late 2006 confirms serious and increasing mobility constraints for Iragis in all but the 3 northern governorates. particularly since February of that year. These constraints further impair the work of humanitarian organizations by narrowing their fields of view inside Iraq and the geographic coverage of their work. Where once an organization had physical access to entire cities, governorates or regions, access for assessment, monitoring and delivery is often now reduced to local areas or neighborhoods known to be relatively safe for the particular aid workers concerned. Critically, relationships between Iraqi staff and local communities are being impaired or negated at a time when nuanced understandings of community dynamics are becoming much more necessary for negotiating access and making wise decisions about proportionality.

The Baghdad Bubble. The so-called "Green Zone" and all other MNF and government facilities are increasingly inaccessible to all but a chosen few Iraqis, assuming their willingness to risk the dangers involved in being seen to enter. While some Iraqi staff of international organizations opt to take these risks on a daily basis, their ability to continue to do so is increasingly tenuous as the security situation deteriorates. For the international staff of donors, UN agencies and other organizations ensconced within these facilities, there are almost no possibilities for moving beyond their blast walls without heavy MNF or private security escort. As a result, there are almost no opportunities for key decision-makers in the mainline humanitarian apparatus to inform their decisions with first-hand knowledge of conditions in Iraq, and few opportunities to speak with Iraqis who reject entry into such facilities. Some make genuine efforts to reach out to Iraqis visiting Amman, Damascus or the 3 northern governorates, but aid workers with closer connections to communities are often astonished at the blinkered and sometimes skewed character of the "Green Zone Mentality". 16

<sup>&</sup>lt;sup>16</sup> By way of example, a record of "key issues" raised on 5 December, 2006 during discussions in the "Green Zone" of the Inter-Agency Coordination Meeting of donors (including the EC Delegation, DFID, USAID, the Japanese Embassy, the Danish Embassy, the Italian Embassy), as well as UNAMI, the US Marine Corps, and the Baghdad Provincial Reconstruction Team, makes not a single mention of any discussion of humanitarian issues or escalating violence.

According to the record, discussion was limited to mention of working groups on elections and constitutional issues,





# IV. The Strategic Policy Environment for Humanitarian Action

The following conclusions and recommendations are derived from our recent HA 2015 research findings together with earlier research conducted in the region by the Humanitarianism and War Project in 2004 and 2005.

UNAMI's mandate under UNSC Resolution 1546<sup>21</sup> has created an increasingly dysfunctional strategic policy framework for humanitarian action. Resolution 1546 effectively shackled and subordinated the UN's humanitarian role to the fortunes or misfortunes of the MNF and to UNAMI's political role in facilitating the transition of Iraq away from occupation. From a humanitarian standpoint, the framework is dysfunctional and outdated: it negates a meaningful humanitarian role for the UN inside Iraq. Following the bombing of the Canal Hotel in Baghdad, mandate constraints and pressure from UN staff associations in New York left the former Secretary General with few options: there is now wholesale dependence of the UN on MNF forces for its presence, mobility and security, entailing complete reliance on militarized security strategies and ruling out any meaningful possibility for improving acceptance of the UN by local populations.

## Recommendations

1. A new strategic policy framework for UN humanitarian action in Iraq should be devised by the UN Secretary General and the UN Office for the Coordination of Humanitarian Affairs (OCHA), incorporating the following considerations, which donor agencies should themselves support:

The Iraqi state is failing by increments with little likelihood of a reversal in downward trends for the foreseeable future;

As new non-state power structures crystallize, localized humanitarian space is likely to increase;

Reassignment, reduction or complete withdrawal of MNF from central and southern Iraq is likely in the medium term, calling into question the current arrangement whereby UN and some donor agencies rely on the MNF for their security, mobility and presence;

<sup>&</sup>lt;sup>21</sup> United Nations Security Council, UN S/RES/1546 (2004), (8 June, 2004).



There is a strong likelihood of a build-up of US forces in the short term. There is widespread expectation that MNF assets and assistance activities can or should be relied upon as an expedient of first resort to assist the civilian population, rather than as an option of last resort. A military build-up is likely to be accompanied by a sharp increase in US military funding for the "build" component of "clear, hold and build operations" through the Commander's Emergency Response Programme (CERP).<sup>22</sup> This will further blur distinctions between military and humanitarian roles in areas that are worst affected by military confrontations and most in need of genuine humanitarian responses;

Major donors remain heavily invested in faltering reconstruction and nation-building efforts. Acknowledging the seriousness of the humanitarian situation may imply the failure of these efforts, causing donor reticence in providing adequate support for humanitarian efforts;

The International Reconstruction Facility for Iraq (IRFFI) and the International Compact for Iraq do not provide ready access to funds for emergency humanitarian response and are prone to politicization by international and Iraqi authorities.

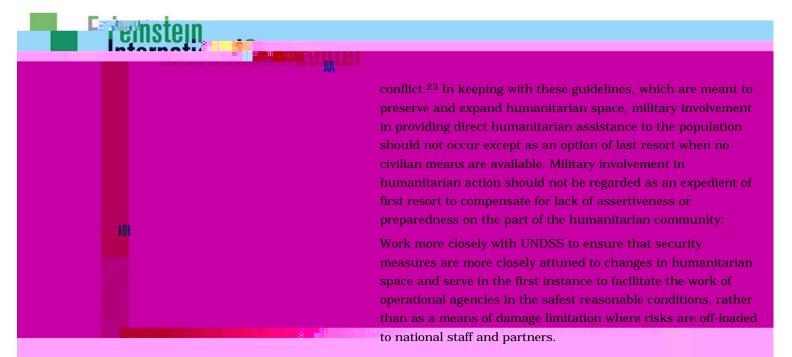
# The UN Emergency Relief Coordinator, Principals of the Interagency Standing Committee (IASC) and the UNAMI DSRSG / Humanitarian Coordinator:

2. Re-assert the neutral, impartial and operationally independent role of UN humanitarian agencies inside Iraq, paying particular attention to erecting needed firewalls against politicization and militarization of the UN's humanitarian response. Particularly:

Initiate a Consolidated Appeal for Iraq as a source of readily available funding for UN and NGO humanitarian programs that can be perceived as neutral, impartial and independent;

Ensure that humanitarian action is not in any way conditional on political or military benchmarks;

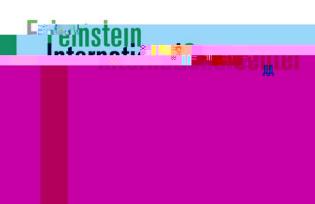
Formulate stringent policies for interactions between UN agencies and military / security forces in Iraq and actively promote compliance with UN guidelines among the humanitarian community and international parties to the



## The UN SRSG for Iraq:

- 3. Take steps to elevate the status of the humanitarian imperative in Iraq, in keeping with the growing severity of the crisis and the UN's mandated humanitarian responsibilities under UNGA Resolution  $46/182.^{24}$
- **4.** Play a more active stewardship role with all actors to protect against further instrumentalization, politicization and militarization of humanitarian action in Iraq, and to safeguard the humanitarian community's real and perceived neutrality, impartiality and operational independence.
- 5. Recognize that UNAMI's preoccupation with its own security since the Canal Hotel bombing in 2003 has not served the interests of those in acute need in Iraq, and has been fundamentally irreconcilable with the exercising of the UN's humanitarian responsibilities.
- **6.** Wean the UN's humanitarian apparatus from its dependence on MNF for presence, security and mobility, including:

<sup>&</sup>lt;sup>23</sup> The Iraq guidelines have not been updated since October 2004 and, in any case, are not widely known among humanitarian staff in the region. See UN OCHA, *Guidelines for Humanit1g2. 1 Tf-sd.6(sa)-1I ex5s-sd.51.6(m)-10(a)0.9(n)-21.(e)-26.6(m)-t(n)-20.6(m)-t(n)-2* 



Discontinue all co-location of UNAMI and UNCT staff with MNF and engage in an arm's length relationship with *all* significant combatants:

Request UNDSS to undertake an ongoing governorate-bygovernorate review of the UN's security posture with the aim of instituting a nuanced and localized approach to prevailing risks in a constantly changing environment;

Request accelerated deployment of the UN Humanitarian Air Service (UNHAS) and discontinue reliance upon MNF escorts and flights, except as a last resort.

- **7.** Canvas national and international UNAMI and UNCT staff regarding their willingness to undertake risks while pursuing their agencies' mandated humanitarian assistance and protection activities.
- **8.** Engage in greater outreach with Iraq's moral / religious leaders as part of a concerted strategy to explain the UN presence in the country and to achieve greater acceptance of humanitarian roles.

### **UN Staff Associations:**

9. Listen to national and international staff in UNAMI, the UNCT, and to other humanitarian organizations active in Iraq to develop a more nuanced understanding of mandated UN humanitarian responsibilities in conflict areas, the categorical nature of the humanitarian imperative, and the different ways that risks can be managed in conflict areas. UN credibility is on the line—and, justifiably or not, the humanitarian bona fides of its staff open to question—when there is insistence on zero risk or absolute protection for a chosen few international civil servants entrusted with assisting and protecting vulnerable populations in a war environment. <sup>25</sup> The security of UN staff is not enhanced when security procedures themselves entail wholesale compromises in the UN's real or perceived neutrality, impartiality and independence.

#### The Red Cross / Red Crescent Movement:

**10.** Strengthen efforts to disseminate international humanitarian law and the Fundamental Principles among all combatants and in

<sup>&</sup>lt;sup>25</sup> See "Concerns about security - Letter from CCISUA and FICSA to the Secretary General of the UN, November 2004, http://www.unspecial.org/UNS634/UNS\_634\_T07.html. See also a commentary by David Malone on the issue, UN anger over Iraq: Nobody said it would be safe, International Herald Tribune, (1 November 2004), http://www.ibt.com/onticles/2004/10/01/odmelone.ed2.php.





- **18.** Re-commit to the 23 principles of Good Humanitarian Donorship that were endorsed by major donor headquarters on 17 June,  $2003.^{26}$
- 19. Re-think presence. There is no substitute for donor presence, but it should serve to establish and strengthen (rather than to prevent and weaken) relationships with Iraqi communities and with humanitarian organizations that provide assistance and protection in a principled manner. Under present and emerging circumstances, such relationships cannot be pursued effectively from the "Green Zone" or from other MNF / Government facilities, or from militarized Provincial Reconstruction Teams (PRTs.)
- **20.** Do more to adapt to the Iraqi context. This will entail greater donor engagement with communities and closer relationships with operational partners. Acknowledge the unique contextual challenges, particularly the severe security and mobility constraints on information-gathering, needs assessment, monitoring and evaluation. Specifically:

Be more receptive to unconventional partnerships with Iraqi organizations that have demonstrated their effectiveness and commitment to a principled approach.

Actively encourage further development of high quality peer review networks and other locally-viable means of ensuring that funds are spent wisely by operational Iraqi or international partners. Sufficient levels of due diligence can and should be pursued by triangulation of information from different sources. Serious lapses in the accountability of reconstruction efforts—and widespread perceptions among Iraqis of corruption in all governmental, international and non-governmental assistance efforts—compel high standards of accountability across the board. However, if standards are inflexibly applied in Iraq, humanitarian work will continue to falter. Local innovations such as peer review, while challenging and imperfect, can and should be taken more seriously and used with other means of information gathering.

<sup>&</sup>lt;sup>26</sup> See Principles and Good Practice of Humanitarian Donorship, www.goodhumanitariandonorship.org/