

**Sanctions Assessment
Handbook
Executive Summary**

-- Final Review Draft --

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Executive Summary

The purpose of this handbook is to provide guidance to humanitarian practitioners and policymakers on identifying and measuring possible humanitarian consequences of sanctions. The information and guidelines presented here are relevant to a range of sanctions, including: arms embargoes, financial sanctions, travel-related sanctions and targeted trade sanctions. At the core of this handbook is an assessment methodology which facilitates evaluation of possible humanitarian consequences of sanctions. The methodology can be applied in advance of-, during-, or following sanctions, and aims to address two key challenges associated with humanitarian assessments under sanctions: (I) accurate determination of the current status of humanitarian conditions, and (II) separation of the impacts of sanctions on health and well-being from those due to other causes.

The early identification of possible humanitarian consequences of sanctions can reduce confusion about humanitarian conditions and their causes, and can help responsible parties mitigate any unintended consequences. It can also help improve the targeting of humanitarian assistance to best meet the needs of vulnerable groups.

The assessment methodology presented here is based on a human security conceptual framework (Chapter 2), and uses models of cause and effect (Chapter 3), combined with indicators of process and outcome (Chapters 4 & 5), to assist practitioners in identifying the unique impacts of sanctions. This conceptual framework operationalizes human security by defining two clusters of humanitarian and socio-economic conditions, each of which contains four subject areas: a "core" cluster -- comprising subject areas of Health, Food & Nutrition, Water & Sanitation, and Education -- and a "systemic" cluster: Governance, Economic Status, Physical Environment, and Demography. This configuration is referred to as the "4 + 4" human security subject areas.

Causal models identify how one thing causes another to occur. They feature causal pathways consisting of inter-related, intermediate steps linking actions with measurable outcomes. The use of criteria of causation -- including the temporal relationship between two variables; the strength of association between two factors; the consistency in the relationship between a number of factors; and the plausibility of the relationship between two factors -- assists in clarifying whether a causal relationship exists between variables. Identification of different types of causes -- including direct; indirect; adequate and sufficient causes -- also helps in identifying the intermediate steps in the chain of causation.

Causal models can be constructed by: clearly defining the actions and outcomes of interest (in this case: sanctions and humanitarian conditions); associating variables that may belong in causal chains; identifying potential, and then likely, causes; and constructing the pathways linking cause and effect.

Humanitarian indicators measure people's conditions of life. They may take the form of measures of PROCESS -- such as the number of children treated for malnutrition -- or measures of OUTCOME such as the percentage of children that are malnourished. The essence of the sanctions assessment methodology is to determine whether there are changes in humanitarian conditions (as measured by indicators) that may be due to sanctions.

This handbook includes a reference list of humanitarian indicators in each of the eight human security subject areas (Annex II). To ensure complementarity with existing assessment processes, priority indicators that are compatible with those indicators used in the Common



Country Assessment (CCA) process have been identified in each of the human security subject areas. These indicators are used to provide a starting point for assessing humanitarian conditions, for monitoring those conditions over time, and for identifying possible changes in conditions due to sanctions.

When constructing causal models, the PROCESS indicators will generally relate to measurement of the intermediate steps in the chain of causation while the OUTCOME indicators will be used to measure humanitarian conditions. Some of the PROCESS and OUTCOME indicators can be used as reference benchmarks against which to measure future changes, while others will be more suitable to measuring change during sanctions (Table 7).

Prior to assessing possible changes in humanitarian conditions that may be due to sanctions, a baseline assessment of conditions at an initial point in time (ideally prior to- or at the time of the imposition of sanctions) must be undertaken to establish a reference point against which to measure changes. The following points provide a checklist for undertaking a baseline assessment: (i) gather information on humanitarian conditions using primary and secondary data sources and leveraging other assessment processes; (ii) assess current conditions and recent trends in each of the "4 + 4" human security subject areas; (iii) identify possible factors influencing those conditions; (iv) establish a profile of vulnerability within the population; (v) identify 'gaps' or deficiencies in existing data/information; and (vi) prepare to use the baseline as a reference for future assessment of changes in conditions. Assessment of humanitarian vulnerability represents a key component of the baseline assessment and can be undertaken using approaches such as the Vulnerability Assessment and Mapping (VAM) technique.

The methodology for assessing the humanitarian implications of sanctions consists of five steps:

Step I - Clearly identify the sanction measures (types of sanctions proposed or in place) and outcome (humanitarian conditions) of interest;

Step II - Undertake a 'baseline' assessment of conditions prior to sanctions;

Step III - For each of the "4 + 4" human security subject areas, construct causal models to identify possible linkages between sanctions measures and humanitarian conditions;

Step IV - Identify potential sources of information for each of the PROCESS and OUTCOME indicators identified in the causal models, and gather the necessary information to complete the models;

Step V - In each human security subject area, identify and extract the contribution of sanctions to the observed effects, separate from effects due to other causes

Identification of indicators and data sources unique to different types of targeted sanctions -- including arms embargoes, financial sanctions, travel-related sanctions, and targeted trade sanctions -- facilitates the application of this generic methodology to these types of sanctions.

Standards for humanitarian assessments outlined in this handbook (see Chapter 6) include consideration of the elements that must be contained in such assessments, and the required elements of an assessment report. The following section headings provide a template for drafting assessment reports: *Introduction; Procedure & Methodology; Baseline and Prior Assessments; Assessment of Current Conditions; Results of Causal Modeling; Humanitarian Implications of Sanctions; and Findings.*

Finally, this assessment methodology can be applied to situations other than sanctions, including: identifying the unique impact of conflict, or HIV/AIDS, on overall humanitarian conditions; contributing to the UN Common Country Assessment process; and undertaking humanitarian needs assessments (Chapter 7).