

HANDBOOK FOR PLANNING AND IMPLEMENTING

Development Assistance for Refugees (DAR) Programmes



UNHCR

United Nations High Commissioner for Refugees
Haut Commissariat des Nations Unies pour les réfugiés

Geneva January 2005

HANDBOOK FOR PLANNING AND IMPLEMENTING

Development Assistance for Refugees (DAR) Programmes

Prepared by

Amadou Tijan Jallow

*Consultant, Reintegration and Local Settlement Section
Division of Operational Support
UNHCR, Geneva*

Sajjad Masood Malik

*Senior Rural Development Officer,
Reintegration and Local Settlement Section
Division of Operational Support
UNHCR, Geneva*

Copyright © United Nations High Commissioner for Refugees (UNHCR)
First edition issued January, 2005.

Any Module or part thereof may be reproduced, translated into other languages or adapted to meet local needs without the prior permission of UNHCR provided that:

- The Modules or parts used are distributed for free, and not for profit; and
- UNHCR is acknowledged as the originating source.

UNHCR Geneva would be grateful to receive copies of any adaptation or translation into other languages.

For further information, please contact:

The United Nations High Commissioner for Refugees
Reintegration and Local Settlement Section
Division of Operational Support
PO Box 2500
1211 Genève 2 Dépôt
Switzerland
e-mail: HQTS02@unhcr.ch

UNHCR appreciates the support received from the German Federal Ministry for Economic Co-operation and Development (BMZ) for the funding of this publication.

Editing, Design and Layout by:

Creative Lynx, Jackson et Associés
Rue de Saint-Léger 2
CH-1205 Genève

Photo credits:

SRI LANKA/IDPs/Fishing project in Point Pedro, Jaffna area/UNHCR/R. Chalasani/2002.

ZAMBIA/Refugee and Host Communities/Construction of pontoon bridge to improve communication across Zambezi River/Pavarotti Fund/UNHCR/C. Mirtenbaum/2004.

INDIA/Self-reliance/computer classes at the Don Bosco Ashalayam project/New Delhi/UNHCR/S. Akbar/2002.

ZAMBIA/Refugee and Host Communities/Nkenga Local Development Committee education project/Zambia Initiative/UNHCR/N. Hoas/2004.

SRI LANKA/IDPS/Tellepelai/UNHCR agriculture program for psychiatric patients of hospital/UNHCR/R. Chalasani/2002.

ARMENIA/Ethnic Armenian refugees from Azerbaijan (from Nakhichevan), UNHCR/UHCDR micro-credit, raise poultry in Masis/UNHCR/A. Hollmann/1999.

FOREWORD

I am happy to present this Handbook on planning and implementing Development Assistance for Refugees (DAR) programmes. DAR is a concept that attempts to move beyond the vital, but static, relief phase of an operation and towards improving the quality of life in asylum, building productive capacities of refugees (and preparing them for durable solutions) and contributing to poverty eradication in refugee hosting areas. DAR is solutions oriented, inclusive (it brings together the capacities of refugees, hosts, government, development and humanitarian partners, civil society and others) and is firmly in line with United Nations Millennium Development Goals.

This guide is targeted at UNHCR and its partners (governments, UN Country Teams, civil society and others), and is intended to help to operationalize DAR component of the Framework for Durable Solutions for Refugees and Persons of Concern (UNHCR, May 2003), and to serve as a tool for the implementation of the Convention Plus Initiative. The Handbook advocates a participatory and inter-agency approach to formulating, implementing, monitoring and evaluating DAR programmes, including mainstreaming gender and age. It also incorporates principles contained in the UNDG Guidance Note on Durable Solutions for Displaced Persons (October 2004) which was shared with UNHCR staff by the High Commissioner (IOM 080/2004-FOM 082/2004 of 9 December 2004).

The Handbook is the outcome of comprehensive reviews of ongoing programmes, extensive research on “good practices” and insightful contributions of many individuals and organizations. We would like to thank, in particular, the Governments of Cote d’Ivoire, Denmark, Ethiopia, Gabon, Japan, Norway, Serbia and Montenegro, Sudan, Uganda, USA and Zambia; sister UN agencies (FAO, ILO, UNDP, UNICEF, UNOPS, WFP, WHO); NGOs (Danish Refugee Council and US Committee for Refugees); bilateral development entities (JICA and DANIDA); UNHCR staff at HQ and in the field; and many others who actively participated in the development of the Handbook, generously gave their time and shared their ideas.

Application of the DAR concept will be influenced by existing social, legal, economic, political, security and other conditions. Users of the Handbook should therefore apply its suggestions creatively. The Handbook should be viewed as a “living” document to be enriched by new experiences and lessons learned. Feedback from users is therefore welcome, as this will facilitate regular update of the Handbook.

This Handbook is but one step, albeit an important one, towards consolidating a more solutions-oriented approach to refugee assistance in UNHCR. We plan in the coming months to integrate the key concepts, principles and programming approaches contained in the Handbook into UNHCR's operations management system, and undertake training activities for UNHCR and partner staff. Through these measures we look forward to ensuring that many of the millions of refugees in protracted refugee situations see improvements in their lives through the realization of Development Assistance to Refugees.

A handwritten signature in black ink, reading "Marjon Kamara". The signature is fluid and cursive, with a long horizontal stroke extending to the right.

Marjon Kamara
Director, DOS/UNHCR

ACKNOWLEDGEMENTS

This Handbook is the product of a collaborative effort involving many individuals and organizations. We would like to thank in particular the following: refugees and host communities, provincial/district authorities, government officials, donors, UN agencies and many others met during the mid-term review of the Uganda Self-Reliance Strategy for Refugee hosting areas in Moyo, Arua and Adjumani Districts, the review of the local integration programme of Serbia and Montenegro and the field visit to the Zambia Initiative project sites in the Western Province.

The preparation of the Handbook benefited greatly from the active interest, inputs and suggestions made by all those who took part in the Lusaka and Geneva DAR Handbook design and validation workshops: government officials (Cote d'Ivoire, Denmark/DANIDA, Ethiopia, Gabon, Japan/JICA, Norway, Sudan, Uganda, USA and Zambia); UN agencies (FAO, ILO, UNDP, UNICEF, UNOPS, WFP, WHO); NGOs (Danish Refugee Council and US Committee for Refugees); UNHCR staff from New York, Serbia and Montenegro, South Africa, Venezuela and Zambia and various UNHCR HQ units (Africa, Americas, CASWANAME and Europe bureaux, Department of International Protection, Division of External Relations, the Convention Plus Unit, Women, Children and Community Development Section, Programme Coordination and Operations Support Section and the Reintegration and Local Settlement Section). The logistical and other support provided by UNHCR Gambia to the Consultant is gratefully acknowledged.

The Handbook also benefited from the contributions of Kathleen Dick and Claudia Flores-Somera, UNHCR interns from Ryerson University, Canada and Princeton University, USA, respectively. They were particularly helpful in the preparation of Part III of the Handbook dealing with tools for assessment and planning and for promoting participatory development.

We are grateful for the inputs and support we received from colleagues in the Reintegration and Local Settlement Section, in particular, Niels Harild, Nina Hoas, Myriam Houtart, Felipe Camargo and Pablo Mateu in the preparation of the Handbook.

Amadou Tijan Jallow
Sajjad Masood Malik

January 2005

EXECUTIVE SUMMARY

The DAR programming approach seeks to improve burden-sharing with countries and communities hosting large refugee populations, promote a better quality of life for refugees and their hosts, facilitate self-reliance for refugees and prepare them for durable solutions, and to contribute to poverty eradication in refugee-hosting areas. In doing so it aims to place refugee concerns and those of the host communities in development agendas and mobilize additional development assistance. The DAR programming approach brings together the capacities and resources of communities (refugees and hosts), governments, development and humanitarian partners to comprehensively tackle displacement, poverty and underdevelopment in refugee hosting areas. DAR programmes are therefore of benefit to all partners.

The DAR programme concept builds upon the *Agenda for Protection* and incorporates principles contained in the *UNDG Guidance Note on Durable Solutions for Displaced Persons* (October 2004). It operationalizes the *Framework for Durable Solutions* and serves as a tool for the implementation of *Convention Plus* initiative.

The DAR concept is:

- **an integrated approach** (i.e. inclusive of refugees and hosts, and inter-sectoral) to providing assistance and protection in asylum, based on partnerships between host governments, humanitarian and development partners (donors, UN agencies, etc.), refugees, host communities, local authorities (district/provincial) and other actors (eg. NGOs, CBOs, private sector). DAR also promotes the use of existing government and national structures, plans and processes as the basis for programme activities (rather than stand-alone initiatives) to assure national ownership and sustainability;
- **an area and community-based** rather than a beneficiary focused approach - it targets both refugees and host communities and promotes peaceful co-existence;
- **a process** for preparing refugees for durable solutions which evolves from the initial stages of a refugee situation, factors concerns for durable solutions, and is applicable to protracted refugee situations as well; and
- **a conceptual and planning tool** for addressing poverty eradication and local development in refugee hosting areas and communities, and ensuring more efficient use of both humanitarian and development resources.

This Handbook translates the DAR programme concept into an operational tool. It provides guidance to governments, United Nations Country Teams, civil society and other partners on how to plan and implement DAR programmes and offers a platform for collaboration between governments, UNHCR and other humanitarian and development partners, NGOs and the private sector. It synthesizes field experiences and lessons and is based on extensive research on relevant development planning approaches, reviews of ongoing programmes and inputs and contributions of many individuals and organizations. The Handbook provides examples of “good practices”, country case studies and information on tools and methods to support planning and implementation.

Traditional relief-based approaches to providing assistance to refugees have undoubtedly saved lives, but have not always been effective in systematically building productive capacities and preparing them for durable solutions. They have also made marginal contributions to local development and poverty eradication in refugee hosting areas. In many situations, refugees and refugee hosting areas are marginalised in development agendas. The DAR concept promotes assistance to refugees as an integral part of poverty-focused local and national development plans, programmes and processes. This will prepare refugee populations for durable solutions, benefit local economic development, and contribute to the achievement of the Millennium Development Goals. It will also improve burden-sharing as poor developing nations carry a disproportionate share of the global refugee population and persons of concern.

The Handbook advocates an integrated and participatory approach guided by a set of principles including the following: full government leadership and participation in all stages of conception, design, implementation, monitoring and evaluation of programmes; establishing supportive policies and practices of host governments to create the conditions for refugees to pursue productive livelihoods - eg. freedom of movement, access to jobs and services (health, education, etc.), and productive resources (eg. land) - promote a rights-based approach; and responding to national and district development objectives of poverty reduction and social and economic progress, through integration into development plans and programmes such as the UN Common Country Assessment/United Nations Development Assistance Framework (CCA/UNDAF), national development plans, poverty reduction strategies and sector plans, as well as provincial/district planning and budgeting mechanisms.

The Handbook outlines a five step DAR planning process as follows:

- initiating consultations and building consensus;
- setting up institutional mechanisms for planning, including a small task force to oversee the planning process;
- conducting in-depth and participatory assessments to generate information needed to formulate the DAR Strategy and Action Plan;
- defining a strategy and detailed action plan; and
- validating the strategy and action plan.

The Handbook also covers various aspects relating to fundraising. It recommends that fundraising should start early - during the design and planning stages and not wait for completion of the planning exercise. Fundraising for complex and multi-stakeholder operations such as DAR programmes is challenging. Some suggestions are given on the prerequisites for successful fundraising, strategies to mobilize resources and ways to fund DAR programmes. Essential pre-requisites for fundraising include early donor involvement and integration in national development priorities. A comprehensive fund raising strategy should be devised as quickly as possible - this activity should ideally be done during the strategy development phase.

Successful implementation hinges on many factors, including host government playing a leading role, a relatively stable security and political situation and transparent decision-making and adequate flow of information among stakeholders. The Handbook recommends that a joint approach (with development partners and other stakeholders) be adopted in both the planning and implementation phases. UNHCR should avoid designing and implementing DAR programmes on its own, or running parallel relief care and maintenance programmes for extended periods. To facilitate quick and effective implementation, it is suggested that existing structures be used/reinforced. Where necessary, establish institutional arrangements at national, provincial/district and local.

The Handbook underlines the importance of community-based approaches in implementing DAR programmes. Such approaches are primarily concerned with ensuring full involvement and participation of local stakeholders in decisions. Suggestions are provided on various measures to strengthen community participation, including the following activities:

- undertaking joint projects involving both refugees and host communities, to promote peaceful co-existence;
- facilitating regular consultations on all matters regarding implementation;
- introducing self-help and income generation activities to build productive capacities;
- setting up community revolving funds to directly channel resources to groups and individuals to support productive activities;
- using community members (refugees and nationals) to the extent possible, to provide the skilled labour (or provide necessary training and create skilled labour force) and inputs for construction of community facilities such as schools, clinics, irrigation systems and water points, feeder road construction. This will directly inject cash into communities, build assets and skills and provide jobs and employment, and in the process also prepare refugees for solutions.

The Handbook recommends that measures be taken early to ensure that staff with the right profile and expertise is deployed by UNHCR and partners. Adequate implementation capacity (in terms of organizational competence, structure, resources and processes, including legal frameworks and institutions) is also an essential determining factor in the success of DAR programmes. Capacity-building projects should involve local NGOs, local authorities and communities. Lack of a decentralized capacity at provincial/district level could hamper early implementation (and planning as well). In such instances it would be necessary to undertake early capacity building as part of the planning process.

The Handbook highlights key issues in monitoring and evaluation (M&E), and provides suggestions on how to monitor and evaluate DAR programmes. The use of instruments such as the UNDAF Monitoring and Evaluation Framework and the UNDAF Results Matrix for monitoring and evaluating DAR programmes is strongly encouraged, as this will further contribute to placing refugees and refugee hosting areas on development agendas.

DAR programmes will be planned and implemented in a variety of situations and would be influenced by many factors - the history of the conflict and displacement, whether one is dealing with “new”, “stable” or “breakthrough” (i.e. repatriation imminent) refugee situations, whether refugees are found in urban or rural settings, existing government policies and/or practices with respect to refugees (eg. access to land, freedom of movement) and a host of other factors (eg. economic, social, political and security conditions that obtain in refugee hosting areas). Given the great diversity of settings in which refugees are found, the Handbook does not provide comprehensive guidance to cover all the myriads of situations that may arise. Instead, the Handbook offers a broad set of strategic, policy and operational guidelines within which users may identify the elements that are more relevant to their own specific circumstances, and incorporate them in their planning.

TABLE OF CONTENTS

FOREWORD	iii
ACKNOWLEDGEMENTS	v
EXECUTIVE SUMMARY	vi
TABLE OF CONTENTS	xi
LIST OF ACRONYMS AND ABBREVIATIONS	xiv
LIST OF BOXES, FIGURES, TABLES AND ANNEXES	xix
LIST OF SYMBOLS	xxi
INTRODUCTION	xxii

PART I: MAIN CONCEPTS AND ISSUES

MODULE ONE: DEVELOPMENT ASSISTANCE FOR REFUGEES (DAR): CONCEPT, RATIONALE AND GUIDING PRINCIPLES

SUMMARY OF MODULE ONE	1
INTRODUCTION	1
Section 1: WHAT IS DEVELOPMENT ASSISTANCE FOR REFUGEES?	2
1.1 Background	2
1.2 Definition and Characteristics of DAR Concept	5
Section 2: THE RATIONALE AND AIMS OF DAR PROGRAMMES	6
2.1 Rationale	6
2.2 What DAR Programmes Aim to Achieve	10
Section 3: BENEFITS TO VARIOUS PARTNERS	12
Section 4: GUIDING PRINCIPLES	13
Section 5: PROTECTION	15
Section 6: POTENTIAL CHALLENGES AND HOW THEY CAN BE OVERCOME	16
CONCLUSION	17

MODULE TWO: DEVELOPMENT PLANNING PROCESSES	
SUMMARY OF MODULE TWO	1
INTRODUCTION	1
Section 1: DEVELOPMENT PLANNING TOOLS AT NATIONAL LEVEL	2
1.1 Typology Of Planning Frameworks	
1.2 Establishing Linkages	3
Section 2: LOCAL DEVELOPMENT PLANNING PROCESSES	6
2.1 Typology of Local Development Approaches	6
2.2 Benefits of Local Development Approaches	10
Section 3: MEASURES TO STRENGTHEN COLLABORATION BETWEEN HUMANITARIAN AND DEVELOPMENT PARTNERS	11
CONCLUSION	13

PART II: HOW TO PLAN, IMPLEMENT, MONITOR AND EVALUATE DAR PROGRAMMES

MODULE THREE: THE DAR PLANNING PROCESS	
SUMMARY OF MODULE THREE	1
INTRODUCTION	1
Section 1: POSSIBLE DAR PLANNING SCENARIOS	2
Section 2: SUGGESTED STEPS FOR A DAR PLANNING PROCESS	7
Section 3: ELEMENTS OF A DAR STRATEGY AND ACTION PLAN	26
Section 4: INFORMATION MANAGEMENT MECHANISMS	28
4.1 Managing Information in an integrated Manner	28
4.2 Institutional Aspects of Information Management	29
CONCLUSION	30

MODULE FOUR: RESOURCE MOBILIZATION AND IMPLEMENTATION	
SUMMARY OF MODULE FOUR	1
INTRODUCTION	1
Section 1: RESOURCE MOBILIZATION	1
1.1 Essential Pre-requisites	2
1.2 Strategies for Fund Raising	3
1.3 How DAR Programmes can be Funded	5

Section 2:	IMPLEMENTATION	6
	2.1 Joint Implementation and Linkages with Partners	6
	2.2 Institutional Arrangements for Implementation	8
	2.3 Strengthening Community-Based Approaches	11
	2.4 Staffing Strategy	13
	2.5 Sustainability	14
	2.6 Measures to Build or Strengthen Capacities	15
	2.7 Role of Partners, Including UNHCR	18
	2.8 UNHCR-specific Implementation Arrangements	21

CONCLUSION

MODULE FIVE: MONITORING AND EVALUATION

	SUMMARY OF MODULE FIVE	1
	INTRODUCTION	1
Section 1:	PROGRAMME MONITORING	1
	1.1 General Monitoring Issues	1
	1.2 Monitoring DAR programmes	3
	1.3 Monitoring UNHCR-specific projects	4
Section 2:	PROGRAMME EVALUATION	5
	2.1 General Evaluation Issues	6
	2.2 Suggestions for Evaluating DAR Programmes	7
Section 3:	PARTICIPATORY MONITORING AND EVALUATION	8
	CONCLUSION	9

PART III: TOOLS FOR ASSESSMENT, PLANNING AND PARTICIPATORY DEVELOPMENT

APPENDIX I: ASSESSMENT AND PLANNING TOOLS

	1 INTER-AGENCY/JOINT ASSESSMENTS	1
	2 SAMPLE SURVEYS	8
	3 SEMI-STRUCTURED INTERVIEWS	11
	4 FOCUS GROUP DISCUSSIONS	16

APPENDIX II: TOOLS FOR PROMOTING PARTICIPATORY LOCAL DEVELOPMENT

GLOSSARY

REFERENCES

USEFUL WEBSITES

LIST OF ACRONYMS AND ABBREVIATIONS

4Rs	Repatriation, Reintegration, Rehabilitation and Reconstruction
ADB	Asian Development Bank
AfDB	African Development Bank
AIC	Appreciation Influence Control
APC	Action Plan Committee
AU	African Union
BA	Beneficiary Assessment
CAFS	Centre for African Family Studies
CAP	Consolidated Appeals Process (UN)
CARE	Care International (INGO)
CAS	Country Assistance Strategy (World Bank)
CASWANAME	Central Asia, South West Asia, North Africa and Middle Esat (UNHCR)
CBO	Community-Based Organization
CCA	Common Country Assessment (UN)
CDA	Conflict-related Development Analysis
CDD	Community-Driven Development (World Bank)
CDF	Comprehensive Development Framework (World Bank)
CEPs	Community Empowerment Projects (UNHCR)
CFCs	Chlorofluorocarbons
CIREFCA	Conferencia Internacional sobre Refugiados Centroamericanos - International Conference on Central American Refugees
CIS	Commonwealth of Independent States
COMAR	Mexican Commission for Refugee Assistance
COP	Country Operations Plan
CPA	Comprehensive Plans of Action
CRC	Convention on the Rights of the Child
C&M	Care and Maintenance (UNHCR)
DAC	Development Assistance Committee (OECD)
DANIDA	Danish International Development Agency
DAR	Development Assistance for Refugees
DASS	Danish Assistance to the Self-Reliance Strategy (Uganda)
DER	Division of External Relations (UNHCR)

DFID	Department for International Development (UK)
DIP	Department of International Protection (UNHCR)
DLI	Development through Local Integration
DOS	Division of Operational Support (UNHCR)
DOTS	Directly Observed Treatment (for Tuberculosis)
DRC	Danish Refugee Council
<hr/>	
ECHA	Executive Committee for Humanitarian Affairs (UN)
ECHO	European Commission's Humanitarian Aid Department
ECHR	European Convention for the Protection of Human Rights and Fundamental Freedoms
ECRE	European Council on Refugees and Exiles
EPAU	Evaluation and Policy Analysis Unit (UNHCR)
ExCom	Executive Committee (UNHCR)
EU	European Union
<hr/>	
FAO	Food and Agriculture Organization
FAR	Romanian Foundations and Associations
FGM	Female Genital Mutilation
<hr/>	
GA	Gender Analysis
GDP	Gross Domestic Product
GTZ	Deutsche Gesellschaft für Technische Zusammenarbeit (German Development Cooperation)
GoU	Government of Uganda
GRZ	Government of Republic of Zambia
<hr/>	
HIPC	Heavily Indebted Poor Country
HIV	Human Immunodeficiency Virus
HQ	Headquarters
<hr/>	
ICARA	International Conference on Assistance to Refugees in Africa
ICCPR	International Covenant on Civil and Political Rights
ICESCR	International Covenant on Economic, Social and Cultural Rights
ICPD	International Conference on Population and Development
IDP	Internally Displaced Person
IFP/SEED	InFocus Programme on Boosting Employment through Small Enterprise Development (ILO)
IGA	Income Generating Activities

IGPRA	Income Generating Project for Afghan Refugee Hosting Areas (UNHCR/World Bank in Pakistan)
ILO	International Labour Office
IMC	Inter-Ministerial Committee (Zambia)
IP	Implementing Partners
IOM-FOM	Inter Office Memorandum - Field Office Memorandum (UNHCR)
IOM	International Office for Migration
<hr/>	
JICA	Japan International Cooperation Agency
<hr/>	
LC	Local Councils (Uganda)
LDC	Local Development Committee of the Zambia Initiative
LG	Local Government
LS	Local Settlement
LWF	Lutheran World Federation
<hr/>	
MDGs	Millennium Development Goals
MTEP	Medium-Term Expenditure Plan
M&E	Monitoring and Evaluation
MCH	Maternal and Child Health
MHA	Ministry of Home Affairs (Zambia)
MoE	Ministry of Education
MoH	Ministry of Health
<hr/>	
NEPAD	New Partnership for Africa's Development
NEX	National Execution Modality (UNDP)
NDP	National Development Plan
NGO	Non-Governmental Organization
NRS	National Recovery Strategies
NUSAF	Northern Uganda Social Action Fund
<hr/>	
ODA	Official Development Assistance
OECD	Organization for Economic Co-operation and Development
OMS	Operations Management System (UNHCR)
OPEC	Organization for Petroleum Exporting Countries
OPM	Office of the Prime Minister (Uganda)
OXFAM	Oxford Committee for Famine Relief
<hr/>	
PCNA	Post Conflict Needs Assessment
PCOS	Programme Coordination and Operations Support Section (UNHCR)

PDCC	Provincial Development Coordinating Committee (Zambia)
PLA	Participatory Learning and Action
PM&E	Participatory Monitoring and Evaluation
PPLA	Protection Policy and Legal Advice Section (UNHCR)
PPD	Participatory Programme Development
PPM	Project Planning Matrix
PPP	Purchasing Power Parity
PRA	Participatory Rural Appraisal
PRODERE	The Development Programme for Displaced Persons, Refugees and Returnees in Central America
PRSP	Poverty Reduction Strategy Paper
PU	Programme Unit
<hr/>	
QIP	Quick Impact Project (UNHCR)
<hr/>	
RA	Rapid Appraisal
RBM	Results-Based Management
RLSS	Reintegration and Local Settlement Section (UNHCR)
RRA	Rapid Rural Assessment
<hr/>	
SA	Social Assessment
SA	Sponsoring Agency
SARAR	Self-Esteem, Associative Strengths, Resourcefulness, Action Planning and Responsibility
SCC	Systematic Client Consultation
SGBV	Sexual and Gender-Based Violence
SitRep	Situation Report
SL	Sustainable Livelihoods
SPMR	Sub-Project Monitoring Report (UNHCR)
SRS	Self-Reliance Strategy (GoU and UNHCR)
SSI	Semi Structured Interview
SWAP	Sector-Wide Approach
<hr/>	
TSS	Transitional Support Strategy (World Bank)
TOR	Terms of Reference
<hr/>	
UDENOR	Unida de Desarrollo Norte (Northern Region Development Unit - Ecuador)
UN	United Nations
UNAIDS	Joint United Nations Programme on HIV/AIDS
UNCDF	United Nations Capital Development Fund

UNCED	United Nations Conference on Environment and Development
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDG	United Nations Development Group
UNDP	United Nations Development Programme
UNGASS	United Nations General Assembly Special Session
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children’s Fund
UNOPS	United Nations Office for Project Services
UNV	United Nations Volunteer
<hr/>	
WB	World Bank
WCCDS	Women, Children and Community Services (UNHCR)
WCS	World Conference on Science
WCW	World Conference on Women
WFP	World Food Programme
WHO	World Health Organization
WSSD	World Summit on Social Development
<hr/>	
ZI	Zambia Initiative
ZOPP	Objectives-Oriented Project Planning

LIST OF BOXES, FIGURES, TABLES AND ANNEXES

BOXES

2.1	The World Bank's Community-Driven Development	8
2.2	Conditions for Successful Community-Based Projects	9
3.1	DAR Initiatives in Areas Hosting Colombian Refugees	12
3.2	Tips on Social/Gender Inclusion	21
3.3	Examples of Overall Goals of DAR Programmes	26
4.1	Funding Mechanisms: Collaborative Tools and Instruments	7
4.2	Use of Local Development Committees to Strengthen Community Participation in the Zambia Initiative	11
5.1	General Weaknesses in Monitoring Activities	5

TABLES

2.1	Suggestions on linking DAR Programmes with Planning Frameworks	4
2.2	Examples of Potential Uses of Local Development Approaches	10
3.1	Main features: "New/emerging", "Stable" and "Breakthrough" Refugee Settings and Possible Actions for DAR Programmes	3
3.2	Summary of Assessment Goals, Activities and Tools	17
3.3	Elements of DAR Strategies under Different Settings	22
3.4	Suggested Goals, Outputs and Themes for a National Validation Workshop	25
4.1	Structures, Partners and Functions in Implementation	9
4.2	Partner Strengths and Roles	18

FIGURES

1.1	The Framework for Durable Solutions	4
1.2	Persons of Concern to UNHCR 1993-2003	7
1.3	Major Protracted Refugee Situation by Region (year-end 2003)	7
1.4	Population of Concern to UNHCR by Spatial Setting (year-end 2003)	8
1.5	Population of Concern to UNHCR in Camps by UNHCR Regional Bureau (year-end 2003)	8
2.1	Linkages Among Planning Frameworks	3
2.2	Overview of Inter-Agency Planning Tools and Instruments	5

3.1	Steps for a DAR Planning Exercise	7
3.2	Community Action Plans Formulation and Inclusion into District Development Plans - Uganda	16
3.3	Information for Decision Making	28
4.1	Institutional Arrangements for the Zambia Initiative	10

ANNEXES

1.1	Overview of the Agenda for Protection and Convention Plus	18
1.2	Potential Challenges and Responses	22
1.3	Examples of Countries Where DAR Programmes and Similar Initiatives are Currently Being Implemented/Considered	24
2.1	UNHCR Inter-Office Memorandum No. 80/2004/UNHCR Field Office Memorandum No. 82/2004	14
2.2	Matrix of Alternative Approaches to Supporting Local Development	16
2.3	Basic Questions in Deciding on a Community-based Approach	18
2.4	Comparative Features, Strengths and Weaknesses of Community/Village and District-Based Planning Approaches	19
2.5	Sample Terms of Reference - UN Multisectoral Assessment Mission for the Needs of Host Communities in Eastern Chad	20
3.1	UNHCR Operations Management System - A Summary	31
3.2	Sample Terms of Reference - UN Inter-agency Assessment of the Northern Border of Ecuador - June 2004	33
3.3	Key Resource Materials on Refugee Women, Refugee Children and Sexual and Gender-Based Violence.	37
3.4	Main Features of a Livelihoods-Centred Approach	39
3.5	Summary of Sector Interventions in the Zambia Initiative	44
4.1	Sample Memorandum of Understanding: Agreement on the Development Of Refugee Hosting Communities of Western Province: The Zambia Initiative Programme	24
4.2	Sample Terms of Reference - Technical Expert for Uganda SRS-DAR programme	27
4.3	Sample Terms of Reference - Zambia Initiative (ZI) National Coordinator	29
4.4	Sample Terms of Reference - Zambia Initiative Provincial Coordinator	31
5.1	Common Country Assessment Indicators - Millennium Declaration and Conference Indicators	10
5.2	Key Questions when Planning and Carrying out Evaluations	13

LIST OF SYMBOLS



Denotes suggestions for further reading on a particular topic.



Denotes a tip or particularly important point.



Denotes a definition box.



Denotes a reference to a section within the handbook.



Denotes the continuation of a table.

INTRODUCTION

Why the Handbook

Assisting millions of refugees and persons of concern to find durable solutions is an urgent task that requires the efforts of many partners - at global, regional, national and local levels. Governments have a lead responsibility to find durable solutions for displaced populations. The United Nations Country Team (UNCT), bilateral and multilateral donors, civil society and other partners have an important supporting role, particularly in ensuring linkages with poverty eradication efforts and development plans and programmes, and in building capacities and mobilizing resources. Concerted action will help ameliorate the conditions of refugees, prepare them for durable solutions and contribute to the achievement of the Millennium Development Goals (MDGs), particularly the eradication of poverty in refugee hosting areas.

Much progress has been made in the development of UN system-wide tools for post-conflict and transitional situations. The United Nations Development Group/Executive Committee for Humanitarian Affairs' (UNDG/ECHA) report on post-conflict transitions contains many useful ideas on how to ensure sustainable return and reintegration¹. A Guidance Note on integrating concerns for durable solutions for displaced populations (refugees, internally displaced persons (IDPs) and returnees) in UN Common Country Assessment/UN Development Assistance Framework (CCA/UNDAF) processes was issued in October 2004². Building on the above mentioned UN system wide tools, this Handbook provides detailed guidance on how UNHCR and partners in the UNCT, in collaboration with governments, donors and civil society, can jointly plan and implement programmes focusing specifically on refugees and host communities.

For UNHCR, the Agenda for Protection, Convention Plus and the Framework for Durable Solutions for Refugees and Persons of Concern provide overarching policy frameworks based on its mandate to provide international protection and humanitarian assistance³ to refugees and other persons of concern⁴, and to help bring about durable solutions (i.e. voluntary

¹ Report of the UNDG/ECHA Working Group on Transition Issues (February 2004).

² UNDG Guidance note was disseminated to UNHCR staff through IOM/FOM/082/2004.

³ The legal basis for these functions is provided by the Statute of the Office (General Assembly Resolution 428 (V) Annex of 14 December 1950) which defines the work of the High Commissioner as entirely non-political, humanitarian and social, as well as various General Assembly Resolutions (eg. 538 (VI) of 2 February 1952, 832 (IX) of 21 October 1954, 33/26 of 29 November 1978).

⁴ Persons of concern include refugees, persons fleeing conflict or serious disturbances of the public order, returnees, stateless persons and internally displaced persons (in some situations).

repatriation, local integration or resettlement). The Framework for Durable Solutions, issued in May 2003, in particular proposes three programming concepts:

- Development Assistance for Refugees (DAR) programme approach to prepare refugees for durable solutions;
- Repatriation, Reintegration, Rehabilitation and Reconstruction (4Rs) approach to ensure sustainable return and reintegration; and
- Development through Local Integration (DLI) approach to promote local integration, where feasible.

Development Assistance for Refugees (DAR) is a programming approach which aims to place refugee concerns and those of the host communities in development agendas, mobilize additional development assistance and improve burden-sharing with countries hosting a large number of refugees. It seeks to promote a better quality of life and self-reliance for refugees and prepare them for durable solutions and to contribute to poverty eradication in refugee-hosting communities.

These concepts are being translated into operational tools by the UNHCR Reintegration and Local Settlements Section/Division of Operational Support (RLSS/DOS). A Handbook for Repatriation and Reintegration Activities was issued in May 2004 in this regard.

The Handbook on DAR provides guidance on how the DAR concept can be applied in the field. The Handbook serves to inform field staff of UNHCR and other partners on planning and implementing DAR programmes. It synthesizes experiences and lessons generated from the field, and will be updated regularly to incorporate new experiences and lessons.

The Handbook promotes an integrated and participatory approach. It builds upon the capacities and assets of refugees and host communities, and addresses the needs of both communities in refugee hosting areas in a holistic manner. A gender and age mainstreaming perspective is incorporated in the Handbook, so that women, men, boys and girls benefit equally. Using a gender and age perspective implies analysing the relationships within the family and community, and how these affect access of men, women, boys and girls to protection and assistance programmes, and control over and access to resources. It also entails analysing how programme and protection interventions, such as DAR impact these groups differently.

To sum up, the Handbook:

- provides guidance to UNHCR staff and partners, governments, UNCTs, donors, civil society and other partners on how to plan and implement DAR programmes;
- translates UNHCR policy relating to the DAR concept, into an operational tool (that includes gender and age issues) to assist refugees and persons of concern find durable solutions;
- synthesizes field experiences and lessons learnt to support planning and implementation; and
- offers a platform for collaboration between governments, UNHCR and other humanitarian and development partners, NGOs and the private sector.

The Handbook seeks to strengthen the search for durable solutions by encouraging self-reliance and enhancing the productive capacities of refugees, from the early stages of an emergency, including in protracted refugee situations.

Who the Handbook Is For

The Handbook is intended for:

- UNHCR managers, programme, community services, protection and regional technical staff;
- UNCT members;
- government staff;
- local authorities in refugee hosting districts;
- bilateral and multilateral donors;
- Non-governmental Organizations (NGOs) and Community-Based Organizations (CBOs); and
- private sector.

What the Handbook Covers and How to Use It

An Executive Summary, targeted at policy makers and the general reader, provides an overview of the Handbook. Readers seeking information or guidance on specific topics should consult the table of contents.

The Handbook has three parts:

- PART I:** covers two Modules, constitutes the introductory part of the Handbook and lays the foundation for planning and implementing DAR programmes. It gives an overview of the DAR concept and introduces instruments and processes for planning development at national and local levels.
- PART II:** is the main body of the Handbook covering three Modules and provides detailed suggestions on how to conduct joint assessments, and to plan, implement, monitor and evaluate DAR programmes.
- PART III:** the Appendices provide information on useful tools for assessment and planning, including promoting participatory development. Staff can draw on these when designing and implementing DAR programmes.

The Handbook includes selected country and other experiences presented as “case examples” to help practitioners in the field, as well as references and other resource materials for readers seeking additional information on the various topics presented.

For additional information on some of the topics covered in the Handbook, UNHCR staff can consult the following documents:

- *Agenda For Protection, UNHCR 3rd Edition, October 2003*
- *UNDG Guidance Note on Durable Solutions for Displaced Populations (refugees, internally displaced persons, and returnees) October 2004*
- *The Framework for Durable Solutions for Refugees and Persons of Concern, UNHCR May 2003*
- *Convention Plus at a Glance, UNHCR Geneva December 2003*
- *UNHCR Manual Chapter 4 on Operations Management (revised June 2003)*
- *A Guide to Situation Analysis in UNHCR - Draft 2004*
- *Project Planning in UNHCR: A Practical Guide on the Use of Objectives, Outputs and Indicators, March 2002*
- *Handbook for Self-Reliance, UNHCR, 2005*
- *Practical Guide to the Systematic Use of Standards and Indicators in UNHCR Operations, UNHCR, January 2004*
- *Practical Guide To Multilateral Needs Assessments in Post-Conflict Situations, UNDP, World Bank and UNDG 2004*
- *Handbook for Repatriation and Reintegration Activities, UNHCR May 2004*

How the Handbook was Developed

The Handbook was informed by the following process:

- a comprehensive inter-agency/Government mid-term review of the Uganda Self Reliance Strategy (SRS) undertaken in February 2004;
- a review of the Serbia and Montenegro local integration programme conducted in May/June 2004;
- the outcome of the UNHCR/RLSS/Africa Bureau mission to Gabon for the DAR programme, which took place in June 2004;
- desk research on local integration and rural development, policy and legal issues, assessment and planning tools and processes of major stakeholders, including governments, donor, NGOs and UN agencies;
- discussions with and inputs from various UNHCR colleagues at HQ and in the field;
- a review of the draft Handbook in an RLSS/DOS organized workshop in Lusaka, Zambia (9-14 August 2004) which consisted of a field trip to the Zambia Initiative project sites, and a workshop in Lusaka to discuss the draft Handbook. Several government representatives from countries considering the idea of DAR programmes took part - Cote d' Ivoire, Ethiopia, Gabon, Sudan, Uganda and Zambia. Government of Japan/JICA, Government of Denmark/DANIDA, Danish Refugee Council (DRC), US Committee for Refugees, and UN agencies (FAO, UNDP, UNICEF, UNOPS, and WFP) also participated.
- a validation workshop held in Geneva (9-10 November 2004) with participants from governments (Denmark, Japan, Norway, USA and Zambia), UN agencies (ILO, UNDP, UNICEF, UNOPS, WHO), NGOs (Danish Refugee Council), UNHCR staff from New York, Serbia and Montenegro, South Africa, Venezuela and Zambia and various UNCHR HQ units (Africa, Americas, CASWANAME and Europe bureaux, DIP, DER, WCCDS/DOS, RLSS/DOS).

CONCLUSION

The settings under which DAR programmes are planned and implemented vary and are influenced by many factors - the history of the conflict and displacement, whether one is dealing with “new”, “stable” or “breakthrough” (i.e. repatriation imminent) refugee situations, whether refugees are found in urban or rural settings, existing government policies and/or practices with respect to refugees (eg. access to land, freedom of movement) and a host of other factors (eg. economic, social, political and security conditions that obtain in refugee hosting areas). The Handbook takes into account some of these contextual factors. However, users are urged to be creative and to consider the guidance in the Handbook as starting points when designing and implementing programmes that will best suit their circumstances.