

## OVERVIEW OF PART I

# Main Concepts and Issues

**PART I** constitutes the conceptual foundation of the Handbook. It introduces the concept of Development Assistance for Refugees (DAR) and provides information on development planning processes at both national and local levels. Ways to link DAR programmes to development plans is also dealt with. This part sets the stage for designing and implementing DAR programmes discussed in **PART II** of the Handbook.

Improved information on and greater awareness of the concepts covered in **PART I** will:

- Foster a common understanding of the DAR concept, its aims, benefits and guiding principles among all stakeholders;
- Facilitate placing refugee concerns and refugee hosting areas on development agendas; and
- Help inform and improve the planning and implementation of DAR programmes.

Users familiar with these concepts need not read this part of the Handbook.

**Module One** Development Assistance for Refugees (DAR):  
Concept, Rationale and Guiding Principles

**Module Two** Development Planning Processes

## PART I: MODULE ONE

# Development Assistance for Refugees (DAR): Concept, Rationale and Guiding Principles



## SUMMARY OF MODULE ONE

**Module One introduces the Development Assistance for Refugees (DAR) programme concept. It highlights the rationale, aim and guiding principles of DAR programmes, benefits to various partners and other aspects. Complementary information is also provided (in annexes) on UNHCR policy frameworks to promote durable solutions (The Agenda for Protection and Convention Plus) and country examples (Ecuador, Uganda and Zambia) of DAR programmes and similar initiatives underway.**

**Section 1: What is Development Assistance for Refugees?**

**Section 2: The Rationale and Aims of DAR Programmes**

**Section 3: Benefits to Various Partners**

**Section 4: Guiding Principles**

**Section 5: Protection**

**Section 6: Potential Challenges and How They Can Be Overcome**

## INTRODUCTION

Assisting millions of refugees find durable solutions is of pressing concern for the international community. Due to the intimate links between displacement and development, the issue has both humanitarian and development dimensions. The basis for solutions starts with how assistance is delivered to refugees. Traditional relief-based approaches to refugee assistance, while necessary to save lives, have serious shortcomings and generally have not been successful in improving the quality of life in asylum, building self-reliance and preparing refugees for solutions, and contributing to poverty reduction and socio-economic development of refugee hosting areas. The general absence of displacement issues, including refugee concerns, in development agendas further compounds the problem. New conceptual and programming approaches are urgently needed. The concept of Development Assistance for Refugees (DAR), discussed in this Module, aims to address these concerns.

## Section 1:

# WHAT IS DEVELOPMENT ASSISTANCE FOR REFUGEES?

### 1.1 Background

The search for alternative models to traditional “care and maintenance”<sup>5</sup> and local settlement programmes<sup>6</sup> in UNHCR dates back to the 1960s when the concept of “*integrated zonal development approach*” to refugee assistance was proposed<sup>7</sup>. The 1980s also saw the introduction of the “*refugee aid and development*” strategy which stipulated that assistance should from the onset of a refugee crisis be development-oriented, enhance refugees’ self-reliance and incorporate support to refugee hosting areas. Examples of refugee aid and development initiatives include projects linked to the “*International Conference on Assistance to Refugees in Africa*” (ICARA I and II) and the “*Income-Generating Project for Afghan Refugee Hosting Areas*” (IGPRA). Other examples include the assistance to Central American refugees beginning in the 1980s, the local integration of Guatemalan refugees in Mexico, and the approach used by international NGOs in South Africa to integrate Mozambican refugees. The former was part of a larger regional initiative to find solutions to the problem of forced displacement in Central America - the CIREFCA process<sup>8</sup> - which ran from 1989 until 1994.

Although these (i.e. ICARA I and II, IGPRA and CIREFCA) were specific initiatives which achieved their objectives, the two concepts (i.e. *integrated zonal development approach* and *refugee aid and development*) were later abandoned due to among other things, lack of funds, divergent objectives between host countries and donors, and increased attention within UNHCR to repatriation and reintegration as a durable solution. However, all these approaches underscored the longstanding recognition within UNHCR of the intimate links between displacement and development.

<sup>5</sup> UNHCR Manual Chapter 4 defines Care and Maintenance as “assistance to refugees in a relatively stable situation, where survival is no longer threatened, but where future of the refugee group has not yet been determined in terms of durable solutions.”

<sup>6</sup> UNHCR Manual Chapter 4 defines Local settlement : where voluntary repatriation is not yet possible, covers assistance to help refugees become self-supporting in the country of first asylum and to integrate into the economic and social life of the local community.

<sup>7</sup> Jeff Crisp: Mind the gap! UNHCR, humanitarian assistance and the development process. New Issues in refugee research working paper 43, May 2001.

<sup>8</sup> Conferencia Internacional sobre Refugiados Centroamericanos - International Conference on Central American Refugees (CIREFCA).

Building upon these past experiences and more recent ones, UNHCR policy relating to displacement and durable solutions has evolved since then. The *Agenda for Protection, Convention Plus* and the *Framework for Durable Solutions for Refugees and Persons of Concern*<sup>9</sup>, represent comprehensive policy tools and programming frameworks for addressing durable solutions. The Framework for Durable Solutions (represented schematically in Figure 1.1), in particular proposes three programming concepts, namely<sup>10</sup>:

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

The concept of Development Assistance for Refugees, while sharing many features with earlier initiatives, is part of an integrated package of programming models for durable solutions; it is not a stand-alone approach to linking refugee assistance to development as some of the earlier approaches. Another innovative feature of the DAR concept is the importance placed on integrating programmes into existing government mechanisms (policies, plans and structures) and discouraging setting up parallel structures.

Recent refugee and returnee situations have shown that bilateral developmental and humanitarian agencies are increasingly playing a direct role in all aspects of assistance to refugees and returnees. Some have also adopted comprehensive strategies for dealing with refugee situations. An example is the Danish Government's Strategy for Activities in Refugee Affected Areas. Some NGOs have similarly developed global strategies - eg. the Comprehensive Regional Approach to Assisting People affected by Conflict of the Danish Refugee Council.



<sup>9</sup> Information on the *Agenda for Protection and Convention Plus* is provided in Annex 1.1.

<sup>10</sup> See *Framework for Durable Solutions for Refugees and Persons of Concern*, UNHCR May 2003.

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

**FIGURE 1.1: THE FRAMEWORK FOR DURABLE SOLUTIONS**

## REFUGEES IN ASYLUM

### Refugee Settlements

- Refugees settled in communities and supported by host government/UNHCR and other humanitarian organizations
- Sometimes segregated from local population
- May have access to land for subsistence farming (land not always of good quality)

### Local Self-Settlement

- Spontaneous settlements
- Limited access to civil, social and economic rights
- Not fully integrated (legal rights missing)
- Exacerbates migration problems
- Exists in both rural and urban settings

### Camps (and other restricted zones)

- Limited self-reliance
- Limited resource generation
- Greater reliance on humanitarian assistance

## PREPARING FOR DURABLE SOLUTIONS

### Development Assistance for Refugees (DAR)

- Simultaneous improvement of lives and livelihoods (refugees and hosts)
- Focus on medium and long-term development of refugee hosting areas benefiting both host communities and refugees
- Focus on gender/age equality, dignity and improving the quality of life
- Enhancement of productive capacities resulting in self-reliance of refugees
- Empowers refugees to make their own choices for durable solutions
- Broad-based partnership/cooperation with all stakeholders
- Burden-sharing with host community and country
- Promotion of peaceful co-existence

### Host Communities

- Poverty alleviation in refugee-hosting areas
- Reduction in disparities between refugees and hosts
- Improved infrastructure and services

### Refugees

- Enabling legal environment
- Access to education, skills training
- Income generating opportunities
- Productive and sustainable livelihoods
- Building or strengthening community infrastructures and capacities

## DURABLE SOLUTIONS BASED ON SELF-RELIANCE

(Various timeframes needed to be achieved)

### Resettlement

- Provides solution for refugees who do not find a durable solution in host country or country of origin
- Requires approval of resettlement request by the resettlement country
- Builds upon refugees capacities attained through DAR

### Local Integration

- Requires willingness of host government to integrate refugees
- Allows refugees to integrate within host communities
- Requires mutual acceptance of refugee/host cultures and institutions for co-existence
- Involves a legal, economic, as well as social, cultural and political processes
- Builds upon refugees capacities attained through DAR

### Voluntary Repatriation

- Assists in creating an environment which allows refugees to return to their country of origin in safety and dignity
- Promotes durable solutions through repatriation reintegration, rehabilitation and reconstruction (4Rs) activities, poverty reduction and good governance
- Involves key stakeholders in the reintegration process
- Results from returnees capacitated through DAR, thereby facilitating the reintegration process

### 1.2 Definition and Characteristics of DAR Programmes

Development Assistance for Refugees (DAR) can be defined as:

*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 large refugee populations. 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 areas.*

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 assistance programme - 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 (drawing upon the UNHCR Agenda for Protection and Convention Plus), 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.

DAR programmes require political will of host governments, appropriate *legal/policy frameworks* and/or *practices* that facilitate self-reliance, *partnerships* (between governments- national and local - communities - refugees and hosts - humanitarian and development actors and civil society), and *incorporation and prioritization of refugee concerns and those of their hosting areas in development agendas.*

Enhancing productive capacities and promoting self-reliance of refugees is a key pillar of DAR programmes. Promoting self-reliance must be based on a good understanding of how people cope and adapt to new situations, the understanding of the local social and economic context, the livelihood strategies people pursue, as well as knowledge of what has worked (or failed to work) under different settings. Refugees' access to rights is also central to any strategy to promote self-reliance. However, while access to rights is important, it is not always a sufficient condition for the attainment of self-reliance. For example, in Armenia, refugees have been locally integrated and given citizenship, but have been unable to attain self-reliance due to poor economic situation of the country. A rights-based approach must therefore be accompanied by programmatic interventions to increase economic and employment opportunities.



For additional information on self-reliance programming, consult the Handbook for Self-Reliance, UNHCR 2005

## Section 2: THE RATIONALE AND AIMS OF DAR PROGRAMMES

### 2.1 Rationale

Well designed DAR strategies and programmes can provide comprehensive frameworks for addressing a number of humanitarian and developmental challenges.

**First:** *Utilizing only traditional relief-based solutions to refugee assistance (eg. care and maintenance), have proved largely inefficient and need to be complemented and if necessary replaced by new programming approaches to address the protracted nature of many refugee situations.*

There are significant numbers of refugees and populations of concern; estimates put the figure at over 17 million in 2003 (Figure 1.2). Although the numbers have declined in the last decade, it still represents a major challenge to the international community.

Many refugees are found in *protracted situations* - arising from the increasingly extended duration of conflicts, and moves towards tighter control of borders due to global terrorism and concerns over security by countries of asylum.

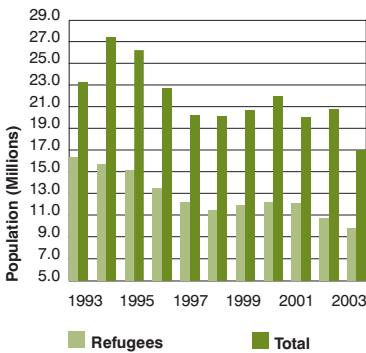


PROTRACTED REFUGEE SITUATION

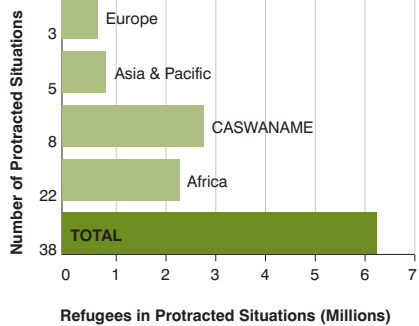
A protracted refugee situation (often caused by political impasse), is defined as “one in which refugees find themselves in a long-lasting and intractable state of limbo, [where] their lives may not be at risk, but their basic rights and essential economic, social and psychological needs remain unfulfilled after years in exile”<sup>11</sup>.

Using a basic measure of *refugee settlements of 25,000 persons or more who have been in exile for five or more years in developing countries*, statistics show that, by the end of 2003, there were 38 protracted situations globally accounting for 6.2 million refugees<sup>12</sup>. This represents an increase from 27 situations in 1993, even though the absolute number of refugees living in protracted situations fell from 7.9 to 6.2 million (Figure 1.3). The average length of protracted refugee situations has increased from 9 years in 1993 to 17 years in 2003. *The existence of refugees in protracted situations of restricted mobility, enforced idleness, and dependency can contribute to future conflicts and instability and undermine prospects for development, peace and human security.*

**FIGURE 1.2 Persons of Concern to UNHCR 1993-2003**



**FIGURE 1.3 Major Protracted Refugee Situations by Region (year-end 2003)**



Source: 2003 Global Refugee Trends, UNHCR, Geneva; UNHCR Statistical Yearbook 2001, UNHCR, Geneva; Refugees and Others of Concern to UNHCR, 1996 Statistical Overview; Refugees and Others of Concern to UNHCR, 1994 Statistical Overview.

<sup>11</sup> “Protracted Refugee Situations,” EC/54/SC/CRP.14 Executive Committee of the High Commissioner’s Programme, UNHCR, 10 June 2004.

<sup>12</sup> This figure does not include the approximately 2 million Palestinian refugees which fall under the mandate of the UNRWA.

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

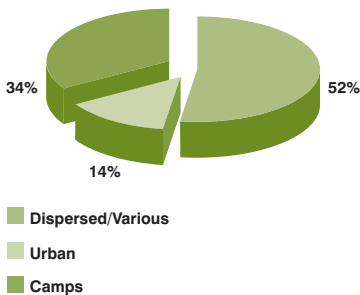
Statistics also show by the end of 2003 (Figure 1.4) an estimated 34 percent, or 4.5 million, persons of concern were located in *camps*, approximately, 14 percent were in urban locations and an estimated 52 percent were dispersed. Regional differences also exist, with Africa having 61 percent of all persons of concern in camps, and 37 percent in the CASWANAME<sup>13</sup> region - see Figure 1.5.

Durable solutions must be urgently found for refugee populations in these situations, but in the meantime it is crucial that:

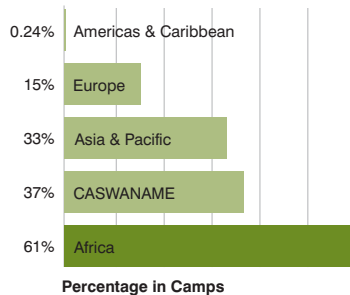
- the quality of life for both refugees and their host communities is improved in accordance with the Millennium Development Goals;
- refugees are better prepared for eventual return and reintegration, resettlement or local integration;
- self-reliance of refugees is enhanced and enables them to both take care of themselves and contribute to the economic development of their host country; and
- measures are put in place to consolidate and further ensure peaceful co-existence of refugees and their hosts.

Solutions to refugee situations based exclusively on traditional relief-based approaches such as care and maintenance programmes essentially represent non-investment in building the productive capacities and human resources of refugees. The dependence on external assistance wastes the resources of both host countries and donors.

**FIGURE 1.4 Population of Concern to UNHCR by Spatial Setting (year-end 2003)**



**FIGURE 1.5 Population of Concern to UNHCR in Camps by UNHCR Regional Bureau (year-end 2003)**



<sup>13</sup> Acronym for Central Asia, South West Asia, North Africa and Middle East - a regional bureau in UNHCR.

**Second:** *Addressing the plight of both refugees and host communities is of concern to humanitarian and development partners - alleviating their plight will contribute to host country development objectives, poverty eradication and progress towards the Millennium Development Goals (MDGs), while facilitating durable solutions.*

Poverty - a multidimensional phenomenon - is a common feature for refugees and refugee hosting areas. Poverty is characterized by: lack of incomes and opportunity; limited capabilities; low levels of security; voicelessness and powerlessness in the institutions of state and society; and vulnerability to adverse shocks, linked to an inability to cope with them. A refugee may fall victim to all these facets of poverty, especially where the situation is protracted. Countries hosting refugee populations are often themselves poor and developing ones. It is estimated that from 1997-2001, developing countries hosted two-thirds of the global population of concern, with 35% hosted by Least Developed Countries (LDCs)<sup>14</sup>. In addition, refugee hosting areas are often in remote, marginal locations with high incidence of poverty. Under protracted situations, this may have adverse effects on socio-economic development, stability and human security.

**Third:** *Greater and more systematic efforts are needed to reflect refugee concerns in development priorities at country level.*

Refugees are often left out of medium and long-term development plans and activities of governments and development partners (or national policies may be biased against remote areas where refugees are often found). This means in practice, excluding people who belong to the most vulnerable and poorest category, since displacement can be both a cause and consequence of poverty. A review of Poverty Reduction Strategy Papers (PRSPs) in twenty countries showed that refugees figured in only two: Armenia and Serbia and Montenegro - in both cases refugees belong to the same ethnic group<sup>15</sup>. In the remaining cases, refugees were viewed more as threats/constraints - to economic growth, health and security - rather than as people who under the right conditions and given the opportunity can contribute to the economy of host countries. As PRSPs are now the references for development assistance, such exclusion is a major challenge to the targeting of development assistance<sup>16</sup>. A review of UN system programming frameworks (CCA/UNDAF) conducted in 2004, reveals a similar weakness with the issue of displacement treated in an ad hoc

<sup>14</sup> Convention Plus Issues Paper on Targeting of Development Assistance, UNHCR, Draft, June 2004.

<sup>15</sup> Poverty Reduction Strategy Papers - A Displacement Perspective, UNHCR, October 2004.

<sup>16</sup> See "Convention Plus Issues Paper on Targeting of Development Assistance.

manner. The UNDG Guidance Note on Durable Solutions for Displaced Persons, approved and issued by the UNDG Programme Group in October 2004, will facilitate better integration of displacement issues into UN system common programming instruments<sup>17</sup>.

**Fourth:** *Harnessing the capacities and assets of refugees will result in positive contributions to the development of communities hosting refugees and enhance the dignity of refugees.*

Refugees often face many restrictive conditions in host countries, such as lack of freedom of movement, lack of or limited access to skills, education, and livelihoods. This limits their human potential, preventing them from making positive contributions to the economy and society of host countries. It should however, be recognized that there are many cases in which refugees are making good progress towards becoming economically self-sufficient due in large part to host governments providing access to land or the labour market<sup>18</sup>. For example, Guatemalan refugees in Mexico were settled in Campeche and Quintana Roo on state land provided by the Mexican Federal Government, under a right-of-use-agreement<sup>19</sup>. A Land Trust was also established (1987) to purchase additional land. Similarly, both Uganda and Zambia, provided land for homestead and agricultural use to Sudanese and Angolan refugees, respectively. In all three cases, land allocation has contributed to food security and enabled some refugees to be progressively weaned off food relief.

## **2.2 What DAR Programmes Aim to Achieve**

The DAR programming approach aims to achieve and facilitate the following<sup>20</sup>:

- empower and enhance productive capacities and self-reliance of refugees and prepare them for durable solutions;
- promote gender equality, dignity and improved quality of refugee life;

<sup>17</sup> UNDG Guidance Note on Durable Solutions for Displaced Persons (refugees, internally displaced persons, and returnees) October 2004. See also UNHCR IOM/080-FOM/082/2004.

<sup>18</sup> "Protracted Refugee Situations," EC/54/SC/CRP.14 Executive Committee of the High Commissioner's Programme, UNHCR, 10 June 2004.

<sup>19</sup> Office of the General Coordinator Mexican Commission for Refugee Assistance (COMAR) Ministry of Interior INFORMATION NOTE Mexico City, 23 July 2004 Handing over of land titles to former refugees from Kesté Settlement, State of Campeche - Translated from Spanish by Pablo Mateu (RLSS/DOS).

<sup>20</sup> "Framework for Durable Solutions for Refugees and Persons of Concern," Core Group on Durable Solutions, UNHCR Geneva, May 2003.

- contribute to development of the host country and to achieving the Millennium Development Goals;
- contribute to development of the host community and to poverty reduction efforts; and
- promote burden-sharing with the host country, including support for the refugee hosting community.

DAR programmes are a critical pathway to any of the durable solutions (i.e. *voluntary repatriation, resettlement or local integration*) by facilitating them in the following ways:

- **Voluntary repatriation and reintegration:** by providing refugees the necessary education, skills and assets, DAR programmes can prepare them for return and facilitate reintegration in the country of origin;
- **Resettlement:** through the skills, knowledge and training acquired, DAR programmes would facilitate the establishment of livelihoods in the new host country and reduce resettlement costs because refugees are better equipped to integrate into the new host community;
- **Local integration:** through co-existence with local communities, DAR programmes would facilitate the refugees' integration (where feasible) and allow them (through skills and assets acquired) to be productive members of society, while addressing local development needs of areas where refugees find a new home.

DAR programmes are aimed at preventing refugees from becoming passive and dependent recipients of care and maintenance activities - experience shows that dependency syndromes can develop relatively early and are hard to get out of. DAR programmes should therefore be designed and implemented as early as possible. DAR programmes are also a means for preventing protracted refugee situations from developing. In existing protracted refugee situations, DAR programmes can help refugees regain their dignity and productive capacity by enabling them to become self-reliant, thereby also enhancing their search for durable solutions, and contribute to host country development.

## Section 3: BENEFITS TO VARIOUS PARTNERS

The DAR programming approach brings together the capacities and resources (i.e. promote synergy) of communities (refugees and hosts), governments, development and humanitarian partners to comprehensively tackle displacement, poverty and underdevelopment in refugee hosting areas. In this sense, all partners stand to gain. DAR programmes also offer a number of specific benefits for various stakeholders (refugees, host communities, host governments, development partners and humanitarian agencies). These are summarized below:

**Host Communities:** improved economic opportunities and development; refugees' contribution (without exploitation or discrimination) to the economic development of the host community; sharing of services established for refugees; and co-existence and contribution to peace building and human security.

**Host Governments:** additional funding available to development efforts from refugee inclusion in development agendas; poverty reduction in refugee-hosting areas (which are often marginal and poorly developed areas); reduction in refugee and host community disparities (thus diminishing frictions and building peace, and increasing human security and preventing conflict), and mitigating the social and economic consequences of hosting large numbers of refugees.

**Development Partners:** increased opportunities for meeting Millennium Development Goals (MDGs)<sup>21</sup>; focusing resources on sustainable development rather than on long-term (and costly) relief-only C&M programmes; and decreased incentives for secondary movements/migrations of refugees which may threaten prospects for overall development of the host country.

**Refugee Communities:** capacity enhancement and a progressively greater degree of self-reliance to pursue sustainable livelihoods and a durable solution; limit dependency on care and maintenance programmes; human development; advancing gender equality in order to prevent and respond to violence and exploitation.

<sup>21</sup> While the MDGs are not refugee specific, the Millennium Declaration commits countries "to strengthen international cooperation, including burden-sharing in and the coordination of humanitarian assistance to countries hosting refugees, and to help all refugees and displaced persons to return voluntarily to their homes in safety and dignity and to be smoothly reintegrated into their societies."

**Humanitarian Partners:** focus on long-term durable solutions rather than on maintaining costly protracted relief-only assistance programmes; and responsibility of preparing populations for durable solutions is shared more broadly, with an increased resource base.

**To sum up:**

*DAR programmes can on the one hand, improve quality of life in asylum and facilitate durable solutions for refugees, and on the other hand they can be an instrument for poverty eradication in refugee hosting areas - in both cases DAR programmes are in line with the Millennium Development Goals, and can contribute to peace, human security and stability in countries hosting refugees.*

Whenever feasible, DAR programmes should, therefore, be started as soon as possible. For example, soon after an emergency period, this can be done by promoting self-reliance and building productive capacities of refugees as part of humanitarian interventions, as well as when selecting sites where refugees will be located.

Further guidance on planning and implementing DAR programmes soon after emergency and other phases is provided in part II of the Handbook.

## Section 4: GUIDING PRINCIPLES

Experience and lessons learnt suggest that DAR programmes should be informed by a set of principles, which include the following:

- Seek full government leadership and participation in all stages of conception, design, implementation, monitoring and evaluation of programmes.
- Aim to establish 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.
- Respond to national and district development objectives of poverty reduction and social and economic progress, through integration into

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

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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 regional/district planning and budgeting mechanisms.

- Seek to promote social cohesion between refugees and host communities (i.e. peace building and coexistence) by ensuring that projects benefit both refugees and host communities.
- Utilize a participatory and community-based approach in programme design, implementation, monitoring and evaluation in order to empower communities.
- Integrate gender and age concerns in planning, implementing, monitoring and evaluating programmes.
- Focus on both humanitarian and developmental needs and be based on a multi-year time frame (note there is increased willingness by some donors to fund humanitarian activities on a multi-year basis) in order to assure sustainability, optimize resource use and make for better partnerships between humanitarian and development actors.
- Adjust programme activities to take account of, on the one hand suddenly emerging humanitarian/emergency needs triggered by insecurity and other factors (eg. drought), and on the other hand, more gradual changes, arising from various transforming factors - social, economic, cultural and political.
- Utilize national standards, as far as possible, for planning and implementation to facilitate smooth integration into provincial/district plans.
- Aim to build capacity and strengthen institutions at local, district, provincial and national levels to enable actors at all levels to take ownership of the DAR programme.

These Guiding Principles should inform planning (Module Three) and implementation (Module Four). However, staff should note that the implementation of DAR programmes will often entail negotiating between these principles and practical realities/field situations. For example, UN field security rules may constrain the assistance agencies' outreach and limit close/participatory dialogue with the communities - hence understanding their ambitions and challenges. Application of the principles should therefore be guided by pragmatism.



## Section 5: PROTECTION

Protection is a core UNHCR mandate. In its broadest sense, protection encompasses all activities aimed at restoring the dignity of refugees, safeguarding their rights and seeking durable solutions, within the framework of the 1951 Convention and its 1967 Protocol, as well as other applicable human rights treaties.

DAR programmes are facilitated where legal and institutional frameworks or practices have been developed which foster and protect relevant civil, social and economic rights (related for example, to land, employment, education, and freedom of movement, identity documents, and access to courts). Where there is no legal framework, no arrangements can be negotiated, or no established practice, the promotion of DAR concept can be constrained. *A DAR strategy, built around the different elements of self-reliance, should therefore include a rights-based approach.*

### PROTECTION

Protection encompasses all activities aimed at ensuring the enjoyment, on equal terms, of the rights of women, men, girls and boys of concern to UNHCR in accordance with the letter and spirit of relevant bodies of law.

For more information on Protection related matters readers should consult the following:

- *Convention Relating to the Status of Refugees (1951)*
- *Protocol Relating to the Status of Refugees (1967)*
- *OAU Convention Governing the Specific Aspects of Refugee Problems in Africa (1969)*
- *Agenda for Protection, UNHCR (2003)*
- *Designing Protection Strategies and Measuring Progress: Checklist for UNHCR Staff (2002)*
- *Draft Handbook on Strengthening Protection Capacities in Host Countries (undated)*

### **A well designed DAR programme can also strengthen protection by:**

- encouraging governments to adopt policy measures that promote protection and self-reliance, coupled with legal and institutional frameworks (eg. issuance of identity documents, access to labour market, affordable housing, education, non-discriminatory access to services, freedom of movement);
- enhancing peaceful co-existence between refugees and local communities as a result of sharing of facilities and services and socio-economic interactions;

- strengthening self-reliance of refugees and hence the ability of refugees to solve their problems and prepare themselves for solutions; and
- broadening the stakeholders interested in the welfare of refugee communities beyond the traditional humanitarian ones to include local authorities, development partners and others.

## Section 6:

### POTENTIAL CHALLENGES AND HOW THEY CAN BE OVERCOME

Implementing DAR programmes can be challenging, as the conditions under which they are developed may not always be ideal. An overarching challenge is one of competing developmental priorities and resources in host states. Beyond the issue of perceptions, most host refugee countries are also poor and face serious shortages in resources and may not readily recognize and act upon the value of including refugees in their development plans. Integrating programmes into host country policies/services could also overlook refugees and favour local/host communities. There may also be fears in the host countries that DAR programmes aimed at achieving self-reliance could in fact be a first step towards local integration. Refugees in protracted situations may also be victims of the dependency syndrome and difficult to motivate or they may lack language skills, etc. A well designed DAR programme will however, adequately address all these challenges.

An overview of challenges and possible responses to them is presented in Annex 1.2. They should be factored into the planning and implementation process outlined in **PART II** of the Handbook. Also Annex 1.3 shows examples of countries where DAR programmes and similar initiatives are being implemented/considered.

## CONCLUSION

This Module forms part of the conceptual foundation of the Handbook. It highlights several issues, including the following:

- **concept and rationale** of DAR - what it is, why it is needed;
- **principles** to follow in designing and implementing DAR programmes;
- **benefits** for partners in DAR programmes; and
- **challenges** faced in implementing DAR programmes and how to counter them.

The DAR programming concept is an instrument for poverty reduction in refugee hosting areas and can benefit both host nationals and refugees. It is pivotal to any of the durable solutions, is a conceptual and programming approach to prevent refugees from becoming passive and dependent recipients of relief assistance only through care and maintenance programmes, and instead enables them to become self-reliant and productive members of their host community. This will enhance their dignity and potential to find a durable solution. A DAR programme can also address gaps in the basic conditions for implementing a self-reliance project, such as refugees' lack of a status and legal stay in the host country, and their right to work.

Ideally, DAR programming should therefore be undertaken from the initial stages of a refugee situation in order to prevent the creation of a protracted situation (and build socio-economic linkages between refugee communities and their hosts), but a DAR approach will become especially important in already protracted situations.

The Module also underlines the importance of linking DAR programmes to development initiatives at both national and local levels. An overview of planning tools and frameworks at national and local levels, as well as suggestions on how to link DAR programme with them is provided in Module Two.

## Annex 1.1:

# OVERVIEW OF THE AGENDA FOR PROTECTION & CONVENTION PLUS<sup>22</sup>

### 1. The Agenda for Protection

For UNHCR, the *Agenda for Protection*, resulting from 18 months of discussions among governments, intergovernmental and non-governmental organizations (NGOs), refugee experts, refugees and UNHCR, provides an overarching framework and programme of action for, *inter alia*, durable solutions for refugees. The agenda stresses the need to mobilize development assistance, build self-reliance of refugees in preparation for durable solutions, ensure that assistance benefits both refugees and host communities, and that issues related to gender and age are addressed. Of particular relevance to DAR are:

- **Goal 3** of the Agenda (Sharing burdens and responsibilities more equitably and building capacities to receive and protect refugees) calls on “states to consider allocating development funds, possibly a percentage thereof, to programmes simultaneously benefiting refugees and local populations in host countries” and “to consider including refugee-hosting areas in their national development plans, and UNHCR to encourage multilateral and bilateral development partners to extend tangible support for such initiatives”
- **Goal 5** (Redoubling the search for durable solutions), makes explicit mention of the need for comprehensive solutions in protracted refugee situations, the use of local integration and promoting self-reliance for refugees.
- **Goal 6** states that “UNHCR and partners to set in place measures to ensure that refugee women (refugee children and adolescents) participate equally in decision-making in all areas of refugee life, as well as in the implementation of such decisions, and that protection- and gender-sensitive approaches are applied at every stage of programme design, development, implementation, monitoring and evaluation.”

<sup>22</sup> See [www.unhcr.ch](http://www.unhcr.ch)

### 2. Convention Plus

The High Commissioner's Convention Plus initiative which seeks to reinforce application of the 1951 Convention by providing a forum for developing agreements, *inter alia*, on increased burden- and responsibility-sharing through targeting additional development assistance to countries hosting large refugee populations and addresses particular protracted situations through multilateral solutions agreements.

The objectives of strengthening the tools of international protection are to:

- make international responses more reliable and effective in dealing with and finding solutions to refugee situations;
- ensure greater equity in burden sharing; and
- provide structure and increase effectiveness through comprehensive plans of action to ensure predictable responses to mass influxes of refugees.

Convention Plus is aimed at developing new arrangements and tools to improve refugee protection in today's changing world and is called for in the Agenda for Protection<sup>23</sup>. Its *goals* are to:

- facilitate the resolution of refugee problems through multilateral special agreements;
- improve the global management of refugee problems to bring about firmer commitments;
- clarify the apportioning and sharing of responsibilities; and
- outline how durable solutions for refugees should be pursued.

Convention Plus aims to develop generic multilateral agreements that will set out shared understandings and commitments which will be incorporated into situation specific multilateral agreements to resolve a particular refugee situation.

The three priority challenges of the agreements are:

- making more strategic use of resettlement both as a durable solution and a tool for protection. The Convention Plus Core Group on the Strategic Use of Resettlement reached agreement on a *Multilateral Framework of*

<sup>23</sup> "Framework for Durable Solutions for Refugees and Persons of Concern," Core Group on Durable Solutions, UNHCR Geneva, May 2003.

*Understandings on Resettlement* in June 2004. The purpose of the *Multilateral Framework* is to guide parties to situation-specific multilateral agreements in designing comprehensive arrangements, involving multilateral resettlement operations, to address the protection and durable solutions needs of refugees. Implementation of the *Multilateral Framework* will enable UNHCR and States to make more strategic use of resettlement, in tandem with other durable solutions, while, over time, making resettlement available to more refugees;

- targeting of development assistance to achieve durable solutions. A group of states is working on a framework of understandings and undertakings relating to the granting of development aid to refugees and their host communities (cf. Issues Paper on Targeting of Development Assistance, UNHCR, Geneva, June 2004)<sup>24</sup>; and
- addressing irregular secondary movements. The Core Group on Irregular Secondary Movements works towards a multilateral framework of understandings and undertakings to address these movements predicated on principles of refugee protection and burden-sharing. Simultaneously, the Core Group monitors the progress of a group-specific survey, which intends to inform the deliberations.

Examples of “Convention Plus” Initiatives (as of August 2004) include:

- Comprehensive Plans of Action (CPA) to resolve particular refugee situations - “Afghanistan Plus” and preparatory work on a CPA for Somali refugees;
- the Core Group on the Strategic Use of Resettlement’s “multilateral framework of understandings on resettlement”;
- the Core Group on Irregular and Secondary Movements monitoring the progress of group-specific surveys, exploring the scope and causes of secondary movements refugees and asylum-seekers and State responses thereto; and
- consultations led by Japan and Denmark, as co-facilitating states targeting development assistance facilitates further discussions on this and related issues.

<sup>24</sup> See [www.unhcr.ch](http://www.unhcr.ch) for the Issues Paper on Targeting of Development Assistance: identifies the issues involved in the granting of development assistance by the donor community and in the spending of development assistance on the development of refugee hosting countries and countries of return; outlines and explores challenges to targeting development assistance to find solutions for refugees in refugee situations as well as returnees in post-conflict situations; identify donor policies conducive to targeting development assistance to find solutions for refugees; and outlines possible elements for a multilateral framework of understandings and undertakings.

### BOX 1: COMPREHENSIVE PLANS OF ACTION: DEVELOPING NEW MULTILATERAL APPROACHES TO ACHIEVE DURABLE SOLUTIONS<sup>25</sup>

For comprehensive approaches to resolve refugee situations, the Agenda for Protection suggests there is a “need for more coherence by integrating voluntary repatriation, local integration and resettlement, whenever feasible, into one comprehensive approach, implemented in close cooperation among countries of origin, host States, UNHCR and its humanitarian and development partners, especially NGOs, as well as refugees”<sup>26</sup>. Thus, it is important to engage all actors early on, within a Comprehensive Plan of Action (CPA), in order to fortify sustainable peace-building and durable solutions.

#### What are Comprehensive Plans of Action (CPAs)?

- Involve multiple actors working in a cooperative and complimentary manner to realise a range of solutions to a refugee situation
- Allow for a range of approaches, involving appropriate stakeholders and responses, although not necessarily all stakeholders or responses
- Stress international solidarity and burden sharing through the involvement of the different actors (such as governmental, intergovernmental and NGOs, as well as different communities and individuals) and different components (such as political, peace-keeping, humanitarian, human rights and development) all contributing to a broad spectrum of mandates
- Are approaches that go beyond traditional emergency responses and care and maintenance operations at the earliest possible opportunity to avoid protracted refugee situations
- Are systematic, to solve a range of refugee situations, not just those that generate heightened political or media attention

#### Triggers (events that may require CPAs):

- A sudden and overwhelming outflow of refugees
- High level of media attention
- High levels of political attention by influential States and the international community
- Peace processes and other opportunities for durable solutions
- Significant level of donor interest

#### Model Framework:

- Mechanisms to ensure the provision of international protection and assistance
- Acknowledgement of the need for international cooperation and responsibility and burden sharing;
- Measures to promote self-reliance and preparing for durable solutions
- Commitments to realise one or more durable solutions being incorporated with elements of existing agreements and/or generic frameworks
- Linkages with broader economic, development and other concerns of affected countries
- Identification of relevant partnerships
- Clarification of roles and responsibilities, recognising the need to avoid duplication and overlap; thus building of comparative advantage
- A framework for cooperative and coordinated planning and implementation of agreed actions
- Terms of Reference for an international coordination/review mechanism at the political and technical levels to allow for the regular exchange of information, dialogue and mobilization of international assistance
- Adaptable response that evolves according to the circumstances of the situation being addressed
- A timeframe for action

#### Planning and Implementing Frameworks:

Once the need for a CPA has been identified and there is sufficient will by a sufficient range of stakeholders, a plan of action must be formulated. Partnerships between stakeholders are important, as they serve to complement the various roles of the respective partners, limiting duplication and overlap. Through briefing sessions, working groups, joint assessment missions, etc. planning is carried out. It is important that sufficient flexibility in the plan be ensured to be as dynamic as the situation requires. The development of a plan should lead to the creation of an international coordinating mechanism, to allow for a regular exchange of resources between stakeholders, but with one stakeholder taking a leading role in the implementation of the plan.

<sup>25</sup> Comprehensive Plans of Action: Developing New Multilateral Approaches to Bring About Durable Solutions, UNHCR, 19 July, 2004.

<sup>26</sup> Goal 5 of the Agenda for Protection.

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

## Annex 1.2:

POTENTIAL CHALLENGES AND RESPONSES	
Challenges	Possible Responses
Differences in understanding of the concept of DAR	<ul style="list-style-type: none"> <li>• Hold discussions, organize seminars and training workshops to sensitize and raise awareness</li> <li>• Produce and disseminate fact sheets on the DAR concept</li> </ul>
Poor perception on contributions of refugees to local economic and social development	<ul style="list-style-type: none"> <li>• Improve dialogue with local authorities</li> <li>• Improve refugee/host community relationships</li> <li>• Document and demonstrate the many ways refugees contribute to local economic development (eg. food production, skilled labour)</li> <li>• Ensure projects are not competing with an already fragile economy (know your socio-economic environment before planning)</li> </ul>
Inadequate additional funding from the central government to refugee hosting districts	<ul style="list-style-type: none"> <li>• Work with local governments to improve lobbying/advocacy to central government</li> <li>• Help mobilize resources from sector allocations (eg. health, education)</li> <li>• Develop programmes that could attract development assistance from donors</li> </ul>
Perception that refugee needs are already taken care of by UNHCR	<ul style="list-style-type: none"> <li>• Explain goals of DAR programmes better to all partners</li> <li>• Explain risks inherent in parallel service delivery in terms of co-existence, etc.</li> </ul>
Weak local economies in refugee hosting areas	<ul style="list-style-type: none"> <li>• Look for ways to improve local economic performance and revive demand for goods and services through, for example, use of local contractors, procure inputs locally, use labour-based approaches and tap local skills and capacities, better marketing, improved production, etc.</li> <li>• Team up with development agencies</li> <li>• Seek technical support from ILO, FAO and other specialized agencies</li> </ul>
Development agencies exclude refugees from assistance	<ul style="list-style-type: none"> <li>• Work with local governments to improve lobbying/advocacy to central government</li> <li>• Continuously lobby/interact with agencies</li> <li>• Take part in donor coordination mechanisms and national thematic groups/task forces</li> <li>• Liaise with projects supported by donors at local level</li> <li>• Take part in CCA/UNDAF, PRSPs, SWAPs and other relevant processes</li> </ul>
No refugee representation in local planning mechanisms	<ul style="list-style-type: none"> <li>• Facilitate creation of consultation fora/mechanisms and ensure that women and children proactively participate at all levels</li> <li>• Avoid as much as possible creation of parallel structures</li> <li>• Use informal mechanisms where they exist</li> </ul>
Refugees found in predominantly camp settings	<ul style="list-style-type: none"> <li>• Promote and support sharing of facilities between refugees and nearby communities to encourage social and economic interactions</li> <li>• Negotiate access by refugees to productive resources (eg. land), apprenticeship programmes, entrepreneurship, etc.</li> </ul>
Standards to use when building infrastructure or providing services	<ul style="list-style-type: none"> <li>• Adopt national standards acceptable to UNHCR, local government, refugees and host communities</li> <li>• Partner with development agencies and actors and lobby for raising local standards, in line with the MGDs, if needed</li> </ul>
Refugees might feel that service provision to them will suffer when these include nationals as well	<ul style="list-style-type: none"> <li>• Sensitize local populations and include them in the planning process for the integration of services</li> <li>• Put in place effective monitoring and response mechanisms</li> <li>• Strengthen protection monitoring</li> <li>• Adopt a phased approach when integrating services, based on capacities of local governments</li> <li>• Mobilize increased donor support</li> </ul>
Resistance by host communities	<ul style="list-style-type: none"> <li>• Undertake awareness raising activities</li> <li>• Promote co-existence type projects</li> <li>• Provide access to nationals of services built only for refugee at the onset</li> <li>• Sensitize communities that DAR programme will improve quality of life for both refugees and host communities</li> </ul>





POTENTIAL CHALLENGES AND RESPONSES

Challenges	Possible Responses
Limited expertise among humanitarian staff to undertake DAR programming	<ul style="list-style-type: none"> <li>• Undertake training and staff re-orientation</li> <li>• Use technical support or secondments from development agencies</li> <li>• Use local government technical staff</li> <li>• Identify implementing partners with development expertise and experience</li> </ul>
Protection not a high priority of local governments or development partners	<ul style="list-style-type: none"> <li>• Maintain strong protection role of UNHCR</li> <li>• Continue to work with the central government body responsible for refugees to ensure protection</li> <li>• Undertake with the central and local governments a protection and capacity gaps analysis and develop a strategy and plan to tackle these gaps</li> <li>• Enhance the protection of the individual refugees (eg. advocate that refugees are granted a legal status and a lawful stay/residence permit in the country; access to documentation, work permits)</li> <li>• Sensitize and raise awareness of local government officials (especially law and order personnel) on protection issues for refugees</li> <li>• Build networks for advocacy (NGOs, CBOs, and donors, etc.)</li> </ul>
Lack of appropriate enabling policies at the centre (eg. status of refugees, work permits, freedom of movement)	<ul style="list-style-type: none"> <li>• Lobby central government to adopt appropriate policies and practices</li> <li>• Build networks for lobbying</li> <li>• Help develop appropriate policies in relevant fields</li> </ul>
Weak accountability and control of resources by district authorities <sup>27</sup>	<ul style="list-style-type: none"> <li>• Use a phased approach in integrating services into district entities</li> <li>• Work with other partners to strengthen accountability</li> <li>• Develop monitoring and evaluation instruments (forms, checklists, etc.) for use by district authorities</li> <li>• Help build capacity of national/regional institutions for sustainable implementation of programmes</li> </ul>
Responsibility “gap” when respective roles of central and local governments and UNHCR and other partners are not clear	<ul style="list-style-type: none"> <li>• Clarify roles and responsibilities early and have agreements established and implemented</li> <li>• Work out plans for gradual transfer of responsibility rather than abrupt exit and handovers</li> </ul>
Resource gap arising from poor synchronization with, and phasing in of development activities, and phasing down of humanitarian support	<ul style="list-style-type: none"> <li>• Initiate discussion on DAR programmes early with development partners</li> <li>• Encourage local governments to lobby donors directly and not just rely on UNHCR to do so</li> <li>• Diversify donor base</li> <li>• Work closely with central government line ministries from the onset</li> </ul>
Perceptions might exist that DAR programmes constitute an “exit strategy” for UNHCR	<ul style="list-style-type: none"> <li>• Introduce DAR concept when UNHCR resources are still available, not when budgets have been cut</li> <li>• Ensure that UNHCR activities are integrated in DAR programme</li> <li>• Strengthen protection monitoring</li> </ul>
Differential access to DAR programmes by sections of refugee populations (women, children, youth, elderly, vulnerable groups, etc.)	<ul style="list-style-type: none"> <li>• Ensure a gender and age mainstreaming framework</li> </ul>
Mainstreaming gender and age considerations include reluctance on the part of the male refugee and host population, and UNHCR, government and NGO staff	<ul style="list-style-type: none"> <li>• Put in place measures to ensure that all voices and perspectives are heard and all have the opportunity to participate fully</li> <li>• Provide the necessary training</li> </ul>
DAR programmes are neither purely humanitarian nor purely developmental ones - they straddle the middle ground	<ul style="list-style-type: none"> <li>• Keep sight of humanitarian needs</li> <li>• Ensure that assistance is sustainable in longer term and promotes development even when interventions are short-term in nature</li> </ul>

<sup>27</sup> Key questions include: do existing accountability mechanisms address adequately performance/impact objectives? If not, how can they be strengthened? Can existing accountability measures be easily adapted to the DAR process?

## Annex 1.3:

### EXAMPLES OF COUNTRIES WHERE DAR PROGRAMMES AND SIMILAR INITIATIVES ARE CURRENTLY BEING IMPLEMENTED/CONSIDERED\*

#### Ecuador

##### Persons of Concern<sup>28</sup>

- Population of Concern - 28,000

##### Brief Overview of Displacement

- The spill-over of the Colombian conflict is creating a serious humanitarian crisis
- Many Colombians request asylum each month
- Since 2000, 24,000 Colombians have requested asylum, 7,000 have obtained it but the number of Colombians in Ecuador is estimated at 250,000 persons
- There is an increasing need for more equitable burden-sharing
- The border areas are hosting approximately 45% of the refugees

##### Comments

- In coordination with the Government, UNHCR wants to introduce DAR to promote self-reliance and co-habitation
- As a first step in DAR programme, UNHCR initiated a programme of community-based Quick Impact Projects (QIPs) benefiting both refugees and host communities. They included: road construction; training for community health workers; construction of water systems; rehabilitation and furnishing of schools and clinics; and improved sanitation
- In 2005 and 2006, there will be approximately 168,000 QIP beneficiaries, mostly in border areas. An estimated 14% will be Colombians and the remaining 86% will be Ecuadorians
- Since effective partnerships are needed with humanitarian and development agencies and all other stakeholders, UNHCR, with the Refugee Department of the Government, has established a Technical Secretariat to select and monitor the implementation of the local development projects
- The UN Country Team has completed an assessment of the Northern border area to better address humanitarian and development needs

#### Zambia

##### Persons of Concern<sup>28</sup>

- Angola - 29,386
- DR Congo - 47,605
- Rwanda - 4,247
- Other refugees - 3,065
- Asylum-seekers - 200
- Others of Concern - 65,127

##### Brief Overview of Displacement

- Zambia currently hosts some 250,000 refugees, many in protracted situations since 1966
- The majority of refugees originate from the Great Lakes region and Angola
- Some of its neighbours remain on the list of potential refugee producing countries
- An estimated 92,000 refugees spontaneously settled in Zambian villages

##### Comments

- Zambia Initiative (ZI) in Western Province - a Government-led project that promotes a holistic approach in addressing the needs of refugee hosting areas to promote durable solutions
- Western Province - poor social and economic conditions exacerbated by poor road infrastructure. The Province has been hosting Nangweshi camp since 2000 and the Mayukwayukwa settlement since 1966
- Beneficiaries: 456,000 persons of which 150,000 are refugees (mostly Angolan)
- Sectors targeted

### EXAMPLES OF COUNTRIES WHERE DAR PROGRAMMES AND SIMILAR INITIATIVES ARE CURRENTLY BEING IMPLEMENTED/CONSIDERED\*

#### Uganda

##### Persons of Concern<sup>28</sup>

- Sudan - 150,300
- Rwanda - 14,680
- DR Congo - 12,700
- Other refugees - 800
- Asylum-seekers - 690

##### Brief Overview of Displacement

- Uganda is hosting a large number of refugees from neighbouring countries in conflict or transition
- The majority of the refugees in the country are Southern Sudanese hosted in Northern Uganda
- There are also refugees from Rwanda, the Democratic Republic of Congo and smaller groups from Somalia, Ethiopia and Kenya
- The Sudanese refugee programme in Uganda is a protracted one, dating back to 1989 and 1993 when the majority of the refugees arrived from Southern Sudan

##### Comments

- The Government of Uganda, through the Ministry of Disaster Preparedness and Refugees, implements a liberal refugee policy. Key elements include:
  1. Allocation of land to refugees in designated "settlements" for homestead and agricultural purposes, to enable refugees to become self-sufficient
  2. In many parts of the country, refugees freely access education, health and other facilities built by the Government
- These pre-disposing factors have served as a conducive environment for refugees and served as the basis for the Self-Reliance Strategy (SRS)
- SRS was a joint strategy by the Government of Uganda and UNHCR with the goal "to improve the standard of living of the people of refugee hosting districts, including the refugees" with the following objectives:
  1. Empower refugees and nationals in the areas to the extent that they will be able to support themselves
  2. Establish mechanisms that will ensure integration of services for the refugees with those of the nationals
- Although SRS was initially for three districts, the Government later adopted it as the main policy framework for refugee assistance
- SRS's ultimate goal was to integrate services to refugees in the eight key sectors of assistance: health; education; community services; agricultural production; income generation; environmental protection; water and sanitation; and infrastructure
- The programme is now being transitioned to move to a DAR programme, building upon the SRS but also seeking to avoid the pitfalls of the latter (eg. poor engagement of development partners, limited integration into national development plans and district planning and budgeting systems, weak local capacity and poor connections with UNHCR country programme). Additional information can be obtained from the SRS mid-term review report available at [www.unhcr.ch](http://www.unhcr.ch)

<sup>28</sup> Source - Global Appeal 2005, UNHCR.

Sources: *UNHCR Global Report 1999*, UNHCR, Geneva, 1999; *UNHCR Global Appeal 2004*, UNHCR, Geneva, 2004; *The State of the World's Refugees 2000: Fifty Years of Humanitarian Action*, UNHCR, Geneva, 2000.

\*Status as of August 2004.

PART I: MODULE TWO

# Development Planning Processes

PART I: MODULE TWO



## SUMMARY OF MODULE TWO

**Module Two provides an overview of development planning tools and processes at both national and local levels. The information provided will assist staff, especially those of humanitarian organizations - eg. UNHCR, better plan and implement DAR programmes.**

**Section 1: Development Planning Tools at National Level**

**Section 2: Local Development Planning Processes**

**Section 3: Measures to Strengthen Collaboration Between Humanitarian and Development Partners**

## INTRODUCTION

In Module One, it was shown that DAR programmes can improve the quality of life of refugees in asylum, prepare them for durable solutions and contribute to host country development efforts by helping poverty reduction efforts in refugee hosting areas. Success however, depends on how well refugee concerns are incorporated in development agendas. Integrating DAR programmes into national and local development planning and budgeting frameworks is therefore of vital importance. A “stand alone” DAR programme will not produce desired results and may not be sustainable; unless it forms part of poverty eradication and development initiatives the impact is likely to be insufficient, isolated and short-lived.

This Module introduces various development planning tools and approaches at national and local levels and provides suggestions on how they can be taken into account when planning and implementing DAR programmes. The aim is to ensure:

- a greater coherence of DAR programmes with national and local development priorities and efforts;
- improved sustainability of DAR programme interventions; and
- better partnerships to design and implement programme activities.

### Section 1:

## DEVELOPMENT PLANNING TOOLS AT NATIONAL LEVEL<sup>29</sup>

### 1.1 Typology of Planning Frameworks

Development planning frameworks at national level can be grouped into three broad categories:

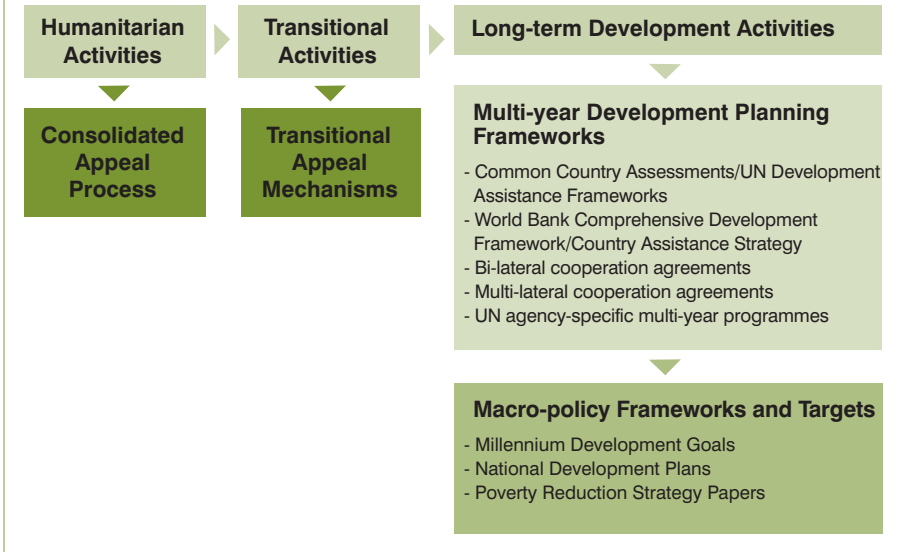
- 1. Short-term humanitarian and transition planning frameworks and tools** (eg. Consolidated Appeal Process (CAP));
- 2. Multi-year development planning tools**, which cover UN tools and processes (Common Country Assessments/UN Development Assistance Framework and agency-specific programming frameworks, - eg. UNDP Country Cooperation Frameworks, UNICEF's Country Programme), World Bank planning frameworks (Comprehensive Development Frameworks/Country Assistance Strategies) and frameworks used in bi-lateral (eg. the Canadian Country Development Programming Framework) and multi-lateral cooperation agreements (eg. the EU Country Support Strategy); and
- 3. Macro-policy frameworks and global development targets**, which encompass National Development Plans (NDPs, including Sector-Wide Approaches (SWAPs) and District Development Plans), Poverty Reduction Strategy Papers (PRSPs) and International Development Targets, such as the Millennium Development Goals (MDGs).

The linkages between these tools and frameworks are presented in Figure 2.1. Figure 2.2 shows the relationships among inter-agency (UN and World Bank) planning tools in conflict, humanitarian/emergency, post-conflict and development situations.

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<sup>29</sup> For a comprehensive overview of these tools and instruments see Handbook for *Repatriation and Reintegration Activities*, UNHCR May 2004.

FIGURE 2.1 Linkages Among Planning Frameworks<sup>30</sup>



## 1.2 Establishing linkages

Humanitarian and development partner staff involved in DAR programmes can take a number of measures to facilitate integration of programme activities into planning frameworks at national level. Table 2.1 provides examples of such actions.

The *UNDG Guidance Note on Durable Solutions for Displaced Persons* contains many useful suggestions on linking with development planning instruments and processes, in particular UN system-wide tools such as CCA/UNDAF. For UNHCR Annex 2.1 provides specific instructions encouraging staff to ensure that the principles of the Guidance Note are incorporated in the revised Country Operation Plan and in other relevant UNHCR planning documents, handbooks and learning materials.

<sup>30</sup> *Handbook for Repatriation and Reintegration Activities*, UNHCR Geneva, May 2004.

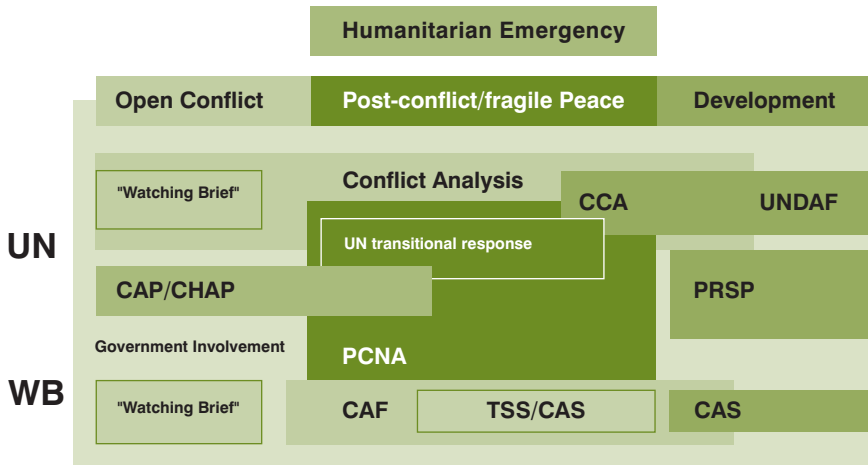
## DEVELOPMENT PLANNING PROCESSES

**TABLE 2.1: SUGGESTIONS ON LINKING DAR PROGRAMMES WITH PLANNING FRAMEWORKS**

Typology	Tool	Suggested Actions To Link DAR Programme and Planning Frameworks
Macro-Policy Frameworks and Targets	<p><b>Millennium Development Goals (MDGs):</b> a summary of development goals agreed at international conferences and world summits during the 1990s; include 8 goals, 18 targets and 48 indicators to achieve by 2015</p>	<ul style="list-style-type: none"> <li>✓ Use MDGs as an advocacy tool (target decision makers) on relevance of incorporation of refugee issues and refugee hosting areas in development plans to the attainment of MDGs:</li> <li>• Communities in refugee hosting areas can equally contribute to growth if provided opportunity to use skills, assets and capacities</li> <li>• Meeting MDG targets requires targeted interventions to all sectors of population, including refugee hosting areas and communities</li> <li>✓ Provide information and inputs on refugees and refugee hosting areas in national MDG Reports</li> </ul>
	<p><b>National Development Plans:</b> a framework for policy and investment priorities of government sometimes supported by Sector-Wide Approaches (SWAPs) and district development plans</p>	<ul style="list-style-type: none"> <li>✓ Cover infrastructure needs in given sectors, using sector-wide approaches in education, health, roads, etc.</li> <li>✓ Incorporate area-based programmes in refugee hosting areas into district-level development plans</li> <li>✓ Include recurrent costs of DAR programmes into national and district-level budgets</li> <li>✓ Use decentralized planning structures to reinforce coordination and decision making on DAR programmes in refugee hosting areas</li> </ul>
	<p><b>Poverty Reduction Strategy Papers (PRSPs):</b> a country's macro-economic, structural and social policies and programmes to promote growth and reduce poverty (World Bank-led)</p>	<ul style="list-style-type: none"> <li>✓ Participate in and provide inputs to preparatory activities of PRSPs (eg. poverty assessments)</li> <li>✓ Review and provide inputs into draft PRSPs or during mid-term reviews</li> <li>✓ Review public sector investment proposals to integrate DAR programmes</li> </ul>
Multi-Year Development Planning Frameworks	<p><b>Common Country Assessment/UN Development Assistance Framework (CCA/UNDAF):</b> an instrument of the UN system to analyse development challenges and a common strategic framework for operational activities at the country level</p>	<ul style="list-style-type: none"> <li>✓ Use assessments of development challenges identified through CCA in developing a DAR strategy</li> <li>✓ Integrate DAR programmes as a thematic priority area in UNDAF to lay basis for collective UN action</li> <li>✓ Incorporate DAR indicators (including protection) into the monitoring and evaluation framework of UNDAF (this will contribute to follow-up by all partners)</li> <li>✓ Use CCA/UNDAF process to design specific joint programmes with other UN agencies (eg. UNICEF on water and sanitation, child protection, primary health care, gender, HIV/AIDS and primary education; ILO on micro finance)</li> </ul>
	<p><b>Comprehensive Development Framework and Country Assistance Strategy (CDF/CAS):</b> World Bank planning frameworks at the country level</p>	<ul style="list-style-type: none"> <li>✓ Include DAR programme components in sector investment loans, etc.</li> <li>✓ Tap grants from the World Bank for activities in refugee hosting areas</li> </ul>
	<p><b>Bi- and Multi-lateral Cooperation Agreements</b></p>	<ul style="list-style-type: none"> <li>✓ Sensitize country representatives for inclusion of DAR programmes in bi- and multi-lateral cooperation agreements</li> <li>✓ Design specific proposals and submit for funding</li> </ul>
Short-Term Humanitarian-Transition Frameworks	<p><b>Consolidated Appeal Process (CAP):</b> a UN system tool to fund emergencies</p>	<ul style="list-style-type: none"> <li>✓ Cover humanitarian needs in DAR programmes (eg. food assistance and shelter needs) under the CAP</li> <li>✓ Meet needs arising from droughts and other emergencies in refugee hosting areas through CAPs</li> </ul>



FIGURE 2.2 Overview of Inter-Agency Planning Tools and Instruments<sup>31</sup>



**CDA:** Conflict-related Development Analysis  
**CCA/UNDAF:** Common Country Assessment and Development Assistance Framework  
**CAF:** Conflict Analysis Framework  
**TSS/CAS:** Transitional Support Strategy/Country Assistance Strategy  
**PRSP/CAS:** Poverty Reduction Strategy/Country Assistance Strategy  
**CAP:** Consolidated Appeals Process  
**PCNA:** Post-Conflict Needs Assessment

<sup>31</sup> Common Inter-agency Framework for Conflict Analysis in Transition, November 2004, UNDG.

### Section 2:

## LOCAL DEVELOPMENT PLANNING PROCESSES

Most DAR programme activities will be at the local level; hence the importance of staff having adequate information on local planning processes. This will facilitate links with local development processes in addition to those at national level.

### 2.1 Typology of Local Development Approaches

A World Bank review identifies three main approaches to local development<sup>32</sup>:

- decentralized sector;
- local governments; and
- direct community support.

Annex 2.2 provides a summary of the three approaches.

#### 2.1.1 Decentralized Approach

This approach is organized according to the function to be performed or the service to be delivered, eg. delivery of health, education, water, agricultural extension, by government line ministries and other public service organizations. Under this category, policymaking, expertise and decision-making on standards, services and methods are concentrated at national level, and dominated by a professional, technical/administrative cadre of staff. Provincial, district and municipal levels tend to be operational with “upward” accountability. Generally, sector approaches are appropriate where major constraints to development are due to poor performance by line ministries at sector level.

#### 2.1.2 Local Government Approach

Local governments (eg. municipalities, communes, district councils) have relations “downward” to their constituencies and “upwards” to central governments. They are increasingly becoming key agents of development in

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<sup>32</sup> This section draws on “Local Development Discussion Paper, prepared for the International Conference on Local Development, Washington DC, 16-18 July, 2004.

their areas and have embarked on poverty reduction and in improving the quality of life for their constituents. They have become a means to shorten the “*social distance between those who govern public services, those who manage them, and those whom they are intended to benefit*”<sup>33</sup>. The degree of autonomy and responsibility of local governments varies from one country to another.

In general, local governments are more responsive and effective when there is full political, administrative and fiscal decentralization<sup>34</sup> :

- **Political Decentralization:** implies the transfer of policy and legislative powers from central government to autonomous, lower level assemblies and local councils that are democratically elected by their populations;
- **Administrative Decentralization:** a situation wherein planning and implementation is in the hands of local civil servants who are under the jurisdiction of the local governments; and
- **Fiscal Decentralization:** implies substantial autonomy in revenue collection and expenditure for local governments, including the power to levy taxes and user charges.

Donors and development agencies have devised a number of ways to support decentralization and local governance. For example, UNCDF uses local development funds to transfer grant capital directly to local governments to support planning and financing rural infrastructure. In other instances, donors have been somewhat reluctant (due to poor accountability) to channel funds and integrate them into local government planning and budgeting system, preferring instead to set up parallel ad hoc structures, to ensure quick delivery. Other donors have provided budget support to help build the capacities of district governments.

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### 2.1.3 Direct Community Approach

This approach attempts to channel assistance directly to communities to “*increase empowerment, improve responsiveness to citizens’ demands and priorities, accelerate service delivery and improve the quality of life of poor and marginalized social groups and households*”<sup>35</sup>. The World Bank’s Community-Driven Development (CDD) - see Box 2.1 - and the piloting of Community Empowerment Projects (CEPs) in Sierra Leone and Liberia during the early stages of post conflict reintegration (as a quick response mechanism that at the same time empowers communities), are examples of community-based approaches.

<sup>33</sup> World Bank Local Development Discussion Paper.

<sup>34</sup> CDD Module of the PRSP Sourcebook, World Bank.

<sup>35</sup> World Bank Local Development Discussion Paper.

Community-based approaches to development are primarily concerned with ensuring full involvement and participation of local stakeholders in decision making concerning needs identification, planning, implementation, monitoring and evaluation of activities. It entails a reversal of control and accountability from central authorities to communities, groups and individuals (see Box 2.2)<sup>36</sup>.

A community-based approach is not appropriate for all situations. For example, they may not work well in the case of “*public goods that span many communities or that require large and complex systems [that] are better provided by local or central government.*”<sup>37</sup>

### BOX 2.1: THE WORLD BANK'S COMMUNITY-DRIVEN DEVELOPMENT

“Community-Driven Development (CDD) gives control of decisions and resources to community groups. These groups often work in partnership with demand-responsive support organizations and service providers including elected local governments, the private sector, NGOs, and central government agencies. CDD is a way to provide social and infrastructure services, to organize economic activity and resource management, to empower poor people, improving governance, and enhance security of the poorest.”

Source: CDD Module of the PRSP Sourcebook.

A community-based approach is best used in situations where:

- traditional service delivery systems are not rapid, flexible, accountable or innovative;
- goods and services are small in scale and not complex and require cooperation at the local level such as **common property resources** (eg. pastures, irrigation systems), **public goods** (eg. local roads, clinics, water points) or **civil goods** (eg. advocacy and monitoring);
- benefits are quick, local and visible and accrue to those who participate - if the resource does not lend itself to these criteria, community-based approaches may not work;
- tasks to be performed are clear, continuous and well coordinated in the community.
- responses are needed to short-term demands of a large number of households, such as post-conflict reconstruction, to crises and other similar situations that require large-scale rapid and complex response;

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<sup>36</sup> Deepa Narayan (1995) *Designing Community-based Development. Social Development Papers* (22361), Environmentally and Socially Sustainable Development Network, World Bank.

<sup>37</sup> Community-Driven Development - CDD Module of the PRSP Sourcebook.

- temporary “bridging mechanisms” when public sector has proved ineffective in providing basic services because of institutional collapse, severely unresponsive governance, unaccountable resource use, or ineffective management; and
- short-term policy decisions are inconsistent with traditional practices.

Basic questions to guide design of community-based programme activities are in Annex 2.3.

**BOX 2.2: CONDITIONS FOR SUCCESSFUL COMMUNITY-BASED PROJECTS**  
(SOURCE: NARAYAN, 1995)

- Reversal of control and accountability from central level to individuals, groups and communities;
- Knowledge and understanding of local needs, and of existing social and community networks;
- Community groups:
  - that are anchored within existing structures at the local level;
  - that address a felt need and have a common interest in what the project will address;
  - where benefits to individuals in the group outweigh the costs associated with participating;
  - that have the capacity, leadership, knowledge and skills - steps may be needed to strengthen local institutional capacities;
  - that own and enforce its own rules and regulations.
- Implementing agencies must have the appropriate structures and orientation to properly undertake community-based development or have possibility to contract out such operations.

The local government approach has certain advantages over community-based ones. For example, since local governments may generally have advanced knowledge of resource allocation, planning could be more effective. In contrast, most community-based planning exercises usually involve communities preparing a “wish list” which then gets transmitted “upwards” without much certainty about how much funding will be available. The range of infrastructure and services needed for local development may also not readily emerge from community-based planning exercises. However, planning undertaken at district/provincial levels is more effective and accountable if fed by a “bottom-up” approach that starts at the village/community level. The two approaches can thus be complementary. Annex 2.4 provides a comparative overview of the features, strengths and weaknesses of community-based and district-based planning approaches.

**2.2 Benefits of Local Development Approaches**

All three local development planning approaches (i.e. decentralized sector, local government and community-based) are beneficial to DAR programmes; their respective strengths should therefore be exploited. Table 2.2 suggests ways in which the three approaches can be utilized to support DAR programmes.

**TABLE 2.2: EXAMPLES OF POTENTIAL USES OF LOCAL DEVELOPMENT APPROACHES**

Decentralized Sector Approaches	Local Government Approaches	Direct Community Approaches
<ul style="list-style-type: none"> <li>• Providing training and capacity building in specialized areas</li> <li>• Ensuring that national standards and policies guide programme design</li> <li>• Ensuring that existing technical capacities and financial resources of line ministries are mobilized to support programmes</li> <li>• Helping local governments apply new sector policy guidelines/standards</li> <li>• Integrating local development plans in Sector Wide Approaches (SWAPs)</li> </ul>	<ul style="list-style-type: none"> <li>• Providing legitimacy to planned activities</li> <li>• Assisting in coordination with other development interventions at provincial/district level</li> <li>• Integrating programme activities into medium and longer term development plans and ensuring continuity and sustainability</li> <li>• Tapping district resources to support DAR programme activities - the reverse could also happen with DAR resources strengthening local governments</li> </ul>	<ul style="list-style-type: none"> <li>• Ensuring that programmes meet the immediate priorities and needs of target communities</li> <li>• Ensuring that the protection needs and those of vulnerable groups in communities are sufficiently addressed</li> <li>• Building community cohesion and promoting co-existence</li> <li>• Ensuring sustainability</li> <li>• Building leadership and confidence among local communities</li> <li>• Mobilizing community resources to solve local problems</li> <li>• Strengthening local institutions to take charge of their development</li> <li>• Strengthening the voice of local communities in planning and implementation of development activities</li> </ul>

### Section 3:

## MEASURES TO STRENGTHEN COLLABORATION BETWEEN HUMANITARIAN AND DEVELOPMENT PARTNERS

For DAR programmes to be included in development agendas at both national and local levels humanitarian and development actors should work closely together. However, such collaboration is often challenging because of differences in approach, policies and operational procedures. For example, humanitarian actors typically employ short-term planning tools while development actors generally utilize longer term tools and processes. Development partners may initially lack readily available resources, have a limited presence in refugee hosting areas, and may be restricted by the fact that remote and marginalized refugee hosting areas may not be a priority of governments. Other differences include the following:

- 1. Different client focus.** Humanitarian operations (eg. UNHCR) mainly focus on individuals, families and communities, while many development partners may focus largely on processes and policies.
- 2. Different programme formulation processes.** Development actors' emphasis on sustainability could mean that programme formulation takes longer than in traditional humanitarian practice. Tools and concepts may at times be different, but, if used jointly, can be complementary.
- 3. Different budgeting cycles.** The budgeting cycle of most humanitarian actors is annual, while most other development partners have multi-year planning and budgeting cycles. Both present advantages and disadvantages.
- 4. Different types of interventions.** Development agencies do not customarily undertake small-scale and short-term projects, which UNHCR and its implementing partners traditionally support. The former tend to privilege sector-based development interventions that focus on long-term impact and sustainability rather than immediate responses.
- 5. Different roles of government in defining priorities:** Development programmes are essentially based on host government priorities whereas humanitarian aid often bypasses government and can operate more autonomously. Another difference is that development aid is country limited and often loses sight of the trans-boundary character/nature of refugee crises.

Humanitarian and development actors can however, complement each other, build upon their respective strengths and improve synergies for the benefit of DAR programmes. Such collaboration can be initiated early - see Annex 2.5 for an example of an inter-agency multi-sectoral assessment mission for the needs of the host communities in eastern Chad.

As UNHCR is often among the first actors on the ground in refugee situations, UNHCR staff can undertake a number of measures to promote collaboration and build better partnerships with development actors by:

- keeping development agencies fully informed of its work even in the emergency phases of an operation, through joint field visits, briefings and information dissemination, and seeking information and technical inputs on various thematic and sectoral issues (eg. water, education);
- using its operational presence in remote marginal areas where refugees are often found to provide first hand information and knowledge of refugees, host communities and refugee hosting areas to help development actors in their planning;
- undertaking joint projects even during the emergency phase of an operation as a way to forge partnerships and build trust and confidence, emphasising self-reliance (eg. education and immunization programmes with UNICEF; employment intensive projects with ILO.; agriculture projects with FAO);
- providing resources directly to development partners to implement some of the humanitarian work falling within their mandates and competencies (eg. WHO for health programmes);
- taking an active interest in development programmes in refugee hosting areas: contributing to their formulation, contributing resources and ensuring that issues of refugee concerns are covered in such programmes;
- taking part in development coordination meetings and fora (eg. CCA/UNDAF thematic groups, PRSP processes); and
- ensuring that the government invites development partners to take part in the DAR programme. Development actors should be consulted and encouraged to take part in teams appraising approaches to refugee assistance programmes. UNHCR HQ should be able to discuss such early involvement of development actors with government, UN agencies, bilateral and multilateral development agencies and international NGOs.



Such partnerships would enable host governments draw upon expertise of development actors in designing programmes for refugees, strengthen their capacity to integrate needs of refugees in development agendas and facilitate a smooth transition from humanitarian assistance to development support.

**Development actors on their part, can also promote collaboration by:**

- integrating refugee concerns in their country-level programming instruments and development cooperation agreements;
- undertaking joint projects with humanitarian agencies;
- providing capacity building support to districts hosting refugees; and
- providing expertise to support planning and implementation of humanitarian programmes.

Such measures can build inter-agency trust, contribute to mutual learning and lay the basis for strengthened collaboration and partnership.

## CONCLUSION

As discussed in this Module, sustainable DAR programmes call for their integration in national and local development plans. Detailed information provided in this Module on the different approaches and tools for planning at both macro- and micro-levels, suggestions on how DAR programmes can be linked to these plans and measures to strengthen collaboration between humanitarian and development actors should be used when designing (Module Three) and implementing (Module Four) DAR programmes.

Annex 2.1:

**UNHCR INTER-OFFICE MEMORANDUM NO. 80/2004 UNHCR FIELD OFFICE MEMORANDUM NO. 82/2004**

<b>To / à:</b>	All Representatives, Chiefs of Mission and Heads of Offices in the Field All Directors of Bureaux and Divisions All Heads of Desks
<b>From / de:</b>	The High Commissioner
<b>Category / catégorie:</b>	OPS, Chapt.
<b>Ref / réf:</b>	ADM-01-01
<b>Date / date:</b>	9 Dec 2004
<b>Subject / objet:</b>	UNDG Guidance Note on Durable Solutions for Displaced Persons

1. Reference is made to IOM/FOM 21/2004, dated 20 February 2004, in which I outlined the priority areas of UNHCR's participation in the UN Development Group (UNDG). Please find attached the *UNDG Guidance Note on Durable Solutions for Displaced Persons* (Refugees, IDPs, and Returnees) that has been adopted by the UNDG Programme Group on 8 October 2004. The Guidance Note is linked to the Common Country Assessment (CCA) and UN Development Assistance Framework (UNDAF) Guidelines to UN Country Teams (French and Spanish versions will be available shortly). The Development Group Office has shared the Guidance Note with all Resident Coordinators and UN Country Teams (UNCTs) and has posted it on its website ([www.undg.org](http://www.undg.org)).
2. Identifying population displacement as a key challenge facing a number of countries, the Guidance Note provides advice to UNCTs on how to translate this challenge into strategic policies and programmes in the context of the UNDAF and its results-based matrix. This Guidance Note is significant as, for the first time, a common policy has been adopted

among UN development actors on the importance of attaining durable solutions for displaced persons and on how to incorporate them into joint planning and implementation strategies.

3. The Guidance Note has been prepared by a UNDG inter-agency working group chaired by UNHCR and UNDP, involving the full spectrum of operational agencies. The working group has drawn upon the work completed by various inter-agency fora, operational experiences and reviews, as well as analyses of selected CCAs and UNDAFs.
4. As a member of the UN Country Team, UNHCR Representatives have a key role in ensuring that the Guidance Note is understood and implemented. In particular, countries hosting large numbers of displaced persons and preparing their CCA and UNDAF in 2004/5 should ensure that the Guidance Note is utilized in the preparatory process. UNHCR Representatives and all other Head of Offices in the field should ensure the wide dissemination and application of the Guidance Note among their staff and the UNCT. In their consultations with national authorities, donors and non-governmental agencies, UNHCR staff should also advocate for its application.
5. The Guidance Note is a 'living' document and will be reviewed based upon the experiences gained by UNDG in the future. The principles of the Guidance Note are incorporated in the revised Country Operation Plan and I encourage their inclusion in other relevant UNHCR planning documents, handbooks and learning materials (eg. Handbook for Repatriation and Reintegration Activities and the forthcoming Development Assistance for Refugees Handbook). As we further strengthen our engagement with UNDG, I also encourage Regional Bureaux to include discussions on pursuing durable solutions for persons of concern to UNHCR in the context of the UNCT in the agenda of regional Representatives meetings. The objective is twofold: First, it will provide an opportunity to raise and discuss issues facing UNHCR Representatives and to develop appropriate responses. Second, it will provide an occasion to equip Representatives with the knowledge and tools to be an effective member of the UNCT and to incorporate durable solutions for displaced persons into the planning of national and international development actors from the outset.
6. For further questions and comments on the Guidance Note, please contact the Reintegration and Local Settlement Section, Division of Operational Support (Mateu@UNHCR.ch) and/or the UNHCR Office in New York (Cels@UNHCR.ch).

Thank you.

Annex 2.2:

MATRIX OF ALTERNATIVE APPROACHES TO SUPPORTING LOCAL DEVELOPMENT*			
	Decentralized Sector Approach	Local Government Approach (LG)	Direct Community Support
<b>Principle of Organization</b>	Function (eg. education, health, roads)	Territory (eg. province, district, municipality)	Social Unit (eg. village)
<b>Strategic Orientation</b>	Develop organizations at local level that produce services and achieve service goals	Transfer policymaking and fiscal powers to democratically elected local governments that provide services within their jurisdiction	Empower communities to decide, organize, and act in their own interests
<b>Main Operational Method</b>	Improve service delivery coverage and quality through codified methods and staff training for de-concentrated sectoral departments, specialized autonomous agencies, and service delivery units	Ensure local government resources through intergovernmental fiscal arrangements, local government accountability through political arrangements, and local government capacity through administrative arrangements	Channel resources (funding and capacity building) to community-based organizations that provide their own infrastructure and services, often jointly with public sector or private organizations
<b>Key Lessons</b>	<ul style="list-style-type: none"> <li>• De-concentration within administrative services is necessary but not sufficient for effective service delivery</li> <li>• Demand responsive arrangements are useful in establishing appropriate service levels and standards</li> <li>• CBOs as co-producers and oversight bodies can improve service delivery</li> <li>• Linking public organizations to private firms and NGOs enhances local capacity to deliver services</li> <li>• Local planning processes not only allocate resources but also increase accountability of service providers</li> <li>• Service delivery arrangements should be adapted to the local institutional environment</li> </ul>	<ul style="list-style-type: none"> <li>• LG responsiveness requires electoral accountability as well as other participatory processes</li> <li>• Decentralization is most effective when LG reform is linked to sector reform</li> <li>• Local governance quality depends not only on LGs but also on the effectiveness of local civil society</li> <li>• LGs can lead local development as coordinators of private initiative as well as advocates for local interests</li> <li>• Effective service delivery requires collaboration between LGs and sector agencies</li> <li>• LG strategic planning helps build partnerships among public, private and CBOs</li> </ul>	<ul style="list-style-type: none"> <li>• Community driven funds can channel resources in response to urgent, specialized or complex demands</li> <li>• Participatory community planning can efficiently allocate resources</li> <li>• Community-based management of resources and investments can be transparent and efficient</li> <li>• Targeted community-driven approaches can empower marginalized groups</li> <li>• Community control over decisions and resources can build social capital</li> <li>• Strengthening CBOs can increase poor people's voice</li> <li>• Community contributions help ensure that investments are demand driven and "owned" by beneficiaries</li> <li>• Increased links between LGs and CBOs can speed "scaling-up" and improve sustainability</li> </ul>



**MATRIX OF ALTERNATIVE APPROACHES TO SUPPORTING LOCAL DEVELOPMENT\***



	<b>Decentralized Sector Approach</b>	<b>Local Government Approach (LG)</b>	<b>Direct Community Support</b>
<b>Limitations</b>	<ul style="list-style-type: none"> <li>• Little local discretion to adjust national sector policies and service priorities to local conditions and preferences</li> <li>• Difficulty ensuring coordination and collaboration across interdependent sectors</li> <li>• Emphasis on operational management limits strategic response to local conditions and priorities</li> <li>• Difficulty ensuring adequate responsiveness and accountability of sectoral officials</li> </ul>	<ul style="list-style-type: none"> <li>• Risks associated with transfer of responsibilities to LGs without adequate resources</li> <li>• Incomplete decentralization policies can limit LG capacity to respond to local priorities</li> <li>• Excessive politicization of decision-making or "elite capture" may lead to inequitable allocation or poor management</li> <li>• Weak service delivery focus and technical capacities among some LGs</li> <li>• Problems coordinating between devolved LGs and sectoral organizations</li> <li>• Inadequate contact between LG officials/LG agencies and communities</li> <li>• Vulnerability to "demand overload" when citizen expectations and devolved responsibilities exceed LG capacity and resources</li> </ul>	<ul style="list-style-type: none"> <li>• Risks of "elite capture" and weak accountability resulting from entrenched inequalities of power and resource access within communities</li> <li>• Difficulty resolving problems across several communities and achieving economies of scale</li> <li>• Sustainability problems due to insufficient coordination with sectors and LGs</li> <li>• Weak links to public sector systems for planning, governance, fiscal management, and accountability</li> <li>• Lack of strategic perspective on local economic development</li> </ul>

\*Source: Local Development Discussion Paper, World Bank, June 2004.

## Annex 2.3:

### BASIC QUESTIONS IN DECIDING ON A COMMUNITY-BASED APPROACH<sup>38</sup>

- ✓ What are the benefits to be provided?
- ✓ What are the changes or outcomes you would like to see at community level?
  - Physical outcomes?
  - Capacity outcomes?
- ✓ What is the community demand or felt need for the good or service?
- ✓ Who are the key actors at the community level?
- ✓ What is the role/function of the community actors in achieving outcomes?
  - Financing?
  - Design?
  - What are the structures, incentives, and processes to make agencies client centred?
  - Planning?
  - Monitoring?
  - Corrective action?
- ✓ What is the community capacity to undertake these functions? (Assess functional capacities of existing groups)
- ✓ What is the agency capacity to support communities?
- ✓ What is the appropriate community outreach strategy? Extension or empowerment?
- ✓ How big is the gap between:
  - Existing community capacity and needed capacity?
  - Existing agency capacity and needed capacity?
- ✓ What are the design features and strategies to invest in community capacity building?
- ✓ What are the design features and strategies to:
  - Restructure existing agencies to deliver?
  - Redefine role of existing agencies?
  - Bring in other intermediaries?
  - Create new funding mechanisms?

<sup>38</sup> Source: Narayan, 1995.

Annex 2.4:

**COMPARATIVE FEATURES, STRENGTHS AND WEAKNESSES OF COMMUNITY/VILLAGE AND DISTRICT-BASED PLANNING APPROACHES<sup>39</sup>**

	Village/Community Level	Provincial/District level
<b>Features</b>	<ul style="list-style-type: none"> <li>• Few beneficiaries - intra-village</li> <li>• Well defined geographic area</li> <li>• Usually few implications for spatial planning;</li> <li>• Usually simple technology</li> <li>• Usually maintained by community</li> <li>• Lower costs</li> <li>• Self-help labour usually provided by beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>• Many beneficiaries - inter-village/district</li> <li>• Wider geographic area</li> <li>• Spatial planning required</li> <li>• Usually complex technology</li> <li>• Usually require staff, operation and maintenance by government</li> <li>• Usually higher costs</li> <li>• Self-help labour difficult to organize</li> </ul>
<b>Strengths to Leverage</b>	<ul style="list-style-type: none"> <li>• Greater scope for local collective action and accountability, and easier transparent decision-making and rule enforcement</li> <li>• Supposedly greater legitimacy and probity</li> <li>• Greater sense of ownership</li> <li>• Probable rapidity of action</li> <li>• Greatest awareness of needs - local problems</li> </ul>	<ul style="list-style-type: none"> <li>• Wider planning area for "intermediate" inter-village type investments</li> <li>• Greater technical skills</li> <li>• Scope for coordination and arbitration between various village interests and needs</li> </ul>
<b>Challenges to Address</b>	<ul style="list-style-type: none"> <li>• Inherently very modest planning horizon, thus with bias to very local/community investments</li> <li>• De-linked from government budget, thus unable to ensure staff/recurrent budget allocations</li> <li>• Very limited own "supply capacity" except for very basic investments</li> <li>• Usually weak linkages with government</li> <li>• In some places, village bodies "captured" by elites</li> <li>• In some places, weak/lack of correlation between village and community</li> <li>• In some places, difficult access to outside private/government/NGO expertise</li> </ul>	<ul style="list-style-type: none"> <li>• Limits to inter-district planning horizon</li> <li>• In some cases, lack of mechanisms for dialogue with villages/communities</li> <li>• Weak/no accountability mechanisms to public performance</li> <li>• Weak horizontal coordination between planning departments</li> <li>• Lack staff, equipment, training, experience</li> <li>• Tendency to elite capture</li> <li>• Lack of clarity for local government responsibilities</li> </ul>
<b>Likely Domains</b>	<ul style="list-style-type: none"> <li>• Collective agricultural/productive investments</li> <li>• Training events</li> <li>• Community loan revolving funds</li> <li>• Micro-grants for vulnerable groups</li> <li>• New/rehabilitation of water supply</li> <li>• Rehabilitating/equipping primary education and health facilities with no recurrent budget/staff implications</li> <li>• Village access, tracks, trails, culverts</li> </ul>	<ul style="list-style-type: none"> <li>• New primary education and health facilities with recurrent budget/staff</li> <li>• Large inter village irrigation schemes</li> <li>• Inter-village catchment protection works</li> <li>• Secondary education and health facilities</li> <li>• Inter-village/district roads, bridges</li> </ul>

<sup>39</sup> Source: UNCDF, Local governance and community-driven infrastructure and service delivery in Afghanistan, March 2004.

## Annex 2.5

### SAMPLE TERMS OF REFERENCE

#### UNITED NATIONS MULTISECTORAL ASSESSMENT MISSION FOR THE NEEDS OF THE HOST COMMUNITIES IN EASTERN CHAD

- Mission:** Initial situation assessment of needs of host communities in eastern Chad.
- Objective:** To conduct initial assessment of emergency situation with a focus on humanitarian needs of host communities, displaced, and displaced populations if any. Multi-disciplinary mission will focus on technical aspects of needs, with a major focus on 1) health, 2) water supply/sanitation, 3) shelter and infrastructure, and 4) food security.
- Scope:** Primary focus of technical mission will be on the potential host communities in and surrounding rural communities [areas].
- Participation:** To include humanitarian UN agencies, NGO and donor community. Under the joint leadership of the United Nations and the Government.
- Tasks:** Subject to further definition when the assessment team is selected and assembled, the initial set of tasks will include:
- Assess and quantify (to the extent possible) various aspects of the situation, including affected populations, their physical condition, state of public infrastructure, security context and possible (or actual) rate of return;
  - Identify major needs of and problems encountered by affected host community and determine immediate priority actions to be undertaken by humanitarian agencies;
  - Assess coping mechanisms and capacities of affected host communities. Special attention should be given by mission to the needs of especially vulnerable groups.



## MODULE TWO

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- Leadership:** A Team Leader will be appointed by the Humanitarian Coordinator for Chad who will be responsible for management of overall mission and its members. The Team Leader will report to and receive instruction from the UN Resident Coordinator/UN Humanitarian Coordinator/UN Designated Official for Chad.
- Reporting:** Major findings of initial assessment mission will be compiled in a brief report to be prepared under the direction of the Team Leader, with contributions from sector specialist members of the mission.
- Size:** For practical reasons, including logistics and security, the technical mission should be kept small, mobile, and appropriately qualified and equipped group of individuals.